Management System Registration Program Terms and Conditions

Quality Systems Registrars, Inc.

703-478-0241

www.qsr.com

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This document supersedes all previous versions and details the current Terms and Conditions for QSR® Clients and Registered Firms. The latest revision of the Management System Registration Program Terms and Conditions are considered acknowledged and accepted by all customers who continue to use QSR's services after 10 February 2022.

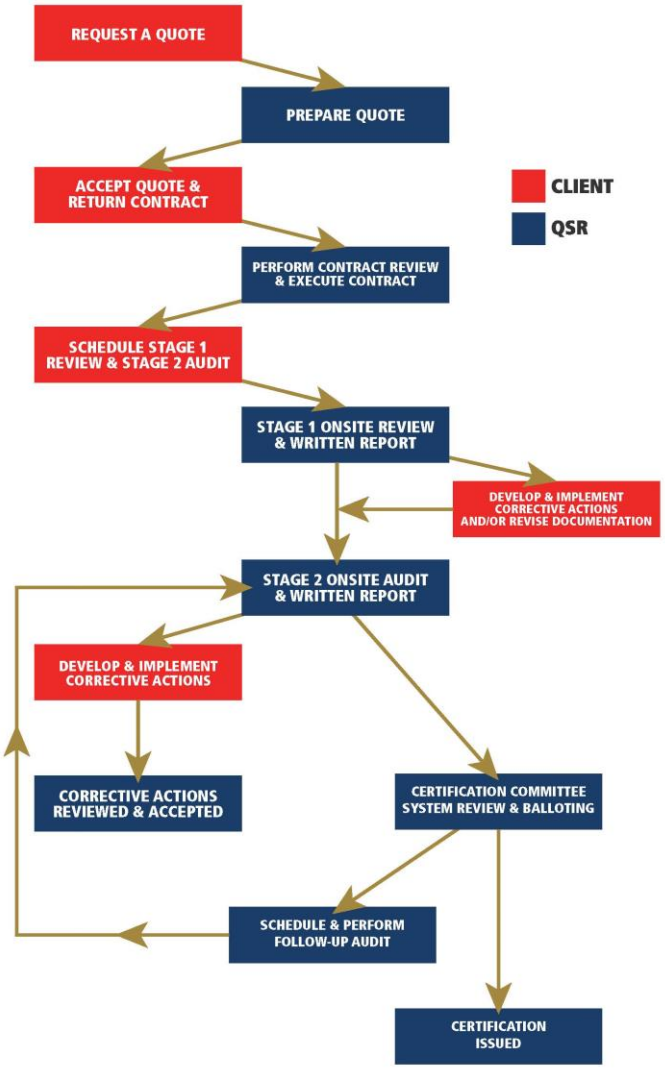
QSR® Client Highlighted Contractual Requirements

The following are a **highlighted** list of requirements for all QSR® clients that are agreed to contractually, and are explained in the body of this document.

1. Reporting to QSR® at least **90-days prior** to any audit:
    a. **Headcount Changes** of effected employees (See Section 10);
    b. **Scope Changes** that the organization determines;
    c. Provide a **Purchase Order IF required** for QSR® invoicing
2. Performing **Internal Audits:**
    a. A full internal audit prior to the Stage 2 Audit;
    b. Maintaining an organization internal audit schedule after the Stage 2 Audit
3. Performing **Management Review**
    a. A full Management Review prior to the Stage 2 Audit;
    b. Perform reviews per a defined schedule
4. Adhering to the **Cancellation/Postponement Policy**
5. Proper usage of **Symbols/Marks** (See Section 16)
6. Standard Specific Requirements (See Section 8.2)

1.0 Certification Process

1. Interested Party requests a formal quotation by completing the Management System Questionnaire, an ISO 17021 requirement.
2. QSR® prepares a proposal and sends to applicant.
3. Applicant accepts proposal and submits signed Contract Acceptance contained in the proposal.
4. QSR® executes contract and the applicant becomes a client with a dedicated Account Manager (AM).
5. Initial certification audits are conducted in two stages:
   a) Stage 1 Review, and Stage 2 Audit.
   b) AM's schedule these audits.
   c) AM's notify client's of their auditor(s); clients may make auditor requests.
6. ***Stage 1 Review*** objectives are to:
   a) Review client's management system documented information;
   b) Evaluate client's location, site-specific conditions, and to interview client's personnel to determine Stage 2 Audit preparedness;
   c) Review the client's understanding of the standard's requirements, as well as:
      i. The identification of key objectives, and/or significant aspects, and/or hazards;
      ii. Key processes; and
      iii. Operation of the management system;
   d) Obtain necessary information regarding the scope of the management system, including:
      i. the client's site(s) and boundaries;
      ii. processes and equipment used;
      iii. levels of controls established;
      iv. applicable statutory and regulatory requirements; and
      v. associated hazards, and risks;
   e) Review the allocation of resources for the Stage 2 Audit and agree with the client on the details of the Stage 2 Audit;
   f) Evaluate if the following **<u>will be completed</u>** prior to the Stage 2 Audit:
      i. A full system **<u>internal audit</u>**; and
      ii. A complete **<u>management review</u>**;
   g) Determine that the level of implementation of the management system substantiates readiness for the Stage 2 audit.



- Documented conclusions with regard to fulfilment of the Stage 1 Review objectives and the readiness for the Stage 2 Audit will be communicated to the client, including identification of any Areas of Concern (AOC) the could be classified as a nonconformity during the Stage 2 Audit.
- In determining the interval between the Stage 1 Review and Stage 2 Audit, consideration is given to the needs of the client to resolve Areas of Concerns identified during the Stage 1 Review.

7. ***Stage 2 Audit:*** objectives are to evaluate the implementation and effectiveness of the client's management system. The Stage 2 Audit takes place at the site(s) of the client. It shall include the auditing of at least the following:
   a) Information and evidence about conformity to all requirements of the applicable management system standard or other normative documents;
   b) Performance monitoring, measuring, reporting and reviewing against key performance measures, objectives, and targets (consistent with the expectations in the applicable management system standard or other normative documents);
   c) The client's management system ability and its performance regarding meeting of applicable statutory, regulatory, contractual and other requirements;
   d) Operational control of the client's processes;
   e) **A complete system internal audit and management review**;
   f) Management responsibility for the client's policies; then QSR® notifies the client of the results:
      i. Written report that incorporates the requirements of 17021 within 14 business days.
      ii. If corrective action is requested by QSR®, the client is notified of the time limit for a response on the corrective action to be taken.
8. The Certification Committee reviews the audit report and makes a decision to grant or withhold registration. If corrective action was requested by QSR®, the Certification Committee approves whether a follow-up audit is necessary to verify implementation of corrective actions, or if written documentation is acceptable. In either case, registration will not be granted until all non-conformances have been adequately addressed. Upon acceptance by the Certification Committee, QSR® issues a Certificate of Registration valid for up to 3 years and enters the Registered Firm's name into the QSR® List of Registered Firms.

2.0 Surveillance and Recertification Audits

QSR® performs surveillance audits of the management systems of Registered Firms. The frequency of the surveillance audits are at the discretion of QSR® but will be at least once per calendar year, except in recertification years.

The date of the first surveillance audit following initial certification will not be more than 12-months from the **certification decision date**.

A complete re-certification audit of the Registered Firm's management system will take place in the third year prior to expiration of the certificate. A Contract Extension will be provided after the Recertification Audit.

The conduct of the surveillance and re-certification audits are the same as described for the Stage 2 of the initial audit.

QSR® will notify the client of the results of a surveillance, or re-certification audit, in written report format that incorporates the requirements of 17021 within 14 business days. If corrective action is requested by QSR®, the client is notified of the time limit for a response on the corrective action to be taken.

3.0 Virtual Audits

QSR® offers a Virtual Audit Process. Clients/Registered Firms may qualify for a Virtual Audit under certain conditions.

a) Organizations that are Virtual (do not have a physical location) will be audited 100% virtually.

b) Organizations that have a physical location but **do not have** warehousing, manufacturing, physical testing laboratories, installation or repairs to physical products may also be 100% virtually audited. Each of these organizations will be individually determined as on-site vs. virtual audits.

c) Other organizations may be offered a full, or partial, virtual audit depending on the audit plan for a particular audit within the audit cycle.

d) Where a combined partial virtual audit and on-site audit is appropriate, the virtual audit will not be greater than 30% of the total audit time.

4.0 Transition Audits

Transition audits are required when upgrading to a new version/revision of a standard. QSR® determines the best methodology to conduct a transition audit either as a standalone audit, or in place of a regularly scheduled audit. QSR® determines the length of time required to meet transition requirements unless specified by supervisory organizations such as ANAB or IAQG. In all cases, appropriate requirements are followed.

Transition Audits conducted as a standalone audit will have all client processes and system elements reviewed. A Transition Audit may be conducted in place of a Recertification Audit.

Clients are required to perform a self-assessment (internal audit) that will be reviewed by the auditor on-site. If there are significant shortfalls, additional time may be added.

QSR® upper management determine audit duration. An audit plan is developed supporting the decision. All Transition Audit activities are documented in an audit plan.

Dependent on the Transition Audit requirements and the timing of the audit in the certification audit cycle, QSR® may elect to issue a 3-year certificate renewal based upon the Transition Audit Certification decision.

After ANAB approval of the initial transition documentation, any needed changes by QSR are approved by ANAB prior to QSR implementation.

5.0 Suspension, Withdrawal, and Voluntary Suspension

QSR® may suspend or withdraw the Certificate of Registration for any of the following reasons:

a) if a periodic audit indicates that non-conformance to the requirements are of a serious nature requiring immediate withdrawal;

b) when formally requested by the Registered Firm;

c) if the Registered Firm does not, or cannot, ensure conformance to the new requirements when system standards are changed;

d) if the Registered Firm no longer supplies the product, process, or services for which registered;

e) if the Registered Firm fails to meet any other provisions of the contract between QSR® and the Registered Firm;

f) if external complaints against a QSR® Registered Firm are found to be justified;

g) if a Registered Firm does not allow surveillance or re-certification audits to be conducted at the required frequency;

h) for ***ISO 45001 certificate*** holders if:

i. QSR® has knowledge of information on incidents, such as a serious accident;

ii. A serious breach of regulation necessitating the involvement of the competent regulatory authority;

iii. It can be demonstrated that the system seriously failed to meet the OH&S certification requirements;

iv. Facilities and work areas are subject to closure and the OH&S risks change as there may no longer be the same risks to employees, but there may be new risks applicable to members of the public (e.g. in case of lack of suitable maintenance and surveillance activities);

v. QSR® cannot verify that the management system continues to meet the OH&S management system standard and be effectively implemented in respect to the closed facilities and work areas.

Failure by the Registered Firm to notify QSR® of their intent to maintain their certification and to forward to QSR® all monies due, QSR® will terminate the contract between QSR® and Registered Firm. Any subsequent registration of the Registered Firm's management system by QSR® may be handled as a new application.

Failure of the Registered Firm to respond within 60-days on the corrective action to be taken as a result of an audit could result in suspension, or withdrawal, of the certificate, or as a non-conformance at the next audit.

The Registered Firm will be notified by e-mail, letter, or other equivalent means of QSR®'s decision to suspend or withdraw the registration and remove all certificates from public viewing and cannot consider itself as a Registered Firm.

QSR® may publish notification of any suspension or withdrawal of a Certificate of Registration.

6.0 Voluntary Suspension

A Registered Firm may request a Voluntary Suspension if the firm believes that their management system can no longer meeting the management system standard requirements. This request may occur before, or during, an audit.

The firm, and QSR®, will agree to the length of the suspension for up to six months. If the request is for a longer period, the client must present improvement plans/results at defined intervals. During this time, the firm will be notified that the firm must remove all certificates from public viewing and cannot consider itself as a Registered Firm.

The criteria for coming out of a Voluntary Suspension, regardless of the timeframe, will be communicated to the firm.

7.0 Appeals

A Client/Registered Firm may appeal any decision the QSR® Certification Committee makes to not award, suspend or withdraw a registration. Appeals are subject to the appeals procedure of QSR®.

In the event a Client/Registered Firm wishes to appeal a decision, the Client/Registered Firm must do so within 30-days of decision notification. The decision of the Certification Committee will stand until such time that the Certification Committee can meet and formally hear the Client/Registered Firm's appeal. If the Client/Registered Firm still wishes to appeal the Certification Committee decision, it is escalated to the Board of Governors for a final decision.

8.0 General Information

Certificates of Registration are subject to the terms of QSR® as set forth herein. If a Registered Firm does not wish to continue its registration, it must notify QSR® in writing by email or letter.

In the event of any changes within the QSR Management System Program, QSR® will notify all Registered Firms affected by the change(s), of the effective date of the change(s), and action(s) required by them.

QSR® does not disclose any information concerning a Registered Firm other than information that is public knowledge except to accreditation agencies that have independently agreed not to disclose confidential information.

QSR® will notify the Registered Firm, at QSR®'s discretion, of customer complaints relating to the management system operation.

The terms and conditions herein are subject to change at QSR®'s discretion. When a change in terms occurs, the Registered Firms will be notified via email with an updated copy of this document.

8.1 General - Client/Registered Firm Responsibilities

a) Comply with the QSR® Registration Program requirements, this document.

b) Document, implement and maintain a management system in accordance with the applicable standard.

c) Internal Audits & Management Review

   i. A complete system Internal Audit and Management Review must be conducted prior to a Stage 2 Audit.

   ii. Conducted at planned intervals to provide information on whether the management system is in conformance to the requirements of the organization's management system and the applicable management system standard or other normative documents and whether the management system is effectively implemented and maintained.

d) Give QSR® representatives access, during normal business hours, to the facilities that are the subject of registration to conduct audits.

e) Agree to provide access to QSR®'s accreditation body representatives for witnessed audit purposes.

f) The facility will assure QSR that it will be operating at the time of the assessment.

g) Appoint a point of contact to be responsible for all matters relating to the requirements for registration.

h) **Promptly notify QSR® of changes to the**:

   i. **Scope** of Registration contained in the Registration Contract;

   ii. **Significant Head Count** changes within the Scope of Registration (See Effective Number of Personnel section for guidance); and

   iii. **Organization changes** that may affect certification status.

i) Ensure that management system consultants to the client/registered firm, if present during an audit, are limited to the role of observer.

   i. Consultants cannot interfere with the audit.

j) Registered firms are entitled to use the QSR® Registered Firm Symbol in accordance with conditions defined in Use of QSR® Registered Firm Symbol document.

k) Immediately discontinue any use of the QSR® Registered Firm Symbol that is unacceptable to QSR®.

l) Upon termination of the Certificate of Registration (whether through the request of the Registered Firm or QSR®), discontinue all use of the QSR® Registered Firm Symbol including all advertising, literature, or documents which contain any reference to the QSR® Registered Firm Symbol or the status of being a Registered Firm.

m) Release and agree to indemnify and hold harmless QSR®, and their directors, officers, employees and agents from any losses, damages, claims, liability, causes of actions or demands and all costs and expenses incidental thereto (including costs of defense, settlement and reasonable attorneys' fees) made at any time by any party arising out of, resulting from or in any way relating to the certification services provided by QSR®.

8.2 Standard Specific Requirements

AS9100 Clients

a) The right-of-access will extend, as applicable, to AAQG OEM representatives.

b) Are contractually required to provide copies of the audit report and associated documents/records to their customer and potential customers, upon request, unless justification can be provided (e.g., competitor confidentiality, conflict of interest). The organization may provide access to this data through the online web-access AS database or by providing the audit report directly to the customer.

c) Allow QSR® to provide Tier 1 data (i.e., information on the issued AQMS standard certificate - public domain) and Tier 2 data (e.g., information and results of audits, assessments, non-conformances, corrective action, scoring, and suspensions - private domain) to the OASIS database.

d) If a Registered Firm loses their AQMS standard certification, they are provide immediate notification to their aviation, space, and defense customers.

e) Classified Material and Export Control (ITAR): If a Registered Firm works with classified material or must comply with export controls that will affect auditor access, those situations must be disclosed to any aviation, space and defense clients and identified in the contract. Records and documents associated with these situations must be part of the document record and are subject to right of access.

ISO 45001 Clients

a) Notify QSR®, with undue delay, of the occurrence of a serious incident or breach of regulation necessitating the involvement of the competent regulatory authority.

b) Shall be able to demonstrate its achievement of compliance with their legal OH&S requirements through its own evaluation of compliance prior to the QSR® granting certification.

c) Where clients/Registered Firms are not be in legal compliance, the organization shall demonstrate it has activated an implementation plan to achieve full compliance within a declared date, supported by a documented agreement with the regulator, wherever possible, for the different national conditions. The successful implementation of this plan is to consider a priority within the OH&S Management System.

d) Clients may be subject to a special audit when, independently from the involvement of the competent regulatory authority, QSR® becomes aware that there has been a serious incident related to occupational health and safety. For example, a serious accident, or a serious breach of regulation, in order to investigate if the management system has not been compromised and did function effectively. QSR will document the outcome of its investigation.

RCMS / RC14001 Clients

a) Agree to provide access to QSR®'s accreditation body representatives for witnessed audit purposes. This right-of-access will extend, as applicable, to ACC representatives.

TL9000 Clients

a) Provide QSR® with evidence that at least one data point (3-months data) regarding appropriate metrics, have been submitted to the QuEST Forum Administrator, and written confirmation of the acceptability of the data received.

9.0 Organization Changes

If a Registered Firm requests modification of their scope of registration, QSR® will determine what, if any, audit procedure is necessary to grant the requested modification.

The Registered Firm is responsible for promptly informing QSR® about any significant changes to the organization, including:

a) Legal and regulatory changes that may affect the client management system(s);
   - Please note that regulatory matters associated with one standard may affect other standards

b) Commercial, organizational status or ownership;

c) Organization and management (key managerial, decision-making or technical staff);

d) **Number of effective employees**;

e) Scope of operations under the management system and processes;

f) Major changes to the management system and processes;

g) Any proposed changes to its management system that may affect conformance to the requirements for registration.

QSR® will review the proposed changes for conformance to the registration requirements and decide whether an audit or further investigation is required. QSR® will notify the Registered Firm of its decision.

A QSR® auditor will verify changes to the management system documentation that do not affect conformance to the requirements of registration on-site during a subsequent audit.

10.0 Effective Number of Personnel

Audit Duration is increased or decreased based on the effective number of personnel defined as:

*The effective number of personnel consists of all personnel **(permanent, temporary, and part-time)** involved within the scope of certification including those working on each shift. When included within the scope of certification, it shall also include non-permanent (e.g. contractors) and part time personnel.*

For OH&SMS it shall also include contractors/subcontractors performing work or work-related activities that are under the control or influence of the organization that can impact the organization's OH&SMS performance.

As the organization, moves within these brackets QSR must be notified so that required audit duration can be adjusted to comply with certification requirements. When smaller sites add or subtract employees, it can dramatically affect the length of the audit.

ISO 9001, 14001, RC 14001 & 45001 Employee Count Brackets	
1-5	626-875
6-10	876-1175
11-15	1176-1550
16-25	1551-2025
26-45	2026-2675
46-65	2676-3450
66-85	3541-4350
86-125	4351-5450
126-175	5451-6800
176-275	6801-8500
276-425	8501-10700
426-625	>10700

Aerospace AS 9100D Employee Count Brackets		
1 - 5	276 - 425	6801 - 8500
6 - 10	426 - 625	8501 - 10700
11 - 15	626 - 875	10701 - 12225
16 - 25	876 - 1175	12226 - 13970
26 - 45	1176 - 1550	13971 - 15715
46 - 65	1551 - 2025	15716 - 17460
66 - 85	2026 - 2675	17461 - 19205
86 - 100	2676 - 3450	19206 - 20950
101 - 125	3451 - 4350	20951 - 22695
126 - 175	4351 - 5450	22696 - 24440
176 - 275	5451 - 6800	24441 - 26185

RCMS Employee Count Brackets	
1-20	301-350
21-60	351-400
61-100	401-450
101-150	451-625
151-200	626-875
201-250	876-1175
251-300	117-1550
	>1550

ISO 20000-1 Employee Count Brackets
1-15
16-25
26-45
66-85
86-125
126-175
176-275
276-425
426-625
626-875

11.0 Short Notice/Follow-Up/Special or Unannounced Audits

It may be necessary for QSR® to conduct audits of registered firms to:

- **Verify Non-conformance Reporting (NCR)**

  a) A Special/Follow up Audit prior to the next scheduled certification cycle audit to verify corrective action effectiveness.

  - The time and associated cost for a NCR Special Audit is not included/documented in the Audit Duration Summary;
  - The requirement and audit duration for a Special Audit required for NCR verification will be documented in an Audit Assignment and the published Audit Report.

  b) Additional time on-site at the next scheduled certification cycle audit may be required for corrective action verification and record completion.

  - AS 9100D Audits will have additional time at the next scheduled certification cycle audit as required by the IAQG;
  - The time and associated cost for NCR Special Audit/Follow-up is not included/documented in the Audit Duration Summary;
  - Additional time required for NCR verification at the next scheduled certification cycle audit is documented in the most recent Audit Assignment and Audit Report.

- **Investigate complaints**
- **In response to scope or other Management System changes (as noted in Section 9.0)**
- **Re-instatement of certificate due to Voluntary or In-Voluntary Suspension.**

If additional Short Notice, Special or Follow-Up auditing activities are required, they **are invoiced** at the Registered Firm's **current day rate plus a $250.00 Certificate Management Fee and applicable travel expenses**.

12.0 Cancellations/Postponements

Due to the financial hardship to QSR® Auditors because of client cancellations and postponements, QSR® will invoice the following fees to the Client/Registered Firm for confirmed audits for cancellations and postponements:

1-15 days prior to a scheduled audit	Full Audit Cost
16-30 days prior to a scheduled audit	$2,000.00
31-45 days prior to a scheduled audit	$1,500.00
46-60 days prior to a scheduled audit	$ 750.00

A Client/Registered Firm will also be responsible for the costs associated with cancellation of travel.

13.0 Purchase Order Information

If a Purchase Order is required for invoice submittals, please make sure that the Purchase Order is submitted prior to any scheduled audit.

Auditors will not be allowed to perform audits until:

- A Purchase Order is received, or
- QSR has written confirmation that a Purchase Order will be generated upon invoice submission, or
- QSR has written confirmation that a Purchase Order is not needed for invoicing purposes.

14.0 Invoicing Information

Invoices are sent at the conclusion of each audit. QSR payment terms are Net 30 days. QSR reserves the right to send multiple invoices prior to the conclusion of an audit if the audit spans multiple weeks and/or months. Oversea clients may be invoiced for audit duration and fees up to 90 days prior to the audit date.

Due to QSR's efforts to reduce waste, increase safety and minimize check loss, QSR's requested method of payment is ACH. Please contact us for QSR's ACH Information.

15.0 Travel Costs

QSR® clients will be invoiced for travel expense at actual cost after completion of an audit. QSR reserves the right to invoice estimated travel expense and time for oversea clients up to 90 days prior to the audit date.

Where flexibility in scheduling exists, QSR® will attempt to cluster audits in your region to minimize and distribute travel costs to multiple clients.

QSR® clients are invoiced for auditor travel time after completion of an audit. QSR® Auditors are reimbursed travel time for each audit or follow-up activity. This amount is based on numerous factors and may reach a maximum of $500.00 per auditor within the United States. Travel time for overseas (excluding Canada and Mexico) audits are billed at an amount of $750.00 per location visited, unless travel is reasonable within the same country.

In the case of foreign travel where a VISA may be required, the cost to obtain the VISA is the responsibility of the client.

16.0 Use of QSR® Registered Firm Symbol (use of Marks and Logos)

Upon Registration by QSR®, the Registered Firm is entitled to use the QSR® Symbol. Artwork of the QSR® Symbol is available in both camera-ready format and electronic format from the QSR® Office.

a) When the QSR® Registered Firm Symbol is used; it must always be in conjunction with the company's name and location. The company's registered number must always be present.

b) The QSR® Registered Firm Symbol may be used only on correspondence, advertising, and promotional materials that are related to the goods and services referenced in the scope of the company's Certificate of Registration.

c) The QSR® Registered Firm Symbol MAY NOT, under any circumstances, be used directly on or closely associated with products in such a manner as to imply that the products themselves are certified by QSR®. This includes laboratory test, calibration and/or inspection reports. Additionally, any false or misleading statements or misrepresentation of certification is not permitted on the clients marketing materials, media or website.

d) The Registered Firm shall immediately, upon written notification, discontinue use of the QSR® Registered Firm Symbol in any manner which QSR® interprets as misleading.

e) Upon written notification of cancellation of the Certificate of Registration, the Registered Firm shall immediately discontinue use of the QSR® Registered Firm Symbol.

f) Any misuse of the QSR® Registered Firm Symbol is cause for cancellation of the Registered Firms Certificate of Registration.

g) The QSR® Registered Firm Symbol shall be reproduced in a predominant color on a clearly contrasting background. The size shall be such that all features of the Symbol are clearly distinguishable.

h) If the Registered Firm desires to use the accreditation mark(s) of QSR®'s Accreditation Agency(s), they must be used in conjunction with the QSR® Registered Firm Symbol. The use of the accreditation mark(s) shall be governed in accordance with paragraphs (a) through (g) above, and Regulation for the use of the Accreditation Logo ANAB PR1018 Annex 2 (www.anab.org).

i) The use of any certification statement on product packaging or in accompanying information in which a statement that the certified client has a certified management system shall in no way imply that the product, process or service is certified. Product packaging is considered as that which can be removed without the product disintegrating or being damaged. Accompanying information is considered as separately available or easily detachable. Type labels or identification plates are considered as part of the product and therefore cannot be used. The statement must include reference to:

- Identification (brand or name) of the certified client,
- The type of management system (quality or environmental for example) and the applicable standard,
- Quality Systems Registrars, Inc. as the certification body.

17.0 Important Terms

ACC: American Chemistry Council

ANSI-ASQ National Accreditation Board (ANAB): the U.S. organization that accredits third party registrars of environmental management systems.

AS9100: Quality Management System standard requirements for aerospace.

Auditor: a qualified individual who performs any portion of a preliminary, certification, periodic or re-certification audit.

Board of Governors: the designated group that is responsible for the performance of the QSR® Registration Program.

Certificate Management Fee: The QSR® Certificate Management Fee includes time for auditor off-site planning and reporting activities (excluding AS 9100) and also includes the services of a dedicated Account Manager, project administration, scheduling activities, technical file review, document change review, and assistance with technical questions.

Certification Audit: an audit of the client's complete management system to measure its conformance to the requirements of the referenced standard. The results of certification audits are used to determine whether the certificate of registration will be issued.

Certificate of Registration: a certificate issued by QSR® that recognizes that the management system operated by a firm meets the requirements of QSR® and the applicable management system requirements. All Certificates of Registration remain the property of QSR®.

Certification Committee: the sole authority through which all questions regarding certification and audits are disposed. The Certification Committee is responsible for approval of client registration.

Client: a firm under contract with QSR® that requests consideration for management system registration.

CMMC: DOD Cybersecurity Maturity Model Certification requirements.

ISO 9001: Quality Management System standard requirements.

ISO 14001: Environmental Management System standard requirements.

ISO 45001: Occupational Health and Safety Management System standard requirements.

ISO 20000-1: Information Technology Service Management standard requirements.

ISO 27001: Information Security Management Standard requirements.

Lead Auditor: individual qualified to organize and direct certification and audits, report results, and conclude corrective action.

Management System: the organizational structure, responsibilities, procedures, processes, and resources for implementing quality, environmental and/or safety management. For Responsible Care this will include Responsible Care, environmental, health, safety and security

Major Nonconformance: A "major" nonconformity is one that affects the capability of the management system to achieve the intended results. Several minor nonconformances when taken together indicate that one or more requirements have not been addressed or implemented. For TL 9000 audits, a "major" nonconformance is one that is either structural or systemic and could affect product or service quality. Corrective actions for all Major nonconformances must be verified as effective within 60 days of the audit, unless an on-site Follow-up Audit is recommended.

Minor Nonconformance: A "minor" nonconformity is one that does not affect the capability of the management system to achieve the intended results.

Periodic Audit: a surveillance audit of a portion of the client's management system to measure conformance to the requirements of the referenced standard.

Preliminary Audit: an optional audit performed at the client's request. This audit measures the status of implementation of a client's program to the requirements of the applicable management standard. Results of this audit have no impact on the Certification Audit.

QSR®: Quality Systems Registrars, Inc.

RC14001: American Chemistry Council's environmental standard.

RCMS Option 1: RCMS Certificate – document used when the QSR® conducts surveillance audits and the effective dates span three (3) years from the date of the certification decision.

RCMS Option 2: RCMS Letter of Conformity - document stating that as of the date of issue, the organization's management system was conforming to the requirements found in the RCMS Technical Specification. The effective date will correspond to the date the document is issued. It cannot span a period of time. This type of document is used when a client elects not to conduct surveillance audits.

Re-Certification Audit: an audit of the Registered Firm's complete management system to measure its continuing conformance to the referenced standard. This audit is performed in the first year of each three-year period of registration.

Registered Firm: a firm that meets the applicable management system requirements and is granted registration by QSR®.

Responsible Care: refers to the applicable RCMS or RC 14001 technical specification.

Surveillance: audits performed to monitor the on-going effectiveness of a registered firm's management program.

TL 9000: Quality Management System standard requirements for Telecom.