

Policy For Certificate issue, suspension and withdrawal

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1.0 Purpose

To establish a standard procedure for the issuance, suspension, and withdrawal of certificates.

2.0 Scope

This procedure encompasses all activities related to the issuance, suspension, and withdrawal of certificates for Cybersecure Canada certification types offered by Complade.

3.0 Responsibility

3.1 Certification Manager

Responsible for reviewing and approving certificates. Manages certificate issuance and oversees the sending of suspension or withdrawal notifications to clients. Support staff assist with routine activities.

3.2 Managing Director

Approves certificates, signs them, and updates the registrar of firms. In the Managing Director's absence, the Director of Audit can sign the certificate.

4.0 Description of Activity

4.1 Receipt and Review of Audit Report From Lead Auditor

4.1.1 Auditor Responsibility

Auditors submit audit report documents (Stage 1, Stage 2, routine surveillances, follow-up, special audit, recertification etc). These include a client-signed audit report, corrective action plans, and assessor notes. Reports are subject to multiple reviews.

4.1.2 Multi-Steps Audit Review

Step 1: Administrative review by the auditor.

Step 2: Technical review by a qualified auditor not involved in the audit.

Stage 3: Decision-making reviewed by the Certification Manager and taken by Managing Director.

Stage 4: Additional actions by the Certification Manager, including updating the client database and filing reports.

4.2 Certificate Preparation and Issue

4.2.1 Procedure

Certificates are prepared and signed by the Managing Director, or in their absence, by another authorized person. Certificates follow a sequential numbering system.

4.2.2 Certification Manager Tasks

1. Prepares certificates.
2. Sets issue and expiration dates.
3. Reviews client data for accuracy.
4. Submits the final certificate for Managing Director approval.

4.2.3 Managing Director Signature

The Managing Director signs the certificate and has no authority to reject its issuance. In case of absence, this task can be carried out by the Director of Audit.

4.2.4 Certificate Dispatch

The signed certificate is sent to the client or to an alternate address specified by the client. The certificate package includes a cover letter, rules for logo use, an email containing logo soft copies, and a customer survey form.

All corresponding documents are stored either in the client's physical file or digitally on the document server.

4.3 Change in Certificate

4.3.1

A client may request changes in their certificate for various reasons, such as ownership shifts or modifications in the scope of services.

4.3.2

The Certification Manager is responsible for evaluating these change requests. If an audit is not imminent, a special audit may be initiated to assess the requested changes.

4.3.3

Required documentation varies depending on the nature of the change.

4.3.4

A report is generated after any special audit, which is then reviewed following the protocols detailed in sections 4.1 and 4.2. The report can influence whether a new certificate is issued or an existing one is modified.

4.4 Suspension and Withdrawal of Certificates

4.4.1

The Certification Manager reviews grounds for potential suspension or cancellation of a certificate. The client has a 30 business days window to respond to any allegations or issues raised.

4.4.2

Several factors can trigger suspension or cancellation, such as financial delinquency or a failure to maintain quality standards.

4.4.3

Suspension or cancellation can occur if regular audits are not allowed. Special conditions like natural calamities may result in the extension of audit timelines.

4.5 Conditions for Suspension or Cancellation of Client Certification

4.5.1

Client actions or inactions dictate the procedure for suspension or cancellation of certification. Failure to respond within 30 business days to an initial notice results in suspension.

4.5.2

Client responses may put proceedings on hold for clarification.

4.5.3

Mutually agreed corrective actions are reviewed at a set time. Non-compliance leads to suspension.

4.5.4

Serious situations may warrant immediate suspension pending corrective actions.

4.5.5

During suspension, clients must provide bi-weekly updates on corrective actions. Non-compliance leads to cancellation.

4.5.6

Failure to schedule a surveillance audit within 15 months results in cancellation.

4.5.7

Successful corrective action reinstates certification, without altering the original expiration date.

4.5.8

Unresponsiveness or failure to correct issues within 30 business days results in cancellation.

4.5.9

Extreme circumstances may lead to immediate cancellation without initial suspension.

4.5.10

Cancellation mandates the return of all certification materials and may result in legal action for misuse.

4.5.11

Re-approval follows the process for new clients, requiring a full assessment.

4.5.12

De-certification is publicly listed and available on request.

4.5.13

Clients can appeal decisions and access appeal procedures upon request.

4.5.14

Canceled certifications are noted in the register and archived files are destroyed after 3 months.

4.6 Reduction in Scope of Certificates Issued

Certification scope can be reduced if the client consistently fails to meet requirements. The CertificaManager approves such reductions.
