

Terms & Conditions for the Certification of Products and/or Management Systems

0. STATEMENT OF THE MANAGEMENT

APRAGAZ recognizes the importance of impartiality in conducting its management systems certification activities and assures the objectivity of these activities as well as the management of possible conflicts of interests.

1. TERMS AND DEFINITIONS

Supplier: Party having the responsibility to assure that the products and/or services meet and, if necessary, continue to meet the requirements on which the certification is based.

Organization: company, society, firm, enterprise, authority or institution, or part or combination of these, with limited liability or with any other public or private status, which has its own functional and administrative structure. Party responsible for the product and process, able to declare that a management system is being applied. In case of product certification, this could concern for example the manufacturer, the authorised representative, the importer, the distributor,....

Management system: collective name for different systems (quality assurance system, environmental management system).

Applicant: supplier and/or manufacturer applying for a certification.

Notified Body: Third party who evaluates and certifies or registers the quality assurance system of an manufacturer in relation to the published standards for quality systems and on all required additional documentation as well as on the essential requirements described in the concerned directives/regulations (R110/R67/R79/CPR/ADR/TPED, SPV, PED, MED, ATEX). When the activity of the Notified Body is limited to the certification of a product and/or a system for quality assurance of the type ISO 9001, ISO 13485, ISO80079-34, OHSAS and ISO 14001, it will be named "Certification Body" (CB). This abbreviation is used to identify the Notified Body and/or Certification Body. In this case, APRAGAZ is Certification Body (CB) for products and/or systems, as well as Notified Body (NB) for the above mentioned directives.

Certification system: system having its own procedural and management rules to carry out the evaluation leading to the issuance and follow-up of a certification document. The terminology used in the Quality Manual and the specific procedures for the evaluation of management systems (PAQ series) are applicable to this procedure.

Certification document: Document certifying that the product / management system of an manufacturer is in conformity with the standards for the specified product / system, with all additional documentation required within the frame of the certification, and with the technical requirements of the applicable directives.

Audit: Methodical and independent examination to check if the activities and results relating to the criteria of the management system meet the preestablished provisions if these provisions are implemented efficiently and if they are fit to reach the objectives.

Auditor: Person who is qualified to conduct audits. Where there are 2 or more auditors involved in audits, a distinction is made between a lead auditor (lead auditor) and regular auditors. An auditor may also be a technical expert in a particular matter.

Audit report: Document reflecting the content of the process before, during and after the audit and providing details of the quality system certification. In the context of product certifications, technical aspects concerning the product and associated evaluations may be added to the audit report, which should be read as, for example, references from/to calculation notes, APRAGAZ confidential reports, APRAGAZ laboratory tests (the technical elements necessary to arrive at a product certification/certification document), and so on.

Auditee: organization being audited (e.g. equipment manufacturer, etc.). The terminology used in the Quality Manual and the specific procedures for the evaluation of management systems (PAQ series) is applicable to this procedure.

Technical expert: Person providing the audit team with specific knowledge or expertise (including the ability to review technical files).

Surveillance of the production: Evaluation intended to determine the continuous conformity with the specific requirements of the certified product.

Geographical zone: normally worldwide except for risk areas (personnel safety)

2. BEGINNING OF THE CERTIFICATION PROCEDURE

Certification activities in terms of quality management systems, products and processes are following certification schemes (according to EN ISO17067) the functional approach will deal with following functions :

- selection, which includes planning and preparation activities in order to collect or produce all the information and input needed for the subsequent determination function;
- determination, which may include conformity assessment activities such as testing, measuring, inspection, design appraisal, assessment of services and processes and auditing to provide information regarding the product requirements as input to the review and attestation functions;
- review, which means verification of the suitability, adequacy and effectiveness of selection and determination activities, and the results of these activities, with regard to fulfilment of specified requirements
- decision on certification;
- attestation, which means issue of a statement of conformity, based on a decision following review, that fulfilment of specified requirements has been demonstrated;

-surveillance (where needed), which means systematic iteration of conformity assessment activities as a basis for maintaining the validity of the statement of Conformity

Product certification schemes (APragaz will be the scheme owner) will often be of type 1a, 1b, 3 or 6 (according table 1 of EN ISO17067), depending on the nature of the certification route, and in line of e.g. applicable modules as described in the EU Directives

2.1 Demand for Certification

2.1.1. Exchange of information between APRAGAZ and the organizations

A detailed description of the procedure for the assessment and certification of each certification system, the documents specifying the certification requirements and the documents describing the rights and obligations of organizations must be maintained and submitted to certified organizations and applicants.

APRAGAZ demands that each organization :

- shall conform at any time to the relevant provisions of the certification programme, including continuous compliance of final products
- shall take all necessary measures to conduct the evaluation, including the review of the documentation and the access to all areas, records (including internal audit reports) and personnel for the purpose of the evaluation, the supervision, the re-evaluation and the resolving of complaints. If applicable, the organization shall accept observers like accreditation auditors or auditors in training.
- shall not declare that he is certified for other activities than those for which he received certification.
- shall not use his certification in a way that would damage the reputation of the CB/NB and shall refrain from making any statement about this certification that the CB/NB could consider as abusive or unauthorised.
- shall immediately cease, as from the suspension or withdrawal of the certification (whatever the case may be), each form of publicity that, one way or the other, refers to the certification, and shall send back each document relating to the certification upon request of the CB/NB.
- shall only use his certification to demonstrate that the system complies with specified standards or other normative documents.
- shall make sure that no document, marking or certification report is being used in whole or in part in a prejudicial manner.
- shall comply with the requirements of the CB/NB when mentioning the certification in communication like documents, brochures or advertisements
- allow access to BELAC audit teams to evaluate APRAGAZ performances during conformity assessment activities on customer site;
- authorises the representative of the accreditation body to attend the performance of the body's activities;
- shall keep a record of all claims which he has knowledge about concerning compliance with certification requirements and put this record available to APRAGAZ on request. The organization will take appropriate actions in relation to these claims and imperfections found in products that have implications regarding the compliance with the certification requirements and will record all the taken actions.

The organization shall also, without delay, inform APRAGAZ of matters that may affect the capability of the Management System, to continue to fulfil the requirements of the standard used for certification. These include, for example changes relating to:

- the legal, commercial, organizational status or ownership;
- organization and management (e.g. key managerial, decision-making or technical staff);
- contact address and site;
- scope of operation under certified Management System;
- scope of products
- major changes to the Management System and processes.
- with regard to product certification: any change in processes that has a direct or indirect impact on the final conformity of products

2.1.2. Request for certification

2.1.2.1. Following a quote request, the CB/NB shall request that an official application form should be filled out and signed by an authorised representative of the organization.

This document or its annexe(s) shall clearly state :

- the scope of the desired certification
- the commitment of the organization to follow the requirements (stated in the document RPAQ 2-2, and/or more specifically to a particular legislation/directive, e.g. document RE039-02) in respect of certification and to supply all useful information for the evaluation. The number of shifts if applicable should also be specified.

2.1.2.2. The Organization must at least provide the following information before the certification procedure is continued or the audit in situ is performed

- general characteristics of the organization, like company name, juridical statute, address of the concerned site(s) and any relevant information regarding its processes and operations, as well as any applicable legal obligation.
- general information on the scope of the desired certification, like activities, human and technical resources, outsourced processes that could affect the conformity with the certification requirements, and, if applicable, functional relationships within a broader company organizational level.
- applicable standards and other normative documents
- all information on relationship with consultants in management systems
- copy of the quality manual of the organization and, if applicable, the associated documentation
- specific requirements of the module selected in the relevant directive for the product or in the applicable standard.

The information collected from the documentation attached to the application shall form the basis for the preparation of the certification mission and shall be treated confidentially. If need be, the application form will be amended on the audit day.

2.1.3. Review of the request

Before carrying out the mission, the qualified auditor of the CB/NB shall perform a review of the application and of the additional information regarding the certification in order to ensure that:

- the information regarding the applicant organization and its management system is sufficient to carry out the requested mission,
- the requirements pertaining to the certification are clearly defined, documented and have been communicated to the applicant organization,
- each misunderstanding between the CB/NB and the organization has been solved,
- APRAGAZ has the competence and ability to fulfil the mission,

- the scope of the desired certification, the geographical locations, the requested duration to conduct the audits, and any other relevant items (language, safety conditions, threat for impartiality...) are taken into account,
- records justifying the decision to conduct the mission are kept.

Following the review of the application, the auditor must either accept or reject the request for certification. If accepted, a contract/agreement (e.g. on the basis of a quotation) is drawn up by the contact person. In case of refusal, the reasons must be documented and clearly indicated to the organization. These can be summarized as a security problem (negative advice from the Department of Foreign Affairs) or a request outside of the competences of APRAGAZ.

In the case of the application for certification of companies for the maintenance of portable fire extinguishers in accordance with NBN S21-050, the signed application form is also considered as the contract between the requesting party and the certification body (APRAGAZ).

In the case of a favorable advice, the -certification process can begin and will start effectively after receipt of the signed contract.

3. CERTIFICATION OF PRODUCTS

3.1 Procedure

For products to be certified in accordance with a European Directive, a Standard with conformity marking, legal requirements, an authorised code or any other particular specification, the validated file (with plans, calculation notes, reports prepared by APRAGAZ or by the APRAGAZ laboratory) must be submitted to the Certification Bureau which will ensure that the evaluation of the file was carried out in full compliance with the rules imposed for certification. The conclusions of the evaluation of, for example, calculation notes, reports of APRAGAZ or APRAGAZ laboratory of the dossier must be validated by a second person competent in the matter before being submitted to the Certification Bureau.

The Certification Office shall assure that the file fully complies with the imposed regulations for the requested certification and shall affix its approval stamp (with date and signature of the General Manager) on the final acceptance certificate or inspection report.

3.2 Publication of the certification document

APRAGAZ provides Certification documents to Certified organizations.

The date of entry into force mentioned on the certificates should always be after the date of the certification decision.

In the case of a revision of a certificate, in addition to the date of issue, a way to distinguish the version in force against previous obsolete versions is used by means of indexes : extension index, revision index (year / country code / number - Extension Index – Revision Index)

For certification in/accordance with certain scopes/legislations, the standard procedure may be deviated from, e.g. ATEX certificates have a different certificate number/revision/indexation index: APRAGAZ YYATEXZZX X / W (YY = year of original issue of certificate / ZZZZ = 4-digit serial number, combination YY.ZZZZ is unique/optional followed by an X/optional followed by extension W of the certificate). The revision of the certificate is at the bottom right of each page.

4. CERTIFICATION OF MANAGEMENT SYSTEMS or products (services)

4.1. Execution of the Evaluation as part of the Certification of a System or products (services)

The audit process on site includes an opening meeting at the beginning of the audit and a closing meeting at the end of the audit.

The initial certification audit of a management system shall be conducted in two steps : Step 1 and Step 2.

The objectives of the Step 1 of the audit are :

- to audit the organization's management system documented information,
- to evaluate the location and the specific conditions of the client's site and to permit an exchange of information with the client's personnel in order to evaluate the level of preparation for the Step 2 of the audit,
- to review the organization's situation and comprehension of the requirements of the applicable standards, particularly in respect of the identification of the key performances and of the significant aspects, processes, objectives and functioning of the management system,
- to collect the necessary information in respect of the scope of the system to be certified, the processes/used equipment, the site(s) of the organization, the levels of established controls (particularly in multisite,) and applicable regulatory and legal requirements to be complied with,
- to review the allocation of resources for Step 2 and to agree with the client on the details of Step 2 of the audit,
- to allow the planning of the Step 2 audit in full knowledge of the facts,
- to verify if the internal audits and the management review have been planned and conducted and if the level of implementation of the management system is advanced enough for Step 2 of the audit.

Depending on the level of detailed documentation that is received, part of Step 1 of the audit may be conducted at the client's premises in order to achieve the above mentioned objectives. In this case, the organization will be informed of the activities to be audited "on site".

The results of the Step 1 of the audit will be documented in a preliminary report.

Once this report is verified, it will be communicated to the client and include the identification of any problem likely to be regarded as nonconformity during Step 2 of the audit.

Before proceeding to Step 2 of the audit, APRAGAZ shall consider the needs of the organization for solving the problems identified during Step 1 of the audit. If any significant changes which would impact the Management System occur, APRAGAZ will consider the need to repeat all or part of step 1. The organization will be informed that the results of Step 1 may lead to postponement or cancellation of step 2.

When the period of implementation of corrective actions from step 1 (date of the preliminary assessment review report) and Step 2 (first audit on site) exceeds six months APRAGAZ will consider the need to repeat all or part of step 1.

Step 2 of the audit shall be conducted on site in order to evaluate the implementation and efficiency of the client's management system. As a minimum, it shall comprise following elements :

- information and evidence relating to the conformity with all the requirements of the applicable standards,
- surveillance, measurement, reporting and review of performances in relation to the key performance objectives and targets, and final product conformity.
- meeting of applicable statutory, regulatory and contractual requirements,

- operational control of the processes,
- internal audits and management review,
- links between normative requirements, politics, performance objectives, legal requirements, operations, procedures, performance data and results/conclusions of internal audits,
- management responsibilities towards customer policies.
- If applicable: technical assessment/audit of critical production processes

4.1.1 Planning of the audit activities

Based on the review of the elements of the "Application form", the Head of the audit program management determines the skills required for the team that will conduct the audit and for the people who will be involved in the decision for the certification. The person or persons responsible for taking a decision regarding the certification are designated to ensure that the appropriate skills are available.

The audit date is agreed with the applicant organization.

4.1.2 Audit team

APRAGAZ selects and appoints the audit team (auditors and possibly experts), including the lead auditor, taking into account the collective skills necessary to achieve the objectives of the audit. If only one auditor is appointed, he will have the necessary skills to perform the tasks of a lead auditor. The members of the audit team are responsible for preparing a specific questionnaire based on applicable standards. The audit team is formally named and have the appropriate working documents.

4.1.3 Information of the organization

The specific tasks assigned to the audit team are brought to the client's knowledge. APRAGAZ provides the name of each member of the audit team to the customer, in sufficient time to enable him to make an objection to the appointment of an auditor or an expert and thus, allow the Lead auditor to reform the team to the satisfaction of the client in response to any justified objection.

When a joined audit is performed, auditing bodies shall agree which specific responsibilities will be assigned to whom, in particular the responsibilities of the appointed lead auditor of the combined team.

4.1.4. Mandate of the audit team

The audit team will be required to verify the structure, policies, processes, procedures, records and documents related to the Auditee, to confirm their compliance with the requirements of the scope of the certification and whether the procedures are actually applied and adapted to ensure the credibility of the products and / or management system and inform the client of any inconsistencies between its policy, objectives, targets and outcomes to let him make the necessary arrangements.

4.1.5 Audit plan

The audit plan shall be approved by the organization and communicated to the auditors.

An audit plan is prepared for each audit identified in the audit program and is used as a basis for an agreement on the implementation and programming of the audit. It will be prepared by the lead auditor.

The plan shall mention following items :

- objectives and scope of the audit,
- audit criteria,
- auditing methods (interviews, sampling, ...),
- identity of the persons exercising significant direct responsibilities in the frame of the objectives and scope of the audit,
- identification of the reference documents (applicable management system, module for the evaluation, quality manual of the auditee),
- identity of the audit team members,
- audit language,
- date and place of the audit,
- identification of the sectors of the factory to be audited,
- date and time planned for all major audit activities,
- planning of the meetings with the management of the auditee,
- confidentiality requirements,
- distribution list for the report and foreseen publication date.

Specific details of the audit plan shall be communicated to the auditee only during the course of the audit, if their premature diffusion can hinder the gathering of tangible evidence.

4.1.6 Objections made by the Organisation in relation to the audit plan

Any objections raised by the auditee against one of the elements of the audit plan shall be cleared by the lead auditor and by the auditee before the audit starts.

4.1.7 Work documents

The necessary documents required to facilitate the investigations of the auditors and to record and report conclusions may include :

- check lists for the evaluation of each module and/or management system,
- forms to report the observations made during the audit,
- forms to record evidence supporting the auditor's conclusions,
- a sampling plan.

Work documents containing confidential information or which involve the industrial property, shall be adequately protected by the auditing body. These documents are stored after the completion of the audit. Their use is not systematic.

4.2 Carrying out the audit

4.2.1 Opening meeting

The purpose of this meeting is to:

- introduce the members of the audit team to the direction of the auditee and description of their role,
- recall the objectives and scope of the audit,
- confirm the audit plan,
- present a summary of the methods and procedures to be used for auditing,
- confirm the official communication links between the audit team and the Auditee,
- confirm the availability to the audit team of the means and facilities it needs,
- confirm the points relating to confidentiality,
- confirm hygiene, emergency and safety procedures to the audit team,
- confirm availability, the role and identity of guides and observers,
- present the methods used to report audit findings and their classification,
- provide information on the conditions under which the audit can be terminated prematurely,
- confirm that the Lead auditor and the audit team, who represent APRAGAZ, are responsible for the auditing process and the execution of the audit plan, including activities and pathways,
- confirm the status of the findings of the review (Step 1) or of the previous audit,
- present the methods used to conduct the audit on a sample basis,
- confirm the language used during the audit,
- confirm the time and date of the closing meeting and of any interim meeting of the audit team with the management of the Auditee to keep them informed of the progress of the audit,
- give the customer the opportunity to ask questions.

4.2.2 Identification and registration of audit findings

4.2.2.1 Collecting evidences

The findings summarising compliance as well as detailing the non-compliance together with associated evidences are recorded and reported to decide, with full knowledge of the facts, on the issue of the certificate or continuance to maintain the certification.

It is also possible to identify and record suggestions for improvements.

However, the audit findings that correspond to non-compliance can not be registered as such.

If necessary, during the audit, the lead auditor may make changes to the missions of the auditors and the audit plan with the approval of the Auditee, to better achieve the objectives of the audit.

If the objectives can not be met, it is the responsibility of the Lead auditor to give the reasons to the Auditee.

4.2.2.2 Records

All audit information should be documented.

A finding of non-compliance is recorded in relation to the specific requirement of the corresponding criterion of the audit. It includes a clear statement of non-compliance and identifies in detail the objective evidence underlying the non-compliance.

Non-conformities must be discussed with the client to ensure that the evidence is true that the non-conformities are understood.

The auditor will not advance the cause of non-compliance or recommend solutions.

A non-conformity is a non-fulfillment of a requirement. This can be classified as major or minor:

A **major** nonconformity affects the capability of the Management System to achieve intended results. Nonconformities could be classified as major in the following circumstances:

- if there is a significant doubt that effective process control is in place, or that products or services will meet specified requirements,
- a number of minor nonconformities associated with the same requirement or issue could demonstrate a systemic failure and thus constitute a major nonconformity.

All the other nonconformities are considered as **minor** nonconformities, which are non conformities which does not affect the capability of the Management System to achieve intended results.

In a surveillance audit, all of the previous non-closed minor nonconformities will be upgraded to major nonconformities.

If the non-compliance corresponds to a failure to satisfy one or more requirements of the standard of the management system or if there remains significant doubt about the ability of the management system of the client to achieve the desired results, than it can be classified as a "major" non-compliance.

4.3 Closing meeting

A formal closing meeting is held with the client's management and, where appropriate, with the head(s) of those functions or processes audited.

The closing meeting, hosted by the Lead auditor, aims to present the audit findings, including recommendations for certification.

Non-conformities must be submitted in a way to be understood and the response time should be determined by mutual agreement.

The nonconformity document (RPAQ 4/2) will be provided to the organization within 5 working days following the closing meeting.

The closing meeting should include the following:

- a) notify the customer that audit evidence gathered are based on an information sample, introducing thereby an element of uncertainty,
- b) the method and time used to report, including classifying audit findings,
- c) APRAGAZ's process for handling nonconformities, including all the consequences related to the certification of the customer,
- d) the deadline by which the customer must submit an action plan for any non-compliance identified during the audit, i.e. **one month from the last day of audit**; In case of major non-conformities, the corrections will be submitted in the same time frame.
- e) APRAGAZ's post-audit activities,
- f) information on the complaints and appeal process.

The customer will have the opportunity to ask questions. Differences of opinion on the audit findings or conclusions between the audit team and the client are discussed and, to the extent possible, resolved. Differences of opinion that are not resolved will be recorded in the audit report.

The lead auditor ensures during the closing meeting that the organization has all the needed information relating to the next steps of the audit process (timing related to the corrective actions, consequences of the non compliance with the organization's obligations, ...).

4.4 Audit report

4.4.1. Preparation of the report

APRAGAZ provides an audit report for each audit conducted.

In a report, the audit team can also offer suggestions to the client but does not recommend specific solutions. The audit report is the property of APRAGAZ. The Lead auditor takes care of preparing the audit report. He is responsible for its contents. The audit report provides an accurate, clear and concise audit record in order to make an accurate decision on a certification.

The audit reports are verified by the responsible of the management of the audit program before the official report is sent to the client and to APRAGAZ's Certification Bureau.

4.4.2 Contents of the report

The audit report shall correctly reflect the spirit and the contents of the audit.

The report shall be signed and dated by the lead auditor. Depending on the case, following elements shall be part of the report:

- identification of the Certification Body (APRAGAZ);
- the name and address of the customer and the person representing the direction of the latter;
- the type of audit (eg. Initial, surveillance, or recertification or special audits);
- the audit criteria;
- the objectives of the audit;
- the scope of the audit particularly identification of organizational or functional units or processes audited and the time of the audit;
- any deviation from the audit plan and their reasons;
- any significant issues impacting on the audit programme;
- identification of the audit team leader, audit team members, and accompanying persons;
- the dates and places where the audit activities (on site or offsite, permanent or temporary sites) were conducted;
- audit findings, reference to evidence and conclusions, consistent with the requirements of the type of audit;
- significant changes, if any, that affect the Management System of the client since the last audit took place;
- any unresolved issues, if identified;
- where applicable, whether the audit is combined, joined or integrated;
- a disclaimer statement indicating that auditing is based on a sampling process of the available information;
- recommendation of the audit team;
- the audited client is effectively controlling the use of the certification and marks, if applicable;
- verification of effectiveness of taken corrective actions regarding previously identified nonconformities, if applicable;
- a statement on the conformity and the effectiveness of the management system together with a summary of the evidence relating to:
 - o the capability of the Management System to meet applicable requirements and expected outcomes;
 - o the internal audit and management review process;
- a conclusion on the appropriateness of the certification scope;
- confirmation that the audit objectives have been fulfilled.

A draft version of the audit report can be prepared before the closing meeting.

Before expedition it is appropriate that any communication between the closing meeting and the issuance of the report shall be done by the lead auditor.

When the audit report includes nonconformities:

- the organization shall analyse the cause and describe the specific correction and corrective actions taken, or planned to be taken, to eliminate detected nonconformities, within a defined time (see section 4.3. of this document);
- the lead auditor shall review the corrections, identified causes and corrective actions submitted by the organization to determine if these are acceptable. The evidence obtained to support the resolution of non conformities will be recorded by APRAGAZ in the organization's file;
- the effectiveness of the correction and corrective actions put in place by the organization will be evaluated by the lead auditor. The organization will be informed by the lead auditor of the result of the review and verification. The organization will be informed (through the document RPAQ 4-2) if an additional full audit, an additional limited audit, or document evidence (to be confirmed during future audits) will be needed to verify effective correction and corrective actions.

4.5 Distribution of the report

The Lead auditor sends the audit report to the recipients specified in the audit plan.

Any additional distribution shall be agreed upon with the auditee.

Audit reports containing confidential information or involving industrial property shall be adequately protected by the CB/NB in charge of the audit.

The audit report shall be published as soon as possible. If it cannot be issued within the foreseen time limit, the auditor shall explain the reasons for the delay to the organization and set a new publication date. The deadline for the publication of an audit report, when all the documents (action plan, corrections, ...) have been submitted to APRAGAZ, shall not exceed 60 working days.

APRAGAZ invites the Auditee to review the report within 10 days.

4.6 Records related to applicants and organizations

APRAGAZ shall keep records relating to the audit and to other certification activities for all clients, including audited, certified applicant organizations or for whom the certification has been suspended following the agreement between APRAGAZ and each customer and according to the regulatory requirements.

These records are confidential and shall be kept at least for the duration of the current cycle plus one full cycle.
Following records shall be kept:

- information relating to the request and audit reports
- certification contract
- justification of the sampling methodology
- justification of the time assigned to auditors
- verification of corrections and corrective actions
- registrations of complaints and appeals as well as all subsequent corrections and corrective actions
- deliberations and decisions of the committee, if applicable
- documentation on decisions taken in respect of certification
- certification documents (scope)
- supplementary records necessary to establish the credibility of the certification (competence of auditors and technical experts)

4.7 Final report

Subject to the acceptance by the client of the draft report prepared by APRAGAZ, this document will be considered as being the final audit report.. In case of refusal of the draft report by the client, a discussion between the Lead auditor and / or the responsible person managing the audit program and the client is expected to smooth out differences of opinion .If necessary, a revised report will be published./the refusal persists, see the paragraphs relating to "Appeals, Complaints and Appeals"of this document.

4.8. Completion of the audit

The audit is completed when the final audit report has been delivered to the organization.

5. DECISION MAKING ON SYSTEM CERTIFICATION OR PRODUCTS (SERVICES)

5.1 Principle

The decision to grant or to refuse the certification of the management system (or the product) of an organization shall be taken by the CB/NB on basis of the information gathered during the certification process and of any other relevant information.

Following elements shall form the basis for the decision of APRAGAZ :

- the final audit reports, calculation notes, reports from APRAGAZ or from the APRAGAZ laboratory, where applicable;
- nonconformities, and if applicable, the approbation by the lead auditor of the organization's correction and corrective actions;
- the closing of the manjor nonconformities;
- confirmation of the information supplied to APRAGAZ and used for the review of the request,
- a recommendation about the decision to grant or to refuse the certification, along with any reserves or observations.

Those who take the decision about the certification do not need to have participated in the audit or analysis of the file.

Before transmitting the file, the responsible person managing the audit program/product certification, must confirm to the Certification Office that:

- the information provided by the audit team is sufficient with respect to the requirements and scope of the certification,
- corrections and corrective actions relating to major and minor nonconformities have been reviewed and accepted and that their effectiveness has been verified,
- the corrections and corrective actions related to other remarks have been reviewed and accepted.

5.2. Decision process

The the person responsible for managing the audit program or the Department Head in charge of the file shall submit the final audit report to the Bureau of Certification, consisting of at least the General Manager and/or his replacement, the Quality Manager and/or his deputy and Department Head from another department than the persone who proposes the certification.

The decision to certify (or not) the management system of a manufacturer depends on the effectiveness of the corrections and corrective actions to nonconformities issued during the audit, the number of these being unlimited.

Based on its positive assessment, the auditor recommends certification (or maintenance) of the quality management system/product certification with the Bureau of Certification.

The Bureau of Certification decides on the certification decision based on the full audit report//evaluation reports and the recommendation of the auditor in charge of the audit/product certification as well as the positive review of the audit report/evaluation reports reviewer. The certification of an organization will be systematically invalidated in the following cases:

- the management system has seriously failed to comply with the certification requirements, including the efficiency requirement,
- if the corrective actions haven't been taken within the time limit,
- in case of extreme materiovigilance.

The decision to certify (or not) a product will depend on the fact that the proposed documentation fully meets the requirements imposed by the requested certification.

Incorrect references to the certification and misuse of the information pertaining the certification are considered to be « major » nonconformities.

APRAGAZ maintains the certification of a customer based on the demonstration that the customer continues to meet the standards and regulatory requirements of the management system.

This decision is taken based on a favourable conclusion formulated by the lead auditor as well as a good positive review of the audit report (performed by a qualified person), without any further review being necessary, provided that:

- each nonconformity or other situation likely to cause suspension or withdrawal of the certification shall be duly reported to the Bureau of Certification by the lead auditor in order to be reviewed by qualified people and to take a decision.
- APRAGAZ's staff in charge of the surveillance activities, including the review of the auditor's reports, is duly qualified.

The decision making process takes into consideration the following items, related to observed nonconformities, when applicable:

During an initial audit: when the implementation period of corrective actions related to any major nonconformities between stage 2 (the date of the closing meeting) and the certification decision (Bureau of Certification) exceeds six months, APRAGAZ will conduct another step 2 prior to recommending the certification. Similarly, if the auditee has not submitted its action plan for minor non-conformances within six months APRAGAZ will conduct, in whole or in part, another step 2.

During a recertification audit: for any major nonconformity, APRAGAZ sets for time limits for correction, corrective actions and their verification, the last day of the existing certification. When recertification activities are successfully completed prior to the expiry date of the existing certification, the expiry date of the new certification can be based on the expiry date of the existing certification. The issue date on a new certificate shall be on or after the recertification decision.

If APRAGAZ has not completed the recertification audit, or if APRAGAZ is unable to verify the implementation of corrections and corrective actions for any major nonconformity prior to the expiry date of the certification, then recertification shall not be recommended and the validity of the certification shall not be extended. The organization shall be informed and the consequences shall be explained. Also, if the organization has not submitted its action plan related to minor nonconformities prior to the expiry date of the certification, then recertification shall not be recommended and the validity of the certification shall not be extended. The organization shall be informed and the consequences shall be explained.

Following expiration of certification, APRAGAZ can restore certification within 6 months provided that the outstanding recertification activities are completed, otherwise at least a step 2 shall be conducted. The effective date on the certificate shall be on or after the certification decision and the expiry date shall be based on prior certification cycle.

The above requirements do not apply to product certifications. The technical dossier (evaluation report) must be compliant before a favourable opinion can be given by the Certification Bureau.

5.3 Delegation of authority

The CB/NB cannot delegate its authority to grant, maintain, extend, reduce, suspend or withdraw the certification to an external person or organization.

5.4 Conditions for granting a certification

In order to receive and maintain a certification, APRAGAZ requires that the organization:

- conforms to the APRAGAZ' requirements when making reference to its certification status in communication media such as internet, brochures or advertising, or other documents;
- does not take or permit any misleading statement regarding its certification;
- does not use or permit the use of a certification document or any part thereof in a misleading manner;
- upon withdrawal of its certification, discontinues its use of all advertising matter that contains a reference to certification;
- amends all advertising matter when the scope of certification has been reduced;
- does not allow reference to its management system certification to be used in such way as to imply that APRAGAZ certifies a product (including services) or processes;
- does not imply that the certification applies to activities and sites that are outside the scope of certification;
- does not use its certification in such a manner that would bring APRAGAZ and/or certification system into disrepute and lose public trust.
- In the case of product certification: continuously ensures that the end product complies with the certification scheme or standards framework.

6. PUBLICATION OF THE CERTIFICATION DOCUMENT

APRAGAZ shall provide the organization with a unique certification document (letter or certificate) signed by the General Manager or, in his absence, by a member of the Bureau of Certification.

The date of entry into force mentioned on the certificates is always after the date of the certification decision

7. SPECIAL AUDITS

The organization shall promptly notify the CB/NB of any modification of the management system and/or of the product as required by the applicable systems or by other normative documents.

A reappraisal shall be considered if any significant changes affect the activity and the functioning of the organization (change of ownership, changes in the management team, critical equipment or product).

The organization also commits to provide the necessary information to the APRAGAZ during the planning phase of a critical change on the certified equipment (design / device) and / or the quality management system. Furthermore, no critical changes can be implemented without APRAGAZ' approval.

The necessary information shall contain, at minimum, the following:

- a brief description of the planned changes;
- the reason as well as the origin of those planned changes / modifications;
- when a modification of the design / device, the solutions to meet to the essential safety requirements;
- the appropriate technical documentation.

7.1 Extension of the scope of the certification

Each request for modification of the scope of an existing certification shall be treated by APRAGAZ.

The CB/NB shall review the request and determine the appropriate auditing activities in order to decide if the request for change can be granted or not. This can be done during a surveillance audit.

Before a modification will happen, the application procedure should be done again via document RPAQ 2-2 and/or more specifically to a particular legislation/directive, e.g. document RE039-02 for ATEX).

7.2 Audits at very short notice

APRAGAZ may have to conduct audits of certified clients at very short notice in order to investigate complaints or following modifications or to do a follow-up of suspended clients.

In these cases, the audit conditions shall be communicated to the clients. The appointment of the audit team shall be given particular care as the client is not in a position to object.

8. SUSPENSION, WITHDRAWAL OR REDUCTION OF THE SCOPE OF THE CERTIFICATION

The Bureau of Certification shall suspend the certification of a client in the following cases:

- the certified **company and related QMS** has shown constant or serious lack of compliance with the certification requirements, including the requirement for efficiency,
- the misuse of APRAGAZ's logo or certificate,
- the client has not allowed the surveillance or renewal audits to be conducted within the requested periodicity. In case of surveillance audit, APRAGAZ exceptionnally allows a deviation of three months from the expiration date of certificates,
- the client is voluntarily requesting a temporary suspension,
- the client does not meet the payment terms set out in the terms and conditions,
- extreme materiovigilance.

The certification of a suspended system **and/or non conform product** is provisionally invalidated.

In this case APRAGAZ and clients shall take all the necessary steps to assure that all promotion of the certification is suspended. APRAGAZ shall hold this information accessible to the public and shall take any other necessary measure.

If applicable, APRAGAZ has the obligation to notify the competent authority of suspended, denied, falsified, revalidated or cancelled certificates. This notification is made as soon as possible.

If the necessary corrective actions (**in case of quality management systems**) related to the major nonconformities have not been conducted and verified within a maximum time limit of 6 months, APRAGAZ will suspend or reduce the scope of the organization's certification. Similarly, if the auditee has not submitted its action plan for minor non-conformances within six months APRAGAZ will suspend or reduce the scope of the organization's certification. APRAGAZ

If APRAGAZ is unable to cancel the suspension of the organization's certification within a time limit of 6 months, the concerned certificate will be either withdrawn or its scope reduced by APRAGAZ.

APRAGAZ's Bureau of Certification will withdraw the certification of a client :

- when incorrect references to the certification are noticed;
- when misuse of information pertaining the certification is noticed,
- when the customer voluntarily request the withdrawal,
- when the scope of application of the client no longer corresponds to the area of competence of APRAGAZ,
- when the corrective actions have not been taken within the time limit,
- in case of extreme materiovigilance.

APRAGAZ must reduce the scope of a client's management system when it has consistently or seriously breached to comply with the certification requirements for some items of the system.

In the case of management systems within the framework of directives (e.g. PED modules D, D1, E, E1, H, H1, TPED ADR §1.8.7.7, MED module D, ATEX modules D, E, ...), linked to any type and/or design certifications (e.g. PED modules B 'design type', B 'product type', ... MED Module B, ATEX Module B, TPED ADR §1.8.7.2, ...), the following applies to all valid certificates: in addition to the obligation of the organisation (the applicant, the manufacturer, the authorised representative, the importer, the distributor, ...) to inform the certification body and/or notified body of any critical changes relating to the quality system/product (requirements)/processes, the certification body and/or notified body itself shall also notify the applicant or certified organisation of any critical changes to the technical requirements of the (new/amended) applicable versions of the standards and of any change to the legal requirements set out in amendments (e.g. MED Directive amendment/regulation, PED Official Journal of Standards, etc.) or legal requirements (e.g. ADR §6 Standard References) that may affect the existing certification. In this context, an analysis of the differences between the various versions of the standards and the legal requirements may lead, for example, to the need to carry out additional tests or to update a technical file, in order to maintain a product certification (and the associated quality management system). All of this is reported and justified on the basis of, for example, an email, a verbal communication, a letter of approval, etc. If necessary, an existing certification must be evaluated or revised. In doing so, a certificate may be temporarily suspended (pending further validation, should the new requirements exceed the previous ones), maintained (if the new requirements do not exceed the previous ones and/or if no administrative updates to certification documents are required), permanently suspended/withdrawn (if the organisation fails to take the necessary measures to comply with the new requirements, or if the organisation decides not to retain the certification), or reissued (if a necessary positive re-evaluation has been carried out and additional/new administrative obligations relating to certificates need to be fulfilled)

9. SURVEILLANCE ACTIVITIES

The surveillance activities of APRAGAZ shall allow a periodical monitoring of the representative fields and functions of the management system. Modifications of the certified client's management system shall be taken into account.

Surveillance activities include audits on site to verify the conformity of the client's management system with the requirements of the standards for certification.

Other surveillance activities can include :

- investigations by APRAGAZ on items relating to the certification,
- review of the client's declarations about his operations (advertisement, website),
- requests to clients to supply documents and records (see note),
- other means of surveillance of the performance of certified clients.

Surveillance audits shall be conducted at least once in a calendar year, except in recertification years, whereas additionally it is required to conduct the audit prior to the expiry date of the current certification (in absence of 'force majeure'). The date of the first surveillance audit following the initial certification (SA1) shall not be more than 12 months from the certification decision.

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The programme of the surveillance audit shall include at least the following items:

- internal audits and management review,
- follow-up of corrective actions for nonconformities identified during the previous audit,
- complaints handling,
- efficiency of the management system to meet the objectives of the certified client,
- progress status of the planned activities in respect of continuous improvement,
- continuous operational control,
- review of each modification,
- use of markings and/or any other references to the certification,
- handling complaints.

Moreover, the surveillance can include unannounced visits to the organization when deemed necessary by the CB/NB or when such visits are defined by specific modules for the evaluation of conformity (e.g. module H1 of the PED).

As part of the activities related to the PED Directive, the NB shall normally make at least two additional visits during the first year of fabrication, more specifically for new manufacturers (in the specific field of Pressure Equipment). For customers/manufacturers with experience of manufacturing, in the field of application (or e.g. already keeping an equivalent certification for a parallel EU requirement/directive by Apragaz), these visits are not required unless otherwise specified. And as part of the activities related to the TPED Directive, the NB will make at least 1 audit every 6 months.

Note: access to the registrations of complaints against organizations (suspension – withdrawal)

APRAGAZ demands that each client whose management system has been certified by APRAGAZ shall furnish, upon request, the registrations of all complaints and corrective actions taken following the requirements of the management system standards or other normative documents.

Should the analysis of a complaint or any other information reveal that the certified organization no longer fulfils the certification requirements, a revaluation shall be considered.

10. RENEWAL OF THE CERTIFICATION

The recertification audit will be planned and conducted to evaluate the upkeep of the conformity to all requirements specified in the certification standards, overall efficiency of the Management System and its applicability with respect of the scope of certification. This audit shall be planned and conducted in due time to enable for timely renewal before the certificate expiry date.

Important modifications in the client's structure and management system, as well as the legal context, shall be taken into account. In such a case, a Step1 audit can be considered.

During the renewal audit, the performance of the management system over the certification period as well as the previous surveillance audit reports shall be reviewed.

If a certification was granted for several sites or for different management systems, the audit planning shall assure that the coverage of the site audit is sufficient to appreciate the certification.

The audit for the renewal of the certification shall include an on site audit covering following items:

- overall efficiency of the system, considering the internal and external changes, its pertinence and its permanent applicability for the considered scope,
- evidence of the commitment to maintain the efficiency and the improvement of the system in order to increase the overall performance,
- verification that the operations within the certified system contribute to reach the objectives set up by the organization.

Should nonconformities or absence of evidence of conformity be identified during this phase of the audit, then APRAGAZ shall assign deadlines for the implementation of corrections and corrective actions before the certification expires.

10.1 Information for granting a certification renewal

The Bureau of Certification takes the decision to renew the certification based on the results of the audit and the results of the review of the system corresponding to the certification period and the complaints received from the users of the certification.

11. APPEALS

APRAGAZ is responsible for all decisions taken at all levels in the appeal treatment process.

No discriminating action shall be taken against the appellant.

The appeal treatment process comprises the following methods and elements :

- receipt, validation, examination of the appeal and decision making in respect of the actions to be taken, taking into account the results of similar previous appeals,
- follow-up and registration of appeals, including corrective actions undertaken,
- verification that the appropriate corrective actions have been taken.

APRAGAZ shall acknowledge receipt of each and any appeal, provide the appellant with the progress reports and results and advise the appellant of the end of the appeal treatment process.

APRAGAZ is responsible for gathering, and verifying all necessary information to validate the appeal.

The decision notified to the appellant shall not be taken by persons involved in the matter of the appeal.

12. COMPLAINTS

Formal claims must be submitted to Apragaz in writing. A claim received by telephone will be recorded but must be confirmed in writing by the client. The complainant can submit the complaint via info@apragaz.com

Claims must include an accurate description of the situation, objective evidence of each element or aspect of the claim, and the name and contact information of the client. Apragaz will not react to anonymous complaints

Upon receipt of a complaint, APRAGAZ shall examine whether the complaint is linked to certification activities. If this is the case, the complaint shall be treated. If the complaint concerns a certified client, it shall be examined from the standpoint of the efficiency of the management system and/or of the certified product.

Complaints shall be treated strictly confidentially.

Each complaint relating to a client certified by APRAGAZ shall be notified to the concerned client.

The complaint treatment process comprises the following method and elements :

- receipt, validation, examination of the complaint and decision making in respect of the actions to be taken for treatment,
- follow-up and registration of complaints, including the appropriate corrective actions undertaken,
- verification that the appropriate corrective actions have been taken.

APRAGAZ shall acknowledge receipt of each and any complaint, provide the complainant with the progress reports and results and advise the complainant of the end of the complaint treatment process.

The decision notified to the complainant shall not be taken by persons involved in the matter of the complaint.

APRAGAZ shall determine with the client and the complainant if the matter of the complaint should be made public and, if this is the case, to what extent.

13. ABUSIVE USE OF THE APRAGAZ LOGO OR CERTIFICATES

Abuses can be of different nature, for example :

- affixing of markings on customer's reports of laboratory testing, calibration or control
- implicit or explicit extension of the certificate to non-certified equipment,
- use of expired certificates,
- use of certificates which were issued before significant changes in the equipment occurred,
- usurpation of a logo or of a certificate by a non-certified installer,
- actions of a certificate holder which can impair the reputation of APRAGAZ,
- deceptive prints on the real part of the certificate or on the certificate itself,
- Use on a product or a product packaging , visible to the consumer, or any other way that could be understood as an indication of product conformity.

As soon as such an abuse is detected or reported, APRAGAZ shall investigate to verify the facts. For this investigation APRAGAZ can request the opinion of any person or expert considered useful. This procedure shall be treated confidentially.

In case of a positive conclusion, APRAGAZ shall immediately notify the author of the abuse and request an explanation. If the explanation demonstrates he is in good faith and that he wishes to cooperate, APRAGAZ shall, together with him, consider the appropriate corrective measures to be taken within a defined time limit. APRAGAZ shall verify that these corrective measures are well implemented.

However, if the contacts with the author of the abuse reveal he is of bad faith or his latent or apparent refusal to take sufficient corrective measures within a reasonable time limit, APRAGAZ shall propose to the Certification Office the suspension or withdrawal of the certificate. If during this period of suspension or after the withdrawal of the certificate, the offender still uses the logo and / or the certificate, APRAGAZ reserves the right to make this violation public, to advise the competent authorities and to possibly take legal steps.

In any case, independently from the conclusion of the investigation (except in case of dismissal of charge), APRAGAZ shall prepare a documented report demonstrating the nature and the extent of the abuse and including its recommendations. This report shall be sent to the Certification Supervision Committee for decision. The decisions of this committee will then be communicated to the author of the abuse.

14. REFERENCE TO BELAC ACCREDITATION BY USERS OF ACCREDITED SERVICES

BELAC encourages clients of accredited bodies, i.e. users of accredited services to inform that they rely on bodies whose technical competence has been formally recognised.

Respect of specific provisions is nevertheless necessary to avoid any abuse and misunderstanding.

Accredited bodies are responsible to keep their clients informed of the way to use the BELAC symbol and reference to accreditation and to report any kind of abuse to the BELAC secretariat.

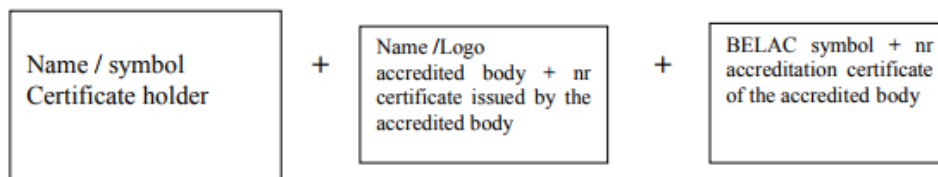
Holders of certificates issued by certification bodies and by environmental verifiers.

Note: in the below mentioned text, the provisions related to the use of the BELAC symbol are also valid in the case of reference to accreditation through an appropriate wording.

General provisions

The BELAC symbol may appear on documentation for information and advertising purposes used by the holder of a certificate issued by an accredited organisation, provided that such use is directly relevant to the activity covered by the certificate.

The BELAC symbol may only be used by the holder of a certificate issued by an accredited organisation if - the name and/or logo of the certificate holder concerned also appear(s) on the document, - it is used in conjunction with the name and/or logo of the accredited organisation itself as well as its certificate number, - the accreditation number of the concerned organisation appears under the accreditation symbol; - the size of the BELAC symbol is smaller than the size of the symbol of the certificate holder company and of the accredited organisation itself.



The BELAC symbol may not appear on - any documents under the letterhead of the holder of a certificate issued by an accredited organisation that is used for general purposes, - on documents related to other types of activities than those covered by accreditation.

The use of the symbol or wording on reports and certificates is the only guarantee for the client that the report or certificate is covered by accreditation. Only if the body can demonstrate the existence of an explicit written agreement from the client to carry out the activity outside the accreditation conditions can the activity be deemed not to be covered by accreditation.

However, this latter possibility cannot be applied in the following cases:

- the reports/certificates contain results of activities in a sector for which accreditation is imposed by regulation or where contractual provisions are linked to it (e.g. a requirement of a conformity assessment scheme);
- the results must be displayed or transmitted to third parties;
- in the case of certification of management systems, products or people.

Holders of certificates issued by accredited certification bodies for management systems and by environmental verifiers

When a certification body certifies a laboratory's or inspection body's management system, the body shall not enable the laboratory or the inspection body to use its mark on testing/inspection reports or calibration certificates as such reports/certificates issued by the laboratory or the inspection body are considered as products in this context.

Reference to accreditation is not allowed on products, packaging, reports, certificates and other such documents if the certificate that has been issued only covers the management system of the certificate holder.

Holders of certificates issued by accredited product certification bodies

Use of the accreditation symbol on products and packages is not allowed.

Reference to accreditation of the certification body on accompanying documents may however be used in case the production is covered by an accredited product certification scheme.

Reference to accreditation by users of the services of accredited laboratories and inspection bodies.

Clients of accredited laboratories, inspection bodies, validation or verification bodies are entitled to reproduce calibration/test/inspection/validation/verification reports and certificates, including the BELAC symbol or a reference to accreditation.

The report/certificate shall in principle be reproduced in full; partial reproduction will be subject to formal approval of the issuing body.

15. DOCUMENTATION

On request ^(*), APRAGAZ shall document, update at regular intervals and make available (through publications, electronic supports or other means) :

- information on its governing authority,
- documented declaration of its system of certification, including the rules and procedures for the granting, maintenance, extension, renewal, reduction, suspension and withdrawal of its certificates,
- information about the auditing and certification process,
- description of the CB/NB's financing sources and general information on the fees charged to the applicants,
- description of the rights and duties of applicants, including the requirements, restrictions or limitations concerning the use of the logo of the CB/NB and other ways to refer to the obtained certification,
- the name, related normative document, scope and geographical location (city and country) for a specific certified client,
- type of management systems and geographical areas forming its scope of actions.

^(*) (only for general information requested by neutral organizations)