



## Certification approach and conditions

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

### 1. Application for certification

For any new requests with certification assistance, please download the Certification Request Form in the "Contact Us" section of the EY CertifyPoint website ([www.ey.com/certifypoint](http://www.ey.com/certifypoint)). Fill out all applicable fields, and attach the completed form to your request email and send to the email ID's noted in the "Contact Us" Section.

### 2. Application Review & acceptance

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

### 3. Proposal

Next step is to draft and sharing proposal including relevant details on scope, fee and planning.

### 4. Execution of the stage 1 audit

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

### 5. Execution of the stage 2 audit

This is the second phase of the audit, focusing primarily at the effectiveness of the management. The results of both Stage 1 and Stage 2 lead to a certification decision including whether or not the organization will be granted certification.

### 6. Review and decision on certification

This phase involves 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. Signing of the certification agreement

Upon positive certification decision, the organization and EY CertifyPoint will sign an agreement to agree on rules and requirements for complying with the certification granted. This can also be done at earlier stages.

### 8. Delivery of the certificate

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

### 9. Surveillance audits

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

### 10. Recertification

A certificate is typically valid for 3 years. Before the certificate expires, the arrangements for recertification may be discussed.



## **Policy on impartiality(f)**

At EY CertifyPoint, we understand that all activities as executed by EY CertifyPoint as well as EY 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, a number of internal guarantees have been introduced consisting of the measures such as following, but not limited to:

- EY CertifyPoint has set up a committee to safeguard the independence and impartiality of EY CertifyPoint. This committee helps in developing policies, advise on matters affecting confidence in certification, conduct annual reviews of our audit processes et cetera.
- All internal and external employees of EY CertifyPoint are asked to sign a general confidentiality and independence declaration.
- The decision with respect to certification is taken by the 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.

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

“The management of 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 (like ISO/IEC27001 certification). CertifyPoint has defined and implemented extensive measures to prevent any possible conflict of interest to ensure the objectivity of our certification activities which are described in our quality manual”.

“Management of CertifyPoint wants to specify that 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(b)**

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 all 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 towards the relevant standards. EY CertifyPoint will perform periodic checks in terms surveillance audits to assess the continued compliance. Based upon the results of surveillance audits, EY CertifyPoint holds right to suspend or withdraw the certification.



### **Refusing the certification**

EY CertifyPoint holds right to refuse the certification activities if:

- the client organization does not qualify with EY CertifyPoint' s client acceptance procedures
- the client organization does not comply with the terms and agreements of EY CertifyPoint

### **Renewing, Restoring or Re-issuing the certification**

Towards the end of the 3-year certification cycle, EY CertifyPoint will discuss the arrangements of re-certification with the client. Upon positive re-certification decision, the certification shall be renewed. Furthermore, if during the 3-year certification cycle there are changes in scope of the certification i.e. reduction or expansion, this will be discussed with EY CertifyPoint team. Based upon certification requirements and the efforts required, EY CertifyPoint will assess the compliance of new scope (can be combined with next planned audit). On positive certification decision, EY CertifyPoint will re-issue the certificate with the updated scope. Following expiration of certification, EY CertifyPoint may restore certification within 6 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 which can lead to suspension or withdrawal of the certificate. Following are the example scenarios where EY CertifyPoint holds authority to suspend or withdraw or revoke the certificate:

- the 3-year certification cycle expires and the client organization does not opt for recertification
- the 3-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 non conformities are identified during surveillance audits and are not remediated within the allocated time
- legitimate complaints are received against the client's certification
- client misuses the certification mark(s) or logo(s)
- client does not comply with EY CertifyPoint terms and conditions