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## 1 INTRODUCTION

PCC-CERT Sp. z o. o. Sp. k.. (hereinafter PCC) is a certification body providing services in the scope of certification of management systems in the territory of Poland, Italy, Croatia, Bosnia and Herzegovina, Serbia and Macedonia.

Under the accreditation granted by Polish Center for Accreditation the management systems are certified according to the following standards:

- PN-N-18001:2004 "Occupational health and safety management systems – Requirements".
- BS OHSAS 18001:2007 „Occupational health and safety management systems – Requirements”.
- PN-EN ISO 9001:2015-10 „Quality management systems – Requirements”,
- PN-EN ISO 14001:2015-09 „Environmental management systems – Requirements and application guidelines”.
- PN-EN ISO 50001:2012 „Energy management systems-Requirements with guidance for use”

After receiving a positive PCA evaluation result:

- PN-ISO 45001:2018-06 „Occupational health and safety management system - requirements and application guidelines”

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## 2 DEFINITIONS, ADDITIONAL INFORMATION

The basic definitions and terms applied in the bulletin are described in the following documents:

- PN-EN ISO/IEC 17021-1:2015-09 "Conformity assessment. Requirements for bodies providing audit and certification of management systems. Part 1: Requirements"
- PN-EN ISO 9000:2015-10 "Quality management systems - Fundamentals and terminology".
- PN-EN ISO/IEC 17000:2006 „Conformity assessment – Terminology and general rules”.
- PN-ISO 50003:2017-01 „Energy management systems – Requirements for bodies providing audit and certification of energy management systems”.
- PN-EN ISO 50001:2012 „Energy management systems - Requirements with guidance for use”
- PN-ISO 45001:2018-06 „Occupational health and safety management system - requirements and application guidelines”

Furthermore, the following terms are used in this document:

- a) PCC- PCC-CERT Sp. z o. o. Sp. k.
- b) Organization – certified client.
- c) Certification audit – an audit conducted by auditing body independent of the client and stakeholders that are interested in certification in order to certificate management system of the client.
- d) Additional audit (full or limited) – audit conducted to verify the efficiency of correction and corrective actions performed as a result of detected non-conformities.
- e) Supervision audit – an audit conducted in an organization during the period of certification validity to gain trust that the organization still meets the requirements between audits for re-certification.
- f) Re-certification audit – an audit conducted in an organization to grant re-certification (certification renewal).



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- g) Special audit – an audit conducted to extend granted certification, audit manuals, inspect major changes in an organization or within further procedure with suspended certification.
- h) Combined audit – client is audited in reference to requirements of two or more standards regarding management systems, conducted at the same time.
- i) Integrated audit - client has integrated the implementation of the requirements of two or more management system standards into one management system and is audited in relation to more than one standard.
- j) Major non-conformity – a non-conformity that affects the ability of the management system to achieve the intended results.
- k) Minor non-conformity – a non-conformity that doesn't affect the ability of the management system to achieve the intended results.
- l) Appeal – applying for reconsideration of the issue which is the subject matter of the appeal, regarding the PCC decision connected with an organization's management system.
- m) Complaint – a complaint brought against operations of PCC or an organization supervised by PCC connected with granted certification of management system.
- n) Certification Transfer is the PCC recognition of the existing and valid management system certificate granted by another accredited certification body to grant its own certification.

### **3 REQUIREMENTS AND INFORMATION FOR POTENTIAL CLIENTS**

An organization applying for certification undertakes:

- to meet the certification requirements,
- to perform all activities necessary for audits to be conducted, including the activities enabling the documentation analysis, providing access to all processes, areas, documents, records and staff for the purpose of initial certification, supervisions, re-certification and resolution of complaints,
- to provide conditions for the operations of observers present during an audit (e.g. PCA's auditors or auditors being instructed).

Certification can be conducted on an organization management system in regards of which:

- there exists objective evidence documenting operation of the management system,
- there were internal audits of all areas of the management system,
- the management system was audited by the organization's management,
- there exists enough evidence to prove that the findings regarding internal audits and audits of the management system were implemented, are effective and will be sustained.

Certification within accreditation is conducted on the basis of the following standards:

- PN-EN ISO 9001:2015-10 „Quality management systems – Requirements” - after positive PCA assessment.
- PN-EN ISO 14001:2015-09 „Environmental management systems – Requirements and guidelines for application” – - after positive PCA assessment.
- PN-N-18001:2004 “Work safety and hygiene management systems – Requirements”.
- BS OHSAS 18001:2007 “Work safety and hygiene management systems – Requirements”.
- PN-EN ISO 50001:2018-09 „Energy management systems - Requirements with guidance for use”
- PN-ISO 45001:2018-06 „Occupational health and safety management system - requirements and application guidelines” (after receiving accreditation)
- DACS-01 „Accreditation of management systems certification bodies” (available at [www.pca.gov.pl](http://www.pca.gov.pl)),
- DA-02 „Rules for using PCA accreditation marks” (available at [www.pca.gov.pl](http://www.pca.gov.pl)),
- DA 06 “Policy of Polish Center for Accreditation on assurance of measurement cohesion” (available at [www.pca.gov.pl](http://www.pca.gov.pl)),
- DA-07 „Policy on cross border accreditation”, (available at [www.pca.gov.pl](http://www.pca.gov.pl)),
- PN-EN ISO/IEC 17021-1:2015-09 “Conformity assessment. Requirements for bodies providing audit and certification of management systems. Part 1: Requirements”.
- PN-ISO 50003:2017-01 „Energy management systems – Requirements for bodies providing audit and certification of energy management systems”
- PN-ISO/IEC 17021-2:2019-03-Conformity assessment. Requirements for entities conducting audits and certification of management systems. Part 2: Competency requirements for auditing and certification of environmental management systems



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- PN-ISO/IEC 17021-2:2019-03 - Conformity assessment. Requirements for entities conducting audits and certification of management systems. Part 3: Competency requirements for auditing and certification of quality management systems
- ISO/IEC TS 17021-10:2018 - Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 10: Competence requirements for auditing and certification of occupational health and safety management systems,
- EA-7/04 “Legal Compliance as a part of Accredited ISO 14001:2004 Certification” (available at [www.pca.gov.pl](http://www.pca.gov.pl)).
- IAF MD 1 “IAF Mandatory Document for the Certification of Multiple Sites Based on Sampling” (available at [www.pca.gov.pl](http://www.pca.gov.pl)).
- IAF MD 2 “IAF Mandatory Document for the Transfer of Accredited Certification of Management Systems” (available at [www.pca.gov.pl](http://www.pca.gov.pl)).
- IAF MD 5 “IAF Mandatory Document for Duration the QMS and EMS Audits” (available at [www.pca.gov.pl](http://www.pca.gov.pl)).
- IAF MD 11 “IAF Mandatory Document for Application of ISO / IEC 17021 in integrated management systems audits” (available at [www.pca.gov.pl](http://www.pca.gov.pl)).
- IAF MD 22 Mandatory document IAF. Application of ISO / IEC 17021-1 in the certification of occupational safety and health management systems
- IAF MD 23 Control of Entities Operating on Behalf of Accredited Management Systems Certification Bodies
- IAF ML 2:2011 „General Principles on the use of the IAF MLA Mark” (available at [www.pca.gov.pl](http://www.pca.gov.pl)).

The objectives of the audit:

- To determine compliance of client management system, or part of it with audit criteria,
- Evaluation of the management system ability to ensure that the client organization complies with the adequate law rules regulations and agreements;
- Evaluate the effectiveness of the management system to ensure that the client organization can rationally expect achieving its specified objectives,
- To identify areas of potential improvement of the management system.

## **4 CERTIFICATION AND SUPERVISION OVER MANAGEMENT SYSTEMS**

### **4.1 Application for certification**

An “Application for calculation of certification costs” with bulletin on the “Rules of certification and supervision over organization management systems” as well as the “Rules of certification and supervision over management systems in multiple-site organizations”, if needed, is sent to each organization interested in certification by PCC, to be completed. Applications and directories are available at the PCC website.

### **4.2 Application verification**

PCC verifies the application and supplementary information to assess the possibility to conduct certification. In the case when it is not possible to conduct certification, PCC notifies the organization about the causes of refusal in writing. If it is possible to conduct certification, PCC prepares a certification offer. The fee depends on the duration of auditors’ work and valid pricelist.

After accepting the offer, the organization signs an agreement whose appendices include:

- “Rules of certification and supervision over organization management systems”,
- “Rules of certification and supervision over management systems in multiple-site organizations” (only for multiple-site organizations).

After signing the agreement, the organization sends to PCC required in the management system documents and depending on individual arrangements, other documents describing the management systems.

### **4.3 Certification audit**



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The certification audit is conducted in two stages. Their schedule is agreed with the organization. It is assumed that there should be about two weeks between the first and second stage of audit. In special cases the first and second stage of audit can be conducted immediately one after the other.

The task of the team of auditors is:

- to audit and verify the structure, policy, processes, procedures, records and documents relevant to the organization in reference to a specific management system,
- to determine if they meet all requirements in reference to the scope of certification which is applied for,
- to determine if there are established, implemented, and effectively sustained processes and procedures to assure the basis of trust in the organization's management system,
- to notify the organization of all discrepancies between the policy, objectives, and tasks, in order to take action,
- for EnMS to verify the collection of evidence related to the energy performance, which includes at least energy planning, operational control, monitoring of measurements and analysis.

The Client has the possibility to designate their observers who are present during an audit, but they do not interfere with conduct or result of the audit. The presence of observers shall be agreed with PCC before conducting the audit.

In order to facilitate the audit, each auditor should be accompanied by a guide unless the client and lead auditor agrees otherwise. The guide does not interfere with conduct or result of the audit

### **4.3.1 First stage of audit**

First stage of audit includes:

- reviewing documented information of the client's management system,
- assessment of the client's specific conditions for the location as well as conducting talks with the organization's staff to determine the readiness for the second stage of audit,
- conducting inspection of the organization's status and it's understanding of the requirements of the standard, especially in reference to the identification of key aspects of operation results or significant aspects, processes, objectives and operation of the management system,
- collecting necessary information regarding the scope of management system:
  - the client's location
  - used processes and equipment
  - levels of established surveillance measures (especially in the case of multi-branch organizations)
  - adopted law and regulation requirements
- conducting inspection of allocation of resources to the second stage of audit and agreeing details of the second stage with the organization,
- focusing on planning the second stage of audit by reaching high enough level of understanding the organization's management system and operations in the location in the context of a standard regarding system management or other normative document
- assessment of whether the planned and conducted internal audits and inspections of the management and whether the level of implementation of the management system justifies the readiness of the organization for the second stage of audit.

For ENMS

- confirmation of the scope and limits of the certified EnMS,
- review of a graphic or narrative description of organization objects, equipment, systems and processes for a given scope and boundaries,
- confirmation of the effective number of EnMS personnel, energy sources, significant use of energy and annual energy consumption to confirm the duration of the audit,
- review of documented results of the energy planning process,
- review of the list of identified opportunities to improve the energy performance, as well as related objectives, tasks and action plans.



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The first stage of audit is conducted in the organization's location (in special cases the first stage of audit can take place outside the organization).

PCC in advance notifies the organization of the persons who shall conduct the audit (auditors and experts) and upon request provides access to basic information about the members of the audit team.

The organization can raise an objection to any member of the audit team, and in the case when such an objection is accepted, the membership of the audit team is changed accordingly.

The organization receives the "First Stage Audit Report" from the first stage of audit.

After conducting the first stage of audit, PCC can with the organization's approval reschedule the second stage of audit or make changes to the preparation for the second stage of audit (alongside cancelling of the second stage of audit).

### **4.3.2 Second stage of audit**

An "Audit Plan" is developed on the basis of the information gathered from the first stage of audit. The audit plan is sent to the organization in time to submit comments before the second stage of audit.

The second stage of audit is conducted in the organization.

The second stage of audit includes at least:

- collecting information and evidence of compliance with the requirements of applicable management system standard or other standards,
- monitoring, measurements, reporting and inspecting achievements in reference to key objectives and tasks (in compliance with applicable management system standard),
- the ability of the organization's management system and its scope of activities about the fulfillment of the applicable law requirements, regulations and agreements,
- management systems and operations in the scope of compliance with law,
- client's operational control over the processes,
- internal audits and inspections of the management,
- responsibility of the management body for the organization's policy,
- additionally for EnMS collecting evidence to determine whether an improvement in the energy score has been demonstrated (improvement of measurable results in terms of energy efficiency, energy use or energy consumption compared to base energy).

If a non-conformity is detected during the audit, then the auditors issue a "Non-Conformity Card".

PCC distinguishes two categories of non-conformities:

- Major non-conformity – a non-conformity that affects the ability of the management system to achieve the intended results.
- Minor non-conformity – a non-conformity that doesn't affect the ability of the management system to achieve the intended results.

If available evidences from audit indicates, that the objectives of the audit are impossible to achieve or indicates the existence of a direct and significant risk (eg security), lead auditor should present them to the Client and PCC in order to take appropriate action. These actions may include changing the plan of audit, the purpose of audit, the scope of audit or audit termination.

At the end of audit the team of auditors meets with the Management and the organization's designated staff, presents the findings and conclusions from the audit (first and second stages) and informs about its recommendations regarding granting MS certification.

In the case when non-conformities occur, a organization's representative finds the reasons of the non-conformities and determines planned corrections and corrective actions as well as date of their implementation. The leading auditor inspects the corrections and corrective actions and confirms their acceptance on the "Non-Conformity Cards".

Auditors inform the organization whether the following are needed for the verification of the efficiency of the corrections and corrective actions:

- additional full audit,
- additional limited audit,
- delivering of documented evidence (to be confirmed during next audit).

Granting of certification is conditioned in case of:

- major non-conformity - reviewing, approval and verification of correction and corrective actions,
- small non-conformity - reviewing and approval of the plan of the client's correction and corrective actions.





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If unable to verify the correction and corrective actions on a major non-conformity within 6 months from the last day of the second stage of the audit, second stage of audit needs to be carried out again.

After certification audit, supervision certification, and re-certification, the implementation of correction and corrective actions as well as the assessment of their efficiency cannot exceed 30 days from the date of identification of non-conformities.

### **4.3.3 Additional audit**

The organization performs correction and corrective actions in compliance with its own procedure. Full additional audit is performed according to all principles agreed for the second stage of audit. Additional audit to a limited extent covers the areas connected with non-conformities.

### **4.3.4 Conclusions from certification audit**

After evidence of the efficiency of the correction and corrective actions is provided by the organization (for major non-conformities), the leading auditor makes the "Audit Report". The report provides a recommendation on granting or not granting certification with all conditions.

## **4.4 Granting certification**

The PCC Director's decision, Chief EnMS specialist is made within 15 days from the date of delivery by the organization of evidence of the efficiency of the correction and corrective actions (for major non-conformities) or from the date of completion of audit in the organization (in case there are no major non-conformities – during audit).

PCC notifies the organization of the decision on granting the certificate.

The "Audit Report" sent the organization provides:

- non-conformities,
- positive areas – observations indicating especially strong elements of MS worth developing,
- remarks – auditor's observations indicating the areas where non-conformities can occur.

The organization can provide the PCC Office with any comments to the report. The absence of such comments means that the organization accepts the "Audit Report".

In the case when granting the certificate is denied, an explanation is provided in the notice.

It is also possible to issue the certificate with a limited scope i.e. restricted to certain processes, products or operations of the organization.

In the case of certification of integrated systems, a separate certificate is issued for each management system. Issuing a certification document to confirm compliance on a number of management systems, on condition that they concern accredited by PCC management systems, is allowed.

A management system certificate is sent to the organization by mail or it is presented to its representative in person.

The date of issue of the certificate cannot be earlier than the date of making the decision on certification.

Certification is valid for 3 years from the date of making the decision on certification.

## **4.5 Supervisory activities**

During the period of validity of the certificate, PCC conducts supervisory activities whose objective is to monitor the representative areas and functions covered by the management system, taking into account the changes in the supervised organization.

The supervisory activities include:

- supervision audits – assessing if the requirements of an applicable management system standard are met by the organization's management system,
- enquiries to the organization regarding certification aspects,
- review of the website and promotional materials,
- monitoring the operating results of the certified organization,
- request to provide documents and records from the organization.

### **4.5.1 Supervision audits**

Supervision audits cover at least:

- internal audits and audits of management,



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- inspection of activities taken in reference to non-conformities identified during previous audit,
- complaint resolution procedure,
- efficiency of the management system in respect of achieving the organization's objectives and intended goals of management system,
- development of planned operations aiming at continuous improvement,
- continuous operational control,
- inspection of changes,
- application of marks/symbols and references to certification,
- additionally for the EnMS review, whether a continuous improvement of the energy performance (EnMS) has been demonstrated.

Supervision audits are conducted at least once a year, except for years in which there is to be conducted a recertification. The date of the first supervision audit after certification should not be later than 12 months from the date of certification granting.

### **4.5.2 Certification maintenance**

The decision on certification maintenance is made on the basis of the inspection of the correctness of the certification process (including supervisory activities), "Audit Report", "Non-Conformity Cards" and positive recommendations of the leading auditor.

In the case of major non-conformities or other situations that may lead to the suspension or withdrawal of certification, lead auditor informs the Director of PCC, Chief EnMS specialist, who conducts a review to determine whether it's possible to maintain certification.

### **4.6 Re-certification**

The re-certification audit covers all requirements of applicable management system standard, assessment of operation of the management system during the period covered by certification and inspection of audit reports.

If significant changes in the management system occurred in the organization or in legal requirements regarding the organization, then the first stage of audit is also conducted.

The re-certification audit conducted in the organization is oriented to:

- efficiency of the management system as a whole in respect of internal and external changes as well as its constant adequacy and usefulness for the scope of certification,
- indication of commitment to maintain the efficiency of the management system and its improvement in order to enhance the general operation,
- management system efficiency in respect of achieving organization's goals and intended results of management system

The decision to renew certification is made the same way as for the certification audit. Furthermore, when making the decision, complaints against the organization as well as the results of the system operations during the certification period are taken into consideration.

If, before the expiration date of the certification audit, recertification audit is not completed or verification of correction and corrective actions for any major non-conformity is not completed the validity of the certification is not extended. The situation the customer is informed.

After the expiration of the certification PCC can resume certification within six months, subject to the completion of unfinished activities regarding recertification, otherwise there should be conducted at least a second stage audit. The expiration date of certification is determined on the basis of prior certification cycle.

### **4.7 Integrated Audits**

Integrated audits regard at least two management systems (e.g. ISO 9001, ISO 14001, PN-N-18001, ISO 50001). During the first stage of audit, PCC conducts inspection of information provided by the organization and it can change the duration of audit which was based on the level of system integration declared by the organization.

Features of the integrated management system: integrated inspection of management, integrated approach to internal audits, integrated approach to policy and objectives, integrated approach to system processes, integrated set of documentation including working instructions, integrated approach to



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improvement mechanisms, integrated approach to planning with good use of all-inclusive approach to risk management in operations, unified support and responsibility of management.

Duration of the combined audit cannot be reduced by more than 20% of the time calculated for non-integrated systems. Combined audits of non-integrated management systems (in spite of being conducted at the same time) are not subject to the duration reduction rules.

### **4.8 Special audits**

#### **4.8.1 Extension of the scope of certification**

The scope of certification can be extended at the request of the organization.

In the case when the organization applies for extension of the scope of certification to include new areas of operations or elements of the management system which were not included in the certification, PCC determines the method and scope of assessment.

#### **4.8.2 Short notice audits**

Short notice or no notice audits are conducted:

- to investigate complaints,
- in respond to changes (affecting the possibility of the management system to meet the requirements of applicable management system standard),
- to further proceed in the case of certification suspension (except for the suspension of certification because of breach financial terms to PCC or exceeding the required date of surveillance audit to 2 months)
- examine the Health and Safety Management System after a serious incident related to occupational health and safety, for example a serious accident or a serious breach of a legal provision.

PCC's Director, Chief EnMS specialist, makes the decision to conduct such an audit. During that audit the organization cannot submit reservations to the members of the audit team. A report is made from conducted audit which is the basis for making decision connected with the audit objective.

### **4.9 Certification suspension**

Certification can be suspended in the case of detection of the organization's operation which is in violation of the MS supervision agreement, and especially when:

- the organization's management system permanently and to a large extent does not meet the certification requirements, including the requirements regarding the management system efficiency,
- the organization has not made the corrections and corrective actions, resulting from non-conformities detected during audits within agreed deadline,
- the organization has not taken actions within agreed deadline to introduce changes in the MS, resulting from changes in the requirements included in the audit criteria (e.g. in the standard which is the reference of the system),
- the organization does not allow for conducting supervision audits or re-certification audits as often as required,
- the organization voluntarily asked for suspension,
- the organization has not informed PCC about introduction of significant changes in the MS,
- the organization does not fulfill its financial liabilities toward PCC,
- for the occupational health and safety management system - if the system has seriously failed to comply with health and safety certification requirements (found after a serious accident or a serious breach of the law, resulting in the need to involve the competent regulatory authority or a special audit). In such cases, a decision may be taken to withdraw the certification.
- there are other reasons imposed by requirements or agreed in writing between the organization and PCC.

In the case of occurrence of circumstances authorizing PCC to suspend certification, PCC's Director Chief EnMS specialist, makes the decision regarding the suspension. The decision with explanation which is delivered to the organization in writing provides dates indicating the period of certification suspension and consequences resulting from unauthorized reference to certification.

During the period of certification suspension, the organization cannot make reference to certification and ceases to use the certification mark (accreditation symbol).





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PCC's Director, Chief EnMS specialist, determines the period of certification suspension and it should not exceed 6 months.

### **4.10 Certification validity restoration**

The organization is informed in writing of the conditions for certification restoration which can include:

- provision of documents (evidence) by the organization to PCC confirming the fulfillment of the conditions accompanying the suspension decisions or
- positive result of special audit.

The Director, Chief EnMS specialist, determines the conditions for certification validity restoration and makes decision on its renewal.

### **4.11 Certification cancellation**

Certification can be canceled in the case when the issues which caused certification suspension are not resolved by the organization within deadline agreed by PCC. After certification invalidation, the organization cannot make reference to certification and cannot use certification mark (accreditation symbol). After the decision on certification cancellation is made, PCC terminates the agreement and invalidates certification. The organization is informed about that fact in writing as well as about the date of certification cancellation and consequences resulting from further unauthorized reference to certification.

### **4.12 Restriction of the scope of certification**

PCC limits the scope of the organization's certification to exclude those areas which do not meet the requirements. This happens in the case of failure, permanent or to a large extent, to meet the certification requirements in certain scope of certification. The restriction of certification must comply with the requirements of the standards of the certified management system.

The scope of certification can be limited:

- after audit during which the lack of possibility to run operations in the full scope of granted certification was detected,
- when the organization did not make within agreed deadline correction and corrective actions resulting from non-conformities detected during audits,
- at the request of the organization.

### **4.13 Transfer of rights**

The rights from the MS supervision agreement are transferred at the organization's request as a result of changes in its legal status. In the case when the valid MS manual which is attached to the application and other documents which have been changed (e.g. the company's registration documents, rules, procedures...) indicate that only the organization's legal status has changed, PCC can decide to transfer the rights from the supervision agreement without conducting audit.

If the presented documents indicate that apart from the change of legal status other changes have also been made, the decision of transfer of rights can be made after conducting audit.

### **4.14 Notification of changes in organization**

The organization should immediately inform PCC of the changes which affect the possibility of the management system to meet the requirements of the standard which is the basis of the certification.

The changes can regard e.g.:

- legal, business, organizational or ownership status,
- organizational and management structure (key management or technical staff making decisions),
- address for contacts and the place where operations are carried out,
- scope of operations covered by the certified management system,
- main changes in the management system and processes.
- occurrence of a serious incident or breach of regulations in the health and safety management system, necessitating the involvement of a competent regulatory body.

On the basis of the information about changes, PCC decides whether the changes should be verified by special audit or during next audit.

## **5 CHANGES IN CERTIFICATION REQUIREMENTS**

PCC informs the organizations in writing about the changes in the certification requirements in time to introduce changes in the organization. The changes in the certification requirements can be caused by e.g. changes in the management system standards or changes in accreditation requirements. The



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information provided to the organizations specifies the scope of changes, effective date and the method of their introduction. In the case of significant changes in the certification requirements, PCC specifies the transitional periods when adequate changes can be introduced in the organization's management systems, notifies the organizations about them in advance, and specifies its operations in the transitional period.

The organization should inform PCC if it can introduce the changes within specified deadlines. PCC can conduct inspection of the implemented changes with the use of questionnaires, talks, site visits or audits.

If the organization informs PCC that it cannot introduce the changes within specified deadlines, it is behind schedule with the introduction of the changes or the result of the inspection of the introduction of the changes was negative, then the organization's certification is suspended on the day when the changes come into effect.

## **6 RESOLUTION OF COMPLAINTS AND APPEALS**

### **6.1 Complaints against PCC's activities**

Submission of complaints, reviewing and deciding on complaints does not result in any discriminatory actions for the complainant.

Information obtained during the resolution of the complaints regarding the complainant and its subject matter is considered confidential.

Each complaint submitted to PCC is registered and its submission is acknowledged to the complainant in writing.

The person dealing with the complaint could not be earlier involved in the subject matter of the complaint.

If a visit to the organization is required to resolve a complaint, then the person dealing with the complaint, after the visit's date is agreed, explains the complaint on the site (in the organization) and prepares a report with findings.

The decision about whether a complaint is accepted or not is made by a person from PCC's management who is not involved in its subject matter.

PCC determines what actions should be taken in reaction to the submitted complaint. PCC informs the complainant in writing about the course, conclusion of the procedure and the decisions made.

In the case when disputable issues arise between the complainant and PCC, after all attempts at reaching an agreement have been made, the parties can initiate arbitration procedure with the use of a jointly agreed arbitrator trusted by both parties.

### **6.2 Complaints against the organization's operations**

Submission of complaints, reviewing and deciding on complaints does not result in any discriminatory actions for the complainant.

Each submitted complaint to the PCC is recorded, and its acceptance is confirmed in writing to the person who submitted it.

PCC informs in writing the organization that the complaint is against about the complaint against the organization's operations. PCC appoints a person (who is not involved in the subject matter of the complaint) who analyzes the problem and verifies collected information. If a visit to the organization is required to resolve a complaint, then the person dealing with the complaint, after the visit's date is agreed, explains the complaint on the site (in the organization) and prepares a report with findings. The management system efficiency of the organization against which the complaint is filed should be assessed during complaint resolution.

The decision about whether a complaint is accepted or not is made by a person from PCC's management who was not involved earlier in its subject matter.

PCC informs in writing the complainant and the organization against which the complaint is filed about the course, conclusion of the procedure, decision made, and actions taken in reaction to the complaint.

As a result of the decision made it can become necessary:

- to conduct an additional audit of the management system in the organization and conduct adequate correction and corrective actions,
- to suspend or cancel the certificate in compliance with the agreement concluded with the organization.

PCC agrees with the complainant and the organization against which the complaint is filed if the subject matter of complaint and its resolution can be made available to the public.



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### **6.3 Appeals**

During the term of the management system supervision agreement, each organization can appeal the decision made in the certification process. Filing an appeal by the organization does not result in any discriminatory actions against the appellant.

The organization's appeals can regard such cases as a non-conformity removal method or deadline, certification or re-certification refusal, certification suspension or cancellation.

An appeal can be filed by the organization each time within the period not longer than 14 days from the date of delivery of the decision by PCC. Each reported to the PCC appeal is recorded, and its acceptance is confirmed in writing to the person who submitted it.

It is necessary for the resolution of the appeal to provide in writing by the appellant a detailed subject matter and scope of the appeal.

The person dealing with the appeal cannot be involved in the subject matter of the appeal (during audit or making decision on certification).

If a visit to the organization is required to resolve an appeal, then the person dealing with the appeal, after the visit's date is agreed, explains the issue on the site with the organization's representative.

The decision about the appeal's subject matter is made by a person who was not involved earlier in its subject matter (during audit or making decision on certification). A letter with information about the course, conclusion of the appeal procedure and PCC's position is sent to the appealing organization.

## **7 CONFIDENTIAL AND AVAILABLE ON DEMAND INFORMATION**

PCC provides on-demand information about:

- geographical areas in which it operates,
- status of the certification,
- customer name, certificate, certification scope, geographical location of the customer (country, city).

Other information about the organizations that were granted certification is confidential.

The information about the organizations is made available to the accreditation body.

Access to the information about the organization by a third party is possible only with the organization's written consent.

Information about the client from sources other than from the same client (eg. from the complainant) is treated as confidential.

In each case when the provision of information to a third party is required by the law, the organization is informed about the content of disclosed information (unless provided otherwise by the law).

## **8 REFERENCE TO CERTIFICATION AND USE OF MARKS (SYMBOLS)**

### **8.1 Reference to certification**

PCC allows the organization and its formal representatives to make reference to certification:

- during the period of certification validity,
- in advertising and promotional activities if they regard the area of operations covered by the scope of certification,
- during negotiations, concluding agreements and contracts regarding the area of operations covered by the scope of certification.

PCC requires the certified organization:

- to meet PCC's requirements when making reference to certification in the media such as: Internet, brochures, advertisements, etc.,
- not to make or allow for making any misleading statements regarding its certification,
- not to use or allow for using the certification document or any of its part in a misleading way,
- to stop using the certification document in all advertising materials including a reference to certification after certification suspension or cancellation, as instructed by PCC,
- to update all advertising materials in the case when the scope of certification is reduced,
- not to allow for making reference to certification in such a way as to suggest PCC's certification of a product, service or process,
- not to suggest that the certification refers to the operations and locations beyond the scope of certification,



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- not to use its certification in such a way as to violate the reputation of PCC or the certification system and expose PCC to lose its public credibility.

During audits, PCC assesses the correct references to the certification status, use of the certification documents, certification marks, accreditation symbols and audit reports.

In the case when the organization does not observe the requirements presented above, PCC takes actions to resolve the problems which arise.

Such actions can include:

- demand to introduce correction and corrective actions by the organization,
- certification suspension or cancellation,
- publication of information on violation of rights,
- legal steps taken by PCC.

### 8.2 Use of certification marks and accreditation symbols

Rules of use of certification marks and accreditation symbols:

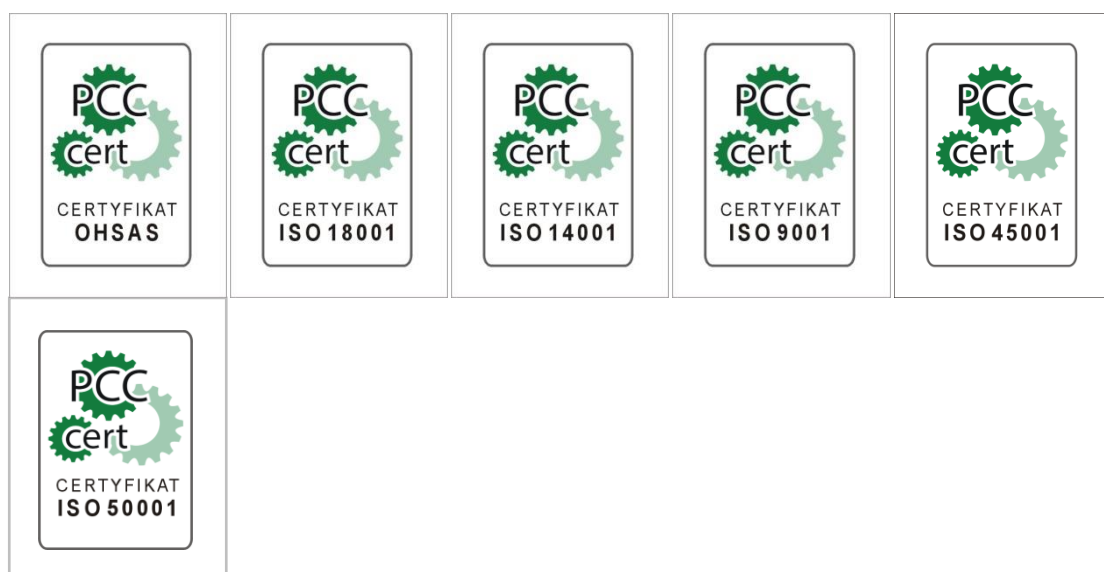
- certification marks and accreditation symbols can be used only in business, promotional or advertising documents only in reference to the area of operations within the scope of certification,
- certification marks and accreditation symbols cannot be used in the way which could indicate that they refer to product quality (e.g. they cannot be placed on products of packaging),
- it is inadmissible to use the certification marks and accreditation symbols in reports from laboratory tests, calibration or control,
- the organization must specify the scope of operations which the certification regards if it used the certification marks and accreditation symbols in the context which causes any doubts.

Rules for the use of statements about possessed management system on the product packaging or in the accompanying information:

- for packaging shall be considered all that can be removed without falling apart, or damage to the products,
- information accompanying is believed to be information available separately or easy to remove,
- labels identifying the type of product or identification plates are taken into account as part of an article,
- a statement should not in any way imply that a product, process or service is certified,
- the declaration should include a reference to the identification of a certified customer, the type of management system and certification body issuing the certificate.

## 9 DESCRIPTION OF TEMPLATE OF CERTIFICATION MARK AND ACCREDITATION SYMBOL

### 9.1 Use of certification mark (in the case of non-accredited certification of management system)



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### Figure 1. Template of PCC certification mark (depending on management system).

The organization can present the certification mark (applicable for management system) in compliance with the following principles.

Basic design dimensions of the certification mark

- width S = 25 mm
- height H = 37 mm

It is admissible to scale the basic dimensions of the certification mark in compliance with the following conditions:

- maintenance of the width and height proportions,
- no distortions of the certification mark's graphic features are allowed,
- maintenance of the legibility of letters and digits,
- no changes in the logo's or marks' colors are allowed,
- it is possible to copy the black and white certification mark.

### 9.2 Use of PCC mark in combination with PCA accreditation symbol (in the case of accredited certification of management system)

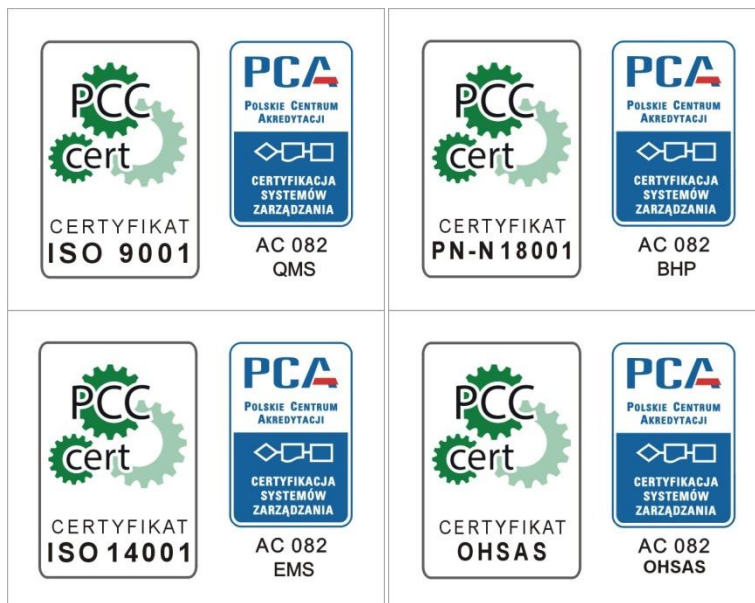


Figure 2. Template of PCC certification mark in combination with PCA accreditation symbol (depending of management system).

The organization can present the PCC certification mark in combination with the PCA accreditation symbol (applicable for management system) in compliance with the following principles.

Basic (minimum) design dimensions

- width S = 60 mm
- height H = 47 mm

It is admissible to scale the basic dimensions of the certification mark in compliance with the following conditions:

- maintenance of the width and height proportions,
- no distortions of the certification mark's graphic features are allowed,
- maintenance of the legibility of letters and digits,
- no changes in the logo's or marks' and symbols' colors are allowed,
- it is possible to copy the black and white mark and symbol.





## **Rules of certification and supervision over organization management systems.**

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The other requirements connected with the use of PCC certification mark in combination with the PCA accreditation symbol are regulated in the PCA's document no. DA-02 "Rules of use of PCA accreditation symbols". PCA's document is available at [www.pca.gov.pl](http://www.pca.gov.pl).

The organization cannot use the PCA's mark alone.

### **10 TRANSFER OF ACCREDITED CERTIFICATION**

Only accreditations certified by the signatory of the IAF MLA or the Regional Agreement on Multilateral Recognition (Regional MLA) are eligible for transfer. Organizations not covered by this accreditation are treated as new clients.

The customer transferring the certification should authorize the PCC to obtain the necessary information from the previous certification body.

The accredited certification can be transferred after analysis of the application submitted by the organization conducted by PCC. After the analysis is conducted, a decision is made:

- on transfer of certification,
- on need to conduct a certification audit,

Certification transferring the client is not granted until:

- verification of the implementation of corrections and corrective actions for all uncommon discrepancies,
- adoption of correction plans and corrective actions transferring the client with respect to all unclosed small discrepancies.

Certificates are not transferred in the cases of:

- Suspended certification or the threat of its suspension,
- Failure to provide audit reports from the previous certification cycle,
- Fail to carry out, in accordance with the audit program, the previous audit certification body in the auditing or re-certification audit.

The certifications which are known to be or can be suspended are not transferred.

To determine the program of ongoing supervision and re-certification the scheme is used the existing certification program.

(end of document)