

	URS (ME) FZC		
	Procedure- Decision to Suspend/Cancel Certification	Date: 30 April 2020	Doc. No: URSME-02
		Issue No. 1	Rev No. 2

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AMENDMENT RECORD

Amendment No/Issue No	Rev No	Affected Sections/Page No	Description	Amended by	Approved by	Date
01	00	All	Procedure- Decision to Suspend/Cancel Certificate	Disha Sanghvi	Neelesh Sinha	19/03/16
01	01		Addendum 1A/1B and Addendum 2A/2B forms created to record the suspension decision	Disha Sanghvi	Neelesh Sinha	04/5/2017
01	02		Management of Extraordinary Events like COVID 19, Addendum 1C/2C added to record the same	Disha Sanghvi	Neelesh Sinha	30/4/2020

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Scope

This procedure covers the Process of Decision to suspend/cancel (Withdraw) client Certification.

1. Objective

The procedure allows for granting decision for suspension/cancellation, by an independent competent person.

2. Definition

Independent Competent person – Certification manager / Accounts Manager/Director /Report Reviewer

Note- In Absence of Certification Manager, Operation In-charge will Seek approval from Director before proceeding for Suspension/withdrawal of certification.

3. Procedure

- During its validity period, Certification may be suspended (not exceeding 6 months) or the scope of certification reduced by order of the designated authority in line with the policy on this aspect, if the conditions so warrant, such as the following.

Scenario	Independent Competent person
A. Organization does not agree or allow to get surveillance audit /recertification audit conducted within due date at the prescribed frequency.	Certification Manager
B. Financial issues, such as non-payment of dues	Accounts Manager
C. Client (certified organization) requests itself, provided suspension sought is for a limited period (say not exceeding six months) for any reason, such as strike at work of operation, temporary lock out, financial crisis, major changes being taken up in the system during which they may not be able to comply with the system.	Certification Manager/Director
D. As a result of investigation of complaint, where the findings so warrant.	Certification Manager/Director
E. As a result of special visit, it is observed that correction or corrective actions taken by the client against findings/complaints are not appropriate. As a result, there is serious or persisting failure in maintaining	Report Reviewer

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Management System.	
F. Failure to meet certification requirements including the requirement to maintain effectiveness of the certified management system	Report Reviewer

4.1

Below process is used to suspend/cancel clients **where visits are unacceptably overdue as per Scenario A mentioned in Point 4.**

Input	Instruction	Output
<p>Year one surveillance overdue from their planned date for suspension.</p> <p>As above for Year Two surveillance Overdue etc.</p>	<p>Based on Client data, list out the clients which are overdue (Surveillance audit not completed within 12 Months from date of decision)</p> <p>This decision will be made by the appropriate competent person. A record of the reason for suspending a client should be recorded in.</p> <p>This Review to be done on Monthly Basis.</p> <p>Send the Suspension letter client that if audit is not completed within 12 Months from date of decision.</p>	<p>Print Suspension letter and send to client</p>
<p>Chase suspended certifications. (Maximum 6 Months from Date of suspension)</p>	<p>Allow clients to be reminded that they are on suspension period to see if they can redeem the situation before they get cancelled.</p> <p>Remind the client that they are on suspension to see if they can redeem the situation before they become cancelled.</p> <p>Repeat the above process</p>	<p>Print cancellation letter</p>
<p>Cancel suspended certifications (15 days after the above process)</p>	<p>If any client is able to close the issue within suspension period, re-instate certificate.</p> <p>After 18 months from prior review, Review clients on the list again and proceed to make cancellation decision.</p> <p>Review clients on the list and proceed for cancellation.</p>	

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4.2 For financial Issues, Scenario B, as per instructions by Accounts Manager, based on discussion with client, if payment is overdue more than 6 Months, Certificate may proceed for suspension

For Scenario C and D, Decision will be taken by Independent Competent person, and recorded.

For Scenario E and F, The normal suspension/cancellation process continues to exist via review of the client’s certification/ Surveillance/ Recertification audit report by competent technical person and filling RCL by reviewing auditors’ recommendation for suspension/ cancellation/withdrawal for other points considering Procedure URSME-01 and recorded in RCL.

If in case, Client Agrees for Surveillance Schedule or Makes the payment or close the issue mentioned in Suspension letter within specified time frame (maximum 6 Months), as reply of Suspension Notification, Suspension can be Restored/revoked.

If the Suspension is not revoked within Specified time frame, client will be proceeded for Cancellation.

Independent competent person can take this Decision.

Date and Justification of Re-instatement to be added in URSME-02 Addendum1A.

4.3 Management of Extra Ordinary Events

(IAF ID 3. Examples of when this form may be utilized include war, strike, riot, political instability, geopolitical tension, terrorism, crime, pandemic, flooding, earthquake, malicious computer hacking, other natural or man-made disasters)

For Maintenance of Certification Existing Clients below is accepted (As per MRM dated 8/4/2020).

- Y1 Surveillance Audits – an additional allowance of 6 months for 1st Surveillance is being permitted over and above the standard 12-month allowance following stage 2/re-certification.*
- Y2 Surveillance Audits – delayed audit permitted – up to 18 months late*
- Re-certification Audits – Extension of 6 months is being proposed. (if a client is provided with this extension, when the clients delayed re-certification is completed, the renewed certificate will be based on the previous certification cycle)*
- All the postponement requests to be filed on CMS and monitor within specified timeline.*
 - Above client will not be proceeded for suspension unless the timeline of 6 months is lapsed.*

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- *The periodic review (at least once in Quarter) of decision to be made and suspension/cancellation decision to be taken accordingly.*

5. Forms

Standard letter format for suspension /cancellation letter to be used for Suspension/cancellation of clients.

Details suspended clients to be recorded in URSME-012 Addendum1A & Addendum2A

Details cancelled clients to be recorded in URSME-012 Addendum1B & Addendum2B.

Details of clients wherever accepted the delay/postponement of audit is accepted due to COVID 19 – to be accepted to be recorded URSME-012 Addendum1C & Addendum2C.