

PACATUS CERTIFICATION PVT. LTD.	
Document name	SOP for Issue of Certificate of conformity and its control
Document no	PCPL/ICC/SOP/18
Issue Date	01.09.2021
Review schedule	Annual
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STANDARD OPERATING PROCEDURE

FOR

ISSUE OF CERTIFICATE OF CONFORMITY
AND ITS CONTROL

Verified & approved by CEO

Issued by Tech. Manager

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1.0 Purpose:

To establish documented guidelines for issue of Certificate of Conformity to the client's management system against the agreed audit standard, and its control.

2.0 Scope:

This procedure is applicable over all type of Certificate of conformities being issued by PCPL.

3.0 Reference

Cl. 9.5 of the ISO 17021-1:2015 std
 Section 9.5 of the PCPL Manual (PCPL/MSM)
 IAF MD 1:2018, IAF MD 5:2019, IAF MD-22:2019

4.0 Definition

Document: information preserved on any retrievable medium
 Record: Document containing history of activities
 CB : Certification Body/ CAB/ PCPL
 CAB : Certification assessment body/ PCPL
 CEO : Chief Executive Officer
 PCPL : PACATUS CERTIFICATION PVT. LTD./ CB/ CAB/ The Company
 SOP : Standard Operating Procedure

5.0 Responsibility:

C E O and Technical Committee of PCPL

6.0 Authority:

This procedure is authorized by the CEO and can be amended only by him.

7.0 Procedure:

7.1 Certification decision

PCPL ensures that certificate of conformity is issued only on the basis of evidence based recommendation received from a competent audit team. A competent Technical committee constituting one or more members is constituted by the Application Reviewer cum Audit programmer, to review the submitted audit report and to take appropriate decision about certification.

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It is ensured that the auditor who has carried out the audit does not participate in certification decision as a member of the Technical committee. The Technical committee takes its decisions on the basis of audit report and recommendation submitted by the audit team leader. If the committee feels that the audit report does not provide sufficient information required to make certification decision, additional audit, with specific objectives, by another audit team may be ordered.

7.2 Action prior to making a decision

The Technical Committee/Audit report reviewer & certification decision maker confirms, prior to making a decision, that –

- a) the information provided by the audit team is sufficient with respect to the certification requirements and the scope for certification
- b) it has reviewed, accepted and verified the effectiveness of correction and corrective actions, for all major nonconformities that represent –
 - i) failure to fulfill one or more requirements of the audit standard
 - ii) a situation that raises significant doubt about the ability of the client's management system to achieve its intended outputs
- c) and it has reviewed and accepted the client's planned correction and corrective action for all minor nonconformities.
 - i) Closure of some of the minor non conformities may be verified by perusal of documentary evidence submitted to the PCPL office/ audit team leader
 - ii) Closure of some of the minor non conformities may be verified during subsequent surveillance audit.

7.3 The specifically constituted Technical committee makes the certification decision on the basis of evaluation of the audit findings and other relevant information (e.g. public information, comments on the audit report from the client).

Ref: Decision making committee decision form in Client's Audit file PCPL/F/13

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7.4 Certification document

5.4.1 PCPL provides certification documents to the certified clients normally by courier. When requested scanned copy or PDF file is also mailed.

Ref: Record of courier /certificate delivery

7.4.2 The certification document identifies the following:

- a) the name and geographical address/ location of the certified organization.
- b) the name and geographic location of the headquarter and any site/s within the scope of a multi-site certification) In case where the site addresses or scope details can't be accommodated in one page, these are documented as schedules to the certificate and are referenced in the certificate.
- c) the dates of granting, extending or renewing certification/ Planned surveillance audit dates.
- d) the expiry date or recertification due date consistent with the recertification cycle
- e) a unique identification code/ registration number or certification number
- f) the audit standard , including issue number and/or revision, used for audit of the certified client
- g) the scope of certification with respect to product (including service) of the certified organization as applicable at each certified site, along with related IAF / NACE code/ codes;
- h) the name, address and certification mark of the PCPL Certifications Pvt. Ltd. and other marks (like accreditation symbols, if applicable)

In case of issue of any revised certification document, a clear sign to distinguish the revised documents from any prior obsolete documents is put in the revised certificate.

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7.4.3 When after delivery of the Certificate, if any prescribed information is found missing, or any typographical error is identified, the non conformity is recorded in Product non conformity register, the Certificate is cancelled and withdrawn and a new correct certificate is issued which carries the same certificate / Registration number but also bears an appropriate sign denoting its revision status.

7.4.4 Care is taken to ensure that the date of issue of certificate is never prior to the date of certification decision.

7.5 The PCPL exercises proper control of ownership over use of certificate, marks/ logo and audit reports. We make this clear in our contract/ agreement with clients, that PCPL will take action to deal with incorrect references to certification status or misleading use of certification documents, marks (including accreditation symbol if applicable) or audit reports. This action could include requests for correction and corrective action, suspension, withdrawal of certification, publication of the transgression and, if necessary, legal action.

Ref: Record of misuse of certification, its mark and action taken

7.6 Maintaining certification

PCPL maintains certification based on demonstration that the client continues to satisfy the requirements of the audit standard. It maintains a client's certification based on a positive conclusion by the audit team leader.

PCPL has established a system which requires that for any nonconformity or other situation that may lead to suspension or withdrawal of certification, the Technical Committee appropriately decides the line of action regarding the certification.

The Technical committee monitors the surveillance activities, and audit reports, to confirm that the terms of certification are being met by the client.

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7.7 Recertification

Recertification process is initiated at least two month before the specified expiry date of the certificate. Information about any substantial change in management, machinery, process and QMS scope is gathered, and if substantial change is reported, stage-1 audit is planned to assess suitability of the documentation with current process status of the client.

When no substantial change is reported Stage-1 audit is not conducted, and certification audit is planned. Audit duration for recertification audit is fixed as 2/3 of the initial audit duration.

Ref: Audit files

8.0 Transfer of accredited certificates

8.1 Eligibility criteria for acceptance of “certification transfer request” - for further review-

- a. The CEO accepts for further review the “certification transfer request” of only those clients who have been issued certificates accredited by any IAF MLA signatory Accreditation body.

Applicants holding certifications that are not covered by such accreditations are treated as new clients.

- b. The “certification transfer request” of only those clients are accepted for further review whose scope of certification falls under PCPL scope of certification.

- c. “Certification transfer request” of only those clients are accepted for further review whose certificate has not expired and is not suspended or withdrawn.

8.2 The Office in charge, after determining admissibility of the application for further review, assigns responsibility to a code competent Auditor/ committee, to gather and record necessary information pertaining to the organization and its management system and make appropriate

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decision regarding certificate transfer. Before making its decision the application reviewer has to confirm client's eligibility in accordance with the requirements mentioned in IAF MD-2:2017. The CEO issues certificate only after getting favorable decision from the code competent reviewer/auditor.

8.3 PCPL has established a "Certificate Transfer Request-Review form" to gather necessary information and to take appropriate decision. The Assigned application reviewer/ committee, gathers required information and records his/ her comments in this review form.

8.4 In case the Certification transfer request is accepted, the previous certification cycle is maintained.

8.5 in case where certification transfer request has been accepted, adequate care is taken by PCPL, that the same terms and conditions are maintained with the client as originally decided by the issuing certification body.

8.6 In those cases where stage-2 certification audit is conducted by the PCPL, fresh surveillance audit program is established as per PCPL procedures.

8.7 For review of certificate transfer request, requirements of IAF MD-2: 2017 must be looked into for guidance and compliance.

Ref: Certificate transfer request -review form/ Application form
IAF MD-2:2017

9.0 Procedure for Suspension of certificate

9.1 PCPL suspends certification in cases when -

- the client's certified management system has persistently or seriously failed to meet certification requirements
- the client's management system has persistently lost the effectiveness of the management system
- the certified client does not allow surveillance or recertification audits to be conducted at the required frequencies
- the certified client has voluntarily requested a suspension.

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9.2 Under suspension, the client's management system certification is declared temporarily invalid. PCPL makes enforceable agreement with its clients to ensure that in case of suspension the client refrains from further promotion of its certification.

9.3 PCPL makes the suspended status of the certification publicly accessible by publishing its name in the list of those organizations whose certificates have been suspended.

9.4 PCPL informs its client that failure to resolve the issues that have resulted in the suspension, within a time limit (3 months) defined by PCPL, would result in withdrawal of the scope of certification. This period can be extended on request of the client for another 3 months, within which the client must eliminate the deficiency that caused suspension, otherwise the certificate is withdrawn.

Ref: List of clients whose certificate have been suspended

10.0 Procedure for Withdrawal of the certificate

10.1 PCPL has established a legally enforceable arrangements with the certified client concerning conditions of withdrawal. As per this agreement, upon getting the notice of withdrawal, the client has to discontinues its use of all advertising matters that contain any reference to its certified status.

10.1 Before issuing the letter of withdrawal, the client's certificate is suspended and a notice of withdrawal is issued to the client giving 3 month's time for taking appropriate corrective action. Corrective action is reviewed and in case it is found effective a letter of cancellation of suspension is issued.

10.2 The client's name from suspended client list- is withdrawn.

10.3 In case the corrective action is found not effective or the client does not take any corrective action within the stipulated time, a notice for final withdrawal of the certificate is issued with effective date of withdrawal. If the client does not take any action, the client's certification is withdrawn and a notice to this effect is published in the newspaper. Client's name and

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certificate no is published in our website “under the list of withdrawn certificates”.

10.4 Withdrawn certificate can be restored before scheduled surveillance audit if effective corrective action is demonstrated by the client.

Withdrawn certificate can restored after skipped surveillance audit, only if CA regarding cause of withdrawal is demonstrated, and surveillance audit is found satisfactory.

Withdrawn certificate is not restored if Recertification audit schedule is skipped.

Refer: List of client’s whose certificates have been withdrawn

11.0 Policy on Reduction in scope

11.1 PCPL has established a legally enforceable agreement with its clients where it has right to reduce the client's scope of certification to exclude the parts not meeting the requirements of the audit standard, when the client has persistently or seriously failed to meet the certification requirements for those parts of the scope of certification.

11.2 This is done only after notifying the client giving 3 month’s time for taking effective corrective action. If the client does not take effective corrective action, the scope is reduced and a formal letter is issued to the client.

11.3. In case of reduction in scope the client’s new reduced scope is published in our website.

Refer: List of clients whose scope has been reduced

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