



Procedure for Suspension or Withdrawal of Certificates

Revision History

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1.	16.04.2019	created	Approved.



Procedure for Suspension or Withdrawal of Certificates

This procedure is established to ensure a transparent process for follow-up, Grant or Renew, Suspension, re-stores, refuse, suspend, Reduce Scope, Maintain or Expend or withdrawal of certificates for cases where this is needed. The following definitions apply:

Suspension: Temporary invalidation of a certificate

Withdrawal: Permanent invalidation of a certificate

A. Initiation of suspension or withdrawal

AIPL may initiate suspension in cases where, for example:

1. The organization have persistently and seriously failed to meet certification requirements, e.g.:
 - Failure to respond adequately to identified non-conformance(s)
 - Management system does not reflect the current organization and processes, e.g. as a result of changes, acquisitions, diversification etc.
 - Major part of the management system not implemented
2. Surveillance audits and recertification audits not allowed to be conducted according to required frequency or as scheduled
3. Violation of the terms of the signed certification agreement, e.g.:
 - Non-payment of fees
 - Incorrect use of the certification mark
4. Customer voluntarily requesting temporary suspension



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5. Evidence received from authorities etc. that could affect the status of certificate, e.g.:

- Evidence of non-compliance to regulatory/statutory requirements relevant for the certified management system
- Evidence of a non-effective managements system in case of serious incidents/accidents.

The management and authorized personnel within the AIPL unit who issued the certificate shall decide on the action to be taken, based on a review and duly considerations of evidences. If suspension is decided the process below shall be followed.

Suspension of a certificate is normally initiated as the first step, followed by withdrawal if the issue of concern is not resolved within due time. Dependent on the seriousness of the case, AIPL may decide a direct withdrawal of the certificate.

Where failure of the management system is related to a specific part of the organization, specific products etc., AIPL may also consider a reduction in the scope of certification as an alternative to suspension. AIPL may also choose to only give the customer a warning that suspension is being considered.

B. Suspension

The decision to suspend a certificate shall be communicated to the customer by a formal letter. The letter shall include:



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1. A statement on the decision to suspend the certificate including a proper description of the situation, argumentation and reference to objective evidences.
2. The right to respond and appeal to the decision. Normally a 15 working days' notice for response and appeal are given. An appeal may be lodged as per procedure.
3. Start date of the suspension (normally from the receipt of the letter)
4. Conditions and due date of required action in order to revoke the suspension, and the consequence if satisfactory actions are not performed.
5. The means of follow-up by AIPL to verify that conditions have been met and needed corrective actions have been implemented
6. A statement that the certificate is invalid during suspension and that use of all advertising matter containing a reference to Certification are prohibited during time of suspension
7. A statement that both the customer and AIPL shall inform all enquirers that the certificate is suspended

A certificate shall not be suspended for more than 6 months.

C. Follow up

AIPL will verify that conditions are met and requested corrective actions are implemented. Dependent on this verification AIPL will either:

1. Declare a positive result, revoke the suspension and declare a valid certificate



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2. Declare a negative result due to failure to resolve the issues that resulted in suspension. This situation will normally result in permanent withdrawal of the certificate. (See below)

D. Withdrawal

Withdrawal of the certificate shall be initiated if:

- The customer does not meet the conditions of suspension
- A suspension is not considered to be an adequate action.

The decision to withdraw a certificate shall be formally communicated to the customer including the requirements to:

1. Terminate use of the certification mark and any reference to certification
2. Return original certificate(s) and copies to AIPL

The customer has a right to appeal. An appeal may be lodged as per procedure

In addition, find below information: -

E. Grant or Renew

STEP 1: Organization decides to seek registration to an International



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Standard and requests a quotation. Quotation issued based upon completed questionnaire.

Where necessary a site visit may be organized to explain the quotation and/or the benefits of ARM Innovations Private Limited (AIPL) certification service.

STEP 2: Organization accepts quotation by signing "Proposal cum Order Acceptance" for registration and gives its authorization to proceed. After received initial payment from client organization, will send Stage1 audit plan, along with auditor's profile.

STEP 3: Stage 1 audit conducting on-side audit with aimed at establishing the degree to which the organization operates a conforming ISO 9001:2015 / ISO 27001:2013 / ISO 22000:2018 verifying the organization's management system framework is in place; verifying the organization's internal controls give sufficient confidence in the management system; verifying there is sufficient evidence of compliance of documented system as per requirement of standard for which registration is sought. If found Non-Conformity (NC) in organization, ask for corrective action on NC otherwise recommendation for stage 2 audit.

STEP 4: Audit plan send for stage 2 audit. This is an on-site audit aimed at determining whether or not there is sufficient evidence of compliance with the requirements of the National and/or International Standard. The audit team also checks the effectiveness, adequacy and suitability of the management system. If found NC in organization, ask



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for corrective action on NC otherwise give recommendation for certification. If the organization is not happy with the recommendation / or other decision of the audit team, the applicant may lodge an appeal.

STEP 5: The Evaluation Team reviews all audit team recommendations and if satisfied there is sufficient evidence the organization's management system meets the requirements of the National or International Standard, a certificate of registration shall be issued or renewed. The certificate of registration shall be valid for three years. At the end of the three-year period the organization's management system shall be subject to renew certification.

F. Maintain or Expend

The certificate of registration shall be valid for three years. During this period the organization's management system shall be audited to verify the organization's management system continues to meet the requirements of the applicable standard & maintain certification. If client want to expend his scope, he will inform AIPL. If client require special audit for expend his scope, AIPL will conduct audit & if found satisfactory results than expend his scope.

Management system standards are subject to periodic revise / changes (approximately every 5 years) and amended or additional requirements may emerge. It is AIPL policy to work with clients to ensure compliance with the new and/or amended requirements at the earliest practical opportunity as preferred by the client. Where National and/or



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International Accreditation Bodies have set specific timescales, these dates shall take precedence.

G. Reduce Scope

During the surveillance audit, If AIPL found not fulfill all requirements as per applicable standard, then AIPL will reduce scope. Otherwise client make appeal for reduce his scope than AIPL will reduce his scope.

H. Suspend

There are some reasons mention below for certification suspends:

- Not ready for surveillance audit or not response after 30th days of correspondence.
- Not compliance applicable standard requirements.
- Not pay require fee.
- On Client request
- Big Issue with client products or services.
- Legally action against client organization.
- Continue misuse of logo after intimation.
- Not produce asked corrective action.
- Client organization insolvent or closed.
- Big changes in client organization management.
- Other equivalence reasons.

I. AIPL will refuse the application for following conditions: -

- Client scope out of the capacity
- Client site out of the geographical area
- Found known partiality & threats of partiality



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- Bad image of the client organization in public

J. AIPL will withdraw the certificate in the following conditions: -

- Free not receiving from the client end.
- Not acceptance of surveillance audits
- Not submitting the corrective action report
- After three months of suspension

K. AIPL will re-store the certificate for the following options: -

- Client will submit fee, corrective action report
- Client will not misuse the logo of the AIPL.
- After conduct special audits.

Formats:

AUD-F-27-Suspension Formats

AUD-F-28-Withdrawl Formats