

	Document No.	QP 10
	Revision No.	2
	Date	30-07-2019
PROCEDURE FOR CERTIFICATE ISSUE, SUSPENSION AND WITHDRAWAL		Page 1 of 12

1.0 Purpose

To describe a procedure for issue of certificate, suspension and withdrawal of the certificate

2.0 Scope

This procedure covers overall activity for certificate issue, suspension and withdrawal of certificate for all types of certification activities done by Judah Compliance Auditors.

3.0 Responsibility

3.1 Certification Manager is responsible for review and approval of certificates. He is responsible for issue of certificate to clients. He is authorised to send suspension or withdrawal letters/e mails to clients. He is supported by the support staff for all routine activities.


4.0 Description of Activity

4.1 Procedure for certificate issue

4.1.1 The auditor/ team leader is responsible for submission of audit reports and audit documents to the administration officer.

4.1.2 The Stage 1 audit is conducted in accordance with the scope and a Stage 1 report (F31) is issued summarising the audit findings and especially making the client aware of all areas of concern. The Stage 1 Report is compiled by the auditor, reviewed by the administration officer (for formatting, grammar) and sent to the certification manager or managing member for review and approval. Thereafter the administration officer sends the Stage 1 report to the client for their attention and action

4.1.3 The Stage 2 audit is only conducted after the client has confirmed that all areas of concern identified at Stage 1 have been adequately addressed.

	Issued by	Administration Officer
	Authorised by	Certification Manager
This manual is the property of JUDAH COMPLIANCE AUDITORS CC. No corrections / amendments are to be made except by the person authorized. The holder to return the manual on leaving the organization. If printed, this document is uncontrolled. The latest current updated controlled version is available on Judah Compliance Auditors' data server and only accessible to authorised persons.		


	Document No.	QP 10
	Revision No.	2
	Date	30-07-2019
PROCEDURE FOR CERTIFICATE ISSUE, SUSPENSION AND WITHDRAWAL		Page 2 of 12

The Stage 2 audit checklist, audit attendance registers and checklists together with non-conformance reports (if any) as well as the Stage 2 audit report is sent to the administration officer after each Stage 2 audit. The non-conformance reports and Stage 2 Report is reviewed by the certification manager or managing member, who then approves release to the client.

The administration officer sends the non-conformance reports to the client requesting corrective actions to be taken.

The client is then required to submit corrective actions indicating how the non-conformances have been addressed. These corrective actions, together with supporting documents are then reviewed by the auditor and/or certification manager and/or managing member. If the actions taken are deemed effective then the Stage 2 report is finalised with a positive recommendation to the certification committee. If further actions are required, then this is communicated to the client. If a further site visit (verification visit) is required, then this is conducted in order to verify that the actions taken have indeed been effective.

If a client certificate is suspended, then the validity of the certificate is marked as “suspended” on the directory of certified clients. The client notified of the suspension and given 60 days for implementation of suitable corrective actions. If after this 60 day period, the required actions have not been taken or are inadequate, a further notification is issued to the company making them aware that a further 120 days is allowed for corrective actions to be implemented which the client certification will be suspended during this period. If corrective actions are not closed within this period, then the client’s certification will be terminated and the client notified accordingly. Exceptions to the above can be considered based on exceptional circumstances.

	Issued by	Administration Officer
	Authorised by	Certification Manager
This manual is the property of JUDAH COMPLIANCE AUDITORS CC . No corrections / amendments are to be made except by the person authorized. The holder to return the manual on leaving the organization. If printed, this document is uncontrolled. The latest current updated controlled version is available on Judah Compliance Auditors’ data server and only accessible to authorised persons.		

	Document No.	QP 10
	Revision No.	2
	Date	30-07-2019
PROCEDURE FOR CERTIFICATE ISSUE, SUSPENSION AND WITHDRAWAL		Page 3 of 12

4.1.4 Once the Stage 2 report is finalised with a positive recommendation, the administration officer then prepares the certification review checklist for the certification review committee. Any audit report requiring issue of certificate (Stage 2 audit, change in scope or address, triennial audit etc.) requires review and approval by certification committee chairman. Certification committee chairman reviews the findings of Stage 1 and 2 in addition to review of audit report prior to taking the decision. Correspondence related to the client (e.g. Complaints received against the client, changes in scope, media reports etc.) are also reviewed during certification (or re-certification) decision. The decision taken is recorded on F34 form for the registration audit.

In case Certification committee chairman is involved in the audit or is not available or has declared conflict w.r.t. any client, the managing member will make the decision based on the review and decision recorded on F34 form.


4.2 Certificate preparation and issue

4.2.1 This involves preparation and review of certificate, certificate signature by certification manager and updating the directory of certified clients.

Certificates are issued to clients following initial audit, extension to accredited scope, triennial audit, upgrade on surveillance or change in company details (name, address etc). The certificates will be numbered sequentially starting with 001 followed by the client code of Judah Compliance Auditors.


4.2.2 Certification Manager prepares the certificate:

- No certificate will be issued unless Judah Compliance Auditors has evidence that all non-conforming notices raised have been closed out.

	Issued by	Administration Officer
	Authorised by	Certification Manager
This manual is the property of JUDAH COMPLIANCE AUDITORS CC. No corrections / amendments are to be made except by the person authorized. The holder to return the manual on leaving the organization. If printed, this document is uncontrolled. The latest current updated controlled version is available on Judah Compliance Auditors' data server and only accessible to authorised persons.		

	Document No.	QP 10
	Revision No.	2
	Date	30-07-2019
PROCEDURE FOR CERTIFICATE ISSUE, SUSPENSION AND WITHDRAWAL		Page 4 of 12


- Select the appropriate blank certificate(s) based on the standard as indicated on the audit report. Be sure to check for any changes indicated on Comment Sheets attached to audit report.
- Determine the certificate number by reviewing the directory of certified clients (F38).
- Set the issue date to be the date of approval by certification committee chairman indicated on the F34 Audit report review checklist. Set the expiration date to be three years later. (An issue date of 15/10/11 would result in an expiration date of 14/10/14.)
- The expiry date may vary from above for transfer cases, where the expiry date shall be the same as earlier certificate. Also refer to any specific instructions given by Certification Manager W.r.t. expiry dates e.g. during transition to revised standard, the expiry of old standard may be pre-decided by the accreditation board.
- The initial registration date shall be the issue date for first 3 year cycle. In the triennial case, the initial registration date shall be the issue date of first certificate issued. The certificate number shall continue to be the same. The scope shall be the same as in earlier certificate.
- In case the client goes for second cycle but not as triennial (i.e. a gap between expiry of first cycle and second initial date), the certificate shall be considered as fresh and initial registration date shall be the same as issue date. The earlier certificate shall not be considered. A new certificate number shall be awarded.
- On each certificate to be issued, fill in the client organization's name, base office, address, standard (including issue year of standard), and scope, based on the information on the audit report. Be sure to check for any changes indicated on Comment Sheets included in the audit report.

	Issued by	Administration Officer
	Authorised by	Certification Manager
This manual is the property of JUDAH COMPLIANCE AUDITORS CC. No corrections / amendments are to be made except by the person authorized. The holder to return the manual on leaving the organization. If printed, this document is uncontrolled. The latest current updated controlled version is available on Judah Compliance Auditors' data server and only accessible to authorised persons.		

	Document No.	QP 10
	Revision No.	2
	Date	30-07-2019
PROCEDURE FOR CERTIFICATE ISSUE, SUSPENSION AND WITHDRAWAL		Page 5 of 12

- Have the Certification Manager review the certificate for any errors. Submit the corrected and final certificate to Managing Member for his signature.
- Multiple sites each operating a common system with the same scope of certification shall have all the addresses on the same certificate. The client may request for individual certificates. In such cases, each site is issued with its own certificate with the same certificate number and a suffix is added. The certificate number shall be 001A, 001B etc.
- In cases of group of companies, the locations may have different scopes of certification or trading names, each is issued with respective names, addresses and scope. The certificate shall have the same certificate number with a suffix (as explained above).
- Clients may have integrated system where certificates for multiple standards are issued. In such cases, the SANS accredited certificate is issued as above. Rest of the certificates shall be issued by Judah Compliance Auditors using its own format and process. Necessary comment shall be added to the client file and client database for future reference / use.
- In the event of issuing any revised certification documents, then the original certificate number will have a suffix of revision number. E.g. 001/07 – R1, for first revision. The expiry date of the certificate does not change and continues the same as the original. Issue date shall be the date of the certification committee chairman Approval. Initial Registration date shall be the same as original.

Client database is amended as per the database management process. The completed certificate with the audit report is reviewed by Certification Manager for correctness and completeness of the certificate.

	Issued by	Administration Officer
	Authorised by	Certification Manager
This manual is the property of JUDAH COMPLIANCE AUDITORS CC . No corrections / amendments are to be made except by the person authorized. The holder to return the manual on leaving the organization. If printed, this document is uncontrolled. The latest current updated controlled version is available on Judah Compliance Auditors' data server and only accessible to authorised persons.		

	Document No.	QP 10
	Revision No.	2
	Date	30-07-2019
PROCEDURE FOR CERTIFICATE ISSUE, SUSPENSION AND WITHDRAWAL		Page 6 of 12

4.2.3 The certificate with all attachments like logo rules, cover letter etc. is submitted to certification manager for his signature. A computer generated signature may also be used.

4.2.4 The signed certificate is sent to the client electronically via e-mail.

An electronic copy of the certificate together with all other documents supporting the approval shall be placed in the client's electronic file and stored on the doc server.

4.3 Change in Certificate


4.3.1 The client may request for change in certificate. This may be due to –

- Change in ownership
- Change in name of the company
- Change in location
- Increase or decrease in scope (products, services offered etc.)
- Increase or decrease in locations (opening / closing of site etc.)

4.3.2 Client may request for change in certificate or reduction / expansion in scope to Certification Manager, Certification Manager shall review the request and decide for a special audit if the next audit is not due in near future or if the next audit cannot be proposed. Certification Manager also determines if the changed scope is within accreditation scope of Judah Compliance Auditors.

4.3.3 In case of change in name of company or location without any change in management, the client shall submit written request for the change.

4.3.4 The duration for the special visit shall be decided by Certification Manager and communicated to the client. The lead auditor submits a descriptive report detailing the changes, justification for reduction / expansion of scope and review of the impact of change in the scope (use of logos etc.). Where expansion of scope is requested, the

	Issued by	Administration Officer
	Authorised by	Certification Manager
This manual is the property of JUDAH COMPLIANCE AUDITORS CC. No corrections / amendments are to be made except by the person authorized. The holder to return the manual on leaving the organization. If printed, this document is uncontrolled. The latest current updated controlled version is available on Judah Compliance Auditors' data server and only accessible to authorised persons.		

	Document No.	QP 10
	Revision No.	2
	Date	30-07-2019
PROCEDURE FOR CERTIFICATE ISSUE, SUSPENSION AND WITHDRAWAL		Page 7 of 12

compliance to QMS for the respective activities and impact on other processes is verified.

In case the special visit is carried out as a part of routine surveillance, the descriptive report is added to the surveillance report.


The report is reviewed as detailed in 4.1 and 4.2 above. A new certificate is issued with the same expiry date on successful completion of the above process. Certification Manager reviews the contract to determine change in contract w.r.t. duration for further visits etc.

4.4 Suspension and withdrawal or cancellation of certificates

4.4.1 This instruction covers suspension procedures through withdrawal or cancellation of the certification certificate and revision of the directory of certified clients.

- The basis of any withdrawal or cancellation of certification is brought to the attention of the certification manager
- If the Certification Manager shall review the basis for the possible suspension or withdrawal and takes a decision accordingly.
- A letter is issued to the client informing them of the possible suspension or withdrawal of certification and requesting urgent action on their behalf
- The certification manager then reviews the client reply and evaluates if actions taken and/or proposed actions are adequate
- If the client does not reply in fourteen days, or if the reply is not satisfactory, or if the actions required are not effectively completed in the allowed time, the Certification Manager determines whether to suspend or withdraw certification.
- If the decision is made to withdraw certification, the Certification Manager is responsible for removing the client from the directory of certified clients and advising the client in writing of the same.


4.4.2 The following reasons are considered grounds for suspension or withdrawal:

	Issued by	Administration Officer
	Authorised by	Certification Manager
This manual is the property of JUDAH COMPLIANCE AUDITORS CC. No corrections / amendments are to be made except by the person authorized. The holder to return the manual on leaving the organization. If printed, this document is uncontrolled. The latest current updated controlled version is available on Judah Compliance Auditors' data server and only accessible to authorised persons.		

	Document No.	QP 10
	Revision No.	2
	Date	30-07-2019
PROCEDURE FOR CERTIFICATE ISSUE, SUSPENSION AND WITHDRAWAL		Page 8 of 12

- Major non-conformance(s) or effective corrective action not implemented within a specified time period.
- Improper use of the certificate, symbol or logo not remedied to the satisfaction of Judah Compliance Auditors.
- Client ceases to supply product or service of the certified quality system for an extended period of time.
- Client's certified management system has persistently fails to meet any of the requirements for certification including requirements for the effectiveness of the management system.
- Client fails to meet financial obligations to Judah Compliance Auditors
- Client makes a formal request to withdraw certification. In this case, the client is simply removed from the certified list or shaded in red (for historical record)
- Infringement by the client of any contractual conditions between the client and Judah Compliance Auditors
- Client is unable or unwilling to ensure conformance to revisions of standards.
- Existence of a serious complaint, or a large number of second- or third-party complaints, which indicate that the quality management system is not being maintained.
- Client does not allow routine surveillance to be conducted at the required frequency

4.4.3 The suspension or cancellation can be initiated if the client does not allow the routine surveillance to be conducted at the required frequency. The routine surveillance is carried out not more than 12 months from the last audit. In case the audit is not done within 12 months (13 months in case of yearly surveillance), the certificate is suspended

	Issued by	Administration Officer
	Authorised by	Certification Manager
This manual is the property of JUDAH COMPLIANCE AUDITORS CC . No corrections / amendments are to be made except by the person authorized. The holder to return the manual on leaving the organization. If printed, this document is uncontrolled. The latest current updated controlled version is available on Judah Compliance Auditors' data server and only accessible to authorised persons.		

	Document No.	QP 10
	Revision No.	2
	Date	30-07-2019
PROCEDURE FOR CERTIFICATE ISSUE, SUSPENSION AND WITHDRAWAL		Page 9 of 12

and a letter is sent to the client requesting him to agree for the audit. In case of a delay up to 3 months (15 months from the last audit), the audit time shall be extended by 50% of the routine surveillance time (at least 1 day). Successful completion of the audit within 15 months shall not impact the certification.


In case the audit is not done within 15 months, the certificate is cancelled and the client shall be considered as a fresh case for certification.

The above are for special conditions like strike, natural calamities, business operations (case to case basis) etc.

4.5 Conditions for Suspension or Cancellation of Client Certification*


4.5.1 Subject to actions by the client, the following steps will be taken leading to possible suspension or cancellation of the client's certification:

- Unless a reply is received to the letter accompanying notification within 14 days, certification will be suspended and a notification of suspension may be published at the discretion of Judah Compliance Auditors
- The client's response to the accompanying letter will be reviewed and the proceedings may be put on hold while clarification is sought.
- Where mutually agreed-upon corrective action is to be implemented, a time period for implementation will be specified and a review of the corrective action undertaken at the appointed time. This may be the subject of a special surveillance visit or of review of submitted objective evidence, at the discretion of Judah Compliance Auditors Should the corrective action not be considered adequate or not be completed by the appointed time, certification will be automatically suspended.

	Issued by	Administration Officer
	Authorised by	Certification Manager
This manual is the property of JUDAH COMPLIANCE AUDITORS CC. No corrections / amendments are to be made except by the person authorized. The holder to return the manual on leaving the organization. If printed, this document is uncontrolled. The latest current updated controlled version is available on Judah Compliance Auditors' data server and only accessible to authorised persons.		

	Document No.	QP 10
	Revision No.	2
	Date	30-07-2019
PROCEDURE FOR CERTIFICATE ISSUE, SUSPENSION AND WITHDRAWAL		Page 10 of 12

- In the case of serious circumstances, Judah Compliance Auditors may invoke suspension during the period pending the implementation of corrective action.
- Where suspension has been invoked, unless otherwise specified, the client must advise Judah Compliance Auditors every 14 days of the current situation of corrective action. Failure to meet this requirement will result in cancellation of the client's certification.
- Where suspension has been invoked due to failure to conduct surveillance audit, the client shall give justification for failure and offer suitable date. An additional day shall be added to routine surveillance days. The date shall not be later than 15 months from last audit. Failure to offer for audit within 15 months shall result in cancellation of certification.
- When corrective action to resolve the problem(s) taken by the client has been verified, certification will be resumed. The period of certification will not be revised to cover the period of suspension.
- Cancellation of certification will be invoked where, following suspension of certification, the client fails to respond to Judah Compliance Auditors communications within the 14-day grace period or fails to implement corrective action within the appointed time period.
- In extreme circumstances Judah Compliance Auditors may invoke the cancellation of certification with immediate effect without recourse to initial certification suspension.
- Cancellation of certification will require the client to assume the status of non-approval and return all certification documentation to Judah Compliance Auditors
- Use of certification documents, symbols, or logos by the client following certification cancellation may result in legal action being taken against the client.

	Issued by	Administration Officer
	Authorised by	Certification Manager
<p>This manual is the property of JUDAH COMPLIANCE AUDITORS CC. No corrections / amendments are to be made except by the person authorized. The holder to return the manual on leaving the organization. If printed, this document is uncontrolled. The latest current updated controlled version is available on Judah Compliance Auditors' data server and only accessible to authorised persons.</p>		

	Document No.	QP 10
	Revision No.	2
	Date	30-07-2019
PROCEDURE FOR CERTIFICATE ISSUE, SUSPENSION AND WITHDRAWAL		Page 11 of 12


- Re-approval after certification cancellation will be on the same basis, and follow the same process, as that of initial application for a new client. This will require a full assessment, with optional document review at the discretion of Judah Compliance Auditors The de-certification will be published as a separate list and will be available at the Judah Compliance Auditors office and made available upon request.
- The client has the right to appeal any decisions of Judah Compliance Auditors and a copy of the appeals procedures is available on the JC Auditors Website.
- Certification Manager shall remove the companies where the certificate has been cancelled.
- The client files for all cancelled cases shall be archived for a period of 3 months and then destroyed.

4.6 Reduction in scope of Certificates issued

Judah Compliance Auditors shall wherever applicable reduce the scope of certification if during the time of routine surveillance audits / Re approval or Renewal audits it finds that the certified client has continually / seriously failed to meet the certification requirements for those parts of the scope of certification. The reduction in scope will be approved by the Certification Manager


5.0 Reference

5.1	ISO 19011	Auditing standard
6.0	Enclosure	Nil
7.0	Formats / Exhibits	
7.1	F31	Stage 1 Audit Report
7.2	F33	Certificate formats

	Issued by	Administration Officer
	Authorised by	Certification Manager
This manual is the property of JUDAH COMPLIANCE AUDITORS CC . No corrections / amendments are to be made except by the person authorized. The holder to return the manual on leaving the organization. If printed, this document is uncontrolled. The latest current updated controlled version is available on Judah Compliance Auditors' data server and only accessible to authorised persons.		

	Document No.	QP 10
	Revision No.	2
	Date	30-07-2019
PROCEDURE FOR CERTIFICATE ISSUE, SUSPENSION AND WITHDRAWAL		Page 12 of 12

- | | | |
|-----|-----|-------------------------------------|
| 7.3 | F34 | Audit report review checklist |
| 7.4 | F35 | Deviation note |
| 7.5 | F36 | Rules for use of Certification Mark |
| 7.6 | F37 | Customer satisfaction survey form |
| 7.7 | F38 | Directory of certified clients |

	Issued by	Administration Officer
	Authorised by	Certification Manager
<p>This manual is the property of JUDAH COMPLIANCE AUDITORS CC. No corrections / amendments are to be made except by the person authorized. The holder to return the manual on leaving the organization. If printed, this document is uncontrolled. The latest current updated controlled version is available on Judah Compliance Auditors' data server and only accessible to authorised persons.</p>		