**Principles of management systems certification** – August 2018
have been approved by the Manager of the Management Systems Certification Bureau of the Polish Register of Shipping on 24 August 2018

On entry into force of the **Principles of Management Systems Certification** – August 2018, **the Principles of Management Systems Certification** – June 2018 cease to apply.

**Note:**

These **Principles of Management Systems Certification** constitute also the Annex to valid contracts for management system certification.



GDAŃSK, AUGUST **2018**

CERTIFICATION DIVISION
Phone: (+48) 58 75 11 273
Fax: (+48) 58 34 17 769
E-mail: dc@prs.pl

Polski Rejestr Statków S.A.
al. gen. Józefa Hallera 126
80-416 Gdańsk, Poland
Phone: (+48) 58 75 11 301
Fax: (+48) 58 34 60 392
E-mail: mailbox@prs.pl
http://www.prs.pl/

Registered in:
Sąd Rejonowy Gdańsk-Północ w Gdańsku
VII Wydział Gospodarczy
Krajowego Rejestru Sądowego
KRS no. 0000019880
VAT No PL 5840304472
Founding and equity capital 8 000 000 PLN

PLN: BIGBPLPW; PL61 1160 2202 0000 0000 6189 6958
PLN: CITIPLPX; PL73 1030 1117 0000 0000 0830 0201
EUR: BIGBPLPW; PL20 1160 2202 0000 0003 1549 9928
USD: BIGBPLPW; PL86 1160 2202 0000 0003 1550 0777
GBP: BIGBPLPW; PL63 1160 2202 0000 0003 1550 1385

# CONTENTS

# 1 General

## 1.1. Certification body

Name: **Polish Register of Shipping (Polski Rejestr Statków S.A.)**
**Management Systems Certification Bureau**

Address: **al. gen. Józefa Hallera 126**
**80-416 Gdańsk, Poland**

Phone: **+48 58 75 11 273**

Fax: **+48 58 34 17 769**

E-mail: **dc@prs.pl**

Internet: **https://www.prs.pl/management-systems-certification.html**

## 1.2. Declaration

The Management Systems Certification Bureau of the Polish Register of Shipping (**PRS**) is a body certifying management systems of organizations, open to all clients whose activity falls within the range of competence of PRS certification.

Certification is provided irrespective of the size of an organization or a membership in any association or group. When calculating the fee for certification services and surveillance of management systems, PRS does not impose any unreasonable financial requirements.

We declare:

- impartiality of carried out processes of management systems certification,
- objectiveness of activities within the management systems certification,
- confidentiality and professionalism of auditors and technical experts,
- high level of services being the result of years of experience in conformity assessment of management systems,
- short execution time of requests,
- openness and practical approach,
- conflict-free cooperation.

PRS identifies, analyses and documents potential conflicts of interests resulting from conducting certification, including any conflict arising from relations of PRS with other interested parties.
An organization which chooses PRS as a management system certifying body may be sure that the certification process will be performed by a team of experienced and competent auditors/technical experts.
These *Principles of Management Systems Certification* (further referred to as **Principles**) apply to PRS certification activity within the scope of management systems.

PRS certifies management systems on the territory of the Republic of Poland and abroad in accordance with the act on the Polish Register of Shipping of 26 October 2000 (as further amended), the Company's Charter and management system documentation of the Management Systems Certification Bureau of the Polish Register of Shipping in conformity with the PN-EN ISO/IEC 17021:2011 Standard *Conformity assessment. Requirements for bodies providing audit and certification of management systems*, as well as the requirements of the Polish Centre for Accreditation and IAF (International Accreditation Forum). This activity is objective and independent.

The present *Principles* define the scope and method of performing activities associated with initial certification, surveillance and re-certification of management systems as well as the kind of issued documents.

### 1.3. Regulatory provisions

Certification activities are undertaken by PRS on the basis of an agreement concluded with an organization interested in management system certification. The agreements are concluded for an unlimited period of time and cover certification of the system, its surveillance within the period of certification validity and recertification carried out every 3 years.

PRS certification activity is carried out within the routine of annual audits (planned in the same periods). It is assumed that in between the audits, the management system is maintained in accordance with applicable reference standards.

PRS certification activity is performed by properly qualified and competent personnel comprising auditors and technical experts. PRS and all its employees engaged in the certification process proceed in accordance with the provisions of the *Ethic Code*, being an integral part of documented and applied certification system of PRS.

PRS maintains register of auditors and technical experts identifying auditing competences for each person and potential hazards for maintaining impartiality during audits.

PRS carries out certification activities with due diligence and good practice, taking into account the state of the art.

As a rule, neither PRS nor its employees bear civil liability for any losses and damages that may be caused by, or be associated with, these activities or may be a result of information/evaluations transferred to the client. It concerns, in particular, the responsibility for indirect losses (loss of anticipated benefits, loss of contract, impossible starting an activity, etc.) suffered by the client and associated with executing request by PRS.

PRS collects payments for its activities, according to the provisions of the agreement for certification and surveillance of management system. In the case a client has not paid the fees within the period defined in the agreement or specified in appropriate regulations, PRS shall count interests and may suspend or withdraw certification or withhold the issue of certification documents.

PRS S.A. observers conducting periodical evaluation of auditors, representatives of the Polish Centre for Accreditation and/or for FSSC 22000 certification representatives from FSSC Foundation may participate

in certification activities undertaken by PRS on the basis of the agreement concluded with an organization. In this case, representatives of PRS, PCA or FSSC Foundation fulfil the role of observers assessing correctness of PRS activities. In accordance with the concluded agreement, a certified organization is obliged to give consent to participation of PRS, PCA or FSSC Foundation representatives in the certification process (in particular audits) and does not bear any associated costs.

### 1.4. Definitions

**Acc. to PN-EN ISO/IEC 17000:2006**

**Conformity assessment** – proving that specified requirements concerning product, process, system, person or unit are fulfilled.

*Notes:*

*Conformity assessment covers such activities as: examination, inspection as well as certification and accreditation of the bodies assessing the conformity.*

*The expression „subject of conformity assessment" or „the subject" is applied to particular material, product, installation, process, system, person or unit, the conformity assessment shall be applied to. Definition of product covers the service.*

**Accreditation body –** a unit authorized for conducting accreditation.

*Note:*

*An accrediting body is usually granted authorization by the government.*

**Conformity assessment system** – principles, procedures and management related to carrying out conformity assessment.

*Note:*

*Conformity assessment systems may be applied at international, regional, domestic or lower levels.*

**Accreditation –** attestation by a third party, related to the unit assessing conformity, providing formal evidence of its competence for executing defined tasks within the scope of conformity assessment.

*Notes:*

1. *Accreditation shall be understood as formal recognition, by an authorized accrediting body, of competences of an organization acting within the field of a conformity assessment, i.e. certification and inspection bodies or laboratories, for performing defined tasks. Usually it is a government that grants the authorization to an accrediting body.*
2. *Accreditation creates and maintains confidence in the results of calibrations, examinations and inspections of certified products and services, certified persons qualifications and certified management systems.*
3. *Principles of accreditation are comprised in the international standards and guidelines in which requirements are defined, both for accrediting bodies and for units assessing conformity subject to accreditation. Granting accreditation means that the accredited body has been assessed according to these standards and guidelines.*

**Certification** – attestation by a third party in relation to products, processes, systems or persons.

*Notes:*

*Certification of a management system is sometimes also called a registration.*

*Certification applies to all subjects of conformity assessment, except of the units assessing the conformity which are covered by an accreditation.*

*In the case of EMAS system, the certification covers verification of management system and/or validation of environmental statement. The "Environmental Verifier Statement" meeting the requirements of EMAS regulation is the equivalent of a certificate.*

**Verification (EMAS)** – conformity assessment process carried out by an environmental verifier to demonstrate whether an organization's environmental review, environmental policy, environmental management system and internal environmental audit and its implementation fulfils the requirements of EMAS Regulation.

**Environmental verifier** – a conformity assessment body as defined in EMAS Regulation, which has obtained accreditation in accordance with EMAS Regulation. The Management Systems Certification Bureau is granted such authorization.

**Validation (EMAS)** - the confirmation by the environmental verifier who carried out the verification that the information and data in an organization's environmental statement and updated environmental statement are reliable, credible and correct and meet the requirements of EMAS Regulation.

**Impartiality** – actual and perceived presence of objectivity.

*Notes:*

*Objectivity means lack of conflicts of interests or their settlement such that they have no negative effect on further actions of certification body.*

*The principle of impartiality may also be defined by such terms as: objectivity, independence, lack of conflict of interests, open mindedness, lack of negative attitude, neutrality, accuracy, openness, impartiality, lack of relations, maintaining reasonability.*

**Surveillance** – systematic, repeating activities related to conformity assessment as a basis for maintaining validity of the statement of conformity.

**Suspension** – temporary invalidation of the statement of conformity for the whole, or part, of specified scope of attestation.

**Withdrawal** – annulling, invalidating the statement of conformity.

**Appeal** – a submission made by the deliverer of the subject of conformity assessment to the body assessing conformity or to the accrediting body to reconsider the decision made in relation to the subject.

**Claim** – expression of dissatisfaction other than appeal, by any person or organization, in relation to the body assessing conformity or an accrediting body, concerning activities of this body, requiring response.

**Equal treatment** – treatment – in a comparable situation – of products or processes provided by one supplier, in a not less favourable way than in relation to similar products or processes of other supplier.

**Acc. to PN-EN ISO 9000:2015-10**

**System** – a set of interrelated or interacting elements.

**Management system** – set of interrelated or interacting elements of an organization to establish policies and objectives and processes to achieve those objectives.

*Note 1*

*A management system can address a single discipline or several disciplines, e.g. quality management, financial management or environmental management.*

*Note 2*

*The management system elements establish the organization's structure, roles and responsibilities, planning, operation, policies, practices, rules, beliefs, objectives and processes to achieve those objectives.*

*Note 3*

*The scope of a management system can include the whole of the organization, specific and identified functions of the organization, specific and identified sections of the organization, or one or more functions across a group of organizations.*

*Note 4*

*This constitutes one of the common terms and core definitions for ISO management system standards given in Annex SL of the Consolidated ISO Supplement to the ISO/IEC Directives, Part 1. The original definition has been modified by modifying Notes 1 to 3 to entry.*

**Quality management system** – part of a management system with regard to quality.

**Quality Manual** – specification for the quality management system of an organization.

*Note 1 to entry: Quality manuals can vary in detail and format to suit the size and complexity of an individual organization.*

**Audit** – systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which audit criteria are fulfilled.

*Note:*

*Internal audits, sometimes called the first-party audits, are performed by, or on behalf of, the organization itself for management review and other internal purposes and can form the basis for an organization's declaration of conformity. In many cases, in particular in smaller organizations, independence may be indicated by lack of responsibility for the activities being audited.*

*External audits include these generally called second-party and third-party audits. Second-party audits are conducted by parties having an interest in the organization, such as customers, or by other persons on their behalf. Third-party audits are conducted by external, independent auditing organizations such as those providing certification/registration of conformity, e.g. with ISO 9001.*

*When at least two management systems are audited together, such audit is called a combined audit.*

*When at least two auditing organizations cooperate to audit one organization, such audit is called a joint audit.*

*While the term „audit" is applied to management systems, the term „assessment" is applied to the units assessing conformity and also in more general sense.*

*For EMAS, the audit may mean verification, validation or both combined together.*

**Auditor** – person who conducts an audit.

**Audit team** – one or more persons conducting an audit, supported by technical experts.

*Note 1 to entry: One auditor of the audit team is appointed as the audit team leader.*

*Note 2 to entry: The audit team can include auditors-in-training.*

**Auditee -** organization being audited.

**Audit criteria** – a set of policies, procedures or requirements.

*Note:*

*Audit criteria are applied as reference against which audit evidence is compared.*

**Audit evidence** – records, statements of fact or other information which are relevant to the audit criteria and verifiable.

*Note:*

*Audit evidence may be qualitative or quantitative.*

**Audit findings** – results of the evaluation of the collected audit evidence against audit criteria.

*Note:*

*Audit findings may indicate either conformity or nonconformity with audit criteria or opportunities for improvement.*

*Note:*

*In the activity of the Management Systems Certification Bureau the findings within the below scope are applied:*

- *nonconformity against audit criteria:* ***minor nonconformities, major nonconformities****;*
- *opportunities for improvement:* ***observations****.*

**Nonconformity -** non-fulfilment of a requirement

**Acc. to PCS-01/QMS**

**Major nonconformity (D)**

The nonconformity which affects management system capability of achieving demanded results.

*It can be omission of, or non-compliance with, any of essential requirements of reference standard in the defined management system or revealing situation raising serious doubts as regards capability of management system to achieve demanded results. Recurrence of the same minor nonconformities in different areas of the organization's activity may be considered as a major nonconformity.*

**Minor nonconformity (M):**
The nonconformity which does not affect management system capability of achieving demanded results.

**Observation (O)**
Any finding made by an auditor related to the possibilities of improving management system (improvement area), in relation to which it is recommended that the organization should perform analysis of risk related to the finding and take improving actions.

*Note:*
*For management system certification according to FSSC 22000, the below definitions within the scope of nonconformity with audit criteria are applied:*
***- minor nonconformities,***
***- major nonconformities,***
***- critical nonconformities***
*In FSSC 22000 program,* ***no*** *improvement possibilities* ***are provided*** *(the term „observation" is not applicable)*

**Acc to. PCS-01/FSSC**

**Nonconformity**

Non-fulfilment of a requirement.

**Minor nonconformity (M)**
Nonconformity that does not significantly affect the capability of the management system to achieve the intended results.

**Major nonconformity (D)**
Nonconformity that affects the capability of the management system to achieve the intended results.
*Omission in the considered management system or non-fulfilment of anyone requirement of the reference standard. Repeated occurrence of the same minor nonconformities in various area of organization activity may be considered as major nonconformity.*

**Critical nonconformity (C)**

Nonconformity that affects the capability of the management system to achieve the intended results.

*Omission in the considered management system or non-fulfilment of anyone requirement of the reference standard or the requirements of legal regulations or circumstance observed that rises serious doubts as to the capability of the management system to achieve the intended results. Repeated occurrence of the same minor nonconformities in various area of Organization activity may be considered as major nonconformity.*

### 1.5. Certification activity

PRS has established, documented, implemented and applies a certification system conforming to the requirements of EN ISO 17021 Standard and other documents specified in 6.1.

Certification is open to all organizations and suppliers of services whose activity is covered by the scope of PRS certification (for which PRS has appropriate competences and personnel resources).

A management system established and implemented within the organization may be subject to certification. It means that the system:

- fulfils specified requirements,
- continuously realizes established policy and achieves the goals of the organization,
- provides sufficient number of objective evidence confirming efficient establishing, implementing and applying thereof.

Within a certification process, PRS performs assessment of conformity of an organization's management systems with defined assessment criteria agreed with the organization (reference standards). The conformity assessments are related to:

- quality management acc. to PN-EN ISO 9001, ISO 9001 (**QMS)**,
- environmental management acc. to PN-EN ISO 14001, ISO 14001 (**EMS**),
- occupational health and safety management acc. to PN-N-18001 (**OHS**),
- occupational health and safety management acc. to OHSAS 18001 (BS OHSAS 18001) (**OHSAS**),
- occupational health and safety management acc. to ISO 45001 (**BHP-ISO**)
- food safety management acc. to ISO 22000 (**FSMS**),
- food safety management acc. to FSSC 22000 (**FSSC**)
- information security management acc. to PN-ISO/IEC 27001, ISO/IEC 27001 (**ISMS**),
- welding works quality management acc. to PN-EN ISO 3834-2/3/4, EN ISO 3834-2/3/4, (**WELD**),
- quality management for medical products acc. to PN-EN ISO 13485, EN ISO 13485 **(QMS-MD)**,
- energy management acc. to ISO 50001 **(EnMS)**,
- quality management for translation services acc. to EN 15038,
- management of programs for protection of electronic devices from electrostatic phenomena acc. to EN 61340-5-1,
- quality management in automotive industry, in series production and service parts manufacture acc. to ISO/TS 16949 **(QMS-TS)**,
- quality management in automotive industry, acc. to IATF 16949:2016, **(QMS-TS),**
- Eco-Management and Audit Scheme in the Community acc. to requirements of the Regulation EC 1221/2009 of the European Parliament and the Council of 25 November 2009 on the voluntary participation by organizations in a Community eco-management and audit scheme, as further amended (**EMAS**),
- external audit of companies issuing documents for packaging waste recycling or recovery (Polish abbr. DPO, DPR, EDPO, EDPR) (**AZO**),
- external audit of electrical and electronic equipment recovery organizations and treatment plants operators (**AZE**),
- other systems for which the assessment criteria have been agreed with the organization concerned.

PRS procedures for the assessment of system's conformity are based on certification programmes developed by PRS for each particular reference standard. The programmes are integral part of PRS certification system.

### 1.6. Forms of certification

PRS carries out certification of management systems:

- with accreditation by the Polish Centre for Accreditation (PCA),
- without accreditation (only for the areas where PRS has no PCA accreditation),
- on the basis of a temporary licence granted by FSSC 22000 Foundation, until receiving PCA accreditation (for FSSC 22000 certification).

PRS certification system has been subject to conformity assessment by the Polish Centre for Accreditation (**PCA**). In result of the assessment, PRS became **an accredited certification body**. The scope of PRS certification activity covered by the accreditation is defined by accreditation certificates and annexes thereto, issued by PCA (they indicate reference standards associated with the lists of business activity branches of the organizations according to classification code numbers NACE/PKD).

Based on the accreditation, PRS has the right to use accreditation marks pertaining to:

PCA Polskie Centrum Akredytacji – Certyfikacja Systemów Zarządzania
AC 014

**certification**
of an organizations' management systems for conformity with reference standards

PCA Polskie Centrum Akredytacji – Weryfikacja EMAS
PL-V-0006

**verification**
for conformity with EMAS

## 2. Certification process

### 2.1. Information for organizations

In response to an inquiry of an organization concerning certification, PRS sends an "*Application for Management Systems Certification Offer*" (also available to download directly from PRS webpage - see 1.1).

The below information is made available to an organization:

- on auditing processes,
- on the use of the name of certification body and certification marks,
- on the impartiality policy,
- on the proceedings with demands for information, claims and appeals,
- on the kind of management systems and certification programmes, in which PRS Management Systems Certification Bureau is engaged,

– on the processes of granting, refusal, maintenance, suspension, prolongation, reinstatement or withdrawal of certification, or extension or restriction to certification scope.

The above information for organizations is made available: by publishing the present "*Principles of certification*", by transferring individual written information or through PRS webpage (see 1.1).

At a client's request, PRS makes available information on: geographical areas of PRS activity, the given certification status, detailed information on the certified client (its name, reference standard, certification scope, geographical locality).

### 2.2. Application, offer and agreement

An organization which applies for certification of management system(s) submits a written application to PRS. It is an "*Application for Management System Certification Offer*" (with Annex to the Application, if needed) or another application (e.g. resulting from tender procedure of an organization) containing data necessary for PRS to present a certification offer.

In the case an organization invites to a tender for management system certification, the course of proceedings is in accordance with the requirements of tender specification given by tenderer, e.g. with the act of 29 January 2004 - *Public procurement law* (as further amended).

On the basis of the information contained in the application, a certification offer is prepared taking into account expected time of auditors' work and PRS price policy. The time necessary to plan and execute full management system certification process is determined in accordance with valid "*Procedure for determining audit time and verification for the assessment in the certification and verification process"*.

An organization accepts the offer using form enclosed thereto, where data necessary to prepare the agreement for certification and surveillance of management system is given. The agreement is sent to the organization for signing.

After concluding the agreement and submitting required management system documentation to PRS (e.g. Quality Manual/Management System Manual, description of a management system together with the quality policy, organizational scheme and other documents if needed), an organization receives identification symbol for marking all documents associated with the certification and surveillance of management system of the given organization and/or its verification.

PRS declares carrying out certification process at dates agreed with the organization.

### 2.3. Initial certification

Initial certification of management systems is performed by a two stage audit.

The audit team is designated from PRS Register of Auditors – the lead auditor and, if needed, auditors, technical experts and auditors-in-training.

*Note:*

*As a rule, audits are performed by the audit team having appropriate competences, maintaining the principle of impartiality.*

*The audit team may comprise external auditors or observers from PRS, PCA, FSSC Foundation and/or other certification bodies (in the case of joint audits).*

*Persons, the engagement of which might threaten the certification impartiality, e.g. those providing consultative services to the organization, may not be members of audit team .*

PRS notifies the organization of the members of the audit team and, at request, makes available basic information concerning each member of the audit team in due advance to enable the organization to submit objection against designation of a particular team member.

In the case of conflict of interests, the organization has the right to object to any auditor/technical expert. In this case the audit team member is replaced.

If no objection has been submitted by the organization, it is regarded as acceptance for the presented composition of the audit team.

### 2.4. First Stage of Initial Certification Audit

**Initial Certification Audit Stage 1** is conducted to:

- review documented information of the organization's management system,
- assess the organization's location specific conditions,
- carry out discussion with the organization personnel to confirm readiness for audit stage 2,
- review the organization's status and examine the level of understanding of requirements of reference documents, especially for key results of operation as well as essential aspects, processes, objectives, and operation of management system,
- collect necessary information relating to the scope of management system (particularly considering PKD codes, location of the organization, applied processes and equipment, surveillance means and applicable regulatory and legal requirements),
- carry out review of allocation of resources for audit stage 2 and agree the details of stage 2 with the organization,
- focus on planning audit stage 2, by sufficient understanding of the organization's management system and its activity in the given location, in the context of the management system standard or another normative document,
- assess planning and executing internal audits and management reviews, and establish whether the level of management system implementation confirms the organization's readiness for audit stage 2.

The audit stage 1 is carried out in the seat of the organization, however, in special cases, e.g. for small organizations (QMS), the audit stage 1 may be performed at the site of the lead auditor.

In the case of food safety management systems (FSMS) and food safety system certification (FSSC), the stage 1 is always carried out at the organization site (in exceptional cases a part of stage 1 may be performed outside the organization's seat).

Audit stage 1 at the seat of the organization is conducted by an audit team in accordance with an "*Audit Plan*", prepared by the lead auditor and sent to the organization.

Lead auditor prepares an „*Audit Report of Stage 1*", in which he/she notes down audit findings, indicating nonconformities and/or observations, if applicable.

Lead auditor sends (transfers) a copy of the „*Audit Report of Stage 1*" to the organization. The organization, if needed, carries out appropriate correction and/or corrective actions. The organization notifies the lead auditor of the performed correction/corrective actions.

For FSSC audit, no „*Stage 1 Audit Plan*" nor „*Audit Report of Stage 1*" are prepared. The results of stage 1 audit are contained in *"Audit Report"*. For FSSC 22000 certification, the nonconformities from stage 1 audit are written in the form „*Findings from the audit*" and transferred to the organization at the end of stage 1 audit. The organization carries out respective correction and/or corrective actions and informs the lead auditor thereon.

Lead auditor assesses correctness of performed correction/corrective actions. If the performed correction/corrective actions are not sufficient, the lead auditor makes a note, where he/she gives grounds for non-acceptance of correction/corrective actions.

The Manager of the Management Systems Certification Bureau makes a decision on further proceedings. The organization has the right to appeal against the above decision. On the basis of the results of the audit stage 1, the audit stage 2 may be postponed or cancelled.

*Notes:*

1. *Prior to each EMAS verification, the Management Systems Certification Bureau, at least 4 weeks in advance, is obliged to notify PCA, in writing, of the planned verification.*
2. *The agreement with the organization contains appropriate information on advance notification to PCA on each EMAS verification.*

### 2.5. Second stage of Initial Certification Audit

**2.5.1** After carrying out audit stage 1, lead auditor prepares the „*Audit Plan*" for initial certification audit stage 2, taking into account processes identified within the organization and its organizational structure including, if applicable, the structure of multi-site organizations.

**2.5.2** The date of audit stage 2 is agreed with the organization in due advance. The Management Systems Certification Bureau plans the interval between both audit stages taking into account the necessity of carrying out by the organization correction/corrective actions after the audit stage 1 and makes a revision of planned date of audit stage 2, if necessary.

*Notes:*

1. *In the case of food safety management systems (FSMS) and food safety system certification (FSSC), the interval between audit stages 1 and 2 shall not be longer than 6 months. If the interval is longer, the stage 1 shall be repeated.*
2. *In the case of ISMS, the stage 2 may be planned after completion of audit stage 1.*

**2.5.3** **Initial Certification Audit Stage 2** is performed to assess conformity of implementation and application of requirements contained in the audit criteria and covers at least:

- information and evidence of conformity with all requirements of the reference standard or other normative document,
- monitoring, measurements, reporting and reviewing achievements in relation to essential objectives and goals,
- ability of the organization's management system and its method of functioning as regards conformity with legal, regulatory and contractual requirements,
- the organization's operational control over the processes,
- internal audits and management reviews,
- management responsibility for the organization's policy.

**2.5.4** Audit team meets the management and designated personnel of the organization responsible for audited functions/processes, at the opening meeting, (documenting the presence at the meeting in „*Audit questionnaire*"), with the purpose to:

- present the audit participants, including their roles,
- present the audit plan (kind of audit, its scope, objectives and criteria), agreeing any changes and other applicable settlements,
- confirm the scope of certification,
- confirm formal way of communication between the audit team and the client,
- confirm the availability of resources and equipment necessary for audit team,
- confirm the confidentiality issues,
- confirm appropriate work safety, emergency and security procedures for the audit team,
- confirm the availability, roles and identity of guides and observers,
- present the method of reporting, together with gradation of audit findings,
- present information on conditions that may cause premature termination of the audit,
- confirm that the lead auditor, together with the audit team, representing the certification body, is responsible for the audit and shall manage the audit plan execution, including audit activities and audit trails,
- confirm the status of findings from previous review or audit, if applicable,
- present the methods and procedures to be used during the audit based on sampling,
- confirm the audit language, if applicable,
- confirm that during the audit the organization will be informed on audit progress and any concerns,
- confirm the possibility for the customer to ask questions,
- agree on other matters which condition efficient performance of the audit,
- agree the closing meeting time.

**2.5.5** Auditors examine functioning of the organization's management system in accordance with the "*Audit plan*", based on the audit criteria, noting down the findings. The audit criteria are as below:

- reference standard(s) (see 1.5),
- documentation of the organization's management system,
- other requirements applicable to the audit, including the certification agreement.

**2.5.6** Within the scope of examination of the organization's management system functioning, auditors conduct interviews with representatives of audited areas (in accordance with the "*Audit Plan*"), designated by the organization's management. The organization's management designates representatives of the audited areas from the organization's employees responsible for the given audited area.

**2.5.7** After carrying out examination of the management system operation, auditors review all proposed findings to determine which of them will be noted down in the "*Findings from the audit*" as major nonconformities (D) or minor nonconformities (M), or observations (O) and in the case of FSSC 22000 as minor nonconformities (M), major nonconformities (D) or critical nonconformities (C). The lead auditor or auditor of the audit team is the person who makes decision on audit findings and conclusions (within the scope of given standard and as agreed with the lead auditor).

**2.5.8** Identified nonconformities and/or observations are transferred to the organization in writing (on "*Findings from the audit*" form). Each audit finding is referenced to the audited area and respective requirement in the reference standard or another audit criterion (such as agreement for certification).

**2.5.9** At the end of the audit, the audit team meets the management and designated personnel of the organization at the closing meeting (documenting attendance in "*Audit questionnaire*"), where the lead auditor:

- presents "strong points" of the management system being subject of the audit,
- discusses identified nonconformities and observations (only nonconformities in case of FSSC 22000),
- explains that the audit evidence was collected based on a sample of the information,
- presents the method and time frame in relation to reporting, including any gradation of the audit findings,
- discusses the course of proceedings with nonconformities by the Management Systems Certification Bureau, including any consequences in relation to certification status of the client,
- presents time frame for the organization as regards presenting plan for correction and corrective actions in relation to all nonconformities identified during the audit,
- discusses post-audit activities to be performed by the Management Systems Certification Bureau,
- informs on handling of complaints and appeals processes,
- presents the audit conclusions, including recommendations as to granting certification.

### 2.6. Audit report

**2.6.1** The lead auditor prepares the „ *Findings from the audit*", where he/she identifies observations and found nonconformities (they shall not recommend specific solutions) and prepares the „*Audit report*" that presents conclusions and recommendations in relation to conditions of the certificate issue.

**2.6.2** After the assessment of the certification process, the Management Systems Certification Bureau sends a copy of the „*Audit report*" to the organization (in the electronic form as PDF file). The report is the property of the Management Systems Certification Bureau.

**2.6.3** For FSSC certification, the lead auditor prepares the „ FSSC 22000 Audit Report" (as a pdf file) and sends it by an e-mail, together with other documentation, to the PRS officer in charge of the organization, not later than 10 days after the audit (in case of recertification – within the period adequate for making decision before the end of certification validity). The „Audit Report" is prepared in English and Polish languages, while other documents only in Polish.

**2.6.4** Within 4 weeks after completing the „FSSC 22000 Audit Report", the Management Systems Certification Bureau sends the report to FSSC 22000 data base.

**2.6.5** The contents of „ FSSC 22000 Audit Report" is treated by the Management Systems Certification Bureau confidential (in justified cases the Management Systems Certification Bureau may make a decision on revealing the report contents).

*Note:*

*An organization, within 10 days from the date of the report receipt, is entitled to send remarks thereto to* the Management Systems Certification Bureau.

### 2.7. Correction and/or corrective actions

**2.7.1** The organization carries out the correction and corrective actions related to disclosed nonconformities in accordance with its own procedure on correction/corrective actions. The organization, while proceeding with nonconformities, is obliged to perform analysis of their grounds and describe specified correction and corrective actions, taken or planned for realization, to eliminate disclosed nonconformities. The organization is obliged to plan and/or carry out the correction/ corrective actions within 3 months from the audit date, except for the case where other terms have been agreed (e.g. due to certification validity or prolonged proceeding).

**2.7.2** Issue of the certificate is conditioned by planning and/or executing correction/corrective actions. The organization is obliged to send to PRS appropriate records confirming planning and/or executing correction/corrective actions. Conditions for executing such actions are determined by the lead auditor in the recommendation contained in the "*Audit report*".

**2.7.3** Assessment of effectiveness of correction/corrective actions may be performed during next audit of the organization's management system or by a special audit (it is obligatory in case of major nonconformities found during the audit).

**2.7.4** For FSSC 22000 certification, the below principles apply in relation to revealed nonconformities:

**Minor nonconformity (M):**

- Organization shall define nonconformity reasons, assess the risk and propose the plan of corrective actions. The information shall be transferred to the Management Systems Certification Bureau within a maximum of 3 months from audit date,
- The corrective actions shall be executed within 12 months from audit date,
- the PRS S.A. Management Systems Certification Bureau carries out the review of corrective actions plan and if there are no remarks accepts the actions,
- the efficiency of corrective actions execution is assessed not later than at subsequent planned audit. The PRS S.A. Management Systems Certification Bureau employee reviews the plan of corrective actions and accepts its efficiency by placing his/her name and the date of plan review,
- in the case of inefficient execution of corrective actions, major nonconformity (D) is issued during the next planned audit.

**Major nonconformity (D):**

- organization shall define the reasons of nonconformity, assess the risk and propose the plan of corrective actions. The information shall be sent to the PRS S.A. Management Systems Certification Bureau within 14 days from audit date,
- the corrective actions shall be executed within 14 days from the date of audit,
- the major nonconformity shall be closed by the PRS S.A. Management Systems Certification Bureau within subsequent 14 days after the corrective actions have been executed by organization. The organization submits evidences of corrective actions execution,
- the PRS S.A. Management Systems Certification Bureau carries out the review of the corrective actions plan and assesses efficiency of the actions execution. The Bureau employee approves efficiency of their execution by placing his/her name and the date of review of the corrective actions plan,
- aimed at verification of execution of the corrective actions plan, the PRS S.A. Management Systems Certification Bureau carries out an audit to verify efficiency of their execution. If, however, there are sufficient evidences of the corrective actions execution, their verification may be executed on the basis of received evidences without verifying audit at place in organization,
- completion of corrective actions may take more time considering the nonconformity seriousness and the work input needed to remove it. In such cases the corrective actions plan may cover temporary measures to mitigate the risk until implementing permanent solution,
- in the case of inefficient execution of corrective actions, critical nonconformity (C) is issued during the next audit.

**Critical nonconformity (C):**

- certificate is immediately suspended for a maximum of 6 months,

- organization shall define the reasons of nonconformity, assess the risk and propose the plan of corrective actions. The information shall be sent to the PRS S.A. Management Systems Certification Bureau within 14 days from audit date,
- within 6 months from the audit date, the PRS S.A. Management Systems Certification Bureau carries out an audit to verify and assess efficiency of corrective actions,
- in the case the corrective actions have been found inefficient 6 months from the audit date, the certificate is withdrawn,
- for certification audit, the certification process is repeated.

The lead auditor agrees with the organization the conditions for the performance of a special audit as an audit verifying efficiency of correction and/or corrective actions on the basis of a major (if necessary) or a critical nonconformity.
Acceptance for the execution of the correction/corrective actions is confirmed with an appropriate entry in the "*Audit report*".

## 2.8. Notification to the organization on the decision in the certification process and conclusion of certification/verification process

**2.8.1.** The Management Systems Certification Bureau notifies the organization of the decision on certification process. In case of refusal to issue the certificate, the notification contains the decision justification.

**2.8.2.** The organization has the right to appeal against the above decision. The appeal is considered in accordance with the principles of PRS certification system.

**2.8.3.** The certificate of management system conformity with reference standard is issued to the organization on the basis of decision concerning the certification process. Certification is valid for 3 years from the date of certification decision or from the validity date of previous certificate (for recertification). The Manager of the Management Systems Certification Bureau may change the validity of the certificate based on applicable requirements, provided the certified management system is under surveillance (see 2.10).

*Notes:*

*If the newly issued management system certificate (e.g. after change of the reference standard edition or change of the certification scope) replaces current certificate, the new one shall contain a clause invalidating the previous certificate and it maintains the validity of the replaced certificate.*

*In case of EMAS verification, the organization receives, instead of a certificate, the EMAS Environmental Verifier Statement, signed by the Certification Division Director (in accordance with EMAS Regulation).*

*In special cases EMAS verification is possible with validity periods other than of 3 years.*

## 2.9. Surveillance of management system – surveillance audits

**2.9.1.** Surveillance audits are carried out at least once in a calendar year, whereas the date of the first surveillance audit after initial certification may not be later than 12 months from the date of making decision on certification.

*Note:*

*EMAS audits are performed, as a rule, at intervals not exceeding 12 months, at each anniversary of signing the first EMAS Environmental Verifier Statement (the verification frequency is defined in art. 19 of EMAS Regulation).*

*19 rozporządzenia EMAS).*

*Note on FSSC:*

*Within FSSC certification area, at least one of surveillance audits (within 3-years certification cycle) is an unannounced audit.*

*The unannounced audits are carried out in the time of operation processes execution, including night shift.*

*During the unannounced audit, at least 50% of total audit time is devoted for audit of production.*

*The unannounced audit starts with an inspection of manufacturing conditions, within 1 hour from auditor's arrival do the plant.*

*The PRS S.A. Management Systems Certification Bureau decides on the areas which are selected for assessment within an unannounced audit.*

*If a certified organization refuses to participate in an unannounced audit, the certificate is immediately suspended. The certificate will be withdrawn if the certified organization does not participate in the unannounced audit within the next 6 months.*

*In the case the auditor is not let into the plant, the certified organization shall pay the auditor's arrival costs.*

*Departments/offices engaged in management system surveillance (management board, quality control, sales department, etc.) which are located outside the audited place need not participate in the unannounced audit. They are audited during planned surveillance audit.*

*The activities performed beyond the seat of certified organization are also subject to assessment during unannounced audits.*

*Each certified organization may voluntarily decide that all surveillance audits are carried out as unannounced.*

*Neither certification audits (both stage 1 and stage 2) nor recertification audits may be unannounced ones.*

**2.9.2.** Surveillance audits of a management system are so planned that they ensure regular monitoring of representative areas and functions covered by the scope of the management system and take into account changes within the organization and within its management system. Surveillance audits shall maintain

confidence that the certified management system continues to fulfil the requirements of the reference standard.

**2.9.3.** Surveillance audits cover at least:

- internal audits and management reviews,
- a review of activities taken in relation to nonconformities identified during the previous audit,
- dealing with claims and complaints,
- effectiveness of the management system as regards achieving general objectives by the organization and intended results of relevant management system,
- progress of planned activity aimed at continual improvement,
- continuous supervision of operational processes,
- a review of any changes,
- assessment of obedience of the certification agreement, including the use of certification marks and/or reference to the certification.

**2.9.4.** PRS maintains certification on the basis of evidence that the organization continues to fulfil requirements of the reference standard. Maintaining certification is executed on the basis of:

- positive recommendations of the lead auditor,
- monitoring of the timely and effective execution of correction and/or corrective actions,
- assessment and decision concerning the management system surveillance process.

### 2.10. Recertification – recertification audits

**2.10.1.** If in the time defined by the agreement the organization does not resign from certification, PRS arranges for a recertification audit.

**2.10.2.** A recertification audit is carried out at a date enabling continuity of the certification validity (prior to the certification expiry date).

**2.10.3.** If the recertification audit is not completed or it is not possible to assess effectiveness of correction/corrective actions (on the basis of revealed major nonconformity) before certificate validity expiry, the certification validity is not exceeded.

**2.10.4.** If the recertification activities are completed with positive result, then on the basis of the existing certification validity date, a new certification validity date may be defined before the existing validity expiry date. The date of issue of the new certificate shall be the date of making decision on recertification or a later one.

**2.10.5.** After certification expiry, recertification is possible within 6 months, provided that outstanding recertification activities have been completed. In this case the recertification audit shall be performed (the certificate date is the date of making decision and its validity takes into account the 3 years counted from the expiry of previous certificate; the certificate specifies the validity date of the last cycle including the recertification date).

**2.10.6.** The aim of the recertification audit is to confirm continuous conformity and effectiveness of the management system as a whole and its continuous relevance and suitability for the certification scope.

The recertification audit shall take into account effectiveness of the management system within the period of the certification and shall cover a review of results of previous surveillance audits.

**2.10.7.** Performance of the recertification audit may require execution of an audit stage 1 where significant changes of the scope of management system occurred.

**2.10.8.** A recertification audit is conducted to:

- assess the effectiveness of the management system in its entirety in relation to internal and external changes and the relevance and applicability of the management system to the scope of certification,
- demonstrate commitment to maintain the effectiveness and improvement of the management system in order to improve overall performance,
- assess if functioning of the certified management system contributes to achievement of the organization's policy and objectives.

**2.10.9.** A certificate of the management system's conformity with the reference standard is issued to the organization on the basis of the certification decision. The certificate is valid for 3 years from the validity date of the previous certificate. The Manager of the Management Systems Certification Bureau may change the validity date of the certificate based on applicable requirements.

*Note:*

*The EMAS Environmental Verifier Statement conforms to valid specimen in EMAS Regulation (it has no validity date).*

### 2.11. Special audits

**2.11.1.** Special audit may be carried out with the purpose to:

- provide objective evidence which confirm effective implementation of correction and/or corrective actions (verification of execution of correction and/or corrective actions takes place at the request of the lead auditor upon major nonconformity found - the lead auditor informs the organization on the need of a special audit at the closing meeting. The special audit covers only the areas related to nonconformities which require assessment of their elimination effectiveness);
- extend the scope of granted certification, which is performed on the basis of the review of the organization's application or notification and is held in accordance with the course adopted in the present procedure. It may be conducted in association with the surveillance audit;
- examine complaints against the organization or in response to changes presented by the client or within the proceedings with reinstatement of suspended certifications;
- defined by the Management Systems Certification Bureau Manager.

**2.11.2.** Special audits may be programmed at short notice and short realization time or without any notice, e.g. due to need for examination of a complaint, changes in the system or within the proceeding

with suspended clients. Information on the conditions of the audit performance are defined by the Manager of the Management Systems Certification Bureau on individual basis and are transferred to the audited organization in a letter notifying of the audit or by e-mail. The Management Systems Certification Bureau carefully selects auditors for the audit team as there is no possibility to object against the team composition by the audited organization.

### 2.12. Requirements for organizations certified within occupational health and safety programs

**2.12.1.** Organization is obliged to inform immediately PRS S.A. on any serious incident within OHS area or on any breach of OHS regulations where intervention of competent legal body is needed.

**2.12.2.** In the case PRS S.A. has been informed on a serious incident occurred in the area of occupational health and safety, such as serious accident or serious breach of legal regulation, performance of an audit may be necessary in order to examine whether operation of occupational health and safety management system of the certified organization has deteriorated and it has been effective. PRS S.A. documents the results of such examination by a special audit report.

**2.12.3.** Certified organization transfers to PRS S.A. information on serious incidents, such as serious accident or serious breach of legal regulation in the area of occupational health and safety, which result in engagement of an OHS control body or which, when acquired directly by the audit team during audit, are the basis for making decision on taking activities such as certificate suspension and withdrawal, if it can be proved that the occupational health and safety management system of organization has not fulfilled to a serious degree OHS certification requirements imposed by PRS S.A.

### 2.13. Suspension of certification

**2.13.1.** Certification may be suspended in the case it has been found that an organization does not proceed in accordance with concluded agreement on certification and surveillance of the management system, in particular when:

- the certified management system of an organization continuously or seriously fails to comply with certification requirements, including requirements related to the management system effectiveness,
- the certified organization does not allow surveillance audits (planned in the same periods and at least once in a calendar year) or recertification audits to be performed with required frequency,
- the organization itself requests certification suspension,
- the certified organization does not fulfil financial obligations to PRS,
- the certified organization has not taken, at agreed date, activities aimed at introducing changes in the management system resulting from the change in the reference document requirements.

**2.13.2.** The certified organization is informed in writing on the decision on certification suspension (including reasons thereof and any additional conditions) and also that within the period of certification suspension it should stop using certification mark in any advertising materials containing any reference to a certified organization status.

**2.13.3.** Information on certification suspension may be made public on PRS webpage (see 1.1). The certificate suspension period is defined by the Manager of the Management Systems Certification Bureau.

**2.13.4.** The suspension shall not exceed 6 months (in some cases this period is counted in relation to the date of the audit planned within the certification cycle).

**2.13.5.** Reinstatement of certification may take place after the certified client submit the information on fulfilling conditions which were the basis for suspension. The decision on reinstatement of certification is made by the Management Systems Certification Bureau Manager.

**2.13.6.** When the certified client does not fulfil, permanently or seriously, certification requirements for a part of the certification scope, the Manager of the Management Systems Certification Bureau restricts the certification scope for the client, in order to exclude the part where requirements are not fulfilled.

*Note*

*For EMAS, the certification suspension is not applicable.*

### 2.14. Certification withdrawal

**2.14.1.** Certification may be withdrawn, in particular, when:

- an organization is not able to eliminate the reasons of certification suspension in due time,
- surveillance over the organization proves ineffectiveness of management system and the nature of reasons thereof indicates necessity of essential changes in the organization's management system,
- the organization requests so, in writing,
- the organization has ceased the activity covered by certification.

**2.14.2.** The decision on certification withdrawal is made by the Manager of the Management Systems Certification Bureau. Certified organization is informed in writing on the decision on certification withdrawal.

**2.14.3.** PRS dissolves the agreement on certification and surveillance of the management system and withdraws certification. The organization is notified of the fact by a letter which gives the date of withdrawal.

The organization may appeal against the decision on certificate withdrawal in accordance with valid procedure of PRS certification system.

**2.14.4.** After certification withdrawal, the organization may not refer to certification and shall immediately stop using the certification mark. PRS may make public information on the organization's certification withdrawal (on PRS webpage, see 1.1).

*Note*

*For EMAS, the certification withdrawal is not applicable.*

### 2.15. Change of the scope of certification

Certification scope is changed:

- at the request of an organization, or
- after recommendation of the lead auditor, on the basis of carried out audit and previous PRS consent concerning change of the certification scope (extension of the scope).

The application for change of the scope of certification is considered by the Management Systems Certification Bureau Manager.

*Note:*

*Minor stylistic or wording changes (that do not change PKD codes) are not treated as a change of the certification scope*.

### 2.16. Transfer of rights

Transfer of rights by virtue of the agreement on certification and surveillance of the management system takes place at the request of an organization as a result of in its legal status changes.
If the organization or its organizational and legal form has changed, what involves succession of rights and obligations indicated in particular in articles 494 and 531 of the act of 15 September 2000 Code of Commercial Companies and in case of other associated changes, PRS S.A. may decide on transfer of rights and obligations from the agreement after carrying an audit. PRS may make a decision on transfer of rights and obligations from the agreement without the audit.

### 2.17. Certification of organizations with certificate issued by another certification body – transfer of certification

**2.17.1.** Certification of an organization having certificate issued by another accredited certification body is treated as certification of the organization having valid accredited certification.

**2.17.2.** PRS considers each application of an organization and individually determines the time and scope of assessment of its management system conformity taking into account certification programmes obligatory in PRS.

### 2.18. Change of the standard being the base for certification

**2.18.1.** The proceedings in the case of change of the standard within the certification validity is governed by the announcements issued by PRS in accordance with the policy of the Polish Centre for Accreditation.

**2.18.2.** PRS announcement shall be considered as supplementing these Principles and thus it also supplements a contract for certification with the given organization.

### 2.19. Participation of auditors-in-training and observers of the accreditation body in the audit

**2.19.1.** The proceedings for observation of audit by observers of the Polish Centre for Accreditation is governed by the PCA requirements and the agreement for certification.

**2.19.2.** Auditors-in-training are appointed within the framework of appointing auditor's team. The organization shall agree on participation of the auditor-in-training in the audit.

# 3. Appeals and complaints

## 3.1. Appeals

**3.1.1** An organization may address, in writing, all matters related to all PRS decisions, at all levels of the certification process.

**3.1.2** Persons designated for consideration of appeals are different from those which were engaged in auditing and making decisions in the certification process.

**3.1.3** Submitting appeals, their consideration and making appropriate decisions shall not cause any discriminative actions against the organization/person submitting the appeal.

**3.1.4** Appeals are received and registered by PRS. The appeal shall contain:

- name of the organization and address of the person submitting the appeal, his/her address, phone, fax, e-mail,
- clear description of the subject of the appeal.

**3.1.5** The person submitting the appeal shall be furnished with information on receipt of the appeal, actions taken for settlement of the appeal, report on the course of the appeal consideration and the result thereof. Receipt of the appeal is acknowledged by PRS within seven days from the receipt date.

**3.1.6** Following elements are distinguished in the process of an appeals consideration (receipt, validation and examination):

- defining and making decision on the actions to be taken in response to the given appeal, taking into account the results of previous similar appeals,
- monitoring and registering appeals, including the actions taken for their settlement,
- ensuring that any appropriate correction and corrective actions are taken.

**3.1.7** The decision to be communicated to the person submitting the appeal is not taken, reviewed and approved by the person who was previously engaged in the matter being the subject of the appeal.

PRS formally notifies the person submitting the appeal on completion of the appeal consideration process.

## 3.2. Claims

**3.2.1.** A person or an organization may address a claim to PRS, in writing, as regards PRS certification activity or a certified client (within the scope of the certified management system).

Each claim is registered and accepted for consideration. The claims may be submitted orally, personally, by phone or by e-mail.

If a claim concerns a certified client then:

- during its examination, effectiveness of the certified management system is taken into account,
- the claim is directed to the client to receive his position as regards the claim subject.

The principle of maintaining confidentiality in relation to the person submitting the claim and the claim subject applies to the process of accepting, assessing and making decision on claims.

**3.2.2.** In the process of claims consideration (accepting, validating, examining) the below components are distinguished:

- defining and making decision on the actions to be taken in response to the claim,
- monitoring and registering claims, including the actions taken in response to these claims,
- ensuring that any appropriate correction and corrective actions are taken.

**3.2.3.** The person submitting the claim shall be furnished with the information on receipt of the claim, actions taken for settlement of the claim and the result of the claim consideration. The claim receipt is acknowledged within seven days from its receipt date.

**3.2.4.** The claim is considered by a person who was not previously engaged in the matter being the subject of the claim. PRS formally notifies the person submitting the claim of completion of the claim consideration process.

## 4. Use of certification mark and FSSC 22000 logo

**4.1** An organization may use certification mark in accordance with „*Principles of using certification marks*" presented on PRS website (see 1.1).

**4.2** PRS supervises proper use of certification mark associated with certification of the organization's management system and of other marks in accordance with legal requirements (in particular EMAS logo).

**4.3** Organization may use FSSC 22000 logo in accordance with the *Principles of use of certification mark,* available at PRS website (address given in 1.1). PRS supervises correctness of the use of FSSC 22000 logo during each audit. Any deviations from the principles of use of the FSSC 22000 logo are considered as nonconformities.

## 5. Confidentiality

**5.1.** PRS established for all levels of its organizational structure, including auditors, technical experts and auditors-in-training, appropriate and complying with legal regulations arrangements related to protection of the information received during certification activities.

All persons engaged in the certification process sign declaration on confidentiality binding them to keep confidential any information and documentation transferred by the organization.

**5.2.** PRS shall disclose to a third party no information regarding certified organization without consent of the interested party.

Where legal regulations require disclosing any information to a third party, the organization concerned is notified of the contents of the disclosed information to the extent permitted by the law.

# 6. Normative documents

## 6.1. Requirements for PRS certification system

EN ISO/IEC 17000:2004 – Conformity assessment – Vocabulary and general principles.

EN ISO/IEC 17021-1:2015 - Conformity assessment. Requirements for bodies providing audit and certification of management systems. Part 1: Requirements.

ISO/IEC 27006:2015 - Information technology -- Security techniques -- Requirements for bodies providing audit and certification of information security management systems

PN-N-18011:2006 - Occupational health and safety management systems. Auditing guidelines.

ISO 19011:2012 - Guidelines for auditing quality management systems and/or environmental management systems

EN ISO 9000:2015 - Quality management systems – Fundamentals and vocabulary.

DACS-01- Accreditation of management systems certification bodies.

DAVE-01 - Accreditation of environmental verifiers EMAS, specific requirements.

ISO/IEC TS 17021- 2:2016 Conformity assessment – Requirements for bodies providing audit and certification of management systems – Part 2: Competence requirements for auditing and certification of environmental management systems.

ISO/IEC TS 17021- 3:2017 - Conformity assessment – Requirements for bodies providing audit and certification of management systems – Part 3: Competence requirements for auditing and certification of quality management systems.

ISO/IEC TS 17021-10:2018 – Conformity assessment – Requirements for bodies providing audit and certification of management systems – Part 10: Competence requirements for auditing and certification of occupational health and safety management systems.

ISO/TS 22003:2013 – Food safety management systems. Requirements for the units engaged in food safety management systems auditing and certification.

Regulation EC 1221/2009 of European Parliament and the Council of 25 November 2009 on the voluntary participation by organisations in a Community eco-management and audit scheme (EMAS) (as further amended)

Commission Decision (EU) 2017/2285 of 6 December 2017 amending the user's guide setting out the steps needed to participate in EMAS, under Regulation (EC) No 1221/2009 of the European Parliament and of the Council on the voluntary participation by organizations in a Community eco-management and audit scheme (EMAS)

ISO 50003:2014 – Energy management systems -- Requirements for bodies providing audit and certification of energy management systems**.**

IAF documents.

Other documents of the Polish Centre for Accreditation.

### 6.2. Requirements for certified management systems

ISO 9001:2008 - Quality management systems – Requirements.

ISO 9001:2015 - Quality management systems - Requirements.

PN-EN ISO 9001:2015-10 - Quality management systems – Requirements.

ISO 14001:2004 - Environmental management systems. Requirements and guidelines.

ISO 14001:2015 – Environmental management systems- Requirements with guidance for use.

PN-EN ISO 14001:2015-09 – Environmental management systems- Requirements with guidance for use.

PN-N-18001:2004 - Occupational health and safety management systems. Requirements.

OHSAS 18001:2007 - Occupational health and safety management systems. Specification.

BS OHSAS 18001:2007 - Occupational health and safety management systems - Requirements.

ISO 45001:2018 - Occupational health and safety management systems – Requirements with guidance for use.

PN-EN ISO 22000:2006 - Food safety management systems. Requirements for organizations throughout the food chain.

FSSC 22000 (Food Safety System Certification) – v.4.1; 2017FSSC 22000, v.4.1: 2017

PN-EN ISO/IEC 27001:2017-06 (ISO/IEC 27001:2013) - „Information technology -- Security techniques -- Information security management systems – Requirements”

IATF 16949:2016 – Quality management systems requirements for series production and manufacture of service parts in automotive industry

PN-EN ISO 2016-04 - Medical devices - Quality management systems - Requirements for regulatory purposes.

PN-EN ISO 50001:2012 - Energy management systems – Requirements with guidance for use.

PN-EN ISO 3834-2, -3, -4:2007 - Quality requirements for fusion welding of metallic materials – *Part 2:* Comprehensive quality requirements. *Part 3:* Standard quality requirements. *Part 4:* Elementary quality requirements.

Regulation EC 1221/2009 of European Parliament and the Council of 25 November 2009 on the voluntary participation by organisations in a Community eco-management and audit scheme (EMAS) (as further amended)

Commission Decision (EU) 2017/2285 of 6 December 2017 amending the user's guide setting out the steps needed to participate in EMAS, under Regulation (EC) No 1221/2009 of the European Parliament and of the Council on the voluntary participation by organizations in a Community eco-management and audit scheme (EMAS)

Approved:

**Gdańsk, 2018-08-24**

**Małgorzata Kozłowska**

Manager
of the Management Systems Certification Bureau

Written approval available on the original document.

CERTIFICATION DIVISION
Phone: (+48) 58 75 11 273
Fax: (+48) 58 34 17 769
E-mail: dc@prs.pl

Polski Rejestr Statków S.A.
al. gen. Józefa Hallera 126
80-416 Gdańsk, Poland
Phone: (+48) 58 75 11 301
Fax: (+48) 58 34 60 392
E-mail: mailbox@prs.pl
http://www.prs.pl/

Registered in:
Sąd Rejonowy Gdańsk-Północ w Gdańsku
VII Wydział Gospodarczy
Krajowego Rejestru Sądowego
KRS no. 0000019880
VAT No PL 5840304472
Founding and equity capital 8 000 000 PLN

PLN: BIGBPLPW; PL61 1160 2202 0000 0000 6189 6958
PLN: CITIPLPX; PL73 1030 1117 0000 0000 0830 0201
EUR: BIGBPLPW; PL20 1160 2202 0000 0003 1549 9928
USD: BIGBPLPW; PL86 1160 2202 0000 0003 1550 0777
GBP: BIGBPLPW; PL63 1160 2202 0000 0003 1550 1385