



Scheme rules of Certification

1. Introduction

These Scheme rules of Certification have been written in requirement of the International Certification (Thailand) Co., Ltd. hereinafter referred to as “INTCERT” also comply with the conditions of being a certification body according to ISO17021-1:2015. These Scheme rules of Certification form a part of the contract with each client as stated on the quotation.

2. Scope

INTCERT is a certified body provides independent third-party assessment who have implemented management systems against the following standards/codes of practice:

- Quality Management Systems ISO 9001
- Environmental Management Systems ISO 14001
- Medical Devices Quality Management Systems ISO 13485
- Occupational Health and Safety Management Systems ISO 45001
- Energy Management Systems ISO 50001
- Information Security Management Systems ISO 27001
- Anti-Bribery Management Systems ISO 37001

- Food Safety Management Systems ISO 22000
 - Thai Labor Standard 8001 TLS 8001
- Process of audits and services certification, INTCERT operates on the basis of good governance, ethics, integrity, accuracy and transparency responsible for stakeholders including:

- Client
- Customers of the organization whose management systems are certified
- Governmental authorities
- Consumers
- Accreditation Body
- INTCERT staff and management

3. Confidentiality

a) INTCERT will not be able to disclose any information relating to the client's business, until formal written permission from the client. If it is disclosed, it is considered an illegal act.

b) Client must disclose information, when it is required to disclose information to third parties as required

by law or under the audit by an accredited provider to maintain accreditation.

c) In case certification body provide confidential information by law enforcement to a government Before disclosure of information, client or related person will be notified in writing from INTCERT.

d) For the purposes to verified certification, data integrity on the certification document, that can be verified by contacting the INTCERT office or filling out the certification number that appears on the certification document check on the INTCERT website following URL www.intcertthai.com

4.General Conditions

INTCERT basic conditions for gaining and maintaining registration with are that all applicants agree to and comply with the following rules:

a) Organizations wishing to apply must provide INTCERT with reasonable information to be used in the process of applying for certification

b) If INTCERT are not satisfied that all requirements for registration have been met it shall inform the applicant in writing stating which requirements.



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c) When the applicant can demonstrate that effective corrective action has been taken within a specified time limit, then INTCERT will arrange only to repeat necessary parts that cannot be verified by the submission of documented evidence.

d) If the applicant fails to take effective corrective action within the time limit, then INTCERT may repeat the audit in full at additional cost.

e) Identification of nonconformity shall only apply to site audited and within the scope of registration as shown on the INTCERT certificate of registration

f) All fees must be paid as shown on the individual quotation. No certificate shall be issued for initial assessment or re-assessment until fees have been paid in full. Registration may be suspended if annual fees are not paid in full within the time frame set out within the individual quotation.

g) In order for the registered company to demonstrate effective management reviews and internal audits these activities shall be carried out at a frequency of no less than once per year.

h) In case of cancellation the organization shall return all certificate. Failure to return all certificates of

registration shall result in legal action being taken against the company for unauthorized use or registration and accreditation marks and on misleading and inaccurate claims of registration.

i) The applicant must allow INTCERT to conduct on-going surveillance visits at the times stated within the individual quotation.

j) INTCERT is accredited of accreditation body shall be responsible for, and retain authority for decisions relating to accredited certification, including the granting, maintaining, renewing, extending, reducing, suspending and withdrawing of certification.

k) The management representative or corporate coordinator must be made known to INTCERT and should there be a change of management representative then INTCERT shall be informed in writing.

5. Application for Assessment

On receipt of a completed Application Form INTCERT will conduct a pre-contract review of the system and a quotation shall be prepared and sent to the prospective client, together with these Scheme rules of Certification

6. Contract Acceptance

Before the assessment, the quotation must be signed between the client and INTCERT. This will be confirmation of the statutory review of the audit agreement. The signatory must be the legal authority specified by the organization.

7. Initial Assessment

The initial assessment is conducted in two stage, which are specified below:

a) Stage 1 Audit is and audit of the client's workplace with the following objectives:

- i. To audit management system documentation
- ii. To evaluate the location, site specific conditions and to undertake discussions with HR stakeholders
- iii. To collect information related to the scope of application and related statutory and regulatory requirements.
- iv. To evaluate if management reviews and internal audits are being planned and performed to determine preparedness for the stage 2 audit.
- v. To produce a process based audit plan for the stage 2 visit. When appointment is scheduled, an



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audit plan will be prepared based on the client's activities.

b) Stage 2 Audit is an audit carried out on site at the client's premises to evaluate the effectiveness of implementation and covers:

- i. Information and objective evidence regarding the standard.
- ii. Performance monitoring, measuring, reporting and reviewing key performance objectives and targets.
- iii. The management system performance regarding legal compliance.
- iv. Operational control of the management system processes.
- v. Internal audit and management reviews.
- vi. Management responsibility for policies.
- vii. Links between policy and legal requirements, competence of personnel, operations, procedures and data.

All audit are based upon sampling and therefore not a guarantee of 100% conformity with the standard. Therefore it is critical that effective internal audits are conducted on an on-going basis by the

applicant company. If the organization works in more than one shift, it may be necessary to attend an audit to cover all shifts performed by notifying the client prior to the audit. In case of wanting to collect images or requesting copies of documents used to be in the audit consideration or evidence of compliance must obtain the consent of the applicant every time, all photographs and information will remain confidential.

8.Certification

- a) When onsite assessment finished, Lead Auditor will prepare an Audit Report and send the Audit Checklist to INTCERT. INTCERT's Certification Manager will review report and supporting information, evaluate and approve the certification.
- b) When a request for corrective action incases minor nonconformity, the client will cause of problem and propose a solution. Send details of corrective and preventive actions to INTCERT within 30 days of the last Stage 2 audit. The

INTCERT reviewer will review the details of the corrective action. The result of the review or acceptance of the solution will be notified to the client by letter, e-mail or any convenient channel for the client.

- c) Major nonconformity sends the Corrective action within 30 days, documented evidence of corrective action shall be sent within 90 days from the date of the audit and the corrective action must be followed-up within 90 days from the last day of the audit. INTCERT will review the corrective action. The result of the review or acceptance of the amendment will be notified to the client by letter, e-mail or any convenient channel for the client.
- d) Certificate based on the conformity found any inconsistency that will lead to the suspension will be considered by Certification Manager or the Neutrality Committee (in case of appeals or



complaints), as the case may be, in accordance with the operating by INTCERT

- e) Age of certification will be valid for 3 years. Certification date is date of the Certification Manager approved certification and recertification due date will be counted from the date of entering the Stage 2 Audit for another 3 years.

9. Surveillance

- a) After the certification has been surveillance. If there is any part of the work that requires special attention must be examined further depend on Certification Manager. Client will additional cost of the audit. Surveillance assessment will be done at least once a year. First surveillance will not exceed 12 months from the date of the decision to certify
- b) When a request for corrective action, the client will analyze the cause of the problem and propose a solution and send details of corrective

and prevent actions to INTCERT within 30 days of the last day of the audit.

- c) The certificate holder must authorize INTCERT to inspect the use of the certification mark in accordance with the established criteria.
- d) If the organization works in more than one shift, it may be necessary to attend an audit to cover all shifts conducted by notifying the client prior to the audit.

10. Recertification

- a) Reassessment will be planned for agreed by the client, onsite assessment for maintains and complies with the standards of management systems. Corrective action must be completed before the expiration date of the certificate.
- b) If a request of corrective action the client will analyze the cause of the problem and propose a solution and send details of corrective and prevent action to INTCERT within 30 days of the

last date of the reassessment. Corrective and preventive action must be completed before the expiration date of the certificate. If cannot be completed in time before the expiration date on the certificate, then will not be recertification.

- c) Lead Auditor will review the corrective and preventive action. The results of the review or acceptance will be notified to the client by letter, e-mail or at the client 's convenience.
- d) The accreditation assessment under the responsibility of the Certification Manager. In case the applicant disagrees with the assessment results can proceed with an appeal by contacting the INTCERT office
- e) Reassessment must be performed prior to the certificate's expiration date. If any Non conformities are found during the reassessment, that completed before the certification.
- f) The decision to authorize the recertification based on the results of the audit within the time limit,



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- Consistency of the system with consideration of handling complaints from users or consumers (if any).
- g) In the event the certificate has expired the validity of the certificate cannot be expended after the certificate's expiration date. Certification will be possible if the activity Recertification Completed within 6 months after the certification expiration date and the effective date on the certificate Recertification must be date or after the date of the approve by Certification Manager and the certification expiration date must be referenced to the expiration date in the previous certification cycle.
- h) If the organization operates in more than one shift, it may be necessary to attend an audit to cover all shifts conducted by notifying the client prior to the audit.
- i) The new certificate date will be the end date of the previous certificate in case the certification process was completed before the old certificate expires or is it a date Certification Manager has approved the certification.
- 11. Use & Mis-Use of Certificates, Logos & Certification**
- When certificate and surveillance plan, the client has the right to declare use the logo on office documents and promotional material. Can be use the logo accordance with the Procedure: Certification logo and mark rules (P03), which the office will deliver to the certified person.
- Other conditions related to the certification are as follows:
- a) Must be not misunderstandings in obtaining certification
 - b) The certification document must not be used in any way that would mislead the client into a registered company or use it in general public.
 - c) In the event of suspension, revocation or cancel the stamped documents such as brochures, letterheads, business cards, websites, etc. must be returned certificate to INTCERT.
- d) When the scope of the certification is reduced the advertising material must be revised printed. For all originals of reduced or expended certificates, must be returned to INTCERT.
- e) The activities of the certification must not be shown beyond the scope of certification
- f) Must not be used certificate in any way that would jeopardize the reputation and credibility of INTCERT or Accreditation Body, which can affect public confidence.
- g) The size of Accreditation Body logo and Certified Body should not be less than 15 mm to be clearly visible the naked eye.
- h) The use of the logo cannot be applied to documents or reports such as laboratory test results, calibration results, product inspection results or certificates issued by the organization to clients In order not to be misunderstood or to understand that it is a product certification, various test/ inspection results



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- i) Any use of the text or label on packaging must not represent endorsement of a product, process or service. If it is specified, it can be specified up to
 - a. Identification of the name certified customer.
 - b. Certified system
 - c. Certified body that issued the certification.

- v. During the certificate suspension the use of logos in promotional materials is not permitted, until the suspension is over.
- vi. INTCERT's Certification Manager will inform the conditions for suspension of certificates and actions to restore the certification situation in writing. In the event has been taken with the suspension conditions

requirements of the accreditation, Lead auditor identifies activities that will reduce the accreditation scope in the audit report or those involved notify the certification manager to consider reducing scope and then proceed to modify the certificate to the reduced expend.

12. Suspension, extension, reduction, and withdrawal the scope of certificates

There are conditions as follows:

a) Suspension

- i. Incorrect use of certificates and logos.
- ii. Failed corrective actions are not in timely, such as issues requiring remedial action from Certification, surveillance or reassessment etc.
- iii. Violation of the rules in the INTCERT quotation and the certification mark guidelines.
- iv. When a major defect is found during the inspection at the establishment, after having been verified.

b) Scope Extension

For increasing the scope for certification, the client must a written request to INTCERT. The request will be reviewed and make a new quotation will be resubmitted and until accepted, INTCERT will decide to proceed with the request to verify and certify the results of expending the certification scope

c) Scope Reduction

In the event that some activities are found to be inconsistent with the accredited scope or not

d) Withdrawal can only be made when:

- i. Lack of contact with INTCERT during the specified period. After the certificate has been suspended
- ii. Lack of payment to INTCERT within 1 month of receipt of payment reminder
- iii. Voluntary withdraw by written notice to INTCERT.
- iv. The certificate will be returned to INTCERT when the client is withdrawing by INTCERT, that it has been revoked. There must be no copy remaining and the logo must not be displayed after it has been revoked.



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e) Refusal of certification can only be made when an establishment seeks accreditation:

- i. Not received a factory business license or a food production license
- ii. Not within the scope of INTCERT's endorsement
- iii. Pending prosecution or judicial proceedings

13. Restoring of Certification

Restore of certification after suspension of certification. This will be considered by the Certification Manager that the client has taken corrective action or has complied with the certification conditions.

14. Appeals

If the client disagrees with the auditor's recommendations after the audit or does not agree with the results of the certification. An appeal can be filed by notifying INTCERT's Certification Manager, the client must provide evidence supporting the reason for the notification. All appeals filed will be forwarded to the impartial committee. The INTCERT

committee will conduct an investigation based on evidence from the client representative and the lead auditor. All parties involved may be summoned to attend the meeting and provide information (if necessary). The decision of the Committee is final.

15. Complaints

a) General complaint requirements

Every client must maintain a record of the complaints that record must be accessible during the audit and surveillance. This record must be able to show to INTCERT staff.

b) Complaints from clients regarding auditors.

If a client has a complaint about an auditor's audit can contact by phone, e-mail or in writing sent to INTCERT Certification Manager, which will be considered initially and will be presented to the Impartial Committee for consideration and ordering further action.

c) Complaints from users of clients' products and services.

In case that INTCERT receives a complaint about clients' products and services from the user or consumer will collected evidence presented to the Impartial Committee for consideration, all relevant

persons may be invited to attend the meeting to clarifications, so that the consideration is fair to all parties involved.

16. Witnessed Visits

As part of the on-going surveillance of INTCERT, the client agrees to allow representatives from national accreditation bodies the right to witness INTCERT conducting their audit duties. The fact that an Accreditation Body representative attends an audit will not affect the audit.

17. Short Notice Audits

In the case of clients whose certificates are suspended or encountered complaints from consumers or in the event of significant changes, INTCERT may be required to Short Notice Audits for surveillance, verify/certify the results of the application or corrective and preventive action, as the case may be.



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18. Terms of Payment

Payment shall be made in accordance with the individual invoice and the quotation/contract document.

19. Indemnification

In respect of any claim, loss, damage or expense however arising, INTCERT's liability to the client shall in no circumstances exceed the amount of INTCERT's fees paid by the client. Under no circumstance shall INTCERT be liable for any consequential loss.

20. Impartiality

INTCERT or its representatives must not:

- a) To provide management system consultants which consists of preparing, producing, quality manuals, procedures, provide special advice, practices, guidelines on development issues structure and application
- b) Provide internal audit, hazard analysis, FSMS or consulting other management systems related to the internal management system for certified clients

- c) Offer accreditation of various systems to clients those consultants provide or recommend
- d) Certificates related to various management systems to another certified body
- e) Certify to companies involved in the consulting process that exhibit non-transparency and impartiality.
- f) Provide or services of internal audit to certified clients
- g) Marketing materials relevant to the management system, work related, favorable to consultants
- h) Carry out any activity that has the opportunity to show the Impartiality of the Company

In addition, officer, executives, the Impartiality committee, auditors and personnel involved in INTCERT must not be affiliated in any way with the organization requesting certification and must show various stakes that is true at present for the Company. In the event that the information provided is not true and affects the impartiality, the company will immediately terminate the employment. According to the Procedure: Confidentiality and Notification of stakeholder (P05)

For any acts that cause objectivity to be found and reported, the impartiality committee will promptly notify and act with such communication.

21. Intellectual Property

The owner of the issuance of the audit report or certificate remains the property of INTCERT. If INTCERT finds any misuse of cancel/ suspended/ withdraw certificate, INTCERT reserves the right to take legal action.

22. Organizational & Management System Changes

When there are any significant changes within the organization such as laws, commercial laws, organizational structure, organizational administration, policies, management systems and work processes, number of establishments and addresses, business owners, significant number of employees, personnel position, scope of certification, Accredited applicants must promptly notify INTCERT such changes are reviewed and there may be to verify at the next surveillance or special audit, as the case may be, including adjustments to the number of audit days.