

 ERGOCERT HELLAS S.A. AUDITS·INSPECTIONS·CERTIFICATIONS	GENERAL CERTIFICATION REGULATION (MANAGEMENT SYSTEMS)		
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GENERAL CERTIFICATION REGULATION FOR MANAGEMENT SYSTEMS

1. THE CERTIFICATION BODY

- 1.1. ERGOCERT HELLAS S.A. (hereinafter referred to as the CB) is a Certification Body that operates in accordance with the requirements defined by the ISO 17021 Standard. As an independent CB, it provides Organizations with assessment and certification services for the conformity of their Management Systems in accordance with the respective provisions of the reference standards.
- 1.2. ERGOCERT HELLAS S.A. does not offer consulting services, either directly or through subcontractors, to support Organizations that desing Management Systems.
- 1.3. The legal nature of the CB is described in its Statute.
- 1.4. The CB's activities are financed by the Certification fees.

2. REGULATION PURPOSE

- 2.1. The present Certification Regulation describes the evaluation and certification procedures of Management Systems in accordance with the respective provisions of the reference standards, the obligations of the CB, as well as the rights and obligations of the contracted organizations.
- 2.2. Compliance with this Regulation is supervised by the Impartiality Committee appointed by the CB's Board of Directors.
- 2.3. The CB's certificate is the document that certifies that the Organization implements a Management System that complies with the respective reference standard.

3. GENERAL CONDITIONS

- 3.1. The certification service is available to all organizations that request it, regardless of their legal nature, as long as they have and implement a Management System that complies with the applicable requirements of the reference standard and accept the rules of this General Certification Regulation.
- 3.2. The Organization undertakes to comply with and maintain the products/services in accordance with applicable legal and regulatory requirements (such as directives, laws and regulations). It is the CB's responsibility to verify on a sampling basis that the Organization is aware of and capable of managing all mandatory requirements associated with the Management System being certified.
- 3.3. The certification requirements may change if there are modifications to the reference standards by Regulatory Authorities and Accreditation Bodies and changes to the conditions for issuing certificates by ERGOCERT HELLAS S.A.
- 3.4. In case of modifications to the reference standards, the CB reserves the right to verify the compliance of the Organization's Management System with the new provisions of the reference standard.
- 3.5. The CB maintains a list of the certified Organizations that is published on the website: www.ergocert.gr. The CB shall make public the data also in case of suspension, revocation and waiver of the certification, if requested.

4. MANAGEMENT SYSTEM CERTIFICATION PROCEDURE

4.1 Application for Certification – Offer – Acceptance of the Offer	
4.1.1	Organizations request a Certification Offer from the CB by completing an application and attaching the required documentation. The application and the information material (Certification Regulations) can be obtained either from the CB or through its website (www.ergocert.gr).
4.1.2	The Agency examines the application to verify the completeness and accuracy of the data and prepares the certification offer.
4.1.3	The certification activities do not start, if the acceptance of the Organization and the cooperation contract do not exist. By accepting an offer, the provisions of these General Regulations are also accepted.

4.2 Audit Scheduling	
4.2.1	After accepting an Offer, the CB agrees with the Organization on the period for conducting the audit. The signing of the contract does not constitute either a direct or an indirect certification obligation.
4.2.2	The CB appoints the Audit Team and informs the Organization. One member of the Team acts as the Lead Auditor. The Team for small and medium-sized Organizations can also consist of one member only.

4.3 Audit – Initial Certification Assessment
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4.3.1	<p>The initial certification assessment is conducting in two stages:</p> <p><u>Stage 1</u>: assessment of the documentation and the level of preparation of the Organization to carry out the stage 2 audit (for small Organizations it may not be carried out at the Organization's premises).</p> <p>The time between stage 1 and 2 cannot exceed one year. If this happens, stage 1 is repeated.</p> <p><u>Stage 2</u>: evaluation of the implementation and effectiveness of the Organization's Management System. It is the verification of compliance with the requirements of the reference standard and of all processes and activities that are the subject of the certification.</p>
4.3.2	<p>Upon completion of the audit, the Audit Team meets for the conclusion and processes the data collected. During the final meeting in the presence of the Organization's top management, the Audit Team presents the result of the audit, identifying any deviations. The Organization has an opportunity to discuss the findings with the Audit Team and make a position.</p>
4.3.3	<p>The report is prepared by the Lead Auditor and delivered to the Organization.</p>

4.4 Certification Decision – Issuance of Certificate	
4.4.1	<p>The report and documentation related to the audits of the Management System are submitted to the CB's Technical Committee, which is responsible for issuing the Certificate.</p>
4.4.2	<p>As long as there are no discrepancies, the decision to issue the certificate is positive. In case of deviations, the Certificate is issued only after verification of compliance with the requirements of the standard and correction of the deviations.</p>
4.4.3	<p>The CB issues the Certificate after the payment of the amount due by the Organization and also transmits all information about its status to national and international Accreditation Organizations that cooperate with the CB, and to all interested parties who request the same information.</p>

4.5 Surveillance Audits	
4.5.1	<p>Surveillance audits take place annually. Surveillance audits are required to ensure that the Management System continues to be implemented and effective. Based on the result of the audit, the Technical Committee may request further audit in the surveillance with the aim of immediately verifying the critical points recorded.</p>

4.6 Emergency Audits	
4.6.1	<p>Surveillance audits take place annually. Surveillance audits are required to ensure that the Management System continues to be implemented and effective. Based on the result of the audit, the Technical Committee may request further audit in the annual surveillance with the aim of immediately verifying the critical points recorded.</p>

5. VALIDITY OF MANAGEMENT SYSTEM CERTIFICATION

5.1 The Certification is monitored periodically, once a year and includes a full review of the Management System every three years. The certificate issued has a three-year expiry date. After the certificate expires, it is no longer valid.

6. TRANSFER OF CERTIFICATION

- 6.1 In the event of a request to transfer Management System certification from an Organization having a valid certificate issued by another valid International Accreditation Forum (IAF) CB, the expected route is as follows
- › Acceptance of the offer to transfer certification
 - › Examination of the following: transfer reasons, previous CB audit reports, complaints, Organization status (licenses, procedures, etc.), System documentation, scope - validity - certificate status
 - › Submission of information to the Technical Committee for approval of the transfer

7. RIGHTS AND OBLIGATIONS OF CERTIFIED ORGANIZATIONS

- 7.1 After receiving the Certification, the Organization may use the certificates and logos for professional purposes, for promotion purposes and proof of compliance with the standards, subject to the correct reference of the field and the limitations defined in accordance with KAN02 " Marks and Logos Proper Use Regulation".
- 7.2 The Organization may request a reasoned change of the certification or surveillance audit date.
- 7.3 The Organization may request a change of member of the audit team, if and as long as it can document the reasons, within a period of five days from the notification of the composition of the inspection team.
- 7.4 The certificate is granted to the Organization on the basis of the standard only for the certified activities and functional units referred to in it. The Organization wishing to extend the scope must submit a new application for the extension process.



- 7.5 The present representative of the Organization may, during the audit, record his reservations on the findings and/or observations of the audit team.
- 7.6 The Organization may take cognizance of the documentation gathered by the Lead Auditor during the audit.
- 7.7 The Organization complies with the certification process by providing, prior to the audit, any necessary information that will be requested from the CB related to its Management System to be certified (manual, procedures, forms, files, instructions, etc.).
- 7.8 The Organization appoints a Management Representative as a point of contact and provides, during the audit, to the auditors any assistance and access to records, documents and facilities, if requested.
- 7.9 In order to carry out a certification audit at the Organization's facilities, it is necessary:
- › The completion of a full cycle of internal audit of all requirements of the standard to be implemented.
 - › The documentation of at least one Management Review.
- 7.10 After the award of the certificate, the Organization is obliged to immediately inform the CB in writing of changes that may affect the brand, legal form or other essential elements of its existence and identity. Depending on the extent of these changes, the CB reserves the right to request further documentation or carry out further on-site audits in order to verify that the changes do not affect the compliance of the certified Management System.
- 7.11 The Organization must immediately notify the CB of any ongoing legal and/or administrative process related to the issue of certification, within the limits set by law.
- 7.12 The Organization shall not in any way falsify the scope of the certification and the Quality certificate. In the event that non-compliance with this condition is found, the CB reserves the right to revoke the certificate.
- 7.13 The Organization agrees after its successful certification to be registered in the BS's lists of certified organizations.
- 7.14 The Organization shall record all customer claims and the relevant corrective actions taken and make them available to the CB and its auditors.
- 7.15 Management System certification by the CB does not exempt the Organization from the legal obligations arising from the supply of products, processes and services nor from the Organization's contractual obligations with its customer.
- 7.16 The Organization is committed to the completeness and truth of the documents and information made available to the CB's auditors.

8. OBLIGATIONS OF ERGOCERT HELLAS S.A.

- 8.1 The CB will notify the Organization of any complaints it may receive regarding the quality of its products / services and procedures.
- 8.2 The CB has and activates a documented Complaint Handling Procedure against it, if this is requested by an Organization registered in the list of certified organizations.
- 8.3 The CB is obliged to change the selected auditors to carry out an inspection, if the Contracting Party makes a documented request for the above change.
- 8.4 The Organization must inform the certified organizations by it about the significant changes in the certification requirements..
- 8.5 The CB informs its customer in writing when it is required by law to publish confidential information to third parties about the customer.
- 8.6 When the CB issues a Management System certificate, it assigns the right to use it to the customer exclusively for the object described in it.

9. TERMINATION OR EXPIRATION OF CERTIFICATION

- 9.1 Termination or expiration of certification may occur in the following cases:
- a) After the time specified in the Cooperation Agreement, and if the Organization does not request its renewal.
 - b) In case of disagreement with the modifications of the financial agreement defined by the CB.
 - c) In case of interruption / change of the activity or transfer of the Organization or branch, to which the CB's certificate refers.
 - d) Non-fulfillment of financial obligations by the Organization.
 - e) Non-compliance with the General Regulation by the Organization.
 - f) Improper use of certificates, marks and identification logos that are not corrected in a manner deemed satisfactory by the CB.
 - g) Non-compliance with the principles of the standard or failure to complete the required corrective actions by the Organization within the predetermined time period.
 - h) Upon termination of the Cooperation Agreement by the Organization. In this case, the company must inform the CB in writing,

while committing to comply with the terms of the Contract, which it has signed regarding its financial obligations towards the CB.

9.2 In case the Organization requests the termination of the certification, it is necessary to send a written request for the termination of the cooperation to the CB.

9.3 The Organization is informed of the decision to suspend the certification through a letter from the Management Systems Certification Director, which states the reasons and the necessary actions for the suspension of certification. Termination takes effect from the date of sending the termination decision letter.

10. SUSPENSION & REVOCATION OF CERTIFICATION

10.1 The Organization has the right to request the modification or suspension/revocation of the certificate by submitting a request to the CB. Suspension of a certificate is the temporary ban on the use of the certificate, while revocation is its withdrawal and deletion of the Organization from the CB's registers of certified organizations.

10.2 The Organization's Management System Certification may be revoked and consequently canceled and withdrawn as a result:

- Cases a to f referred in section 9,
- Violation of laws or legally binding regulations regarding the products or processes that are the subject of the certification
- Bankruptcy, receivership, dissolution, liquidation of the Organization, which generally became insolvent, suspension of payments, suspension of operations in whole or in part.
- Changing the Organization's activity.

10.3 The decision to revoke the Certification of the Management System is notified by the CB through a certified letter.

10.4 After revocation, the Organization takes over:

- The return or destruction of the CB's original certificate.
- Not using copies of certificates.
- The removal of all references and logos of the CB from documents and websites of the Organization.

10.5 The revocation of the Certification does not give the Organization the right to request the amounts already paid to the CB.

11. COMPLAINTS

11.1 Anyone can submit complaints about any management of the CB or its certified Organizations, which may be considered not in accordance with the reporting standards.

11.2 Such complaints must be submitted in writing. Any telephone communication should be attributed in writing by the complainant.

11.3 The CB undertakes to inform the complainant about the outcome of the complaint. Anonymous complaints are not taken into account by the CB.

12. APPEALS

12.1 Any Organization may submit an appeal against any decision of the CB. The appeal must be sent written to the CB within 30 days of the notification of this decision. The CB will provide written confirmation of receipt of this appeal.

12.2 The CB submits the appeal in question to a special committee, which takes a reasoned decision. The final decision is issued within 30 days from the submission of the appeal. The person submitting the appeal is informed in writing with a copy of the Commission's decision within 2 working days of its issuance.

12.3 After the rejection of the appeal, the relevant decision becomes final.

12.4 Upon approval of the appeal, the relevant decision is annulled or revoked.

12.5 Costs shall be paid by the losing party.

13. CONFIDENTIALITY

13.1 All records (documentation, letters and communications) related to the Management System Certification activities of the applicant Organization are considered confidential and are only available in accordance with the provisions of the agreed internal Procedure.

- 13.2 All partners of the CB who receive, during the performance of their work, the above mentioned files are obliged not to disclose them.
- 13.3 Access to and consultation of documents related to certification is permitted only to functions of the CB involved in certification, the Organization and the Accreditation Bodies. In the event that information of the Organization must be disclosed in the context of legal obligations, the CB informs the Organization.
- 13.4 The CB does not disclose information about certified Organizations without their permission.
- 13.5 The Entity operates in compliance with the provisions of European Regulation 679/2016 (GDPR).

14. OBJECTIVITY and IMPARTIALITY

- 14.1 The CB is not involved in the design and promotion of Management Systems and does not provide any kind of general or specialized consulting services on Management Systems, individually or in combination with other services or in the context of other services to any kind of natural or legal person. The CB's staff and external partners are free from any commercial, financial or other type of pressure that could influence their judgement. The CB unequivocally declares that its task is to conduct impartial, independent and objective certification.

15. FEES

- 15.1 The certification fees are disclosed to interested parties through the tenders and are paid to the CB in accordance with the instructions provided therein.
- 15.2 The timely fulfillment of the Organization's financial obligations to the CB is a basic condition for granting and maintaining the certification, regardless of the outcome of the evaluation/audit and the granting or not of the requested certification.

16. DISPUTES

- 16.1 The CB reserves the right to appeal to the civil courts in order to defend its rights, as well as to request criminal prosecution threatened through defamation, by any means..
- 16.2 The only competent courts for disputes regarding the application or interpretation of these Regulations are the Courts of Thessaloniki.