



**GLOBAL MANAGEMENT CERTIFICATION SERVICES
PRIVATE LIMITED**

Document No.

P-04

PROCEDURE

Version.

5.00

**Granting, Maintaining, Extending, Reducing,
Suspending & Withdrawing Certification**

Date of Issue

30.10.2023

| | Name | Designation | Signature | Date |
|---------------------------------------|-------------------------------|--------------------------|------------------|-------------------|
| Reviewed & Approved By | K.Siva Naga Prasad | Managing Director | | 30.10.2023 |

Revision History

| Version | Date | Description | Remarks |
|---------|------------|--|-------------------|
| 2.00 | 04.04.2016 | Procedure revised based on the comments received from NABCB Assessors during Document Review. Document revised as per ISO 17021-1:2015 | Also name changed |
| 3.00 | 30.11.2016 | Revised based on the comments raised by the audit team during IAS assessment. | |
| 4.00 | 02.01.2019 | To include the requirements addressed in MD 22 @ 4.2 | |
| 5.00 | 30.10.2023 | To include the document review comments by AB Assessor. | |

1.0 Purpose

To lay down the procedure and conditions for granting, maintaining, extending, reducing, suspending and withdrawing certifications.

2.0 Scope

Process related to granting, maintaining, extending, reducing, suspending and withdrawing certification.

3.0 Responsibility and Authority

GM Certification

4.0 Policy & Procedure

GMCSPL requires the customers to have documented management system that meets applicable standard.

After each periodic on-going surveillance, GMCSPL reviews the on-going surveillance report package for recommendation of maintaining certification. GMCSPL has the responsibility and authority for decision of maintaining, extending, and reducing, suspending and withdrawing certification.

4.1 Granting Certification

Granting certification means the state that the compliance to the Certification requirements has been confirmed by the GMCSPL as per its Certification Procedures.

The certification is granted and recorded in List of customers on the website after the following conditions have been met by the applicant organization:

1. Customer has a documented management system that meets applicable standard or other normative documents.
2. One Internal Audit and Management Review cycle has been completed and non-conformities, if any, have been corrected.
3. The applicant meets the criteria of certification and all Major non-conformities, if any found during assessment have been closed. For minor NCs corrective action taken or planned has been received.
4. There are no adverse reports/ information/ complaints with the GMCSPL about the applicant regarding the quality and effectiveness of implementation of system as per GMCSPL certification criteria.
5. The applicant has paid all the fees.

4.2 Maintaining Certification

Maintaining Certification means the state that demonstrate that the client continues to satisfy the requirements of the management system standard based on the positive conclusion/ recommendation by the audit team leader during on-going surveillance.

The certification is maintained after the following conditions have been met by the customer.

- a. The certified organisation continues to meet the criteria of certification and any Major non-conformity found during surveillance assessment has been closed with in the time period.
- b. There are no adverse reports/ information/ complaints with the GMCSPL about the applicant regarding the quality and effectiveness of implementation of certification system as per GMCSPL certification criteria.
- c. The certified customer complies with the 'Certification Agreement' and 'Obligations of Certified Customer (D-03)'.
- d. The client has paid all the outstanding dues.

GM Certification monitors its surveillance activities, including monitoring the reporting by its auditors, to confirm that the certification activity is operating effectively.

Special audits/ Short notice audits may be performed in accordance with Certification System Procedures (P-09).

A special audit may be performed by GMCSPL in the event GMCSPL aware that there are serious accident or a serious breach of regulation related to OH&S to investigate if the management system has not been compromised and did function effectively and based on outcome of investigation GMCSPL will take decision of continuation or suspension or withdraw of certification.

4.2.1 Suspension of Certification

Suspending Certification means the state that the customer's certification is suspended as a result of following:-

- a. Customer does not accept surveillance or recertification audits to be conducted at the required frequencies (the date of first surveillance audit can not be more than 12 months from the last day of stage 2 audit. Surveillance audits are conducted at least once a year).
- b. GMCSPL determines that Customer does not have resources to meet the requirements of the certified system.
- c. Excessive or serious complaints by interested parties and social conflicts.
- d. Results of unannounced or special audits leads to major/critical Non conformity.
- e. The required actions against the changes of Certification system or requirements have not been taken by Customer during the specified period.
- f. No/ ineffective corrective action in response to the non-conformities observed during surveillance/ reassessment.
- g. Any willful misuse of logo of GMCSPL or Accreditation board.
- h. Not correcting misuse of certification mark, within one (1) month.
- i. Non payment of outstanding dues with in one month after completion of audit.
- j. Customer used and applied the certificate (certification) to out of its scope.
- k. It is proved that the information and/or materials provided by Customer during assessment are misleading.
- l. Customer does not comply with article 8 "Notification of Customer's Change and Assessment for Confirming Change" of the contract.
- m. GMCSPL determines that Customer does not comply with the agreement(s) and/or contract(s) concluded with GMCSPL.
- n. GMCSPL determines that Customer does not comply with "Obligations of Certified Customer".
- o. Any other condition deemed appropriate by GMCSPL management.

- p. The certified client has voluntarily requested a suspension.*
- q. The client's certified management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the management system*

4.2.2. Process of suspension

GMCSPL informs the customer in writing of likely suspension of certification identifying the reason thereof as per Notice for Suspension (F-53) through postal mail/ courier/ email/ fax. If the customer doesn't take adequate action within fifteen days, the certificate is suspended. **The certification status is temporarily invalid during suspension period.** Suspension remains in force until three months or less as deemed necessary by GMCSPL for removal of reasons for suspension. GMCSPL make the suspended status of the certification publically accessible through its website www.mcsglobal.in.

If the reasons of suspension are removed, the certification is restored. The expense incurred shall be recovered from client before revoking suspension that would be at least equivalent to half of the surveillance fee.

In the event GMCSPL determines that the actions taken by the customer are not satisfactory, the certification shall remain suspended. Failure to resolve the issue within time established by GMCSPL shall result in withdrawal or reduction of the scope of certification.

The period of suspension in most of the cases will not be more than three months. However on merits of the case, this can be extended and justification for the same will be recorded in the client file.

Special short notice audits are planned as necessary depending upon the reason for suspension in accordance with GMCSPL procedure for Certification System P-09

4.3 Reduction of Scope of Certification

Reducing certification means the state that the customer doesn't fulfill some of the certification requirements under the scope of certification after granting.

4.3.1 Causes of Reduction of Scope of Certification

If Customer is not complying with followings, GMCSPL may reduce scope of Customer's Certification.

1. Failure to resolve the issues that have resulted in the suspension in a time established by the GMCSPL.
2. Customer's request
3. 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. Any such reduction is in line with the requirements of the standard used for certification.
4. If correction or corrective action is not taken within the time agreed certification could be reduced, suspended or withdrawn.

5. Customer discontinues some of the activities (manufacturing, installation, etc.) related to the scope of certification.

4.3.2 Process of reducing scope of certification

GMCSPL informs the customer in writing of reduction of scope of certification through 'Reduction of Scope of Certification (F-57)' and revises List of Certified customers (F-20). GMCSPL updates the information on GMCSPL website to make it publically accessible. Customer is required to amend all advertising matter when the scope is reduced.

4.4 Withdrawal of certification

Withdrawing certification means the state that the customer's certification is withdrawn under the following condition(s):-

- a. Failure to correct suspension within time established by GMCSPL (one month for non payment of dues and three months for delay in surveillance and other reasons).
- b. Customer's request.
- c. The certified customer is no longer identified because of its dismantlement or communication disconnecting, etc.
- d. The suspension of Customer's Certification is more then 3 times during the term of validity of its Certification.
- e. After receipt of GMCSPL' request to return the certificate(s), Customer didn't return its certificate(s) to GMCSPL within one (1) month

4.4.1 Process of Withdrawing Certification

GMCSPL informs the customer in writing of withdrawal of certification through Notice for Withdrawal of certification (F-56) if the reasons of suspension are not removed. GMCSPL revises List of Certified customers (F-20 and update the information on GMCSPL website to make it publically accessible.

The termination of withdrawal of certification means that certification is no longer valid. The customer may re-apply to GMCSPL for Initial Certification when all the reasons for the withdrawal have been removed and communicated to GMCSPL. Any application received from a withdrawn client is processed as for new client as per GMCSPL procedure P-09.

5.0 Changes and Modification to Certification

When GMCSPL is informed that changes occur in the customer's Management System, GM provide the Application for Modification (F-22) to the customer to complete the form and submit it to GMCSPL.

After review of the Application for Modification (F-22) submitted by the customer, Audit Manager determines the necessary action in accordance with Modification Table (D-02).

5.1 Issue of changed certificate

When change is approved by GMCSPL, GMCSPL shall retrieve the previous certificate and shall issue a new certificate. The list of customers is revised accordingly. GM shall report the changes to Accreditation body, if required.

5.2 Assessment for Modification

If applicable, GM shall perform the assessment for modification in accordance with Certification System Procedure.

5.3 Modification of Certification Requirements

If the Certification requirements are changed, followings shall be processed within specified period;

1. GMCSPL shall inform Customer about changed requirements in detail and one (1) month of transitional period shall be observed.
2. Customer shall submit documented Implementation plan of changed requirements or its result in detail.
3. Through on-going surveillance, GMCSPL shall verify Customer's implementation and compliance of changed system based on Certification requirements changed, within 12 months.

In the event that MD decides for the extension of assessment scope, GMCSPL will fulfill the requirements for extension and apply to applicable accreditation body.

5.4 Appeals

Any decision or action taken regarding this document may be appealed in accordance with Procedure for Appeals & Complaints (P-06).

6.0 Records

1. List of Certified customers (F-20)
2. Application for Modification (F-22)
3. Notice for Suspension (F-53)
4. Suspension of Certificate (F-54)
5. Notice for Withdrawal of certification (F-55)
6. Withdrawal of certification (F-56)
7. Reduction of Scope of Certification (F-57)