

Document No.	:	NVT/QP/2/006
PAGE	:	Page 1 of 10
ISSUE:REV	:	06:00
DATE	:	02.01.2019

NVT/QP/2/006
**PROCEDURE FOR GRANTING, REFUSING, MAINTAINING, EXTENDING, SUSPENDING,
WITHDRAWING OR REDUCING OF CLIENT CERTIFICATES**

- 1.0 : OBJECTIVE** : To ensure compliance to requirements of ISO/IEC/17021/AS9104/1 and NABCB/ANAB 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** :

SI. No.	Activity	Input Requirements (Standards/Documents)	Output/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 and AQMS audit and after certification decision by CH/CEO. Directory of certified clients is updated. No recommendation for certification shall be		NVT/FORM/4/15 – 2 (Directory of Certified Clients)

Document No.	:	NVT/QP/2/006
PAGE	:	Page 2 of 10
ISSUE:REV	:	06:00
DATE	:	02.01.2019

	<p>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. No unaccredited AQMS 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>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>

Document No.	:	NVT/QP/2/006
PAGE	:	Page 3 of 10
ISSUE:REV	:	06:00
DATE	:	02.01.2019

			Logo format NVT/FORM-N/4/014-6(Logo for QMS & AQMS)
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/AQMS, effective review is made to ensure that:</p> <ol style="list-style-type: none"> Information provided by audit team is sufficient with respect to the certification requirements and the scope for certification. Any major non-conformity is reviewed, accepted and verified for correction and corrective action and settled. For QMS/AQMS, any minor NC will be reviewed and the client's plan for correction and corrective action is accepted. <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/AQMS to requirements of the standard, or in case nonconformities</p>	<p>NVT/FORM/4/025 (Checklist for Review and Approval of Audit Reports (QMS))</p> <p>NVT/FORM/4/025 (Checklist for Review and Approval of Audit Reports (AQMS))</p>	<p>Directory of certified clients NVT/FORM/4/015-1 & 015-2 & OASIS Database.</p>

Document No.	:	NVT/QP/2/006
PAGE	:	Page 4 of 10
ISSUE:REV	:	06:00
DATE	:	02.01.2019

	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		
4	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.		
5	If extension / change of scope or inclusion of additional site is requested by the client, 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>Certificate Templates.</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>

Document No.	:	NVT/QP/2/006
PAGE	:	Page 5 of 10
ISSUE:REV	:	06:00
DATE	:	02.01.2019

			<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 & AQMS)</p> <p>Directory of certified clients NVT/FORM/4/015-1 & 015-2 & OASIS Database.</p>
6	In case a reduction in scope or in the number of sites is intimated by the client or is discovered during 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.		<p>Certificate Templates.</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>

Document No.	:	NVT/QP/2/006
PAGE	:	Page 6 of 10
ISSUE:REV	:	06:00
DATE	:	02.01.2019

			<p>Logo format NVT/FORM-N/4/014-6(Logo for QMS & AQMS)</p> <p>Directory of certified clients NVT/FORM/4/015-1 & 015-2 & 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>Certification Manager(s), on the recommendation of the Lead Auditor shall 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>NVT/INST/3/009 - Instruction for on placing on Probation/Suspension/Withdrawal of Certificates.</p>	<p>NVT-QC web-site/IAQG-OASIS database.</p>

Document No.	:	NVT/QP/2/006
PAGE	:	Page 7 of 10
ISSUE:REV	:	06:00
DATE	:	02.01.2019

	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.		
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"> a) Major nonconformities observed during surveillance audits or of major/ repeated nonconformities detected during audit. b) Planned corrective actions on nonconformities observed during surveillance audits not implemented satisfactorily. c) Information from Executive-Planning regarding non-cooperation resulting in unacceptable delays in conduct of surveillance audits. d) Information from Executive-Finance regarding non-receipt of payments within 90 days of the date of invoice. 	NVT/INST/3/009 - Instruction for placing on Probation/Suspension/Withdrawal of Certificates.	<p>NVT-QC website / IAQG OASIS database.</p> <p>Directory of certified clients NVT/FORM/4/015-1 & 015-2 & OASIS Database.</p>

Document No.	:	NVT/QP/2/006
PAGE	:	Page 8 of 10
ISSUE:REV	:	06:00
DATE	:	02.01.2019

	<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 QMS.</p> <p>In case of 8 (c), Executive- Planning shall notify the client that the certificate is suspended, till the surveillance audit is planned, conducted and all nonconformities</p>		
--	--	--	--

Document No.	:	NVT/QP/2/006
PAGE	:	Page 9 of 10
ISSUE:REV	:	06:00
DATE	:	02.01.2019

	<p>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 shall be posted in the website.</p> <p>Audits for restoration of withdrawn certificates shall be treated as initial audits.</p>		
--	--	--	--

Document No.	:	NVT/QP/2/006
PAGE	:	Page 10 of 10
ISSUE:REV	:	06:00
DATE	:	02.01.2019

	<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 & 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>Note: 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"> (a) Returns existing certificate and (b) Corrects any advertising matter/ publication where an invalid reference to certification is made. 		