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Post certification Procedures (COC Issuance, Surveillance & Recertification) – Other Scopes

Add value.
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Revision History

SL #	Rev.	Date	Change Made by	Reason for change	Content of Change
1	0	15-08-2017	Dept	Introduction	NIL
2	1	03-10-2018	Dept	Audit Findings	Throughout the document
3	2	01-08-2024	Dept	Change to new control format	Throughout the document
4	3	03-04-2026	Dept	Audit Findings	Throughout the document

1. Purpose & Scope:

This procedure aims to describe the steps adopted by TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING for Post Certification Procedures (COC issuance, Surveillance and recertification, ***termination, reduction, suspension and withdrawal***) for All scopes.

2. Responsibilities:

It is the responsibility of the Regional Manager, PS Manager, and PS Manager (CM) to ensure the appropriate implementation of this procedure. All departmental managers also have immediate responsibility for the management of records relating to their activities.

3. Definitions:

QM- Quality Manager
QP - Quality Procedures
QM - Quality Manual
QMS - Quality Management System
SOP - Standard Operating Procedure
QML - Quality Master List
QF - Quality Form

4. Procedures:

4.1. Certification Review:

- Certification is different types of decisions taken by TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING when the assigned Audit team members are satisfied that the Company's Quality System documentation and implementation meets the requirements of the appropriate schemes, standards and related ISO Standards
- Once all corrective actions are fulfilled, the Lead auditor will complete evaluation report summary in evaluation report (TUVSUD-PS-GEN-REC-014), and shall raise the final evaluation report with his recommendation to the PS Manager, PS Manager assigns one of TÜV SÜD qualified technical team members (Evaluator or Auditor) by referring Competency Matrix- TUVSUD-PS-GEN-REC-068 for review of certification

4.2. Certification decision

4.2.1. Granting Certificate: <u>In Case of ALL Scopes</u> ,

- If all documents provided are complete and are satisfactory the reviewer or assigned team will take the decisions as follows:

- Either Certification will be granted, certificate will be issued on TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING 's website, list of its certified clients (TUVSUD-ME-GEN-REC-003) will be updated with the Company's name and Scope of Certification details.
  Certificate will be granted either by:
  - Granting TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING Certificates as final product
    Or
  - Giving MOIAT Certificate of Conformity and Emirates Quality Mark, considering TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING Notified body for **Ministry of Industry and Advanced Technology (MOIAT)**
    Or
  - Giving SASO Certificate of Conformity Quality Mark Certificate considering TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING is authorized Certification Body (3rd Party CAB) authorized by Saudi Standards, Metrology & Quality Organization (SASO)

- Or, application will be declined- rejected and TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING will inform client by submitting Audit Final Status by e-mail or any other means stating the clear reasons of rejection.

- Regional Manager or his delegate are authorized to sign the certificate or the final status letter

4.2.2. Maintaining, Extending, Reviewing and Reducing Certificate:

- Certification validity is as following: All Other Scopes -one year for product; three years for Full Quality Assurance
- Surveillance: Certificates issuance sustaining are subject to ongoing Surveillance Audits, which usually occur at twelve-month intervals (for Full Quality Assurance). (Please refer to 4.4 Surveillance).
- A Re- Certification Audit of the Company's Quality System will be undertaken prior to the expiration of Certification. A successful Re- Certification Audit will result in renewal of the Company's Certificate of Conformity- Compliance for a further certification cycle period. However, where the Re- Certification Audit cannot be conducted prior to expiration of Company's Certificate, TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING will grant a reasonable extension until the Re- Certification Audit can be scheduled and new certificates issued.
- The certified Client has the right to reduce or expand at any time. In case of certificate of conformity is still valid; requests to do so must be made in writing to TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING along with the supportive documents to justify this request, based on which TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING will evaluate the step that should be taken, either:
  - Requesting for additional documents to decide of expansion or reduction of scope of certification
  - Client to file an application for expanding of scope, then the same procedure adopted for certification process is being followed (TUVSUD-PS-GEN-SOP-015)
  - Rejection of scope expansion request with clarifying the reasons in writing (Illegibility of client due to lack of compliance, lack of capabilities by TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING , other reasons, etc.…)

4.3. Certification Documentation

- Certificates of conformity issued by TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING contain the following:
  - Details of TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING (Name, Address, Accredited by)
  - Details of Applicant (Name, Address, Accredited by)
  - Certification, Scope, Criteria
  - Expiry & Validity
  - Other relevant information that may be important or required.

4.4. Directory of Certified Products

Please refer to **TUVSUD-ME-GEN-REC-003** Certified Products-Clients Registry.

4.5. Usage Policy of EQM and ECAS marks and Licenses.

Refer: Usage Policy of ECAS **TUVSUD-ME-MOIAT-SOP-004**
Usage Policy of EQM **TUVSUD-ME-MOIAT-SOP-005**

4.6. Surveillance

- A Surveillance Audit: will be after one year starting from the date of finishing stage 2 audits. A surveillance audit is an on-site mini audit that reviews a portion of the standard to determine if client's company has maintained its implementation of the standard. In addition, surveillance audits will review client's use of TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING 's and the accreditation body's certification mark, status and closure of audit nonconformities and your client's complaints. For minor nonconformities, a response must be submitted. If nonconformities are found which cannot be corrected electronically, an onsite corrective action audit might need to be scheduled to verify the implementation of the action(s) to resolve the nonconformity. The scope of the audit is limited to the clause or sub clause where major nonconformities were found. Nonconformance will need to be resolved in a timely fashion as per TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING 's Certification Regulations. The client will need to provide the Administrative Assistant with any changes that may have occurred at his facility (standard or standards selected for certification, locations, number of personnel, number of shifts, and management representatives, etc.), for TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING to act accordingly.
- Each Surveillance Audit shall cover the following issues that are always considered:
  - Samples of the activities and Processes carried out by the Company, which are within the scope of certification Scheme.
  - A review of Procedures connected with any Area of Concern or Non-Conformance noted in the previous audit.
  - Any changes made to the Company's Processes and Procedures since the last audit.
  - Variations-Changes to products certified if any.
  - Any additional requirements that now need to be met based on revisions to the standard.
  - Non-conformities reports raised during the first certification audits (Pre-Audit and Actual Audit): during surveillance TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING shall make sure whether these non-conformities are effectively closed.
  - Organizational, document and process-plant changes compared with the previous audit.
  - Appeals and complaints against applicant.

- Use of a certification mark authorized for placement on the certified product shall be monitored by TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING by checking the implementation according to CAB-SOP-01 (TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING to control the use of its license, certificate and Mark of Conformity) to ensure the ongoing validity of the demonstration of fulfillment of product requirements.
- Non-conformities reports raised during the first certification audits (Pre-Audit and Actual Audit): during surveillance TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING shall make sure whether these non-conformities are effectively closed.
- Organizational, document and process-plant changes compared with the previous audit;
- Appeals and complaints against clients.

- The same flow of activities is being followed for the surveillance visits (Evaluation, revision, decision), and at the audit completion the same procedure established for the initial audit takes place for the actions to undertake. When Critical Non-Conformities are assessed, TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING establishes for each case a maximum deadline of 45 days to solve such non-conformities and, when this expires without any solution, the certification is sent to the Regional Manager to decide for suspension or annulment. The certification cannot be confirmed until the solutions and the corrective actions due to possible Critical Non-Conformities will be effectively closed.

- Over a period of three years of certificate of conformity validity, the Surveillance Audits (Total of minimum 2 surveillance audits) shall cover all activities and Processes carried out by the Client which is within the scope of ISO/IEC 17065:2012, as well as all locations of the Company.
- Over the course of this three (3) year cycle all the Company's locations (other than the headquarters location) shall be audited at least once during the surveillance visits. The headquarters location shall be part of every audit over the 3-year cycle.

4.6.1. Steps of Surveillance:

- Operations Manager continuously refers to Certified Products-Clients Registry TUVSUDPC-REC-14; Once **11** months passes out of Certificate of conformity validity, operations Manager will contact the client representative by accessible means to inform them that the surveillance visit is due within a time of 30 days (can be extended to maximum another 30 days with convincing reasons) and requesting him to set a primary suitable date for client to conduct the visit.
  Also, Operations Manager informs the client of the aspects that surveillance will cover (above mentioned).
- Once primary date is set by applicant, operations manager will convey the same to TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING PS Manager who will proceed with the same procedure for certification (audit preparation by sending the proposed audit schedule, and audit conducting. An audit report will be prepared following the surveillance, and non-conformities will be raised to client requesting him to rectify and apply the necessary.
- Upon completing of the corrective actions, the same flow of activities is being followed for the surveillance visits (Evaluation, revision, decision), refer to TUVSUD-PS-GEN-SOP-015
- TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING communicates (Operations Manager is responsible to contact client) the decision taken within 10 working days from the date of completing the corrective actions raised during the Surveillance Audit by client.
- If the results of the surveillance do not allow the license to be maintained, TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING shall promptly inform the Customer with reasons and when pending non-Conformities exist, TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD

SAFETY ENGINEERING establishes for each case a maximum deadline of 60 days to solve such non-conformities.

- When this period above expires without any action by client, the same procedure of suspension-withdrawal of certificates is being followed (please refer to TUVSUD-PS-GEN-SOP-015) Certification cannot be confirmed to be valid again until the solutions and the corrective actions due to possible Critical Non-Conformities will be effectively closed.

4.6.2. First Surveillance Audit:

In case of first Surveillance audit, it shall take place within 12 months following the Stage 2 initial Certification Audit (not greater than 13 months after the date of certification). In other words; Surveillance is done at least once a year during the period of certification validity.

4.6.3. Second Surveillance Audit:

This audit shall take place within 12 months following the First Surveillance Audit (not greater than 13 months after the date of certification). Planning for it will begin approximately 1 month in advance.

4.6.4. Surveillance terms and conditions:

TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING conducts post-market surveillance on applicant's compliance with his obligations, by signing the certification agreement document since the beginning, the applicant agrees to have 'production' samples of the certified product available for at least one year after the last production date, which may at any time be requested by the certification body for post-market surveillance testing.
Furthermore, and to preserve the Certification, Applicant accepts that TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING conducts on site surveillance visits (at least once a year during the period of certification validity) in accordance with the type of tests and frequency as specified in the related schemes and applicable standards.
TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING retains the right of establishing where product tests must be performed (Customer's facilities or an external laboratory).
For this purpose, TUVSUD-PS-GEN-REC-044 Suspended Certificates Tracking form should be filled for each case.

For the Surveillance purpose, TUVSUD-PS-GEN-REC-047 Surveillance form should be filled in and kept in client file.

4.6.5. NOTES about surveillance:

During Surveillance:

- Applicant shall Provide TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING with samples of the Product under surveillance audits according to a sampling plan specified in the applicable standard or given by TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING
- Applicant shall send the samples to the external laboratory if needed and to bear the related expenses.
- If the Customer refuses the visit of the Inspectors and-or the tests on samples without convincing reasons, the certification will be suspended.
- The applicant shall keep at disposal of TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING and its inspectors, during their visit, and to reveal all requested documents including records of complaints from any source and the responses given as

well as the possible corrective actions started.

4.6.6. Supplementary- audits:

Supplementary surveillance audits with intervals of less than 12 months can be required by TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING if Critical non-conformities are found. These inspections will be charged to the Customer according to the Price List in force at the inspections' dates.

Furthermore, if TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING should receive notifications regarding complaints, Non-Conformities or doubts regarding the product conformity or the reliability, TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING has the right to conduct an Supplementary inspection to verify the maintenance of compliance with the Normative Documents and applicable standards which were initially assessed.

These notifications may be received also by other Accreditation Bodies and, in this case, auditors from these bodies may accompany the TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING inspectors, and the Customer cannot oppose to this (please refer to certification agreement terms and conditions). The Supplementary visits may be carried on without any notice. If the Customer should refuse that TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING carries on these verifications, the TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING certification will be immediately suspended. The costs of sampling, tests and visits have always to be paid by the Customer.

4.7. Re-Certification Audit:

Recertification audit is then required every three years. The recertification is conducted three years after the Stage 2 audit and at three-year intervals thereafter. This re-audit does not mean that the client will be starting over with TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING processes. Client's company will have all the advantages and benefits that maintaining a long-term partnership with TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING can bring. This includes a familiar, knowledgeable auditor who will continue to work with the client to add value to his company and the value-added services of a system he knows and trust. Scheduling it is important to ensure that the Recertification audit be conducted prior to the expiration of client's certificate.

Recertification schedule for ALL Scopes should be started two months prior to the expiration of client's certificate.

This will allow for the necessary documentation processing and give client's organization time to respond to any Nonconformity Reports that are issued. This helps to ensure that there is no lapse between the expiration of client's old certificate and the issuance of the new certificate. The client will need to provide the Administrative Assistant with any changes that may have occurred at his facility (standard or standards selected for certification, locations, number of personnel, number of shifts, and management representatives, etc.). Client's auditor(s) will conduct the on-site audit in the same manner that client's registration audit was conducted. As before, any nonconformity will be documented on Nonconformity Report forms and copies will be left with the client at the end of the audit. This audit reviews the status of the applicable requirements and is conducted on-site. A documentation review will also be conducted if there have been major changes to the documentation since the previous document review. The Recertification audit must cover the interaction between all elements of the system, the overall effectiveness of the system, and commitment to maintain the effectiveness of the system. In practice, this means that the entire

standard must be reviewed in a single audit at least once every three years, and that this shall be in addition to regularly scheduled surveillance audits. In general, a recertification requires less time than the original Stage 1 and Stage 2 audits. The client will have 30 days to address any Nonconformity Reports produced by his re-audit audit. During this time, the client must determine the root cause of the nonconformity and develop plans to correct the nonconformity and to prevent its recurrence. The cause and the plans must be documented on TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING 's Nonconformity Report. The time allowed for implementation of the plans is determined on a case-by-case basis. This applies to both major and minor nonconformities. If a major nonconformity cannot be downgraded during the audit, then a separate corrective action audit might be scheduled by the TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING office.

Re-Certification Audit shall be carried out and shall cover all activities and Processes carried out by the Client which are within the scope of ISO/IEC 17065:2012, and which affect the quality of the Product or service offered by the company; plus, a review of the findings of all Surveillance Audits carried out since certification.

This audit shall take place 12 months following the Second Surveillance Audit (not greater than 13 months after the date of certification). Planning for it will begin approximately 1 month in advance.

The same procedure of certification is followed through the re-certification (filing in the self-audit checklist, filing an application, etc.….),

When client's certificate expires the client's company certification agreement is on-going and will last if the client wishes to continue his partnership with TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING . Client's company certificate, on the other hand, is generally effective for three years, after which it must be reissued. The three-year certification period begins on the date TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING certifies and approves the audit report, not on the audit date. This reissuance is contingent upon client's completion and closure of a recertification audit. If he wishes to obtain a re-quote at this time, he must contact the Administrative Assistant.

4.8. Changes affecting certification

There are different types of changes affecting certification, it can be coming from certification body itself (TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING), its clients, scheme owner if self and other factors as well, as examples:

a) Changes done by Scheme owner affecting certification:
   - Change in product specific requirements-standard.
   - Changes in scheme rules.
   - changes occurring in TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING policies and procedures.

b) Changes done by Certification Body affecting certification:
   - Change in Key Personnel-management
   - Change in legal ownership status of the organization
   - TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING contact address and site(s)
   - Scope of operations under the certified management system.
   - TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING Accreditation

Status

TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING Shall inform all related parties (accreditation bodies, scheme owner, clients, and other parties if any in case such changes occur.

TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING Shall inform Scheme owners in below cases.

- If the product is no longer available in the market
- Suspension or withdrawal
- Misuse of conformity Marks
- Complaints and Appeals

c) Any changes affecting TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING Certification activities as MOIAT Notified body and as SASO authorized certification body; these changes include but not limited to:

- Points b&d.
- Clients satisfaction (including disputes, complaints and appeals).
- Clients Happiness Indicators.
- Capability to provide services.
- Changes on Promotional Materials.
- Changes in any risk affecting certification and notification system and status.
- Any changes occurring in TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING in terms of policies and procedures, Experts appointment or cancellation, subcontract appointment or cancellation.
- Any other changes that might happen in TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING and affect its role as MOIAT Notified Body.

d) Changes done by client affecting certification:

- On the other hand, in the case changes affecting certification occur from client side, client is obliged to immediately inform certification body on any of the below mentioned changes:
    i. Change or Modification in key personnel appointment or position, such change will affect the product intended for certification due to the interference of those personnel in production or manufacturing of the products.
    ii. Any change concerning specification of the certified product, whether it is a change in the composition (removing or adding new raw materials), modification of production process, changes of manufacturing site, changes in the label (content, color or packaging materials) and any other change that is considered to affect certification.
    iii. In case of positive declaration of previous successful certification by an accredited certification body: TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING will consider this point included in changes affecting certification and record TUVSUD-PS-GEN-REC-031 (Changes affecting Certification Evaluation) , to decide for each step of certification to be conducted (application review, application evaluation(initial audit, surveillance, recertification) , certification review, certification decision) to be conducted on a complete manner or to exclude one step(replacing it by transferring the file of the other certification body) with clear justification based on the certificate already granted to this product by the other accredited certification body. (For Positive declaration of previous rejection of certification by an accredited certification body, please refer to TUVSUD-PS-GEN-SOP-015)
- In all way, it is advisable for the client to inform TÜV SÜD MIDDLE EAST L.L.C/ TÜV

SÜD SAFETY ENGINEERING for any changes to identify whether they affect certification.

- To assure the changes done by client do not affect (modify scope of certification or illegible to maintain certification), TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING Certification Body shall conduct its certification activities in a complete manner covering all steps mentioned in the certification core process (application review, application evaluation, certification review, certification decision, etc.…).
- If any exclusion of any certification steps mentioned above or any other step occurs, a proper justification to the change evaluation shall be recorded and supported with documents.

Following points shall be determined upon identifying any changes affecting certification by clients:

- Change details (description)
- Receiver (AA, OM, etc..)"
- App No "Application (Contract) Review
- Does Change affect certification (Yes-No)→ Decided by Conformity Manager
- "If yes, CM will identify assigned person name (evaluator-auditor-Audit team leader)"
- Assigned personnel will identify
  - Change Type (Minor, Major, moderate) with justification
  - Need Action to maintain certification in terms of each of the following certification steps (Yes-No)

    Application Evaluation→Assigned Personnel by CM

    Certification Review→ CM different than the one doing contract review.

    Certification Decision: Certification Decision taken by Regional Manager to decide on maintaining or altering the certification.

4.9. Termination, reduction, suspension or withdrawal of certification

TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING reserves the right to ***terminate, reduce, suspend, or withdraw of the*** Certificate of Conformity- Compliance at any time. The Certificate may be ***terminated, reduced, suspended, or withdrawn*** should the Company:

- Fail to complete corrective actions within the agreed time;
- Misuse the Certification mark;
- Fail to comply with the financial requirements of the Agreement entered with TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING (Nonpayment of any of certification fees) or Bring TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING into disrepute in any way.
- The client's certified management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the quality management system"
- The certified client does not allow surveillance or re-certification audits to be conducted at the required and agreed surveillance frequencies.
- The certified client has voluntarily requested a suspension.

Any apparent contravention of Certification agreement which might lead to suspicion of certification will be brought to the attention of the Regional Manager who then investigates the report. Should the

result of the investigation reveal non-compliance with Certification agreement, then TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING Operations Manager will issue a letter which will be sent to the client company outlining the non-compliance details and requesting their correction within an agreed and reasonable period of time (Usually TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING gives 90 days to make the correction needed, unless for a critical non-conformity timeline will be minimized), and explaining that their registration may be suspended until the corrective action is completed.

Should the necessary corrective action not be taken within the agreed period, then a further letter will be sent to the client company, informing them that their registration is suspended and another very limited time (30 days) will be given to client as a final chance to restore the certificate suspension by performing the corrective actions needed.

Whenever certification is suspended, TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING Operations Manager will communicate the actions needed to end suspension and restore certification for the client certified product in accordance with the TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING Rules of certification and the scheme of certification, these actions depends on the defect that is committed by client and that lead to the suspension of the certificate.

TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING Operations Manager will make sure client understands the reason of suspension and the actions that need to be done to reverse the suspension decision.

In such cases the client will be asked to stop claiming that their organization is certified by TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING, and withdraw from use any letterheads, business cards, etc. that indicate TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING certification validity.

Once client takes measurements needed for restoring certification, client shall bring to TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING Knowledge by informing TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING Operations Manager with the actions and measurements taken by client (through any accessible means to TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING with providing the corrective actions taken in this regard.

Operations Manager in return will transfer the request with supportive evidences to TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING PS Manager to follow the same certification plan adopted by TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING (evaluation, review, decision) needed to resolve the suspension, Similar to the core certification process, PS Manager will make the final recommendation and transfer the request to the Regional Manager who will take the final decision to restore certification , keep suspension , or withdraw certification.

The conditions for certification reinstatement may include:

- Re-verification of management systems effectiveness through on-site audit.
- Re-testing of the Product
- Discontinuation of misleading stationery and other advertising material.
- Removal of other reasons responsible for suspension of the certificate.

If the client does still not complete the corrective action the further agreed final time, then a further letter will be sent by TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING Operations Manager detailing the fact that their registration with TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING is withdrawn. Such withdrawal of certification will be

published on the web site of TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING to make note of the withdrawal. The status of the client will update on the client file and certified products registry (TUVSUD-ME-GEN-REC-003). A request that the Client to return the certificate and discontinue the use of the Certification mark in any way, as Certificates and marks of compliance remain the Property of TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING .

If certification is reinstated after suspension, TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING shall make all necessary modifications to formal certification documents, public information, authorizations for use of marks, etc., to ensure all appropriate indications, exist that the product continues to be certified.

If a decision to reduce the scope of certification is made as a condition of reinstatement, TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING shall make all necessary modifications to formal certification documents, public information, authorizations for use of marks, etc., to ensure the reduced scope of certification is clearly communicated to the client and clearly specified in certification documentation and public information.

For this purpose, TUVSUD-PS-GEN-REC-044 Suspended Certificates Tracking form should be filled for each case.

5. Notice Period allowed for both Certification Body & applicant

The total processing time for EQM applications will be 7 working days and ECAS will be 2 Working Days

Type	Allowed time taking to perform action By Applicant	Allowed time taking to respond on action By TÜV SÜD	Examples of reason for Notice to Approve-Pause - Decline certification
Prior Certification: Certification Audit	1. Notification of Non-conformities done by TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING towards applicant: Immediate after audit. 2. Timeframe of 90 Days to close Non-conformities agreed on in closing meeting in Certification audit and provide suitable Corrective Actions	As Per TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING KPIs: 1. Response of TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING to Corrective Actions Evaluation by Audit Team Leader: **16 working hours** 2. Submission of Final Evaluation Report by Audit Team leader to Conformity Manager: **8 Working Hours** 3. Final Recommendation by PS Managerto Regional Manager:**8 working Hours** 4. Certification Decision by Certification Committee: **8 Working Hours** 5. Submission of Draft Final Approvals (C.O.C + Agreement +License) to Client for content: **8 working Hours** 6. Approval & Signature(Hours): 8 Hours Issuance of C.O.C: **8 working Hours**	1. Non-Conformities given during the Certification-Surveillance-Recertification audit which are not yet closed at the end of the audit of which corrective actions should be provided within the agreed time 2. Fail to provide corrective actions within the agreed time 3. Fail to comply with the financial requirements of the Agreement entered with TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING (Nonpayment of any of certification fees) or Bring TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING into disrepute in any way. 4. The client's certified management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the quality management system"
Post Certification: Surveillance-Re-Certification audit.	1. Notification of Non-conformities done by TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING towards applicant: Immediate after audit. 2. Time Frame of 120 Days to close Non-conformities agreed on in closing meeting in Surveillance -Re-Certification audit and provide suitable Corrective Actions		

Post Certification: Suspension	1. Notification of Non-conformities done by TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING towards applicant: Immediate after audit. 2. Time Frame of 60 Days to close Non-conformities causing suspension of certificate (with one final extension to 30 days if applicant provides convincing justification for extension)	As per KPIs 1. Same Timeframe for Certification-surveillance-Recertification mentioned above.	The certified client does not allow surveillance or re-certification audits to be conducted at the required and agreed surveillance frequencies. 2. Misuse the Certification mark 3. Violation of an existing standard, for reasons other than safety. 4. Fraud, or any other reason enforcing withdrawal
Post Certification: Withdrawal - Termination	1. Notification of Non-conformities done by TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING towards applicant: Immediate after audit. 2. No Time frame: Immediate after the notice period-timeframe for suspension is over	Immediate after notice period-timeframe for suspension is over Issuance of Final Decision Letter: 24 working days	
Post Certification: Cancellation - reduction	Any time	Immediate after receipt of written request clarifying reason of cancellation Issuance of Final Decision Letter: 8 working days	1. The certified client has voluntarily requested a suspension or withdrawal.
Post Certification: Complaints & Appeals	Complaints-Appeals-Review must be submitted through written texts which can be submitted up to 15 Calendar days after a reason for complaint has arisen, or after receipt of the Certification Decision or Evaluation Decision	As Per TUVSUD-PS-GEN-SOP-007 1. QAM who will conduct an initial evaluation of the request and decide if the submission is accepted or denied within 7 working days, based on whether the request contains a valid reason to file the complaint -appeal -review request. 2. 4.1.3. Investigation and preparation of actions to be taken and response: Not Specific Case by Case. 2. Appeals: Complaints-Appeals-Review Committee will decide within 30 working days after receiving the disagreement of the last decision communicated by TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING QAM to the concerned person	

6. Related Forms:

Evaluation Report	TUVSUD-PS-GEN-REC-014
Schedule of Fees	TUVSUD-PS-GEN-REC-046
Quality Master List	TUVSUD-PS-GEN-REC-001
Directory of certified products	TUVSUD-ME-GEN-REC-003

7. References

- ISO/IEC 17065, Conformity Assessment - Requirements for bodies certifying Products, Processes and services.
- ISO/IEC 17021-1, Conformity Assessment — Requirements for bodies Providing audit and Certification of management systems.
- GAC Document: FAD- 4.0: Supplementary accreditation requirements for Product Certification Bodies.
- IAF Mandatory Document: Determination of Audit Time of Quality and Environmental Management System.
- ISO/IEC 17000, Conformity Assessment — Vocabulary and general principles.
- ISO/IEC 17020, Conformity Assessment— Requirements for the operation of various types of bodies performing inspection.
- ISO/IEC 17025, General requirements for the competence of testing and calibration laboratories.
- ISO17067, in combination with ISO Guide 28 and ISO Guide 53
- ISO/IEC 17030, Conformity Assessment — General requirements for third-party marks of conformity.
- ISO Guide 23:1982 Methods of indicating conformity with Standards for third-Party certification Systems
- ISO Guide 27:1983 Guidelines for corrective action to be taken by a certification body in the event of misuse of its mark of conformity
- General Requirements for Notified Bodies issued by **Ministry of Industry and Advanced Technology (MOIAT).**
- Decree nº 6386 issued by the Trade and Industry Ministry of Saudi Arabia (MOCI), dated the 4th of August 2004
- TÜV SÜD MIDDLE EAST L.L.C/ TÜV SÜD SAFETY ENGINEERING Quality Manual TUVSUD-PS-GEN-QM-001
- All controlled QMS records-Please refer to TUVSUD-PS-GEN-REC-001 -Quality Master List.