

1. PURPOSE

The purpose of this procedure is to ensure effectiveness of implementation of the certificate scope granting, refusing, maintaining of certification, expanding or reducing the scope of certification, renewing, suspension or restoring following suspension or withdrawing of certification of TRANS's accredited certificate.

2. SCOPE

This procedure applies to all certification services providing by Trans Certification & Inspection Sdn. Bhd.

3. RESPONSIBILITY

- a. Operation Director, Head of Scheme/Certifier is responsible in making decision for granting, refusing, maintaining of certification, expanding or reducing the scope of certification, renewing, suspension or restoring following suspension or withdrawing of certification.
- b. The Head of Scheme shall sign the certificate on behalf of Operation Director with Operation Director approval.
- c. Lead Auditor, after performing audit is responsible for preparing and submitting the complete audit documents as well as other relevant documents or supporting documents to the Head of Scheme.

4. PROCEDURE

4.1 Granting of Certificate

- a. Upon receiving the complete audit documents from audit Team Leader, the Head of Scheme shall review the documents and take appropriate action required by specific certification scheme.

- b. The Head of Scheme/Certifier shall then make the certification decision within a reasonable time. The appointed Certifier shall not be the same person conducting audit and shall not delegate the decision-making authority to the third party.
- c. Certifier shall grant certification if following situation is comply, for example:
 - i. the information provided by the audit team is sufficient with respect to the certification requirements and the scope for certification;
 - ii. for any major nonconformities, TRANS has reviewed, accepted and verified the correction and corrective actions implemented by auditee;
 - iii. for any minor nonconformities, TRANS has reviewed and accepted the auditee's action plan for correction and corrective action.
 - iv. certification agreement has been signed by the client.
- d) The information provided by the audit team to TRANS for the certification decision shall include, as a minimum,
 - i. the audit reports,
 - ii. comments on the nonconformities and, where applicable, the correction and corrective actions taken by the client
(refer to TRANS-IQP-P10 Corrective and Preventive actions and Corrective Action Report Form-TRANS-P05-F3),
 - iii. confirmation of the information provided to the TRANS used in the application review *(refer TRANS-IQP-P05 Certification Assessment, application form and application review),*
 - iv. confirmation that the audit objectives have been achieved,
(refer to audit report),
a recommendation whether or not to grant certification, together with any conditions or observations *(refer to audit report).*

4.2 Changes of Granted Certificate

- a. TRANS shall made change in awarded certification after reviewing the relevant documents, due to following situation;
 - i. change in client's ownership;
 - ii. change in client's company name;
 - iii. change in certified unit location;
 - iv. increase or decrease in scope (products, services offered etc.);
 - v. increase or decrease in locations (opening / closing of site etc.);
 - vi. adverse findings from surveillance audit;
 - vii. repetitive failure in meeting the certification requirements.
 - viii. Change particular in Certificate

- b. The decision to change shall be made upon the surveillance, recertification or special audit and will result to,
 - i. Revise of client's certificate;
 - ii. reduction in the scope of certification;
 - iii. expansion in the scope of certification;
 - iv. revise of contract agreement;
 - v. public information.

4.3 Extensions of Scope (Special Audit)

- a. Customer that already granted with certificate can fill up *Application Form* for the extension scope they request.
- b. Head of Scheme undertake a review of the returned application and determine any audit activities necessary to decide whether or not the extension may be granted. This may be conducted in conjunction with a surveillance audit.
- c. Certification Assistant will prepare for Proposal after discussing with Head of Scheme and Managing Director. The *Certification Proposal* may be revise depends on the Managing Director's decision.
- d. Head of Scheme will arrange audit team to conduct audit referring to information on *Application Review*.
- e. The audit will be conduct based on the *Certification Assessment Procedure (TRANS-IQP-P05)*.
- f. If necessary, a Special Audit will be conduct for the Extension Scope before the Surveillance Audit.
- g. New revise certificate is awarded after the successful audit conducted for the extension scope.

4.4 Reducing of Scope

- a. Client can request for reducing the scope of granted certificate by communicating with Head of Scheme.
- b. Head of Scheme will review client request and revise the *Application Review* according to client request.
- c. The Certification Proposal agreed on Main Audit is not changing.
- d. The new revise certificate will be granted after the next surveillance audit conducted.

4.5 Suspension of Certification

- a. Suspension means that the certification is temporarily invalid. TRANS can suspend a Certificate at any time and with immediate effect in one of the situations set out below:
 - i. Upon express request from the Customer (maximum 12 months of suspension);
 - ii. If the client breaches the Regulations, the Certification Agreement or the definitions set forth in the present TRANS's General Terms and Conditions;
 - iii. If and as long as the client does not pay for the service of TRANS for given time period;
 - iv. If the client fails to allow the Surveillance Audit to be conducted at the planned frequency;
 - v. If the certified organization persistently fails to meet the conform standard requirements;
 - vi. If non-conformance(s) or effective corrective action not implemented within a specified time period;
 - vii. If the major non-conformity is repeated during the Surveillance Audit;
 - viii. If the major non-conformity is failed to close by the client in given time period;
 - ix. If the client fails to address any complaint received against the products or services brought to the attention of TRANS;
 - x. If the client denies reasonable access to auditors during audits without valid justification;
 - xi. If the client misuses the certificate or the mark, symbol, logo and appropriate corrective actions not implemented within the specified time period.
 - xii. If the major non-conformity is not close in 3 months of period. Then, there will be suspension period, which is, the client will be given another 3 months to close the non-conformity before withdraw the certificate.
- b. Voluntary suspension, when the certified clients voluntary request for suspension, with valid reasons such as:
 - i. change of production or services facility location;
 - ii. organization restructure that affect the implementation of the certified organization;
 - iii. production or services to be halted within limited period of time;
 - iv. internal audit shown that major breakdown of the certified system implementation.
- c. A *Notification Letter* of suspension of certificate will be sent to Customer, and the Customer will be notified of the situation that has led to the suspension and the period within which this situation must be rectified.

- d. In the event of suspension, the Customer shall cease to use the Certificate and any reference there to immediately, without any right to reimbursement of the costs of certification. The decision to withdraw will be publicized by TRANS and TRANS will notify the competent accreditation bodies, the manager of the Certification scheme owner and the competent authorities.
- e. Head of Scheme will arrange audit team to conduct investigation/site verification (Short Notice Audit) if necessary, within six-month from the date of *Notification Letter*.
- f. If the Customer fail to clarify above issues that led to suspension of their certificate in three-months, the awarded certificate will be withdrawn.
- g. If within the three-months of suspension however the client manages to resolve the issues that have resulted in the suspension, TRANS shall restore the suspended certification. Failure to resolve issues that have resulted in the suspension within 3 months from the date of suspension issued, TRANS shall withdraw the certification.

4.6 Withdrawal of Certification

- a. Withdrawal means the cancellation of the certification. TRANS can withdraw an awarded Certificate at any time and with immediate effect in one of the situations set out below:
 - i. Upon voluntarily requests made by the certified clients;
 - ii. If the Certification Agreement between TRANS with the client comes to an end, for whatever reason;
 - iii. If the client fails to take the necessary measures within the term set by TRANS to rectify the situation that led to the suspension of the Certificate;
 - iv. If a certified Product is no longer marketed;
 - v. If client break any national Legal Regulation that may affect the whole their certification system;
 - vi. Existence of a serious complaint, or a large number of second/third-party complaints, which indicate that the quality management system is not being maintained by the certified client;
 - vii. If the client fails to meet financial obligations to TRANS.
- b. A *Notification Letter* of withdrawal of certificate will be sent to client, and the Customer will be notified of the situation that has led to the withdrawal and the period within which this situation must be rectified.
- c. In the event of withdrawal, the client shall cease to use the Certificate and any reference there to immediately, without any right to reimbursement of the costs of certification. The decision to withdraw will be publicized by

TRANS and TRANS will notify the competent accreditation bodies, the manager of the Certification scheme owner and the competent authorities.

- d. The client may request to restore the withdrawn certificate by communicating with Head of Scheme.
- e. Head of Scheme will review the client's request and issues that led to the withdrawal of certificate. Audit team will be arranged to conduct the investigation and Main Assessment Audit will be conducted for client to restore back the certificate.
- f. After a successful Assessment of Audit, the new certificate will be granted with new date of start of certification. Validity of the certificate is not changing from previous certificate.

4.7 Restoring / Lifting of Certificate

- a. Restoring of certificate shall be made once the certified client has taken appropriate corrective action prior the expiry of the suspension/withdrawal period. Evidence of such corrective action shall be reviewed by the Head of Scheme/Certifier.
- b. Reviewing shall be undertaken to determine whether the conditions for reinstatement have been satisfactorily fulfilled and the associate risks are manageable.
- c. The Head of Scheme shall then be notified the client that the suspension has been lifted and the certification is reinstated. Letter of lifting shall be sent to client after NC issued has been closed.
- d. Clients suspended due to obligation of certification fees shall be reinstated immediately upon received of the outstanding amount.
- e. A new application is required when the client's intent to reinstate after it has been withdrawn and a new certificate shall be issued out upon successful completion of the certification process.

4.8 Termination / Revocation of Certification

- a. The awarded of certificate may be terminate in situation below:
 - i. If Client request to terminate and not continue their certification with TRANS;
 - ii. If Client against any of statement state in TRANS's Certification Agreement;
 - iii. If Client and TRANS agreed to not continue the 2 ways of services any longer.

- b. The termination of certificate will be announced by TRANS on website and the Scheme Owner will be inform.
- c. All the certification documents are belonging ownership to TRANS. Thus, the Client may request in writing to TRANS if they want to keep/copy any of the documents.
- d. If the Client request to transfer their certification to others Certification Body, the Certification Body may request the certification documents in writing to TRANS. The certification documents can be access under TRANS's approval as below:
 - i. Copy of Client latest Awarded Certificate
 - ii. Copy of Final Audit Report
 - iii. Copy of Corrective Action Form (if applicable)
- e. The decision of approving the request is under Managing Director as all the TRANS's Certification Documents is treated as CONFIDENTIAL, and access may be upon request only.