

Document No.	:	NVT/QP/2/006
PAGE	:	Page 1 of 11
ISSUE:REV	:	06:02
DATE	:	12.02.2024

### NVT/QP/2/006

## PROCEDURE FOR GRANTING OR REFUSING CERTIFICATION, EXPANDING OR REDUCING THE SCOPE OF CERTIFICATION, SUSPENDING OR RESTORING CERTIFICATION, WITHDRAWING CERTIFICATION OR RENEWING CERTIFICATION

- 1.0 : OBJECTIVE** : To ensure compliance to requirements of ISO/IEC/17021/AS9104/1 and NABCB/ANAB requirement and guidance documents.
- 2.0 : COVERAGE** : Covers certification to management system standards for which NVT QC is approved for.
- 3.0 : RESPONSIBILITY** : CMO, Certification Managers, MR, CH/CEO.
- 4.0 : REQUIREMENTS** : ISO/IEC 17021-1, ISO/IEC 17021/3, AS 9104/1, AS 9104/3, NVT/QM/1/001
- 5.0 : PROCEDURE** :

Sl. No.	Description	Input Requirements (Standards/Documents)	Evidence
1.	Certificate is granted to a client organization after completion of certification audit, closure of all corrective actions and on the recommendation of Lead Auditor and approval by the certification manager(s) and any other qualified auditor competent co-opted for a QMS, <b>EMS, OH&amp;SMS</b> and AQMS audit and after certification decision		NVT/FORM/4/15 – 2 (Directory of Certified Clients)

Document No.	:	NVT/QP/2/006
PAGE	:	Page 2 of 11
ISSUE:REV	:	06:02
DATE	:	12.02.2024

	<p>by CH/CEO. Directory of certified clients is updated.</p> <p>No recommendation for certification shall be made until all nonconformities are satisfactorily corrected with root cause analysis and corrective action is implemented, reviewed, accepted and verified for closure within 60 days of NCs raised during surveillance/renewal audits. In case nonconformities are not satisfactorily closed, the certificate will be refused to the client.</p> <p>No unaccredited certificate shall be given to any client.</p>		
2.	<p>Certificate is held by the client for a 3 year period subject to timely and satisfactory completion of surveillance audits and planned correction action on nonconformities if any. Use of certificates and logos during this period shall be as provided in the signed agreement and instructions. Proper use of certificate and logo is verified during surveillance visits.</p>		<p>Certificate Templates.</p> <p>VT/FORM/4/014- 1 (Master ISO 9001 2015 NABCB - Initial, Recertification Certificate)</p> <p>NVT/FORM/4/014-2 (Master - ISO 9001 2015 ANAB - Initial, Recertification Certificate)</p> <p>NVT/FORM/4/014-3 (Master- AS 9100D ANAB- Initial, Recertification Certificate)</p> <p>NVT/FORM/4/014-4 (Master - AS 9110C ANAB- Initial, Recertification</p>

Document No.	:	NVT/QP/2/006
PAGE	:	Page 3 of 11
ISSUE:REV	:	06:02
DATE	:	12.02.2024

			<p>Certificate)</p> <p>NVT/FORM/4/014-5 (Master - AS 9120B ANAB-Initial, Recertification Certificate)</p> <p>Logo format NVT/FORM-N/4/014-6(Logo for QMS, <b>EMS, OH&amp;SMS</b> &amp; AQMS)</p> <p><b>NVT/FORM/4/014-7 (Master - ISO 14001:2015 ANAB - Initial, Recertification Certificate)</b></p> <p><b>NVT/FORM/4/014-8 (Master - ISO 45001:2018 ANAB - Initial, Recertification Certificate)</b></p>
3.	<p>Before the validity of the certificate expires, a renewal audit is conducted. Prior to making decision for issue of renewal certificate for QMS / <b>EMS</b> / <b>OH&amp;SMS</b> / AQMS, effective review is made to ensure that:</p> <ul style="list-style-type: none"> <li>a. Information provided by audit team is sufficient with respect to the certification requirements and the scope for certification.</li> <li>b. Any major non-conformity is reviewed, accepted and verified for correction and corrective action and</li> </ul>	<p>NVT/FORM/4/025 <b>Checklist Auditor &amp; Reviewer For Approval Of Audit Reports (QMS/EMS/OH&amp;SMS) for Certification / Recertification / Surveillance / Special Audit.)</b></p> <p>NVT/FORM/4/026 - Checklist Auditor &amp; Reviewer For Approval Of Audit Reports (AQMS) for Certification/Recertification/Surveillance/Special Audit.)</p>	<p>Directory of certified clients NVT/FORM/4/015-1 &amp; 015-2 &amp; OASIS Database.</p>

Document No.	:	NVT/QP/2/006
PAGE	:	Page 4 of 11
ISSUE:REV	:	06:02
DATE	:	12.02.2024

	<p>settled.</p> <p>c. For QMS / <b>EMS</b> / <b>OH&amp;S</b> / AQMS, any minor NC will be reviewed and the client's plan for correction and corrective action is accepted.</p> <p>After completion of the renewal audit and satisfactory closure of corrective action. Recommendation of the team leader and on the approval of certification manager, certificate is renewed for a 3 year period. The list of certified clients is updated.</p> <p>In case of failure of the organization to demonstrate conformance of its QMS / <b>EMS</b> / <b>OH&amp;S</b> / AQMS to requirements of the standard, or in case nonconformities observed during renewal audit are not settled as per b and c above before expiry of existing certificate, the certificate lapses and the client's name shall be deleted from the list of certified clients including OASIS database</p>	<p><b>Annexure 1 – Nonconformity Checklist</b></p> <p><b>Annexure 2 – Reviewer Comments</b></p> <p><b>Annexure 3 – Checklist for issue of Certificate</b></p>	
4	<p>Following expiry of certification, NVT QC can restore certification within 6 months provided renewal /at least stage 2 activities are completed. The effective date of certification shall be on or after the recertification decision and the expiry date shall be based on the prior certification cycle.</p>		
5	<p>If extension / change of scope or inclusion of additional site is requested by the client,</p>		Certificate Templates.

Document No.	:	NVT/QP/2/006
PAGE	:	Page 5 of 11
ISSUE:REV	:	06:02
DATE	:	12.02.2024

	<p>a special audit is planned and conducted. On completion of the special audit and related closure of corrective action, on the recommendation of the Lead Auditor and approval of certification manager, certificate is amended and issued. The validity of this certificate remains same as the validity of the previous certificate. The list of certified clients is updated including OASIS database.</p>		<p>NVT/FORM/4/014- 1 (Master ISO 9001 2015 NABCB - Initial, Renewal Certificate)</p> <p>NVT/FORM/4/014-2 (Master - ISO 9001 2015 ANAB - Initial, Renewal Certificate)</p> <p>NVT/FORM/4/014-3 (Master- AS 9100D ANAB- Initial ,Renewal Certificate)</p> <p>NVT/FORM/4/014-4 (Master - AS 9110C ANAB- Initial, Renewal Certificate)</p> <p>NVT/FORM/4/014-5 (Master - AS 9120B ANAB- Initial, Renewal Certificate)</p> <p>Logo format NVT/FORM- N/4/014-6(Logo for QMS, <b>EMS, OH&amp;SMS &amp; AQMS</b>)</p> <p><b><i>NVT/FORM/4/014-7 (Master - ISO 14001:2015 ANAB - Initial, Recertification Certificate)</i></b></p> <p><b><i>NVT/FORM/4/014-8 (Master - ISO 45001:2018 ANAB - Initial,</i></b></p>
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Document No.	:	NVT/QP/2/006
PAGE	:	Page 6 of 11
ISSUE:REV	:	06:02
DATE	:	12.02.2024

			<b>Recertification Certificate)</b> Directory of certified clients NVT/FORM/4/015-1 & 015-2 & OASIS Database.
6	In case a reduction in scope or in the number of sites is intimated by the client or is discovered during recertification / surveillance, the existing certificate is withdrawn and a new certificate with corrected scope/number of sites will be issued. List of certified client is accordingly corrected including OASIS database. NVT QC reduces the scope of certification to exclude the parts not meeting the requirements, when the certified client has persistently or seriously failed to meet the certification requirements for those parts of the scope of certification. Any such reduction shall be in line with the requirements of the standard used for certification		Certificate Templates.  NVT/FORM/4/014- 1 (Master ISO 9001 2015 NABCB - Initial, Renewal Certificate)  NVT/FORM/4/014-2 (Master - ISO 9001 2015 ANAB - Initial, Renewal Certificate)  NVT/FORM/4/014-3 (Master- AS 9100D ANAB- Initial ,Renewal Certificate)  NVT/FORM/4/014-4 (Master - AS 9110C ANAB- Initial, Renewal Certificate)  NVT/FORM/4/014-5 (Master - AS 9120B ANAB- Initial, Renewal Certificate)  Logo format NVT/FORM- N/4/014-6(Logo for QMS, <b>EMS, OH&amp;SMS</b> & AQMS)  <b>NVT/FORM/4/014-7</b>

Document No.	:	NVT/QP/2/006
PAGE	:	Page 7 of 11
ISSUE:REV	:	06:02
DATE	:	12.02.2024

			<p><b>(Master - ISO 14001:2015 ANAB - Initial, Recertification Certificate)</b></p> <p><b>NVT/FORM/4/014-8 (Master - ISO 45001:2018 ANAB - Initial, Recertification Certificate)</b></p> <p>Directory of certified clients NVT/FORM/4/015-1 &amp; 015-2 &amp; OASIS Database.</p>
7.	<p>An existing certificate will be kept on suspension in case of</p> <p>(a) client's non-cooperation resulting in unacceptable delays in conduct of surveillance audits</p> <p>(b) planned corrective actions on nonconformities, on nonconformities reported in surveillance audits not being satisfactorily completed</p> <p>(c) major/ repeated nonconformities detected during surveillance or short-notice audits</p> <p>(d) misuse of certificate or logo detected at any stage and</p> <p>(e) non-payment of fees payable to NVT QC within 30 days from the date of invoice.</p> <p>(f) Certificate under suspension will be invalid and client will be advised not to use the certificate, until certificate is restored.</p> <p>Certification Manager(s), on the recommendation of the Lead Auditor shall</p>		<p>NVT QC web-site/IAQG-OASIS database.</p>

Document No.	:	NVT/QP/2/006
PAGE	:	Page 8 of 11
ISSUE:REV	:	06:02
DATE	:	12.02.2024

	<p>take a decision in this regard. In all cases the certificate will be initially suspended and the client will be duly informed. In situations a) to d) the suspension will be for a notified period decided by the Certification Manager of NVT QC. In (e), the suspension will be for 90 days.</p> <p>The certificate may be restored after satisfactory completion of surveillance audit and/or settlement of all nonconformities within agreed period. Both suspension and restoration of certificate is notified in NVT QC web-site/IAQG- OASIS database.</p>		
8.	<p>An existing certificate is withdrawn in the following circumstances. CMO receives information from the Lead Auditor for the following reasons cited below :</p> <ul style="list-style-type: none"> <li>a) Major nonconformities observed during surveillance audits or of major/ repeated nonconformities detected during audit.</li> <li>b) Planned corrective actions on nonconformities observed during surveillance audits not implemented satisfactorily.</li> <li>c) Information from Executive-Planning regarding non-cooperation resulting in unacceptable delays in conduct of surveillance audits.</li> </ul>		<p>NVT QC website / IAQG OASIS database.</p> <p>Directory of certified clients NVT/FORM/4/015-1 &amp; 015-2 &amp; OASIS Database.</p>



Document No.	:	NVT/QP/2/006
PAGE	:	Page 9 of 11
ISSUE:REV	:	06:02
DATE	:	12.02.2024

	<p>d) Information from Executive-Finance regarding non-receipt of payments within 90 days of the date of invoice.</p> <p>e) CEO/MR may receive complaints from customers/registration authorities/OEMS/ accreditation board about client.</p> <p>f) Short notice audits conducted following complaints from interested parties including AB's/IAQG members show serious lapses in implementation of the documented management system casting serious doubts on management commitment.</p> <p>In case of 8 (a) client shall be notified that the certificate is suspended till agreed corrective action is implemented satisfactorily and the nonconformities are closed. A maximum of 60 days shall be permitted for closure of nonconformities.</p> <p>In case of 8(b), CMO shall notify the client that the certificate is suspended till all the open nonconformities are closed satisfactorily. A maximum of 60 days shall be permitted for <b>QMS / EMS / OH&amp;S</b>.</p> <p>In case of 8 (c), Executive- Planning shall</p>		
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Document No.	:	NVT/QP/2/006
PAGE	:	Page 10 of 11
ISSUE:REV	:	06:02
DATE	:	12.02.2024

	<p>notify the client that the certificate is suspended, till the surveillance audit is planned, conducted and all nonconformities closed. A maximum of 30 days shall be permitted for conduct of surveillance audit and another 60 days for closure of nonconformities.</p> <p>In case of 8 (d), Executive-Finance shall notify the client that the certificate is suspended till the dues are cleared. A maximum of 30 days shall be permitted for clearing the dues.</p> <p>In case of 8(e) CMO shall notify the client that a special audit will be conducted. In extreme cases, the certificate may be suspended immediately. For AQMS, the status shall be posted in the OASIS. In all cases, status shall be notified in NVTQC website.</p> <p>Withdrawal shall be notified in the NVT QC website / IAQG OASIS database. Return of the certificate and logo will be ensured.</p> <p>If the client takes satisfactory action within the specified time, the status of the certificate shall be restored. The client shall be informed. Restoration of certificate status</p>		
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Document No.	:	NVT/QP/2/006
PAGE	:	Page 11 of 11
ISSUE:REV	:	06:02
DATE	:	12.02.2024

	<p>shall be posted in the website.</p> <p>Audits for restoration of withdrawn certificates shall be treated as initial audits.</p> <p>If client fails to take satisfactory action within permitted time, CMO Reports will withdraw the certificate after approval from CH/CEO. Client shall be asked to return the certificate and logo. Withdrawal shall be posted in the NVT QC website &amp; OASIS Database.</p> <p>NVT QC reserves the right to inform customers about suspension / withdrawal. In case of withdrawal, directory of clients will be duly corrected. If the certificate is withdrawn, the client shall be treated as a lost client for all purpose.</p> <p><b>Note:</b> AQMS Certificate holders shall be required to inform their customers about any change in the status of their certificate.</p>		
9	<p>In case reduction in scope of certification, steps are taken to ensure that the client.</p> <ul style="list-style-type: none"> <li>(a) Returns existing certificate and</li> <li>(b) Corrects any advertising matter/ publication where an invalid reference to certification is made.</li> </ul>		