Smoke-Free Culture Certification Scheme

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1 Scope

This scheme sets out the fundamental requirements and procedures that an Organization would implement in order to be awarded with a 'Smoke-Free Culture' certificate. The compliance of the Organization against the Scheme requirements is evaluated by TÜV AUSTRIA as the independent Certification Body.

2 Objectives

The "Smoke-Free Culture" Certification Protocol has been developed by TÜV AUSTRIA in order to bring forward the organizations and legal entities (hence called "'Organization") that wish to be associated with tangible actions, implementation plans and measurable objectives in order to reduce & ultimately eliminate cigarette smoking incidence among its employees or participants or members in their premises, as well as during activities or events they organize.

The main objective of the "Smoke-Free Culture" protocol is to certify that an Organization has provision to plan, support, implement, monitor and continuously improve a set of actions, aiming to ensure the above vision.

These actions will set the right ground to:

✔ Effectively inform the Organizations' adult smokers about the harm caused by cigarette smoke not only to their wellbeing, but also to their personal and social relations, and at the same time support them in quitting, always in accordance with the guidelines of the competent Ministry of Health.

✔ Responsibly inform the employees of the Organization who are cigarette smokers and consciously wish to continue smoking, or continue using nicotine or tobacco, regarding smoke-free alternatives.

✔ Actively inform the entire Organization of the value and importance of a "Smoke-Free" environment that could significantly improve the relations among smokers and non-smokers, contributing to a more harmonious environment of cooperation and mutual respect.

3 Benefits

Through the "Smoke-Free Culture" Certification, an Organization:

- ✔ Shows, through the use of the specific logo of the certification, the validation of its commitment to reduce and ultimately eliminate the consumption of cigarettes.
- ✔ Reinforces its strategy to develop a framework and set of actions to raise awareness to its employees and/or business partners about methods and resources available to quit all forms of tobacco and nicotine consumption, and about the availability of smoke-free alternatives for those who want to continue using tobacco or nicotine.
- ✔ Contributes actively to raising awareness regarding the harm caused by cigarette smoking to adult smokers.

4 Definitions

Each one of the analysis and description for the definitions given below is made accepted merely for the purposes of communicating the content and the vision, as well as evaluating the requirements of this Protocol.

Term	Definition
Action Plan	An action plan is a plan with a root cause analysis and corrective actions (short and/or long term) how nonconformities found during an internal or verification audit could be sorted/solved.
Assessment	The process of determining whether an organisation fulfils requirements of this protocol.
Audit	Audit is the process of examining a service or its planning and the determination of its compliance with specific requirements or on the basis of professional judgment with general requirements
Auditee	The organization (companies, events, communities) which will be audited.

Term	Definition
Certification Body	A third-party compliance assessment body operating the certification scheme.
Cigarette	Combustible tobacco product
Complaint	Expression of dissatisfaction to an organization related to its product or service
Compliance	Fulfilment of requirement
Correction	Action to prevent a detected non-compliance
Corrective Actions	Action to eliminate the cause of a potential non-compliance and to prevent recurrence
Improvement	Activity to enhance performance
Interested party	Person or organization, that can affect, be affected by, or perceive itself to be affected by a decision or activity
Management	Coordinated activities to direct and control an organization
Non-compliance	A non-compliance is the failure to comply with a requirement, standard, or procedure. A Non-Conformance Report (NCR) is issued in a verification audit, when the auditee fails to meet a requirement.
Parties involved	By interested parties it is meant the organizations and the certification body
Policy	Intentions and direction of an organization as formally expressed by its top management
Preventive action	Action to eliminate the cause of a potential non-compliance or other potential undesired situation
Procedure	Specified way to carry out an activity or a process

Term	Definition
Requirement	Need or expectation that is stated, generally implied or obligatory
Scheme owner (SO)	Owner and manager of a certification scheme
Vision	Aspiration of what an organization would like to become as expressed by top management
Organization	Companies, events, communities that wish to be certified according to the "Smoke-Free Culture" Certification scheme
Smoke-Free Products	Legally compliant products in the relevant jurisdictions that do not produce combustible cigarette smoke (eg. electronic cigarette or heated tobacco products)
Smoking Products	Tobacco Products that produce combustible cigarette smoke (e.g. Cigarettes, cigarillos, tobacco for roll-your-own, cigars)
Stop smoking support services	Services that are provided by competent individuals to persons that are wanting to stop smoking
Smoke-Free Culture	Private Scheme for the evaluation and certification of organizations which addresses the issue of smoking in an organization

5 Audit Protocol

The audit protocol describes the specific requirements for the Certification Body (TÜV AUSTRIA) in order to conduct the whole process of auditing, evaluating the compliance and certifying the organizations that implement the requirements of the present Certification Scheme. The purpose of the Certification Scheme is to define the criteria to be followed while performing audits against the Certification Scheme's requirements.

Strict implementation of the requirements is intended to ensure that TÜV AUSTRIA operates and provides its certification activities in a competent, consistent and impartial manner.

Certification activities are the individual activities that make up the entire certification process, from application review to termination of certification.

6 Certification Process

The audit process determines the stages that are followed, starting with the reception of the Organization's request to join the Certification Scheme until the award of the certificate. Main elements of the certification process are namely:

- ✓ Audit preparations, in order to examine the extent to which it is feasible to conduct a certification audit.
- ✓ Audit execution
- ✓ Issue of the certificate
- ✓ Certification maintenance

6.1 Application Review

The Organization fills in and submits the application form (Annex) to TÜV AUSTRIA. The application is reviewed by a competent and authorized person in order to determine that all information about the Organization, are sufficient and a certification audit can be carried out, any known difference between the Certification Body, and the Organization has been resolved, the number of sites to be audited, the required time for the completion of the audit and all other points that influence the certification activity have been taken into account. The Organization is then contacted in order to submit any further information required (if needed) to schedule the audit.

6.2 Audit planning

The (lead) auditor prepares an audit plan which will be forwarded to the Organization before the audit. The audit plan should entail the information for several audit days depending on the complexity of the system in place and the number of sites to be audited.

The Organization will be requested to assist the audit team in making appointments with the appropriate responsible persons in the Organization in order to conduct relevant interviews. For events, interviews with exhibitors will be carried out based on sampling.

6.2.1 Audit time calculation

Indicative basic parameters of the Organizations that will affect the determination of audit time are the following:

- ✓ The size of the Organization
- ✓ The number of sites of the Organization
- ✓ The complexity of the Organization
- ✓ The number of personnel within the scope of the application

6.2.2 Audit team responsibilities

The auditors are responsible for conducting the certification process properly in accordance with the specifications of the Certification Scheme. This includes:

- ✓ Preparation and planning of the audit
- ✓ Executing the audit
- ✓ Examination and evaluation of the applied system in practice (on-site during the audit)
- ✓ Documentation of the results of the audit

Within the audit team, the lead auditor has the following additional responsibilities:

- ✓ Drafting the audit plan and the report in consultation with the audit team
- ✓ Assigning audit responsibilities during the audit
- ✓ Documentation of audit findings and any nonconformities in consultation with the audit team
- ✓ Recommendation for issue of the certificate

✓ Requirement for corrective actions by the Organization in order to reach full compliance within a timeframe of 12 months from the initial certification

✓ Decision to terminate an audit

✓ Submission of the complete certification documents to TÜV AUSTRIA within the timeframe for release.

6.3 Audit Conduct

6.3.1 The audit process

General steps for conducting the onsite audit are the following:

✓ Conducting the opening meeting

✓ Performing document and records review while conducting the audit

✓ Communicating during the audit

✓ Assigning roles and responsibilities of guides and observers (if applicable)

✓ Collecting and verifying information

✓ Generating audit findings

✓ Preparing and distributing the audit report

✓ Preparing audit conclusions

✓ Conducting the closing meeting

During the onsite audit, the audit team reviews the Organization's documented information and/or data concerning the requirements of the Certification Scheme and obtains necessary information and evidences regarding the "Smoke-Free Culture" context, including:

✓ Vision, policy, responsibility and commitment of the senior management

✓ Processes and documentation established

✓ Applicable local statutory and regulatory requirements concerning smoking and compliance status of the organization

✓ The allocation of resources needed for applying requirements and principles of "Smoke-Free Culture"

✓ Awareness and training planning of relevant personnel involved and interested parties, visitors (i.e. clients, suppliers, associates etc.)

6.3.2 Audit types

6.3.2.1 Initial audit

An initial audit is a company's first audit to the "Smoke-Free Culture". It is performed at a time and date agreed with the Organization and it assesses all the requirements outlined in section 16. Assessment of the criteria depends on the agreed audit objective in accordance to the selected Tier level (see sections 6.4 and 6.5). A full Tier level initial audit takes place once per year.

6.3.2.2 Re-audit

A re-audit is conducted when the results of the audit (an initial audit or a renewal audit) have been insufficient to allow the award of the certificate. During re-audit, the auditor focuses on the implementation of the corrective actions taken to sign off the non-compliance raised during the last Initial or renewal audit. The re-audit is conducted within maximum twenty (20) days after the initial or renewal audit.

6.3.2.3 Renewal audit

Renewal audits are those which are performed after the initial audit and aim to extend the issue period of an existing certificate. Assessment criteria are evaluated only in the basis of the Tier 2 level. The renewal audit applies to all organizations except from short event cases (those operating for less than 12 months).

6.3.2.4 Extension audits

Extension audits are applicable in cases where a certified organization is willing to include additional activities and/or locations to an existing certificate. The Assessment criteria are evaluated only in the basis of the Tier level that is valid on the time that extension is applied for.

6.3.3 The certification time-line

The certification time-line differs in the context of the two main Organization categories as follows:

- ✓ Companies and public Organizations operating permanently, during the defined validity of the certification.
- ✓ Events or happenings operating seasonally or occasionally, during the defined validity of the certificate which is the same with the event's duration.

6.3.3.1 Companies and public organization operating permanently

The Organization can apply for certification for any of the two Tier levels, following the order of application from Tier I to Tier II. Time limits for completing each Tier level are defined in clause 6.5. In any case, the complete cycle for all Tier levels has to be completed within a total of 12 months from the first certificate issue date.

Activity and timetable of the certification process:

	Step Process/ Actions	Steps' Time Frames and Deadlines
1.0	Initial certification audit	Mutually agreed date
2.0	Audit report including potential non-conformities	2-10 days after the audit
3.0	Evaluation and acceptance by the Organization	5 days after receiving the preliminary report
3.1	Corrective actions in case of non-compliances signing off with submitted evidence (e.g. documents, photos etc.)	15 days after accepting the submitted preliminary audit report
3.2	Re-audit when non-compliances sign off require on-site verification	20 days after accepting the submitted preliminary audit report
4.0	Review and release of the final report after closing raised non-compliances	10 days after submission of the final audit report by the audit team
5.0	Certificate issuance	3 days after releasing the final report

6.3.3.2 Events or happenings operating seasonally or occasionally

The Organization can apply for certification for any of the Tier levels, following the order of application from Tier I to Tier II. Time limits for completing each Tier level are defined in clause 6.5. Irrespective, the complete cycle for all Tier levels has to be completed within a total of 12 months from the first certificate issue date or by the end of the current event.

Activity and timetable of the certification process

	Step Process / Actions	Steps' Time Frames and Deadlines
1.0	Initial certification audit *In case of a long term planned event only Tier I level can be granted before the opening date. Tier II can be granted only during an event or an occasional happening.*	Mutually agreed date

	Step Process / Actions	Steps' Time Frames and Deadlines
2.0	Audit report including potential non-conformities	10 days after the audit
2.1	Tier I: can be granted maximum 12 months before the opening date of the event or happening	1-10 days after the audit
3.0	Evaluation and acceptance by the Organization	The day the preliminary report is received
3.1	Corrective actions in case of non-conformities signing off with submitted evidence (e.g. documents, photos etc.)	The next day of the audit[1]
3.2	Re-audit in case non-conformities closing with on-site visit Re-audit when non-conformities sign off require on-site verification	The next day of the audit[1]
4.0	Review and release of the final report after closing raised non-conformities	The next day of the audit after submitting the final audit report by the audit team
5.0	Certificate issue	1 day after release of final report

[1]: In case non-conformities are not addressed adequately within the defined deadlines certification remains at Tier I

6.4 The "Tier Classification System"

According to this Certification Scheme the "Tier Classification System" is applied as a means to effectively evaluate Organizations against the requirements of the "Smoke-Free Culture" philosophy. The Tier Classification System provides a consistent method evaluating Organizations with reference to their resources, infrastructure and performance.

Each Tier refers to the specific range and spectrum of evaluation of each Smoke-Free Culture (SFC) requirement which is directly related and reflects the organization's overall readiness to meet all the requirements.

The two Tiers of evaluation relate in particular to the following levels of progress of an Organization against the SFC requirements:

- ✓ Readiness in designing and supporting the journey towards SFC certification (engagement and planning, as well as resources and infrastructures)
- ✓ Readiness to implement the designed actions (implementation and monitoring)

6.5   Description of the "Tier Classification System"

Tiers[2]	Evaluation Level	Compliance Time Frames
Tier I: **Build Up the 'Culture'**	Establishing a documented system defining vision, policies, procedures and practices in order to achieve objectives and goals serving the "SMOKE-FREE CULTURE" concept. Resource needs to achieve the established objectives are determined. The needed resources (hardware, software, staff and infrastructure) are available to support the documented system.	a) Organizations: 1-12 months[1] b) Short term events: From the official announcement up to 2 weeks* before opening date of the event. *Maximum intermediate period 12 months
Tier II: **Come Up to the 'Culture'**	The system (procedures, and practices) has suitably been established and the monitoring continuously operates to safeguard the implementation.	a) Organizations: 1-12 months after completion of the Tier I period[1] b) Short term events: throughout the event

[1]: The total time for completing both the Tier I & II requirements cannot exceed a period of twelve (12) months
[2]: For the "Short term events" category Tier I and Tier II levels are merged and completed in one stage

6.6   Evaluation of requirements

The audit team members assess the extent of understanding and management of the criteria/requirements of this Certification Scheme. Information is collected regarding applicable practices, documentation and records, and interviews with the involved parties. In order to evaluate the compliance with the requirements, the audit team has to assess every applicable requirement of the Certification Scheme. Applicability of the assessment criteria depends on the nature of the Organization and its activities.

Audit findings are graded in accordance to their degree of compliance. Compliance grading is conducted as follows:

Type of Compliance Grading	Evaluation conclusion	Action towards certification
Full compliance	Full compliance to the criterion	Proceed to certification issue. Remarks or/ and improvement notes may be raised by the audit team in case it is considered necessary.
Non-compliance	Non-fulfilment to the criterion which has direct impact to "Smoke-Free" characteristics and/or elements	No certificate is issued and evidence of corrective action required[2] within agreed timeframe

[1]: Detailed action plan is prepared and submitted to the audit team for final evaluation.

[2]: Detailed corrective action and relevant evidence have to be submitted to the audit team within 30 days from the audit. In the case of events, corrective action have to be fulfilled at least 2 days before the opening date of the event.

6.7   Audit results (reporting)

Following each audit, a full written report shall be prepared in the TUV provided format. The elements of the audit report are the following:

- ✓ General information of the Organization (detailed name, full address etc.)
- ✓ Audit results
- ✓ Comments concerning effectiveness of corrective actions implemented by the previous audit (if applicable)
- ✓ Remarks (positive or other) and general conclusion
- ✓ List of non-compliances and justifications for the non-compliances
- ✓ Photos and records as proof of compliance and site visit

6.8   Certification decision

Certification can be granted only when compliance to all audit criteria is graded as Green. The lead auditor delivers the complete audit documentation file, according to the evidences collected during the audit process. The Administration personnel

conduct the evaluation of the procedural data and the control of the completeness of the audit documentation file as far as the documents that it contains. The technical reviewer of the Certification Body receives the file from the administration only when it is complete. If that is not the case, the lead auditor is notified of the missing audit documents. The technical reviewer releases the documentation only if there are no findings graded as Red. If that is not the case the lead auditor is notified. The Certification Body taking into account the release of the audit documentation from the Administration staff and the recommendation of the technical reviewer and other data of the Organization, decide whether to:

- ✓ Grant certification
- ✓ Refuse certification
- ✓ Withdraw certification
- ✓ Suspend certification

If the decision is positive the Certification Department issues the Certificate which is then awarded to the Organization.

6.8.1 "Smoke-Free Culture" Excellence Achievement Award

An Excellence "Smoke-Free Culture" Certificate is awarded to an Organization provided that the relevant requirement has been met (§15.6) and a Tier II - Come Up to the 'Culture' Certificate is also awarded to the Organization.

6.9 Certification cycle

6.9.1 Single Site Certification Cycle

In the event that certification is granted, the certification cycle starts on the date of the certification decision and it is valid for one year. It has maximum duration of one calendar year (12 months).

Before the expiry date of the certificate, the re-certification audit is carried out for the renewal of the certificate for the next year.

The new certificate will be issued in continuation to the previous one with the same registration number.

6.9.2 Event Certification Cycle

In case of events, certification validity coincides with the event's duration.

6.9.3 Multi-Site Certification Cycle

A multi-site organization is an organization having an identified central function hereafter referred to as a central office (not necessarily the headquarters of the organization) at which certain SFC framework and set of planned actions are controlled or managed, and a network of sites at which such activities are fully or partially carried out. Examples of possible multi-site organizations can be*:

– organizations operating with franchises;
– manufacturing company with one or more production sites and a network of sales offices, including multi-national organisations;
– service organizations with multiple sites offering a similar service;
– organizations with multiple branches.

*Note: The option is not applicable for short event cases and public organisations.

The SFC scheme can be certified in the context "multi-site certification" under one framework and set of planned actions, providing that the following fundamental conditions apply:

a) all sites are operating under one centrally controlled and administered framework as defined in the SFC requirements and guidelines

b) a scheduled programme of internal audits has been established and at least one cycle has been completed including all sites to be or are certified;

c) audit findings of the individual sites shall be considered indicative of the entire system and correction shall be implemented accordingly.

d) an SFC team with at least one responsible located appointed in each site with main responsibilities

e) the SFC corporate policy and specific requirements are made aware to all sites and adjusted to local business and regulatory requirements.

f) complaints, non-conformities and relevant corrective actions are handled in the frame of centrally management framework

In specific the following requirements as, pre-requisites have to be fulfilled correspondingly to the Tier I & II level:

TIER I	TIER II
Assessment type	
Only document review in the Central Office is required applicable for all sites included in the certification group.	Document review and on site audit based on a sampling method which follows the "40/30/30 rule". Specifically, the following conditions are applied: a. Initial audit or re-certification audit at the 40 % of the total number of sites b. Each Surveillance audit at the 30% of the total sites (1st and 2nd Surveillance Audit). During the 3-year certification cycle all sites have to be visited at least once.
Pre-requisite conditions	
- **Documented policies and documents related to the SFC system are available and incorporated in the management structure of all involved sites** - **A responsible person and a team shall be appointed with the task of establishing and maintaining the requirements of the SFC objectives.** - **The local legislative and/or normative national requirements have been incorporated in the SFC policies of the site** - **SFC policy and procedures have been incorporated in the management structure of the site and signed by the senior management.** **A self-assessment against the above main issues shall be available by each involved site (SAQ, Annex 16.3)**	A. Pre-requisites of Tier shall be fulfilled B. On-site audits conducted according to the "40/30/30 rule" each year in order to assess all the information concerning implementation of SFC policies, procedures and practices C. The central offices shall be audited every year. This location will not be counted as part of the total sites of the sampling sites. D. Findings evaluated as "Non-compliance" identified at the central system audit shall be recorded and their implications to the involved sites will be evaluated. Non-compliances identified in an involved site will be evaluated in respect to the extent of their implication either localy or centrally. E. Incidents and/or appeals concerning a specific involved site will be communicated to the central offices and implications will be evaluated and handled as individual and/or potential for all sites.

6.10 Shape and Structure of the Certificate

The certification body issues the certificate of compliance with the requirements of the Certification Scheme, which contains the following elements and information:

- ✓ The Certification Scheme's name
- ✓ The name, address, logo and location of the Organization
- ✓ The scope of application
- ✓ The issue and expiry date of the certification. In case of renewal, initial certification date is documented
- ✓ The registration number
- ✓ The full name, logo and address of TÜV AUSTRIA
- ✓ The logo of Smoke-Free Culture Certification Scheme
- ✓ Discreet iridescent marking baring certification body's logo to prevent improper reproduction of the certificate
- ✓ Ownership and reproduction restrictions of the certificate

A sample of the certificate is presented in the Annex of the Certification Scheme.

6.11 Registration of Certificates

Once the certification audit or re-certification audit are concluded positively, the certificate will be registered at the Certification Body's database.

7 Management of complaints / appeals

7.1 Complaints

Complaints are an expression of dissatisfaction which relate to customer service issues and come from the audited Organization or other interested party. Examples may include the following:

- ✓ Delays in the processing of audits
- ✓ Lack of transparency and collaboration by the audited organization
- ✓ Behavioural problems of the certification body personnel
- ✓ Matters relating to the Organization operation and are directly related to the scope of the certification

7.2 Appeals

The submission of appeals is related to issues of dispute on the part of stakeholders of the independent and objective judgment of personnel carrying out the audit, the technical competence of the personnel involved in carrying out audits and their reliability.

7.3 Handling of complaints and appeals

These kinds of complaints/ appeals are submitted in written to TÜV AUSTRIA and are necessarily accompanied by relevant documentation (if not given at the outset from the interested party, TÜV AUSTRIA requests it to be submitted in the form of a supplementary item).

For the investigation and handling of the complaints and appeals, a committee with sufficient technical training (based on the object of investigation) is constituted. The committee is consisted of, at least, three members, whereas any other advisory or external party may participate. Depending on the objective of the investigation, advice or assistance may be requested from a relevant society or body.

7.4 Third party complaint

It refers to complaints from parties not related to the audited Organization.

TÜV AUSTRIA takes measures to collect as much possible all the information substantiating the complaint and compares them to the findings of the most recent audit carried out. TÜV AUSTRIA may decide to:

- ✓ Communicate with the client and / or the interested party in order to obtain evidence relating to the complaint, or
- ✓ Conduct a re-audit in order to check the correctness of the results of the initial audit or the allegations of the complaint.

If allegations of the complaint are found correct, depending on the severity of the deficiency, TÜV AUSTRIA requests corrective actions to be implemented by the Organization within a reasonable time or proceeds with the withdrawal of the certificate.

In any case, if a third party action harms the reliability and credibility of the audit or the Certification Body, TÜV AUSTRIA shall investigate the need to impose sanctions using all legal means.

7.5   Documentation and monitoring

All actions implemented in the context of any kind of complaint / appeal / accusation, are documented. At a minimum the following are defined:

- ✓ The implementing rules and details
- ✓ The implementation responsible person(s)
- ✓ The implementation time
- ✓ The authorized person for the verification of the adequacy and effectiveness of the actions taken

8   Certification suspension and/or withdrawal

Certification may be withdrawn in case at least one of the following occurs:

- ✓ Financial debts to TÜV AUSTRIA: if the agreed certification fees are not settled in the defined timeframes
- ✓ Failure to comply with the terms set out in the signed contract with TÜV AUSTRIA regarding both economic data, as well as other requirements related to certification
- ✓ The audit indicates the non-fulfilment of the criteria that do not allow the continuation of the certificate validity
- ✓ Organization's denial or unwillingness to comply with new requirements arising from the current local smoking legislation or amendments to the Certification Scheme's requirements that are decided by the certification body

In case TÜV AUSTRIA decides that at least one of the above mentioned reasons occurs, it notifies the Organization in writing prior to the certificate's suspension/withdrawal, explaining:

- ✓ The reasons for which it intends to proceed to this action
- ✓ The local legislative (if applicable) and regulatory framework under which the decision for certification withdrawal is documented

Complaint or accusations: in case of complaints or claims made by any interested party, the Certification Body reserves the right to investigate the incident. If it is found that the complaint or accusation made against the Organization is justified, the Certification Body may suspend or withdraw the certification. In case of suspension, the Organization will be notified in writing for the reasons of the suspension and adequate corrective actions are requested to be implemented by the Organization in order for TÜV AUSTRIA to re-activate certification.

Organizations may appeal against TÜV AUSTRIA's decisions. Appeals are examined by the certification body's Integrity Committee which may take legal or other advice as required, in order to investigate each case.

Appeals cannot be submitted after 30 days from notifying the Organization regarding the intention of certification withdrawal.

Examination of the Organization's appeal from TÜV AUSTRIA is made in writing and within a period not exceeding 20 days from the submission of the appeal.

TÜV AUSTRIA informs in writing the Organization regarding its decision after evaluating the submitted appeal.

In case the Certification Body accepts the appeal, a written notice for the acceptance of the decision is submitted to the Organization.

In case the Certification Body rejects the appeal, then it proceeds to the certification withdrawal. Certification suspension and/or withdrawal are always made public by TÜV AUSTRIA using all means available.

The Organization is obliged to return the original (hard copy) certificate to TÜV AUSTRIA within 7 days.

9   Ownership and management of certification logo

The right to use the Certification Logo of the "Smoke-Free Culture" Certification Scheme is exclusively valid for the Organization that was audited by TÜV AUSTRIA.

Use of the Certification Logo cannot be transferred by the Organization to a third party or a successor thereof (e.g. change of Organization's name). The Certification

Logo must be legible, meet the specifications provided in this Certification Scheme and can be clearly seen.

The Organization is obliged to use the Certification Logo in such a way as to not create confusion or mislead the public regarding the type of scope audited/assessed by TÜV AUSTRIA.

If claims are raised against the Certification Body due to arbitrary, illegal and opposite to the provisions of this Certification Scheme, use of the Certification Logo by the Organization, the Organization is obliged to absolve the Certification Body of any claim of third parties. The same will apply if claims are raised by third parties against the Certification Body for allegations made for promotional purposes by the Organization that do not meet the terms of Certification Logo use or are causing confusion or are misleading regarding the type of scope audited/assessed by TÜV AUSTRIA.

The Organization shall not make or permit any misleading statement regarding its certification.

After suspension/withdrawal of certification, the Organization discontinues the use of all advertising means that contain a reference to the certification. The Organization does not imply that certification applies to activities/events that are not included in the certification scope.

The Organization does not use its certification in such a way that would bring the certification body into disrepute resulting in losing public trust.

9.1 Termination of the right of use

Organization's right to use the Certification logo and hold the Certificate ceases with immediate effect, if:

- ✓ The Organization does not notify TÜV AUSTRIA regarding any significant changes in its structure which have direct impact on certification (e.g. change in legal entity, company's headquarters).
- ✓ The Organization does not pay its fees to TÜV AUSTRIA within the agreed period.

The Organization's right to use the Certification logo and to maintain/ hold the Certificate ceases also directly when the organization uses the Certification logo in a

manner opposite to the provisions of the contract (see also section 8). TÜV AUSTRIA has the right to proceed with the removal of the Certificate and its annulment in case the provisions of this paragraph are not met.

The organization is obliged to return the original (hard copy) certificate to TÜV AUSTRIA upon termination of the right of use.

10 Quality assurance - Scheme Safeguarding

10.1 Reliability

TÜV AUSTRIA undertakes obligation to provide only services within its scope of operation and ensures the necessary conditions for the proper provision of these services.

Both TÜV AUSTRIA and its representatives do not express in any way certainty of achieving results that are uncertain prior to the completion of providing the service, i.e. conducting the audit.

11 Independence / Impartiality / Integrity

All involved in the audit process of the Certification Body must meet the following conditions:

- ✓ Not to be engaged in similar activity to that of the company and/or not to be engaged in relative activity of third party
- ✓ Do not provide any kind of service directly or indirectly to the Organization and are not related in any way to the Organization

In general, the Certification Body and its personnel must not be connected to any activities that may conflict with their independence of judgment and integrity.

All interested parties must have access to the Certification Body's services, without being subject to unjustifiable economic or other conditions. Both audit procedure and other procedures related to the general operation of TÜV AUSTRIA should be conducted in an impartial manner.

TÜV AUSTRIA's personnel state the preservation of independence, integrity and impartiality when performing its duties and ensure the confidentiality of information that comes to its attention in writing. The written commitment of TÜV AUSTRIA's

personnel is renewed annually, while for newly recruited personnel shall be made before undertaking responsibilities.

12 Confidentiality

The use of information that comes to TÜV AUSTRIA's attention during the exercise of its activity to its own advantage or for the benefit of third parties is strictly prohibited.

When TÜV AUSTRIA considers that there are strong reasons for which the Organization's information must be used, it must obtain the Organization's written permission in advance.

The obligation of confidentiality does not apply in case of information related to current legislation as well as in cases where TÜV AUSTRIA is called by judicial authority to provide its assistance.

13 Self-assessment

TÜV AUSTRIA has to carry out self-assessments at least annually to ensure the quality and suitability of provided services.

Self-assessment is carried out so as to include all its activities (internal operation and service provision), while those who perform the self-assessment can be present during the onsite audits.

14 Auditors' requirements

Personnel of TÜV AUSTRIA respect the independence, impartiality, objectivity and confidentiality rules mentioned in the preceding paragraph of this Certification Scheme.

The auditors of TÜV AUSTRIA in order to be considered capable of conducting audits under the requirements of this Certification Scheme must meet the following qualifications:

- ✓ To be already recognized auditors in at least one Management System (eg. ISO 9001).

✓ To have attended training courses relevant to the subject of the audit which is conducted by TÜV AUSTRIA

✓ To have gone through a witness audit by an appointed Auditor for SFC, during conducting a full (TIER I and TIER II) "Smoke-Free Culture" audit. A witness audit has to be taken up in an on-going base by each appointed SFC auditor, once per 20 TIER II SFC audits that he has conducted. A witness audit should have a minimum duration of one Man-Day (MD).

✓ To know the audit principles

✓ To know the Certification Scheme

14.1 Training of auditors

All auditors working for the Certification Body attend an initial induction training regarding the following:

✓ Auditor's responsibilities

✓ Legislation relating to the applied activity

✓ Management and requirements of this Certification Scheme

TÜV AUSTRIA must organize relevant training of auditors regarding any changes of the requirements (legal or others). The need for training of auditors may arise:

✓ After revision of this Certification Scheme

✓ After identifying serious deficiencies of the auditors during the audit

✓ From the need to upgrade the knowledge and auditing capabilities to keep pace with current technological developments adopted by TÜV AUSTRIA

The Certification Body keeps updated training records with full training data for all its auditors.

14.2 Auditors approval methodology

14.2.1 Beginning of cooperation

The Certification Body collects data documenting the working experience relevant to the scope object (if any), and data related to education and/or training of the auditor. Then the certification body:

✓ Evaluates the collected data of the auditor

✓ Organizes the auditor's training

✓ Proceeds to final review and approval of the auditor, if all the necessary conditions are met

14.2.2 Cooperation monitoring

The auditor's file is evaluated every three years by TÜV AUSTRIA in order to continue the cooperation.

Smoke-Free Culture Certification Scheme

Audit Requirements

15 Audit Requirements - 'Smoke-Free Culture' Compliance Principles and Assessing Criteria

All the requirements listed in this paragraph are subject to review during each one of the two Tier Levels. In this context, the perspective of their evaluation is related to the objectives of each Tier, as defined in paragraph 6.5 above.

15.1 'Smoke-Free Culture' Policy:

The Organization shall establish, implement and maintain a 'Smoke-Free Culture' policy that clearly identifies and highlights the scope of the Certification Scheme.

No	Compliance Principle	Assessment Criteria
A1	Top Management commitment and responsibility	The Organization shall have a documented 'Smoke-Free Culture' policy, stating its commitment to the Smoke-Free Culture
A2	Communication and awareness of the 'Smoke-Free Culture' policy	The Organization shall communicate its policy to all involved and interested parties (staff, clients, visitors, subcontractors, local entities and residents)
A3	Determination of measurable KPIs of the implementation	"Smoke-Free Culture' policy shall include measurable objectives (i.e. awareness sessions, trainings etc.) to maintain the principles and requirements of it
A4	Communication for smoking cessation	The Organization shall provide access to available resources, as per competent authorities' recommendations, to facilitate adult smokers wanting to quit smoking.
A5	Addressing the issue of smoking inside the premises	"Smoke-Free Culture" policy shall clearly define that smoking combustible tobacco products is not allowed indoors inside the premises. The organization must define outdoor designated areas inside the premises (e.g. specific areas in the yard etc.) where smoking of combustible tobacco products is allowed. The policy shall be addressed to all the involved parties (staff, clients, visitors, subcontractors, local entities and residents) in the Organization.

No	Compliance Principle	Assessment Criteria
A6	Addressing the issue of smoking around the premises	"Smoke-Free Culture" policy shall describe a recommended behaviour for smokers in areas surrounding the premises (sidewalks etc.) and common access points (entrances) of the organization in accordance with local laws and regulations.
A7	Addressing auxiliary operational assets	'Smoke-Free Culture' policy shall address smoking behaviour in the organization's auxiliary operational assets (e.g. company vehicles for public use).
A8	Addressing indirect organization's activities	The organization shall justify its activities (e.g. organization's events) for which the 'Smoke-Free Culture' policy will be applied.
A9	Setting a constant and uniform Smoke-Free approach	'Smoke-Free Culture' policy shall be applied uninterruptedly during all the operating hours (e.g. work or activity) of the organization (as well as overtime).
A10	Maintaining holistic policy approach in the premises	'Smoke-Free Culture' policy shall be applied to all external organizations using the organization's operating premises.
A11	Disseminating the policy	'Smoke-Free Culture' policy shall be communicated, within the organization and available to relevant involved parties (and the local community when the Organization is a community for example).

15.2 'Smoke-Free Culture' Structure:

'Smoke-Free Culture' Scheme shall clarify who the Audit Protocol applies to, who is responsible for implementation and the procedures that will be used if non - compliance occurs.

No	Compliance Principle	Assessment Criteria
B1	Assigning duties	The Organization shall assign to a team or a person, the responsibility and authority for ensuring that the Smoke-Free Culture System is applied effectively
B2	Keeping records of effectiveness	The Organization shall create a suitable record file to maintain documented information about actions taken to safeguard the objectives of the "Smoke-Free Culture" System (e.g. monitoring results).
B3	Handling smoking incidents	The Organization shall develop and maintain documented instructions to handle any smoking incidents that may occur, including recommendations and disciplinary actions in case of repeated misconduct.
B4	Assessing the monitoring mechanism	The Organization shall have procedures to monitor the implementation of the Smoke-Free Culture Policy at any area and/or involved parties (staff, clients, visitors, subcontractors, local entities and residents), and keep a record.
B5	Supporting the foresight	The Organization shall reveal its providence and ability to provide supportive pathways and/ or consulting and/ or other supportive facilities (e.g. occupational doctor, general practitioner, NRTs) to those involved parties willing to stop smoking cigarettes.

15.3 'Smoke-Free Culture' and Stop Smoking Actions:

'Smoke-Free Culture' Scheme should clearly inform and provide access to available resources of information and support for these adult smokers who want to quit smoking.

No	Compliance Principle	Assessment Criteria
C1	Boosting awareness	The Organization should promote internally Smoke-Free Culture related campaigns (e.g. advertisements, press releases, social media posts, press conferences etc.).
C2	Informing the newcomers	The Organization shall ensure that each new employee receives introduction training with reference to the 'Smoke-Free Culture'.

15.4 'Smoke-Free Culture' Switching to Smoke-Free Alternatives:

For those smokers who consciously decide to continue smoking, the Organization will facilitate the awareness of alternative smoke-free products.

No	Compliance Principle	Assessment Criteria
D1	Awareness on smoke-free products	For those smokers who consciously decide to continue smoking, the Organization will facilitate the awareness of smoke-free products which are better choices for smokers compared to combustible tobacco products, based on scientific evidence.
D2	Initiating the "Smoke-Free" zones	The Organization shall designate areas for the use of Smoke-Free products in its premises as allowed by the relevant local legislation. These areas should be different from the designated smoking areas for the combustible smoking products.

15.5 'Smoke-Free Culture' System Implementation:

The success of 'Smoke-Free Culture' in an organization depends on the effective implementation of its policy, awareness building and monitoring process.

No	Compliance Principle	Assessment Criteria
E1	Smoke-Free Policy planning	The Organization shall establish a comprehensive action plan including time, resources, evolution etc. for implementing and monitoring the development. The plan shall be updated during milestones with recordings about the course and completion of the planned actions.
E2	Assisting the active participation	The Organization shall display a clear methodology to constantly keep all its involved parties reminded about the "Smoke-Free Culture", such as using information points, Smoke-Free signage etc. with a special care for specific areas within its premises (e.g. entrances, open air kiosks etc.).
E3	Monitoring the implementation	The Organization shall define the appropriate combination of methods to monitor and evaluate the implementation of its "Smoke-Free Culture"
E4	Assessing the results for improvement	The Organization shall define the process to assess the results obtained from monitoring the "Smoke-Free Culture" system.
E5	Communicating the results	The Organization shall foresee the method to suitably communicate (e.g. periodically) to its involved parties, the succeeded level of compliance (e.g. annual progress)

15.6 "Smoke-Free Culture" Excellence Achievement *(Optional Requirement):*

Besides the importance of establishing a "Smoke-Free Culture", an Organization may aim to effectively reduce smoking incidence among its employees or participants or members. For the purposes of the "Smoke-Free Culture" Certification Scheme, this reduced smoking prevalence target is set to achieve below 5%. Any organization may also decide to set this target to an even lower level. For those organizations willing to set and finally succeed to meet such an exceptional aim, an excellence "Smoke-Free Culture" Certificate is awarded.

No	Compliance Principle	Assessment Criteria
F1	Achieving an Excellence Award	The Organization shall achieve the reduction of smoking incidence to 5% or even less among the involved parties.

16 ANNEXES

16.1 Application Form

"SMOKE-FREE CULTURE" Certification Scheme
Application Form

1. GENERAL ORGANIZATION INFORMATION

ORGANIZATION NAME:			
DISTINCTIVE TITLE:			
HEADQUARTERS	ADDRESS:	CITY/ POST CODE:	
	PROVINCE:	COUNTRY:	
☏		FAX	
@		URL	
VAT Nr.		TAX OFFICE	
ORGANIZATION REPRESENTATIVE :			

2. ORGANIZATION ACTIVITY

ORGANIZATION ACTIVITY(IES) DESCRIPTION:	
ACTIVITY SCOPE FOR CERTIFICATION :	☐ ALL THE ACTIVITIES ☐ PART OF THE ACTIVITES (specify which, below)
SUPPORTIVE OR PART OF ACTIVITIES UNDER CERTIFICATION CARRIED OUT BY SUBCONTACTORS: (if YES, specify the activities)	☐ YES ☐ NO

3. ORGANIZATION SITES

SITE WHERE THE "TIER I" AUDIT WILL TAKE PLACE	☐ HEADQUARTERS ☐ OTHER (specify below)
ADDRESS :	CITY / POST CODE:
PROVINCE:	COUNTRY:
REMOTE AUXILIARY SITES / LOCATIONS / SUBSIDIARIES:	☐ YES ☐ NO
If yes fill in the following	
NUMBER OF REMOTE AUXILIARY SITES / LOCATIONS / SUBSIDIARIES UNDER CERTIFICATION:	
SITES' TOTAL INDOORS ACREAGE (sq.meter surface) / CAPACITY	
SITES' TOTAL OUTDOORS ACREAGE (sq.meter surface) / CAPACITY	
REMOTE AUXILIARY SITES / LOCATIONS / SUBSIDIARIES UNDER CERTIFICATION ESTABLISHED OVERSEAS (other than site for "TIER I audit")	☐ YES ☐ NO
If yes fill in the following	
OVERSEAS REMOTE ESTABLISHMENT 1 COUNTRY:	CITY:
OVERSEAS REMOTE ESTABLISHMENT 2 COUNTRY:	CITY:

4. ORGANIZATION HUMAN RESOURCES

TOTAL NUMBER OF PEOPLE INVOLVED IN THE ACTIVITY AND SITES TO BE CERTIFIED (subcontractors are excluded)	
NUMBER OF PEOPLE INVOLVED PERMANENTLY	
NUMBER OF PEOPLE INVOLVED TEMPORARILY	
SHIFTS EXIST FOR THE ACTIVITY(IES) UNDER CERTIFICATION	☐ YES ☐ NO
If yes fill in the following	
Nr. OF SHIFTS (if any):	NUMBER OF PEOPLE ON SHIFTS:

"SMOKE-FREE CULTURE" Certification Scheme
Application Form

5. ORGANIZATION AUXILIARY OPERATIONAL ASSETS

CORPORATE TOOL CARS / VEHICLES : ☐ YES ☐ NO

If yes fill in the following

NUMBER OF CARS / VEHICLES

6. ORGANIZATION READINESS TO CERTIFICATION

CHECK ORGANIZATION PRESENT READINESS FOR CERTIFICATION LEVEL:

TIER I	TIER II
"SMOKE-FREE CULTURE" SYSTEM DOCUMENTATION HAS BEEN DESIGNED / RESOURCES / INFRASTRUCTURES etc. TO SERVE FACILITATE "SMOKE-FREE CULTURE" ARE SET / ESTABLISHED ON-SITE	"SMOKE-FREE CULTURE" RUNS EFFECTIVELY ON-SITE
☐	☐

OR DEFINE THE ESTIMATED READINESS OF THE ORGANIZATION FOR EACH TIER ACCORDINGLY:

DATE:	DATE:	DATE:

SITE WHERE THE TIER I DOCUMENTATION IS AVAILABLE:

RESPONSIBLE PERSON FOR COMPLIANCE WITH PROTOCOL REQUIREMENTS :	☎	@

ORGANIZATION OBTAINS CERTIFICATION FOR A SOCIAL ACCOUNTABILITY STANDARD OR SETS VERIFIED CORPORATE SOCIAL RESPONSIBILITY	☐ YES ☐ NO	IF YES, MENTION THE STANDARD	

DESIRABLE AUDIT DATE (MONTH / DATE) FOR TIER I AUDIT

OTHER INFORMATION – REMARKS

I hereby declare that the organization has in place all the necessary legislative documentation relating to its activities

DATE	SIGNATURE AND STAMP

Please fill in the application form and FAX it to +30 210 5203990 or email it to
certification@tuvaustriahellas.gr
For any further information, please contact +30 210 5220920

Date	APPLICATION REVIEW (to be filled in by the Certification Body)	Signature

16.2 Certificate

CERTIFICATE

TÜV AUSTRIA

For the requirements of the
Smoke-Free Culture Certification Scheme

It is hereby confirmed and documented through TÜV AUSTRIA Procedures that the Organization

Name of the Organization
Address of the Organization
Category of Activity:

Complies with the requirements of the Smoke-Free Culture Certification Scheme for the following activity/event

XXXXX

Evaluation Level: Tier I – Build Up the Culture ✓

                 Tier II – Come Up to the Culture

Registration Number: XXXXXXX

       Valid until :   XXXX-XX-XX

       Initial Certification :   XXXX-XX-XX

Certification Body   Athens,   XXXX-XX-XX
TÜV AUSTRIA

The assessment was performed according to the relevant Certification Scheme of TÜV AUSTRIA

TÜV AUSTRIA HELLAS
429, Mesogeion Ave
GR – 153 43, Athens, Greece
www.tuvaustriahellas.gr

TÜV AUSTRIA
GROUP

16.3 Self-Assessment Questionnaire (SAQ)

	"Smoke-Free Culture" - Self-Assessment Questionnaire				

Read each one of the following "SFC Prerequisite Condition" and decide which column aligns most closely with what happens in your Organization's site making reference to the relevant documents.

	SFC Prerequisite Condition	Level of compliance			Compliance Documentation
		Full	Partial	None	
1	Documented policies and documents related to the SFC system are available and incorporated in the management structure of all involved sites	☐	☐	☐	
2	A responsible person and a team shall be appointed with the task of establishing and maintaining the requirements of the SFC objectives.	☐	☐	☐	
3	The local legislative and/or normative national requirements have been incorporated in the SFC policies of the site	☐	☐	☐	
4	SFC policy and procedures have been incorporated in the management structure of the site and signed by the senior management	☐	☐	☐	

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TRUST IS GOOD,

TÜV IS BETTER.

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BRANCHES IN GREECE:
THESSALONIKI, HERAKLION CRETE, MYTILENE

ABROAD:
CYPRUS - TURKEY - JORDAN -
ALBANIA - EGYPT - ISRAEL - YEMEN -
PAKISTAN - KOREA- QATAR

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