

GRANTING, REFUSING, SUSPENDING, WITHDRAWING CERTIFICATION OR EXPANDING/ REDUCING THE SCOPE OF CERTIFICATION PROCEDURE

PROCEDURE:

Following the conduct of the assessments, the process of certification would include the following steps.

After verification of the assessment reports, corrective action plan and the relevant objective evidences, TC confirms the accuracy of documents and forward to QM.

Before taking a 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 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.

QM conducts an independent review of the audit documentation and checks compliance with the procedural requirements for the grant of certification. QM completes the **certification issue check list EQCS/P/01-09/F01** and forwards the file to the MD for his review and decision on the granting of certification, the signing authority on the certificate lies with the MD.

The MD reviews the QM forwarded verification report of the audit documentation and QM's **certification issue check list EQCS/P/01-09/F01** and based upon a positive review; the MD approves the grant of certification, issuing instructions for the issue of a certificate of registration, as appropriate. The file is returned to QM to arrange for the certificate of registration to be prepared by TC and signed by the MD for issuance to the client, based upon the following documentation details.

- (a) Name and address of company (locations audited)
- (b) Applicable ISO Standards, IAF & NACE codes
- (c) The precise scope of the company activity for which it is being registered.
- (d) The schedule of the Surveillance visits and
- (e) Any other relevant information (e.g. public information, comments on the audit report from the client).

Note:

A separate certificate has normally been issued for each site. Where a company has a number of sites with a similar product range, then a single certificate may be issued listing the sites covered under the certification.

ACTION WHEN CERTIFICATE IS SIGNED

When the certificate has been signed, the QM records the details on the client file and record in the issue register and also data bank is updated.

When the above activities have been completed, TC shall ensures the certificate is forwarded to the client along with the following documents:

- (a) A copy of the certificate.
- (b) Logo's along with use of **logo rules and regulation annexure 20**
- (c) Standard CD

Further TC shall ensures that the surveillance plan updated for the company and accordingly notices & intimations including audit plans are forwarded to the company in advance.

TC will also ensure that the client file is completed in all respect (i.e. copy of the certificate, correspondence, audit reports, checklists, surveillance plan, etc.).

PROCEDURES SUBSEQUENT TO INITIAL ISSUE OF CERTIFICATE**Change to certificates proposed by certified company (extension or reduction in scope or any others)**

A certified company may request changes to their certificate(s) for a number of reasons such as new premises, change of address, addition or deletion in the scope and change of company name, etc. These changes may be advised to EQCS by written or telephonic communication.

The procedure for changes to the certificate is detailed as follows:

Notifications of changes of certificates are conveyed to the concerned, by the QM and are recorded in the client file & in the record register (Enquiry register).

The QM in conjunction with the MD shall be responsible for taking the decision whether additional visit is required for making any changes in the certificate and draft the certificate following the visit (if required) with necessary changes depending upon the documents to be attached together with any distribution instructions.

The MD issues a new/revised certificate (which shall indicate the date of original issue and latest revision date and a prefix to indicate the revision status of the certificate). The issue of the certificate is recorded and maintained in the **certification issue check list EQCS/P/01-09/F01**.

Whenever any changes are requested by the company, an administrative fee is applicable and which is to be paid by the client. TC raises an invoice which is duly approved by the QM who forwards to the company.

On receipt of applicable fees the new/revised certificate is prepared by QM which is duly approved by MD and issued. A copy of this is forwarded to the client with a request for returning the previous certificate issued for records. A copy of the certificate is retained in the clients file and also the records are updated including **certification issue check list EQCS/P/01-09/F01**.

Changes requested by the client are being processed in order to achieve the customers need & satisfaction for the continual improvement in their management system, the following procedures is adopted for justification and according approval to their request.

1. In case of changes for registered scope of company which is normally subjected to an additional assessment/ surveillance action to confirm acceptability.
2. EQCS will verify the compliance along with surveillance audit with an additional assessment (follow-up) depending upon the requirements.
3. The audit report submitted by the audit team with their recommendation is review by QM and duly approved by MD.
4. After approval by MD a revised certificate is prepared and issued to the client.

INFORMATION EXCHANGE BETWEEN EQCS AND ITS CLIENTS

EQCS provides and updates clients on the following:

- 1 Information on the various certification activities.
- 2 Notice of changes by EQCS

EQCS has legally enforceable arrangement (**certification agreement - annexure 2**) to ensure that the certified client informs EQCS on matters related to management system certification changes.

SUSPENDING

EQCS will follow the following criteria for suspending a certification.

- a) The clients certified management system has persistently or seriously failed to meet certification requirement including requirement for the effectiveness of the management system.
- b) Certified client does not allow surveillance or re-certification audits to be conducted at the required frequencies despite several reminders and follow ups by TC or.
- c) The certified client has voluntarily requested a suspension due to financial or other justified reasons.
- d) Serious complaints from the interested parties
- e) No/ ineffective corrective action in response to the non-conformities observed during surveillance/ recertification
- f) Misuse of logos of certification or accreditation body.

- g) Non-payment of the audit fees
- h) Certified client does not comply with the certification agreement
- i) Any other condition deemed appropriate by EQCS

The MD shall communicate the exact reason of suspension, the actions to be taken for reinstatement and the time limit within those actions are to be implemented and verified through an audit. The TC shall inform the organization about the EQCS decision by registered letter within one week after the decision. EQCS may inform the customer's clients/impartiality committee and any other measures as suggested appropriate by the impartiality committee about the suspension.

During period of suspension the organization shall not promote its certification. This period of invalidity should be normally 3 months and not exceed 3 months. EQCS can reinstate a suspended certificate based on an audit (post- or short notice audit) performed by an EQCS auditor. The auditor shall submit a report providing evidence concerning the requested action and shall by the same submit his recommendation.

Under suspension, the client's management system certification is temporarily invalid. EQCS have enforceable arrangement with its clients to ensure that in case of suspension the clients refrain from further promotion of its certification. The suspended status of the certification is made publicly accessible and takes any other measures it deems appropriate by way of EQCS website.

EQCS shall restore 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 the EQCS shall result in withdrawal or reduction of the scope of certification.

WITHDRAWAL OR REDUCING THE SCOPE OF CERTIFICATION:

Failure to resolve the issues that have resulted in the suspension in a time established (not exceeding 3 months) by the MD, will result in withdrawal or reduction of the scope of certification as per the recommendation of the QM who refers to the lead auditor who will get in touch with the clients management and get the feedback on the necessary actions as were identified during the audit or as requested by the client or informed by TC.

In the case of "certification withdrawal", the organization shall not be allowed to make use of the certificate anymore, neither of the certification logo. The TC shall inform the organization about the EQCS decision by registered letter within one week after the decision.

If a company requests withdrawal of its certification, the details are recorded on the **application & contract review form (EQCS/P01-01/F02)** by the TC, for authorization by the QM. The company's certificate must be returned to EQCS before cancellation can be confirmed by the QM. Further, the name of the organizations shall be deleted from the EQCS **list of certified clients – EQCS/P/01-04/F03**.

MD will reduce the client's scope of certification to exclude the parts not meeting the requirements, when the client has persistently or seriously failed to meet the certification requirements for those parts of the scope of certification as reported by team leader and confirmed by QM. Any such reduction shall be in line

with the requirements of the standard used for certification. The TC shall inform the organization about the EQCS decision by registered letter within one week after the decision and a revised certificate will be issued, the register of clients and website will be updated accordingly. Plan of the surveillance will also be amended by TC with respect to the reduction of the audit man-days/need of technical expert as per the situation of the unit/manpower of the client's organisation getting affected due to the reduction.

EQCS have enforceable arrangement (certification agreement - annexure 2) with the certified client ensuring upon notice of withdrawal of certification that the client discontinues its use of all advertising matter that contains any reference to a certified status.