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**REFUSING, EXTENDING, REDUCING,  
SUSPENDING, RENEWING, RESTORING,  
WITHDRAWING CERTIFICATION AND SPECIAL AUDITS**

**1.0 OBJECTIVE**

To ensure that the conditions for reducing, extending, suspending and withdrawing certification are clearly defined.

**2.0 SCOPE**

This procedure covers all certifications of management systems for the clients certified by NRFMTTI and also for carrying out special audits when required.

**3.0 RESPONSIBILITY**

The responsibilities for implementation and compliance are as indicated in the procedure.

**4.0 PROCEDURE**

**4.1. Criteria for extending the scope of certification**

NRFMTTI requires that a certified organization seeking extension to the existing scope, shall apply with the supporting documents. These are reviewed by Team Leader-CB to assess whether the extension sought to current scope can be granted and it is within the capability of NRFMTTI.

4.1.1 Procedures as applicable for contract review and for organizing audits covering the revised scope are followed for grant of extension.

4.1.2 Depending on the need, it may be combined with surveillance audits or an exclusive audit may be organized by Team Leader-CB. The existing documented procedures are adhered to revise the certificate.

4.1.3 The conditions for extending or reducing the scope of certification are indicated in **ANNEXURE – I**.

**4.2 Suspending, withdrawing or reducing scope of certification**

The decision for suspension, withdrawal or reducing scope of certification is taken based on the criteria given in **ANNEXURE – I**. Any suspensions and withdrawals are denoted in the List of clients accordingly and the list shall be made publicly accessible.

4.2.1 Upon suspension the client's management system becomes temporarily invalid. Team Leader-CB liaise with the client and invokes the enforceable arrangements made with the client and ensure that the

client refrains from further promotion of certification.

- 4.2.2 The suspension status is made accessible to public and NRFMTTI shall take any other measures considered appropriate.
- 4.2.3 Failure to resolve the issues that have resulted in suspension within 6 months shall result in withdrawal of certification or reduction of the scope of certification.
- 4.2.4 Team Leader-CB ensures, as a part of certification agreement that an enforceable arrangements are made with the clients, on the conditions of withdrawal. The agreement covers issuance of notice of withdrawal to the client, to discontinue its use of all advertising or any communication that contains reference to a certified status.
- 4.3** The directory of certified clients is updated incorporating current status and this is made publicly accessible. Upon receipt of request from any party, Team Leader-CB ensures communication of current status correctly of the client's management system as being suspended, withdrawn or reduced.

**4.4 Short – notice audits.**

- Short notice audits may be required to be conducted to investigate complaints or in response to the changes or as a follow up of suspension of certification.
- In these cases Team Leader-CB informs in advance to the certified clients providing the conditions for these short notice audits. Also additional care is taken in the assignment of the audit team because of the lack of opportunity for the client to object to audit team members.

**4.5 Modification of Scope for UAS**

Extension of scope of certificate for inclusion of additional facilities therein under the same certificate shall be done after

- Ascertaining that the certified organization has requisite resources required e.g. raw materials, process controls, manufacturing machinery, test facilities and technical skills for including additional facilities and products under extension of scope, through an on-site evaluation, and
- Test reports for sample of products of the additional facilities are on independent testing found conforming to requirements of the Criteria
- For extension of scope of certificate for inclusion of additional facilities within an existing UAS under the same certificate, the certification body shall
- Draw samples with additional facilities as per sampling plan for Independent testing.
- Process for extension of scope for the additional facilities on the basis of test reports of additional facilities in the same UAS, provided by the manufacturer, subject to conformity of samples on independent testing mentioned above.

The extension of scope shall be clearly mentioned in the certificate document along with its date of inclusion for avoiding any misrepresentation or misinterpretation. Irrespective of the date of inclusion, the validity of the Certificate shall remain unchanged.

#### **4.6. Suspension**

- 4.6.1 The certification body shall issue instructions to the certified UAS manufacturers for suspension of certification when
- A critical NC is raised during any surveillance audit and not resolved within 15 days
  - The major NCs issued are not closed in timelines prescribed
  - Repeated major NCs are raised in consecutive surveillance assessments
  - There is failure to organize a surveillance audit within the specified time period
  - There is non payment of outstanding dues
  - Any major changes have taken place in the legal status, ownership, name etc without prior information to the CB
  - Any wilful misuse of the logo of the Scheme is detected
  - Any wilful false declaration in the application form or otherwise is detected
  - Excessive or serious complaints against the UAS or management system are received and are found to be valid
  - The UAS manufacturer voluntarily requests a suspension. Such request must be submitted in writing to the CB along with the reasons. The CB may decide to accept the request but may not allow the client to revoke suspension on its own.
- 4.6.2. The certification body shall issue due notice of at least one week for suspension of certification to the UAS manufacturer. In case of critical NCs, the notice may not be required.
- 4.6.3. On receipt of instructions for suspension of certification, the certified UAS manufacturer shall suspend claiming UAS certification with immediate effect.
- 4.6.4. The certification body shall revoke suspension only when Corrective actions have been taken and verified by the certification body.
- 4.6.5. Suspension shall not exceed a period of six months. The UAS manufacturers inability to resolve issues relating to suspension within this period shall lead to withdrawal of certification after due notice of 15 days is given.

#### **4.7. Withdrawal**

- 4.7.1. Certification body shall withdraw the certificate when
- Certified unit contravenes the terms and conditions of certification and provisions of the UAS certification scheme
  - UAS is not conforming to the requirements of the Certification Criteria and the corrective actions taken are not ensuring compliance,
  - The proposed plan for corrective actions will take a considerable time beyond 6 months for implementation.
- 4.7.2. Certification body shall withdraw the certificate at the request of the certified UAS manufacturer, if the operation(s) in the certified UAS manufacturers premises can no longer be carried due to reasons of natural calamities such as flood, fire, earthquake etc, lock out declared by the management, or closure of business operations etc.

### 4.7.3. Change of Location / Ownership / Name

#### 4.7.3.1 Duty of Information

4.7.3.1.1. The certified UAS manufacturers shall inform the CB of any change:

- in the location of the plant
- in the ownership
- in the name

#### 4.7.3.2. Treatment of information

4.7.3.2.1. On receipt of information related to change in location of plant, the certification body shall suspend certification of the certified UAS manufacturer with immediate effect. The certified UAS manufacturer shall be subject to an evaluation at the new site like certification audit of an applicant. If the evaluation is satisfactory, the CB shall transfer the Certificate to the new location and the suspension of the UAS manufacturer shall be revoked. The CB shall endorse the change of premises on the Certificate. In case of an applicant changing location, a fresh evaluation at the new site shall be carried out.

4.7.3.2.2. In the event of change in ownership, the UAS manufacturer shall provide necessary documentary evidence to the CB. The new management of the organization shall submit its acceptance of the agreement for certification with the CB. The same process shall be followed as and when an existing applicant undergoes a change in management. This shall not call for a visit to the production site

4.7.3.2.3. In the event of change in the name of the company/firm, the applicant/certified UAS manufacturer shall inform the change in the name to the CB supported with documentary evidence, and if satisfied the CB shall endorse the Certificate in the new name

### 4.8. Cancellation

4.8.1. Certification body shall cancel the certificate when ;

- a. Certified unit contravenes the terms and conditions of certification and provisions of UAS certification scheme like repeated failures of samples, suspension of certificate, inadequate corrective actions, lack of compliance to internal quality protocol, misuse of UAS Certification Mark(s) etc.
- b. UAS are failing and not conforming to the requirements of the Certification Criteria and the corrective actions taken are not ensuring compliance, or the proposed plan for corrective actions will take a considerable time beyond 6 months for implementation;

In case of any of the situations as mentioned above, NRFMTTI will communicate the decision of cancelation to the client within Fifteen days from the date it is noticed by NRFMTTI. In case of Two consecutive failure of test samples conducted externally will be considered as repeated failure of samples.

4.8.2. NRFMTTI shall cancel the UAS certification certificate at the request of the certified unit, if the operation(s) in the certified units premises can no longer be carried due to reasons of natural calamities such as flood, fire, earthquake etc, lock out declared by the management, or closure of business operations etc.

On receipt of communication from the client, the designated person will review the reasons, record the same and forward the cancellation to the client.

#### **4.9. General**

- NRFMTTI will provide notification to the registered customer of Suspension or cancellation or reinstatement immediately by telephone, fax, e-mail.
- NRFMTTI reserves the right to publish notices of Suspension or cancellation or withdrawal.
- The registered customer shall be afforded the opportunity to appeal any Suspension or cancellation. The status of suspension and withdrawal shall be published in the NRFMTTI website.

**ANNEXURE – I**

**Condition for Extending, Reducing, Suspension and Withdrawal of Certification**

Sr. No	Activities	Requirements	NCR Status/Conditions
1	Refusing the Certification	<ul style="list-style-type: none"> <li>• Company is unable to demonstrate itself as a legal entity.</li> <li>• Applied scopes by the company are not evident</li> <li>• Company unable to demonstrate all the requirements of the standard.</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Major NC's open</b></li> </ul>
2	Extending scope of certification	<ul style="list-style-type: none"> <li>• The assessment of additional scope shall be covered during the surveillance audit, or special audits and a new certificate with the original validity period will be issued on fulfilling the requirements.</li> </ul>	<ul style="list-style-type: none"> <li>• Major NCs-NIL</li> <li>• Minor NCs-Reported / closed</li> </ul>
3	Reducing scope of certification	<ul style="list-style-type: none"> <li>• Request from the customer with reasons.</li> <li>• Review the implications of reduction of scope during surveillance. NRFMTTI may decide to carry out special audit when required.</li> <li>• Scope can be reduced to exclude the parts not meeting the requirements or when the client has seriously failed to meet the requirements for the parts covered in the scope. Any such reduction shall be in line with the requirements of the governing standard.</li> </ul>	<ul style="list-style-type: none"> <li>• Based on Auditors report certificate will be revised and re- issued to customer with revised scope.</li> </ul>
4	Suspending	<ul style="list-style-type: none"> <li>• Clients certified management system has persistently or seriously failed to meet certification requirements including for the effectiveness of management system</li> <li>• The client does not allow surveillance or recertification audits to be conducted at the required frequency</li> <li>• The certified client has voluntarily requested for suspension</li> <li>• If any NC is not closed or no</li> </ul>	<ul style="list-style-type: none"> <li>• Major NCs-Reported and when no actions are taken.</li> <li>• Minor NCs-Reported and not closed.</li> </ul> <p>These may be verified during surveillance audits or in any special visits</p> <p align="center">Major NCs- Reported</p>

		<p>response is received from the certified organization within a period of maximum 90 days.</p> <ul style="list-style-type: none"> <li>• Suspension period to be intimated to client with an advice to implement the system within the specified period.</li> <li>• Maximum suspension period would be 6 months, during which NRFMTTI to verify by audit that the client is meeting the requirements of the standard in toto.</li> <li>• Improper usage of logo</li> <li>• Failure to resolve the issues that have resulted in suspension within 6 months.</li> <li>• Fully not meeting the requirements of applicable standard.</li> </ul>	Minor NCs - Reported
	Renewing of Certification	<ul style="list-style-type: none"> <li>• Based on client application and satisfactory fulfillment of standard requirements.</li> </ul>	<ul style="list-style-type: none"> <li>• Nil Major NC's</li> </ul>
4	Restoring Following Suspension	<ul style="list-style-type: none"> <li>• When the client has closed all the Non Conformities to the satisfaction of the audit team.</li> <li>• When the client is ready for onsite audit and successful completion of the audit.</li> </ul>	<ul style="list-style-type: none"> <li>• NCs Closed</li> </ul>
5	Withdrawal *	<ul style="list-style-type: none"> <li>• Verifying and reporting by NRFMTTI that the certified organization has not taken timely corrective action on all non-conformities during audit (major and minor) resulting non implementation of the systems.</li> <li>• Request by the applicant / certified organization.</li> </ul>	

\* Decision taken by Director shall be final

\* Confidentiality of the relevant information shall be maintained by NRFMTTI.

\* Suspended status of certification shall be made publicly accessible.