

Certification Process Overview

1. General:

TUV India Pvt. Ltd (TUV) is a part of TUV NORD Group and provides system certification services. This overview is to give the idea of steps involved in certification, and description of each step.

The types of system certification services are available on the web site and also available at every office of TUV India Pvt. Ltd.

The system certification of client shall be always limited to the scope of client's management system, and according to the relevant standard.

The client shall establish the system and ensure an ongoing compliance, improvement in order to achieve and maintain the certification.

It is important to understand that the system certification does not assure defect free product. The product liability shall be always with client.

TUV team shall have unconditional access to client premises during the audits and verifications of the compliance. The Accreditation body also may join the audit or may ask for verification.

Following are the salient steps in certification:

2. Client Application , Quotation:

The prospective client need to give complete information required for quotation in the form of Application. TUV shall review and send the proposal to the client for the certification asked.



The certification can be for single standard, multiple / integrated standards, single site or multiple sites. TUV shall prepare the proposal based on the information provided by client based on TUV procedure and governing rules. TUV reserves the right to amend the proposal in case the information found to be different than that provided by client.

The proposal shall be accompanied by terms and conditions and the contract. Upon the acceptance of proposal, a contract shall be signed by both – TUV & the client.

The contract specifies the terms and conditions to be followed by client for the use of Certification mark (logo), certificate.

3. Certification Process :

The services are categorized as below:

Pre Audit:

This is an optional audit. The audit is broad based, and covers the same scope as certification and aimed at giving system insights and basic preparedness indication to client. TUV issues a report of findings upon the completion. The findings are categorized in the same manner as in the certification audit and client is asked to submit the action taken report.

Stage 1 audit:

The purpose of the audit is to assess the understanding of the system requirements, preparedness of client for the certification audit, collecting & review of system documents. The audit also includes the review of scope statement, planning for stage 2, understanding of processes, locations.

The report of audit aims at highlighting the areas of concerns which can be deviations in stage 2 audit.

TUV assesses the scope correctness, readiness for stage 2. In case the team assesses that the client is not ready for stage 2, the stage 1 can be repeated.

TUV can consider back to back audit or the audit with a few days gap between stages 1 and stage 2 audits. In case the client preparedness is not evident during stage 1, TUV may decide to postpone the audit.

Stage 2 Audits:

Planning:

Stage 2 is planned based on review of preparedness of client. The detailed plan is sent to the client in advance to ensure smooth roll out.

Execution:

The possible outcome, evaluation process and essential audit requirements are communicated before the start of audit. The audit is executed as planned and essentially covers scope, and evaluates the



compliance to the system requirements by taking suitable samples. The effectiveness of system established by client is reviewed.

The team leader communicates the findings and the result at the end of the audit and the report is handed over to the client.

Evaluation:

The report states the findings which are categorized as Nonconformities (major/ minor), Point for Improvement, Good Point.

Certificate is recommended when Corrective actions against Non conformities issued are reviewed and accepted.

For major Nonconformities, TUV may undertake on site verification at chargeable basis after client implements corrective action. For minor nonconformities, the corrective action plan may be sufficient to recommend and effectiveness shall be verified in subsequent audit.

Certificate Issue Decision:

TUV shall review the documentation by the team which is independent of audit and review the compliance. The certificate shall be issued giving details of scope, standard and client details for the period of 3 years.

Certification cycle:

During the certification cycle, TUV conducts the surveillance audits and recertification audits.

Surveillance audit:

In order to ensure the ongoing compliance, the surveillance audits are carried out as per the contract and the audit program drawn initially. As per IAF requirement, the first surveillance shall be carried out within 12 months from the last day of stage 2 audit.

The surveillance frequency may vary according to the requirement of governing standard.

Recertification audit:

This audit is carried out with the frequency of 3 years after initial certification. The audit including certification decision is carried out before the expiry of valid certificate. The audit covers the performance review of client during certification period and covers the scope. This audit is also in line with certification audit requirements.

Amendment in certificate:

The changes (increase/ reduction in employee & sites, scope, name, location) which results in significant change in system need to be informed by client to TUV.

TUV shall evaluate the changes and decide on planning along with surveillance audit or execute special audit to accommodate the changes



according to the prevalent procedure. This may include charges as per special/ additional audit and may result in amendment in certificate accordingly.

4. Requirements of Accreditation body:

Accreditation body is the authorities to ensure that certification body (TUV) is performing certification work as per stated norms and requirements of governing standards.

Accreditation body audits are performed to assess the performance of auditors of TUV as part of Accreditation requirements.

Accreditation body auditors assess the performance of TUV audit team during the audit at client's premises by witness the audits.

TUV audit team and accreditation body auditors shall have free access to client premises during audit.

Upon request by accreditation body, TUV will have to share audit documents as a part of accreditation requirement.

5. Use of Certificate, and Certification Mark:

Upon certification, the client can use the certification mark as per the instructions specified in contract as well as the instructions issued along with certificate.

The certification mark and certificate is a property of TUV India Pvt. Ltd.



The certification mark shall not be used on product, or packaging to create an impression of product certification. TUV shall take appropriate action on such cases.

6. Suspension:

Suspension is a temporary hold on the certificate. During the suspension period client is advised not to use certificate, and certification mark.

TUV reserves the right to suspend the certificate on non fulfillment of requirements as mentioned in the terms and conditions of contract during certification period.

In case of any other specific reason, the client will be informed in advance on the information received by TUV.

The client shall be given time bound opportunity to explain the case. TUV reserves the right to take suitable actions on receipt of explanation, actions received from client.

7. Withdrawal / Cancellation:

Based on information available, non compliance to contractual requirements; TUV may ask client to clarify the points which are critical deviations (surveillance not taken, non response to repeat complaints, legal non compliances).

Sufficient notice shall be given to client to submit corrective actions, and if the response is found to be not satisfactory, TUV shall decide to withdraw the certificate and may make the information available publicly.

8. Appeal:

Client may appeal against a decision of TUV. The appeal may be forwarded to TUV on the contact mentioned on web site or may forward directly to Head system certification , at HO address.

TUV shall respond to the appeal according to internal procedure.

9. Complaints:

In case of any complaint against the service of TUV, or against the client certified by TUV, the interested party/ client shall communicate on contact mentioned on the web site or may email us at corpcomm@tuvindia.co.in , or forward to

Associate Vice President – Systems Certification,

TUV India Pvt Ltd

801, Raheja Plaza - 1
L.B.S Marg, Ghatkopar (W)
Mumbai 400086

TUV shall respond to the complaint according to internal procedure.

10. Certificate Information:

Upon receipt of request on the web site or any other means, TUV shall provide details of validity of certificate.