



CMA CERTIFICATION SERVICES (PTY)LTD

MS ANNEXURE 31 – Information on the granting, refusal, maintaining certification, re-issue of certificates, the suspension of certification, termination of the certificate and services.

Process for granting and restoring

The management system certification scheme managed by CMA Certification Services is available to all organizations in the civil engineering industry whose systems comply with the requirements of the relevant management standard. Currently CMA Certification Services offer services in ISO 9001:2015

For the granting of a certificate, CMA Certification Services follows the process that is outlined within the SANS 17021 specification for the accreditation of certification bodies as well as CMA Certification Services own quality management system.

This process comprises of the following basic steps that need to be followed:

- The process will start with the application that is directed at CMA Certification for them to start the process of certification.
- The customer will receive a formal quotation and on the acceptance of the quotation the process will continue whereby the customer will be planned by CMA Certification Services to be audited.
- Once the audit is planned and all the formalities regarding scope is finalized CMA Certification Services will put together a competent audit team.
- CMA Certification Services will then conduct a stage 1 audit. This process is to determine the readiness of the organization for a stage 2 audit
- Once the stage 1 audit is completed formal communication will be made to the company to inform them of their readiness after the stage 1 audit with a recommendation. Please note that no formal report is required in this section
- Once the compliance and the readiness are established at the stage 1 audit CMA Certification Services will then plan the stage 2 audit in the same manner as stage 1 was done. This process is recorded on CMA Certification Services ViaSyst platform. Please note that all communication with regards to any audit or auditing process will be done through this platform.
- Once stage 2 audit is conducted and the customer showed compliance against the relevant specification, a full audit report and supporting evidence will be available on the ViaSyst platform.
- The granting of this certificate will be done on the ViaSyst platform. This process is done by means of validating the audit process from the lead auditor's perspective and then from the reviewer's point of view. When successfully reviewed the customer will receive his certificate on the ViaSyst platform.
- Please note that this process is also applicable to companies outside of the South African borders. CMA Certification Services will ensure that all statutory and regulatory requirements for countries outside of the South African border will be adhered to and incorporated into the planning process.
- Should you be a customer that is already certified by another Certification body, CMA Certification Services will gladly assist you in the process of transferring your certification to CMA Certification. Please remember that the process will be the same as for a new customer, however inputs towards the certification will be done by means of the inputs from your last certification body.

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- CMA certification is required to obtain any documentation and records in order to make a full assessment, full audit plan and to demonstrate compliance.
- Customers opting for this should remember that the organization certificate must be current and valid.

Refusing

CMA Certification Services reserves the right to decline an application for certification if there is any conflict with others, policies, resources, impartiality as well as the requirements from our service level agreement. Customers will be required to sign the CMA Certification service level agreement, and it is the customers' obligation to familiarize them with all the rules and regulations set out by CMA Certification Services.

Maintaining Certification

To maintain certification both CMA Certification Services and the customer need to comply with the rules and regulations set out in the service level agreement.

CMA certification shall perform regular surveillance audits.

Once CMA Certification Services certifies the organization, CMA Certification Services shall during the two years, immediately following the date of certification conduct regular surveillance audits of the certified organization quality management system to verify continued compliance with the requirements of this scheme. It may be necessary to conduct audits at short notice. These may include, but are not limited to the following

- complaint investigations
- changes to the scope of the organization's activities, its management systems or new practices.
- Conducting on site clearance of non-conformances and,
- conducting a recertification audit after suspension

Re-issue of certificates

Please be aware that your CMA Certification Services certificate is valid for a three-year period.

The recertification process is as follows:

- CMA Certification Services shall conduct a recertification audit of the certified organizations management system before the end of each certification cycle.
- The recertification audit shall be a reevaluation of the organization's management system and will take into consideration and review of the previous year's audit results in the certification cycle.
- The approval process will be the same as for stage 1, stage 2, surveillance audits on the ViaSyst platform. The approval will be based on the basis that the organization complied with all the requirements set out by the management system of the organization against the requirements on the specification on which it was certified for.

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- Once all the requirements and the reports demonstrate compliance and are completed and approved by CMA Certification Services it will reissue the certificate for the next certification cycle.
- Every three years the certification cycle as described above shall be repeated. Accordingly, CMA Certification Services shall, following the recertification audit, perform regular surveillance audits in accordance with two years. Following the date of any recertifications and their surveillance shall be followed by a recertification audit in the third year.

The suspension of certification.

Without prejudice it is the right of CMA Certification Services to terminate the agreement and cancel any certification of registration, CMA certification services may, within its discretion and upon written notice suspend the registration of an organization due to non-conformances to the requirements of the relevant certification. The organization may request voluntary suspension of its certification due to the following

- alterations to facilities and / or the production facilities and processes
- moving off premises
- restructuring which may impact on its compliance to the requirements of the certification schemes requirements.

CMA Certification Services should inform the organization in writing of the suspension decision and the conditions set out by CMA Certification Services, the period of suspension and the reasons for suspension. This detail will be made available to the organization on the CMA Certification auditing platform ViaSyst.

Please note that during the period of suspension the organization shall:

- not claim any certification in respect of the relevant certification in any materials whatsoever, including marketing and sales or procurement documents or tenders.
- The organization shall not display the certificate of registration.
- The organization shall adhere to any specific instructions and conditions which CMA Certification Services communicated to them.
- The organization shall not mislead its customers, all consumers, including the public in any way whatsoever regarding its certification status.
- Should the above provisions not be complied with, such actions should be regarded as material breach of the service level agreement that was signed by the organization and CMA Certification Services. CMA Certification Services therefore reserved the right to act in any form as deemed necessary. This may include legal action.
- The organization shall be responsible for continuing to pay CMA Certification Services' certifications fees as set out by the formal quotation, that was accepted by the organization.

CMA Certification Services Shall upon request from any third party correctly state the status of the certification of the organization's quality management system.

If the organization has not corrected the nonconformities by the end of the suspension period, CMA Certification Services may immediately terminate the service level agreement and the certificate thereof.

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If the organization fails to request a reinstatement audit in the given period, and / or is unable to achieve full compliance with the requirements of the relevant certification standard after this suspension period the certification shall be cancelled by CMA certification services and it will be required that the organization remove all CMA Certification Services marks that could be misleading of their certifications status.

CMA Certification Services will also update its website to demonstrate the status of the certification of the organization.

Termination of the certificate and services.

Each party may terminate the service level agreement at any time with a 30-day notice period. In the event of a breach of any of the terms and conditions of the service level agreement by either party, the aggrieved party will notify the other party in breach with written notification on the breach whereby the other party has to rectify and communicate the rectification to the other party within a 30-day period or a negotiated time frame.

With termination of the service level agreement for any reason whatsoever the organization shall:

- immediately cease to use these CMA Certification marks of approval as set out in the service level agreement.
- As soon as reasonably practical, but no later than 30 days after the termination, the organization shall remove all marks and the representations from their establishments that include signs or any display material bearing the marks of CMA Certification Services.
- The organization shall be responsible to CMA Certification Services for any direct damage caused by the unauthorized use of such materials which are not destroyed or altered. This may include financial compensation for the period of unauthorized use of the CMA certification mark.
- The termination of services shall be without any prejudice to the rights of either party.

Cancellation of permits

A Permit Holder may voluntarily give up its registration (in writing), in which case the certificate shall be cancelled. The certification status shall be updated on the directory of certified Permit Holders and remove the link to the permit from the directory. The General Manager shall notify the Permit Holder in writing that the cancellation process has been completed and advise the Permit Holder of the certification agreement's requirements related to the utilization of certification marks, etc.

In the event of a Permit Holder continuing non-compliance after suspension, evidence of such noncompliance shall be submitted to the General Manager who, after reviewing the submission, may order the cancellation of the Permit. The certification status shall be updated on the directory of certified Permit Holders and

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remove the link to the permit from the directory. The General Manager shall notify the Permit Holder in writing that the cancellation process has commenced and after cancellation notify the Permit Holder that the cancellation process has been completed and advise the Permit Holder of the certification agreement's requirements related to the utilization of certification marks, etc.

In case of cancellation no reimbursement of assessment fees shall be given.

Reduction of scope

A Permit Holder may request a reduction of the certification scope in writing (e.g., certain products listed on the permit are no longer manufactured or a reduction of a management scope). The General Manager updates the product list or management scope, included with the relevant permit and directory and re-issue the permit with a reduced product list or management scope. The amendment shall be recorded.

Extensions to scope

If a Permit Holder wishes to extend its scope of certification related to additional SANS Specifications (i.e., different (new) product line or management scope, the Permit Holder shall complete the application form and the full evaluation and review process will be followed to ensure that the Permit Holders management system, manufacturing facilities/equipment, and manufacturing controls for the new product line have been addressed effectively. This may be done through a short notice evaluation. (i.e., the Permit Holder shall be liable for additional fees related to the extension. Following the evaluation, the routine review, certification decision and permit issue processes shall be followed.

Suspension of Permits

A Permit Holder may be suspended from the scheme under one or more of the following circumstances:

- i. The client's certified management system has persistently failed to meet certification requirements.
- ii. The certified client does not allow surveillance or recertification audits.
- iii. Major system noncompliance; and/or
- iv. Noncompliance with the conditions of certification.
- v. Voluntary suspension

If the Permit Holder requests voluntary suspension, the Permit Holder shall inform CMA Certification of the reason for the request, the General Manager shall review the request and may declare the reason/s indicated by the Permit Holder as invalid (e.g., QA Manager is on leave). If the reasons for suspension are valid, the General Manager will approve the suspension and carry out the necessary amendments to the directory of certification Permit Holders. The General Manager will notify the Permit Holder in writing that the voluntary suspension has been approved and remind the Permit Holder of the conditions for use of certification claims/logos.



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When any nonconformity or other situation that may lead to suspension or withdrawal of certification is identified, the Auditor shall submit documentation to the General Manager who shall review and approve or reject the request for suspension of the Permit Holder's permit. The General Manager will notify the Permit Holder in writing that a suspension of its permit has been approved and remind the Permit Holder of the conditions for use of certification mark/logos.

CMA Certification shall manage the suspension until a logical conclusion can be reached, e.g.

To conduct a re-evaluation, perform a clearance of findings or initiate the withdrawal / cancellation of the permit. The suspension period shall not exceed 6 months from the date of the last evaluation. With regards to management system certification CMA CS will reduce the scope of certification to exclude the parts not meeting the requirements, or if 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 and CM CS procedures and requirements.

Withdrawal of Permits

CMA Certification shall withdraw permits should the SANS Specification for the specific product or management system be withdrawn by SABS Standards or if CMA Certification can no longer provide the service due to competency or capacity issues. All Permit Holders shall be notified in writing by the General Manager of the intent to withdraw the permits and again once the withdrawal process has been completed. The certification status shall be updated on the directory of certified Permit Holders and remove the link to the permits from the directory and update the scope of certification register accordingly.