

ICoCA Certification Process for “ISO 18788” certified companies

APPLICATION FORM & GUIDANCE

This Guidance provides directions and clarifications for Companies certified to ISO 18788:2015 (“ISO 18788”) applying for ICoCA Certification.

We invite applicants to follow the structure of this document to understand and complete the process to achieve ICoCA Certification.

* * *

Company Name: _____

Primary Point of Contact: _____

Backup Point of Contact: _____

Date Form Completed: _____

Please note that the Secretariat does not send confidential or sensitive information via email.

In order to ensure the security of all data submitted to the ICoCA Secretariat, and until a secured online platform is created, the requested information must be sent in paper form and/or copied on to a USB stick/flashdrive or CD ROM, enclosed in a sealed envelope marked “Confidential, Certification Material,” and sent via DHL, FedEx, or other courier service to:

ICoCA Secretariat, WMO Building
Case Postale 2300, 7 Bis, avenue de la Paix
CH-1211 Genève 2, Switzerland

**Those sending confidential or sensitive information via email
to the ICoCA Secretariat do so at their own risk.**

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Part 1 - KEY ELEMENTS

Overview of the ICoCA Certification Process

The ICoCA carries out the Certification Process in accordance with the principles established in the Articles of Association.¹ Key elements include:

1. The ICoCA Certification process is the procedure used to certify that the Company's systems and policies meet the Code's principles and standards as part of their commitment to operate in accordance with the Code.
2. ICoCA Certification is based on existing national or international standards and processes that are recognised by the ICoCA Board as consistent with the Code (such as ISO 18788), as well as additional information required to meet the principles and standards contained in the Code.
3. As detailed in the [Recognition Statement for ISO 18788, the ICoCA has carried out a comparative analysis of ISO 18788 and the Code](#) in order to assess the extent to which certification to ISO 18788 covers all the provisions and principles of the Code, and to identify [additional information requirements](#) to be requested by the Board.²
4. The additional information requirements are summarised in table form in Part 3 of this guidance document, along with non-exhaustive, illustrative examples of potential ways companies might satisfy those additional information requirements.
5. The ICoCA will analyse submissions for ICoCA Certification in accordance with the process described in the Certification Procedure.³ The information submitted by the Company will only be accessed by the ICoCA Secretariat, following its strict confidentiality and information security policy. The ICoCA Board will not be provided access to confidential information, but will rather receive a summary of the review prepared by the Secretariat.
6. In the event the ICoCA Board requests access to a concrete piece of the information submitted by an applicant, rather than the summary prepared by the Secretariat, the ICoCA Secretariat will seek permission from the Company before disclosing any confidential information.

¹ For a complete understanding of the Certification Process, see ICoCA Certification Principles and Procedure, available at <http://icoca.ch/sites/default/files/resources/Final%20Draft%20ICoCA%20Certification%20Procedure.pdf>
See also Article 11 of the ICoCA Articles of Association, available at http://icoca.ch/en/articles_of_association#article-11-certification.

² The "Analysis of ISO 18788 against the ICoCA Certification Assessment Framework" sets out the ICoCA Board of Directors' analysis of ISO 18788 against the ICoCA Certification Assessment Framework. This analysis has informed the Board's view on the extent to which ISO 18788 is consistent with the ICoC. It has further been used to help identify that additional information the Board believes is necessary to require from a company certified to ISO 18788 by a properly accredited certification body, in order for that company to be certified by the ICoCA.

³ For an overview of the process, see ICoCA Certification Principles and Procedure, available at <http://icoca.ch/sites/default/files/resources/Final%20Draft%20ICoCA%20Certification%20Procedure.pdf>

Part 2 – APPLICATION FORM

ICoCA Certification for “ISO 18788” certified companies

As a result of the [gap analysis between ISO 18788 and the Code](#), the ICoCA has determined the additional information requirements that are necessary to ensure that the Company’s systems and policies meet the requirements of the Code (See [Recognition Statement for ISO 18788 - Annex B: Additional Information Requirement for ISO 18788](#)).

- Please fill in **Table 1** below with the requested additional information.
- Please consult **Table 2** in Part 3 to understand what information is requested, including specific requirements, examples of documentation to be provided by the company (list is non-exhaustive and for illustrative purposes only), the reasons behind each request for additional information and what the ICoCA is going to do with it.

Table 1 - Please fill with the requested information

	Information Requested	Documents attached to cover the information requested	Further Information
1	Company’s ISO 18788 Certification.		
2	Annexes and Appendices to the Certificate.		
3	Full audit report, and most recent surveillance reports if applicable, subject to any redactions of particularly sensitive information.		
4	Company’s Corrective Action Plan and/or the responses.		
5	Human Rights Risk Assessment (HRRR) or Human Rights Impact Assessment (HRIA) model and/or process.		
6	Employment policies/ processes, which include the relevant specific requirements detailed in Table 2 .		

	Information Requested	Documents attached to cover the information requested	Further Information
7	The manner in which the Company provides training to the Company's personnel on the ICoC and its fundamental principles.		
8	The manner in which the Company makes sure that the activities to be carried out as part of a contract are not contrary to United Nations Security Council Resolutions.		
9	The manner by which the Company will report, and will require its personnel to report, known or reasonable suspicion of the commission of any national and international crimes to one or more of the following Competent Authorities detailed in <u>Table 2</u> .		
10	The manner in which, when formally authorized to assist in the exercise of a state's law enforcement authority, the Company ensures that its use of force or weapons policy complies with all national and international obligations applicable to regular law enforcement officials of that state and, as a minimum, with the UN Principles on the Use of Force and Firearms by Law Enforcement Officials.		

Part 3 – GUIDANCE

Additional Information: why is this information required and what will the ICoCA do with it?

Table 2 – For reference				
	Information requested	Specific requirements	Examples The requested information can be covered by providing the following elements. This list is non-exhaustive, and for illustrative purposes only.	Why & What will the ICoCA do with this information?
1	Company’s ISO 18788 Certification.	-	<ul style="list-style-type: none"> • Provide ISO 18788 certificate. 	The ICoCA needs this information to confirm that the Company has been third-party certified by a Certifying Body (CB) accredited by a national accreditation body that is itself a member of the International Accreditation Forum (IAF) and its Multilateral Agreement (MLA).
2	Annexes and Appendices to the Certificate.	-	<ul style="list-style-type: none"> • Provide Annexes and Appendices to the Certificate. 	The ICoCA will analyse the information to understand the scope of certification and other information highlighted by the CB and to get a comprehensive understanding of the Company’s systems and policies in relation to the Code.
3	Full audit report, and most recent surveillance reports if applicable, subject to any redactions of particularly sensitive information.	<p>The audit report should include all detailed areas of concern and non-conformities detected throughout the process. Your company must articulate a specific justification for each redaction explaining why the information is particularly sensitive.</p> <p>The Association will require the full audit report, and most recent surveillance reports if applicable, for an interim period as it assesses what additional information it needs for a determination of compliance with the Code.</p>	-	The ICoCA will use this information, along with that provided in item 4 below, to understand the extent to which the Company has taken steps to fully implement the Code.

	Information requested	Specific requirements	Examples The requested information can be covered by providing the following elements. This list is non-exhaustive, and for illustrative purposes only.	Why & What will the ICoCA do with this information?
4	Corrective Action Plan.	<p>In case areas of concern are resolved through other communication channels (for example through meetings, emails, phone conversations etc.), please provide an explanation or other details.</p> <p>Where applicable, also include any responses from the Certification Body commenting on the adequacy of the Corrective Action Plan (to the extent the issues addressed relate to requirements in the Code).</p>	<ul style="list-style-type: none"> Provide responses by company and/or the Corrective Action Plan prepared by the Company that relate to areas of concern or non-conformities identified by the Certification Body. 	<p>The ICoCA will use this information to ensure that the final ISO 18788 certification, coupled with additional information provided, ensures that the company's systems and policies meet the Code's principles and the standards derived from the Code.</p> <p>The ICoCA attempts to fully understand the steps taken by a Company to ensure that areas of concern or non-conformities identified by the CB have been remedied (to the extent such areas of concern or non-conformities reflect gaps in compliance with the requirements of the Code).</p>
5	Human Rights Risk Assessment (HRRRA) or Human Rights Impact Assessment (HRIA) model and/or process.	-	<ul style="list-style-type: none"> Provide the company's written HRRRA and/or HRIA model/process. 	<p>The ICoCA needs this information to be able to assess whether the company has established and maintains a human rights risk assessment methodology in place as a necessary condition to be able to deter, monitor, report, and effectively address adverse impacts to human rights; and to exercise due diligence to ensure compliance with the law and the principles contained in the Code paragraphs 6(d) and 21, and Article 11.2.1 of the Articles of Association.</p> <p>The ICoCA will analyse and evaluate the Company's HRRRA.</p>

	Information requested	Specific requirements	Examples The requested information can be covered by providing the following elements. This list is non-exhaustive, and for illustrative purposes only.	Why & What will the ICoCA do with this information?
6	Employment policies/ processes, which include:	<p>a) The manner in which the Company ensures relevant employment reference materials incorporate the Code and applicable labour law;</p> <p>b) The manner in which the Company ensures, consistent with applicable national law, that personnel agree to participate in internal and external investigations and disciplinary procedures as well as in any public investigations conducted by competent authorities, except where prohibited by law;</p> <p>c) The manner in which the Company ensures that employment records are accessible to ICoCA or a Competent Authority, except where prohibited by law.</p>	<ul style="list-style-type: none"> • Provide, for instance, employment contracts, written job descriptions, or terms and conditions of employment. • Provide, for instance, the model application form or employment contract form whereby the Company requires applicants/employees to participate in internal and external investigations and disciplinary procedures. • Provide, for instance, a policy, employment contracts, or terms and conditions of employment. 	<p>The ICoCA has carried out a comparative analysis between ISO 18788 and the Code. These requests for information cover the existing gap between the Code and ISO 18788.</p> <p>The ICoCA will analyse the information provided to assess if the Company's systems and policies meet the requirements of the Code and its readiness to participate in the Association.</p>
7	The manner in which the Company provides training to the Company's personnel on the ICoC and its fundamental principles.	-	<ul style="list-style-type: none"> • Provide, for instance, a list of training courses and description of the courses, timelines and procedures, training and competency register, training records form. 	

	Information requested	Specific requirements	Examples The requested information can be covered by providing the following elements. This list is non-exhaustive, and for illustrative purposes only.	Why & What will the ICoCA do with this information?
8	The manner in which the Company makes sure that the activities to be carried out as part of a contract are not contrary to United Nations Security Council Resolutions.	-	<ul style="list-style-type: none"> Provide, for instance, a policy, risk management policy, a HRRA associated with given projects that show the manner in which the company assesses whether the execution of a contract could conflict with UN Security Council Resolutions. 	
9	The manner by which the Company will report, and will require its personnel to report, known or reasonable suspicion of the commission of any international and national crimes to one or more Competent Authorities.	The Competent Authorities specified in the Code are the following: the one in the country where the act took place, the country of nationality of the victim, or the country of nationality of the perpetrator.	<ul style="list-style-type: none"> Provide, for instance, the reporting policies, or other internal procedures that reflect how these reporting obligations are implemented. 	

	Information requested	Specific requirements	Examples The requested information can be covered by providing the following elements. This list is non-exhaustive, and for illustrative purposes only.	Why & What will the ICoCA do with this information?
10	The manner in which, when formally authorized to assist in the exercise of a state's law enforcement authority, the Company ensures that its use of force or weapons policy complies with all international and national obligations applicable to regular law enforcement officials of that state and, as a minimum, with the UN Principles on the Use of Force and Firearms by Law Enforcement Officials.	The Code mentions in paragraph 32 that the United Nations Principles on the Use of Force and Firearms by Law Enforcement Officials (1990) are a minimum standard for companies assisting in the exercise of state's law enforcement authority. Compliance with all national and international obligations applicable to regular law enforcement officials is also a requirement.	<ul style="list-style-type: none"> • Provide the Company's Rules of Use of Force. 	