

Suspending, Withdrawing or Reducing the Scope of Certification and Re-Instatement of Certification

To ensure compliance to certification requirements and safeguard the integrity of the certification compliance system CertX SA (Pty) Ltd. applies various sanctions to certified organisations who have failed to meet the applicable requirements. These requirements include those specified in any conformity assessment standard, guide, regulation and/or the applicable Act's and any policies, procedures, rules, and requirements of CertX (Pty) Ltd. which applies to an organisation. Sanctions may include suspension of an organisation's certification or part thereof, or where warranted, reduction or withdrawal of an organisation's certification status.

A decision to suspend, reduce and/or withdraw an organisation's certification can have a major impact on its employer, employees, and its clients, and therefore CertX (Pty) Ltd. does not take such decisions lightly. Suspensions, reductions, and withdrawals could either be self-imposing (voluntary) or imposed by CertX (Pty) Ltd., where warranted.

CertX SA (Pty) Ltd. policy for "Handling of Complaints and Appeals" sets out the process that must be followed by an organisation should it wish to appeal against a suspension, reduction, or withdrawal of their certification.

Suspension of Certification

- Suspension of certification means that certification is temporarily made invalid for the full scope of certification, or part thereof. Suspension of an organisation may result from:
 - Voluntary suspension, which is normally requested by an organisation for reasons which includes, but is not limited to:
 1. Loss of all competent staff members;
 2. Relocation of the organisation, part thereof or movement/change of equipment that may have an impact on the products or services produced/provided;
 3. Restructuring or changes that affects the organisation's ability to produce reliable products or provide reliable services;
 4. In the case of an RBI certified organisation, restructuring or changes that affects the organisation's ability to perform reliable assessments, assign appropriate inspection intervals or mitigation techniques;
 5. A breakdown of the organisation's management system;
 6. Any other reason that might compromise the integrity of the products produced or services provided by the organisation or compliance with the certification requirements;
 7. In the case of an RBI certified organisation, any other reason that might compromise the integrity and safety aspects of the pressure equipment used by the organisation or compliance with the regulatory and certification requirements;
 8. Where during an audit / market surveillance or special investigation, CertX SA (Pty) Ltd. finds that the organisation no longer complies with certification requirements; or
 9. Any other circumstances that CertX SA (Pty) Ltd. may deem appropriate warranting the suspension of an organisation.

The organisation must apply to the relevant Certification Manager (CM) in writing.

The application shall be supported with valid reasons and the effective date, to be placed under suspension. Organisation's that are placed in voluntary suspension shall give an undertaking to adequately address the circumstances that caused the request for suspension within three months of the effective date of suspension.

The Certification Manager may approve an organisation's written request, if received prior to the deadline and containing valid reasons, to extend the initial deadline for the clearance of non-conformances.

- Suspension imposed by CertX SA (Pty) Ltd. for the full scope of certification or part thereof:
 1. CertX SA (Pty) Ltd. shall, in its sole and absolute discretion, suspend an organisation's certification or part thereof, by means of written notification, for a breach of conditions as specified in the CertX SA (Pty) Ltd. Certification Contract.
 2. Where an organisation fails to comply with the requirements for transition to a new version of the applicable conformity assessment standard by the end of the transition period, the Certification Manager will initiate suspension of the organisation upon the end of the transition period. The Certification Committee process will not apply in this case where an audit did not take place.

Withdrawal and Reduction of Certification

- Withdrawal of certification means the cancellation of the statement of conformity for the full scope of certification. Reduction of certification means the cancellation of part of the scope of certification.
- Withdrawal or reduction of certification may be either:
 - Voluntary (self-imposed), as requested by an organisation; or
 - Imposed by CertX SA (Pty) Ltd.
- CertX SA (Pty) Ltd. shall, in its sole and absolute discretion, reduce or withdraw an organisation's certification, by means of written notification, for a breach of conditions as specified in the CertX SA (Pty) Ltd. Certification Contract.

Process of Implementing a Suspension or Withdrawal

- Decisions to suspend, reduce or withdraw certification are made by either:
 - The CertX SA (Pty) Ltd. Certification Committee following an audit.
 - The relevant Certification Manager, in the case of voluntary or enforced suspensions for failure to comply with the conditions as stipulated in the CertX SA (Pty) Ltd. Certification Contract and not following the outcome of an audit.
- CertX SA (Pty) Ltd. will notify the organisation in writing of the intent to suspend, reduce or withdraw the certification, as is relevant, detailing amongst others:
 - The date on which the suspension / reduction / withdrawal will become effective;
 - The reasons for suspension / reduction / withdrawal; and
 - The extent of the suspension / reduction / withdrawal;
- CertX SA (Pty) Ltd. will grant the organisation a maximum of 48 hours (excluding non-working days) from the notification of CertX SA (Pty) Ltd. intent to suspend / reduce / withdraw the

organisation's certification, to provide CertX SA (Pty) Ltd. with reasons as to why their certification should not be suspended / reduced or withdrawn, as relevant.

- Based on the consideration of the organisation's response, CertX SA (Pty) Ltd. shall decide within 48 hours (or 2 working days) of receipt of the response, as to whether to proceed with the suspension, reduction, or withdrawal of certification or not.
- Should the decision be not to suspend, reduce or withdraw, the relevant CM in consultation with the Managing Director of CertX SA (Pty) Ltd. shall agree on the way forward.
- Should the decision be to proceed with the suspension, reduction or withdrawal, CertX SA (Pty) Ltd. will issue a letter of suspension, reduction or withdrawal, as is relevant, detailing amongst others:
 - The effective date of the suspension / reduction / withdrawal;
 - The reasons for suspension / reduction / withdrawal;
 - The extent of the suspension / reduction / withdrawal;
 - The implications and conditions during the suspension period / reduction / withdrawal;
 - The conditions for re-instatement in the case of suspensions.
- During the period of suspension the CertX SA (Pty) Ltd. Certification Contract will remain valid subject to the conditions contained in this document.
- A record of the reasons for suspension, reduction or withdrawal, the duration of suspension and a record that all suspension, reduction and withdrawal procedures have been adhered to will be maintained by the relevant Certification Manager.

Conditions of Suspension, Reduction or Withdrawal of Certification

- An organisation shall, upon suspension or withdrawal of CertX SA (Pty) Ltd. certification, immediately cease to issue certificates and any other materials displaying the CertX SA (Pty) Ltd. certification mark or containing references to CertX SA (Pty) Ltd. certification.
- The organisation shall inform their affected clients of the suspension, reduction or withdrawal of its certification and the associated consequences without delay. RBI certified organizations shall inform the regulator of the suspension, reduction or withdrawal of its certification and the associated consequences without delay.
- An organisation is required to immediately return their certificate and schedule of certification to CertX SA (Pty) Ltd. as soon as withdrawal of their certification is effective.
- An organisation may not be under suspension for longer than 3 months without the written authorisation of the CM. It is the organisation's responsibility to apply to the relevant CM, in writing, with valid reasons, and no later than two (2) weeks prior to the expiry of the suspension period, to extend their suspension for each additional one-month period, but for no longer than 3 additional months, after which certification will be withdrawn.
- Where an application for extension of the suspension period has not been received, CertX SA (Pty) Ltd. has the right to elect by means of written notification, to withdraw or reduce the organisation's scope of certification. Withdrawal of certification will result in the organisation having to re-apply for certification as a new applicant with the associated costs and penalties.
- The organisation shall be responsible for all costs associated with a suspension or withdrawal, such as any additional on-site visits or re-instatement visits as required by CertX SA (Pty) Ltd., and

any costs associated the handling of an appeal against such adverse decisions. An organisation shall remain liable for all fees whilst in suspension.

Re-instatement of Certification

- Re-instatement of suspended organisations:
 - An organisation under suspension is required to submit to CertX SA (Pty) Ltd. evidence of appropriate corrective action taken, prior to the end of the suspension period.
 - CertX SA (Pty) Ltd. shall evaluate the corrective actions taken to address the non-conformances/reasons that led to the suspension, during the re-instatement audit and subsequent audits if necessary.
 - Where an organisation has been suspended for non-payment of fees, CertX SA (Pty) Ltd. shall re-instate the certification of an organisation immediately upon receipt of payment made within the suspension period of any outstanding amounts due to CertX SA (Pty) Ltd., subject to their being no other outstanding issues, and the payment was done within the audit cycle.
 - Where an organisation has received CM approval for a suspension period of longer than 3 months, the re-instatement visit will be treated as a full recertification audit.
 - Once an organisation has satisfactorily addressed the issues which resulted in suspension, certification may be re-instated on approval by the relevant CM and, where a re-instatement visit is required, on approval by the Certification Committee.
 - An organisation that is under suspension may be required to undergo an on-site audit, at the discretion of the relevant CM, where the reasons for the suspension indicated that the competency of the organisation or the ability to produce reliable products or provide reliable services was affected. In the case of an RBI certified organisation, where the reasons for the suspension indicated that the competency of the organization, the ability to perform reliable assessments, the ability to assign appropriate inspection intervals or mitigation techniques was affected. A positive recommendation by the audit team and approval by the CM or Certification Committee, as applicable, is required prior to re-instatement of certification. The extent of such an audit will be determined by the relevant CM based on the reasons for suspension, and the associated risk. All costs will be for the account of the organisation.
 - Notification of re-instatement of certification will be sent to the organisation, detailing the scope that the re-instatement applies to.
 - CertX SA (Pty) Ltd. reserves the right not to reinstate certification of an organisation should the organisation be successfully prosecuted in terms of the legislation governing it, or obtain any other judgement and/or order and/or restraint including an interdict against such an organisation that operates, amongst others, in a manner that brings certification or CertX SA (Pty) Ltd. into disrepute.
- Handling of certification that has been withdrawn:
 - An organisation whose certification has been withdrawn, will be required to re-apply for certification as a new applicant, should it wish to obtain certification again. All costs associated with the application shall apply.
 - Where the full scope of certification has been withdrawn, the previous certification number will be made obsolete, and the organisation will be issued a new CertX SA (Pty) Ltd. certificate number once re-certified.

CertX SA (Pty) Ltd.

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Approved by:

Hein Jonck

Managing Director

A handwritten signature in black ink that reads "HONCK." Below the signature, the word "Signature" is printed in a small, black, sans-serif font.

03 May 2022

Date