

## **Certification Related Information**

### **APPLICATION FOR CERTIFICATION**

On receipt of the completed questionnaire / information from the organization, a proposal outlining the scope of audit and costs will be submitted to the organization, together with an application form. Once the application form, signed by the relevant Senior Management representative of the organization, and accompanied by the necessary fee payment and associated documentation has been received by AJA EQS, the audit plan will be initiated.

### **AUDIT**

The Management Systems audit shall be carried out in two stages:

- \* On-site or Off-site Stage 1 audit of the preparedness of the applicant organization's, against the criteria of the accreditation body including document review;
- \* On-site Stage 2 audit of the Management Systems in operation at the organization's premises to ensure the practical system operated complies with the documented system and complies with all elements of the chosen Standard.

All records produced for the implementation and operation of the appropriate Management System shall be readily available for inspection.

### **CERTIFICATION & SURVEILLANCE**

When AJA EQS is confident that company meets all the requirements for certification, the applicant shall be informed and a certificate issued. **The certificate shall remain the property of AJA EQS and shall not be copied or reproduced in any manner, without AJA EQS' prior approval.**

Certification cycles are for a 3-year period, with surveillance audit to be conducted at least once in 12-month and a full re audit will be required prior to the expiry date of the registration certificate. Failure to submit for audit prior to the expiry date will result in a period during which the certified organization registration will have expired.

If required by Accreditation Body to perform witness audit on AJA EQS' auditor at client's site, the certified organization shall allow this without any objection.

Periodic surveillance visits shall be carried out following notification of the intended visit. The certified organization shall allow AJA EQS the right of access for surveillance purposes whenever deemed necessary and AJA EQS shall reserve the right to make unscheduled audit as required. The certified organization will be informed of the results of all audits.

If an unscheduled audit or special audit is decided on due to complaint received, extensions of the scope, reducing the scope, an event of changes significantly affecting the activity and operation of the organization or the continued implementation of the system was not adequate then this visit will be confirmed with the certified organization.

The certified organization also require to inform AJA EQS without delay, of the occurrence of a serious incident or breach of regulation necessitating the involvement of the competent regulatory authority. The unscheduled audit may be necessary in the event that there has been a serious incident related to occupational health and safety.

An audit may be aborted if, from the commencement of the audit, there is clear and widespread evidence of the existence of Major Nonconformances to either the Standard and/or organization procedures or the non-conformances are occurring in almost every area and activity under audit.

## **GRANTING CERTIFICATION**

### **i. Granting Initial Certification**

AJA EQS' audit team submit the below documents / information for the certification decision,

- a) Audit report
- b) Comments on the nonconformities and, where applicable, the correction and corrective actions taken by the client
- c) Confirmation of the information provided to AJA EQS used in application review
- d) Confirmation that the audit objectives have been achieved
- e) A recommendation whether or not to grant certification, together with any conditions or observations

If AJA EQS is not able to verify the implementation of corrections and corrective actions of any major nonconformity within 6 months after the last day of Stage 2, AJA EQS shall perform another Stage 2 before recommending certification.

### **ii. Granting Recertification**

AJA EQS shall make decisions on renewing certification based on the results of the recertification audit, as well as the results of the review of the management systems over the period of certification and complaints received from users of certification.

## **REFUSING CERTIFICATION**

Refusing certification shall be based on the following reasons:

- a) Incomplete Stage 1 or Stage 2 audit and assessment
- b) Organization to be certified fail to make payment on the required certification fees as per agreed certification quotation
- c) Organization to be certified fail to reply satisfactory correction and corrective action or refuse to allow re-audit in case of major non-conformity is issued during the Stage 2 audit.

## **MAINTAINING CERTIFICATION**

AJA EQS shall maintain certification based on demonstration that the client continues to satisfy the requirements of the management systems standard. It may maintain a client's certification based on a positive conclusion by the audit team leader without further independent review and decision, provided that

- a) For any major nonconformity or other situation that may lead to suspension or withdrawal of certification, AJA EQS has a system that requires the audit team leader to report to AJA EQS the need to initiate a review by competent personnel, different from those who carried out the audit, to determine whether certification can be maintained.
- b) Competent personnel of AJA EQS monitor its surveillance activities, including monitoring the reporting by its auditors, to confirm that the certification activity is operating effectively.

## **RENEWAL OF REGISTRATION**

AJA EQS' certified organization would be subject to re-audit at the end of every 3-year cycle. Three months prior to the re audit date a new proposal of cost will be raised covering the new three-year cycle. The recertification audit and implementation of Nonconformity raised during the audit (if applicable) should be completed before the expiry date of the certificate. Should the certified organization request a delay in a recertification audit this request with justification will be reviewed by the Management and a decision on acceptability will be communicated to the organization. Suspension letter shall be issued to the certified organization and the organization is refrained from using the accreditation mark/logo during this suspension period. The suspension should not exceed 6 months and should the organization wish to proceed with recertification audit after the period of 6 months, the full Stage 2 audit will be performed.

## **SUSPENSION AND RESTORING OF CERTIFICATE**

A certificate may be suspended for a limited time in cases such as:

- If Corrective Action Requests have not been followed up and closed out within the appropriate time-scale.
- If suitable retractions or other appropriate measures do not solve a case of improper use of the certificate by the organization.
- If the certified organization fail to allow AJA EQS to conduct the yearly surveillance audit within 30 days from the due date without any justification.
- If the certified organization fails to pay AJA EQS the certification/surveillance fee within one (1) month of the anniversary date.
- If the certified organization voluntarily requests for a suspension.
- Information on incidents such as a serious accident, or a serious breach of regulation necessitating the involvement of the competent regulatory authority, directly gathered by the audit team during the unscheduled audit.

The organization shall immediately cease to identify the coverage of any certificate under suspension. Under suspension, the client's management system certification is temporarily invalid. At the end of the suspension period, investigation will be undertaken to determine whether the required conditions for removal of suspension have been followed. If the conditions have been satisfied the certificate will be restored, if the conditions have not been satisfied the certificate shall be withdrawn.

All costs associated with suspension and subsequent re-instatement of the certificate will be charged to the certificate holding company. The suspension should not exceed more than 6 months.

## **WITHDRAWAL OF CERTIFICATE**

A certificate may be withdrawn in cases such as:

- If the certified organization does not meet required conditions raised on suspension of certificate;
- If the certified organization fails to satisfy financial obligations to AJA EQS;
- If the certified organization demonstrated that their system seriously failed to meet the Occupational Health & Safety certification requirements.

The withdrawal will be notified to the organization in writing and the organization has the right of appeal. If the organization fails to appeal within one (1) week from the notification of the withdrawal and fail to surrender the certificates, AJA EQS has the right to charge a reasonable fee until the certificate is returned. AJA EQS will not be liable to reimbursement of any audit fees paid and will publish the withdrawal of the certificate if necessary.

## **CANCELLATION OF CERTIFICATE**

A certificate may be cancelled in cases such as:

- If the certified organization does not wish to renew the certificate
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- If the certified organization goes out of business

AJA EQS will not be liable to reimbursement of any audit fees paid and AJA EQS will publish the cancellation of the certificate. The organization is required to return the certificate immediately, failing which a fee will be charged until the certificate is returned.

## **EXTENSION OF CERTIFICATE SCOPE**

To allow an extension of certification scope, to cover new product/process/location, a further questionnaire will be required to be completed. A proposal outlining the scope of audit and costs will be submitted to the organization.

An amended certificate will be issued, following a successful audit, covering those aspects of the organization activities covered by the extension.

## **MODIFICATION**

The organization shall inform AJA EQS, in writing, of any intended modification or changes to the product/process/activity, or Management System, or legal, commercial, organizational status/ownership, organization & management, which may affect compliance with the relevant Standard. AJA EQS will determine whether the notified changes require any additional audit activity. Failure to notify AJA EQS may result in certificate suspension.

The organization must adhere and follow the guideline given in Use of Accreditation and Certification Logo. AJA EQS has the right to raise a non-conformance during the audit or at any point on the mis-use of the certification logo and accreditation marks.

## **MISUSE OF CERTIFICATE**

AJA EQS will take all reasonable precautions to control the use of the certificate issued. Incorrect references to the scope of certificate, or incorrect use of the certificate marks, found in advertising, catalogues etc shall be dealt with by suitable actions, which could include suspension or withdrawal of certificate, legal action and/or publication of the transgression.

Upon suspension or withdrawal of certification, the organization should discontinue use of all advertising matter that contains any reference thereto.

## **APPEALS**

In the event of certificate withdrawal/suspension or the failure to recommend and approve for registration, the organization have the right of appeal on this decision. The organization should refer to the "Client Appeal & Complaint Guide" provided upon request.

AJA EQS must receive notification of the intent to appeal within 7 days of the organization's receipt of the Withdrawal/Suspension Notice from AJA EQS or failure to recommend for Registration. The organization must submit a formal, documented, substantiation for the Appeal, together with any supportive documentation/information, to AJA EQS within 14 days of the receipt of the Withdrawal/Suspension notice or failure to recommend for Registration.

## **COMPLAINTS**

Certified organization are required to keep a record of all complaints from clients, users of their products or the general public and subsequent remedial actions to the management system. AJA EQS will review these records on the certification/surveillance visits or upon request.

Should a organization have any reason to complain regarding the conduct of AJA EQS employees, the complaint should be made in writing to the Management of AJA EQS. The Appeal and Complaint Guide and Complaint Form can be obtained from AJA EQS office.

AJA EQS shall determine, together with the organization and the complainant, whether and, if so to what extent, the subject of the complaint and its resolution shall be made public.

For further information please AJA EQS Certification.