Pre-Certification Procedures- Handling Applications from Submission until Issuance of COC - Facilities & Products

1. Purpose and Scope:

This procedure aims to describe the steps adopted by RACS Quality for:

- Application for certification related to all the scopes certified by RACS except HALAL.
- Submission Procedures
- This procedure is applicable for both Facilities and Products Certification.

The scopes of products covered in this procedure are as per RACS/REC/79 Scope of Certified Products.

2. Responsibilities:

It is the responsibility of the Chief Executive Officer, Management Representative (MR) and Conformity Manager (CM) to ensure the appropriate implementation of this procedure. All departments' 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
- CM Conformity Manager

4. Requirements for Certification:

The requirements against which the products of a client are evaluated shall be those contained in specified schemes, applicable standards and other normative documents/ISO DOC, Explanations, clarifications. Furthermore, if RACS seeks collaboration with other organizations to perform any related evaluation activity to certification, testing activities, it is done exclusively through accredited laboratories as per ISO 17025.

Clients seeking to be certified for any of their (products or services or facilities) to UAE schemes and applicable standards through RACS QUALITY are requested to implement relevant Quality System including documentation in a way to meet all requirements of this standard and all relevant specific standards depending on the nature of service (certified product and facility).

Requirements varies depending on the scope of certified products; Details of the documents required for certification for each scope as per scheme owner requirements are detailed in the following procedures:

RACS/PCS/01	**Product Certification Scheme**	**Cosmetics and Personal Care**
RACS/PCS/02	**Product Certification Scheme**	**Perfumes**
RACS/PCS/03	**Product Certification Scheme**	**Detergents**
RACS/PCS/04	**Product Certification Scheme**	**Paints**
RACS/PCS/05	**Product Certification Scheme**	**Retreaded Tires**
RACS/PCS/06	**Product Certification Scheme**	**Oxo-biodegradable plastics**
RACS/PCS/07	**Product Certification Scheme**	**Food contact materials**
RACS/PCS/08	**Product Certification Scheme**	**Petroleum products**
RACS/PCS/09	**Product Certification Scheme**	**Tobacco**
RACS/PCS/10	**Product Certification Scheme**	**Electrical Equipment**
RACS/PCS/11	**Product Certification Scheme**	**Energy Drinks**

RACS/PCS/12	Product Certification Scheme	Drinking water
RACS/PCS/13	Product Certification Scheme	Organic
RACS/PCS/14	Product Certification Scheme	Honey
RACS/PCS/15	Product Certification Scheme	Juices and Drinks
RACS/PCS/16	Product Certification Scheme	Milk and Dairy
RACS/PCS/17	Product Certification Scheme	Vehicle Spare Parts
RACS/PCS/18	Product Certification Scheme	Child Car Seats
RACS/PCS/19	Product Certification Scheme	Personal Safety Equipment
RACS/PCS/20	Product Certification Scheme	Metrology Products
RACS/PCS/21	Product Certification Scheme	Liquified Petroleum Gas (LPG) Cylinder
RACS/SOP/69	Product Certification Scheme	Children Toys
RACS/PCS/23	Product Certification Scheme	Radio and Telecommunication
RACS/PCS/24	Product Certification Scheme	E-Cigarettes
RACS/PCS/25	Product Certification Scheme	Baby Care Products
RACS/PCS/26	Product Certification Scheme	Textiles

Refer to Quality Master List for a full list of product certification schemes for all scopes.

Generally, the requirements for certification are detailed as following:

A. Application for Certification (Application Form):

Application to be filled by the client will contain all the necessary information needed by RACS Quality for conducting the certification process, such important information is:

- Type of Product to be certified: Product, facility (Process) to identify the related scheme implemented by scheme owner.
- Relevant standard/ or normative documents clients is seeking certification for.
- General information: Applicant Business activities & related business facilities & relationship between their facilities, in relevance to the certification scheme applied for information about outsourced Processes relevant to Product conformity.
- Any other information needed is related to certification requirements.

By signing the application form, the applicant and the manufacturer agree to comply with these General Rules and with the Specific Product Standard for the product covered by Registration/CB Certification.

B. Legal Agreements:

- Certification Agreement.
- Non-Disclosure Agreement.
- General Conditions for Certification Services

C. Fees as detailed in RACS Schedule of Fees (RACS/REC/46)

Please refer to related Forms Below

- Application Form
- Legal & Quality Documents-List of certification activities and requirements per certification schemes
- Product Certification Schemes
- Clients seeking extension or renewal of certification scope shall also submit the application form specifying the extension or renewal of the certification scope.

- Whenever applicable, additional Certification requirements per certification schemes: Legal & Quality documents (such as Client Quality Manual) and supportive documents (records and checklists used by applicant), are to be attached to the application form.

5. Procedure for certification:

Two types of certifications are applicable.

- **Facility Certification (Full Quality Assurance)**
- **Product Certification (Type Approval)**

In addition to Product Certification Module H (Product certification which requires facility audit), please refer to schedule of Fees (RACS/REC/46) for details.

5.1 Preparatory Steps:

- Application Form shall be submitted by applicant to RACS (submission can be done via RACS affordable communication methods (mail, emails, hard copy, website, E-System).
- Sales & Marketing Team will check documents availability on a primary basis.
- Sales & Marketing Team will transfer Application Form to the Conformity Team.
- Conformity Team will evaluate the client request through reviewing the Application form, and the information included to ensure the following:
  - ✓ Define standards applicable and scope of Certification.
  - ✓ Define and Confirm RACS capability of performing the requested scope of Certification with all needed tools (personnel and documents) this should be assured by RACS prior to conduct the certification process. RACS defines and check its capabilities and competence to perform the certification scheme which RACS has no previous experience.
  - ✓ Gather all information related to client and ensure they are sufficient for the certification Process.
  - ✓ Obtain client agreement on certification scope and standards assuring full understanding of the certification Process.
  - ✓ Request obtaining all other necessary information to complete the Certification Process according to relevant Certification scheme.
  - ✓ Provide a quotation to the client; containing the scope of work and fees related to each step of the certification process.

- Sales & Marketing Team will only perform the explanatory roles whenever needed in the initial step upon providing the application form. The Sales & Marketing Team does not interfere with the audit process and/or audit conducting.

5.2 Application Review

- Upon acceptance of the quotation by client, he is requested to sign the General Conditions for Certification Services.
- (RACS/AG/10) which will direct the client to read and understand the Certification Agreement available in RACS Website prior to conducting the certification process, specifically after sharing the application by client requesting RACS QUALITY to certify its products, services or facilities. In addition to the certification agreement, Non-Disclosure Agreement (RACS/Ag/03) shall be considered by the client. By signing the General Conditions for Certification Services (RACS/AG/10), client accepts all the conditions set forth in both Certification Agreement (RACS/Ag/01) and Non-Disclosure Agreement (NDA-RACS/Ag/03). The updated version of the Certification Agreement and Non-Disclosure Agreement is available on the website for the client's reference.

- Application along with related supportive documents will be received by Conformity Team who shall perform the application review.
- If found satisfactory, Conformity Manager / Project Manager or his/her delegate will assign the qualified technical team members (Conformity Engineer/(Evaluator or Auditor) this is done by using the RACS/REC/36 Summary of Staff Technical Competence, RACS/REC/68 Competency Matrix, (Please refer to RACS/SOP/12 Resources Management-same procedure is done for assigning auditors, technical experts, and other functions related to certification) to proceed with Application Evaluation, if not satisfactory application will be returned to client for completion till it is found accepted by conformity manager.
- In case of a positive declaration of previous rejection of certification by an accredited certification body: lead auditor will identify areas of potential non-conformities and set exact points that will depend on in further

investigation of these areas (including whether any area of Certification should be more addressed, or the points changes per standards to be more investigated to proof applicant completely removed previous non-conformities preventing certification).

- In case of positive declaration of previous successful certification by an accredited certification body: RACS will consider this point included in changes affecting certification, please refer to RACS/SOP/24 Post Certification Procedures.

5.3 Application Evaluation

A. PRODUCT CERTIFICATION

Conformity Engineer (Evaluator/Auditor) shall perform conformity assessment steps (evaluation) related to the certification scheme:

- Detailed documents review for all the documents and evaluation of product the eligibility of the Product for certification to assure compliance according to applicable schemes and standards.
- Document review includes the check up for Test Reports parameters and results.
- The criteria of approving Certificates of raw materials composing the finished products is that to be issued by 3rd party accredited certification body recognized by scheme owner.
- In the case of the use of any other Conformity Engineers for review of Arabic content in product label or manual the record will be maintained through email or in evaluation of assessment report.

Note: No of Samples to be selected for testing is defined by the specific technical requirements and as per scheme owner.

Evaluation Outcome results:

- If evaluation is pending for missing or invalid documents or other needed information to complete evaluation; Additional Supportive Documents will be requested by Applicant.
- Evaluation includes Product Safety Verification through test reports provided on all safety Test parameters requested by applicable scheme/standards, test reports shall be issued by 3rd party accredited Laboratory sub-contracted according to the approved Standards and applicable technical requirements. Note for EQM Schemes:
- If test reports are not complying with Standards; Conformity Engineer/Assessor requests rectification of the non-complying aspects, then based on applicant confirmation of rectification, Collection of samples will be done to conduct the same laboratory tests again and for once.
- Evaluation will be repeated upon applicant re-submission of needed documents/information.
- In case clients have obtained results of determinations activities such as testing, inspection or auditing prior to certification application with RACS, such results are considered in certification process only if it has been sourced from accredited organization and determination activities performed maximum 12 months from application date.

Decision of Certification: Upon submission of this information, and as per the result of documents review and completing product evaluation process.

- **Recommendation of approval of Product certification:** Product evaluation shows full compliance with applicable schemes/standards:
  - Granting the issuance of Certificate of conformity
  - Certified Products will be listed in RACS Certified Products registry.

- **Recommendation of rejection of Product certification:** Product evaluation shows non-compliance with applicable schemes/standards, due to any reason preventing product from Certification:
  - RACS will inform the client by an official rejection statement (Letter of certification Status) by e-mail stating the reason of rejection.

B. FACILITY CERTIFICATION (Full Quality Assurance)

Pre-Audit(optional)

- Pre-Audit is an optional step chosen by applicant, its objective is to assist applicant to determine that Quality System adopted meets requirements of certification scheme and applicable standards, and it grants efficiency and sustainability for his operations related to the product/service applicant wish to certify.
- Pre-Audit is conducted once fees are paid by applicant and received by RACS.
- Steps applicable on pre-audit similar to an official audit are: Preparatory steps, application review, application evaluation except that it is not mandatory for client to reply to the evaluation report and close his NCs, unless he would like to continue and close his non-conformities.
- Pre-Audit process is conducted at RACS offices or on actual site depending on the individual case in hand.
- Upon performing the Pre-Audit, the audit team leader will issue the **RACS/REC/12** Evaluation Report.

- The Pre-Audit Report will give the result whether the applicant is eligible to move forward to the next step of evaluation (Actual on-site audit) or if there are discrepancies and major non-conformities.
- The Pre-Audit Report will be sent from lead auditor (audit team leader) to Conformity Manager/Project Manager or his/her delegate for his review and approval, and then sent to applicant. Here the evaluation ends and there is no proceeding to certification decision.
- Pre-Audit Evaluation Report to be sent by e-mail or any other suitable method, during which applicant to be informed of all the discrepancies and non-conformities that have been encountered and pointed out, to be addressed and rectified prior to the actual on-site audit.
- In case interested in continuing the certification process, applicant will be requested to confirm proceeding with the certification process (actual on-site audit).

Actual on-site audit

Audit Preparation: preparation of the audit starts to be done by RACS as following:
If pre-audit exists, after applicant's assurance that he rectified all discrepancies available in the Pre-Audit Report, actual audit start. Conformity Manager/Project Manager assigns the auditor(s), including Lead Auditor and rest of audit team.
Criteria of Audit Team selection, as following: Audit team shall consist of at least two personnel covering below roles, Audit Team Members shall be selected to be competent and to cover the scope of category and consist of the following roles:

a. **Lead Auditor**
b. **Auditor**
c. **Technical Expert**

Additionally, and optionally and depending on each case, other roles can be included in audit team if needed as following:

a. **Translator**
b. **Observer**
c. **Witnessing auditor**

In the case of the use of any other Conformity Engineers for review of Arabic content in product label or manual the record will be maintained through email or in evaluation of assessment report.

- Lead Auditor (audit team leader) shall perform conformity assessment steps (Evaluation) related to the certification scheme to decide on the nature of stage I and Stage II:
  - ✓ Detailed documents review for all the documents to primarily verify compliance according to applicable schemes and standards.
  - ✓ Document review includes the check up for Test Reports parameters and results.

- Audit team leader to prepare audit duration plan based on applicable standards then finalize primary audit schedule.
- Where Stage I audit has not been performed on-site, the duration of Stage I audit may not exceed 20% of the total audit time. Where it covers on-site work, duration of the Stage I audit may not exceed 30% of the total audit duration.
- Whenever Stage I and II will be performed on site, a separate audit schedule will be designated for Stage I and Stage II).
- After which, Lead Auditor will be responsible for:
  - ✓ Identifying audit location and related suitable logistics tools that should be available.

- ✓ No Conflict of Interest against any of the suggested audit team members.
- ✓ Share by e-mail or any other accessible documented method the primary audit schedule RACS/REC/13 for applicant approval and signature, or for further advice about the dates audit to reach a mutually agreed schedule.
- ✓ Send applicant the invoice for actual on-site audit Fees, containing Terms & Conditions of Invoice of payment as per RACS Policy:

- Upon Applicant review & approval, the conformity team will share the audit schedule form to proceed with the actual on-site audit as pr confirmation from the client.

Note: For one specific audit, the same personnel can perform the Pre-Audit, and perform actual on-site audit, as he is more aware about applicant specifications and previous discrepancies, and this will lead to a continuous convenient performance of the certification process.
However, to assure no risk of no-conflict of interest and familiarity to the client processes/system: RACS assigns an audit team not previously audited to the same client in continually last three years.

Conduct of Audit:
Audit procedures are applicable on all different type of Certification including New Certification, Surveillance, and Re-Certification.

Stages of Audits: Audit includes a 2-stage process:

a. Stage-I Audit:

The purpose of the Stage I audit is to evaluate applicant location and site-specific conditions and to determine preparedness for the Stage II audit. During Stage I audit, audit team will check:

- Applicant's documents submitted along with the application of certification such as company manual, system level procedures, product specifications, other certificates
- Applicant's understanding and implementation of the standard and related statutory, regulatory, and compliance issues
- Verification of scope and other relevant information needed for certification
- Applicant management system and various mechanisms are functioning properly as per the applicable standards applied for certification.

b. Stage II Audit:

The purpose of the Stage-II audit is to evaluate effective implementation of the quality / food safety system at the applicant location based on the product scheme requirements. During Stage II audit, audit team will check:

- At on-site Stage II audit, RACS audit team will conduct interviews, examine records and documents, and observe the company's activities.
- The Stage II audit determines if the company has successfully documented and implemented all the requirements of the specified standard. This is accomplished via an in-depth review of manuals and procedures and the confirmation of their implementation. The audit also verifies conformance to the identified standard.
- This audit also reviews and clarifies any areas of concern identified in Stage I, and Pre-Audit if applicable, Nonconformities.
- If samples to be taken for testing purposes, No of Samples to be selected for testing is defined by the specific technical requirements and as per scheme owner. Furthermore, sample request form (RACS/REC/15) should be filled in on three copies; one copy to accompany the sample and sent to the accredited laboratory selected by client, the other copy to be kept with client for his reference, the last copy will be kept with RACS file also for RACS future reference.

c. Application Evaluation Outcome:

Nonconformity Reports (NCRs) along with all related assessment checklists of the applicable standards will be documented and identified as major or minor:

Major Non-conformities:

- A major nonconformity is the absence or total breakdown of a system to meet a clause or sub-clause of a standard.
- A number of minor nonconformities against one clause or sub-clause can represent a total breakdown of the system and thus be considered a major nonconformity.
- A situation that raises significant doubt about the ability of the applicant's management system to achieve its intended outputs is also a major nonconformity.
- A major nonconformity may require a separate re-audit of the applicable clause or sub clause before the applicant can be certified.

Minor nonconformities:

- Minor nonconformity might be a procedure that is not comprehensive enough, a person who did not follow the procedure, or a lack of a required record.
- A minor nonconformity will generally be addressed by applicant submitting a response to the Lead Auditor before he can be certified. Depending on the standard, the corrective action for a minor nonconformity may not necessarily be closed prior to certification.

A written audit report, containing any nonconformity, is issued after the audit, and assessment checklists related to each specific applicable standard to be filled with remarks whether applicant is complying with each clause or not.

Always to be considered in the related assessment checklist for evaluation and reflected in related evaluation report. In case related assessment checklist does not contain the packaging evaluation the specific standards for packaging and labeling should be used for evaluation.

In case clients has obtained results of determinations activities such as testing, inspection or auditing prior to certification application with RACS, such results are considered in certification process only if it has been sourced from accredited organization and determination activities performed maximum 12 months from application date.

Although RACS is constrained from consulting, and therefore cannot advise the applicant on how to react to a nonconformity, RACS auditors are often able to offer a range of examples of actions that would meet the requirements of the standard, or examples of compliant (and nonproprietary) systems from experience.
RACS can provide resources to applicant to better understand appropriate responses to non-conformances and root cause analysis.

Because only the applicant knows what is right for his business, RACS auditors cannot say what solutions will work best within his company. He must determine his own nonconformity resolutions. The applicant may call RACS for assistance if he encountered difficulties.

Corrective Action (if needed): At the conclusion of the Stage II audit, nonconformities (NCRs) will be documented and identified as either major or minor then communicates to applicant via RACS/REC/12 Evaluation Report, discussing the same with him during the closing meeting to ensure applicant recognizes the non-conformities and undertake to make the necessary corrective actions within the agreed time frame.

If nonconformities are found which cannot be corrected electronically and sent back to RACS, an onsite complementary audit might be needed to be scheduled to verify the implementation of the action(s) to resolve the nonconformities. The scope of the audit is limited to the clause or sub clause where major nonconformities were found. Non-conformances will need to be resolved in a timely fashion as per RACS's Certification Regulations. Other than that, client replies (root cause analysis, corrective action plan) filled in evaluation report, and actual corrective actions for non-conformities including supportive documents can be received via any accessible means by RACS (email, hardcopies, E System, etc.…)

Decision of Certification: Please refer to RACS/SOP/24 Post certification procedures- Other scopes.

First Certification Audit:

- Certification Audit takes place at the Company's headquarters location and based on the Audit Schedule, at a sampling of other non-headquarter locations beginning with the most significantly sized ones will be considered as well.

- Processes and activities carried out by the Company, within the scope of Certification schemes, and that most significantly affect the Quality of the company's Product or service shall be included in the Certification Audit.
- Where Processes and activities relate to Projects, enough Projects, or sampled sections of Projects, shall be audited to enable a decision to be made relating to compliance or non-compliance to the audit criteria.
- Records reviewed in the audit should also cover both current and closed Projects. Companies shall have approximately 3 months of Project records including completed Projects to undergo a Certification Audit. There shall be adequate documentation to demonstrate the sustainability of the company's Quality System.

Surveillance Audits: Please refer to RACS/SOP/24 Post certification procedures –Other scopes.

Re-Certification Audits: Please refer to RACS/SOP/24 Post certification procedures – Other scopes.

6. Sampling Method and Frequency:

Sampling method should be done as per RACS/SOP/21 Sampling procedures.
Sampling frequency should be at least once during the whole certification cycle, either during the initial certification (product or facility), 1st surveillance, or 2nd surveillance, or recertification. Unless a strong justification of accepted test report presence is available so thereby no need for sampling: such accepted test report would be issued from accredited laboratory and done on relevant/similar batch of the audited products and covering the whole range of products audited. Otherwise sampling and testing both are required to assure compliance of the products.

Note:
The following is the EQM testing report acceptance as per MOIAT requirements:
- For the Mandatory EQM (Regulated Products): 50% of required Tests to be from "Accredited lab", 50% can be from internal test.
- For the Voluntary EQM (Regulated Products): 30% of required Tests to be from "Accredited lab", 70% can be from internal test.
- For the Voluntary EQM (Non-regulated Products): 100% of the required tests can be an Internal test based on product risk assessment.

The following is the ECAS testing report acceptance:
- For the ECAS scheme test parameters are needed from ISO 17025 accredited based on the risk assessment or risk of product safety or based on MOIAT guidelines in NB meeting or routine circulars.

7. Justification of certification decision:

Review: In Certification, as it is crucial to differentiate the roles of evaluators and certifiers to be able to respect and meet the 4-eye principle. The final recommendation (Certification Review) and approval of audit result (Certification Decision) will be done by personnel who was not involved in the audit Process and who will review the audit result then issue the recommendation for Certification.

Done by	Decision	Justification
Audit Team Leader (Lead Auditor)	**Application Evaluation**	1. Product Certification: Approved when: A) 100% of points highlighted in assessment checklist per relevant UAE scheme is complying. b) Lab test findings are satisfactory either during the corrective actions 2. Facility Certification: Approved when: a) 100% of major non-conformities highlighted in Evaluation report is rectified by corrective actions with supporting evidence of these actions before approval is granted and certificate is issued. Please refer to Notice Period for suspension and withdrawal and decline certification in procedure: RACS/SOP/24-Post Certification Procedures (COC Issuance Surveillance and Recertification)
a. Conformity Engineer or Technical Expert different from the person who conducted the evaluation. b. Conformity Manager or his delegates (Conformity Supervisor)	**Certification Review (Final Recommendation)**	

Senior Conformity Manager	**Certification Decision**	b)100% of Minor non-conformities highlighted in evaluation report is rectified by corrective actions with supporting evidence of these actions (implemented either prior to approval is granted and certificate is issued, or after approval is granted by providing a detailed time lined action plan to eliminate the non-conformities) c) Lab test findings are satisfactory either during the certification or during the corrective actions

8. Impact on RACS Quality System as notified body for MOIAT, and as authorized certification body (3rd Party CAB) for SASO

As per the current portfolio of Products subject for Certification in RACS Quality, the same certification System used by RACS is applicable on the scopes as RACS Certification body, MOIAT Notification Body, SASO 3rd Party CAB), however the forms used might varies as following:

A. **Certification Body (Issuing RACS Certificates):** All procedures implemented in the system are applicable, all documents available the system are applicable.

B. **Notified body for Ministry of Industry and Advanced Technology (MoIAT)- (Issuing MoIAT Certificate of Conformity and Emirates Quality Mark:**
All procedures implemented in the system are applicable, all documents available the system are applicable to be used, Expect the following documents should be replaced with MOIAT Forms:
- Certificate template (all certificates' templates below) to be replaced with (Certificate of conformity) For Emirates Quality Mark and Certificate of conformity.
- **Declaration of conformity** (No equivalent for this form available in RACS system).

C. **Certification Body (3rdParty CAB) authorized by Saudi Standards, Metrology Quality Organization (SASO)- (Issuing SASO Certificate of Conformity and Saudi Quality Mark):**

All procedures implemented in the system are applicable, all documents available the system are applicable to be used, Expect the following documents should be replaced with SASO Forms:

- Certificate template (all certificates' templates below) to be replaced with (Certificate of conformity) For SASO Quality Mark
- Application Form to be replaced with SASO Form (نموذج طلب الحصول على الترخيص باستعمال علامة الجودة)
- Evaluation Report (RACS/REC/12) to be replaced with SASO Form (Non-Conformity Report QMS– F –10 - 58 تقرير حالات عدم المطابقة) and (Evaluation and SASO Mark licensing report تقرير التدقيق والترخيص باستعمال علامة الجودة)
- Sample Request Form (RACS/REC/15) to be replaced with SASO Form (Samples to transfer to lab إحالة عينات للمختبر) (Sample Withdrawal Form محضر سحب عينات)
- Application Review Form نموذج دراسة طلب الحصول على ترخيص بإستعمال علامة الجودة (No equivalent for this form available in RACS system).
- Declaration of conformity (No equivalent for this form available in RACS system).
- Opening and Closing meeting will be replaced with the SASO Form (Attendees List قائمة الحضور)
- Audit Schedule Form (RACS/REC/13) will be replaced with SASO Form (Audit informing application نموذج ابلاغ المنشأة بموعد تنفيذ التدقيق وكذلك اعضاء فريق التدقيق) and (Initial Audit Schedule مخطط التدقيق المبدئي)

D. **Notified body for Gulf Standard Organization (GSO) Issuing G-Mark Certificates**
All procedures implemented in the system are applicable, all documents available the system are applicable to be used.

9. Process Map

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

10. Related Forms:

Quality Master List	RACS/REC/01
Evaluation Report	RACS/REC/12
Audit Schedule Form	RACS/REC/13
Post certification Procedures (COC issuance, Surveillance, and re-certification)-all scopes other than HALAL	RACS/SOP/24
RACS Certified Clients/Products Registry.	RACS/REC/14
Audit Planning Procedure (Preparation, stage I, Stage II, Audit Realization)	RACS/SOP/04
Sample Request Form	RACS/REC/15
Invoice	RACS /REC/43
Schedule of Fees	RACS /REC/46
Opening/Closing Meeting	RACS /REC/41
Certification Agreement	RACS/AG/01
NDA/RACS Quality-client/Contractor	RACS/AG/03
MOIAT Certificate of conformity Template	
EQM Certificate	
MOIAT Declaration of conformity	
SASO Quality Mark Certificate	
SASO Mark Application(نموذج طلب الحصول على الترخيص باستعمال علامة الجودة	
SASO Form (NON-Conformity Report QMS– F –10 - 58 (تقرير حالات عدم المطابقة) and (Evaluation and SASO Mark licensing report (تقرير التدقيق والترخيص باستعمال علامة الجودة	
SASO Form (Samples to transfer to lab (إحالة عينات للمختبر) (Sample Withdrawal Form محضر سحب عينات)	
Application Review Form نموذج دراسة طلب الحصول على ترخيص باستعمال علامة الجودة	
SASO Declaration of conformity	
SASO Form (Attendees List قائمة الحضور)	
SASO Form (Audit informing application نموذج ابلاغ المنشأة بموعد تنفيذ التدقيق وكذلك اعضاء فريق التدقيق) and(Initial Audit Schedule مخطط التدقيق المبدئي	

11. References

- ISO/IEC 17065 Conformity Assessment - Requirements for Bodies Certifying Products, Processes, and Services.
- ISO/IEC 17020 Conformity Assessment - Requirements for the Operation of Various Types of Bodies Performing Inspection.
- UAE.S GSO 2055-2 Halal Products - Part Two: General Requirements for Halal Certification Bodies.
- ISO 17021-1 Conformity Assessment - Requirements for Bodies Providing Audit and Certification of Management Systems.
- ISO/IEC 17000 Conformity Assessment - Vocabulary and General Principles.
- ISO/IEC 17025 General Requirements for the Competence of Testing and Calibration Laboratories.
- ISO17067 Conformity Assessment - Fundamentals of Product Certification and Guidelines for Product Certification Schemes.
- ISO/IEC TR 17026 Conformity Assessment - Example of a Certification Scheme for Tangible Products.
- ISO/IEC 17030 Conformity Assessment - General Requirements for Third-Party Marks of Conformity.
- ISO 9011 Guidelines for Auditing Management Systems.
- IAF MD 5 Determination of Audit Time of Quality, Environmental, and Occupational Health & Safety Management Systems.
- IAF MD 4 IAF Mandatory Document for the Use of Information and Communication Technology (ICT) for Auditing/Assessment Purposes.
- Ministry of Industry and Advanced Technology - Emirates National Accreditation System (MOIAT-ENAS) Requirements: General Requirements for accreditation of Conformity assessment Bodies.
- Ministry of Industry and Advanced Technology (MOIAT) Requirements: NSPOL-01 General Requirements for Notified Bodies.
- Saudi Standards, Metrology & Quality Organization (SASO) Requirements: General Requirements for Conformity Assessment Bodies.

- GCC Standardization Organization (GSO) Requirements: GSO Procedure for Designation of the Conformity Assessment Bodies (NP-01).
- GCC Accreditation Center (GAC) Requirements: FAD-4.0 Supplementary Accreditation Requirements for Product Certification Bodies.
- GCC Accreditation Center (GAC) Requirements: FAD-12 Supplementary Accreditation Requirements for Halal Certification Bodies.
- A2LA Requirements: R105 Requirements When Making Reference to A2LA Accredited Status.
- A2LA Requirements: R307 General Requirements Accreditation of ISO /IEC 17065 Product Certification Bodies.
- A2LA Requirements: R334 Specific Requirements for HALAL Certification Body.
- Emirates International Accreditation Centre (EIAC) Requirements: EIAC-GD-GEN-004 Guidance for Accreditation Process.
- Kenya Accreditation Service (KENAS) Requirements: ACC-02 Accreditation Manual.
- RACS Quality Manual (RACS/QM/01) & related Quality Documents as per Quality Master List (RACS/REC/01).

Pre-Certification Procedures- Handling Applications from Submission until Issuance of COC - Facilities & Products

Revision History:

Date	Revision #	Description of Changes
May 4, 2016	00	Initial-(SOP RACS-SOP23-Rev01 Head Office Supervision of Branch Offices)
Nov 15, 2016	01	- Modify. Related forms to include a specific list of RACS' Records & SOPs related to the document. (RACS-SOP23-Rev01 Head Office Supervision of Branch Offices). - Modify List of reference to include the last updated one.
Feb 20, 2017	02	- Delete the previous SOP (RACS-SOP23-Rev01 Head Office Supervision of Branch Offices) and create this new document under the same number. - This document is established based on RACS/SOP/18, after management decision of Separation between the scopes to have one specific precertification procedure for HALAL and establish new document related to other scopes (this document). - Modify the name to be related to all other scopes than HALAL. - Remove point (Pre- Audit activities are being done by impartial personnel who will not have any relations or connection with the audit Process and certification decision making) from point 4, as it is vague and explained clearly elsewhere. - Double check for spelling mistakes, remove duplicates and re arrange the consequence to be better understood. - Add product certification schemes related to all other scopes, removing all information related to HALAL including related forms. - Keep the two types of certifications (product certification and facility certification). - Adding criteria for selecting audit team. - Adding action against positive declaration of previous approval or rejection of certification in part: application review. - Remove SOP/19 and replace it with SOP 24. - Adding criteria of approving raw materials certificates audited.
April 20, 2017	03	Adding ISO 17026 to the list of reference.
July 31, 2017	04	- Adding point 6 (method of sampling and frequency); clarifying when and how sampling should be done during a certification process. - Adding point 7 for packaging and labeling - Shifting the other points after point No. 7
March 21, 2018	05	- Remove self-assessment checklist as part of the process, merged in the application form. - Include the procedure for assigning auditors using relevant competence records. - Replaced Operations Manager to Head of Sales and Marketing Department. - Removed the scopes under purpose and scopes. - Added points in 5.2 regarding the Certification Agreement. - Change in Certification Review 8.1
August 26, 2018	06	- Replaced Product Certification Schemes to new reference IDs (RACS/SOP to RACS/PCS). - Removed the statement "Where applicable, in case of a client newly operating, and seeking to be certified, client is required to demonstrate more than 3 months compliance against the standard immediately preceding the date of audit performed by RACS. This will prove the efficacy and sustainability of the implemented system. After which RACS will be contacted to plan for required audits and certification." under requirements for certification. - Remove except HALAL from the title. - Added in Evaluation procedure: In case clients has obtained results of determinations activities such as testing, inspection or auditing prior to certification application with RACS, such results are considered in certification process only if it has been sourced from accredited organization and determination activities performed maximum 12 months from application date.
September 02, 2020	07	Certification committees dissolved and decision are taken by Sr. conformity managers and conformity managers and their delegates, so sop revised accordingly.
April 6, 2022	08	- Remove Managing Director and change it into Chief Executive Manager.

		- Removed Head of Sales and Marketing and changed it into Sales and Marketing Manager. - Removed Clause 11.1 Specific Forms. - Changed conformity officer to conformity engineer. - Changed conformity manager to senior conformity manager.
May 29, 2023	09	- Change Senior Conformity Manager to Conformity Manager or his delegate. - Change ESMA to MoIAT.
July 15, 2023	10	Roles and Responsibilities of sales & marketing team and conformity team updated as per RACS/SOP/05 - Staff Qualifications and Competence Evaluation Criteria.
November 10, 2024	11	The updation of Test Report acceptance criteria for MOIAT Schemes and Use of Arabic Reviewer during the evaluation process.