

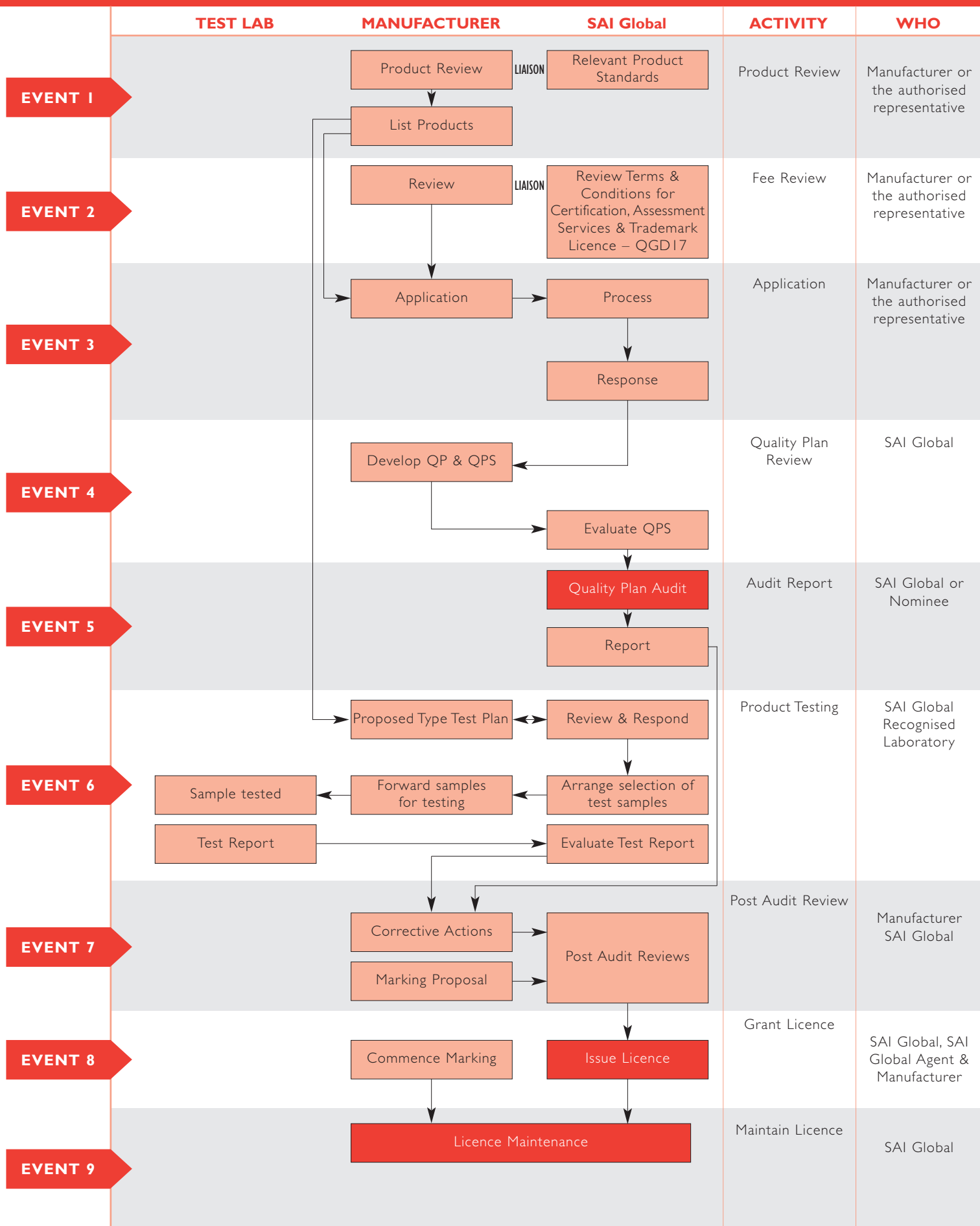
# Guide to Applicants

## Product Certification

A step by step guide through the product certification process for the StandardsMark programs including a guide to the preparation of a Quality Plan Summary.



# Product Certification Process



**DEFINITIONS:**

**QP:** A plan that defines how the product will be made and how its compliance to the standard will be assured.

**QPS:** Quality Plan Summary covering manufacturer's organisation chart, quality policy, job descriptions and process flow charts.

**PCP:** Product Compliance Program based on ISO 9001:2000 detailing product certification requirements.

HOW	RESULT	COMMENTS/NOTES
Review products requiring certification. Identify appropriate standard or specification. Check that the product complies with all the requirements.	Products for Certification identified.	A licence can only be granted to a manufacturer. Where two or more entities are involved in the manufacture of the same product, a joint licence will usually be required. Do not initiate testing without first contacting SAI Global.
Review fee schedule in conjunction with SAI Global to determine appropriate fees. SAI Global will explain applicable fees to Applicant.	Applicant understands application fees, including ANRs, label costs and royalties.	For customers serviced by SAI Global agents, a fee will normally be charged directly by the agent and should be negotiated between the applicant and agent.
Complete the application form and forward to SAI Global with appropriate fees. By signing the application form the applicant agrees to the Term & Conditions for Certification, Assessment Services & Trademark Licence – QGD17.	SAI Global allocates a Client Manager; acknowledges application and sends relevant documents including the PCP, Technical Schedule (if applicable) and Rules governing the Scheme.	Separate application required for each site.
Review QPS to ensure that it adequately addresses the requirements of Product Compliance Program and Technical Schedule (where applicable). Inform SAI Global of any activities such as Purchasing, Design, etc.	QPS in English language for SAI Global review prior to arranging a Certification Audit.	QPS is used as a reference document for SAI Global audits & audit requirements.
After acceptance of QPS, Client Manager or chosen auditor conducts audit of Manufacturer's quality plan at the manufacturer's site. When applicable, an agent will be part of the audit team.	Report provided on manufacturer's QPS in relation to PCP requirements.	Manufacturer to arrange an interpreter when English is not the first language and ensure that the applicable procedures/specs/drawings/records etc are available for audit. Where the manufacturer has formal certification to ISO 9001 this is likely to reduce the audit time required for the Certification Audit.
Submit product specifications for the products to be covered by the licence and testing proposal on product range. SAI Global provides a list of recognised laboratories and initiates sample selection from stabilised production. Testing conducted in accordance with SMG 03 Guidelines for Product Certification Testing.	Agreed list of products to be tested and product specifications. Agreed test plan. Product demonstrated to comply.	SAI Global can manage the testing process for the manufacturer (additional fees will apply).
Carry out corrective action to address any adverse findings in either the QP audit or the product test. Submit marking proposal for the certified products with appropriate diagrams/drawings for SAI Global approval.	Written acceptance by SAI Global of manufacturers corrective action and marking proposal.	The final list of products to be covered by the licence after completion of all actions is confirmed.
Return signed Service Agreement.	Congratulations! Licence granted. Commence marking of certified products.	The StandardsMark may be applied to the product by serialised labels purchased from SAI Global or by stamping, moulding, etching, etc. during the manufacturing process.
Licensee maintains licence in accordance with & notifies SAI Global of any changes in the product, process or materials that could affect compliance of the product. SAI Global or its agent conducts regular product & Quality Plan audits.	Surveillance audit report and licence updates as applicable.	The agent, where applicable, is notified by SAI Global and audit surveillance program commences.

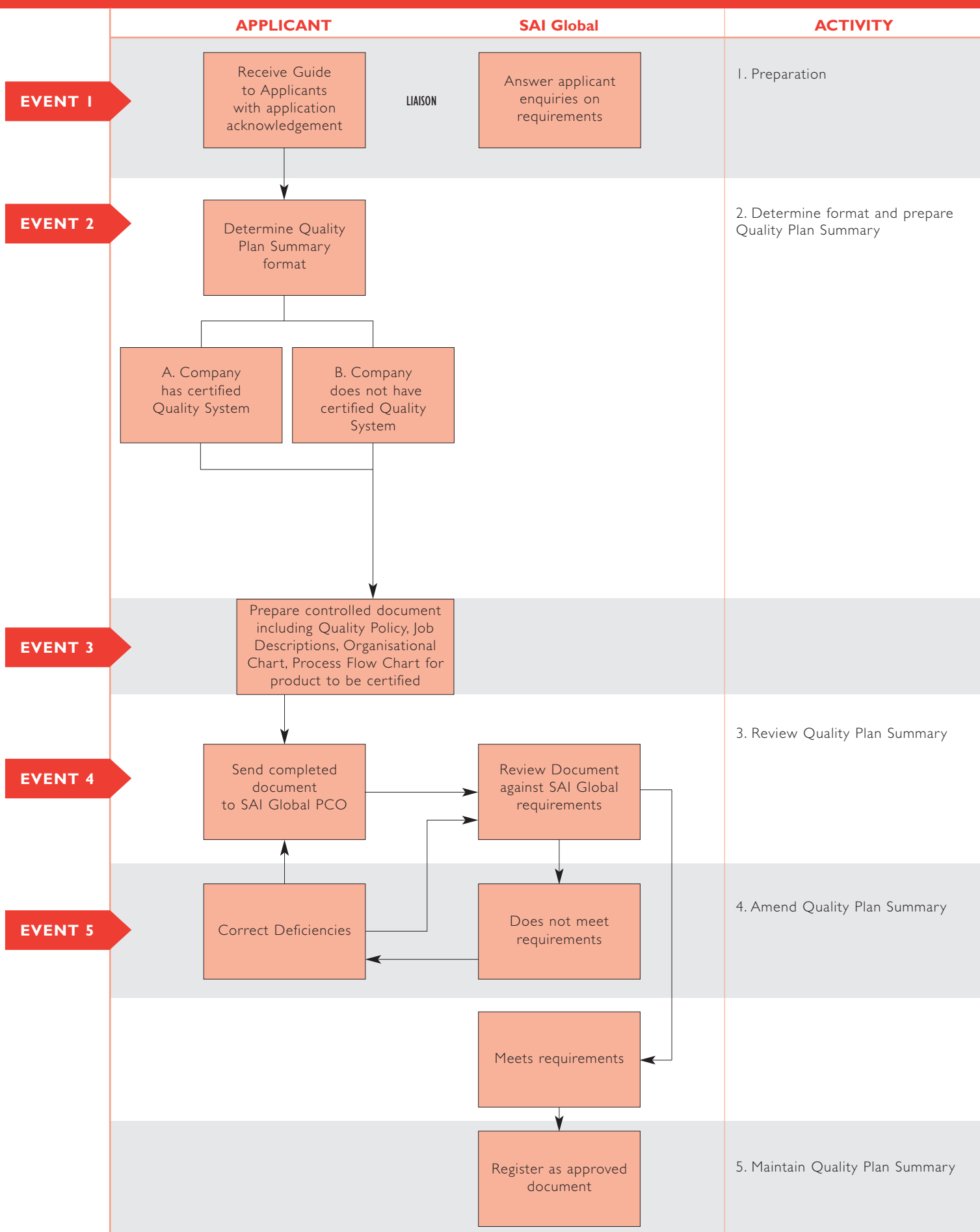
**Technical Schedule:** SAI Global document which compliments PCP by detailing specific certification requirements for particular standards or groups.

**Agent:** Body carrying out nominated certification activities on behalf of SAI Global.

**Joint Licence:** A licence issued to two or more legal entities.

**PCO:** Project Coordinator

# Guide to the preparation of a Quality



# Plan Summary

WHO	HOW	RESULT
Applicant plus SAI Global	<p>A Quality Plan Summary (QPS) is a document that summarises the plan that a company has in place to ensure that products consistently comply with the appropriate standard.</p> <p>The essential components of the quality plan required under the StandardsMark Program are set out in the relevant Product Compliance Programs. The QPS is intended as a road map to the quality plan.</p>	
Applicant	<p>A) Company with a certified ISO 9001 Quality System. Complete the following:</p> <ul style="list-style-type: none"> <li>• Process Flow Chart showing:               <ul style="list-style-type: none"> <li>all steps in manufacturing process</li> <li>all inspection, test and hold points</li> <li>any part of the process conducted off-site</li> <li>reference to applicable procedures or instructions for each step shown.</li> </ul> </li> </ul> <p>An example of a process Flow Chart is shown in Appendix A.</p> <p>B) Company without a certified ISO 9001 Quality System. Compile a QPS document including the following:</p> <ul style="list-style-type: none"> <li>• Quality Policy – must include an objective of continuing compliance of the certified product to an appropriate product standard.</li> <li>• Organisation Chart – must include all positions involved in ensuring product compliance.</li> <li>• Job Descriptions – for all positions involved in ensuring product compliance. The Product Compliance Program outlines responsibilities for management representatives and deputies.</li> <li>• Process Flow Chart as described in (A) above.</li> </ul> <p>The QPS should be an authorised, controlled stand-alone document.</p>	
		<p>Completed Product Process Flow Chart ready for despatch to SAI Global.</p> <p>Completed QPS Document ready for despatch to SAI Global.</p>
SAI Global PCO	Review against requirements outlined in Product Compliance Program for product certification (PCP).	Review of compliance with SAI Global requirements. Deficiencies referred to applicant in writing.
Applicant	Fix deficiencies noted in review.	Documents which meet all SAI Global requirements and can be registered as an approved SAI Global document.
Applicant/ SAI Global PCO	<p>The QPS is retained by the Licensee and updated as changes to the Quality Plan are made. The updated QPS is reviewed during SAI Global surveillance audits.</p> <p>NOTE: Licensees must notify SAI Global of all changes to product materials or process that could affect compliance with the standard – see Product Compliance Program.</p>	Up to date summary of Quality Plan.

## Appendix A – Process flowchart example

# Flowchart Symbols and Conventions

## 1. Scope

This appendix sets out symbols which may be used in flowcharts for quality planning and for quality control purposes, and provides guidance on the conventions for incorporating these symbols in flowcharts.

## 2. Application

The graphical symbols used in this appendix are intended to represent the sequence of production activities, such as operations, transportation, inspections, delays and storage.

The appendix is intended for guidance only. SAI Global applicants may use any appropriate method to describe the process flow.

## 3. Flowchart Symbols

### 3.1 Operation

This symbol represents any kind of operation or group of operations which results in a change in value, form or location.



### 3.2 Inspection

This symbol represents an inspection or decision type operation.



### 3.3 Combined Operation and Inspection



### 3.4 Delay

This symbol represents a terminal point in a flowchart, eg. Stop, halt, delay or interrupt.



### 3.5 Storage

This symbol represents the function of storing an item or information.



### 3.6 Transportation

This symbol represents a movement of an item, except where that movement is part of an operation or inspection.



### 3.7 Flow Line (refer to 4.1 below)

This symbol is used to link the other symbols:



Crossing of flowlines (refer to 4.2)



Joining of flowlines (refer to 4.3)



### 3.8 Inwards Goods

This symbol represents the point of receipt or raw, semi-processed or fully processed materials or components.



### 3.9 Comment, Annotation

This symbol represents an annotation, ie. The addition of descriptive comments or explanatory notes as clarification.



## 4.2 Crossing of Lines

Flow lines may cross; in these cases the lines have no logical interrelation.

## 4.3 Joining of lines

Two or more incoming flow lines may join with one outgoing flow line.

## 4.4 Shapes and Symbols

The shapes depicted in this Appendix shall serve as a guide to the symbols actually used.

In particular, the height-to-width ratios shall not be varied to such an extent that the symbol is not immediately recognisable.

Note: Templates are commercially available from most good office equipment or technical drawing equipment suppliers. Alternatively, such symbols may be included in the software of small desktop publishing software.

## 4.5 Symbol Description

This is an identifier associated with a symbol which describes that part of the system either by name or by reference to other documentation such as a test procedure. As far as possible a symbol description should be placed to the right of the symbol.

Examples:



Assemble



Inspect and pack to QC 145, PI 274



Inspect to QC 202



Audit Check to QA 007

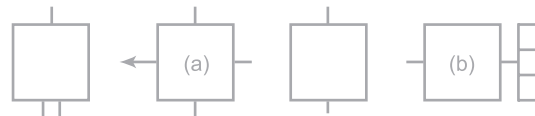
## 4.6 Flowchart Text

Descriptive information associated with each symbol shall be presented so as to be read from left to right and from top to bottom.

## 4.7 Multiple Exit

Multiple exits from a symbol shall be shown:

- by several flow lines from the symbol to other symbols; or
- by a single flow line from the symbol which then branches into the appropriate number of flow lines.



## 4. Conventions

### 4.1 Flow

- General direction of flow: The general direction of flow should be interpreted as left to right and top to bottom.
- Use of arrows: Arrows indicating the flow should be used whenever increased clarity will result.

When the flow is not in the direction specified in (a), arrows should be used to indicate the direction.




# Formalised Systems and Certification

Today, business success relies on achieving a critical balance between the competing demands of **stakeholders' requirements** and **commercial pressures**. This balancing act takes place against a backdrop of increasingly onerous legislative and regulatory requirements and growing **community expectations** that are directly affecting today's corporate decisions.

As a result, many businesses are using formalised systems to effectively manage their operations. This ensures strategic focus on long term aims such as **profitability and growth**, while competing demands such as the **management of risk, assets and reputation** are also addressed.

That's where SAI Global can help and inform you how to implement and maintain a system that matches the needs of your business, today and in the future, while **independently demonstrating compliance** to all interested parties via conformity assessment, verification and certification of your products and management systems.

<p><b>SAI Global : offering standards, assurance and innovation to business globally</b></p>	<p>SAI Global is one of the world's leading providers of independent assurance. This experience provides the ability to assist its clients with audit services that help manage risk. With a large pool of auditors drawn from a wide range of industries and academic disciplines, SAI Global's auditors are matched with the business needs of its clients. Email <a href="mailto:product@sai-global.com">product@sai-global.com</a> for more information.</p> <p>In addition to assurance (certification) services, SAI Global is also a leader in business publishing which enables it to provide its clients with access to thousands of different national and international codes of practice (standards). Email <a href="mailto:sales@sai-global.com">sales@sai-global.com</a> for more information.</p> <p>SAI Global's Professional Services staff are also well positioned to service the world's leading innovators, with many business improvement and education services ranging from introductory to advanced courses. Email <a href="mailto:training@sai-global.com">training@sai-global.com</a> for more information.</p> <p>SAI Global can bring its experience around the world to your business locally.</p>
<p><b>Accreditation, Recognition and Experience</b></p> 	<p>In order to provide the most value to its clients, SAI Global has sought to have the majority of its assurance (certification) services accredited by recognised accreditation bodies. These vary from region to region. For more information visit <a href="http://www.sai-global.com">www.sai-global.com</a>.</p> <p>Most importantly all of SAI Global's accreditation bodies are members of the International Accreditation Forum (IAF) which is the world association of Conformity Assessment Accreditation Bodies and other interested parties. For more information visit <a href="http://www.iaf.nu">www.iaf.nu</a></p> <p>SAI Global is also a member of IQNet which is a group of over 30 leading certification bodies world-wide. A combination of SAI Global's world-wide offices and SAI Global's IQNet membership provides a virtual world passport to its clients. In addition, SAI Global issued certificates are recognised by IQNet partners who upon request can issue their certificate for use in that part of the world. A great benefit for exporters or tenderers. For more information call SAI Global or visit <a href="http://www.iqnet-certification.com">www.iqnet-certification.com</a></p>

**Website** [www.sai-global.com](http://www.sai-global.com)

**Australia** Phone: 1300 360 314  
[product@sai-global.com](mailto:product@sai-global.com)

**New Zealand** Phone: 0800 761 995  
[info@sai-global.co.nz](mailto:info@sai-global.co.nz)

**India**  
Bangalore Phone: (+9180) 555 9861  
[sai\\_global.blr@vsnl.net](mailto:sai_global.blr@vsnl.net)  
Mumbai Phone: (+9122) 2659 1773  
[sai\\_global.mum@vsnl.net](mailto:sai_global.mum@vsnl.net)

**Indonesia**  
Jakarta Phone: (+6221) 720 6186  
[marketing.jakarta@sai-global.co.id](mailto:marketing.jakarta@sai-global.co.id)  
Surabaya Phone: (+6231) 568 7155  
[marketing.surabaya@sai-global.co.id](mailto:marketing.surabaya@sai-global.co.id)

**North America and Mexico** Phone: 1-866-724-4562  
[info@sai-globalinc.com](mailto:info@sai-globalinc.com)



[product@sai-global.com](mailto:product@sai-global.com) • [sai-global.com](http://sai-global.com)