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**SRI LANKA STANDARDS INSTITUTION**  
**XMSCS PROCEDURE**  
**PROCEDURE FOR GRANTING CERTIFICATE**

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**1. PURPOSE**

This procedure will ensure uniformity in the process of granting certification under the SLSI Management System Certification Scheme (MSCS).

**2. SCOPE**

This procedure is applicable only for the granting of certificate under the SLSI Management System Certification Scheme.

**3. DEFINITIONS**

**a. DG**

Director General of SLSI - Chairman of Management System Certification Committee (MSCC).

**b. DDG**

Deputy Director (SystX Certification) of the SLSI- Secretary of MSCC

**c. D(SC)**

Director (SystX Certification) of the SLSI- Secretary of MSCC

**d. SDD(SC)**

Senior Deputy Director (SystX Certification) of the SLSI

**e. MSCO**

Any Deputy Director/ Assistant Director attached to the SystX Certification Division of the SLSI.

**f. AO/MA**

Administrative Officer/Management Assistant attached to the SystX Certification Division.

**g. APPLICANT**

Organization desirous of obtaining Management System Certification of conformity under SLSI XCS

**4. REFERENCES**

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|----------------------------|--|
| 4.1. XMS – G 6.4 – 01      | - Opening and closing of Nonconformity Reports                           |
| 4.2. XMS – G 11.0 – 01     | - Rules and Procedures   |
| 4.3. MSC – F 6.5-01        | - Approval for granting of certification                                 |
| 4.4. MSC - F 6.6-01        | - Company Data Sheet – Certification Cycle                               |
| 4.5. XMS – F 6.5 – 04      | - Notification to client to grant certification and forwarding agreement |
| 4.6. XMS-F 6.5-06(a/b/c/d) | - Management SystX Certification Mark and conditions for use             |
| 4.7. XMS – F 6.5 – 07      | - Certification agreement  |

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- 4.8. MSC - F 6.6-01 - Company Data Sheet – Certification Cycle
- 4.9. XMS – F 6.6- 01 A - Three Year Audit Programme
- 4.10. XMS - F 6.6 – 01 B - Surveillance Audit Plan
- 4.11. XMS – F 6.6- 07 - Post Certification Visit Status Form
- 4.12. XMS – F 6.9- 03 - Certification Audits Monitoring Plan
- 4.13. XMS – F 11.0 – 03 - Fee Structure
- 4.14. XMS – R 9.0 - 02 - List of Certified Companies

**5. RESPONSIBILITIES**

As stated in clause 6.

**6. PROCEDURE**

- 6.1. The granting of a certificate under MSCS shall be dependent on the fulfilment of the conditions given under the scheme by the applicant.
- a. The applicant may be any manufacturing or service organization.
  - b. The operation of a Management System which fully meets the requirements of relevant version of SLS ISO xxxx standard.
  - c. Agree to maintain a record of all complaints and remedial actions relevant to the certified Management System.
  - d. Agree to abide by the rules and procedures of the scheme.
- 6.2. Certification can only be considered once the stages of formal application, and initial audit/recertification audit have been completed successfully and relevant fees paid in full.
- 6.3. The information provided by the audit team to the SLSI for the certification decision shall include as a minimum;
- a. The audit reports.
  - b. Comments on the nonconformities and where applicable correction and corrective actions taken by the client.
  - c. Confirmation of the information provided to the SLSI used in the application review and
  - d. A recommendation whether or not to grant certification, together with any conditions or observations.
- 6.4. SLSI shall confirm prior to making a decision that,
- a. The information provided by the audit team is sufficient with respect to the certification requirements and the scope for certification

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- b. It has reviewed, accepted and verified the effectiveness of correction and corrective actions, with a follow up audit for all major nonconformities that represent.
    - Failure to fulfil one or more requirements of the management system standard, or
    - A situation arise significant doubt about the ability of the client's management system to achieve its intended outputs;
  - c. It has been reviewed, accepted and verified the effectiveness of correction and corrective actions, with a verification of documentary evidence provided by the client, for all minor nonconformities.
  - d. Verify the availability of all relevant information as per MSC-F 6.6-01.
- 6.5. The certification body shall ensure that the persons that make the decisions for granting or refusing certification, expanding or reducing the scope, of certification, suspending or restoring certification, withdrawing certification or renewing certification are different from those who carried out the audit. The individual(s) appointed to conduct the certification decision shall have appropriate competence.
- 6.6. Once all the above have been satisfied the file is sent to D (SC)/ competent independent Team Leader for review and to make recommendation to DDG/ competent independent Team Leader for granting certification on the MSC - F 6.5 - 01.
- 6.7. Once all the above have been satisfied the file is forwarded by SDD to D (SC) / competent independent Team Leader for evaluation of audit findings and conclusions for review and to make recommendation to DDG/ competent independent Team Leader for granting certification on the MSC - F 6.5 - 01.
- 6.8. In case of D (SC) is a member of audit team the evaluation shall be carried out by competent independent Team Leader.
- 6.9. Decision making persons shall conduct an effective review prior to making a decision for granting certification, expanding or reducing the scope of certification, renewing, suspending or restoring, or withdrawing of certification, including, that
- a) the information provided by the audit team is sufficient with respect to the certification requirements and the scope for certification;
  - b) for any major nonconformities, it has reviewed, accepted and verified the correction and corrective actions;
  - c) for any minor nonconformities it has reviewed and accepted the client's plan for correction and corrective action.
- 6.10. If the SLSI is not able to verify the implementation of corrections and corrective actions of any major nonconformity within 6 months after the last day of stage 2, a decision shall be taken to conduct another stage 2 prior to recommending certification. When a transfer of certification is envisaged from one certification body to another, the accepting certification body shall have a process for obtaining sufficient information in order to take a decision on certification.

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- 6.11. Based on the recommendations submitted by D(SC)/ Team Leader and reviewing the Stage-II/Recertification audit report, and the status of the payment, DDG/Team Leader makes the final decision to grant the certification for the specified time period (either for one year or for two years or three years period based on the payment made by the client). The effective date of granting, expanding or reducing the scope of the certification, or renewing certification shall not be before the date of the relevant certification decision. The first three year certification cycle begin with the certification decision. The subsequent cycles begins with the recertification decisions. The decision is mentioned in MSC - F6.5 - 01 and forwarded it to SDD(SC).
- 6.12. In case of DDG is not competent for final decision making, granting of certification shall be approved by an independent competent Team Leader.
- 6.13. If a Certification agreement has not been signed earlier between SLSI and the client ,SDD (SC) then sends two copies of the certification agreement signed by DG plus a letter to the applicant notifying them of the intent to grant a certificate to the agreed scope. The scope of certification with respect to the type of activities, products, and services as applicable to each site without being misleading or ambiguous. The auditee is also requested to pay the due fees.
- 6.14. Prior to printing of the certificate, it shall be ensured whether the certification body has been granted permission to use the accreditation logos for the scopes identified as appropriate. In case if a new version of the management system standard is effective, the SLSI shall ensure whether the accreditation bodies have granted permission for issuance of certificates under the new version of the management system standard with the accreditation logos .Then SDD (SC) shall prepare original certificate of conformity with the relevant details.
- 6.15. When the company applies certification for multisite operation SDD(SC) shall ensure that the validity of all Authorized Schedules are same with the validity of the original certificate.
- 6.16. D (SC) then forwards the certificates along with the client file for DG's signature.
- 6.17. XCO shall prepare a three year Audit Programme (X - F 6.6- 01 A)
- 6.18. SDD (SC) then passes on the file to AO/MA to update the List of Certified Companies (X R 9.0 - 02) indicating the standard and scope of certification. AO/MA then files copy of the agreement, the letter of intent, and the copy of certificate in the client file. On receipt of fees D(SC) issues the certificate of conformity along with the signed agreement, three year audit programme and a complete set of documents containing a CD, which includes;
- a. for accredited certificates, X certification logo, relevant accreditation logo(s) and relevant documents of "Conditions for Use of the Management System Certification Marks" (X - F 6.5 - 06b, X - F 6.5 - 06c or X - F 6.5 - 06d).

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- b. for non-accredited certificates, X certification logo and document of “Conditions for Use of the Management System Certification Marks” (X - F 6.5 - 06a)

6.19. XCO shall prepare an Surveillance Audit Plan (X - F 6.6 - 01 B) and Post Certification Visit Status Form (X - F 6.6- 07) for that company.

6.20. The validity period of the certification is 3 years subject to the following;

- a. The applicant maintains the Management System in compliance with the standard in a satisfactory manner and is able to demonstrate during surveillance audits.
- b. The applicant/certificate holder pays relevant fees due at the required time.
- c. The applicant/certificate holder continues to operate the scope of certification at the certified site under the same management organization.
- d. The applicant/certificate holder continues to operate within applicable laws and in particular the Sri Lanka Standards Institution Act No. 06 of 1984, and the Rules and Procedures made there under and other terms and conditions under the XCS.
- e. The applicant/certificate holder continues to co-operate giving assistance to SLSI auditors in their surveillance activities and certification process.

## **7. MAINTAINING CERTIFICATION**

SLSI shall maintain certification based on demonstration that the client continues to satisfy the requirements of the management system standard. SLSI maintains a client certification based on a positive conclusion by the audit team leader without further independent review provided that,

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

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**8. REFUSING,SUSPENSION,CANCELLATION,WITHDRAWAL&RESTORING ,EXPANDING OR REDUCING THE SCOPE OF CERTIFICATON**

8.1. SLSI reserves the right to refusing , suspension, cancellation, restoring, expanding & withdraw or reducing the scope of certification, should it become apparent that the certificate holder is not meeting his obligations towards SLSI. This action may be taken immediately in the event of a serious breach of the certification agreement. On such occasion a notice in writing shall be given by the SDD(SC) and the certificate holder allowed a period of normally 14 working days to rectify matters to the satisfaction of SLSI. If the client unable to rectify matters within the given period then the certificate will be cancelled. On cancellation of a certificate, any material or documents in possession which bear reference to certificate shall be recalled by the SLSI. The certificate holder's name shall be deleted from the List of Certified Companies by updating the register.

8.2. Refusing ,Suspension, cancellation & withdraw or reducing the scope of certification can be taken as a result of reports from the surveillance visit, from non-payment of fees, improper use of the certificate or complaints from the public/customers.

8.3. SLSI reserves the right to restore or expand the scope of certification, if it become apparent that the certificate holder's activities meeting the requirements of management system certification scheme and his obligations towards SLSI. The certificate will be issued.

**9. SURRENDER OF THE CERTIFICATE**

A certificate may be surrendered or voluntarily suspended by the certificate holder at any time by confirming such desire in writing to SLSI. In the case of surrender, the certificate holder shall return the certificate, along with related documents. The maximum term of voluntary suspension will be 3 months. Where a certificate has been suspended or cancelled or has not been renewed on the expiry of its validity the certificate holder shall discontinue the use of the certificate not-with-standing the pending of any appeal. (Appeals against the decisions of XCS can be made under the provisions of rules and procedure of the scheme).

**10. MISUSE OF THE CERTIFICATE**

Misuse of the certificate shall include.

- a. The violation of conditions laid down in "The Management System Certification Mark and Conditions for use". (Ref. X-F 6.5-06(a/b/c/d))
- b. The use or display of the mark instances such as the suspension, cancellation and surrender of the certification.

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**11. EXTRA COPIES OF THE CERTIFICATE**

An extra copy of the certificate can be given to the certificate holder on request, provided that the certificate holder undertakes to treat the extra copy as a controlled document, and being verified as to its use to the satisfaction of SLSI auditors during surveillance audits.