

GUIDELINES FOR CERTIFICATION

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1.0 INTRODUCTION

This document provides guidance to any organization that is interested in obtaining certification of its 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
- 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

- Tourism and related services — Wellness Spa Certification
  - ISO 17679

- Management System for Private Security Operations
  - ISO 18788

- Motor Vehicle After Market – Service and Spare Parts (2S)
  - MS 2696

- Motor Vehicle After Market – Repair, Reuse, Recycle and Remanufacturer for Parts and Components (4R)
  - MS 2697

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

- 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 Request for Information (RFI)	Fill RFI in the Application Package and submit to SIRIM QAS International Sdn. Bhd. Based on the information in the RFI, a quotation will be prepared. The quotation provides an estimate for the total cost for certification.
Application	Upon acceptance of the quotation and agreed to the terms and conditions for certification, the Certification Agreement shall be acknowledged and signed by both SIRIM QAS International and the applicant. The applicant is then required to submit the *Application Form (SQAS/MSC/FOR/01-02)* 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 or processes/ services
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 full payment of all applicable fees. The certificate is valid for three (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.

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 or processes / services is functioning and the various control mechanisms are properly implemented. In practice, this means in particular that:

a) The management system or processes / services has been operational for a sufficient period of time to be able to demonstrate adequately the effective implementation of the entire system.

b) For management system scheme, **Internal Audit a**nd **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 and processes / services certification scheme provided by 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) Review of Surveillance Audit Report - The certified organization's management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the management system;

ii) Result of investigation into complaints against the certified organization indicates failure to comply with certification requirements;

iii) Failure of the certified organization to agree to arrangements for Surveillance or Recertification Audits within the specified timeframe;

iv) Failure of the certified organization to respond to audit findings or implement corrective actions within the specified timeframe;

v) Request by the certified organization for voluntary suspension;

vi) Failure to settle outstanding invoices or fees related to certification activities;

vii) Major nonconformity raised during the audit (applicable to IATF 16949 certification only);

viii) Information relating to serious incidents such as accidents or breaches of regulatory requirements requiring involvement of the relevant regulatory authority, either reported by the certified organization or identified during audits;

ix) Misuse of certification status, certificate, certification mark or audit reports;

x) Breach of the certification agreement or other certification requirements deemed significant by SIRIM QAS International Sdn. Bhd.

xi) Any other condition or circumstance deemed by SIRIM QAS International Sdn. Bhd. to have a significant impact on the organization's ability to fulfil certification requirements.

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.

Recommend lifting of suspension if condition(s) for lifting of suspension is met before end of suspension period. This may include:

- satisfactory Surveillance Audit (in the case of missed Surveillance Audit)
- satisfactory implementation of corrective action(s) relating to the issue(s) that resulted in the suspension

9.0 INFORMATION ON CERTIFICATION MADE AVAILABLE TO THE PUBLIC

Information relating to the certification status of certified organizations, including the organization's name, applicable certification standard or normative document, geographical location (city and country) and scope of certification, may be made available by SIRIM QAS International upon request.

In exceptional cases, access to certain information may be restricted at the request of the certified organization, subject to justification and approval by SIRIM QAS International.

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 (including expanding or reducing the scope). Request for such changes shall be made in writing.