

<b>EQUALITAS SYSTEMCERT PVT. LTD.</b>		<b>Procedure Manual</b>	
Section Name	<b>Procedure for Granting or Refusing, Expanding or Reducing, Suspending or restoring, Withdrawing or Renewing of Certification</b>		
Section No.: PCP- 11	Issue No. 01	Issue Date 01.03.2019	
Page 1 of 9	Rev. No. 01	Rev. Date: 01.03.2020	

### **1.0 Purpose:**

To document, establish, implement and maintain the system for granting or refusing certification, expanding or reducing the scope of certification, suspending or restoring certification, withdrawing certification or renewing certification against management system standards referenced in section MSM-04 of the Management System Manual as per requirements of RMCPSC and ISO 17065:2012 and other applicable international standards for certification bodies providing management system certification.

### **2.0 Scope:**

This procedure is applicable to all audits carried out on the client during a certification cycle and the RMC Scheme Documents are **superseding all other stated requirements.**

### **3.0 Responsibility:**

Managing Director

### **4.0 Procedure:**

#### **4.1 General**

**4.1.1** ESCPL ensures that the person or committees that make the decisions for granting or refusing certification, expanding or reducing the scope of certification, suspending or restoring certification, withdrawing certification or renewing certification have not participated in the audit and will never be outsourced.

**4.1.2** ESCPL ensures that the personnel involved in decision-making as stated above have the competence to evaluate the audit processes and the related recommendations of the audit team. The competence requirements are identified in the document PC-WI-03.

**4.1.3** The composition of certification panel who takes decision for granting or refusing maintaining, extending or reducing, suspending or restoring certification and withdrawing of certification or renewing certification is identified in document PC-WI-03, certification panel

**4.1.4.** Before making a certification decision, the certification panel shall review the audit reports to confirm that:

- (a) The information provided by the audit team is sufficient with respect to the certification requirements and the scope of the certification
- (b) In case of Critical non-conformances (refer PCP-06), the planned corrections and the corrective actions are reviewed, accepted and verified on site by the team leader or team member within 15 Day.

<b>EQUALITAS SYSTEMCERT PVT. LTD.</b>		<b>Procedure Manual</b>	
Section Name	<b>Procedure for Granting or Refusing, Expanding or Reducing, Suspending or restoring, Withdrawing or Renewing of Certification</b>		
Section No.: PCP- 11	Issue No. 01	Issue Date 01.03.2019	
Page 2 of 9	Rev. No. 01	Rev. Date: 01.03.2020	

- (c) In case of a major non-conformance (refer PCP-06), the corrections and corrective actions submitted by the client reviewed, accepted and verified for effectiveness of the actions taken i.e. the non-conformances is closed within 1 Month.
- (d) In case of minor non-conformances (refer PCP-06), the planned corrections and the corrective actions are reviewed and accepted by the team leader or team member within in 3 Month.
- (e) The person(s) excluding members of committees assigned by ESCPL to make a certification decision are be employed, or are under legally enforceable arrangement with ESCPL
- (f) ESCPL ensures that the persons employed by, or under contract with, entities under organizational control fulfill the requirements of ISO/IEC 17065 as persons employed by, or under contract with ESCPL.
- (g) ESCPL records each certification decision including any additional information or clarification sought from the audit team or other sources
- (h) ESCPL will suspended processing of the application in case applicants found misusing the certification mark in any way prior to grant of certification.

## **4.2. Granting the Certification.**

**4.2.1** The final audit reports after initial assessment by Certification Manager (Procedure: PCP-10) are submitted to the certification panel for the technical review and approval

**4.2.2** In addition to the points stated in section 4.1.4 the review shall also confirm,

- There is evidence that the client's management system complies with the certification requirements.
- Both negative and positive observations are made with respect to the client's management system
- The client is capable of meeting the agreed requirements for the product as per the scope for certification.
- The non conformances raised are meaningful and correctly graded.
- The corrections and the corrective action identified by the client appropriate and in conformity with the risk involved.

<b>EQUALITAS SYSTEMCERT PVT. LTD.</b>		<b>Procedure Manual</b>	
Section Name	<b>Procedure for Granting or Refusing, Expanding or Reducing, Suspending or restoring, Withdrawing or Renewing of Certification</b>		
Section No.: PCP- 11	Issue No. 01	Issue Date 01.03.2019	
Page 3 of 9	Rev. No. 01	Rev. Date: 01.03.2020	

- Internal audit and management review are effective.
- The recommendation of the audit team is favorable and is justified and accepted.

**4.2.3** Depending on the risk factor attached to each technical area, the composition of the certification panel is addressed in PCP-RMC. The certification panel shall review the audit reports and take appropriate decision. The review comments and the decision are recorded in PC-29.

**4.2.4** After the decision to grant certification, arrangement is made for the issue of certificate. Initially a draft certificate is prepared and it's correctness of entries verified by the Certification Manager.

**4.2.5** RMPCPS Certificate is finally signed by Director after ensuring that the certificate has been uploaded on ESCPL website.

**4.2.6** If the recommendation made by the assessment team is not accepted by the panel, the client and the audit team are accordingly informed with an explanation. ESCPL shall further interact with the client to initiate appropriate action to resolve the issue.

**4.2.7. Certification Document:** The final certificate shall be sent to the client along with conditions for the use of logo and the certification mark, PC-PD-02 and the logos in soft copy.

**4.2.8** The Certification document shall include:

The organization may achieve one of the following certificates:

<b>Certificate</b>	<b>Object</b>	<b>Extension</b>	<b>Certificate Number</b>
<b>Single plant</b>	All the processes carried out by the plant	Single plant	One certificate number
<b>Cluster</b>	Group of plants sharing common facilities or Processes	Group of plants	One certificate number for cluster of plants (a list of plants certified in the cluster is given)
<b>Company</b>	Entire company	All plants	One number per company (the certificate shall have an annexure with the list of certified plants)

**Information**

<b>EQUALITAS SYSTEMCERT PVT. LTD.</b>		<b>Procedure Manual</b>	
Section Name	<b>Procedure for Granting or Refusing, Expanding or Reducing, Suspending or restoring, Withdrawing or Renewing of Certification</b>		
Section No.: PCP- 11	Issue No. 01	Issue Date 01.03.2019	
Page 4 of 9	Rev. No. 01	Rev. Date: 01.03.2020	

The certificate shall report the following information:

- certificate number
- certification scheme name (or logo)
- reference to certification criteria
- company name (should be a legal entity)
- certified plant address
- scheme logo
- logo of the ESCPL
- accreditation number of the ESCPL
- date of certification
- expiry date
- signature of the ESCPL's legal representative
- Name and Address of Certification body
- Scope of certification

In case of organization certification, ESCPL shall annex to the certificate the list of the certified plants.

**4.2.9** Validity period of certification document: The certificate issued against any specific management system standard is valid for three years from date of decision on certification

**4.2.10** ESCPL will notify client, with reason in case it decide not to grant certificate.

### **4.3 Maintaining the Certification**

The Certification is maintained for a period of 3 years under the following conditions.

- (a) The Surveillance Audits are conducted as planned and the client has demonstrated that it continues to satisfy the requirements of the management system standard as confirmed by ESCPL.
- (b) All the non-conformance raised during previous surveillance are closed within the time frame agreed and correction and corrective actions for the non conformities raised during the current audit are identified and accepted by ESCPL as described in procedure PCP-06
- (c) The Internal Audit and the management reviews are conducted as scheduled and there are no issues pending.

<b>EQUALITAS SYSTEMCERT PVT. LTD.</b>		<b>Procedure Manual</b>	
Section Name	<b>Procedure for Granting or Refusing, Expanding or Reducing, Suspending or restoring, Withdrawing or Renewing of Certification</b>		
Section No.: PCP- 11	Issue No. 01	Issue Date 01.03.2019	
Page 5 of 9	Rev. No. 01	Rev. Date: 01.03.2020	

- (d) The client shall maintain suitable records of customer complaints and keep the records of investigation and remedial actions taken with respect to such complaints for verification by ESCPL auditors.
- (e) All outstanding dues to ESCPL are paid
- (f) The certification panel approves the audit
- (g) The continuation of certification is held up on the ground that the team leaders report for any major nonconformity other situation which may lead to suspension or withdrawal of certification.
- (h) ESCPL has a system that requires the audit team leader to report to ESCPL initiates a review by competent personnel, different from those who carried out the audit, to determine whether certification can be maintained;
- (i) Competent personnel of ESCPL monitor its surveillance activities, including monitoring the reporting by its auditors, to confirm that the certification activity is operating effectively

#### **4.4. Expanding the Certification**

**4.4.1.** Any request by the client for any extension of scope is dealt as per PCP-RMC.

**4.4.2.** The decision for granting extension is taken as described in sections 4.1 and 4.2 of this procedure.

**4.4.3.** ESCPL shall issue a new certificate with amended scope without any change in the certification period as identified in the previous certification document. The new certificate shall contain revision number and date.

#### **4.5. Reducing the Certification**

**4.5.1.** ESCPL shall decide to reduce the client's scope of certification by excluding the parts not meeting the requirements, when the client has persistently and seriously failed to meet the certification requirements for those parts of the scope of certification. Such exclusions shall be consistent with the certification standard.

**4.5.2.** If the reduction in scope is requested by the client it shall be dealt as per procedure – PCP-07

<b>EQUALITAS SYSTEMCERT PVT. LTD.</b>		<b>Procedure Manual</b>	
Section Name	<b>Procedure for Granting or Refusing, Expanding or Reducing, Suspending or restoring, Withdrawing or Renewing of Certification</b>		
Section No.: PCP- 11	Issue No. 01	Issue Date 01.03.2019	
Page 6 of 9	Rev. No. 01	Rev. Date: 01.03.2020	

**4.5.3.** The decision for reducing the scope is taken as described in sections 4.1 and 4.2 of the procedure.

**4.5.4.** ESCPL shall issue a new certificate with amended scope without any change in the certification period as identified in the previous certification document. The new certificate shall contain revision number and date.

#### **4.6 Renewing the certification or re-certification**

**4.6.1** ESCPL shall renew the certification as per procedure for re-certification PCP-09

**4.6.2.** ESCPL shall make decisions on renewing certification based on the following,

- (a) The results of the re-certification audit
- (b) The results of the review of the system over the period of certification
- (c) Complaints received from customers of certified clients

**4.6.3** The decision for re-certification is taken as described in sections 4.1 and 4.2 of this procedure.

**4.6.4** ESCPL shall issue a new certificate as described in sections 4.2.8 and 4.2.9 of this procedure

#### **4.7 Suspending and Withdrawing Certification**

For Suspension in case of RMCPS

**4.7.1.5.1 ESCPL** shall issue instructions to the certified RMC plant for suspension of certification when

- a) a critical NC is raised during any surveillance audit and not resolved within 15 days
- b) the major NCs issued are not closed in timelines prescribed
- c) repeated major NCs are raised in consecutive surveillance assessments
- d) there is failure to organize a surveillance audit within the specified time period
- e) there is non payment of outstanding dues
- f) any major changes have taken place in the legal status, ownership, name etc without prior information to ESCPL
- g) any willful misuse of the logo of the Scheme is detected
- h) any willful false declaration in the application form or otherwise is detected

<b>EQUALITAS SYSTEMCERT PVT. LTD.</b>		<b>Procedure Manual</b>	
Section Name	<b>Procedure for Granting or Refusing, Expanding or Reducing, Suspending or restoring, Withdrawing or Renewing of Certification</b>		
Section No.: PCP- 11	Issue No. 01	Issue Date 01.03.2019	
Page 7 of 9	Rev. No. 01	Rev. Date: 01.03.2020	

- i) excessive or serious complaints against the RMC plant's production or management system are received and are found to be valid
- j) the RMC plant voluntarily requests a suspension. Such request must be submitted in writing to ESCPL along with the reasons. ESCPL may decide to accept the request but may not allow the client to revoke suspension on its own.
- k) Incorrect references to the certification scheme, or misleading use of licenses, certificates, marks, or any other mechanism for indicating a product is certified, found in documentation or other publicity, shall be dealt with by suitable action. Such as suspension or, withdrawal of certificate.

**4.7.1.5.2** ESCPL shall issue due notice of at least one week for suspension of certification to the RMC plant. In case of critical NCs, the notice may not be required.

**4.7.1.5.3** On receipt of instructions for suspension of certification, the certified plant shall suspend claiming RMC certification with immediate effect.

**4.7.1.5.4** ESCPL shall revoke suspension only when Corrective actions have been taken and verified by the certification body.

**4.7.1.5.5** Suspension shall not exceed a period of six months. The RMC plant's inability to resolve issues relating to suspension within this period shall lead to withdrawal of certification after due notice of 15 days is given.

#### **4.7.2 Withdrawing certification**

For Withdrawal in case of RMCPs

#### **Withdrawal**

**4.7.2.4** ESCPL shall withdraw the certificate when

- a) Certified unit contravenes the terms and conditions of certification and provisions of the RMC Plant certification scheme
- b) RMC Plant is not conforming to the requirements of the Certification Criteria and the corrective actions taken are not ensuring compliance,
- c) the proposed plan for corrective actions will take a considerable time beyond 6 months for implementation;
- d) Incorrect references to the certification scheme, or misleading use of licenses, certificates, marks, or any other mechanism for indicating a product is certified, found in documentation or other publicity, shall be dealt with by suitable action. Such as suspension or, withdrawal of certificate.

<b>EQUALITAS SYSTEMCERT PVT. LTD.</b>		<b>Procedure Manual</b>	
Section Name	<b>Procedure for Granting or Refusing, Expanding or Reducing, Suspending or restoring, Withdrawing or Renewing of Certification</b>		
Section No.: PCP- 11	Issue No. 01	Issue Date 01.03.2019	
Page 8 of 9	Rev. No. 01	Rev. Date: 01.03.2020	

**4.7.2.5 ESCPL** shall withdraw the certificate at the request of the certified plant, if the operation(s) in the certified plant premises can no longer be carried due to reasons of natural calamities such as flood, fire, earthquake etc, lock out declared by the management, or closure of business operations etc.

If certification is terminated (by request of the client), suspended or withdrawn, scope of certification is reduced the ESCPL takes actions make all necessary modifications to formal certification documents, public information, authorizations for use of marks, etc., in order to ensure it provides no indication that the product continues to be certified. Reduced scope of certification or termination, as the case maybe is clearly communicated to the client and clearly specified in certification documentation and public information.

**4.7.3** Upon request from any party ESCPL shall correctly state the status of certification of a client's management system as being suspended, withdrawn or reduced.

#### **4.7.4.3 Restoring**

ESCPL restores 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 by ESCPL shall result in withdrawal or reduction of the scope of certification. the suspension would not exceed six months.

If certification is reinstated after suspension or scope is reduced or extended the ESCPL make all necessary modifications to formal certification documents, public information, authorizations for use of marks, Logos, etc., in order to ensure all appropriate indications exist that the product continues to be certified and exiting scope.

## **5.0 Records**

- (a) PC-19- Register of certified clients
- (b) PC-RMC Audit Report

## **6.0 Reference**

- (a) PCP-06-Procedure for initial audit
- (b) PCP- 07- Procedure for special audit
- (c) PCP-08- Procedure for surveillance audit
- (d) PCP-09-Procedure for re-certification audit
- (e) PCP-10- Procedure for assessment of audit report
- (f) PC-PD- 02- Conditions for use of logo & certification mark
- (g) PC-WI-03 Certification Panel
- (h) PC-WI-05- Documents sent to client



<b>EQUALITAS SYSTEMCERT PVT. LTD.</b>		<b>Procedure Manual</b>	
Section Name	<b>Procedure for Granting or Refusing, Expanding or Reducing, Suspending or restoring, Withdrawing or Renewing of Certification</b>		
Section No.: PCP- 11	Issue No. 01	Issue Date 01.03.2019	
Page 9 of 9	Rev. No. 01	Rev. Date: 01.03.2020	

- (i) PD-02, Rules and Regulations for Certification
- (j) PC-04, Certification Agreement.