KALOS
CERTIFICATIONS

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Kalos Procedure-01
Operations Manual: Part B

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1. Risk Management

KALOS CERTIFICATIONS	KALOS MANAGEMENT	INTERESTED PARTIES

Risk identified related to providing certification services

1. Evaluate risk (likelihood, severity, current mitigation methods)

Topics include, but are not limited to: Threats to impartiality, Financial, Process Outputs, Provision of Service, Other threats that do not prevent certification

Risk accepted, no record necessary. ←No— 2. Impact to business

Yes

3. Log on PFMEA Risk Register.

4. Determine a mitigation plan. Consult interested parties as necessary.

5. Implement the mitigation plan.

6. Notify interested parties, as necessary.

7. Evaluate the residual risk and effectiveness of the actions taken.

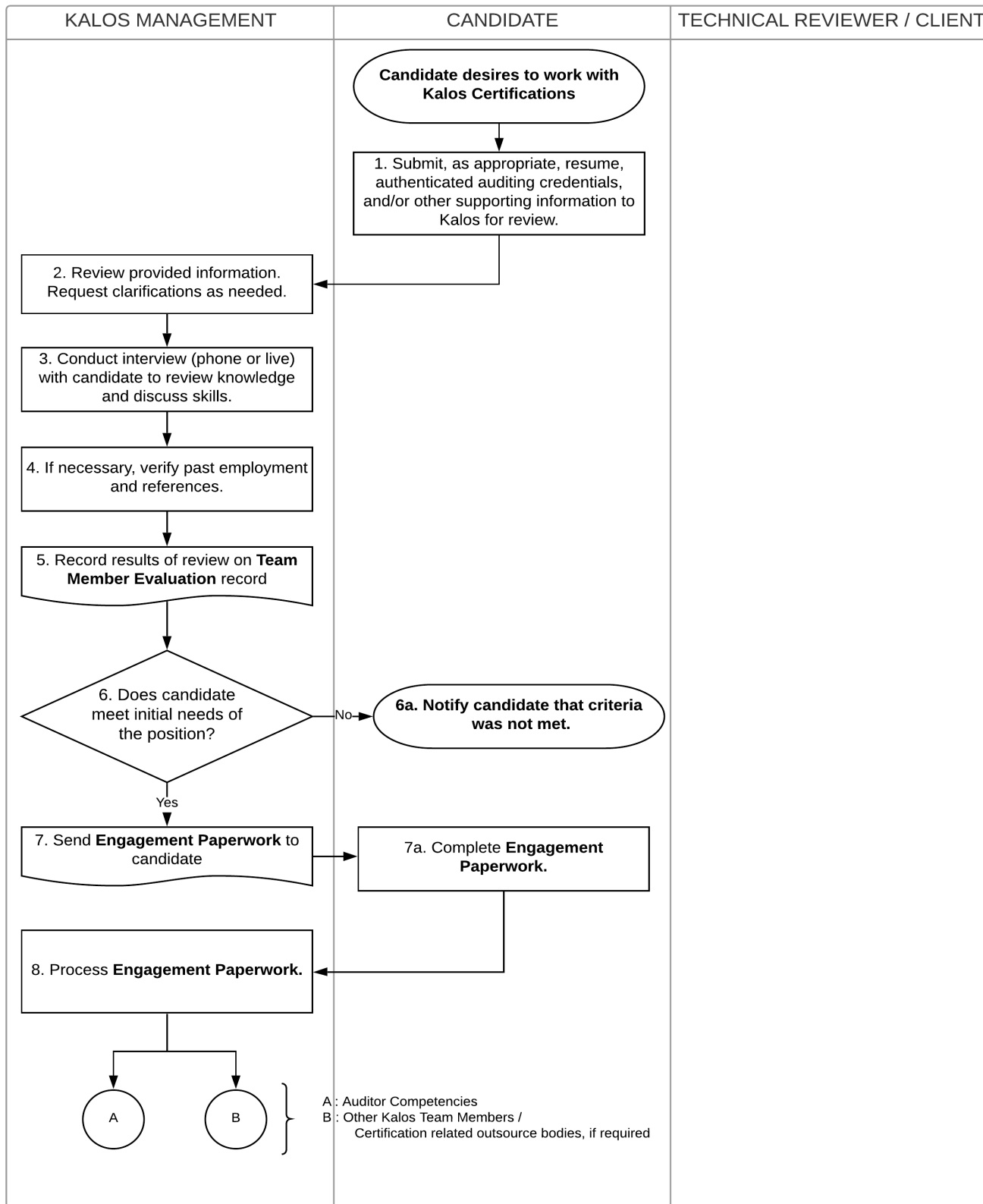**Risk mitigated or managed. Results reported to management review.**

1.1 Kalos' management maintains an PFMEA style risk register (FM-01-06 Risk Management) to retain information about operational risks related to providing certification services. This documents the risk, related process/activity, mitigation actions, and risk priority number.

1.2 Risks are added and evaluated as they are identified and the risk register is reviewed, at a minimum, for effectiveness during Management Review (**FM-01-09 Management Review Meeting Minutes**).

1.3 When a relationship poses an unacceptable threat to impartiality or risk, then certification shall not be provided.
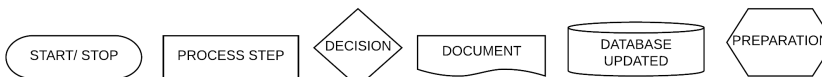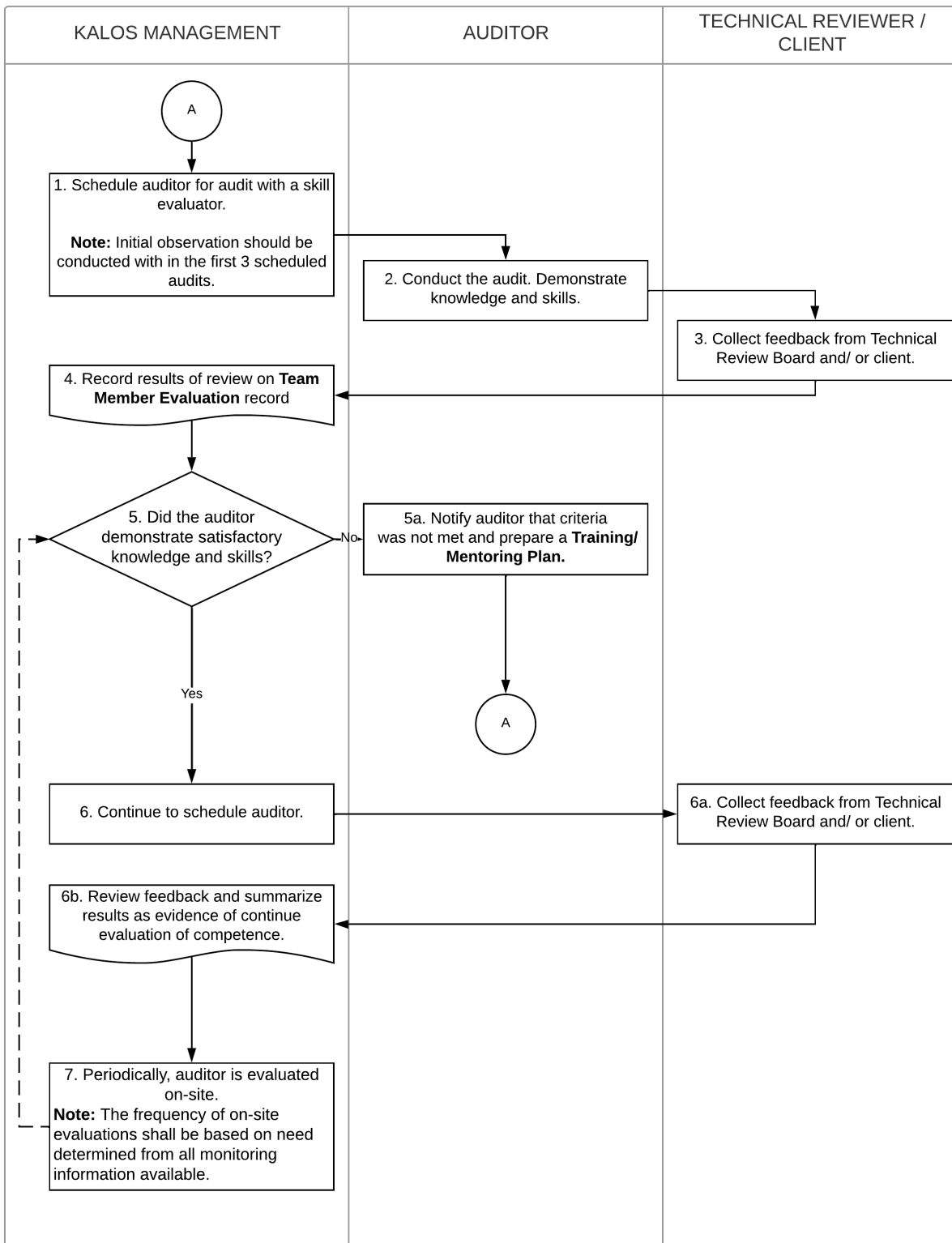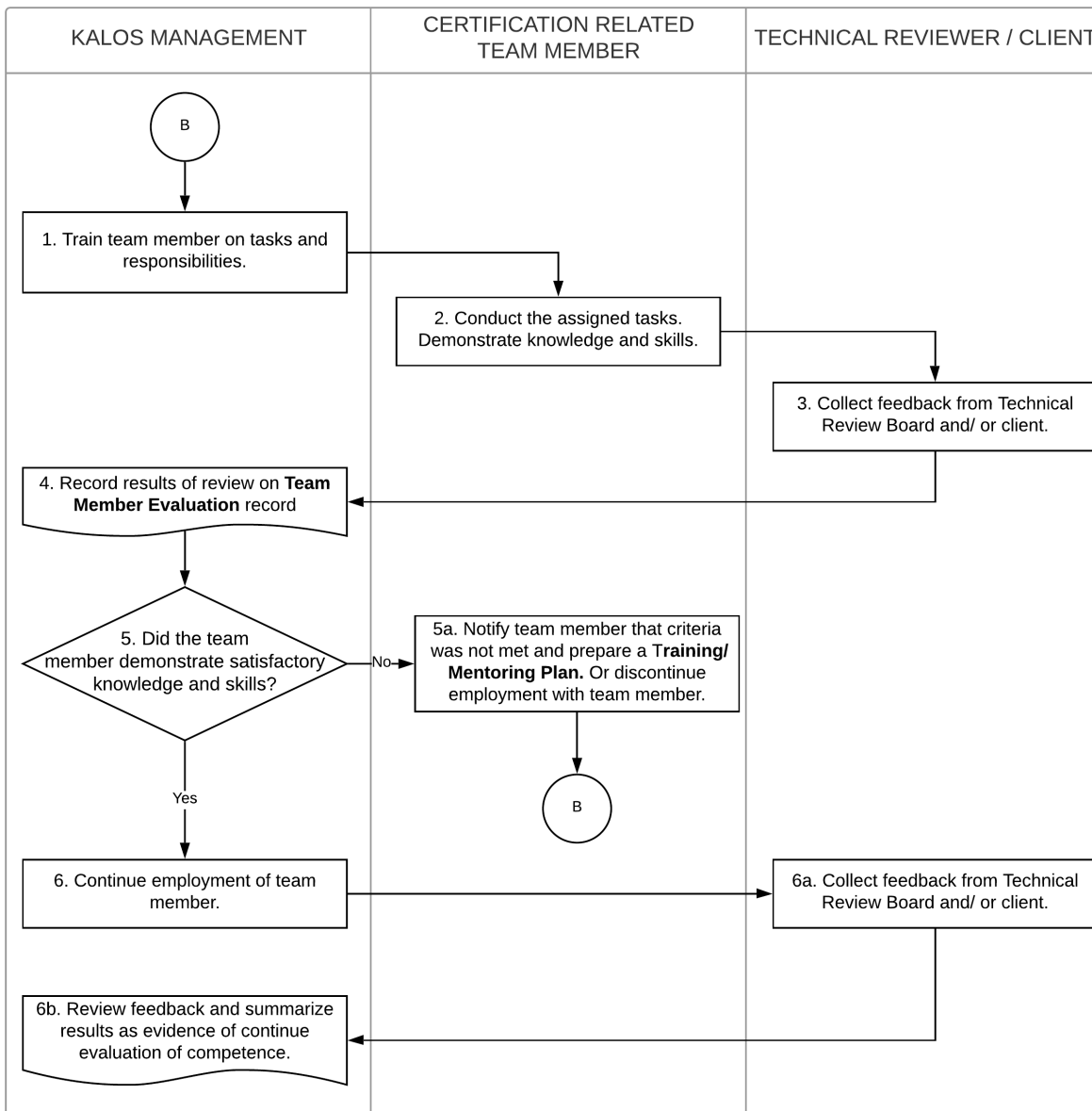
LEGEND: START/ STOP   PROCESS STEP   DECISION   DOCUMENT   DATABASE UPDATED   PREPARATION

2. Management of Competencies

KALOS MANAGEMENT	CANDIDATE	TECHNICAL REVIEWER / CLIENT

Candidate desires to work with Kalos Certifications

1. Submit, as appropriate, resume, authenticated auditing credentials, and/or other supporting information to Kalos for review.

2. Review provided information. Request clarifications as needed.

3. Conduct interview (phone or live) with candidate to review knowledge and discuss skills.

4. If necessary, verify past employment and references.

5. Record results of review on **Team Member Evaluation** record

6. Does candidate meet initial needs of the position? — No → **6a. Notify candidate that criteria was not met.**

Yes

7. Send **Engagement Paperwork** to candidate → 7a. Complete **Engagement Paperwork.**

8. Process **Engagement Paperwork.**

A → A
B → B

A : Auditor Competencies
B : Other Kalos Team Members /
     Certification related outsource bodies, if required

LEGEND: START/ STOP   PROCESS STEP   DECISION   DOCUMENT   DATABASE UPDATED   PREPARATION

KALOS MANAGEMENT	AUDITOR	TECHNICAL REVIEWER / CLIENT

(A)

1. Schedule auditor for audit with a skill evaluator.

Note: Initial observation should be conducted with in the first 3 scheduled audits.

2. Conduct the audit. Demonstrate knowledge and skills.

3. Collect feedback from Technical Review Board and/ or client.

4. Record results of review on **Team Member Evaluation** record

5. Did the auditor demonstrate satisfactory knowledge and skills? — No →

5a. Notify auditor that criteria was not met and prepare a **Training/ Mentoring Plan.**

(A)

Yes

6. Continue to schedule auditor. →

6a. Collect feedback from Technical Review Board and/ or client.

6b. Review feedback and summarize results as evidence of continue evaluation of competence.

7. Periodically, auditor is evaluated on-site.
Note: The frequency of on-site evaluations shall be based on need determined from all monitoring information available.

2.1 As appropriate, Kalos shares auditor performance information with the responsible auditor authentication body (AAB) when there are issues with competency, witness assessments, or other substantiated misconduct.

2.2 Kalos uses AQMS auditors listed in OASIS who are both competent and authenticated in accordance with requirements for AS9100/AS9120 audits.

LEGEND: (START/ STOP) (PROCESS STEP) ◇ DECISION ◇ ⬡ DOCUMENT ⬡ ⬢ DATABASE UPDATED ⬢ ⬡ PREPARATION ⬡

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│  KALOS MANAGEMENT   │ CERTIFICATION       │ TECHNICAL REVIEWER  │
│                     │ RELATED TEAM MEMBER │ / CLIENT            │
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(B)

1. Train team member on tasks and responsibilities.

2. Conduct the assigned tasks. Demonstrate knowledge and skills.

3. Collect feedback from Technical Review Board and/ or client.

4. Record results of review on **Team Member Evaluation** record

5. Did the team member demonstrate satisfactory knowledge and skills?

5a. Notify team member that criteria was not met and prepare a T**raining/ Mentoring Plan.** Or discontinue employment with team member.

(B)

Yes

No

6. Continue employment of team member.

6a. Collect feedback from Technical Review Board and/ or client.

6b. Review feedback and summarize results as evidence of continue evaluation of competence.

2.3 Criteria for competence are documented on the FM-01-03 Competency Matrix.

2.4 At least annually, auditors and office team member feedback are summarized into a performance review.

2.5 *Kalos team members involved in the ICOP scheme, according to their role, have demonstrated current knowledge and understanding of the following:*

- *The ICOP scheme (i.e., organization, scope, purpose, processes) and OASIS database functionality;*
- *The application of the AQMS standards;*
- *The requirements of this standard.*

2.6 *Kalos team members involved in the technical review and certification decision process shall have demonstrated knowledge of the following:*

- *AQMS standards for the AQMS accreditations held;*
- *ICOP scheme standards and requirements, including any applicable resolutions; and*
- *ASD industry and the regulatory/statutory requirements of sufficient depth to be able to understand the sector specific terminology, processes, practices, and products.*
  NOTE: Reference 9104/3 for definition of industry knowledge.

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3. Control of documents

KALOS MANAGEMENT	KALOS TEAM MEMBER	INTERESTED PARTY

Need for creation or revision to a Kalos operations document

1. Create or revise a draft of the document needed. Ensure the draft follows the appropriate format and numbering scheme

2. Submit draft to Kalos President for review and approval.

Review should consider need for: Format, Title/ Identification, Revision, Requirements of normative documents, etc.

3. Approved?

No → 3a. Notify author of recommended edits or that document is not adequate for use.

Yes

4. Make final edits, update the document revision/ change history.

5. Archive previous revisions of the document, update website/ auditor portal as necessary.

6. Notify interested parties of relevant changes (e.g. training, head's up notice,

Interested parties notified of change, obsolete versions recalled from places of use, new document released

3.1 Where feasible, process maps with swim lanes are used to communicate process inputs, activities, and expected outputs. In addition to legends included at the bottom of the page, Figure 2 shows a guide for reading the process maps.

3.2 Documents considered "logs" are working documents and may have their content updated continually. If the structure of the log needs to change, the document approval flow will be followed.

3.3 Documents of external original needed for operations at Kalos are identified and their distribution is controlled.

3.4 *The ICOP resolutions logs and associated documents are obtained, reviewed and changes implemented. Heads Up notices may be used to communicate the changes to certified clients.*

3.5 Master copies of documents are maintained electronically.

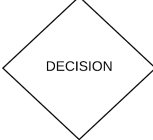**LEGEND:** START/ STOP | PROCESS STEP | DECISION | DOCUMENT | DATABASE UPDATED | PREPARATION

Figure 1: Document Levels
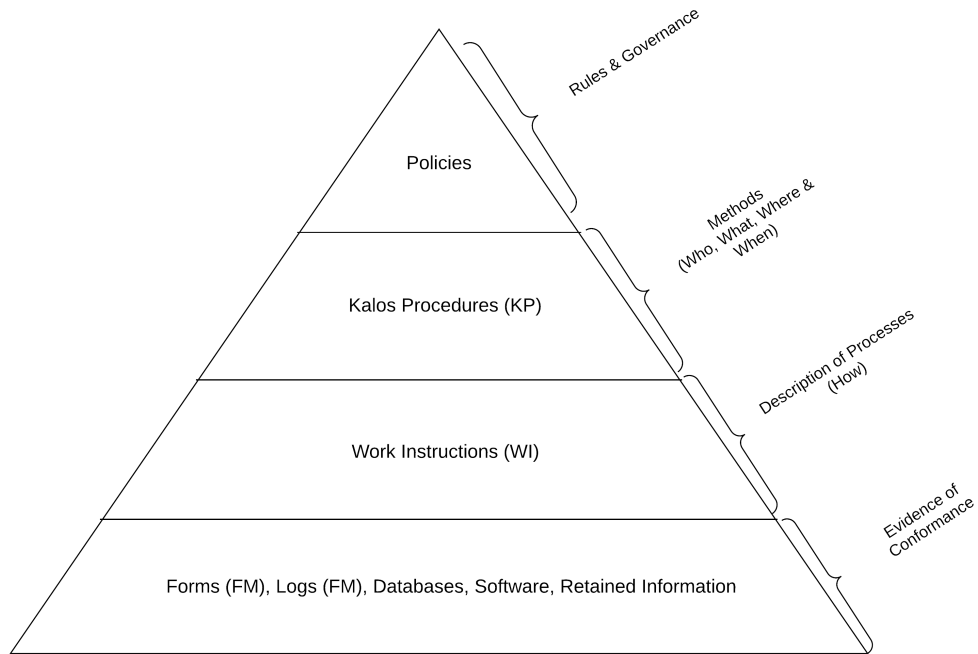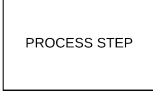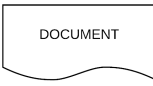
Figure 2: Guide for reading process maps

4. **Control of Records[1]**

   4.1 Kalos uses Microsoft 365 for all data storage. As a service, Microsoft 365, contains many administration portals, options, and configuration settings focused solely on Security. Each service is protected predominantly by Azure Active Directory for Authentication, with each application authorizing users to access the app content that resides within. Our records are backed up daily.

   4.2 In the event physical records are retained, locked filing cabinets are used.

   4.3 In the event of a crash or accidental deletion of a record, Kalos President is able to retrieve up to 30 days of history.

   4.4 Kalos President administratively assigns access to records and ability to delete records based on functional role in the organization. This access is periodically audited and revised, as needed.

   4.5 Records are retained in accordance with the following table unless otherwise stated in regulatory or contractual obligations.

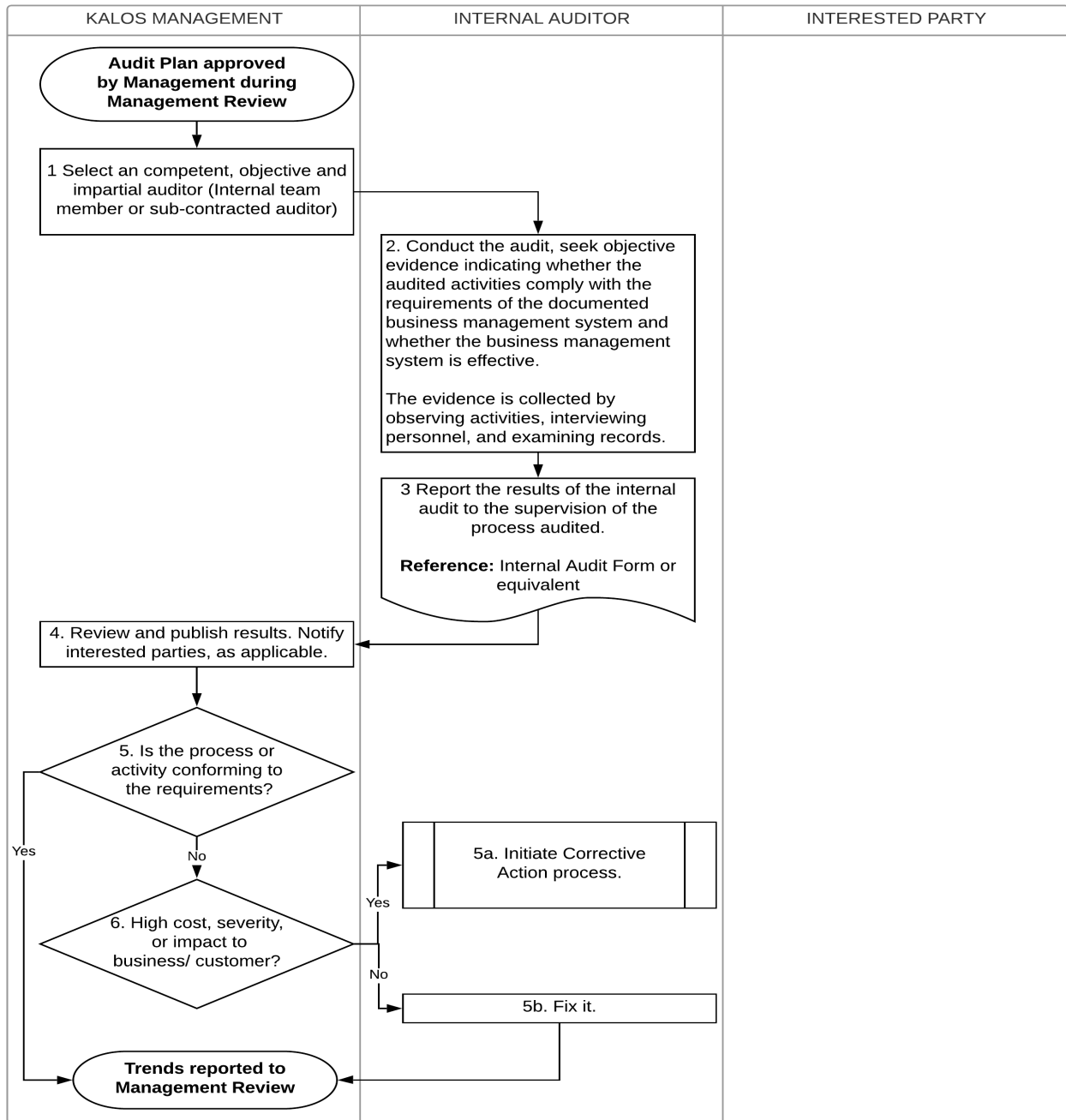| Record Type	Retention[2]	Disposal Method
Client Record	10 years	Delete or Shred
Financial Record	7 years	Delete or Shred
Operations Record	10 years	Delete or Shred
Personnel Record	10 years	Delete or Shred

   NOTE 1: Control of Documents and Records may also be referred to as Control of Documented Information
   NOTE 2: Retention indicated is a minimum. Electronic records may be saved longer by virtue of process.

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KP-01
Operations Manual: Part B

KALOS
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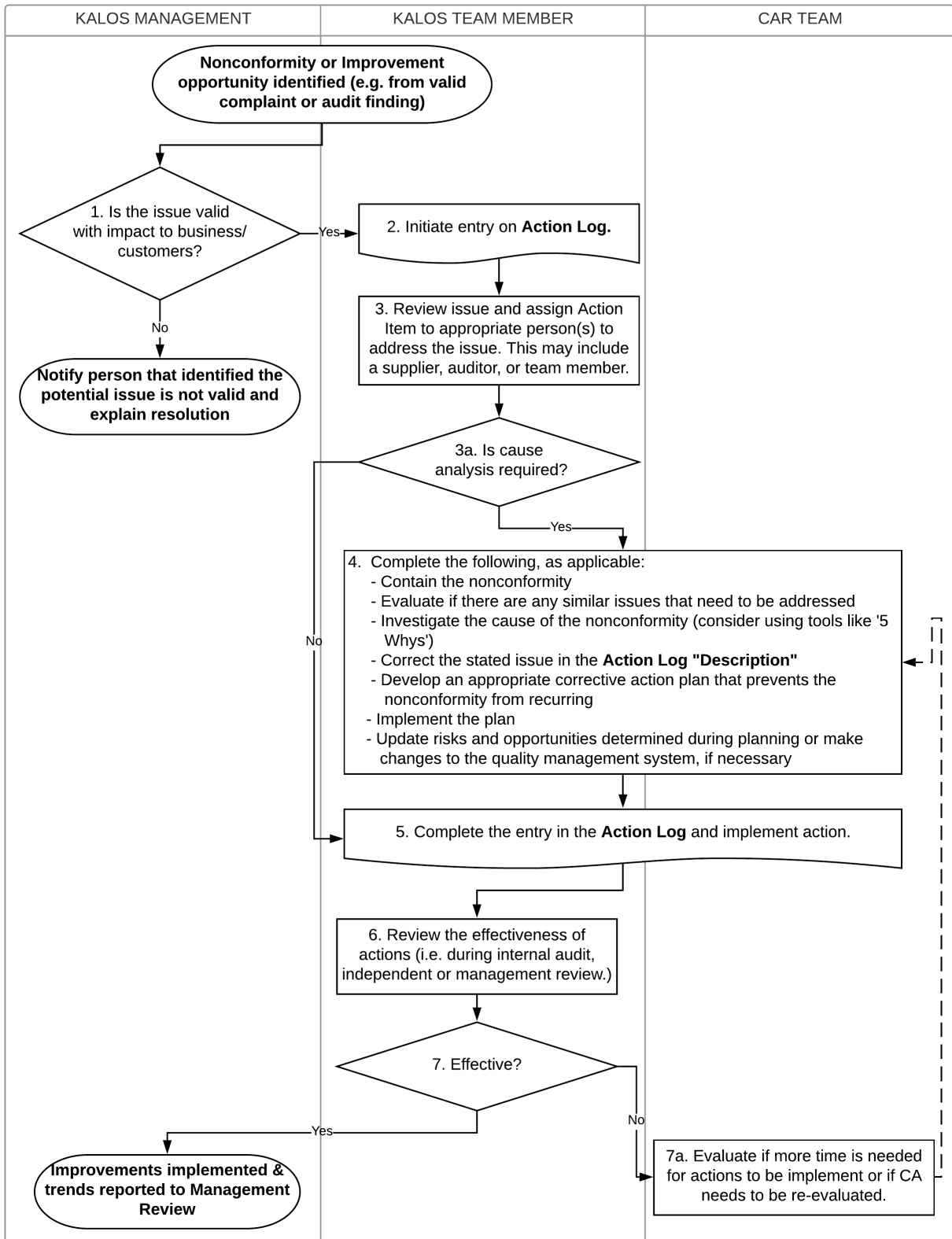
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5.   Internal Auditing

5.1 Kalos ensures that:

- if Kalos chooses an internal auditor outside the contracted auditor pool, formal engagement paperwork is not required.
- internal audits are conducted by competent personnel knowledgeable in certification and auditing;
- auditors do not audit their own work;
- personnel responsible for the area audited are informed of the outcome of the audit;
- any actions resulting from internal audits are taken in a timely and appropriate manner;
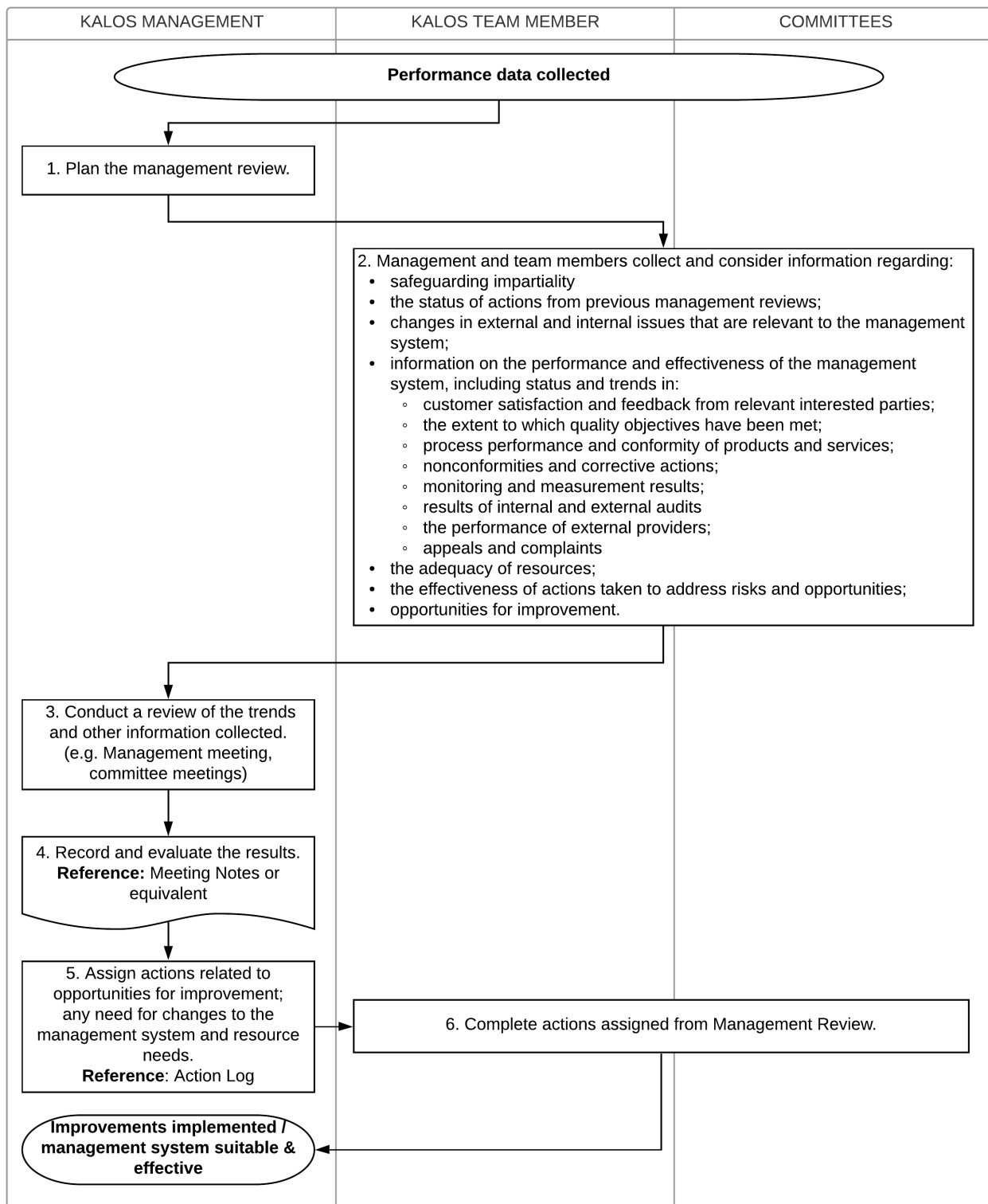- any opportunities for improvement are identified.

LEGEND: START/ STOP   PROCESS STEP   DECISION   DOCUMENT   DATABASE UPDATED   PREPARATION

6. Internal Corrective Actions & Improvements

KALOS MANAGEMENT	KALOS TEAM MEMBER	CAR TEAM

Nonconformity or Improvement opportunity identified (e.g. from valid complaint or audit finding)

1. Is the issue valid with impact to business/customers? — Yes

No

Notify person that identified the potential issue is not valid and explain resolution

2. Initiate entry on **Action Log.**

3. Review issue and assign Action Item to appropriate person(s) to address the issue. This may include a supplier, auditor, or team member.

3a. Is cause analysis required? — Yes

No

4. Complete the following, as applicable:
   - Contain the nonconformity
   - Evaluate if there are any similar issues that need to be addressed
   - Investigate the cause of the nonconformity (consider using tools like '5 Whys')
   - Correct the stated issue in the **Action Log "Description"**
   - Develop an appropriate corrective action plan that prevents the nonconformity from recurring
   - Implement the plan
   - Update risks and opportunities determined during planning or make changes to the quality management system, if necessary

5. Complete the entry in the **Action Log** and implement action.

6. Review the effectiveness of actions (i.e. during internal audit, independent or management review.)

7. Effective? — Yes / No

Improvements implemented & trends reported to Management Review

7a. Evaluate if more time is needed for actions to be implement or if CA needs to be re-evaluated.

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7. Management Review

KALOS MANAGEMENT	KALOS TEAM MEMBER	COMMITTEES

Performance data collected

1. Plan the management review.

2. Management and team members collect and consider information regarding:
   - safeguarding impartiality
   - the status of actions from previous management reviews;
   - changes in external and internal issues that are relevant to the management system;
   - information on the performance and effectiveness of the management system, including status and trends in:
     ◦ customer satisfaction and feedback from relevant interested parties;
     ◦ the extent to which quality objectives have been met;
     ◦ process performance and conformity of products and services;
     ◦ nonconformities and corrective actions;
     ◦ monitoring and measurement results;
     ◦ results of internal and external audits
     ◦ the performance of external providers;
     ◦ appeals and complaints
   - the adequacy of resources;
   - the effectiveness of actions taken to address risks and opportunities;
   - opportunities for improvement.

3. Conduct a review of the trends and other information collected. (e.g. Management meeting, committee meetings)

4. Record and evaluate the results. **Reference:** Meeting Notes or equivalent

5. Assign actions related to opportunities for improvement; any need for changes to the management system and resource needs. **Reference**: Action Log

6. Complete actions assigned from Management Review.

Improvements implemented / management system suitable & effective

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Revision History	Approved By	Date
DRAFT	Michaela Scarla	12/22/2018
RELEASE	Michaela Scarla	1/19/2019

Revised per ANAB Document Review comments listed in FA-5000 and CL-5313.
Section 1.2 –
• Maintaining this scope of service prohibits the following: Providing management consultancy ~~to our certified clients.~~
Section 3.2-
• Added "Kalos provides awareness training and requires all certification personnel to disclose conflicts of interest and act impartially."
• Added "Where a client has received management systems consultancy from a body that has a relationship with Kalos Certifications, then Kalos shall not certify the management system for a minimum of two years following the end of the consultancy."
• Revised to "Kalos Schedulers are aware of the threats to impartiality and assign auditors, other accompanying persons, and technical reviewers appropriately."
• Revised to "Kalos **FM-01-04 Auditor Engagement Agreement, FM-01-15 Board Member Engagement Agreement,** and **FM-01-16 Observer Agreement** includes impartiality and conflict of interest clauses."
Section 4.2 –
Their key responsibility is to review the audit package, ensure reports comply to applicable requirements including Kalos Procedures, ISO 17021-1, Mandatory Documents, ANAB accreditation rules. Based on the review TRB makes a certification recommendation.
    Kalos President assigns competent team members that employed or under contract with Kalos (auditor or board member) to the Technical Review Board.
    Rules for Assignment:
        Must have lead auditing experience.
        Must understand standard and certification requirements and have demonstrated competence to evaluate the outcomes of audit processes.
        Must be knowledgeable of Kalos Procedures, ISO 17021-1, Mandatory Documents, ANAB accreditation rules.
        Must not make decisions for client where the Technical Reviewer was a participant of the audit or provided management consultancy with in the past two years.
Section 9-
• Process Map A revised to include step 7 "Periodically, auditor is evaluated on-site. Note 1: Kalos may assign a skill evaluator to witness the auditor or as team member on the audit. Note 2: The frequency of on-site evaluations shall be based on need determined from all monitoring information available."
• Process Map B revise functional role from "Office Team Member" to "Certification Related Team Member".
Section 12-
• Operations records retention period increased to 5 years to align with accreditation cycle.
• Added Personnel Record; 3 years after end of contract; Delete or Shred
	Michaela Scarla	3/2/2019

Spilt Operations Manual in to Part A (Client facing) and Part B (Internal facing).	Michaela Scarla	5/3/2019
Revised per internal audit findings listed in Action Log. Section 1 – Risk Management • Added "Other threats that do not prevent certification" to the process map notes. Section 2 – Management of Competency • Clarified "A" and "B" on first process map. Section 5 – Internal Audit • Added "If Kalos chooses an internal auditor outside the contracted auditor pool, formal engagement paperwork is not required." Section 6 – Improvement & CA • Update flowchart "Nonconformity or Improvement opportunity identified (e.g. from valid complaint or audit finding)" • Update flowchart "3. Review issue and assign Action Item to appropriate person(s) to address the issue. This may include a supplier, auditor, or team member." (removed "client") Section 7 – Management Review • Removed "annually"	Michaela Scarla	7/15/2019
Revised per 2019 ANAB Audit and 2020 Internal Audit Section 2 – Updated process map (Action Log KA-2020-51) Section 4 – Added " NOTE 2: Retention indicated is a minimum. Electronic records may be saved longer be virtue of process." (Action Log # KA-2019-33)	Michaela Scarla	3/10/2020
*Revised per **AS9104 and AS9101** requirements.* o Added **bold, italics** for AS9101/ AS9104 gaps • Minor corrections to spelling, grammar, numbering of process maps.	Michaela Scarla	9/14/2020
Revised per ANAB Document Review and Board Review	Michaela Scarla	11/10/2020
Revised per ANAB Office Audit OFI's: • Section 2 Process Map A Step 1 added "Note: Initial observation should be conducted with in the first 3 scheduled audits."	Michaela Scarla	3/30/2021
Revised per ANAB Office Audit Finding: • Section 2, Map A, Step 1 and Step 7 updated to remove statements that allowed witness audits as a team member.	Michaela Scarla	4/1/2022
Revised per FA 5024 AS9120 Application review: • Add "AS9120" to references	Michaela Scarla	4/27/2022
Revised per Transition from Dropbox to SharePoint: • Revise Section 4.1 "Kalos uses Microsoft 365 for all data storage. As a service, Microsoft 365, contains many administration portals, options, and configuration settings focused solely on Security. Each service is protected predominantly by Azure Active Directory for Authentication, with each application authorizing users to access the app content that resides within." *Revised per AS9104/1:2022 Transition:* • Revise section 2.1, 2.5, 2.6, 4.5 to support changed language in AS9104/1.	Michaela Scarla	10/3/2022

LEGEND: (START/ STOP) [PROCESS STEP] ◇ DECISION ◇ ▭ DOCUMENT ▭ ⬭ DATABASE UPDATED ⬭ ⬡ PREPARATION ⬡