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		Copy No:	Rev No: 0
Title: <b>Policy for Granting, Refusing, Maintaining, Renewing, Suspension, Restoration, Withdrawal Expansion and Reduction of Scope of Certification</b>		Page No: Page 1 of 3	Effective date: 15th March 2023

### 1. Introduction:

This document describes the process of granting, refusing, maintaining, renewing, suspending, restoring, withdrawing, expanding and reducing scope of certification. It applies to the outcome of any certification decision undertaken in EACE CD.

### 2. Granting & Refusing certification

- 2.1 ECAE CD shall grant certification to organizations that have demonstrated conformance to the requirements for certification for management system certification and product certification.
- 2.2 In line with the certification procedure ECAE CD reviews every application received to ensure that it has the competence and capability to undertake the certification activity applied for. Where ECAE CD determines that it does not have either the competence or the resources to undertake the certification, ECAE will not accept the application and shall inform the client accordingly.

### 3. Maintaining certification

ECAE CD maintains certification through surveillance audits, recertification audits and special audits.


4. **Surveillance audits** are carried out at intervals specified in the certification agreement. ECAE CD shall capture the dates of surveillance audits in the audit programme for each certified client. The surveillance interval shall not be more than 12 months' period for management system certification and every 3 months for Compulsory product & very six-month voluntary product certification.

### 5. Recertification audits:

- 5.1 To ensure that recertification is granted on time ECAE CD shall carry out recertification audits at least 2 months before the expiry of the certificate to ensure renewal of the certification on time. The date of recertification shall be captured in the respective audit programme for each certified client.
- 5.2 When recertification activities are successfully completed prior to the expiry date of the existing certification, the expiry date of the new certification shall be based on the expiry date of the existing certification. The issue date on a new certificate shall be the date of recertification decision.
- 5.3 Recertification and renewal of certifications shall be after the three-year for management system certification & one year to the product certification contract period.

### 6. Special audits

- 6.1. ECAE CD shall consider special audits under the following situations:
  - i. Whenever there are changes to changes to the certified system that may have an impact on the integrity of the certification
  - ii. To investigate complaints against a certified clients' management system.

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iii. Whenever the client requests for modification or extension of scope for a certification already granted.

## 7. Suspending & restoring of certification

7.1 ECAE CD shall suspend a certification under the following conditions:

- i. Non-payment of certification fee,
- ii. Significant areas of non-conformance to the applicable management system standards,
- iii. Ineffective or untimely correction of observed non-conformances,
- iv. Ineffective completion and implementation of program revisions required to meet revised management system standard(s),
- v. Misuse of certificate of conformity or certification logo,
- vi. The client's management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the management system,
- vii. The certified client does not allow surveillance or re-certification audits to be conducted at the required frequencies, or
- viii. The certified client has voluntarily requested a suspension

7.2 Based on the risk and severity the client shall be given up to a maximum of 14 days' notice when ECAE CD has made a decision to suspend the client for any of the above-mentioned reasons.

7.3 The suspension period shall not be more than 6 months within which period the clients' product certification system shall not be active. If the client does not address the issues leading to the suspension within 3 months, then the certification shall be withdrawn.


7.4 The suspension period shall not be more than 3 months within which period the clients' product certification shall not be active. If the client does not address the issues leading to the suspension within six months, then the certification shall be withdrawn.

7.5 Once the suspended client implements corrective actions for any of the conditions resulting to a suspension within the agreed upon time frame ECAE CD shall lift the suspension of the certificate in writing and the certification shall be considered restored.

## 8. Withdrawing certification

ECAE CD shall suspend a certification under the following conditions:

- i. The rules and standards as a basis for the application have changed and these changes have not been realized by the client within an agreed period of time,
- ii. The suspension period of the certificate has expired and the client has failed to resolve the issues that resulted in their suspension
- iii. Certification of conformity or the certification logo have been used in an incorrect manner (e.g. misuse or incorrect advertising)
- iv. The continued use of the certificate for promotion following the suspension of the

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<p>certificate</p> <p>v. The client has failed to fulfill its financial obligations (e.g. payment of charges (fees))</p> <p>vi. Surveillance audits have not been performed in time</p> <p>vii. Failure to resolve the issues that have resulted in suspension in a time established in agreement with the client</p> <p>viii. The client voluntarily terminates the contractual relationship with the ECAE CD or requests for withdrawal</p> <p>ix. There occurs closure of a company or facility</p> <p>x. There occurs falsification of any nature</p> <p><b>9. Expanding &amp; Reducing scope of certification</b></p> <p>9.1 Whenever a client requests for extension of scope to an already existing certification through an application, ECAE CD shall review the application and determine the certification activities to be undertaken e.g. surveillance audit or a special audit activity necessary as required.</p> <p>9.2 EACE CD shall reduce the certified client's scope of certification to exclude the parts of the scope of certification under the following conditions:</p> <ol style="list-style-type: none"> <li>failure to resolve the issues that have resulted in suspension in a time established in agreement with the client,</li> <li>the certified client has voluntarily requested for reduction of scope,</li> <li>the client has persistently or seriously failed to meet the certification requirements for those parts of the scope of certification and any such reduction would be in line with the requirements of the standard used for certification (QMS, EMS, relevant product standards).</li> </ol> <p>9.3 When the scope of certification is either extended or reduced ECAE CD shall withdraw the certification documents for the original certification and issue new documents for the extended or reduced scope.</p>	
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