

Certification approach and conditions

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EY CertifyPoint has defined a step-by-step approach toward certification. The certification process includes at least the following:

1. Application for certification

For any new requests or queries for certification assistance, please summarize them in the “Contact us” section of the EY CertifyPoint website (www.ey.com/certifypoint). We will get in touch with you through email after reviewing the request.

2. Application review and acceptance

Once the certification applications are received by the EY CertifyPoint team, we will review the information and reach out to the contact person for further discussions and arrangements.

3. Proposal

The next step is to draft and share the proposal, including relevant details about the scope, approach, fee, and planning. The organization and EY CertifyPoint will also sign a Certification Agreement to agree on the rules and requirements for complying with the certification granted.

4. Execution of the stage 1 audit

This is the first phase of the audit, focused primarily on management system design and readiness for the stage 2 audit.

5. Execution of the stage 2 audit

This is the second phase of the audit, focused primarily on management effectiveness. The results of both stage 1 and stage 2 lead to a certification decision, including whether the organization will be granted certification.

Policy on impartiality

At EY CertifyPoint, we understand that all activities as executed by EY CertifyPoint, as well as the EY organization in general, shall not influence our impartiality in carrying out certification activities in fact and appearance. Thus, to reduce conflicts of interest and dangers of damaging impartiality, objectivity, and to minimize confidentiality risks, a number of internal guarantees have been introduced consisting of measures such as those following, but not limited to:

- ▶ All internal and external employees of EY CertifyPoint are asked to sign a general confidentiality and independence declaration.

6. Review and decision on certification

This phase involves the review of the audit activities by the Lead Auditor and the Director of EY CertifyPoint. The output of this phase results in a certification decision.

7. Delivery of the certificate

Digital copies of the certificate are delivered to the organization upon a positive certification decision.

8. Surveillance audits

Surveillance audits are conducted to make certain that the certified organization is able to maintain its compliance with the relevant standards. Surveillance audits are conducted at least annually in a certification cycle.

9. Recertification

A certificate is typically valid for three years. Before the certificate expires, the arrangements for recertification may be discussed.

- ▶ The decision with respect to certification is made by the independent Director, after consultation with the Lead Auditor, based on the reports of the audit team.
- ▶ EY CertifyPoint does not certify another certification body for its management system certification activities.
- ▶ EY CertifyPoint must adhere to EY's client acceptance procedures that include objectivity, impartiality, and independence risks, amongst others.

The following statement by the Director of EY CertifyPoint is made public to show the importance of impartiality for EY CertifyPoint.

"The management of EY CertifyPoint wants to convey to all relevant parties that it understands the importance of impartiality in carrying out our certification activities with regard to management system certification. EY CertifyPoint has defined and implemented extensive measures to prevent any possible conflict of interest to ensure the objectivity of our certification activities - these are described in our quality manual.

Management of EY CertifyPoint wants to specify that EY CertifyPoint does not provide any advisory services to its certification clients due to restrictions as imposed by its impartiality rules and Independence restrictions."

Processes for granting, refusing, maintaining, renewing, suspending, restoring, or withdrawing certification, or expanding or reducing the scope of certification

EY CertifyPoint is responsible for, and will retain authority for its decisions relating to certification, including the granting, maintaining, renewing, extending, reducing, suspending, or revoking of certification.

Granting and maintaining the certification

After the audit activities are concluded, and there is a positive certification decision by the Director of EY CertifyPoint, the certification will be granted to the client organization. It is the responsibility of the client organization to maintain its compliance and certification toward the relevant standards. EY CertifyPoint will perform periodic checks in terms of surveillance audits to assess the continued compliance. Based upon the results of surveillance audits, EY CertifyPoint holds the right to suspend or withdraw the certification.

Refusing the certification

EY CertifyPoint holds the right to refuse the certification activities if:

- ▶ The client organization does not qualify basis EY CertifyPoint's client acceptance procedures.
- ▶ The client organization does not comply with the terms of agreement of EY CertifyPoint.

Renewing, restoring or reissuing the certification

Toward the end of the three-year certification cycle, the EY CertifyPoint team will discuss the arrangements for recertification with the client. Upon a positive recertification decision, the certification will be renewed. Furthermore, if during the three-year certification cycle there are changes in the scope of the certification, e.g., reduction or expansion, this will be discussed with the EY CertifyPoint team. Based upon the certification requirements and the efforts required, the EY CertifyPoint team will assess the compliance of the new scope (this can be combined with the next planned audit).

Upon a positive certification decision, EY CertifyPoint will reissue the certificate with the updated scope. Following expiration of the certification, EY CertifyPoint may restore certification within six months, provided that the outstanding recertification activities are completed. Otherwise, at least a stage 2 shall be conducted before the certificate is restored.

Suspending or withdrawing or revoking the certification

There are certain scenarios that can lead to suspension or withdrawal of the certificate. Following are the example scenarios in which EY CertifyPoint holds authority to suspend or withdraw or revoke the certificate:

- ▶ The three-year certification cycle expires, and the client organization does not opt for recertification.
- ▶ The three-year certification cycle expires, and the client organization does not facilitate the recertification in time.
- ▶ The client does not facilitate the surveillance audit in time.
- ▶ Major nonconformities are identified during surveillance audits and are not remediated within the allocated time.
- ▶ Legitimate complaints are received against the client's certification.
- ▶ The client misuses the certification marks or logos
- ▶ The client does not comply with EY CertifyPoint terms and conditions.

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