## 1. Purpose & Scope:

This procedure aims to describe the steps adopted by RACS for Post Certification Procedures (COC issuance, Surveillance and recertification) for all scopes other than HALAL.

## 2. Responsibilities:

It is the responsibility of the Managing Director (MD), Management Representative and Conformity Manager (CM) to ensure the appropriate implementation of this procedure. All departmental managers also have immediate responsibility for the management of records relating to their activities.

## 3. Definitions:

QAM - Quality Assurance Manager
QP - Quality Procedures
MR - Management Representative
QM - Quality Manual
QMS - Quality Management System
SOP - Standard Operating Procedure
QML - Quality Master List
QF - Quality Form

## 4. Procedures:

### 4.1. Certification Review:

- Certification is different types of decision taken by RACS QUALITY when the assigned audit team members are satisfied that the company's Quality System documentation and implementation meets the requirements of the appropriate schemes, standards and related ISO Standards.
- Once all corrective actions are fulfilled, the lead auditor will complete evaluation report summary in evaluation report (RACS/REC/12) and shall raise the final evaluation report with his recommendation to the conformity manager for certification review step of the products/facility intended for certification, recommendation is either:

  ✓ Either recommending approval of certification by Issuance of Certificate of Conformity; or
  ✓ Recommending rejection of certification by issuing Final Decision Letter.

  The following can perform Certification Review:

  a. Conformity Officer or Technical Expert different from the person who conducted the evaluation.
  b. Conformity Manager or his delegates (Conformity Supervisor)
  c. Decision Committee can perform Certification Review.

  One of which will perform certification review to verify Audit Team Leader recommendation by checking if evaluation report content is found satisfactory along with complete review for the whole application and supportive documents, and then grant the


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final recommendation to the certification decision committee if the review is done by point a. or point b. If the review and the certification decision are completed concurrently in the Decision Committee, they shall proceed with the decision after certification review is done.

- Based on audit team leader recommendation and certification review result presented by Certification Reviewer (can be a. b. or c.), all outcome is raised to the Certification Decision Committee by filling in the RACS/REC/67 Certification Decision Record and submit it to the Certification Decision Committee for their decision of certification.

### 4.2. Certification Decision

#### 4.2.1. Granting Certificate: In case of all scopes other than HALAL;

- If all documents provided are complete and are satisfactory to Decision Committee, Decision will be as following:

- Either certification will be granted, certificate will be issued on RACS QUALITY's website, list of its certified clients (RACS/REC/14) will be updated with the Company's name and scope of certification details.

Certificate will be granted either by:

- **Granting RACS Certificates as final product; or**

- Giving ESMA **Certificate of Conformity and Emirates Quality Mark**, considering RACS Notified body for Emirates Authority for Standardization and Metrology (ESMA); or

- Giving **SASO Certificate of Conformity Quality Mark Certificate** considering RACS is authorized Certification Body (3rd Party CAB) authorized by Saudi Standards, Metrology and Quality Organization (SASO), or

- Giving **G-Mark Certificate** considering RACS Notified body for GSO or

- Application will be declined/rejected and RACS will inform client by submitting RACS/REC/71 Audit Final Status Letter by e-mail or any other means stating the reasons of rejection.

- Managing Director or his delegates are authorized to sign the certificate or the final status letter.

#### 4.2.2. Certification Decision Committee -Terms and Conditions

- Certification Decision Committee members gathering, and discussion and decision taken should be recorded and documented.
- RACS shall gather the Certification Decision Committee on each application, and each case through any acceptable method (s) and it should be documented.
- Once Evaluation is finalized and first recommendation of certification is submitted from audit team leader to Certification Reviewer (mentioned in 4.1.), Certification Reviewer will inform Managing Director who will gather Certification Decision Committee.


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**Certification Decision Committee consists of:**

- **Managing Director or his delegate.**
- **Conformity Manager (applicable when it is within his technical capabilities) or Conformity Supervisor with technical knowledge depending on the scope applied)**.

- Any member involved in evaluation process, will be excluded from the Certification Decision Committee to avoid any conflict of interest. His delegate will be replacing him in attending the committee and participating in the decision.
- Certification Decision Committee will take the final decision on certification based on first recommendation done by Audit team and Certification Review done by Certification Reviewer (see. 4.1.).

**Decision as Approval of Certification:**

Final decision on certification approval shall be taken in consensus of all certification decision members and not in voting majority.

**Decision as Rejection of Certification:**

If recommendation of Conformity Officer or Technical Expert assigned in the audit team is rejection of certification, persisting with convincing reasons and supported by same rejection recommendation by the Certification Decision Committee, members shall grant the final decision for rejection of certification as certification decision.

### 4.2.3. Maintaining, Extending, Reviewing and Reducing HALAL Certificate:

- **Certification validity is as following:** All other scopes-one year for product; three years for facility.
- **Surveillance**: Certificates issuance sustaining are subject to ongoing Surveillance Audits, which usually occur at twelve-month intervals (for facilities). (Please refer to 4.5 Surveillance).
- A **Re-certification** audit of the company's Quality System will be undertaken prior to the expiration of certification. A successful re-certification audit will result in renewal of the company's Certificate of Conformity/Compliance for a further certification cycle period. However, where the Re-Certification Audit cannot be conducted prior to expiration of company's certificate, RACS QUALITY will grant a reasonable extension until the re-certification audit can be scheduled and new certificates issued.
- The certified Client has the right to **reduce or expand** at any time. In case of certificate of conformity is still valid; requests to do so must be made in writing to RACS QUALITY along with the supportive documents to justify this request, based on which RACS will evaluate the step that should be taken, either:
  - Requesting for additional documents to decide of expansion or reduction of scope of certification
  - Client to file an application for expanding of scope, then the same procedure adopted for certification process is being followed (RACS/SOP/19, RACS/SOP/04).
  - Rejection of scope expansion request with clarifying the reasons in writing (Illegibility of client due to lack of compliance, lack of capabilities by RACS, other reasons etc.)

## 4.3. Certification Documentation

- Certificates of conformity issued by RACS Quality contain the following:


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- Details of RACS Quality (Name, Address, Accredited by)
- Details of Applicant (Name, Address, Accredited by)
- Certification, Scope, Criteria
- Expiry & Validity
- Other relevant information that may be important or required.

### 4.4. Directory of Certified Products

Please refer to **RACS/REC/14** Certified Products/Clients Registry.

### 4.5. Surveillance

- A Surveillance Audit: will be **after one year starting from the certification decision's date**. A surveillance audit is an on-site mini audit that reviews a portion of the standard to determine if client's company has maintained its implementation of the standard. In addition, surveillance audits will review client's use of RACS's and the accreditation body's certification mark, status and closure of audit nonconformities and your client's complaints. For minor nonconformities, a response must be submitted. If nonconformities are found which cannot be corrected electronically, an onsite corrective action audit might need to be scheduled to verify the implementation of the action(s) to resolve the nonconformity. The scope of the audit is limited to the clause or sub clause where major nonconformities were found. Nonconformance will need to be resolved in a timely fashion as per RACS's certification regulations. The client will need to provide the Administrative Assistant with any changes that may have occurred at his facility (standard or standards selected for certification, locations, number of personnel, number of shifts, and management representatives, etc.) for RACS to act accordingly.

- Each Surveillance Audit shall cover the following issues that are always considered:
  - Samples of the activities and processes carried out by the company, which are within the scope of certification scheme.
  - A review of procedures connected with any Area of Concern or Non-Conformance noted in the previous audit.
  - Any changes made to the company's processes and procedures since the last audit.
  - Variations/Changes to products certified if any.
  - Any additional requirements that now need to be met based on revisions to the standard
  - Non-conformities reports raised during the first certification audits (Pre-Audit and Actual Audit): during surveillance RACS shall make sure whether these non-conformities are effectively closed.
  - Organizational, document and process/plant changes compared with the previous audit.
  - Appeals and complaints against applicant.
  - Use of a certification mark authorized for placement on the certified product shall be monitored by RACS by checking the implementation according to RACS/SOP/01 (RACS Quality to control the use of its license, certificate and Mark of Conformity) to ensure the ongoing validity of the demonstration of fulfillment of product requirements.
  - Non-conformity reports raised during the first certification audits (Pre-Audit and Actual Audit): during surveillance RACS shall make sure whether these non-conformities are effectively closed.
  - Organizational, document and process/plant changes compared with the previous audit.
  - Appeals and complaints against clients.

- The same flow of activities is being followed for the surveillance visits (evaluation, revision, decision) and at the audit completion the same procedure established for the


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initial audit takes place for the actions to undertake. When critical non-conformities are assessed, RACS establishes for each case a maximum deadline of 45 days to solve such non-conformities and when this expires without any solution, the certification is sent to the Managing Director to decide for suspension or annulment. The certification cannot be confirmed until the solutions and the corrective actions due to possible critical non-conformities will be effectively closed.

- Over a period of three years of certificate of conformity validity, the surveillance audits (total of minimum 2 surveillance audits) shall cover all activities and processes carried out by the client which is within the scope of ISO/IEC 17065:2012, as well as all locations of the company.
- Over the course of this three (3) year cycle all the company's locations (other than the headquarters location) shall be audited at least once during the surveillance visits. The headquarters location shall be part of every audit over the three-year cycle.

### 4.5.1. Steps of Surveillance:

- Head of Sales and Marketing Department continuously refers to Certified Products/Clients Registry RACS/REC/14; On the 11th month of COC validity, Head of Sales and Marketing Department will assign one of his Sales Executives/Administrative Assistants to contact the client representative by accessible means to inform them that the surveillance visit is due within a time of 30 days (can be extended to maximum another 30 days with convincing reasons) and requesting him to set a primary suitable date for client to conduct the visit.

  Also, Sales Executive/Administrative Assistant informs the client of the aspects that surveillance will cover (above-mentioned).
- Once primary date is set by applicant, Head of Sales and Marketing Department will convey the same to RACS Conformity Manager who will proceed with the same procedure for certification (audit preparation (RACS/SOP/04) by sending the proposed audit schedule, and audit conducting (RACS/SOP/18). An audit report will be prepared following the surveillance, and non-conformities will be raised to client requesting him to rectify and apply the necessary.
- Upon completing of the corrective actions, the same flow of activities is being followed for the surveillance visits (evaluation, revision, decision) refer to RACS/SOP/19 and RACS/REC/67 Decision record which should be filled as well in for the surveillance audit.
- RACS communicates (Head of Sales and Marketing Department is responsible to contact client) the decision taken within 10 working days from the date of completing the corrective actions raised during the Surveillance Audit by client.
- If the results of the surveillance do not allow the license to be maintained, RACS shall promptly inform the Customer with reasons and when pending non-conformities exist, RACS establishes for each case a maximum deadline of sixty (60) days to solve such non-conformities.
- When this period above expires without any action by client, the same procedure of suspension/withdrawal of certificates is being followed (please refer to RACS/SOP/19) certification cannot be confirmed to be valid again until the solutions and the corrective actions due to possible critical non-conformities will be effectively closed.

### 4.5.2. First Surveillance Audit:

In case of first surveillance audit, it shall take place within 12 months following the Stage Two (2) initial Certification Audit (not greater than 13 months after the date of


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certification). In other words; Surveillance is done at least once a year during the period of certification validity.

### 4.5.3. Second Surveillance Audit:

This audit shall take place within 12 months following the First Surveillance Audit (not greater than 13 months after the date of certification). Planning for it will begin approximately 1 month in advance.

### 4.5.4. Surveillance terms and conditions:

RACS conducts post-market surveillance on applicant's compliance with his obligations, by signing the certification agreement document since the beginning, the applicant agrees to have 'production' samples of the certified product available for at least one year after the last production date, which may at any time be requested by the certification body for post-market surveillance testing.

Furthermore, and to preserve the Certification, Applicant accepts that RACS conducts on site surveillance visits (at least once a year during the period of certification validity) in accordance with the type of tests and frequency as specified in the related schemes and applicable standards.

RACS retains the right of establishing where product tests must be performed (customer's facilities or an external laboratory).
For this purpose, RACS/REC/44 Suspended Certificates Tracking form should be filled for each case.

For the Surveillance purpose, RACS/REC/47 Surveillance form should be filled in and kept in client file.

### 4.5.5. NOTES about Surveillance:

During Surveillance:

- Applicant shall provide RACS with samples of the product under surveillance audits according to a sampling plan specified in the applicable standard or given by RACS.
- Applicant shall send the samples to the external laboratory if needed and to bear the related expenses.
- If the customer refuses the visit of the inspectors and/or the tests on samples without convincing reasons, the certification will be suspended.
- The applicant shall keep at disposal of RACS and its inspectors, during their visit, and to reveal all requested documents including records of complaints from any source and the responses given as well as the possible corrective actions started.

### 4.5.6. Supplementary audits:

Supplementary surveillance audits with intervals of less than 12 months can be required by RACS if critical non-conformities are found. These inspections will be charged to the Customer according to the Price List in force at the inspection's dates.

Furthermore, if RACS should receive notifications regarding complaints, non-conformities or doubts regarding the product conformity or the reliability, RACS has the right to conduct a supplementary inspection to verify the maintenance of compliance with the normative documents and applicable standards which were initially assessed.


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These notifications may be received also by other Accreditation Bodies and, in this case, auditors from these bodies may accompany the RACS inspectors, and the Customer cannot oppose to this (please refer to certification agreement terms and conditions). The Supplementary visits may be carried on without any notice. If the Customer should refuse that RACS carries on these verifications, the RACS certification will be immediately suspended. The costs of sampling, tests and visits have always to be paid by the Customer.

### 4.6. Re-Certification Audit:

Recertification audit is then required every three years. The recertification is conducted three years after the Stage 2 audit and at three-year intervals thereafter. This re-audit does not mean that the client will be starting over with RACS processes. Client's company will have all the advantages and benefits that maintaining a long-term partnership with RACS can bring. This includes a familiar, knowledgeable auditor who will continue to work with the client to add value to his company and the value-added services of a system he knows and trust. Scheduling it is important to ensure that the Recertification audit be conducted prior to the expiration of client's certificate.

Recertification schedule for all scopes other than HALAL should be started two months prior to the expiration of client's certificate.

This will allow for the necessary documentation processing and give client's organization time to respond to any Nonconformity Reports that are issued. This helps to ensure that there is no lapse between the expiration of client's old certificate and the issuance of the new certificate. The client will need to provide the Administrative Assistant with any changes that may have occurred at his facility (standard or standards selected for certification, locations, number of personnel, number of shifts, and management representatives, etc.). Client's auditor(s) will conduct the on-site audit in the same manner that client's registration audit was conducted. As before, any nonconformity will be documented on Nonconformity Report forms and copies will be left with the client at the end of the audit. This audit reviews the status of the applicable requirements and is conducted on-site. A documentation review will also be conducted if there have been major changes to the documentation since the previous document review. The Recertification audit must cover the interaction between all elements of the system, the overall effectiveness of the system, and commitment to maintain the effectiveness of the system. In practice, this means that the entire standard must be reviewed in a single audit at least once every three years, and that this shall be in addition to regularly scheduled surveillance audits. In general, a recertification requires less time than the original Stage 1 and Stage 2 audits. The client will have 30 days to address any Nonconformity Reports produced by his re-audit audit. During this time the client must determine the root cause of the nonconformity and develop plans to correct the nonconformity and to prevent its recurrence. The cause and the plans must be documented on RACS's Nonconformity Report. The time allowed for implementation of the plans is determined on a case-by-case basis. This applies to both major and minor nonconformities. If a major nonconformity cannot be downgraded during the audit, then a separate corrective action audit might be scheduled by the RACS office.


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Re-Certification Audit shall be carried out and shall cover all activities and processes carried out by the Client which are within the scope of ISO/IEC 17065:2012, and which affect the quality of the Product or service offered by the company; plus, a review of the findings of all Surveillance Audits carried out since certification.

This audit shall take place 12 months following the Second Surveillance Audit (not greater than 13 months after the date of certification). Planning for it will begin approximately 1 month in advance.

The same procedure of certification is followed through the re-certification (filing in the self-audit checklist, filing an application, etc.), Please refer to RACS/SOP/18.

When client's certificate expires the client's company certification agreement is on-going and will last as long as the client wishes to continue his partnership with RACS. Client's company certificate, on the other hand, is generally effective for three years, after which it must be reissued. The three-year certification period begins on the date RACS certifies and approves the audit report, not on the audit date. This reissuance is contingent upon client's completion and closure of a recertification audit. If he wishes to obtain a re-quote at this time, he must contact the Sales and Marketing Executive/Administrative Assistant.

## 4.7. Changes affecting certification

There are different types of changes affecting certification, it can be coming from certification body itself (RACS), its clients, scheme owner if self and other factors as well, as examples:

a) Changes done by Scheme owner affecting certification:
   - Change in product specific requirements/standard.
   - Changes in scheme rules.
   - changes occurring in RACS policies and procedures.

b) Changes done by Certification Body affecting certification:
   - Change in Key Personnel/management
   - Change in legal ownership status of the organization
   - RACS contact address and site(s)
   - Scope of operations under the certified management system.
   - RACS Accreditation Status

RACS Shall inform all related parties (accreditation bodies, scheme owner, clients, and other parties if any in case such changes occur.

c) Any changes affecting RACS Certification activities as ESMA and GSO's Notified body and as SASO authorized certification body; these changes include but not limited to:
   - Points b & d.
   - Clients satisfaction (including disputes, complaints and appeals).
   - Clients Happiness Indicators.
   - Capability to provide services.
   - Changes on Promotional Materials.
   - Changes in any risk affecting certification and notification system and status.
   - Any changes occurring in RACS in terms of policies and procedures, Experts appointment or cancellation, subcontract appointment or cancellation.


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- Any other changes that might happen in RACS and affect its role as ESMA Notified Body.

d) Changes done by client affecting certification:

- On the other hand, in the case changes affecting certification occur from client side, client is obliged to immediately inform certification body on any of the below mentioned changes:

i. Change or Modification in key personnel appointment or position, such change will affect the product intended for certification due to the interference of those personnel in production or manufacturing of the products.

ii. Any change concerning specification of the certified product, whether it is a change in the composition (removing or adding new raw materials), modification of production process, changes of manufacturing site, changes in the label (content, color or packaging materials) and any other change that is considered to affect certification.

iii. In case of positive declaration of previous successful certification by an accredited certification body: RACS will consider this point included in changes affecting certification and record RACS/REC/31 (Changes affecting Certification Evaluation) ,to decide for each step of certification to be conducted (application review, application evaluation(initial audit, surveillance, recertification) certification review, certification decision ) to be conducted on a complete manner or to exclude one step( replacing it by transferring the file of the other certification body) with clear justification based on the certificate already granted to this product by the other accredited certification body. (For Positive declaration of previous rejection of certification by an accredited certification body, please refer to RACS/SOP/23)

- In all way, it is advisable for the client to inform RACS for any changes to identify whether they affect certification.
- To assure the changes done by client do not affect (modify scope of certification or illegible to maintain certification), RACS Certification Body shall conduct its certification activities in a complete manner covering all steps mentioned in the certification core process (application review, application evaluation, certification review, certification decision, etc.).
- If any exclusion of any certification steps mentioned above or any other step occurs, a proper justification to the change evaluation shall be recorded and supported with documents.

Following points shall be determined upon identifying any changes affecting certification by clients:

- Change details (description)
- Receiver (Sales and Marketing Department)
- App No Application(Contract) Review
- Does Change affect certification (Yes/No)→ Decided by Conformity Manager
- "If yes, CM will identify assigned person name (evaluator/auditor/Audit team leader)"
- Assigned personnel will identify
  - Change Type (Minor, Major, Moderate) with justification
  - Need Action to maintain certification in terms of each of the following certification steps (Yes/No)
  - Application Evaluation→Assigned Personnel by CM
  - Certification Review→ CM different than the one doing contract review


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- Certification Decision: taken by Certification Decision Committee Certification Decision obtained by gathering of certification decision committee and decide on maintaining or altering the certification.

## 4.8. Termination, reduction, suspension or withdrawal of certification

RACS QUALITY reserves the right to suspend or withdraw the Certificate of Conformity/ Compliance at any time. The Certificate may be suspended should the Company:

- Failure to complete corrective actions within the agreed time;
- Misuse the Certification mark;
- Failure to comply with the financial requirements of the Agreement entered with RACS QUALITY (Nonpayment of any of certification fees) or Bring RACS QUALITY into disrepute in any way.
- The client's certified management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the quality management system"
- The certified client does not allow surveillance or re-certification audits to be conducted at the required and agreed surveillance frequencies.
- The certified client has voluntarily requested a suspension.

Any apparent contravention of Certification agreement which might lead to suspicion of certification will be brought to the attention of the Managing Director who then investigates the report. Should the result of the investigation reveal non-compliance with Certification agreement, then RACS Head of Sales and Marketing Department will issue a letter which will be sent to the client company outlining the non-compliance details and requesting their correction within an agreed and reasonable period of time (Usually RACS gives 90 days to make the correction needed, unless for a critical non-conformity timeline will be minimized), and explaining that their registration may be suspended until the corrective action is completed.

Should the necessary corrective action not be taken within the agreed period, then a further letter will be sent to the client company, informing them that their registration is suspended and another very limited time (30 days) will be given to client as a final chance to restore the certificate suspension by performing the corrective actions needed.

Whenever certification is suspended, RACS Head of Sales and Marketing Department will communicate the actions needed to end suspension and restore certification for the client certified product in accordance with the RACS Rules of certification and the scheme of certification, these actions depends on the defect that is committed by client and that lead to the suspension of the certificate.

RACS Head of Sales and Marketing Department will make sure client understands the reason of suspension and the actions that need to be done to reverse the suspension decision.

In such cases the client will be asked to stop claiming that their organization is certified by RACS, and withdraw from use any letterheads, business cards, etc. that indicate RACS certification validity.


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Once client takes measurements needed for restoring certification, client shall bring to RACS Knowledge by informing RACS Head of Sales and Marketing Department with the actions and measurements taken by client (through any accessible means to RACS with providing the corrective actions taken in this regard.

Head of Sales and Marketing Department in return will transfer the request with supportive evidences to RACS Conformity Manager to follow the same certification plan adopted by RACS (evaluation, review, decision) needed to resolve the suspension, similar to the core certification process, Conformity Manager will make the final recommendation and transfer the request to the managing director who will take the final decision to restore certification, keep suspension, or withdraw certification.

The conditions for certification reinstatement may include:

- Re-verification of management systems effectiveness through on-site audit.
- Re-testing of the Product
- Discontinuation of misleading stationery and other advertising material.
- Removal of other reasons responsible for suspension of the certificate.

If the client does still not complete the corrective action the further agreed final time, then a further letter will be sent by RACS Head of Sales and Marketing Department detailing the fact that their registration with RACS is withdrawn. Such withdrawal of certification will be published on the web site of RACS to make note of the withdrawal. The status of the client will update on the client file and certified products registry (RACS/REC/14). A request that the Client to return the certificate and discontinue the use of the certification mark in any way, as Certificates and marks of compliance remain the property of RACS QUALITY.

If certification is reinstated after suspension, RACS shall make all necessary modifications to formal certification documents, public information, authorizations for use of marks, etc., in order to ensure all appropriate indications, exist that the product continues to be certified.

If a decision to reduce the scope of certification is made as a condition of reinstatement, RACS shall make all necessary modifications to formal certification documents, public information, authorizations for use of marks, etc., in order to ensure the reduced scope of certification is clearly communicated to the client and clearly specified in certification documentation and public information.

For this purpose, RACS /REC/44 Suspended Certificates Tracking form should be filled for each case.



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## 5. Notice Period allowed for both Certification Body & applicant

| Type | Allowed time taking to perform action By Applicant | Allowed time taking to respond on action by RACS | Examples of reason for Notice to Approve/Pause /Decline certification |
|---|---|---|---|
| **Prior Certification: Certification Audit** | 1.Notification of Non-conformities done by RACS towards applicant: Immediate after audit.<br>2. Timeframe of 90 Days to close Non-conformities agreed on in closing meeting in Certification audit and provide suitable Corrective Actions | As per RACS KPIs:<br>1. Response of RACS to Corrective Actions Evaluation by Audit Team Leader: **16 working hours**<br>2. Submission of Final Evaluation Report by Audit Team leader to Conformity Manager: **8 Working Hours**<br>3. Final Recommendation by Conformity Manager to Managing Director: **8 working Hours**<br>4. Certification Decision by Certification Committee: **8 Working Hours**<br>5. Submission of Draft Final Approvals (C.O.C + Agreement +License) to Client for content: **8 working Hours**<br>6. Approval & Signature(Hours): 8 Hours<br>Issuance of C.O.C: **8 working Hours** | 1. Non-Conformities given during the Certification/Surveillance/Recertification audit which are not yet closed at the end of the audit of which corrective actions should be provided within the agreed time<br>2. Fail to provide corrective actions within the agreed time<br>3. Fail to comply with the financial requirements of the Agreement entered into with RACS (Nonpayment of any of certification fees) or Bring RACS QUALITY into disrepute in any way.<br>4. The client's certified management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the quality management system. |
| **Post Certification: Surveillance/ Re-Certification audit.** | 1. Notification of Non-conformities done by RACS towards applicant: Immediate after audit.<br>2. Time Frame of 120 Days to close Non-conformities agreed on in closing meeting in Surveillance /Re-Certification audit and provide suitable Corrective Actions | | |
| **Post Certification: Suspension** | 1. Notification of Non-conformities done by RACS towards applicant: Immediate after audit.<br>2. Time Frame of 60 Days to close Non-conformities causing suspension of certificate (with one final extension to 30 days if applicant provides convincing justification for extension) | As per KPIs<br>1. Same Timeframe for Certification/surveillance/Recertification mentioned above. | 1.The certified client does not allow surveillance or re-certification audits to be conducted at the required and agreed surveillance frequencies.<br>2. Misuse the Certification mark<br>3. Violation of an existing standard, for reasons other than safety.<br>4. Fraud, or any other reason enforcing withdrawal |
| **Post Certification: Withdrawal /Termination** | 1. Notification of Non-conformities done by RACS towards applicant: Immediate after audit.<br>2. No Time frame: Immediate after the | Immediate after notice period/timeframe for suspension is over<br>Issuance of Final Decision Letter: 24 working days | |


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| | | | |
|---|---|---|---|
| | notice period/timeframe for suspension is over | | |
| **Post Certification: Cancellation /reduction** | Any time | Immediate after receipt of written request clarifying reason of cancellation<br>Issuance of Final Decision Letter: 8 working days | 1. The certified client has voluntarily requested a suspension or withdrawal. |
| **Post Certification: Complaints & Appeals** | Complaints/Appeals/Review must be submitted through written texts which can be submitted up to 15 Calendar days after a reason for complaint has arisen, or after receipt of the Certification Decision or Evaluation Decision | As per RACS/SOP/07<br>1. QAM who will conduct an initial evaluation of the request and decide if the submission is accepted or denied within 7 working days, based on whether the request contains a valid reason to file the complaint /appeal /review request.<br>2. 4.1.3. Investigation and preparation of actions to be taken and response: Not Specific Case by Case.<br>2. Appeals: Complaints/Appeals/Review Committee will decide within 30 working days after receiving the disagreement of the last decision communicated by RACS QAM to the concerned person | |

## 6. Process Map

Please refer to:

- o RACS /WI/01 Certification Process Flow Chart (RACS-Notified Body)
- o RACS/WI/02 Certification Process Flow Chart (RACS-Certification Body)
- o RACS/WI/03 (Flow chart) Procedure Certification Application-Conformity Officers

## 7. Related Forms:

| | |
|---|---|
| Final Decision Status Form | RACS /REC/71 |
| Evaluation Report | RACS /REC/12 |
| Certification Decision Record | RACS /REC/67 |
| Schedule of Fees | RACS /REC/46 |
| Quality Master List | RACS/REC/01 |
| Pre-certification Procedures (COC issuance, Surveillance and re-certification)-HALAL Scope | RACS/SOP/18 |
| RACS Certified Clients/Products Registry. | RACS/REC/14 |
| Surveillance form | RACS/REC/47 |


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| Suspension/withdrawal tracking form | RACS/REC/44 |
| RACS Certificate Templates | Refer to RACS/REC/01 |
| G Mark Certificate Templates | |
| ESMA Certificate of conformity Template | |
| ESMA EQM Certificate | |
| ESMA Declaration of conformity | |
| SASO Quality Mark Certificate | |

## 8. References

- ISO/IEC 17065, Conformity Assessment - Requirements for bodies certifying Products, Processes and services.
- ISO/IEC 17021, Conformity Assessment — Requirements for bodies Providing audit and Certification of management systems.
- UAE. GSO 2055-2 Halal products- Part two: General Requirements for Halal Certification Bodies.
- GAC Document: FAD- 4.0: Supplementary accreditation requirements for Product Certification Bodies.
- GAC document: FAD-12: Supplementary accreditation requirements for Halal Certification Bodies, in addition to applicable scheme and Standards
- R105: Requirements when making reference to A2LA Accredited Status
- R307: General Requirements Accreditation of ISO /IEC 17065 Product Certification Bodies
- R334: Specific Requirements: HALAL Certification Body Program.
- IAF Mandatory Document: Determination of Audit Time of Quality and Environmental Management System.
- ISO/IEC 17000, Conformity Assessment — Vocabulary and general principles.
- ISO/IEC 17020, Conformity Assessment— Requirements for the operation of various types of bodies performing inspection.
- ISO/IEC 17025, General requirements for the competence of testing and calibration laboratories.
- ISO17067, in combination with ISO Guide 28 and ISO Guide 53
- ISO/IEC 17030, Conformity Assessment — General requirements for third-party marks of conformity.
- ISO Guide 23:1982 Methods of indicating conformity with Standards for third-Party certification Systems
- ISO Guide 27:1983 Guidelines for corrective action to be taken by a certification body in the event of misuse of its mark of conformity
- General Requirements for Notified Bodies issued by Emirates Authority for Standardization and Metrology (ESMA).
- Decree no. 6386 issued by the Trade and Industry Ministry of Saudi Arabia (MOCI), dated the 4th of August 2004
- RACS Quality Manual RACS/QM/01
- All controlled QMS records-Please refer to RACS/REC/01-Quality Master List.


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Revision History

| Date | Revision # | Description of Changes |
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| Feb 15, 2017 | 00 | As per the modification of the system (separation HALAL scope and other scopes, in addition to removing branch offices), this SOP 18 currently will represent HALAL SCOPE only, accordingly complete review has been done to customize it to HALAL Scope. By:<br>- Modify responsibility<br>- Remove the paragraph: (**In case of a branch office**, approval of branch manager of the branch office is considered final recommendation which will be raised to Global Managing Director in HEAD office recommending Final approval (the final audit report along with the related documents are shared with the head office for following reasons: Granting the final approval by Head office (managing director or his delegate), by checking the information available in documents and assuring the satisfaction of product to be certified.<br>Keep a complete documented file of certified product by branch office in the head office for future referral or complain, and to be included in the internal audit and management review input.<br>Head office through its Global Quality Assurance to assure that the quality system is being followed in each and every step of the certification process by reviewing the process flow that has been adopted by branch office and confirm that for every client the flow is matching with RACS Quality policy and procedures<br>Head office through its Global Quality Assurance, to be able to assure conducting the Post certification procedures for the specific applicant in future and trace the result (Certification registry updates, documentation, Surveillance, recertification, if all the above is satisfactory by Managing Director, and based on approval on the final recommendation done by conformity manager: _<br>- Adding all the records related to this SOP.<br>-reorganizing the clauses to be clearer, Removing all duplicate parts<br>-Add paragraph of certification review in details.<br>- add paragraph managing director responsibilities<br>-add terms and conditions of certification decision committee<br>-Modify decision regarding changing affecting certification to be taken by certification decision committee **not** Managing director.<br>Adding Changes affecting certification for previous certified client<br>Adding personnel authorized to sign the certificate |
| June 25, 2017 | 01 | Updating the clause 4.5; by changing the date of the surveillance to be **after one year starting from the certification decision's date** instead of the date of finishing stage 2 audits. |
| March 4, 2018 | 02 | Added: Certification Decision: Certification Decision taken by Managing Director **(or the Management Representative as his delegate)** to decide on maintaining or altering the certification.<br>Modified document format. |


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| April 25, 2018 | 03 | Change Operations Manager to Head of Sales and Marketing Department.<br>Added in 4.1. The following can perform Certification Review:<br>a. Conformity Officer or Technical Expert different from the person who conducted the evaluation.<br>b. Conformity Manager or his delegates (Conformity Supervisor)<br>c. Decision Committee can perform Certification Review.<br>Added 4.2.2. Certification Decision Committee -Terms and Conditions<br>Established a Certification Decision Committee |


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