

Standard Global Quality Certificates (SGQC)

INFORMATIVE GUIDE

1. Introduction

The sections of this Code of Practice have been formulated to provide a comprehensive guidance to the applicant to know SGQC policies and deal in accordance with the policies. These policies are in accordance with our accreditation body/s requirements, published to date.

2. Scope

Standard Global Quality Certificates (SGQC) provides independent certification service for organizations operating various Management Systems complying with the requirements of the International Standards mentioned below:

international certification services provider for the certification of:

- | | |
|---------------------------------------|--|
| ▪ ISO 9001:2015/2008 | Quality Management Systems |
| ▪ ISO 10002:2018 | Quality management –Customer satisfaction -Guidelines for complaints handling in organizations |
| ▪ ISO 14001:2015/2004 | Environmental Management Systems |
| ▪ ISO 27001:2013 | Information Security Management Systems |
| ▪ ISO 22000:2005/2018 | Food Safety Management System |
| ▪ HACCP | Hazard Analysis and Critical Control Point |
| ▪ ISO 50001:2018 | Energy Management System |
| ▪ OHSAS 18001:2007/
ISO 45001:2018 | Occupational Health and Safety Management Systems |
| ▪ ISO 22716:2007 | Good Manufacturing Practices (GMP) |
| ▪ ISO 31000:2018 | Risk Management –Guidelines |
| ▪ ISO 17025:2017 | Laboratory Management System |
| ▪ ISO 13485:2016 | Medical Devices- Quality Management Systems |
| ▪ ISO 21001: 2018 | Educational Organization Management Systems |

3. Legal Status

Standard Global Quality Certification (SGQC) is incorporated and registered in Tourist Club Area, Old Blood Bank Building -09, Abu Dhabi, UAE.

RULES FOR CERTIFICATION

4. Confidentiality

SGQC will maintain complete confidentiality regarding all information with which it becomes acquainted as a result of contact with the organization which is detailed in Customer Service Agreement. SGQC's Top Management undertakes the responsibility for the management of all information obtained from the customer as proprietary information and is regarded confidential. When SGQC is required by the law or authorized by contractual arrangements to release confidential information, the customer or individual concerned, unless prohibited by law, is notified of the information provided. Information about the customer obtained from sources other than the customer shall be confidential between the customer and SGQC. Personnel, including any committee members, contractors, personnel of external bodies, or individuals acting on behalf of SGQC are bound to keep confidential all information obtained or created during the performance of SGQC's activities, except as required by law. It is the policy of our organization to protect the confidential information and proprietary rights of our customers. SGQC ensures to avoid involvement in any activities that would diminish confidence in its competence, impartiality, judgment, or operational integrity. Operational integrity is reviewed by management on a regular basis to ensure continued suitability and effectiveness of policies and procedures. Any problems are acted on immediately with utmost priority.

RULES FOR CERTIFICATION

5. General conditions for certification

- The applicant shall make available to the Assessment team all information required to establish the status of the management system.
- SGQC approves the certification as per the applicant defined scope only if the applicant's documented management system confirms to applicable standards.
- The approval is also subject to, that there is no major discrepancy arising out of the assessment and/or suitable corrective action has been applied and evidenced.
- Where the applicant cannot show that effective corrective action has occurred within the specified time limit, it may be necessary for SGQC to conduct a further full Assessment of the management system. The re-assessment will be at extra cost to the applicant.
- In case of multi-site assessments and subject to successful verification of compliance, a certificate clearly defining the activities and locations will be issued. The applicant shall not claim or otherwise imply that the certification applies to other locations or activities not covered by the issued certificate.
- Certification will be valid for a period of three years w.e.f the date of approval, on a condition that the surveillance Assessments are conducted as per the planned schedule and reveal no deterioration in the management system.

6. Application for Registration

The applicant submits a duly filled Quotation Request Form to SGQC Office. SGQC submits the quotation to the applicant subjected to acceptance of quotation request form. The application fee should be duly enclosed with the acceptance of quotation. In case of clarifications required, please contact us at SGQC office. When acceptance has been received along with the application fee, a File Number will be allotted and a letter acknowledging that applicant has joined the SGQC Quality System Certification Program will be issued. This letter and File no. can be used to show customers that applicant intends to achieve certification, and have entered into an agreement with SGQC.

It must not be used in any way to imply that Certification / Registration have been awarded. Our client manager/s will manage and liaise with applicant's authorized representative from the application stage to certification stage.

Our client manager/s will help applicant with any questions about our services and will explain the requirements of the relevant standard and the progression of the Assessment according to SGQC procedures.

7. Stage 1 Assessment

The purpose of the Stage 1 Assessment is to obtain information about the applicant company related to the size, complexity of operations and capabilities for which registration

RULES FOR CERTIFICATION

is sought. The auditor will establish whether further development of the management system is necessary before the Stage 2 Assessment takes place.

8. Stage 2 assessment

The stage 2 assessment is carried out to ascertain that whether the of the applicant company's Management System can be certified based on the objective evidences found during the course of assessment.

The assessment team compares 'what you say you do' i.e. your documented management system, against 'what you actually do'.

The assessor will be looking for objective evidence (records, documents, etc.) to verify that the activities of the organization are in accordance with the documentation and the requirements of the relevant management system standard.

All records resulting from the implementation and operation of the Management System must be made available to the Assessment team for evaluation.

9. Corrective Action Request

If a non-conformance is detected during the system Assessment, a Corrective Action Request (CAR) will be issued and a corrective action process will commence. The assessor will discuss with you the reason for the CAR in order to explain the type of action that will be required to correct the situation and will also explain how SGQC will follow-up and clear the CAR.

10. Registration

After successful verification of the system and no major deficiencies (or has subsequently rectified the deficiencies) is observed, then a recommendation will be made to the SGQC certification authority that your organization be certified. Upon approval and subsequent acceptance, client is awarded a "Management System Certificate" confirming registration.

The "Management System Certificate" will be valid, initially for a period of three years from the date on which the Client is notified of its successful Assessment, on condition that the surveillance Assessments have revealed no deterioration in the Management System.

11. Surveillance

Periodic surveillance Assessments will be carried out to ensure that the management system is not only being maintained, but is being reviewed and developed further to improve the efficiency and effectiveness of the business processes. These Assessments, generally at six /nine /twelve monthly intervals will always cover certain key elements crucial to the success of your business. These would include internal Assessments, management reviews,

RULES FOR CERTIFICATION

Continuing operational control and corrective actions. Your Customer Complaints Register would also be examined to see how quickly and effectively you handle customer complaints.

Other aspects of the Management System will be covered selectively, over the period of certification, depending on their importance of their scope of certification.

SGQC shall be granted the right of access for surveillance purposes whenever deemed necessary and shall reserve the right to make short notice visits as required.

An assessment report will provide the client with feedback regarding the results of the Assessment.

12. Renewal

Every three years after certification, client will be given another comprehensive Assessment similar to that of the Initial Assessment. The same effort will be applied to ensure the entire management system is cohesive and continues to effectively comply with your selected certification standard.

13. Change of Address / Extension of Registration

In order to extend the scope of registration to cover additional products, processes or services, a fresh application form will be required to be completed. The application procedure previously outlined will be followed and an Assessment will be carried out on those areas not previously covered. The cost of extending the scope of registration will be based on the nature and program of work. Following a successful Assessment, an amended certificate of registration will be issued covering the aspects.

The original Management System Certificate will be maintained for the remainder of the three year period.

In some instances it may be necessary to issue a new Certificate which will then be valid for a full three year period.

The certificate is issued to cover the place(s) where the Assessment was conducted. If client intends to change your address or addition of sites, the client informs SGQC and a similar process as indicated above is carried out.

The client shall inform SGQC of any intended modification to the product, process or Management System that may affect compliance with the relevant part of international standard. SGQC will then determine whether the notified changes require additional Assessment. Failure to notify SGQC may result in suspension of the Certificate.

14. Publicity by Certificate Holders

A Certificate Holder has the right to publish that the management system has been successfully audited and registered. The relevant 'Prestige mark' may be applied to most

RULES FOR CERTIFICATION

stationery and promotional material relating to the scope of registration, as detailed in the Certificate of Approval. SGQC will provide specific guidelines on the use of Certification and Accreditation Marks valid at the time of issuing a Certificate.

In every case, the client must ensure that in its publications and advertising, no misleading information or confusion arises between registered and non-registered scope. The client must ensure that the prestige mark affixed does not indicate product certification or conformity.

SGQC Mark of Prestige

a. Use of Mark

An organization whose management system has been certified by SGQC may use the "Prestige Mark" along with Accreditation Mark, in promotional and corporate publications. Certification by SGQC will give public recognition that your company is a supplier of quality goods and / or services. The user of the logo shall ensure that:

1. It will use the Certification Mark only in the manner prescribed herein and in the Certificate
2. It will use the Certification Mark only in relation to activities within its scope of certification.
3. It will use the Certification Mark on its Communication Media in such a way as to create no confusion between matters referred to in the scope of certification and other matters, and in no way to imply coverage of any activities outside the scope of certification.
4. It will not use the Certification Mark on test reports or certificates of compliance such as calibration certificates or certificates of analysis.
5. It will not use the Certification Mark on its products or their packaging in order to avoid confusion with product certification. The client may put a statement (without use of the mark) on product packaging or accompanying information that it has a certified management system, but this statement cannot claim that the product, process (or service) is certified. This statement must include a reference to, the certified client's name/brand name; the type of management system (e.g.: quality, environmental, etc.) and the applicable standard (e.g.: ISO 9001); and the name of the certification body issuing the certificate.
6. It may use the Certification Mark (with or without any accreditation mark) on stationery such as sales and contractual documents, letterheads, business cards, invoices, compliment slips, delivery slips, on advertising, displays, posters, TV advertisements, promotional videos, web sites, brochures.
7. It may use the SGQC certification mark alone (the Accreditation Mark shall not be used) on all other applications such as on flags, on vehicles, on promotional material accompanying the product, on window stickers, on vehicles, billboard advertisements, on promotional goods such as pocket diaries, coffee mugs, coasters, doormats or any other application.
8. It may use the Certification Mark on its web site, provided that the Certification Mark is obtained through the SGQC's consent.
9. It will not, during the period of validity of the Certificate or thereafter, register or attempt to register the Certification Mark or any imitation thereof, make or assert any claim of ownership to the Certification Mark and dispute the right of the Certification Body, its successors or assigns, to authorize the use of the Certification Mark as provided herein.

RULES FOR CERTIFICATION

10. It will, upon the suspension, withdrawal or cancellation of the Certificate, forthwith discontinue the use of the Certification Mark or any reference thereto and will not thereafter use any copy or imitation thereof.
11. In case of take-over or merger, written permission from the Certification Body is mandatory in order to transfer the right to use the Certification Mark.
12. Use of the Certification Mark does not exonerate the Client from any liability imposed by law regarding the performance of its services and the performance, design, manufacturing, shipment, sale or distribution of its products.

b. *Monitoring*

The Certification Body may during the entire period of validity of the Certification Mark make or entrust a representative to make all checks deemed necessary using the methods and frequencies indicated in the Standards. Checks will ensure that the Standard inherent to each management system is applied and that conformity to these Regulations and to the Codes of Practice is maintained.

c. *Penalties and Appeals*

In case of Improper use of the Certification mark, the Certification Body may forthwith suspend or withdraw the certification and the right to use the Certification Mark in accordance with the sanctions procedures that will be provided by the Certification Body upon request. The Client may appeal the Certification Body's decision in accordance with the appeal procedure that will be provided by the Certification Body upon request.

d. *Renunciation*

The Client may renounce or suspend the use of the Certification Mark for a certain period of time. It will give the Certification Body written notification and make all changes regarding its Communication Media. Based on this information the Certification Body shall inform the Client of the terms and conditions for temporary or definitive termination of use of the Certification Mark.

e. *Changes to the Legislation*

The Certification Body complies with all national and international laws, regulations and standards in force concerning the right to use the Certification Mark or the conditions for obtaining said right. It will give the Client notification of the changes thereto and the Client will be obligated to apply all modifications resulting from said changes.

f. *Changes to the Regulations Governing the Use of the Mark*

The Certification Body reserves the right to modify these Regulations at any time. It will give the Client written notification of all changes thereto and the Client will be obligated to apply said changes.

g. *Technical Details*

- i. The Certification Mark to be issued by the Certification Body is an example and the Certification Body will provide the Client with the right logo to be used.
- ii. On documents printed, the Client may use the Certification Mark.



RULES FOR CERTIFICATION

- iii. On documents printed in more than one color or in one color exclusively, the Certification Mark may also appear on colored backgrounds when it remains clearly visible.
- iv. For web use, the Client may create and use a transparent version of the Certification Mark.
- v. The Certification Mark can be enlarged as well as reduced as long as the text remains legible.
- vi. The accreditation mark may only be used as provided by SGQC in combination with the SGQC mark and shall not be changed, amended or distorted in any way.

15. Misuse of a Certificate

SGQC takes reasonable precautions to control the use of its Certificates. Incorrect references to registration, or misleading use of Certificates found in advertisements, catalogues, etc., will be dealt with by suitable actions which could include suspension or withdrawal of Certificate, legal action and / or public notice.

16. Suspension of a Certificate

A Certificate may be suspended for a limited period (Not exceeding three months) in cases, such as the following;

- a) If Corrective Action Requests have not been closed out within the designated time limit;
- b) If a case of improper use of the Certificate or misleading prints or advertising, is not solved by suitable interactions or other appropriate remedial measures by the registrant;
- c) Surveillance Audits are not conducted as planned after sending three written notifications at a gap of 15 days.
- d) Client fails to comply with due settlement of financial obligation of SGQC.
- e) Client goes out of business

The client shall not identify as registered the scope that has been offered under a suspended Certificate.

RULES FOR CERTIFICATION

An official suspension of a Certificate will be confirmed in writing by SGQC to the client. The conditions under which the suspension will be removed will also be included. At the end of the suspension period, an investigation will be carried out to determine whether the conditions for reinstating the Certificate have been fulfilled. On fulfilment of these conditions, the suspension shall be lifted and the company notified of the Certificate reinstatement. If the conditions are not fulfilled, the Certificate will be withdrawn. All costs incurred by SGQC in suspending and reinstating the certificate will be charged to the client.

17. Withdrawal of a Certificate

A Certificate may be withdrawn in the following cases:

- a) If inadequate measures are taken by the company in the case of suspension;
- b) If the company fails to comply with the due settlement of its financial obligation.
- c) Client goes out of business
- d) Client does not wish to continue / renew the certificate.

If either of the above applies, SGQC has the right to withdraw the Certificate and will inform the company accordingly. The company may give notice of appeal (refer section on Appeals). No reimbursement of Assessment fees will be given. Withdrawal of a Certificate may be published by SGQC.

18. Fees

Fees will be detailed in the proposal submitted to applicants. As costs are based on the rate applicable at the time of submitting a proposal. SGQC reserves the right to increase charges during the certification period. Clients will be notified of any increase in fees. Additional fees shall be charged for all additional work that is not included in the agreed proposal and for extra, unscheduled surveillance assessments required due to non-compliances being identified in the Management System. This will include, but is not restricted to, the costs resulting from repeats of all, or any part, of the Assessment program due to the initial registration requirements.

19. APPEALS / COMPLAINTS

SGQC accredited certification scheme endeavours to provide a prompt, competent and impartial service to its clients. In case, an applicant, a certified company or any other



RULES FOR CERTIFICATION

interested party wishes to make a complaint in respect of the operation of SGQC certification scheme or appeal against a decision of the SGQC which is considered to be unfair and prejudicial to the interests of the complainant, SGQC will consider the complaint or appeal in accordance with SGQC –OCP-09 and SGQC- 07 SGQC Procedures Manual, a copy of which can be provided upon request.

20. STATEMENT OF IMPARTIALITY

The SGQC being impartial in carrying out its management system certification activities, manages conflict of interest and ensures the objectivity of its management system certification as necessary for the certification body to deliver the certification that provides confidence. And all impartiality mechanism was control and reviews, updates done through impartial committee, Threats to impartiality arising any type of relationships is controlled.

All Certificate decision shall be based on objective evidence of conformity and its decision not influenced by any other interest or parties

RULES FOR CERTIFICATION

CERTIFICATION PROCESS OF SGQC

