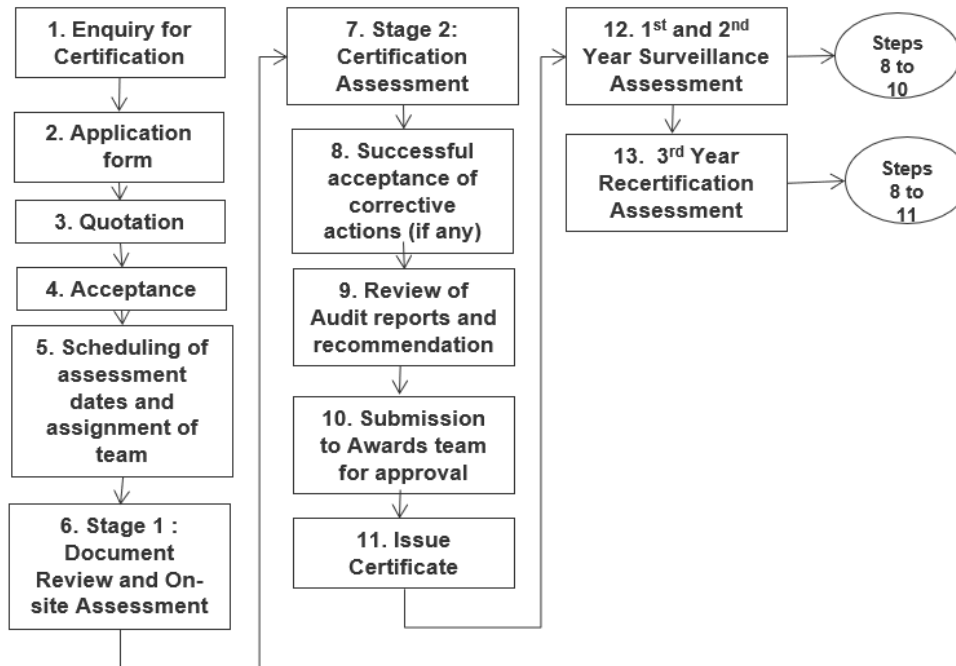


# Process Flow of Certification



**The certification audit will comprise a two-stage audit as:**

Stage 1. Readiness Review and on-site system audit.

Stage 2. On-site Certification Audit.

(Please note that Stage 1 Readiness Review and on-site system audit is not a Preliminary Assessment)

Surveillance on-site audits shall be conducted once a year subsequently for 2 years together with the existing scope.

The date of 1<sup>st</sup> surveillance audit following the initial certification audit shall not be more than 12 months from last date of Stage 2 Audit.

The Recertification or Renewal audit in the 3<sup>rd</sup> year is carried out prior to the expiration of the certification.

At any time prior to recertification audits, special audit may deem necessary if there are significant changes to the Client, Management System, or the context in which the management system is operating.

## EXTENSION OF SCOPE

Where there is a request for an extension of scope, such requests will be brought to the attention of the Head of Department or designated personnel who will decide based on an assessment of the complexity of the requested amendment, whether additional man-days would be required. The Man-day Computation Sheet shall be used as a guide to assess incremental man-days. Applications for extension of scope will be audited during the next scheduled audit.

## SUSPENSION OF CERTIFICATION

Certification may be suspended in the event that:

- Client has been unable to resolve Major and Minor NCs without valid reason;
- Client's management system has persistently or seriously failed to meet certification requirements.
- Client has not provided adequate facilities for auditors to carry out the audit;
- Client requests for a suspension;
- Client misuse of certificate or certification marks;
- Client ceases to have manufacturing/service operations for the preceding 1 year.
- Client has delayed recertification or surveillance audits to be conducted at the required frequency

All contracts for certification services with the Client shall include the clause that upon suspension, the client shall refrain from further promotion of its certification until the suspension has been officially lifted.

All contracts for certification services with the Client shall include the clause that upon withdrawal, the Client shall cease to make any references to being certified in any manner of advertising.

All suspensions shall be imposed for 6 months with approval by awards committee. Failure to rectify the conditions on suspension will lead to termination or reduction of scope whichever is applicable.

Further suspension beyond 6 months (less than 12 months) with valid justification endorsed Awards committee. A Stage 2 shall be conducted to ensure system in place within the extended suspension period.

#### **REDUCTION OF SCOPE OF CERTIFICATION**

Should the client be unable to fulfill the conditions necessary for lifting the suspension within the stipulated timeframe, Head of Department seek the approval of awards committee to:

- Reduce the scope of certification to exclude that part of the management system which failed to meet the conditions necessary for lifting the suspension.
- Terminate the certification completely.

Should termination be executed for the Client, the termination action shall follow as per ETS procedure.

#### **WITHDRAWAL / EXPIRED CERTIFICATES**

Client not wishing to maintain the certification service provided by Element Certification, the certification shall be withdrawn upon a written request from the client using the company official letter head/official email.

Client shall relinquish Certificate to the Element Certification upon withdrawal of certification and shall cease to make any references to being certified in any manner of advertising.

Clients who had voluntarily withdrawn their certification may re-apply as a fresh applicant at any time.

Clients who did not continue upon expiry of certificate are reflected as "Expired" in publication list.

#### **TERMINATION**

Termination of certification services on clients shall be executed should the following conditions occurred as:

- a) Failure of client to provide the corrective actions after repeated follow-up by the lead auditor and the matter is escalated to Head of Department.
- b) Client refuses or is unresponsive to allow recertification or surveillance audits to be conducted at the required frequency or does not comply with other terms and conditions for certification.
- c) Client has defaulted on payment on audit fees.
- d) Client ceases to have manufacturing/service operations for the preceding 2 years.

Clients whose certification was terminated shall need to re-apply as a fresh applicant and shall be re-assessed as a fresh application.

#### **RESTORATION OF CERTIFICATION**

Suspended certifications shall be restored within the 6-month period for meeting the certification requirement if all conditions are satisfied.