

IND-EXPO CERTIFICATION LIMITED
INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
TERMS AND CONDITIONS FOR CERTIFICATION

1 OBJECTIVE:

To ensure that the clients are in compliance with the terms and conditions framed herein so that there will be uniformity in the certification of systems.

2 SCOPE:

The rules and regulations given herein shall be applicable for the certification of GMP (SLS143:2022, SLS 956:2016) / HACCP(SLS1266:2011) /ISO 22000/ ISO 9001/ ISO 14001/ ISO 45001/ ISO 50001/ ISO 21001 systems.

CERTIFICATION PROCESS

- 2.1 Upon an enquiry by a client (verbal/written) the no. of employees, no. of sites is obtained and a quotation shall be sent to the client.
- 2.2 When preparing the quotation, the fee structure, determination of audit time document and the client's details shall be taken into consideration.
- 2.3 Then the client shall request for the application form.
- 2.4 Ind-Expo shall send the application form to the client.
- 2.5 Client shall send the duly filled application form to the Certification Body (CB).
- 2.6 CB shall conduct the application review and if satisfied request for client's management system documentation, if not satisfied shall request for more information.
- 2.7 A date for the Stage I audit shall be agreed with the client.
- 2.8 An audit plan shall be prepared by the CB and communicated to the client.
- 2.9 Stage I audit shall be conducted on-site as planned to check the preparedness of the client's management system for the Stage II audit and a report shall be submitted to the client at the Closing Meeting.
- 2.10 CB shall follow up. Once the client informs his/her readiness for the Stage II audit a date shall be arranged with the client.
- 2.11 Stage II audit plan shall be prepared by the CB and communicated to the client.
- 2.12 Stage II audit shall be conducted on-site as planned to determine the compliance of the client's management system with the relevant ISO standard requirements. Where there are deviations from the requirements, non-conformity reports shall be raised and agreed upon with the client. A report together with the non-conformities shall be tabled at the Closing Meeting. The corrective action plan shall be given to the client.

Doc. No. : IMSM/TCC/01

Issue No. : 11

Issue Date : 2016-12-20

Rev. No : 10

Revision Date : 2024-03-01

Reviewed and Approved by : Director

Issued by : Management Representative

IND-EXPO CERTIFICATION LIMITED
INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
TERMS AND CONDITIONS FOR CERTIFICATION

- 2.13 A maximum of two months period shall be given to the client to take corrective actions for the non-conformities raised at the audit and submit the duly completed corrective action plan, the duly completed non-conformity reports together with evidence for the corrective actions implemented.
- 2.14 If the certification body is not able to verify the implementation of corrections and corrective actions of any major nonconformity within 6 months after the last day of stage 2, the certification body shall conduct another stage 2 prior to recommending certification.
- 2.15 If more time is needed to complete corrective actions by the client, he/she shall make a request to the CB in writing. The CB shall consider the request on reasonable grounds and inform the client. CB shall follow up.
- 2.16 The team leader or audit team member shall close the non-conformities if the evidence submitted for the corrective actions implemented is satisfactory and recommend for certification. If found unsatisfactory appropriate actions shall be taken.
- 2.17 CB shall convene a meeting of the Certification Committee and table the relevant documents for approval. Once approved by the Certification Committee CB shall communicate the decision to the client.
- 2.18 CB shall prepare the certification agreement, certificate and inform the client to sign two original agreements. One agreement will be retaining with the CB whereas the other will be handed over to the client along with the certificate.

3 MAINTAINING OF CERTIFICATION

- 3.1 Certificate shall be valid for a period of three (03) years. However, this period can be change as per the decision of the management of the CB
- 3.2 Surveillance audits shall be conducted by the CB annually to ensure maintaining the Management system and recommend for continuation of the relevant management system certification.
- 3.3 In the event of any major nonconformity raised during the surveillance audit the auditee shall be given a period with the recommendation of Team leader (considering degree of the risk to Management system) (proximately two weeks) to take the necessary corrective actions and submit evidence. Team leader shall recommend a follow up audit to verify the corrective actions taken if required.
- 3.4 Information on incidents such as a serious accident, or a serious breach of regulation necessitating the involvement of the competent regulatory authority (Ref: 6.6), provided by the certified client or directly gathered by the audit team during the special audit, shall provide grounds for the Certification Body to decide on the actions to be taken, including a suspension

Doc. No. : IMSM/TCC/01

Issue No. : 11

Issue Date : 2016-12-20

Rev. No : 10

Revision Date : 2024-03-01

Reviewed and Approved by : Director

Issued by : Management Representative

IND-EXPO CERTIFICATION LIMITED
INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
TERMS AND CONDITIONS FOR CERTIFICATION

or withdrawal of the certification (Ref: 9). (In cases where it can be demonstrated that the system seriously failed to meet the OH&S certification requirements)

4 RECERTIFICATION

- 4.1 At the end of the certification cycle CB shall arrange for recertification of the Management System if the client intends to renew the certification.
- 4.2 Certification process needs to be followed. If there are any major changes the CB shall conduct both Stage I & Stage II audits if not one audit would suffice after the document review.

5 INFORMATION EXCHANGE BETWEEN CB & ITS CERTIFIED CLIENTS

- 5.1 Company shall ensure transparency and reliability of the information provided to the Certification Body (CB).
- 5.2 The Company shall ensure that all necessary arrangements are made before an audit, including provision for reviewing of documents, access to all processes and areas, records and personnel.
- 5.3 The audit team will comprise of the auditors including team leader, technical experts as necessary, observers (Observers can be trainee auditors, members of the client's organization, consultants, witnessing accreditation body personnel, regulators or other justified persons) taking into account the competence needed to achieve the objectives of the audit and requirements for impartiality.
- 5.4 Company shall agree to bear the cost of transport arrangements and accommodation (if needed) pertaining to the audit.
- 5.5 The Company shall inform the CB in writing of any changes related to the following:
 - a) Legal, commercial, organizational status or ownership,
 - b) Organization and management (Eg. key managerial, decision-making or technical staff),
 - c) Contact address and sites,
 - d) Scope of operations under the certified management systems, and
 - e) Major changes to the management system and processes
- 5.6 INDEXPO shall give its certified clients due notice of any changes to its requirements for certification. The CB shall verify that each certified company complies with the new requirements.
- 5.7 The certified client shall inform the Certification Body, without delay, of the occurrence of a serious incident or breach of regulation necessitating the involvement of the competent regulatory authority relevant to the situation(s) arise from such incident or breach.

IND-EXPO CERTIFICATION LIMITED
INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
TERMS AND CONDITIONS FOR CERTIFICATION

6 CONDITION FOR USE OF CERTIFICATION AND USE OF LOGO

- 6.1 The clients cannot use the certification documents, any statement or certification logo on sites or activities which is not included in the scope of the certificate or in any misleading manner.
- 6.2 Any statement regarding its certification which INDEXPO may consider misleading or unauthorized shall not be used and shall not use or permit the use of certification document or any part thereof in a misleading manner.
- 6.3 Certification is location specific. The certification claims shall be related only to the specific client location that is covered under the scope of certification and not with any other non-certified locations.
- 6.4 The “Certification Logo” shall only be used by the company and the “Certification Logo” shall be provided by the CB upon the award of the certificate on request.
- 6.5 The “Certification Logo” may be used on letter heads of the company, on advertisements and materials used for advertising and promotion of the company. If the scope of the certificate is reduced it is required to withdraw all advertising material and amend accordingly.
- 6.6 The client may use a statement on their products or packaging mentioning the certification status as below mentioned examples.
- “ISO 9001:2015 Certified Organization”
 - “ISO 14001:2015 Certified Organization”
 - “ISO 45001:2018 Certified Organization”
- 6.7 The clients are not permitted to the use of any statement on product packaging that the client has a certified FSMS. This includes all product packaging, both primary packaging (which contains the product) and any outer or secondary packaging (ISO/TS 22003:2022) from no later than 31.12.2024
- 6.8 The “Certification Logo” shall not be directly applied on the company’s product and its packaging or be associated with the company’s product in such a way as to imply that the product itself is certified by IND-EXPO.
- 6.9 The company shall discontinue the use of the “Certification Logo” immediately upon expiry or termination of the certificate, or for whatever reason(s) as decided by IND-EXPO.
- 6.10 The certification logo or any other statement related to certification shall not applied to laboratory test report, calibration report or inspection reports.
- 6.11 Electronic reproduction or redrawn approximation of the logo shall not be allowed.

Doc. No. : IMSM/TCC/01

Issue No. : 11

Issue Date : 2016-12-20

Rev. No : 10

Revision Date : 2024-03-01

Reviewed and Approved by : Director

Issued by : Management Representative

IND-EXPO CERTIFICATION LIMITED
INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
TERMS AND CONDITIONS FOR CERTIFICATION

6.12 Color coordinates of the logo for each management system shall be provided to certified company on request.

6.13 Use of Accreditation Logo

The companies, who have been certified with accreditation, can use the both logos (ie; certification logo and accreditation logo) in accordance with below guidelines under the control and supervision of the accredited certification body.

- Certified organizations are entitled to use SLAB symbol only for the activities that fall within the scope of accreditation and only in the documents related to accredited location.
- The format of the SLAB symbol should not be changed.
- The SLAB symbol shall be legible and displayed only in the appropriate font and size and it shall not be distorted.
- Either the logo should be in black or it should be in the colours similar to the colours of the logo given by CB.
- The SLAB symbol shall not be displayed on business cards.
- Color coordinates of the accreditation logo for each management system shall be provided to certified company on request.

6.14 Use of IAF logo

Client shall not use IAF logo in any promotional material, stationary, business cards, websites or any other materials.

7.14 Company shall not use its certification in such manner that would bring the certification body and/ or certification system into disrepute and loose public trust

7 VALIDITY OF THE CERTIFICATE

7.1 The certificate awarded shall be valid for a period as specified in the certificate.

7.2 Validity of the certificate will be generally three (03) years however this may vary according to the decision of Director/CEO

8 WITHDRAWAL OR SUSPENSION

8.1 The certificate may be withdrawn or suspended by IND-EXPO at any time, if any of the following conditions as stipulated are violated.

- a) The company fails to maintain an effective management system in compliance with the requirements of the relevant standard;
- b) The company uses the “certification mark” without approval from IND-EXPO;
- c) The company fails to provide reasonable facilities to the auditors of IND-EXPO to inspect the factory and other premises;

Doc. No. : IMSM/TCC/01

Issue No. : 11

Issue Date : 2016-12-20

Rev. No : 10

Revision Date : 2024-03-01

Reviewed and Approved by : Director

Issued by : Management Representative

IND-EXPO CERTIFICATION LIMITED
INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
TERMS AND CONDITIONS FOR CERTIFICATION

- d) The company fails to comply with or is in breach of any of the terms and conditions of the Management System Scheme;
 - e) The company fails to pay IND-EXPO the applicable fees within the stipulated time period.
 - f) If the surveillance or recertification audit shows non-compliance with the requirements which is of such a nature that immediate withdrawal is necessary.
 - g) If company fails to continue the certification at the surveillance, upon request from the company, CB will grant a 2 weeks grace period. Exceeding this period would cause to suspend the certificate for 3 months.
- 8.2 At any time during the validity period of the certificate, if the company wishes to withdraw from the scheme the company may inform IND-EXPO in writing of their intention.
- 8.3 The company shall immediately return the certificate to the CB on agreement of the withdrawal decision taken.
- 8.4 Upon withdrawal of certification, client shall discontinue its use of all advertising matter that contains a reference to certification.
- 8.5 The certificate shall remain the property of IND-EXPO and must be returned to IND-EXPO upon termination or expiry of the certification.
- 8.6 IND-EXPO reserves the right to renew or refuse to grant renewal of the certificate.
- 8.7 Client has the option to appeal against the suspension within fourteen (14) days from the date of notification.

9 REDUCING THE SCOPE OF CERTIFICATION

- 9.1 CB shall reduce the client's scope of certification to exclude the parts which are repeatedly failing to meet the requirements of the relevant management system.
- 9.2 Upon request CB shall reveal the status of the certification of a management system as being reduced.
- 9.3 A new certificate shall be issued by the CB.

10 SPECIAL AUDITS

10.1 EXTENDING THE SCOPE OF CERTIFICATION

- 10.1.1 If the client wishes to extend the scope of certification he/she shall make a request with the relevant documentation pertaining to the extended scope to the CB.
- 10.1.2 CB shall conduct an audit on the extended scope at a subsequent surveillance or conduct a special audit depending on the urgency of the client.

Doc. No. : IMSM/TCC/01

Issue No. : 11

Issue Date : 2016-12-20

Rev. No : 10

Revision Date : 2024-03-01

Reviewed and Approved by : Director

Issued by : Management Representative

IND-EXPO CERTIFICATION LIMITED
INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
TERMS AND CONDITIONS FOR CERTIFICATION

10.1.3 Steps 3.13 to 3.18 shall be followed by the CB.

10.1.4 A new certificate shall be issued by the CB.

10.2 SHORT – NOTICE AUDIT

10.2.1 Certification body to conduct audits of certified clients at short notice or unannounced to investigate complaints or in response to changes or as follow up on suspended clients.

11 APPEALS

11.1 In the event of the company wishing to make an appeal against any decision of IND-EXPO,

11.2 Company shall officially inform the decision to the Director, IND-EXPO in writing.

11.3 IND-EXPO shall send the prescribed form for making the appeal (QP-10-F-01) to the company.

11.4 The duly completed form shall be submitted to IND-EXPO.

11.5 The decision of IND-EXPO shall stand, pending any further considerations by the Appeals Committee of IND-EXPO. The appeal procedure published in the CB's website (ww.indexpo.lk) shall be followed by IND-EXPO.

11.6 The decision of the Appeals Committee shall be final.

12 CONFIDENTIALITY

12.1 All information and documents supplied by the company under the scheme shall be kept confidential.

12.2 However, the company shall agree to the CB providing necessary confidential information of the company and to other bodies such as The Accreditation Body and Peer Assessment Scheme for official purposes.

12.3 IND-EXPO ensures that the confidential information required by law or contractual arrangement is informed to the client prior to releasing it unless it is prohibited by law.

12.4 Information about the client from sources other than the client (e.g. complainants, regulators) shall be treated as confidential.

IND-EXPO CERTIFICATION LIMITED
INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
TERMS AND CONDITIONS FOR CERTIFICATION

12.5 Personnel, including any committee members, contractors, personnel of external bodies or individuals acting on CB's behalf, shall keep all information obtained or created during the performance of the CB's activities as confidential (IMSM-GR-AG-01) except as required by law.

13 LIABILITY

13.1 IND-EXPO shall not be liable to the company for any expenses, loss or damages suffered by the company and caused by the company's participation in the scheme or as a result of the assessment of the company's management system by IND-EXPO or its representatives.

14 INDEMNITY

14.1 The company shall agree and indemnify IND-EXPO against all losses and expenses suffered by IND-EXPO including but not limited to all claims by any third party against the CB.

15 TAXES

15.1 The company shall agree to indemnify and pay IND-EXPO for all taxes, levies, and duties including, but not limited to value added tax (VAT) or withholding tax which IND-EXPO may be liable to pay as a result of providing the services to the company herewith.

16 GOVERNING LAW

16.1 These terms and conditions shall be governed by and construed in accordance with the laws of the Democratic Socialist Republic of Sri Lanka.

17 CHANGES IN THE TERMS AND CONDITIONS

17.1 If any major changes are made to the terms and conditions governing the Management Systems Certification Scheme, all certified companies shall be informed in writing by the management of IND-EXPO.

18 CUSTOMER COMPLAINTS

18.1 The customer complaint procedure has been published in the CB's website (ww.indexpo.lk) which shall be followed by IND-EXPO. Ref: Customer complaint form (QP-10-F-01)
