



KENYA BUREAU OF STANDARDS CERTIFICATION BODY

CER/POL/05:

Policy on Granting, Refusing, Maintaining, Renewing, Suspending, Restoring, Withdrawing, Expanding and Reducing of Scope of Certification

1. Introduction

This policy document describes the process of Granting, Refusing, Maintaining, Renewing, Suspending, Restoring, Withdrawing, Expanding and Reducing of scope of certification.

2. Granting

Certification is granted to organizations or persons that have demonstrated conformity to the criteria for certification. The process of Management system certification is described in CER/GD/04 while that of Personnel certification is described in CER/GD/02. Both documents are publicly available and can be accessed from the KEBS webpage www.kebs.org

3. Refusing

KEBS CB conducts a review of every application received to determine capability to undertake the conformity assessment activity applied for. Where it is determined that the CB does not have either the competence or the resources to undertake the activity, the CB declines and informs the client accordingly.

4. Maintaining

4.1 KEBS CB certification is maintained through surveillance audits, recertification audits and special audits. For personnel certification, maintenance is done through monitoring of competence.

4.2 **Surveillance** audits are carried out at intervals specified in the certification contract. **The 1st surveillance shall be carried out not more than 9 months from the last day of stage 2 audit. The 1st surveillance date shall not be extended by more than three months. Subsequent surveillances shall be done at annually.**

4.3 **Recertification** audits are carried out at least **2 months** before the expiry of the certificate to enable renewal of certification on time.

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



- 4.3.2 If the CB has not completed the recertification audit or is unable to verify the implementation of corrections and corrective actions for any major nonconformity prior to the expiry date of the certification, then recertification shall not be recommended and the validity of the certification shall not be extended. The client shall be informed and the consequences shall be explained.
- 4.3.3 Following expiration of certification, the CB shall restore certification within 6 months provided that the outstanding recertification activities are completed, otherwise a stage 2 audit 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. **In case where a stage 2 is conducted the certification will be treated as a new certification.**
- 4.4 **Special audits** are carried out to respond to changes to the certified system or to investigate complaints against a certified management system. Special audits may also be undertaken in response to an application for modification of scope of a certification already granted (though this may be conducted in conjunction with a planned surveillance audit).

5. Renewing

5.1 Renewing of management system certification, **welder and NDT certification** shall be done upon recertification decision. This is done after the three-year certification contract period.

5.2 Renewing of registration of auditors shall be done upon recertification decision. This is done after the five-year certification contract period

6. Suspending

- 6.1 KEBS CB is entitled to suspend a certificate for a specified period if the client and **certified persons** violates their contractual or financial obligations towards the CB. Conditions that may lead to suspension of this certification include:
- i) The Client's management system's or **certified person's** persistent/serious failure to meet certification requirements, including requirements of the effectiveness of the management system.
 - ii) The client does not submit a corrective action plan within the agreed time period as per the contract.**
 - iii) Corrective actions to the management system not having been carried out or effectively implemented within the agreed time period **as per the contract.**
 - iv) The Client or **certified person** does not allow surveillance or re-certification audits/**evaluation of competence** to be carried out at the required frequencies.
 - v) The client has misused the certificate or the certification logo. Conditions for use of Marks are publicly available in CER/POL/01 and can be accessed on www.kebs.org
 - vi) The Client or **certified persons** requests for suspension.



- 6.2 KEBS CB shall first announce a possible suspension in writing to the client or **person**. If the reasons for suspension are not eliminated within the specified time, KEBS CB shall inform again in writing about the suspension of the certificate, indicating the reasons for the suspension.
- 6.3 The suspension period shall not be more than 6 months.
- 6.4 Failure to resolve the issues that resulted in the suspension in **6 months** shall lead to notice of withdrawal of the certification or reduction in the scope of certification.
- 6.5 Under suspension, the client's management system or **person's** certification is not valid.

7. Restoring

If the required measures for a suspended certification has been implemented and demonstrated effectively within the **6 months**, the CB shall lift the suspension of the certificate in writing and the certification shall be considered restored.

8. Withdrawing

- 8.1 KEBS CB is entitled to terminate or withdraw the certification after giving written notice of intent if:
- i) The suspension period of the certificate has expired and the client or **person** has failed to resolve the issues that resulted in their suspension
 - ii) The continued use of the certificate for promotion following the suspension of the certificate
 - iii) The client or **person** fails to pay agreed fees
 - iv) The client or **person** uses the certification in a such a way as to undermine the reputation of KEBS CB
 - v) The client or **person** terminates the contractual relationship with the KEBS CB
 - vi) any other situation where the integrity of the certificate or audit/**evaluation of competence** process is severely compromised.
- 8.2 If the certification period has ended and the client or **person** has not renewed the certification is automatically terminated

9. Expanding

The CB shall, in response to an application for expanding the scope of a certification already granted, undertake a review of the application and determine any audit activities necessary to decide whether or not the extension may be granted. This may be conducted in conjunction with a surveillance audit or by a special audit.

10. Reducing

- 10.1 KEBS CB shall reduce the Client's scope of certification to exclude the parts not meeting the requirements of certification where the Client persistently or seriously fails to meet the certification requirements for those parts of the scope of certification.



- 10.2 The client may also request for reduction of scope due to changes in the organization
- 10.3 The decision to reduce the scope may be made following a surveillance, recertification or special audit
- 10.4 The decision to reduce the scope shall be communicated in writing
- 10.5 The CB shall withdraw the certification documents for the original certification and issue new documents for the reduced scope