
PT. TÜV NORD Indonesia



SuRe® Certification Procedure



PT. TÜV NORD INDONESIA

SuRe® Certification Procedure

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Prepared by : Team SCS & NBD

Checked by	Approved by
	
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Revision Sheet

Number	Revision Number	Revision Date	Section Number	Revision Notes
01	01	01 - 08 - 2019	6.12	Revise the process of certificate issue
			6.14	Add "The recorded decision regarding the necessary action is refer to 6.12"
			6.21	Add point "Information exchange between a certification body and its clients"
			6.8	Add form of report audit stage 1
			6.9	Add form of report audit stage 2 and audit checklits

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1. Purpose

This procedure is additional procedur of PMLF-TNI-02 to describes the roles, responsibilities and processes in a certification body **by ISO 17021** involved in the SuRe® certification

2. Scope

This procedure applies to PT TÜV NORD Indonesia and its auditors.

3. Definitions

In general, the key words used in this procedure refers to the reference in point 5.0 of this document

4. Responsibilities

Head of CB and Operational Manager SCS has overall responsibility for the management of this procedure.

5. Reference

- 5.1 The SuRe® Certification and Accreditation Requirements (RQ01, this document)
- 5.2 MI-TNI-01, Manual Integrasi
- 5.3 PMLF-TNI-02, Management System Certification Procedure
- 5.4 ISO/IEC 17021 Part 1 : 2015, Conformity assessment – Requirements for bodies providing audit and certification of management system

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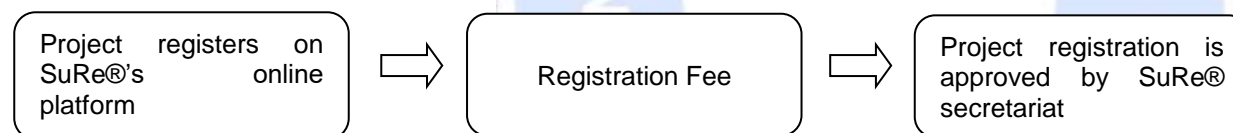
6. Procedure

6.1 Requirements in relation to Accreditation

The preliminary application of accreditation of PT TUV NORD Indonesia shall have been accepted by the appointed Accreditation Body prior to starting any type of audit activities related to the SuRe® Standard. PT TUV NORD Indonesia shall be preliminary accredited by the appointed Accreditation Body before awarding certification.

In case PT TUV NORD Indonesia has been accredited and when the accreditation is withdrawn or cancelled, PT TUV NORD Indonesia will cease all SuRe®-related audit and certification activities. PT TUV NORD Indonesia not sign new certification contracts or conduct audits of applicant clients during a period of suspended accreditation. PT TUV NORD Indonesia adhere to the suspension conditions as specified by the appointed Accreditation Body. The validity of certificates issued prior to the date of suspension is not affected unless specified otherwise by the PT TUV NORD Indonesia or the Accreditation Body.

6.2 Customer Inquiry



The applicant register his project for SuRe® certification through the online platform and will be approved by SuRe® secretariat. The project completes self-assessment for compliance and materiality of SuRe® criteria. Necessary information shall also include the Project's Materiality Assessment and applications (if any) by the prospective client to other SuRe® certification bodies or other infrastructure certification schemes in the last 5 years. The necessary information include but is not limited to the status of the Project, the respective infrastructure sector, actors involved in the Project [including Special Purpose Vehicle (SPV) and public private partnership (PPP) actors] and the legal obligations among them.

If project successfully completes the assessment, then the project shall upload basic documentation. The project is included into GIB'S project registry. The project will select Certification Body from approved list to conduct SuRe® certification. If PT TUV NORD Indonesia is selected by the project then will review the scope, process, and the competent auditing team while prepare the quotation and contract. If accepted the application of the client after its

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review, PT TUV NORD Indonesia will enter the following information in the SuRe® certification database (once this is available. If not yet fully functional, provide it to the SuRe® Secretariat in the form of a PDF document through e-mail) at least 15 calendar days prior to conducting the Stage 1 audit and 30 days prior to conducting the Stage 2 audit of the Project:

- 1) Type of infrastructure (including development phase);
- 2) Sector and location;
- 3) Total area of the Project in square kilometres;
- 4) Proposed schedule for audits, including tentative dates for evaluation of the Materiality Assessment, desk reviews, site visits and expected dates for submission of draft and final report to both the client and GIB;
- 5) Tentative composition of the audit team, including lead auditor, CB contact for processing stakeholder comments (e-mail, phone number).

In case the dates have not yet been agreed with the Project, all entries in the SuRe® database or documents shall read tentative – not yet agreed with the Project”.

PT TUV NORD Indonesia will ensure that the applicant are aware of any previous legal disputes, as well as any formal complaints received through the Project Owner’s grievance mechanism. If PT TUV NORD Indonesia does not have the competence and ability to perform the certification activity, we will contact the SuRe® Secretariat to see whether another accredited CB can perform the certification activity.

PT TUV NORD Indonesia has the right to reject applications for certification of Project sites which are already covered under a valid or suspended SuRe® certification by providing written justification of this decision to the applicant and the SuRe® Secretariat and recording this decision in its systems.

6.3 Certification Agreement

The legally enforceable agreement (**FMLF-TNI-074 Annex 1D**) between PT TUV NORD Indonesia and the client shall be signed by both parties prior to commencing audit activities. In case the client’s Project is divided into several infrastructure elements, the contract shall covers all of the Project’s infrastructure elements for which the client is seeking certification. Prior to signing the agreement, PT TUV NORD Indonesia will verify the following:

- a) The applicant is not already certified against the SuRe® Standard (except in case of recertification);
- b) The applicant has not had its SuRe® certification withdrawn or has failed a SuRe® certification audit within the previous twelve months;
- c) The client has been accepted into the SuRe® scheme by the SuRe® Secretariat.

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Acceptance to the SuRe® scheme is based on the client completing and submitting its registration form through the SuRe® website. The SuRe® Secretariat shall review this application and accept or reject the client's application. Criteria for accepting clients into the scheme are:

- The Project is an infrastructure Project (as defined in section 1 "Scope" of this document)
- The Project has a minimum CAPEX of 10 million USD;
- The Project has completed a self assessment of materiality and compliance against the SuRe® Standard;
- The Project has completed its registration form with all necessary and verifiable information.

In order to ensure client continuity, PT TUV NORD Indonesia ask the client to disclose if they have had previous enrolment with another SuRe® CB and shall also ask clients to provide a copy of their last assessment report when applicable. In case a client can provide a valid SuRe® certificate issued by another accredited CB, PT TUV NORD Indonesia shall recognize the certificate holder as compliant with the SuRe® Standard. In order to ensure client continuity, PT TUV NORD Indonesia will ask the clients to disclose if they have had previous enrolment with another SuRe® CB and shall also ask clients to provide a copy of their last assessment report when applicable. In case this is provided, PT TUV NORD Indonesia shall verify that unresolved non-conformities are taken into account in the new assessment in line with SuRe® requirements on non-conformities found in the present document.

6.4 Audit Programme

PT TUV NORD Indonesia will share the complete audit programme with the SuRe® Secretariat and the Project in English and in the language of the region where the Project is located before initiating conformity assessment activities. The audit programme for initial certification shall include an initial 2 stage audit to award first certification, annual surveillance audits in the subsequent four years and a recertification audit in the fifth year prior to the expiration of the certification and only if the Project wishes to undergo recertification. The first five-year certification cycle shall begin once the initial certificate has been awarded. Subsequent recertification cycles shall begin once the renewed certificate has been awarded.

In developing and any subsequent adjustments to the audit programme, PT TUV NORD Indonesia shall take account the development phase of the Project (planning & design, construction, commissioning, operation, upgrade, augmentation and/or decommissioning) as it may influence how the audits will be conducted and what can be visited on the Project site (e.g. for a Project in the early planning stages, there might not be any physical components to inspect).

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6.5 Determining Audit Time

When determining the time needed for an audit , these shall include sharing information with the client and consider the following aspects:

- a) Size and Capital expenditure (CAPEX) of the Project;
- b) Infrastructure sector and development phase of the Project;
- c) Geographical context of the infrastructure;
- d) Financial composition and actors involved in the Project;
- e) Number and type of SuRe® criteria to be audited (as per the Project's Materiality Assessment);
- f) The need for activities performed in shifts to be audited during the respective shift;
- g) Complaints received between the current and previous audit;
- h) Time needed for adequate stakeholder involvement and consultation;
- i) Presence of local communities;
- j) The (potential) need for off-site worker interviews to be conducted.

Multi-site certification is not applicable to Projects applying for SuRe® certification. PT TUV NORD Indonesia does not offer multiple management system standards certification to applicants for SuRe® certification.

6.6 Audit Preparation

A Team and Approval has to be approved by Head of Certification Body or President Director prior to the audit.

An audit team is appointed and the customer is informed of the team members once the contract is signed. Clients must be informed in advance that they can object to any member of the audit team with proper justification. PT TUV NORD Indonesia will publish the selection and appointment of audit teams of SuRe® certification on the website.

Technical expert will be involved audit to covering audit scope. Sub order form will be sent to expert as an audit team member confirmation, if cancelled the audit will be re-scheduled (if possible, a justification shall always be made). The technical experts shall be adequately briefed by the lead auditor on the responsibilities of each audit team member. The lead auditor shall ensure that the technical experts have received the necessary background documentation well in advance and that a meeting has been arranged to provide a detailed briefing prior to the audit. The members of the audit team must fulfil the requirements described in Requirements for and appointment of PT. TÜV NORD Indonesia auditors.

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If Head of Certification Body as Lead Auditor or Auditor, Head of Certification Body must appointed competence personnel to approved A Team. The criteria for composing the audit team are:

- a) the audit must be performed with the participation of a PT. TÜV NORD Indonesia nominated lead auditor,
- b) for audits of less than four days on-site, the use of an audit team of at least two auditors is **optional**,
- c) for audits of four days or more on-site, the use of an audit team of at least two auditors is **mandatory** (in respect to single site),
- d) all auditors involved in the process have in sum all the required competencies to carry out a successful audit as demonstrated by the auditor(s) CV's and other experience, including knowledge certificates in line with the competencies and skills required by SuRe®.

In order to ensure impartiality, no auditor shall conduct more than three consecutive audits of one and the same client. If this is not possible for logistical or other reasons, PT TUV NORD Indonesia will approach GIB to request an exception. In addition, the complexity of the stakeholder environment will be considered.

The audit team leader, in consultation with the audit team, shall assign to each team member responsibility for auditing specific processes, functions, sites, areas or activities. Such assignments shall take into account the need for competence, and the effective and efficient use of the audit team, as well as different roles and responsibilities of auditors, auditors-in-training and technical experts. Changes to the work assignments may be made as the audit progresses to ensure achievement of the audit objectives.

In case translation services are needed to successfully conduct an audit, the translators stay under the direction of the lead auditor during all certification activities. Translators shall be independent of the Project to avoid conflicts of interest and ensure that they possess sufficient levels of skills to translate from the national or local language into the operating language of the audit team (English unless otherwise agreed between the SuRe® Secretariat and PT TUV NORD Indonesia). Where it is not feasible to contract translators that are independent of the Project due to logistical difficulties, the name and affiliation of translators shall be included in all audit reports.

When determining the audit scope, The audit team leader shall consider the results of the Project's Materiality Assessment and the Unit of Certification activities will apply. In case significant changes are experienced in the Project Owner or the Project's constitution (such as change of ownership of the Project, change of development phase), the Project shall communicate those changes to PT TUV NORD Indonesia and shall communicate them in turn to the SuRe® Secretariat no more than 10 days after they occur.

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In addition to criteria related to management systems (Management Criteria), the audit criteria shall also include those related to performance of the Project (Performance Criteria). The CB shall review all comments received through the stakeholder consultation, together with the Project. If necessary, the CB shall adjust the audit plan to ensure that concerns raised by stakeholders can be sufficiently investigated.

Observers can also include members from relevant stakeholder groups such as indigenous community leaders, local social groups.

6.7 Audit Plan

The Lead Auditor or Auditor is responsible for preparing an audit plan which includes all SuRe® requirements to be audited, the names of the relevant units within the customer's organisation and a timescale for the audit also shall be drafted in English and in the language of the region where the Project is located. The audit plan also include the dates and sites for stakeholder consultation. The Lead Auditor will coordinate the audit plan with the audit team and the customer's representative.

The auditors may work as a team or independently, however there must be a splitting of the auditors for approx. **50%** of the audit time, taking always into consideration the auditors' competence. The proof of splitting has to be provided in the audit plan (e.g. if 2 auditors per department/process are planned in, at least 2 contacts from the company side must appear in the audit plan).

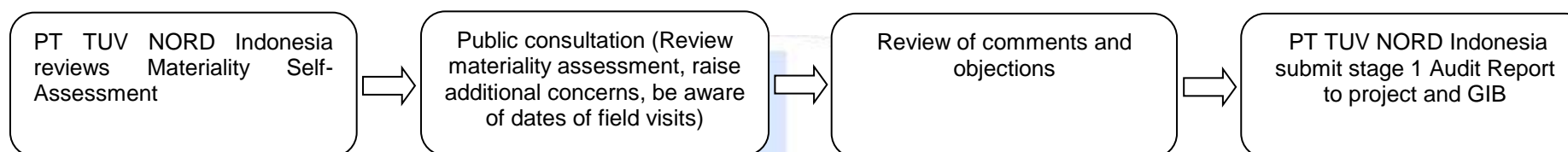
The use of electronically based audit techniques *in IAF MD 4* (e.g. document inspection, inspection of corrective and preventive actions, video conferences) shall be taken into consideration in the audit plan (e.g. video conferences) if applicable.

In situations where a customer provides a product or service at temporary sites (f.e installation sites, project locations etc.) it is important that evaluations of such sites are incorporated into the certification and surveillance program. Sample size and audit time will depend on the number, size and complexity of the activities of sites, extent of records available there and the amount of variations between individual sites. Suitable values are determined by the lead auditor and must be noted in the audit report.

When the audit plan is agreed by the client, PT TUV NORD Indonesia will inform the SuRe® Secretariat of the planned audit dates at least 15 calendar days prior to conducting Stage one and 30 calendar days prior to conducting Stage 2 of the audit. In case the audit is an unannounced audit, PT TUV NORD Indonesia will be submitted less than 30 calendar days prior to the audit. Within no more than three calendar days after informing the SuRe® Secretariat, PT TUV NORD Indonesia will publish the information on its own website. If there are any changes to the audit, PT TUV NORD Indonesia will update and revise the audit form within five calendar days, highlighting the areas where changes have been made, re-submit it to the SuRe® Secretariat and also update the information on its website. These requirements shall apply to all audits.

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6.8 Public Consultation and Stage 1 Audit



When the audit plan is agreed by the client, they shall conduct the public consultation to review the Materiality Assessment, raise additional concerns and be aware of dates of field visits. PT TUV NORD Indonesia will conduct the initial certification audit in two stages. An initial certification audit conducted if the client's registration has been accepted by the SuRe® Secretariat. PT TUV NORD Indonesia will be verified this information on the SuRe® website.

The Stage 1 audit is conducted as a desk review of all available documentation. These documentation includes documentation provided by the client and documentation and/or information obtained from other sources that have been made available to the CB by the SuRe® Secretariat. Information obtained from other sources and made available to the SuRe® Secretariat shall only include information that has been provided through official communication channels, including:

- a) The SuRe® e-mail address
- b) The SuRe® website
- c) A formal letter addressed to GIB in letterhead of the company providing (if applicable) and with official signatures and contact information of the persons submitting the information.

The audit team will verify this information made available to them by the SuRe® Secretariat by contacting the entities submitting the information using the contact information provided to them by SuRe® Secretariat. In addition, the following objectives for Stage 1 audits shall apply:

- a) Review the Project's self Materiality Assessment in line with SuRe®'s Materiality Assessment Methodology
- b) Undertake initial discussions with the Project in order to (1) introduce the audit team and (2) obtain the infrastructure design and planning documents (irrespective of which development phase the Project is in at the time of starting the initial certification process)

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Additionally, The audit team and the client shall discuss the preliminary findings of the Stage 1 audit. If areas of concern have been identified by the audit team, they may agree that the client defines and implements corrective action before conducting the Stage 2 audit. If corrective actions are defined, the CB shall allocate a timeframe for implementing them.

The interval between Stage 1 and 2 and the allocation of resources for Stage 2 shall be agreed together with the client. PT TUV NORD Indonesia will share Stage 1 audit plan with the SuRe® Secretariat no more than 10 calendar days after agreement with the Project. The Stage 2 audit may be cancelled or postponed if PT TUV NORD Indonesia and the client agree to do so. In this case, PT TUV NORD Indonesia will document this decision for the client and inform the SuRe® Secretariat in writing, stating the reasons for the cancellation or the postponing of Stage 2 no more than 5 calendar days after agreement with the client. At the end of Stage 1, PT TUV NORD Indonesia will submit a report to the Project and the SuRe® Secretariat no more than 10 calendar days after concluding Stage 1 audit. This report is include at least the following information:

- a) Summary of findings from Stage 1;
- b) Planning for Stage 2 (as agreed);
- c) Allocation of resources for Stage 2 (as agreed);
- d) Expected audit timeline for Stage 2;
- e) Areas of concern that could be classified as nonconformities in Stage 2.

In the report regarding the audit stage 1, the decision as to whether it is possible to perform the certification audit in the company without the need for further steps is described. The lead auditor is primarily responsible for the report. If the requirements of the standard are not fulfilled, corrective measures are required from the customer. If all the requirements of the standard are fulfilled, detailed planning for the audit stage 2 follows. The exact formulation of the scope of the certificate must be established in agreement with the customer before audit stage 2.

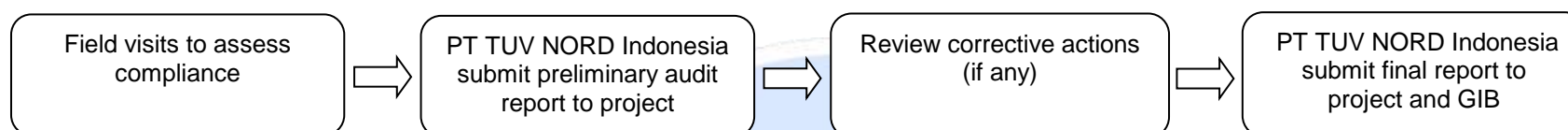
If any significant changes which would impact the management system occur, it will be considered the need to repeat all or part of stage 1. The customer shall be informed that the results of stage 1 may lead to postponement or cancellation of stage 2.

The Stage 1 report does not need to meet the full requirements of the preliminary assessment report at the end of Stage 2. PT TUV NORD Indonesia will inform the SuRe® Secretariat of the timelines and resources for stage 2 no more than 10 calendar days after the agreement with the Project.

The audit report stage 1 must be documented in form FSR-TNI-005

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6.9 Stage 2 Audit



The audit commences with an opening meeting which shall usually conducted by the audit team leader, where attendance shall be recorded and be held with the client's management, is to provide a short explanation of how the audit activities will be undertaken and details. The audit team shall ensure that occupational health and safety matters related to audit activities are covered during the opening meeting.

The task of the audit team is to review the practical application and assess the fulfilment of the SuRe® requirements. This is carried out by means of questions put to the staff, viewing of other documents, records, orders and guidelines as well as by an on-site visit to the relevant areas. The audit questionnaire can serve as a guide during this process. Each auditor shall be accompanied by a guide, unless otherwise agreed to by the audit team leader and the client. The audit team shall ensure that guides do not influence or interfere in the audit process or outcome of the audit.

The presence and justification of observers, if needed, during an audit activity shall be agreed to by the certification body and client prior to conduct of the audit. The observers shall not influence or interfere in the audit process or outcome of the audit.

In obtaining information, the audit team shall consider Evidence and Reporting listed in the SuRe® Standard. The audit team shall not use sampling of audit evidence, but shall verify all evidence required within those SuRe® criteria to which the Project must comply to achieve the level of certification being sought (Gold, Silver or Bronze). The samples of documentation shall be chosen solely by the audit team without prompting by the client

At the end of the on-site audit, a final closing meeting takes place which shall normally conducted by the audit team leader where attendance shall be recorded and be held with the client's management, is to present the audit conclusions, including the recommendation regarding certification. Any nonconformities shall be presented in such manner that the client understood, and the timeframe for responding shall be agreed.

In those cases where the Project's development phase means that there are not yet built infrastructure elements or construction sites, the field visits may be substituted by face-to-face meeting(s) with the Project Owner.

The audit report stage 2 must be documented in form FSR-TNI-002 and the audit checklist use form FSR-TNI-004.

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6.10 Audit Finding

The auditors record their findings during the audit either by hand or electronically. The findings are assigned to requirements of the standard and evaluated:

- **conformity,**
- **opportunity for improvement, and**
- **non conformities**

Non-conformities shall be deemed as such when clients do not comply with:

- a) Any safeguarding red criteria of SuRe®; or
- b) Any other criteria that are required for the level of certification (Bronze, Silver, Gold) sought by the client.

The criteria that have to be met by the client for the three different levels of certification are determined by the Materiality Assessment and Scoring Provisions (refer to document ST01 – Normative Standard).

Nonconformities shall be graded as either minor or major. A non-conformity shall be graded as minor if:

- a) It is a temporary, unusual or non-systematic lapse;
- b) The impacts of the non-conformity are considered small relative to the temporal or spatial scale of the Project; or
- c) It does not result in a serious failure to achieve the objective of the relevant SuRe® requirement.

A non-conformity shall be graded as major if they it cannot be graded as minor. The audit team and the client may agree to cancel the auditing process at any time if a significant major nonconformity with a SuRe® criterion is found. In such a case PT TUV NORD Indonesia shall provide a written notice to the client and the SuRe® Secretariat listing the reasons for the termination of the auditing process.

The corrective actions shall include at least a description of the non-conformity, a summary of evidence upon which the non-conformity is based, a deadline before which the corrective action shall be completed by the Project, and the grading as either major or minor. The audit team shall include corrective actions in the preliminary assessment report. The timelines for implementing corrective action shall commence from the moment the corrective action is agreed between the CB and the client, and shall be as follows:

- a) Corrective action for minor nonconformities shall be implemented within the maximum period of one year;
- b) Corrective action for major nonconformities shall be implemented within the maximum period of three months;

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Within three months of implementing corrective action, the client shall provide satisfactory evidence to the audit team that the non-conformity has been resolved. The the audit team shall determine whether corrective actions have been appropriately implemented within the timeframes. The lead auditor decides which of these measures are appropriate and fill out **form Management of Nonconformities** then the client shall be informed of the result of the review and verification.

If the action taken is not considered adequate, then:

- a) A minor nonconformity shall become a major nonconformity and shall be corrected within a maximum period of three months (or in exceptional and justified circumstances, six months);
- b) A major nonconformity shall lead to immediate suspension of certification.

Major nonconformities shall not be downgraded to minor nonconformities. The CB shall inform the client if an additional on-site audit is required to verify that nonconformities have been corrected.

If the audit team are not able to verify the implementation of corrections and corrective actions of any major non conformity within 6 months after the last day of stage 1, the client shall be conducted another stage 2 prior to recommending certification.

6.11 Audit Report

The audit report is prepared based on the audit findings. Nonconformities and opportunities for improvement are documented in the audit report. *Nonconformities are written in Nonconformities Report*. Action plans for nonconformities are prepared up by the customer. The Audit team submit a Preliminary Assessment Report within 30 calendar days after the closing meeting to the client and the SuRe® Secretariat. The client shall be given 10 calendar days for a revision of errors of fact.

The audit team discuss and agree with the Project which information constitutes confidential and sensitive information, which cannot be publically available and therefore may be included in confidential annexes to the report. However, this information shall still be available to the SuRe® Secretariat and the appointed Accreditation Body upon request (as specified in the certification contract).

After the client has reviewed the Preliminary Assessment Report, the audit team submit the updated document as the Final Assessment Report to the Project and to the SuRe® Secretariat within 15 calendar days of the closing meeting between the audit team and the client. PT TUV NORD Indonesia will publish the Final Assessment Report on their website within 30 calendar days of reception of the Final Assessment Report from the auditing team. In

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In addition, the minimum content of the Preliminary Assessment Report provided at the end of Stage 2 shall contain: descriptions of any nonconformities, the grading of the nonconformities as either major or minor, summaries of evidence upon which the nonconformities are based, descriptions of the client's planned corrective action, and deadlines before which corrective action shall be implemented by the client.

In addition, regarding language:

- a) PT TUV NORD Indonesia write all audit reports and annexes in the local language of the region where the Project is located and in English. The English versions shall be provided to the SuRe® Secretariat.
- b) PT TUV NORD Indonesia allow for the time and costs of translations that may be required. These requirements shall apply to all audits (including surveillance audits).

6.12 Certificate Issue

Head of Certification Body shall ensure that the persons that make the decision for granting of 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 audits.

A review of the certification file could be by veto person to assist Head of Certification Body make a certification decision. Veto person is auditor/technical expert or competence personnel but different personnels from those who carried out the audits. After certification decision has been taken by Head of Certification Body, PT TUV NORD Indonesia seeking a written certification recommendation from the SuRe® Secretariat. The SuRe® Secretariat shall be provided with the information listed above and shall be granted ten calendar days to review the assessment and make a recommendation.

If the certification decision from Head of Certification Body and SuRe® Secretariat is positive, Head of Certification Body Release the SuRe® certificate to the project and SuRe® Secretariat awarded to the project. The certificate will be issued with sign of President Director/Operational Director.

PT TUV NORD Indonesia will notify the SuRe® Secretariat and the client of a decision not to grant certification and shall identify in writing the reasons for the decision also make and communicate certification decisions to the Project within one month after submitting the final assessment report to the client. PT TUV NORD Indonesia shall not issue or re-issue a certificate if there are outstanding major nonconformities.

Action by the TÜV NORD to deal with incorrect references to certification status or misleading use of certification documents, marks or audit reports shall include requests for corrective action, withdrawal of certification from use, publication of the transgression and, if necessary, legal action and shall depend

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on the severity of the incident. Action taken by the TÜV NORD shall be recorded and GIB shall be informed about the incorrect reference and corresponding action.

6.13 Surveillance Audit

Surveillance activities review in such a way that compliance of the Project to SuRe® requirements can be assessed on a regular basis and that changes in the Project itself (e.g. upgrade of the Project, change of Project Owner, change of development phase, change of suppliers, etc.) can be fully taken into account. Surveillance activities shall be carried out in the form of desk reviews. However, the CB shall carry out an on-site audit of the certified Project in cases where it is deemed necessary due to:

- a) Review of corrective action which requires the CB to revise or review implementation on site which cannot be done remotely;
- b) Major changes in the Project that require an on-site review or
- c) Any other situation that warrants an on-site audit as justified by the CB.

If a Project had not been fully built by the time of the audit, a site visit and validation of compliance is required within one year of completion of construction of the Project. In cases where the Project comprises several staged components to be commissioned more than one year apart, several site visits may be required to ensure that each component is visited.

The CB shall carry out surveillance audits once per calendar year during the four years following the initial certification or re-certification of the Project. The date of the first surveillance audit following initial certification shall not be more than 12 months from the certification decision date.

Already registered Customers

- The planning of the annual surveillance audit is the date of the last day of certification or Re Certification Audit (day and month) minus 1 month.

New and registered customers:

- The audit reference date is decisive for all following audits (surveillance and re-certification audits).
- All surveillance audits – including the review of corrective actions relating to identified nonconformities, audit reporting and the release process – shall be completed at the latest 3 months after the audit reference date (“due date”).

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In case of nonconformities found through the surveillance audits, the audit team shall implement its procedure for handling nonconformities in line with section 6.8 of this document to determine if the certification of the Project shall be maintained, suspended or withdrawn. The audit team shall conduct surveillance audits in such a way that all requirements of SuRe® compliance applicable to the Project are audited at the end of this period. PT TUV NORD Indonesia will notify the client and the SuRe® Secretariat at least 30 calendar days before the surveillance audit takes place. The audit team conduct Surveillance audits shall also include the following:

- a) Desk reviews of the certified Project's evidence of compliance with highly material SuRe® criteria;
- b) Desk reviews of the certified Project's evidence of compliance with applicable SuRe® safeguarding red criteria;
- c) Desk reviews of the certified Project's evidence of compliance with any other SuRe® criteria that has seen a change in materiality as a result of a changes in the Project (e.g. development phase);
- d) Review of any of the certified Project's statements or claims made about the Project in relation to SuRe®;
- e) Requests to the certified Project to provide to the CB any other relevant information.

The audit team shall also review:

- a) Any major legislative changes in in local or international applicable legislation that have an effect on the Project's operations in respect to compliance with SuRe® requirements);
- b) Any complaints or allegations of nonconformity with SuRe® requirements.

PT TUV NORD Indonesia record the certification decision to maintain (or not) certification for each surveillance audit.

6.14 Recertification Audit

PT TUV NORD Indonesia only carry out a recertification audit if the client formally expressed its wish to be recertified. The recertification audit shall be conducted every 5 years and well before the expiry of the current certification of the client. The audit team will apply the SuRe® Certification and Accreditation Requirements as well as the SuRe® Standard Criteria in the versions that are effective at the time the recertification audit takes place.

A re-certification audit shall not be performed three months prior to the expired date of the certificate. The recertification audit shall consider:

- a) The results of previous surveillance audits in the years leading to recertification and after the initial certification was granted;
- b) The successful implementation of corrective actions by the Project;
- c) The current development phase of the Project and any changes and risks that this may pose to continued compliance;
- d) Any changes in the Project Owner;

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- e) The presence or resolution of any nonconformities;
- f) Any complaints received by stakeholders of the Project;
- g) The SuRe® Secretariat's recommendation for recertification.

The appointed audit team conduct as a first stage of the recertification audit, a review and validation of the Materiality Assessment in order to determine that it is still applicable to the present status and phase of the Project. Adjustments to the Materiality Assessment may result in auditing of previous non-material criteria. The audit team will follow the Stage 2 requirements outlined of this document in carrying out the recertification audit. **The recorded decision regarding the necessary action is refer to 6.12.**

Audit conduct, documentation and also issue of certificates will be performed accordance with the provisions of a certification audit. For any major nonconformity shall be implemented and verified prior to the expiration of certification.

When recertification activities are successfully completed prior to the expiry date of the existing certification, the expiry date of new certification can be based on the expiry date of the existing certification. The issue date on a new certificate shall be on or after the recertification decision.

If the recertification audit has not completed or unable to verify the implementation of corrections and corrective actions for any major nonconformity prior to the expiry date of the certification, then recertification shall not be recommended and the validity of the certification shall not be extended. The client will be informed and the consequences will be explained. Following expiration of certification, restore certification can be provided within 6 months provided that the outstanding recertification activities are completed, otherwise at least a stage 2 shall be conducted. The effective date on the certificate shall be on or after the recertification decision and the expiry date shall be based on prior certification cycle.

6.15 Suspending, Withdrawing or Reducing of Certificate

In case of nonconformities, the audit team should proceed as in the certification audit. Suspension of the certificate may also be taken into account.

Any further delays require approval by the accreditation body or result in suspension of the certificate. If the surveillance audit will not be performed until the expiry of the due date, the certificate will be suspended. An audit can be performed and restored the suspended certification if the issue that has resulted in the suspension has been resolved. Failure to resolve the issues that have resulted in the suspension in a time established, Head of the Certification Body shall result in withdrawal or reduction of the scope of certification. The suspension would not exceed six months.

In case the audit team decides to suspend, cancel or withdraw a certification, Head of certification body within five calendar days, inform the client and the SuRe® Secretariat about the decision and the reasons for it by e-mail to sure@gib-foundation.org. The changed status of the Project shall also be communicated on the PT TUV NORD Indonesia's website and database within ten calendar days. For suspension or withdrawal, the Head of certification

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body shall apply the date when the decision was taken. For cancelation, Head of certification body shall apply the date the decision was communicated to the client.

The maximum period that a certification may remain suspended is twelve months. After this period, the certification shall be withdrawn, unless all major nonconformities have been successfully corrected. If a certified Project applies for an expansion for the scope of certification (for example, if the Project increases its number of physical components to be certified under SuRe®), the audit team shall review the application and determine any required audit activities that form the basis for the decision whether an expansion may be granted. Such an audit may be conducted in conjunction with a surveillance or may be treated as a special audit.

6.16 Special Audits

a) Expanding Scope

In case the CB decides that an on-site audit is not required, the updated certificate shall explain which changes to the scope of certification have been made and justify why no on-site audit was conducted. The CB shall register the change of certification scope in the SuRe® database (once it is operational or if not, through e-mail to the SuRe® Secretariat) within ten calendar days after the decision has been made and before issuing the updated certificate to the client.

b) Short notice and Special Audits

The CB shall determine if short-notice audits are needed in order to investigate complaints or in response to major changes to the Project (e.g. development phase, change of ownership, change of legal status, change of scope). Short-notice and special audit activities shall depend on the client's specific case and may include, for example:

- a) site visit(s) to the Project site to re-assess compliance;
- b) review of the Materiality Assessment;
- c) stakeholder consultation.

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6.17 Appeal

Additional procedure of PCR-TNI-05 :

PT TUV NORD Indonesia acknowledge receipt of the appeal within five to ten calendar days to the appellant and also inform the appellant if resolution of the appeal requires the involvement of the scheme owner or other bodies.

PT TUV NORD Indonesia within the three months following the date of reception of the appeal from the appellant, respond in writing to the appellant to define how to strive to resolve the appeals. If the appellant is unsatisfied with the decision on the appeal, the appellant shall be given the opportunity to object in writing against the decision to PT TUV NORD Indonesia within seven calendar days of receiving the appeal resolution information from the CB. PT TUV NORD Indonesia escalate all appeals that are challenged to the Accreditation Body. The Accreditation Body shall, upon receipt of the appeal, investigate and, if needed, request additional information to make a decision. The decision, taken by the Accreditation Body, shall be communicated to the appellant, the SuRe® Secretariat and other affected parties in writing within 30 calendar days of the decision being taken. All decisions made by the Accreditation Body are final. PT TUV NORD Indonesia report all received and resolved appeals, including the decision, to the SuRe® Secretariat within seven calendar days upon receipt or upon decision-making.

6.18 Complaint

Additional procedure of PCR-TNI-05 :

PT TUV NORD Indonesia acknowledge receipt of the complaint within five to ten calendar days to the complainant in writing, and shall provide the complainant with progress reports. PT TUV NORD Indonesia give formal written notice of the end of the complaints-handling process to the complainant and shall inform them of the results within thirty calendar days of the decision being taken. PT TUV NORD Indonesia will report all received and resolved complaints, including the result, to the SuRe® Secretariat within seven calendar days upon receipt or upon closing the complaints-handling process.

6.19 Client Records

Records on certified clients shall also include:

- a) Nonconformities and their classifications;
- b) Stakeholder list, if applicable;
- c) Efforts to engage stakeholders;
- d) Stakeholder comments and the CB's response;

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e) Certification recommendation by the SuRe® Secretariat.

Additionally, PT TUV NORD Indonesia maintain all records of recertification audits and the decisions accompanying them and shall provide them to the SuRe® Secretariat upon request.

6.20 Stakeholder Engagement

Stakeholder engagement procedure

PT TUV NORD Indonesia maintain and implement a procedure to engage with stakeholders, process their comments and requests and involve them during all stages of the assessment process. This procedure include:

- a) Informing stakeholders of the opportunities for providing input (e.g. when the Materiality Assessment results are published) and encouraging their engagement (e.g. through notices on websites, newsletters, direct outreach, etc.);
- b) Clear definition of the role of stakeholders in the assessment process;
- c) Drafting and maintaining a list of all stakeholders per client and Project;
- d) Ways for stakeholders to submit comments during the audit but also in-between audit cycles, e.g. through the SuRe® template for submitting stakeholder feedback;

PT TUV NORD Indonesia received comments by stakeholders during the audit but also in-between audit cycles, including acknowledging stakeholder input and explaining how input will be dealt with, taking account of stakeholder input, including written and verbal submissions in the audit reports. PT TUV NORD Indonesia ensure that its procedure is known to stakeholders, e.g. through publishing relevant information on the website or, where stakeholders do not have access to the Internet, by handing out printed information in the Project area.

Stakeholder feedback on Materiality Assessment

As part of the certification process, PT TUV NORD Indonesia conduct a first public engagement of stakeholders after revising the Materiality Assessment from the Project during initial certification and recertification. The process of public engagement are following below:

- a) Publishing the final Materiality Assessment of the Project on the CB's and SuRe®'s website

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- b) Announcing the public consultation of the Materiality Assessment is open for 30 calendar days in which stakeholders can comment and raise any issues regarding the Project and the criteria to be analysed;
- c) Treat the comments received to adapt (if necessary) the Materiality Assessment in a period of no more than 10 calendar days after the public consultation has been closed;
- d) Adapt (if necessary) the audit plan and timeline.

Stakeholder identification and analysis

For each client, PT TUV NORD Indonesia conduct a detailed stakeholder analysis covering all groups with an interest in the client. Purpose of the analysis to help :

- a) Who the stakeholders are;
- b) How they are organized and represented (do they have representatives that could speak for them?);
- c) Are there stakeholder groups that need special attention to ensure their inclusion in the SuRe® programme? (e.g. women, marginalized and vulnerable groups);
- d) their positions and concerns with regards to infrastructure and the client's Project;
- e) Their relationship with and interest in the client;
- f) Their willingness and likelihood to engage in the certification process.

The output of the analysis shall be a stakeholder list for each client that reviews and updates for the initial certification audit and any subsequent recertification audits. All stakeholders on the list shall be contacted for input during the initial certification audit and any subsequent recertification audits. The list shall outline the analysis results and include stakeholder contact details as follows:

- a) Name of organization (if any);
- b) Type of organization (if any);
- c) Name of individual;
- d) Contact details of individual;
- e) Most appropriate means for contacting individual and most appropriate format and language(s) for consultation.

PT TUV NORD Indonesia may use a stakeholder inventory provided by the client as a starting point for the analysis and list, but shall engage in further research activities to complement the inventory. Activities shall include researching published studies, articles, and data about the client and its Project.

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Stakeholder engagement efforts

The efforts for engaging stakeholders shall reflect:

- a) The scale, scope, development phase and complexity of the client;
- b) The level and nature of any past, current, and anticipated conflicts with stakeholders;
- c) The likeliness of controversy around the audit.

Communicating with stakeholders

In reaching out to stakeholders, PT TUV NORD Indonesia ensure that its communication and attitude is culturally appropriate and takes account of stakeholders' technological capabilities. The ways for stakeholders to provide input and feedback are appropriate and responsive to their needs. In planning and carrying out audits, it shall be flexible to allow for adjustments of timelines and agendas to ensure that stakeholders can make best use of opportunities for input and feedback.

6.21 Information exchange between a certification body and its clients

Information on the certification activity and requirements

PT TUV NORD Indonesia provide the information to prospective clients upon receipt of their application documents or on their request and document all information and updates provided to certified clients.

Notice of changes by a Certification Body

PT TUV NORD Indonesia give its clients, both certified and applying for certification, three months' notice of any changes to its requirements for certification.

Notice of changes by a certified client

The certified client shall inform PT TUV NORD Indonesia also about:

- Changes to main policies;

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– The environmental and social impact of the certified client caused by incidents or events.

PT TUV NORD Indonesia consider these and other changes that may affect the capability of the client to continue to fulfil the requirements of the SuRe® Standard, including changes initiated by the client, and will decide on the appropriate action. Such action could include conducting desk reviews of relevant documentation, unscheduled off-site or on-site audits, etc.

Changes affecting certification

When the SuRe® Secretariat introduces new or revised requirements that affect the client, PT TUV NORD Indonesia will communicate these changes to all its clients within seven days of receiving notice of the changes. PT TUV NORD Indonesia will verify the implementation of the changes by its clients and shall take action as required by the SuRe® Secretariat.

PT TUV NORD Indonesia inform all affected Projects of changes to SuRe® certification requirements or its own procedures affecting certification, within no more than 30 calendar days also in accordance with SuRe® requirements, decide upon the appropriate action to other changes and circumstances affecting certification, including but not limited to changes initiated by the Project. Such actions can include the evaluation, revision, and extension or reduction in scope of certification. Projects that were certified against a previous version of any SuRe® normative document shall be audited by PT TUV NORD Indonesia against the new or revised effective version of the SuRe® normative documents in accordance with current and applicable transition procedure as outlined in SuRe® document PR05 -Transition Procedures and document PR02 - System Review and Document Control Procedures.

7. Applicable Documents	
FMLF-TNI-082	Questionnaire in preparation for certification
FMLF-TNI-007A	Audit plan stage 1
FMLF-TNI-007B	Audit plan stage 2
FMLF-TNI-008	A Team approval
FMLF-TNI-074	Quotation form
FMLF-TNI-074 Annex 1E	Contract for The Certification Management System

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FMLF-TNI-074 Annex 4	Certification and Accreditation Marks
FMLF-TNI-007C	List of Participant
FMLF-TNI-007D	Declaration of Independences
FMLF-TNI-002	nonconformity report
FMLF-TNI-005	Hand Written Note
FMLF-TNI-002A	Management of nonconformities
FSR-TNI-005	Audit Report stage 1
FSR-TNI-002	Audit Report stage2
FMLF-TNI-011	Doc audit release
FMLF-TNI-023	Customer Survey
FMLF-TNI-061	Veto and Reviewer Feedback
FMLF-TNI-064	Informasi Data Klien Terkini
FSR-TNI-004	Audit checklist
FMLF-TNI-085	Audit Program
	Certificate Draft