



TATA PROJECTS  
QUALITY SERVICES

# TQ SERVICES

## TQ SERVICES PROCEDURE

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

PROCEDURE NO. : **CBP- 09**

REV.NO.  
05

DATE:  
01.04.2023

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### PROCEDURE FOR REFUSING, EXTENDING, REDUCING, SUSPENDING, REVIEWING, RESTORING AND WITHDRAWING CERTIFICATION

05	01.04.2023	Name of Prepared by and Approved by Changed
04	22.04.2019	Annexure 1 (point No. 5 & 6) updated
03	12.05.2017	Changes as per ISO 17021: 2015 standard
02	27.02.2016	Designation of AGM-QA to AGM QA, TQ Services changed to TQS
01	27.03.2015	Designation of Head-QA changed to Senior Manager-QA
00	03.01.2011	First issue

REV. NO.	DATE	BRIEF RECORD OF REVISIONS
PREPARED BY : Head - QA		APPROVED BY : Chief of Certification
SIGNATURE :		SIGNATURE :
NAME : Bhagya Sree		NAME : Krishna Datta



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### 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 TQS 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

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

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 Head-QA. 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. CE or Head-QA liaise with the client and invokes the enforceable arrangements made with the client and ensure that the client refrains from further promotion of certification.



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4.2.2 The suspension status is made accessible to public and TQS 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 certificate or reduction of the scope of certification.

4.2.4 Head-QA 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, Head-QA 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 Head-QA 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.

#### 5.0 **REFERENCES**

Procedure for certification decision and		
Issue of certification documents	---	CBP-10
Procedure for handling appeals		
And complaints	---	CBP-13
Procedure for Document control	---	CBP-14
Procedure for Control of Records	---	CBP-15

#### 6.0 **RECORDS**

Record of audit report review for decision: CBF-06



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## ANNEXURE – I

### Condition for Extending, Reducing, suspension and withdrawal of Certification

Sl. 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>Major NCs open</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 TQS 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</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>



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		<p>audits to be conducted at the required frequency</p> <ul style="list-style-type: none"> <li>• The certified client has voluntarily requested for suspension...</li> <li>• If any NC is not closed or no response is received from the certified organization within a period of maximum 90 days.</li> <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 TQS to verify by audit that the client is meeting the requirements of the standard in too</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>	<ul style="list-style-type: none"> <li>• Major Reported NCs-</li> <li>• Minor Reported NCs -</li> </ul>
5	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>• NCs Closed</li> </ul>
6	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> <li>• Revocation letter will be issued to client on successful completion of audit</li> </ul>	<ul style="list-style-type: none"> <li>• NCs Closed</li> </ul>
7	Withdrawal *	<ul style="list-style-type: none"> <li>• Verifying and reporting by TQS 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>	<ul style="list-style-type: none"> <li>•</li> </ul>



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- \* Decision taken by COC shall be final
- \* Confidentiality of the relevant information shall be maintained By TQS.
- \* Suspended status of certification shall be available on request.