



Quality Management System
IQV 027 Certification Scheme Document

CERTIFICATION SCHEME DOCUMENT

1 INTRODUCTION

IQ Verify Ltd follow the criteria specified in:

BS EN ISO/IEC 17021:2015 - Conformity assessment - Requirements for bodies providing audit and certification of management systems.

BS EN ISO/IEC 17065:2012 - Conformity assessment - Requirements for bodies certifying products, processes and services.

This agreement shall be governed by UK Law.

2 SCOPE OF THE RULES OF REGISTRATION

The assessment and certification of the following standards operated by an applicant:

Standard	Date	Description of standard or code of practice	UKAS accredited
BS 102000	2013	investigative services	Approved
BS 7858	2012	Security screening of individuals employed in a security environment	Approved
ISO 9001	2015	Quality management systems	Approved
BS 7958	2015	Closed circuit television (CCTV). Management and operation. Code of practice	Approved
ISO 27001	2013	Information technology – Security techniques Information security management systems, requirements	Approved
ANSI ASIS PSC.1	2012	Management System for Quality of Private Security Company Operations – Requirements with Guidance (Approved
ISO 18788	2015	Management System for Private Security Operations - Requirements for guidance for use	Approved
ISO 28000	2007	Specification for security management systems for the supply chain	Applied
ISO 14001	2015	Environmental management systems. Requirements with guidance for use	Applied
OHSAS 18001	2007	Occupational health and safety management systems. Requirements	Applied
ISO/IEC 17024	2012	Conformity assessment. General requirements for bodies operating certification of persons	Applied
ISO/PAS 28007	2012	Ships and marine technology. Guidelines for Private Maritime Security Companies (PMSC)	Pending
ISO 31000	2009	Risk management. Principles and guidelines	Pending
ISO 22301	2014	Societal security. Business continuity management systems. Requirements	Pending
PAS 555	2013	Cyber security risk. Governance and management. Specification	Pending

The applicant must agree to supply all necessary information to IQ Verify Ltd and abide by the use of logo requirements See IQ Verify brand guidelines for reference.



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3 DEFINITIONS

For the purpose of these Terms and Conditions:

Applicant means an individual, body corporate or body unincorporated applying for a Certificate of Registration.

Assessment means a verification of the effectiveness of the relevant Management System operated by an applicant through the examination of materials, finished product, and methods of test, records, systems, environmental and other activities established by the applicant within its Management System.

Technical Committee means the committee appointed to establish and monitor the performance of the IQ Verify certification scheme and make recommendations for improvement as necessary.

Certificate of Registration means a document issued by IQ Verify in recognition that the management system operated by the applicant meets the requirements of the applicable Standard and these Terms and Conditions.

Client means applicant or registered company as appropriate.

Product means the goods, processes or services provided by a client.

Certification of a Management System means independent demonstration that the management system of the organisation:

- a) Conforms to specified requirements
- b) Is capable of consistently achieving its state policy and objectives, and
- c) Is effectively implemented.

Registered Company means an individual, body corporate or body unincorporated which has been granted a Certificate of Registration.

Scope of Registration means the range of products, services, activities covered by the management system of a registered company specified on the Certificate of Registration.

Standard means the Standards or other requirements for which the applicant organisation is seeking certification.

4 APPLICATION FOR REGISTRATION

On receiving an enquiry for certification services a client application form will be issued, once returned a management review will be undertaken based on the information supplied to us by the applicant organisation. If the decision is to offer certification services to the applicant organisation, a quotation will then be issued. If the decision is taken that IQ Verify cannot offer certification services, the applicant organisation will be informed in writing providing the decision and justification of the decision.



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For those applicant organisations who are offered certification services, on acceptance of their quotation they will be required to sign the Client contract proposal and Client confidentiality form and return them to IQ Verify together with payment of the certification/registration costs. The audit will not be conducted until payment is received.

Once the documentation and payment has been received, arrangements will then be made to undertake the audit.

5 AUDIT METHOD

Audit duration will depend on the following variables:

- Number of employees
- Number of sub-contractors employed
- Number of offices and locations
- Geographical area where site or work is based
- Other accreditations already in place
- Number of scopes and activities undertaken
- Complexity of the business / sector

For registrations for **Product audits** (e.g BS102000, BS7858, BS7958) an initial audit will be required to evaluate whether a product fulfils the specified requirements, followed by an annual surveillance audit.

A product audit will be based on the relevant standard or code of practice for the sectors being audited, this will include any normative references called up in the standard i.e. BS7858 for the security services standards etc.

For registrations for **Management System audits** (ie.g BS/ ISO 27001, ISO9001, ISO28000, PSC-1 / ISO18788, ISO14001) a two stage audit is carried out as follows:

STAGE ONE

To audit the client's management system documentation, including:

- a) review the client's management system documented information;
- b) evaluate the client's site-specific conditions and to undertake discussions with the client's personnel to determine the preparedness for stage 2;
- c) review the client's status and understanding regarding requirements of the standard, in particular with respect to the identification of key performance or significant aspects, processes, objectives and operation of the management system;
- d) obtain necessary information regarding the scope of the management system, including:
the client's site(s);
 - processes and equipment used;
 - levels of controls established (particularly in case of multisite clients);
 - applicable statutory and regulatory requirements;
- e) review the allocation of resources for stage 2 and agree the details of stage 2 with the client;
- f) provide a focus for planning stage 2 by gaining a sufficient understanding of the client's management system and site operations in the context of the management system standard or other normative document;



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- g) evaluate if the internal audits and management reviews are being planned and performed, and that the level of implementation of the management system substantiates that the client is ready for stage 2.

IQ Verify requires clients to make all necessary arrangements for the access to internal audit reports and reports of independent reviews of the management system under audit.

At least the following information shall be provided by the client during stage 1 of the certification audit:

- a) general information concerning the management system and the activities it covers
- b) a copy of the required documentation specified in management standard (ie. ISO/IEC 27001) and, where required, associated documentation

Consideration shall be given to the needs of the client to resolve areas of concern identified during the stage 1 audit, before the stage 2 audit is arranged.

Documented conclusions with regard to fulfilment of the stage 1 objectives and the readiness for stage 2 are communicated to the client, including identification of any areas of concern that could be classified as a nonconformity during stage 2 via the client audit report. IQ Verify will make the client aware of the further types of information and records that may be required for detailed examination during stage 2 – this will be detailed in the client report for stage 1.

NOTE IQ Verify recognises that the stage 1 output does not need to meet the full requirements of a report, however IQ Verify requires the auditors to complete a report for each audit undertaken (see 9.4.8).

STAGE TWO

The purpose of stage 2 audit is to evaluate the implementation, including effectiveness, of the client's management system in line with the relevant standard(s), normative documents, and the client's own policies, objectives and procedures.

To evaluate the implementation and effectiveness of the client's documented management system, records and by interviewing relevant members of staff regarding their working practices, including:

- a) information and evidence about conformity to all requirements of the applicable management system standard or other normative documents;
- b) performance monitoring, measuring, reporting and reviewing against key performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document);
- c) the client's management system ability and its performance regarding meeting of applicable statutory, regulatory and contractual requirements;
- d) operational control of the client's processes;
- e) internal auditing and management review;
- f) management responsibility for the client's policies.

For more technical management systems there are specific focus points to be included within for stage two, detailed below:



Information security management systems

- a) top management leadership and commitment to information security policy and the information security objectives;
- b) documentation requirements listed in ISO/IEC 27001;
- c) assessment of information security related risks and that the assessments produce consistent, valid and comparable results if repeated;
- d) determination of control objectives and controls based on the information security risk assessment and risk treatment processes;
- e) information security performance and the effectiveness of the ISMS, evaluating against the information security objectives;
- f) correspondence between the determined controls, the Statement of Applicability and the results of the information security risk assessment and risk treatment process and the information security policy and objectives;
- g) implementation of controls (see Annex D), taking into account the external and internal context and related risks, the organization's monitoring, measurement and analysis of information security processes and controls, to determine whether controls are implemented and effective and meet their stated information security objectives;
- h) programmes, processes, procedures, records, internal audits and reviews of the ISMS effectiveness to ensure that these are traceable to top management decisions and the information security policy and objectives.

If a product audit is conducted at the same time as a management system audit (i.e. ISO9001 Quality Management System) then a two stage approach as described above will apply. However, if the organisation has applied for product audit only, a two stage approach is not required.

Audit Report

IQ Verify will provide a written report for each audit (Stage one, stage two, initial, surveillance, recertification etc.). The audit team may identify non-conformities, areas of good practice or improvement opportunities but will not recommend specific solutions. Ownership of the audit report is maintained by IQ Verify.

The audit report will be prepared by the lead auditor and will provide an accurate, concise and clear record of the audit to enable an informed certification decision to be made and will include, within the report or the audit visit plan, or refer to the following:

- a) identification of IQ Verify as the Certification Body;
- b) the name and address of the client and the client's representative;
- c) the type of audit (e.g. initial, surveillance, recertification or special audits);
- d) the audit criteria;
- e) the audit objectives;
- f) the audit scope, particularly identification of the organizational or functional units or processes audited and the time of the audit;
- g) any deviation from the audit plan and their reasons;
- h) any significant issues impacting on the audit programme;
- i) identification of the audit team leader, audit team members and any accompanying persons;
- j) the dates and places where the audit activities (on site or offsite, permanent or temporary sites) were conducted;



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- k) audit findings, reference to evidence and conclusions, consistent with the requirements of the type of audit;
- l) significant changes, if any, that affect the management system of the client since the last audit or application review took place;
- m) any unresolved issues, if identified;
- n) where applicable, whether the audit is combined, joint or integrated;
- o) a disclaimer statement indicating that auditing is based on a sampling process of the available information;
- p) recommendation from the audit team
- q) the audited client is effectively controlling the use of the certification documents and marks, if applicable;
- r) verification of effectiveness of taken corrective actions regarding previously identified nonconformities, if applicable.

The report or auditors notes will also contain:

- a) a statement on the conformity and the effectiveness of the management system together with a summary of the evidence relating to:
 - the capability of the management system to meet applicable requirements and expected outcomes;
 - the internal audit and management review process;
- b) a conclusion on the appropriateness of the certification scope;
- c) confirmation that the audit objectives have been fulfilled.

For ISMS audits there is an individual client audit report which allows the auditor to confirm specific requirements from ISO27006:2015, such as:

- a) an account of the audit including a summary of the document review;
- b) an account of the certification audit of the client's information security risk analysis;
- c) deviations from the audit plan (e.g. more/less time spent on certain scheduled activities);
- d) the ISMS' scope.
- e) significant audit trails followed and audit methodologies utilized
- f) observations made, both positive (e.g. noteworthy features) and negative (e.g. potential nonconformities);
- g) comments on the conformity of the client's ISMS with the certification requirements with a clear statement of nonconformity, a reference to the version of the Statement of Applicability and, where applicable, any useful comparison with the results of previous certification audits of the client.

The auditor will use the report to discuss the outcome of the audit at the closing meeting. The report will be handed or emailed to the company on the last day of the audit or as soon as possible afterwards. The auditor will emphasise to the company that the report will be quality assured (QA) by IQ Verify before the auditor's recommendation is confirmed or otherwise.

Possible findings during an audit

Audit findings summarizing conformity and detailing nonconformity shall be identified, classified and recorded to enable an informed certification decision to be made or the certification to be maintained.



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Finding	Requirement meaning
Major nonconformity	<p>Requires a response from the client within 21 working days, stating the root cause and corrective and correction action.</p> <p>Requires IQ Verify to review, accept and verify the correction and corrective actions.</p> <p>This will be via on-site re-audit within 1 month of initial finding.</p>
Minor nonconformity	<p>Requires a response from the client within 21 working days, stating the root cause and corrective and correction action.</p> <p>Requires client to submit evidence to IQ Verify in relation to the correction / corrective action to close out finding.</p> <p>IQ Verify to review and accept client plan for correction and corrective actions.</p> <p>This will be via Desk Top Review within 3 months of initial finding.</p>
Improvement opportunity (IO)	<p>For any findings where the company is in danger of not meeting the standard, where there is a failure that doesn't warrant a nonconformity or where an improvement can be made.</p> <p>No additional evidence required but will be checked on the next audit</p>
Good practice (GP)	<p>For any findings, where the company is performing over and above the standard or doing something exceptionally well</p> <p>No additional evidence required</p>
Auditors note (AN)	<p>For anything that does not fit into the above categories, but still warrants a comment</p> <p>No additional evidence required</p>
Report clarification	Requirement meaning
Summary	The summary will include a brief history of the company, when it was established, including any changes since application or last audit i.e. change of personnel or employee or sub contracted numbers and confirmation of audit scope etc.
Executive summary	The auditor will complete the report including the executive summary, which will include a brief synopsis of the audit, what went well, what didn't, summary of findings, any trends established and confirmation of the robustness of the leadership commitment, policies and procedures etc.

Log Non-Conformities - For any Non-Conformities found during the audit, the lead auditor will complete an 'IQV Audit Non-Conformities log' listing the findings. Clients are required to complete this log providing root cause, corrective and preventive action and evidence to support the resolution of the finding(s) to info@iqverify.org.uk within 21 working days of the audit.



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Review and closeout of Non-Conformities - IQ Verify will review the corrections, identified causes and corrective actions submitted by the client to determine if these are acceptable. IQ Verify will verify the effectiveness of any corrective taken. The evidence obtained to support the resolution of nonconformities will be recorded. The client will be informed of the result of the review and closeouts of findings.

Note: *Verification of effectiveness of correction and corrective action will be carried out based on a review of documentation provided by the client, or where necessary, through verification on-site.*

Revisits before closeouts - The client will be informed if an additional full audit, an additional limited audit, or documented evidence (to be confirmed during future surveillance audits) will be needed to verify effective corrective actions before closeouts of findings.

Recommendation - The auditor will make a recommendation to the client at the closing meeting and could include one of the following:

- Recommended for Approval
- Recommended, subject to the closure of any non-conformities
- Re-visit required
- Proceed to the next stage, where relevant.
- Not recommended

The auditor's recommendation will be taken into consideration through the IQ Verify QA process, along with the audit evidence. Once reviewed by IQ Verify, approval will be granted, where relevant.

The Audit Report will also include a summary (which includes include a brief history of the company, when it was established, including any changes since application or last audit i.e. change of personnel or employee or sub contracted numbers and confirmation of audit scope etc.) and an executive summary (which will include a brief synopsis of the audit, what went well, what didn't, summary of findings, any trends established and confirmation of the robustness of the leadership commitment, policies and procedures etc.).

Audit checklist

During the audit the lead auditor may complete a checklist or take detailed auditor notes in line with the relevant standard(s). This will record all information gathered during the audit, including names of documents and records seen, version numbers for ease in identification for any follow-up audits etc. The information recorded within the checklist or auditor notes provides the IQ Verify QA team sufficient detail to enable confirmation of auditor's recommendation. Yes and no answers within the checklist, except in exceptional circumstances, should always be avoided.

The contents of the checklist or auditor notes is confidential and will only be shared with authorised personnel e.g. IQ Verify and UKAS.



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6 CERTIFICATION

On completion of the stage two or the product audit the auditor issues a report to IQ Verify, along with a recommendation for approval which will be submitted for impartial independent review to consider the audit findings and agree an audit conclusion.

IQ Verify is responsible for assessing sufficient objective evidence upon which to base a certification decision. Based on audit conclusions, IQ Verify makes a decision to **grant** certification if there is sufficient evidence of conformity, or not to grant certification if there is not sufficient evidence of conformity.

Information Security Management System ONLY - Certification shall not be granted to the client until there is sufficient evidence to demonstrate that arrangements for management reviews and internal ISMS audits have been implemented, are effective and will be maintained. A client **MUST HAVE** operated through at least one management review and one internal ISMS audit covering the scope of certification.

IQ Verify is responsible for, and shall retain authority for, its decision relating to certification, including the granting, refusing certification, expanding or reducing the scope of certification, renewing, suspending or restoring, or withdrawing of certification.

The persons that takes the decision on granting certification should not normally overturn a negative recommendation of the audit team. If such a situation does arise, IQ Verify will document and justify the basis for the decision to overturn the recommendation.

If certification is granted, the client is included on the IQ Verify directory of certified clients, which will be available to the public upon request. (Please also see publically available information section below) NB: the Directory remains the sole property of IQ Verify.

Where IQ Verify cannot offer the appropriately accredited, or the competence to offer certification i.e. it is outside IQ Verify's schedule of accreditation than certification will be **refused**. The organization will be kept informed as to the reasons of the refusal.

IQ Verify may also refuse clients for the following (list is not exhaustive):

- Failure of due diligence checks
- The organization has not paid for the audit when required, without prior agreement
- There is a lack of information supplied by the client to enable IQ Verify to establish the correct audit duration
- The organization refuses to sign the relevant IQ Verify documentation
- Any member of the organization uses threatening behaviour or bullying tactics or other undesirable behaviour towards IQ Verify, its representatives, UKAS or the SIA
- Failure to resolve any issues or nonconformities raised during an audit

If you would like to confirm the validity of any IQ Verify Ltd client's logo please contact info@iqverify.org.uk

Each Certificate of Registration defines the Scope of Registration.

The Certificate of Registration is personal to the Company who must not give permission for it to be used by a third party.



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Registration is on an annual basis subject to continued compliance with the Standard following a successful annual surveillance visit. Certificates remain the property of IQ Verify Ltd.

Certificates of registration shall not be issued unless IQ Verify Ltd has received payment in full.

7 NOTIFICATION OF CHANGES BY A CLIENT

Certified clients must inform IQ Verify without delay of matters that may affect their ability to continue to fulfil the requirements of the standard used for certification. These include, for example, changes relating to

- a) the legal, commercial, organizational status or ownership;
- b) organization and management (e.g. key managerial, decision-making or technical staff);
- c) contact address and sites;
- d) scope of operations under the certified management system;
- e) major changes to the management system and processes. The certification body shall take action as appropriate

The actions to implement changes affecting certification shall include, if required, the following:

- evaluation,
- review,
- decision,
- issuance of revised formal certification documentation to extend or reduce the scope of certification,
- Issuance of certification documentation of revised surveillance activities (if surveillance is part of the certification scheme).

These actions shall be completed in accordance with applicable British Standards within ISO17065:2012 & ISO17021:2015. Records shall include the rationale for excluding any of the above activities (e.g. when a certification requirement that is not a product requirement changes, and no evaluation, review or decision activities are necessary).

Notification of changes requiring a re-issue of registration certificates other than for initial or re-assessments will attract a nominal administration charge. See section 23 Fees.

8 SURVEILLANCE / MAINTAINING CERTIFICATION

After the issue of a certificate, annual surveillance visits will be carried out at the client's premises. Surveillance audits are conducted at least once a calendar year, except in recertification years. The date of the first surveillance audit following initial certification is no more than 12 months from the certification decision date. Any variation of this will be justified on the organizations file.

Prior to any surveillance activity, IQ Verify will check the certified client scope, size of company and site information. The client is asked to review this information and confirm if



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anything has changed, as this may affect the surveillance audit duration. This information is reviewed by IQ Verify and the surveillance audit duration confirmed to the client.

Surveillance activities will include on-site audits assessing the certified client's management system's fulfilment of specified requirements with respect to the standard to which the certification is granted.

Other surveillance activities may include

- a) enquiries from IQ Verify to the certified client on aspects of certification;
- b) reviewing any certified client's statements with respect to its operations (e.g. promotional material, website);
- c) requests to the certified client to provide documented information (on paper or electronic media);
- d) other means of monitoring the certified client's performance.
- e) Completion of documented records to ensure that the client is still meeting the required standard
- f) Review of any findings raised during a previous audit
- g) Review of any changes

Surveillance audits are on-site audits, but are not necessarily full audits (unless product / service audit), and shall be planned together with the other surveillance activities so that IQ Verify can maintain confidence that the certified client continues to fulfil requirements between recertification audits. The surveillance for the relevant management system standard includes:

- a) internal audits and management review;
- b) a review of actions taken on nonconformities identified during the previous audit;
- c) complaints handling;
- d) effectiveness of the management system with regard to achieving the certified client's objectives and the intended results of the respective management system(s);
- e) progress of planned activities aimed at continual improvement;
- f) continuing operational control;
- g) review of any changes;
- h) use of marks and/or any other reference to certification.

Some management system standards specify further requirements for each surveillance

ISO27001:2013 / ISO27006:2015

The audit programme must consider

- a) the system maintenance elements such as information security risk assessment and control
- b) maintenance, internal ISMS audit, management review and corrective action;
- c) communications from external parties as required by the ISMS standard ISO/IEC 27001 and other documents required for certification;
- d) changes to the documented system;
- e) areas subject to change;
- f) selected requirements of ISO/IEC 27001;
- g) other selected areas as appropriate.



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As a minimum, each ISO27001 surveillance audit must consider:

- a) the effectiveness of the ISMS with regard to achieving the objectives of the client's information security policy;
- b) the functioning of procedures for the periodic evaluation and review of compliance with relevant information security legislation and regulations;
- c) changes to the controls determined, and resulting changes to the Statement of Applicability
- d) implementation and effectiveness of controls according to the audit programme.
- e) Appeals and complaints
- f) Previous Non conformities and correction action

IQ Verify shall maintain certification based on demonstration that the client continues to satisfy the requirements of the relevant standard. It may maintain a client's certification based on a positive conclusion by the audit team leader without further independent review, provided that:

- a) for any major nonconformity or other situation that may lead to suspension or withdrawal of certification, IQ Verify has a system that requires the audit team leader to report to the certification body the need to initiate a review by appropriately competent personnel, different from those who carried out the audit, to determine whether certification can be maintained, and
- b) competent personnel of IQ Verify's surveillance activities, including monitoring the reporting by its auditors, to confirm that the certification activity is operating effectively.

If areas of concern are identified that may require a revisit as recommended by the Lead Auditor the management would review the report / recommendation and if in agreement with it, the client agrees to meet the extra cost relating to any additional assessments required.

9 RE-CERTIFICATION (Management systems only)

Prior to any recertification audit, IQ Verify send the client the original client application form submitted at the initial audit, this provides the original scope, size of company and site information. The client is asked to review this information and confirm if anything has changed, as this may affect the recertification audit duration. This information is reviewed by IQ Verify and the surveillance audit duration confirmed to the client.

The purpose of the recertification audit is to confirm the continued conformity and effectiveness of the management system as a whole, and its continued relevance and applicability for the scope of certification. A recertification audit shall be planned and conducted to evaluate the continued fulfilment of all of the requirements of the relevant management system standard or other normative document. This shall be planned and conducted in due time to enable for timely renewal before the certificate expiry date.

A review of the company's performance during the preceding three year period is also undertaken.

A recertification audit considers the performance of the management system or product over the period of certification, and includes the review of previous surveillance audit reports. Recertification audit activities may need to have a stage 1 audit in situations where there



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have been significant changes to the management system, Product, the client, or the context in which the management system is operating (e.g. changes to legislation).

In the case of multiple sites or certification to multiple management system standards being provided by the certification body, the planning for the audit shall ensure adequate on-site audit coverage to provide confidence in the certification.

A recertification audit includes an on-site audit that addresses the following:

- a) the effectiveness of the management system or product in its entirety in the light of internal and external changes and its continued relevance and applicability to the scope of certification;
- b) demonstrated commitment to maintain the effectiveness and improvement of the management system or product in order to enhance overall performance;
- c) the effectiveness of the management system with regard to achieving the certified client's objectives and the intended results of the respective management system (s).

For any major nonconformity, the certification body shall define time limits for correction and corrective actions. These actions shall be implemented and verified prior to the expiration of certification. The time allowed to implement corrective action shall be consistent with the severity of the nonconformity and the associated information security risk.

IQ Verify shall make decisions on **renewing** certification based on the results of the recertification audit, as well as the results of the review of the system over the period of certification and complaints received from users of certification.

When recertification activities are successfully completed prior to the expiry date of the existing certification, the expiry date of the new certification can be based on the expiry date of the existing certification. The issue date on a new certificate shall be on or after the recertification decision.

If IQ Verify has not completed the recertification audit or is unable to verify the implementation of corrections and corrective actions for any major or minor nonconformity prior to the expiry date of the certification, then recertification will not be recommended and the validity of the certification will not be extended. The client will be kept informed and the consequences explained.

Following expiration of certification, IQ Verify can restore certification within 6 months provided that the outstanding recertification activities are completed, otherwise at least a stage 2 shall be conducted. The effective date on the certificate shall be on or after the recertification decision and the expiry date shall be based on prior certification cycle.

Recertification for Product/services audits

Product/Service certificates are given a three year life span to keep consistency of process across IQV management and product audits.

Product/service audits are different to Management system audits as they do not require the same approach with initial /stage 2 / surveillance and recertification audits. Product /service audits review **all** aspects of the relevant standard at **every** audit (initial and surveillance).



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Therefore the fourth year audit for a product / service audit is a surveillance audit which results in a new certificate being issued if a successful outcome.

'Re-certification audits' as referred to in ISO17021:2015 are not required for Product and Service audits and the surveillance audit process should be followed.

A new certificate issued following a third year surveillance audit will show the original approval date, and the valid from date will show the decision date from third surveillance audit report.

10 EXTENSION / EXPANDING SCOPE AUDITS

IQ Verify shall, in response to an application for extension / expanding scope of a certification already granted, undertake a review of the application and determine any audit activities necessary to decide whether or not the extension may be granted. Where possible this will be conducted in conjunction with a surveillance audit and will focus on sections by the change in scope.

A completed audit report will provide the GM with the recommendations of the lead auditor appointed for the purpose of reviewing the system.

Where this is not possible or practicable a special audit will be conducted between audits, although the certification cycle will reflect the original cycle.

Following an extension in certification or a change in the clients' activity or operation the audit schedule for the client will be reviewed, and if appropriate, revised.

11 SHORT NOTICE AUDITS

If a complaint is made about a certified client, or we have received notification of any changes (See Section 7), we reserve the right to undertake a short notice or unannounced audit to investigate whether the company is still meeting the requirements of the Standard they are approved for. Such visits are chargeable (See Section 23).

12 REDUCING, WITHDRAWING OR SUSPENDING SCOPE

Following an unsuccessful assessment of a company's management system or product to the relevant standard, the certificate of registration may be suspended, withdrawn or reduced due to one or more of the following:

Reducing Scope of Certification

Certification may be reduced to exclude the parts of scope not meeting the requirements, when the client has persistently or seriously failed to meet the certification requirements for those parts of the scope of certification, such as;

- failure to close non- conformities
- significant changes to the activities and operation of the organisation
- failure to comply with the requirements of the standard
- or at the request of the client



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Any reduction of scope will be in line with the requirements of the standard used for certification.

IQ Verify will inform the client, in writing, of any decision regarding a reduction in certification, outlining the justifications for the action being taken.

Following a reduction of scope or a change in the clients' activity or operation the audit schedule for the client will be reviewed, and if appropriate, revised.

If the Director General Manager decides certification should be reduced, IQ Verify will make all necessary modifications to formal certification documents, public information (certified client register and website information), authorisation for use of marks, etc., in order to ensure it provides no indication that the certification is still valid.

The client may appeal against the reduction in scope through the IQV Appeals Policy and Procedure.

IQ Verify will **restore** the reduced scope if the issue that has resulted in the reduced scope is satisfactorily resolved.

Re-instatement, following reduction of the scope, will require reassessment of the company's systems. A review will be necessary to determine/verify the scope of assessment required.

Withdrawal of certification

A certificate may be withdrawn due to continuing failure to comply with the certification process, or a breach of contract.

Decisions to withdraw a certificate, either partially or in total, will be made by the Director General Manager on the basis of a recommendation made by a Lead Auditor.

Following a withdrawal of certification or a change in the clients' activity or operation the audit schedule for the client will be reviewed, and if appropriate, revised.

If the Director General Manager decides certification should be withdrawn, IQ Verify will make all necessary modifications to formal certification documents, public information (certified client register and website information), authorisation for use of marks, etc., in order to ensure it provides no indication that the certification is still valid.

It is also a policy of IQ Verify to notify the local Trading Standards Office of any client withdrawn from registration, and where required seek additional legal means to protect IQ Verify in the event of certificate/logo misuse

The client may appeal against the withdrawal of certification through the IQV Appeals Policy and Procedure.

If, following withdrawal of a certificate and subsequent removal from the certified client's lists, the client continues to use the marks in literature, IQ Verify may take appropriate legal action.



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IQ Verify will **restore** the withdrawn certification if the issue that has resulted in the withdrawal is satisfactorily resolved.

Re-instatement, following withdrawal of the certification, will require reassessment of the company's systems. A review will be necessary to determine/verify the scope of assessment required.

Suspension of certification

IQ Verify will suspend certification in cases when, for example:

- a) As a result of continued misuse of Registered Company Certification Marks.
- b) Failure to apply corrective action as a result of non-conformances found at an assessment within the relevant timescale.
- c) Failure to continue to meet specified requirements of the relevant product standard or regulation.
- d) The client's certified management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the management system
- e) Failure to allow surveillance or recertification audits to be conducted at requirements frequencies.
- f) Amendment of any specification of the service / product of which was representative and to which a Certificate relates.
- g) Failure to disclose any information to IQ Verify Ltd that may affect IQ Verify's decision to issue or continue the Certificate.
- h) Failure to comply with the continuing obligation to supply information.
- i) Failure to pay any fees due to IQ Verify Ltd under the Contract.
- j) If IQ Verify deems you have used the Certificate in a manner that may be misleading or that may bring IQ Verify Ltd into disrepute.
- k) Any other breach of IQ Verify's Certification Terms and Condition
- l) The certified client has voluntarily requested a suspension.

If the Director General Manager decides certification should be suspended IQ Verify will make all necessary modifications to formal certification documents, public information (certified client register and website information), authorisation for use of marks, etc., in order to ensure it provides no indication that the certification is still valid.

The Client will be informed of the DGM's decision in writing, stating the decision and reasons behind making it. The contractual requirements of returning certification (if required) and conditions for displaying marks and logos will be pointed out as well as the right of appeal through the IQV Appeals Policy and Procedure.

The client may appeal against the suspension of certification through the IQV Appeals Policy and Procedure.

If, following suspension a certificate and subsequent removal from the certified client's lists, the client continues to use the marks in literature, IQ Verify may take appropriate legal action.

Under suspension, the client's management system certification is temporarily invalid.



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IQ Verify will **restore** the suspended certification if the issue that has resulted in the suspension is satisfactorily resolved.

If certification is reinstated after suspension, IQ Verify will make all necessary modifications to formal certification documents, public information (certified client register and website information), authorisation for use of marks, etc., in order to ensure all appropriate indications exist that the certification is valid.

13 MARKS OF CONFORMITY

The name and certification mark for IQ Verify, is a registered trademark of IQ Verify Ltd, therefore there are restrictions placed upon the use of the name and certification mark of IQ Verify, by certified clients.

It is vital that the IQ Verify brand and identity is correctly and consistently applied. The guidelines set out within IQ Verify Brand Guidelines document (available upon request / issued to all certified clients) must be followed when using the IQ Verify certification mark or referring to IQ Verify or any IQ Verify certification scheme.

Once a certificate has been issued then the certificated client has the right to publish the fact and to apply the relevant mark of conformity to their stationery, web based communications and promotional material relating only to their assessed scope of registration.

IQ Verify require each certified individuals or organisations, to ensure that they:

- conforms to the requirements of IQ Verify when making reference to its certification status in communication media such as the internet, brochures or advertising, or other documents;
- does not make or permit any misleading statement regarding its certification;
- does not use or permit the use of a certification document or any part thereof in a misleading manner;
- upon withdrawal of its certification, discontinues its use of all advertising matter that contains a reference to certification, as directed by the certification body (see 9.6.5);
- amends all advertising matter when the scope of certification has been reduced;
- does not allow reference to its management system certification to be used in such a way as to imply that the certification body certifies a product (including service) or process;
- does not imply that the certification applies to activities and sites that are outside the scope of certification;
- does not use its certification in such a manner that would bring the certification body and/or certification system into disrepute and lose public trust.

IQ Verify Ltd reserve the right to request immediate removal of the trademark or part thereof, from documentation in the circumstances outlines within IQ Verify Brand Guidelines document.

A copy of the within IQ Verify Brand Guidelines can be requested by contacting info@iqverify.org.uk.



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14 CERTIFICATE MISUSE

IQ Verify will take all reasonable precautions to ensure that there is no misuse of their certificate in client advertising etc. The client undertakes only to use certification marks as appropriate to their assessed scope of registration, location and/or applicable standard.

15 CANCELLATION OF REGISTRATION

Clients wishing to cancel/withdraw from registration must notify IQ Verify of their intention to do so within 2 months prior of the annual surveillance visit. Upon the cancellation of the Certificate (however determined) the Company shall forthwith discontinue the use of the IQ Verify certification marks and all advertising literature that contains the IQ Verify marks or any reference thereto. In addition, any other material or documents in the possession of the Company, which bear reference to the Certificate, shall be eradicated. A cancellation fee will be charged as follows:

Within 10 working days of audit	Full audit costs plus any expenses incurred that cannot be refunded, where relevant.
Within 11 to 20 working days	50% of audit costs plus any expenses incurred that cannot be refunded, where relevant.
Within 21 to 30 working days	25% of audit costs plus any expenses incurred that cannot be refunded, where relevant.
31 days plus	0% although the application fee is non-refundable plus any out of pocket expenses incurred that cannot be refunded e.g. hotel and travel arrangements.

16 CHANGES TO CERTIFICATION REQUIREMENTS

If the requirements applying to the certification are changed, IQ Verify shall immediately inform the certified client by registered letter (or equivalent means), stating at what date the changes to certification requirements will become effective, and advising of any need for an additional audits.

Within a specified period of time (4 weeks) after receipt of the advice described in above paragraph, the certified client shall inform IQ Verify by registered letter (or equivalent means) whether it is prepared to accept the changes. If the certified client gives confirmation within the specified period of acceptance of the changes and provided the result of any additional audit is favourable, a certificate will be re-issued or other amendments of IQ Verify's records will be made as necessary.

If the certified client advises IQ Verify that it is not prepared to accept the changes within the time specified, or if the certified client allows the terms for acceptance to lapse, or if the result of any additional audits is not favourable, the certificate originally issued to the certified client shall cease to be valid on the date on which the change specifications become effective to IQ Verify, unless otherwise decided by IQ Verify.

17 IMPARTIALITY COMMITMENT

Top Management of IQ Verify is responsible for the impartiality of its certification activities and will not allow commercial, financial or other pressures to compromise impartiality.



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However, ALL IQ Verify personnel, either internal or external, or committees, who could influence the certification activities, shall act impartially and shall not allow commercial, financial or other pressures to compromise impartiality.

IQ Verify will identify risks to its impartiality on an ongoing basis. This will include those risks that arise from its activities, from its relationships, or from the relationships of its personnel (this includes internal and external personnel, or committees who could influence certification activities)

IQ Verify understands the importance of ensuring impartiality of its management system certification activities and has an Impartiality Procedure in order to safeguard the company's independence, manage conflicts of interest, bias, and prejudice, and to ensure neutrality, fairness, balance and objectivity in our management system certification activities.

IQ Verify eliminates any risks that arise, through the following mechanisms:

1. policies and principles relating to the impartiality of our certification activity;
2. establishment of an impartiality committee;
3. top management commitment to impartiality;
4. documentation which provides information relating to the balance of the representation of the impartiality committee;
5. access to the policies, procedures and processes which enable IQ Verify to fulfil its functions;
6. recruitment of competent personnel;
7. induction and training including impartiality, conflict of interest and confidentiality;
8. monitoring and observation of external resources including evaluation personnel;
9. terms and conditions of contract with external auditors;
10. contracts for Auditors.
11. annual check on commercial relationships with auditors, board members and impartiality members conducted

IQ Verify will ensure that activities of separate legal entities, with which IQ Verify or the legal entity of which it forms a part has relationships, do not compromise the impartiality of its certification activities.

IQ Verify's activities will not be marketed or offered as linked with the activities of an organisation that provides consultancy.

IQ Verify do not state or imply that certification would be simpler, easier, faster or less expensive if a specified consultancy organisation were used. IQ Verify shall take action to correct inappropriate claims by any consultancy organisation stating or implying that certification would be simpler, easier, faster or less expensive if IQ Verify, as a certification body, were used.

Within the period of two years (specified by IQ Verify), personnel shall not be used to review or make a certification decision for a product for which they have provided consultancy (including the designing, implementing, operating or maintaining of a certified process or a process to be certified, or the designing, implementing, providing or maintaining of a certified service or a service to be certified).



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IQ Verify will take action to respond to any risks to its impartiality, arising from the actions of other persons, bodies or organizations, of which it becomes aware.

IQ Verify shall not certify another certification body for its management system certification activities.

18 COMPLAINTS

IQ Verify welcome any comments, suggestions, compliments and feedback about the service you have experienced when contacting us or when using any of our services, our employees are here to help ensure your experience with us remains as positive as possible. However, if you do not feel satisfied with our service, or the service you received please contact us in line with this policy.

IQ Verify aim to ensure that we:

- deal with your complaint promptly and politely,
- ensure your confidentially, where appropriate;
- respond appropriately, e.g. by giving you an explanation or an apology where we have got things wrong, and provide an appropriate rectification where possible

Examples of situation that would constitute a complaint:

- the competency of an IQV employee / auditor was not satisfactory,
- unacceptable attitude from IQV employee / auditor towards the client their employees,
- delay in service,
- incorrect information received,
- processing errors,
- lack of response to queries,
- non-compliance with policies, processes or procedures,
- the outcome of an appeals process

You cannot appeal against a complaint, although you are entitled to submit both an appeal and complaint. You can complain about your appeal.

Process

Please submit your complaint and any relevant evidence to info@iqverify.org.uk or provide it by post to:

Business Improvement Team, IQ Verify Ltd, Sentinel House, The Courtyard Harris
Business Park, Hanbury Road, Bromsgrove, B60 4DJ

As well as the nature of your complaint, please ensure you include:

- Your full name
- Your IQ Verify ref number (IQV0000) if known
- Your details (name, address)
- Details of the relevant certification service
- Contact details : email address, address and phone number

Investigation

On receipt of a formal complaint, IQ Verify shall:

- Complete a complaint form taking gathering and verifying all necessary information (as far as possible) to progress the complaint to a decision



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- appoint an appropriate person to investigate the matter on your behalf and inform you who is responsible for dealing with your complaint
- aim to resolve complaint within 20 working days but we will advise you if we need a longer period to fully address your complaint
- provide progress report and formal notice to the complainant of the outcome and the end of the investigation
- Apply appropriate correction and corrective action where required.

If the complaint relates to:

- Certification activities which IQ Verify are responsible for, we will take necessary action to resolve the complaint.
- A certified client, an investigation of the complaint will consider the effectiveness of the certified management system. Any complaint about a certified client will also be referred by IQ Verify to the certified client in question at an appropriate time.

IQ Verify will determine, together with the client and the complainant, whether and, if so to what extent, the subject of the complaint and its resolution will be made public.

A complaint form may also be raised by personnel within the IQ Verify where it is noted that the service provided does not meet the client's expectation, the investigative process will be the same.

Conflicts of interest

Where any person responsible for tasks outlined within this policy is considered to be in conflict (having provided consultancy for a client, or been employed by a client within the last two years) an appropriate nominee will be appointed by agreement of at least 2 members from the Senior Management Team to undertake the tasks ordinarily assigned to the role within this policy.

The decision resolving the complaint or appeal shall be made by, or reviewed and approved by, person(s) not involved in the certification activities, or other aspects of service, related to the complaint or appeal.

Outcome

You should receive a response within 20 working days of receipt of the complaint. Where this is not possible within the timeframe, correspondence providing details for the reason for the delay will be sent.

Our response will usually include an explanation of the situation that has led to your outcome, and any corrective action taken.

Review

We aim to improve our business processes and our response to clients in the light of learning from the feedback we receive. The outcome of the complaint will be reported and reviewed at Management review meetings to identify root causes and trends.

If you are not satisfied with the outcome or progress of your complaint, you can take the matter further by asking for the complaint to be escalated to the appropriate manager who will evaluate all the information and ensure the correct process has been carried out.



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19 ACCESS TO RECORDS OF COMPLAINTS

IQ Verify certificated companies are required to record all complaints received from clients. When appropriate, evidence of prompt effective corrective action being carried out by the certificate holder shall be examined at each IQ Verify surveillance audit. The client also must inform IQ Verify Ltd in the event of an alleged breach of relevant legislative or regulatory requirements.

20 APPEALS PROCEDURE

If a client wishes to appeal against any decision for whatever reason including suspension or withdrawal of a certificate, the client will begin the appeals procedure of which there are two stages. For all both stages appeals

must be made to the IQ Verify Enquiries and Appeals team, within 30 working days of having been served with a decision. Appeals must be outlined on the appeal form and must be accompanied by all relevant supporting evidence.

IQ Verify is responsible for all decisions at all levels of the appeals-handling process. All persons engaged in the appeals-handling process / appeal panel are different from those who carried out the audits and made the certification decisions. To ensure that there is no conflict of interest, personnel who have provided consultancy for the client, or been employed by the client, shall not be used by IQ Verify within the appeals process for that client within two years following the end of the consultancy or employment.

STAGE ONE – Report and decision reviewed

Audit report will be re-examined by a different decision maker from the one that made the first decision. If the appeal is with regard to a decision not to certificate, the justifications within the report that will be reviewed by the appeals panel to ascertain whether further investigations or audits are necessary.

STAGE TWO – Impartiality Committee Review

If the client is not satisfied with the result of Stage One review, Stage Two requires a full IQ Verify Impartiality Committee review. The process will focus on whether IQ Verify appropriately used the correct procedures in arriving at its decision.

All appeal decisions will be ratified by the IQ Verify Appeals panel.

If at the end of ANY of the two stages IQ Verify find the decision to be **correct** it will set out its reasons in writing with supporting evidence.

If at the end of ANY of the two stages IQ Verify the decision is proved to be **incorrect**, IQ Verify will revise and re-issue the report and, if necessary, appropriate certification.

If other audit or certification decisions might be affected by the result of such an appeal, all similar results will be recalled and reviewed in the same way.

IQ Verify will give formal notice to the client of the end of the appeals-handling process.



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21 PERSONNEL

IQ Verify undertake to provide suitably qualified personnel for all assessment and surveillance work using their own staff or suitable, qualified sub-contractors. All members of IQ Verify (employees or sub-contractors) are required to sign confidentiality agreements concerned with all confidential information that they may be exposed to at a client premises.

22 CONFIDENTIALITY

IQ Verify is responsible, through legally enforceable commitments, for the management of all information obtained or created during the performance of certification activities. Except for information that the client makes publicly available, or when agreed in writing between the certification body and the client (e.g. for the purpose of responding to complaints), all other information is considered proprietary information and shall be regarded as confidential.

The certification body shall inform the client, in advance, of the information it intends to place in the public domain. (Please also see Publically Available information section below).

When IQ Verify is required by law or authorised by contractual arrangements to release confidential information, the client or person concerned shall, unless prohibited by law, be notified of the information provided.

Information about the client obtained from sources other than the client (e.g. from the complainant or from regulators) shall be treated as confidential.

23 DATA PROTECTION

IQ Verify Ltd has a Data Protection Policy, also known as the Privacy Notice. This policy sets out how we will look after your (data subject's) information. This includes what you tell us about yourself, what we learn about you, and the choices you give us about what marketing you want us to send to you. It also provides details of your privacy rights and how to exercise those rights with us.

We are committed to promote privacy and compliance by implementing a 'Privacy by Design' approach in our business activities. The policy can be found on the IQ Verify website; www.iqverify.org.uk

24 FEES

A formal quotation, which details the audit activities Initial / Stage One / Stage Two / surveillance / Re-certification fees, is supplied to the applicant.

Fees vary and are therefore available on request at info@iqverify.org.uk.

Payment is required in advance of the audit.

All applications will be subject to a credit check on your organisation.

Continuing assessments are approximate per annum and will be confirmed at time of assessment.



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Management System Certificate life span is three years. The third year audit will be a full recertification audit and will therefore require additional structure and pricing. Product certificates are valid, subject to the annual assessment being completed successfully.

We will inform the client of the number of days required for each activity and ongoing costs at contract proposal stage.

The applicant acknowledges acceptance of the quotation by signing the Contract Proposal. Fees are payable in advance at least 30 days prior to commencement of the assessment. Annual registration fees are invoiced prior to the anniversary date of the Stage 2 audit and should be paid in full prior to the audit. If the audit is not conducted by the required date, continued certification could be jeopardised.

Extra visits as a result of non-compliance, receipt of a complaint or notification of any changes will be chargeable at IQ Verify's standard fee at the time and are payable in advance of the visit

All fees for assessment and surveillance are agreed by the Director General Manager and are available on request.

Certificates of registration shall not be issued unless IQ Verify Ltd has received payment in full.

Certificates re-issued as a result of changes to a client's circumstances at the client's request, shall attract a nominal administration charge of £25.00.

25 LIABILITY

If in providing information or service neither IQ Verify nor any of its servants or agents warrants the accuracy of any audit, review or information supplied. Except as stated in this document IQ Verify nor any of its servants or agents shall not be liable for any loss, expense or damage howsoever sustained by any company, client or person due to any act whatsoever taken by IQ Verify or its servants or agents save to the extent that any attempted exclusion of liability would be contrary to law.

26 NON-DISCRIMINATORY CONDITIONS

The operation and administration of IQ Verify policies and procedures is non-discriminatory. Procedures are not used to impede or inhibit access by applicants, other than as provided for within the relevant standard being assessed against.

IQ Verify make its services accessible to all applicants whose activities fall within the scope of its operations.

Access to the certification process is not conditional upon the size of the client or membership of any association or group, nor shall certification conditional upon the number of certifications already issued. There are no undue financial or other conditions.



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IQ Verify can decline to accept an application or maintain a contract for certification from a client when fundamental or demonstrated reasons exist, such as the client participating in illegal activities, having a history of repeated non-compliances with certification/product requirements, or similar client-related issues.

IQ Verify confines its requirements, evaluation, review, decision and surveillance (if any) to those matters specifically related to the scope of certification.

27 INDEMNITY

The client will indemnify IQ Verify against any claims or losses suffered by IQ Verify as a result of misuse by the client of any approval or registration given to the client by IQ Verify under their rules of assessment.

28 CHANGES TO TERMS AND CONDITIONS

IQ Verify reserves the right to change these rules for registration herewith without prior notification as required by the Directors of IQ Verify. No such changes shall affect the right of any Registered Company to use the certification marks until it has been served with notice in writing of such changes by IQ Verify. IQ Verify will notify the Registered Company of the date by which it must comply with the altered Terms and Conditions via the IQ Verify website.

29 PUBLICLY AVAILABLE INFORMATION

IQ Verify maintains (through publications, electronic media or other means), and makes public (without request) on the website, which states the geographical areas in which IQ Verify operates and information about the following;

- a) audit processes;
- b) processes for granting, refusing, maintaining, renewing, suspending, restoring or withdrawing certification or expanding or reducing the scope of certification;
- c) types of management systems and certification schemes in which it operates;
- d) the use of the certification body's name and certification mark or logo;
- e) processes for handling requests for information, complaints and appeals;
- f) policy on impartiality.

IQ Verify provides upon request the following information:

- a) geographical areas in which we operates;
- b) the status of a given certification;
- c) the name, related normative document, scope and geographical location (city and country) for a specific certified client.

Certain sectors may not be included on the public register. All other information will remain confidential.

30 COMMUNICATION

E-mail shall be an accepted means of communication.