

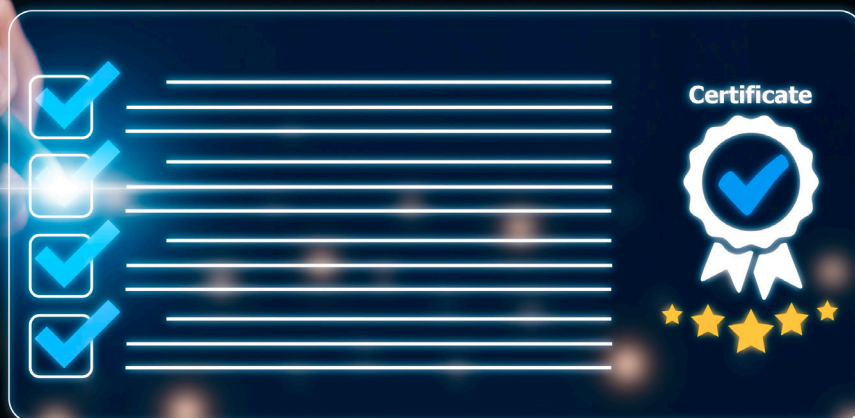
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# CODE OF PRACTICE MANAGEMENT SYSTEM CERTIFICATION



### ISSUANCE OF CERTIFICATE

When the CBQA Global is satisfied that the Client meets all the certification requirements, it will inform the Client and issue a Certificate. The Certificate shall remain the property of the Certification Body and may only be copied or reproduced for the benefit of a third party if the word “copy” is marked thereon. The Certificate will remain valid, until its expiry, unless surveillance reveals that the management system and/or products of the Client no longer meet the standards, norms or regulations.

### REFUSING

In the event that clients is unable to comply with the requirements of the relevant standard, CBQA Global may refuse to grant certification. The decision to refuse certification, and the grounds for that decision, will be communicated to your organization in writing.

### SURVEILLANCE

CBQA Global required to conduct periodic surveillances audit, at minimum on a yearly basis. Surveillance audit shall cover aspects of the management system, documentation, distributing processes and products, depending on the type of certification services provided, at the discretion of the nominated auditor. The Client shall give access to all sites or products for surveillance purposes whenever deemed necessary and CBQA Global shall reserve the right to make unannounced visits as required . For the last surveillance prior to recertification audit the auditor shall review the performance of the management system over the certification cycle by performing a review of all reports issued during the certification cycle as well as any other available information, such as complaints, in order to identify repetitive failures or improvement/degradation of the management system.

The Client shall be informed of the results of each surveillance visit

## RE-CERTIFICATION

The re-certification audit cycle for Management System programs is three (3) yearly. Your re-certification audit must be conducted within three (3) years of the initial certification or last re-certification. If not completed and processed within the required time frame, your certification is no longer valid.

RE-Certification audit shall include:

- the evaluation of the continued fulfillment of all of the requirements of the relevant audit criteria. The purpose is to confirm the continued conformity and effectiveness of the management system as a whole, and its relevance and applicability for the scope of certification
- A demonstrated commitment to maintain the effectiveness and improvement of the management system in order to enhance overall performance
- The effectiveness of the management system with regard to achieving the certified client's objectives and the intended results of the respective management system (s).
- The assessment of all processes identified in FAPP-02 Three-Year Audit Program



## NON-CONFORMITY

All non-conformance must be closed prior to the awarding of certification to the organization. Specific audit findings are categorized as follows and are applicable during the certification and verification audit activities:

**Major non conformity:** A non-fulfillment requirement that affects the capability of the management system to achieve the intended results.

Characteristics of a Major nonconformity:

1. An extensive breakdown or the absence of evidence of effective implementation of a process and/or documented procedure required by the applicable audit criteria and expected outcome.
2. If there is a significant doubt that effective process control is in place, or that products or services will meet specified requirements;
3. A number of minor nonconformity associated with the same requirement/ or issue could demonstrate a systematic failure thus constitute a major nonconformity.
4. A situation that is a significant real or imminent threat to the environment and/or human health and safety
5. situation that could lead to a major compliance issue (compliance processes compromised, resulting in fines and/or sanctions from regulatory agencies)

All major non conformity shall closed on site unless justified by auditor.

**Minor non conformity:** Non fulfillment requirement that does not affect the capability of the management system to achieve the intended results.

### **Characteristics of a minor nonconformity:**

A failure to fully satisfy a requirement of the audit criteria with a documented procedure, when required.

- a situation that could lead to a minor compliance issue (minor issues not compromising overall compliance processes and resulting in no significant fines and/or sanctions from regulatory agencies)
- A breakdown in the effective implementation of a documented procedure in isolated area



## SUSPENDING & RESTORING

A Certificate may be suspended by CBQA Global for a limited period in cases such as the following:

- if a Corrective Action Request has not been satisfactorily complied with within the designated time limit; or
- if there has been any contravention of the Proposal, Application for Registration, General Conditions for System, Product and Service Certification, these Codes of Practice or the Regulations governing the use of the certification mark; or
- if audits are not carried out within the prescribed time-frame. The Client shall not identify itself as certified and shall not use any certification mark on any products that have been offered under a suspended Certificate.

CBQA Global will confirm in writing to the Client the suspension of a Certificate. At the same time, the Certification Body shall indicate under which conditions the suspension will be removed.

At the end of the suspension period, an investigation will be carried out to determine whether the indicated conditions for restoring the Certificate have been fulfilled. On fulfilment of these conditions the suspension shall be lifted and the Client notified of the Certificate reinstatement. If the conditions are not fulfilled the Certificate shall be withdrawn.

During the period of suspension the Client shall continue to pay all fees to CBQA Global

## WITHDRAWING

A Certificate may be withdrawn if

- the Client takes inadequate measures in case of suspension;
- in the case of product certification, the products do not conform to the standards, norms or regulations or are no longer offered; or
- the client fails to meet CBQA Global Terms of Service to the Certification Agreement (e.g, Failure to resolve major nonconformity, not accepting on-going assessment visits, etc). In any of these cases, the Certification Body has the right to withdraw the Certificate by informing the Client in writing.

In cases of withdrawal, no reimbursement of assessment fees shall be given and withdrawal of the Certificate shall be published by the CBQA Global and notified to the appropriate accreditation body, if any.

The Client may give notice of appeal.

## EXTENSION OR REDUCE SCOPE

When an organization's scope of certification is extend or reduced, CBQA Global shall issue revised certificates and scopes of certification as appropriate and the certified organization shall:

- Complete a new customer information data (CID)
- Return all superseded certificates
- Ensure that use of the certification mark is adjusted to reflect the extend or reduced scope of certification
- Pay any fees that are applicable for the facilitation of extend or reduced scope of certification






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