

## **Details of impartiality handling Procedures from Procedure Manuals of Control Union Inspections (Pvt) Ltd.**

### **1. Committee of Impartiality**

The aim of the Advisory Council is to give the parties of interest for the applicable programs executed by Control Union Inspections (Pvt) Ltd (CU). The possibility to have influence on the certification schemes, the interpretations and the program documentation.

By participation in the Advisory Council following major objectives are strived for:

- Assist in developing the policies relating to impartiality of CU certification activities;
- Counteract any tendency on the part of a CU to allow commercial or other considerations to prevent objective provision of certification activities;
- Advise on matters affecting confidence in certification, including openness and public perception
- Conduct a review of the impartiality of the audit, certification and decision-making process of CU annually.

Control Union has an Advisory Council for certification programs, which comply to the relevant accreditation standards. (ISO17021-1:2015)

The Advisory Council functions as the Committee of Experts for the relevant certification programs, where the input of expertise and interests has been combined in the Council.

The Advisory Council appointed and terminated by shareholders of the CU.

Source: Extract form Annex A05 of Control Union Inspecties (Pvt) Ltd. Procedure manual

2. Impartiality assessment to be done for all the clients to identify following threats:

**Self-interest:** risks that arise from over-dependency on a contract or a fee, or the fear of losing the client for marketing or commercial reasons, to an extent that adversely affects impartiality in carrying out conformity assessment activities.

**Ownership:** risks that arise from the CB and the client being part of the same legal entity, or an employee of the CB being involved in the ownership or management of the client or the client being involved in the ownership or management of the CB.

- Self-review:** risks that arise from performing a conformity assessment activity in which the certification body evaluates the results of other services which have already been provided, such as internal audits or consultancy. This also implies that the CB shall not outsource certification activities to an organisation that performs consultancy or internal audit services at the same clients or outsource consultancy or internal audit services to an organisation that performs certification activities at the same clients.
- Advocacy:** risks that arise from the CB or its personnel acting in support of, or in opposition to, a given company which is at the same time its client
- Over-familiarity:** risks that arise from the CB or its personnel being overly familiar or too trusting, instead of seeking evidence of conformity (in the product certification context, this risk is more difficult to manage because the need for personnel with very specific expertise often limits the availability of qualified personnel) to an extent that adversely affects impartiality in carrying out conformity assessment activities
- Intimidation:** risks that arise from a governing body, accreditation body, scheme owner, client, manager or colleague deterring the CB or its personnel from acting impartially by displaying threatening behaviour not on the basis of being right but on the desire to be put in the right
- Bribery:** risks that arise from the act of giving money, goods or other forms of recompense to the CB or its personnel in exchange for an alteration of their behaviour to the benefit/interest of the giver that the recipient would otherwise not alter.
- Competition:** risks that arise from clients that compete with the CB or any part of the same legal entity as the CB or entities under the organizational control of the CB for market share or resources, or that are beneficial to the CB or any part of the same legal entity as the CB or entities under its organizational control for gaining market share or resources to an extent that adversely affects impartiality in carrying out conformity assessment activities
- Other:** risks that arise from any other background. This could for instance include outstanding complaints from a potential client or the potential of the client (based on historic behaviour) for depositing allegations and complaints

Evaluation has to be done during application review and audit assessment evaluation.

Source: Annex A6 of Control Union Inspections Pvt Ltd Procedure manual.

3. Threats to impartiality of all the employees evaluate every year during employee evaluation and shadow audits. Threats are listed above applicable for employees as well.

Source: Annex A09 of Control Union Inspections Pvt Ltd Procedure manual.

4. Risk assessment is maintained separately for each country

Resources:

ISO17021-1:2015

CU procedure manual