

<b>Title:</b>	QP06 – Certification Process	<b>Responsible:</b>	VP – Mary Ann Llanes	<b>Last Update:</b>	2-1-2020	<b>Controlled:</b>	Yes
						Y/N	

<b>Procedure – 6. Certification Process – ISO 9001</b>	<b>QP06</b>
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## Introduction

- a) These rules have been prepared against criteria for competence set out in (2) below. The Scope of Accreditation issued by EMA is an acknowledgement that International Compliance Group Inc. has the necessary expertise and ability to manage audits in those particular sectors. Details of all accredited scopes held are available on request to International Compliance Group Inc. If a particular sector is outside the present accredited scope of International Compliance Group Inc. then an EMA accredited certificate will be offered at the discretion of International Compliance Group Inc should the company decide to provide the certification.
- b) Certification of a management system is not a statement by the certification body guaranteeing that the product or services actually meet specified requirements. Certification does not imply a view on the specification of a product or service. It does not guarantee a good product or service.
- c) International Compliance Group Inc. is a privately owned independent organization.

### 1. Scope

- a) International Compliance Group Inc. undertakes the audit, evaluation and certification of management systems operated by companies to the respective management system standards applied for. The client must agree to supply all necessary information to International Compliance Group Inc.

### 2. Personnel

- a) International Compliance Group Inc. undertakes to provide suitably qualified personnel for all audit and surveillance work using their own staff or suitable qualified subcontractors. All members of International Compliance Group Inc. (full-time employees or sub-contractors) are required to sign confidentiality agreements concerned with all confidential information to which they may be exposed at client premises.
- b) The client has the right to object to any auditor if he perceives conflict to his interest. He can raise his objection to the VP of Administration, who shall review the potential impartiality threat and take necessary actions; however the change cannot be guaranteed.

### 3. Certification Contract

- a) On receiving a completed questionnaire, International Compliance Group Inc. will prepare a contract detailing audit cost, terms, conditions and requirements. On acceptance of this contract, the client will sign the contract and forward it with the advance payment to International Compliance Group Inc. The project will then be allocated by the VP of Administration to a suitable audit team who will then carry out the audit in line with International Compliance Group Inc.'s procedures.

### 4. Audit Methodology

- (i) The first stage of the audit as carried out by International Compliance Group Inc. is to carry out a Stage 1 audit, a review of the client's documentation with respect to the appropriate

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- standard(s). This is to be performed onsite at the client's premises in conjunction with the client's management representative.
- (ii) On satisfying the auditor on the compliance of the documentation and site requirements (if applicable), a report is produced and Stage 2 audit date is agreed and an audit is carried out by the auditor(s). If further visits are required due to non-compliances found, these will be undertaken and extra charge will be incurred by the client. The on-site audit is carried out using client manuals and procedures and by interviewing relevant members of staff regarding their working practices.
  - (iii) After certification, if the client changes anything which significantly affects the registration, then International Compliance Group Inc. must be informed. International Compliance Group Inc. reserves the right to re-audit if necessary.
- b) (iv) Triennial / Renewal audits and surveillance audits every 6 months are required by International Compliance Group Inc. All non-conformances, if any, have to be closed prior to the Triennial / Renewal audit
5. Certification
- a) On completion of the on-site audit the Lead Auditor reports to the President. On receiving a report stating that the client's management system meets the requirements of the relevant Standards and approval by the Certification Committee, the certificate is issued. The certificate remains the property of International Compliance Group Inc. Providing the client maintains the management system to the required standard, the certificate is valid for three years. Triennial / Renewal audit is to be carried out at least three months prior to the expiry of the certificate at extra cost.
6. Surveillance
- a) After the issue of a certificate, to maintain annual registration, surveillance visits will be carried out at the client's premises (announced visits) at least once per year but not more frequent than once every six months. If areas of concern are identified, more visits may be carried out at the discretion of the President. The client agrees to meet the extra costs relating to such increased surveillance. Any changes to scope, products or manufacturing processes must be communicated to International Compliance Group Inc.
  - b) The First Surveillance Audit needs to be conducted within twelve months from the date of the Stage 02 / Certification / Renewal Audit. Failure to comply with this will lead to certificate withdrawal and client deregistration.
7. Extension to the scope of registration
- a) This may be applied for in the same way as the initial audit, indicating the increased scope of registration being required. Audit will be carried out in the areas not previously audited. If successful, a new certificate indicating the new full scope will be issued by International Compliance Group Inc. There will be a charge for extensions to scope and re-issue of the certificates.
8. Short Notice Audits

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- a) International Compliance Group Inc. may, when necessary, conduct short notice audits to investigate complaints, or in response to changes, or as follow up to suspended clients
9. Reduction in scope of Certificates issued
- a) International Compliance Group Inc. shall wherever applicable reduce the scope of certification if during the time of routine surveillance audits / Re approval or Renewal audits it finds that the certified client has continually / seriously failed to meet the certification requirements for those parts of the scope of certification. The reduction in scope will be approved by the Chairman of Certification Committee.
10. Publicity
- a) Once a certificate has been issued, the client has the right to publish the fact. The relevant logos can be used on its stationery relating only to the audited scope of registration and the relevant part of the standard. All conditions of the Logo Rules issued along with the Certificate will need to be followed.
11. Certificate Misuse
- a) International Compliance Group Inc. will take all reasonable precautions to see that there is no misuse of their certificate in client advertising etc. The client undertakes to use certification marks as appropriate to its audited scope of registration and relevant Standards.
12. Appeals Procedure
- a) If for any reason a client is not in agreement with the Lead Auditor's verdict after an audit, re-audit or a surveillance visit, including suspension or withdrawal of a certificate, he/she is at liberty to lodge an appeal with the President of International Compliance Group Inc. through post mail or by writing to [complaints@ic-group.com](mailto:complaints@ic-group.com). The complaints process is listed in our website. All appeals will be held in the presence of an Appeal committee. The committee will hear evidence from the client's representative and the relevant Lead Auditor. The decision of the committee is final and binding on both the client and International Compliance Group Inc. No counter claims will be allowed by either party. No costs, for whatever reason, will be allowed for either party as a result of an appeal. Expenses of the Appeal will be met in full by the party who has the decision against them.
13. Complaints against International Compliance Group Inc. personnel
- a) If a client has a complaint regarding any employee of International Compliance Group Inc., this should be sent through post mail or by writing to [complaints@ic-group.com](mailto:complaints@ic-group.com). If the complaint involves the President then the complaint is to be addressed to the Board of Directors of International Compliance Group Inc. The complaint shall be handled as per International Compliance Group Inc.'s defined complaint handling process which is listed in the company's website.
14. Complaints against International Compliance Group Inc. certified clients
- a) If any interested party has a complaint against International Compliance Group Inc. certified client, this should be sent through mail or website to the President of International Compliance Group Inc. The complaint shall be handled as per International Compliance Group Inc.'s defined complaint handling process.
15. Liability

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- a) Neither International Compliance Group Inc. nor any of its servants or agents warrants the accuracy of any audit, review, information, certification, service or advice supplied. Except as stated in this document, neither International Compliance Group Inc. nor any of its servants or agents shall be liable for any loss, expense or damage however so sustained by any company, client or person due to any act whatsoever taken by International Compliance Group Inc. or its servants or agents, save to the extent that any attempted exclusion or liability would be contrary to law.

#### 16. ACCREDITATION BODY WITNESSED AUDITS

- a) It is a condition of the rules of registration that all International Compliance Group Inc. certificated clients should, if requested, allow, EMA (the Accreditation Body) auditors to visit the client premises / witness International Compliance Group Inc. staff carrying out their audits. Failure to allow this could jeopardize the client's registration.

International Compliance Group Inc. reserves the right to change these rules of registration herewith without prior notification.

#### **Enclosures - None**

#### **Related Format(s)**

- D4 – Audit Plan
- D5 – Stage 2 & Surveillance Audit Report
- D6 – Closing Meeting and Non-conformity Report
- D7 – Correction Action Report
- D19 – Stage 1 Report
- D20 – Certificate Specimen
- D22 – Use of Marks and Logo
- D23 – Audit Request
- D24 – Services Quote
- D25 – Contract Review Checklist
- D29 – Certified and Registered Firm Log