

CERTI-TRUST QUALITY PROCEDURE	QP01	Revision 1.0
	Date	15-10-2018
Procedure for Certificate issue, suspension and withdrawal		

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

3.0 Responsibility

3.1 Certification Manager is responsible for review of certificates. He is responsible for issue 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 receipt of approval in the certificate by the CEO or a manager delegated by him/her. The Certification Manager is responsible for the recertification 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 fullfied (Ex: 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 After 8 weeks, if the asked records are not received by the Certification Manager, an email of reminder will be sent to the applicant.

4.2.3 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 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

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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 approval. 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 Alongwith 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 and withdrawal or cancellation 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.
 - 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.

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- 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.

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

- 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 Certi-Trust
- Certified person ceases to supply services of the certified quality for an extended period of time.
- Certified person's has persistently fails to meet any of the requirements for certification including requirements for the effectiveness.
- Certified person fails to meet financial obligations to Certi-Trust
- Certified person makes a formal request to withdraw certification.
- Infringement by the certified person of any contractual conditions between the certified person and Certi-Trust
- Certified person 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 system is not being maintained.
- Certified person does not allow periodic examination to be conducted at the required frequency

4.5 Conditions for Suspension or Cancellation 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. This may be the subject of a special surveillance visit or of review of submitted objective evidence, at the discretion of Certi-Trust Should the

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corrective action not be considered adequate or not be completed by the appointed time, certification will be automatically suspended.

- 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.
- Where suspension has been invoked due to failure to conduct periodic examination, the certified person shall give justification for failure and offer suitable date. An additional day shall be added to routine periodic days. The date shall not be later than 15 months from last Examination. Failure to offer for Examination within 15 months shall result in cancellation of 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.
- Cancellation 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 cancellation of certification with immediate effect without recourse to initial certification suspension.
- Cancellation of certification will require the certified person to assume the status of non-approval and return all certification documentation to Certi-Trust
- 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. This will require a full assessment, with optional document review at the discretion of Certi-Trust
- 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 remove the companies where the certificate has been cancelled. During suspension, suspension remark shall be placed in the registered of certified person.
- The certified person 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

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 /

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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 having completed:

- 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 DPD in matters of protection of personal data and / or information security, 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.

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. The candidate must attach in the application for renewal of certification the acceptance of the Code of Ethics and the Rules of Use of the certificate, in addition to the justification for the payment of renewal fees.

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 Reference

7.0 Enclosure None

8.0 Forms / Exhibits

7.1 F26 Certificate formats

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