

1 PURPOSE AND SCOPE

- 1.1 Sets out processes for extension, reduction, suspension and termination of accreditation.

2 TERMS AND DEFINITIONS

- 2.1 All terms and definitions are provided in the ASI Vocabulary.

3 ASSOCIATED DOCUMENTATION

3.1	Standards and Policies	ISO 17011:2004
3.2	Procedures, Guidelines	ASI-PRO-20-103-Appeals v2.0 ASI-PRO-20-101-Accreditation v2.0 ASI-GUI-20-106-Nonconformities (NCs) v2.0
3.3	Checklists, Templates, etc.	Assessment Schedule and Itinerary

4 PROCEDURE

- 4.1 The procedure for extension, reduction, suspension and termination of accreditation shall follow the processes set out in the procedure below.

5 EXTENSION OF SCOPE

- 5.1 To extend the scope of its accreditation, an accredited CAB shall apply in writing to the assigned APM.
- 5.2 The APM assigned to that CAB shall consider all implications of the requested change in scope, and shall determine the steps of the ASI Accreditation Procedure (Application and submission of documents) that need to be applied by ASI so that sufficient information is evaluated by ASI

assessment team to assess conformity and competence for the new scope applied for.

- 5.3 The assessment team shall follow the steps set out in the ASI Accreditation Procedure.
- 5.4 Assessments to extend the scope of accreditation may be made at the same time as planned surveillance or re-accreditation assessments. In these cases, the Assessment Schedule and Itinerary shall be updated prior to the assessment commencing

6 VOLUNTARY REDUCTION IN SCOPE

- 6.1 In addition to the requirements included in the relevant accreditation agreement, ASI and a CAB may mutually agree in writing at any time to reduce the scope of accreditation.
- 6.2 A CAB may voluntarily reduce its accreditation for all or for parts of its scope of accreditation, three months in advance to the desired effective date of the reduction of scope, to the ASI Director. The process to be followed by ASI is:
 - 6.2.1 The ASI Director shall acknowledge the notification and confirm in writing the effective date, scope of reduction of accreditation and any associated limitation and restriction to be observed by the CAB.
 - 6.2.2 The consequences of a reduction in scope are similar as for a termination (see section 8.4 below) and will be communicated in the ASI confirmation letter sent to the CAB.
- 6.3 CABs that voluntarily reduce or terminate their accreditation may re-apply for accreditation at any time by following the ASI application process.
- 6.4 The ASI Director shall notify the relevant certification scheme of the reduction of scope of accreditation.

7 SUSPENSION

- 7.1 Suspension of accreditation is a significant sanction, and is only to be recommended by ASI when conformity and/or competence of the CAB cannot be guaranteed.
- 7.2 In addition to the requirements included in the relevant accreditation agreement, ASI may suspend a CAB if the CAB has failed to demonstrate competence and/or capacity to deliver appropriate accreditation services and following a suspension recommendation by the ASI Accreditation Committee.
- 7.2 Unless specified by a certification scheme owner, suspension of accreditation may be applied by ASI in the following situations:
 - 7.2.1 A CAB has not corrected a major nonconformity (NC) within the required time frame;

- 7.2.2 A CAB has not complied with reasonable requests from ASI for records, information, reports, or other materials that ASI believes are necessary to determine continued conformity of a CAB with accreditation requirements;
 - 7.2.3 A CAB not meeting financial or contractual requirements;
 - 7.2.4 Refusal by a CAB of a reasonable request to perform an assessment or undergo regular surveillance assessment;
 - 7.2.5 Damaging the integrity of ASI or the certification scheme that the CAB is accredited to.
- 7.3 The following scopes of suspension may be applied:
- 7.3.1 Partial suspension of accreditation for a specific country or region: The CAB is not allowed to sign new certification contracts and to perform initial certification assessments in a specific country or region. The CAB will be allowed to continue to conduct all work connected with existing certified organisations and surveillance assessments in this specific country or region;
 - 7.3.2 ASI may impose a technical limitation on the CAB, preventing certain types of assessment for a defined period or until conformity has been demonstrated.
 - 7.3.3 Total suspension of accreditation; The CAB is not allowed to sign any new certification contracts and to perform any initial certification assessments. The CAB will be allowed to continue to conduct all work connected with existing certified organisations and surveillance assessments.
- 7.4 A suspended CAB shall remain liable for all legal, financial, direct and contingent obligations.
- 7.5 Under partial suspension, all certificates issued by the CAB at the time of the suspension decision shall be submitted to the regular surveillance schedule and remain valid until they expire or are terminated, or until accreditation of the CAB is terminated.
- 7.6 Unless specified by a certification scheme owner, the processes for suspending accreditation are set out below:
- 7.6.1 When an ASI lead assessor, an APM or the ASI Director becomes aware of any circumstance specified in 7.2, which may lead to a recommendation for suspension of accreditation, the following steps shall be implemented:
 - a) Evaluate conformity with the accreditation requirements and confirm whether suspension should be recommended;
 - b) Confirm with the CAB's that the ASI findings are correct. Non response to a written request to provide information within ten days shall be interpreted as acceptance of the nonconformity;
 - c) Consider the CAB's response, and evaluate whether the CAB addressed the nonconformity identified. Based on the CAB

- response and any new documented objective evidence provided, the suspension process may be reconsidered at this point;
- d) Prepare a suspension report which shall justify and make a clear suspension recommendation, provide evidence of the objective evidence gathered and specify the scope of suspension.
- 7.6.2 The ASI Director shall inform the relevant certification scheme owner of the recommendation for suspension, and the proposed scope of suspension.
- 7.6.3 The ASI Director (or delegated APM) shall forward the recommendation for suspension to the ASI Accreditation Committee. The Accreditation Committee shall provide its recommendation in compliance with ASI Accreditation Committee ToRs.
- 7.6.4 If the recommendation is to suspend, the CAB will be notified of the suspension by the ASI Director within seven days of the Accreditation Committee's recommendation. The suspension notification shall include:
- a) The grounds for suspension and the scope of suspension;
 - b) The suspension effective date;
 - c) The associated limitations and restrictions to be observed by the CAB;
 - d) The suspension period including the date by which conformity with all ASI major NCs shall be demonstrated or issues leading to the suspension have been addressed by the CAB to the satisfaction of the ASI;
 - e) The measures or corrective actions to be taken if relevant;
 - f) The circumstances under which the suspension may lead to a termination of accreditation;
 - g) The steps that ASI will take to verify compliance with the identified major NCs and to recommend re-instatement of accreditation;
 - h) Notification of the CAB's right to appeal the decision of suspension within 30 days of receiving the notice of suspension and a reference to the ASI Appeals Procedure. (Note: CAB remains suspended during the appeal process).
- 7.6.5 The ASI Director shall inform the relevant certification scheme owner of the suspension decision, and the scope of suspension.
- 7.7 Unless specified otherwise in the ASI suspension notification to the CAB, under suspension a CAB's certified clients are still certified.
- 7.8 Should a suspension not be lifted within a period of 12 months (or other time specified in the suspension decision) from the date of the suspension notification, the accreditation shall be terminated.
- 7.10 Unless specified differently by a certification scheme owner, suspension may be lifted by the ASI Director under the following conditions:

- 7.10.1 ASI has been informed by the CAB that corrective actions have been undertaken and implemented;
 - 7.10.2 ASI may choose to perform a desk, office or site assessment to verify implementation of appropriate corrective action and conformity with the accreditation requirements;
 - 7.10.3 ASI may report to and seek a recommendation from the ASI Accreditation Committee;
 - 7.10.3 All the relevant invoices shall have been paid.
- 7.11 A CAB may voluntarily request suspension for all or for parts of its scope of accreditation when exceptional circumstances temporarily prevent the CAB from complying with accreditation requirements. The period of suspension shall be specified by the ASI, and shall be confirmed by the ASI Director when acknowledging the request for voluntary suspension. The maximum period of voluntary suspension should not exceed twelve months.

8 TERMINATION OF ACCREDITATION

- 8.1 In addition to the requirements included in the relevant accreditation agreement, ASI may terminate the scope of accreditation of the CAB if after a suspension period the CAB has failed to demonstrate competence and/or capacity to deliver appropriate accreditation services and based on a termination recommendation by the ASI Accreditation Committee.
- 8.2 Termination of accreditation should only be considered by ASI following breach of contract or following a suspension period if the CAB has been unsuccessful in addressing all nonconformities or other issues identified by ASI within the suspension timeframe.
- 8.3 Unless specified by a certification scheme owner, reasons for termination may include:
- 8.3.1 Breach of accreditation agreement;
 - 8.3.2 Failure to pay invoices;
 - 8.3.3 Unwillingness or inability of a CAB to correct major nonconformities within the time specified in the suspension notification;
 - 8.3.4 Damaging the ASI or the certification scheme(s) to which the CAB is accredited;
 - 8.3.5 Liquidation, or filing for bankruptcy or other actions leading to winding up of the CAB;
 - 8.3.6 Any other reason specified in the accreditation agreement.

(Note: Both parties have a right to terminate accreditation following the provisions specified in the accreditation agreement)

- 8.4 Unless specified otherwise by a certification scheme owner, the process for termination is as follow:
- 8.4.1 When an ASI lead assessor, an APM or the ASI Director becomes aware of any circumstance specified in 8.1, which may lead to a

recommendation for termination of accreditation, the following steps shall be implemented:

- a) Evaluate conformity with the accreditation requirements and accreditation agreement and confirm whether termination should be recommended;
- b) Confirm with the CAB's that the ASI findings are correct. Non response to a written request to provide information within ten days shall be interpreted as acceptance of the ASI findings;
- c) Consider the CAB's response, and evaluate whether the CAB addressed the nonconformity identified. Based on the CAB response and any new documented objective evidence provided, the termination process may be reconsidered;
- d) Prepare a termination report which shall justify and make a clear termination recommendation, and report on the objective evidence gathered.

8.4.2 The ASI Director shall advise the certification scheme owner of the recommendation for termination of accreditation. Note that the certification scheme owner may make submissions to ASI regarding the proposed termination, but the decision to terminate accreditation or otherwise shall remain with ASI.

8.4.3 The ASI Director shall present the recommendation for termination of accreditation to the ASI Accreditation Committee. The Accreditation Committee shall make a formal recommendation if the committee is in agreement with the recommendation.

8.4.4 The CAB will be notified of the termination of accreditation by the ASI Director within five days of the ASI Accreditation Committee's recommendation.

8.5 The notification of accreditation termination will include:

8.5.1 The grounds for termination;

8.5.2 The effective date of termination;

8.5.3 Any conditions placed on the CAB following termination as well as the fact that if these conditions are not complied with, subsequent legal action may be launched;

8.5.4 A requirement to pay any fees or other outstanding costs;

8.5.5 A reference to the CAB's right to appeal the decision of termination within 30 days of receiving notice of termination and a reference to the ASI Appeals Procedure. It shall be stressed that an appeal received later than 30 days may not be accepted.

8.6 Unless specified otherwise by a certification scheme owner or the accreditation agreement, following termination:

8.6.1 The CAB (including all of its affiliate offices) permanently loses its accreditation. The notification of termination shall specify all relevant details.

- 8.6.2 The CAB's name will be immediately removed from the register of accredited certification bodies on the ASI and certification scheme owner's websites;
 - 8.6.3 The CAB shall immediately cease making reference to its accredited status.
 - 8.6.4 The CAB shall immediately cease to use the ASI accreditation marks in any form.
 - 8.6.5 The CAB shall return the accreditation certificate to ASI.
 - 8.6.6 The CAB shall immediately inform all their affiliates, partners and clients of the termination and the related implications.
 - 8.6.7 Reports, records, files and documents in the possession of ASI which relate to the accredited activities of the CAB and to its certificate holders remain property of ASI.
 - 8.6.8 A notification will be sent to all other accredited CABs and to all the certificate holders who have been certified by the CAB.
 - 8.6.9 The certificates already issued by the CAB in the area of the terminated scope of accreditation may remain valid for another three months following the termination date in order to allow certificate holders to enter into an agreement with another accredited certification body. ASI may choose to extend the transition period. During this transition period, ASI may act as the direct contact point for the certificate holder.
- 8.7 The ASI Director shall inform the relevant certification scheme owner of the termination decision. Any known implications of termination for the certification scheme shall be pointed out.
- 8.8 ASI may choose not to consider and accept re-applications for accreditation in the area of the terminated scope within 24 months of the date of the termination notification.
- 8.9 On re-application, the CAB shall be required to undertake a complete accreditation process.

9 RECORDS

- 9.1. All ASI staff involved in the suspension or termination process shall ensure that:
 - 9.1.1 Written communication to the CAB regarding the suspension or termination process shall be reviewed prior to being sent;
 - 9.1.2 Notes of conversations and phone calls related and relevant to the suspension or termination process are kept;
 - 9.1.3 Minutes of all meetings are maintained;

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