

**1.0 Purpose:**

*To document, establish, implement and maintain the system for granting, refusing, maintaining, extending, reducing, renewing, suspending or restoring suspension and withdrawal of certification against management system standards referenced in the Management System Manual as per requirements of ISO/IEC 17021-1:201 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:**

*Certification Manager*

**4.0 Procedure:****4.1 General**

**4.1.1** *ISPL ensures that the person or the group of persons involved in the decision making for granting, refusing, maintaining, extending, reducing, renewing, suspending or restoring suspension and withdrawal of certification against management system standards have not participated in the audit .*

**4.1.2** *ISPL 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 DS-23.*

**4.1.3** *The composition of certification panel who takes decision for granting, refusing, maintaining, extending, reducing, renewing, suspending or restoring suspension and withdrawal of certification against management system standards is identified List of Technical Reviewer (sector wise.).*

**4.1.4.** *Before taking a decision, the certification panel/ Technical Reviewer / Decision maker 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 a major non-conformance,, the corrections and corrective actions submitted by the client are reviewed accepted and verified for effectiveness of the actions taken i.e. the non-conformances are closed.*

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

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

*4.2.1 The final audit reports after initial assessment by Certification Manager are submitted to the certification panel/ Technical Reviewer / Decision maker 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.*
- Internal audit and management review are effective.*
- The recommendation of the audit team is favorable and is justified and accepted.*

*certification panel/ Technical Reviewer / Decision maker shall review the audit reports and take appropriate decision. The review comments and the decision are recorded in F-39. / F 39 A.*

*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 Scheme Manager.*

*4.2.5 The certificate is signed by Managing Director and is issued to the client along with Covering letter and a CD containing logo and rules for use of logo.*

*4.2.6 If the recommendation made by the assessment team is not accepted by the certification panel/ Technical Reviewer / Decision maker, the client and the audit team are accordingly informed with an explanation. ISPL 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, 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) *For Certificate Number we are giving for Accreditation First Alphabet+ Country First Alphabet+ Date(dd:mm:yy) + 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 ISPL and the accreditation symbol as per guidelines of the accreditation body*
- (h) *A means to identify the revised documents from any prior obsolete documents, in the vent 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*

**4.2.9** *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*

### **4.3 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 ISPL.*
- (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 ISPL as described in procedure.*
- (c) *The Internal Audit and the 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 the ISPL auditors.*
- (e) *All outstanding dues to ISPL are paid*
- (f) *The certification panel approves the audit*

**4.4. Extending the Certification**

*4.4.1. Any request by the client for any extension of scope is dealt with.*

*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. ISPL 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. ISPL 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 with.*

*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. ISPL 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 ISPL shall renew the certification as per procedure for re-certification MP-20*

*4.6.2. ISPL 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 ISPL 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 ISPL 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 procedure.*
- *Voluntary suspension requested by the client*
- *Non-payment of dues to ISPL*

***4.7.1.2 For re-certification and surveillance audits if the client does not submit the corrective action within 20 working 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 ISPL. 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 publically made available in the register of certified clients being maintained by ISPL 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 ISPL, at the time of giving notice of suspension and the same also addressed in and F-043 (Certification Agreement) .***

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

##### **4.7.2 Withdrawing certification**

###### ***4.7.2.1 ISPL 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, ISPL loses accreditation etc.*

➤ *Client voluntarily requested for a withdrawal.*

**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 ISPL at the time of withdrawal notice.*

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

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

## **5.0 Records**

- (a) F-039 – Technical Review / Decision*
- (b) F-15 / 09 Audit summary report , as applicable*
- (c) F-043- Certification Agreement*

## **6.0 Reference**

- (a) MP-09-Procedure for Stage I Audit*
- (b) MP -05 - Procedure for Stage II Audit*
- (c) MP-24- Procedure for surveillance audit*
- (d) MP-20-Procedure for re-certification audit*