



## **GUIDELINES FOR CERTIFICATION OF MANAGEMENT SYSTEMS**

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## 1.0 INTRODUCTION

This document provides guidance to any organization that is interested in obtaining certification of its management system from SIRIM QAS International Sdn Bhd to the requirements of the following standards:

- Quality Management System Certification
  - ISO 9001
  - IATF 16949
  - ISO 13485
  - MS 1900
- Environmental Management System Certification
  - ISO 14001
- Occupational Health and Safety Management System Certification
  - ISO 45001
  - OHSAS 18001
  - MS 1722
- Information Security Management System Certification
  - ISO/IEC 27001
- Energy Management System Certification
  - ISO 50001
- Supply Chain Security Management System Certification
  - ISO 28000
- Business Continuity Management System Certification
  - ISO 22301
- Road Traffic Safety Management System Certification
  - ISO 39001
- Asset Management System Certification
  - ISO 55001
- Good Distribution Practice for Medical Devices Certification
  - MDA/RR No. 1
- Customer Contact Centre Management System Certification
  - ISO 18295
- Management Systems for Educational Organization Certification
  - ISO 21001
- Learning Services Outside Formal Education Certification
  - ISO 29993
- Anti-Bribery Management Systems Certification
  - ISO 37001
- Muslim Friendly Hospitality Services Certification
  - MS 2610
- Facility Management – Management Systems Certification
  - ISO 41001
- Good Manufacturing Practice (GMP) for Cosmetics
  - ISO 22716

Specific certification guidelines have been issued for the following certification schemes:

- IT Service Management System Certification
  - ISO/IEC 20000
- Food Safety Management System Certification
  - ISO 22000
- Hazard Analysis and Critical Control Point (HACCP) Certification
  - MS 1480
- Good Manufacturing Practice (GMP) Certification for Food Sector
  - MS 1514
- Forest Management Certification
  - Malaysian Criteria and Indicators (Natural Forest)
  - Malaysian Criteria and Indicators (Forest Plantations)
- Chain of Custody of Forest Based Products Certification
  - PEFC ST 2002
- Roundtable on Sustainable Palm Oil (RSPO) P&C Certification
  - RSPO Principles and Criteria for the Production of Sustainable Palm Oil
- Roundtable on Sustainable Palm Oil (RSPO) Supply Chain Certification
  - RSPO Supply Chain Certification Standard
- Malaysian Sustainable Palm Oil Certification
  - MS 2530-2
  - MS 2530-3
  - MS 2530-4
- Malaysian Sustainable Palm Oil Certification
  - MSPO Supply Chain Certification Standard
- Product Carbon Footprint Certification
  - ISO/TS 14067
- The National Mark of Malaysian Brand Certification
  - Malaysian Brand Assessment Criteria

## 2.0 CERTIFICATION PROCESS

The management system certification services provided by SIRIM QAS International are carried out in accordance to the policies and procedures established by SIRIM QAS International based on the requirements of the various accreditation standards. The generic certification process is as follows :

Submit Questionnaire	Fill Questionnaire in the Application Package and submit to SIRIM QAS International Sdn. Bhd. Based on the information in the Questionnaire, a quotation will be prepared. The quotation provides an estimate for the total cost for certification.
Application	Upon acceptance of the quotation, the applicant is required to submit the <i>Application Form (SQAS/MSQ/FOR/01-02)</i> together with the application fee. An audit team leader responsible for the client file will be appointed.
Stage 1 Audit	Stage 1 Audit is carried out to determine the adequacy of the client's management system documentation and readiness to proceed to the Stage 2 Audit.
Stage 2 Audit	After the findings from the Stage 1 Audit have been resolved, the client is to notify the Audit Team Leader on the readiness to proceed to the Stage 2 Audit. The purpose of the Stage 2 Audit is to evaluate the implementation, including effectiveness, of the client's management system.
Recommendation	On satisfactory completion of the Stage 2 Audit and verification of any nonconformity(ies) raised, the Audit Team Leader will prepare a recommendation report to the appointed decision maker for approval.
Approval of certification	The appointed decision maker reviews and approves the recommendation for certification under the authority of the Certification Advisory Committee.
Issuance of certificate	The certificate will be issued upon payment of all fees due and the signing of the Certification Agreement. The certificate is valid for 3 years from the date of approval.
Surveillance/ Recertification Audit	All certified organizations will be subjected to one annual Surveillance Audit. In exceptional cases, two Surveillance Audits may be carried out annually. The first Surveillance Audit will be carried out within 12 months from the date of certification. Renewal of certification is subject to a satisfactory Recertification Audit carry out before the expiry of the certificate.

## 3.0 CERTIFICATION COST

The cost of certification will vary depending on various factors such as the complexity of the management system, the number of staff involved (directly and indirectly), and the number of sites to be certified.

SIRIM QAS International provides each prospective client with a quotation detailing the services that will be provided and the associated costs for initial certification and on-going maintenance of certification.

## 4.0 CERTIFICATION REQUIREMENTS

### 4.1 Eligibility criteria for certification

Organizations intending to seek certification to standards such as IATF 16949 and MS 1900 have to ensure that they meet eligibility criteria for certification specific to each of the schemes. Details of the criteria may be obtained from SIRIM QAS International.

## 4.2 Site of audit

The organization shall identify the site(s) to be covered under scope of certification. This site(s) shall generally be permanent location(s) at which the organization carries out its operations.

For certain types of activities such as construction, the organization shall also identify the temporary sites at which activities are carried out. These sites will be subjected to audit on sampling basis. However, the sites will not be included in the certificate.

A multiple site organization is an organization having an identified central function (normally referred as central office) at which certain activities are planned, controlled or managed and a network of local offices or branches (sites) at which such activities are fully or partially carried out. The organization shall identify in advance the sites that it wants to include in the certificate. These sites will be subjected to audit on a sampling basis.

### IATF 16949 certification requirement for remote support functions

For IATF 16949 certification, it is a requirement that all remote functions supporting the certified site shall be audited. However, if the remote functions have been audited by another IATF approved certification body, SIRIM QAS International may waive the audit of those functions. This is conditional upon:

- a) the organization ensuring that the certification body that undertakes the audit of the remote support function is aware of the support provided by that function to the site to be certified by SIRIM QAS International;
- b) making available relevant records of the audit of the remote support functions to SIRIM QAS International at the time of the Stage 1 Audit and prior to every audit;
- c) SIRIM QAS International's auditor being satisfied that the audit of the remote support function by the other certification body has adequately covered the support activities provided by the support function to the site to be certified or which has been certified by SIRIM QAS International.

The records shall include, as a minimum, the audit plan, audit report, audit findings, corrective actions and verification action by the other certification body. The records shall be in English.

## 4.3 Scope of certification

The organization shall clearly define the activities to be included under the scope of certification. The organization should ensure that it does not omit important elements of its operations from the scope of certification.

## 4.4 Audit criteria

In order to be certified, an organization has to demonstrate that the relevant management system is functioning and the various control mechanisms are properly implemented. In practice, this means in particular that:

- a) The management system has been operational for a sufficient period of time to be able to demonstrate adequately the effective implementation of the entire system.
- b) The **Internal Audit and Management Review** have been conducted **before** the Stage 1 Audit. For multiple site organizations, the internal audit shall cover all sites to be included in the certificate.

## **5.0 SCOPE OF ACCREDITATION**

The management system certification services of SIRIM QAS International have been accredited by various accreditation bodies. The list of accredited scopes for each accreditation is available upon request.

## **6.0 APPEALS PROCEDURE**

The applicant may file an appeal when he does not agree with the decision of the appointed decision maker. The appeal shall be in writing and addressed to the Senior General Manager of the Management System Department within 2 weeks of notification of the decision.

The letter of appeal shall be forwarded to the Appeals Panel appointed by the Certification Advisory Committee. The appellant shall be notified of the composition of the panel and the date of its proposed hearing. The appellant shall have the right to object the composition of the panel and to appear before the panel to present his case. Decisions made by the Appeals Panel including the grounds of their decision shall be recorded and the appellant shall be notified in writing.

## **7.0 COMPLAINT PROCEDURE**

Any complaint about SIRIM QAS International's certification services or about organizations certified by SIRIM QAS International shall be directed to QOSHE Section Head.

Complaints may be in writing or verbal. All complaints received will be verified and validated by the QOSHE Section Head. The complainant shall be informed of the receipt of the complaint and will be provided progress report(s) and a report on the outcome of the investigation.

## **8.0 WITHDRAWAL/ SUSPENSION**

### **a) Withdrawal**

An organization that wishes to withdraw from the any certification scheme is required to write to the Section Head informing of its intention. The organization shall within a reasonable timeframe ensure that all advertising matters that contain any reference to the certificate are discontinued.

### **b) Suspension**

SIRIM QAS International Sdn Bhd shall suspend the certification of the organization under the following circumstances:

- i) The certified organization's management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the management systems;
- ii) The certified organization does not allow Surveillance or Recertification Audits to be conducted at the required frequencies;
- iii) The certified organization has voluntarily requested suspension of its certification;
- iv) The certified organization fails to take corrective actions for nonconformity(ies) raised within the specified timeframe;
- v) The certified organization has incorrectly making references to its certification status or misleading use of certificate, marks or audit reports;
- vi) The certified organization infringed the requirements of the certification contract.

The organization whose certification is suspended is required to take the necessary corrective action before the end of the suspension period. Failure to resolve the issues satisfactorily will result in withdrawal of certification. The organization may appeal if it is dissatisfied with the decision to suspend or withdraw the certificate.

## **9.0 INFORMATION ON CERTIFICATION MADE AVAILABLE TO THE PUBLIC**

Upon certification the organization's name, geographical location (city and country), approval and expiry date, certification number and scope of certification will be published in the following website maintained by SIRIM QAS International: <http://www.malaysiancertified.com.my>.

Information pertaining to the status as well as the details of specific certified client (name, normative document (standard), geographical location (city and country) and scope) may also be obtained upon request from SIRIM QAS International.

In exceptional cases, access to certain information can be limited on the request of the client (e.g. for security reasons).

## **10.0 CHANGES TO THE INFORMATION IN THE CERTIFICATE**

The organization may seek to make changes to details in the certificate. This may include, name of organization, change of address or scope of certification. Request for such changes shall be made in writing.