

RAPL	ROYAL ASSESSMENTS PVT. LTD.	PR/10.01
	Maintaining Certification, Suspension, Restoring, Withdrawal, Expanding or Reduction in Scope	04/02/2021

1.0 Objective

- ❖ Define the procedure and condition for suspension and withdrawal of certificate
- ❖ Define the conditions for mitigating the suspension and withdrawal conditions
- ❖ Define the conditions for reducing the scope of certification
- ❖ Maintain record

2.0 Scope

Applicable to all the Management systems certified by RAPL

3.0 Responsibility and Authority for decision related to Suspension, Restoring, Withdrawal, Expanding or Reduction in Scope: - Director (Technical) / MR

4.0 Business Process:

Sl.	Process Steps
1.0	Client is responsible for maintaining the certification status at all times by meeting the requirements of conditions for certification.
2.0	RAPL shall make all efforts to provide services to client organizations to maintain their certification status valid at all times. RAPL services shall provide timely information to clients on the potential situations arising at any time with impact on the status of validity of certification. Such information may assist clients to ensure maintenance of the certification validity.
3.0	Suspension, Restoring Post Suspension and Withdrawal
3.1	<p>RAPL shall suspend certification for a maximum duration of six (6) months under following conditions.</p> <ul style="list-style-type: none"> ▶ Client management system is not effectively implemented persistently ▶ Client management system has persistently failed to meet conditions for certification. ▶ Client does not allow surveillance audits to be completed as per agreed frequency ▶ Client has requested for voluntary suspension for a cause because of natural calamities, labour unrest or any other assignable reasons because of force majeure conditions ▶ Client unable to take corrective action for complaints from interested parties including regulatory authorities <p>RAPL may suspend certification for other causes not detailed above and which may have impact on the credibility of certification.</p>
3.1.1	<p>Suspension because of Client management system is not effectively implemented persistently and has persistently failed to meet conditions for certification evidenced during surveillance audit / special audit.</p> <ul style="list-style-type: none"> ▶ (A) Provide assessment report along with identified non- conformances and recommendation for follow up audit to be conducted within 3 months duration. ▶ (B) Coordinate for follow up audit and if the implementation of management systems is not considered satisfactory, provide assessment report along with identified non- conformances with a request for corrective action within one calendar month. ▶ (C) If the corrective actions are submitted for review within the requested period, implementation of management system is accepted. If not, management system is kept under suspension for 3 months duration.

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	<ul style="list-style-type: none"> ▶ (D) If the client organization provides acceptable corrective active action within further 3 months, certification validity is restored. ▶ (E) IAF MD22:29015 Clause G 9.6.5.2 - Information on incidents such as a serious accident, or a serious breach of regulation necessitating the involvement of the competent regulatory authority, provided by the certified client or directly gathered by the audit team during the surveillance / special audit, RAPL shall decide on the actions to be taken, including a suspension or withdrawal of the certification, in cases where it can be demonstrated that the system seriously failed to meet the OH&S certification requirements. Such requirements shall be part of the contractual agreements between the CAB and the organization.
3.1.2	<p>Suspension because of Client organization not allowing surveillance audits to be completed as per agreed frequency.</p> <ul style="list-style-type: none"> ▶ Surveillance Notification letter 1 is forwarded to client one month ahead of the due date of surveillance audit. ▶ Surveillance Notification letter 2 is forwarded to client on the due date of surveillance audit, informing the client of keeping the certificate under suspension for a period of 3 months from the letter date and provide an opportunity to the client to coordinate for the surveillance audit. If any surveillance audit is to be conducted during this period, a complete audit shall be planned to cover all the processes of management system with agreed commercial terms. Upon successful assessment certification status shall be restored as active. ▶ Withdrawal notification is forwarded to client three months after the expiry of the due date of surveillance audit informing the client regarding the withdrawal of certificate of compliance with immediate effect and copy marked to relevant authorities including accreditation body.
3.1.3	<p>Suspension because of client request for voluntary suspension for a cause because of natural calamities, labour unrest or any other assignable force majeure conditions</p> <ul style="list-style-type: none"> ▶ Keep the certification under suspension for a maximum period of 3 months. ▶ If the client organization status continues beyond 3 months, withdraw the certification with communication to the client under condition that certification can be restored after completing a fresh contract review under the same original contract number and conducting a complete audit whenever the client organization resumes normal working conditions. A new certificate shall be issued.
3.1.4	<p>Suspension because of client's inability to take corrective action for complaints from interested parties including regulatory authorities.</p> <ul style="list-style-type: none"> ▶ Short notice audit is conducted as per relevant procedure to verify corrective action taken by client for the reported complaints within a maximum of 2 weeks and communication is forwarded to client.

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	<ul style="list-style-type: none"> ▶ If the corrective action is satisfactory, certification is restored as per the agreed terms and conditions. ▶ If the corrective action is not satisfactory, a further time frame is discussed for corrective action depending upon the nature of complaint. Total time duration for taking corrective action shall not exceed 3 calendar months from the date of complaint unless a justification can be given for delay in closing the complaint. ▶ If no further corrective action is initiated by client organization, certification shall be kept under suspension for a maximum period of 3 months. ▶ Suspension can be revoked and certification restored only after complete special audit for duration of one surveillance audit with main focus on the complaint and associated processes. ▶ If no corrective action is taken by client organization even suspension period, certification shall be withdrawn. ▶ Complainant shall be informed the status of action taken during all phases of complete cycle.
3.2	Status of client certification with RAPL respect to suspension and withdrawal shall be updated in RAPL web site within 7 working days.
4.0	Expanding / Reducing the scope certification
	<p>RAPL shall verify the compliance of the client's management system to the scope of certification during each assessment.</p> <p>RAPL assessment shall focus on the scope of certification and review for the following issues :</p> <ul style="list-style-type: none"> ▶ Discontinuation of any product / service ▶ Reduction because of any legal non-compliance ▶ Client organization not complying with condition for certification requirement for a part of a scope of certification ▶ Client voluntarily requesting for a reduction in scope of certification because of market driven decision. <p>Client organization inability to succeed in getting a contract for a part of the scope may not be considered for scope reduction.</p> <p>Scope reduction may be recommended either during planned surveillance/ recertification audit meeting the requirement of certification process and a revised certificate of compliance issued.</p> <p>If the client organization requests for extending or reducing the scope between surveillance audits, special audit may be planned meeting the requirement of certification process and a revised certificate of compliance issued with the revised scope.</p> <p>If extending of scope requires more no. of audit man days, additional fees shall be charged accordingly.</p>

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	Any change in scope shall be updated in the RAPL records.	
5.0	RAPL may communicate the status of suspension / withdrawal / scope extension / reduction to any interested party, if requested. Request for such information shall be communicated to client organization including action taken.	
6.0	All records related to maintaining certification, suspension, restoring, withdrawal, expanding or reduction in scope shall be duly updated in online register.	

5.0 Quality Records

- Surveillance Notification Letters
- Certification Continuation Letters
- Suspension and Withdrawal Letters

Amendment Record:

04/02/2021 – Amended as result of change in CB name.