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**SYSTEM CERTIFICATION
GENERAL REGULATIONS**

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System Certification General Regulations

TABLE OF CONTENTS

Contents	Page
1. Scope	3
2. Definitions	3
3. References.....	4
4. General Rules	4
5. Certificate Characteristics	4
5.1 Scope.....	4
5.2 Period of validity	4
5.3 Conditions of validity.....	5
6. Application	6
7. Certification Process	6
7.1 Acknowledgment	6
7.2 Documentation review	6
7.3 Preliminary visit / pre-audit	7
7.4 Certification audit.....	7
7.5 Audit report	8
7.6 Certification file	8
7.7 Certification.....	9
7.8 Registration and publication	9
7.9 Maintenance	10
7.10 Renewal.....	10
8. Specific Cases.....	10
8.1 Certification modification	10
8.2 Multi-site certification	11
8.3 Joint certification	11
8.4 Transfer of certificate	12
8.5 Environmental Management System (EMS) Certification	12
8.5.1 Environmental Management System Registration	13
8.5.2 Single-source registrations; EMS integration	13
8.5.3 Small and medium enterprises	13
8.5.4 Application for registration	14
8.5.5 Certification audit.....	14
8.5.6 Classification of Nonconformances	15
8.5.7 Certification/Registration decision	15
8.5.8 Surveillance program.....	15
8.5.9 Right of Access for Accreditation Body.....	16
9. Use of the Certificate	16
9.1 AV-USA certificate and mark.....	16
9.2 ANAB mark.....	17
10. Certificate Withdrawal.....	17
11. Appeal.....	17
12. Confidentiality	17
13. Languages	18
14. Certification Fees.....	18
15. Regulation Changes	18
16. Reference Standards Changes	18



**ENVIRONMENTAL & QUALITY SYSTEM CERTIFICATION
GENERAL REGULATIONS**

1 SCOPE

AV-USA General Regulations define the rules applied to the certification and registration of QMS/EMS (ISO 14001/RC 14001) operated by firms for the supply of goods and services.

General Regulations implement requirements and guidelines established by:

- ISO Guide 62, General requirements for bodies operating assessment and certifying, Registration of quality systems.
- IAF Guidance to the clauses of ISO/EAC Guide 62,
- ISO Guide 66 General requirement for bodies operation assessment and certification/registration of environmental management systems,
- IAF Guidance on the Application of ISO/EAC 66

2 DEFINITIONS

The definition of the terms used in the current document complies with the current ISO 9000 standard: "Quality Management Systems-Fundamentals and Vocabulary".

The following definitions are applicable:

- Accreditation Body: in the context of this document, it is defined as the ANAB (ANSI-ASQ National Accreditation Board) the National Registrar Accreditation Body of the U.S.A. and/or Belcert (Registrar Accreditation Board, the National Registrar Accreditation Body of Belgium)
- Applicant: firm seeking the certification and registration of its QMS/EMS(ISO 14001/RC 14001) by AV-USA within AV-USA scope of accreditation
- AV-USA: AIB-Vinçotte USA, a Texas incorporation, wholly owned by Vinçotte International Holding
- Certified/Registered Firm: firm of which the QMS/EMS(ISO 14001/RC 14001) has been certified by AV-USA and to which a certificate of compliance has been issued by AV-USA
- EMS: Environmental Management System
- Firm: legal entity or identifiable grouping of any legal status
- QMS: Quality Management System including AS9100
- QSA: Quality System Assessment
- ANAB: ANSI-ASQ National accreditation Board, the National Registrar Accreditation Body of the U.S.A.
- AC: Advisory Committee, a group established by AV-USA for review, recommendations and approval, as appropriate, on certification related issues
- TG: Technical Group, a group established by AV-USA used for advice on technical issues relating to the IAF sector
- RC: Responsible Care



System Certification General Regulations

3 REFERENCES

The certification is based upon demonstrated compliance with the latest version of the following QMS/EMS (ISO 14001/RC 14001) Models:

ISO 9001: Quality Management Systems - Requirements

ISO 14001/RC 14001: Environmental management systems - Specification with guidance for use

The basis for certification can be extended to other international or national standards on special request.

4 GENERAL RULES

1. The General Regulations are applied by AV-USA for certification and registration of QMS/EMS (ISO 14001/RC 14001) complying with the system models referenced in par. 3 of the AV-USA General Regulations.
2. Any firm seeking certification and registration of its QMS/EMS (ISO 14001/RC 14001) by AV-USA must abide by the AV-USA General Regulations in force at the time the certification contract is executed.
3. When the AV-USA General Regulations are revised, the Certified Firm is notified by AV-USA and will have until the next regular surveillance audit to comply.
4. The specific conditions defined in the certification contract may not alter nor modify the requirements of the current AV-USA General Regulations.

5 CERTIFICATE CHARACTERISTICS

5.1 Scope

The AV-USA QMS/EMS (ISO14001/RC 14001) certificate attests that the implemented QMS/EMS (ISO 14001/RC 14001) complies with the requirements of the reference standard for the scope detailed only.

5.2 Period of validity

The AV-USA certificate is valid for a period of three (3) years from the date of issue. At the end of the said period, the renewal procedures of the AV-USA General Regulations will apply.

5.3 Conditions of validity

The validity of an AV-USA certificate is contingent upon compliance with the following requirements:

1. The QMS / EMS(ISO 14001/RC 14001) is maintained in compliance with the standard of registration/certification
2. A current (controlled) copy of the QMS/EMS documentation is made available, at the locations shown on the certificate, for use by AV-USA during audits.
3. Significant modification or changes in the business or operation of the QMS/EMS(ISO 14001/RC 14001) is promptly reported to AV-USA.

Examples:

- A change in the Management Representative



System Certification General Regulations

- Significant changes or additions to production lines
- Discontinuation of activities within the scope of certification
- Major organizational changes that materially affect QMS/EMS(ISO 14001/RC 14001) management
- Change of name or address
- Bankruptcy filing

All complaints raised by a third party about the quality of product or service covered by the certified QMS/EMS(ISO 14001/RC 14001) must be documented and made available for review by AV-USA's auditors at each surveillance audit. Details of the corrective actions that were taken must also be provided.

4. AV-USA executes a contractually defined surveillance audit program during the certificate's period of validity.
5. All financial obligations relative to AV-USA services are satisfied.
6. As a conditional of certification/registration AV-USA requires that an organization:
 - Complies with the relevant provision of the registration program
 - Makes the necessary arrangements for the each audit, including providing the necessary documentation, audit support and site/activity access
 - Claim that it is registered only in respect of activities for which it has been granted registration
 - Does not use its registration in such a manner to bring AV-USA into disrepute and does not make any statement regarding registration which may be misleading or inaccurate.
 - Discontinue the use of all advertising materials or promotion of its certification/registration in the event of withdrawal, suspension or expiration of the certification/registration
 - Does not use its registration to imply that a product or service is certified or approved by AV-USA
 - Ensures that no registration document, registration mark or report nor any part thereof is used in a misleading manner in making reference to its registration status in communication media such as documents, brochures or advertising, and complies with the requirements of AV-USA.



System Certification General Regulations

6 APPLICATION

1. All organizations that are interested in certification may apply to AV-USA in writing, via e-mail, fax or by phone. Applicants will be considered fairly and impartially without financial or other discriminatory practices. The procedures established by AV-USA will be implemented in a non-discriminatory manner.
2. Applicants must provide sufficient information to enable AV-USA to understand the nature of their organization and their products/services. The information that is provided may include product brochures, organizational charts, web-site URL, QMS/EMS(ISO 14001/RC 14001) manual/procedures, etc., and other data as appropriate.
3. After the necessary information has been collected, reviewed and verified to be within AV-USA's scope of accreditation, AV-USA prepares a quotation that includes:
 - Scope of certification
 - Certification model (ISO 9001, ISO 14001/RC 14001)
 - Locations/activities to be certified
 - Applicable IAF code
 - Services to be provided

The AV General Regulations will be referenced in the quotation and will be supplied if requested by the Applicant. At the Applicant's request, the certification process may include up to two pre-audit(s). More than two pre-audits may be arranged if there has been a significant (one year or more) amount of time between the pre-audits or if the applicant's QMS/EMS(ISO 14001/RC 14001) has undergone significant changes since the last pre-audit.

4. The applicant may accept the terms of the quotation by signing the Order Acceptance Form or submitting a Purchase Order.
5. The terms and conditions of a Purchase Order may not take precedence over those contained in AV-USA Terms and Conditions or the General Regulations.

7 CERTIFICATION PROCESS

7.1 Acknowledgment

As part of the quotation, the applicant shall be informed of the contract manager that will be responsible for the administration of their project. AV-USA communicates to the Applicant the name(s) of the auditor(s) who will perform the certification work at the time of assignment. The auditor(s) shall be selected on the basis of qualification, familiarity with the Applicant's industry/product requirements and availability. The Applicant will be informed if there is any change to the assigned auditors. It is AV-USA's policy to maintain continuity of the audit team throughout the certification contract, wherever operationally practical.

The Applicant may refuse the participation of any auditor, providing such refusal is made in writing and not less than three weeks before the beginning of the certification process. If the Applicant is unable to accept any of the auditors proposed by AV-USA, the certification contract is void.

7.2 Documentation review

Prior to the planned audit or pre-audit, AV-USA should perform a review of the Applicant's documented quality system.

The QMS/EMS(ISO 14001/RC 14001) manual should contain the quality policy statements and objectives, an outline of the complete QMS/EMS(ISO 14001/RC 14001) and a list of the supporting procedures.



System Certification General Regulations

The auditors will review the documentation in order to evaluate its compliance with the requirements of the reference standard. This process may be conducted during the preliminary visit or pre-audit but must be completed before carrying out the certification audit. The report of the activity sent to the Applicant shall include the results of the documentation review.

7.3 Preliminary visit / preassessment

Prior to the certification audit, the Lead Auditor, or the assigned auditor, may make a visit to the Applicant's facility for the purpose of:

- gathering more detailed information on the Applicant's activity,
- completing the preliminary evaluation of the quality manual and of the supporting procedures,
- planning a time schedule for the certification audit,
- Defining the scope of certification.

If a pre-assessment is performed, the Auditor is responsible for completion of the following tasks:

- interview management and key personnel to evaluate organizational commitment to and understanding of the QMS/EMS(ISO 14001/RC 14001)
- identify system weaknesses or deficiencies that would prevent a successful certification audit
- develop a work matrix which defines the functions of the firm in terms of the reference standard and the defined scope of the certification

The certification audit shall be scheduled after completion of the documentation review and at a date when nonconformances identified in the documentation or QMS/EMS(ISO 14001/RC 14001) have been corrected and implemented for a sufficient period of time in order to assure objective evidence of implementation.

The auditor prepares a written report that communicates possible findings regarding deficiencies and nonconformances to the referenced standard. The auditor must confirm as part of the certification process that all nonconformances have been addressed with satisfactory corrective action.

7.4 Certification audit

During the certification audit, the auditors verify that the QMS/EMS(ISO 14001/RC 14001) described in the quality manual and in the supporting procedures is implemented effectively and is in compliance with the requirements of the reference standard. All procedures are subject to review. The personnel involved in the QMS/EMS(ISO 14001/RC 14001) are interviewed and the quality records are reviewed. During the certification audit all levels of responsibility are involved. The audit is conducted in accordance with ISO19011.

For the duration of the audit, an office with sufficient seating and desks and a telephone should be provided for use by the audit team.

The audit process commences with an opening meeting involving the Applicant's management and the auditors. During this meeting, the participants introduce themselves and the details of the audit program and scope of the audit are confirmed. The audit concludes with an exit meeting in which the auditors present the audit findings and recommendations to the organization's management. During the course of the audit, the auditors will identify any nonconformances to the Applicant and ask that the Applicant document same in their corrective active system. During the closing meeting the auditors will present their conclusions and recommendations in respect of certification, as well as review all the nonconformances with the Applicant making sure that each is properly



System Certification General Regulations

documented as a corrective action request (CAR), understood and accepted as valid by the Applicant. A major nonconformance during the audit would result in a follow-up audit.

A written response to each accepted CAR is requested to be submitted within 10 working days of the conclusion of the audit. The Applicant may request more time to address the responses, as needed however the report and certification decision will wait upon the satisfactory review of responses submitted. The length of time allowed to the Applicant will be at the discretion of the Contract Manager.

7.5 Audit report

The Lead auditor will prepare a report of the audit results after the responses have been reviewed and accepted.

The report will include the physical address of the facilities that were audited, the scope of the registration, industry sector, the audit matrix, schedule, reference to the documentation review and the nonconformances that were identified. The report also contains the applicant's responses to any CARs that were issued and accepted by the applicant

The Nonconformances are classified as major or minor according to the following criteria:

Major Nonconformance:

- Failure to document or implement an essential element of the applicable standard
- Absence of an adequate quality plan/resources to assure the quality of the related products and services
- Demonstrated long term lack of effectiveness in the quality system
- Chronic failure to properly implement any element of the applicable standard

Minor Nonconformance:

- Incomplete or inadequate documentation or implementation of a requirement of the standard which does not compromise overall operation or effectiveness of the system

Certification audit reports will be identified by the project number.

Surveillance reports will include a reference number and the certificate number.

Audit reports will be transmitted to the Applicant after review by the Certification Committee.

7.6 Certification file

Each report is supported by a file that contains:

QUOTE

- the quotation & back up information from the Applicant,

TRANSFER

- the last two audit reports, organization chart and transfer report, if the applicant was transferred from a previous registrar

INITIAL CERTIFICATION

- The recommendation of the audit team regarding the certification of the audited QMS/EMS(ISO 14001/RC 14001).
- The certification audit report, audit schedule, nonconformances and responses (or reference to their electronic file location)
- The decision taken by the certification committee
- The certificate and notification letter



System Certification General Regulations

MAINTENANCE PROGRAM

- The surveillance audit reports, audit schedule, nonconformances and responses (or reference to their electronic file location) and decisions taken to continue the certification

7.7 Certification

The AV-USA Certification Committee reviews the certification file. This committee consists of knowledgeable personnel who are independent of the audit for which the decision is being taken.

The committee meets on an as-needed basis and reviews files that have been completed since the last meeting. If necessary, the appropriate Audit Team(s) may be requested to provide additional information or clarification of the report content. The Certification Committee may grant the certificate, under specified conditions, or to deny certification and provide the reason for the denial.

Certification will be denied if the Certification Committee determines that the QMS/EMS(ISO 14001/RC 14001) does not meet the requirements of the reference standard. This determination may be for any of the following reasons:

- Evidence of any major nonconformance
- An accumulation of minor non nonconformances that results in a lack of confidence in the effective operation of the QMS/EMS(ISO 14001/RC 14001)
- A response to a CAR that is incomplete, inadequate or otherwise unacceptable

The decision of the Certification Committee is communicated to the Applicant within three (3) working days after the Certification Committee meeting.

If a certificate is issued, the effective date of the certificate is the date of the certification committee meeting.

7.8 Registration and publication

Certificates bear a unique number that is in the following format:

- The first two numbers indicate the year issued
- The next three numbers are a sequence number
- The certificate number will have a 'Q', 'E' or 'A' prefix to identify it as an QMS, EMS(ISO 14001/RC 14001) or AS9100 certificate

Revisions to a certificate are identified with a suffix that includes the letter 'R' and a sequential number corresponding to the revision number.

Other information on the certificate includes:

- Applicable certification standard
- Organizational name and address
- Scope of certification (description of products/services)
- Expiration date

AV-USA will maintain a registration list of issued certificates, including the organizational name, address, registered scope, business industry sector code and issue/expiration dates.

For AS9100 certifications, the client information and audit results are to be entered by AV-USA as per AIR 5359 in OASIS data base. The client is to bear the cost of initial and renewal (at recertification) fee for the data base.

System Certification General Regulations

7.9 Maintenance

The maintenance program is specified for each certificate. This shall include at least one audit annually. The majority of processes / clauses of the reference standard should be reassessed during the period of validity of the certificate.

Each surveillance audit includes:

- Review of corrective action taken relative to complaints received since the last audit
- Review of internal audits and corrective action
- Review of a sample of QMS/EMS(ISO 14001/RC 14001) clauses and processes
- Review of the use of the Accreditation mark, the certification mark and the certificate in advertising

Corrective Action Requests are used during the scheduled surveillance audits to identify nonconformances.

Based on the number, classification and nature of the CARs issued, supplemental audits, adjustment in the surveillance frequency and/or partial audits may be recommended by the auditor and approved by the Certification Committee.

The results of each audit is reported in a Surveillance Audit Report that includes the address of the facilities that were audited, the certificate number, the products and services covered by the scope of the registration, industry sector, the audit matrix, audit schedule, the nonconformances that were identified. The report also contains responses to the CARs that were issued and a summary of the status of corrective actions.

Audit reports and the recommendations of the auditors are reviewed by Certification Committee at its next meeting. The Committee decides whether to maintain or withdraw the corresponding certificate or to impose additional conditions. The relevant conditions of par. 7.7 of the AV-USA General Regulations will apply in this situation.

7.10 Renewal

At the last scheduled surveillance audit, the information necessary for recertification will be verified and quotation for renewal of the certificate will be prepared. The renewal process is comparable to the original certification with the following exceptions:

- the re-assessment takes account of the previous knowledge of the QMS/EMS(ISO 14001/RC 14001) gained during the initial assessment and surveillance program
- Revisions to AV-USA General Regulations subsequent to the existing certification date become effective.

8 SPECIFIC CASES

8.1 Certification Modification/Scope Change

A Certified Firm may request a change in its scope of registration to reflect

- A different QMS/EMS(ISO 14001/RC 14001) Model
- Deletion or addition of products/activities.

In such cases, the audit scope and program may be modified. An audit of the QMS/EMS(ISO 14001/RC 14001) may be necessary before the scope change is approved by the Certification Committee. If the change is approved, the previous certificate is withdrawn and replaced by a revised one.



System Certification General Regulations

8.2 Multi-site certification

A sampling plan, as specified IAF guidance documents, may be used for registration of multiple sites which meet the following requirements:

1. Each site must be performing substantially the same type of business
2. The scope of registration must be essentially the same at all sites
3. The QMS\EMS(ISO 14001/RC 14001) shall be centrally structured and managed
4. All sites must be included in a common internal audit program
5. Internal audits must be centrally managed and conducted of all sites
6. The QMS/EMS(ISO 14001/RC 14001) at the sites meets the requirements of the referenced standard
7. The following activities must be centrally managed:
 - Common system documentation and controls are used. [All sites must use the same first and second level documentation. Third level documents may differ to reflect the differences of the site.]
 - Management review [This necessitates a common quality policy and objectives. Separate quality goals may be established for each site but they must be derived from the policy developed at the corporate level.]
 - Customer Complaints and corrective actions for all sites [The details related to the internal/external customer complaints and their investigation corrective and preventive action and follow-up must be readily available at the locations selected for auditing.]
 - Internal audit planning and reports
8. A centralized management representative with overall responsibility for the all sites must be appointed.
9. All sites must have an integrated management structure
10. A common QMS/EMS(ISO 14001/RC 14001) Policy must be established for all sites within the proposed scope of registration
11. All sites must be listed on the certificate

Limited variations at each site are permitted due to differences in equipment, site environment or the size of the local firm.

If a QMS/EMS failure being observed in centralized operations, this may result in withdrawal or suspension of registration for all sites.

8.3 Joint certification

AV-USA may cooperate in the certification of a given firm with other accredited registrars. In such cases, each registrar may issue a certificate. The certificate maintenance program and certificate validity periods should be coordinated between the registrars.

8.4 Transfer of certificate

In the case where a client has been previously certified, AV-USA may adopt the certification program based by decision of the Certification Committee providing that all of the following criteria are satisfied:

- the previous registrar was accredited by a recognized agency,
- previous audit reports are available for review,
- the certificate to be transferred is valid

8.5 Special Requirements for Environmental Management System (ISO 14001/RC14001) Certification

8.5.1 Registration

- Registration audits shall be conducted to the requirements of ISO 14001, ISO 14010, RC14001 and ISO 19011.
- Registration/certification is performed to determine conformance to the ISO 14001 or RC14001 standard. Although regulatory compliance is a requirement of the standard, AV-USA audits are not regulatory compliance audits.
- AV-USA may initially certify/register an organization or maintain the certification/registration of an organization if there are regulatory noncompliances provided the organization provides AV-USA with evidence that the noncompliances are being addressed and that the noncompliances do not indicate a Major Nonconformance.
- Any alleged regulatory noncompliances discovered by AV-USA during the course of an audit shall be disclosed to the EMS (ISO 14001)/RC 14001 management representative. The organization is required to provide AV-USA with a written response to the alleged noncompliance. AV-USA will evaluate the response to determine if it is appropriate and consistent with the firm's policy & objectives for the EMS (ISO 14001)/RC 14001 system as well as the audit standard. AV-USA will not evaluate the response for compliance with legal or regulatory requirements. AV-USA's acceptance of a response does not imply or suggest that the organization's actions meet legal or regulatory requirements.
- AV-USA shall limit its requirements, audits and decisions on registration/certification to matters that specifically relate to the scope of the registration/certification.
- Audits, surveillances and registrations/certifications shall be in accordance with the requirements of these documents.
- The defined scope of an organization will be consistent with the following guidelines:
 - a) Single organization - single location

A registration may be granted to a single organization at a single location. In this case the audit will cover the full range of activities at the location.
 - b) Single organization - multiple locations
 - The requirements of section 8.2 apply.
 - Each site must have substantially the same environmental aspects and each site must be included in the audit scope at least once during period of the certificate's validity (3 years)
 - c) Multiple organizations - single locations



System Certification General Regulations

Where more than one organization operates from the same location, the organization subject to registration should recognize and manage the interfaces between itself and the other organization(s) whose activities are relevant to the significant environmental aspects in question

USA will ensure that the scope of an organization's registration is appropriately defined

Registration/Certification criteria

An organization seeking registration shall comply with the following requirements:

- Have a documented environmental policy that includes a commitment to prevention of pollution, continual improvement and compliance to relevant legislation and regulations
- Demonstrate that it has considered legal/regulatory requirements when establishing objectives and targets and periodically evaluate compliance with relevant environmental legislation and regulations
- Implement an EMS(ISO 14001/RC 14001) which conforms to the requirements of ISO 14001
- Complete an internal audit of the entire EMS (ISO 14001/RC 14001) to demonstrate that the internal auditing system is effective
- Complete a minimum of one management review as required by the ISO 14001 standard

Registration/Certification activities of AV-USA will be focused on the following:

- Documentation and implementation of the ISO 14001 of the standard
- Evaluation of the EMS (ISO 14001/RC 14001) for effectiveness and consistency of operation
- Review of records and data to verify that the organization conforms to the ISO 14001 standard.

8.5.2 Single-source registrations; EMS (ISO 14001/RC 14001) integration

When the firm wants to integrate similar elements of their registered QMS and EMS (ISO 14001/RC 14001), AV-USA will consider the commonalities among the systems, the size of the organization, the organization's activities and products, the organization culture, and the effectiveness of the interfaces between the various management systems. When an EMS(ISO 14001/RC 14001) shares common elements with another system, AV-USA will audit compatibility between the management systems with regard to the shared elements.

8.5.3 Small and medium enterprises

AV-USA shall consider the relevant operational factors of an organization when planning audits and selecting audit teams. These factors include but are not limited to accommodating diverse geographical, cultural and social conditions. AV-USA recognizes that an organization may demonstrate conformance to the standard with varying degrees of documentation and these may reflect the type and size of the organization and the conditions under which the organization operates.



System Certification General Regulations

8.5.4 Application for registration

The following minimum information shall be provided by the applicant prior to the on-site audit:

- General information of the applicant such as corporate entity, name, address, legal status, employment level, and other relevant data.
- A description of the EMS (ISO 14001/RC 14001) and the activities that are covered.
- a description of the EMS (ISO 14001/RC 14001) to be registered, including any other requirements to which the organization subscribes and which are encompassed by the EMS (ISO 14001/RC 14001), and the standards or other normative documents applicable to each.

Registered/certified organizations shall establish and maintain information, in paper or electronic form to:

- Describe the core elements of the EMS(ISO 14001/RC 14001) management system and their interrelationship
- Identify and provide the necessary details for preparation and use of the required documentation

Data provided in the application documents and the EMS (ISO 14001/RC 14001) manual review may be used to plan/prepare for the on-site audit

Information that is provided to AV-USA shall be handled with appropriate confidentiality.

8.5.5 Certification audit

AV-USA generally performs an EMS (ISO 14001/RC 14001) audit in two stages.

Stage 1

- In Stage 1 AV-USA focuses on planning the audit by gaining an understanding of the EMS (ISO 14001/RC 14001) with respect to possible significant environmental aspects and the organization's preparedness for audit.
- Approximately three weeks before the planned audit or pre-audit, AV-USA should be provided with a current uncontrolled copy of the Applicant's documentation. This should describe the core elements of the management system and their interrelationship. The documentation should contain the environmental policy, a description of the EMS (ISO 14001/RC 14001) for each of the numbered elements of Section 4 of ISO 14001 and a list of the supporting procedures. Detailed procedures need not be provided except in those cases where the procedures contain the requisite details.
- AV-USA auditors will review the documentation in order to evaluate its compliance with the requirements of the reference standard. This process may be conducted during the preliminary visit or pre-audit but must be completed before carrying out the certification audit. A report of the documentation review shall be sent to the Applicant.

Stage 2

- In Stage 2, AV-USA performs an on-site evaluation of EMS (ISO 14001/RC 14001) implementation
- Registration audits of an EMS (ISO 14001/RC 14001) may not be conducted in conjunction with other management system audits



System Certification General Regulations

- Where an organization has combined the documentation of the EMS (ISO 14001/RC 14001) with other management systems, the EMS (ISO 14001/RC 14001) documentation shall be clearly identifiable and note the appropriate interfaces to the other systems
- Where documentation is not combined, any interfaces between different systems shall be defined.

8.5.6 Classification of Nonconformances

Nonconformances are classified as major or minor according to the following criteria:

Major non-conformance:

- One or more of the elements of ISO 14001 have not been addressed;
- One or more of the elements of ISO 14001 have not been implemented;
- Several Nonconformances exist that, taken together, lead a reasonable auditor to conclude that one or more of the numbered requirements of ISO 14001 have not been addressed or implemented.

Minor non-conformity:

- Incomplete implementation of an element of the ISO 14001
- An accumulation of nonconformances which individually or collectively with others does not impair the operability of the EMS (ISO 14001/RC 14001)
- Incomplete or missing documentation that is necessary to demonstrate conformity with a requirement of ISO 14001

8.5.7 Certification / Registration decision

An EMS(ISO 14001/RC 14001) registration certificate will be issued provided the following conditions are satisfied:

- the organization has demonstrated that the EMS (ISO 14001/RC 14001) has been implemented and conforms with ISO 14001
- a written commitment for timely corrective action has been received from the organization for all identified Nonconformances, and all major Nonconformances have been eliminated;
- AV-USA has justified confidence that the commitment to compliance with regulatory requirements, continual improvement, and prevention of pollution has been incorporated into the EMS(ISO 14001/RC 14001) and has been demonstrated;
- the organization's staff has been made aware of the organization's EMS(ISO 14001/RC 14001) and its objectives and received appropriate training;
- key staff (those involved in managing aspects having potentially significant environmental impacts) have received appropriate training.

8.5.8 Surveillance program

A maintenance program is defined at the time the certificate is issued. The standard programs are semi-annual or annual surveillance audits. The majority of elements will be reassessed during the period of validity of the certificate.



System Certification General Regulations

Additional audits or audit time may be necessary in the following cases:

- There has been significant modifications to the EMS(ISO 14001/RC 14001)
- Major Nonconformance's are identified during a scheduled surveillance audit
- There are a number of complaints, (internal or external) relating to the an environmental aspect or impact
- The organization has allegedly violated environmental regulation such that AV-USA has reason to believe the EMS(ISO 14001/RC 14001) may not be functioning in accordance with the standard.

The results of additional audits or audit time will be documented in a report and reviewed by the Certification Committee. The reports, together with the recommendations of the auditors, are presented to the Certification Committee at its next meeting. The Committee decides whether to maintain, withdraw, or suspend the corresponding certificate or to impose additional conditions.

Surveillance and re-audit (follow-up audits) procedures shall be consistent with those concerning initial registration of the organization's EMS(ISO 14001/RC 14001).

8.5.9 Right of Access for Accreditation Body

During certification period the clients who have been issued accredited certificates shall allow full access not only to AV-USA auditor during on-site audit of the facility but will also allow accreditation body representative for accompanying AV-USA auditor during the whole audit process for witness audit.

9 USE OF THE CERTIFICATE AND MARKS

9.1 AV-USA certificate and mark

The Certified Firm may:

- Display and reproduce/photocopy the certificate,
- Disclose full copies of the audit reports to any third party

The AV registration mark is available in electronic formats form AV-USA. The mark may be used under the following conditions:

- The registration mark must always be used in conjunction with the Certified Organizations name.
- The registration mark may be used in connection with only those goods/services that are related to the scope of registration/certification. The organization shall identify the specific goods/services covered by the certification when they are promoted in combination with goods/services that are not within the scope of registration.
- The mark may not, under any circumstances, be used directly on or closely associated with products/services in such a way as to imply that the products/services themselves are certified by AV-USA.
- The certified/registered organization will discontinue any use of the mark which is deemed by AV-USA to be misleading or in violation of the conditions of use.
- Upon termination of the certification for any reason (i.e., expiration of the validity period, withdrawal, suspension) the certified/registered organization will discontinue all uses of the certification mark and certificate.



System Certification General Regulations

- The AV Registration mark or logo shall be in the blue or black, without distortion of dimensions, and should be clear and legible.

9.2 ANAB MARK

The Certified Firm may use the ANAB accreditation mark only in conjunction with the AV-USA registration mark on the supplier's stationary and literature, subject to the conditions in paragraph. 9.1 of the AV-USA General Regulations and the ANAB Conditions for use which are given below:

1. An ANAB-accredited CB shall not use ANAB accreditation in such a manner as to bring ANAB into disrepute and shall not make any statement regarding its accreditation that ANAB may consider inaccurate, misleading, or unauthorized.
2. An ANAB-accredited CB may use the ANAB accreditation mark only in conjunction with its own mark on its certificates, advertising, stationery, and literature associated with its accredited registration activities, subject to the conditions stated.
3. A registered organization may use the ANAB accreditation mark only in conjunction with the EMS or QMS accredited CB's mark on the organization's stationery and literature, and in its advertising, subject to the conditions in this advisory and to the CB's conditions for use of its mark.
4. The ANAB accreditation mark shall be reproduced:
 - a. in black or blue (PMS 2935 or equivalent)
 - b. in a size which makes all features of the mark clearly distinguishable
 - c. without distortion of its dimensions

10 CERTIFICATE WITHDRAWAL

A certificate may be withdrawn by AV-USA only in the following cases:

- A written request of the Certified Firm to AV-USA and/or
- The Certified Firm does not abide by the applicable AV-USA General Regulations.

Withdrawals are authorized by the AV-USA Certification Committee

A decision to withdraw a certificate is communicated to the organization by registered mail and is signed by the Executive President of AV-USA.

11 APPEAL

Any applicant, Certified firm or other interested party may appeal a decision by the AV-USA Certification Committee. Appeals should be submitted in writing to the Executive President of AV-USA via registered mail within thirty (30) days of the Committee's decision

The Executive President will convene the Advisory Committee to consider the appeal. The appellant is invited to attend the Appeal meeting. Appeal meetings shall be held in AV-USA offices in Houston, Texas.

The Advisory Committee shall hear both sides of the case as presented by the appellant, the Certification Committee and the audit team. The decision of the Appeal Committee will be final. The decision of the Advisory Committee shall be communicated to the appellant in writing within 3 days after the Appeal meeting.

12 CONFIDENTIALITY

All information about the applicants and the Certified Firms are maintained in confidence.

AV-USA may disclose parts or all of the certification files to the accreditation authorities and to AV-USA/AVI auditors on a "need to know" basis.



System Certification General Regulations

If AV-USA is required by law to disclose confidential information to a third party, the Executive President of AV-USA will notify the client.

13 LANGUAGES

AV-USA operates in English.

Translated certificates, bearing an original certification signature, are available in other languages for an additional fee.

14 CERTIFICATION FEES

The standard certification fees invoiced by AV-USA are defined in four lump sums and hourly rates. The lump sums include:

- the documentation review and preparation,
- the certification audit and report,
- the certification, registration and the publication and
- the maintenance program.

The lump sum amounts are defined on the basis of the certification model, the size of the firm and the complexity of its organization. Account is taken of any existing certification and/or previous review of the QMS/EMS (ISO 14001/RC 14001) by AV-USA. All lump sum amounts are invoiced after completion of the corresponding certification phase.

The hourly rates cover auditor travel time to site from portal to portal as well as supplemental activities, which AV-USA may be required to perform. These activities are outside of the scope of the lump sum bid and include such items as: re-review of the documentation, supplemental or follow-up audit, supplementary performances as described in AV-USA General Regulations Section 8, etc. They are invoiced after performance of the activity. Specific fees are defined for each particular activity. They are based upon the same principles as the standard fees.

15 REGULATIONS CHANGES

AV-USA promotes the acceptance of QMS/EMS (ISO 14001/RC 14001) certificates on a worldwide basis. Therefore, the certification scheme operated by AV-USA complies with the ANAB and Belcert criteria for registration. As a consequence, the current AV-USA General Regulations shall be amended when necessary to maintain this compliance.

16 REFERENCE STANDARDS CHANGES

When a revised standard is published, the transition period and modalities mentioned in the standard will be applied.