

A.1 Certification Modifications

Summary

☰ Inputs

- Supported Certification Decision
- Complete After Audit Documentation

✓ Outputs

- Changed Certification Decision

🔥 Resources

- Computer systems, software trained personnel, training, & work time

Managing Elements

- **Scope**
 - This procedure applies for all employees involved in the certification process of a company.
- **Objective(s)**
 - Ensuring all audits are conducted on time.
 - Ensuring compliance with internal rules.
 - Ensuring compliance with scheme owner, AB and interested parties requirements.
- **Targets**
 - Audits complying with minimum audit time: *100%*
 - Audits supported by a complete audit package: *100%*
 - Audits closed in a timely manner: *100%*
 - Audits supported with completed final documentation: *100%*
 - Audits supported by a certification decision: *100%*
- **Corrective Actions**
 - **Inform** CB in case issues arising during the audit process.
 - If the certification is not favorable to the client, **inform** immediately and **provide** the necessary advice.

Contents

The documents in the system are meant as “voluntary references” unless otherwise required by the regulation, standard or interested party requirement.

Documents are intended to describe information relevant to the management system or processes and could be used as evidence of compliance to be specified requirements.

This *Certification Modifications* SOP (**CP-SOP-011**) defines the conditions under which a certification may be modified.

Certification Decision Modifications

When a nonconformity with certification requirements is identified with objective evidence, either as a result of surveillance or otherwise, bQb-Cert will re-evaluate and decide upon the appropriate SOPs (e.g., evaluation, review or a certification decision).

Retain records (ensure confidentiality) at least for current and previous cycle.

Certification Suspension

🚫 **Conditions for a certificate suspension** >

- The reasons for bQb-Cert to suspend a certificate include, but are not limited to the following:
 - 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 certification is **suspended**:

- **Take** actions specified by the certification scheme.
- **Make** all necessary modifications to formal certification documents, public information, authorizations for use of marks, etc., to ensure it provides no indication that the product continues to be certified.

🕒 **Reinstate a certification after suspension** >

In order to reinstate a certification after its suspension, bQb-Cert must:

- **Ensure** that the action plan from the site is appropriate and sufficient for the correction of the suspension reason.
- **Make** all necessary modifications to formal certification documents, public information, authorizations for use of marks, etc., to ensure it provides indication that the product continues to be certified.

Certification Termination

If certification is **terminated**:

- **Take** actions specified by the certification scheme.
- **Make** all necessary modifications to formal certification documents, public information, authorizations for use of marks, etc., to ensure it provides no indication that the product continues to be certified.

Certification Scope Reduction

⚠ **bQb-Cert will 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.**

If scope of certification is **reduced**:

- **Take** all actions specified by the certification scheme.
- **Make** all necessary modifications to formal certification documents, public information, authorizations for use of marks, etc., in order to ensure the reduced scope of certification is clearly communicated to the client and clearly specified in certification documentation and public information.

Extending the Certification Under Exceptional Situations

Identification of Exceptional Conditions

- **Identify** any situation that is out of its control and would prevent on-site inspections from occurring, as per the certification cycle.

🕒 **What is Considered an Exceptional Situation? >**

Examples of exceptional conditions include, but are not limited to the following:

- Pandemic;
- Natural disaster;
- Supply chain interruption;
- Major Security threats; and
- Other proven crisis negatively impacting the site. Such events must be verified by a recognized entity or internally supported and documented evidence.

Exceptional situations do not cover those events that the client/site has control or can be addressed by blackout dates (holidays, non-production breaks, vacations, seasonal operations).

- **Communicate** such situation to interested parties.

Review of Audit Schedule

- **Coordinate** audit dates with the site and the audit team.

Risk Assessment Performance

- **Conduct** a risk assessment. It must be focused on the potential risk whereby the certificate may become compromised by not conducting the on-site inspection, but not about the exceptional situation itself which is usually responsibility of an external party (e.g., government or interested party).

Review

- **Review** all outputs and assessment result.
- **Conduct** a remote interview with the site top management, management representative, and other key personnel as necessary to confirm information or to ask for additional details (if needed).

Decision

If determined as applicable:

- **Submit** to scheme owner for final approval when required.

✓ If Approved

- **Re-schedule** audit within 6 months in internal system.
- **Inform** the client about risk assessment decision, next follow-up actions, and requirements for communication.
- **Require** immediate confirmation by client as soon as there is the possibility of the resumption of regular on-site auditing.

⚡ If Not Approved

- **Inform** the client about risk assessment decision, and schedule on-site inspection as soon as possible.

Document Control

Date	Version	Reason	Originator
21/04/2023	V01	Document creation and Obsidian migration	Bruno Pineda