



# GLOBUS CERTIFICATIONS PVT LTD

## PROCEDURE – MAINTAINING CERTIFICATION

P-9.6, Issue 1, 01.01.2017

### 1. PURPOSE

To define a procedure for maintaining certification – a) carrying out surveillance and recertification activities, b) carrying out special audits, c) suspending, withdrawing or reducing scope of certification).

### 2. REFERENCE

Clause 9.6 of ISO/IEC 17021-1: 2015

### 3. RESPONSIBILITY

Technical Manager

### 4. PROCEDURE

#### 4.1 General

GLOBUS maintains certification based on demonstration that the client continues to satisfy the requirements of the management system standard. It may maintain a client's certification based on a positive conclusion by the audit team leader without further independent review and decision, provided that:

- a) For any major nonconformity or other situation that may lead to suspension or withdrawal of certification, GLOBUS has a system that requires the audit team leader to report to GLOBUS the need to initiate a review by competent personnel (see 7.2.8), different from those who carried out the audit, to determine whether certification can be maintained.
- b) Competent personnel of GLOBUS monitor its certification activities, including monitoring the reporting by its auditors, to confirm that GLOBUS is operating effectively.

#### 4.2 Surveillance activities

##### 4.2.1 General

**4.2.1.1** GLOBUS has developed its surveillance activities so that representative areas and functions covered by the scope of the management system are monitored on a regular basis, and take into account changes to its certified client and its management system.

**4.2.1.2** Surveillance activities include on-site audits of the certified client's management system's fulfillment of specified requirements with respect to the standard to which the certification is granted. Other surveillance activities may include

- a) Enquiries from the certification body to the certified client on aspects of certification,
- b) Reviewing any certified client's statements with respect to its operations (e.g. promotional material, website),
- c) Requests to the certified client to provide documented information (on paper or electronic media),
- d) Other means of monitoring the certified client's performance

##### 4.2.2 Surveillance audits

Surveillance audits are on-site audits, but are not necessarily full system audits, and are planned together with other surveillance activities so that GLOBUS can maintain confidence that the client's certified management system continues to fulfill requirements between recertification audits. Each surveillance for the relevant management system standard includes;

- a) Internal audits and management review,
- b) A review of actions taken on nonconformities identified during the previous audit,
- c) Complaints handling,
- d) Effectiveness of the management system with regard to achieving the certified client's objectives, and the intended results of the respective management system(s),
- e) Progress of planned activities aimed at continual improvement,
- f) Continuing operational control,
- g) Review of any changes,



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- h) Use of marks and/or any other reference to certification.

### 4.3 Recertification

#### 4.3.1 Recertification audit planning

**4.3.1.1** The purpose of 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 is planned and conducted to evaluate the continued fulfillment of all of the requirements of the relevant management system standard or other normative document. It is planned and conducted in due time to enable for timely renewal before the certification expiry date.

**4.3.1.2** The recertification activity includes the review of previous surveillance audit reports and consider the performance of the management system over the most recent certification cycle.

**4.4.1.3** Recertification audit activities may need to have a stage 1 in situations where there have been significant changes to the management system, the organization, or the context in which the management system is operating (e.g. changes to legislation).

**Note** – Such changes can occur at and GLOBUS might need to perform a special audit (see 4.4), which might or might not be a two-stage audit.

#### 4.3.2 Recertification audit

**4.3.2.1** The recertification audit includes an on-site audit that addresses the following:

- a) The effectiveness of the management system in its entirety in the light of internal and external changes and its continued relevance and applicability to the scope of certification;
- b) Demonstrated commitment to maintain the effectiveness and improvement of the management system in order to enhance overall performance;
- c) The effectiveness of the management system with regard to achieving the certified client's objectives and the intended results of the respective management system(s).

**4.3.2.2** For any major nonconformity, GLOBUS defines time limits for correction and corrective actions. These actions are implemented and verified prior to the expiration of certification.

**4.3.2.3** When recertification activities are successfully completed prior to the expiry date of the existing certification, the expiry date of new certification can be based on the expiry date of the existing certification. The issue date on a new certificate shall be on or after the recertification decision.

**4.3.2.4** If GLOBUS has not completed the recertification audit or it is unable to verify the implementation of corrections and corrective actions for any major nonconformity prior to the expiry date of the certification, then recertification shall not be recommended and the validity of the certification shall not be extended. The client shall be informed and the consequences shall be explained.

**4.3.2.5** Following expiration of certification, GLOBUS can restore certification within 6 months provided that the outstanding recertification activities are completed, otherwise at least a stage 2 shall be conducted. The effective date on the certificate shall be on or after the recertification decision and the expiry date shall be based on prior certification cycle.



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P-9.6, Issue 1, 01.01.2017

## 4.3.3 Special audits

### 4.3.3.1 Expanding scope

GLOBUS, in response to an application for expanding the scope of a certification already granted, undertakes a review of the application and determines any audit activities necessary to decide whether or not the extension may be granted. This may be conducted in conjunction with a surveillance audit.

### 4.3.3.2 Short-notice audits

It may be necessary for GLOBUS to conduct audits of certified clients at short notice or unannounced to investigate complaints or in response to changes, or as follow up on suspended clients. In such cases:

- a) GLOBUS shall describe and make known in advance to the certified clients (e.g. in documents as described in 8.5.1 of GM1) the conditions under which such audits will be conducted;
- b) GLOBUS shall exercise additional care in the assignment of the audit team because of the lack of opportunity for the client to object to audit team members.

## 4.3.4 Suspending, withdrawing or reducing scope of certification

### 4.3.4.1 GLOBUS shall suspend certification in cases when, for example,

- a) The client's certified management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the management system
- b) The certified client does not allow surveillance or recertification audits to be conducted at the required frequencies;
- c) The certified client has voluntarily requested a suspension.

### 4.3.4.2 Under suspension, the client's management system certification is temporarily invalid.

4.3.4.3 GLOBUS shall restore the suspended certification if the issue 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 GLOBUS shall result in withdrawal or reduction of the scope of certification.

**Note** – In most cases, the suspension would not exceed six months.

4.3.4.4 GLOBUS shall reduce the scope of certification 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 shall be in line with the requirements of the standard used for certification.

### Document Amendment Record

Clause No.	Changes	Date of Issue



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## Document Distribution Record

S. No.	Name of Person	Department	Controlled / Non-Controlled	Signature