

BSA INTERNATIONAL CERTIFICATION CO. PRIVATE LIMITED	<p align="center"><u>BUSINESS PROCEDURE</u></p> <p align="center">Granting, Refusing, Maintaining, Expanding or Reducing the Scope of the Certification, Renewing Suspending or Restoring Following Suspension and Withdrawing Of Certification</p>	Doc No : BSA/BP/RSW/01 Issue No : 06 Issue Date : 01.04.25 Revision No : 00 CLAUSE : ISO/IEC 17021-1:2015
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Revision and Issue History

Revision	Issue	Date	Description	Remarks
00	01	01.11.10	Original Release as per Standard ISO/IEC 17021:2011	
00	02	12.12.12	Revision and Issue History Added	
00	03	25.02.16	Revised as per Standard ISO/IEC 17021-1:2015	
00	04	25.11.16	Website updating control Method Added	
00	05	25.09.19	Clarified the different between Certification Manager(s) and Head of Operation Personnel.	
00	06	01.04.25	The process of Suspension part Added the Pre-Suspension Notice issuing process and Clearly stated RCA and CA Non conformity closure time	

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OBJECTIVE:

To lay down the procedure and conditions for granting, maintaining, extending, reducing, suspending and withdrawing certifications.

WHAT THIS PROCEDURE APPLIES TO:

QMS Certification System.

PROCEDURE

The Head of Operation and Certification Manager(s) both are assigned as certification decision makers by the BSA Board of Directors.

Reference Resolution letter for appointing Head of Operation and Certification Manager(S) as a certification decision makers through board of Directors.

If Head of Operation it self doing audit then Certification Manager(s) are responsible for certification decision making.

BSA Head of Operation/ Certification Manager(s) is responsible and retains authority for its decisions relating to certification, including the granting, refusing, maintaining of Certification, renewing, expanding or reducing in the Scope of Certification, Renewing, suspending or Restoring following Suspension or withdrawing of certification. The BSA shall ensure 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. Head of operation of the BSA is the responsible & authority for all its decision. Also Decisions for granting ,refusing, maintaining of certification ,expanding or reducing the scope of certification, renewing, suspending or restoring following suspension or withdrawing of certification is not outsourced.

1. Granting certification

Granting certification means the state that the compliance to the certification requirements has been confirmed by the BSA as per its certification procedures.

The certification is granted and recorded in list of certified clients (BSA/LIS/LCC/01) also on the website of BSA and Accreditation body website (If Applicable) within 12 Hours from Issuing the Certificate, after the following conditions have been met by the applicant

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organization.

- ✓ Customer has a documented management system that meets applicable standard or other normative documents.
- ✓ One internal Audit and management review cycle has been completed and non-conformity's, if any have been corrected.
- ✓ The applicant meets the criteria of certification and all major non-conformities, if any found during assessment have been closed. For minor NC's corrective action taken or planned has been received.
 - ❖ RCA and Proposed CA will be submitting within 07days from the last day of the audit.
 - ❖ Evidence of Closures will be submitted and closed within 30 Days.
- ✓ There are no adverse reports/information/complaints with the BSA about the applicant regarding the quality and effectiveness of implementation of system as per BSA Contract terms and schemes for registration (BSA/FMT/CTR/01).
- ✓ The applicant has paid all the fees.

2. Refusing

The certification is Refusing by BSA Head of operation, if the following conditions have not been met by the applicant organization.

- ✓ Customer has a documented management system that meets applicable standard or other normative documents.
- ✓ One internal Audit and management review cycle has been completed and non-conformity's, if any have been corrected.
- ✓ The applicant meets the criteria of certification and all major non-conformities, if any

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found during assessment have been closed. For minor NC's corrective action taken or planned has been received.

- ✓ There are no adverse reports/information/complaints with the BSA about the applicant regarding the quality and effectiveness of implementation of system as per BSA Contract terms and schemes for registration (BSA/FMT/CTR/01).
- ✓ The applicant has paid all the fees.

Where a client has received management systems consultancy from a body that has a relationship with a BSA, this is a significant threat to impartiality. A recognized mitigation of this threat is that the BSA Does not certifies the management system for a minimum of two years following the end of the consultancy.

In case the certification is refused the validity of the BSA agreement with client comes to an end, 3 months after the refusing is announced .If the Client does not submit an appeal or will not submit a new application for audit .The cost will be charged by BSA to the client in accordance with the beforehand agreed prices regardless to any appeal.

3. Maintaining of Certification:

Maintaining Certification means the state that demonstrates that the client continues to satisfy the requirements of the management system standard based on the positive conclusion/recommendation by the audit team leader during on-going surveillance. For any major non-conformity or other situation that may lead to suspension or withdrawal of certification, the team leader reports to the certification manager / Head of operation.

Certification manager / Head of operation review independently to determine whether certification can be maintained.

The certification is maintained after the following conditions have been met by the

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customer.

- ✓ The certified organization continues to meet the criteria of certification and any Major non-conformity found during surveillance assessment has been closed with in the time period.
- ✓ There are no adverse reports/information/complaints with the BSA about the applicant regarding the quality and effectiveness of implementation of certification system as per BSA certification Criteria.
- ✓ The client has paid all the outstanding dues.

Certification manager / Head of operation monitor its surveillance activities, including monitoring the reporting by its auditors, to confirm that the certification activity is operating effectively.

Special audits/short notice audits may be performed in accordance to the situation

4.Suspension of Certification:

Suspension certification means the state that the customer’s certification is suspended as a result of following.

- A. Customer does not accept surveillance or recertification audits to be conducted at the required frequencies(the date of first surveillance audit cannot be more than 12 months from the certification decision date. Surveillance audits are conducted at least once a year).
- B. BSA determined that customer does not have resources to meet the requirements of the certified system.
- C. Excessive or serious complaints by interested parties and social conflicts.

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- D. The required actions against the changes of certification system or requirements have not been taken by customer during the specified period.
- E. No /ineffective correction action in response to the non-conformities observed during surveillance/reassessment.
- F. Any willful misuse of logo of BSA or Accreditation Mark
- G. Not correcting misuse of certification mark. With in (1) month.
- H. Non payment of outstanding dues with in one month after completion of audit.
- I. Customer used and applied the certificate (certification) to out of its scope.
- J. It is provided that the information and/or materials provided by customer during assessment re misleading.
- K. Customer does not comply with article “Notification of customer’s change and Assessment for conforming change “of the contract.
- L. BSA determined that customer does not comply with the agreement(s) and/or contract(s) concluded with BSA.
- M. BSA determines that customer does not comply with ‘obligations of certified customer’.
- N. Any other condition deemed appropriate by BSA management.
- O. The certified client has voluntarily required a suspension.

Process of Suspension:

BSA will be sent Pre-Suspension Notice through postal/mail/Courier/Email/Fax to the customer before 15 Days of Expiry of the certificate. If the customer don’t take adequate action within fifteen days / Expiry Date of the Certificate / 12 Months from the certification decision date for 1st (SA) the certificate will be suspended,

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Suspension remains in force until two months or less as deemed necessary by BSA for removal of reasons for suspension. BSA make the suspended status of the certification publicly accessible through its website www.bsastandards.com.

5. Restoring following Suspension

After declaring the closure of the suspension reasons of the in writing by suspended companies, The suspense is removed for this purpose an audit is conducted (if necessary) to conform the elimination of the suspension reasons by BSA.

The scope and time of the audit for restoring following suspension status is determined as per the reason of suspension. The BSA head of operation shall restore the suspended certification If that has resulted in the suspension has been resolved. Failure to resolve the issues that have resulted in the suspension in a time established by the BSA, result in withdrawal or reduction of the scope of certification.

The removal of the suspension is declared to company in writing

The expense incurred shall be recovered from client before revoking suspension that would be at least equivalent to half of the surveillance fee.

If necessary Special short notice audits are planned as necessary depending upon the reason for suspension in accordance with BSA certification system.

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6. Expanding of Scope of Certification

In order to expand the scope of a certification covers additional sites, products, process or services, The certificate holder will be required to complete a new questionnaire ,The cost of expanding the scope of registration will be based on the natural and programme of work, Following a successful assessment an amend assessment schedule will be issued covering those respects covered by the expanded certificate.

All though the original certificate will normally remain in force it may be necessary in some instance to issue a new certificate, in such case the certificate holder must return the superseded certificate to BSA.

7. Reduction of Scope of Certification;

Reducing certification means the state that the customer doesn't fulfill some of the certification requirements under the scope of certification after granting.

Causes of reduction of scope of Certification:

If customer is not complying with following, BSA may reduce scope of customer's certification.

- Failure to resolve the issues that have resulted in the suspension in a time established by the BSA.
- Customers request.
- To exclude the parts not meeting the requirements, when the client has persistently or seriously failed to meet the certification requirements for those parts of the scope of certification. Any such reduction is in line with the requirements of the standard used for certification.
- If correction or corrective action is not taken within the time agreed certification could be reduced, suspended or withdrawn.

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Customer discontinues some of the activities (manufacturing, installation, etc.) Related to the scope of certification.

Process of reducing scope of certification:

BSA informs the customer in writing of reduction of scope of certification through ‘Reduction of scope of certification Intimation letter’ and revises List of certifies clients- BSA/REC/LCC/01, BSA updates the information on BSA website to make it publicly accessible. Customer is required to amend all advertising matter when the scope is reduced.

8. Renewing:

Certification manager/Head of Operation makes decision on renewing certification based on the result of the recertification audit, as well as the result of the review of the system over the period of certification and complaints received from the user of certification.

The Re-Certification / Renewing procedures are described in Procedure for Initial Certification, Surveillance activities and Recertification – BSA/BP/AUD/01

9. Withdrawing of certification:

Withdrawing certification means the state that the customer’s certification is withdrawn under the following condition(s):

- a. Failure to correct suspension within time established by BSA(One month for non payment of dues and two months for delay in surveillance and other reasons).
- b. Customers request.
- c. The certified customer is no longer identified because of its dismantlement or communication disconnecting ,etc.,

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d. The suspension of customer's certification is more than 3 times during the term of validity of its certification.

e. after receipt of BSA request to return the certificate(s), Customer didn't return it's certificate(s) to BSA with in (1) month.

Process of withdrawing certification:

BSA informs the customer in writing of withdrawal of certification through Notice for **Withdrawal of certification intimation letter**, if the reasons of suspension are not removed, BSA revises list of certified clients-BSA/LIS/LCC/01 and update the information on BSA website to make it publicly accessible.

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

Appeals & Complaints:

Any decision or action taken regarding this documents may be appealed in accordance with procedure for appeals and Complaints-BSA/BP/AAC/01

Records:

1. List of certified clients-BSA/LIS/LCC/01
2. Application for amendment- BSA/FMT/AFA/01
3. Suspension Notice
4. Reduction of scope of certification intimation Letter
5. Withdrawal of certification Intimation letter
6. Procedure for appeals and Complaints-BSA/BP/AAC/01
7. Contract Review Form-BSA/REC/CRF/01.

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