

## UCC-WG-15 Impartiality Rules

version : A/1

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- 1.0 Purpose: to eliminate or minimize risks to impartiality by taking actions against existing conflict of interests, based on the identification and analysis of these conflicts arising from the certification activities.
- 2.0 Applicable scope: applicable to management system certification activities of UCC.
- 3.0 Openness: this document is open to public for the purpose of self-discipline and outer supervision.
- 4.0 Statement: UCC fully understands the importance of impartiality in management system certification activities, and identifies, analyses and manages conflicts of interests against impartiality, so as to safeguard the objectivity and impartiality of management system certification activities.
- 5.0 Annually UCC at least once identifies and analyses the conflict of interests, including the possibility of conflict arising from all kinds of relationships; when these relationships change, identification and analysis shall be conducted in a timely manner. UCC invites key interest parties to form an Advisory Board to supervise the impartiality. UCC activities are reviewed during the yearly Advisory Board meeting to eliminate or minimize the risks to impartiality.
- 6.0 Through the identification and analysis of conflict of interests, UCC determines following relationships might pose threats to impartiality:
  - 6.1 Related organizations: a) investors; b) stock holders; c) organizations under the operation and management of UCC; d) superior organizations.
  - 6.2 Certification bodies: the other certification bodies other than UCC.
  - 6.3 Consultancy bodies: organizations providing management system consultancy services.
  - 6.4 Individuals: a) auditors (full-time or part-time); b) outer technical experts; c) certification managers; d) certification decision-makers; e) members of Advisory Board; f) persons who develop new clients; g) the other persons (inner or outer) who might influence the certification activities.
  - 6.5 Quotation.
  - 6.6 Finance: a) donation; b) loan; c) finance index.
  - 6.7 Contracts.
  - 6.8 Activities: a) management consultancy; b) suspected consultancy activities (e.g. preaudit, training, inner audit, etc.).
- 7.0 Control and management of conflict of interests:
  - 7.1 Related organizations: a) to identify and review related organizations of UCC in its management system; b) to publicize the related organizations to UCC clients and accreditation bodies; c) not to accept certification application from organizations which had accepted consultancy of related organizations in latest two years; d) not to provide certification for related organizations.
  - 7.2 Certification bodies: not to provide certification for the management system certification activities of other certification bodies.
  - 7.3 Consultancy bodies: a) not to establish a relationship of cooperation or sign a cooperation agreement with any management system consultancy bodies; b) not to be related with consultancy charges by any management system consultancy bodies; c) not to outsource audits to any management system consultancy bodies; d) if any management

system consultancy bodies are found to claim or imply that certification will be cheaper, easier, faster or simpler by choosing UCC, UCC shall promptly stop it, clarify and report to accreditation bodies; e) not to claim or imply that certification will be cheaper, easier, faster or simpler by choosing a certain consultancy body; f) not to provide certification to clients who have accepted consultancy or inner audits by consultancy bodies which influence the impartiality of UCC.

7.4 Individuals:

- a) full-time personnel (including auditors, certification managers, certification decision-makers) are not allowed, under any circumstances, to take part in management system consultancy activities (including providing inner audits for clients) ;
- b) not to use persons, who have provided consultancy for the client's management system in the latest two years, to take part in the certification audits or decision making;
- c) all team members shall sign a Statement of Impartiality before an audit, undertaking that they have no relationship with the client which might influence the impartiality;
- d) through their statement in the form of Impartiality Control, other personnel participating in project management undertaking that they have no relationship with the client which might influence the impartiality;
- e) auditors are not allowed to accept valuable gifts, money or any donation, neither attend entertainment activities arranged by the client;
- f) inner/outer personnel are required to tell UCC any circumstances that might lead UCC to a conflict of interests; UCC thus identifies risks to impartiality and personnel shall not be used until there proved to be no conflict of interests;
- g) commission or other benefits for developing new clients are not allowed in UCC.

7.5 Activities: a) UCC provides no management system consultancy; b) preaudits are controlled through the procedure of Management System Preaudit; c) not to provide inner audits for clients; d) not to provide training of non-public courses.

7.6 Quotation: a) to strictly follow the pricing policies defined by the central government and the accreditation bodies; b) to treat all clients equally and impartially, not to offer improperly high or low quotation for some reasons; c) not to offer quotation for management system consultancy.

7.7 Contracts: a) UCC signs independent certification contracts with its clients rather than consultancy contracts or contract packages of consultancy and certification; b) not to accept certification contracts signed by other organizations on behalf of UCC.

7.8 Finance: a) not to accept certification application from a donating organization; b) not to accept any donation from clients; c) not to accept certification application from clients recommended by a donating organization or individuals; d) not to accept certification application from an organization which has a relationship of loan with UCC; e) not to have a relationship of loan with the clients; f) not to accept index of client numbers or economy given by the investors or superior organizations; g) individuals are not allowed to contract an index of client numbers or economy.

8.0 Complaints: any organization or individual, who find violation of clause 7 by UCC or its personnel, can complaint to the Quality Department of UCC, the General Manager, or directly to the accreditation bodies.

9.0 Risks of the clients: certification or audit activities violating above requirements might

lead to the suspension, withdrawal of certification status or the invalidity of the auditing activities.