



40 Aberdeen Ave Suite 004, St. John's, NL A1A 5T3, Canada

AltoMaxx Technologies Inc.

PRODUCT CERTIFICATION MANAGEMENT SYSTEM EVALUATIONS (PROCEDURE)

Prepared By	Approved By	Date
Maria Savage	Chris Haley	April 21, 2020
Document No.: P/13	Revision No. 03	Update Date: 29/05/2021

This document is property of AltoMaxx Technologies No corrections / amendments are to be made except by the person authorized. All material in this document shall be remain confidential.

Table of Contents

- 1. PURPOSE3
- 2. SCOPE.....3
- 3. TERMS AND DEFINITIONS.....3
- 4. PROCEDURE3
 - 4.1 GENERAL.....3
 - 4.2 EVALUATION4
 - 4.3 REMOTE EVALUATIONS4
 - 4.4 FINALIZING EVALUATIONS4
- 5. REFERENCES.....5
- 6. RECORDS5

1. PURPOSE

The purpose of this procedure is to describe a procedure for evaluation planning, conducting the evaluations at client premises, preparation of reports and submitting the reports.

2. SCOPE

This procedure is applicable to plan and execute all evaluations for which AltoMaxx Technologies provides certifications.

3. TERMS AND DEFINITIONS

All applicable as defined in clause 3 of manual.

4. PROCEDURE

4.1 GENERAL OVERVIEW

The purposes of the evaluation activities are to provide reasonable assurance that the Client's process conforms to the requirements stated in the certification agreement. This verifies both parties understand the requirements. The security and confidentiality of electronic or electronically transmitted information during the assessment process is of high priority for both the client and AltoMaxx.

The Quality Manager or designee is responsible for the selection of the evaluation team. Unless required for technical reasons and logistics, care shall be taken to ensure that same evaluator does not visit the client more than three consecutive visits. All evaluators / subcontractors are responsible for identifying conflicts of interest and notifying the Quality Manager for corrective actions.

The team is assigned to a client for the evaluation activities. Before certification activities begin the documents are reviewed. Evaluation personnel notify the client 30 days before the assessment date. If the evaluation is conducted by external personnel, AltoMaxx Technologies takes full responsibility for the outcome of the results. A surveillance plan and surveillance history (where applicable) are included in the information package provided to the client.

The team leader issues an evaluation report based on the team findings. If major nonconformances are found during the course of the audit, the client will be notified fourteen (14) days after the assessment, and they must be adjusted within 60 days. If the evaluator finds a breach of legal/ regulatory/ statutory requirements the evaluator will communicate the finding to the team leader who will notify the Client's management of the violation. If after proper investigation, the Client's process is inadequate than a nonconformance as appropriate will be raised. The evaluator is expected to follow-up on the status of the breach prior to granting certification. This may require additional assessment activities based on the severity of the nonconformance.

When the evaluator relies on certifications that have already been granted to the client and intend to omit activities, then AltoMaxx will reference the existing certification in the client database. If requested by the client, the certification body shall provide justification for omission of activities based on a reference to the previous evaluation.

4.2 EVALUATION

The Quality Manager or designee prepares a plan that will cover activities performed during the evaluation. The plan is shared with the client and evaluation team for review and confirmation, the documents are kept on record. Based on the plan, evaluation activities are assigned to technical staff. An example of the evaluation process is seen in the table below. Audit Plan for Clients document indicates in more detail the audit plan to the client.

Table 1: Sample Initial Evaluation

Initial Evaluation		
Day 1	Day 2	Day 3
Off site Document review, Safety Manual review, Operational Manual review	On site Head Office admin interviews, Support – Competency	On site Operational control evaluation, Admin interviews

A set of documents including the client details, result reports, scheme requirements, plans etc is provided to evaluation personnel prior to the evaluation.

- Documentation review
- Interviews
- Inspection and auditing

Where more than one person has been assigned for evaluation, a daily team meeting is scheduled.

Where complex sites are visited, in progress communication will be provided to evaluators by the client to verify their safety on site.

4.3 REMOTE EVALUATIONS

If the site is not accessible by clients, a remote assessment will be undertaken. Taking into consideration ISO 19011 Guidance on Remote Audits and IAF MD 4. When the situation does not permit site access client information will be transmitted via Microsoft Office or another method that only the evaluation team and the client have access to. The client will be notified of the protocol to perform audits remotely and the associated risks via the Remote Audit Notification Form. There is a preliminary connectivity check to ensure the communication between the client and AltoMaxx is clear. When an evaluation is undertaken remotely it is indicated on the client file with the identifier “R” ex: DDMMYY###R. Audits are only performed remotely if the technical capability of the client is synchronously (in real time) for the operation review portion of the audit.

4.4 FINALIZING EVALUATIONS

Nonconformities are identified in the Audit report by competent persons. Additional evaluation tasks maybe required to verify that the nonconformities have been corrected. The detailed evaluation report is submitted only after satisfactory verification of corrective actions are taken for the nonconformance(s). The client shall submit evidence of corrective actions taken within 60 days. Failure to close the nonconformities in a satisfactory manner will result in complete re-evaluation and could result in additional costs for extended on-site evaluation activities. A technical review on the final report is conducted by persons not involved with the evaluation to maintain impartiality. All records are examined by the technical reviewer who has knowledge in both 17065 and 21384-3.

In case of any changes, the client is required to submit an Incident Report. The report shall be submitted by the client which contains all necessary actions required. The evaluation plan developed by the Quality

Manager is amended accordingly. In case of any changes in the activity plan during the execution of the evaluation, the changes are captured as a part of the evaluation report documents.

The outsourced activities shall be carried out by approved vendors where applicable. All consultants hired under the AltoMaxx Technologies and adhere to the requirements set out in the contract for employment.

5. REFERENCES

- ISO / DIS 21384-3
- ISO/ IEC 17065
- ISO 19001
- IAF MD 4

6. RECORDS

- Incident Report
- Audit Plan for Clients
- AMT Client Audit Guidelines
- Remote Audit Notification