

Application Questionnaire:

An Application for Certification (TCCPL-F-01) is sent to each organization interested in the certification services of TCCPL. The requested information consists at least of:

- identification of the organization to be certified,
- activities/services/products of the organization,
- desired scope of certification
- Information concerning all outsourced processes used by the organization that will effect conformity to requirements
- Information concerning the use of consultancy relating to the management system
- The requirements for certification are clearly defined and documented, and have been provided to the applicant organization
- number of involved personnel,
- number of sites concerned
- existence of already certified management systems if any,
- reference standard,
- required services such as:
 - pre-audit (not a part of the formal certification process),
 - initial certification,
 - extension of an existing certification
- renewal or transfer of a certification

The CM/TC shall assess the code of certification and ensure that it is within the scope granted by the accreditation body to TCCPL. The capability of TCCPL shall also be verified for undertaking the assignment. TC/CM need to accept the application for Contract Review.

Application Review:

Introduction: This is one of the most important activities in TCCPL, because it is covered under the Fit, Proper and Person Test to ensure that TCCPL is going to work with clients with Clean image, with great reputation, dignity and integrity, who will not pose any risk and danger to the reputation of TCCPL. Hence the client's Application Request Form No. TCCPLF/03, will reviewed by CM/ Director to ensure that the information provided by the client are true and authentic, which shall include the following:

- a. Scope of certification sought,
- b. Location/Site (s) address of the applicant,
- c. Organization's types of processes/operations and functions,
- d. Number of outsourced processes,
- e. Number of exclusions with justifications,
- f. Legal, statutory and regulatory requirements of products,
- g. Number of shifts and employees including staff, contract workers, part-time employees etc,
- h. Any other points influencing the certification activity are taken into account (language, safety conditions, threats to impartiality, etc.

3.0 CONTRACT REVIEW:

On the acceptance of Application Contract Review is carried out by CM/TC and approved by MD for.

The review shall re-evaluate the following:

- a) IAF code allocation in respect of company's scope of registration.

And verification to determine if the scope falls within the range of scope granted to TCCPL by the accreditation bodies.

- b) Scope of registration
- c) Applicable Standards of ISO
- d) Costs.
- e) Availability of auditors and the required competency for initial assessment and subsequent audits.
- f) Size & Complexity of Organization
- g) the results of any prior audits
- h) Number of sites and multiple-sites considerations
- i) Changes to aspects and associated impacts for Environmental Management System changes
- j) Different Legal Requirements,
- k) Audit duration- audit man-day. (Ref Man-day Table: TCCPL-31-R00 as per IAF MD 5: 2019)

Consideration and account shall be taken of other factors affecting audit duration. Any variations with respect to original application any known difference in understanding between TCCPL and the applicant organization shall be resolved.

CM/TC puts the relevant data in the sheet called "Contract Review" as per the applicable management system. The required number of man-days during certification (stage 1 & 2), surveillance and renewal audits.

6.0 Stage 1 Audit Process

6.1 TCCPL conducts Stage 1 audit on client's site/off site as per schedule prepared by the CM, audit schedule is prepared for every Stage 1 audit. In any case if the Stage 1 audit is carried offsite it must be approved by Director and the decision of offsite audit shall be justified in audit report, which may be based on the client's size, location, risk consideration, previous knowledge, etc. In such situation the client's management shall be informed that the planning of stage II audit might not be accurate.

6.2 Stage 1 audit is performed to ensure

- i) Audit the client's management system documentation
- ii) Evaluate the client's location and site-specific conditions and to undertake discussions with the client's personnel to determine the preparedness for the stage 2 audit.

- iii) Review the client's status and understanding regarding requirements of the standard, in particular with respect to the identification of key performance or significant aspects, processes, objectives and operation of the management system
- iv) Collect necessary information regarding the scope of the management system, processes and location(s) of the client, and related statutory and regulatory aspects and compliance.
- v) Review the allocation of resources for stage 2 audit and agree with the client on the details of the stage 2 audit.
- vi) Provide a focus for planning the stage 2 audit by gaining a sufficient understanding of the client's management system and site operations in the context of possible significant aspects
- vii) Evaluate if the internal audits and management review are being planned and performed, and that the level of implementation of the management system substantiates that the client is ready for the stage 2 audit.
- vii) Verify the information provided in the application with respect to Scope, Site & Number of employees.

6.3 After the completion of the Stage 1 audit the Team Leader prepares an audit report stating:

- i) Client's status regarding readiness for stage 2 audit.
- ii) Identified areas preventing the client being deemed ready.
- iii) Areas of concern, which could be classified as non-conformity during Stage 2 audit.
- iv) Non Conformity if any identified during the audit
- v) Stage 1 audit need to be conducted again in case the clients preparedness is not sufficient for Stage 2.
- vi) Stage 2 audit plan and Audit Plan Matrix for Stage 2 audit based on clients processes for the related Scope.
- vii) Stage 1 findings along with any Non Conformity shall be addressed in the Stage 1 report and communicated to the client by the Team Leader.

6.4 Stage 2 audit shall be conducted in a maximum gap of 90 days from the Stage 1 audit. The minimum gap between Stage 1 and Stage 2 audit must not be less than 4 days, to ensure that the area of concern identified during the stage 1 audit are resolved. In case the organization is not able to resolve the issues in defined time frame then Stage 1 audit shall be performed again. If the organization is not able to address the areas of concern as per the agreed time during the Stage 1 audit then the arrangements for Stage 2 audit need to be revised.

Any part of the management system which is found to be fully implemented, effective and conforming towards the standards requirement can be left during the stage 2 audit for verification.

7.0 Stage 2 Audit Process

7.1 Stage 2 Audit is conducted on client's premises. As a special case and as per the circumstances it can also be done online as per procedure laid down by the TCCPL Management. The purpose of the stage 2 audit is to evaluate the implementation, including effectiveness, of the client's management system. The stage 2 audit plan is verified by TC ensure that the 80% of the audit time is given to verify the effective implementation of the management system.

7.2 Stage 2 audit shall include at least the following:

- i) Information and evidence about conformity to all requirements of the applicable management system standard or other normative document

- ii) Performance monitoring, measuring, reporting and reviewing against key, performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document).
- iii) The client's management system and performance as regards to legal and other requirements
- iv) Operational control procedures of the client's processes.
- v) Internal auditing and management review
- vi) Management commitment and responsibility for the client's policies
- vii) Links between the normative requirements, policy, performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document), any applicable legal and other requirements, responsibilities, competence of personnel, operations procedures, performance data and internal audit findings and conclusions.

7.3 Audit shall begin with an opening meeting followed by a site visit. If the audit is for more than one calendar day duration, a meeting shall be conducted to apprise the client on findings of the day including any non- conformities, progress of audit, any problem faced and modification to the audit plan, if required

7.4 Before meeting the client/ closing meeting, the team leader shall have a meeting with the team members who will exchange findings and review the audit progress and system implementation status till that time.

7.5 Each team member shall ensure that the Auditor's notes are legible, containing name of main auditee, date and area/ process audited, what and where was seen, reference of documents/ records reviewed, any nonconformity identified with objective evidence, category of non-conformity, observations etc.

7.6 As far as possible at least one member in the team shall possess the relevant code, who shall be assigned to audit core processes of the management system. In case team members doesn't have competency, in such case a specialist with appropriate code shall be arranged.

7.7 It is the responsibility of the team leader to ensure that the audit is completed for areas/ processes by the team and all requirements are covered and that the team members have provided necessary inputs to him for completing the report.

7.8 If audit is to be conducted in a language not known by any team member including team leader, a suitable interpreter should be arranged, ensuring impartiality.

7.9 If any non- conformity is identified, the auditor shall explain the same to auditee to his satisfaction. In case of a Major non- conformity, the team leader shall be informed who will inform the management about the same and give them option either to terminate further audit or to continue.

7.10 While recording nonconformity, sufficient objective evidence, standard/ specification clause number, client documents. Reference number (if any) in addition to area where it was

found shall be recorded in clear terms so that the auditee or any other person reading it can easily understand

7.11 In addition to non- conformity, any observation for improvement, positive issues should also be recorded, in the report.

7.12 While deciding on recommendation, the issues like number and category of non-conformities, any concentration of non- conformities against any clause (s), view of team members shall be considered.

7.13At the end of the assessment, a written report, duly signed by the team leader and client representative shall be prepared and handed over to the client which shall include non conformities identified if any, recommendation for certification or otherwise.

7.14 It is advisable to request client to have a close look at the “Certification detail” in the report for any possible error in name, address, scope, spelling mistake etc.

7.15 When recommendation is made for certification the audit reports, confirmation of the information provided to the TCCPL used in the application review a recommendation whether or not to grant certification, together with any conditions or observations, the need for taking corrective action and need of verification of the corrective action taken (i.e. when there is nil or few minor non- conformities), by site visit or otherwise must be take into account & explained. The client should complete the corrective action within maximum 90 days from the date closing meeting.

7.16 A copy of the report should be given to the client and one copy with attendance record and auditors notes to be sent to Head office of TCCPL.

7.17 For multi- site certification “Procedure TCCPL-SOP-08 shall be followed.

7.18 Lead Auditor need to submit a copy of report to the client and accepted report to TCCPL Head Office.

7.19 Lead Auditor shall clearly identify the recommendations conditions with Non Conformity or without Non Conformity, the observations shall be well communicated in the report.

7.20 Non conformities shall be classified as Major or Minor according to their potential effects on the management system. The consequences of these shall be termed as follows:

Category of NC	Stage 1 Audit	Stage 2 Audit	Surveillance or recertification audit
Major	i) No recommendation for Stage 2 audit ii) NC to be closed with in defined time frame iii) On site closure of NC	i) No recommendation for certification unless NC is closed. ii) On site closure of NC iii) Re Audit if failure inclosing the NC	- Completion within 30 days - Verification based on objective evidence (on documents or on site) - Certification suspended: Information to the customers. - New verification based on objective evidence - Surveillance frequency might be reduced
Minor	i) Recommendation for Stage 2 based on offsite verification of CAR in defined time frame ii) Re Audit if CAR not submitted in defined timeframe	i) Recommendation for certification condition to timely submission of CAR. ii) Off site closure of NC iii) Re Audit if failure inclosing the NC iv) CAR to provided with Objective evidence	Completion effective or effectively planned within 30 days - Verification based on objective evidence (on documents or in site) - Certification suspended (information to customers)

4.2.1 Grant of certification and certificate issuance

4.2.2 After completion of the Certification audit of a client's management system. Audit Team Leader shall review the audit package containing Audit plan, Audit report and relevant correspondence and submit his findings on form 'Approval by Audit Team Leader. The completed audit pack shall be submitted to CM. CM shall examine and review the Certification documentation package within 2-3 days after certification audit for adequacy of documents requirements for grant of certification.

4.2.3 Certification Committee shall have collectively an appropriate level of knowledge and experience in all areas under review. Certification Committee may take assistance from experts or experienced auditors in specific areas where additional expertise may be required.

4.2.4 While reviewing the scope IAF guidance on the applications of ISO 9001:2015 & ISO 14001:2015 & ISO 45001:2018, ISO 22000 & ISO 13485:2016 are considered.

Surveillance Audit Process

8.1 Surveillance audit shall be identified 3 months prior to the due date by TC/CM, the client must be communicated about the due date and proposed date of Surveillance audit with any mean of communication, the non-receipt of notification of surveillance audit shall not absolve the clients from its obligation to get the surveillance audit to be conducted in time as per the dates mentioned on the certificate. Director shall monitor the effectiveness of Surveillance audits on monthly basis. If the client does not confirm the Surveillance Audit date latest within 7 days of due date, letter of suspension is issued to the client and the status is updated on the web portals of TCCPL and accreditation board concerned. After the issuance of the Suspension letter of cancellation is issued to the client on the next date of due date. Any justification provided by the client for the postponement of the audit is recorded has to be approved by CM/Director and recorded in the client file.

8.2 Surveillance audits are on-site audits or online as allowed by the accreditation board, but are not necessarily full system audits. Surveillance audits planned together with the other surveillance activities so that the certification body can maintain confidence that the certified management system continues to fulfill requirements between recertification audits. The Assigned team leader is responsible for conducting and managing the assessment along with other team member, if any. The Team Leader shall be of Auditor status as a minimum. The team leader also ensures that any Technical Expert / Specialist are not allowed to function independently and are always accompanied by Auditor/ Lead Auditor.

8.3 The surveillance audits conducted at least once a year and the date of the first surveillance audit following initial certification shall not be more than 12 months from the last day of the stage 2 audit.

8.4 The of surveillance audit is to ensure following:

- i) Ensure that the client's management system which was basis of grant of certificate has been maintained on continuous basis.
- ii) Verify and ensure that any changes to management system which might have taken place since last audit meet the requirement of the standard/ specification and implemented effectively
- iii) Ensure on-site audits assessing the certified client's management system's fulfillment of specified requirements with respect to the standard to which the certification is granted.
- iv) Ensure that the management system continues to be appropriate to the product/ process/ service offered by client, with the capability of managing and improving performance.
- vi) Assess Continual Improvement in client's management system

- vii) Additionally client's statements with respect to its operations (e.g. promotional material, website). Also reviewed during each surveillance audit.
- viii) Enquiries from the certification body to the certified client on aspects of certification
- ix) Requests to the client to provide documents and records (on paper or electronic media),
- x) Other means of monitoring the certified client's performance,
- xi) Internal audits and management review,
- xii) A review of actions taken on nonconformities identified during the previous audit
- xiii) Actions taken on customer complaints
- xiv) Effectiveness. Of the management system with regard to achieving the objectives
- xiv) Progress of planned activities aimed at continual improvement
- xv) Continuing operational control
- xvi) Review of use of CB & AB marks
- xvii) Compliance towards Legal & Other requirement including customer requirements

8.5 The team leader shall review the client file, specially the last audit report to make note of any issues to be followed up, including the non conformities and corrective action plan. Audit plan shall be sent to clients in advance so that they can seek any changes with respect to timing etc, if found inconvenient due to administrative reasons.

8.6 Audit should be conducted (at least annually and it shall be ensured that the date of first surveillance audit shall not be more than 12 months from the last day of stage 2 audit.) as per Surveillance audit plan given in the last audit report but if there is any change due to any justified reasons, the same should be recorded in auditor notes and surveillance audit plan shall be updated in the report.

8.7 During opening and closing meeting, the attendance record sheet is circulated for recording name and designation of the client representative present. Either each person can record their name & designation or one person can do so for all present.

8.8 The corrective action taken on non-conformities identified during last audit should be verified for its effectiveness. If the corrective action taken is not satisfactory/ non taken, the severity of the minor NC shall be re-issued, escalated to Major and client shall be advised accordingly.

8.9 Non-conformity reporting, report preparation, report distribution, requirement of CAP (in case NC is raised) shall be similar to certification audit procedure

8.10 If due to change in site address/ scope required re-issue of certificate, the "Certification Details" in the report shall be completed and client data base shall be updated.

a) Any significant changes like change in manpower, process necessitating change in subsequent audit duration shall be recorded and post contract review is done by CM.

b) Other changes like change in contact number/ person etc shall also be recorded in the report for updating client data base,

8.11 The multi-site client shall be audited the same way except that instead of auditing all sites, sampling of sites shall be followed as per the contract review.

8.12 In case major NC is found at any site the entire certificate of all sites shall be at Risk

8.13 The surveillance report is submitted by the Lead Auditor in TCCPL head office and shall be approved by the Director/CM.

9.0 Renewal Audit Process

9.1 The process of recertification would include a reassessment of the organization's documented integrated management system including a review of the Management System, where necessary, to be conducted before the expiry of three years term of validity. The recertification audits planned and conducted to evaluate the continued fulfillment of all of the requirements of the relevant management system standard or other normative document. The Renewal audit plan is verified to ensure that the 80% of the audit time is given to verify the effective implementation of the management system.

9.2 The reassessment provides for a review of the past performance of the integrated management system over the period of previous certification, including examination of the documents/records relating to the internal audits, management review and effectiveness of corrective and preventive actions, etc.

9.3 It is the responsibility of the person assigned (of Lead Auditor status) to conduct the Reassessment and submit the report. The team leader also ensures that any Technical Expert / Specialist are not allowed to function independently and are always accompanied by auditor/ lead auditor.

9.4 Re- certification audit shall be planned and conducted three months prior to the validity of the certificate to ensure continuity of certification in the likely event of any non conformance found during the audit. In the case of 9/6 monthly surveillance frequency the Re-certification audit can be clubbed with the Surveillance Audit

9.5 The process of Re-certification is planned by the CM. Advance notice is sent to the client by TC. If the client agrees for the recertification, TC sends Application Form to client to ensure any change in change in scope, number of employee and sites. On the receipt of filled application form, application review and contract review is done as per procedure TCCPL-SOP-08 by CM and approved by Director. If there are changes like addition of new processes/services, regulatory requirement or new product/services addition or change of location or change of Top management, then Stage 1 audit is required to be conducted.

9.6 Before proceeding to client site, the team leader shall review all the previous reports since certification audit, previous Surveillance Audit report and Corrective Action Report and make note of relevant points, to ensure effective audit and correct recommendation.

The renewal programme shall at least ensure the following:

- i) The effective interaction between all elements of system & audit activities have a stage 1 audit in situations where there have been significant changes to the management system, the client, or the context in which the management system is operating (e.g. changes to legislation) as identified in the Application Questionnaire.
- ii) Overall effectiveness of the system in its entirety in the light of changes in operations
- iii) Demonstrated commitment to maintain the effectiveness of the system
- iv) Summary of Previous Audit Reports
- v) Whether all areas/ processes/ clauses have been audited at least once in the last three year cycle

vi) Any concentration of non-conformities against particular clauses/areas and effectiveness of corrective actions taken on nonconformities identified by TCCPL shall be closed within 15 days of recertification audit

vii) Objectives and Continual Improvement

viii) Whether the operation of the certified management system contributes to the achievement of the organization's policy and objectives.

ix) In the case of multiple sites or certification to multiple management system standards being provided by the TCCPL, the planning for the audit ensure adequate on-site audit coverage to provide confidence in the certification

x) Compliance towards Legal & Other requirement including customer requirements

9.7 Re Certification Audit shall be conducted, if the client applies for re-certification prior to expiry of certificate and there is no major change in client organization (legal, scope etc.). However if the client applies for recertification after expiry date, Stage 1 & Stage 2 audit is required to be conducted.

9.8 If NC is identified the Re-Certification audit the team leader shall ensure and communicate the client that the Corrective Actions and the evidences are provided before the expiry of the certificate.

9.9 Suspending, withdrawing or reducing the scope of certification

The TCCPL has described its documented process for suspension, withdrawal or reduction of the scope of certification, and the subsequent actions in TCCPL-PR-07 procedure for certification decision.

SUSPENDING, WITHDRAWING OR REDUCING THE SCOPE OF CERTIFICATION:

9.1 All suspensions will be authorized by the Director, and the client shall be notified of said suspension/status to be amended on the web portal of TCCPL and accreditation board concerned. The conditions necessary under which the suspension will be revoked will be notified to the client. During suspension the client shall not abuse the logo and marketing brochures shall not imply the validity of the certificate. Examples which may prompt suspension are:

1. Non-Payment in accordance with the requirements of the agreement;
2. Significant areas of non-conformance with applicable Management Standards;
3. Ineffective or delayed correction of observed non-conformities;
4. Ineffective completion and implementation of program revisions required to meet revised Management Standards;
5. Misuse of the Accreditation Body marks, logos and symbols.
6. Certified client has voluntarily requested for suspension.

7. In the event of certified organization not accepting TCCPL to conduct surveillance audit even after three months of its due date.

On fulfillment of the indicated conditions and confirmation by the client, such changes shall be reviewed by Director and his recommendations are forwarded to CM for removal of suspension. Client shall be informed of the decision.

9.2 Requirements for withdraw of certificate are:

1. Under the relevant provisions of Clause 9.1
2. At the request of the Organization;
3. If the Management System Rules are changed and the Organization either will not or cannot ensure conformance to the new requirements within the agreed time frames;
4. If the Organization fails to meet financial obligations as agreed with TCCPL
5. Closure of a company or facility;
6. Noncompliance or failure to execute TCCPL contractual requirements;
7. Falsification of any nature
8. Other conditions deemed appropriate or formally agreed between TCCPL and the organization.

9.3 Under suspension, the client's management system certification becomes temporarily invalid. Director ensures the enforceable arrangements with its client to ensure that in case of case of suspension the client refrains from further promotion of its certifications per Agreement. TCCPL specify the subsequent actions taken by him.

9.4 Director ensures that the suspended status of the certification is publicly accessible on the website and also communicated to the client in writing.

9.5 Director ensures, if within 6 months of suspension or the time limit set by TCCPL (but less than 6 months) the issues are not resolved that have resulted in the suspension, then the Director takes decision of withdrawal or reduction of the scope of the certification and communicates in writing to the client and the list is updated on the website.

9.6 Upon verification of audit reports and subsequent on-site verification, the Director may reduce the client's 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. Director ensures the reduction shall be in the line with the requirements of the standards used for certification.

9.7 Director ensures that there is enforceable arrangements with the certified client concerning conditions of

withdrawal ensuring upon notice of certification that the client discontinues its use of all advertising matter that contains any reference to a certified status as per contract.

9.8 Director ensures through TC, it correctly state the status of certification of a client's management system as being suspended, withdrawal or reduced in TCCPL website. TCCPL may publish status of certification in newspaper as necessary.

10.0 SHORT NOTICE AUDIT:

The Director can request an audit on short-term notice to verify handling of customer's complaints, important modification within the organization or any reason leading to withdrawal or suspension of the certificate.

The Director, based on the nature of complaint, shall take decision on the time frame within which the audit is to be conducted. In case of Short Notice Audit because of Customer Complaint, the audit team shall not disclose the name of the complainant.