

Approval Process for ITCC International Limited Management Certified Scheme Membership

All companies wishing to be approved for membership in an ITCC International Limited management certified scheme must be assessed to ensure that they meet the requirements of the relevant Standard. The approval process is summarized below:

1. Application

- Any company wishing to be considered for management certified scheme membership must apply in writing to ITCC International Limited, either directly or through a third party. The application must include all relevant information such as the number of employees, business sector, number of sites to be assessed, and staffing levels at each site.
- ITCC International Limited will, upon receipt of this information, submit a written quotation for the supply of its services. All other prices quoted are purely for guidance and the company will not be bound to honor them.

2. Documentation Review

- The Client representative identified must complete an Application Form (002c) and submit it along with the documentation requested for applicant registration and document review.
- ITCC International Limited will review all supplied/required documentation against the requirements of the Standard to ensure compliance.

3. Notification of Deficiencies

- Any deficiencies will be notified to the Applicant Company in sufficient time to enable it to implement any required corrective actions prior to the scheduled on-site assessment visit date.

4. Payment of Fees

- The Applicant Company must pay all fees due to ITCC International Limited at least 14 days prior to the commencement of the on-site assessment visit.

5. Scheduling the On-Site Assessment

- ITCC International Limited will inform the Applicant Company of the date set for its on-site assessment as part of the document review. If the date set is not acceptable, the Client Company must reply, in writing, within 5

working days, offering two alternatives within not more than one calendar month of the original date.

6. Postponement or Alteration of Assessment Date

- A Client Company may postpone or alter an agreed on-site assessment date due to illness or absence of a key member of staff, e.g., the Quality Manager, or circumstances deemed to be in the nature of Force Majeure. If the company is prevented wholly or partly from performing its obligations under these terms and conditions by its normal means because of industrial disputes, accidents, breakdown of equipment or resources, or failure of its normal source of supply, or any circumstance beyond its reasonable control, it may, without liability and at its discretion, in whole or in part suspend or terminate performance during the period it is affected by such circumstances. Any such occurrence must be notified immediately, in writing, to ITCC International Limited. If, however, the assessor has already departed to conduct the on-site assessment, the Client Company will be liable for 2/3rds of the assessment fees.

7. Cancellation of Assessment

- The Client Company will be liable for payment in full of all on-site assessment fees for any subsequent cancellation irrespective of circumstances and must re-submit a new date to ITCC International Limited for an on-site assessment within 3 months of the date of the original Document Review. All such on-site assessments will be separately charged for at the current rate appertaining to on-site assessment.

8. Conducting the On-Site Assessment

- ITCC International Limited will normally conduct the on-site assessment visit within four weeks of the notification of the deficiencies discovered during document review having been rectified.

9. On-Site Assessment Visit

- The on-site assessment visit will fall into two main areas:
 1. An in-depth assessment of the system as written and the identified functions' understanding of it (this will also include some discussion with the company's management charged with executive responsibilities).
 2. An inspection of the evidence (documented records) which support the Applicant Company's written system.

- Where no deficiencies or nonconformances are recorded, the assessor's report will be so marked and relevant management certified scheme acceptance recommended.
- Where deficiencies and nonconformances are discovered during the on-site assessment visit, the company's representative will be notified of them and their severity. In such cases, the following rules will be applied:
 1. If there are a limited number of nonconformances that are of a minor nature and can be easily rectified within an agreed and specified timescale, the assessor's report will be so marked and acceptance recommended.
 2. If there are numerous nonconformances, again of a minor nature, which can be easily rectified, but because of their extent the assessor will require the Applicant Company to submit documentary evidence to ITCC International Limited that they have been corrected. On receipt of the evidence, the Applicant Company will be recommended for acceptance.
 3. If there are nonconformances of such severity that the Applicant Company fails to meet the requirements of the relevant Standard, or where there is subjective evidence that the Applicant Company has no intention of maintaining, nor resources to maintain its systems, the assessor will so notify the Applicant Company and mark his report accordingly. Where such actions are taken, the Applicant Company will be eligible (if it wishes) for re-application and re-assessment within six months.

10. Review Panel

- Upon completion of the on-site assessment visit, the assessor will submit his report, complete with recommendations, for review by the Review Panel. If an Applicant Company disagrees with the assessor's recommendation or with the findings of the assessment visit, then a member of its top management must, within 10 working days, inform ITCC International Limited in writing of his/her disagreement and the grounds upon which such action is based. The Review Panel will consider all relevant documentation prior to informing the Applicant Company of its decision. All decisions of the Review Panel are binding.

11. Certification Issuance

- Upon acceptance, ITCC International Limited issues a Certificate. Maintenance of this certification is by annual on-site assessment visits, for

which the annual assessment fee is due one month prior to the anniversary of the initial assessment, to ensure that the Certified Company continues to meet the requirements of the Standard. At each visit, the documented audits and effectiveness of corrective actions will be reviewed along with selected aspects of the certified management scheme. Over a two-year period, all aspects of the certified system will be examined.

12. Additional Assessments

- ITCC International Limited retains the right to conduct and charge for additional assessments if it receives a complaint from a client/customer/user with regard to a serious nonconformance/system failure. This will initially be discussed with the company to ascertain the validity/seriousness prior to any on-site assessment visit. ITCC International Limited will inform the complainant of the outcome of the complaint within an agreed timescale.

13. Use of ITCC International Limited Name and Logo

- Use of ITCC International Limited name, logo, etc., is restricted to management certified scheme companies only and may be rescinded at any time.

An Independent ASCB(E) Accredited Certification Company