

ORDER AND RULES OF CERTIFICATION



ORDER AND RULES OF RENDERING SERVICES ON MANAGEMENT SYSTEM CERTIFICATION

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The present document describes briefly rules and procedures according to which certification of the organizations-applicants' management system is carried out by the Certification body for management system ACERT Bureau Ltd.

“Order and Rules of Rendering Services for Management System Certification” (hereinafter – “Rules”) are established and maintained within the frames of the internal quality management system of the Certification body ACERT Bureau.

Note: ACERT Bureau is not allowed to certify the internal management system of another certification body.

Audits of management systems of organizations for assessment their compliance to the requirements of applied standard are carried out by ACERT Bureau CB certification experts in accordance with GOST R ISO/IEC 17021-1 (ISO/IEC 17021-1).

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Part I. Order and rules of conducting audit and certification of organizations-applicants' management systems

1. General provisions

Any organization (an enterprise, a firm) has an opportunity to carry out certification of its management system for correspondence to international, national, industry standard at the accredited body for certification of management systems ACERT Bureau (hereinafter ACERT Bureau **CB**) basing on contractual terms.

Value of certification is the level of society faith and confidence in the organization that is reached by impartial and competent assessment of its management by the third party (accredited Certification body).

Activity of ACERT Bureau **CB**, that guarantees confidence and faith in the independent assessment, is based on the following principles:

- Impartiality;
- Competence;
- Responsibility;
- Openness;
- Confidentiality;
- Reacting on complaints;
- Risk-based approach.

The certification body is open to all organizations regardless of their financial state, size, and membership in any union or group, legal form of activity.

The certificate can be granted by ACERT Bureau **CB** only if implementation of international and national norms and rules of introducing management system and its continuous improvement can be demonstrated and proved based on objective evidence. The requirements of ISO 9001 standard, that are voluntarily chosen by the organization to enhance efficiency of its management shall be fulfilled by the organization in the established processes, including outsourcing processes, and on sites, where these processes are held for specified types of product and services aiming to increase satisfaction of customers.

The certification cost (Part III) and duration of audit depend on processes' complexity, structure of the organization, number of employees, scope and boundaries of management system.

Auditors of ACERT Bureau **CB** are being chosen in accordance with specified criteria, which guarantee their high qualification, impartiality and objectivity during the audit. The auditor's impartiality concerning the organization is approved by the fact that the auditor had no connections with the certified organization at least for two years before auditing.

Questions regarding analysis of threats that may occur if conflict of interests of interested parties takes place, and also actions to check and prevent violation of impartiality in the processes of ACERT Bureau management system are in the competence of special Committee.

ACERT Bureau guarantees confidentiality in respect of information which is collected during certification.

Appropriate work with complaints and appeals of parties counting on certification supports faith to the certification activity of ACERT Bureau **CB**.



2. Certification scheme and sequence of works when cooperating with applicants

Management system certification is conducted according to the certification scheme below:

- Application of applicant and review of application;
- Certification audit (stage 1 and 2);
- Conclusions and report upon the results of certification audit;
- Certification decision making;
- Registration and issue of Certificate of Conformity;
- Surveillance on certified management system (1st and 2nd surveillance audits);
- Renewal certification of management system (recertification);
- special (additional, unscheduled) audits;
- suspension and/or withdrawal of validity of Certificate of Conformity;
- changes to the scope of management system certification.

Rendering services on certification of management system is shown in the diagram of direct cooperation of ACERT Bureau **CB** with the organizations-applicants.

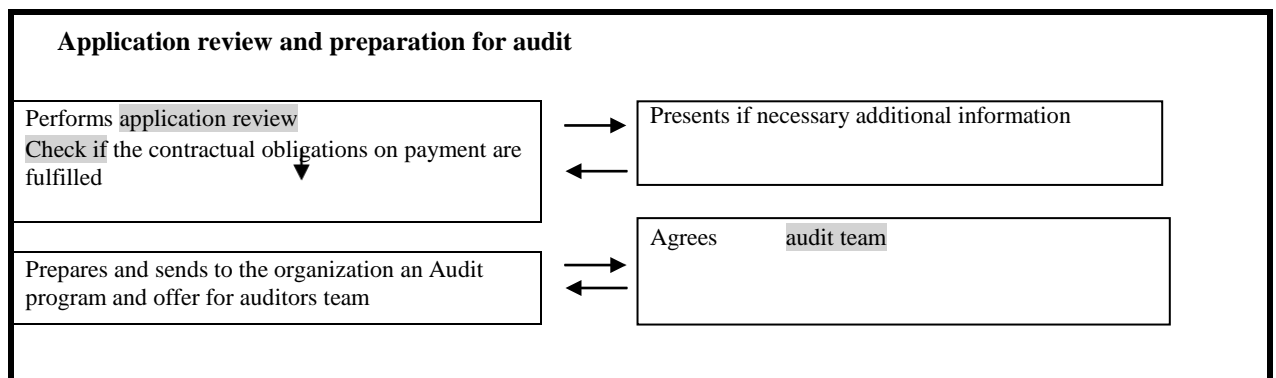
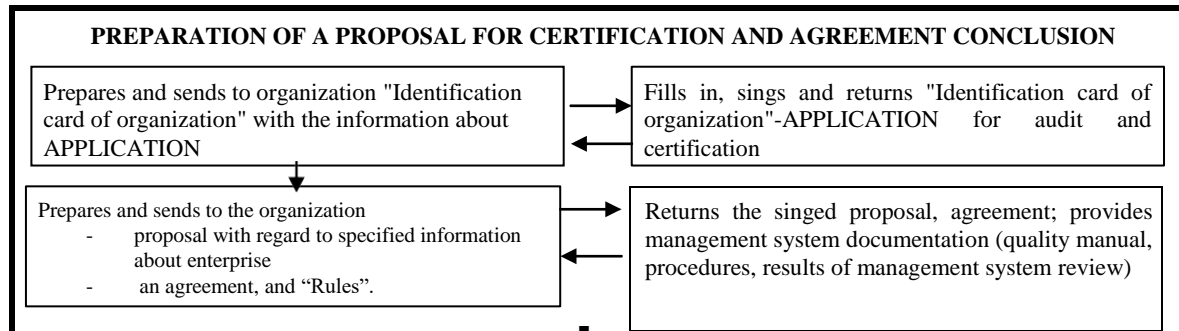
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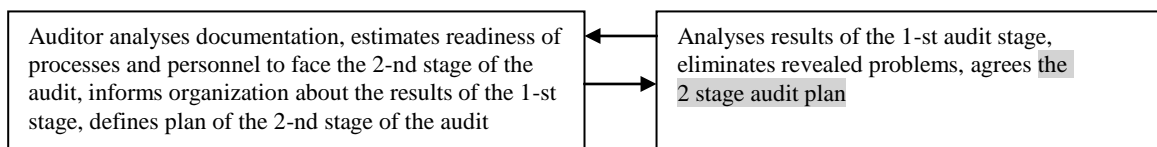
Scheme of cooperation of ACERT Bureau CB with organization-applicant

ACERT Bureau CB

Organization - applicant

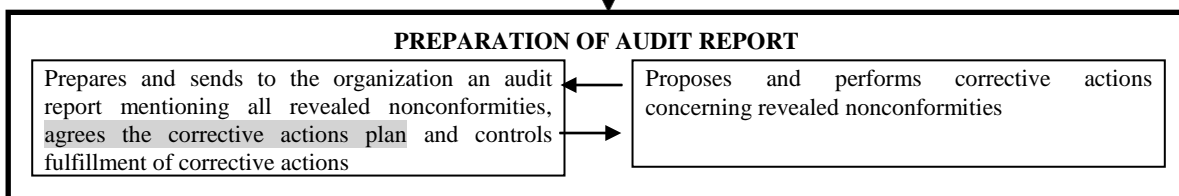


1-ST STAGE OF CERTIFICATION AUDIT

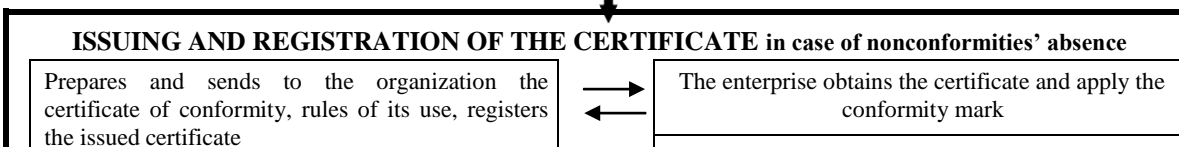


2-ND STAGE OF CERTIFICATION AUDIT

Audit is carried out in timeframe agreed with organization according to coordinated plan, after the end of the audit on site organization gets audit protocols with nonconformities.



MAKING DECISION ON CERTIFICATION



DG-CI-01-22

For maintenance of certification ACERT Bureau CB performs surveillance audits. Recertification audit is supposed to be performed in three years.



2.1 Issue and registration of certificates

Certificate of Conformity may be issued to the Organization provided that the following mandatory conditions are met:

- the Organization's management system processes and elements have passed the audit of adequacy and conformity and all the required evidence is in place;
- all major nonconformities identified during the audit are eliminated within the timeframe agreed with audit team leader, but not more than within 3 months after the audit closing meeting, and the Organization has provided objective evidence of the elimination and the effectiveness of the means of correction and corrective actions to ACERT Bureau CB;

Note. Nonconformities which impact the ability of the organization's management system to achieve the intended results are considered major nonconformities. For example: a set of minor nonconformities related to one and the same requirement indicate a system problem; or situation causing serious doubts that effective control process is implemented, or that products or services comply with all the applicable requirements. Other non-conformities may be classified as minor.

- ACERT Bureau CB reviewed and adopted correction and corrective actions, planned by the client for minor non-conformities, agreed the defined timeframe for corrections and corrective actions (herewith the time period has not to be more than 3 months after the audit closing meeting);

- results of MS evaluation demonstrate: conformity to the requirements of the standard and applicable legal requirements; ability of the Organization to guarantee consistent fulfillment of established and suggested requirements;

- the Organization has completely fulfilled its contractual obligations to ACERT Bureau;

- results of certification works have been reviewed and approved by ACERT Bureau management.

In case of a failure to fulfill the specified conditions a decision to refuse certification is made

In case of positive decision on certification the ACERT Bureau CB certificate is drawn up and given to the organization. It comes in to force from the moment of making positive decision by certification body and is valid for three years (except in some special circumstances – Part I, cl.2.5).

The organization has a possibility according to the inquiry to issue additional certificates of conformity by ACERT Bureau having reimbursed ACERT Bureau expenses for their making.

The issued certificate is registered in the list of the certified organizations which is provided upon the request of interested parties.

Together with the original certificate the organization obtains a document DG-F-01, «Rules for application of certificate and conformity mark of ACERT Bureau», which maintains the order of ACERT Bureau conformity mark use.

2.2 Suspension of validity and/or withdrawal of Certificate of conformity and reducing the scope of certification.

In ACERT Bureau certification body there are rules and conditions specified when suspension or withdrawal of certificate and reducing of certification scope are implemented. Also further actions, carried out in accordance with contract liabilities are specified. ACERT Bureau CB has the right to **suspend** certificate in cases, for example:

- the Organization has failed to meet certification requirements, including requirements for the effectiveness of the management system;

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- the Organization does not allow surveillance or recertification audits to be conducted at the required frequencies according to the audit program;
- The Organization has not informed ACERT Bureau of significant MS alterations that can influence its ability to meet customer requirements, and has not presented them for analysis;
- The standards establishing requirements for MS have been altered, and the Organization does not or cannot provide conformance to the new requirements;
- No respective payments to ACERT Bureau have been performed;
- Organization did not follow the rules for application of Conformity Mark and certificate;
- at the Organization's request.

If suspending, MS certificate temporarily is considered as invalid one. In the list of certified clients of ACERT Bureau **CB** the status of such certificate is changed accordingly – “suspended”. From this moment implementation of client’s liabilities starts, according to them client stops further advertising of its certification. Maximum period of suspension is 6 months.

The suspended certification shall be restored only on the basis of verified elimination of causes that entailed suspension. Certificate, the validity of which has been suspended at the organization's request, is restored on the basis of written request of Organization during the suspension time.

If issues which bring to suspension are impossible to solve in the listed above period, certificate is withdrawn, or scope and/or boundaries of certification are reduced. If there is a reduction of certification scope, client is obliged to introduce changes into all promotional materials.

Validity of certificate can be stopped in the following cases:

- after expiring certificate validity terms,
- after cancellation of Contract from the side of organization-client,
- by decision of ACERT Bureau **CB** about withdrawal of certificate.

ACERT Bureau **CB** has a right to withdraw the certificate in the following cases:

- the Organization stopped its activity or business because of becoming bankrupt or because of other reasons;
- the Organization has not provided fulfillment of ACERT Bureau **CB** certification rules;
- confirmed information on objective systematic claims from the Organization’s customers;
- organization did not follow the rules for application of Certificate and the Conformity Marks;
- at the Organization's request;
- the Organization has not eliminated the causes of suspension of the Certificate of Conformity.

Head of ACERT Bureau certification body makes decision to withdraw the certificate.

ACERT Bureau **CB** makes decision on **reducing the scope** and/or boundaries of certification, when client has persistently failed to meet the certification requirements for those parts (processes, product and/or sites) of the scope of certification.

When signing the Contract, liabilities of organization with regard to withdrawal of certificate are being set, that makes guarantee, that after notification about the withdrawal of certificate, client stops using any advertising materials, which contain in any form words about certification status. Organization-client is obliged to inform ACERT Bureau about all significant changes of MS or other alterations, which may influence the scope and boundaries of certification. Certification Body estimates changes in MS and takes actions



appropriate to such changes.

If there is a request from any side, ACERT Bureau CB has the right to announce actual certification status, namely: “suspended”, “withdrawn”.

2.3 Expanding the scope of management system certification

Expanding the scope of certification of the Organization’s MS shall be performed based on an official request of the Organization in a free form with indication of the grounds for the extension and the requested new scope of certification. The audit for expanding the scope of certification of the Organization's MS may be conducted, on agreement with the Organization, both during the next surveillance audit and as an additional audit. Based on positive audit results a new Certificate of Conformity with amended scope of certification is issued to the Organization.

2.4 Special audits

ACERT Bureau CB may conduct special (unscheduled) audit of a certified Organization in the following cases:

- On receipt of proven information on complaints about the Organization;
- For renewal of a suspended certificate of conformity;
- Where the management system or the Organization’s personnel noticeably change in the period between the planned audits.

In such cases:

- ACERT Bureau CB shall describe and make known in advance to the certified clients the conditions under which such audits will be conducted;
- ACERT Bureau CB shall exercise additional care in the assignment of the audit team because of the lack of opportunity for the client to object to audit team members.

The Organization takes obligation to pay for ACERT Bureau services on conducting of additional audits in accordance with current ACERT Bureau fees.

2.5 Recertification of management system

Recertification audit is conducted to verify that the Organization is continuing to meet all the requirements of the applicable management system standard. Recertification audit is designed to confirm management system conformity and effectiveness according to the applied scope of certification.

Recertification audit shall be conducted within the third year of certification cycle, prior to the certificate term of validity termination.

Activities in the framework of recertification audit may require conducting of audit stage 1 in such cases where management system or the Organization have undergone serious changes.

If in the course of recertification audit major non-conformities have been raised, the Organization has to provide the performance of required correction and corrective actions prior to the expiry date of the previous certificate.

While making the decision on issuing new Certificate of conformity, ACERT Bureau CB considers the results of recertification audit and the results of system functioning analyses during the whole validity term of the certificate, as well as the results of analyses of claims from the customers of the Organization to be certified.

In case recertification activity has been successfully completed prior to the date the previous certificate expires, new certificate expiration date is determined taking into account the previous certificate period of validity, i.e. certificate can be issued with a period of validity of more than three years.

In case recertification audit is not conducted or it is unable to confirm effectiveness of corrections and corrective actions in respect of all raised major nonconformities prior to the date of previous certificate expiration, positive decision on recertification cannot be



recommended and made.

In case of recertification terms expiration ACERT Bureau can restore recertification procedure within six months, provided that all actions required at the stage of recertification will be timely fulfilled, otherwise initial certification shall be carried out. In this case the effective date of new certificate is the date of recertification decision-making, and term of validity is determined based on the term of validity of the previous certificate, i.e. term of certificate validity will be less than three years.

2.6 Appeals, claims and complaints

2.6.1. Complaint is an expression of dissatisfaction, by any person or organization to ACERT Bureau CB relating to the activities of that body, where a response is expected. Claim is an expression of dissatisfaction, by any person or organization to ACERT Bureau CB relating to another organization certified by ACERT Bureau CB.

Appeal is a request by the person or organization that provides to Committee for Safeguarding Impartiality for reconsideration by that body of a decision it has made by ACERT Bureau CB Head relating to that object

2.6.2 The applicant makes claim or complaint directly addressed for ACERT Bureau where:

- are set out claims and complaint;
- are defined potential parties – participants of the conflict;
- is described the participation of applicant in the events, that precede the application and became a reason of application with a complaint to the certification body;
- is suggested a solution (if necessary).

The template for letter F-MR-15 is placed on ACERT Bureau website. The complaint or claim must be filed within 30 calendar days from the date of the event that is its cause. The application is made addressed to the Head of ACERT Bureau certification body.

2.6.3 Deputy production manager o makes a registration of the application and transfer the application to the review of the Head of ACERT Bureau certification body during 1 day from the moment of its receiving. Upon review prepares the initial response to the applicant and gives the set of documents to the assigned person. The primary answer to the organization shall include:

- Information about receiving of application;
- Information about the registration and number of claim/complaint;
- Information about review terms of claim/complaint.

The primary answer shall be sent to the applicant at least 3 working days from the moment of application receiving.

ACERT Bureau CB has the right to reject a complaint or a claim that is not in line with above mentioned requirements essentially or does not relate to certification activities which ACERT Bureau CB is responsible for. The rejection shall be in writing form and contain the reason of rejection and indicate the possibility of its elimination as well as information about how it is possible to correct assumed defects. Notification about the rejection to review the application is prepared by the person responsible for handling the complaint by the order of the Head of ACERT Bureau certification body and sent to the applicant on addresses indicated in the application. Indicated notification shall be sent at least 3 working days from the moment of making appropriate decision.

Decision on rejection to accept the complaint, claim as adequate to requirements of it's submission can be appealed by the applicant to the Committee for safeguarding impartiality by sending an appeal according to cl.2.6.12, 2.6.17.



2.6.4. If complaint refers to certified client, Head of Certification Body within 1 working day informs organization-client about the complaint and requests information with requirements to clarify the situation.

2.6.5. In case if application is justified, the head of ACERT Bureau certification body defines the gradation (claim or compliant), assigns the members of Arbitration Committee investigation and making a decision on compliant /claim. Structure of committee members is defined in "Regulations for the Committees". The assignation of members shall be carried out with regard to specific character of claim / compliant, qualification, authority and responsibility. Assigned members shall not be involved in the subject of this complaint/claim. If a complaint or claim has no direct relation to activities of the Head of ACERT Bureau certification body than normally the Head of ACERT Bureau certification body makes final decision in respect of a complaint or a claim, otherwise – Deputy CB Head who is assigned the functions of a quality manager. On joint meeting with the applicant of complaint/claim the committee recommends to consider questions at issue by oral discussion between parties. During discussion parties explain their opinions with regard to the object of the claim/complaint, make their suggestions to overcome disagreement. Arbitration committee gives its decision with regard to the opinions of both sides.

2.6.6. If during the investigation applicant and party to which a complaint was laid will regulate the complaint, the person responsible for handling the complaint will prepare a draft of appropriate decision. In this case if respondent on a complaint is a certified ACERT Bureau CB Client, issues related to the subject of a complaint will be included into a MS audit closest to the date of complaint submission.

In case if respondent party does not react on ACERT Bureau CB requests and does not accept cooperation to regulate the dispute, ACERT Bureau CB reserves the right if applicable to carry out an additional audit of respondent's MS, suspend or withdraw the conformity certificate.

In case of review of a claim the assigned person carries out the investigation in order to reveal internal and external reasons of claim's occurrence and prepares decisions directed on claim's regulation, elimination of revealed nonconformity's cause, improvement of functioning of ACERT Bureau QMS.

2.6.7. Decision and response to the applicant on compliant or claim are approved by a person assigned for decision making. In cases when a complaint or a claim are related to action of the head of ACERT Bureau certification body directly, a member of CSI who is a member of Arbitration Committee makes decision in respect of this complaint or claim.

2.6.8. After agreement and approval of a response to an applicant other measures are registered by the person responsible for handling the complaint with indication of fulfillment terms and responsible persons and put under control.

2.6.9. Response to the applicant with planned activities indication shall be sent at least during 30 calendar days from the moment of compliant/claim receiving to the respondent. Response shall be executed in written form and signed by an employee for decision making in respect of claims and complaints. Response shall contain:

- information of developed corrective and preventive actions;
- information on carried out and planned correction measures;
- request on applicant's acceptance with proposed measures.

2.6.10. In that case if applicant agrees with proposed conditions or response from applicant is not received during 2 (two) weeks from the moment of sending appropriate letter (fax, email), after implementation of corrective/preventive actions compliant or claim is closed. Decision on closing is made by the person responsible for handling the complaint.

2.6.11. Information on carrying out corrective/preventive actions is sent to the applicant at least 6 months after moment of application registration. In exclusive cases this

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term can be prolonged up to 1 (one) year. This information is sent in written form to the applicant.

2.6.12. Applicant received information on results of implemented corrective/preventive actions could also apply in the case of disagreement with results to CSI with appeal.

2.6.13. Effectiveness of carrying out corrective/preventive actions in terms of operations on complaints/claims is audited during internal QMS audits.

2.6.14. In case if during 2 weeks from the moment of sending the letter concerning planned and carried out actions ACERT Bureau receives a letter from applicant with disagreement this complaint/claim is investigated additionally and final decision is made, afterwards information about what is sending to the applicant.

2.6.15. Decision on complaints and claims are brought by the Head of ACERT Bureau certification body to notice of CSI members during next planned session where CSI members examine as well issues connected with impartiality by review of complaint/claim. In case if CSI makes a decision on necessity to put changes or additives to the Decisions made they shall be made and brought to notice of applicant and if necessary other stakeholders.

2.6.16. Information on claims/complaints/appeals is reviewed by carrying out of review of QMS by ACERT Bureau management and is included in reports on QMS review that are represented to CSI.

2.6.17. Applicant sends an appeal to CSI in following cases:

- impossibility of issue settlement, reflected in compliant or claim;
- disagreement with decision of the head of ACERT Bureau certification body (within Arbitration committee) on compliant or claim.

Appeal shall be reviewed during 2 weeks from the moment of receiving and registration of application. Appeal could be reviewed subject to terms on planned or unscheduled session of CSI.

Appeal is submitted by Party, whose rights are injured, according to it's opinion, or made decision does not satisfy indicated party essentially.

Application to CSI (the template F-MR-15 is placed on ACERT Bureau website) shall:

- define the party, to whom refers the appeal or parties-participants of the dispute, their post addresses, telephones, emails and other data;
- contain the statement of the subject of dispute;
- describe present to the moment of appealing of dispute decisions and other results of contacts and hearings that were present between parties of arguable legal relation;
- describe the interest of applicant party in settlement of the dispute and cause of appealing to CSI;
- contain properly the verified applicant's agreement on review of appeal by CSI and liabilities to execute such agreement or by disagreement with it to appeal it in higher authorities.
- propose settlement for discussing in CSI;
- be signed by authorized person with applied evidences of such authorities;
- include Annexes, containing documental or other evidences on that is based the compliant and list that specify evidences/documents.

Application shall be sent on post address, per fax or email to ACERT Bureau post, fax or email address.

After the registration of appeal the person responsible for handling the complaint shall send copies of application and all applied documents to the party, mentioned in the application as potential respondent. In case if it is necessary to involve someone for participation in investigation (providing explanations or documents), CSI shall send to this person a copy of application and applied documents with request on cooperation in

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investigation.

The person responsible for handling the complaint sends CSI members set of documents on appeal and agrees terms and form of planned or unscheduled session.

Decisions made by CSI shall be delivered to parties who participated in investigation, and copies if necessary are made available for public access.

Information on decision shall be sent to the applicant of appeal in case if he was absent on CSI session during 2 working days.

Decisions of CSI on appeals review are entered into minutes on CSI session, which is signed by all members.

If parties do not accept decision of CSI in respect of appeals, then after getting official decision of Certification Body they can address with cassation to accreditation body. Certification Body is obliged to inform Accreditation Body about all such cases. After the end of consideration of the cassation Certification Body transfers notification to its applicant.

PART II. RULES OF ISSUE AND USE of CERTIFICATE

With the issue of the certificate ACERT Bureau **CB** takes not only the observation function over management system functioning stability and continuous improvement but also control function over the correctness of the application of certificate and conformity mark ACERT Bureau **CB**.

Fulfillment of these functions is achieved in case of openness and partner cooperation with the organization-holder of the certificate.

1. Scope and boundaries of certificate

ACERT Bureau **CB** certifies by the given certificate compliance of the organization management system with the requirements of the applied standard. This certificate is valid only for the certification scope (kinds of processes and organization's products/services) and certification boundaries (sites of the organization location) where the implementation of the system has been confirmed.

The organization obtains the rights for certificate application and its validity only after the certificate issue. It is necessary to remember that ACERT Bureau certificate does not confirm the quality of production or services of the organization, but endorses conformity of its MS to the requirements of the applied standard.

2. Use of Certificate

2.1 Certificate using by the organization

The organization can use the certificate for marketing and general representative purposes, for example, for its commercial offers, publicity (advertising), in contractual agreements; accredited certificate of MS can be a cogent reason for reduction or cancellation of incoming control etc. Also it is compulsory to note the scope and limits of certification.

The organization must use the conformity mark of ACERT Bureau **CB** (certification mark) in accordance with the Rules for application of certificate and conformity mark of ACERT Bureau, which are given to organization-client together with the certificate. The correctness of certificate use is audited during surveillance audits.

2.2 Maintenance of the certificate by the certification body

ACERT Bureau **CB** enlists the organization after the certificate issue into permanently actualized and open to general use list of certified organizations information from which is provided upon request, which is also available on www.acert.ru.

All other data about the certified organization are maintained in ACERT Bureau **CB** only for internal use keeping the established confidentiality requirements.

3. Certificate validity term

The certificate is valid during three years.

If the organization before the termination of the validity term confirms again during recertification audit conformity of its management system to the requirements of applicable standard, then it is given a new certificate with the validity term for the next three years (special cases are described in cl.2.5 Part I).

PART III. CERTIFICATION COST

1. Certification cost. Approach to cost calculation

Cost of the rendered by ACERT Bureau services for the organization is calculated basing on uniform approach that is set and implemented for certification bodies for MS which are accredited in the system of International Accreditation Forum IAF/MLA.

The main part of the price for the service is formed as multiplication of tariff rate of 1 audit-day of certification body and number of audit-days.

In accordance with the requirements of GOST R ISO / IEC 17021-1 (ISO / IEC 17021-1), the certification body must determine the duration (complexity) of the audit (audit days) of the organization's management systems, taking into account the following aspects:

- requirements of relevant management system standards;
- type of audit performed (certification, surveillance, recertification);
- size of organization (number of personnel);
- the complexity and degree of legislative regulation of the organization's processes;
- class of environmental aspects, working conditions in the organization;
- technological features of the organization;
- the presence in the organization of separate divisions (branches, production sites, temporary sites, etc.) and the possibility of applying the sample;
- availability of shift work schedule in the organization;
- the ability to conduct a complex audit in the certification of several management systems (integrated management systems);
- the presence in the organization of a previously certified management system;
- presence in the organization of outsourcing processes;
- other aspects.

The procedure for determining the complexity (duration) of an audit of management systems is set forth in the following regulatory documents:

- National Standard of the Russian Federation GOST R 54318-2011 "The procedure for determining the duration of certification of quality management systems and environmental management systems. General requirements";
- Document of the International Accreditation Forum IAF MD 5.

The overall complexity of the audit during the initial certification of the organization's management system without separate divisions (branches, production sites, temporary sites) ranges from 1.5 to 34 audit-days, depending on the applicability of the above aspects.

The cost of work on certification is calculated by the formula:

$$C_c = (T_c \times P) + K,$$

where:

C_c – the total cost of certification;

T_c — the duration of certification of management systems, calculated taking into account aspects that increase / decrease the complexity of the audit;

P – the cost of one audit day;

K – travel expenses.

The minimum cost of one audit day is determined independently by the Certification Body and approved by order of the General Director of ACERT Bureau LLC. When determining the minimum cost of one audit day, the Certification Body takes into account direct and indirect costs, standard profit, and value added tax, calculated on the date of approval of the cost of one audit day. It takes into account that the level of profitability of certification work should not exceed 35%. The minimum cost of one audit day is 12,000

rubles, the approximate minimum cost of work for organizations with up to 5 persons starts from 40,000 rubles.

The cost of one audit day also depends on:

- the amount of fees for the work of certification experts (auditors) with the necessary competence to conduct audits;
- availability of deductions (fees, contributions) to certain accreditation bodies (recognition of competence), holders of certification schemes, etc.;
- cost of subcontractors (in case of need to attract them).

If necessary, the cost of certification includes travel expenses associated with the purchase of tickets and hotel accommodation of experts upon departure to the organization to conduct management system audits.

The cost of work on the surveillance audit of a certified management system is at least 40% of the cost of certification, excluding travel expenses.

$$C_{ИК} = (T_{ИК} \times P) \times 40\% + K,$$

where:

$C_{ИК}$ – the total cost of surveillance audit;

$T_{ИК}$ — the duration of surveillance audit of certified management systems, calculated taking into account aspects that increase / decrease the complexity of the audit;

P – the cost of one audit day;

K – travel expenses.

The cost of work on the recertification of the management system is at least 70% of the cost of certification, excluding travel expenses.

$$C_{PC} = (T_{PC} \times P) \times 70\% + K,$$

where:

C_{PC} – the total cost of recertification;

T_{PC} — the duration of recertification audit of certified management systems, calculated taking into account aspects that increase / decrease the complexity of the audit;

P – the cost of one audit day;

K – travel expenses.

2. Payment conditions

The organization pays ACERT Bureau for fulfilled works the cost of which is calculated for a particular organization in commercial offer.

The organization pays for the fulfilled works of surveillance and re-certification audit with advance transfer in the amount of 50% of the current stage.

The organization pays the remaining sum after a corresponding invoice is drawn by ACERT Bureau. Completion of works for every stage is confirmed by signing a bilateral Act of works acceptance.

Payment of works for surveillance audits is implemented by advance transfer of 100% cost (pre-payment) for corresponding stages of Agreement after invoices are drawn by ACERT Bureau before the defined audit dates.

Terms of payment are specified on the phase of Agreement preparation and signing.

The certification body has the right not to give the certificate to the organization before the full payment of the drawn invoice.



PART IV. OBLIGATIONS OF THE PARTIES

1. Obligation of the certification body

1.1 Execution of certification procedures

ACERT Bureau CB performs certification of the organization management system in strict accordance with the requirements of:

- Federal Law No. 184-Φ3 dated December 15, 2002 “On Technical Regulation”;
- Federal Law N 412-Φ3 dated December 28, 2013 “On Accreditation in the National Accreditation System”;
- Labor Code of the Russian Federation (TK RF);
- Rules for certification in the Russian Federation, approved. Resolution of the State Standard of Russia dated May 10, 2000 No. 26;
- Order No. 326 of the Ministry of Economic Development of Russia dated May 30, 2014 “On Approval of Accreditation Criteria, List of Documents Confirming Compliance of an Applicant, Accredited Person to Accreditation Criteria, and List of Standardization Documents, Compliance with Requirements by Applicants, Accredited Persons Ensuring Their Compliance with Accreditation Criteria”;
- GOST R ISO/IEC 17021-1 (ISO/IEC 17021-1) requirements;
- provisions of IAF documents;
- rules of the accrediting body DAKKS;
- procedures of internal ACERT Bureau quality management system.

ACERT Bureau CB gives the **accredited** certificate certifying that the developed and implemented management system on the organization sites corresponds with the requirements of the international standard ISO 9001 while performing processes, mentioned in the certificate, which support product issue and services rendering. The **conformity mark** of ACERT Bureau CB and **mark** of the accrediting body DAKKS with marking of the registration number of valid ACERT Bureau accreditation are given on the certificate. On the bottom field of the certificate there is a listing of accreditation bodies from other countries – members of IAF-International accreditation forum and MLA – Multilateral agreement about mutual recognition of quality management system certification.

In ACERT Bureau CB there is flexibility and readiness to react on possible changes in work of CB. At the same time necessity to introduce changes in requirements and procedures of certification processes is estimated accurately and with regard to opinions of all interested parties. Only after confirmation of changes in requirements, rules and/or certification procedures, ACERT Bureau CB notifies all certified organizations about necessity of introduction of appropriate changes.

Information about changes in rules and order on rendering services on certification of QMS is provided to accreditation body DAKKS.

ACERT Bureau CB traces introduction of all necessary changes in certified organizations within the framework of inspection activity and in the limits of periods, specified for every concrete organization.

Responsibility for this work is laid upon Head of CB.

1.2 Ensuring authority and responsibility in the scopes of ACERT Bureau accreditation

The certification body undertakes all necessary efforts for continuous improvement of its own quality management system and evidences of its compliance with ISO/IEC 17021-1 requirements for maintenance and extension of accreditation scope necessary for



certification of the organizations-applicants.

Between inspections ACERT Bureau alone bears responsibility for changes in the Certification Body management, staff changes and changes in the certification procedure of applicant organizations quality management systems.

ACERT Bureau has the responsibility and retains authority over decisions relating to certification, including the decision on granting, maintaining, renewing, extending, reducing the scope of, suspending or withdrawing of certification.

ACERT Bureau is responsible in accordance with current legislation - the Civil Code - only for harm caused intentionally or due to negligence, completely, which is a direct or indirect consequence of the proven violations of certification procedure of applicant organizations quality management systems.

1.3 Confidentiality

ACERT Bureau **CB** takes obligations to keep confidentiality concerning all information about the organization-client. It means that third parties are not given without concern of both parties participating in management system certification any management system documents, audit reports and materials comprising the following data:

- about technology and organizational structure of the enterprise, "know-how" and other data of interest to competitors;
- about organization disadvantages, its technical and economic difficulties, revealed discrepancies and other disadvantages that might cause damage to the organization image;
- data about financial payments between certification participants; and other data which the organization considers to be confidential.

During assessments of ACERT Bureau **CB** conducted by accreditation body Dakks ACERT Bureau **CB** provides information and reports upon results of audits of Organizations' management systems. ACERT Bureau **CB** bears responsibility for notifying Organizations of such cases.

2. Obligations of the organization-applicant

2.1 Assistance in works execution by ACERT Bureau

A competent representative should be appointed at the organization for keeping works on certification and surveillance of the management system and for cooperation of ACERT Bureau **CB** and its experts (auditors) with the organization.

The organization must provide free performance of certification processes. It must provide all necessary information about the organization management system, provide auditors with free access to working places and safety of their work. The employees responsible for that must participate in the audit process.

Within the framework of legislation organization-applicant must defend ACERT Bureau from any waste, damage and costs, which can be the result of business of organization within limits and scope of its certified MS. ACERT Bureau also must be defended from claims and trials to organization-client, which can appear from the side of third parties.

Organization must register and keep stock of all external reclamations and appropriate corrective and/or preventive actions. This data have to be submitted upon request of ACERT Bureau.

2.2 Additional obligations

Basing on contractual conditions, organization- holder of the certificate is obliged to:

- Implement in any circumstances specified and coordinated rules of ACERT Bureau **CB** conformity mark and certificate application;

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- inform ACERT Bureau **CB** about significant changes which can influence on compliance of management system to the requirements of standard (not later than in a month after introducing of these changes). As a result of analysis of these alterations ACERT Bureau **CB** suggests appropriate actions, including those to provide special audit. To these alterations may refer, for instance:

- major changes to the management system and processes;
- Introducing of other groups of production or services;
- Introduction of new production lines, technologies and work and process methods, including outsourcing processes;
- Scope of operation under certified management system;
- Essential changes in economic status;
- Legal, commercial, organizational status or ownership;
- Organization or management (key managerial, persons who take decisions, or technical staff);
- Contact addresses and sites;
- Termination of activity.

2.3 Payment obligations

The organization is obliged to pay the established expenses in accordance with the conditions of the agreement concluded between the organization and ACERT Bureau.

3. Rights of organization-applicant

- Receive in the ACERT Bureau **CB** information describing conformity assessment related to issuing, maintenance, renewing, suspending a certificate, expanding, reducing the scope of certification or withdrawing a certificate, as well as information on certification activities, types of conformity assessment objects within which this body performs its activities.
 - Receive information on changes in regulatory requirements for conformity assessment (certification) in the certification body ACERT Bureau;
 - Choose a certification scheme provided for certain types of activities relevant standards;
 - Obtain information on conformity assessment activities performed by third-party organizations (subcontractors) in the certification body ACERT Bureau;
 - Require the certification body of confidentiality of information on new solutions and technical knowledge, including those not protected by law, as well as information in respect of which the applicant has established a trade secret regime, to be followed by the certification body ACERT Bureau;
 - Receive in the certification body ACERT Bureau information on all identified inconsistencies of the objects of assessment and on additional assessment tasks necessary to eliminate inconsistencies;
 - Receive from the certification body ACERT Bureau a reasoned decision in case of refusal to consider the application or refusal to issue a certificate of conformity, containing the reasons for refusal;
 - Receive information on issued, suspended or withdrawn certificates in the certification body ACERT Bureau;
 - Apply to the Arbitration Commission and the Commission for the Impartiality of the Certification Body of ACERT Bureau to consider appeals, complaints and disagreements on issues related to the confirmation of conformity (certification) and to receive information

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on the results of their consideration;

- Apply to the accreditation body with complaints of wrongful actions of the certification body ACERT Bureau in accordance with the legislation of the Russian Federation;
- Appeal against the actions (inaction) of the certification body ACERT Bureau in court.