

## **1. FOO KON TAN LLP's VERIFICATION AND VALIDATION CERTIFICATION PROCESS**

### **1.1 Initial Audit**

Clients will be given a Validation and Verification assessment plan prior to the start of the audit. The Verifier/Validators will meet with the clients' premises to discuss the conduct of the audit and the audit process, including non-conformities, observations and improvement opportunities identified during the audit.

The Verifier/Validators will prepare a Validation and Verification assessment report detailing the findings, nature of corrective actions to be taken and the scope of certification to the clients' after the audit.

### **1.2 Granting of Validation and Verification Statement Certification Approval**

FOO KON TAN LLP will grant Clients its Validation and Verification Statement certification approval when Clients complete all agreed corrective actions and are accepted by FOO KON TAN LLP's Verifier/Validators. The Validation and Verification Statement certificate issued to Clients detail the scope of the Management system found compliant at the time of audit. The certificate remains the property of FOO KON TAN LLP

### **1.3 Re-Certification**

FOO KON TAN LLP performs a re-certification of clients' Management system as requested by client. Subject to the satisfactory outcomes of the re-certification audit, FOO KON TAN LLP will re-issue the Validation and Verification Statement certification approvals to the clients. Clients shall be required to complete the re-certification audit and obtain Validation and Verification Statement certification approvals before the expiry date of the current certification where applicable.

## **2. CONFIDENTIALITY**

2.1 FOO KON TAN LLP safeguards Clients' information obtained or created during the performance of the Validation and Verification Services.

2.2 FOO KON TAN LLP will divulge only Clients' information detailed on the Validation and Verification statement certification approval. FOO KON TAN LLP will inform Clients in advance, of confidential information required to be make available by law and/or governing regulations to third party, eg government agencies, accreditation bodies,

### **3. QUALITY POLICY**

FOO KON TAN LLP aims to be recognized as the market leader in the fields of Validation and Verification Services. To achieve this, our aims are:

- To work in partnership with each of our clients in order to provide them with the information and services which consistently meet their need and expectations.
- To provide our clients with a Validation and Verification statement which is recognized and accepted as a symbol of excellence.
- To provide our clients with a consistent approach.

The accomplishments of these aims involve the following objectives:

- The use of a uniform approach.
- Providing leadership in the setting of professional standards at a level to which our competitors would aspire.
- Obtain accreditation wherever that will support our service to clients.
- Continuously improve the quality of the FOO KON TAN LLP operations to meet customers and stakeholder expectations.

#### **Impartiality**

- FOO KON TAN LLP is always being impartial, and being perceived to be impartial, is necessary for a FOO KON TAN LLP to deliver validation and Verification Services that provides confidence. It is important that all internal and external personnel are aware of the need for impartiality.
- It is recognized that the source of revenue for a FOO KON TAN LLP is its client paying for validation and Verification Services, and that this is a potential threat to impartiality.

To obtain and maintain confidence, it is essential that FOO KON TAN LLP decisions be based on objective evidence of conformity (or nonconformity) obtained by FOO KON TAN LLP, and that its decisions are not influenced by other interests or by other parties.

Threats to impartiality may include but are not limited to the following and is taken care by FOO KON TAN LLP.

- a) Self-interest: threats that arise from a person or body acting in their own interest. A concern related to validation and Verification Services, as a threat to impartiality, is financial self-interest.
- b) Self-review: threats that arise from a person or body reviewing the work done by themselves. Auditing the management systems of a client to whom FOO KON TAN LLP provided management systems consultancy would be a self-review threat.
- c) Familiarity (or trust): threats that arise from a person or body being too familiar with or trusting of another person instead of seeking audit evidence.

d) Intimidation: threats that arise from a person or body having a perception of being coerced openly or secretly, such as a threat to be replaced or reported to a Management Representative/ impartiality committee.

#### **4. COMPLAINTS, DISPUTES AND APPEALS**

4.1 Clients who may wish to make a complaint could submit in writing to the FOO KON TAN LLP, stating specific details of the nature of the complaint. The FOO KON TAN LLP will conduct an internal investigation and conclude its investigation with corrective actions where deemed necessary.

4.2 FOO KON TAN LLP will notify certified clients of any complaint about them that is received from their customers or any other party. FOO KON TAN LLP would give certified clients reasonable time and opportunity to respond to the nature of the complaint raised. FOO KON TAN LLP will investigate on the complaint and take appropriate actions. If the complaint relates to clients' Validation and Verification Statement certified activities, FOO KON TAN LLP will examine the effectiveness of clients' certified Management system at the next audit/special audit as needed.

4.3 FOO KON TAN LLP requires certified clients to maintain a Complaints File detailing their customers' complaints and clients' responses and corrective actions. FOO KON TAN LLP's Verifier/Validators will review any complaints and customer feedback during the next audit/or re-certification audits.

4.4 Clients may appeal and/or dispute any decision and/or actions taken by FOO KON TAN LLP by submitting in writing, the details to the FOO KON TAN LLP's Technical Manager for escalation actions to the FOO KON TAN LLP Independent Impartiality Committee. The Independent Impartiality Committee shall appoint suitable persons and/or an Appeal Panel to investigate and/or review into the disputes and/or appeals. The Independent Impartiality Committee shall impose appropriate remedial or conciliatory actions to resolve the disputes and/or appeals. Records of the Independent Impartiality Committee's deliberations are noted in the Independent Impartiality Committee's minutes.

4.5 If an appeal is raised, clients and FOO KON TAN LLP's Verifier/Validators will be called upon to state their case in private with the appointed Appeal Panel. The decision of the Appeal Panel shall be final and shall not be subjected to further appeals.

For more information, please email or contact us as follows:

Foo Kon Tan LLP,  
1 Raffles Place #04-61, One Raffles Place Tower 2  
048616 Singapore  
Email: [kengchong.sim@fookontan.com](mailto:kengchong.sim@fookontan.com)