

1.0 INTRODUCTION:

- 1.1 This procedure describes the method to follow, when planning and performing audits Other than Certification or Surveillance Audits. These type of audits include scope extension / reduction, change of site, addition/ deletion/ merger of sites, changes in ownership/ personnel or equipment/ process, complaint etc.
- 1.2 Special visits may become applicable following Certification of a Company. Special visit may be required under the following conditions:
 - (a) Extension of scope.
 - (b) Short Notice Audit investigate customer complaints, in response to changes, major concern shown in surveillance visit, or follow up of suspended clients.
- 1.3 Extension of Scope: On receipt of an application form a certified company for extensions of scope, Assessment Manager, VRC International will undertake a review of the application and determine any audit activities necessary to decide whether the extension may be granted, Visits for surveillance audit can also be utilized for conducting this audit.
- 1.4 Short Notice Visits: This is undertaken to investigate complaints or in response to changes or as follow up on suspended clients. In such cases, VRC International:
 - (i) Informs in advance to the certified clients the conditions under which these shorts notice visit are to be conducted.
 - (ii) Takes additional care in the assignment of the audit team because of the lack of opportunity for the client to object to audit team members.

2.0 OBJECTIVE:

- 2.1 The objective of this type of audit is to:
 - (a) Ensure that the client's management system has been maintained on continuous basis under changed situation,
 - (b) Verify and ensure that any changes to management system which might have taken place due to changed situation, meet the requirements of the standard/specification and are implemented effectively,
 - (c) Ensure that the management system continues to be appropriate to the product/process/service offered by client, with the capability of managing and improving performance.

3.0 AUTHORISATION FOR SHORT NOTICE LISTS:

All surveillance reports are reviewed by the AM and, should cause for a serious concern be noted, during these reviews, the AM may determine the need for a special visit. The AM shall decide the specific areas to be investigated during the special visit and will advise the Company in writing.

The AM shall then decide upon the personnel to undertake the special visit which would include an Audit Team Leader and if necessary, an Expert with expertise in the auditee company's operations.

The CEO will liaise with the Company to agree to a suitable date and venue for the special visit which will again be confirmed in writing by AA who shall record the date in:

- (a) The file progress form.

The file with the letter is then returned to the Accounts Assistant for invoicing.

4.0 RESPONSIBILITY:

The assigned team leader is responsible for conducting and managing the assessment along with other team member, if any. The Team Leader shall be of Auditor status as a minimum. As far as possible, same team should be sent for this audit as was for the certification audit

5.0 ACCOUNTS:

5.1 An invoice for the planned visit is raised dependent on the time to be spent on the visit. The file and the invoice(s) are returned to the AA.

5.2 Details of the invoice raised are to be entered in the file progress form by AA. The letter together with the invoice is sent to the client and the file returned to the appropriate drawer. Upon receipt of invoice the file is marked accordingly.

6.0 PROCESS:

6.1 On the basis of information received in terms of changes as described in Para 1.1, a post contract review would be done.

6.2 Based on the review above, decision regarding onsite reassessment would be made and generally concerned procedure shall be followed.

6.3 If only the name of the client is changed and there are no other changes (for example there is no change in the management), decision to reissue the certificate could be taken on the basis of details (including the details regarding the legal status) provided by the client. Since this type of audit requires re-issue of certificate, the "Certification Details" in the report shall be completed and data base shall be updated. This shall be followed for verification in the next surveillance visit.

6.4 On completion of the special visits, the visit leader will complete a Company visit report to which assessment continuation sheets may be attached detailing the investigation and the decisions taken during the special visit.

6.5 The special visit report will be reviewed by the AM and, should the withdrawal of the Company's Certification be recommended, a report shall be submitted to the CEO for approval of the recommended action. The CEO will advise the Board of Directors and Experts Committee on the matter.

6.6 The reason for AM in recommending withdrawal of a registered company's Certificate of Registration is usually, but not limited to the following reasons:

- (a) The continued discovery of major discrepancies.
- (b) The persistent lack of effective corrective action, including those related to customer complaints.
- (c) A persistent failure to clear discrepancies raised during surveillance visits.
- (d) Persistent misuse of the VRC International logo.
- (e) Major un-noticed changes to company.
- (f) Failure to pay the surveillance fee.

6.7 Should the AM recommend cancellation of certification, this action shall be conducted in accordance with Section 8 of this Manual. CEO is authorized to suspend and withdraw certification.

PURPOSE: This procedure describes the method to follow for Suspending, withdrawing or reducing the scope of Certification

SCOPE: All certificates issued by VRC International.

RESPONSIBILITY: CEO.

Suspending, withdrawing or reducing the scope of Certification

- 1 CEO has the authority to suspend certification in cases where on reviewing the audit reports and subsequent verification, he arrives to a conclusion that the:-
 - (a) client's certified management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the management system in the surveillance audits
 - (b) the certified client does not allow surveillance or recertification audits to be conducted at the required frequencies as mentioned in the contract no
 - (c) the certified client has voluntarily requested a suspension in writing to VRC.
- 2 Under suspension, the client's management system certification becomes temporarily invalid. CEO ensures the enforceable arrangements with its client to ensure that in case of case of suspension the client refrains from further promotion of its certifications per Agreement. **VRC International specify the subsequent actions taken by him.**
- 3 CEO ensures that the suspended status of the certification is publicly accessible on the website and also communicated to the client in writing.
- 4 CEO ensures ,if within 6 months of suspension or the time limit set by VRC (but less than 6 months)the issues are not resolved that have resulted in the suspension, then the CEO takes decision of withdrawal or reduction of the scope of the certification and communicates in writing to the client and the list is updated on the website.
- 5 Upon verification of audit reports and subsequent on-site verification, the CEO may reduce the client's scope of certification to exclude the parts not meeting the requirements, when the client has persistently or seriously failed to meet the certification requirements for those parts of the scope of certification. CEO ensures the reduction shall be in the line with the requirements of the standards used for certification.
- 6 CEO ensures that there is enforceable arrangements with the certified client concerning conditions of withdrawal ensuring upon notice of certification that the client discontinues its use of all advertising matter that contains any reference to a certified status as per contract.
- 7 CEO ensures through TC, it correctly state the status of certification of a client's management system as being suspended, withdrawal or reduced in VRC International website. **VRC International may publish status of certification in newspaper as necessary.**