

# Certification Process

## Kompleye

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CODE            **KP-CP-008-EN**

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SUMMARY        This document defines the procedure that has to be followed by applicant organizations seeking certification based on the requirements of relevant management system standards. Kompleye provides publicly accessible information about certification processes, and upon request, will provide any specific information required by the applicant organization granting its accurate and not misleading.

Other applicable procedures and information that are mandatory for the new applicant are provided along with the application pack.

**APPROVED**

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**PATRICIO GARCIA**  
CEO



La información contenida en este documento no puede ser cambiada sin la autorización expresa del CEO de la Organización.

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## 1 General Information

### 1.1 Objectives

To define the procedure to be followed by applicant organizations seeking certification based on the requirements of the relevant management system standards.

### 1.2 Scope

Applies to all applicant organizations seeking certification based on the requirements of the relevant management system standards.

### 1.3 Normative References

- ④ **ISO/IEC 17020** Conformity assessment — Requirements for the operation of various types of bodies performing inspection.
- ④ **ISO/IEC 17021-1** Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 1: Requirements
- ④ **ISO/IEC 27006:2015** Information technology — Security techniques — Requirements for bodies providing audit and certification of information security management systems
- ④ **ISO/IEC 27006:2015 AMD 1:** Information technology — Security techniques — Requirements for bodies providing audit and certification of information security management systems.
- ④ **ISO/IEC TS 27006-2:2021:** Requirements for bodies providing audit and certification of information security management systems — Part 2: Privacy information management systems.
- ④ **ISO/IEC 27006-1:** Information security, cybersecurity and privacy protection — Requirements for bodies providing audit and certification of information security management systems — Part 1: General
- ④ **ISO 9000** Quality management systems — Fundamentals and vocabulary
- ④ **ISO 9001** Quality management systems — Requirements
- ④ **ISO/TS 9002:2016** Quality management systems - Guidelines for the application of ISO 9001:2015
- ④ **ISO/IEC 27001:** Information technology — Security techniques — Information security management systems — Requirements
- ④ **ISO/IEC 27701:** Security techniques — Extension to ISO/IEC 27001 and ISO/IEC 27002 for privacy information management — Requirements and guidelines
- ④ **ISO/IEC 20000-1:** Information technology - Service management Part 1: Service management system requirements
- ④ **ISO/IEC 20000-6** Information technology - Service management Part 6: Requirements for bodies providing audit and certifications of service management systems.

- ④ IAF MD
- ④ ANAB - ACCREDITATION RULES

For dated references, only the edition cited applies. For undated references, the latest edition or the valid version of the referenced document (including any amendments) applies.

## 1.4 Responsibilities

This document is generated by the ISO Lead of the Organization and reviewed and approved by the CEO.

It is the responsibility of the entire Organization and Customers to follow the parameters specified in this document.

It is the responsibility of the ISO Lead to verify the implementation of and compliance with this procedure in all areas of the Organization.

## 1.5 Terms and Definitions

For the purposes of this document, the terms and definitions given in the ISO/IEC 17021-1 Conformity assessment - Requirements for bodies providing audit and certification of management systems - Part 1: Requirements, and the ISO/IEC 27006 Information technology — Security techniques — Requirements for bodies providing audit and certification of information security management systems apply.

## 2 Application for Certification

Kompleye is providing certification services to organizations established as legal entities within America (North, Center and South) and other countries. It is expected that the organizations applying for certification would be registered entities as per applicable laws within their country.

Any exception regarding legal status would be made only a specific decision of the Kompleye keeping in view the legal provisions in the economy in which the organization is established as a legal entity.

Organizations interested to get certification from Kompleye for their management system can send a request to Kompleye. On receipt of the request, Kompleye will forward the application package to the applicant.

The application package includes the latest copies of the following documents:

- ④ KP-CP-008 Certification Process Document.
- ④ KF-CIF-002-Client Information Form.

- Any other information needed will be sent as enclosures.

Any additional explanation needed by the applicant will be provided on receipt of a specific request for the same, including necessary explanations on the specific schemes and scope of accreditation.

Before applying for certification, the applicant organization must have met the following conditions:

- Implement the management systems for at least 3 months. This is necessary to assess the ability of the organization to carry out the process as per the documented management system.
- Carried out minimum one internal audit against the applicable criteria of certification, one management review for the documented management system prepared as per relevant management system.

The completed Client information form for certification has to be duly signed by the authorized representative/s of the applicant organization seeking certification and forwarded to the Kompleye along with necessary documents. Kompleye reserves the right to seek information on the concerned personnel before deciding to accept the application for further processing. Normally the receipt of the application would be communicated within 5 working days of receipt.

Kompleye requires that a client fills in client information form for various management systems or provides the similar information through tenders, signed by an authorized representative of the Organization.

Kompleye would require that the following information is reported in the client information form or enclosed with the application form or sent subsequently prior to on site audit:

- General features of the applicant such as corporate entity, name, addresses, legal status and where relevant, human and technical resources.
- General information concerning implemented management system and the activities covered and seeking the scope for certification (Sometimes this may need revision)
- Description of the systems (products/processes/services) to be certified and the standards or other normative documents applicable to each.
- Copy of the management systems manual and where required the associated documentation (risk assessment methodology, statement of applicability).

The information gathered from the application is used for the preparation of on-site assessment, where required and is treated with appropriate confidentiality. This

information enables evaluation of the nature of the Organization's business and the activities that support it.

### **3 Application Review**

Before proceeding with the audit, Kompleye will conduct a review of the application (or) tender and supplementary information for certification to ensure that:

- a) The information about the applicant organization and its management system is sufficient for the conduct of the audit.
- b) The requirements for certification are clearly defined documented and have been provided to the applicant organization.

Any known difference in understanding between the Kompleye and the applicant organization is resolved; and communicated to the organization. This includes access to confidential or sensitive information.

- c) Kompleye has the competence and ability to perform the certification activity with respect to the scope of certification sought, the location(s) of the applicant organization's operations, time required to complete audits and any other points influencing the certification activity are taken into account (language, safety conditions, threats to impartiality, etc.).
- d) Records of the justification for the decision to undertake the audit are maintained.

### **4 Submission of Proposal & Certification Agreement**

Based on the information provided by the applicant, the operations manager will prepare the certification agreement-proposal specifying the requirements and sites that are part of the scope of certification and send it to the applicant organization. Kompleye will duly sign this legally binding agreement with the applicant.

In case of tenders, upon receiving the letter of acceptance from the client, the entire information is reviewed, and additional information is sought for exact estimation of man-days and competence.

Further processing of application shall be taken up on receipt of acceptance of the proposal and confirmation that the "Certification Agreement" is acceptable. Upon acceptance of Kompleye proposal the applicant organization needs to submit the "Certification Agreement" duly signed.

Upon receipt of the "Certification Agreement", Kompleye will provide portal access to the applicant organization. Necessary information like username and passwords will be communicated to the concerned persons of the applicant organization.

Client needs to upload their relevant management system documents in the portal for review by Kompleye auditors before stage 1 audit to provide a better focus on the scope of the audit.

The adequacy of the management system documentation is reviewed during Stage 1 of the audit and, if found deficient, appropriate comments are communicated to the auditee through the Audit Report.

Any organization that is registered as a legal entity in the United States and/or other nations shall be eligible for applying for the certification. However, locations outside the United States would be included in the certification process depending on the nature of activities carried out in those locations.

**Note 1:** No audit activity may be initiated without confirmation from the COO that the Contract/Certification Agreement (KA-CA-002-EN Certification Agreement) including the contractual requirements required by the standard has been signed or is in the process of being signed.

**Note 2:** In the event of revisions to standards (e.g. ISO/IEC 27001, ISO IEC 27701) Kompleye will manage legally enforceable agreements with clients that may be affected by such revisions.

## **5 Criteria for certification**

Kompleye shall adopt and document the Certification criteria for organization based on relevant management system standard (Ex: ISO 27001) and other documents required for certification relevant to the function performed.

### **5.1 Communication of changes to the Criteria**

Any change in the criteria shall be notified to the certified organization by registered (AD) post/email other means, and a suitable time frame shall be given for implementing the modified criteria. Any transition policy announced by the accreditation body would be adopted by Kompleye and communicated to the certified clients. The certified organization shall communicate their objection, if any, acceptance in writing by registered post/email other means within 30 days of the receipt of the amended criteria. If the communication is not received within 30 days, it will be presumed that the certified organization is not willing to adopt the changed criteria.

The implementation of the changed criteria shall be verified during the surveillance assessment of each client. In the event of any major change in the criteria, the Kompleye reserves the right to carry out an additional assessment.

In the event that a certified organization is not willing to adopt the changed criteria, it is allowed to opt out of the certification and the certificate is withdrawn with effect from the date of the implementation of revised criteria.



## 6 Assessment

### 6.1 Audit program

Kompleye prepares a tentative audit program for the organization for next three years immediately after the application review.

A copy of the audit program will be sent to the client together with the proposal. **Note:** This program may be changed according to the results of the audit.

**NOTE** A management system certification audit is not a legal compliance audit.

### 6.2 Audit Team assignment

Kompleye selects and appoints the audit team, including the audit team leader and technical experts as required, taking into account the competence needed to achieve the objectives of the audit and impartiality requirements.

### 6.3 Preparing the Audit Plan

Kompleye will establish an audit plan prior to each of the audits identified in the audit program, in order to provide the basis for agreement on the conduct and scheduling of audit activities. .

### 6.4 Initial Certification Audit

The certification audit is carried out in 2 stages:

- a) Stage 1
- b) Stage 2

#### 6.4.1 Stage 1 Audit:

The activities performed during this stage of the audit and the manner in which these activities will be carried out are set out in the Procedure: KP-AEP-010-EN Audit Execution Process. At the end of Stage 1 of the audit, the recommendation may be any of the following, depending on the findings:

1)	Can proceed for Stage-2 Audit
2)	Can Proceed for Stage-2 Audit after complying with all the Areas of Concern identified during this Audit
3)	Follow-up Audit

The above recommendations and documented conclusions with regard to fulfilment of the Stage 1 objectives and the readiness for Stage 2 will be communicated to the client through

the audit report, including identification of areas of concern that could be classified as a nonconformity during Stage 2.

Adequate consideration will be given to the time required by the client to resolve the areas of concern identified and accordingly Stage 2 audit shall be planned. The Stage 2 audit shall preferably be completed within 90 days from the Stage 1 audit so that the findings of Stage 1 audit still remain valid. Kompleye will request confirmation from the client, along with actions taken, to resolve the areas of concern raised during Stage 1 within 90 days. Once confirmation of the actions taken is received, Stage 2 of the audit will be initiated.

If the organization is not able to conduct stage 2 audit within 90 days, it will lead to re-conduct of Stage 1 audit. Kompleye can take the decision on conducting fresh Stage 1 audit with due consideration given to needs of the client to resolve the issues. The ISO Lead has the authority to extend the time interval between Stage 1 & Stage 2 audit case to case basis.

#### **6.4.2 Stage 2 Audit:**

Stage 2 audit shall cover all relevant functions/processes and clauses of the relevant management system. The audit is to be carried out on sampling basis. The audit team shall ensure that the sampling is relevant and adequate to represent the true picture of the status of management system.

The purpose of the Stage 2 audit is to evaluate the implementation, including effectiveness, of the client's management system. The activities performed and the manner in which these activities will be carried out during this stage of the audit at the client's site(s) are well established in the Procedure: KP-AEP-010-EN Audit Execution Process.

During the assessment or on demand at any time, the client organization shall provide unrestricted access to the documents that pertain to the certification process and the scope applied for. Access shall also be provided to the records of the customer complaints, along with corrective action and the method of verifying the effectiveness of the corrective actions.

The audit team analyzes all information and collected objective evidence through auditor notes during the audit to review the audit findings and agree on the audit conclusions. If the Team Leader finds that audit cannot be completed in the given time, he may extend the time to complete the audit to cover all relevant functions & processes. The outcome of a certification audit or renewal audit is decided based on the audit findings including nature of non-conformities noted during the audit.

Kompleye will provide a written audit report at the end of the stage 2, in order to provide an accurate, concise, and clear record of the audit that enable to communicate a certification decision.

There are four possible outcomes from the Certification/Renewal audits:

a) Recommendation for certification subject to closure of the non-conformities.
b) Limited re-audit or follow-up visit at a later date based on the findings.
c) No recommendation for certification, which usually means that a complete re-audit is necessary.
d) Recommendation for certification.

NOTE: For (b) and (c) above, additional fee and expenses will be charged

NOTE: The certificate cannot be recommended in case of any unresolved non-conformities identified during the audit.

NOTE: In situations where Management System does not reflect the scope intended by the auditee to be covered in the certificate of registration, the Team Leader is required to resolve it by discussing with the auditee and the HO as necessary. The Team Leader shall carefully discuss the exact scope of the certification with the auditee before commencing the audit. This scope will be further scrutinized at the HO and may amend the same in consultation with the auditee and the Team Leader. The auditee is advised about this procedure at the closing meeting.

## **6.5 Conducting Audits**

### **6.5.1 General**

Kompleye have defined a complete procedure for conducting on-site audits where it is included all audit related activities, starting with an opening meeting at the start of the audit and finishing with a closing meeting at the conclusion of the audit.

Where any part of the audit is made by electronic means or where the site to be audited is virtual, Kompleye ensures that such activities are conducted by personnel with appropriate competence. The evidence obtained during such an audit will be sufficient to enable the auditor to take an informed decision on the conformity of the requirement in question.

It should be pointed out that on-site audits can include remote access to electronic site(s) that contain(s) relevant information to the audit of the management system. Consideration can also be given to the use of electronic means for conducting audits.

### **6.5.2 Conducting the Opening Meeting**

A formal opening meeting, where attendance of the participants shall be recorded, shall be held with the client's management and, where appropriate, those responsible for the functions or processes to be audited. The purpose of the opening meeting, which shall usually be conducted by the audit team leader, is to provide a short explanation of how the audit activities shall be undertaken. The degree of detail shall be consistent with the familiarity of the client with the audit process.

### **6.5.3 Communication During de Audit**

During the audit, the audit team shall periodically assess audit progress and exchange information. The audit team leader shall reassign work as needed between the audit team members and periodically communicate the progress of the audit and any concerns to the client.

Where the available audit evidence indicates that the audit objectives are unattainable or suggests the presence of an immediate and significant risk (e.g., safety), the audit team leader shall report this to the client and, if possible, to the certification body to determine appropriate action. Such action may include reconfirmation or modification of the audit plan, changes to the audit objectives or audit scope, or termination of the audit. The audit team leader shall report the outcome of the action taken to the certification body.

The audit team leader shall review with the client any need for changes to the audit scope which becomes apparent as on-site auditing activities progress and report this to the certification body.

#### **6.5.4 Obtaining and Verifying Information**

During the audit, information relevant to the audit objectives, scope, and criteria (including information relating to interfaces between functions, activities, and processes) shall be obtained by appropriate sampling and verified to become audit evidence.

#### **6.5.5 Identifying and Recording Audit Findings**

Audit findings summarizing conformity and detailing nonconformity shall be identified, classified, and recorded to enable an informed certification decision to be made or the certification to be maintained.

Opportunities for improvement may be identified and recorded, unless prohibited by the requirements of a management system certification scheme. Audit findings, however, which are nonconformities, shall not be recorded as opportunities for improvement.

A finding of nonconformity shall be recorded against a specific requirement, and shall contain a clear statement of the nonconformity, identifying in detail the objective evidence on which the nonconformity is based. Nonconformities shall be discussed with the client to ensure that the evidence is accurate and that the nonconformities are understood. The auditor however shall refrain from suggesting the cause of nonconformities or their solution.

The audit team leader shall attempt to resolve any diverging opinions between the audit team and the client concerning audit evidence or findings, and unresolved points shall be recorded.

#### **6.5.6 Preparing Audit Conclusions**

The audit team under the responsibility of the team leader comply with the following steps to prepare the audits conclusions:

- a) review the audit findings, and any other appropriate information obtained during the audit, against the audit objectives and audit criteria and classify the nonconformities.
- b) agree upon the audit conclusions, taking into account the uncertainty inherent in the audit process.
- c) agree any necessary follow-up actions.
- d) confirm the appropriateness of the audit program or identify any modification required for future audits (e.g., scope of certification, audit time or dates, surveillance frequency, audit team competence).

### **6.5.7 Conducting the Closing Meeting**

A formal closing meeting, where attendance shall be recorded, shall be held with the client's management and, where appropriate, those responsible for the functions or processes audited. The purpose of the closing meeting, which shall normally be conducted by the audit team leader, is to present the audit conclusions, including the recommendation regarding certification. Any nonconformities shall be presented in such a manner that they are understood, and the timeframe for responding shall be agreed. The degree of detail shall be consistent with the familiarity of the client with the audit process.

### **6.5.8 Audit Report**

Kompleye shall provide a written report for each audit. The audit team may identify opportunities for improvement but shall not recommend specific solutions. Ownership of the audit report shall be Kompleye.

### **6.5.9 Cause Analysis of Non-conformities**

Kompleye shall ask the client to analyze the cause and describe the specific correction and corrective actions taken, or planned to be taken, to eliminate detected nonconformities, within a defined time.

In case the Management System is found not complying with the relevant standard at the end of the audit then the Team Leader shall recommend a follow-up visit (partial assessment) or full re-audit depending upon the degree of noncompliance (Major).

If major NCs are identified during the Certification/Surveillance/Renewal audit, then a follow up audit or Re-audit shall be recommended.

## **Timelines for NC Submission and closure**

	Major NC	Minor NC
Submission of Corrective Action Plan (CAP)	30 days	30 days
Acceptance of CAP by Kompleye	15 days	15 days
Satisfactory response and Evidence	60 days	90 days
Verification & Closure	Subsequent visit	Subsequent visit
NC during Recertification	Before Certificate expiry date	
Extension of NC period	30 Days	

Non-conformities shall be categorized by the auditors into Major and Minor.

### **Non-conformity is considered to be Major:**

When an applicable requirement of the relevant standard criterion is violated or deficient to such an extent that it can be reasonably concluded as absence of, or failure to implement and maintain the requirement concerned.

### **Non-conformity will be categorized as Minor:**

Based on the objective evidence if it is found that there is only a lapse identified in a stray case and has not actually led to a system breakdown. However, the situation does require identification and implementation of an appropriate action by the organization, to ensure that there is no continued or further non-conformance in respect of the requirement concerned.

A significant number of minor non-conformities in any one area of the requirements would normally constitute a major non-conformity.

A closing meeting shall be held on completion of audit and Audit conclusions communicated to the auditee along with the NC's reported, if any. Team Leader takes the approval on the NC reports at the time of closing the audit.

For more information see the Procedure KP-NCM-012-EN Non-Conformities Management Process.

NOTE: Kompleye shall maintain the process of secure collection and maintenance of Information (evidence) collected during the audit (on-site & off-site) into the secure client's portal.

### **6.5.10 Certification Decision**

Kompleye ensures that persons or committees that make the decisions for granting or refusing, expanding, or reducing the scope, suspending or restoring, withdrawing or

renewing certification are different from those who carried out the audits. The individual(s) appointed to conduct the certification decision have appropriate competence.

According to Kompleye's structure and size, the only person with the authority to make a certification decision is the CEO, who is under legally enforceable agreement. In case any other person will be assigned by Kompleye to make a certification decision, shall be employed and under legally enforceable arrangement with the organization to fulfill the requirements of ISO/IEC 17021.

Note: Kompleye maintains a record of each certification/inspection decision including any additional information or clarification sought from the audit team or other sources.

Upon completion of the report, the audit team leader submits the audit report along with the auditor's notes and necessary documents to the ISO Lead for technical review. After the technical review, the report is sent to the CEO, who will make the certification decision based on an evaluation of the audit findings and conclusions and any other relevant information specified in the audit report and other information submitted. The decision-makers, in their capacity as decision-makers, shall have the right to request any additional clarification on the report and the information submitted on the process from the applicant and the applicant may not refuse to submit such information.

If Kompleye is not able to verify the implementation of corrections and corrective actions of any major nonconformity within 6 months after the last day of stage 2, Kompleye shall conduct another stage 2 prior to recommending certification.

Kompleye has a process in place to obtain sufficient information to make a certification decision when certification is expected to be transferred from one certification body to Kompleye.

#### **6.5.11 Information for granting recertification**

Kompleye shall make decisions on renewing certification based on the results of the recertification, as well as the results of the review of the system over the period of certification and complaints received from users of certification.

#### **6.5.12 Certificate of Registration**

The Decision makers shall decide to grant certificate of registration to the applicant organization, only after the applicant organization has met all the conditions specified by the Kompleye. Two copies of the Certificate of registration originals issued to the applicant organization along with covering letter specifies the time schedule for surveillance audit and artwork of the logos.

The certificate shall include the Kompleye logo, Accreditation body logo (if Applicable) the name of the certified organization, address of the premises of the organization, certificate number, the scope of certification, Approval date of the certification, issue date of the certificate and the date of expiry of the certificate.

The certificate shall be valid for three years and the date of issue and validity is indicated on the certificate.

The original Certification date on the client's certificate will be maintained in case certificate lapses for a time period provided that:

- a) The current certification cycle is started, and expiry date are indicated; or
- b) The last certification cycle expiry date be indicated along with the date of recertification audit.

## **6.6 Surveillance Audit**

Surveillance audits will be conducted in the first and second year after the certification decision.

Surveillance audits shall be conducted at least once a calendar year, except in recertification years. The date of the first surveillance audit following initial certification shall not be more than 12 months from the certification decision date. The second surveillance must be scheduled no later than twenty-four months, counted from certification decision date.

The purpose is to verify that the approved management system continues to be implemented to consider the implication of changes in the Organization's operation and to reconfirm continued compliance to the applicable standard and other normative documents.

Surveillance audits are conducted at client premises only, but are not necessarily full system audits, so that Kompleye can maintain confidence that the certified management system continues to fulfill requirements between recertification audits.

Kompleye will provide a written audit report at the end of each surveillance audit.

## **6.7 Follow-up Audit**

During the certification audit or surveillance audit if the Team Leader considers that the management system is not complying with the relevant standard then he/she may recommend a follow-up audit at an agreed time with the auditee to verify the resolving of NCs and other recommendations if any.

During the follow-up audit, the auditor shall audit the relevant part of Management System as recommended in the original audit report of certification or surveillance. Upon



satisfactory compliance with the recommendations, he/she may recommend granting of the certificate of registration or continuation of certificate of registration as the case may be.

## **6.8 Reassessment/Renewal Audit**

### **6.8.1 Recertification audit planning**

The purpose of reassessment is to verify overall continuing effectiveness of the organization's management system in entirety. Reassessment is carried out once in three years. The methodology is same as that of initial audit Stage 2. Only in situations where the Management System has not been maintained or repeated breakdown in the system are reported or there are a number of changes in processes or product categories, the renewal audit shall be carried out in 2 stages (like Initial Audit).

Within three months prior to completion of the certification validity term, the certified organizations shall be informed about the recertification process and the relevant application format shall be forwarded to them.

Confirmation is sought from the client regarding any change in the organization structure, nature of activities/product/processes and scope during recertification stage. Also, the previous surveillance audit reports are referred before scheduling the renewal audit.

### **6.8.2 Recertification audit**

Reassessment provides for a review of past performance of the system over the period of certification. Reassessment consists of a review of system documentation and a site audit to ensure:

- a) the effectiveness of the management system in its entirety in the light of internal and external changes and its continued relevance and applicability to the scope of certification.
- b) demonstrated commitment to maintain the effectiveness and improvement of the management system in order to enhance overall performance.
- c) whether the operation of the certified management system contributes to the achievement of the organization's policy and objectives.
- d) any other specific needs.

Recertification audit activities may need to have a Stage 1 audit in situations where there have been significant changes to the management system, the client, or the context in which the management system is operating (e.g., changes to legislation). Contract review personal will decide the need of Stage 1.

In case of any major nonconformity, Kompleye will define time limits for correction and corrective actions. These actions shall be implemented and verified prior to the expiration of certification.

If Kompleye has not completed the recertification audit or is unable to verify the implementation of corrections and corrective actions for any major nonconformity prior to the expiry date of the certification, then recertification will not be recommended, and the validity of the certification shall not be extended. The client shall be informed, and the consequences will be explained.

Following expiration of certification, Kompleye can restore certification within 6 months provided that the outstanding recertification activities are completed, otherwise at least a stage 2 shall be conducted. The effective date on the certificate shall be on or after the recertification decision and the expiry date shall be based on prior certification cycle.

When, during a recertification audit, instances of nonconformity or lack of evidence of conformity are identified, Team Leader shall define time limits for correction and corrective actions to be implemented prior to the expiration of certification.

**NOTE:** In addition to the requirements listed in Recertification – the general audit process and stage 2 applies.

Additional information about the recertification audit process is well established in Procedure: KP-AEP-010-EN Audit Execution Process.

## 6.9 Special Audits

Special audits shall be carried out under following circumstances:

1. Modifications to the existing scope of Management System:
  - a. Modification of scope shall include addition or deletion of activities and are applicable to the following changes in the organization.
    - i. If there is a merger or an acquisition by the client organization
    - ii. Addition or deletion of activities
    - iii. If there is a request by the client organization

In all of the above cases the Kompleye review the application for the change and determine the need for carrying out an on-site audit. There is a possibility that the client provides adequate information about the requested change through documentary evidence, which after thorough verification can be considered appropriate for granting the modified scope. In this case the verification of the same shall be done in conjunction with a surveillance audit.

Additional information about special audits is established in the Procedure: KP-AEP-010-EN Audit Execution Process.

### **6.10 Short-notice Audits**

Kompleye reserves the right to conduct short notice audits under the following situations:

- a) Complaints from the customers of the client organization or interested parties
- b) Adverse media reports
- c) Company has filed for bankruptcy or has been delisted.
- d) Change in the Management
- e) Change in the location of activities
- f) Scope of operations under the certified management system
- g) Major changes to the management system and processes
- h) Follow up on suspended clients

Kompleye informs the client in advance about its decision to perform short notice audits based on the any of the above reasons. Kompleye shall ensure that the team is competent and acceptable to the client since the client may not be in a position to object due to time constraint.

Kompleye shall ensure that the client is compliant with the requirements of the relevant Management System before recommending continuation of certification.

As a part of agreement, certified organization undertakes to inform Kompleye within 15 days if any change takes place in any of the aspects of its status or operation that affects its:

- a) Legal, commercial, or organizational status
- b) Organization and management, (e.g. key managerial, decision-making or technical staff);
- c) contact address and sites;
- d) scope of operations under the certified management system;
- e) Personnel, equipment, facilities, working environment or other resources, where significant.
- f) Addition of any new branches/sub-contractors, foreign locations where clients are located/operations related to scope given;
- g) major changes to the management system and processes.

#### **6.10.1 Transfer Audits**

Kompleye also considers the request from the organizations seeking transfer of accredited management system issued by another certification body to Kompleye during the period of the certificate validity.

Whenever Kompleye receives such requests, business development person will obtain following information from the client:

- ④ Obtain complete Client Information Form (KF-CIF-002-Client Information Form)
- ④ Obtain a copy of the client's existing valid certificate.
- ④ Obtain reason for seeking transfer, identification of any current engagement of the organization with regulatory bodies with respect of legal compliance relevant to the scope of certification.
- ④ Obtain a copy of the previous CB audit reports from last audit cycle (Initial or re-certification and subsequent surveillance audits) and closed non-conformities.
- ④ Obtain necessary Management system documents.

Kompleye shall carry out a review of the certification of the transferring client. This review shall be conducted by means of a documentation review and where identified as needed by this review, for example there are outstanding major nonconformities, shall include a pre-transfer visit to the transferring client to confirm the validity of the certification.

Note: The pre-transfer visit is not an audit.

The review may be conducted by one or more persons. The individual or group conducting the pre-transfer visit shall have the same competence as required for an audit team appropriate to the scope of certification being reviewed. It is the responsibility of the ISO Lead to designate the group(s) of persons who will conduct the review.

In accordance with clause 9.5.2 of ISO/IEC 17021-1:2015, Kompleye shall not issue certification to the transferring client until:

- ④ it has verified the implementation of corrections and corrective actions in respect of all outstanding major nonconformities; and
- ④ it has accepted the transferring client's plans for correction and corrective action for all outstanding minor nonconformities.

Where the pre-transfer review (document review and/or pre-transfer visit) identifies issues that prevent the completion of transfer, Kompleye shall treat the transferring client as a new client.

The normal certification decision making process in accordance with clause 9.5 of ISO/IEC 17021-1:2015 shall be followed including that the personnel making the certification decision be different from those carrying out the pre-transfer review.

If no problems are identified by the pre-transfer review, the certification cycle shall be based on the previous certification cycle and Kompleye shall establish the audit programme for the remainder of the certification cycle.

Where Kompleye has had to treat the client as a new client as a result of the pre-transfer review, the certification cycle shall begin with the certification decision.

Kompleye shall take the decision on certification before any surveillance or recertification audits are initiated.

## **7 Conditions for Certification**

### **7.1 Granting of Certification**

The certification is granted to an applicant on completion of assessment as per the provision of Clause 6 Assessment of this procedure and after the following conditions has been met by the applicant organization.

- a) The applicant meets the criteria of certification and all non-conformities found against the criteria of certification during assessment have been closed to the satisfaction of the Kompleye in accordance with the guidelines on the subject
- b) There are no adverse reports/information/complaints with the Kompleye about the applicant regarding the quality and effectiveness of implementation of certification system as per the criteria of the Kompleye.
- c) The customers of the applicant organization are satisfied by the product or services offered by the organization and its certification system. Kompleye may request feedback from selected customers of the certified organization and seek a feedback from stakeholders.
- d) The applicant organization has paid all the outstanding dues.

In the event of any adverse issue arising from the reasons specified at points b) and c), the applicant organization will be given an opportunity to explain its position in writing to the Kompleye. The final decision shall be taken in respect of granting of certification/permission to continue the certification on the basis of facts and the results of such presentation by the CEO.

The Initial certification shall be for a period of 3 years. Subsequent renewals are for a period of 3 years subject to satisfactory operation and maintenance of Management systems.

### **7.2 Maintaining Certification**

The certified organization shall comply with the following, individually or severally. Under these conditions the certification given to the organization shall be maintained for three years.

- a) The certified organization continues to meet the criteria of certification and all nonconformities found against the criteria of certification during surveillance assessment have been closed to the satisfaction of the Kompleye as per laid down criteria.
- b) There are no adverse reports/information/complaint with the Kompleye about the organization regarding the implementation of system as per the criteria laid down by the Kompleye.
- c) The customers of the organization are satisfied by the product or services of the certified organization.
- d) The organization has paid all the outstanding dues.

In the event of any adverse issue arising from the reasons specified at points b) and c), the certified organization shall be given an opportunity to explain its position in writing to the Kompleye. The final decision shall be taken in respect of maintenance of the certification of approval on the basis facts and the results of such presentation by CEO.

### **7.3 Conditions for Suspension and Restoration of Certification**

The Certificate of Registration is suspended for a specified period based on the following conditions:

- a) Organization does not allow surveillance or recertification audits within the specified time frame.
- b) The Organization did not complete, correction/corrective actions within agreed time scale.
- c) The organization requests for suspension.
- d) The certificate or logo of Kompleye is intentionally misused in any way (the logo of Kompleye and the accreditation body cannot be used on test reports/certificates).
- e) The organization makes incorrect references to the certification status.
- f) The organization fails to conform with the agreed standard consistently.
- g) The organization fails to comply with the financial requirements of the agreement of certification.
- h) The organization undertakes actions which bring Kompleye into disrepute.
- i) Any willful mis-declaration in the application form.
- j) Willful non-compliance to the terms and conditions specified in agreement.
- k) Excessive and or serious complaints against organization from interested parties.
- l) Any other condition deemed appropriate by the Kompleye.

In such cases, a formal communication will be made to the Organization in which Kompleye specify the citing intention to suspend the certificate and ask for remedial measures within a period of 15 days.

The certified organization shall be given an opportunity to explain its position in writing to Kompleye. The recommendation for suspension is performed by the ISO Lead and forwarded to the CEO for the final decision. This decision shall be taken in respect of suspension of the certificate of registration on the basis facts and the results of such presentation.

If the above action does not result in any improvement, a registered (or equivalent) letter will be issued to the Organization indicating the conditions under which suspension has been affected and also informs about the consequences of the suspension like in case of suspension period client refrains from future promotion of the certification. The information on the certified status of the client will be made publicly accessible through Kompleye website. If required, any other mode of publication may also be considered.

For more information see the procedure: KP-SWR-015-EN Certificate Suspension, Withdrawal or Scope Reduction Process

#### **7.4 Conditions for Withdrawal of Certification**

The Organization's certification will be withdrawn, and agreements cancelled in the following cases:

- a) When the conditions referred to in "Condition for Suspension of Certification" mentioned above exist and the Organization fails to take corrective actions under indication of Kompleye.
- b) If the certification criteria are changed and the Organization either will not or cannot ensure conformance to the new requirements within the stipulated time.

In such cases, a formal communication will be made to the Organization in which Kompleye specify the citing intention to withdraw the certification and ask for respond within a period of 15 days.

The certified organization shall be given an opportunity to explain its position in writing to the Kompleye. The final decision shall be taken in respect of withdrawn of the certificate of registration on the basis facts and the results of such presentation by the CEO.

For more information see the procedure: KP-SWR-015-EN Certificate Suspension, Withdrawal or Scope Reduction Process.

#### **7.5 Conditions for Extending and Reducing the Scope of Certification**

The scope of the certification may be extended or reduced upon written request of the client under one or more of the circumstances described in the KP-SWR-015-EN Certificate Suspension, Withdrawal or Scope Reduction Process.

## **7.6 Conditions for Cancellation of Certification**

The Organization's certification will be cancelled, and agreements cancelled in the following cases:

- a) At the request of the certified organization.

This will be exercised by informing the organization by a registered (or equivalent) letter followed by any other publication notifying the withdrawal if required. This information will be made publicly accessible through Kompleye website.

Once the Certificate of Registration is cancelled and if the Organization wishes to get the certification redone, Kompleye would carry out a complete re-audit.

When cancellation is finalized, the following actions are taken:

- a) The Organization will be advised by communication in writing (letter, e-mail fax etc.) to return the certificates along with logo issued to them or give a confirmation that the certificates or logo issued are either made obsolete / withdrawn or prevented from any misuse.

It will be suitably denoted, or amendment made in the "List of certified companies" published by Kompleye on website as decided by the CEO.

## **7.7 Condition to Refuse a Certificate**

At its sole and absolute discretion, Kompleye may at any time, refuse to issue a certificate, or revoke or suspend an issued Certificate, in circumstances where:

- a) Client's organization do not meet, or fail to continue to meet, the relevant standard/specification or regulatory requirement.
- b) Client's organization fail to disclose any information to Kompleye that may affect Kompleye's decision to issue or continue the certificate.
- c) Client's organization fail to comply with the continuing obligation to supply information.
- d) Client's organization fail to pay any fees due to Kompleye under the contract or otherwise resolved within 30 days after the date of invoice.

In the opinion of Kompleye, client's organization use the certificate in a manner that may be misleading or that may bring Kompleye into disrepute.



## **8 Rules Governing use of Certificate and Logo**

Kompleye has a policy governing any mark that it authorizes certified clients to use. This shall assure, among other things, trace ability back to Kompleye. There shall be no ambiguity, in the mark or accompanying text, as to what has been certified and which Kompleye has granted the certification. This mark shall not be used on a product or product packaging seen by the consumer or in any other way that may be interpreted as denoting product conformity.

To consult additional information about references to certification and use of Kompleye's marks, please see our Guidelines: "KG-RLC-001-EN Rules Governing Use of Certificate and Logo" where all well described all Kompleye's requirements.

## **9 Information on the certification activity and requirements**

Kompleye will inform and update its clients about the following:

- a) a detailed description of the initial and continuing certification activity, including the application, initial audits, surveillance audits, and the process for granting, refusing, maintaining of certification, expanding or reducing the scope of certification, renewing, suspending or restoring, or withdrawing of certification;
- b) the normative requirements for certification;
- c) information about the fees for application, initial certification and continuing certification;
- d) Kompleye's requirements for clients to:
  1. comply with certification requirements;
  2. make all necessary arrangements for the conduct of the audits, including provision for examining documentation and the access to all processes and areas, records and personnel for the purposes of initial certification, surveillance, recertification, and resolution of complaints;
  3. make provisions, where applicable, to accommodate the presence of observers (e.g. accreditation assessors or trainee auditor);
- e) documents describing the rights and duties of certified clients, including requirements, when making reference to its certification in communication of any kind in line with the requirements in "KG-RLC-001-EN Rules Governing Use of Certificate and Logo";
- f) information on processes for handling complaints and appeals. For reference see: KP-QIP-007-EN Appeals and Complaints Handling Process.

### **9.1 Notice of changes by Kompleye**

Kompleye will duly notify its certified clients of any changes to its certification requirements. Kompleye will verify that each certified client complies with the new requirements.

## **9.2 Notice of changes by a certified client**

Kompleye will have legally enforceable arrangements in place to ensure that the certified client informs Kompleye, without delay, of matters that may affect the capability of the management system to continue to fulfill the requirements of the standard used for certification. These include, for example, changes related to:

- a) the legal, commercial, organizational status or ownership;
- b) organization and management (e.g. key managerial, decision-making or technical staff);
- c) contact address and sites;
- d) scope of operations under the certified management system;
- e) major changes to the management system and processes.

Kompleye shall take action as appropriate.

## **10 Appeals and Complaints**

It would be the endeavor of Kompleye to provide efficient and satisfactory services as detailed in the Request Form. However, in case it is felt that any decision or the conduct of Kompleye is unjust and prejudicial to any party that party can appeal to Kompleye and seek redressal. These appeals are to be sent to Kompleye in writing.

For reference see: KP-QIP-007-EN Appeals and Complaints Handling Process.

## **11 Disclaimer**

While this document is intended to provide guidance to prospective/existing clients of Kompleye and every effort is made to keep its content accurate and up to date, it should not be construed to be comprehensive or conclusive in its contents and applicability. Assessment audit/certification/surveillance being activities that always call for auditor's judgment based upon the facts and circumstances of each case/situations, this document cannot be construed to be binding Kompleye in the scope, interpretation, and applicability of its certification activities.

## 12 Annex A Process-flow for Third Party Audit and Certification Process

