



## **Procedure for Certification Decision**

**BQTL/CD/QSP/9.5/01**

**Standard Reference ISO/IEC 17021-1:2015 [Clause No. 9.5]**

### **1. Purpose:**

This procedure aims to establish a certification decision system for making certification decisions, granting scope extensions, modifying/amending/changing/renewal/reduction/suspension/withdrawal, and transferring certification in food safety certification schemes in accordance with ISO/IEC 17021:2015 Standard regulations.

### **2. Scope:**

The procedure is applicable to certification program for FSMS and FSSC 22000 Certification.

### **3. References:**

BQTL/CD/QSP/9.5/01 Procedure for Certification Decision.

ISO/IEC 17021-1:2015

ISO/TS 22003:2022

### **4. Responsibilities:**

Certification committee shall be responsible for:

- a. Granting of the certification decision, renewal, extension and amendment/changes of scope.
- b. Evaluate the technical review report.
- c. Evaluate the organization, their background and big picture about their commitment their food safety.
- d. Should be responsible for taking certification decisions.
- e. Should be responsible to convey their final decision about certification of the site to the operation team.

CEO shall be responsible for signing of the certificate of compliance. Certification Division team shall be responsible for preparation of certificate, communication and record management.

### **5. Certification Decision Apparatus:**

The Certification Committee, which has been appointed and constituted for this purpose, will review and grant all certification decisions. It shall retain power over certification decisions, such as issuing, maintaining, recertifying, increasing and limiting the scope of certification, and suspending or withdrawing certification.

Members of the Certification Committee may not participate in the audit and technical review process of the site for which a certification decision is required. A minimum of two members are required to make the certification decision. The presence of a qualified technical person is required for the decision to issue or award the certificate. This is necessary for technical assistance in decision making. A competent technical person can be an FSMS AND FSSC 22000 auditor who has not participated in the auditing or technical evaluation of the file for the specific instance of the client/applicant.

Presence of the competent technical person is necessary:



- In case of extension of scope/services where existing members do not have expertise to arrive at decisions.
- In case of special investigations/decisions like reviews, reduction/suspension/withdrawal and other matters related to certification decision.

or Quality Manager will be responsible to independently evaluate (onsite/offsite) the reputation, history of adherence to legal and food safety requirements, recent food safety issues/incidents, product recall/withdrawal issues and commitment of management towards food safety using relevant sources.

## **6. Procedure of Issue/Grant of Certificate:**

### **6.1 Criteria for Grant of Certificate:**

Certificates may be granted to sites which have had an audit against ISO 22000:2018 (FSMS AND FSSC 22000) and/or FSSC 22000 and/or that meet(s) the following criteria as minimum:

- The audited site has met the requirements of that standard within the scope of certification sought.
- The site shall also have provided evidence of completion of critical and major non-conformities and a corrective action plan for the minor non-conformities and these have been reviewed by Lead Auditor and have been further verified by Certification Committee.
- The client has established facilities for the manufacture of product or providing service. Additionally, the audited client (to whom certificate is to be issued) is mandatorily a legal entity or is legally responsible (for example, audited organization is legally incorporated company under companies act or is a govt. undertaking or is registered co-operative organization or other legally incorporated organization).
- The client shall have completed at least one cycle of internal Audit and Management Review meeting to indicate the effective installation of the system.
- Scope/activities of client are covered under accredited scope of Basil Quality Test Lab Pvt. Ltd. Certification Division.
- The assessment was conducted by qualified competent Auditors.
- The information provided by the audit team is sufficient with respect to the certification requirements and the scope for certification.
- Certification committee has reviewed, accepted and verified the effectiveness of correction and corrective actions for all non-conformities that represent.

### **6.2 Certification Decision:**

Upon successful review of the audit and corrective evidences by Technical reviewer, Technical Review Report along with following supporting documents are placed before Certification Committee for final review and decision-

1. Audit report;
2. Comments on the non-conformities and, where applicable, the correction and corrective actions taken by the client;
3. Confirmation of the information provided to the certification body used in the application review;
4. Confirmation that the audit objectives have been achieved;
5. Recommendation whether or not to grant certification, together with any conditions or observations.
6. Basil Quality Test Lab Pvt. Ltd. Certification Division shall make decisions on renewing certification based on the results of the recertification audit, as well as the results of the review



of the system over the period of certification and complaints received from users of certification.

If the certification authority is unable to verify the implementation of adjustments and corrective actions for any major non-conformity within 6 months after the completion of stage 2, it must perform another stage 2 before proposing certification. The Certification Committee evaluates the audit documentation and documentary evidence supporting corrective actions (Stage 1 and Stage 2 audit reports, confirmation of the information provided in the application review, and auditor's report on corrective actions) before deciding whether to issue a certificate. When awarding or denying a certificate, the Certification Committee shall consider the minimum requirements outlined in clause 6.1 of this procedure. The decision of the committee meeting report about the grant or refusal must be noted on the document titled Certification Decision Report (BQTL/CD/ANX/24). If the Certification Committee decides to issue a certificate, the decision, along with the Certification Decision Meeting record, will be forwarded to the Certification Division team for certificate preparation.

If the certificate is not given, unsolved concerns will be detected and communicated back to the site for additional clarification, including corrective action that must be taken. If the site does not follow up on the unresolved issues, the audit report will be issued with the designation "Not Approved".

### **6.3 Preparation/Drafting and Release of Certificate:**

The Certification Division staff will prepare and print the certificate. A draft certificate must be given to the Certification Committee for review, if necessary, to avoid inaccuracies in the final document.

The certificate shall carry the following information: -

- Name and address of the company/operation to which the Certificate is issued
- Scope of certification e.g. Products/technologies/elements of the operation assessed
- Exclusions (to scope) where applicable.
- Certificate number
- Date of initial certification
- Date of reissue (if applicable)
- Expiry Date of Certificate
- Authorizing signature of CEO (or nominated personnel in absence of CEO)
- Accreditation Mark (e.g. Logo)
- Basil Quality Test Lab Pvt. Ltd. Certification Division's Certification Mark (i.e. Logo)

Certificates will be issued with an expiry date of 3 years from the date of certification decision and will be maintained, provided the conditions stated in 6.4 of this procedure.

Before updating the certificate in the database, the audited organisation must clear all invoiced certification charges. The database of Basil Quality Test Lab Pvt. Ltd. Certification Division will be updated with the name of the audited organization/holder, as well as the Certificate number, date of issue, scope, and assessment category. After updating the database, the certificate will be sent to the customer. Basil Quality Test Lab Pvt. Ltd. Certification Division will retain ownership of the certificate, and in the event of suspension, withdrawal, or scope reduction, the client must return the certificate (in original) to Basil Quality Test Lab Pvt. Ltd. Certification Division in accordance with the policy and terms of agreement.



#### **6.4 Continuation or Maintaining Certificate:**

Certified clients shall be allowed to maintain certificate based on continued demonstration of effective management system in all respective assessments and in the events of changes/modification or extension of scope. The conditions for maintaining certificate is elaborated in Quality Manual (BQTL/QM/01).

#### **6.5 Extension and Modification in Scope of Certificate**

##### **6.5.1 Extension or Modification in Scope of Certificate on Request:**

Certified clients who wish to extend the scope of their existing certificate may contact Basil Quality Test Lab Pvt. Ltd.'s Certification Division. For the final assessment, members of the Certification Committee will analyse the application for merits in cooperation with the audit team. Such reviews must be conducted to determine the conditions (e.g., documentary evidence, extra audit, etc.) for extending the scope. If an extra audit is required, it will be carried out in accordance with the procedures outlined in this document to validate the changes. This can also be completed during the next scheduled surveillance audit. Following the grant of scope extension, the issued certificate (in original) will be collected from the audited client and a revised certificate will be issued in place in accordance with the procedure outlined in clauses 6.1 and 6.2 of this document.

##### **6.5.2 Modification in the Scope of Certificate due to Change in Management System:**

Changes to the management system shall be reviewed by the Certification Committee, which will further evaluate the need for re-assessment of a certified client in the event of changes significantly affecting the organization's Management System [such as the legal, commercial, organisational status or ownership, organisation and management (e.g. key managerial, decision-making or technical staff)], contact address and sites, scope of operations (process change) under the certification. Following the grant of scope modification, the issued certificate (in original) will be recalled from the audited client, and a revised certificate will be issued in accordance with the method outlined in clauses 6.1 and 6.2 of this procedure.

##### **6.5.3 Modification Due to Changes in Certification Requirements/Process:**

When the Accreditation Body revises the certification body's requirements, the Basil Quality Test Lab Pvt. Ltd. Certification Division will adhere to the transition plan as announced by the Accreditation Body within the time frame specified.

Audit Manager must give its client and the accreditation body advance notice of any changes it intends to make to its certification standards. Before settling on the specific form and effective date of such modifications, relevant parties' perspectives are taken into account. Based on the release of the revised requirements, Basil Quality Test Lab Pvt. Ltd. Certification Division should ensure that each customer makes any necessary changes to its method within a reasonable timeframe. Based on the projected changes, the Quality Manager will decide on actions such as a special audit in accordance with the specified protocol. Following successful completion of the audit, decisions will be made in accordance with clauses 6.1 and 6.2 of this procedure.

##### **6.5.4 Issuance of Certificate in Case of Re-certification:**

Following the conclusion of the re-certification audit, a technical review and certification process will occur in accordance with this method. The certificate will be given upon satisfactory completion of the process defined in BQTL/CD/QSP/9.3/01, as well as meeting the additional conditions specified in Basil Quality Test Lab Pvt. Ltd. Certification Division's BQTL/CD/QM/01 Quality Manual. This re-certification will be for an additional three years. The original certification date will stay the same. The current certification date must be on or after the



date when the re-certification decision is made. Certification will expire three years after the date of recertification.

## **7. Procedure for Suspension, Withdrawal and Reduction in Scope of Certificate:**

### **7.1 Procedure for Suspension of Certificate:**

Basil Quality Test Lab Pvt. Ltd. Certification Division shall suspend certification in cases where:

1. Clients certified management system has persistently or seriously failed to meet certification requirements for effectiveness of the management system.
2. Certified client does not allow surveillance or re-certification audits to be conducted within 2 months of due date.
3. In the events of complaints.
4. Certified client voluntarily requests for a suspension.
5. Non-payment issues.
6. Misuse of Accreditation Body or Basil Quality Test Lab Pvt. Ltd. Certification Division certification Marks/logos.

Suspensions shall be authorized by CEO and client shall be notified in writing with reason and implication of suspension. The normal suspension duration is six months, during which time the client must meet all of the conditions for suspension reversal. When suspended sites meet the imposed conditions within six months, the corrective action will be assessed by the Quality Manager, who will make a recommendation to revoke suspension or commence withdrawal rules based on the outcome of the evaluation. If the client fails to meet the conditions imposed for the reinstatement of certification status, the Basil Quality Test Lab Pvt. Ltd. Certification Division will withdraw or reduce the scope of the certification based on the gravity of the situation (refer to Procedure BQTL/CD/QSP/9.01/01 point 7, Suspension and Withdrawal Process).

Under imposition of suspension:

1. Client's management shall be rendered temporarily invalid.
2. In the period of suspension, client shall refrain from further promotion of its certification (as per terms and conditions of the contract agreement)
3. Suspended status of the client shall be made publicly accessible (e.g. updated on website etc.)

### **7.2 Procedure for Withdrawal of Certificate:**

Basil Quality Test Lab Pvt. Ltd. Certification Division shall follow the documented procedure under 7.2 to effect the withdrawal process for certificate on following reasons:

1. Failure to resolve the issues (that have led to suspension of certification) in six months' period
2. Where entire management is impacted indirectly as result of the reduction in the scope.

The withdrawal of certificates may comprise of but may not be limited to any of the following:

#### **Routine Circumstances:**

1. Failure to maintain standards identified at the routine surveillance assessment and not corrected by submission of documentary evidence.
2. Failure to allow a scheduled surveillance visit to be undertaken.
3. Voluntary withdrawal from the Basil Quality Test Lab Pvt. Ltd. Certification Division's scheme.
4. Failure to pay the appropriate certification fees as agreed prior to undertaking the assessment.

#### **Extraordinary Circumstances:**



1. Complaints regarding the failure of the company to comply with the requirements of the relevant standard.
2. Deliberate, misleading use of the Certificate.
3. Deliberate or misleading claims relating to the scope, or level of Certificate held.
4. The certified client requests a suspension of the certificate.
5. Falsification of any nature.
6. Failure to comply with terms of contractual agreement

The CEO shall have the authority to remove the certificate based on the advice of the certification committee. The decision will be made based on an investigation by the Quality Manager. Based on the need for a decision, the Audit Manager may advise the Regional Director to authorise an investigative audit. Based on the results of such an investigation, the withdrawal process may be launched, and the customer will be notified.

The client will also be given a set amount of time to take corrective action, and the certificate withdrawal process will begin if the client fails to respond with an acceptable programme for corrective action within the time period specified, or if they refuse to consent to an assessment, the certificate will be withdrawn. If a certified site has been suspended for more than six months, no more time will be allowed before withdrawal begins. After withdrawal, the status will be made public by updating the database. The issued certificate (in its original form) must be returned and kept on file. The customer has the right to appeal and will be led through the process upon request. If a client's certificate has been removed and issues have not been resolved within the stated timeframe, or if their certificate has expired, the only way for them to reinstate their certificate is to schedule a re-audit.

### **7.3 Procedure for Reduction in Scope:**

Failure to remedy the issues (that caused the suspension of certification) within a six-month period will result in a decrease of the scope of certification to exclude the portions that do not fulfil the requirements. Such reductions must meet the standards of the certification standard. In the event that a decrease in scope is likely to have an influence on the overall management system, no reduction shall be permitted, and withdrawal shall be undertaken.

The CEO of Basil Quality Test Lab Pvt. Ltd. Certification Division shall have the ability to sanction a reduction in the scope of the certificate based on the advice of Quality Manager Basil Quality Test Lab Pvt. Ltd. Upon request from any party, the Certification Division will correctly update the decrease in scope status. The client's reduced status will likewise be made public.

### **8. Transfer of Certification:**

**8.1** For transfer of certification from existing certification body to Basil Quality Test Lab Pvt. Ltd. Certification Division the applicant organization shall be required to meet the following criteria:

- a) Transferring certification is only allowed for scopes where Basil Quality Test Lab Pvt. Ltd. Certification Division has ISO 22000 accreditation and for food chain categories where they meet competence criteria.
- b) The applicant organisation must obtain a No Objection Certificate (NOC) from the incumbent certifying authority. The NOC letter will enable Basil Quality Test Lab Pvt. Ltd. Certification Division to evaluate whether the applicant organisation has successfully closed all non-conformances from earlier audits (if any) and has no outstanding financial commitments.





- c) Certificate transfer may be considered if the current certifying body has ISO 22000 accreditation from NABCB or equivalent recognised bodies. Where the applicant organization's existing certification body fails to meet this condition, the application will be handled as a new one, and certification will be examined from the start.
- d) All non-compliances from previous audit shall be successfully addressed and closed.
- e) Only consider transferring certification if it is valid at the time of application (at least 30 days till expiration).

**8.2 The procedure shall be operated in the following manner:**

1. The application shall be laid for review by Quality Manager. The applicant shall be guided to complete application form and submit following documents (as minimum):
  - NOC from existing certification body
  - A copy of existing certificate
  - Audit reports (from previous audits), corrective actions, corrective action evidences and other audit related documentation
  - Any other documentary evidences sought by reviewer
2. The Quality Manager will review the application and documents (listed in sub-clause 1) based on the criteria outlined in sub-section 8.1 and the same will be discussed with the applicant for further documentary evidences, if required.
3. Within 7 days of submitting relevant papers, the applicant will receive a review decision with justification for acceptance, rejection, or change. In the event of acceptance with modification, the applicant organization will be notified of the next steps in the certification process (including the requirement for audit).
4. The applicant, in case of acceptance, shall be provided with quote proposal and other on boarding documentation like signing of Master Agreement etc.
5. All post agreement steps shall proceed in the same manner as it takes places in case of non-transfer cases.

**9. Refusal of Certification:**

Certification may be formally refused where certification requirements are not met, major nonconformities remain unresolved, or misleading information is identified. Refusal decisions shall be documented and communicated to the applicant along with reasons and appeal rights

**10. Restoration of Certification:**

Where suspension conditions are satisfactorily resolved within the defined period, certification status shall be restored following verification and certification decision approval.

**Basil Quality Testing Lab Private Limited**

CEO (Jan 13, 2026)

A handwritten signature in blue ink, consisting of a stylized 'M' followed by a flourish, is written over a circular blue stamp.