



## Registration Systems, Inc.

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### **RSI BULLETIN #R-018**

**FROM:** Daniel C. Ludwig

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**SUBJECT:** RSI Process to Support Audits of Sponsoring Companies

In accordance to the CMA Product Approval Code of Practice (CODE), the sponsoring company, after choosing an auditor, authorizes the *CMA Monitoring Agency* (RSI) to release to the auditor a listing<sup>1</sup> of all tests scheduled by that sponsor during that auditing period (refer to Audit Process of Appendix J of the CODE). The sponsoring company may request RSI to release additional information once the auditor is on-site. The following describes RSI requirements and limitations for release of the proprietary data.

**PREPARATION for AUDIT:** In order for RSI to release a listing of all scheduled tests directly to the auditing firm, a written request must be sent to RSI by the sponsoring company's authorized requestor for release of data to a third party. The request must include:

1. Name, address and phone number of the auditing firm
2. Name of the individual from the auditing firm entitled to receive information
3. Beginning and ending period of time for tests being audited
4. Projected time of on-site visit by auditors (NOTE: This is required to ensure adequate RSI staffing to accommodate sponsoring company audit.)

The listing will be sent to the auditor by certified mail, return receipt requested.

**ON-SITE:** While on-site, the auditor may request to receive certain "Summary of Engine Test Data for Scheduled Tests" reports directly from the CMA Monitoring Agency. The sponsoring company's authorized requestor must submit a written letter (transmittal by fax is acceptable)

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<sup>1</sup> This is a listing only. The fate of each test and test results are not forwarded to the auditing firm.

to RSI requesting a CMA Monitoring Agency "Summary of Engine Test Data for Scheduled Tests", and include the specific Sponsor ID and Sponsor Code number. The request must state the information is required for audit purposes, and the requestor must authorize RSI to issue this information by facsimile. The request must note the sponsoring company's fax number, the on-site phone number for the auditor and/or requestor, and the name of the receiving party.

RSI will contact the auditor or requestor and provide an estimated completion time to assemble the data and to establish a mutually acceptable "window" for facsimile transmission. In general, RSI anticipates same-day delivery of summaries that have previously been released to the sponsoring company. If such a summary has not been previously released, same day turn-around may not be possible. If RSI is unable to provide the information while the auditor is still on-site, then information will be released at the direction of the sponsoring company, and RSI will implement procedures for release of data to third parties.