



SOP for Granting, refusing, maintaining certification, expanding and reducing scope of certification, renewing, suspending or restoring or withdrawing of certification. - QA-P-SYS-12

1.0 Purpose

To lay down the procedure and conditions for Granting, refusing, maintaining certification, expanding and reducing scope of certification, renewing, suspending or restoring or withdrawing of certification

2.0 Scope

Process related to Granting, refusing, maintaining certification, expanding and reducing scope of certification, renewing, suspending or restoring or withdrawing of certification

3.0 Responsibility

Certification Manager

4.0 Policy & Procedure

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

After each periodic on-going surveillance, QACS reviews the on-going surveillance report and takes decision on maintaining certification, expanding and reducing scope of certification, renewing, suspending of certificate.

QACS has the responsibility and authority for decision of maintaining, extending, and reducing, suspending and withdrawing certification.

5.0 Definition-

1. Granting certification:- that the compliance to the Certification requirements has been confirmed by the QACS as per its Certification Procedures.
2. Maintaining Certification: that demonstrate that the client continues to fulfill the requirements of the management system standard based on the documentary evidence gathered by audit team.
3. Suspending Certification: temporary suspension due to non fulfillment of requirement, which can be restored only successful implementation of corrective action.
4. Reducing The scope of certification: When it is found that client management system do not have capability for the scope of certification.
5. Withdrawing certification :- When it is found that client is not fulfilling requirement of standard and failed to implement proposed corrective action in given time certificate may be withdrawn.
6. Refusal of certification: When during application review it is found that client activity is not in consistent with the qacs procedures or due to unavailability of scope/scheme under particular accreditation the client is refused certification. The reasons for refusal will be documented.

5.1 Granting Certification

That QACS based on the documentary evidenced found that client fulfill all the requirement of management system information as per the required scope of certification.

The certification is granted and recorded in List of certified client on the website provided:

1. Customer has documented management systems that fulfill the requirement of applicable standard or other normative documents.
2. That Internal Audit and Management Review cycle has been completed.
3. The Client has taken effective implementation of all corrective action identified taken due to Non conformance raised by the audit team.
4. There are no adverse reports/ information/ complaints/ feed back with the QACS about the applicant regarding the quality and effectiveness of implementation of system or anti bribery compliance issue for ABMS certification as per QACS certification criteria.
5. If an already certified client wish to transfer his certificate from other CB to QACS the QACS will treat as a new client until unless the client is certified by a CB having accreditation from

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accreditation board who is IAF-MLA signatory in applied QMS/EMS/OHSAS system certification scheme. In case of transfer of certificate request/application from client of other CAB accredited by IAF MLA signatory accreditation board QACS will follow all process defined in MD-02:2017 before acceptance of application.

6. The applicant has paid all the fees.

5.2 Maintaining Certification

Maintaining Certification is allowed when in during subsequent surveillance client has demonstrated that is continued to fulfill all requirement of standard and scope of certificate.

The certification is maintained provided.

- a. The certified organization continues to meet the criteria of certification and effective implementation of corrective action taken due to any non-conformity found during surveillance assessment has verified.
- b. There are no adverse reports/ information/ complaints/ feed back with the QACS about the applicant regarding the quality and effectiveness of implementation of system or anti bribery compliance issue for ABMS, for **EnMS client should improve Energy performance.** certification as per QACS certification criteria.
- C. The client has paid all the outstanding dues.

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

Special audits/ Short notice audits may be performed in accordance with special audit procedures **QA-P-SYS-10**

5.3 Suspension of Certification

Suspending Certification when the scope of certificate is suspended or Withdrawn provided:-

- 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 date of certification decision. Surveillance audits are conducted at least once a calendar year).
- b. QACS determines that Customer does not have resources to meet the requirements of the scope of certificate and/or standard.
- c. Excessive or serious complaints by interested parties and social conflicts or any complaint or feedback regarding noncompliance of anti-bribery commitment by the organization.
- d. The required actions against the changes of Certification system and requirements have not been taken by Customer during the specified period.
- e. No/ ineffective corrective action in response to the non-conformities observed during surveillance/ recertification.
- f. Any willful misuse of logo of QACS or Accreditation board.
- g. Not correcting misuse of certification mark, within one (1) month.
- h. Non payment of outstanding dues within one month after completion of audit.
- i. Client used and applied the certificate (certification) to activities beyond scope of certification.
- j. It is proved that the information and/or materials provided by client during assessment are misleading.
- K. QACS determines that Customer does not comply with the agreement(s) and/or contract(s) concluded with QACS.
- L. QACS determines that Customer does not comply with "contract agreement for certification".
- m. Any other condition deemed appropriate by QACS management. (**For EnMS client "Failed to improve Energy performance"**)
- n. The certified client has voluntarily requested a suspension

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5.4 Process of suspension

QACS informs the customer in writing of likely suspension of certification identifying the reason thereof as per suspension letter (QA-SYS-15) through postal mail/ courier extending an opportunity to correct the reason for suspension within 15days. If the customer doesn't take adequate action, the certificate is cancelled 'cancellation letter QA-SYS-16' is sent with a time frame (one month for non payment of dues and three to six months for delay in surveillance and other reasons or as deemed necessary by QACS) for removal of reasons for suspension. QACS make the suspended status of the certification publically accessible through its website www.qacertification.asia making it invalid.

If the issue/ reason for suspension is resolved then the suspension is removed, its certification is restored. The expense incurred shall be recovered from client before revoking suspension. And restoring the certificate.

In the event QACS 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 QACS 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 six 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 QACS procedure for special audit **QA-P-SYS-10**

5.5 Reduction of Scope of Certification

Reducing certification: when the client doesn't fulfill some of the certification requirements under the scope of certification.

4.3.1 Reduction of Scope of Certification provided

1. Failure to resolve the issues that have resulted in the suspension in a time established by the QACS.
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. (For EnMS client "Failed to improve Energy performance")

5.6 Process of reducing scope of certification

QACS informs the customer in writing of reduction of scope of certification through 'Reduction of Scope of Certification QA-SYS-33' and revises List of Certified customers **QA-MKT-01** QACS updates the information on QACS website to make it publically accessible.

Customer is required to amend all advertising matter when the scope is reduced.

5.7 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 QACS (one month for non payment of dues and three to six 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.

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- d. The suspension of Customer's Certification is more than 2 times during the term of validity of its Certification.
- e. After receipt of QACS request to return the certificate(s), Customer didn't return its certificate(s) to QACS within one (1) month

5.8 Process of Withdrawing Certification

QACS informs the customer in writing of likely withdrawal of certification through Notice for certificate termination letter QA-SYS-16. QACS revises List of Certified customers **QA-MKT-01** QACS updates the information on QACS website to make it publically accessible.

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

6.0 Changes and Modification to Certification

When QACS is informed that changes occur in the customer's Management System, certification manager provide the Application (QA-MKT-04) again to the customer to complete the form and submit it to QACS.

After review of the Application (QA-MKT-04) submitted by the customer, Certification Manager determines the necessary action in accordance with Modification.

6.01 Change and modification to certificate due to changes in accreditation scope / change in certification standard: QACS shall inform the client, reason for changes in certificate and after receiving consent shall revive all certification documents for continual fulfillment of accreditation criteria of accreditation body, it also include allocation of new applicable code if codes followed by accreditation body are different. If during review it is found that some of accreditation body's criteria are not met. Then CAB will contact client and arrange special audit of client for specific criteria and report shall be prepared, and sent for approval.

6.02 Change and modification to certificate due to customer request: QACS shall receive information from client including reason for changes in certificate and after receiving request shall revive all certification documents for continual fulfillment of accreditation criteria of accreditation body, it also include allocation of new applicable code if codes followed by accreditation body are different. If during review it is found that some of accreditation body's criteria are not met. Then CAB will contact client and arrange special audit of client for specific criteria and report shall be prepared, and sent for approval.

6.1 Issue of changed certificate

When change is approved by QACS, QACS shall retrieve the previous certificate and shall issue a new certificate. The list of customers is revised accordingly. QACS shall report the changes to Accreditation body, if required. The new certificate would have same certificate number and initial certification date, validity and expiry date but date of issue would be the date of issue of new revised certificate and will also include revision number.

6.2 Assessment for Modification

If applicable, Certification Manager shall perform the assessment for modification in accordance with Procedure for Certification which may require special audit of the client.

6.3 Modification of Certification Requirements

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

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1. QACS 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, QACS shall verify Customer's implementation and compliance of changed system based on Certification requirements changed, within 12 months.

In the event that Director/CEO decides for the extension of assessment scope, QACS will fulfill the requirements for extension and apply to applicable accreditation body.

7.0 Appeals

Any decision or action taken regarding this document may be appealed in accordance with Procedure- SOP for handling Appeals & Complaints QA-P-OP-03

8.0 References:- QACS/M/00, QA-P-SYS-10, QA-P-OP-03

9.0 Records

1. List of Certified client QA-MKT-01
2. Application form QA-MKT-04
3. Suspension failure Letter:- QA-SYS-15
4. Termination Letter (QA-SYS-16)
5. Continuation Letter QA-SYS-20

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