
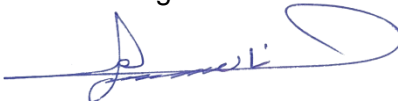


Post-Certification-Procedures

PCOC-Issuance

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1. Purpose & Scope:

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

2. Responsibilities:

It is the responsibility of the General Manager (GM), Quality Manager (QM) and Certification 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:

GM: General Manager

QM: Quality Manager

CM: Certification Manager

4. Procedures:

4.1 Certification Review:

- Certification is different types of decision taken by WCC 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 and shall raise the final evaluation report with his recommendation to the Certification 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:

- ✓ Technical Manager is different from the person who conducted the evaluation.

One of which will perform a certification review to verify technical manager recommendations by checking if evaluation report content is found satisfactory along with complete review for the whole application and supportive documents, and then grant the final recommendation. If the review and the certification decision are completed concurrently, they shall proceed with the decision after the certification review is done.

4.2 Certification Decision

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4.2.1 Granting Certificate:

- If all documents provided are complete and are satisfactory to Certificate Manager or his delegate, Decision will be as following:
- Either certification will be granted, certificate will be issued on WCC QUALITY's website, and the list of its certified clients will be updated with the Company's name and scope of certification details.

Certificate will be granted either by:

- ✓ Granting WCC Certificates as final product; or
- ✓ Giving **SASO Certificate of Conformity Product Certificate** considering WCC is authorized Certification Body (3rd Party CAB) authorized by Saudi Standards, Metrology and Quality Organization (SASO), or
- ✓ Giving **G-Mark Certificate** considering WCC Notified body for GSO or
- ✓ Applications will be declined/rejected, and WCC will inform clients by submitting Audit Final Status Letter by e-mail or any other means stating the reasons of rejection.
- The General Manager or his delegates are authorized to sign the certificate or the final status letter.

Decision as Approval of Certification:

The final decision on certification approval shall be taken by the Certificate Manager.

Decision as Rejection of Certification:

If the recommendation of Certificate by Technical manager assigned in the audit team is rejection of certification, persisting with convincing reasons and supported by same rejection recommendation by the Certificate Manager the team shall grant the final decision for rejection of certification as certification decision.

4.2.2 Maintaining, Extending, Reviewing and Reducing Certificate:

- **Certification validity is as follows:** 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).
- 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, WCC 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 WCC quality along with the supportive documents to justify this request, based on which WCC will evaluate the step that should be taken, either:

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- ✓ Requesting 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.
- ✓ Rejection of scope expansion request with clarifying the reasons in writing (Illegibility of client due to lack of compliance, lack of capabilities by WCC, other reasons etc.)

4.3 Certification Documentation

Certificates of conformity issued by WCC contain the following:

- ✓ Details of WCC (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.
- ✓ In the event of issuing any revised certification documents, a means to distinguish the revised documents from any prior obsolete documents, by adding Rev.xx to the certificate number.

4.4 Directory of Certified Products

Please refer to **WCC-F-PR-Annex-27-en Directory of Certified Products** Certified Products/Clients Registry.

5 Surveillance

- A Surveillance Audit: will be **after one year starting from the certification decision 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 clients' use of WCC 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 WCC 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 WCC 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 a 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.

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- ✓ 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 during surveillance WCC 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 applicants.
- ✓ Use of a certification mark authorized for placement on the certified product shall be monitored by WCC by checking the implementation according to **WCC- MSM-02-en Conflict of Interest Analysis** to ensure the ongoing validity of the demonstration of fulfillment of product requirements.
- ✓ Non-conformity reports raised during the first certification audits during surveillance WCC 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 initial audit takes place for the actions to undertake. When critical non-conformities are assessed, WCC establishes for each case a maximum deadline of 90 days to solve such non-conformities and when this expires without any solution, the certification is sent to the General Manager to decide for suspension. 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.

Steps of Surveillance:

- Sales and Marketing Manager continuously refers to Certified Products/Clients Registry On the 11th month of COC validity, Sales and Marketing Manager 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.
- Once the primary date is set by applicant, the Sales and Marketing Manager will convey the same to WCC Certification Manager who will proceed with the same procedure for certification by sending the proposed audit schedule, and audit conducting. An audit report

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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). Decision record which should be filled as well for the surveillance audit.
- WCC communicates (the Sales and Marketing Manager is responsible for contacting clients) 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, WCC shall promptly inform the Customer with reasons and when pending non-conformities exist, WCC establishes for each case a maximum deadline of Ninety (90) 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 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.

First Surveillance Audit:

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

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.

Surveillance terms and conditions:

WCC conducts post-market surveillance on applicant's compliance with his obligations by signing the certification agreement document from 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 WCC 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.

WCC retains the right to establish where product tests must be performed (customer's facilities or an external laboratory).

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For the Surveillance purpose, **WCC-F-MS-35-en Surveillance Audit Form** surveillance form should be filled in and kept in client file.

NOTES about Surveillance:

During Surveillance:

- ✓ Applicants shall provide WCC with samples of the product under surveillance audits according to a sampling plan specified in the applicable standard or given by WCC.
- ✓ 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 the disposal of WCC and its inspectors, during their visit, and reveal all requested documents including records of complaints from any source and the responses given as well as the possible corrective actions started.

Supplementary audits:

Supplementary surveillance audits with intervals of less than 12 months can be required by WCC 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 WCC should receive notifications regarding complaints, non-conformities or doubts regarding the product conformity or the reliability, WCC 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.

These notifications may be received also by other Accreditation Bodies and, in this case, auditors from these bodies may accompany the WCC inspectors, and the Customer cannot oppose 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 WCC carries on these verifications, the WCC certification will be immediately suspended. The costs of sampling, tests and visits have always to be paid by the Customer.

Re-Certification Audit:

A re-certification 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 WCC processes. Client's company will have all the advantages and benefits that maintaining a long-term partnership with WCC 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 trusts. Scheduling it is important to ensure that the Recertification audit is conducted prior to the expiration of client's certificate.

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The recertification schedule for scopes should be started two months prior to the expiration of the client's certificate.

This will allow for the necessary documentation processing and give the client's organization time to respond to any Nonconformity Reports that are issued. This helps to ensure that there is no connection between the expiration of the 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 in the WCC 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 WCC office.

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 for 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.).

When the 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 WCC. 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 WCC certifies and approves

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the audit report, not on the audit date. This reissuance is contingent upon the client's completion and closure of a recertification audit.

Changes affecting certification:

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

a) Changes made by Scheme owner affecting certification:

- ✓ Change in product specific requirements/standard.
- ✓ Changes in scheme rules.
- ✓ Changes occurring in WCC policies and procedures.

b) Changes made by Certification Body affecting certification:

- ✓ Change in Key Personnel/management
- ✓ Change in legal ownership status of the organization
- ✓ WCC contact address and site(s)
- ✓ Scope of operations under the certified management system.
- ✓ WCC Accreditation Status

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

c) Any changes affecting WCC Certification activities such as GSO's Notified body and 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 in Promotional Materials.
- ✓ Changes in any risk affecting certification and notification system and status.
- ✓ Any changes occurring in WCC in terms of policies and procedures, Experts appointment or cancellation, subcontract appointment or cancellation.
- ✓ Any other changes that might happen in WCC and affect its role as Notified Body.

d) Changes made 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 of any of the below mentioned changes:

- 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.
- 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.

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- In case of positive declaration of previous successful certification by an accredited certification body: WCC will consider this point included in changes affecting certification and record 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.
 - ✓ In all ways, it is advisable for the client to inform WCC of any changes to identify whether they affect the certification.
 - ✓ To ensure the changes done by client do not affect (modify scope of certification or illegible to maintain certification), WCC 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 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.

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

Change details

- Receiver (Sales and Marketing Department)
- No Application (Contract) Review
- Does Change affect certification yes/no. Decided by Certification 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 is different than the one doing contract review
 - ✓ Certification Decision: taken by Certification Manager decide on maintaining or altering the certification.

Termination, reduction, suspension or withdrawal of certification

WCC 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.

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- ✓ Failure to comply with the financial requirements of the Agreement entered with WCC (Nonpayment of any of certification fees) or bring WCC 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 the Certification agreement which might lead to suspicion of certification will be brought to the attention of the General Manager who then investigates the report. Should the result of the investigation reveal non-compliance with Certification agreement, then WCC Sales and Marketing Manager 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 WCC 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 (90 days) will be given to the client as a final chance to restore the certificate suspension by performing the corrective actions needed.

Whenever certification is suspended, WCC Sales and Marketing Manager will communicate the actions needed to end suspension and restore certification for the client certified product in accordance with the WCC rules of certification and the scheme of certification, these actions depend on the defect that is committed by client and that lead to the suspension of the certificate.

The WCC Sales and Marketing Manager will make sure the 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 WCC, and withdraw from using any letterheads, business cards, etc. that indicate WCC certification validity.

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

Sales and Marketing Manager in return will transfer the request with supportive evidences to WCC Conformity Manager or his delegate to follow the same certification plan adopted by WCC (evaluation, review, decision) needed to resolve the suspension, similar to the core certification process, Certification Manager will make the final recommendation and transfer

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the request to the General Manager 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 WCC Sales and Marketing Manager detailing the fact that their registration with WCC is withdrawn. Such withdrawal of certification will be published on the website of WCC to make note of the withdrawal. The status of the client will update on the client file and certified products registry. 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 WCC.

If certification is reinstated after suspension, WCC 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, WCC 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.

6 Reference Documents

Document Name	Code	Notes
Conflict of Interest Analysis	WCC- MSM-02-en	
Directory of Certified Products	WCC-F-PR-Annex-27-en	
Surveillance Audit Form	WCC-F-MS-35-en	

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