Certificate Suspension, Restoration, Withdrawal and Scope Change Procedure

Certification Activities

1 Purpose

To establish a consistent and documented process for managing certification status and certification scope decisions.

2 Scope

This procedure applies to management system certifications issued and maintained by Kompleye. It covers matters that may affect certification validity or certified scope during surveillance, recertification, special audit and client-requested activities.

Kompleye also performs inspection activities, including CMMC assessments. Where a CMMC or other inspection matter requires suspension, withdrawal, modification or appeal of an inspection result, the applicable inspection and programme requirements shall be followed. Inspection outcomes do not replace certification audit evidence, technical review or certification decision activities.

3 Responsibilities

Practice Lead

- Initiates and coordinates certification status and scope cases.
- Ensures that the required evidence, technical review and certification decision activities are completed.
- Implements and communicates the certification decision.
- Updates applicable certification information and monitors the case to closure.

Lead Auditor / Auditor

- Documents audit evidence that may affect certification status or scope.
- Evaluates corrections and corrective actions and performs verification activities when assigned.

Technical Reviewer

- Reviews the case for completeness and technical sufficiency.
- Records the technical review conclusion and recommendation.

Certification Decision Maker

- Makes decisions to maintain, suspend, restore or withdraw certification and to expand or reduce certification scope.
- Defines the effective date, affected certification or scope, suspension period and conditions attached to the decision.

Certified Client

- Provides requested information, evidence and access.
- Completes required actions within the period stated by Kompleye.
- Controls certification claims, certificates and marks in accordance with the decision.

4 Principles and Definitions

4.1 Definitions

Suspension

Temporary invalidation of certification while specified conditions are resolved.

Restoration

Reinstatement of suspended certification after the conditions that led to suspension have been resolved and verified.

Withdrawal

Termination of certification.

Scope Reduction

Removal of part of the certified scope.

Scope Expansion

Addition to the certified scope following the required review, audit and decision activities.

Expired Certification

Certification for which the expiry date has passed without completion of a positive recertification decision.

4.2 Certification Principles

- Decisions are based on sufficient objective evidence.
- Technical review and certification decision are independent from audit execution.
- The decision is limited to the certification and scope supported by the evidence.
- Certification documents, claims and public information are consistent with current certification status.
- Certification decisions are not outsourced.

5 Certification Decision Competence and Independence

Before a certification decision is made, the Technical Reviewer confirms that:

- the available information is sufficient with respect to the applicable certification requirements and certified scope;
- for each major nonconformity, the correction and corrective action have been reviewed, accepted and verified; and

- for each minor nonconformity, the client's plan for correction and corrective action has been reviewed and accepted.

Any additional information or clarification obtained from the audit team, the client or another authorized source shall be recorded with the certification decision.

Technical review and certification decision activities are assigned to personnel competent for the applicable certification scheme and technical area. The Certification Decision Maker shall not have performed the audit activities supporting the decision. Technical review and certification decision may be performed by the same authorized person only when applicable competence and impartiality requirements are met and independence from audit execution is maintained.

6 Certification Status Planning

For each certification status or scope case, the Practice Lead:

1. Identifies the affected certification, certificate and certified scope.
2. Obtains available audit results, client responses and supporting evidence.
3. Determines whether additional audit or verification activities are required.
4. Establishes and communicates applicable deadlines.
5. Identifies effects on integrated and multi-site certifications.
6. Assigns the case for Technical Review.

The response or completion period is established considering the nature and severity of the matter, risk to confidence in certification, applicable certification and scheme requirements, evidence and verification required, certificate expiry date, and required surveillance or recertification frequency. The deadline is communicated to the client and recorded in the case.

For integrated certification, the evaluation determines whether suspension, withdrawal or scope reduction under one management system standard affects continued certification under another standard included in the integrated management system. The evaluation and conclusion are recorded for each certification.

For multi-site certification, the evaluation determines whether the matter is limited to one site or indicates a system deficiency affecting the central function or other sites. The client is required to evaluate the potential impact across all sites covered by the certification and provide supporting evidence. Applicable multi-site certification requirements are considered before a decision is made to maintain, suspend, withdraw or reduce certification scope.

7 Certification Status Decision and Implementation

1. The Technical Reviewer reviews the available evidence and records a recommendation.
2. The Certification Decision Maker records the certification decision.
3. The Practice Lead implements and communicates the decision, updates certification status records, updates applicable public information and monitors completion of required actions.

7.1 Decision Criteria and Required Actions

Situation	Decision	Required Action
Evidence confirms continued fulfilment of certification requirements.	Maintain certification.	Record the review and decision. Complete any stated follow-up and close the case.
The certified management system persistently or seriously fails to meet certification requirements.	Suspend certification. Scope reduction may be selected only when the conditions stated in the scope reduction criteria of this procedure are fulfilled.	State the effective date, affected scope, unresolved requirements, actions and evidence required, verification method, suspension period and restoration conditions. Notify the client and update certification status.
The client does not allow surveillance or recertification activities at the required frequency.	Suspend certification.	Record attempts to complete the activity. State the audit or verification required for restoration, the deadline and any additional verification. If conditions are not satisfied within the suspension period, withdraw certification or reduce scope.
The client does not submit, implement or demonstrate effective correction and corrective action for a major nonconformity within the established period.	Submit for technical review and certification decision. Suspend certification when the certificate remains valid and continued certification cannot be supported.	State the unresolved requirements, evidence required for restoration, verification method, suspension period and deadline. If the certificate has expired, apply the Expired Certification Pending Recertification requirements defined in this procedure.
The client voluntarily requests temporary suspension.	Suspend certification.	Confirm the affected certification or scope, effective date, suspension period, restoration conditions and deadline.
All suspension conditions are completed and effective resolution is verified.	Restore certification.	Record accepted evidence and effective date. Notify the client, restore certification status and close suspension actions. Restoration of a suspended certification does not change the certification cycle, certificate issue date or certificate expiry date.
Suspension conditions are not resolved within the period established by the certification decision.	Withdraw certification or reduce scope.	Notify the client, invalidate or revise certification documents, update public information and control certification claims.
The client requests removal of part of the scope, or a separable part of the certified scope persistently or seriously fails to fulfil certification requirements.	Reduce scope only when the affected part can be removed without creating a misleading scope and when the reduction is permitted by the applicable management system standard, certification scheme and multi-site requirements.	Identify the activities, products, services, processes or sites proposed for removal. Evaluate the effect of the reduction on the remaining management system, interfaces, central functions, other sites and other certifications included in an integrated management system. Issue revised certification documents, update applicable public and external certification information, control obsolete documents and require amended certification claims.
The client requests an addition to the certified scope.	Expand scope only after required review and audit activities support the addition.	Review the request, determine and complete necessary audit activities, obtain the certification decision, and revise certification documents and public information.
The certificate expires before recertification is completed or before major nonconformity corrections and corrective actions are verified.	Do not extend certification. Record certification as expired.	Notify the client that certification is not valid from the expiry date. Complete outstanding recertification activities and submit for certification decision. Certification may be restored within six months after expiry. If not restored within six months, conduct at least a Stage 2 before a new certification decision.

7.2 Suspension Period

The Certification Decision Maker defines the suspension period based on the nature and severity of the matter, associated certification risks, applicable certification-scheme requirements, audit results, evidence

required for restoration and verification activity required. In most cases, suspension shall not exceed six months.

Where a suspension period exceeding six months is permitted by an applicable certification scheme or justified exceptional circumstances, the basis for the exception shall be documented and approved by the Certification Decision Maker.

Before the suspension deadline, the Practice Lead submits the restoration evidence for technical review and certification decision. Failure to satisfy suspension conditions within the defined period results in withdrawal of certification or reduction of scope, as supported by the evidence.

During suspension, certification is temporarily invalid. The client shall not represent the suspended certification as valid and shall control the use of the certificate, certification marks and certification claims. The Practice Lead shall retain evidence of the suspension notice, update applicable public certification information, and record any identified misleading certification claim and the action taken. The original certificate issue date and expiry date remain unchanged during suspension and following restoration within the same certification cycle.

Where suspension affects a multi-site certification, the Practice Lead confirms whether the matter affects the central function or other sites before submitting the case for restoration, scope reduction or withdrawal. Certification documents shall not be partially restored, reduced or withdrawn when the applicable multi-site certification requirements require action for the certification as a whole.

7.3 Expired Certification Pending Recertification

When recertification is not completed, or correction and corrective action for any major nonconformity cannot be verified before the certificate expiry date, recertification shall not be recommended and certification shall not be extended.

1. The Practice Lead records the certification as expired and notifies the client that certification is not valid from the expiry date.
2. The client discontinues claims representing the certification as current.
3. Outstanding recertification activities, corrections, corrective actions and verification activities are completed.
4. The completed information is submitted for technical review and certification decision.

Certification may be restored within six months after the certificate expiry date, provided that all outstanding recertification activities have been completed, corrections and corrective actions for major nonconformities have been implemented and verified, and a positive certification decision has been issued.

If restoration is not completed within six months after certificate expiry, at least a Stage 2 audit shall be conducted before a new certification decision.

In either case, the effective date shown on the certification document shall be on or after the recertification decision, and the expiry date shall be based on the prior certification cycle.

These provisions apply only to certification that expired before completion of recertification and do not apply to certification that has been withdrawn.

7.4 Withdrawal and Subsequent Certification

Withdrawal terminates certification. A certification withdrawn because suspension conditions were not resolved is not eligible for restoration under the six-month provisions for expired certification pending recertification.

If a former client requests certification after withdrawal, the request shall be processed through the applicable certification application, audit, technical review and certification decision activities. The previous certificate shall not be reactivated.

Where a certification status or scope decision requires revision of certification documents, the revised certification documents shall be issued through the controlled certification document process and shall comply with all applicable scheme-specific certification document requirements.

For integrated certification, the case record identifies each certification evaluated and documents the effect of the decision on every management system standard included in the integrated certification.

For multi-site certification, the case record identifies the central function and all sites evaluated, the conclusion regarding system-wide impact, and the basis for maintaining, suspending, reducing or withdrawing the certification.

8 Certification Status Reporting

The decision record identifies the client and certificate, applicable standard, current scope, evidence reviewed, technical review conclusion, decision and rationale, effective date, affected scope, deadlines, required actions and decision authorization.

The client is notified in writing. The notice states the decision, effective date, effect on certification, actions and deadlines, restoration conditions when applicable, required control of certification documents, claims and marks, and the appeal route.

After the decision, the Practice Lead updates the applicable public certification information, internal certificate register, certification documents and any external accreditation, scheme or certification database required for the affected certification. Completion of each applicable update is recorded before closing the case.

9 Corrective Actions and Follow-Up

Where restoration or continued certification depends on client action, assigned competent personnel review the correction, identified cause, corrective action, evidence of implementation and evidence of effectiveness. Verification is completed through documented information or an audit activity, as defined in the decision.

The Practice Lead monitors open actions against the applicable deadline. An unresolved suspension is submitted for withdrawal or scope reduction before the suspension period ends. Where a certificate expires before corrective action is verified, the Expired Certification Pending Recertification requirements in this procedure apply. Appeals are handled through the applicable appeals and complaints process.

10 Third-Party Requirements (Accreditation and Other External Requirements)

Where an accreditation body, scheme owner, regulator or applicable certification database requires notification or a certification status update, the Practice Lead completes the required submission after the decision and retains evidence with the case.

Where a CMMC or other inspection programme establishes requirements for suspension, withdrawal, modification or appeal of an inspection result, those requirements are implemented through the applicable inspection and programme process. Certification and inspection records and decisions remain segregated.

11 Records

Records generated by this procedure include certification status case records, technical review and certification decision records, client communications, and revised or withdrawn certification documents, where applicable.

Records are controlled in accordance with the document and record control process and retained for the current certification cycle plus one full certification cycle, or longer where required by law, contract, accreditation or scheme requirements.

Annex A - Expired Certification Notification

Subject: Certification Expiration and Pending Recertification Decision

Dear [Client Name],

This notice confirms that certificate [Certificate Number] expired on [Expiry Date]. The recertification process has not been completed because [outstanding recertification activities / correction and corrective action for major nonconformities] remain pending verification and a positive certification decision has not been issued.

Certification is not valid from [Expiry Date]. The organization shall not represent or communicate the certification as current and shall control the use of the certificate, certification marks and related claims accordingly.

To continue the recertification process, please submit or complete the following by [Date]:

- - [Required correction and corrective action evidence]
- - [Required implementation and effectiveness evidence]
- - [Required audit or verification activity]
- - [Additional information or access required]

After the outstanding activities are completed and verified, the file will be submitted for technical review and certification decision. Certification may be restored within six months after the certificate expiry date. If restoration is not completed within that period, at least a Stage 2 audit will be required before a new certification decision.

The organization may appeal the certification decision through the applicable appeals process.

Sincerely,

Name/Role

Kompleye

Annex B - Suspension Notification

Subject: Certification Suspension

Dear [Client Name],

Kompleye has decided to suspend certificate [Certificate Number] effective [Effective Date]. The affected certification and scope are: [Certification Standard and Scope].

The reason for suspension is: [Reason and Applicable Certification Requirement].

Kompleye will update applicable public certification information and retain evidence of notification to the client.

The organization shall remove, suspend or appropriately qualify certification claims that could reasonably indicate that certification remains valid during the suspension period.

Restoration requires completion and verification of the following by [Deadline]:

- - [Required action]

- - [Required evidence]
- - [Required correction and corrective action]
- - [Required audit or verification activity]

If the suspension conditions are not resolved within the stated period, certification may be withdrawn or the certification scope may be reduced.

The organization may appeal this decision through the applicable appeals process.

Sincerely,

Name/Role

Kompleye

Annex C - Restoration Notification

Subject: Certification Restoration

Dear [Client Name],

Kompleye has completed the required review and verification of the conditions associated with the suspension of certificate [Certificate Number]. A positive certification decision has been issued and certification is restored effective [Effective Date] for the following scope: [Certified Scope].

Certification records, applicable certification documents and public certification information have been updated.

Any continuing follow-up conditions are: [Conditions / Not Applicable].

Sincerely,

Name/Role

Kompleye

Annex D - Scope Reduction Notification

Subject: Certification Scope Reduction

Dear [Client Name],

Kompleye has decided to reduce the scope of certificate [Certificate Number] effective [Effective Date].

The following activities, products, services, processes or sites have been removed: [Items Removed].

The revised certified scope is: [Revised Scope].

The organization shall amend certification claims and references to reflect the revised scope. Revised certification documentation is [attached / available through the approved client channel].

The organization may appeal this decision through the applicable appeals process.

Sincerely,

Name/Role

Kompleye

Annex E - Certification Withdrawal Notification

Subject: Certification Withdrawal

Dear [Client Name],

Kompleye has decided to withdraw certificate [Certificate Number] effective [Effective Date].

The reason for withdrawal is: [Reason and Applicable Certification Requirement].

From the effective date, the organization shall discontinue all claims representing the certification as valid and shall cease use of the certificate and certification marks as directed by Kompleye.

Certification records and public certification information have been updated. Withdrawal terminates certification and the six-month restoration provisions for expired certification do not apply. Any future request for certification will be processed through the applicable certification process. The organization may appeal this decision through the applicable appeals process.

Sincerely,

Name/Role

Kompleye

Annex F - Scope Expansion Approval Notification

Subject: Certification Scope Expansion

Dear [Client Name],

Kompleye has approved the expansion of the scope of certificate [Certificate Number] effective [Effective Date], following completion of the required review, audit and certification decision activities.

The revised certified scope is: [Revised Scope].

Revised certification documentation is [attached / available through the approved client channel]. Certification records and public certification information have been updated.

Sincerely,

Name/Role

Kompleye