



GLOBAL INSPECTION AND CERTIFICATION NETWORK
- CGLOBAL -

<i>Procedure No.:</i>	REG.01	<i>Version:</i>	02
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**GENERAL REGULATION ON MANAGEMENT SYSTEM
CERTIFICATION**

Certification body:	GLOBAL INSPECTION AND CERTIFICATION NETWORK (CGLOBAL) PTE. LTD.		
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1. Purpose and scope:

This document stipulates a number of basic principles that CGLOBAL implements in the process of evaluating and certifying system standards, management system standards according to *ISO standards*, and *social responsibility standards (CSR standards - Corporate Social Responsibility)*, sustainable development standards (*Sustainable standards*), *Greenhouse Gas - GHG standards* and Coalition/Association/organization promulgating standards around the world.

This document stipulates some basic principles that CGLOBAL implements in the process of verification, validation of greenhouse gas standards (*Greenhouse Gas - GHG standards*) and other related standards.

- CGLOBAL determines that Verification and Validation are performed as certification activities and also follow the basic procedures stated in PRC.09 – Procedure for auditing and certification management system and additional procedures and instructions in PRC.11 – Procedure for Verification.

- The output results returns to customers of Verification and Validation are certificates for verification results/certificates of validation.

- This document is *provided to customers* who register to use CGLOBAL's management system, validation and verification, certification services.

- This document complies with the requirements in ISO/IEC 17021-1:2015; ISO/IEC 17065:2012, 17020:2012, ISO/IEC 17025:2017, ISO 14065:2011, ISO 14066:2011, ISO 14064-3:2019, ISO 17029:2019... and other related documents of the International Accreditation Forum (IAF) and the International Laboratory Accreditation Cooperation (ILAC).

2. Definitions, abbreviations

2.1 Customer: Organization requesting CGLOBAL to certify Management System;

2.2 Certification: CGLOBAL's confirmation that the customer's management system complies with the corresponding standards;

2.3 Document Audit: Initial Audit of the document system according to the requirements of the corresponding standard;

2.4 Stage I Audit: Review the completeness of documents of the management system and the customer's readiness for certification audit;

2.5 Stage II Audit: Audit the implementation and effectiveness of the management system

2.6 System and management systems standards: Management systems are based on international standards, national standards or recognized association standards such as:

- *ISO standards*;

- *CSR standards - Corporate Social Responsibility*;

- *Sustainable standards*;
- *Greenhouse Gas- GHG standards*;
- Standards are issued by Associations/Associations/Standard- Promulgating Organizations around the world.

2.7 Audit team: One or more auditors conduct the audit supported, if necessary, by technical experts;

2.8 Auditor: Person with the competence to conduct an audit;

2.9 Technical expert: A person who provides specific knowledge or professional experience to the audit team.

3. Certification/Verification/Validation Standards

3.1. CGLOBAL audits certification against ISO standards, Corporate Social Responsibility (CSR standards), Sustainable standards, Greenhouse Gas (GHG standards) and standards issued by associations/coalitions/organizations issuing standards around the world depending on the requirements of customers applying for certification, and licensed/assigned/accredited competence of CGLOBAL.

3.2. When there are changes or supplementations to current standards, CGLOBAL informs customers about new certification standards; CGLOBAL verifies certified customers' compliance with the new certification requirements.

3.3. The scope of CGLOBAL's management system certification is in accordance with the regulations of the IAF International Accreditation Forum and is stated in the accreditation appendix of the current accreditation body.

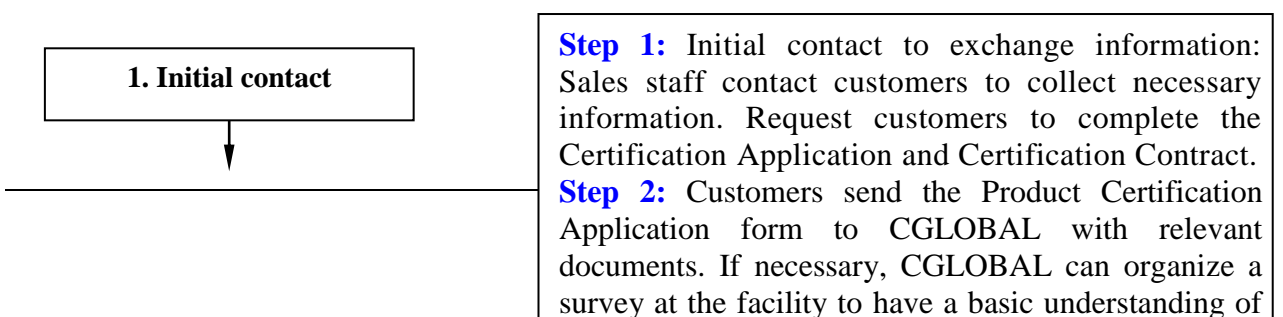
Scope of certification describes the scope and limits of the audit (multi-site, organizational unit, activities and procedures to be audited)/ When the initial certification audit or recertification consists of more than 1 audit (e.g. multi-site) the scope of a individual audit does not cover the entire scope of the certification audit, The total number of audits is in accordance with the scope of the certification documentation.

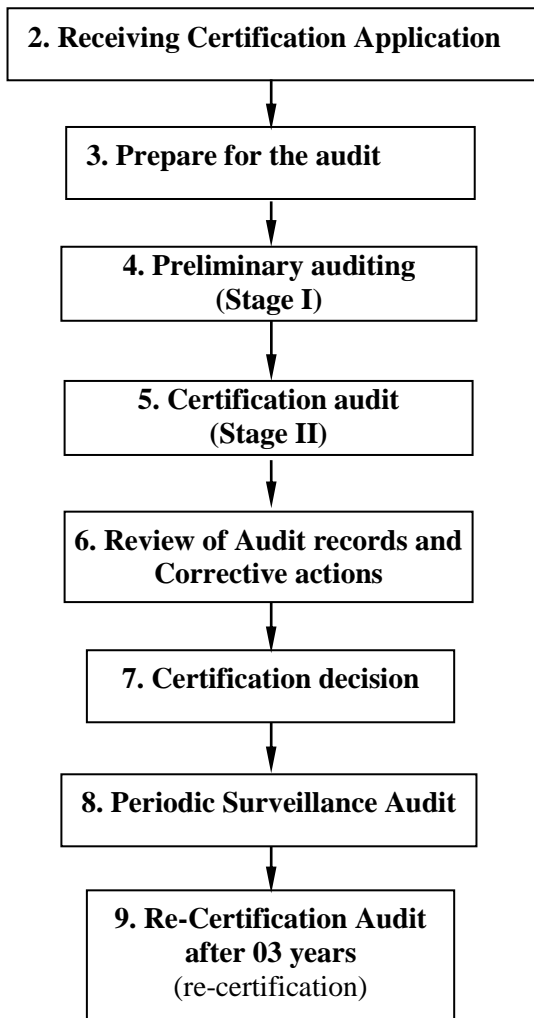
4. Principle of CGLOBAL operation

Ensure consistency, objectivity, fairness, impartiality, and public in certification audit activities and confidentiality of customer information.

5. Flowchart of certification process

5. Management System Certification





Note: Detailed Interpretation of the steps in Appendix 1 of this Regulation.

6. Customer Responsibilities

6.1 Create conditions for CGLOBAL's auditor/inspectors/verifiers to access all audited points under normal working conditions and provide necessary information to CGLOBAL to complete the audit process; Facilitate the presence of observers (e.g. accreditation auditors, auditors-in-training)

- 6.2 Arrange a guide who is familiar with the terrain and understands the customer's labor safety regulations for the audit team;
- 6.3 Appoint a representative for the leader to be responsible for contacting CGLOBAL;
- 6.4 Use CGLOBAL's Logo, certification marks, verification/validation marks in accordance with the Regulations on the use of certification marks, verification/validation marks **REG.03** and commit not to cause any deviation about certificates? When changing the system scope, all advertising materials change accordingly;
- 6.5 Do not use the certificate for activities not under the scope of certification, scope of verification/validation and do not use the certificate in activities that lead a bad reputation to CGLOBAL;
- 6.6 Fully implement CGLOBAL's regulations, particularly regarding system maintenance, accept conditions for suspension or revocation of CGLOBAL's certificate;
- 6.7 Fulfill all responsibilities in the contract signed with CGLOBAL.
- 6.8. Do not use or allow others to use all or part of the certification/validation/verification documents in a misleading or false manner.

7. CGLOBAL Responsibilities

- 7.1 Carry out audit, certification, verification/validation in accordance with the requirements of international standards on competency requirements for certification bodies /verification bodies.
- 7.2 Develop and announce on the website <https://cglobal-sg.com/> (updated once a month) a list of standards of organizations certified by CGLOBAL;
- 7.3 Security information related to Customers in addition to the information published in sections 7.2 and 10.3; Inform customers in advance about the information CGLOBAL intends to make public.
- 7.4 Inform customers about feedback received by CGLOBAL regarding customer product and service quality;
- 7.5 Comply with customer rules and regulations at the audit point;
- 7.6 Fulfill responsibilities in the contract signed with customers; Responsible for and has authority over decisions related to certification, including issuance, maintenance, recertification, expansion, narrow, suspension and revocation of certification.
- 7.7 Ensure independence, objectivity, impartiality and openness
- Approve its policy on using auditors. Members of the audit team must:
 - No financial relationship with customers;
 - No family relationships with key leaders of the customer;
 - Do not consult product to customers.
 - Through the activities of the Certification Board. Members of the Board make sure:
 - Representing the interests of all parties;
 - Not subject to financial ; job; emotionality pressure in their decisions;
 - Understand the law.
 - Through the activities of testing laboratories committed to independence, confidentiality,

and objectivity;

- Provide customers with information about certification standards, regulations on audit and certification of products conforming to standards, procedures for granting, maintaining, suspending or revoking certificates of conformity to appropriate standards and regulations on using certification logos and certification audit fees.
- Create a list of organizations and individuals involved in CGLOBAL's certification audit activities that have potential risks leading to unfairness and preventative measures to ensure fairness in CGLOBAL's audit activities. CGLOBAL;
- Create favorable conditions for CGLOBAL's customers to participate in deciding on the Selection of the audit team member if they realize potential unfairness in CGLOBAL's certification audit activities by the audit team members.
- Develop a monitoring mechanism during the audit process to ensure fairness. CGLOBAL is determined not to use auditors who do not clearly declare their relationship with customers.

7.8. CGLOBAL commits to only audit, review, decide and monitor issues specifically related to the scope of customers registering for certification.

7.9. CGLOBAL's policy of ensuring objectivity and fairness

7.9.1. CGLOBAL committes to ensuring accuracy, honesty, timeliness, independence, objectivity and impartiality in CGLOBAL's policies so that all employees feel comfortable at work and enjoy benefits worthy of their assigned responsibilities and tasks. All employees have access to CGLOBAL's rules and policies appropriate to each position.

7.9.2. CGLOBAL ensures accuracy, honesty, timeliness, independence and impartiality in auditing by requiring auditor and members of the audit team to:

- a) No financial relationship with the customer;
- b) No family relationship with key leaders of client;
- c) Do not consult customers and do not have conflicts of interest.
- d) absolutely do not provide consulting services to customers:
 - Do not consult on quality management systems;
 - Do not consult on the development of Standards/Regulations for customers
 - Do not consult on building quality assurance procedures/plans for customers.
- e) CGLOBAL does not market or offer in connection with the activities of a management system consulting organization, and will take action to correct any inappropriate information by any consulting organization stating or implying that the Certification can be simpler, easier, faster or less costly if you choose a certification body. CGLOBAL must not state or imply that certification could be simpler, easier, faster or less costly if a certain consulting organization is used. CGLOBAL requires that all CGLOBAL employees and auditors are not allowed to market certification services to consulting organizations. Marketing of services may lead to collusion between CGLOBAL employees and consulting organizations, leading to loss of objectivity in certification activities
- f) CGLOBAL stipulates that employees who have provided consultation or work for customers will not review records, audit systems or make certification decisions for customers, products and/or manufacturers within a period of 02 years from the end of the

consulting contract or working contract.

7.9.3. CGLOBAL ensures independence and impartiality in certification decisions through the activities of the members of the Certification Board to ensure:

- a) Represent the interests of all parties;
- b) Not subject to financial pressure; job; emotionality in their decisions;
- c) Understand the law.

7.9.4. CGLOBAL ensures to provide customers with information on certification standards, regulations on audit and certification, procedures for granting, maintaining, expanding, suspending or revoking certificates and regulations on use certification logo, certification audit fee.

7.9.5. CGLOBAL identifies organizations and individuals involved in CGLOBAL's certification audit activities with potential risks leading to unfairness and preventive measures to ensure fairness in CGLOBAL's audit activities. **(according to the Table of identification and analysis of potential hazards leading to loss of objectivity and fairness in audit activities stated in the MS.CG System Manual)**. Provide this list to members of the Certification Board and publicize it on the website.

7.9.6. CGLOBAL creates favorable conditions for CGLOBAL's customers to participate in deciding on the selection of audit team members if customers perceive potential unfairness in CGLOBAL's certification audit activities by audit team members.

7.9.7. CGLOBAL develops a supervision mechanism during the audit process to ensure fairness. At the same time, CGLOBAL is determined not to use auditors if during the supervision process, CGLOBAL detects that an auditor is not Clearly declare his relationship with the audited customer that 10.5 has not yet identified.

7.9.8. CGLOBAL develops financial regulations to evaluate income sources and disclose them to certification board members to ensure objectivity and fairness of certification activities.

7.9.9. CGLOBAL develops a sample encryption mechanism that ensures no customer information is included when submitting samples to ensure objective, independent testing results of internal testing activities.

7.9.10. CGLOBAL ensures recruitment or access to an adequate number of auditors, including lead auditors, and technical experts to undertake certification activities and manage the audit workload.

7.9.11. CGLOBAL has sufficient arrangements (insurance, reserve funds) to cover liabilities arising from its activities in the fields of operation and geographical areas in which it operates the business of certification audit services.

7.9.12. CGLOBAL commits not to provide consulting services to customers in any form.

7.9.13. CGLOBAL commits not to certify other certification organizations.

8. Validity of the certificate

8.1. CGLOBAL issues a standard conformity certificate to the customer's management system that fully meets the requirements of the standard for which the customer registers for certification.

8.2. Validity for all certificates is 3 years from the date of issue.

During the validity period of the certificate, CGLOBAL conducts a surveillance audit (partial or complete) of the certified quality management system to ensure that the system is always maintained in accordance with the corresponding standards. The surveillance audit cycle depends on the agreement between CGLOBAL and the customer, but not less than every 12 months/times according to ISO standards.

9. Maintain certification

9.1 Periodic surveillance of the MS:

- Certified customers must maintain the implementation of the management system and maintain certification throughout the validity period of the certificate, with surveillance frequency not less than every 12 months/times.
- During the validity period of the certificate, customers must fully comply with CGLOBAL's regulations on periodic surveillance audit. After each surveillance period, the customer's management system will be accepted to be maintained if the management system meets the stated requirements.

9.2 Irregular surveillance, expanding and narrowing the scope of the MS:

- During the validity period of the certificate, if the certified customer has major changes in: legal, commercial, organizational or ownership status; location; organizational and management structure; representative leaders; expand/narrow operating areas, products/services; number of employees (over 30%); major changes to the management system and procedure; Resources that have an important impact on the management system and updating standards must be promptly notified in writing to CGLOBAL so that CGLOBAL can conduct an audit to expand/narrow the scope of certification.
- Depending on the level of change in the management system, CGLOBAL will agree with the customer on conducting an expansion/narrow surveillance audit. The expanded or narrowed scope must be reviewed and confirmed in accordance with the standards requested by the Customer.

All costs incurred related to the expansion/narrow/irregular audit will be paid by the customer.

- a) CGLOBAL will describe and notify the certification customer in advance of the conditions for carrying out the irregular audit, and
- b) CGLOBAL will take extra care in assigning audit teams since there is no opportunity for the customer to change audit team members.

10. Certificate suspension/withdrawal/Reduce Scope of certification

10.1 Certificate suspension:

- Suspension of certificate use is when CGLOBAL issues a decision to suspend the use of certificates by certified customers for a period of time;
- The validity of the certificate is suspended in the following cases:
 - +The client's certified management system persistently or seriously fails to satisfy the certification requirements, including the management system effectiveness requirements,
 - + Certified Customers voluntarily suspend
 - + Customers use CGLOBAL's certificate or logo contrary to regulations
 - + The customer does not arrange periodic surveillance audit as agreed;

- +The customer does not implement corrective action for the detected nonconformities according to regulations
- + Customer does not fully pay the certification fee as agreed

10.2 Certificate Cancellation/ withdrawal

- Cancellation/revocation of certificate is CGLOBAL's decision to cancel/ withdrawal the certificate issued to the customer and terminate the validity of the certificate.
- Cancellation/revocation of certificates is carried out in the following cases:
 - + The customer's management system does not meet the requirements of the standard;
 - + The customer's management system is not maintained in effect (does not have any corrective action on time when the certificate validity has been suspended)
 - + There are serious complaints from individuals or organizations using the customer's products/services (not complying with the requirements of relevant competent authorities)

During the surveillance audit process, if the management system is not maintained or does not meet the requirements of the standard, the certificate may be suspended for a maximum period of 60 days until CGLOBAL receives the appropriate corrective action. If the customer does not take appropriate corrective actions within 60 days, the certificate will be cancelled and permanently withdrawal.

- The suspension and withdrawal of the certificate will be notified by CGLOBAL on the Company's website: <https://cglobal-sg.com/> and CGLOBAL will take other appropriate measures.

10.3 Reduce Scope of certification

Based on results of surveillance audit and typical sample testing results; implementation of customer corrective action, the client has persistently or seriously failed to meet the certification requirements for those parts of the scope of certification, Certification Department makes a proposal to reduce the client's scope of certification to exclude the parts not meeting the requirements. The decision to reduce scope of certification is sent to customers and published on the website: <https://cglobal-sg.com/>

At the request of any party, CGLOBAL will accurately declare the status of the customer's management system certification as being suspended, withdrawal or narrowed in scope.

11. Re-certification

- After 03 years, the validity of the certificate expires, CGLOBAL agrees with the customer on a contract to re-certification and conduct a certification audit (the stage I audit can be skipped if the management system has no significant changes). Steps taken such as the initial certification audit).

-The recertification audit is normally carried out on the certification audit date of the previous certification and 1 month before the certificate's expiration date.

The recertification audit must review the operation of the management system at the time of certification, including reviewing the reports of the previous surveillance audit: the effectiveness of the entire system, including internal and external changes as well as applicability to the scope of certification; the operation of a certified management system to achieve the organization's policies and objectives.

- CGLOBAL makes decisions on new certification based on the results of recertification audit as well as the results of system reviews during the certification process and complaints from certification users.

12. Liability compensation and claims

12.1 If during the certification audit process, the certified customer presents evidence that CGLOBAL caused damage to the customer and requests compensation, CGLOBAL will consider compensation for that damage, the compensation value will be CGLOBAL agrees in detail with the customer. In case the two parties cannot agree on the compensation value, it will be resolved by economic arbitration;

12.2 Customers can complain about activities related to CGLOBAL's audit and certification process. CGLOBAL will review and handle Customer's complaints.

If the customer does not agree with CGLOBAL's decision to handle the complaint, the customer has the right to request resolution according to the provisions of law;

12.3 Neither party is responsible for compensating the other if objective factors occur beyond the control of both parties, but must notify each other of these events by fax or mail within 5 days from the date it took place.

13. Costs

13.1 The costs for audit and certification of the management system are determined in the Contract. Customers do not have to pay any other costs to CGLOBAL except for additional audit costs specified in Point 13.2 of this section;

13.2. When it is necessary to verify the customer's corrective actions at the audited point, travel and accommodation expenses for CGLOBAL's auditors shall be paid by the customer;

13.3 When conducting an irregular audit, expanding or narrowing the scope of certification, the costs incurred will be paid by the customer.

13.4 CGLOBAL issues financial invoices for all CGLOBAL audit and certification costs. If payment is late after 30 days from the date of invoice issuance, the Customer must bear an interest rate of 1.5% per month for the value that needs to be paid;

13.5 CGLOBAL makes a decision to suspend the certificate for Customers who do not pay audit and certification fees after 90 days from the date CGLOBAL issues the invoice. Certificate recovery will be performed after the Customer pays the certificate audit fee.

13. Saved records:

No.	Records	Code	Save Place	Save Time
1.	Decision For Issuing Certificate	F01-REG.01	CD	6 years
2.	Decision to suspend the validity of the certificate	F02-REG.01	CD	6 years
3.	Decision to withdraw the validity of the certificate	F03-REG.01	CD	6 years
4.	Decision to narrow scope of the certificate	F06-REG.01	CD	6 years

5.	Template of management system certificate.	F04-REG.01	CD	6 years
6.	Template of validation/verification certificate.	F05-REG.01	CD	2 years