

Procedure – Certificate Suspension, Withdrawal or Scope Reduction Process

Kompleye

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SUMMARY This process provides a description of suspension and/or withdrawal certification and reducing the scope of certification to ensure proper control over Kompleye-issued certificates and certified clients with the intent of meeting the requirements of ISO 17021 and Accreditation Bodies' requirements for certification.

APPROVED

O&M COMMITTEE



The information contained in this document cannot be changed without the express authorization of the CEO of the Organization.

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1 General Information

1.1 Objectives

- ☉ Ensure adequate control over certificates issued by Kompleye and certified customers with the intention of meeting the requirements of ISO 17021 and the requirements of accreditation bodies for certification.

1.2 Scope

Applies to all certifications provided by Kompleye to relevant audit criteria, throughout all stages of the certification process.

1.3 References

- ☉ **ISO/IEC 17021** Requirement for bodies providing audit and certification of Management Systems
- ☉ **ISO/IEC 27006** Requirements for bodies providing audit and certification of information security management systems
- ☉ **IAF MD 11** IAF Mandatory Document for Application of ISO/IEC 17021 for Audits of Integrated Management Systems (IMS)

For dated references, only the edition cited applies. For undated references, the latest edition, or the valid version of the referenced document (including any amendments) applies.

1.4 Responsibilities

This document is generated by the ISO Lead of the Organization and reviewed and approved by the O&M Committee.

It is the responsibility of the Audit Team to follow the parameters specified in this document.

It is the ISO Lead's responsibility to verify the implementation of what is specified in this procedure and its compliance in all areas of the Organization.

1.5 Definitions

For the purposes of this document, the terms and definitions given in the ISO/IEC 17021-1 Conformity assessment - Requirements for bodies Requirements for bodies providing audit and certification of management systems - Part 1: Requirements, and the following apply:

- ⦿ **Suspension** is a temporary status which can only end by full reinstatement or withdrawal of certification. During this period, the client's certification is temporarily invalid. Suspension is not to exceed 180 days.

In the case of suspension, the client shall refrain from further promotion of its certification. Kompleye will make the suspension status of the client publicly available and take any other measures it deems appropriate.

In the case of multi-site organizations, suspension applies to the certification of the entire organization, although the issue may relate to one or more of the sites only.

- ⦿ **Reduction** of scope consist of excluding from the scope of certification 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. Any such reduction shall be in line with the requirements of the audit criteria used for certification.
- ⦿ **Cancellation** is an action to nullify a certificate at the request of the certified client.
- ⦿ **Withdrawal** is an action taken by Kompleye to terminate the validity of the client's certificate.
- ⦿ **Integrated Management System (IMS):** A single management system managing multiple aspects of organizational performance to meet the requirements of more than one management standard, at a given level of integration. A management system may range from a combined system adding separate management systems for each set of audit criteria/standard, to an Integrated Management System, sharing in single system documentation, management system elements, and responsibilities.
- ⦿ **Level of Integration:** The level to which an organization uses one single management system to manage multiple aspects of organizational performance to meet the requirements of more than one management system standard. Integration relates to the management system being able to integrate documentation, appropriate management system elements and responsibilities in relation to two or more sets of audit criteria/standards.
- ⦿ **Audit of Integrated Management System:** An audit of an organization's management system against two or more sets of audit criteria/standards conducted at the same time.

2 Procedure – Certificate Suspension, Withdrawal or Scope Reduction Process

Note: Kompleye shall suspend, withdraw or reduce the scope of certification of ISO/IEC 27701 where its base ISO/IEC 27001 certification is suspended, withdrawn or its scope (which includes the scope of ISO/IEC 27701 certification) is reduced.

2.1 Conditions for Suspension of Certification

2.1.1 The Certificate of Approval is suspended for a specified period based on the following conditions:

2.1.1.1 Organization does not allow surveillance or recertification audits within the specified time frame.

2.1.1.2 The organization does not completed correction, corrective actions within agreed time scale.

2.1.1.3 The organization requests for suspension.

2.1.1.4 The certificate or logo of Kompleye is intentionally misused in any way. (the logo of Kompleye cannot be used on test reports/certificates).

2.1.1.5 The organization makes incorrect references to the certification status.

2.1.1.6 The organization fails to conform with the agreed standard consistently.

2.1.1.7 The organization fails to comply with the financial requirements of the agreement of certification.

2.1.1.8 The organization undertakes actions which bring Kompleye into disrepute.

2.1.1.9 Any willful mis-declaration in the application form.

2.1.1.10 Willful non-compliance to the terms and conditions specified in agreement.

2.1.1.11 Excessive and or serious complaints against organization from interested parties.

2.1.1.12 Any other condition deemed appropriate by the Kompleye.

2.1.2 In such cases, a formal communication will be made to the organization in which Kompleye specify the citing intention to suspend the certificate and ask for remedial measures within a period of 15 days.

2.1.3 The certified organization shall be given an opportunity to explain its position in writing to Kompleye. The recommendation for suspension is performed by the ISO Lead and forwarded to the CEO for the final decision. This decision shall be taken in respect of suspension of the certificate of registration on the basis facts and the results of such presentation.

2.1.4 If the above action does not result in any improvement, a registered (or equivalent)

letter will be issued to the organization indicating the conditions under which suspension has been affected and also informs about the consequences of the suspension like in case of suspension period client refrains from future promotion of the certification. The information on the certified status of the client will be made publicly accessible through Kompleye website. If required, any other mode of publication may also be considered.

- 2.1.5 The organization shall be responsible for taking prompt corrections, corrective action and inform Kompleye accordingly within the stipulated time i.e., maximum 180 days from the date of suspension, subsequent to which an audit or a visit may be planned to verify the conformance of the requirements and effectiveness of the actions initiated by the client.
- 2.1.6 If delay is persisting, in taking corrective actions even after persuasion, the CEO makes a decision for recall of certificates and logo as applicable in the case of withdrawal.
- 2.1.7 On fulfillment of indicated conditions within the stipulated time, Kompleye may remove the suspension and notify the Organization accordingly. Otherwise, the certification will be liable for withdrawal.
- 2.1.8 The maximum period of suspension is six months unless for any specific reason extended by the ISO Lead, after which conditions for withdrawal apply.
- 2.1.9 Extension of suspension period may be granted under situations wherein the client or Kompleye has sufficient reasons to justify the suspension period. Under no situations will the extension of suspension period exceed by 3 months. Which mean no situations the suspension period exceeds by 9 months.

2.2 Conditions for Withdrawal of Certification

The organization's certification will be withdrawn, and agreements cancelled in the following cases:

- 2.2.1 When the conditions referred to in “Condition for Suspension of Certification” mentioned above exist and the Organization fails to take corrective actions under indication to Kompleye.
- 2.2.2 If the certification criteria are changed and the organization either will not or cannot ensure conformance to the new requirements within the stipulated time.
- 2.2.3 In such cases, a formal communication will be made to the organization in which Kompleye specifies the citing intention to withdraw the certification and ask for a response within a period of 15 days.
- 2.2.4 The certified organization shall be given an opportunity to explain its position in writing to the Kompleye. The final decision shall be taken in respect of withdrawn of the certificate of approval on the basis facts and the results of such presentation by

the CEO.

- 2.2.5 This will be exercised by informing the organization by a registered (or equivalent) letter followed by any other publication notifying the withdrawal if required. This information will be made publicly accessible through Kompleye website.
- 2.2.6 An organization may dispute or appeal or complain against the decision of Kompleye which will be dealt with as specified in “Procedure – Appeals and Complaints Handling Process”.
- 2.2.7 Once the Certificate of Registration is withdrawn and if the organization wishes to get the certification redone, Kompleye would carry out a complete re-audit.
- 2.2.8 When withdrawal is finalized, the following actions are taken:
 - 2.2.8.1 The organization will be advised by communication in writing (letter, e-mail fax etc.) to return the certificates along with logo issued to them or give a confirmation that the certificates or logo issued are either made obsolete/withdrawn or prevented from any misuse.
- 2.2.9 It will be suitably denoted, or amendment made in the “directory of certified companies” published by Kompleye on website as decided by the CEO.
- 2.2.10 If an organization makes a false claim as to certification by Kompleye, appropriate action is taken against such Organization which may include corrective action, publication of transgression and if necessary, other legal action.
- 2.2.11 The CEO shall take all the decisions on suspension, extension of suspensions and withdrawals and cancellations.
- 2.2.12 Upon request by any party, Kompleye will correctly state the status of certification of a client's management system as being suspended, withdrawn or reduced.

2.3 Conditions for Cancellation of Certification

- 2.3.1 The Organization's certification will be cancelled, and agreements cancelled in the following cases:
 - 2.3.1.1 At the request of the Certified Organization.
- 2.3.2 This will be exercised by informing the Organization by a registered (or equivalent) letter followed by any other publication notifying the withdrawal if required. This information will be made publicly accessible through Kompleye website.
- 2.3.3 Once the Certificate of Registration is cancelled and if the organization wishes to get the certification redone, Kompleye would carry out a complete re-audit.
- 2.3.4 When cancellation is finalized, the following actions are taken:
 - 2.3.4.1 The organization will be advised by communication in writing (letter, e-mail fax etc.) to return the Certificates along with logo issued to them or give a confirmation that the certificates or logo issued are either made

obsolete/withdrawn or prevented from any misuse.

- 2.3.5 It will be suitably denoted, or amendment made in the “directory of certified companies” published by Kompleye on website as decided by the CEO.

2.4 Conditions for Extending and Reducing the Scope of Certification

The scope of certification can be extended or reduced on receipt of written request from the client under any or more of the following:

- 2.4.1 When products/services are added or deleted from the existing scope.
- 2.4.2 When the client increases or decreases the production capacity or range covered in the scope, with additional or less manpower or resources within the existing management system certified.
- 2.4.3 Change in number of sites (addition/deletion etc.).
- 2.4.4 Kompleye can reduce the scope if during an audit; the client organization is not able to demonstrate its capability to render the scope of activities as specified in the Certificate of Registration.
- 2.4.5 Kompleye has the option to verify during surveillance audits or for conducting a special audit on receipt of any information from the client. However, this situation will be informed to concerned persons who will resolve with the client and changes are made as per the above procedure.
- 2.4.6 New certificates will be issued with the modifications once the change in scope of certification is verified and documented by Kompleye.

2.5 Integrated Management System

- 2.5.1 If certification to one or more management system standard(s)/specification(s) is subject to suspension, reduction, or withdrawal, Kompleye shall investigate the impact of this on the certification to other management system standard(s)/specification(s) and take action in accordance with the results.

3 Performance Indicators

Not Applicable.

4 Records Generated

Not Applicable.

5 Referenced Documents

- ④ KM-QM-001-EN Quality Manual.