



**DOCUMENT NR:**  
MBS/QMS-CU/D/002

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**DOCUMENT TITLE:**  
Requirements for Certification.

## 1. PURPOSE

- 1.1 The purpose of this document is to ensure that requirements for certification are clearly defined documented and communicated to applicants in accordance with the requirements in MS-ISO 17021 standard.
- 1.2 The applicant organisation will be expected to understand, follow and adhere to the requirements outlined in this document as part of the certification process. This document compliments the Certification Contract (MBS/QMS-CU/DOC/001).

## 2. REQUIREMENTS

### 2.1 Application for Certification

- 2.2.1 The path to certification in the MBS Quality Management Systems Certification Scheme starts with completion of certification application form (MBS/QMS-CU/F/007-01) and submission to the MBS for review along with applicable application fees (Details on fees can be obtained from the MBS website, [www.mbsmw.org](http://www.mbsmw.org) or by directly contacting the MBS by phone (265) 1 870 488 or email: [mbs@mbsmw.org](mailto:mbs@mbsmw.org)).
- 2.2.2 Upon submission of the completed application form, the MBS reviews the application form for adequacy and the applicant is advised to submit any additional information, where required.
- 2.2.3 Upon being satisfied with the information provided under 2.2.1 and 2.2.2 above, the MBS determines applicable audit days for the 1<sup>st</sup> stage audit, 2<sup>nd</sup> stage audit, surveillance audits and re-certification audits in accordance with international certification requirements for ISO 9001.
- 2.2.4 Based on the determined audit days, total fees for the whole 3 year certification cycle (See attached document, MBS/QMS-CU/003, for details of the cycle) is determined and sub-fees for various stages are outlined separately.
- 2.2.5 The documentation for the 3 year cycle fees and general requirements for certification (MBS/QMS-CU/D/002) are then sent to the applicant for their information and decision making.
- 2.2.6 The applicant is then expected to submit his position in writing on the certification fees outlined in 2.2.4 and 2.2.5 above. The MBS then provides clarifications on the certifications fees if demanded by the applicant. The applicant is required to submit in writing his agreement on the certification fees to enable the MBS proceed with subsequent stages of the certification process.
- 2.2.7 The MBS then requests the applicant to submit QMS documents (at least the 6 documented procedures including the quality manual) for review. The request for documents is accompanied with an invoice for document review (See attached fee schedule, MBS/QMS-CU/F/007-02).
- 2.2.8 Any non conformities and observations made on the documents are communicated to the applicant for redressal and revised documents are resubmitted to the MBS by the applicant for review
- 2.2.9 Based on the sufficiency of the document review, the MBS then proposes to the applicant dates and audit plan for 1<sup>st</sup> Stage Audit and the Applicant is required to submit his agreement in writing to the MBS. Furthermore, a contract is submitted to the applicant for signing. Subsequent steps only proceed after the contract has been signed and received by the MBS.



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### 2.3 1<sup>st</sup> Stage and 2<sup>nd</sup> Stage Audits

- 2.3.1 Using assigned audit team leader for the Client, 1<sup>st</sup> Stage Audit is then conducted as per the agreed audit plan in 2.2.9 above. The team leader amongst other tasks physically verifies the information provided by the Client through an application form and supplementary information. Requirements for 2<sup>nd</sup> Stage Audit are also discussed, including dates for the audit, during the visit. An invoice for 1<sup>st</sup> Stage Audit is made available to the Client for payment before the audit or as per the contract requirements.
- 2.3.2 The outcome of 1<sup>st</sup> Stage Audit then determines the readiness of the Client for 2<sup>nd</sup> Stage Audit. The Client is expected to redress all non conformities identified during the 1<sup>st</sup> Stage Audit within 6 months after which another 1<sup>st</sup> Stage Audit will apply along with applicable fees.
- 2.3.3 Upon a successful 1<sup>st</sup> Stage Audit, MBS and the Client then agree on dates and audit plan for a 2<sup>nd</sup> Stage Audit which is then conducted by MBS Auditors as per an agreed audit plan and agreed audit duration. An invoice for 2<sup>nd</sup> Stage Audit is made available to the Client for payment before the audit is undertaken or as per contract requirements.
- 2.3.4 The Client is expected to redress all non conformities identified during the 2<sup>nd</sup> Stage Audit within the timeframe agreed during the audit.
- 2.3.5 The Client is expected to pay applicable fees for any follow up audits meant to verify redressal of non conformities identified during 1<sup>st</sup> Stage and 2<sup>nd</sup> Stage Audits.

### 2.4 Certification Decision

- 2.4.1 Reports of the 1<sup>st</sup> Stage and 2<sup>nd</sup> Stage Audits, including recommendations for certification, are then presented to the MBS Certification Sub-committee by the team leader for review. The MBS Certification Sub-committee then submits its certification recommendations to the Certification Committee for its decision.
- 2.4.2 The decision of the Certification Committee is timely communicated to the Client for information or action, as appropriate, and in case of a grant of certification on the management system of the Client, the certificate and the mark/logo of the MBS shall be used as per the provisions outlined in the contract. An invoice for single certificates or multiple certificates is made available to the Client for payment before the certificate is issued to the Client for use. It should be noted that the certificate remains the property of the MBS and can be revoked anytime depending on conditions stipulated in the contract.

### 2.5 Surveillance Audits

- 2.5.1 Upon a grant of certification by the MBS, the Client is then provided with an audit programme or calendar up to the re-certification audit. Both the MBS and the Client are expected to adhere to the programme and any changes are supposed to be timely communicated to either party as per the contract agreement. The surveillance audits are conducted during the first two years of the certification cycle.



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2.5.2 An audit plan will always be agreed between the MBS and the Client before a surveillance audit is undertaken. The MBS will issue an invoice for settlement by the Client before undertaken any of the scheduled surveillance audits.

## 2.6 Re-Certification Audits

2.6.1 The MBS undertakes a re-certification audit timely as per the agreed audit programme in order to allow for timely re-certification decision by the Certification Committee;

2.6.2 A re-certification audit is conducted in a similar manner in terms of scope and intensity like the 1<sup>st</sup> Stage Audit in order to obtain sufficient objective evidence for appropriate decision-making by the Certification Committee.

## 2.7 The Audit Conduct

2.7.1 During audits, auditors are expected to:

- a) Examine and verify the structure, policies, processes, procedures, records and related documents of the Client relevant to the management system;
- b) Determine that everything in (a) above meet all the requirements relevant to the intended scope of certification;
- c) Determine that processes and procedures are established, implemented and maintained effectively;
- d) Communicate to the Client, for his action, any inconsistencies between the client's policy, objectives and targets (in accordance with the expectations in the relevant management system standard or other reference documents) and results.
- e) Identify opportunities for improvement, where appropriate, but not recommending specific solutions.

2.7.2 The Client is required to analyse the cause and describe specific correction and corrective actions undertaken or planned to be undertaken, to eliminate detected non conformities within a defined timeframe. The MBS then reviews the corrections and corrective actions by the Client to determine their acceptability.

2.7.3 The Client is required to comply with all the provisions as stipulated in the contract document in order not to deter the progress of the certification process.