



CERTIFICATION RULES, TERMS AND CONDITIONS



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About Certification Global

Certification Global is a world leader in Certification, Inspection and Training services. We provide solutions in quality, health & safety, environmental protection and social responsibility.

Wherever you are located in the world and whatever industry you belongs to. You can trust on our global professional and competent teams of experts to provide you highly specialized services to help your business faster, simpler and more efficient. Our experts assist you as third party to maintain your management system in more efficient and sustainable ways, improving quality and productivity, reducing risk, verifying compliance and increasing speed to market. Our expertise are in:

Management Systems Certification: Our competent and Independent auditors and certification team gives you best assessment and professional services and demonstrate full impartiality and business ethics and that add value your products, processes, systems or services with national and international standards and regulations or customer defined standards, through certification.

Inspection & Supplier's Audit: our comprehensive range of world-leading inspection and auditing services help you to control quality, health, safety, environment, food safety, security, COC and meet all relevant regulatory requirements at supplier's end across different regions and markets.

Training: Our multidiscipline trainers and tutors deliver the trainings to individuals and organization with clear concepts to understand the requirements of national and international management systems and technical standards and guidelines. We provide public and in-house trainings.

Certification Global is the worldwide leading certification, inspection and training body. We have developed our name as international leader for quality and integrity. We are operating in more than 26 countries around the world



Certification Services Steps and details

1 - Initial Assessment (Stage 1): our auditor will carry out an stage 1 audit of your Management Systems according to the requirements of the respective Standard(s) in order to establish to what extent the Management Systems addresses the requirements and to plan the stage 2 audit. The stage 1 audit should not be considered as a consultancy service. The time frame between Stage1 and Stage 2 cannot exceed 6 months.

2 – Initial Assessment (Stage 2): The principal purpose of the Stage 2 Certification Audit is to audit the Management Systems requirements and physically verify the compliance of the respective standard(s) on client’s facility.

3 - Surveillance Audits (Second and Third Year): It is an obligatory part of certification process. Our auditor will perform the Surveillance audit after every eleventh months; it means two Surveillance audit will be performed during 3 years validity of the certificate. Such routine Surveillance audits are imposed by accreditation bodies in order to ensure the continuous compliance of company’s management system to the specific standard(s) requirements.

Note: 15-20% of audit time will be spent for audit planning and reporting, which includes off-site audit time for the preparation of audit plan, working documents, etc., the audit reporting time includes the preparation of audit report and review of corrective actions & closure of Nonconformities (if any) but does not include any follow-up visit to verify the implementation of corrective actions on-site (such visits shall be charged separately at the specified man-day rate), audit report should ideally be prepared on-site at the end of the audit, however, can be done off-site based on mutual agreement between both parties.

AUDIT CRITERIA

The audit criteria is the management system standard(s) applicable to the client’s certification and the defined processes and documentation of the management system developed by the client.

AUDIT OBJECTIVES

The audit objectives are to:

- evaluate conformance with the audit criteria described above;
- evaluate the ability of the client’s management system to ensure that the client meets applicable statutory, regulatory and contractual requirements;
- evaluate the effectiveness of the management system to ensure the client organisation is continually meeting its specified objectives; and
- identify applicable areas for potential improvement of the management system.

GENERAL CONDITIONS

- For the above scope, we propose the ASCB (ACCREDITATION SERVICE FOR CERTIFYING BODIES) accredited certificate(s).
- Certificates will be issued to legal entities with valid legal documentation only.
- The client shall comply with the requirements of the relevant standard(s) as per this agreement.
- The client is to ensure that all necessary information is made available to auditors to complete the certification audit.
- The frequency of all audits is to be determined by assessment of the risk and technical factors pertaining to the certification. CG reserves the right to increase the frequency of auditing if the relevant management system is considered to be nonconforming such that continued certification cannot be assured.
- If CG is not satisfied that all requirements for certification are being met, the client will be informed of those relevant areas requiring attention.
- CG will re-assess only the necessary parts of the system in order to review remedial action taken as a result of previously identified major non-conformances.
- CG may suspend certification if the client fails to take sufficient corrective action to close or downgrade a major nonconformance within three months of identification or any other period of time determined by CG based on the associated risk.
- Certification may then be withdrawn if the major non-conformance is not closed or downgraded following that period.
- Surveillance audits are to be conducted at least annually or more frequently depending on the maturity of the system and size of the operation.
- A re-assessment of the client's system, known as a Triennial Audit is to take place after every three year cycle of certification and is to follow the same format as the initial Stage 2 Audit. The validity of a certificate cannot be extended as a result of a partial re-assessment.
- Certification is to apply only to the sites within the scope of certification as agreed between CG and the client and as stated on the Certificate of Registration or Annexure of Registration.
- A request for an extension to scope of certification or an upgrade to another standard may, at the discretion of CG, require an additional review of documentation or additional audit time to assess compliance to the relevant Standard.
- CG reserves the right to revise the requirements of certification within the period of validity of the certificate.
- The client is required to maintain a register of complaints which may be audited by CG. Each complaint received must be investigated and corrective action taken, where considered appropriate.
- The client is expected to internally audit the entire management system at least annually; this may be conducted by a second party who is appropriately qualified and independent of the organisation.
- The client is expected to conduct a review of the management system by senior management at least annually.
- The client is to inform CG of any changes to the scope of its operations which may affect the validity of the certification, including any multiple sites. The issue of a Certificate of Registration in no way implies that the client's product or service is approved by accreditation body or any government department.

- The client is to inform CG of any significant event that relates to the respective management system. A significant event may include a legal notice of required action from a government authority for a breach of legislation or regulations (e.g. environmental breach if ISO 14001 certified, food safety breach if ISO 22000 or HACCP certified, workplace safety breach if OHSAS 18001 certified, etc). It may also include events which may not necessarily be a breach of legislation or regulations but are considered significant (eg a fatality or very serious incident if OHSAS 18001 certified or a food recall if ISO 22000 or HACCP certified).
- At Surveillance and Triennial Audits, the client is to inform CG auditors of any significant events that may have occurred since the previous audit, including any findings by another party related to the respective management system.
- The client is not to use its certification in a manner likely to bring CG into disrepute or make any statement regarding its certification which CG may consider misleading or unauthorised.
- Auditors may occasionally be accompanied by CG or Accreditation Body's witness auditors for monitoring of CG processes. This will not incur any cost to the client nor impede the scheduled audit in any manner.
- Should Accreditation Body perceive CG is not following correct certification processes, they may visit the client to validate the accuracy of previously conducted audits. This will only occur in exceptional circumstances and the client will not incur any fees.
- The client is to pay all fees in accordance with the terms of payment as printed on the respective invoices within 14 days of receipt.
- Cancellation or amendment to audit dates within two weeks of the scheduled date may incur a fee equivalent to 50% of the auditing cost. Cancellation or amendment to audit dates within two days of the scheduled date may incur a fee equivalent to 100% of the auditing cost. Certification may be suspended or cancelled if audits are not carried out within time frames determined by CG.
- Issued certificate is the Certification Global's property and registrant shall return it, if the certification(s) status is withdraws due to non-compliance or it expires

CONFIDENTIALITY

CG responsible for ensuring confidentiality is maintained by its employees, auditors and technical specialists relevant to any information with which they become acquainted as a result of their contact with clients involved in the certification process. Each employee, auditor and technical specialist is required to sign and conform to a Confidentiality Agreement which assures the confidentiality of client information at all times.

Except as required by law and the relevant accreditation authorities, Certification Global will treat as strictly confidential and will not disclose to any third party without prior written consent of the Client, any information which comes into the possession of Certification Global or its employees in the course of providing the certification service. Only the following information related with the Client certification status will be displayed in the Certification Global web site and/or in the irqao.com web site, and will be to the public disposable:

- Certificate Number,
- Expiry Date,
- Issue Date,



- Location,
- Scope and
- Standard

USE OF LOGOS & MARKS

Guide for use of certification (internal process) and the accreditation marks (ASCB guideline) are provided with the certification pack.

- The certificate (awarded to client) is the Certification Global's property and client shall return it, if the certification(s) status is withdrawn due to non-compliance or it expires.
- Certification Mark is only to be used in reference to the site for which it applies and is not to be affixed directly to the product, product packaging, including outer packaging, or be used in such a way that product certification may be implied. This applies equally to the Accreditation Mark.
- Use of the CG certification mark is encouraged on stationery, literature and publicity material. Similarly, the Accreditation Mark may be used by clients once certified for programs for which CG is accredited, but only when it is accompanied by the CG Certification Mark. When both Marks are used, they are to be proportioned such that neither Mark takes precedence over the other.
- When using the CG Certification Mark on letterhead, stationery, literature or publicity material, it is to be accompanied by the Registration Number and Standard to which certification applies.
- The CG and Accreditation Marks may be reproduced in a single colour to conform with existing company stationery or newspaper and magazine article colouring, however, it cannot be reproduced in a combination of colours other than what specified by CG & ASCB. The mark must also be reproduced clearly and legibly, and is not to be used in any misleading manner.
- Certification marks and the accreditation mark may be used by clients who have achieved certification through CG. The accreditation mark is to be used only in conjunction with the CG certification mark and they are to be proportioned such that neither mark takes precedence over the other. Clients are not permitted to use the Global Accreditation Forum Mark.
- Clients are not to use their certification in such a manner as to bring CG into disrepute and are not to make any statement regarding their certification which may be considered as misleading or unauthorised. Clients are also to ensure that no certification document, mark or report, or any part thereof, is used in a misleading manner.

ASCB ACCREDITATION MARKS

ASCB Instruction ASB(I)01.101 (Use Of Certificates, Certification And Accreditation Marks (Logos) And Certificated Status) is followed.

- CG is permitted to use the ASCB Mark and that of its Accredited Certification Body and make reference to them, only for the duration, activities, standards, addresses and scope for which they have been assessed and have received a certificate”.

- The certificate remains, at all times, the property of ASCB and shall be returned upon request.
- The certification mark and any accompanying certification mark may be applied only with regard to the organizations named on the certificate. Associate companies of the certificated organisation may not display or make any reference to the organizations certificated status.
- The accreditation mark and any accompanying certification mark may be applied only with regard to the organization's address(es) named on the certificate.
- Marks and references to certification must be applied so as to avoid ambiguity.
- The mark may not be used on a product or packaging in a manner that implies or could be interpreted as denoting product conformity.
- The certificated organisation shall desist from use of certificates, marks or from making reference to its certificated status if it is
 - not in good financial standing with ASCB and
 - if it has received a Notice of Change of Certificated Status for withdrawal of certificate. The certificated organisation shall make immediate provision for deleting reference to certificated status and marks in all stationary, advertisements, web sites and any other medium.
- Where relevant, a certificated organisation in receipt of a Notice of Change of Certificated Status for withdrawal of certificate shall advise those of its stakeholders and others who would have a reasonable interest, such as trading partners, customers and registration agencies that their certificate status has been withdrawn.
- The certificated organisation shall not make future provision (i.e. placing advertisements, ordering stationary etc), for use of certificates, marks or from making reference to its certificated status if it is
 - not in good financial standing with ASCB and
 - if it has received a Notice of Change of Certificated Status for suspension of certificate.
- The certificated organisation shall desist from use of certificates, marks or from making reference to its certificated status if it is
 - not in good financial standing with ASCB and
 - if it has received a Notice of Change of Certificated Status for withdrawal of certificate.
- The certificated organisation shall amend its use of certificates, marks and references to its certificated status if it has been advised via a Notice of Change of Certificated Status that its scope of certification has been reduced or amended.
- Organisations should note that accreditation status with ASCB is only valid if the organisation is in good financial and technical standing with it's certification body.

SUSPENSION OF CERTIFICATION

- Failure of clients to adequately address major non-conformances,
- Not paying their fees.
- Not satisfactorily address breaches of the Rules of Certification
- If a client fails to adequately address changes to personnel, facilities, internal organisation or scope of activity, or if analysis of a complaint or any other information indicates that the client fails to comply with CG's requirements, then that client will

require reassessment. If the reassessment does not find adequate evidence that these issues have been addressed, then this will also result in suspension of certification.

CG is to be consulted and the appropriate auditor is to present all pertinent facts, documentation and reports for consideration. CG, having considered all the facts, may decide to deny the recommendation for suspension or suspend certification for a period of not less than one month but not more than six months (normally three months).

The relative risk of the major nonconformance is to be considered when establishing the timeframe. CG is then to inform the client in writing and, if suspension has been determined, what requirements need to be satisfied in order to remove the suspension.

Use of the CG Certification Mark, Accreditation Mark and display of certificates is to cease and that failure to comply with CG's requirements will result in withdrawal of certification.

On suspension of certification, Accreditation Register will be annotated with Suspended Client/withdrawal.

CANCELLATION OF CERTIFICATION

If satisfactory action has not been taken, the CG is to consider all the facts and, unless significant mitigating factors suggest an extension to the suspension is warranted, certification is to be cancelled. CG is then to write formally to the client, advising of the decision and request the Certificate of Registration be destroyed or returned.

APPEALS & COMPLAINTS

- CG has appropriate process to receive the appeals, complaints and disputes with regards to recommendations for certification and on any other subject, are to be addressed to the General Manager.
- All questions and complaints about certification decision matters are to be investigated by the General Manager and resolved with the client in a constructive and timely manner. If the client remains dissatisfied, the client is to be advised of their ability to register a formal appeal to the Advisory Committee.
- The client is also given the option through giving link of accreditation body for complaining directly to the Accreditation body. The complainant is to be informed in writing of the requirements of Accreditation body's Procedure for Complaints, Appeals and Disputes.
- Direction to clients on the process of complaints and appeals is the part of Rules of Certification and publically available on CG website.
- If complaints are received from companies or individuals in relation to their dealings with an organisation certified by CG, the following steps are to be taken:
 - ask the complainant to clarify the nature of the problem in writing (email is acceptable)
 - ask if they have made a formal complaint in writing to the company concerned – if not advise them to do so.

- respond to the complainant that the matter will be investigated at the next scheduled audit
 - General Manager to record the complaint in CPA form and log for the respective client
 - advise the client concerned of the complaint
 - at the next Surveillance Audit, investigate if corrective action has been taken.
- If the matter requires investigation into a CG certification process, the corrective action process should be followed.
- If a complaint is made against CG or its auditor by Accreditation Body, the Certification Manager with the coordination of General Manager takes the following action:
 - respond to the correspondence (normally an email) that the matter will be investigated and reported back, and that a nonconformance has been recorded in CPA register.
 - save the original complaint correspondence and any other relevant documentation to a unique sub-directory/folder accreditation body wise in the 'Accreditation Correspondence/Complaints.
 - Advise the General Manager for an immediate investigation
 - once satisfied that the investigation has been thoroughly conducted, determine any action required to comply with Accreditation/CG policies and procedures
 - inform the General Manager of the action to be taken and a deadline
 - inform concerned Accreditation Body of the investigation's findings and action to be taken
 - record all the details and results in CPA and take further corrective measures if the investigation finds a CG process needs to be reviewed and inform the Chief Executive Officer accordingly
 - monitor the action and report to concerned Accreditation body once action has been completed
- All records, documentation, correspondence and minutes of relevant meetings are to be retained on the respective Client File. At each stage of the appeal process, the client is to be informed of the reasons for the decisions made and this is also to be documented.
- All appeals made and their outcome is to be recorded in CPA form and log by the General Manager or Certification Manager including measures for restoring certification as quickly as possible, preventing recurrence and assessing the effectiveness of the remedial/corrective measures adopted. Should an appeal require a review of a CG process, the Certification Manager is to raise a CPA form and follow the corrective action process.

LIST OF CERTIFIED ORGANISATIONS

List of certified organizations is available on www.irqao.com and www.certificationglobal.com

INDEPENDENCE OF OPERATIONS

- We stick and ensure the impartiality for our management system auditing and certification activities.
- This policy is to operate our Certification operations by ensuring the viability of the value of certification, accessibility of our services to all interested parties and this policy is applied to preserve the principles of ISO 17021 (impartiality, competence, responsibility, openness, confidentiality and responsiveness).

- We are committed to provide and maintain a high quality, professional and impartial service as agreed for certifying clients' management systems which meets the requirements of all the relevant international, national and or other standards and or regulation normative documents and specifications as required by the accreditation authorities.
- All staff, auditors, subcontractors and agents of certification global shall not participate in the establishing, developing, implementing or maintaining (including Internal Audits) of the management systems of our certification customers and shall not have been engaged in such activities within two years prior to the client's certification services with certification global.
- We have a complete and thorough analysis of the risks and the residual risks to impartiality and to determine the action to be taken to eliminate or minimize those risks. The risk assessment process is on-going and maintained for overall operations and services of certification global and our associated process.
- We understand and ensure the responsibility to demonstrate the confidence in the delivery our certification services to our customers and interested parties that have an interest in certification. This shall be achieved by upholding the principles of impartiality (including taking action against threats, i.e. from self-interest, self- review, familiarity and intimidation), competence, responsibility, openness, confidentiality.
- Management of impartiality at certification global is prime. The possibilities for conflicts of interests arising from relationships of those persons or organizations, certification global has very clear border. This includes for staff, sub-contractors and agents of certification global.
- Our top management has the ultimate responsibility and authority to ensure the effective operations by ensuring the availability of appropriate resources. Our Top management understand that our systems, process and practices shall be evaluated on time to time basis to ensure that impartiality of our certification.
- All personnel involved in the Certification operations are committed to understanding this policy, complying with the principles and documentation and maintaining continued competence.