



General Procedure for ABNT Environmental Quality Label

PG-11.01

Date: Mar. 2009

Page. Nº 2/20

0 Introduction

The ABNT Ecolabelling program, which is of a voluntary nature, has the goal of demonstrating the conformity of products or services to criteria established by the Ecolabelling Group - GRA, taking into account aspects related to the life cycle of these products or services.

1 Objective

This procedure establishes the scheme to be used in the ABNT Ecolabelling Program, in accordance to the directives established in the scope of the Global Ecolabelling Networks and/or specific requirements of ABNT, as the case may be.

2 Normative references

The documents listed below contain dispositions which, when cited in this text, constitute valid requirements for this procedure. The editions indicated where valid at the time of this publication. Because the documents are subject to revision, it is recommended to those who use this procedure investigate the utilization of the most recent edition of the documents indicated. ABNT maintains a registry of all valid documents.

- ABNT NBR ISO/IEC 17000:2005 - Conformity evaluation – Vocabulary and general principles
- ABNT NBR ISO/IEC 17021:2007 - Requirements for bodies providing audit and certification of management systems
- ABNT NBR ISO/IEC 17025: 2005 - General requirements for the competence of testing and calibration laboratories
- ABNT NBR ISO/IEC GUIA 65:1997 - General requirements for bodies that operate product certification systems
- ABNT NBR ISO 9000:2005 - Quality management systems – Fundamentals and vocabulary
- ABNT NBR ISO 9001:2008 - Quality management systems – Requirements
- ABNT NBR ISO 14001:2004 - Environmental management systems – Requirements with guidance for use
- ABNT NBR ISO 14020:2002 - Environmental labels and declarations - General principles
- ABNT NBR ISO 14024:2004 - Environmental labels and declarations - Type I environmental labelling - Principles and procedures
- ABNT NBR ISO 14040:2009 - Environmental management - Life cycle assessment - Principles and framework

3 Definitions

For the intentions the present procedure the definitions established in ABNT NBR ISO/IEC 17000:2005, ABNT NBR ISO/IEC 17021:2007, ABNT NBR ISO/IEC 17025 and ABNT ISO 9000:2005 apply.



General Procedure for ABNT Environmental Quality Label

PG-11.01

Date: Mar. 2009

Page. Nº 3/20

4 Acronyms

The acronyms used in the text of this procedure are the following:

- GGC – General Certification Management
- GRA – Ecolabelling Group
- RQ – Quality Record

5 Requesting services

Any interested Organization can request an ecolabelling service by means of the use of specific form (RQ-083.01). ABNT is assigned to evaluate its capacity to supply the requested services. First of all ABNT shall analyze the scope requested by the Organization, making sure that elements of the organization's operations that are pertinent to the scope have not been excluded.

In case is not possible to go on with the ecolabelling process, ABNT will formally communicate to the interested organization, informing the reasons.

If is not possible to proceed the ecolabelling process, ABNT shall inform formally the organization that PG-11 - General procedure for ABNT Environmental Quality Label is available through ABNT's site and shall send a Proposal for the provision of services accompanied by the Contract and the specific Procedure that refers to the request. The Organization shall confirm the understanding of the certification process and formalize their acceptance via the signing of the Contract. ABNT will analyze the documentation and register the opening of the process in the Operational System.

6 Providing services

This general procedure specifies the general processes for ecolabeling, with specific aspects of each product or category of products established in specific appropriate procedures, when necessary.

The conformity evaluation model used by ABNT for granting the ABNT Environmental Quality Label – Ecolabel – is the certification.

6.1 Certification concession

The stage of the certification process may include one or more of the following activities:

- a) signing of the proposal and contract;
- b) documentation analyzis;
- c) criteria development;
- d) technical visit;
- e) pré-audit;
- f) laboratory evaluation;
- g) certification audit;
- h) samples collection;
- i) tests accompaniment;
- j) extraordinary audits;
- k) process analyzis by GRA;
- l) conclusive opinion about certification processes;
- m) emission of the Certificate.



General Procedure for ABNT Environmental Quality Label

PG-11.01

Date: Mar. 2009

Page. Nº 4/20

The results of the certification concession process shall be presented to the organization for knowledge and comments considered pertinent. The organization shall also provide the necessary corrective actions to eliminate eventual identified nonconformities. The treatment given by the organization to the nonconformities and comments shall be supervised by ABNT in accordance to the program's specific procedures.

When the concession stage has been accomplished, the process shall be sent to the GRA for analysis and decision on the concession.

According to the result of the concession process, one of the following procedures shall be adopted:

- a) to deny the concession of the certification;
- b) to grant the certification and the license to use the ABNT Environmental Quality Mark – Ecolabel.

In cases considered urgent, if no problems have been identified during the process, the Systems Management may approve the concession "ad referendum" without the GRA recommendation. These processes shall be sent to GRA for analysis at a later date, according to that established in PG-09 – Operation of the Certification Technical Committees. The GRA's decisions have to be taken into consideration by ABNT, which shall provide the corrections or complements that are related to the GRA's decisions or recommendations, if there are any

The GRA's decisions are registered in minutes and, when there is a recommendation against approval of a concession, the certification process shall be reanalysed by the group after the requested actions have been taken.

6.2 Certification maintenance

For certification maintenance, ABNT shall watch over the certified organization in order to ensure that the conditions that led to the certification are being maintained. The manner in which vigilance is accomplished is defined in each specific procedure and may comprised by one or more of the following activities:

- a) documentation analysis;
- b) technical visit;
- c) laboratory evaluation;
- d) maintenance audits;
- e) samples collection;
- f) tests accompaniment;
- g) extraordinary audits.

ABNT maintains the certification based on the client demonstration that the established requirements in the specific procedure (the criteria) continue to be satisfied. The maintenance of certifications can include the performance of periodic evaluations and periodic tests. The frequency of periodic evaluations and/or periodic tests is defined in the specific procedures.

When non-conformities have been identified during the ongoing accompaniment activities, the certified organization shall provide the proper corrective actions and send the objective evidences to ABNT. If necessary, according to ABNT's decision, an extraordinary audit may be held in order to evaluate the implementation of the corrective actions.



General Procedure for ABNT Environmental Quality Label

PG-11.01

Date: Mar. 2009

Page. Nº 5/20

Once all stages related to the maintenance of the certification have been completed, ABNT will evaluate the results. If the results are for the approval, ABNT will register the decision for certification maintenance in the report and will send it to the organization. If the results are negative ABNT will inform the organization of the necessity to take corrective actions. According to the case, because of the problems presented, may be necessary to suspend the certification until the non-conformities are corrected.

6.3 Alterations in certification requirements

Periodically, ABNT shall evaluate the criteria used for the concession of the ABNT Environmental Quality Label for each product. In case the necessity for revision of the criteria is detected, ABNT shall inform all certified clients of the alterations. According to each situation, it will be given a period of time during which the organizations shall make the necessary adjustments to the new criteria. At the deadline ABNT shall evaluate each certified organization based on the new or revised criteria.

6.4 Modifications in the certified Organization

In order to ensure the validity of the certificate and the license for the use of the ABNT Environmental Quality Label – Ecolabel, the organization shall inform ABNT in writing of any alterations in the conditions which gave origin to the concession of the certificate. According to the alterations, ABNT will take the following actions:

6.4.1 Changing the Office-holder

Any changes in ownership or of Official Name of the certified Organization have to be communicated to ABNT. In case of changes of Official Name, the certified organization must submit the new legal contract to ABNT along with information on all alterations in order to update the client's file and certificate and issue a new contract.

6.4.2 Facilities

In the case of moving to new facilities the organization shall inform ABNT previously of all dates and times of transfer to the new location so that ABNT may perform a extraordinary audit in the new location to verify and evaluate the new conditions.

6.4.3 Mangement system

Alterations in the scope of operations encompassed by the managment system and significant alterations to the management system and to the certified organization's processes, should these situations be part of the criteria established in the specific procedure, shall be reported to ABNT for evaluation of the need or not for a extraordinary audit. In case of significant alterations, these will be subject to ABNT's approval.

6.4.4 Project of the product

Any type of alteration to any certified product's project shall be preceeded by a formal communication to ABNT, which shall be accompanied by drawings, descriptive memos and technical manuals where these alterations shall be described in detail. ABNT will evaluate the need for new product testing for the revalidation of the certification of the product.



General Procedure for ABNT Environmental Quality Label

PG-11.01

Date: Mar. 2009

Page. Nº 6/20

6.4.5 Production's interruption

In case the certified Organization interrupt the production of the product to which the label has been granted, it shall immediately inform ABNT, providing precise information regarding the estimated time needed for depletion of remaining stocks of the product. Based on this information, the date from which the certification will be canceled as of right, for the product concerned.

In the case of temporary interruption, the organization shall inform ABNT of the exact date of production stoppage and the exact date of production restart.

6.5 Suspension or cancellation of certification

ABNT shall properly inform all certified organizations of the scope of their certification, including the situation of the certification, being valid, suspended or cancelled, when required by any concerned party. When an organization is informed of the cancellation of a certification, it shall interrupt all use of publicity material that refers to the situation of as certified.

6.5.1 Suspension or cancellation by ABNT

During the validity of the certified organization's contract, in case it is proven that the conditions which led to the concession of the certificate are not being maintained conforming to the requirements of the applicable references (criteria defined by the GRA), ABNT shall evaluate the possibility of certificate validity maintenance, establishing necessary corrective measures and a deadline for the corrections. The manner in which the evaluation is done is defined by ABNT and may include extraordinary audits. After the evaluation ABNT will decide about the maintenance, suspension or cancellation of the certification. According to the case the process will be sent to GRA for new evaluation.

The certification will be suspended if the organization does not permit that the samples collection and testing, maintenance and/or renewal audits are carried out with the required frequency. During the period of a certificate's suspension, regular invoicing pertinent to the contract's period of validity will be maintained.

The cancellation of the certificate will be applied in the following cases:

- a) When the criteria on which the certificate is based have been revised and the organization cannot or will not conform to the new criteria;
- b) When the end of a contract is reached and the organization is not interested in remaining certified;
- c) In the case of improper use of the certificate;
- d) When non-conformity is not corrected after a sanctioning process;
- e) When requested by the organization.

The concession may be suspended for a determined period according to the application of the sanctions of chapter 9 or furthermore in cases described in 'c' and 'd' above.

6.5.2 Suspension or cancellation by request of the certified Organization

The organization may formally request ABNT to cancel or suspend the certificate. In the case of a request for suspension of the certification the financial charges related to this period will be retained.



General Procedure for ABNT Environmental Quality Label

PG-11.01

Date: Mar. 2009

Page. Nº 7/20

6.6 Certification renewal

The stage of recertification is performed after a period of three years and may comprise one or more of the following activities:

- a) documentation analysis;
- b) recertification audit;
- c) samples collection;
- d) tests accompaniment;
- e) extraordinary audits;
- f) analysis of the process by the GRA;
- g) conclusive report on the renewal process;
- h) emission of the certificate.

The date for the recertification audit shall be agreed on preferably two months before the valid certificate's expiration date.

The results of the process are presented to the organization to be known and for the registering of pertinent comments. The organization shall also provide the necessary corrective actions in order to eliminate eventual identified non-conformities. The treatment given by the organization to the non-conformities and observations shall be managed by ABNT in accordance to the specific procedures of the program.

When the recertification stage has been finalized the process shall be sent to GRA for analysis and decision on recertification decision. According to the results of the recertification process, one of the following procedures shall be adopted:

- a) deny the certification renewal;
- b) concede the renewal and license for the use of the ABNT Environmental Quality Label.

In cases considered urgent, if no problems have been found in the process, the Systems Manager may approve the recertification "ad referendum" without the recommendation of GRA. These processes shall be sent to the GRA for analysis on a later date, according to PG-09 - Functioning of Technical Certification Committees. The GRA's decisions shall be taken into consideration by ABNT, which shall provide the corrections and/or complementary actions regarding the decisions or recommendations of the GRA, should any exist.

The GRA's decisions are registered in minutes and, when there is a recommendation for non-recertification, the process shall be reanalysed by the group, after taking the requested actions.



General Procedure for ABNT Environmental Quality Label

PG-11.01

Date: Mar. 2009

Page. Nº 8/20

6.7 Public accessible information

ABNT will make information regarding certified organizations, suspensions (shall remain on the site for the period of the suspension) and cancelations (shall remain on the site for a pre-determined time), accessible by the public. The information considered as classified, such as motive for suspension or cancelation shall be remain private.

7 Use of testing laboratories

7.1 ABNT is responsible for the selection of the laboratory to be used for the tests that will be used in the processes for the concession of the ABNT Environmental Quality Label.

7.1.1 When laboratories accredited by Inmetro or laboratory accredited by Accreditation Bodies from other Countries with which Inmetro has Mutual Recognition Agreement, the laboratories need not be evaluated.

7.1.2 When non accredited laboratories are used, they shall be evaluated in accordance to item 7.5 of this procedure.

7.2 In case of using a first part laboratory (laboratory owned by a manufacturer), ABNT shall accompany the execution of all tests for concession and maintenance of certification, regardless the laboratory be accredited or not.

7.3 ABNT shall maintain updated the records of laboratory evaluations, evaluators used and, when pertinent, testing accompaniment.

7.4 ABNT must collect and seal the samples for the tests concerning the concession and maintenance of the certification, and ensure the integrity and inviolability of the samples until the time of the test, regardless the laboratory may be accredited or not.

7.5 Requirements for non accredited laboratories evaluation

7.5.1 Confidentiality

The laboratory shall have and use documented procedures to protect and preserve the confidentiality and integrity of the information, at least in consideration to:

- a) access to files, including computerized;
- b) restricted access to the laboratory;
- c) knowledge of the laboratory staff about the confidentiality of information.

7.5.2 Organization

7.5.2.1 The laboratory shall designate staff responsible for the signing of test result reports and will have complete and total technical responsibility for their content.

7.5.2.2 The laboratory shall have a technical manager and a substitute (no matter what the authority involved is) with total responsibility for all technical operations.



General Procedure for ABNT
Environmental Quality Label

PG-11.01

Date: Mar. 2009

Page. Nº 9/20

7.5.2.3 When the laboratory is a first part laboratory, the organization's staff with key responsibilities that will be involved in or influence on testing shall be identified in order to identify possible conflicts of interest.

7.5.2.4 Organizational arrangements should be such as those departments that might have potential conflicts of interest, such as production, "marketing", commercial or financial, do not negatively influence the laboratory's conformity to the requirements in this chapter.

7.5.3 Management System

7.5.3.1 All documents necessary for the correct performance of the laboratory activities shall be identified in a unique manner and contain the date of their emission, their revision number and the authorization for their emission.

7.5.3.2 All the documents necessary for the correct performance of the laboratory's activities shall be up to date and available to the laboratory staff.

7.5.3.3 The laboratory shall document the authority and responsibilities of the technical manager and of the technical staff involved in the tests, indicating at least those responsible for:

- a) execution of tests;
- b) test planning, evaluation of results and the emission of test reports;
- c) the modification, development, characterization and validation of testing methods;
- d) management activities.

7.5.3.4 The laboratory shall have the identification of staff or others authorized to signing documents, where this applies.

7.5.3.5 The laboratory must have documented and implemented procedures for achieving traceability of measurements.

7.5.3.6 The laboratory shall have formalized the scope of its services and shall guarantee it has adequate resources and facilities.

7.5.3.7 The laboratory shall have documented and implemented procedures for handling of test items.

7.5.3.8 The laboratory shall have the list of equipment and reference standards used, including their respective identification.

7.5.3.9 The laboratory shall have documented and implemented procedures for feedback and corrective action, whenever non-conformity is detected during the tests.

7.5.4 Personnel

7.5.4.1 The laboratory shall have sufficient staff, with the necessary scholarity, training, technical knowledge and experience for the designated tasks and functions.

7.5.4.2 The laboratory shall have and maintain up to date records of all technical staff involved in the tests. These records shall at least have the authorization dates for:



General Procedure for ABNT
Environmental Quality Label

PG-11.01

Date: Mar. 2009

Page. N° 10/20

- a) performing the different types of sampling, when applicable;
- b) performing the different types of tests;
- c) signing the test reports;
- d) operating different types of equipment.

7.5.5 Facilities and environmental conditions

7.5.5.1 The laboratory's installations, testing areas, energy sources, illumination and ventilation shall enable the proper performance of the tests.

7.5.5.2 The laboratory shall have facilities for effective monitoring, the control and to register the environmental conditions, whenever necessary.

7.5.5.3 The laboratory shall maintain effective separation between neighboring areas, when their activities are not compatible.

7.5.6 Equipments and reference materials

7.5.6.1 The laboratory shall have all the necessary equipment and reference material required for the performance of the tests.

7.5.6.2 Before the execution of the test, the laboratory shall verify if any item of the equipment presents suspicious result. In this case, the equipment shall be put out of work, identified as out of work, repaired and demonstrate through calibration, verification or test, that is working satisfactorily, before being put to work again.

7.5.6.3 Each equipment shall be labeled, marked or identified to indicate its state of calibration. This state of calibration shall indicate the last and the next calibration in a clear and visible form.

7.5.6.4 Each equipment shall have a record which, at least, indicates:

- a) the name of the equipment;
- b) manufacturer's name, identification of type, serial number or other specific identification;
- c) conditions of reception, when appropriate;
- d) copy of the manufacturer's instructions, when appropriate;
- e) dates and results of calibrations and/or verifications and the date of the next calibration or verification;
- f) details of past and future maintenance;
- g) detailed history of all damages, modification or repair.

7.5.6.5 Every item of reference material shall be controlled or identified in such a way as to indicate its certification or standardization. The label shall contain at least:

- a) name of the reference material;
- b) responsible persons for the certification or standardization;
- c) composition, when appropriate;
- d) expiring date.



General Procedure for ABNT Environmental Quality Label

PG-11.01

Date: Mar. 2009

Page. Nº 11/20

For reference material which has a long life span, the laboratory shall have a record containing the same information indicated in 7.5.6.4.

7.5.7 Measures and calibration traceability

7.5.7.1 The laboratory shall have an established program for calibration and verification of its equipment, in order to guarantee the use of calibrated and/or verified equipment only, on the date of test execution.

7.5.7.2 The calibration certificates for reference standards shall be emitted by:

- a) National Metrology Laboratories;
- b) Calibration Laboratories accredited by Inmetro;
- c) Laboratories integrated in the national metrology institutes of other countries, in the following cases:
 - When traceability is obtained directly from an institution that holds the primary standard of greatness associated with, or;
 - When the institution participates in interlaboratory comparison programs together with Inmetro, obtaining compatible results
 - Laboratories that are accredited by accredited organizations from other countries, when there exists an mutual recognition agreement or cooperation between Inmetro and these organisms.

7.5.7.3 The certificates for measurement and testing equipments of a test laboratory shall meet to the requirements of the previous item.

7.5.7.4 The reference standards maintained by the laboratory shall be used only for calibration, unless it has been demonstrated that their standard reference performance is not invalidated.

7.5.8 Calibration and test method

7.5.8.1 All instructions, standards and reference data pertinent to the laboratory work shall be documented, maintained up to date and made readily available to the laboratory staff.

7.5.8.2 The laboratory shall use documented procedures and appropriate statistical procedures for the selection of samples when sampling is part of the test procedure.

7.5.8.3 The laboratory shall submit all calculations and transfers of data to appropriate verification.

7.5.8.4 The laboratory shall have preventive measures in its procedures to ensure the security of data and computer records.

7.5.9 Handling of items

7.5.9.1 The laboratory shall identify in a unique form the items to be tested, so as not to make mistakes, at any time, considering its identification.

7.5.9.2 The laboratory must have documented procedures and appropriate facilities to avoid deterioration or damage to the test item during storage, handling and preparation of the test item.



General Procedure for ABNT
Environmental Quality Label

PG-11.01

Date: Mar. 2009

Page. Nº 12/20

7.5.10 Records

7.5.10.1 The laboratory shall maintain an adequate system of records for its individual circumstances and shall comply to applicable regulations, as well as keeping all original records of observations, calculations and data derived, records and copies of test reports, during a period of at least four years.

7.5.10.2 The corrections and/or alterations in records shall maintain both the old and the new information. The value to be modified shall be crossed out in a way so as not to be unreadable. The new note should be recorded alongside the previous scratched, legibly, so that does not allow doubt in interpretation, and the signature or initials of the person responsible for the correction or amendment shall be placed.

7.5.10.3 The records of data from testing shall contain at least:

- a) Laboratory identification;
- b) Sample identification;
- c) Identification of equipment used;
- d) Relevant environmental conditions;
- e) Results showing the measurement of incorrectness, when appropriate;
- f) Date and signature of those who performed the work.

7.5.10.4 All printed, computerized or calculator records, graphs and others, shall have their data indicated, shall be signed and be annexed to the measurement records.

7.5.10.5 All records (both technical and of quality), shall be maintained by the laboratory in both security and confidentiality.

7.5.11 Certificates and test reports

7.5.11.1 The results of each test or series of tests performed by the laboratory shall be reported in precise, clear and objective form with no ambiguity of any type, in a test report, in conformity with the requirements the method used.

7.5.11.2 The laboratory shall record all information necessary for the repetition of the test and these records shall be available to the client.

7.5.11.3 Every test report shall include, at least, the following information:

- a) Title;
- b) Name and address of the laboratory;
- c) Unique identification for the report;
- d) Name and address of the client;
- e) Description and identification, with no ambiguity, of the test item;
- f) Characterization and condition of the test item;
- g) Date the item was received and date of the performance of the test;
- h) Reference to the sampling procedures, when pertinent;
- i) Any additions, exclusions or diversions from the testing method and any information pertinent to a specific test such as environmental conditions;



General Procedure for ABNT Environmental Quality Label

PG-11.01

Date: Mar. 2009

Page. Nº 13/20

- j) Measurements, verifications and their results, supported by tables, graphs, photographic plans;
- k) Declaration of estimated uncertainty (when applicable);
- l) Signature, title or equivalent identification of the staff;
- m) When of importance, a declaration that the results refer only to the item tested;
- n) Declaration that the report shall only be reproduced in full and with the client's approval;
- o) Identification of the item;
- p) Reference to the specification standard used

7.5.12 Support services and external supplies

The laboratory shall maintain records referring to the acquisition of equipment, materials and services including:

- a) Specifications of the purchase;
- b) Inspection of the reception;
- c) Calibration or verification.

For evaluation of a non accredited laboratory the RQ-17 - Check list for evaluating of non-accredited testing laboratories of products - must be used.

8 The use of ABNT Labels and Certificates

8.1 General requirements

8.1.1 The ABNT marks are exclusively ABNT's property, registered at the National Industrial Property Institute as such. ABNT's Certification Body Marks differ from ABNT Standardization's Institutional Mark. A brand minimum reduction is 1.0 cm in diameter. The measures may be altered under ABNT approval.

The ABNT Environmental Quality Label, presented below, will be supplied to the organizations by ABNT.



The placement of this label on a product certified by ABNT represents that this product has been evaluated according to specific environmental criteria and that this product complies to those criteria.

8.1.2 The certified organization has the right to inform the public of its certification through communication media such as internet, advertising pamphlets, or other documents. The manner and places of the advertising shall be submitted to ABNT before use.

8.1.3 The organization shall not make or permit any declaration which encourages mistaken interpretation regarding its certification.



General Procedure for ABNT
Environmental Quality Label

PG-11.01

Date: Mar. 2009

Page. Nº 14/20

8.1.4 ABNT may authorize the reproduction of the certificate with the purpose of advertising and publicity. Even so the organization shall not use or permit the use of the certification documentation in whole or part, in a manner which induces misinterpretation of the certification's situation.

8.1.5 ABNT will verify the correct use and of its labels and certificates during audits performed at the certified organizations.

8.1.6 Incorrect references in the evaluation system or the improper use of ABNT Labels or Certificates found in advertisements, catalogues etc., will subject the infractor to sanctions as stated in this procedure and/or contract.

8.1.7 The following, among others, are considered improper use of the ABNT Labels and Certificates:

- a) the use of Labels and/or Certificates before the signing of the respective contract;
- b) publicity in disaccord with the orientations of this procedure;
- c) the use of the Labels or Certificates beyond the validity of the contract;
- d) the use of Labels or Certificates during a period of suspension;
- e) the use of Labels and/or Certificates outside the scope for which the organization has obtained the certificate;
- f) the use of Labels or Certificates not being up to date with the contractual obligations;
- g) the use of Labels or Certificates which is in opposition to the regulations established by the certification;
- h) the use of Labels and/or Certificates without previous approval by ABNT.

8.1.8 The Certification shall not be used to publicize non certified products or for organizations that do not manufacture the certified product.

8.1.9 In case of suspension or cancelation of its certificate, the organization shall cease all use of publicity material that show or make reference to the certification in any way.

8.1.10 The organization shall not divulge the certification in such a manner as to create the image that products not in the scope of the certification are in effect certified.

8.1.11 The organization shall not use the certification in such a manner as to compromise or prejudice the reputation of the certification body and/or cause a failing of confidence felt by the public for the certification body.

9 Sanctions

In case of transgression of the signed obligations, the certified organization or organization under the certification process shall be subject to the sanctions listed below:

- a) a warning, with the obligation to correct within the period of time agreed with ABNT, the infractions that have been found;
- b) suspension of the use of the Certificates and Labels for a specified time period;
- c) cancelation of the Certificates and Labels.



General Procedure for ABNT Environmental Quality Label

PG-11.01

Date: Mar. 2009

Page. Nº 15/20

ABNT shall communicate formally to the organization informing the reasons. In case of cancelation or suspension ABNT shall make this information available to the public.

9.1 Warning

A warning may be comprised of only a communication or may be accompanied by an increase in the frequency of controls (audits, tests etc.). In this case the Organization shall have to assume the responsibility of the resulting increase in cost.

9.2 Suspension

9.2.1 The suspension of the Certification may be applied in the cases described below:

- a) serious non conformity has been found but its nature does not require immediate cancelation;
- b) in case of improper use of the certificate or label;
- c) if the Organization suspends the supply of the product or service that was the object of the concession;
- d) if the Organization ceases to fulfill the contractual or technical (as established in the specific procedures) and/or contractual obligations.

9.2.2 The suspension shall apply for a predetermined time period and financial obligations will be maintained during that time.

9.2.3 The client shall refrain from continuing to promote their certification during the suspension period.

9.2.4 When the suspension period is finished, ABNT may perform audits, tests or other actions judged necessary in order to verify the rectification of the conditions which were the cause of the suspension.

9.3 Cancelation

9.3.1 The cancelation of Certification shall be applied in the following cases:

- a) evidence of serious non conformity;
- b) the reappearance of miss use of the Certificate has been verified;
- c) if the Organization does not fulfill the obligations stipulated in the contract;
- d) if the corrective actions taken by the certified organization are inadequate;
- e) if the Organization does not wish to renew its certification;
- f) if the standards and/or procedures applicable to the specific program have been revised and the Organization does not wish to, or cannot ensure conformity to the new requirements;
- g) through ABNT's own initiative when continuing the certification program is not in ABNT's best interest.



General Procedure for ABNT
Environmental Quality Label

PG-11.01

Date: Mar. 2009

Page. Nº 16/20

10 Appeal, complaint and dispute

10.1 Access to complaint records of the certified organization

ABNT requires that each certified organization makes all documented records of complaints and corrective actions taken available, in accordance to the requirements of the applicable standards and other normative documents.

On receiving a complaint, the certified organization shall establish and, when appropriate, make provisions regarding the cause of the non-conformity, within its management system. ABNT during its audits will verify if the corrective measures being taken by the organization include:

- a) notify the proper authorities, if required by law;
- b) restore conformity as quickly as possible;
- c) avoid repetition of the incident;
- d) evaluate and alleviate any adversities in the management system and their associated impact;
- e) guarantee satisfactory interaction with the other components of the management system;
- f) evaluate the effectiveness of the corrective measures adopted.

10.2 Access to the appeals, complaint and dispute records addressed to ABNT

Any interested party may formulate an appeal, complaint or dispute and send it to the Quality Coordinator, who shall give it adequate treatment.

10.2.1 Complaints

Complaints are a request directed to ABNT from the interested party, requiring analysis relative to certification services (including recertification, suspension and cancellation services) provided or improper use of a certificate by certified organizations.

On receiving a complaint, ABNT shall confirm whether or not the complaint is related to the certification activities for which ABNT is responsible. If so ABNT shall treat the matter. If the complaint is related to a certified client, the analysis of the complaint shall analyse the effectiveness of the certified management system.

ABNT shall inform its clients of any complaints related to them within an adequate time period.

Having analyzed the complaint, ABNT will take the necessary measures, maintaining the complainer informed of the progress and termination of the treatment given, always when possible.

The entire process of complaint is subject to the requirements of confidentiality regarding the complainer and the subject of the complaint.

The decision to be communicated to the complainer shall be prepared, or reviewed and approved, by a person or persons with no previous involvement with the subject of the complaint.

ABNT shall determine, together with the client and the complainer whether the complaint and the solution shall be available to the public, and, if so, to what extent.



General Procedure for ABNT
Environmental Quality Label

PG-11.01

Date: Mar. 2009

Page. Nº 17/20

In case the complainer does not be satisfied with the treatment given to the complaint, an appeal of the decision taken can be made to a higher jurisdiction of ABNT. For this, the process shall be reiniciated, with an exposition of the reasons, in writing, and the desire for appeal shall be stated.

The complaint, appeal or dispute presented due to contractual sanctions included in this procedure shall be forwarded containing motive exposition, within a period of 30 workdays counting from the date of receiving the notification.

10.2.2 Appeal

An appeal is a request to ABNT by an interested party, requiring analysis of the decisions taken by ABNT in relation to complaints made.

The appealer will have the opportunity to formally present the organization's case. ABNT guarantees the impartiality of the appeal's process and informs the concerned party in writing the results and the reasons for the decision taken.

The complaint having been analyzed, ABNT will take the necessary measures, maintaining the complainer informed of the progress and the termination of the treatment given.

ABNT assures that the persons involved in the treatment process of the appeal are other than those that performed the audits and/or were involved in the decision to concede the certificate. The submission of, investigation of and decision on appeals shall not result in any discriminatory action against the appealer. The decision to be communicated to the complainer shall be prepared or reviewed and approved by a person or persons with no prior involvement with the subject of the appeal.

ABNT shall send a formal decision to the appealer at the end of the appeal's treatment process.

10.2.3 Dispute

Dispute is a request to ABNT by the concerned party of recurrence against the decisions made by ABNT in relation to appeals if the result is not considered satisfactory.

10.2.4 The stages for complaint, appeals or dispute at ABNT are the following:

- a) Complaints: Quality Coordination;
- b) Appeals: General Manager;
- c) Dispute: General Director.

ABNT shall maintain specific records for the treatment of complaints, appeals or dispute numbered in sequential order of receipt, per year, which shall be kept on file for the minimum period of one year. The RQ-018, RQ-019 and RQ-069 shall be used.

Any and all expenses for the complaint process due to controls, testing, and their possible results, along with any others of exceptional character, shall be charged to the complainer, unless the results of the controls confirm the validity of the complaint. In this case the certified organization which was the object of the complaint shall be billed.



General Procedure for ABNT Environmental Quality Label

PG-11.01

Date: Mar. 2009

Page. Nº 18/20

11 Confidentiality

11.1 All the information concerning a product, Organization or person in particular shall not be divulged to third parties without prior written consent from the involved person or Organization. In case ABNT be obligated by law to reveal or provide confidential information to third parties, the person or Organization involved shall be notified previously.

11.2 All GGC staff are obliged by law to assure the confidentiality and impartiality of the information to which they have access because of their activities, under the penalty of demission and appropriate judicial measures. For this they shall sign a term of confidentiality and conflict of interest, the RQ-020.

11.3 The Organizations subcontracted by ABNT are obliged to assure the confidentiality of the information to which they have access because of the activities they perform. To this end, the respective contracts shall contain a clause which establishes a commitment to confidentiality.

11.4 Any participating member of the GRA are obliged to respect the confidentiality and impartiality of the information to which they have access because of their activities and shall sign a term of confidentiality and conflict of interest, the RQ-021.

11.5 ABNT shall previously inform the client of all information that has to be under public domain. All other information, except that which the client may have made public, are considered confidential.

11.6 Information concerning the client derived from sources different from the client itself (complainer, regulatory etc.), are treated as confidential, according to ABNT policy

12 Critical Analysis

12.1 The GGC management system shall be critically analyzed at the minimum once annually, or when necessary. The details of the critical analysis process is described in general procedure PG-02.

13 Code of ethics

ABNT demands that the members on its list of auditors and specialised technicians sign and fulfill the code of ethics established by ABNT.

The Organization that accepts consulting/training from ABNT's staff or auditor that disobeys the code of ethics written below is subject to sanctions as stated in chapter 10.

"In my activities as staff or member of ABNT's list of auditors, I commit myself to give service to ABNT respecting the principals of this code of ethics."

- 1** *Act in an absolutly loyal and impartial manner relating ABNT and regarding any organizations involved in audits, making sure that all persons under my responsibility act in the same manner.*
- 2** *I will not accept influences, presents, commisions, prizes, discounts or other types of advantages from the audited Organizations, their representatives or any other interested party, and will not permit it, in case such activities come to my knowledge and/or that a person or persons under my responsibility engage in such activities.*



General Procedure for ABNT
Environmental Quality Label

PG-11.01

Date: Mar. 2009

Page. Nº 19/20

- 3 *I will not reveal occurrences or information obtained from my function as an auditor to third parties, unless otherwise authorised by both ABNT and the audited organization.*
- 4 *I will not act in a manner that is prejudicial to ABNT and/or the audited organization's reputation or interests.*
- 5 *I will inform ABNT's management, before accepting an assignment of any relation, in particular consulting and/or training activities, family ties etc, that exists or has existed, with the organization to be audited, in my own name or that of my employer, that could compromise or put in doubt my independence of judgment, or any other situation that generates conflict of interest.*
- 6 *I will contribute and share my experiences with the other members of ABNT's list of auditors, safeguarding that established in 3.*
- 7 *I will not engage in secondary employment using my position as a member of ABNT's list of auditors for work not authorised by ABNT. My position as a member of ABNT's list of auditors or as a staff member will not be used as a means for commercial promotion, not by me nor my employers, and this does not reflect, in any way, on the the recognition of my capacity to prepare an organization for certification.*
- 8 *I will abstain from giving consultation to organizations audited by me as an ABNT representative wether they are certified or not for a period of 24 months after the completion of the audit.*
- 9 *I will abstain auditing organizations to which I have given consultation, wether they are certified or not, for a period of 24 months after the end of the consultation.*
- 10 *In case of any allegation of the violation of this code of ethics, I will cooperate completely with any formal examination of the facts.*

Having read this code I commit myself to absolute loyalty to the code of ethics written above when serving ABNT.

14 Financial scheme

14.1 Revenue sources

ABNT's sources of revenue and resouces are from:

- a) the annual dues paid by its associates;
- b) the sale of publications;
- c) the provision of technical normalization services;
- d) from financial resources originating from donations and conventions;
- e) from conformity evaluation activities;
- f) any other source compatible with its objectives.



General Procedure for ABNT
Environmental Quality Label

PG-11.01

Date: Mar. 2009

Page. Nº 20/20

14.2 ABNT shall establish financial values which cover the operational expenses of the service provided which shall be composed of one or more of the activities related in item 6.1 of this procedure, according to the case.

The expenses that relate to the performed activities will not be refunded to the Organization no matter what the result of the process.

For each service provided, ABNT shall formulate a commercial-technical proposal which will be submitted to the interested Organization.

15 Recognition Agreements

ABNT is prepared and able to enter into agreements of cooperation or mutual recognition with national, regional or international Bodies. The requirements of these agreements can substitute or complement the content of the specific procedures, without prejudicing controls when they are applied.
