



Certification Process

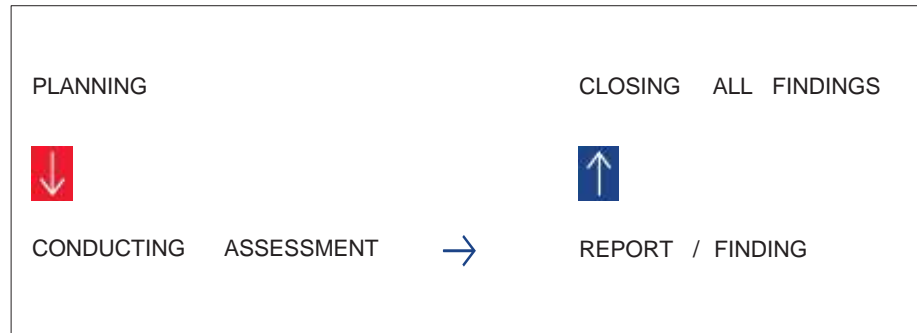
APPROVED

Road map for certification completion

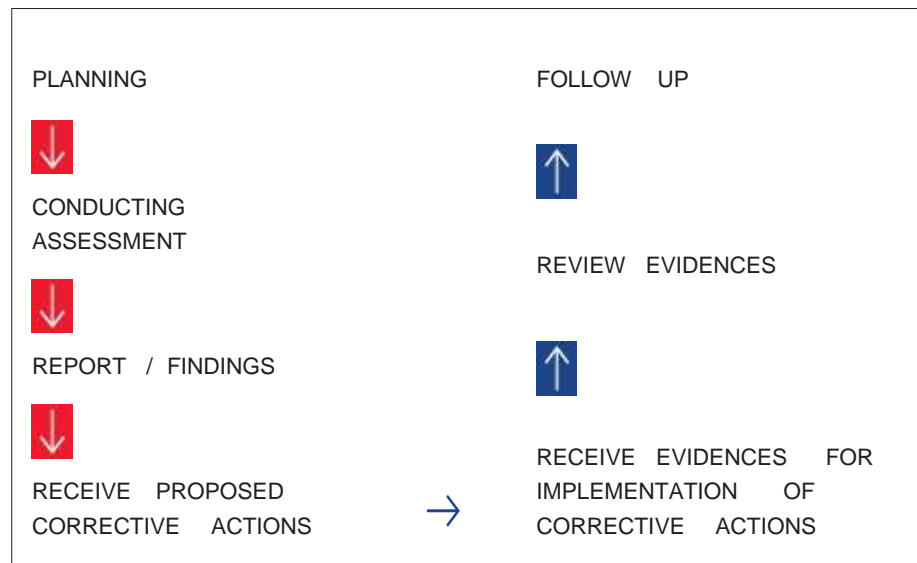
APPLICATION SUBMISSION



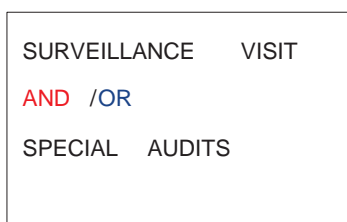
INITIAL ASSESSMENT [STAGE 1]



INITIAL ASSESSMENT



GRANTING CERTIFICATION



DECISION APPROVAL



TECHNICAL REVIEW



Audit Process



Application Review

APPLICATION REVIEW - FOR INITIAL CERTIFICATION

The applications once segregated shall be taken for review by the application reviewer. The review is performed to verify if GR can meet all requirements of the certification process and enable GR to establish the audit schedule. This review shall draw the following information but not limited to;

1. Contact details of client organization (address, contact person name etc.)
2. Scope of certification desired and how the organization wishes it to appear on the certificate (NOTE: minimal changes to the scope will be allowed after the contract has been finalized)
3. EA code(s) –EA codes are very important. They are used to identify and analyse the competence of GR certification personnel.
4. Description of premises of facility, number of employees, number of work shifts, current projects, yards, their dimensions, outsourced activities
5. Status of existing quality or other management system.
6. Language spoken, if the native language of the client is other than English, GR shall identify a suitable expert.
7. Number of sites, to enable GR to decide on sampling.
8. Total employees at each site and
9. Shift details at each site.
10. Details of Processes, aspects & impacts, risks, hazards and any other information necessary to identify the audit risk category and man days.

Audit Process

Objectives of Assessment

Stage 1

- 1) Review the client's management system documented information;
- 2) Evaluate the client's site-specific conditions and to undertake discussions with the client's personnel to determine the preparedness for stage 2;
- 3) Review the client's status and understanding regarding requirements of the standard, with respect to the identification of key performance or significant aspects, processes, objectives and operation of the management system;
- 4) Obtain necessary information regarding the scope of the management system, including: The client's site(s); Processes and equipment used; Levels of controls established (particularly in case of multisite clients); Applicable statutory and regulatory requirements;
- 5) Review the allocation of resources for stage 2 and agree the details of stage 2 with the client;
- 6) Provide a focus for planning stage 2 by gaining a sufficient understanding of the client's management system and site operations in the context of the management system standard or other normative document;
- 7) Evaluate if the internal audits and management reviews are being planned and performed, and that the level of implementation of the management system substantiates that the client is ready for stage 2.

Audit Process

Objectives of Assessment

Stage 2

The objective of the stage 2 audit is to evaluate the implementation, including effectiveness, of the client's management system(s).

The stage 2 audit shall confirm that the organization has effectively implemented the management system(s) and shall evaluate the ability of the management system(s) to meet the applicable statutory, regulatory and contractual requirements and to achieve organization's policies and objectives.

The stage 2 audit shall cover the audit of the following:

- 1) Information and evidence about conformity to all requirements of the applicable management system standard or another normative document;
- 2) Performance monitoring, measuring, reporting and reviewing against key performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document);
- 3) The client's management system and performance about legal compliance;
- 4) Operational control of the client's processes;
- 5) Internal auditing and management review;
- 6) Management responsibility for the client's policies

Audit Process

Objectives of Assessment

Surveillance Audit

Surveillance audit procedures shall be consistent with those concerning the certification audit of the client's Management System as described in the International Standard. The purpose of surveillance is to verify that the approved Management System continues to be implemented, to consider the implications of changes to that system initiated as a result of changes in the client's operation and to confirm continued compliance with certification requirements. Surveillance audit programmes shall cover at least:

1. The system maintenance elements such as risk assessment and control maintenance, internal Management System audit, management review and corrective action;
2. Communications from external parties as required by the Management System standard and other documents required for certification ;
3. Changes to the documented system ;
4. Areas subject to change;
5. Selected requirements of Management System
6. Other selected areas as appropriate.

As a minimum, every surveillance by the certification body shall review the following:

1. The effectiveness of the Management System with regard to achieving the objectives of the client's policy;
2. The functioning of procedures for the periodic evaluation and review of compliance with relevant legislation and regulations;
3. Changes to the controls determined, and resulting changes to the applicable standards and procedures ;
4. Implementation and effectiveness of controls according to the audit programme.

During surveillance audits, certification bodies shall check the records of appeals and complaints brought before the certification body and, where any nonconformity or failure to meet the requirements of certification is revealed, that the client has investigated its own Management System and procedures and taken appropriate corrective action. A surveillance report shall contain, in particular, information on clearing of nonconformities revealed previously and procedures and important changes from the previous audit.



Audit Process

Objectives of Assessment

Re-Certification Audit – (Renewal of the Certificate)

The objective of the Recertification audit is to evaluate the ongoing performances and its effectiveness of the client's management system(s).

Recertification audit shall confirm that the organization effective in maintaining the management system(s) and shall evaluate the continuing ability of the management system(s) to meet the applicable statutory, regulatory and contractual requirements and to achieve organization's policies and objectives.

- a) The effectiveness of the management system in its entirety in the light of internal and external changes and its continued relevance and applicability to the scope of certification;
- b) Demonstrated commitment to maintain the effectiveness and improvement of the management system to enhance overall performance;

The effectiveness of the management system about achieving the certified client's objectives and the intended results of the respective management system(s).