GRANTING, WITHDRAWING, SUSPENDING OR REDUCING CERTIFICATION

OVERVIEW

This procedure is to define the procedures used for Granting, Withdrawing, Suspending or Reducing Certification. To ensure that the correct procedures are implemented when granting certification, ensure that the organisation meet the scope of supply that it has been certified for. To ensure that the organisation knows there right to appeal against withdrawing, suspending or reducing certification.

PROCEDURE

Granting Certification

1. The organisation will issue Sancert with the latest version of their manual (Either ISO 9001:2015, ISO 14001:2015, ISO 45001:2018, ISO 13485:2016, ISO/IEC 27001:2013/2022, ISO 22000:2018, ISO 31000:2018 or integrated) in either a hard copy or electronic version.

2. A document review will be done to ensure compliance to the standard / standards. A report will be issued to the organisation on any document deviations.

3. An on-site audit will take place to verify system compliance. Sancert has no stipulation on the period of time systems need to be entrenched, but one documented Management Review meeting and one internal quality audit must have taken place. Auditors will measure the effectiveness of internal quality audits and management review meetings during the audit.

4. Certification shall not be granted until there is sufficient evidence to demonstrate that the arrangements for management review and internal audit have been implemented, are effective and will be maintained.

5. If any deviations are found a deviation (F-DEV-002) will be written out for each deviation found and an Audit report (F-DEV-009 or F-DEV-034) will also be filled in and a copy given to the organisation. 90 days will be given to close out all deviations unless deviation is of a critical nature then a suitable close-out date will be agreed upon.

6. A close out period will be mutually decided upon. The Auditor will also notify the organisation if it is required for the Auditor to return to close out any deviations or whether they can just be submitted directly to Sancert.

7. The Auditor will submit a further report to Sancert certification committee, with the Auditors recommendation as to whether the organisation recommended for certification once deviations are closed out, or if further audits are required.

8. Once all the deviations have been closed out, closed out deviations with evidence needs to be submitted for the certification committee to review. The Auditor / Auditors that assessed the organisation will not sit on the committee that grants certification to that organisation.

9. Technical Reviews are carried out at least within 10 days of the submitted report.

10. F-CERT-005 Quality Assurance Technical Audit Review will be used as a check sheet to ensure all requirements have been met before certification can be granted.

11. Once certification is granted the certification committee will sign off F-DEV-004 and generate an official certificate to issue to the organisation.

12. Sancert retains the authority and responsibility for all its decisions relating to certification.

Withdrawing

1. At any surveillance audits or if there have been any complaints about a certified organisation, it is found that there is a major system failure with no hope of correction the auditor reserves the right to make a recommendation to the certification committee that certification be withdrawn or amend/reduce scope of supply if only a section of the scope does not comply and does not affect the rest of the process.

2. An Auditor will first conduct re-assessment after significant changes, or a valid complaint indicates that compliance may be in doubt.

3. The EMD in consultation with the Finance Director acting alone may cancel (withdraw) certification for non-payment of fees after the appropriate procedure has been followed.

4. This will only happen in extreme circumstance, a remedy to the situation will rather be investigated first.

5. If an Organisation has its certification withdrawn it shall: -

- Not claim registration in any documentation regarding tenders
- Not display a registered certificate
- Not claim registration in any advertisements

6. The organisation will be given an opportunity to lodge an appeal if they feel aggrieved by a decision of Sancert.

7. An amendment will be made to Certification Register (F-CNR-001).

8. In organisations, where major advertisement has been done to increase business due to having certification, the organisation will be required to make an announcement to the media.

Suspensions

1. Sancert may suspend a registration due to non-compliance by a registered Organisation or at the request of the Organisation. This needs to be brought to the attention of the certification body for approval before the suspension can take place. Such cases may result

from unsatisfactory assessment results or from information passed to Sancert. All cases will be thoroughly investigated and assessed / inspected prior to any action being taken.

2. Organisations that go into voluntary suspension shall give an undertaking to adequately address the circumstances that caused the suspension within three months of the date of suspension.

3. Organisations in voluntary suspension for longer than three months are required to apply in writing to Sancert for permission to continue in voluntary suspension for a further three-month period. Voluntary suspension is where the organization themselves request that their certification be suspended for non-compliance with requirements or other reasons.

4. Organisations who do not apply to Sancert for extension of the suspension may have their certification status revoked by the Certification Committee after the initial three months.

5. These organisations will then have to re-apply as a new applicant should they wish to become certified again and be liable for all costs associated with a new application including application fee and document review.

6. Organisations will also have to demonstrate effective preventative actions to ensure there is no possibility of a repeat. All costs associated with effecting a suspension shall be for the account of the organisation.

7. The Organisation remain liable for all fees whilst in suspension. Sancert does not refund any fee or part thereof to organisations that have been suspended or whose certification has been withdrawn.

8. Once certification is suspended or withdrawn the name of the facility is removed within two weeks of the suspension/withdrawal from the website directory. The responsible person for this is the relevant EMD.

9. Sancert shall inform the Organisation in writing of the suspension, the period of suspension and the reasons for suspension.

10. If the Organisation has not corrected the non-compliances by the end of the suspension, Sancert may terminate this Agreement.

11. During the period of suspension, the Organisation shall: -
    - Not claim registration in any documentation regarding tenders
    - Not display a registered certificate
    - Not claim registration in any advertisements.

Reducing Certification

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1. If during surveillance audits, it is found that the organisation is not covering all items on the scope of supply certification will be amended. (E.g., design was part of scope and now the organisation has no design control).
2. If during surveillance audits it is found that the organisation is not covering all the standards as per the initial certification, certification will be amended to cover only the standards to be audited.
3. The organisation will be given an opportunity to lodge an appeal if they feel aggrieved by a decision of Sancert.

Non-compliance of Regulatory Requirements

1. An Auditor must look at all regulatory requirements during an audit, whether this being an ISO 9001:2015, ISO 14001:2015, ISO 45001:2018, ISO 13485:2016, ISO/IEC 27001:2013, ISO/IEC 27001:2022, ISO 22000:2018, ISO 31000:2018 or integrated audit.
2. If during an audit any non-compliance is found, it must be treated as a major finding and a deviation against the non-compliance must be written out and given to the organisation to rectify.
3. The client will be given a 90-day period to close out the finding effectively and have enough evidence to prove that this regulatory requirement has been fully addressed. Unless deviation is of a critical nature then a suitable close-out date will be agreed upon
4. All major findings raised due to non-compliance of regulatory requirements must be closed out on site by a Sancert appointed auditor.
5. Only once this has been rectified with all other deviations can certification be considered.