



Impartiality Policy

Policy Statement

At Global Certification, (now under Compass Assurance Services), we provide our clients with assurance solutions including management system certification and product certification. We believe that the foundation for legitimate certification is an objective and impartial auditor and certification decision.

It is our policy that any accredited certification activity for a client is undertaken by workers who:

1. Understand the concept of impartiality and agrees to the Compass Code of Conduct;
2. Have not provided management system consulting or internal management system auditing services to the client organisation within the last 2 years;
3. Have not provided customised management system training to the client organisation that involves the development of new or amended system documents, forms, policies or procedures within the last 2 years.
4. Have no direct or indirect interest in the client organisation;
5. Have no undisclosed benefits that relates to the audit findings or success of the client.

It is our policy that any certification issued by Global Certification:

1. Is endorsed by the Compass Managing Director;
 2. Represents a fair and unbiased assessment of the client's management system
- Our Board will use its best endeavours to appoint an Impartiality Committee that is made up of a majority of independent members to oversee the impartiality of our business, our auditors and their findings, and the decisions of certification managers.

Governance

Ultimately our Managing Director and Board of Directors are responsible for our business' performance.

The Managing Director will oversee the Impartiality Committee charter.



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The Managing Director will report to the Impartiality Committee as required.

The Managing Director will develop business systems and an audit plan in support of this policy.

Every worker is responsible for their conduct at work. This policy and its related procedures apply to all workers, managers, committee members and directors of Compass.

What we will do

1. Take action to respond to any threats to our impartiality arising from the actions of other persons, bodies or organizations;
2. Offer our accreditation body representatives such reasonable access, cooperation, courtesy, and without harassment; to enable monitoring of our compliance with the Accreditation Criteria;
3. Not allow commercial, financial or other pressures to compromise impartiality;
4. Report any situation that may present workers or Global Certification / Compass with a conflict of interests;
5. Disclose any potential or actual conflict of interest before accepting or commencing any work
6. Not use workers on client engagements unless they demonstrate that they have no conflict of interests;
7. Record any actual or potential conflicts of interest;
8. Evaluate our finances and sources of income and demonstrate to the Impartiality committee and board of directors that commercial and financial matters do not compromise impartiality;



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9. Understand how this policy effects our work environment;
10. Report on any violations of this policy;
11. Disclose all gifts from any source greater that \$100 to a Compass director
12. Ask questions if we're not 100% clear.

What we may do

1. Arrange and participate as a lecturer in training courses, provided that, where these courses relate to management systems or auditing. Global Certification will confine itself to the provision of generic information and advice which is publicly available, i.e. Global Certification will not provide company-specific advice which contravenes the requirements of 2 below;
2. Make available or publish on request information describing GC's interpretation of the requirements of certification audit standards
3. Carry out activities prior to audit solely aimed at determining readiness for certification audit; however, such activities will not result in the provision of recommendations or advise that would contravene this clause and they are not used to justify a reduction in the eventual certification audit duration.
4. Perform second and third-party audits according to standards or regulations other than those being part of the scope of accreditation
5. Add value during certification audits and surveillance visits, e.g. by identifying opportunities for improvement, as they become evident during the audit, without recommending specific solutions
6. Deliver published courses to clients and the public in the classroom, at the client's premises and remotely providing it is in accordance with our policy statement



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What we will never do

1. Engage with business partners or in activities that create a conflict of interest;
2. Act in any way that contravenes this policy;
3. Witness any act that contravenes this policy without reporting it;
4. Certify another certification body or a subsidiary of Compass for its management system certification;
5. Outsource audits to a management system consultancy organization;
6. Market or offer our services as linked with the activities of a management system consultancy firm;
7. Provide management system consultancy services;
8. Conduct internal audits of management systems for our certified clients;
9. Certify a system where we have conducted internal audits of the system within a 2-year period;
10. Make arrangements with business partners that are not disclosed in a contractual agreement.
11. Certify a management system that poses an unacceptable risk as defined by the Compass risk policy and procedure
12. Accept gifts that could be perceived to constitute a risk to impartiality. All gifts above \$100 must be disclosed to a Director.



GLOBAL CERTIFICATION PTY LTD

ACN 141 877 278

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Questions

Any questions relating this policy should be directed to the board of directors at board@cas.com.au

Monitoring and Reporting

The effectiveness of this policy will be monitored. An annual review of the policy and its effectiveness will be undertaken by the Board of Directors.

Endorsement

This Policy is endorsed by the Board; accepted by the Compass Impartiality Committee and the document is owned by the Managing Director.