



SOP for Certification - QA-P-SYS-07

1.0. PURPOSE

This process explain the certification process of QACS.

2.0. SCOPE

This procedure is applicable to all types of certification activities carried down by QACS.

3.0. RESPONSIBILITIES

Director operation and Certification Manager

4.0 Innitial certification:-

4.1 Enquiry:- Received the generic enquiry through mail, phone, associates etc..

4.2 Application:- based on the enquiry, application form is send for further information.

4.3 Reveiw of Application:- Application reviewed for specific requirement of client and QACS's ability to provide such services, competent resources are also identified based on SOP for defining certification personnel QA-P-HRD-02, for critical code list as per QA-OP-28 the application will be reviewed by an approved auditor for such codes and/or approved technical expert will be part of team responsbile for review for such code.

4.3.1 Situation for declining application- In ISMS/ ITSMS specific review is done for sensitive or confidential information which can not be presented to audit team. The technical reviewer should review whether ISMS audit is possible without sensitive / confidential information. If reviewer found that ISMS /ITSMS audit is not possible without audit of expected sensitive / confidential information then furthur information from client is taken as how client will make arrangement to present sensitive / confidential information to audit team if client refuses to make some arrangement then application would be declined.

4.4 Audit program and team identification:- As the innitial certification require two stage of auditing (Stage 1 and Stage 2) the competent audit team is identified based on scope of client (For FSMS CATEGORY SCOPE IS IDENTIFIED BASED ON Iso Ts 22003 ANNEXURE A AND IDENTIFICATION APPROPRIATE PART OF Iso /Ts 22002 SERIES) and for EnMS as per ISO 50003:2021 standard/s for certification, type of audit (single/combined). After initial certification audit the audit programme will be revised based on various product / processes under scope, sites and result of previous audit. Audit team competency may be collective competence of audit team leaders, auditors and technical experts, observer, guides.

4.5 Quotation:- Quotation enlisting all services and charges as applicable is sent for confirmation.

4.6 Selection and appointment of stage 1 team:- the competent audit team is selected for conducting stage 1 of client.

4.7 planning for stage 1:- The audit plan along with the information of audit team and dates is sent to client and confirmation received along with any other issues like traveling or other arrangement of audit team.

4.8 Conduct stage1:- Stage 1 is conducted as per the procedure for auditing and procedure for stage1. (for ISO 27001:2022 audit following is done:

4.8.1- Will collect complete documentation related to designed of ISMS / ITSMS (manual, procedures, work instructions)

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4.8.2- the written audit report of stage 1 audit (ISMS / ITSMS) shall be independently reviewed before deciding on stage 2 audit and competence of stage 2 audit team member will be reviewed for appropriateness.

4.8.3- the client will be informed along with stage 1 audit report (ISMS/ ITSMS) , types of information and records that may be required for details examination during stage 2

4.8.4- will obtain sufficient understanding of design of ISMS with context of organisation, risk assessment and risk mitigation (risk treatment-controls determine), information security policy and objective, and clients preparedness for audit to help in planning for stage 2.

4.9 Resolving stage 1 area of concern / non conformity:- Based on the report and recommendation of audit team any/all area of concern are resolved with the client. The ISMS stage 1 audit report will be reviewed by independent competent ISMS auditor who is not part of audit team. The area of concern may be modification in scope or may result in replanning of initial certification including reconducting of stage 1. It may also require QACS to revise its arrangement for stage 2 audit. The QACS will also make client aware of the further types of information and records that may be required for detailed examination during stage 2.

4.10 **planning for stage 2:-** The audit plan along with the information of audit team and dates is sent to client and confirmation received along with any other issues like traveling or other arrangement of audit team. The time interval between stage 1 and stage 2 shall never be less than 1 day and may be up to 2 months (for FSMS not more than 6 months) based on the needs of client.

4.11 Conduct stage 2:- Stage 2 is conducted as per the procedure for auditing and procedure for stage 2

4.12 Resolving stage 2 area of concern / non conformity:- Based on the report and recommendation of audit team any/all area of concern are resolved with the client.

The lead auditor/ audit team leader raise the non conformity as Major, Minor or area for improvement. In case of major NC / area of concern may be modification in scope or will result in special audits (followup). If special audit is not conducted within 6 months from the last day of last audit to verify CA then stage 2 will be reconducted.

4.13 Initial certification audit conclusion:- The audit team will analyse all information and evidence gathered in stage 1 and stage 2 audit and agree on audit conclusion. The report of audit team along with the evidences of effective implementation of corrective action is checked for completeness by certification manager and then sent to the temporary committee (technical expert of same code & auditor or Auditor of same code) different from the audit team who conduct technical review of the report and recommend for certification award.

4.14 Initial certification decision:- The certification committee review the decision of temporary committee and payment status of client and take final decision on the grant of certificate. Date of decision is date of initial registration (certificate issue date).

4.15 Grant of certification and issuance of certification document:- after the final decision soft and hard copy of certificate document has been sent to client. (for QMS, EMS and OHS certificate EA Code and FSMS scope subcategory is defined as per ISO/TS 22003-1-2022 annexure A). The ISMS certificate will include statement of applicability along with reference to national/ international standards as sources of control set that are determined as necessary in SOA (the certificate is issued only based on control set source for control applied in statement of applicability and this is clearly mentioned on certificate). Some time committee may approve sending the certification document to client even when all payment of services is not received but promised in some time.

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4.16 The certificate is issued for a maximum period of three years. The subject to successful surveillance audit. In case surveillance is not conducted certificate would be suspended/ withdrawn.

5.0 Surveillance and ongoing monitoring of clients:

QACS Also conduct Post certification activities to check it use of logo and certificate and may also check the website of client if available.

QACS Also conduct Remote/market feedback based surveillance activities other then regular surveillance audits. The information of such activities are noted in application review format QA-OP-22.

5.1 Surveillance audit:- The surveillance audit is conducted onsite atleast once in the calender year and date of first surveillance should not be more then after 12 months from the date of certification decision.

5.2 Exchange of information:- The information regarding changes in system, processes or scope of operation is exchange bet client and QACS.

5.3 Audit program:- The audit program is sent for confirmation, It also include any changes or modification as per the exchange of information.

5.4 Confirm/ Appoint audit team:- Audit team is selected based on the scope and standard of client and confirmation of audit team is taken from the client.

5.5 planning for surveillance audit:- The audit plan along with the information of audit team and dates is sent to client and confirmation received along with any other issues like traveling or other arrangement of audit team

5.6 Conduct surveillance audit:- surveillance audit is conducted as per the procedure for auditing and procedure for surveillance audit

5.7 Resolving surveillance audit area of concern / non conformity :- Based on the report and recommendation of audit team any all area of concern are resolved with the client.

The lead auditor/ audit team leader raise the non conformity as Major, Minor or area for improvement. In case of major NC / area of concern may be modification in scope or will result in special audits(followup).

5.8 Survellience audit conclusion: The audit team provide a written report of audit along with any/all implimentation of corrective action taken.

5.9 Independent review of certification:- The report of surveillance audit is reviewed and decision to maintain the certification is taken.

6.0 Recertification:-

6.1 Recertification audit:- The recertification activity is conducted before the expiry of certification.

6.2 Exchange of information:- The information regarding changes in system, processes or scope of operation is exchange bet client and QACS.

6.3

6.3.1 recertification audit planning:- The plan for next three year cycle is prepared keeping in view the performance of the client in last cycle and effectiveness of corrective action taken and cureent scope of certification.

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6.3.2 Audit program:- The audit program is sent for confirmation, It also include any changes or modification as per the exchange of information.

6.4 Confirm/ Appoint audit team:- Audit team is selected based on the scope and standard of client and confirmation of audit team is taken from the client.

6.5 planning for recertification audit:- The audit plan along with the information of audit team and dates is sent to client and confirmation received along with any other issues like traveling or other arrangement of audit team

6.6 Conduct recertification audit:- recertification audit is conducted as per the procedure for auditing and procedure for recertification audit

6.7 Resolving recertification audit area of concern/ Non Conformity :- Based on the report and recommendation of audit team any/all area of concern are resolved with the client.

The lead auditor/ audit team leader raise the mnon conformity as Major, Minor or area for improvement. In case of major NC / area of concern may be modification in scope or will result in special audits(followup).

6.8 Recertification audit conclusion: The audit team provide a written report of audit along with any/all implimentation of corrective action taken and results of review of system over the period of certification and any complaint received from user. Based on all these factors all team recommend recetification.

6.9 Recertification decision:

6.9.1 The report of audit team along with the evidences of effective implimentation of corrective action is check for completeness by certification manager and then sent to the tempary committee who conduct technical review of the report and recommend for certification award.

6.9.2 The certification committee review the decision of tempary committee and payment status of client and take final decision on the grant of certificate.

6.10 Grant of certification and issuance of certification document.:- after the final decision soft and hard copy of certificate document has been send to client. Some time committee may approved sending the certification document to client even when all payment of services is not received but promised in some time.

7.0 Special audits (Follow up /short notice audit/ unannounced visit) :- the Special audit may be conducted to verify the the implimentation of correective action taken on nonconformamce within 6 month or to verify any complaint by regulatory authority or to verify compliance against any new requirement for certification or if required by accreditation board or client for modification in scope.

Related documents

Quotation Form QA-MKT-03
Application Form QA-MKT-04
Application review form QA-OP-22
Audit Programs
Opening & closing meeting Record QA-SYS-06
Stage1 report: - QA-SYS-04, QA-SYS-25, QA-SYS-35
Stage 2 reports QA-SYS-05, QA-SYS-26, QA-SYS-36
LA/A/TE evaluation form QA-HRD-14
Feedback form:- QA-MKT-08
Certificate draft copy:- QA-SYS-09
Surveillance reminder letter- QA-SYS-14

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Suspension letter: - QA-SYS-15
Termination letter - QA-SYS-16
Continuation letter: - QA-SYS-20
LA/A/TE appointment letter:- QA-SYS-10

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