

ICV ASSESSMENTS PVT. LTD.	
Document name	SOP for management of client's confidentiality
Document no	ICV/MCC/SOP/02
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STANDARD OPERATING PROCEDURE

FOR

Management of Client's Confidentiality

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1.0 Purpose:

To lay down documented guidelines for management of client's confidentiality

2.0 Scope

This procedure is applicable to all categories of clients who have signed contract for audit and certification with ICV.

3.0 Authority

CEO of the CB/ CAB is authorized to approve this SOP, while the M R is authorized to issue its controlled copies. The SOP can be amended only by the CEO of the CB.

4.0 Responsibility

Primary: All staff members who are directly involved in certification process

Secondary: All staff members of the Certification body

5.0 Procedure:

5.1 To inspire trust in the certification body, ICV has established legally enforceable agreements with individuals, committees and external bodies (if any) and individuals working on its behalf, which binds them to maintain confidentiality of the information obtained or created during the performance of audit and certification activities.

Ref: Record of confidentiality agreements

5.2 Client related all information excepting those that has been made publicly accessible by the client, are treated as confidential. ICV has informed its clients in advance about the type of their information, that the CB intends to place in public domain.

Ref: Contract form for clients (ICV/F/04)

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5.3 Confidential information required to be made available to interested parties (e.g. Legal or regulatory authorities) under ISO 17021-1:2015 standard, are disclosed on the basis of Certification contract signed by the client.

Ref: Client's Contract form

5.4 Confidential information of client required to be disclosed to Govt. authorities as per their written request, is disclosed to them, and the client is informed about the information shared with legal authorities, unless prohibited by law.

Ref: Record of Govt. requests for information, and its reply

5.5 Confidential information of clients other than those described in para 5.3 and para 5.4, are not disclosed to any one without getting written consent / permission from the client.

5.6 Information about the client received from sources other than the client (e.g. complainant, regulators) are treated as confidential. Record of Such information and of subsequent action if any, is retained in the clients audit file.

5.7 ICV has made its Personnel, including any committee members, contractors, personnel of external bodies or individuals acting on the certification body's behalf, legally bound to keep confidential all information obtained or created during the performance of the certification body's activities.

Ref: Agreement/ declaration of confidentiality

5.8 ICV has made provisions to secure and preserve hard and soft record of confidential information of the clients. Hard files are kept in lockable

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almirahs and cup boards, accessible only to the CEO, Tech. Director and the Operations Manager.

5.9 Confidential information in electronic data file is kept password protected accessible only to the CEO, Tech. Director and Operations Manager.

5.10 ICV takes prior permission from its clients as per its audit & certification contract signed by the Client, regarding possible sharing of their Confidential information contained in audit reports/ file, with certification related regulatory bodies, if any.

Record

Record of confidentiality agreements/ declarations

Record of requests seeking client's information and subsequent action

Client file

Refer:

Cl. 8.5 of the ISO 17021-1:2015 std.

Section 8.5 of the ICV Manual