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IECQ HSPM CERTIFICATION
Of
Hazardous Substance Process Management

CERTIFICATION RULES
Edition n°3

This document is a translation of the French edition. In case of conflict, the French edition will prevail.
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TABLE OF CONTENTS

	Pages
1	SUBJECT AND SCOPE OF APPLICATION.....3
2	REFERENCE DOCUMENTS3
3	USE OF THE CERTIFICATE4
4	PROCEDURE FOR OBTAINING THE CERTIFICATION.....4
4.1	General Conditions.....4
4.2	Application and File4
4.3	Review of the Application6
4.4	Initial Certification Audit.....6
4.5	Audit Conclusion7
4.6	Certification decision7
4.7	Surveillance of the Certification.....7
4.8	Renewal of the certification8
5	MAINTENANCE OF THE CERTIFIED PROCESS BY THE APPLICANT 10
6	ORGANIZATION INTERVENING DURING THE PROCEDURE OF OBTAINING AND MAINTAINING THE CERTIFICATION 10
6.1	Laboratoire Central des Industries Electriques (LCIE).....10
6.2	The Authorized Assessment Body10
6.3	The Auditors.....10
6.4	The LCIE’s Certification Management Committee.....10
6.5	Confidentiality.....11
7	APPEALS AND RECOURSE 11
8	CLAIMS AND COMPLAINTS 12
9	PROCEDURE TO BE FOLLOWED BY THE HOLDER IN THE EVENT OF CHANGES AFFECTING COMPLIANCE TO THE REFERENCE DOCUMENTS 12
10	CERTIFICATES, VALIDITY AND RENEWAL..... 12
10.1	Certificate12
9.2	Validity period12
11	CESSATION OF CERTIFICATION, SUSPENSION, WITHDRAWAL 13
12	IMPROPER USE OF CERTIFICATE GRANTED BY LCIE.....13
13	RECORDS RELATIVE TO THE REQUESTORS AND TO THE CUSTOMERS 13
14	FINANCIAL TERMS 13
15	CHANGE OF ACCREDITATION AND CERTIFICATION RULES 14
16	APPROVAL – REVISION..... 14

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IECQ HSPM CERTIFICATION of the
HAZARDOUS SUBSTANCE PROCESS MANAGEMENT

CERTIFICATION REGULATIONS

The present document replaces the edition 2 of Sept 2009.

1 SUBJECT AND SCOPE OF APPLICATION

The present Certification rules are applicable to the companies wishing to obtain and maintain a conformity certification of their Process Management of the Hazardous Substances entering in the construction of their electric and electronic, materials and components, aiming at the respect of the European Directive n° 2002/95/EC, so-called "RoHS", and any other equivalent document. Certification is led according to an IECQ Rule of Procedures.

In the present document, this certification is called "IECQ HSPM Certification".

The LCIE is a French Limited company, subsidiary company of the group Bureau Veritas. The LCIE, by its Direction of Certification, is a Certification Body in the fields of:

- Certification of Quality Management Systems according to the ISO 9001 standard,
- Quality certification of the electronic components (according to the Certification rules LCIE C 00-190 for NF Electronic components mark, LCIE C 00-195 for IECQ/CECC mark according to the reference document IECQ 03-x),
- Certification of laboratories intervening in the tests of electronic components (complying with ISO/CEI 17025 requirements),
- Certification of process according to the IECQ Rules of Procedures, in particular IECQ 03-5 (IECQ HSPM).

The LCIE is accredited by COFRAC for the certification of Quality Management Systems (ISO 9001), in the electric and electronic field (code EA 19) and other similar (EA 14, 17 and 18), and for the certification of electric and electronic products and components

Within this framework, the LCIE delivers certificates recognized at the international level.

For the purpose of this document, LCIE France is designated as "Certification Body" or "CB".

The certification process is managed by the Certification Body (LCIE) up to the delivery of the certificate. The audit may be performed either by the Certification Body or by an auditor duly qualified by the CB. This auditor is in general a personnel of an Assessment Body duly authorized by the CB.

2 REFERENCE DOCUMENTS

- IECQ 03-5 « IEC Quality Assessment System for Electronic Components (IECQ) - Rules of Procedures – Part 5: Hazardous Substance Process Management Requirements »,

- IECQ specification IECQ QC 080000, edition 2005, « IEC Quality Assessment System for Electronic Components (IECQ) - Electrical and Electronic Components and Products Hazardous Substance Process Management System Requirements (HSPM) »,
- ISO/IEC 17021 : 2006 standard "Conformity assessment – Requirements for bodies providing audit and certification of management systems".
- ISO 19011 standard, « Guidelines for quality and/or environmental management systems auditing » used for performing the audits.

3 USE OF THE CERTIFICATE

The holder can make state of his IECQ HSPM certification granted by the Certification Body, provided that it is in agreement with specificities of the certificate which was issued to him.

4 PROCEDURE FOR OBTAINING THE CERTIFICATION

4.1 General Conditions

Before applying, the applicant must ensure himself that the activity to be certified belongs to the electric and electronic sector (EAC code of activity 19), or is a supplier of the electric and electronic industry.

By his application, the applicant commits himself to:

- maintain the same conditions of operation during all the period of validity of the certification,
- set up and maintain a Quality Management System in conformity with the ISO 9001 standard requirements, or equivalent,
- facilitate access to buildings and installations by the audit team, into the usual opening time of work of the company, to allow it to carry out the evaluation, object of the application,
- use his certificate only for the range and perimeter defined,
- accept observers mandated by the Certification Body for evaluating the auditor in situation of audit.

The applicant commits also to the following:

- comply with the Certification Body requirements when he refers to the situation of his certification through his communication means, such as internet, brochures or advertisement, and any other documents,
- do not make false declaration concerning his certification,
- Do not make improper use of any document of certification, in total or partial,
- cease immediately, in case of suspension or withdrawal, usage of the certificate, any communication referring to the statement of a certified system,
- modify any object of publicity in case of reduction of his perimeter of certification,
- do not let use the reference to the certification of his quality management system for letting supposed that a product or a process is approved by the certification body,
- do not let understand that the certification applies to any activities out of the perimeter of certification,
- do not use his certification in a manner which causes degradation of the reputation of the certification body and impacting the confidence the public has in him.

The program of certification of the HSPM Process includes an initial audit in two phases, some surveillance audits during the first and second year and a renewal audit during the third year before expiration of the certification. The cycle of 3 years begins with the decision of certification or renewal of the certification.

4.2 Application and File

The Application Form must specify the list of the sites concerned with certification, the activities to be certified, the reference frame chosen by the company, the name of the correspondent, the manpower of each site. A representative of the company to be audited is designated to be the permanent interface with the Certification Body (this person is called "DMR", Designated Management Representative).

Case of Multisite Organizations

As per IAF MD1, a multi-site organization is defined as an organization having an identified central function at which certain activities are planned, controlled and managed, and a network of offices or branch (sites) at which such activities are fully or partially carried out.

The companies with multiple sites may be certified with a unique certificate for all the sites, titled "Company certificate" when some required conditions listed hereafter apply.

- a) All sites shall have a legal or contractual link with the central office of the organization and be subjected to a common management system
- b) The common Quality Management System must be settled, managed in a central manner and be audited internally periodically, on all sites, according to the ISO 9001 requirements,
- c) The Quality Management System must comply with ISO 9001 requirements,
- d) The activities which can be centralised includes the following:
 - 1- The document system and management of the system changes,
 - 2- The management review of the QMS,
 - 3- The customer claims,
 - 4- Planning of quality and continuous improvement actions,
 - 5- Planning of internal audits and measurement of their results,
 - 6- Evaluation of Corrective Actions Efficiency,And, according to the structure of the company:
 - 7- Design activities,
 - 8- Supplier qualification
 - 9- Evaluation of Training needs
 - 10- Customer order review (out of local order acceptance).

In order to audit the Quality Management System totally, it is needed to audit each site.

The number of man-days per site, including the central office, shall be calculated for each site using the calculation man-days table of IAF MD5. Reduction can apply to take into account the clauses that are not relevant to the central office or local site(s). Reasons for justification shall be documented.

The total time spent is the total sum of the time spent at each site plus the central office and should never be less than that which would have been calculated for the size and complexity of the operation if all the work has been undertaken at a single site (all employees on 1 site).

For companies having multiple offices doing the same operations, like the commercial agencies of distributors, when they have all the same structure and the same activity, sampling of sites may be decided by the Certification Body according to the IAF rules.

The Application for Certification prepared by the applicant must explicit the company situation in detail, for allowing a clear understanding of the CB.

Case of Certification Transfer

Transfer of Certification already get from another Certification Body (CB) is possible. The previous certification must not be suspended or withdrawn by the previous CB; the non conformities detected by the previous CB must be closed.

The Certification Transfer file is evaluated and a decision of certification is taken like for a new certification.

The transfer of certification is usually performed after an on-site audit (renewal or specific surveillance audit).

The Application for Certification must explicit the company situation as far as possible.

4.3 Review of the Application

At reception of application, if it is accepted, the procedure of certification is engaged.

Before planning the audit, the Certification Body shall make a review of the application and of the information provided, in order to be sure that:

- information provided are sufficient to proceed with the audit,
- the requirements relative to the certification are clearly defined and documented,
- any discrepancy in understanding between the certification body and the candidate organism has been solved,
- the certification body has competency and capacity to perform the certification mission,
- the perimeter, the site(s), the duration required to perform the audits, and any other points having an impact on the certification tasks are taken into account,
- the records of the justification of the decision to perform the audit are kept.

On the basis of this review, the Certification Body determines the needed competences for the audit team and the decision of certification.

The Certification Body decides upon the audit team according to the competence and availability of the auditors.

The person in charge of deciding to accept the Application for Certification is the Certification Manager of Electronic Components or any person he designates.

Certification procedure

The procedure for certification includes:

- examination of the file, (examination of QMS documents and technical file of the product/process to be certified)
- audit of the manufacturing unit, (audits phases 1 and 2)
- evaluation of the results and decision of certification.

4.4 Initial Certification Audit

4.4.0 Tender and Order

- A commercial offer is drawn up and submitted to the company. Once agreed, it is asked to place an order for invoicing purposes. The quotation in terms of time is made according to IECQ 03-5 Annex A document.
- A "Certification Contract" is sent to the company in duplicate for signature by the applicant. One approved copy must be returned to the Certification Body.

4.4.1 Initial Audit phase 1

- A preliminary Visit of information may be carried out on the site(s) to be audited, to present the requirements of the reference documents and the certification process.
- A Documentation Review is carried out for checking the IECQ HSPM document requirement implementation: Quality Manual, documents of the process of management of the Hazardous Substances, the ISO 9001 certificate or equivalent when it exists. This Documentation Review represents the Audit Phase 1 the most often.
- A pre-assessment Visit can be performed on the site(s) to be audited, for evaluating the degree of maturity of the Process concerned, the effectiveness of the provisions of the Quality Management System and documentation review. A Questionnaire can be used to collect the data of the company. This visit rules on the possible corrections or complements to bring up to the Quality Management System before the certification audit.
- Preparation of the Audit Phase 2:
 - The audit plan and the audit team composition are communicated to the company, at least 2 weeks before the scheduled date of the audit,

- A Customer Satisfaction Questionnaire is used to assess the auditor's performance. It is sent to the company either with the audit plan or with the audit report. This form has to be returned to the LCIE's quality department by the customer.

4.4.2 Initial Audit phase 2

- Realization of the Audit:
 - The audit is performed according to the clauses of the ISO 19011 standard.
 - All the clauses of the reference specification IECQ QC 080000 are taken into account.
 - In the event of discrepancy from the reference requirements (nonconformity), a Non Conformity Sheet is established by the auditor.
 - The NC Sheet(s) is/are discussed with the audited company and delivered at the end of the audit so that the company can indicate the corrective action that it expects to take to remedy the shortcoming recorded.
 - The audit is summarised at the Closing Meeting.

4.5 Audit Conclusion

- An audit report is drawn up, incorporating the NC Sheets issued during the audit and completed by the audited company with the appropriate corrective action.
- The report is delivered to the audited company. A copy is kept by the Certification Body, and if applicable, by the Assessment Body.
- 90 days are allowed to the auditee for returning the Corrective Action Requests to the Lead Auditor, and for providing evidence that the corrective actions are implemented. Beyond this time, the audit should to be performed again.
- A recommendation of decision is made by the Lead Auditor.

4.6 Certification decision

- The information transmitted by the audit team and the Engineer in charge of the product file is examined by a competent Evaluation Officer having not participated to the audit. Those information concerns at least the following:
 - The audit report,
 - Observations relative to the non conformities and corrective actions undertaken by the client organism,
 - Confirmation of the information provided to the certification body and used for the application review
 - Proposal relative to the decision to grant or not the certification, with any reserves or remarks,
 - And any complementary document useful for making the decision of certification,
 - The conclusion of the Engineer in charge of the product file.
- The decision of certification is never made by the personnel involved in the audit.
- The Evaluation Officer recommends a certification decision (QMS and product).
- From the elements gathered by the audit, the Director for Certification takes one of the following decision:
 - certification is granted,
 - decision is adjourned until complementary audit is performed,
 - certification is refused.
- In case of positive decision, the Organization Approval and Product Approval certificate(s) is/are issued and sent to the audited company.
- In case of adjournment or refusal, a motivated letter is sent to the applicant.

4.7 Surveillance of the Certification

4.7.1 Surveillance Audit

- The surveillance activities are made of surveillance audits mainly. Other activities may include surveys of the certified organism, review of customer declaration regarding its operations, request made to the client to get documents or records, or other surveillance methods.

- Surveillance audits are held regularly to ensure that the quality system still complies with the requirements of the IECQ 03-5 specification.
- The surveillance audits are prepared, performed and concluded in the same way as for the initial audit and the certification decision as well.
- The program of the surveillance audit of the QMS includes at least the following:
 - Internal audits and management review,
 - Review of the corrective actions implemented according to the non conformities identified during the previous audit,
 - Treatment of complaints,
 - Efficiency of the QMS regarding the objectives,
 - Statement regarding the continuous improvement actions,
 - Control of the daily operations,
 - Review of the any changes impacting the QMS,
 - Usage of logos and marks, and any reference to the certification.
- The certification of Organization Approval is renewed every three years. This implies that verification of the effectiveness of the system requirements has been demonstrated, and complies with the requirements of the IECQ QC 080000 including ISO 9001.
- The surveillance audits shall be scheduled once a year at least. The date of the first surveillance audit following the initial certification shall be fixed in 12 months maximum after the last day of the audit phase 2.

4.7.3 Decision for maintenance of the certification

The information transmitted by the audit team and the Engineer in charge of the product file is examined by an Evaluation Officer made of competent people having not participated to the audit. Information The Evaluation Officer recommends a certification decision, and the Director for Certification takes one of the following decisions:

- maintenance of the certification (QMS and Product),
- adjournment of the decision and request for a complementary action of evaluation,
- maintenance is refused and request for suspension or withdrawal (QMS and Product) in case of significant lack of observance of the conditions of certification.

In any case, a motivated letter is sent to the client and complementary actions are undertaken.

4.8 Renewal of the certification

4.8.1 Planning of the renewal audit

A renewal audit is planned and performed for evaluating the continuity of conformity to all the IECQ QC 080000 clauses requirements, and also evaluating efficiency of the global QMS, pertinence and permanent applicability for the perimeter of certification.

The renewal audit concerns the performance review of the QMS over the certification period and includes review of the previous surveillance audit reports.

When significant changes occurred for the QMS, the company or the context of operation, the renewal audit activity may require to perform again an audit phase 1.

In the case the certification covers several sites the renewal audit is planned for assuring that on site audits cover the sites sufficiently to provide confidence in the certification.

The Renewal Audit is scheduled 2 months before the expiry date of the current certificate, approximately. When, for exceptional reasons, the realization of the renewal audit or the treatment of the non conformities, makes that the expiry date of the certification is over, LCIE may decide of the following:

- reduce the expiry date of the new certificate for keeping the new cycle aligned with the previous one,
- perform a complementary audit (before the certification decision) or supplementary audit (after the certification decision),
- plan more complete surveillance audits,
- perform a complete initial audit.

4.8.2 On site Audit

The renewal audit implies the following points:

- Efficiency of the HSPM system in its totality, regarding internal or external changes, its pertinence and applicability for the perimeter of the certification,
- Proof of commitment to maintain and improve the HSPM system in order to increase the global performances,
- Verification that the HSPM operations contribute to reach the objectives fixed in the quality policy of the audited company,

The non conformities identified are documented onto non conformity sheets. The audited company has 90 days maximum for implementing the corrective actions needed to solve the non conformities.

4.8.3 Decision for renewing the certification (Organization Approval)

The decision for renewing the certification is taken considering the results of the renewal audit, the results of the review of the HSPM provisions over the period of certification, and complaints received from users of the certification.

5 MAINTENANCE OF THE CERTIFIED PROCESS BY THE APPLICANT

The applicant undertakes to maintain and improve continuously the Quality Management System and the Process object of the certification, in accordance with the IECQ HSPM Rules of Procedures and applicable specification, lawful and/or contractual reference documents.

The certificate holder must keep a record of all complaints relative to its certified Process/products received from his customers. This record must be produced to the audit team during audits.

6 ORGANIZATION INTERVENING DURING THE PROCEDURE OF OBTAINING AND MAINTAINING THE CERTIFICATION

This chapter describes the different parties implies in the Certification process.

6.1 Laboratoire Central des Industries Electriques (LCIE)

LCIE, by its Direction of Certification, is responsible of the application of the present Rules of Certification and all decisions taken within the framework of them.

LCIE is responsible for the following:

- a) drawing up and updating the Certification Regulations defining the procedures for assessing and monitoring compliance with the standard, notably the requirements concerning the manufacturer's management of its quality system, distributing amended Certification Regulations to Authorized Assessment Bodies and companies already certified, so that they can take into account the new requirements where applicable,
- b) review of applications for granting, maintaining, extending or reducing certification, partial or total suspensions and withdrawals, for all or part of the scope of certification of the company concerned,
- c) establishing the Certification Contract with the company concerned,
- d) performing the initial and follow-up audits for the certification of the company concerned, or allowing the Authorized Assessment Body to do so,
- e) issuing the certificate,
- f) updating and publishing the list of certified companies,
- g) supervising the financial position of the certification activity.

6.2 The Authorized Assessment Body

For performing the audit, it may be needed to delegate some tasks to a personnel of a local body, having the convenient competencies for interfacing with the local customer.

The Authorized Assessment Body is committed to enforce the Rules of Certification edited by the Certification Body. An Agreement is signed between the Authorized Assessment Body and the Certification Body.

6.3 The Auditors

The auditors involved in the audit of the IECQ HSPM certification have a convenient personal background, education, competencies and experience in the audited field. They have signed the BV Code of Ethics, and the "Confidentiality and Non-conflict of interest" agreement.

They are qualified by the Certification Body.

6.4 The LCIE's Certification Management Committee

The Certification Management Committee is responsible for:

- formulating practical principles for the operation of the certification activity,
- supervising the implementation of the policy as defined, including the certification promotion policy,
- ensuring that the general rules implemented for certification are followed (the committee is the body of last resort).

The Certification Management Committee is formed by three colleges:

- A- "Manufacturers"
- B- "Users" including representatives of final users, installers, operators, etc.
- C- "Others" including representatives of Public Authorities, Standard institution, LCIE.

The Committee decides on changes in its membership. The Committee Chairman is elected from the members and is appointed for a renewable term of two years.

If a vote is required, a quorum of 50% of the members of each college must be present for the vote to be valid. Voted decisions are made by simple majority in a single round. The Chairman has a casting vote in the event of a tied decision.

LCIE provides secretarial support for the Certification Management Committee.

6.5 Confidentiality

All actors in the certification process are committed by a secrecy agreement.

The auditors and persons involved in the certification process must guarantee confidentiality and protection of the documents they handle, against copy and unauthorized distribution.

7 APPEALS AND RECOURSE

In the event of a challenge of any nature whatsoever, the applicant has a period of fifteen working days after notification of the decision or becoming aware of the facts to present its comments in writing to the LCIE Director for Certification or Director for Quality.

The appeals and recourses are not suspensive.

If the contestation cannot be resolved kindly, the litigation is transmitted to the Certification Management Committee which makes examination. The object of the dispute is sent to the Committee members with the meeting agenda for allowing them to take note about it. The proxies provided by the absent members are explicit to this object.

In any case, a non solved dispute is submitted to the IECQ secretary for applying the procedure as per IECQ 01 by the Board of Appeal. The IECQ MC decides at the end.

Information of end of treatment of the appeal and the decision are communicated to the company.

People implied in the process of treatment of appeals are different from those having performed the audits and taken the decision of certification.

Appeals are recorded and managed according to the corresponding applicable general procedure of LCIE. The appropriate corrective actions are also managed according to this procedure.

Notes

The application of the present Certification rules is subjected to the French law; the unresolved disagreements or litigations may be carried in justice to the courts of Paris, only qualified.

8 CLAIMS AND COMPLAINTS

Claims and complaints are recorded and managed according to the corresponding applicable general procedure of LCIE.

The appropriate corrective actions are also managed according to this procedure.

When the claim concerns a certified company, the customer is notified in due time and the claim is examined regarding efficiency of the QMS of this client.

The claimer is acknowledged about reception and consideration of his claim, and about progress and completion as well.

The decision concerning the claim is taken by a person being not involved in the subject of the claim. In general, this person is the Quality Director of LCIE.

The LCIE, the customer and the claimer decide all together if the object of the claim and its solution may be made publicly available, and how far it is.

9 PROCEDURE TO BE FOLLOWED BY THE HOLDER IN THE EVENT OF CHANGES AFFECTING COMPLIANCE TO THE REFERENCE DOCUMENTS

Holders of certification must notify the Certification Body in writing of any change in the legal corporate status or any change of company name. In the event of merger, liquidation or acquisition of a holder, its right to refer to the certification is cancelled immediately and the certificate is withdrawn.

Certification holders must also notify in writing of any changes in their quality management systems that may have an effect on the certification obtained. The Certification Body reserves the right to check that any changes made do not compromise existing certification.

10 CERTIFICATES, VALIDITY AND RENEWAL

10.1 Certificate

One certificate is issued per site (one name and one address).

The IECQ certificate issued mentions conformity to the IECQ Basic Rules IECQ-01 and Rules of Procedures IECQ 03-5.

The certificate is delivered according to the following procedure:

- From a favourable decision taken by the Certification Body, the certification is granted to the applicant and a certificate is issued.
- The registration number is allocated as follows:
193-YY-XXX 193: certification according to the present Certification Rules,
 YY: year of issue.
 XXX: chronological number in the year
- The date of the certificate is stated thereon, and its period of validity as well.
- Any certificates that have been cancelled or replaced by the new certificate are mentioned.
- The certification manager may be notified of any certificate errors or omissions, which are rectified as quickly as possible (issue of a new certificate or a certificate with a higher number).

The HSPM certificates are input in the international IECQ database (www.iecq.org).

9.2 Validity period

The IECQ HSPM certificate is valid for 3 years.

The certificate remains valid, as long as the surveillance by the follow-up audits is satisfactory.

Otherwise, it may be suspended or cancelled.

11 CESSATION OF CERTIFICATION, SUSPENSION, WITHDRAWAL

When the certified company is unable temporarily to fulfil its commitments relative to the certification, it must inform the Certification Body which pronounces a temporary suspension of certification. The Certification Body is committed to verify the returning of the satisfactory conditions of certification before withdrawn the suspension.

The decision of withdrawal of the certification may be taken either by the company which can decide it, or by the Certification Body in case of serious failure of the company to its commitment to maintain the conditions of certification, and after recall of the Certification Body remained without effect.

It can also occur if the company does not pay the invoices duly emitted for covering the charges of the certification.

In case of suspension or withdrawal, the holder is committed to return the certificate immediately to the Certification Body which has emitted it.

The applicant cannot make state of its certification any longer.

Any wrong reference to the system of certification and any deceptive usage of the certificates or marks allow the Certification Body to treat this failure as an infringement to the Rules of Certification. The actions are decided by the Director of Certification according to the gravity of the situation, from giving a notice to taking the case to court.

12 IMPROPER USE OF CERTIFICATE GRANTED BY LCIE

The improper use of the certification granted by LCIE, the withdrawal request is documented by the Certification Manager, and the decision is taken by the Director for Certification. The certificate is withdrawn immediately and the offender is notified for stopping and solving the improper situation.

13 RECORDS RELATIVE TO THE REQUESTORS AND TO THE CUSTOMERS

The records relative to the HSPM certification activity are kept by LCIE, according to the relevant applicable general procedure, and respecting the confidentiality rules.

The records include:

- Information relative to the application, review of application and audit reports,
- Certification contract
- In case of multi-site certification, the method used for the sampling,
- Definition of the time allocated to the auditors,
- Verification of the Corrective Actions,
- Records of the Claims and appeals, including any relevant corrective action,
- Minutes of Certification Committee meetings
- Documentation relative to the decisions taken for the certification,
- Certification documents, including those relative to the perimeter of certification,
- Records relative to the competency and the qualification of the auditors.

14 FINANCIAL TERMS

The company is committed to respect the payment of the bills concerning the certification, admission and/or maintenance. In case of unpaid bills, the Certification Body is empowered to cease the certification or the granting process.

The charges of admission include the fees for the opening and administration of the file, for the document review and the initial audit, and the cost for the emission of the certificate.

The fees for maintenance of certification include the administrative fees for the up dating of the file, for the document review and the follow-up audits.

The travel expenses maybe included to the total or not. If not, they have to be refund on receipt.

15 CHANGE OF ACCREDITATION AND CERTIFICATION RULES

In case of changes, and if those changes impact the current contracts, LCIE will inform its clients of the methods linked to the changes.

The maintenance of existing certificates shall be dependent of the respect of transition methods imposed by the Rules.

16 APPROVAL – REVISION

The present Certification Rules and their revisions are approved by the LCIE General Director, after advisory by the Director for Certification.