

EQUALITAS SYSTEMCERT PVT. LTD.		Procedure Manual	
Section Name	Procedure for Granting or Refusing, Expanding or Reducing, Suspending or restoring, Withdrawing or Renewing of Certification		
Section No.: QP – 11	Issue No. 01	Issue Date 15-07-2016	
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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 ESCPL_MSM-05 of the Management System Manual as per requirements of ISO/ IEC 17021-1:2015, ISO/IEC 17021-2:2016, ISO/ IEC 17021-3:2017, ISO/ IEC 17021-10:2018 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.

3.0 Responsibility:

Managing Director

4.0 Procedure:

4.1 General

4.1.1 ESCPL ensures that the persons 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 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 WI-03.

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 major non-conformances (refer QP-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.
- (c) In case of minor non-conformances (refer QP-06), the planned corrections and corrective actions are reviewed and accepted by the team leader or team member.

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- (d) 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
- (e) ESCPL ensures that the persons employed by or under contract with entities under organizational control fulfill the requirements of ISO/IEC 17021-1.
- (f) ESCPL records each certification decision including any additional information or clarification sought from the audit team or other sources.
- (g) ESCPL ensures that the OH&SMS standard legal compliance as expected by stakeholders and interested parties are fully met and audit reports contain a statement on the conformity and the effectiveness of the organization's OH&SMS together with a summary of the evidence with regards to the capability of the OH&SMS to meet its compliance obligations.

4.2. Granting the Certification.

4.2.1 The final audit reports after initial assessment by Certification Manager (QP-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 and services as per the scope for certification.
- The non-conformances raised are meaningful and correctly graded.
- The corrections and corrective actions identified by the client appropriate and in conformity with the risk involved.
- Internal audit and management review are effective.
- The recommendation of the audit team is favorable and is justified and accepted.

For OH&SMS: Exceptionally ESCPL may still grant certification but should seek objective evidence to confirm that the Client organization's OH&SMS:

- Is capable of achieving the required compliance through full implementation of the above implementation plan within the due date,
- Has addressed all hazards and OH&S risks to workers and other exposed personnel and that there are no activities, processes or situations that can or will lead to a serious injury and/or ill-health, and
- During the transitional period has put in place the necessary actions to ensure that the OH&S risk is reduced and controlled.

4.2.3 Depending on the risk factor attached to each technical area, the composition of the certification panel is addressed in WI-03. The certification panel shall review the audit reports and take appropriate decision. The review comments and the decision are recorded in EF-07.

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

4.2.5 The final certificate is finally signed by Managing Director/ Director and is issued to the client along with other documents identified in WI-05.

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. The same recorded in EF-07 as applicable.

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 (PD-03) and the logos in soft copy.

4.2.8 The Certification document shall include:

- (a) Name and geographical location of the client
- (b) Dates of granting, extending and renewing certification
- (c) Expiry date or the re-certification due date
- (d) Certificate Number format for NABCB is Year + S No.
- (e) The management system standard, including the issue number and / or the revision number used for the audit of the certified client
- (f) The scope of certification including any exclusion (exclusion applicable to only QMS)
- (g) The name, address and the certification mark of ESCPL and the accreditation symbol as per guidelines of the accreditation body (AB)
- (h) A means to identify the revised documents from any prior obsolete documents, in the event of issue of revised certificate
- (i) Any other information required by the standard used for certification
- (j) Revision number & date along with original certification number to distinguish the revised documents from any prior obsolete documents.

4.2.8 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.

4.3 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.

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- (b) All the non-conformances rose during previous surveillance audits 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 QP-06.
- (c) The Internal Audit and Management Reviews are conducted as scheduled and there are no issues pending.
- (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 and 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
- (j) After publishing of new revision of ISO 9001:2015 on 15-Sep-2015, ESCPL management has decided that the certificate expiry date of all ISO 9001:2008 certified clients would be 14-Sep-2018 irrespective of certification decision and issue dates, as ISO 9001:2008 is invalid after 14-Sep-2018.

4.4. Expanding the Certification

4.4.1. Any request by the client for any extension of scope is dealt as per QP-07.

4.4.2. The decision for granting extension is taken as described in Section 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 QP-07.

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4.5.3. The decision for reducing the scope is taken as described in Section 4.1 and 4.2 of this 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 QP-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

4.7.1 Suspending certification

4.7.1.1 ESCPL shall suspend certification in cases wherein:

- The client's certified management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the management system.
- The client does not allow surveillance and re-certification audits to be conducted at the agreed frequencies.
- Wishful misuse of logo & reference to certification.
- Non-compliance to submission of corrective action as stated in QP-06.
- Voluntary suspension requested by the client
- The certified client doesn't pay the certification / surveillance or recertification fees as agreed by client prior to services extended (Certification agreement, EF-04).
- Information on incidents such as a serious accident (e.g.: fatal incidents, serious injuries, occupational disease), or a serious breach of regulation necessitating the involvement of the competent regulatory authority, provided by the certified client (ref. Cl. 3.11 of PD-02) or directly gathered by the audit team during the special audit, (ref. Cl. 2(f) and 4.1.7 of QP-07)

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shall provide grounds for the ESCPL to decide on the actions to be taken, including a suspension or withdrawal of the certification.

- In cases where it can be demonstrated that the client management system seriously failed to meet the OH&S certification requirements.
- Certified clients fail to inform (without delay) the ESCPL about the occurrence of a serious incident or breach of regulation necessitating the involvement of the competent regulatory authority. (Cl. 2.11 of EF-04 (Client Agreement) & ref. Cl. 3.11 of PD-02)
- Determine if there is a Deliberate or consistent non-compliance which shall be considered a serious failure to support the policy commitment to achieving legal compliance and shall preclude certification or cause an existing OH&SMS standard certificate to be suspended, or withdrawn.
- If the facilities and work areas are subject to closure, the OH&S risks change, as there may no longer be the same risks to employees, but there may be new risks applicable to members of the public (e.g. in case of lack of suitable maintenance and surveillance activities). The ESCPL shall verify that the management system continues to meet the OH&SMS standard and to be effectively implemented in respect of the closed facilities and work areas, and, if not, suspend the certificate.
- The Client does not allow to conduct Special Audit/ Surprise Audit (by ESCPL or NABCB) will be suspended within 7 days.

4.7.1.2 For re-certification and surveillance audits if the client does not submit the corrective action within 20 workings days from the date of audit, it shall lead to suspension of certification.

4.7.1.3 For certification audit the failure on the part of the client to submit the corrective action within the stipulated time may lead to show cause notice by ESCPL. If the client does not respond favorably within 03 months the audit shall be treated as cancelled.

4.7.1.4 The suspension shall be for a period of maximum 06 months and the suspended status of the client shall be publicly made available in the register of certified clients being maintained by ESCPL at its registered office. During this period the client shall discontinue the use of logo or any reference of certification in advertising matter, as directed by ESCPL, at the time of giving notice of suspension and the same also addressed in PD-02 (Rules and Regulations for Certification) and EF-04 (Client Agreement).

4.7.1.5 The decision for suspending certification is taken by the certification panel of ESCPL.

4.7.2 Withdrawing certification

4.7.2.1 ESCPL shall withdraw the certificate under the following circumstances:

- Failure of the client to resolve the issues of suspension within six months shall result in withdrawal of certification
- Other reasons like major legal complaint; company involved in malpractices, ESCPL loses accreditation etc.

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- Client voluntarily requested for a withdrawal.
- The certified client doesn't pay the certification / surveillance or recertification fees as agreed by client prior to services extended (even after suspension).

4.7.2.2 Upon withdrawal of certification the client ceases to enjoy the certification status and shall accordingly return the certificate as directed by ESCPL at the time of withdrawal notice.

4.7.2.3 The decision for withdrawing certification is taken by the certification panel of ESCPL.

4.7.3 Upon request received 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.

NOTE In most cases, the suspension would not exceed six months.

5.0 Records

- (a) EF-07 – Certification Panel Decision
- (b) FT-19 – Register of certified clients

6.0 Reference

- (a) QP-06 – Procedure for initial audit
- (b) QP-07 – Procedure for special audit
- (c) QP-08 – Procedure for surveillance audit
- (d) QP-09 – Procedure for re-certification audit
- (e) QP-10 – Procedure for assessment of audit report
- (f) PD-02 – Rules and Regulations for Certification
- (g) PD-03 – Conditions for use of logo & certification mark
- (h) WI-03 – Certification panel
- (i) WI-05 – Documents sent to client
- (j) EF-04 – Client Agreement