

Procedure for Issue & Withdrawal of Certificates

DAS Pakistan (Pvt.) Ltd.

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| ORIGINATOR:  | REVIEWED:  | APPROVED:  |
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List of Copy Holders

| Sr. # | Designation |
|-------|----------------------------------|
| 1 | Chief Executive Officer |
| 2 | <i>Management Representative</i> |
| 3 | Deputy Management Representative |
| 4 | Manager Certification |

Procedure for Issue & Withdrawal of Certificates

1. Purpose:

To ensure that DAS Pakistan Certificates of Approval are:

- Correctly approved and issued when the organisation/site demonstrates compliance with the relevant standard through the certification audit process.
- Correctly withdrawn when the organisation/site is found no longer to comply with the relevant standard for any element of the standard
- The certificated client complies with the conditions governing the use of the Certificate of the relevant standard and the mark/symbol of the Certification Body.

2. Scope:

All Certificates approved and issued by DAS Certification Body.

3. References:

Clause 9.5 of ISO/IEC 17021-1:2015, Certification decision

Clause 9.6.5 of ISO/IEC 17021-1:2015, Suspension, withdrawing or reducing the scope of certification

4. Definitions:

None

5. Procedure:

6. Lead Auditors approval/rejection of certification:

For each certification audit and re-audit the Lead Auditor shall submit report to Manager Operations as part of the audit report the certification recommendation for recommendation or rejection for certification or recertification. The Lead Auditors recommendation shall be based upon the auditees Management System meeting the following criteria;

6.1 Management System (QMS, EMS, OHSMS):

For a recommendation to certificate an operator with a newly introduced or re-audited management system (QMS, EMS, OHSMS) the following degree of development or maintenance must have been achieved;

i) To be certified an organisation has to demonstrate that the management system functions and the various control mechanisms are properly operational. In practice this means in particular that:

- The management system ((QMS, EMS, OHSMS)has been operational for a minimum of three months;
- The internal audit system is fully operational and can be shown to be effective;

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- One management review has been conducted.
- ii) A certificate can only be issued or re-issued if, in particular:
 - any non-conformities identified have been addressed and any major non conformities have been eliminated;
 - The certification body has justified confidence that all provisions in the standard have been met, and in particular that provision for compliance with the organisation's policy objectives and management System (QMS, EMS, OHSMS) requirements is effective.
 - All staff has been made aware of the organisation's policy objectives and management System (QMS, EMS, and OHSMS) requirements.
 - All key staff (those involved in managing management System (QMS, EMS, OHSMS) requirements) has undersigned a training needs analysis, and have received training accordingly.

7. Certification Committee Review and decision:

Operation Manager will forward the cases of certification to certification Decision committee on FMP09/01. All certification cases are reviewed by as per approved certification decision committee form on FMP09/06, approved by CEO of DAS Pakistan. Committee reviews the certification case & Reviews the lead auditors report and associated material along with the reasons for recommendation/rejection of a client and gives its recommendation on FMP09/01.

8. Decision Taking in Relation to the Certification Function:

The certification Committee, which takes the decision on granting/withdrawing a certificate in DAS , should incorporate a level of knowledge and experience in all areas, other than audit experience, which is equivalent to that of the lead auditor enabling a decision to be made based on the review of objective evidence in the audit file. The competence of review committee is maintained as per Procedure for Staff Selection & Control.

The committee shall ensure that the audit reports are evaluated in detail as per respective management system and ISO 17021 requirements.

The role of the Certification Committee is;

- **To evaluate the whole case of certification all documents enclosed with FMP09/01.**
- **Verify the effectiveness of correction and corrective actions.**
- **To conduct evaluation within 10 days of receiving FMP09/01.**
- **Decision of Certification.**

If DAS Pakistan 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, the DAS Pakistan shall conduct another stage 2 prior to recommending certification.

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The first three-year certification cycle begins with the certification decision. Subsequent cycles begin with the recertification decision.

When recertification activities are successfully completed prior to the expiry date of the existing certification, the expiry date of the new certification can be based on the expiry date of the existing certification. The issue date on a new certificate shall be on or after the recertification decision.

Following expiration of certification, the DAS Pakistan 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.

9. Issue of Certificates:

Upon approval being granted by the committee, Operation Manager verify the clients details including the audit scope of supply and prepare the Certificate of Approval which is checked by the MR. CEO signs the certificate for authorization and Operation Manager will update it on FMP09/02.

Each Certificate carries a unique identification number as below. Details of each certificate used, cancelled or destroyed shall be recorded in a Certificate Register FMP09/02.

Certificate Unique Identification number;

E.g. **QMS-1116001**
EMS-1116001
OHSMS-1116001

QMS, EMS, OHSMS: Abbreviation of Quality, Environment, Health and Safety Management System

11: Month of the Year

16: Date of the Month

001: Incremental number as Per Certificate Register

Manager Certification updates the Client Data Base and then contact the client about any arrangements for the delivery of the certificate through any suitable means.

Manager Certification also sends a controlled copy of the Conditions for the use of Certification Mark FMP09/03 to the approved certified client.

A copy of the Certificate shall be retained on the Clients Data Base.

An electronic image of the Certification Body mark/symbol is also forwarded to the client on issue of the certificate by manager certification.

10. Suspending, withdrawing or reducing of the scope of certification

DAS Pakistan suspends certification in following cases:

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- The client's certified management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the management system
- The certified client does not allow surveillance or recertification audits to be conducted at the required frequencies
- The certified client has voluntarily requested a suspension

If the Client/certificate holder fails to maintain compliance with the requirements of management system(s), then:

- The client/certificate holder is formally informed in writing about the failure of compliance to the certification conditions and asked to detail corrective action via any suitable means. The copy of the letter is to be uploaded in the client data base.
- If the client refuses to respond to correct the failure of non-compliance to the conditions then MR informs the client by the letter that the certificate may be suspended (Letter of suspension FMP09/04) initially for 6 months and after 6 months the client is informed that the certificate is cancelled (Letter of cancellation FMP09/05) and would the client return the certificates and cease to use and distribute any literature, stationary, etc., referencing the certificate of Certification Body mark/symbol. The copies of the letters are to be uploaded to client data base.

Under suspension, the client's management system certification is temporarily invalid.

DAS restore the suspended certification if the issue that has resulted in the suspension has been resolved. Failure to resolve the issues that have resulted in the suspension in a time established by DAS shall result in withdrawal or reduction of the scope of certification.

DAS shall reduce the scope of certification to exclude the parts not meeting the requirements, when the certified client has persistently or seriously failed to meet the certification requirements for those parts of the scope of certification. Any such reduction shall be in line with the requirements of the standard used for certification.

11. Non Accredited Certificates:

DAS Pakistan shall not issue any non-accredited certificates in the scopes for which they hold accreditation. Where accreditation only covers part of an EA scope (i.e. limited scope) then DAS Pakistan can issue non-accredited certificates for activities falling outside of the limitation. Non-accredited certificates can be issued for new scope areas where DAS Pakistan is working towards accreditation. However, once the accreditation is granted, DAS Pakistan is required to take appropriate action to transfer the previously issued non-accredited certificates to accredited ones within 30 days.

Certificates issued for non-accredited audits shall not carry the logo of accredited body. The client shall be told that it is a non-accredited audit.

When a client does not want to continue their certification with DAS Pakistan (due to client's cancellation or transfer) the termination clause in the contract is followed. Where possible the

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reason for non-continuation is requested from the client. Cancellation letter and reason are updated in client data base.

12. Records:

| Record Number | Record Title: | Retention Time |
|---------------|--|----------------|
| FMP09/01 | Certification Decision Form | 05 years |
| FMP09/02 | Certificate Register | Life of System |
| FMP09/03 | Conditions for use of Certification Mark | 03 years |
| FMP09/04 | Letter of suspension | 03 years |
| FMP09/05 | Letter of cancellation | 03 years |
| FMP09/06 | Approved Certification Decision Committee List | 03 Years |

13. Revision History:

| Issue # | Rev # | Date of Issue | Brief Description of change |
|---------|-------|----------------------------|---|
| 01 | 00 | 10 th Oct, 2016 | New Document |
| 02 | 01 | 6 th Dec, 2017 | Procedure for certification review/ approval is amended. |
| 03 | 02 | 20 th May, 2020 | QMR replaced by MR Clause 7, 8 , 9 reviewed as bold italic/underline Form FMP09/02 & FMP09/06 reviewed |