



Q-Cert International (Pvt.) Ltd.

PROCESS FLOW DIAGRAM

Certification Cycle Process Flow Application → Certificate → Surveillance → Recertification

ISO/IEC 17021-1 Reference	Clauses 9.1 – 9.6
Effective Date	03-Jan-2025
Document Owner	Management Representative

START / END	PROCESS STEP	◆ DECISION	📄 DOCUMENT	RESPONSIBLE ACTOR	FORM / SOP REF
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1. Initial Certification — Application to Certify

This flow covers the complete initial certification process from receipt of application through to certificate issuance.

Step	Responsible	Activity	Reference / Form
S	Client	Client submits FM-001 (Certification Application Form)	FM-001 SOP-005
↓			
1	CM	CM receives application; registers in REG-APP-001; assigns App Ref No. (APP-YYYY-XXX)	REG-APP-001
↓			
2	CM	CM reviews application — FM-002 (Application Review Record): completeness check; IAF MD 5 audit time calculation; COI check; sector competence check	FM-002 SOP-005
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D1	CM	◆ Application complete and Q-Cert can serve?	FM-002
YES ↓ NO → Decline with reason → END			
↓			
3	CM	📄 CM prepares and issues FM-003 (Certification Agreement); client signs; MR countersigns	FM-003
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4	CM	CM assigns ATL; CM completes FM-042 (Audit Assignment Checklist); COI confirmed via FM-004; FM-009 (Stage 1 Audit Plan) prepared and issued	FM-004 FM-009 FM-042 SOP-006
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5	ATL	Stage 1 Audit conducted — document review; site familiarisation; mandatory 7 objectives; FM-010 (Stage 1 Report) prepared	FM-010 SOP-007
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Step	Responsible	Activity	Reference / Form
D2	ATL	◆ Client ready for Stage 2?	FM-010
READY ↓ NOT READY → Client addresses gaps → Repeat Stage 1 or proceed			
6	CM	Stage 2 Audit Plan (FM-009) prepared; ATL assigned (FM-042); COI confirmed (FM-004)	FM-009 FM-042 SOP-006
7	ATL	Stage 2 Audit conducted — full systematic evidence collection; findings classified (MNC/mnc/OFI); FM-011 (Audit Report) prepared; ATL makes certification recommendation	FM-011 SOP-008
D3	CDM	◆ Open Major NCs?	FM-011
NO MNCs ↓ MNCs OPEN → Client submits CAP → CM reviews → CDM reviews closure evidence			
8	CM	📄 CM compiles complete audit package; submits to CDM	FM-001 to FM-011 package
9	CDM	CDM reviews package independently; confirms CDM independence (FM-012 Sec 1); makes certification decision — Grant/Defer/Do Not Certify	FM-012 SOP-009
D4	CDM	◆ CDM Decision?	FM-012
GRANT ↓ DEFER → Return to Step 8 DO NOT CERTIFY → Client notified; appeal rights			
10	CM	📄 CM prepares FM-013 (Certificate); CDM signs; certificate issued to client	FM-013 SOP-010

Step	Responsible	Activity	Reference / Form
11	CM	CM updates CBM-REG-001 (within 5 working days); REG-CERT-001 updated; REG-PROG-001 updated with SA1 and SA2 due dates	CBM-REG-001 REG-CERT-001 REG-PROG-001
E		→ PROCEED TO SURVEILLANCE CYCLE (Section 2 below)	SOP-011

2. Surveillance Cycle (SA1 → SA2) and Recertification

After initial certification, the client enters a 3-year certification cycle: SA1 (year 1) → SA2 (year 2) → Recertification (year 3).

Step	Responsible	Activity	Reference / Form
S	CM	CM monitors REG-PROG-001; SA1 due date approaches (alert at 90 days)	REG-PROG-001 SOP-011
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12	CM	CM assigns ATL (FM-042); issues FM-009 (SA1 Audit Plan) minimum 2 weeks before audit	FM-009 FM-042
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13	ATL	SA1 conducted — mandatory elements + rotational scope; previous findings followed up; FM-011 prepared	FM-011 SOP-011
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14	CDM	CDM reviews FM-011; makes maintain/suspend decision; FM-012 completed	FM-012 SOP-009
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15	CM	SA2 conducted — same process as SA1; year 2 of cycle	FM-011 SOP-011
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16	CM	CM initiates recertification 6 months before expiry; full scope audit (SOP-012)	SOP-012
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17	CDM	CDM makes renew/do not renew decision; FM-012 completed	FM-012 SOP-012
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D5	CDM	◆ Renew?	FM-012

YES ↓ | NO → SOP-013 withdrawal process

Step	Responsible	Activity	Reference / Form
18	CM	📄 New certificate issued (3-year expiry); CBM-REG-001 updated; new cycle begins	FM-013 CBM-REG-001
E		CERTIFICATION RENEWED → New 3-year cycle	

Surveillance interval: SA1 within 12 months of initial certification date; SA2 within 24 months. PNAC may audit Q-Cert's compliance with these intervals — CM must ensure REG-PROG-001 shows zero interval breaches.