



# UMS CERTIFICATIONS PRIVATE LIMITED

## CERTIFICATION SCHEME REGULATION

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### REVISION HISTORY

Date	Type of Change	Clause affected	Change Done By	Change Approved By



### 1.1. INTRODUCTION

This document describes the processes adopted by UMS for granting, maintaining, expanding or reducing scope of management systems certification for ISO 9001, ISO 14001, ISO 22000, ISO 45001 & ISO 27001 standards.

### 1.2. PURPOSE

The purpose of this description is to provide information on granting & maintaining certification to client organizations, business associates, consultants & other stake holders who may have an interest in certification from UMS with the intent that the certification terms are always complied with.

### 1.3. SCOPE

This description is applicable to all organizations that have been certified by UMS for management systems certifications.

### 1.4. CERTIFICATION PROCEDURE

The procedure begins when a prospective client organization has submitted a duly completed application form.

#### Application Review

- a) Typically consists of the receipt of an appropriately filled application from the client organization. The application is then reviewed for accuracy & adequacy of the information.
- b) Submission of the fee offer & its acceptance by the client organization. Then the signing of the contractual agreement with the client organization is completed & discussions pertaining to requirements, planning & scheduling of stage 1 audit are carried out.

#### Stage – 01 Audit

##### The stage 01 audit will typically consist of:

- a) An audit of the management system documentation to ensure that all the applicable requirements of the standard(s) have been addressed.
- b) Confirmation that all legal/technical requirements are identified and documented.
- c) An evaluation of client's location, processes and site conditions & to check the readiness for stage-02 audit.

**The stage-01 audit is partly offsite & partly onsite.**

#### Stage – 02 Audit

At stage-02, the client organization is audited according to the implemented management system/s by gathering objective evidence & interactions/interviews with the personnel of the client organization.



**A stage–02 audit is a purely onsite audit.**

**Stage–02 activities will typically consist of:**

- a) An opening meeting
- b) Interviews with managers and staff
- c) Evaluation of internal audits, management review and objectives.
- d) Examination of records, documents, policies & objectives.
- e) Audits of all relevant processes such as production, purchasing, complaints, roles & responsibilities, management leadership, risks & opportunities management, needs & expectations of the interested parties etc.
- f) Visits of temporary sites (if applicable)
- g) Discussions regarding any findings
- h) A closing meeting

**Certification Decision & Grant:**

- a) Review of audit reports.
- b) Effective closure of non-conformity, if any.
- c) Review of certification fee status.
- d) Issuance of the certificate.
- e) All issued certificates can be verified at UMS website – [www.umscerts.com](http://www.umscerts.com).

### 1.5. VALIDITY OF CERTIFICATE

Typically, the certifications from UMS come with initial 3-year validity. However, in specific cases, the validity of the issued certificates can be 2 years or 1 year also.

In order that the certificate remains valid for its full duration, the client organization shall have to ensure the timely & successful completion of the due surveillance audits.

### 1.6. SURVEILLANCE AUDIT

Surveillance audits shall be conducted at periodic intervals which is at least once a year from the date of issuance/grant of the certificate.

A surveillance audit typically consists of the following –

- a) Internal audits and management review;
- b) A review of actions taken on nonconformities identified during the previous audit;
- c) Complaint's handling;
- d) Effectiveness of the management system with regard to achieving the certified client's objectives and the intended results of the respective management system (s);
- e) Progress of planned activities aimed at continual improvement;
- f) Continuing operational control;
- g) Review of any changes;
- h) Use of marks and/or any other reference to certification.

### 1.7. RECERTIFICATION AUDIT



The purpose of the recertification audit is to confirm the continued conformity and effectiveness of the management system as a whole, and its continued relevance and applicability for the scope of certification.

The recertification audit shall have to be completed before the expiration of the existing certificate allowing UMS sufficient time to review the audit report/s as well as ensuring sufficient time for the client organization to close the non-conformities identified during the audit.

### 1.8. SUSPENSION OF CERTIFICATION

The certification is typically suspended in the following situations:

- a) The client's certified management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the management system.
- b) The client organization is found to be misusing marks & logos of certification.
- c) Complaints from the customers of certified client organization.
- d) The certified client does not allow surveillance or recertification audits to be conducted at the required frequencies, or
- e) The certified client has voluntarily requested a suspension.

Under the status of suspension, the client's management system certification is temporarily invalid. During suspension, the client shall refrain from further promotion of its certification & that of using UMS certification mark & symbol. In the event of non-compliance, UMS shall take an appropriate action, including legal action, against the client organization to ensure compliance.

The status of suspended certificates is made public & displayed on UMS website – [www.umscerts.com](http://www.umscerts.com).

UMS may also inform the client's customers and other stake-holders of the client organization on the suspended status of certification.

The certification shall be restored, if the issues, based on which it was suspended, has been effectively addressed by the client organization. However, if the issues are left unaddressed for a pre-determined time frame, the certification shall be withdrawn.

### 1.9. WITHDRAWAL OF CERTIFICATION

The certification is typically withdrawn by UMS in the following situations:

- a) The client organization has failed to address the issues of suspension of the certificate.
- b) The client organization has voluntarily surrendered its certificate.
- c) The client organization has failed to get the renewal/recertification done as per stipulated timeframe.



After withdrawal, the client organization shall stop completely the use of certification marks & logos. It shall also have to remove all references to certification, wherever the client organization had done so, including website, stationery, etc.

The status of withdrawn certificates is made public & displayed on UMS website – [www.umscerts.com](http://www.umscerts.com).

UMS may also inform the client's customers and other stake-holders of the client organization on withdrawn status of the certificate.

### 1.10. SPECIAL AUDITS

#### 1.10.1. Expanding Scope

UMS shall, in response to an application for expanding the scope of a certification already granted, undertake a review of the application and determine any audit activities necessary to decide whether or not the extension may be granted. This may be conducted in conjunction with a surveillance audit.

#### 1.10.2. Reducing Scope

Upon the request of the client or during the surveillance audit as identified/verified by the audit team, the scope of certification can be reduced after the verifications conducted as per the UMS certification process.

Examples of reductions can be deletion of the site/unit, product line or business line. This can be done by conducting the extra man-days of the audits as per the complexity/risk of the reductions requested.

#### 1.10.3. Short-Notice Audits

It may be necessary for UMS to conduct audits of certified clients at short notice or unannounced to investigate complaints, or in response to changes, or as follow up on suspended clients.

UMS shall take due care that the –

- a) Information is given to the client in advance regarding the visit with details.
- b) To select the auditor to Safeguard Lack of Reason to client for objection to the auditor.

### 1.11. USE OF LOGO

The use of logo is governed by the conditions mentioned in Annex-08. The logo can only be used by organizations that hold a valid certification from UMS. All organizations whose certificate has been suspended or withdrawn are strictly debarred from usage of UMS certification mark & symbol. Non-compliance to this shall attract an appropriate action, legal action included.



### 1.12. ADDITIONAL INFORMATION

All assessments undertaken by UMS are conducted by auditors qualified to the requirements of ISO 19011 with expertise matched with the nature of an applicant company's activities under assessment. The company is advised in advance of the composition of the Audit Team and the schedule of audit for confirmation. The Team Leader is responsible for planning the audit in accordance with the requirements, assigning auditing functions to his team members and reporting, with authority to take final decisions in respect of the interpretation of the applicable requirements of the standard as well as makes recommendation regarding grant of certification based upon a review of the level of compliance of the systems in operation.

The applicant company is responsible for providing UMS Auditors, an access to its relevant facilities and records, appointing a responsible person to co-ordinate the arrangements for audit and to provide all resources required by the audit team for performing their duties.

### 1.13. CONFIDENTIALITY

UMS understands & gives due care to the confidentiality on the information of client's management system. All audits are conducted in complete confidentiality of the company's activities. UMS office staff and auditing personnel are bound by a confidentiality agreement to safeguard the client's classified information.

- a) UMS do not offer or undertake internal audits to its clients as well as to other parties. Hence there is no chance of providing certification to any such party. UMS do not outsource audits to a Management System consulting organization to avoid any threat to impartiality.
- b) UMS do not market its activities as linked with the activities of the organization that provides management system consultancy.
- c) UMS shall take action to respond to any threats to its impartiality arising from the actions of other persons, bodies or organizations.
- d) UMS and any part of it do not offer or provide internal audits to its certified clients. UMS do not certify any management system on which it provided internal audits within two years following the end of the internal audits.

### 1.14. ACCREDITATION BOARD

At any time of the Certification cycle the Accreditation Boards auditor may accompany the UMS Audit Team for the evaluation of the UMS Auditor's. Also, the accreditation Board auditors may visit personally without any representative from UMS. In both the cases organization is liable to allow them to audit their system and verify the documents related to Management System but under prior and timely information.