

## **Guide to Code Certification Process Diagram**

- (1) Submit Signatory Application Form and fee to ICMI.
- (2) Review auditor credentials for conformance with ICMI criteria; Auditors may have additional credentials (i.e., ISO 1400) as long as they meet ICMI criteria.
- (3) Schedule audit such that field work is completed within 3 years of becoming signatory or 3 years of previous Code certification; Code audit can be scheduled simultaneously with other internal or external audits.
- (4) Operation makes all relevant information available to auditors, including complete findings of most recent Code verification audit; Code audit can be conducted concurrent with other internal or external audits and utilize the same or additional personnel as long as Code audit conducted by auditors meeting Code criteria.
- (5) Review audit report for factual accuracy and revise as necessary; Review Corrective Action Plan to ensure operation agrees to the completion date, understands what corrective measures must be implemented, and knows what evidence it must provide to the auditor to demonstrate full compliance.
- (6) Auditor submits Detailed Audit Findings Report, Summary Audit Report and Auditor Credentials Form, and Corrective Action Plan (if necessary) to signatory, operation and ICMI within 90 days of completion of field portion of audit; Auditor submits Corrective Action Completion Report (if necessary) within 30 days of the completion date included in the Corrective Action Plan.
- (7) ICMI:
  - reviews the Detailed Audit Findings Report to confirm that all relevant questions have been answered fully, that the answers are responsive to the issues raised, and that sufficient details are provided in support of the auditor's findings;
  - reviews the Summary Audit Report to ensure that it accurately represents the results of the Detailed Audit Findings Report and has sufficient information to demonstrate the basis for each finding;
  - reviews the Auditor Credentials Form to confirm that the auditors met ICMI criteria at the time of the audit;
  - reviews the Corrective Action Plan, (if necessary), to ensure that it identifies the deficiency or deficiencies, describes the necessary corrective measures, and establishes a date for their completion;
  - reviews Corrective Action Completion Report, (if necessary), to confirm that all deficiencies have been corrected by the established completion date(s) and that the auditor has determined that the operation is in full compliance with the Code; and
  - advises auditor and operation of any additional information or clarifications that are needed.

- (8) ICMI posts Summary Audit Report and Auditor Credentials Form (and Corrective Action Plan and Corrective Action Completion Report, if necessary) on Code web site, announcing that the operation is either certified in full or substantial compliance, or is not in compliance with the Code.
- (9) If initial verification audit finds non-compliance, operation can correct deficiencies and re-audit if this can be completed within 3 years of becoming signatory.
- (10) If initial verification audit finds non-compliance that cannot be corrected and re-audited within 3 years of becoming signatory, or if a re-certification audit finds non-compliance, signatory can withdraw the operation from certification by amending its Signatory Application prior to the end of the three-year period (for initial certifications) or within 90 days of completion of the field portion of the audit (for re-certification audits).
- (11) Operation develops Corrective Action Plan to address deficiencies; may request review and/or assistance from auditor to ensure implementation will result in full compliance and operation understands what evidence must be submitted to the auditor.
- (12) Operation fully implements Corrective Action Plan by established completion date and provides necessary evidence to auditor.
- (13) Auditor provides Corrective Action Completion Report to ICMI finding that all deficiencies have been corrected by the established completion date(s) and that the operation is in full compliance with the Code.