



Thai International Certified Assessment Co.,Ltd.

Appendix

This document is intended to give an understanding of procedures for certification between Thai International certified Assessment Co.,Ltd.(TICA) And persons seeking certification (PSC).

Part One

1. General Requirement.

1.1. TICA has specified working guidelines to ensure certification conforming to international standard and conforming to the prescriptions of the Accreditation Body.

1.2. Operations as per working guidelines prescribed by TICA will arise between TICA with persons who sign a Proposal.

1.3. Definitions.

Multi-site means organization having a branch office or office that operates separately and having business planning, control or management reliant on the Parent Office totally or partially and each Unit not necessarily using the same name, although legally related or agreement entered mutually, but making the Sites totally to have system of management and quality adhering to the same form, with the working system continuing. For example, Multi-sites such as Franchise, factory having a Sales Office shall be separated for Company having several branches.

2. Service

2.1 TICA offers services as follows:

a Quality management system, Environmental management system Safety management system etc. conforming to international standard

b. Making Pre-assessment, second party Audit, Training and all these functions would have no adverse effects on assessment for certification of system leading to facilitate certification or preparations for certifications.

- Pre-assessment means inspection and assessment conducted before making in-depth assessment for certifying the system, with the working procedures being the same as for inspection and assessment to certify system although no decision is made for certification.

- Second Party Audit involves scrutiny and assessment in capacity as person taking risk factors with the organization such as, in capacity as customer or hirer, by means of criteria sought by customer or by hirer. Again there shall be no decision for certification.

- Training means service centered on Training covering curriculum for certification system and not related to certification of system apropos curriculum that is concerned with certification of system and no consulting service is given nor assistance for managing system.

When working under the procedures stated in clause 2.1a, time frame shall be fixed with PSC with notice served in the interest of both Parties.

2.2 Period of certification shall be as follows:

a. Initial Audit means scrutiny and assessment leading to certification that separate to 2 stages.

- 1st Stage Audit, The objective of 1st stage audit is study the customer system and check the



Thai International Certified Assessment Co.,Ltd.

compliance between document and requirement.

- 2nd Stage Audit, The objective of 2nd stage audit is assessed the efficiency of system by check the compliance between practice and requirement.

b. Surveillance Audit means auditing and assessment to maintain system that is conducted every year. In this nexus, period for auditing and assessment being the first 6 months or once a year, depending on the agreement between TICA and the person seeking certification, and it is possible to change the aforementioned period when Renewal is made every time.

c. Renewal Audit refers to re-assessment following completion of audit as specified in the working procedures of TICA and this shall have to be made before the certification expired.

d. Non-regular Auditing means auditing by not adhering to a time frame that may arise out of discovering any thing not conforming to the regulations seriously, drastic changes in management system, having complaint filed by a relation person against the company. In this nexus, fees shall be increased for the aforementioned audit.

2.3 To get the audit to be complete and meets with the approval of both sides, TICA after making assessment would make a Report to be submitted to the PSC. The contents of the report cover strong points with emphasis on weak points to enable the organization to make improvements and the system given certification. This Report does not form basis for making decision for certification and the Report shall be held Confidential within the Company.

2.4 Procedures for certification, system maintenance, suppression, withdraw shall be made as per Regulations of TICA only.

3. Qualifications of applicant.

3.1 Scrutiny shall be made internally at least once with revision made thereafter focusing on the level of management before seeking certification. In case of Multi-site there must be internal audit of every site to be certified, including Management Review as data must derive from site operations totally.

3.2 Preparation of documents, data and facilities such as meeting room, safety equipment for the audit as required by TICA. The PSC must prepare a Representative to give explanations or to pave the way for assessing.

3.3 PSC is required to provide safety to the Assessor whose duties shall be equal to that of an employee of the organization

3.4 When PSC desires to scrap the job after signing Proposal, it is required to take steps as follows:

a. Notify TICA in advance of at least 4 weeks, otherwise, TICA shall charge fee to cover expenses amounting to 25% of the total proposal prices.

b. Notify TICA in advance of at least 2 weeks, otherwise, TICA shall charge fee amounting to 50% of total proposal price.

4. Expenses and Payment



Thai International Certified Assessment Co.,Ltd.

4.1 Expenses for certification shall be specified in Price Proposal and for cost of Audit Surveillance and Audit Renewal; expenses shall be based on basic price in the proposal.

4.2 Expenses over and above Auditing shall be not included in the expenses for the Audit Normally or business arising out of suppressing/withdrawal of certification.

4.3 Price proposal and other costs would change immediately in case of finding data in the Questionnaire Form failed to reflect facts gathered by the assessment.

4.4 Auditing and assessment shall occur when application a fee is paid with time frame as specified in clause 2.1

4.5 In case payment is not made as required, TICA is entitled to suppress the works or to scrap the Certificate.

5. Certified Body.

5.1 If in course of auditing, TICA faced objection and facts prove that it arise out of the action of PSC so that the assessment could not proceed, the PSC shall pay for the cost equal to works carried out.

5.2 When such incident arises, TICA shall assume no responsibility for the service sought by PSC leading to signing Proposal the first time.

6. Limitation of Responsibility concerning finance or compensation for damage in event damage arises out of assessment, with notice to be served within 45 days.

6.1 TICA shall assume no responsibility for damage particularly covering the portion arising out of the action of the Certifying Person.

6.2 TICA shall assume no responsibility for damage arising out of risk factors faced by customers in the past until the present time with the customer taking no action for protection and not notifying the Assessor.

6.3 TICA shall assume no responsibility for damage arising out of the PSC not abiding with the regulations or failed to abide by the law.

6.4 TICA is not a Company that provides insurance for compensation against damage for loss of property. Therefore, PSC is advised to take insurance coverage with a reliable insurance broker.

6.5 TICA shall assume no responsibility against damage faced by customer or for the loss of revenue of the company because the certification centers on system of management and not concerned with the steps for maintaining the company's operations.

7. Documented Information Control.

TICA shall keep record of the works for assessment totally and kept confidentially within the prescribed time frame until meeting requirements of AB. All the data shall be good for dissemination when works proceed along the guidelines set by TICA only. In this nexus, costs related to the works shall be absorbed by PSC completely.

Part Two



Thai International Certified Assessment Co.,Ltd.

TICA shall set working regulations for certification and use guidelines reflecting international standard and strive for conforming with the regulations of the Accreditation Body as follows:

GENERAL

1. TICA provides service for certification of quality of management and the environment that conform to international standard including Training, conducting Second Party Audit, Pre-assessment and Training.

The works shall be carried out entirely by TICA or by the person authorized by TICA for system certification, maintenance of system, expansion of system, reduction of system, suppressing and withdrawal.

2. TICA assigns Unit to handle duties, power and responsibilities including documents for legal status good for dissemination to the public.

CERTIFICATION

1. General

1.1. To certify the system, PSC must make preparation and maintenance of documents of the system, coupled with management befitting international standard and capable of displaying data as required by TICA. In case of Multi-Site, action shall be taken at every site seeking certification to create a Program and assigning a Person to do assessment.

1.2. Assessment shall center on Scope and Site notified by PSC in the application form only and the certification of scope and site, in case the PSC is found to have given false data, the process of working shall start a new all over again.

1.3. PSC must abide by the standard prescribed by TICA.

In case of finding PSC failed to abide by the criteria or in case of finding Major NO arising out of failure to abide by the standard at any time, TICA could stop certification.

2. Applying for Certification

When the PSC submitted application to TICA concerning Multi-site, the PSC must give data additionally about Central Office and the site involved including application for certification totally. In case scope of documents gives explanations about certification of management system, the person holding power sign Proposal, pursuant to registration documents for juristic person which the Company has vested power for representation. In this nexus, there must be Power of Attorney and affix Seal of the company after the PSC has signed its name in acceptance of Proposal. Thereafter, TICA shall continue working with Team Leader fixing plans for audit and assessment. The Team shall also include and Auditor as well as a Specialist.

3. Registration



Thai International Certified Assessment Co.,Ltd.

When audit results show that PSC handled the system compatibly with the terms of reference, in the case of Multi-site, the PSC must act and maintain system in conformity with the terms of reference at every site and decision shall be made that it is capable of certification. The PSC shall be notified and a certificated shall be issued and it shall remain in effect when assessment is made o maintain the system with specification of factors of conformity. In case of finding any non-conforming factor at any site, it cannot be left unconsidered and the criteria for certification shall be as follows:

- a. Major NC, not found.
- b. In case of finding Major NC, customer shall make plans for adjustment, including evidence of working procedures to TICA for revision within 30 days and in case of necessity for revision at business establishment which may be monitored totally or partially until acceptance comes.
- c. Capable of working under TICA regulations completely.

If the customer cannot correct non conformity issue within six months, Thai International Certified Assessment Co., Ltd can audit without notice as appropriate. Except that customer request to terminate certification process in writing documents.

4. Certificate

Issue of Certificate and withdrawal shall be as follows:

- a. TICA shall issue certificate whose content meets with the agreement Entered with PSC. In case of seeking a new Certificate, the old one shall be returned.
- b. Expiry date shall be put in the Certificate and renewal shall be made after making assessment in accordance with the principle

5. Usage of Mark / Logo

When making certification, TICA shall issue permission to the PSC to use Markings / Logo in accordance with the specified time frame and PSC must use Marks / Logo belonging to Accreditation Body and shall abide by regulations of this Accreditation Body. In case PSC used Markings / Logo not suitably, the TIC could suppress the usage or it may withdraw the Markings / Logo. In case certificate is corrected it shall be notified for public information.

6. Auditing and Assessing for System Maintenance / Renewal of Certificate

Schedule for surveillance and Renewal covers the works of handling organization management. As for surveillance, PSC shall do recording and maintenance and handle complaints filed by customers including other data related to certification and available when TICA made request. When certificate is issued t is possible to do maintenance and possibly to provide when TICA calls for it. When PSC could maintain standard system under the prescribed surveillance, the PSC must apply for renewal of certificate upon passage of 3 years from the date of Audit the first time, pursuant to the principle as follows:

- a. Major NC, not found.
- b. In case of finding Major NC, customer shall make plans for adjustment, including evidence of working procedures to TICA for revision within 30 days and in case of necessity for revision at business establishment which may be monitored totally or partially until acceptance comes.
- c. Correct NC from previously audit
- d. Capable of working under TICA regulations completely.



Thai International Certified Assessment Co.,Ltd.

In renewal period, If the customer cannot correct non conformity issue within six months, Thai International Certified Assessment Co., Ltd can audit without notice as appropriate. Except that customer request to terminate certification process in writing documents.

7. Expanding/Reducing Scope

When there is reduction/expansion of scope for the certification whether for the Site or Product, the PSC must give details anew as stated in clause 2 and in case of expanding scope; assessment arises particularly for the portion that is increased. The Program covers the expanded portion, except when dictated by necessity for assessing the existing scope, due to the connection to the data or management of work. As for the scope reduced, in case of finding, PSC could not maintain its capability to work in accordance with the scope or if PSC notified its requirements to reduce the scope from its original form, TICA shall issue a new Certificate to replace the old one covering the remaining issues and within the expiry date of the existing Certificate. PSC must return existing Certificate to TICA and an announcement shall be made for public information about the scope.

8. Changes in the System/Product

PSC must notify TICA in writing in case of having any changes in the system of management or product, production procedure via the standard or regulations. The TICA shall make decision about changes effecting additional auditing or other things. In case PSC failed to give notice about changes effecting additional auditing or other things. In case PSC failed to give notice about changes, TICA could do reduction or suppress the certification.

9. Publication

PSC could notify the public about the system with the Media or usage of brochure, letter head, visiting card related to the subject product that are certified. PSC cannot use the product certification in case of not seeking certification of the product. Moreover, for the aforementioned works, one must be certain that the notice or advertisement must not cause confusion between the certified system and the one not certified and PSC must not create confusion or misunderstanding of Interested Party related to certification. Moreover, TICA shall take action with PSC when notice is issued that cause confusion with respect to legal issue and suppression/withdrawal of certificate for public information.

Termination, Suspension and Withdrawal of Certification

1. Termination

Applicant notifies TICA about its wish to cease certification. In this case, the Company must stop usage of the Logo/Mark of TICA immediately and return the certificate of TICA.

2. Suspension

In case of finding circumstances stated herein, TICA shall stop certification and the organization must submit plans for Correction within 180 days and during this period, the certificate shall be repossessed temporarily with Stoppage of usage of Logo/Mark and must notify for public information about the suppression of the Certificate.

- a. Finding Major NC but no steps taken for correction.



Thai International Certified Assessment Co.,Ltd.

- b. Finding NC in the course of auditing and assessment previously but not making improvement in the auditing and assessment that follows without justification.
- c. Finding usage of Certificate and Logo in variance to the principles.
- d. Failure to pay service fee for Auditing.
- e. There being a major accident, so that it is not possible to do manufacturing more than 2 months.
- f. Found in the course of Surveillance or Renewal that there is failure to abide by the guidelines for correction or abidance is not adequate as specified in Corrective Action Report.
- g.

3. Withdrawal

In case the following are detected, TICA shall notify PSC about withdrawal of certification and to sop using Logo Mark and to return the Certificate.

- a. The Company could not effect improvement and finish the process within the period specified in the Certificate.
- b. Finding that the application is filled in variance to facts.
- c. In case the Company ceased its business operations.
- d. The Company does not pay service fee or faced a major accident leading to the Company no longer working and unable to effect correction within the time frame in which certification is suppressed temporarily.
- e. Failure to abide by the rules.

4. Refuse

Thai International Certified Assessment Co., Ltd has the right to refuse certify in the following cases.

- a. Customer notify the false information and affect to certification process, which bring the wrong practical and not conform to organization-s principles. For example, forgery of important documents, notify the false information.
- b. Counterfeiting certificate and use it in the wrong way.
- c. There is no competence to carry out the management system to be effective.
- d. Use of the certification mark and logo on impersonation and resulting in misleading the public.

Thai International Certified Assessment Co., Ltd can withdraw the certificate immediately.

Requests and Claims

Organization must keep record of requests placed by customers including record of improvements in case TICA asked for such record for demonstration.

Appeals and Complaints

Submitting appeal, complaint and contention may be made as follow:

- a. The Company could submit an appeal, complaint and contention to TICA within 45 days and such documents may be submitted in case of finding a contentious issue or not satisfied with auditing or consideration and decision for certification.
- b. TICA shall notify the Committee in-charge of consideration for action ensuring fairness impartially.



Thai International Certified Assessment Co.,Ltd.

Changing Regulation or Conditions for Certification

When changes occur concerning regulations and conditions related to certification of system. The TICA shall notify the Consideration Committee to fix the date for enforcement with notice served on concerned Parties in advance before the date of enforcement leading to consideration and acceptance within sample period of time. Concerned persons must change in tune with the time frame. Thereafter, revision shall be made of the corrections after the passage of time frame.

Confidentiality Obligations

TICA shall be divulge information on the PSC under any circumstances, accepting the case related to dictates of the law when TICA shall seek permission from the PSC before divulging information.

Maintenance of Safety

The organization is duty bound to maintain safety about the functions of the Auditor and in case of damage occurs to the Auditor for which is not attributable; TICA shall seek compensation from the Company.

Accreditation Body

1. TICA is duty bound to offer information related to certification when it is sought by Accreditation Body within the specified period. Data shall be as follows:

- a. Data and documents necessary for assessment and auditing.
- b. Standard and scope which the organization could make assessment including the fact the Institute that offer certification wanting to increase or decrease standard or scope.

2 PSC /Person holding certification must allow Appraisal Committee attached to TICA to conduct assessment of capability of the assessor of TICA as prescribed in the principle and general conditions concerning certification of the working system.



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History Record

Date	Page	Clause	Rev.	Changed Detail / Review Detail	Prepared	Approved
29/05/07	1	2.2	00	<p>Change the assessment stage from 1 stage to 2 stage , the detail as follow ;</p> <p>a. Initial Audit means scrutiny and assessment leading to certification</p> <p>a. Initial Audit Initial Audit means scrutiny and assessment leading to certification that separate to 2 stages.</p> <p>- 1 st Stage Audit, The objective of 1st stage audit is study the customer system and check the compliance of document with requirement.</p> <p>- 2rd Stage Audit, The objective of 2nd stage audit is assessed the efficiency of system by check the compliance of practical with requirement.</p>	<p>ชติมา ?</p>	<p>เสหแก้ว</p>
1/06/07	7	2	01	Change word used from "Accreditation Body" to "TICA"		
03/11/11	6 4,5	4 3,6	02	<p>- Increase refuse condition</p> <p>- In registration and renewal period, if the customer cannot correct non conformity issue within six months, Thai International Certified Assessment Co., Ltd can audit without notice as appropriate. Except that customer request to terminate certification process in writing documents.</p>		