

## Certification Process

### 1. Purpose

The purpose of this document is to define the GLOCERT INTERNATIONAL process that has to be followed by applicant organizations seeking Certification based on the requirements of relevant management system standards as per requirements of ISO/IEC 17021, and other applicable international standards for certification bodies offering management system certifications or related services.

This document guides you through the certification process including some of the back-office activities which you don't see usually.

GLOCERT INTERNATIONAL, on request, will provide any specific information required by the applicant organization.

### 2. Scope

This procedure is applicable to any Management System Certification Services provided by GLOCERT INTERNATIONAL.

### 3. Definitions

<b>Certification Audit:</b>	Audits carried out by GLOCERT INTERNATIONAL, independent of the Customer and the parties that rely on certification, for the purpose of certifying the Customer's management system.
<b>Impartiality:</b>	Presence of objectivity where objectivity means that conflicts of interest do not exist or are resolved so as not to adversely influence subsequent activities of GLOCERT INTERNATIONAL .
<b>Customer:</b>	Organization whose management system is being audited by GLOCERT INTERNATIONAL for certification purposes.
<b>Technical Expert:</b>	Person who provides specific knowledge or expertise to the audit team.
<b>Competence:</b>	Ability to apply knowledge and skills to achieve intended results.
<b>Auditor:</b>	Person who conducts an audit.

### 4. References

ISO/IEC 17021-1:2015, clause 9.1 - 9.6

### 5. Introduction

Glocert International Certifications (UK) Limited has been registered at companies' house as a Limited Liability Company (Limited) in London, England and Wales, United Kingdom as a global headquarters poised for rapid growth in the sustainability Certification services across all industries globally.

GLOCERT INTERNATIONAL is an independent International Conformity Assessment Body (CAB) specialized in Training, Testing, Inspection and Certification of Management Systems standards, Product Certification, Personnel Certification. The International standards service covers including ISO 9001 - Quality Management Systems (QMS), ISO 20000-1 – Information Technology Service Management Systems (ITSMS), ISO 22301 – Business Continuity Management Systems (BCMS), ISO/IEC 27001 – Information Security Management Systems (ISMS), ISO/IEC 27701 – Privacy Information Management Systems (PIMS), ISO 55001 – Asset Management Systems (AMS) etc. and other industry specific codes or norms of various countries around the world.

Glocert International Certifications (UK) Limited has accepted the quotation for request.

- The client has a documented Quality Management system that is applicable to its scope of certification and that conforms to the requirements of ISO 9001 - Quality Management Systems (QMS), ISO 20000-1 – Information Technology Service Management Systems (ITSMS), ISO 22301 – Business Continuity Management Systems (BCMS), ISO/IEC 27001 – Information Security Management Systems (ISMS), ISO/IEC 27701 – Privacy Information Management Systems (PIMS), ISO 55001 – Asset Management Systems (AMS) etc.
- The Client has completed at least one Internal Audit cycle of all applicable processes, systems and subsystems within the **Quality Management System** or **Environment Management System** as applicable.
- The Client has completed at least one Management Review of Completed Audit Cycle.
- After having established the requirements for certification, the client should
- Fill in the application form provided by **Glocert International Certifications (UK) Limited**.
- Include the application fee with the application form, fee will be mentioned in **Glocert International Certifications (UK) Limited** quotation.

Once **Glocert International Certifications (UK) Limited** receives the application along with the application fee, the client will be enrolled in its **Quality Management System Certification** Programme or **Environmental Management System Certification** Programme. A letter to this effect can be issued on request as proof to the client's customers that they have contracted with GLOCERT INTERNATIONAL to achieve certification. In no way does the letter imply that Certification/Registration has been awarded to the client.

- The client shall keep a record of all complaints and reminded action relative to the **Quality Management System** or **EMS** or others as applicable.
- The final assessment is satisfactory and is without any Major non-conformances.
- The recommendation of the audit team in favorable.

The client has met its financial obligations to **Glocert International Certifications (UK) Limited**.

## **6. PRE-CERTIFICATION ACTIVITIES**

### **6.1 Application**

- **6.1.1** GLOCERT INTERNATIONAL is providing certification services to the organizations established as legal entities around the globe. It is expected that the organizations applying for certification **MUST** be registered entities as per applicable laws within their country.
- **6.1.2** Customer has to send a formal Application form with all required details mentioned below:
  - Company Name
  - Company Website (If any)
  - Country
  - Contact Person's Name
  - Contact Person's Email
  - Contact Person's Mobile #
  - Management System (In Scope)
  - Scope of Certification (Including Processes)
  - No. of Employees under Scope
  - No. of Sites under Scope
  - Are You Already Certified? (Yes/ No)
  - If Yes - Attach Existing/ Expired ISO Certificate
  - Whether consultancy has been provided and, if so (By whom?)
- **6.1.3** Sales Team of GLOCERT INTERNATIONAL will receive the Application form and acknowledge the Customer ASAP.
- **6.1.4** GLOCERT INTERNATIONAL reserves the right to seek more information for the respective Customer before deciding to accept the application for further processing.
- **6.1.5** Sales Team will log the respective Application form in the GLOCERT INTERNATIONAL Portal for further processing.
- **6.1.6** Before applying for certification, the Customer must have met the following conditions:
  - Implement the management systems for at least three months. This is necessary to assess the ability of the organization to carry out the process as per the documented management system.
  - Carried out minimum one round of internal audit and management review against the applicable documented management system.

### **6.2 Application Review**

- **6.2.1** GLOCERT INTERNATIONAL conducts a review of the application and supplementary information to ensure that:
  - The information about the Customer and its management system is sufficient to develop an audit programme.
  - Any known difference in understanding between the GLOCERT INTERNATIONAL and the Customer is resolved.

- GLOCERT INTERNATIONAL has the competence and ability to perform the certification activity.
- The scope of certification sought, the site(s) of the Customer's operations, time required to complete audits and any other points influencing the certification activity are taken into account (language, safety conditions, threats to impartiality, etc.)
- The Client organization seeking certification of their QMS to ISO 9001, EMS to ISO 14001:2004 Standard if applicable should submit in detailed information in the prescribed format, Quotation Request Form, sent to client is response to the client enquiry.
- The filled Quotation Request Form should be signed by the authorized representative and sent to Glocert International Certifications (UK) Limited office.
- The Client organization should be prepared to provide additional information or allow Glocert International Certifications (UK) Limited representative to visit the client site to gather more information about the client.
- The Quotation Request Form is reviewed by Glocert International Certifications (UK) Limited to ascertain the clarity of Certification requirements and the capability of Glocert International Certifications (UK) Limited to provide the required service. If the Quotation Request Form rejected the same is communicated to the client.
- If the quotation for request is accepted further documents are sent to the client for their approval and confirmation.

### 6.3 Application Review - Status

- **6.3.1** Based on the application review process, the GLOCERT INTERNATIONAL will either accept or decline an application for certification. When the GLOCERT INTERNATIONAL declines an application for certification as a result of the application review, the reasons for declining an application shall be documented and communicated to the Customer.
- **6.3.2** Based on this review, the GLOCERT INTERNATIONAL will determine the competences it needs to include in its audit team and for the certification decision.
- **6.3.3** A document review is done, with the purpose of giving the customer an indication of the status of its documented management system with the requirements of the relevant standard without issuing a certificate of conformity.
- If requested by the client before the actual assessment, a detailed examination as a Pre-assessment of the client **Quality Management System** is undertaken for ensuring compliance with all applicable requirements of **Quality Management System** standard. This is optional part of **certification process** and has no bearing on **certification process**.

Note: Records of the justification for the decision to undertake the audit are maintained.

## **6.4 Audit Programme Development**

- **6.4.1** An audit programme for the full certification cycle shall be developed by GLOCERT INTERNATIONAL to clearly identify the audit activity/activities required to demonstrate that the Customer's management system fulfils the requirements for certification to the selected standard(s) or other normative document(s).
- **6.4.2** The audit programme for the certification cycle shall cover the complete management system requirements.

## **Calculation of Audit Time**

- **6.4.3** GLOCERT INTERNATIONAL has a documented procedure for determining audit time. For each Customer the GLOCERT INTERNATIONAL shall determine the time needed to plan and accomplish a complete and effective audit of the Customer's management system.
- **6.4.4** The duration of the management system audit and its justification shall be recorded.

## **Multi-site Sampling**

- **6.4.5** Where multi-site sampling is used for the audit of a customer's management system covering the same activity in various geographical locations, the GLOCERT INTERNATIONAL will develop a sampling programme to ensure proper audit of the management system.
- **6.4.6** The rationale for the sampling plan shall be documented for each Customer. Sampling is not allowed for some specific certification schemes, and where specific criteria have been established for a specific certification scheme, e.g. ISO/TS 22003, these shall be applied.

## **5.5 Quotation Submission**

- **6.5.1** For accepted applications, the GLOCERT INTERNATIONAL will prepare a formal quotation for the related services as per the developed audit programme and share with Customer to review and accept.
- **6.5.2** GLOCERT INTERNATIONAL Quotation contains all the description of services required by the Customer.

## **5.6 Quotation Review**

- **6.6.1** Customer will review the respective quotation and respond on the quotation on the GLOCERT INTERNATIONAL Portal.

## **5.7 Certification Agreement Submission**

- **6.7.1** Once Customer has accepted the quotation, then the GLOCERT INTERNATIONAL will prepare a formal Certification Agreement for the related services and share with Customer to review and accept.

## **5.8 Certification Agreement Acceptance**

- **6.8.1** Customer will review the respective Certification Agreement and accept it to proceed with the respective contract services.

## **5.9 Gap Assessment (Readiness Review)**

- **6.9.1** After the acceptance of Certification Agreement, a Gap Assessment i.e. Readiness Review will be conducted by GLOCERT INTERNATIONAL Auditor. This assessment consists of an informal visit before the Initial Certification Audit. Please note that Customer must be able to demonstrate that their management system has been fully operational for a minimum of three months and has been subject to a full cycle of internal audits and management review. This phase is required to know the readiness of Customer's management system implementation to avoid any later issues during the initial certification audit activities.
- **6.9.2** Based on the Gap Assessment results, Customer may postpone the initial certification audit activities.

## **7. CERTIFICATION AUDIT ACTIVITIES**

### **7.1 Determine Audit Objectives, Scope and Criteria**

- **7.1.1** The audit objectives are determined by the GLOCERT INTERNATIONAL and the audit scope and criteria, including any changes, shall be established by the GLOCERT INTERNATIONAL after discussion with the Customer.
- **7.1.2** The audit scope describes the extent and boundaries of the audit, such as sites, organizational units, activities, and processes to be audited. Where the initial or re-certification process consists of more than one audit (e.g. covering different sites), the scope of an individual audit may not cover the full certification scope, but the totality of audits shall be consistent with the scope in the certification document.
- **7.1.3** The audit criteria used as a reference against which conformity is determined and include:
  - The requirements of a defined normative document on management systems.
  - The defined processes and documentation of the management system developed by the Customer.
- **7.1.4** GLOCERT INTERNATIONAL prepares a tentative audit program for the Customer for next three years which includes initial two stage audits, surveillance audit and renewal audit date prior to expiration of the certificate.
- **7.1.5** During any stage of the certification cycle this program may change due to the changes in the organization. It is the responsibility of the certified organization to inform GLOCERT INTERNATIONAL about any changes related to:
  - The legal, commercial, organizational status or ownership,
  - Organization and management (e.g. key managerial, decision-making, or technical staff),

- Contact address and sites, size of the organization,
- Scope of operations under the certified management system.
- Major changes to the management system and processes.

## **7.2 Audit Team Selection**

- **7.2.1** The audit team, including the audit team leader and technical expert as necessary is identified by GLOCERT INTERNATIONAL from their pool of empanelled auditors, considering the competence needed to achieve the objectives of the audit and requirements for impartiality.
- **7.2.2** If there is only one auditor, the auditor shall have the competence to perform the duties of an audit team leader applicable for that audit. The audit team shall have the totality of the competences identified by the GLOCERT INTERNATIONAL.
- **7.2.3** The names of the members of the audit team, along with their profile and details will be communicated to the Customer along with the audit schedule giving them a time of two working days to raise any objection against the appointment of any of the team members. Any objection by the Customer against any of the team members must be accompanied in writing with adequate grounds for the objection. GLOCERT INTERNATIONAL will evaluate the objection and decide whether to change the team member or to overrule the objection raised by the Customer.
- **7.2.4** Efforts are made to ensure that the team is kept intact throughout the audit process. If there is any change in the composition of the team members, the same shall be communicated to the GLOCERT INTERNATIONAL for their acceptance.
- **7.2.5** The team members are required to maintain confidentiality of the sensitive information about the operation of the applicant organization obtained as part of the audit process.
- **7.2.6** The necessary knowledge and skills of the audit team leader and auditors may be supplemented by technical experts, translators and interpreters who shall operate under the direction of an auditor. Where translators or interpreters are used, they shall be selected such that they do not unduly influence the audit
- **7.2.7** The criteria for the selection of technical experts are determined on a case-by-case basis by the needs of the audit team and the scope of the audit.

## **7.3 Audit Plan Preparation**

- **7.3.1** Based on the draft audit programme, a detailed audit plan for each audit appropriate to the objectives and scope of the audit will be prepared by GLOCERT INTERNATIONAL Lead Auditor / any competent person in that relevant management system in coordination GLOCERT INTERNATIONAL Lead Auditor before 7 working days and communicated to Customer for their acceptance.
- **7.3.2** While preparing this audit plan, the GLOCERT INTERNATIONAL Lead Auditor will take care of the individual person's knowledge and skills, experience in the related sector specific requirements.
- **7.3.3** The audit plan shall at least include or refer to the following:
  - the audit objectives

- the audit criteria
  - the audit scope, including identification of the organizational and functional units or processes to be audited
  - the dates and sites where the on-site audit activities will be conducted, including visits to temporary sites and remote auditing activities, where appropriate
  - the expected duration of audit activities
  - the roles and responsibilities of the audit team members and accompanying persons, such as observers or interpreters.
- **7.3.4** The audit plan must be communicated, and the dates of the audit shall be agreed upon, in advance, with the Customer.

## **7.4 Certification Audits**

The certification audit will be performed by GLOCERT INTERNATIONAL in two stages i.e. stage 1 and stage 2 and GLOCERT INTERNATIONAL audit methodology may include the below:

- Review of records,
- Interviews with the Customer's employees,
- Observation of processes,
- Review of systems configurations,

Audit is always a sampling activity where the activities performed in each stage is written below for your reference:

### **7.4.1 Stage – 1 Audit**

The stage 1 audit shall be performed to verify:

- The Customer's management system documentation including all levels on documents.
- To evaluate the Customer's location (s) and site-specific conditions and to undertake discussions with the Customer's personnel to determine the preparedness for the stage 2 audit.
- To review the Customer's status and understanding regarding requirements of the standard(s), in particular with respect to the identification of key performance or significant aspects, processes, objectives and operation of the management system.
- To collect necessary information regarding the scope of the management system, processes and location(s) of the client, and related statutory and regulatory aspects and compliance (e.g. quality, environmental, legal aspects of the Customer's operation, associated risks, etc.)
- To review the allocation of resources for stage 2 audit and agree with the client on the details of the stage 2 audit.
- To evaluate if the internal audits and management review are being planned and performed, and that the level of implementation of the management system substantiates that the client is ready for the stage 2 audit.



- To provide a focus for planning the stage 2 audit by gaining a sufficient understanding of the Customer's, management system and site operations in the context of possible significant aspects.
- If the stage 1 is successful, the Lead Auditor can proceed with stage 2 audit immediately provided agreed by client. If stage 1 and stage 2 audits are planned consecutively then an offsite document review will be performed prior to the stage 1 audit and a document review report will be submitted to the client. Client will provide the relevant documents for document review prior to stage 1.
- Stage 1 will be conducted on-site or remotely as per the agreement between GLOCERT INTERNATIONAL and Customer.
- The maximum gap between stage 1 and stage 2 will be 90 days. After the lapse of 90 days, this will be treated as a new certification.
- Client will be given an official report on the outcome of stage 1 audit. All critical non-conformities have to be closed and evidence to be submitted prior to the stage 2 audit. All non-critical non-conformities must be closed and evidence to be shown during stage 2.
- At the end of stage I audit, recommendation may be any one of the following depending upon the findings during the audit:
  - GLOCERT INTERNATIONAL may share a plan for the stage 2 audit with Customer as per the closure status of stage 1 audit.
  - Follow-up Audit

Note: Stage 1 does not require a formal audit plan and the stage 1 output does not need to meet the full requirements of a report.

#### 7.4.2 Stage – 2 Audit

The stage 2 audit will be performed to verify the implementation, including effectiveness, of the client's management system. The stage 2 audit will take place at the site(s) of the client or remotely. It will include at least the following:

- An assessment team will visit the organization's premises for assessment compliance with the procedures and requirements described in their **Quality Management System** or **Environmental Management System** or relevant Management System documentation.
- Information and evidence about conformity to all requirements of the applicable management system standard or other normative document.
- Performance monitoring, measuring, reporting, and reviewing against key performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document).
- The client's management system and performance as regards to legal compliance.
- Operational control of the client's processes.
- Internal auditing and management review.
- Management responsibility for the client's policies.
- Links between the normative requirements, policy, performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document), any applicable legal

requirements, responsibilities, competence of personnel, operations, procedures, performance data and internal audit findings and conclusions.

- The result of the audit will be informed in the concluding meeting.
- Customer will be given an official audit report on the outcome of the stage 2 audit.
- There are four possible outcomes from the stage 2 audit i.e. Certification/Renewal audits:
  - Recommendation for certification subject to closure of the non-conformities.
  - Limited re-audit or follow-up visit at a later date based on the findings.
  - No recommendation for certification, which usually means that a complete re-audit is necessary.
  - Recommendation for certification.
- All critical nonconformities must be closed and evidence to be submitted on GLOCERT INTERNATIONAL Portal within 45 days from the last day of stage 2 for and ISO standard. After the lapse of specified days, this will be treated as a new certification.
- All non-critical nonconformities must be closed and evidence to be shown during next surveillance audit.
- An assessment team will visit the organization's premises for assessment compliance with the procedures and requirements described in their **Quality Management System/Environmental Management System** documentation.
- Non-Conformity Report
- If a nonconformance is detected during assessment, a Nonconformity Report will be issued and a corrective action process will commence. Non-conformances may be classified as Minor or Major. The auditor will discuss with the client the reason for the NCR in order to enable the client to identify the corrective action. The auditor will also explain how **Glocert International Certifications (UK) Limited** will follow up and clear the NCR. Corrective Action shall be verified by **Glocert International Certifications (UK) Limited**.
- In case of minor non-conformance, the Corrective Actions are identified by the client and the documentary evidence submitted to **Glocert International Certifications (UK) Limited** to verify the implementation. In case of a major non-conformance verification shall be done by a follow-up audit. In all cases certificate is not issued unless all NC's are verified by **Glocert International Certifications (UK) Limited** as having been effectively implemented.

## 7.5 Audit Report

- **7.5.1** GLOCERT INTERNATIONAL must provide a written report for each audit to the Customer. The audit team may identify opportunities for improvement but shall not recommend specific solutions. Ownership of the audit report shall be maintained by GLOCERT INTERNATIONAL.
- **7.5.2** The GLOCERT INTERNATIONAL Lead Auditor shall ensure that the audit report is prepared and shall be responsible for its content. The audit report shall provide an accurate, concise, and clear record of the audit to enable an informed certification decision to be made and shall include or refer to the following:
  - identification of the certification body i.e. GLOCERT INTERNATIONAL.

- the name and address of the Customer and the Customer's representative.
- the type of audit (e.g. initial, surveillance or recertification audit or special audits)
- the audit criteria
- the audit objectives
- the audit scope, particularly identification of the organizational or functional units or processes audited and the time of the audit
- any deviation from the audit plan and their reasons
- any significant issues impacting on the audit programme
- identification of the audit team leader, audit team members and any accompanying persons
- the dates and places where the audit activities (on site or offsite, permanent, or temporary sites) were conducted.
- audit findings reference to evidence and conclusions, consistent with the requirements of the type of audit.
- significant changes, if any, that affect the management system of the client since the last audit took place.
- any unresolved issues, if identified
- where applicable, whether the audit is combined, joint or integrated
- a disclaimer statement indicating that auditing is based on a sampling process of the available information.
- recommendation from the audit team
- the audited client is effectively controlling the use of the certification documents and marks, if applicable.
- verification of effectiveness of taken corrective actions regarding previously identified nonconformities, if applicable.

## **7.6 Certification Decision**

- **7.6.1** GLOCERT INTERNATIONAL Lead Auditor submits audit report along with the supporting auditor notes, necessary documents to Head of Certification for technical review.
- **7.6.2** The Head of Certification will make the certification decision on the basis of an evaluation of the audit findings and conclusions and any other relevant information specified in the audit report and other submitted information.
- **7.6.3** The Head of Certification are in its capacity shall have the right to ask for any further clarifications on the report and information submitted on the applicant's process and the applicant shall not refuse to present such information.
- **7.6.4** GLOCERT INTERNATIONAL ensures that the persons or committees that make the decisions for granting or refusing certification, expanding or reducing the scope of certification, suspending or restoring certification, withdrawing certification or renewing certification are different from those who carried out the audits and the individual(s) appointed to conduct the certification decision shall have appropriate competence.
- **7.6.5** Once Head of Certification shares the positive decision then a certificate will be issued that will be valid for 1 year. This is maintained

through annual surveillance audits (partial audits) and a 3 yearly recertification audit (full system audit).

- **7.6.6** Customer can download the ISO certificate(s) from GLOCERT INTERNATIONAL Portal as well as see the audit reports and fill the correction actions and related responses for the issues audit findings.
- **7.6.7** ISO certificate(s) will be verified on GLOCERT INTERNATIONAL website as well as on the Accreditation Board website for authenticity.
- **7.6.7** The **Certificate of Registration** is the property of **Glocert International Certifications (UK) Limited.**, and shall not be copied or reproduced in any way without the prior written approval of Glocert International Certifications (UK) Limited.
- **7.6.8** The certification of Registration will be valid for a period of three years from the date of issue of the certificate, subject to the condition that surveillance audits confirm satisfactory maintenance of the Management System.
- The organisation will be recommended for certification when all non-conformities found during assessment have been closed to the satisfaction of the **Glocert International Certifications (UK) Limited.** Auditor will recommend the organization to the Certification Panel for certification. Upon acceptance by certification panel, the client will be awarded a certificate confirming the organisation's registration as a certified company, subject to clearance of all dues.
- On awarding the certificate, the client's name is included in the list/ database of certified organization.
- The Assistant to Certification assigns a number to each Certificate and registers it in the database "List of audit related data".
- Language of certification (Audit report and Certificate)
- Audit report and Certificate is normally issued in English language. However, if a client wants these in some other specific language, the same will be arranged if possible.
- Basic identification characteristics and contents of the original Certificate
  - Signature of Directors of GLOCERT INTERNATIONAL
  - Certification Logo, with name and address of the certification body (GLOCERT INTERNATIONAL)
  - Registered Alpha numeric certificate number (unique ID)
  - Date of issue.
  - Date of expiry and re certification due date
  - Accreditation Board logo (if accredited)
  - Name of the client and audited address
  - Name and address of the Head Office of the certified organization
  - If Multisite organization s certified, addresses of the audited sites are clearly marked in annexure, if number of sites are more than two.
  - Scope of the audited management system and audit criteria/ audit standard with issue/ version of the audit standard, with reference to audited sites
- If revised certificate is issued cancellation statement and certificate number of cancelled certificate is clearly stated
- Any other information required by the applicable standards or other normative documents

- Certificate is valid for 3 years subject to regular conducting and satisfactory results of the periodical surveillance audits.
- Note: The certificate shall not be released till such time that all dues are completely cleared.

## 8. CERTIFICATION MAINTENANCE

The Certification is maintained for a period of 3 years under the following conditions.

- The Surveillance Audits are conducted as scheduled to ensure continuance of Certification and to maintain validity of the certificate.
- The Quality System is maintained by the certified client and all the non-conformance raised during surveillance are closed to the satisfaction of **Glocert International Certifications (UK) Limited** assessors within the time frame agreed.
- The Internal Audit and the management reviews are conducted as scheduled and there are no issues pending.
- The client shall maintain suitable records of customer complaints and keep the records of investigation and remedial actions taken with respect to such complaints for verification by the **Glocert International Certifications (UK) Limited** assessors.
- All outstanding dues to **Glocert International Certifications (UK) Limited** are paid.

### 8.1 Surveillance Audit

- **8.1.1** GLOCERT INTERNATIONAL will perform annual surveillance audits during the period of the certificate's validity. The surveillance audits will include evaluation of any amended documentation, planning and conduct of the audit, including reporting and registration by certification body.
- **8.1.2** Surveillance audits are conducted regularly to ensure that the Client's Management System continues to conform to the requirements of the standard to which it is certified. The purpose of these audits is to verify that the approved Management System continues to be implemented and to consider the implications of changes to the system initiated as a result of changes in the organization's operation. Surveillance Audits are also to confirm continuous conformity with certification requirements and use of certificate and logo.
- **8.1.3** The frequency and number of these surveillance audits will depend on the efficacy of the client's Management System. Six monthly surveillance audits are preferred for regular maintenance and upgrade of the Management System during the three-year period of Certification of Registration. In any event, at least one Surveillance Audit shall be conducted every year depending on the confidence of **Glocert International Certifications (UK) Limited** in the organization's Management System.
- **8.1.4** In the event that more than a single surveillance audit is conducted during a year, **Glocert International Certifications (UK) Limited** shall decide which elements are to be audited during each of the surveillance audits, ensuring that all elements of the Standard are audited once a year. However, certain key elements crucial to the success of the Management

System will be included in each surveillance audit. Some of these elements are internal audits, corrective actions and handling of customer complaints. **Glocert International Certifications (UK) Limited** shall be granted access for surveillance purposes whenever deemed necessary.

- **8.1.5** For each surveillance audit conducted, **Glocert International Certifications (UK) Limited** will prepare a report that will provide the client with feedback regarding the results of the audit.
- **8.1.6** For major non-conformances, a follow-up audit shall be conducted to verify that corrective action taken is appropriate and adequate before continuation of the organisation's registration is recommended. Corrective action must be verified for effectiveness within the stipulated period of one month to avoid suspension of registration.
- **8.1.7** For minor non-conformances, the organisation has to provide the corrective action plan with target dates acceptable to auditor. For the continuation of recommendation of certification the organisation has to submit the objective evidence of compliance of the corrective action plan provided. The review of effectiveness of corrective Action taken shall be verified at the subsequent audit .
- **8.1.8** In the case that a surveillance audit cannot be carried out because the organisation's operations are affected owing to factors outside its control, e.g.: employee union strike, natural calamity, etc. the case shall be presented to Certification Panel for a decision.
- **8.1.9** The frequency and duration of surveillance audit is dependent on factors including:
  - Complexity and risk of business activities
  - Size and structure of Customer's organization
  - Number of management systems standards included in the scope of certification
  - Number of sites listed within the scope of certification
- **8.1.10** The result of the audit will be informed in the concluding meeting.
- **8.1.11** Client will be given an official report on the outcome of the surveillance audit.
- **8.1.12** All critical non-conformities have to be closed and evidence to be submitted within 45 days from the last day of the audit. After the lapse of specified days, this will be treated as a new certification.
- **8.1.13** All non-critical non-conformities have to be closed and evidence to be shown during next audit.
- **8.1.14** The surveillance audits will have to be carried out within – 3 / + 0 months from the last date of the certification audit for annual surveillance and – 1.5 / + 0 for bi-annual surveillance audit.
- **8.1.15** Any delay from the surveillance audit date will result in suspension. If the Customer did not initiate the audit within 90 days (for annual surveillance) and 45 days (for bi-annual surveillance), the certification body will revoke the suspension. However, any further delay, the certification body will dismiss the certificate.
- **8.1.16** Re-certification audits to be performed minimum of 3 months prior to expiry of the certificate. Generally, only 1 stage of audit is required for re-certification audits. However, if applicable a re-certification audit may be performed in 2 stages.

## 8.2 Recertification Audit

- **8.2.1** The purpose of the recertification audit is to confirm the continued conformity and effectiveness of the management system as a whole, and its continued relevance and applicability for the scope of certification. A recertification audit shall be planned and conducted to evaluate the continued fulfilment of all of the requirements of the relevant management system standard or other normative document.
- **8.2.2** Certification of an organisation's Management System is valid for a period of three years. At the end of this period, certification must be renewed through the conduct of another comprehensive audit on the lines of the certification Audit. If the re-certification audit reveals evidence that the client's company has maintained and continually improved the status of its Management System, **Glocert International Certifications (UK) Limited** shall renew the Certification of Registration for another three years.
- **8.2.3 Recertification** Audit shall be planned and conducted in due time to enable for timely renewal before the certificate expiry date.

## 8.3 Special Audits

A client wanting to extend the scope of the registration to include additional products, processes, services or sites will need to make a written application to **Glocert International Certifications (UK) Limited**.

The application procedure for the extension of the scope will be the same as the application procedure for the initial scope of registration. The fee will depend on the amount of work and time involved for extension of scope of registration.

**Glocert International Certifications (UK) Limited** will conduct a special audit covering those aspects that have been added to the scope. If the audit finds no major non-conformities the client will be issued an amended Registration Schedule covering those aspects.

The client will retain the amended **Certificate of Registration** for the remainder of the tenure of the certificate and handover old certificate to **Glocert International Certifications (UK) Limited**.

The **Glocert International Certifications (UK) Limited** certificate shall bear the address of the site or sites where the audit was conducted. If the client wishes to make a change in the address, a written application shall be made to **Glocert International Certifications (UK) Limited**, which shall determine what needs to be done to maintain the status of the registration.

If the client intends to modify the product, process or Management System, in any way that might affect compliance with the Management System, **Glocert International Certifications (UK) Limited** shall be informed immediately. **Glocert International Certifications (UK) Limited** shall decide whether these changes need an additional audit. If it is found that the client has failed to inform **Glocert International Certifications (UK) Limited** of such changes to the Management System, registration status may be adversely affected.

**Glocert International Certifications (UK) Limited** will treat the fresh certification in following conditions and conducts the re-assessment as per procedure for re-assessment

- In the event of changes significantly affecting the activity and operation of the supplier (Such as changes of ownership, Major changes in personnel or equipment),
- If analysis of a complaints or any other information indicates that the certified/registered clients no longer complies with the requirements of the **Glocert International Certifications (UK) Limited**. and applicable standard.

### **8.3.1 Expanding Scope**

- **8.3.1.1** Special audits shall be carried out whenever there is a modification of scope which include addition or deletion of activities and are applicable to the following changes in the organization:
  - If there is a merger or an acquisition by the Customer.
  - Addition or deletion of process activities.

### **8.3.2 Short-Notice Audits**

- **8.3.2.1** GLOCERT INTERNATIONAL reserves the right to conduct short notice audits under the following situations:
  - Complaints received from the customers or interested parties
  - Company has filed for bankruptcy or has been delisted.
  - Change in the customer's Management
  - Change in the customer's location of activities
  - Change in the customer's business operations
  - Major changes to the management system and processes
  - Follow up on suspended clients
  - Adverse media reports.

### **8.3.3 Transfer Audits**

- **8.3.3.1** GLOCERT INTERNATIONAL considers the request from the Customers seeking transfer of accredited management system certificates issued by another certification body (CB) to GLOCERT INTERNATIONAL during the period of the certificate validity.
- **8.3.3.2** Whenever GLOCERT INTERNATIONAL receives such requests, Sales team must obtain following information from the Customer:
  - Complete Client Information.
  - Existing valid certificate.
  - Reason for seeking transfer.
  - Previous audit report and Status on raised non-conformities.
- **8.3.3.3** The following aspects are verified during the application review process:



- Scope requested by the Organization fall within the scope of GLOCERT INTERNATIONAL
- Validity of certificate to know that its note expired.
- review of complaints and actions taken
- Status on last audit findings as per audit report.
- Verification whether the other CB is covered by a valid Accreditation Board.

### **8.3.3 Use of Logo and Certification Mark**

Rules for usage of the GLOCERT INTERNATIONAL certification mark and the marks of the Accreditation body and some establishments about usage of a management system certificate

- After the grant of a management system certificate, its holder is qualified to use GLOCERT INTERNATIONAL certification mark in line with these rules. All Accreditation Marks should be used primarily in the colors shown on the certificate of conformance and provided by GLOCERT INTERNATIONAL in electronic form, and the holder is required to keep the same height and width ratios. All Marks shall be used in a size that makes all of their features clearly distinguishable.
- The Marks may only be used on correspondence, advertising, and promotional material and must not be used except in connection with those goods or services described in the scope statement of the Certificate of Compliance. The symbols may be used only on those materials (i.e. letterhead, marketing literature, advertising, invoice stock forms, etc.) relating to the particular facility and processes/product lines included within the scope of certification.
- The accreditation mark shall be used always with GLOCERT INTERNATIONAL logo and should appear only as follows:
- Certification mark cannot be used for the scope of activities, which were not certified. If the holder uses certification mark in the way which could evoke illusion that the certification mark relate to activities not certified by GLOCERT INTERNATIONAL, holder is liable to ensure that this fact is displayed on the actual document by the sentence: in the areas (the list of areas) GLOCERT INTERNATIONAL management system certification mark is not valid.
- Certification mark shall not be used in the way, which should evoke illusion at third party that it is certified product or service.
- Certification mark shall be used only in the sites, for which certification took place.
- Certification Mark shall not be applied by certified clients to laboratory test, calibration or inspection reports or certificates.
- GLOCERT INTERNATIONAL shall not be liable for any legal damages which may arise due to use of certification marks by the holder. Holder of marks is liable to keep GLOCERT INTERNATIONAL indemnified against any liability which may arise due to use of certification Marks.

- Certification mark GLOCERT INTERNATIONAL shall not be used in the way which signifies that certification body assumes responsibility for quality of products, services and other activities of a holder.
- It is also possible to use certification mark in different colouring from official display, in this case only one colour can be used for the whole certification mark.
- It is also possible to use other sizes of certification mark like it is in official display, but it is necessary to remain the ratio of certification mark sides according to official display.
- Upon termination of certification for whatever reason, the certified company undertakes to immediately discontinue all use of the symbols and to destroy all stocks of material on which they appear.

### **8.3.4 General Conditions for Certification**

#### **(a) Termination**

Customer and Glocert International Certifications (UK) Limited shall have the right to terminate this agreement at any time giving 30 days written notice of such termination. The customer shall, in case of termination, reimburse Glocert International Certifications (UK) Limited for all man-hours and other costs up to date of termination. Glocert International Certifications (UK) Limited shall receive a termination fee, which is to be negotiated in addition to amount due according to work complete. In no case such termination fee shall exceed 15% of the value of the agreement. All reimbursable are due at the end of said 30 days period.

#### **(b) Confidentiality**

The customer and Glocert International Certifications (UK) Limited will not disclose any information to third parties without prior written consent. Except as required by the law of the Country, and the relevant Accreditation Authorities, Glocert International Certifications (UK) Limited will treat as strictly confidential and will not disclose to any third party without prior written consent of the Customer, any information which comes into the possession of its employees or agents in the course of Assessment or Certification of the Customer's Quality Management System.

#### **(c). Force majeure**

Delay in or failure of performance of either party hereto shall not constitute a default hereunder or give rise to any claim for damage if and to the extent such delay or failure is caused by an act of war, natural disaster, fire, explosion, labor dispute or any other event beyond the control of the party affected and which, by the exercise of reasonable diligence, said party is unable to prevent. The party affected shall notify the other party in writing of the causes and expected duration immediately after the occurrence of any such event.

#### **(d) Law**

The agreement for certification between Glocert International Certifications (UK) Limited and client shall be governed by prevailing law in the United Kingdom. Any dispute arising in connection with the agreement, which cannot be settled by private negotiations between the parties, shall be referred to arbitration as per the The UK Arbitration Act, subject to Delhi jurisdiction. The decision of the arbitration shall be binding for the both parties

#### (e) Fees

The fees shall be detailed in the application form to be filled in by the client. Fees are charged on the basis of applicable rates at the time of submission of the quotation. Glocert International Certifications (UK) Limited may revise the fee submitted in the quotation during the Certification period. Clients shall be notified of any change in the fee.

If an additional audit is required due to the client's request for a change in the scope of registration, Glocert International Certifications (UK) Limited shall charge an extra fee for such audit. For any extra surveillance or follow-up audits that may become necessary owing to non-compliance or the client's own will, Glocert International Certifications (UK) Limited shall charge over and above what is mentioned in the quotation.

Glocert International Certifications (UK) Limited shall charge the client for any extra work resulting from suspension/withdrawal/or cancellation of the Certificate. If Glocert International Certifications (UK) Limited needs to charge extra fees for any scheduled or unscheduled work, it shall send a letter to the client giving a clear basis for the extra fee. Fees shall be payable within 7 days of the invoice date.

On awarding the certificate, the client's name is included in the list/ database of certified organization.

Recommendation letter is issued to the client at the earliest and the certificate is issued within 2 weeks from the audit date, after completing all the required formalities/ processing.

The Assistant to Certification assigns a number to each Certificate and registers it in the database "List of audit related data".

#### Language of certification (Audit report and Certificate)

Audit report and Certificate is normally issued in English language. However, if a client wants these in some other specific language, the same will be arranged if possible.

#### Basic identification characteristics and contents of the original Certificate

- Signature of Directors of GLOCERT INTERNATIONAL
- Certification Logo, with name and address of the certification body (GLOCERT INTERNATIONAL)
- Registered Alpha numeric certificate number (unique ID)
- Date of issue.
- Date of expiry and re certification due date
- Accreditation Board logo (if accredited)
- Name of the client and audited address
- Name and address of the Head Office of the certified organization
- If Multisite organization s certified, addresses of the audited sites are clearly marked in annexure, if number of sites are more than two.
- Scope of the audited management system and audit criteria/ audit standard with issue/ version of the audit standard, with reference to audited sites
- If revised certificate is issued cancellation statement and certificate number of cancelled certificate is clearly stated

- Any other information required by the applicable standards or other normative documents
- Certificate is valid for 3 years subject to regular conducting and satisfactory results of the periodical surveillance audits.

GLOCERT INTERNATIONAL Certification marks cannot be applied on calibration / inspection/ test reports, as such reports are deemed to be products in this context.

The Assistant to Certification of GLOCERT INTERNATIONAL informs the Director on expiry of the Certificate validity at least 60 days before the expiration date. GLOCERT INTERNATIONAL addresses the Auditee and sends him "Application for management system certification" . If the Auditee accepts this application, the GLOCERT INTERNATIONAL arranges an appointment with the client according to procedure P - 07 "Contract Evaluation" and prepares a new management system certification contract.

#### Refusing the Certification

In case the major non-conformities of the certification audit are not closed as per the schedule agreed between the auditee and Audit Team, the certificate is not awarded. It is informed to the client.

#### Procedure for reinstatement of suspended Certificate

If requirements specified in Decision on Certificate suspending were fulfilled within appointed time, GLOCERT INTERNATIONAL will issue Decision on Certificate reinstatement attachment No. 16 and GLOCERT INTERNATIONAL will inform this decision to Auditee.

#### Extensions to Scope

GLOCERT INTERNATIONAL shall, in response to an application for extension to the scope of a certification already granted, undertake a review of the application and determine any audit activities necessary to decide whether or not the extension may be granted. This may be conducted in conjunction with a surveillance audit.

#### Suspension, Withdrawal, Cancellation or Reducing of the Certificate

In case, the client is not showing the interest to schedule the audit or client are not paying the certification fee or is not submitting corrective action plan or compliance against any non-conformity within the time frame or other reason (misuse of logos and certificates, client do not comply with rules and regulations of certification etc.), If analysis of a complaints or any other information indicates that the certified/registered clients no longer complies with the requirements of the Glocert International Certifications (UK) Limited. certification service. the certification is suspended for, one to three months. A notice of suspension is to be issued to client against misleading activities of certification and the client has to respond to Glocert International Certifications (UK) Limited by intimating the proposed corrective/preventive action within a reasonable time frame. Glocert International Certifications (UK) Limited shall verify the submitted corrective actions to decide on withdrawal of suspension notice.

## Consequence upon suspension of certification

- Client has to respond against the suspension.
- Client shall not use the certification logo during the suspensions period.

## Withdrawal

The following reason for which the certification may be withdrawn:

- Does not respond the notice of suspension as above cited.
- The client fails to provide evidence of having completed the corrective/preventive action as per the suspension response.
- Any other reason (like major legal complaint, company involved in malpractices activities, Glocert International Certifications (UK) Limited Scope withdrawal by accreditation body etc.)

## Consequence of withdrawal of certification

- Handover the ISO 9001 Certificates to the Glocert International Certifications (UK) Limited.
- Do not use of logos and certificates
- Remove the logos from letterhead, visiting card, advertising material etc.
- The name of the client shall be removed from the certified client list.
- In case of misuse of certificates and logo, legal actions shall be taken as appropriate.

## Cancellation

- If a client requests cancellation of its Certification, a cancellation request letter is required from client side. The client's certificate must be returned to Glocert International Certifications (UK) Limited. before cancellation.
- The cancellation can be confirmed by the Managing Director.
- The registrant discontinues operation of the certified system.

The Managing Director/ Director Operations shall inform the registrant company about the cancellation through written communication. Glocert International Certifications (UK) Limited Ltd shall provide details of why cancellation is made. Glocert International Certifications (UK) Limited. has authority to publish any notification of such cancellation.

## Consequence of cancellation of certification

- Handover the ISO 9001 Certificates to the Glocert International Certifications (UK) Limited.
- Do not use of logos and certificates
- Remove the logos from letterhead, visiting card, advertising material etc.
- The name of the client shall be removed from the certified client list.
- In case of misuse of certificates and logo, legal actions shall be taken as appropriate.

## Reducing

In the following condition, the certification may be reduced and certificate with amended scope is issued by Glocert International Certifications (UK) Limited.

- Unsatisfactory performance in specific area of scope of certification during the assessment.
- If client request to reduce the scope.

Consequence of reducing of certification scope

- Handover the Previous ISO 9001 Certificate to Glocert International Certifications (UK) Limited.

Complaints, Appeal and Disputes

Complaints

Complaint can be made to the Director regarding the functioning of Glocert International Certifications (UK) Limited in writing. All the complaints will be investigated and the client will be informed of the outcome as per Glocert International Certifications (UK) Limited procedure.

Appeal

Client shall appeal to GLOCERT INTERNATIONAL in respect of the following,

- Non acceptance of client's application for certification
- Not granting, suspending, withdrawing or denying of certification

GLOCERT INTERNATIONAL shall deal with the appeals according to its procedure and shall be responsible for all decisions at all levels of the appeal handling process as per GLOCERT INTERNATIONAL procedure No. P-09 Complaints and Appeals

GLOCERT INTERNATIONAL shall acknowledge the receipt of the appeal and shall provide the client with progress reports and the outcome.

Complaints:

GLOCERT INTERNATIONAL shall investigate the complaint received about the client to decide what action need to be taken and the same shall be communicated to the client at an appropriate time as per GLOCERT INTERNATIONAL procedure No. P-09 Complaints and Appeals. The identity of the complainant shall not be disclosed.

Disputes

All disputes arising from operations which cannot be settled by mutual negotiations believes the parties shall be referred to arbitration set up as per the provision of prevailing, the Arbitration and Conciliation Act, subject to United Kingdom jurisdiction. The decision of the arbitration will be finding on the parties concerted.

Right To Assess the Client Records By Concerned Accreditation Body

Accreditation body of Glocert International Certifications (UK) Limited and/or Glocert International Certifications (UK) Limited has authority to assess the client's quality

management system through their planned activities/survey. Certified client has to provide necessary information and access.

Accreditation body of Glocert International Certifications (UK) Limited and/or Glocert International Certifications (UK) Limited has authority to access the client's record in case of complaints by customer of certified client. Certified client has to provide necessary information and access.

