

H&SMS CERTIFICATION REGULATION

HEALTH AND SAFETY MANAGEMENT SYSTEM

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Art. 1 – Scope and Application Field

This Regulation defines and rules the relationships between ASACERT as a Certification Body, hereafter named CB, and the Organisations requiring the Certification of their own Health and Safety Management System (H&SMS).

Furthermore it defines the ways and conditions for the Certification release, maintenance, extension, renewal, suspension and revocation and the rules for the use of the Certification and the ASACERT Certification Mark.

The access to the certification services is allowed to any requiring Organisation in compliance with this regulation, excluding the application of any kind of discriminating conditions.

The advice in defining and applying the Company's Management Systems doesn't fall within the services supplied by ASACERT as, in compliance with the SINCERT " Regulation for the accreditation of the Certification Bodies", Asacert doesn't carry out such activity outside the normal information and service functions to the Organisations certified or to be certified. Furthermore ASACERT doesn't make outer companies carry out audit activities, doesn't offer nor supply internal audit services to its own certified clients and certifies management systems, which has possibly supplied internal audit services for, only after two years from the conclusion of the audits themselves. ASACERT doesn't certify other Certification Bodies for the activities of management system certification.

ASACERT certification isn't any simpler, easier, faster or less expensive, should the client Organisation have used the services of a specific advice company rather than another one. ASACERT certification activity isn't linked to activities of organisations supplying advice services, therefore actions will be taken, should any advice company assert unsuitably that the ASACERT certification will be influenced by the advisory request to the company itself.

Art. 2 – Reference Rules

REGULATION	TITLE
ISO/IEC 17021:2006	"Conformity evaluation - Requirements for the bodies supplying audit services and certifications of management systems"
IAF GD 6:2006	"IAF Guidance on the Application of ISO IEC Guide 66:1996"
OHSAS 18001:2007	"Occupational health and safety management systems. Requirements"
UNI EN ISO 19011:2003	"Guidelines for the audit of the quality and/or environmental management systems"
DAC-REQ-01 Issue 3 Rev. 2 January 2009	"Accreditation Requirements"
*SINCERT: RT – 12 revision in force	"Prescriptions for the accreditation of the Certification Bodies carrying out the certification of the quality management systems for the health and safety of the Employees"
*SINCERT: RG 01 revision in force	"Regulation for the accreditation of the certification bodies"
*LINEE GUIDA UNI-INAIL October 2001	"Guidelines for a Occupational Health and Safety Management System (H&SMS)"

*non-prescriptible documents, to be used as guidelines (except for RT-12 should the Organisation intend to use the certification to enjoy the easy terms of the INAIL payment)

Art. 3 – Definitions

The certification is "Attestation of the conformity of products, processes, systems or people by third parties" (s. ISO/IEC 17000:2004).

The Conformity Certificate released by the CB is the document attesting that the requiring Organisation works with a H&SMS in compliance with the reference Rule OHSAS:18001:2007.

The definitions related to the terms used for the activities concerning the certification of the Safety Management Systems are those ones listed in the Rules OHSAS:18001:2007 and ISO 9000:2005 "Quality Management Systems: grounds and terminology" with the following specifications:



Organisation: Term used to state the subject who supplies a product or service requiring the certification;

CB: Certification Body;

TCC: Technical

ISC: Impartiality Safeguard Committee;

Site: place or places where the Organisation carries out the Safety Management System to be certified;

Evaluation/Inspection: activity carried out by ASACERT to check the Organisation works in compliance with the reference Safety Management System;

Supervision: activity through which ASACERT checks the maintenance of the H&SMS conformity to the specified requirements;

Inspection Group (IG): group of inspectors charged by the CB with the evaluation of the Organisations' H&SMS;

Anomaly: Non-conformity and Observation;

Remark: Non-conformity, Observation and Comment;

Non-conformity: application lack of one or more requirements of the rule which directly influences the H&SMS; fulfilment lack of the compulsory and/or regulation requirements related to occupational safety;

Observation: one or more requirements are partially failed to comply with, without any prejudice to the H&SMS effectiveness; isolated episode of unfulfilment of one rule requirement which doesn't prejudice the HSMS effectiveness; application of the rule not totally in compliance with requirements such as formal or procedural lacks in the process management (the H&SMS is anyway under control).

Comment: remark not due to the verification of an objective situation of non-fulfilment of a requirement, but aimed at preventing such situation to occur (as it is potentially realisable) and/or giving directions to improve the Organisation's performances.

Inspection typologies:

PCI: Preliminary Certification Inspection

ICI: Initial Certification Inspection

PSI: Planned Surveillance Inspection

SSI: Supplementary Surveillance Inspection

CRI: Certification Renewal Inspection.

All inspections, except for the preliminary one (PCI), can be carried out with the inspectors of the Accreditation Body according to the CB needs.

Art. 4 – Impartiality Safeguard Committee

ASACERT certification activity is carried out in full observance of impartiality. In order to increase the guarantee level, the CB has a committee called Impartiality Safeguard Committee, which:

- 11 supports ASACERT in the developing of the policies related to certification activity impartiality;
- 12 opposes any trend that trade aspects, or aspects of any other nature, prevent a correct and objective certification activity;
- 13 supplies suggestions on aspects which can influence the certification trust, including the public's transparency and perception;
- 14 carries out a re-examination, at least once a year, of the impartiality of ASACERT audit, certification and decisional processes.

To carry out its duties at the best, the ISC is composed by the representatives of producers, consumers and ministries associations.

ASACERT ISC:

- guarantees the balance of the interests represented so that no one is predominant;
- can access to all necessary information to carry out its own duty;
- can take independent actions (for example by informing the authorities, the accreditation bodies, the interested parties), should the ASACERT Management not consider its own esteems about the impartiality management, respecting the confidentiality requirements under the following art. 13.



Art. 5 – General Terms

The Organisation must have a documented management system (Manual, Procedures) in compliance with the requirements of the reference rules for the certification and must prove to operatively use the management system according to the system documentation requirements and the reference regulation concerning the application field of the system itself.

In particular each Organisation can require the certification of its H&SMS on condition that it:

- ✚ has a H&SMS which satisfies the requirements of the reference rule stated in the offer request;
- ✚ has been applying the H&SMS integrally for at least 4 months;
- ✚ has completed at least a full internal inspection cycle and carried out a re-examination by the management;
- ✚ accepts the terms of the present Regulation;
- ✚ guarantees service to the CB Evaluation Group during the inspection visit with particular regard to the safety measures for the Inspectors as foreseen by the legislation in force and authorises the access to the areas and information necessary for carrying out the inspection.

Art. 6 – Occupational Health and Safety Management System Certification

6.1 – Request Presentation

The Organisation which intends to start the certification procedure with ASACERT has to present special estimate request by using the form supplied by the CB (form M-DCT01-0106), which it has to enclose the list of legislative prescriptions applicable to the process and activity related to the Occupational Health and Safety to.

On receipt of the request, the CB issues the "economical Offer", according to the supplied elements and the current tariff, which will be valid for a period of 60 days from the emission date.

On the basis of the indications supplied by the Organisation, especially relating the number of employees, the activities and, if applicable, the number and location of the branch offices and/or yards, the CB quantifies the inspection period and defines the reference EA sector for the Organisation and the Certification application field (Object) as well. The number of employees, the company activities and the possible branch offices/yards will be inspected and confirmed during the first audit in the company.

The inspection period can be changed also after the certification according to the yearly updated information about the number of employees, open and operative production places/yards, their complexity and geographical dislocation.

Should any discordance respect to the previous communication arise, both during the estimate request and yearly, the following possibilities could occur:

- ✚ reduction of the certification scope;
- ✚ definition of a further inspection to be carried out within a maximum period of 60 days;
- ✚ adequacy of the current inspection plan;
- ✚ deny of the certification.

Any extra charges due to the further inspections will be invoiced to the certifying/certified Organisation according to the ways provided in the offer.

In case of non-acceptance of the offer within 60 days, i.e. of non-beginning of the certification process within 12 months from the offer issue, should it have been accepted, it declines automatically without any penalties to be charged to the Organisation.

Furthermore this one has the possibility to represent, with the same modalities, a new estimate request which will be followed by the new offer by the CB.

The document collection: "Estimate Request" (form M-DCT01-0106), "Economical Offer" (form M-DCT01-0103), "H&SMS Certification Regulation" (form M-DCT05-0105) is the contractual agreement between the requiring Organisation and the CB for the certification activity. The contract is valid, renunciation permitted to be forwarded according the ways under art. 9 of this Regulation.

The inspections will be carried out both at the Organisation offices and its production seats and/or yards, so as the IG



can verify the real application of all requirements of the Rule OHSAS 18001 concerning the typologies of the activities to be certified.

All activities/works within the certification scope have to be verified at the production seats/yards during the certification validity term.

6.2 – Preliminary Certification Inspection

The CI can be preceded by a Preliminary Certification Inspection (PCI).

Upon request of the Organisation, ASACERT carries out, before the certification process starts, a preliminary inspection in order to value the application status of the Safety Management System.

Such activity doesn't influence the forthcoming activities of the inspection process, which cannot undergo time decrease or changes of the defined procedure of the inspections due to particular results of the preliminary inspection.

For example, it won't be possible not to check any paragraph of the regulation, because already verified on the preliminary inspection, and to reduce the number of days/man foreseen in the offer as well.

The Preliminary Certification Inspection (PCI) is therefore in all respects outside the certification process.

The PCI take no longer than 1 day/man and are carried out following the same methodology as the ordinary documentary inspections. ASACERT doesn't manage the feedback with the company (acceptance of the CA, closing checks, etc.).

The preliminary inspections are always carried out for a money consideration according to the current tariff for the day/man charge.

6.3 – Inspection Planning

At least 5 days before the CI, ASACERT forwards the Organisation the three-year schedule of the Inspections (CI + 2 surveillances). Such programme, including the plans of the single inspections, is to be considered indicative and can be reviewed by the CB upon each inspection and on change of terms related to responsible people and company's activities included in the management system, as well the location of possible temporary yards/seats and the activities carried out in here. Should the Organisation not receive a new inspection planning at least 10 days before the inspections (excepted for the first one), the audit plan is to be considered confirmed. For the supplementary inspections, at least 5 days earlier, ASACERT forwards a definitive audit schedule.

6.4 Inspection Groups

Before the three-year programme transmission, the Organisation is communicated the IGH which will carry out the first inspection. Possible IA are generally stated in the plan of the single inspection. With reference to the following inspection, should ASACERT not transmit a communication about the IG change within 5 days from the inspection, the inspectors group is considered confirmed. The Organisation can reject the IG by forwarding a written communication to ASACERT within 5 days from the communication of the CB. The refusal has to be supported by grounded reasons. Upon request ASACERT supplies any further basic information on each member of the IG.

ASACERT IG always includes audit, H&SMS skills and technical competence in the field of the health and safety working the Organisation.

Moreover to the inspections can participate:

- ✚ training inspectors of the CB;
- ✚ inspectors of the Accreditation Body, together with the IG;
- ✚ Organisation Advisors.

These latest ones can participate as watchers, therefore without any right to intervene in the inspection.

The cost of any possible participation of "Training Inspectors" or "Inspectors of the Accreditation Body" is on behalf of the CB itself.

ASACERT will early inform the Organisation by written letter that only for justified reasons, valued case by case, it cannot consent the inspection with Training Inspectors or Inspector of the Accreditation Body. Should the certified Organisation refuse to undergo a joint-inspection with the Accreditation Body Inspectors, ASACERT will suspend the certification released. The certification suspension process will go on as defined under the following art. 7 and 8.



Should the Organisation be under new certification, the process will have to be interrupted until the inspection is carried out.

6.5 – Inspection Management

Inspections of stage 1, stage 2, surveillance, renewal and the supplementary ones are organised as follows:

- ✚ an initial meeting with the Management and the Organisation Responsible people to confirm the scopes and modalities of the Inspection and the Inspection Planning;
- ✚ the inspection and the deepening of remarks arisen on previous documentary and/or field inspections and the verification of the acceptance of any exclusion;
- ✚ in case of positive result of the inspections under the previous point and of resolution of any possible interpretation divergence between ASACERT and Organisation, the real audit includes the Inspection in the Organisation in order to measure the correct realisation of the H&SMS in compliance with the reference documents;
- ✚ a final meeting to show the Organisation Management results and conclusions of the IG about the conformity of the H&SMS to the reference form, precisating any Non-Conformity, Observations and Comments. At the end of the meeting, the IG Head (IGH) gives the Organisation Management an Inspection Report describing the inspection results and any Non-Conformity, Observation and Comment.

The inspection results and the remark entity are ratified directly by the IGH who, on behalf of the CB, has the authority to confirm the Organisation the obtained results on conclusion of the inspections.

6.6 – Inspection Follow-up

Should the IG, during the above inspections, considering the sampling nature of themselves, incidentally, notice any non-observance of law requirements not concerning aspects directly correlated to the valued system but regarding other aspects of the activities carried out by the Organisation, for example aspects of environmental nature or linked to the product/service, without any duty to check such aspects, the IG has to inform the valued Organisation Management through special "confidential" document different from the inspection report. Such aspect will be valued during the next inspection, excepted for special cases for which it will be requested to the Organisation by the ASACERT technical management to solve it out in a determined short time.

In any case the results of the inspection of the IG are internally re-examined and in case further and formally ratified by the CB.

If the CB evaluation doesn't confirm the result reached and already ratified by the IG, the CB informs the Organisation accordingly in the shortest time as possible and anyway not longer than 10 days from the inspection through special written communication stating the changes to the previous result and their reasons.

Due to the Non-Conformity and the Remarks ratified, the Organisation has to send the CB, in the agreed times and on special forms, the related corrections, the causes and the corrective actions and state the realisation time. These can be collected by the IG directly at the end of the inspection. Should the ASACERT technical structure decide to change the inspection results, as above mentioned, the Organisation can be asked to send new corrections, causes, corrective actions and realisation time.

The CB values and approves the proposed corrective actions and, should it not consider them adequate, it informs the Organisation by written letter for the necessary reviews. The process for the certification release/maintenance/renewal cannot in any case go on until the Organisation sends the CB the necessary corrective actions; as a consequence the Organisation cannot undergo the analyse of the Technical Committee.

The Comments must be supported by the Organisation in writing. ASACERT will check the related considerations on the next inspections (surveillance/renewal/supplementary). The Comments not supported can be reposed as Remarks.

6.7 – Certification inspections

The CI are carried out in two phases: stage 1 and stage 2 audit.

6.7.1 Stage 1 Audit

During the stage 1 audit the ASACERT IG:

- ✚ checks the Organisation's H&SMS documents;
- ✚ values the Organisation site, including any particularities, and deepens the degree of preparation for the stage 2 audit with the company personnel;



- ✚ examines the level of adequacy and comprehension to the reference rule requirements, in particular regarding the most important aspects of the H&SMS processes, activities, performances and objectives;
- ✚ gathers the necessary information about the H&SMS application field, the processes, the sites, the reference legislative and regulatory requirements;
- ✚ re-examines the adequacy of the IG for the stage 2 audit, which it defines the details with the Organisation of;
- ✚ focuses on the planning of the stage 2 audit, acquiring enough knowledge of the H&SMS and the company's activities;
- ✚ values the planning and realisation of the internal audits and re-examination of the management.

The stage 1 audit is carried out at the offices of the client Organisation.

As stated under point 6.5 of this Regulation, at the end of stage 1 audit, the IGH formalises the results of the stage 1 inspection and communicates them to the Organisation.

Should the determined anomalies lead, during stage 2, to the emission of N-C or more than 10 remarks, stage 1 and stage 2 audits will be divided by a period of time suitable for letting the Organisation solve the remarks (not longer than 4 months otherwise it will be necessary to remake the stage 1 inspection).

Otherwise the stage 2 audit can start after stage 1 audit.

Should there not be any contrary communications, the planning of stage 2 audit already forwarded to the Organisation will be considered confirmed.

6.7.2 Stage 2 Audit

During the stage 2 audit, which is always carried out at the Client's head office, the ASACERT IG verifies at least::

- ✚ the information and evidences about the compliance with all applicable requirements;
- ✚ the monitoring of the key objectives, consistently with the requirements of the reference rules for the used management system;
- ✚ the client's management system as far as the legal aspects' control concerned;
- ✚ the operational control and the management of the aspects concerning the occupational health and safety;
- ✚ the internal audits and the management's re-examination;
- ✚ the management's responsibility towards the occupational health and safety;
- ✚ the overall correlations between: the rule requirements, the policy, the objectives, the compulsory applicable requirements, the personnel's responsibilities and skills, the performances and the results of the internal audit.

At the end of the inspection, the ASACERT IG analyses all the evidences arisen on the stage 1 and stage 2 inspections to re-examine every remark and agree the audit's conclusions. As stated under point 6.5 of this Regulation, at the end of the stage 2 audit, the IGH formalises the results of the inspection and communicates them to the Organisation.

Then the IGH forwards its own inspection report to the ASACERT technical structure..

6.7.3 – Procedure for the Certification Release

The documentation of the practice is examined by the ASACERT Management before being submitted to the Technical Committee for the deliberation of the Certifications release. To have the certification practice analysed by the Technical Committee, at least one of the following terms have to occur:

Term 1

- ✚ Non-Conformity 0 (zero)
- ✚ Remarks up to 10 (ten) included;
- ✚ Comments no limitation.

In such case the Organisation has to define for each Non-Conformity and Remark noticed by the IG the treatment and corrective actions carried out. Such activity has to be carried out by using the "File Remark Management" (form M-DCT01-0207).

All forms M-DSG01-0207 filled in have to be transmitted always in original to ASACERT as soon as possible, by anticipating them by fax or e-mail. They can be collected filled in directly by the IGH at the end of the audit.



The certification practice cannot be submitted to the committee if the ASACERT Technical Management and the IGH haven't checked and accepted on a documentary basis, and if necessary through a supplementary inspection, the positive closing of the N-C and Remarks or the overcoming programme. Should a contrary communication by ASACERT miss within 10 days from the receipt of the corrections and the CA, these are considered accepted.

In case of positive verification by the Technical Management and the IGH, the practice is forwarded to the Technical Committee which can deliberate the certification release. With reference to the number and the importance of the N-C and Remarks released, and the defined corrective actions as well, the committee can deliberate a Supplementary Surveillance Inspection (SSI) after the certification to be carried out by a time defined by the committee but anyway no longer than 6 months from the certification release date.

Such increase in the surveillance inspections needs guarantee that the Organisation measures are really effective, in a defined period of time, and in compliance with the Organisation Management System, made valid concerning the compliance with the certification general rules of the CB.

Should severe lacks of the effective application of the defined corrective actions arise during the supplementary surveillance inspection, the Technical Committee can deliberate the certification suspension.

To revoke the suspension, a new supplementary inspection SSI will have to be carried out. Such process is to be considered valid also for the planned surveillance inspections PSI.

The SSI carried out under such terms are charged at the Organisation.

In the other cases the practice can be submitted to the Technical Committee and in particular:

Term 2

- ✚ Non-Conformity 1 (one) or more;
- ✚ Remarks over 10 (ten).

In such case, for each Non-Conformity and Remark noticed by the IG, the Organisation has to define the treatment and the corrective actions put into effect. Such activity must be carried out by using the "Remark Management File" (form M-DCT01-0207).

The certification practice cannot be submitted to the Technical Committee.

ASACERT carries out a Supplementary Surveillance Inspection (SSI) to check the overcoming of the N-C noticed and at least the Remarks overcoming programme.

In special cases, acceptable only by the ASACERT Technical Management, the overcoming of the N-C can be verified by forwarding Organisation's documents.

Should one or more documentary and/or supplementary surveillance inspections (SSI) lead the Organisation under "Term 1" back, the practice can be submitted to the Technical Committee.

The documentary inspections and the SSI under such terms are charged to the Organisation.

6.7.4 – Decisions for the Certification

Upon positive response of the Technical Committee, verified the fulfilment of the economical duties of the Organisation, ASACERT s.r.l. issues the Conformity Certificate.

The CB sends the Organisation a letter to inform it about the obtaining of the Certification and encloses the Conformity Certificate. It includes: the Organisation's name, the address of its offices, the reference rules and/or regulations, the application object and limits of the certified Management System for the Occupational Health and Safety, the date and time of the certification validity.

Further to the certification release, ASACERT puts the Organisation's name into the list of the certified Organisations. Such list is updated in each meeting of the Technical Committee and is available to anyone requiring it.

On negative response of the Technical Committee inspection, ASACERT sends the Organisation a communication stating the reasons of the certification release refusal and specifying if it is necessary to carry out a field supplementary inspection or documentary evidences are enough to lead the company back to the above Term 1 or Term 2, from which the certification process starts again.

The CB meets periodically by ASACERT and analyses some random certification practices to checks the right carrying out of the certification process by ASACERT as far as the impartiality guarantee concerned.

Should potential irregularities arise during the inspection of the IGC, which are not due to the Organisation, any necessary further inspections won't be charged to the Organisation. On the other hand, should any lacks be due to the Organisation, any extra charges for further inspections will be invoiced to the Organisation. The reasons of the



extra inspections will be forwarded to the Organisation with the list of the related reasons.

Then the certification practice undergoes a new inspection by the specific Technical Committee which has to define the actions to be taken for solving any noticed remarks. ASACERT won't take any suspension and/or revoke measures until objective evidences arise supporting the measure itself.

Within max. 120 days the Technical Committee has to promote the measures necessary to solve the problems remarked by the Impartiality Safeguard Committee. After such term, ASACERT, during the first meeting of the above committee, will have to prove the obtained results arising from the deepening.

In any case, the Organisation accepts and authorises ASACERT to communicate the measure to the accreditation Body.

6.8 - Certification Validity, Surveillance and Maintenance

The certification is valid three years from the issue date reported on the Certificate (coinciding with the meeting date of the Technical Committee which has deliberated it) and undergoes 3 (three) "planned surveillance inspections" (PSI) by the Organisation, the first one is carried out within 12 (twelve) months from the date of the last day of stage 2 inspection, the second one by a year from the first inspection and the third by a year from the second one.

The third PSI coincides with the certification renewal inspection (CRI).

4 months earlier than the limit date to carry out the surveillance inspection, ASACERT reminds the Organisation the expiry and encloses, generally, the invoice related to the audit, together with any forms related to the active yards in case of Organisations of sector EA28. The precise audit date, and any yards to be visited as well, will be agreed between the Organisation and the IGH.

Should the Organisation not have paid for the above invoice, anyway forwarded, yet on the surveillance inspection date, the certification can be suspended as per the hereunder art. 7.

The surveillance inspections aim to verify, at least:

- ✚ the maintenance of the H&SMS conformity to the reference rule;
- ✚ the internal audits and the management re-examinations;
- ✚ the realisation of the corrective actions arising from the ICI or the previous surveillance or renewal inspections;
- ✚ the management of the complaints and the realisation of the related corrective actions;
- ✚ the H&SMS effectiveness arising from the objectives reaching;
- ✚ the operational check;
- ✚ any documentary, process/plant changes concerning the Occupational Health and Safety and/or the H&SMS;
- ✚ the Organisation activities planned for the H&SMS standing improvement;
- ✚ the fair use of the conformity Mark and Certificate by the Organisation.

Supplementary surveillance inspections, not planned, upon short announcement, can be carried out, should the CB be informed of lacks of the certified H&SMS or claims from the market. In this case the Organisation cannot recuse the ASACERT audit Group with the possible presence of the Accreditation/Abilitation Body. The lacks will have to be supported by documentary evidences or written remarks to the CB. Should the IG during the inspections confirm the validity of the causes which lead to a Supplementary Inspection, the charges will be debited to the Organisation in the modalities defined on the agreement.

Should the IG indeed end the supplementary inspection without any evidence of the causes which led to the inspection itself, the charges will be on behalf of ASACERT.

The certified Organisation has to promptly inform the CB in written about any severe changes made to the H&SMS. Such changes could make necessary a special SSI.

The maintenance of the Certification for the three-year validity undergoes the prescriptions under point 6.7.3. In particular, the certification maintenance is permitted on the occurring of term 1. Yet the ASACERT management can carry out Supplementary Surveillance Inspections (SSI), according the number and importance of the Non-Conformities/Remarks noticed during the RI, to measure the effectiveness of the treatments and of the implementer corrective actions.

On occurring of term 2 under point 6.7.3, ASACERT suspends the Organisation certification, as under the forthcoming art. 7. The Organisation has to promptly send the defined corrective actions. ASACERT submits the practice to the Technical Committee to define the timing to carry out the SSI.



Only through a SSI, which leads to term 1 back, and after submitting the practice to the Technical Committee, ASACERT can revoke the suspension measure.

The results of the planned surveillance inspections (PSI) and of the supplementary surveillance inspections (SSI) are analysed by the Technical Committee to maintain the released certification. The Technical Committee can ask for any further extra inspections or deepening to the charged IG.

6.9 - Certification Renewal

The certification renewal is carried out by the expiry of the three-year validity of the certificate. The planning of the Certification Renewal Inspection (CRI) is carried out from the 4th month before the certification expiry date. In special cases, verified one by one, the ASACERT Technical Management can postpone the certification validity of 30 calendar days from the three-year expiry.

About 4 months before the certificate expiry, ASACERT reminds the Organisation of the necessity to carry out the renewal audit and generally encloses the related invoice together with the form, which is to be filled in with the active yards in case of Organisations of sector EA28. The precise audit date, and the possible yards to be inspected as well, will be agreed directly between the Organisation and the IGH.

Should the Organisation not have paid for the above forwarded invoice yet on the inspection renewal date, the certification can be suspended as foreseen under the forthcoming art. 7. In any case the new certification will be forwarded only after the invoice payment.

The renewal audit is planned and carried out to value:

- ✚ the steady meeting of the rule's requirements;
- ✚ the steady effectiveness of the SMC on the whole, in the light of internal and external changes;
- ✚ the steady consistency of the scope and the application field of the certification with regards to the Organisation's realisations;
- ✚ the shown engagement to improve the H&SMS overall performances;
- ✚ the H&SMS operativeness in the realisation of the Organisation's policy and scopes.

The renewal audit considers the H&SMS performances in the previous certification period and includes the re-examination of the reports of all surveillance audits.

Should the H&SMS, or the surrounding situation, have undergone significant changes (for example in case of substantial legislative changes), ASACERT can deem necessary to carry out a renewal audit divided into stage 1 and stage 2 as under the previous points 6.7.1. and 6.7.2 of this Regulation.

The RCI leads to a new examination of the H&SMS documents and a reevaluation inspection of the whole H&SMS according to the modalities described in the previous points 6.7.3 and 6.7.4.

The Certification renewal at the three-year validity expiry undergoes the prescriptions reported in point 6.7.3. In particular, the certification is renewed on occurring of term 1. Yet the ASACERT management can, with regard to the number and importance of the Non-Conformities and Remarks noted in the CRI, carry out Supplementary Surveillance Inspections (SSI) to measure the effectiveness of the treatments taken and the implemented corrective actions as well.

On occurring of Term 2 defined under point 6.7.3, ASACERT doesn't renew the certification to the Organisation. The certification practice cannot be submitted to the Technical Committee.

ASACERT carries out a Supplementary Surveillance Inspection SSI to verify the overcoming of the N-C noticed and at least the programme of the Remarks' overcoming.

In exceptional cases, acceptable only by the ASACERT Technical Management, the N-C overcoming can be verified according to the forwarding of documents by the Organisation.

Should one or more documentary inspections and/or supplementary surveillance inspections SSI lead the Organisation back to "Term 1", the practice can be submitted to the Technical Committee.

The documentary inspections and the SSI carried out in such term are charged to the Organisation.

The Technical Committee can ask any supplementary inspections or deepening to the charged IG.

6.10 - Extension and reduction of the certification object

The Organisation can ask the CB to extend the certification and other activities, not included in the released certification.

Similar request can be presented to the CB in case of reductions or exclusion of activities, according to the previous



point 6.8.

The above extensions or reductions could require a revision of the conformity certificate previously released.

Upon a written request, the CB will establish, further to the examination of the presented documents, whether a supplementary inspection has to be carried out or it can be avoided, by integrating it with the first planned surveillance inspection.

6.11 – Acknowledgement of the certifications released by other Certification Bodies - Maintenance and Renewal

Should ASACERT receive an estimate request by Organisations already certified by other certification bodies, it carries out a re-examination similar to the one described under point 6.1.

Should the Organisation have been certified by a CB not accredited for the sector EA by a body signing the accreditation agreements EA, PAC, IAAC o IAF MLA or accredited for the sector EA by a body not signing the agreements EA, PAC, IAAC o IAF MLA, it will be issued an estimate for a new certification and the process will be the same as point 6.1-6.7.4.

Changes of the normal ASACERT rules are not foreseen for the release of new conformity certifications.

Should the Certification been indeed certified by a CB accredited for the sector EA by a body signing the agreements EA, PAC, IAAC o IAF MLA, after positive verification of the certification and accreditation validity status, it can be issued an estimate for the certification maintenance, which will lead to an inspection at least of the following aspects:

- ✚ Congruence between sector of actual activity and EA certification sector;
- ✚ Reason of the CB change;
- ✚ Accreditation status of the certifying CB:
 - Accreditation of the CB under validity for the specific sector;
 - Analyse of any possible suspensions/revocations warned by the CB on behalf of the accreditation Body;
- ✚ Status of the certification released by the Organisation
 - Certification in the process of validity;
 - Congruence between activities covered by the Management System and issued certification
 - Coherence of the exclusions accepted by the certifying CB.
- ✚ Analyse of the inspection documents released by the certifying CB on the latest verifications up to the most recent renewal or certification inspections and of the corrective actions defined by the Organisation.

A surveillance, renewal or new certification inspection will be carried out, preferably on the premises, with reference to the period of the Organisation's certificate validity, the activity carried out by the Organisation, its complexity and, in general, the trust level which the ASACERT management will have in the current certification.

In case of positive surveillance inspection, the current timing term of the certification validity will be confirmed. In case of renewal or new certification inspection a new three-year valid certification will be issued.

To define the number of days necessary to carry out the audit, ASACERT considers the guide IAF GD 2:2005.

In any case the ASACERT management, facing particular technical needs, can increase the number of days.

Then the certification process goes on according to the same modalities under point 6.2 and the following ones.

Art. 7 - Certification Suspension

The CB can suspend the certification validity for a determined period of time, should special situations occur such as:

- ✚ the Organisation has temporary suspended the H&SMS application;
- ✚ the Organisation doesn't permit the realisation of the PSI or SSI or RCI;
- ✚ the Organisation isn't available for inspections together with inspectors of the Accreditation Body;
- ✚ the corrective actions due to the remarked non-conformities are not carried out;
- ✚ it occurs irregularities in using the CB Mark and/or Certification or the CB Accreditation Body's Mark;



- ✦ the H&SMS doesn't guarantee the respect of the compulsory requirements regarding the Occupational Health and Safety;
- ✦ the occurring of problems linked to the compulsory requirements of the offered product / service or the interested management system;
- ✦ the non-communication to the CB about any changes of its own management system;
- ✦ the non-communication to the CB about judiciary and/or administrative procedures;
- ✦ the condemnation of the Organisation for the non-respect of the compulsory requirements concerning the management system under certification;
- ✦ the missing management of complaints or remarks directly linked to the lacks of the certified management system.
- ✦ the Organisation's non-respect, after formal reminder, of the financial commitments towards the CB.

Should the Organisation ask for the certification suspension (for a period which shouldn't exceed 6 months), the ASACERT management, after deepening the reasons, notifies the Organisation through a registered letter with return receipt, anticipated by fax, the acceptance of the request and the terms under which the suspension can be revoked. The measure is then communicated to the Technical Committee during the first meeting.

Should one of the above situations indeed occur, the suspension procedure is deliberated by the ASACERT management, if necessary advised the Technical Committee charged for the specific sector EA, also convoked in extraordinary meeting. The procedure is then anyway communicated to the Technical Committee on the first meeting.

In this case the ASACERT Management notifies the Organisation through registered letter with return receipt, anticipated by fax, the reasons of the taken measure, the suspension time and the terms under which it can be revoked. In some cases a telegram can be sent.

The suspension measure enters into force on the date of the registered letter.

The certification released and then suspended cannot be used in any case (for example participation to public contracts) from the day of receipt of the ASACERT registered letter with return receipt.

The Organisation accepts and authorises ASACERT to make the possible warned suspension measure public and therefore to officially forward it, through the site of the accreditation Body, and the Organisations charged for the inspection as well - such as the Authority for the Supervision of the Public Works .

The suspension will be revoked only after the CB ascertainment of the satisfactory restoration of the compliance with the requirements specified through a SSI.

The suspension revocation measure is deliberated by the Technical Committee charged for the specific EA sector, in case summoned in extraordinary meeting. The suspension revocation has effect from the date of the Technical Committee.

The costs relating the arising supplementary inspections, at the ASACERT offices and/or the company's office, are charged to the Organisation.

Art. 8 – Certification Revocation

The CB revokes the certification if the Organisation:

1. hasn't eliminated, in the ways and times established, the terms which have led to the certification suspension;
2. breaches the compulsory rules of the Occupational Health and Safety;
3. stops the activities for which it had got the certification of its H&SMS;
4. goes into liquidation or under judicial or extraordinary administration or a bankruptcy proceedings is open;
5. has definitive convictions, become final, charged to its representatives, for facts regarding the non-respect of the compulsory requirements of the management system object of certification;
6. doesn't respect, after reminder, the financial commitments towards the CB, in the stated terms.

The decision for the certification revocation is taken by the ASACERT Management or the Technical Committee charged for the specific sector EA, if necessary summoned in extraordinary meeting, generally according to the reasons' type: administrative/legal or technical. After the certification revocation the contract between the Organisation and ASACERT is rescinded.

The certification revocation takes effect from the date of the communication transmission, anticipated by fax, sent by registered letter with return receipt by the ASACERT Management to the certified Organisation.



The ASACERT Management notifies the Organisation the measure reasons in the sent communication.

On the certification revocation the Organisation has to pay for a penalty at the rate of:

- ✚ 50% of the amount of the activities still to be carried out in the three-year validity of the certificate, foreseen by the current contract, if the revocation occurs between the day of the first certification or the renewal and the date of the second contractual surveillance inspection of the three-year period;
- ✚ 25% of the amount foreseen for the initial certification should the revocation occur after the latest contractual surveillance inspection of the three-year period.

The certification revocation implies the Organisation cancellation from the list of the certified companies; the Organisation has to give the CB the original conformity certificate in its hands back and eliminate any copy, and stop using the certification mark in any form and way as well.

The Organisation accept and authorises ASACERT to make public, and therefore to officially forward any possible revocation measure, through the accreditation Organisation's site, and the inspection Bodies, such as the Authority the

Supervision of the Public Works and the Attestation Body.

The CB reserves the right to ask the compensation for damages.

Art. 9 – Rejection

The Organisation can reject the certification through registered letter with return receipt as from the date of the its receipt by ASACERT:

- ✚ on the certification's validity expiry, before its renewal, through formal contract's notice at least 6 (six) months earlier. Should the rejection notice be communicated to ASACERT not earlier than 6 months from the certification expiry, ASACERT can apply a 15% rescission penalty of the amount foreseen for the initial certification, as stated in the subscribed offer. In case of communication of the certification rejection, ASACERT will have to inform the Accreditation Body of the intention not to continue the certification relationship. The Accreditation Body can prescribe ASACERT to carry out, for example, a third surveillance audit with a time equal to 1/3 of the time spent in the audit of the first certification or the obligation to immediately revoke the certification, should the Organisation not undergo such audit. If the Organisation is available to carry out the audit and this leads to a positive result, and if the Accreditation Body doesn't ask ASACERT to as well, the certification stops to be valid on the date of the natural expiry. In case of certification rejection, the Organisation has to give ASACERT the original conformity certificate back, cannot use any copies of it and has to remove any reference to the CB certification from the headed paper and its own documents, and, in general, stop using the certification mark in any form and way;
- ✚ in cases of changes under art. 10;
- ✚ in any other moments, with the payment of an advanced rejection penalty of 50% of the amounts of the activities still to be carried out in the three-year certificate validity, foreseen by the valid contract. The penalty can be reduced to 25% if the rejection communication is forwarded to the CB through registered letter with return receipt at least 3 (three) months before the natural expiry and/or schedule of the Planned Surveillance Inspection PSI. On the certification rejection, the Organisation has to give ASACERT the original conformity certificate back, cannot use any copies of it and has to remove any reference to the CB certification from the headed paper and its own documents, and, in general, stop using the certification mark in any form and way. The released certification stops its validity as from the day of receipt of the rejection communication by ASACERT, as it cannot be used anymore in any way by the Organisation (for example the participation to Public Works Contracts).

Art. 10 – Change of the certification scheme

In case of changes to the certification scheme of the CB and/or this Regulation, except for the necessary or the related to normative or the regulamentary ones, among which the changes of the reference documents under art. 2 in an unexhaustive way, or related or consequent to themselves, or the changes necessary or related to the respect of regulations, instructions or fulfilments necessary and/or suitable for obtaining or keeping the ASACERT accreditation, the CB will inform the Organisation and state the kind of changes and the date within which the Organisation will have to adjust.

The Organisation, in case of non-acceptance of the proposed changes, can reject the certification through written communication to the CB according to the modalities under art. 9, i.e. by registered letter with return receipt, with effect as from the date of the receipt by ASACERT, only if such changes are substantial and important for the change of the CB certification scheme and/or this regulation and are substantial and too expensive for the Organisation causing severe changes in the company's management system and ordinary operativity.



Any costs for evaluation activities arising from the above changes will be charged to the valued Organisation.

Art. 11 – Responsibilities and Duties

11.1 - Compulsory Requirements linked to the management system and limits of the related controls.

The H&SMS certification doesn't relieve the Organisation of its responsibilities towards the employees and the third parties in general and of the fulfilment to carry out its activities for the conformity of the supplied goods and services, the regulations from Laws and other acts having the binding force of a law (such as Directives and Regulations), or from technical rules, applicable contractual bonds and/or agreements.

The certification concerns only the conformity of the Organisation's management system to the reference rule and therefore isn't a certificate of the respect of the above compulsory requirements.

The CB has the responsibility of verifying, according to a sampling compared to the audit time, that the Organisation knows and is able to manage all the compulsory aspects linked to the management system subject of the certification.

The ASACERT activity cannot be considered substitutive or alternative to the Public Authority's ones. The certification cannot be considered a means to avoid and/or reduce any possible checking activities by the Public Authority.

Therefore the Organisation is the only responsible for the respect of the legislative instructions in force related to the Organisation itself and/or the supplied products/services, except for any guarantee responsibilities or duties by the CB.

Furthermore the Organisation commits to supply all the ASACERT IG members and any possible Observers all the necessary information about the specific risks of the working environment where they're going to operate, the adopted prevention and protection measures and the established emergency plans, and supply all the necessary Systems of individual Protection as well.

11.2 – Duty to inform about eventual current legal and/or administration Procedures

Should ASACERT receive official information about involvements in legal proceedings due to laws on the Occupational Health and Safety and anyway regarding the system subject of certification, the Management will officially forward such information to the Technical Committee and to the accreditation Body for its competence.

Furthermore the Organisation commits to promptly inform the CB of all the different situations noticed by the Inspection Authority and any suspensions or revocation of authorisations, licences, etc. concerning the production/supplying of products/services linked to the certification as well.

Moreover it has to immediately communicate the CB any judiciary/administrative proceedings in progress, regarding the subject of the certification, except for the limits imposed by Law. The Organisation has to constantly inform the CB about such situations evolving.

11.3 – Clause of responsibility limitation

The Organisation commits to guarantee the completeness and truthfulness of the documents and the information put at the charged IG disposal.

The CB is expressly excused from any responsibilities in case of missing or incomplete data communication, and in case the data themselves don't correspond to the real company's situation as well.

11.4 – Maintenance Duty of the Conformity to the Management System Requirements and eventual Changes

The certified Organisation commits to maintain its structure in conformity with the requirements demanded by the rules stated in the certification, during the whole period of the certification's validity.

Should the Organisation intend to modify important parts of the property and/or the company set-up, of its own organisation structure (ex. changes of the data stated in the certification request, suspension of the activity subject of certification, etc.), it will have to give preventive written communication to the CB, which can accept the variations or arrange the execution of a supplementary surveillance inspection.

Should the Organisation intend to modify the certification's validity field (certification scope), it has to send a written request to the CB; with reference to the requested changes, ASACERT will value the necessity to carry out a Supplementary Surveillance Inspection.

Art. 12 - Management of the certification mark and the conformity certificate

12.1 – Authorisation

With reference to the communication of the release of the conformity certification to the Rule OHSAS 18001:2007



and during the period of validity of the certification itself, the Organisation is authorised to use the certification mark and the certification of property conformity of the CB in the ways and terms described in the following points. The certificate and the file including the certification mark to be used are sent to the Organisation after the positive decision of the ASACERT Technical Committee and should there be no outstanding administrative invoices.

12.2 – Characteristics of the certification mark

The mark use is optional; yet, if the certified Organisation would like to make use of such faculty, it will have to use the mark according to the following specifications.

The certification mark recalls the ASACERT S.r.l. Company's logo

The Asacert S.r.l. company's logo is made up of the following elements:

the Logo (writing ASACERT), the sketch of the lozenges in four colours, the horizontal line in grey, the abbreviated name "Assessment & Certification".

Asacert Logo



The following figure 1 shows the vertical version of the Asacert mark. The graphic develops vertically. From top to bottom: the graphical element of the lozenges in four colours, the ASACERT Logo, under this one the line in grey and right here under the expression "Health&Safety Management Systems Certificate OHSAS 18001:2007".

Figure 1



The following figure 2 represents the "horizontal" version of the ASACERT mark. The mark graphic develops horizontally. From left to right: the graphical element of the lozenges in four colours, on their right the ASACERT Logo, under this one the line in grey and right here under the expression: "Health&Safety Management Systems Certificate OHSAS 18001:2007". Such version is to be used if the paging doesn't allow to use the "vertical" solution which has anyway to mainly be used.

Such cases occur if the text is lined up on the left side (this is the case of the ASACERT headed paper, where the mark is always at the top on the left). Such version can also be used if there isn't enough room to use the Mark's "vertical" version, whose visibility would be compromised.

Figure 2





For the detail related to the coupling between the ASACERT certification and the Accreditation Body mark, which the Organisation can use if ASACERT has the accreditation in the specific sector EA, the regulations of the mark have to be respected, which is stated in the Accreditation Body's site, in any moment in the updated version, further to the definitions of the present article.

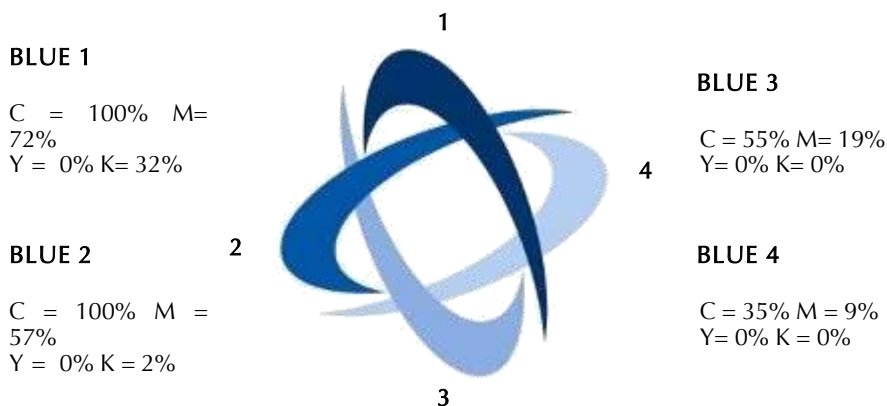
For applications of documentary nature, the Marks, or their combinations, can be reduced respecting the readability needs and keeping the dimension ratio. Likewise, for applications on big-size objects, the Marks can be enlarged, always keeping the dimension ratio. The dimension of the writing hasn't to exceed (horizontally and vertically) the relating spaces of the Body Mark.

Each version of the ASACERT Mark has the same colours. It's a four-colour print (CMYK), i.e. made of the components of the four colours of the standard print: Cyan, Magenta, Yellow and Black. Respectively in different percentages, which cannot be changed during the operations of the mark's use. The part of the ASACERT Logo and of the text of the expression "Assessment & Certification" and "Health&Safety Management Systems Certificate OHSAS 18001:2007" are indeed made of an added fifth colour, which is part of the Pantone's shades. The colours in the "horizontal" and "vertical" versions are the same, as the elements, which are the same for both versions, are made of the same colours, without any diversification between the two versions (for example the ASACERT Logo will be in the same colour, both in the "horizontal" and "vertical" version).

The ways and quantities according to which the colours are used in the realisation of the ASACERT mark are hereunder illustrated in figures 3, 4, 5.

Starting from the element "lozenge" with colour gradations which go from darker to lighter, there are four shades of blue:

Figure 3 – Lozenges



ASACERT

Figure 4 - ASACERT logo and line

Both elements are made of the PANTONE colour COOL GRAY 8 (100%)

Figure 5 – Expression

The expression

HEALTH&SAFETY MANAGEMENT
 SYSTEMS CERTIFICATE
 OHSAS 18001:2007

is made of the screen of the PANTONE colour COOL GRAY 8 (60%)



The basic type of the ASACERT Mark and of all the matching image is Optima.

The mark type has never to be changed, either in size (shape) or in the normal and bold face type (or light/roman and bold).

Moreover there cannot be any change in the proportion between the text side (lettering) and the graphical elements (lines and lozenges), which make the mark as a whole.

The dimensions of the elements making the ASACERT Mark haven't to be changed in any way in their sizes and proportions which bind it to the other elements of the mark.

The surveillance on the correct structure of the Asacert certification mark and the Accreditation Body mark, and on their right use as well, is carried out by ASACERT both through the surveillance inspections and the documents and/or documentary information found on the market.

12.3 – Use of the certification mark and the conformity certificate

The mark can be used, combined to the certified Organisation's name/mark on headed paper, stationery, advertising and promotional material, but it cannot be used on products, or applied in such a way to be mistaken for a product certification or to be extended into other schemes or systems not included into the conformity certification released by ASACERT S.r.l.. The

ASACERT mark cannot be affixed to trial, calibration or inspection report.

It's very important that the system certification isn't confused with a product certification and that it is not extended to other sites which are not part of the released certification scope.

The Conformity Certification can be used by the certified Organisation with informative aims, as long as it is reproduced faithfully in each part; it can be enlarged or reduced uniformly as long as the content remains readable and the contours and contents are unchanged.

The certified Organisation has to assure that the use of the mark and the certificate is enough for a correct information towards third parties concerning its activities really covered by the obtained certification.

Revisions of the conformity certificate, arisen by any kind of change - for example of the revision of the reference rule, of the company name, etc. - will be invoiced at the rate of 100 € + VAT or as otherwise specified in the ASACERT offer or in other document. Also any possible communication regarding the certification validity or the certification process status will be invoiced in equal measure.

12.4 – Incorrect use of the certification mark and/or the conformity certificate

Should an incorrect use of the certification mark, the accreditation Body's mark and/or the conformity certificate occur (for example: use in the certification suspension period; after the certification cancellation; extension also to sectors not covered by the certificate, etc.), or should the mark be used on the products, packing, adhesive tape, product technical sheets, lab certificates, etc., ASACERT will have to take measures towards the certified Organisation considered suitable for protecting the integrity of its own image and safeguarding the organisations and/or people who can be misled because of the incorrect use of the mark.

12.5 – Corrective actions

After an incorrect use of the certification mark, the accreditation Body's mark and/or the conformity certificate, ASACERT asks the Organisation for adequate corrective actions which leads to the restore of a suitable use of themselves.

In any case, the corrective actions will be defined considering the type of incorrect use and its consequences; legal actions can be taken should the mark and/or certificate haven't been used in accordance with the contractual agreements.

The corrective actions requested by ASACERT will have to immediately be carried out by the Organisation.

12.6 – Certification suspension

Should the incorrect use of the certification mark and/or the conformity certificate have led discredit to the image of the CB, ASACERT can suspend the certification released by the Organisation and ask for the compensation of any damages. The suspension notify will be sent to the certified Organisation through registered letter and a copy to the Accreditation Body, if the released certificate is under accreditation.

The certification suspension can be decided by the CB also if the Organisation refuses to carry out the corrective action requested because of an inappropriate or incorrect use of the certification mark and/or the conformity



certificate.

Art. 13 – Protection of the personal data

In compliance with the Legislative Decree no. 196 dtd 30/06/2003 and similar on protection of the personal data, the "preventive informed consent" by the Organisation is essential condition for the CB in order to carry out contractual relationship and the related evaluation and certification activities. ASACERT S.r.l. guarantees the most complete confidentiality and care of the data which it will be enter in possession of, which will be treated according to the privacy rule in force (Legislative Decree 196/2003 and following changes).

In particular ASACERT S.r.l. guarantees to the client that:

- ✚ Office holder of the data is ASACERT S.r.l. - Via Mac Mahon, 33 – 20155 Milan.
- ✚ During the fulfilment of the service, employees and/or collaborators can get to know about the data, which are from time to time interested or involved in the respective duties, according to the received information. The list of the people in charge is constantly updated and can be communicated together with more detailed information on subjects who can be informed of the data as a delegate upon specific request at the ASACERT S.r.l. office.
- ✚ The entrusted data won't be given up or communicated to third parties, i.e. Organisations, legal bodies, natural person not collaborating with ASACERT S.r.l. and not signing with it a contract for the Clients' information confidentiality. The data treatment will be therefore assigned exclusively to inner or outer personnel, who has subscribed with the ASACERT S.r.l. management commitment to guarantee the confidentiality (gentlemen's agreement).
- ✚ The ASACERT S.r.l. information systems are adequately protected from external intrusions and from the internal ones as well. All systems are in accordance with the law as for the adequacy to the consolidation act on privacy.
- ✚ The Client is given full and complete leave to require the immediate cancellation and/or destruction of the personal data except for the ones ASACERT is obliged to keep by law (tax documents - both papery and electronic). In case of cancellation, ASACERT won't be able to carry out any activities, should this request occur during the service supplying, and will stop the activities in progress, reserving the faculty to ask the Organisation for the whole amount agreed in the contract/offer.
- ✚ The use of the personal data to send commercial documents will be carried out only and exclusively without the aid of automatic systems, with the immediate possibility that such sending are suspended immediately.
- ✚ The complete and wide report on the personal data is available upon request. Such report will be released in case of signing of the contract for the services supply or upon request from the Client or potential Client.

On signing this Regulation, the Organisation, informed about the a.m., authorises ASACERT S.r.l. to treat the data described in the hereunder list as confidential information, in compliance with its policy of data protection and in particular to:

1. treat the personal data and any possible sensible and judicial data necessary for supplying the service;
2. treat the personal data and any possible sensible and judicial data by using protected information technologies;
3. use communication systems with the client to send informative reports, also commercial ones;
4. make the possible measures of the certification suspension and/or revocation public through the Register of the Certified Companies, the ASACERT web site, the accreditation Body's web site and, when provided for, of other institutional Bodies, such as the Authority for the Supervision of the Public Works;
5. inform anyone requiring it of the certification validity status (for example if the certification is suspended, revoked or reduced);
6. treat the information concerning the client from sources different from the client itself (for example from the person making a complaint, from authority within the legislation).



Art. 14 – Complaints

The Organisation can make complaint, in words or in written, about its contractual relationships with the CB. Such complaint can arise from problems occurred during the certification process, such as, for example, delays in the fulfilment of the different phases or behaviours considered incorrect by inspectors or the CB personnel. Complaints can be made to ASACERT also by clients of ASACERT certified Organisations or by third parties towards the Organisations themselves.

The CB arranges the recording of the complaints, analyses them and informs the claimer within 30 (thirty) days about the sprung actions.

Art. 15 – Appeals

The appeal springs from the Organisation's dissent from a decision taken by the CB on the certification process.

The appeal has to reach the CB in written within 30 days from the document date, which it is referred to, and include the complainant's data, the reference to the act against which it has been lodged and the reasons, supported by any documentary evidence. ASACERT confirms in written within 30 days from the receipt data it has received the appeal and supplies reports on the results and, when applicable, on the progress.

The decisions concerning the appeal are taken, re-examined and approved by the ASACERT management and anyway not by subjects involved in the appeal contents, who are in any way advised. Should the appeal result not be accepted by the Organisation, the dispute will be handled by a Commission made of a CB representative, an Organisation representative and a third party, as a President, appointed by the previous ones by mutual consent to re-examine the appeal and come to a friendly solution of the dispute itself.

Art. 16 – Contentious procedures

All disputes unsolved by the application of art. 15 can be referred to the decision of a Single Arbitrator to be appointed in compliance with the Regulations of the National Arbitration Board in Milan.

The Parties declare expressly to know and accept the mentioned National Arbitration Regulations. The single Arbitrator decides customary and fairly, in compliance with the unbreakable rules of the Civil Code (art. 816 and following CC).

The costs are charged to the losing Party at the rate of 80%.

For acceptance of this Regulation and its changes and/or integrations, for whose retrieval the Organisation commits to periodically consult the web site www.asacert.com:

Date: _____

Stamp and Signature of the Legal Representative: _____

According to art.1341,1342 C.C. for specific acceptance of art.:

6 (Occupational Health and Safety Management System Certification), 7 (Certification Suspension), 8 (Certification Revocation), 9 (Rejection), 10 (Change of the certification scheme), 11 (Responsibilities and Duties), 12 (Management of the certification mark and the conformity certificate), 13 (Protection of the personal data), 14 (Complaints), 15 (Appeals), 16 (Contentious procedures).

Date: _____



Rev.: 01
Date: 2009-02-06
Internal Coding M-DCT05-0105

Occupational Health and Safety Management Systems Certification
Regulation

Stamp and Signature of the Legal Representative: _____