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Classification: Public

Ricardo Ref: Ricardo Certification Impartiality

### **Impartiality of Ricardo Certification entities**

The purpose of this letter is to record the commitment to impartiality by the top management of Ricardo Certification entities whose primary business activity is the delivery of accredited independent assurance services.

As top management, we are aware of the rail industry requirements to maintain impartiality in relation to accredited services as governed by the accreditation standards ISO/IEC 17020 and ISO/IEC 17065. We understand that it is essential that the activities performed by Ricardo Certification entities are undertaken with due regard to impartiality, independence and confidentiality.

Additionally, the Managing Director of the Ricardo Rail Business commits that activities of other Ricardo entities, including their owners and staff, will not compromise the impartiality of the accredited independent assurance activities of Ricardo Certification entities.

It is a priority for the Ricardo Rail Business to establish corporate management so that Ricardo Certification entities maintain the requisite impartiality and independence in delivering their services. To achieve this, the Ricardo Rail Business has created a business structure to ensure that those responsible for the management and decision-making tasks of Ricardo Certification entities are employed by Ricardo Certification entities. This is further evidenced by the implementation of processes, systems, separate brand and separation of management functions, designed to ensure impartiality and independence.

Our accredited entities are fully aware and have been briefed in the relevant accreditation requirements around management of impartiality, as set out in the following legislation and standards applicable to the accredited services we deliver:

- Interoperability Directive (EU) 2016/797, specifically Article 31 clauses 3 and 4.
- ISO/IEC 17065, specifically clause 4.2 and its sub-clauses.
- ISO/IEC 17020, specifically clause 4.1 and its sub-clauses.
- ERA Technical Document (MNB – Assessment Scheme) 000MRA1044 versions 1.1 and 2.0.

The effectiveness of the impartiality process adopted by Ricardo Certification entities is reviewed by means of regular governance meetings, management reviews, internal audits and external impartiality committees.

In the event of any potential conflict, Ricardo Certification undertakes a risk assessment to determine if the risk of conflict of interest can be a) eliminated, or b) mitigated. This process is defined in the Ricardo Certification Manual RC-MD-001 and risks to impartiality arising from potential conflicts of interest are captured in Appendix F of the manual.

We confirm that we are aware of the utmost importance of ensuring that Ricardo Certification's entities deliver their services without undue pressure or influence arising from conflicts of interest. We are fully committed to applying the systems and processes within the Ricardo Rail Business to ensure that the impartiality of Ricardo Certification's activities is not compromised.

Additionally, Ricardo plc is aware of its obligation to maintain impartiality and has adopted an Independent Assurance Policy which is signed by the CEO and is available on the website ([www.ricardo.com](http://www.ricardo.com)). This Policy applies to all Ricardo Certification Head Offices and Local Sites.

Yours sincerely,



**Mark Dodsworth**  
Head of Accredited Services



**Stephen Clarke**  
Lead Signatory

**Iain Carmichael**  
Managing Director Rail Business