

CERTIFICATION RULES AND CONDITION

1. CERTIFICATION RULES AND CONDITION

Organization, Company or individual applying to AQS GLOBAL for certification of a management system:

Has Legal Personal Status; and

Establishing and implementing a effective management system in accordance with specified standard.

2. CERTIFICATION PROCESS

2.1 Acronym:

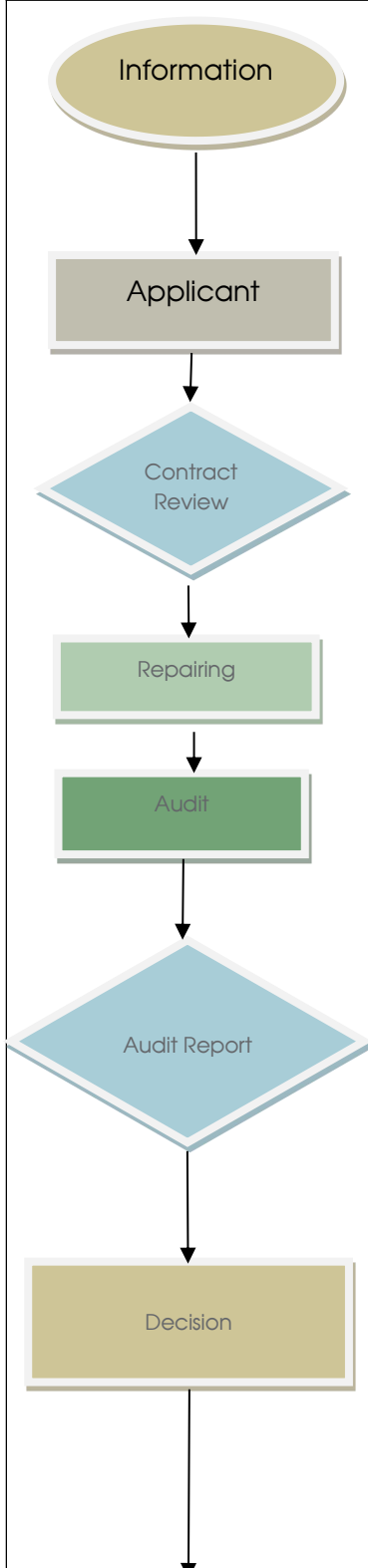
HTQL: management system

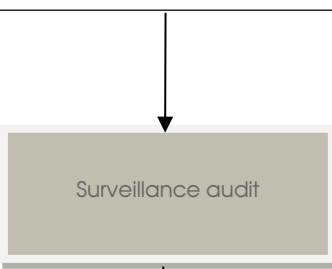
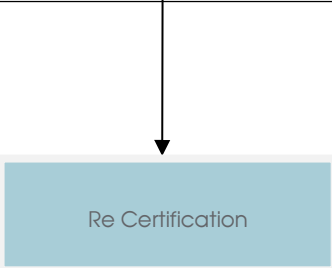
AQS GLOBAL: Certification Body

2.2 Definitions:

AQS GLOBAL	AQS GLOBAL Certification Body
Applicant	Organization, Company or individual applying to AQS GLOBAL for certification of a management system
Certification	Decision by AQS GLOBAL that the Applicant's management system meets the requirements of the specified standard
Stage I Audit	Evaluation conducted by AQS GLOBAL to audit the Applicant's management system documentation and assess the Applicant's location and site-specific conditions to determine preparedness for a stage II audit
Management System Standard	Any recognized commercial, national or international standard governing management systems
Certificate	Document issued upon certification to recognize that the management system has been assessed by AQS GLOBAL and found to meet the requirements of the designated standard. Reflects Applicant's certification number
Client	Organization has management is certified by AQS GLOBAL.

2.3 Certification Flowchat

Flowchat	AQS GLOBAL	Client
	Providing necessary information: rules & conditions, certification process and relevant informations...	Reviewing
		Completing "Application Form"
	<ul style="list-style-type: none"> - Establish audit plan (or sampling plan) - Determination of mandays 	
	Release of information - Informing audit team and their responsible - Audit program	- Review and accept audit team and audit day
	<ul style="list-style-type: none"> - Planning and objectives of stage 1 audits: Audit of management system documentation, EA Scope - Planning and objectives of stage 2 audits: The audit aims at assessing the effectiveness of the established management system on the basis of the relevant standard, performance as regards legal compliance On-site audit is identified in document procedures.	
	<ul style="list-style-type: none"> - Analyze all relevant information and evidence of the audit - Review Audit findings and agree Audit conclusion 	<ul style="list-style-type: none"> - Analyse root cause and describe appropriate corrective / preventive actions, which have been implemented - Plan the timeframe to eliminate non-conformities. (additional audit or additional evidence will be sent by text if necessary)
	- Review audit findings and audit conclusion	- The certificate has a validity of max. 3 years
	- Surveillance audit will be conducting not more than 12 months after stage 2 audit	Surveillance audit program must include: 1) Internal Audits and Management review;

 <p>Surveillance audit</p>	<ul style="list-style-type: none"> - It is not necessary to audit the entire Management System at Surveillance audit so that AQS GLOBAL can confirm the client's management continues to meet the requirement - AQS GLOBAL must maintain the validity of certification if evidences shown that management system of client continues to meet the requirement of certificated standard. 	<p>2) A review of actions taken on nonconformities identified during the previous audit ;</p> <ul style="list-style-type: none"> a. Treatment of complaints; b. Effectiveness of the management system with regard to achieving the certified client's objectives; c. Progress of planned activities aimed at continual improvement; d. Continuing operational control; e. Review of any changes; f. Use of marks and/or any other reference to certification.
 <p>Re Certification</p>	<ul style="list-style-type: none"> - Conducting re- certification audit - On re- certification audit process, if there is non - conformities or lack of conformities evidence, AQS GLOBAL must determin time limit that corrections and corrective actions are taken before due date of Certification. - AQS GLOBAL issue the Certification base on the results of the certification process. 	<p>Audit procedure:</p> <ul style="list-style-type: none"> - The review of performance Management during Certification Cycle; - The review of previous surveillance audit reports; - Demonstrated commitment to maintain the effectiveness and improvement of the management system in order to enhance overall performance;

3. EXTENSION AUDIT

A Certified Organization must fill the application form and send to AQS GLOBAL. AQS GLOBAL review and validate necessary audit plan for extended scope. Extension audit can be integrated in the regular audit plans.

4. AUDIT WITHOUT PRIOR NOTICE

AQS GLOBAL procedure must ensure conducting a audit without prior notice:

Investigate complain; or

Meet to change; or

Review Suspension organization.

5. CHANGES OF CERTIFICATION REQUIREMENT

In case changing of Certification requirements as: standard, rules or procedures, AQS GLOBAL must inform to certified organization and validate time limit conducting process fine-tuned.

AQS GLOBAL must verify that certified organization meet to change. To the expiry day of change, certified organization can not meet to change, AQS GLOBAL must:

Suspension;

Withdrawal;

Refuse to issue new certification; or

Shorten certification scope.

AQS GLOBAL must inform the client by letter.

6. SUSPENSION, WITHDRAWAL OR SHORTEN CERTIFICATION SCOPE

6.1 AQS GLOBAL conducting suspension particular, if

Nonconformities are not closed within the time limits and a suspension was not accepted

A surveillance audit is not conducted within the time limits; or

Certified organization request suspension by themselves.

6.2 The client has to be informed about the suspension and deadlines which have to be followed to set the certificate valid again. Suspension must be public.

6.3 After elimination of the reason for postponement, positive review by AQS GLOBAL to:

Issued is valid with the former validity period; or

Withdrawal

6.4 AQS GLOBAL must shorten certification scope if management system does not meet requirements or serious reasons.

6.5 The certificate is to be withdrawn in particular, if

See 6.3;

Stop of production or processes

Certified organization request Withdrawal by themselves

6.6 AQS GLOBAL must inform status of certification exactly.

7. RESPONSIBILITIES AND AUTHORITY OF PARTIES:

❖ Certified Organization

Document and maintain a management system in accordance with the selected standard as agreed between the Applicant and AQS GLOBAL.

Inform AQS GLOBAL in writing of major changes to the management system and processes, including the standard elements (e.g., managerial organizational structure; production site; upgrade/downgrade of process capability, control or flow) and any changes relating to the scope of operations, contact address and location, legal, commercial, organizational status, or ownership, so that the changes may be evaluated by AQS GLOBAL and action taken as appropriate

Allow AQS GLOBAL access to all certified site(s) during normal working hours in order to assess the management system to determine continuing compliance to the designated standard and provide information necessary for AQS GLOBAL to complete its evaluation.

Provide escorts knowledgeable of all Applicant's rules and regulations regarding health, safety, security and the environment for AQS GLOBAL representatives while said representatives are in operating areas of Applicant's site(s).

Nominate a management representative and one or two alternates as the point of contact with AQS GLOBAL.

Maintain a complete and accurate record of all complaints received regarding the quality of Applicant's products or services and the resolution thereof. For other certifications (ISO 14001, etc.), maintain a record of all complaints received and remedial actions taken regarding environmental, health, safety, social, etc. management system

The applicant cannot refuse an accreditation body (BOA etc.) witness audit of AQS GLOBAL, and shall authorize access for such accreditation body representatives and/or delegates. Furthermore, the applicant cannot refuse the presence of an AQS GLOBAL witness auditor.

Make no use of the AQS GLOBAL Certification Mark and make no statements referencing certification which might be misleading or are not in accordance with AQS GLOBAL's Rules for Use of the Mark.

Upon termination of the certification, return the Certificate to AQS GLOBAL and discontinue reference to the certification and use of accompanying marks in all advertising material or other documents. The Certification shall not be used as evidence of product certification, product endorsement or product approval

Audit days and site selections may be adjusted based on the current Industry/Accreditation Standards/Rules.

❖ **AQS GLOBAL**

Initially review the Applicant's top tier system manual and, during the audit process, the supporting documentation for compliance with the designated standard.

Assess the Applicant's management system at the identified site(s) to the requirements of the designated standard.

Conduct surveillance assessments at each certified site at least once a year and as deemed necessary to verify compliance with the standard for which the Applicant's site is certified. The first surveillance assessment after the initial certification assessment shall be conducted no more than 12 months from the last day of the Stage 2 assessment activity or per Program Specific Requirements.

Maintain and publish a Certified Companies Directory (CCD) listing all certified Applicants, sites, certification numbers and applicable standards. Certified Company Directory will be updated whenever Applicants certificates are placed under suspension or withdrawn.

Maintain all information pertaining to the Applicant, other than that published in the Certified Companies Directory, as confidential and not release it to anyone other than AQS GLOBAL's accreditation and/or program Regulatory Agencies without the written consent of the Applicant.

Notify the Applicant of any complaints received by AQS GLOBAL relating to the Applicant's products, processes and services. In the event of a received complaint AQS GLOBAL will notify the Applicant of the need to complete a short-notice audit which is not considered part of the regular audit schedule.

Notify the Applicant when pertaining information is made available to other bodies; e.g. accreditation body and agreement group of a peer assessment scheme.

Comply with all applicable rules and regulations made known to them by Applicant's designated escorts while at Applicant's site. (Applicant shall not be liable for any loss or injury to AQS GLOBAL personnel sustained while on premises to conduct certification activities.)

Give its Certified Companies due notice of any changes to its requirements for certification.

When conflicts or diverging opinions regarding audit findings or conclusions arise between the audit team and the Applicant during an audit, AQS GLOBAL will provide an appeal process to the Applicant.

8. FEES AND TERMS OF PAYMENT

Fees are informed in Quotation and Contract.

The payment will be accounted by Vietnam Dong.

9. ASSIGNMENT

In performance of the services under the Agreement, AQS GLOBAL may designate one or more subcontractors (including its affiliated companies) to perform all or part of its duties hereunder, including, but not limited to conducting audits, surveillance audits, invoicing, collection of payment; etc.

10. APPEALS

If Applicant is aggrieved by any ruling, determination or action of AQS GLOBAL in any manner relating to certification pursuant to the provisions of the Certification Rules and Conditions, Applicant shall appeal to AQS GLOBAL, and such appeals shall be progressed through the organization and ultimately to the President of AQS GLOBAL until resolution is obtained. If resolution cannot be achieved, Applicant may submit the issue to arbitration (see General Terms & Conditions).

11. TERMINATION

Except as otherwise provided herein, this Agreement may be terminated upon the written consent of both parties, or by providing the other party with thirty (30) days' written notice prior to the date of such termination with the exception that accrued fees shall be payable in accordance with the terms hereof.

Certification rules and condition is made into 02 (Two) originals with equal value. Each party keep 01 (One) originals.

For and on behalf of Client

For and on behalf of AQS GLOBAL