

	Document No.	QP 10
	Revision No.	5
	Date	30-06-2022
<b>PROCEDURE FOR GRANTING, REFUSING, MAINTAINING, RENEWING, SUSPENSION, CANCELLATION, WITHDRAWAL, RESTORING AND EXPANDING OR REDUCING SCOPE</b>		Page 1 of 14

#### 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

The certification manager is responsible for review and approval and issue of certificate to clients. He is authorised to initiate suspension or withdrawal/cancellation of certification, when necessary.

#### 4.0 Description of Activity


##### 4.1 Activities prior to 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 is issued summarising the audit findings (areas of concern) 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. This has to be done within 6 months of the stage 1 audit.

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

	Issued by	Administration Officer
	Authorised by	Certification Manager
This manual is the property of <b>JUDAH COMPLIANCE AUDITORS CC</b> . 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.	5
	Date	30-06-2022
<b>PROCEDURE FOR GRANTING, REFUSING, MAINTAINING, RENEWING, SUSPENSION, CANCELLATION, WITHDRAWAL, RESTORING AND EXPANDING OR REDUCING SCOPE</b>		Page 2 of 14

administration officer after each Stage 2 audit. The non-conformance reports and Stage 2 report then released 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 who conducted the audit and/or another competent auditor and/or director. 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.

- 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 manager or managing director/ designate. In cases where the managing director does not have appropriate competence to conduct the review for specific standards, then a suitable competent designated person or technical expert performs this function. This suitable competent designated person or technical expert will be under legally binding contract to JC Auditors. The certification manager or managing director/designate reviews the findings of Stage 1 and 2, the audit report with recommendations as well as corrective action closure before making a 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.

	Issued by	Administration Officer
	Authorised by	Certification Manager
This manual is the property of <b>JUDAH COMPLIANCE AUDITORS CC</b> . 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.	5
	Date	30-06-2022
<b>PROCEDURE FOR GRANTING, REFUSING, MAINTAINING, RENEWING, SUSPENSION, CANCELLATION, WITHDRAWAL, RESTORING AND EXPANDING OR REDUCING SCOPE</b>		Page 3 of 14

If the certification manager is involved in the audit or is not available, the managing member/designate will make the decision based on the review and decision recorded on F34 form.


## 4.2 Granting of certification

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 of scope, triennial audit, or change in company details (name, address etc). The certificates will be numbered sequentially starting with the client code and 001.

4.2.2 Certificate Issue:

- No certificate will be issued unless Judah Compliance Auditors has evidence that all non-conforming notices raised have been closed out.
- The certificate number will be obtained from the sequence as per the directory of certified clients (F38).
- The issue date will be the date of approval by certification manager or managing director/designate indicated on the F34 review checklist. The certificate expiry date will be 3 years after the certificate issue date. (An issue date of 12 January 2021 would result in an expiration date of 11 January 2024.)
- The expiry date may vary from above for transfer cases, where the expiry date shall be the same as the issue date of the initial certification cycle.
- The initial registration date shall be the issue date for first 3-year cycle. For the recertification cycle, the initial certification issue 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.

	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.	5
	Date	30-06-2022
<b>PROCEDURE FOR GRANTING, REFUSING, MAINTAINING, RENEWING, SUSPENSION, CANCELLATION, WITHDRAWAL, RESTORING AND EXPANDING OR REDUCING SCOPE</b>		Page 4 of 14


- 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.
- 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 the event of issuing any amendment of a certificate (e.g., change of address), then the original certificate number remain, but the revision number will change.

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.

4.2.3 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.

4.2.4 Change in Certificate

	Issued by	Administration Officer
	Authorised by	Certification Manager
This manual is the property of <b>JUDAH COMPLIANCE AUDITORS CC</b> . 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.	5
	Date	30-06-2022
<b>PROCEDURE FOR GRANTING, REFUSING, MAINTAINING, RENEWING, SUSPENSION, CANCELLATION, WITHDRAWAL, RESTORING AND EXPANDING OR REDUCING SCOPE</b>		Page 5 of 14

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.)

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.


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 Refusal of Certification

4.3.1 JC Auditors can refuse certification when during application review it is found that client activity is not within the accreditation scope of JC Auditors.


4.3.2 JC Auditors may refuse certification when the certification process is not completed timeously or due to incomplete conformity assessment activities. The reasons for refusal will be documented.

#### 4.4 Maintaining Certification

	Issued by	Administration Officer
	Authorised by	Certification Manager
This manual is the property of <b>JUDAH COMPLIANCE AUDITORS CC</b> . 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.	5
	Date	30-06-2022
<b>PROCEDURE FOR GRANTING, REFUSING, MAINTAINING, RENEWING, SUSPENSION, CANCELLATION, WITHDRAWAL, RESTORING AND EXPANDING OR REDUCING SCOPE</b>		Page 6 of 14

- 4.4.1 The client will maintain certification based on demonstration that the client continues to satisfy the requirements of the management system standard.
- 4.4.2 Maintaining Certification is allowed when in during subsequent surveillance client has demonstrated that is continued to fulfil all requirement of standard and scope of certificate. The certification is maintained provided:
- The certified client continues to meet the criteria of certification and effective implementation of corrective action taken due to any non-conformity found during surveillance assessment has verified.
  - There are no violation of legal / regulatory / statutory requirement / complaints/ about the client.
  - The client has paid all the outstanding fees due to JC Auditors.
- 4.4.3 Certification manager monitors its surveillance activities, including monitoring the reporting by its auditors, to confirm that the certification activities are operating effectively. Special audits/ Short notice audits may be performed in accordance with special audit procedures.
- 4.4.4 Certificates will be maintained provided that the certified clients continue to satisfy the management system standard and based on positive recommendation from the audit team leader during routine surveillance audits provided that there are not any non-conformity or any other situations which may lead to withdrawal / suspension of certification. In such cases the audit team leader reports to the Certification Committee to initiate a review by competent personnel, independent from those who carried out the audit
- 4.5 Renewing Certification
- 4.5.1 The Certification Committee will make a decision on renewing certification based on the results of the review of the system over the period of certification and complaints received

	Issued by	Administration Officer
	Authorised by	Certification Manager
This manual is the property of <b>JUDAH COMPLIANCE AUDITORS CC</b> . 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.	5
	Date	30-06-2022
<b>PROCEDURE FOR GRANTING, REFUSING, MAINTAINING, RENEWING, SUSPENSION, CANCELLATION, WITHDRAWAL, RESTORING AND EXPANDING OR REDUCING SCOPE</b>		Page 7 of 14

from users of certification.

4.5.2 Decision on renewing the certificate will be made by Judah Compliance Auditors based on results of the surveillance/recertification audit, review of the certified client's system over the period of certification and any complaints received against the certified client over the certification period.

#### 4.6 Suspension


4.6.1 The following reasons are considered grounds for suspension:

##### 4.6.1.1 Non-conformances

- Major non-conformance(s) or effective corrective action not implemented within 120 days from the date of the closing meeting. This is applicable to surveillance and recertification audits as well as transfers.

##### 4.6.1.2 Audit dates

- 1<sup>st</sup> Year Surveillance
  - The client fails to conduct the 1<sup>st</sup> year surveillance audit within 12 months of certification issue, the certificate will be suspended.
- 2<sup>nd</sup> year surveillance
  - The client fails to conduct the 2<sup>nd</sup> year surveillance audit, the certificate is suspended after 13 months, and a letter is sent to the client informing the same and a possible cancellation in 2 months.
- Recertification

	Issued by	Administration Officer
	Authorised by	Certification Manager
This manual is the property of <b>JUDAH COMPLIANCE AUDITORS CC</b> . 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.	5
	Date	30-06-2022
<b>PROCEDURE FOR GRANTING, REFUSING, MAINTAINING, RENEWING, SUSPENSION, CANCELLATION, WITHDRAWAL, RESTORING AND EXPANDING OR REDUCING SCOPE</b>		Page 8 of 14

- The client fails to conduct the recertification audit, the certificate is suspended after 13 months, and a letter is sent to the client informing the same and a possible cancellation in 5 months.

In exceptional circumstances it is permitted to grant a 3-month extension (15 months from the last audit), however each such extension is granted on individual merits of the reason for the extension/delay. Successful completion of the audit within 15 months shall not impact the certification.

The above exceptional circumstances are for special conditions such as riots, unrest strikes, natural calamities, severe business interruptions, personal situations e.g., deaths and other similar exceptional circumstances. All clients will be notified timeously of their annual surveillance/recertification audits. If a client has not confirmed or accepted the scheduled audit and it is likely that the 12-month period will be exceeded, then the client is issued with a notice of possible suspension. Of course, if there are exception circumstances then the provisions above will apply.

- 4.6.1.3 Improper use of the certificate, symbol or logo not remedied to the satisfaction of Judah Compliance Auditors.
- 4.6.1.4 Client ceases to supply product or service of the certified quality system for an extended period of time.
- 4.6.1.5 Client's certified management system has persistently failed to meet any of the requirements for certification including requirements for the effectiveness of the management system.
- 4.6.1.6 Client fails to meet financial obligations to Judah Compliance Auditors.
- 4.6.1.7 Infringement by the client of any contractual conditions between the client and Judah

	Issued by	Administration Officer
	Authorised by	Certification Manager
This manual is the property of <b>JUDAH COMPLIANCE AUDITORS CC</b> . 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.	5
	Date	30-06-2022
<b>PROCEDURE FOR GRANTING, REFUSING, MAINTAINING, RENEWING, SUSPENSION, CANCELLATION, WITHDRAWAL, RESTORING AND EXPANDING OR REDUCING SCOPE</b>		Page 9 of 14

Compliance Auditors.

4.6.1.8 Client is unable or unwilling to ensure conformance to standards.

4.6.1.9 Existence of a serious complaint, or a large number of second- or third-party complaints, which indicate that the management system is not being maintained.

4.7 Cancellation

4.7.1 The following reasons are considered grounds for cancellation:


4.7.1.1 Non-conformances

- Major non-conformance(s) or effective corrective action not implemented within 150 days from the date of the closing meeting. This is applicable to surveillance and recertification audits as well as transfers.

4.7.1.2 Audit dates

- 1<sup>st</sup> Year Surveillance
  - The client fails to conduct the 1<sup>st</sup> year surveillance audit within 13 months of certification issue, the certificate will be cancelled.
- 2<sup>nd</sup> year surveillance
  - The client fails to conduct the 2<sup>nd</sup> year surveillance audit, the certificate is cancelled after 15 months.
- Recertification
  - The client fails to conduct the recertification audit, the certificate is cancelled after 180 days.

In case the audit is not done within 15 months for 1<sup>st</sup> Year surveillance, the certificate is

	Issued by	Administration Officer
	Authorised by	Certification Manager
This manual is the property of <b>JUDAH COMPLIANCE AUDITORS CC</b> . 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.	5
	Date	30-06-2022
<b>PROCEDURE FOR GRANTING, REFUSING, MAINTAINING, RENEWING, SUSPENSION, CANCELLATION, WITHDRAWAL, RESTORING AND EXPANDING OR REDUCING SCOPE</b>		Page 10 of 14


cancelled, and the client shall be considered as a fresh case for certification.

- 4.7.1.3 Cancellation of certification will be invoked where, following suspension of certification, the client fails to respond to Judah Compliance Auditors communications within the 6-month period or fails to implement corrective action within this allotted 6-month suspension period.
- 4.7.1.4 In extreme circumstances Judah Compliance Auditors may invoke the cancellation of certification with immediate effect. In this case, a notification will be issued to the client indicating and justifying the reason for the drastic actions taken.
- 4.7.1.5 Cancellation of certification will require the client to return all certification documentation to Judah Compliance Auditors and to remove all reference to certification.
- 4.7.1.6 Use of certification documents, symbols, or logos by the client following certification cancellation may result in legal action being taken against the client.

The client has the right to appeal any decisions of Judah Compliance Auditors and a copy of the appeals procedures is available on the website. Companies whose certificates have been suspended or cancelled will be indicated on the list of clients. The client files for all cancelled cases shall be archived for an indefinite period.

#### 4.8 Withdrawal of certification

- 4.8.1 Client makes a formal request to withdraw certification. In this case, the client remains on the list but noted as “withdrawn” (for historical record). If it is a voluntary withdrawal initiated by the client, then the managing director will issue a letter to client confirming the voluntary withdrawal.

	Issued by	Administration Officer
	Authorised by	Certification Manager
This manual is the property of <b>JUDAH COMPLIANCE AUDITORS CC</b> . 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.	5
	Date	30-06-2022
<b>PROCEDURE FOR GRANTING, REFUSING, MAINTAINING, RENEWING, SUSPENSION, CANCELLATION, WITHDRAWAL, RESTORING AND EXPANDING OR REDUCING SCOPE</b>		Page 11 of 14

4.8.2 Withdrawal of certification means that certification is no longer valid. The customer may re-apply to JC Auditors for Initial Certification. Any application received from a withdrawn client is processed as for new client.

#### 4.9 Restoring certification

4.9.1 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.

4.9.2 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.


4.9.3 If the reason for the initial suspension has been rectified within the reported timeframe and with documented evidence, then an investigation will be initiated to attain approval for the re-instatement of the certificate.

4.9.4 For recertification, the JC Auditors can restore certification within 6 months provided that the outstanding activities are completed, otherwise at least a stage 2 audit shall be conducted. The effective date on the certificate shall be on or after the decision and the expiry date.

#### 4.10 Reduction in scope

4.10.1 Judah Compliance Auditors shall wherever applicable reduce the scope of certification if 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 and such reduction will be communicated to the client via a formal notification.


4.10.2 Judah Compliance Auditors will reduce the client's scope of certification to exclude the parts

	Issued by	Administration Officer
	Authorised by	Certification Manager
This manual is the property of <b>JUDAH COMPLIANCE AUDITORS CC</b> . 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.	5
	Date	30-06-2022
<b>PROCEDURE FOR GRANTING, REFUSING, MAINTAINING, RENEWING, SUSPENSION, CANCELLATION, WITHDRAWAL, RESTORING AND EXPANDING OR REDUCING SCOPE</b>		Page 12 of 14

not meeting the requirements of certification or where the client persistently or seriously fails to meet the certification requirements for those parts of the scope of certification.

- 4.10.3 The client may also request for reduction of scope due to changes in the organization.
- 4.10.4 The decision to reduce the scope may be made following a surveillance, recertification, or special audit. The decision to reduce the scope is communicated in writing
- 4.10.5 Judah Compliance Auditors withdraw the certification documents for the original certification and issue new documents for the reduced scope.
- 4.10.6 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.
- 4.11 Expanding of scope
- 4.11.1 Judah Compliance Auditors will, in response to an application for extension to scope of a certificate already granted, undertake a review of the application (contract review) and determine any audit activities necessary to determine whether or not the extension may be granted, including the requirement to conduct a visit. This may be conducted in conjunction with a surveillance visit.
- 4.11.2 The certification decision maker will be responsible for granting an extension to scope based upon the information supplied.

	Issued by	Administration Officer
	Authorised by	Certification Manager
This manual is the property of <b>JUDAH COMPLIANCE AUDITORS CC</b> . 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.	5
	Date	30-06-2022
<b>PROCEDURE FOR GRANTING, REFUSING, MAINTAINING, RENEWING, SUSPENSION, CANCELLATION, WITHDRAWAL, RESTORING AND EXPANDING OR REDUCING SCOPE</b>		Page 13 of 14

5. Reference

5.1 ISO 19011 Auditing standard

6.0 Enclosure Nil

7.0 Formats / Exhibits

7.1 F31 RTMS Stage 1 Audit Report

7.2 F35 ISO Stage 1 Audit Reports

7.3 F25 Certificate formats

7.4 F30 Audit checklists

7.5 F28 Application review


7.6 F34 Certification committee review

7.7 F33 Audit reports

7.8 F36 Rules for use of Certification Mark


7.9 F37 Customer satisfaction survey form

7.7 F38 Directory of certified clients

	Issued by	Administration Officer
	Authorised by	Certification Manager
This manual is the property of <b>JUDAH COMPLIANCE AUDITORS CC</b> . 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.	5
	Date	30-06-2022
<b>PROCEDURE FOR GRANTING, REFUSING, MAINTAINING, RENEWING, SUSPENSION, CANCELLATION, WITHDRAWAL, RESTORING AND EXPANDING OR REDUCING SCOPE</b>		Page 14 of 14

Issue Date	Issue No.	Reason for issue	Comment
28 July 2021	3	There were conflicting statements in this procedure regarding the suspension timelines of clients. This was noted at the SANAS audit on 19-20 July 2021. Hence this revision was essential to ensure that the suspension timelines were totally clear so that it can be consistently implemented.	
31 January 2022	4	The document was amended to address the requirements of MD9 and SANAS TR 29-02.	

	Issued by	Administration Officer
	Authorised by	Certification Manager
This manual is the property of <b>JUDAH COMPLIANCE AUDITORS CC</b> . 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.		