



KALOS

CERTIFICATIONS

22601 N. 17th Ave, Suite 120
Phoenix AZ, 85027

Phone: (480) 486-8007

Email: info@kaloscertifications.com

Website: www.kaloscertifications.com

Kalos Procedure-04

Client Bill of Rights & Responsibilities

Third-party accredited certification is a professional relationship between a client being certified, the certification body (CB), the CB's auditors, the accreditation body (AB), and the AB's assessors. In the United States, the recognized AB for management systems certification is the ANSI-ASQ National Accreditation Board (ANAB), a signatory of the International Accreditation Forum multilateral recognition arrangements for quality and environmental management systems.

These parties all contribute to the integrity of accredited certification and continual improvement based on processes that assure capability, competence, and impartiality. From time to time, a certified client may be dissatisfied with the services of a CB or CB auditor. Options include leaving one CB for another. However, continual improvement also applies to CBs and CB auditors. Therefore, certified clients are encouraged to provide feedback to ANAB whenever they sense inadequacy with their CB. Thus, herewith is the Client Bill of Rights and Responsibilities.

The client has a Right to expect:

1. That the audit team assigned to the audit has the collective competence with regard to the processes or services that the client lists in its scope of certification.
2. The audit team to perform a thorough audit of the processes that support the management system, and to collect through interviews of personnel, observation, and review of documents the objective evidence necessary to determine conformance or nonconformance to the requirements of the relevant standard(s).
3. That no auditor will consult with or provide solutions to the client.
4. To be made aware that disagreements with an auditor's "interpretation" in documented findings related to the applicable standard(s) may be disputed and/or appealed to the CB through a formal process. If this process is not resolved to the satisfaction of the client, the appeal may be elevated to ANAB as a complaint for further consideration.
5. The auditor or CB to recommend more frequent surveillance visits when routine scheduled surveillance identifies numerous findings indicating the client is not self-managing its management system processes adequately.
6. The auditor or CB to add additional audit time to the next surveillance or recertification audit if findings require verification of implementation and effectiveness to ensure there is no reduction to the required audit duration times.
7. To receive its certificate in a timely manner after successful audit finding resolution, review, acceptance, and closure.

Furthermore, the client has a Responsibility:

1. To respond to audit findings in a timely manner and sincerely seek to implement immediate correction, discover the root cause that leads to effective corrective action and can also result in preventive action, and thus encourage true continual improvement.
2. To notify ANAB through the ANAB complaint process when they replace their CB with another because of dissatisfaction.

ISO/IEC 17021, the International Standard that applies to management systems CBs, includes a principle on Responsibility (clause 4.4), which states:

1. *The client organization, not the certification body, has the responsibility for conformity with the requirements for certification.*
2. *The certification body has the responsibility to assess sufficient objective evidence upon which to base a certification decision.*
3. Based on audit conclusions, it 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.
4. When all the parties involved understand and execute their responsibilities, accredited certification achieves its purpose of providing confidence that a management system fulfills specified requirements.

Requirements for AS9100/AS9120 Certified Organizations

ICOP certified organizations shall comply with the duties, responsibilities, and requirements of the ICOP scheme as defined in the 9104-series standards AQMS processes.

AS9104/1: 2022 Section 9. Requirements For Certified Aerospace Quality Management System Organizations

- **An issue or nonconformance that may affect the integrity of the certification may be cause for application cancellation, or certificate suspension or withdrawal.**
- **AQMS certified organizations, that have their AQMS standard certification suspended, shall provide notification to their ASD customers within 15 days of suspension.**
 - **NOTE: Organizations should also provide notification when their certification is withdrawn.**
- **AQMS certified organizations shall support ICOP scheme oversight activities to confirm the effectiveness of the CB audit process (reference 9104/2).**
- **AQMS certified organizations shall allow CBs to publish public data (e.g., information on the AQMS certification and its status) and non-public data (e.g., audit results, assessment results, nonconformities, corrective action, scoring) in the OASIS database.**
- **AQMS certified organizations shall identify when there is a need to omit information that is proprietary or subject to restrictions, from the audit report, prior to the OASIS database entry.**
- **AQMS certified organizations shall appoint and maintain an administrator for the OASIS database responsible for:**
 - **Managing customer access requests for certification audit data in the OASIS database;**
 - **Providing the name(s) and e-mail address(es) of the organization's OASIS database administrator(s);**
 - **Providing the organization's contact person, phone, e-mail address, and website, as applicable;**
 - **Providing access and assign roles/privileges to other users within the organization; and**
 - **Managing OASIS database feedback generated or received.**
- **AQMS certified organizations shall support the CB AQMS audit process via direct input of data into the OASIS database, including online corrective action management.**
- **AQMS certified organizations shall either provide electronic access to audit results data contained in the OASIS database, or download and distribute audit results data to their ASD customers and regulatory authorities, upon request, unless justification can be provided (e.g., competition, confidentiality, conflict of interest).**
 - **NOTE 1: AQMS certified organizations should address specific customer requirements with respect to OASIS database access.**
 - **NOTE 2: AQMS certified organizations have the option to make information available to all OASIS database users.**
- **AQMS certified organizations shall work with the CB to resolve any issues regarding access limitations to the organization (e.g., resolve by limiting the scope of certification).**
- **AQMS certified organizations shall provide data required by this standard, to their CB prior to initial, surveillance, and recertification audits for the completion of the OCAP analysis.**
 - **NOTE: Failure to provide accurate and timely data may result in the issuance of a nonconformity by the CB and/or prevent certification.**

Organizations shall agree that ABs, OP assessors, customer representatives, and regulatory authorities may accompany a CB audit for the purpose of oversight witness or the confirmation of the effectiveness of the CB audit process.

Failure of a certified organization to abide by these expectations shall be cause for withdrawal from the ICOP scheme and the OASIS database listings.

Confidentiality and Conflicts of Interest

- **Documented information and data in the form of audit reports, nonconformities, checklists, or other company specific information, generated by the application of the AS9104/1 standard, are considered confidential (also referred to as proprietary or sensitive) between the parties generating, collecting, or using the data; and be managed as such, except as required by law.**
- **Organizations using this information shall keep it confidential (both internally and externally), unless otherwise agreed by the consenting parties.**
NOTE: Documented information retained by ABs and CBs on certified organizations may be subject to an audit or review, at any time, by applicable ABs, SMS, RMS, government, or regulatory authorities.
- **Certain data in the form of audit reports, nonconformities, checklists, or other company specific information, generated by the application of this standard, shall be handled as confidential (commonly referred to as proprietary or sensitive) between the parties generating, collecting, or using the data.**
- **Companies using this data shall keep its usage confidential (both internally and externally), unless otherwise agreed in writing by the consenting parties. Data resident at the ABs and CBs on certified organizations shall not be shared with their competitors. However, this data can be subject to an audit or review, at any time, by applicable ABs, SMS, government or regulatory bodies, and the IAQG OPMT.**
- **All persons and organizations in the management, implementation, and oversight of the ICOP scheme shall periodically review their participation and interactions with their customers and clients, and shall disclose any known conflicts of interest or potential conflicts of interest, as described in the 9104/2 standard.**

Revision History	Approved By	Date
DRAFT	Michaela Scarla	12/22/2018
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