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## NVT/QP/2/20 PROCEDURE FOR IMPARTIALITY

- 1.0 OBJECTIVE** : The objective of this procedure is to provide audit and certification service to all customers for ensuring impartiality.
- 2.0 COVERAGE** : NVT-QC Certification Services
- 3.0 RESPONSIBILITY** : Head(Operations), CMO, MR, CH/CEO and Committee of Experts for Impartiality
- 4.0 REQUIREMENTS** : ISO 17021-1, AS 9104/1 and NVT/QM/01/001
- 5.0 PROCEDURE** :

SI.No.	Activity	Input Requirements (Standards/Documents)	Output/Evidence
1.	NVT-QC provides quality system audit and certification service to all customers in a consistent and reliable manner, facilitating improvements in their business process and acceptance on national and international level.	ISO 17021-1, AS 9104/1 and NVT/QM/01/001	
2.	NVT-QC understands the importance of impartiality in carrying out its certification activities. NVT-QC analyses conflict of interest, manages conflict of interest and ensures the objectivity of its management system		NVT/FORM/4/55-1 - Report on Risk Analysis on Conflict of Interest

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	certification activities.		
3.	<b><i>Impartiality policy of NVT-QC</i></b> <i>NVT-QC shall operate its certification operations by ensuring the viability of the value of certification, accessibility of its services to all users of certification and these shall be applied in a manner necessary to preserve the guiding principles of impartiality, competence, responsibility, openness, confidentiality and responsiveness.</i>		
4.	NVT-QC's management ensures that the committee has a person(s) for safeguarding impartiality with continuing aviation, space, or defense industry involvement through relevant work experience in the industry (i.e. involvement with aerospace manufacturing, maintenance or service organizations as part of its structure. The structure of committee of expert for impartiality consists of all interest to ensure that the certification services offered by NVT-QC meets the requirement of impartiality.	NVT/QP/2/001 - Procedure for Competence of all NVT Personnel	
5.	<i>Confidentiality Undertaking Forms</i> obtained from all members of the committee of experts.	<i>Confidentiality Undertaking for Committee of Experts</i> <i>NVT/FORM/4/012-A</i>	
6.	Responsibilities and Authorities of all		

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	committee of experts are defined.		
7.	<p>NVT-QC has constituted a committee of experts with the following terms of reference:</p> <ul style="list-style-type: none"> <li>- Assisting in developing policies related to impartiality of NVT-QC's certification activities.</li> <li>- To counteract any tendency for commercial or other considerations to prevent consistent, objective provision of certification activities.</li> <li>- To advise on matters affecting confidence in certification including openness and public perception.</li> <li>- To conduct annual reviews of the impartiality of the audit, certification and decision making processes of NVT-QC. For this purpose the committee of experts may form sub committees.</li> </ul>		
8.	<p>Rules for constitution of this committee are as under:</p> <ol style="list-style-type: none"> <li>a. The committee shall have minimum 5 members.</li> <li>b. Chairman of the committee shall be a senior professional from an institute of learning in the field of Quality Management.</li> <li>c. Committee shall have balanced</li> </ol>		

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	<p>structure to represent key interest such as: clients, customers of Organisation whose management systems are certified, representative of Indian trade association, representative of government regulatory body or other government services, or representative of nongovernmental Organisation or consumer organization. It shall have at least one person with experience in aviation, space or defense industry (i.e. involvement with aerospace manufacturing, maintenance or service organisations.</p> <p>d. Committee members shall be known experts in their areas and shall have knowledge of the certification. They shall be agreeable to spare their time for committees' deliberations and abide by the confidentiality agreement. They shall have a clean record.</p> <p>e. Once the committee is formed, additions and deletions to the committee shall be with the approval of the CH/CEO and management committee.</p> <p>f. Committee members who have</p>		
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	<p>been consistently unable to participate in the deliberations will be considered for deletion.</p> <p>g. The term of membership of the committee will be for 5 years and re-nomination can be for further periods of 5 years each.</p> <p>h. The quorum for committee of experts shall be minimum 4 members having one representative from each major area. If any member expresses his inability to attend the meeting in the last minute, the meeting shall be continued. But the minutes shall be circulated to all members including those absent for their review.</p> <p>i. Input to the committee will include among other details, management's report on analysis of conflict of interest and audit report on impartiality.</p> <p>j. In the absence of Chairman of the committee of experts, members present will decide the Chairman of the meeting.</p>		
9.	NVT-QC provides on an ongoing basis all necessary information to the committee of experts to enable it to fulfill its functions.		

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	<p>This includes information on its finances and sources of income through an audit. Top management of NVT-QC abides by the decisions of the committee of expert and implements the suggestions, if any. A record of implementation is kept. The committee has the authority to take independent action including informing accreditation board (s) in case its directive is not implemented by NVT-QC.</p>		
10.	<p>NVT-QC carries out every year risk analysis associated with &amp; in providing competent, consistent and impartial certification services, which includes:</p> <ol style="list-style-type: none"> <li>1. Risk due to Auditors' Conflict of Interest/ Residual Risks</li> <li>2. Risk from conflict of interest due to providing training program/ Residual Risks</li> <li>3. Risk from conflict of interest due to stakes in any organization certified by NVT-QC/ Residual Risks</li> <li>4. Risk from conflict of interest due to having provided services other than certification/ Residual Risks</li> <li>5. risk due to ownership/ residual risks</li> <li>6. risk due to governance &amp;</li> </ol>	<p>NVT/FORM/4/55-1 - Report on Risk Analysis on Conflict of Interest</p> <p>NVT/FORM/4/055-2 – Report on Risk Analysis on Organizational Risk</p> <p>NVT/INST/3/015 Guidance Document for Risk Analysis</p>	

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	<p>management/ residual risks</p> <p>7. Risk due to personnel employed by NVT QC / residual risks</p> <p>8. Risk due to shared resources/ residual risks</p> <p>9. Risk due to state of finances/ residual risks</p> <p>10. Risk due to contracts &amp; marketing/ residual risks</p> <p>11. Risks associated with objectives of audit/ residual risks</p> <p>12. Risk associated with sampling used in the audit process/ residual risks</p> <p>13. Risk associated with legal, regulatory and liability issues/ residual risks</p> <p>14. Risk associated with the client organizations being audited and its operating environment including health &amp; safety of audit team/ residual risks</p> <p>15. Risk associated with perception of interested parties/ residual risks</p>		
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	<p>16. Risk associated with misleading statements by the certified client &amp; use of marks/ residual risks</p> <p>17. Risk associated with other services/ residual risks</p> <p>18. Risks associated with subcontract auditors / residual risks</p> <p>19. Risk involved in transfer of certified</p> <p>20. Risks from other registrars to NVT QC / residual risks</p> <p>21. Risk assessment based on openness and public perception</p>		
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