



Certification Reduction of Scope, Suspension or Withdrawal

P-008

Prepared by: J. Espinal	Reviewed by: R. De Souza	Authorised by: R. Thomsen	Document P008	Date: 03/16/2016	Revision: 3
© 2016 TUV USA Inc.		Page 1 of 7		uncontrolled when printed	



1.0 PURPOSE

- 1.1 This procedure describes TUV USA, Inc's processes for the suspension, withdrawal or reduction of the scope of certification of client's management systems.
- 1.2 Such actions are taken when a client persistently or seriously fails to meet certification requirements, including requirements for the effectiveness of the management system.

2.0 SCOPE

- 2.1 This procedure applies to the reduction in scope, withdrawal, or suspension of TUV USA, Inc.'s client certifications.

3.0 REFERENCES

- 3.1 ISO 17021, Requirements for Bodies Providing Audit and Certification of Management Systems.

4.0 PROCEDURE

4.1 Initiation of the process

- 4.1.1 When it is discovered that there is a serious issue that threatens the validity of the certified quality management system, TUV USA, Inc. evaluates the situation. The Director of Division, the Technical Specialist and the Lead Auditor are the individuals who perform this evaluation.
- 4.1.2 At the conclusion of the investigation, TUV USA, Inc. may impose a reduction of scope, suspension of the certification, and in some cases, a withdrawal of the certification.
- 4.1.3 Causes requiring certification evaluation may include:
 - Failure to meet certification requirements, including requirements for the effectiveness of the management system

Prepared by: J. Espinal	Reviewed by: R. De Souza	Authorised by: R. Thomsen	Document P008	Date: 03/16/2016	Revision: 3
© 2016 TUV USA Inc.		Page 2 of 7		uncontrolled when printed	



- In the case of Aerospace Quality Management System (AQMS) certifications, OASIS feedback may necessitate a review of the client's quality management system, which may include an onsite assessment
- Significant number or nature of Major nonconformances discovered during surveillance audits
- Substantiated complaints or feedback from end use customers
- Improper use of the certificate or logos
- Required corrective actions are not implemented
- Unacceptable changes to the quality system have occurred
- Certification system rules changes not implemented by the client
- The client ceases to do business with the product or service for an extended period
- The client fails to meet financial obligations to TUV USA, Inc.
- Failure to schedule recertification or surveillance audits
- At the request of the client due to business conditions (does not require investigation or corrective action)

4.1.4 If it has been determined that action is warranted, there are progressive levels that begin with certification suspension and may ultimately result with a withdrawal of the issued certificate.

4.1.5 For all AQMS clients, any changes in certification status is recorded in the OASIS database within 14 days.

4.1.6 Clients are kept informed of all decisions made through reports or emails.

4.1.7 Clients may appeal all decisions made regarding the status/action for their certificates.

Prepared by: J. Espinal	Reviewed by: R. De Souza	Authorised by: R. Thomsen	Document P008	Date: 03/16/2016	Revision: 3
© 2016 TUV USA Inc.		Page 3 of 7		uncontrolled when printed	



4.2 Audit Results and External Concerns

4.2.1 Decisions regarding client certification reduction in scope, suspension or withdrawal come from one or more of the conditions cited in Section 4.1 of this procedure.

4.2.2 If during recertification or surveillance audits, the Lead Auditor discovers nonconformance of serious nature, the home office is immediately notified. The Lead Auditor includes the nonconformance(s) in the Audit Report. The Director of Division and the Technical Specialist perform a review of the situation.

4.2.2.1 If there are no significant threats to the integrity of the client’s certification, the normal channel for corrective action is followed.

4.2.3 Formal, documented complaints from a certified client’s customer or from the general public relating to certified client are reviewed by the Director of Division and the Technical Specialist.

4.2.3.1 If there are no significant threats to the integrity of the client’s certification, the source of the complaint is informed of the results of the review.

4.2.4 In cases in which the initiator of the concern is not in agreement with the decision(s), an appeal can be made to the TUV USA, Inc. Managing Director, whose decision will be binding.

4.2.5 If it is determined that there is sufficient evidence that the integrity of the client’s certification is in jeopardy, further actions are required by TUV-USA, Inc. and are described below.

4.4 Certificate Reduction in Scope

4.4.2 After sufficient evidence is collected and the client has not taken appropriate actions, a reduction in the certification scope is taken. Such reductions involve the exclusion of clauses that do not meet the requirements of the certification.

Prepared by: J. Espinal	Reviewed by: R. De Souza	Authorised by: R. Thomsen	Document P008	Date: 03/16/2016	Revision: 3
© 2016 TUV USA Inc.		Page 4 of 7		uncontrolled when printed	



4.4.2.1 Reduction of scope decisions are made by a committee comprised of the Division Director and the Technical Specialist and if possible, the Lead Auditor.

4.4.3 If the nature of the issue is severe, the Division Director and/or the Technical Specialist can elect to skip levels of progression and proceed with appropriate action, such as immediate certificate withdrawal.

4.5 Suspension of Certification

4.5.1 TUV USA will undertake suspension of the client’s certification as a result of unresolved issues as described in Section 4.1 of this procedure. Such actions are taken in cases in which the client is unresponsive, fail to respond to requests for corrective action, or corrective actions are ineffective.

4.5.2 The client is issued a Major Nonconformance and other details regarding conditions for removal of the suspension. Dates (typically limited to three months from the suspension date) for all corrective actions are made clear to the client.

4.5.3 The client is given clear direction regarding responses required to remove the suspension. A major nonconformance is issued to the client.

4.5.4 The client’s corrective actions are reviewed by the Division Director and the Technical Specialist and the Lead Auditor.

4.5.5 If a Special Audit is required to review the client’s corrective actions, a Lead Auditor is assigned. The duration of the audit is determined based on the number and severity of the issues.

4.5.6 After appropriate actions are taken and approved, the certification suspension is removed.

4.5.7 If TUV USA, Inc. concludes that a cause for the suspension persists, TUV USA, Inc. shall withdraw the client's certification.

4.5.8 In most cases, suspension does not exceed 6 months. After 6 months, the withdrawal of certification process takes place.

Prepared by: J. Espinal	Reviewed by: R. De Souza	Authorised by: R. Thomsen	Document P008	Date: 03/16/2016	Revision: 3
© 2016 TUV USA Inc.		Page 5 of 7		uncontrolled when printed	



4.6 Certificate Withdrawal

- 4.6.1 If actions described in the Suspension of Certificate (above) are unsatisfactory, the Division Director informs the client immediately of the withdrawal.
- 4.6.2 In the case of AQMS clients, appropriate entries are made in the OASIS database.
- 4.6.3 Upon notification by TUV USA, Inc. the decertified client must cease to display or otherwise use the certificate and the logos, and are asked to return the certification documents immediately.
- 4.6.4 Clients are required to notify their customers of withdrawal of certification.

5.0 RECORDS

- 5.1 All records for the certification reduction in scope, suspension or withdrawal are maintained in client files.

Prepared by: J. Espinal	Reviewed by: R. De Souza	Authorised by: R. Thomsen	Document P008	Date: 03/16/2016	Revision: 3
© 2016 TUV USA Inc.		Page 6 of 7		uncontrolled when printed	