

<b>CERTI-TRUST QUALITY PROCEDURE</b>	QP10	Revision 3.3
	Date	10-01-2023
<b>Procedure for Certificate of Persons issue, suspension and withdrawal</b>		

## 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 Certi-Trust

### Impartiality and confidentiality Statement

All personnel involved in the examination lifecycle (except external experts helping on the creation of the questions) must sign an impartiality and confidentiality statement and abide by Certi-Trust Quality Manual, Policies, Procedures and Code of Ethics while conducting their activities.

## 3.0 Responsibility

3.1 Certification Manager is responsible for review of certificates. He is responsible for granting the decision of certificate to certified person. He is authorised to send suspension or withdrawal letters / e-mails to certified person. He is supported by the support staff for all routine activities (preparation of applicant files, communication and management of records). He is submitting the certificate to the certified person after signature by the CEO or a manager delegated by him/her. The Certification Manager is responsible for the recertification process. The Certification Manager is responsible for the transfer of Certification process.

3.2 CEO is responsible for approval / authorization of certificates and signed them.

## 4.0 Description of Activity

### 4.1 Receipt and review of Examination report

4.1.1 Invigilators submit the examination documents to the Examination Manager upon completion of examination. After correction, the Examination Manager send the examination documents to the Certification manager.

4.1.2 All such documents are reviewed by Certification Manager or one of his/her assistants for the completeness of the documents as well as signature of the examiners / invigilators.

4.1.3 After review, if candidate has acquired required score at the exam and there are no other requirements for certification, a certificate can be prepared for the applicant.

### 4.2 Application for certification

4.2.1 If the certification scheme has other requirements to comply than passing the exam, the score is sent to the candidate by email with the list of the requirements to be fulfilled (e.g.: having 5 years of work experience) and the action to complete (Ex: sending a resume) and if needed, the documents to completed as references, etc.

4.2.2 Tracking of the records received will be indicated in the applicant database.

### 4.3 Certification Decision, Certificate preparation and issue

4.3.1 When all asked records for certification application are received, the Certification manager can take the certification decision based on the certification scheme criteria.

4.3.2 If the certification decision is negative, an email will be sent to the applicant with the justifications and information about the appeal process. Also, if the applicant can reapply for certification, explanation will be provided on needed actions (ex: need to perform 20

Originator	Approved by	Page
<b>Compliance Manager</b>	<b>CEO</b>	1 of 6

<b>CERTI-TRUST QUALITY PROCEDURE</b>	QP10	Revision 3.3
	Date	10-01-2023
<b>Procedure for Certificate of Persons issue, suspension and withdrawal</b>		

days of audit more to apply for Lead Auditor grade).

- 4.3.3 If the certification decision is positive, the certificate is prepared on the name of its holder. Standard Certi-Trust template for each types of certificates are prepared and are maintained to prevent mistakes during preparation of such certificate.
- 4.3.4 Certification Manager assistant can prepare the certificate, but it needs to be reviewed by the Certification Manager.
- 4.3.5 The preparation of the certificate includes the creation of the unique random identification number for each individual and certification program.
- 4.3.6 The creation of this ID number is created using the Certification Global Database.xlsx. The number consists of 17 characters which are created as follows:
- First two characters “CT” are fixed values which stand for “Certi-Trust”.
  - Three random numbers.
  - 4 digits which identify the certification scheme (in the same document there is a correlation between each certification scheme and its correlated 4 digits).
  - 5 digits which identify the applicant.
  - 3 random numbers.
- 4.3.7 Upon completion of satisfactory review, certificate is sent to the CEO for signature. In case of any mistake in the certificate, the same is sent back to the Certification manager for its correction.
- 4.3.8 Approved certificate is then released to the certified person as per the email given in the application.
- 4.3.9 A paper-based certificate can be release to an applicant if requested. After receiving payment of the associated fees, the paper certificate will be sent by mail.
- 4.3.10 Along with the certificate, the terms and conditions of usage of certificate is also submitted to the certified persons for ensuring safe and proper use of the certificate by the certified person.
- 4.3.11 After sending, the status of the applicant is changed to certified person in the database with the information about the certificate (ID, expiration date, etc.)

#### **4.4 Suspension or withdrawal of certificates**

- 4.4.1 This instruction covers suspension procedures through withdrawal or cancellation of the certificate and revision of the register of certified persons.
- Grounds for action are brought to the attention of the Certification Manager, who reviews the information and decides whether to proceed. Either way, the Certification Manager issues a letter to the certified person via email advising them of the details of the grounds for action and the decision on whether to proceed.
  - If the Certification Manager decides to proceed, the certified person must reply to Certi-Trust within 30 days of receipt of the email.

Originator	Approved by	Page
<b>Compliance Manager</b>	<b>CEO</b>	2 of 6

<b>CERTI-TRUST QUALITY PROCEDURE</b>	QP10	Revision 3.3
	Date	10-01-2023
<b>Procedure for Certificate of Persons issue, suspension and withdrawal</b>		

- If the Certification Manager determines that the action or position contained in the certified person reply is satisfactory, he issues an email stating this to the certified person.
- If actions are required, due dates must be set, and Certification Manager must review the actions at those times to ensure that they are effectively completed in order to prevent suspension or cancellation.
- If the certified person does not reply in 30 days, 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 cancel certification.
- If the decision is made to suspend or cancel certification, the CEO is responsible for suspending the certified person or canceling the certified person from the Register of Certified person, advising the certified person and publicizing the cancellation, if necessary.

#### **4.5 Conditions for Suspension or Withdrawal of Certified person**

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

- Unless a reply is received to the email notification within 30 days, certification will be suspended, and a notification of suspension may be published at the discretion of Certi-Trust.
- The certified person's response to the email 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.
- In the case of serious circumstances, Certi-Trust may invoke suspension during the period pending the implementation of corrective action.
- Where suspension has been invoked, unless otherwise specified, the certified person must advise Certi-Trust every 30 days of the current situation of corrective action. Failure to meet this requirement will result in cancellation of the certified person's certification.
- When corrective action to resolve the problem(s) taken by the certified person has been verified, certification will be resumed. The period of certification will not be revised to cover the period of suspension.
- Withdrawal of certification will be invoked where; following suspension of certification, the certified person fails to respond to Certi-Trust communications within the 30 days grace period or fails to implement corrective action within the appointed time period.
- In extreme circumstances Certi-Trust may invoke the withdrawal of certification with immediate effect without recourse to initial certification suspension.
- Withdrawal of certification will require the certified person to assume the status of non-approval and return all certification documentation to Certi-Trust

Originator	Approved by	Page
<b>Compliance Manager</b>	<b>CEO</b>	3 of 6

<b>CERTI-TRUST QUALITY PROCEDURE</b>	QP10	Revision 3.3
	Date	10-01-2023
<b>Procedure for Certificate of Persons issue, suspension and withdrawal</b>		

- Use of certification documents, symbols, or logos by the certified person following certification cancellation may result in legal action being taken against the certified person.
- Re-approval after certification cancellation will be on the same basis, and follow the same process, as that of initial application for a new certified person.
- The de-certification will be published as a separate list and will be available at the Certi-Trust office and made available upon request.
- The certified person has the right to appeal any decisions of Certi-Trust and a copy of the appeals procedures will be made available upon request.
- Certification Manager shall mark on the certification database as “withdrawal” the status of people for which their certificate has been withdrawn.
- The certified person files for all withdrawn cases shall be archived for a period of 3 months and then destroyed.

#### **4.6 Reduction in scope of Certificates issued**

Certi-Trust shall wherever applicable reduce the scope of certification (Ex: downgrade a Lead Auditor to provisional auditor) if during the time of routine periodic examinations / Renewal Examinations it finds that the certified person 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 Recertification**

##### **5.1 Renewal of certification**

The certification will have a validity period of three years and its renewal will require the candidate to justify one of the following :

- Having achieved 120 CPE in the domain of the certificate. Which can be achieved, for example, with a minimum of 60 hours of training received and / or taught during the period of validity of the certificate, requiring an annual minimum of 15 hours in subjects covered by the program of the Scheme
- at least one year of professional experience in projects and / or activities and tasks related to the functions of the scheme, evidenced by a third party (employer or similar).

The training given will be assessed twice as many hours as the training received. Training that does not include its duration, the topic of the training, the training entity and the training title will not be assessed. In the case of not being able to justify the minimum annual training required during any of the three years required, the completion of this training is allowed in one of the other two remaining years.

The renewal must be requested before the expiration date of the period of validity of the certificate.

The Certification Manager will ensure that the certified person is notified at the end of the validity period, at least three months in advance.

The non-receipt by the certified person of the communication from Certi-Trust informing of the end of the period of validity of the certification, will not exempt compliance with what is indicated in this section.

Originator	Approved by	Page
<b>Compliance Manager</b>	<b>CEO</b>	4 of 6

<b>CERTI-TRUST QUALITY PROCEDURE</b>	QP10	Revision 3.3
	Date	10-01-2023
<b>Procedure for Certificate of Persons issue, suspension and withdrawal</b>		

If Certi-Trust does not receive the request from the candidate to renew their certificate (together with all necessary information) before the end of the validity period of the candidates certificate, the certificate will be considered expired (without further notification towards the candidate being necessary). If the candidate wishes to obtain the certification again it should be considered as a new certificate.

The candidate must submit the renewal application together with the list of claims that, if applicable, may have had during the entire period of certification or a statement indicating that the candidate has not been the object of any claim.

Once the application has been submitted, the Certification Manager will proceed with its evaluation in order to verify the validity of all the documentation provided. If, after such initial evaluation, the information is not complete, the candidate will be informed of the non-acceptance of the renewal application by written notification. A maximum period of 90 calendar days will be given so that it can be corrected. If, after said period, it is not possible to correct the deficiency notified, the candidate will be declared as not renewed, which will be notified by written notification and the certificate will be withdrawn.

## 6.0 Transfer of certification

Under some conditions, a transfer of certification may be approved by the Certification Manager. Such process of transfer of certificate is only applicable where a candidate is already duly certified by another certification body and such certificate is equivalent (scheme, scope, requirements) to the one(s) delivered by Certi-Trust. Each certificate's transfer requires a specific review by the Certification Manager. The following points shall be observed in order for Certi-Trust to be able to proceed a certificate transfer:

- Applicant shall send copies of all detained certificates for which they claim a transfer or, at least, the identity of the certificate emitter, the certificate number, the exact first and last name as formally displayed on certificate, the date of issuance and the date of end of validity. In case the original certificate is not provided, this information will also be checked out by the Certification Manager based on publicly available information. Three situations will have to be considered by the Certification Manager for taking a decision:
  1. In case the certificate for which the transfer is claimed is not expired yet (at the moment of the request), no additional requirements will be needed by Certi-Trust to proceed with the decision of certification transfer. The newly emitted certificate will have the same end of validity date as the original one already held by the applicant.
  2. In case the certificate held by the applicant would already be expired, the applicant will have to demonstrate that he got the necessary amount of CPE for satisfying the continuous education program requirements (per year and for the three-year cycle of their initial certification). Training courses given will be rewarded twice as many hours as the ones received. Training with no mention of duration, training topic, training entity by which the training has been given or received will not be further assessed. In this scenario, the newly emitted certificate will have a three-year validity period starting at the moment of its issuance.

Originator	Approved by	Page
<b>Compliance Manager</b>	<b>CEO</b>	5 of 6

<b>CERTI-TRUST QUALITY PROCEDURE</b>	QP10	Revision 3.3
	Date	10-01-2023
<b>Procedure for Certificate of Persons issue, suspension and withdrawal</b>		

3. In case an applicant holds an expired certificate and cannot prove the required CPE, the Certification Manager will request the opinion of the Scheme Committee before taking a decision about the certificate transfer. In this scenario, the newly emitted certificate will have a three-year validity period starting at the moment of its issuance.

- For transfers above a Foundation level, the applicant will be requested to provide Certi-Trust with the following additional evidence:
  - Copy of an up-to-date professional resume (less than 3 months)
  - Copy of relevant diplomas (as of bachelor's degree and above, if applicable)
  - Three professional references to be contacted to validate a competency statement

Whenever Certi-Trust's certification services receives a request for transfer of certificate, an email will be sent to the applicant with the form "F0042a – Request of Transfer of Certificate" which the candidate will need to fill with all relevant information for the case and also attach all documentation required.

Once the requested information is received by the Certi-Trust's certification manager, all information will be updated on the specific sheet "Transfer" of the database "F0028a – Certification Global Database", which will be then studied by the Certification Manager to take an informed decision upon each specific request.

**7.0 Reference**

7.1 Certificates issued

**8.0 Forms / Exhibits**

7.1 F0028a - Certification Global Database

7.2 F0042a – Request of Transfer of Certificate

Originator	Approved by	Page
<b>Compliance Manager</b>	<b>CEO</b>	6 of 6