



# TIC

# CIS COMPLIANCE CODE

# CIS Commodity Inspection Services Compliance Principles & Programme

Based on: 'TIC Council Compliance Code Fourth Edition'



## Introduction

The TIC Council is an association of companies whose business is to verify their clients' or third parties' products, services or systems.

The value that CIS provide to their clients is trust. For this reason, TIC Council has chosen to adopt and implement a Compliance Code that enshrines the substance of the integrity that TIC Council membership stands for.

The Compliance Principles address technical and business professional conduct and ethics in relation to the following areas:

- Integrity
- Conflict of Interest
- Confidentiality and Data Protection
- Anti-bribery
- Fair Business Conduct
- Health and Safety
- Fair Labour

It is a condition of TIC Council membership that CIS implements and abides by the Compliance Code. This entails:

- approval of CIS's implementation by TIC Council
- a Compliance Programme throughout the CIS organisation
- policies and procedures in accordance with the Code
- training of staff globally, and
- regular monitoring of compliance with the Code.

To ensure the effectiveness of their implementation, CIS is required to submit their Compliance Programme to an annual independent examination whose results are reported to TIC Council.

The result is a sound and verified basis for trust.

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## TIC Council Compliance Principles

### 1. Integrity

CIS shall operate in a professional, independent and impartial manner in all its activities.

CIS shall carry out its work honestly and shall not tolerate any deviation from its approved methods and procedures. Where approved test methods make provision for tolerances in results, the CIS shall ensure that such tolerances are not abused to alter the actual test findings.

CIS shall report data, test results and other material facts in good faith and shall not improperly change them, and shall only issue reports and certificates that correctly present the actual findings, professional opinions or results obtained.

### 2. Conflicts of interest

CIS shall avoid conflicts of interest with any related entity in which it has a financial or commercial interest and to which it is required to provide services.

CIS shall avoid conflicts of interest between the CIS's companies and/or divisions engaged in different activities but which may be providing services to either the same client or each other.

CIS shall ensure that its employees avoid conflicts of interest with the activities of CIS.

### 3. Confidentiality and Data Protection

CIS shall respect the confidentiality and privacy of client's information and ensure processes are in place to adequately protect such information.

### 4. Anti-bribery

CIS shall prohibit the offer or acceptance of a bribe in any form, including kickbacks on any portion of a contract payment.

CIS shall prohibit the use of any routes or channels for provision of improper benefits to, or receipt of improper benefits from, customers, agents, contractors, suppliers, employees of any such party, or government officials.

### 5. Fair Business Conduct

CIS shall conduct itself with the highest standards of business ethics and integrity, and shall not do anything which would bring its reputation, or the reputation of TIC Council or the TIC industry, into disrepute.

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## **6. Health and Safety**

CIS shall implement adequate training and procedures to protect the health and safety of employees, customers, and third parties and shall monitor incidents with the view of minimising risks in the course of business operations.

## **7. Fair Labour**

CIS is aware of its social responsibility for its employees and the people, communities and environments in which it works and shall respect human rights.

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## Requirements for Implementation

CIS, as a member of TIC Council shall:

1. Commit itself to implement the Compliance Principles throughout its organisation through operation of a Compliance Programme which has been approved by TIC Council.
2. Appoint a Compliance Committee and Compliance Officer to oversee and manage the Compliance Programme.
3. Require all employees to comply with the Compliance Programme, train them accordingly and ensure their continuing understanding of the Compliance Programme.
4. Provide help lines for staff and encourage the reporting of violations on a confidential basis and free from reprisal except in malicious cases.
5. Publicly disclose its Compliance Principles and facilitate enquiries, complaints and feedback.
6. Investigate and record all reported violations and apply corrective and disciplinary measures.
7. Protect the security of confidential business information.
8. Minimise health and safety risks in the workplace, monitor incidents, and put in place any necessary corrective measures.
9. Maintain accurate books and records which properly and fairly document all financial transactions.
10. Ensure that its Compliance Programme is applied to the extent appropriate to its business partners.
11. Monitor the effectiveness of its Programme through the use of annual management declarations and internal auditing.
12. Arrange for the effectiveness of the implementation of the Programme to be verified at least annually by a recognised independent external audit firm and meet the document submission requirements of TIC Council (including the submission of the Agreed Upon Procedures report).