ASSURION SERVICES LLC

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ASSURION PROCEDURE

P-01: PROCEDURE FOR ISSUE, SUSPENSION, WITHDRAWAL OR REDUCTION OF THE SCOPE OF CERTIFICATION

ISSUE NO: 1

DATE OF ISSUE: 15/03/2026

Assurion	ASSURION SERVICES LLC		
	Procedure for Issue, Suspension, Withdrawal or Reduction of the Scope of Certification		
	PROCEDURE: P-01	Issue No.: 01	Date: **15/03/2026**

REVISION HISTORY

Revision Date	Description	Clause Affected	Revised By	Approved By

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	Procedure for Issue, Suspension, Withdrawal or Reduction of the Scope of Certification		
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1. PURPOSE

This procedure is applicable to decisions relating to certification, including the granting, refusing, maintaining of certification, expanding or reducing the scope of certification, renewing, suspending or restoring following suspension, or withdrawing of certification.

2. SCOPE

Certificates issued by Assurion for different schemes to its clients.

3. RESPONSIBILITY

Assurion is responsible for, and shall retain authority for, its decisions relating to certification, including the granting, refusing, maintaining of certification, expanding or reducing the scope of certification, renewing, suspending or restoring following suspension, or withdrawing of certification.

4. PROCEDURE

4.1. The responsibility and authority for decisions for granting, refusing, maintaining of certification, expanding or reducing the scope of certification, renewing, suspending or restoring, or withdrawing of certification will never be outsourced to any other body.

4.2. QM/GM ensures that the persons or committees that make the decisions for granting or refusing certification, expanding or reducing the scope of certification, suspending or restoring certification, withdrawing certification or renewing certification are different from those who carried out the audits. He also ensures that the individual(s) who are appointed to conduct the certification decision have appropriate competence.

4.3. Following the conduct of the assessments, the process of certification would include the following steps:

4.4. After verification of the reports of assessment, Corrective Action Plan and the relevant objective evidence, TM confirms the accuracy of documents and forwards the same for review to a competent audit report reviewer and decision maker who is normally different from those who carried out the audits.

4.5. The QM/GM will ensure that these individuals or a group who takes the decision on granting, refusing, maintaining, renewing, suspending, restoring, or withdrawing certification, or on expanding or reducing the scope of certification, has enough competence to evaluate the outcomes of the audit processes including related recommendations of the audit team and understand the applicable standard as well as certification requirements,

4.6. The audit report reviewer & decision maker conducts an independent review of the audit report and other related documents and checks compliance with the procedural requirements for the grant of certification. The review prior to making a decision for granting certification, expanding or reducing the scope of certification, renewing, suspending or restoring or withdrawing of certification is normally based on:

a) The information provided by the audit team in the audit report is sufficient with respect to the certification requirements and the scope for certification;
b) Any major nonconformities, it has reviewed, accepted and verified the correction and corrective actions;
c) Any minor nonconformities, it has reviewed and accepted the client's plan for correction and corrective action;
d) Comments on the nonconformities and where applicable, the correction and corrective actions taken by the client;
e) Confirmation of the information provided by the client to Assurion in the application for certification that were used in the application review;
f) Confirmation that the audit objectives have been achieved;
g) A recommendation whether or not to grant certification, together with any conditions or observations.

4.7. The audit report review is than submitted in the relevant "Initial Audit Report Review & Certification Decision" format of the certification schemes by the audit report reviewer and decision maker to the GM for his final decision on the grant of certification or otherwise.

4.8. The GM reviews the above report and also the Certification Issue Checklist and based upon a positive review; the GM approves the grant of certification, issuing instructions for the issue of a Certificate of Registration, as appropriate. The client's file is returned to QM to arrange for the Certificate of Registration to be prepared and signed by the GM for issue to the Client, based upon the following documentation details:

a) Name and address of company (locations audited);
b) Applicable Standards of ISO/IEC 27001:2022, ISO/IEC 42001:2023
c) The scope of certification with respect to the type of activities, products and services as applicable at each site without being misleading or ambiguous
d) The schedule of the Surveillance visits; and
e) any other relevant information (e.g., public information, comments on the audit report from the client).
f) the effective date of granting, expanding or reducing the scope of certification, or renewing certification which will not be before the date of the relevant certification decision;

NOTE: A separate Certificate is normally issued for each site. Where a company has a number of sites with a similar product range, then a single Certificate may be issued listing the sites covered under the Certification.

GM referred here refers to the **person(s)** assigned for making certification decision.
The person(s) [excluding members of committees (see 6.1.4)] assigned by the certification body to make a certification decision shall be employed by, or shall be under legally enforceable arrangement with either the certification body or an entity under the organizational control of the certification body. A certification body's organizational control shall be one of the following:
a) whole or majority ownership of another entity by the certification body;
b) majority participation by the certification body on the board of directors of another entity;
c) a documented authority by the certification body over another entity in a network of legal entities
(In which the certification body resides), linked by ownership or board of director control.

4.9. The invoicing and payment of the certification will be verified before forwarding the Certificate of Registration to the Client as per the contract.

4.10. RECORDING AND NUMBERING

Each accredited Certificate issued by Assurion is given a Certificate number. For special cases when the certificate issued initially is for one year, a new certificate is issued at the time of surveillance & this change is identified by a numeric sub-number. The numbering starts from **10001** and onward. This number is recorded in the Register of certified companies by the TM. The Certificate is checked by the TM after printing and signed by the GM for forwarding to the certified client.

Few Details on certificate like SOA mention on certificate, if any changes in SoA, client shall inform to client, In PIMS certificate, its mention about the PII Status, normative references, Method of allocating certificate number, Certificate shall be updated on IAFcertserach.org in one working days).

5. ACTION WHEN CERTIFICATE IS SIGNED

5.1. When the Certificate is signed, the QM records the details on the Client file progress form. When this activity is completed, the TM shall transfer the following reports and documents from the under-process file to the certified client file along with the progress form:

a) A Copy of the Certificate.
b) The Stage-1 report together with CAP
c) The stage 2 reports together with CAP's
d) Correspondence
e) Invoices

5.2. The Certificate of Registration is forwarded to the client with a covering letter that normally includes the following:

a) A Surveillance Programme indicating the dates/locations for surveillance visits for the next year.
b) Reference to the invoice to be raised for surveillance fees.
c) Logo: bromides and certification number.
d) Details on use of logo.

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6. PROCEDURES SUBSEQUENT TO INITIAL ISSUE OF CERTIFICATE

6.1. Changes to Certificate Proposed by Certified Company:

6.1.1. A Certified Company may request changes to their certificate(s) for a number of reasons such as new premises, change of address, and change of company name. These changes may be advised to Assurion by letter or telephone in the change of company details form.

6.1.2. If the change required is adequately described in writing by the company, then the processing will be started by the TM. However, if sufficient information is not available, the TM then writes to the company and requests for sufficient information to enable the form to be completed and forwarded to QM The procedure for changes to and the cancellation of certificate are detailed as follows:

6.1.3. Notifications of changes or cancellations to certificates are conveyed to those concerned, by the Quality Manager, by use of the Notification of change of details.

6.1.4. The Quality Manager in conjunction with the GM is responsible for drafting the notification deciding upon the documents to be attached together with any distribution instruction.

6.1.5. The GM issues a new/revised certificate (which shall indicate the date of original issue and latest revision date and a prefix to indicate the revision status). The issue of the certificate is recorded in the Certificate Register.

6.1.6. Where the change is at the request of the company, an administrative fee is payable. The client file with the Change of Company Details Form is passed on to the Accounts Assistant for rendering an invoice. The client file and the invoices are then returned to the Accounts Officer. The invoice raised is sent to the company with a covering letter by the Accounts Officer. The file is then to be kept pending to await payment of the invoice.

6.1.7. The new/revised certificate is referred to the Quality Manager for his updating of the records. Once updated this is to be retained in a folder and filed by TM.

6.1.8. On receipt of notification from the accounts department that the invoice has been paid, the revised/new certificate shall be forwarded to the company under a covering letter and a copy retained in the client file containing the original certificate copy. A copy shall also be placed in the surveillance file. Previous copies of the certificate should be crossed through to show there is an updated version.

6.1.9. The company shall be requested to return the previous issues of their certificate to Assurion When received, this shall be filed in the relevant company file.

6.2. EXTENDING THE SCOPE OF CERTIFICATION

The primary reasons for Assurion wishing to amend these certificates usually relates to the need to give an extension to the registered scope of the company. A change to the registered scope of a company is normally subject to an assessment/surveillance action to confirm acceptability. An amendment to scope is considered at the company's request and then Assurion verifies the compliance with the amended scope along with the Surveillance Audit with additional man-days in case of extension of the registered scope. In case, the extension / curtailment of scope is requested at the opening meeting during stage 1/stage 2 Audit, the Audit team leader will conduct the audit according to the amended scope and refer the matter to Assurion for acceptance.

The process for implementation of these changes would be the same as for a normal assessment or surveillance.

7. SUSPENSION OF CERTIFICATION

7.1. Assurion can suspend certification in the following cases:

a) The clients certified management system has persistently or seriously failed to meet certification requirement including requirement for the effectiveness of the management system;
b) Certified client does not allow surveillance or re-certification audits to be conducted at the required frequencies despite several reminders and follow ups by TM; or
c) The certified client has voluntarily requested a suspension due to financial or other justified reasons.

7.2. The GM shall communicate the exact reason for suspension, the actions to be taken for reinstatement and the time limit within those actions are to be implemented and verified through an audit. The TM shall inform the organization about the Assurion decision by registered letter within one week after the decision. Assurion may inform the Customer's clients/Impartiality committee and any other measures as suggested appropriate by the impartiality committee about the suspension.

7.3. During the period of suspension, the organization shall not promote its certification. This period of invalidity should be normally 3 months and not exceed 6 months. Assurion can reinstate a suspended certificate based on an audit (post-or short notice audit) performed by a Assurion auditor. The auditor shall submit a report providing evidence concerning the requested action and shall by the same submit his recommendation.

7.4. Under suspension, the client's management system certification is temporarily invalid. Assurion has enforceable arrangements with its clients to ensure that in case of suspension the clients refrain from further promotion of its certification. The suspended status of the certification is made publicly accessible and takes any other measures it deems appropriate by way of Assurion website, https://assurionllc.com

8. WITHDRAWAL OR REDUCING THE SCOPE OF CERTIFICATION

8.1. Failure to resolve the issues that have resulted in the suspension in a time established (not exceeding 6 months) by the GM, will result in withdrawal or reduction of the scope of certification as per the recommendation of the QM who refers to the lead auditor who will get in touch with the client's management and get the feedback on the necessary actions as were identified during the audit or as requested by the client or informed by TM.

8.2. In the case of "certification withdrawal", the organization shall not be allowed to make use of the certificate anymore, nor of the certification logo. The TM shall inform the organization about the Assurion decision by registered letter within one week after the decision.

8.3. If a company requests withdrawal of its Certification, the details are recorded on the Change of Company details form by the TM, for authorization by the Quality Manager. The company's certificate must be returned to Assurion before cancellation can be confirmed by the QM. Further, the name of the organizations shall be deleted from the Assurion list of certified companies.

8.4. GM will reduce the client's scope of certification to exclude the parts not meeting the requirements, when the client has persistently or seriously failed to meet the certification requirements for those parts of the scope of certification as reported by Team leader and confirmed by QM. Any such reduction shall be in line with the requirements of the standard used for certification. The TM shall inform the organization about the Assurion decision by registered letter within one week after the decision and a revised certificate will be issued, the register of clients and website will be updated accordingly. Plan of the surveillance will also be amended by TM with respect to the reduction of the audit man days/need of experts as per the situation of the unit/manpower of the client's organization getting affected due to the reduction.

8.5. Assurion has an enforceable arrangement (Annexure 10 Contractual Agreement) with the certified client ensuring upon notice of withdrawal of certification that the client discontinues its use of all advertising matter that contains any reference to a certified status.

9. INFORMATION EXCHANGE BETWEEN Assurion AND ITS CLIENTS

Assurion provides and updates clients on the following:

a) Information on the various certification activities.
b) Notice of changes by Assurion

Assurion has a legally enforceable arrangement (Annex. -10) to ensure that the certified client informs Assurion on matters related to management system certification changes.

10. SURVEILLANCE AUDIT

10.1. The Technical Manager shall prepare and maintain a surveillance audit program at time of issuance of the certificate to the certified client. The program consists of a sequence of surveillance audits required to be performed. There shall be not more than 12 months between two audits, starting from the previous recertification or initial certification audit. Requirements of applicable ISO Standard shall be spread over the program period. The areas covered at previous visits will be taken into consideration when deciding which areas to be under audit.

10.2. During a surveillance audit a number of elements defined at the certification audit shall have to be re-verified. These elements shall be spread over the surveillance audits in such a way that all the relevant items will be covered within the scope of the surveillance program. The surveillance program shall include at least:

- enquiries from the certification body to the certified client on aspects of certification
- review any certified client's statements with respect to its operations (e.g. promotional material, website)
- requests to the certified client to provide documented information (on paper or electronic media)
- other means of monitoring the certified client's performance.
- Internal audits and management review.
- A review of actions taken on nonconformities identified during the previous audit.
- Treatment of complaints.
- Effectiveness of the management system to achieve Organization's objectives.
- Progress of planned activities aimed at continual improvement.
- Continual operational control.
- Review of any changes.
- Use of marks or reference to certification.

10.3. The Technical Manager shall schedule the surveillance audit and select the auditors (LA / Team Leader or Auditor) who qualifies for the required IAF sectors / NACE codes.

10.4. The auditor shall send a detailed Audit plan to the customer organization, 7 days in advance for his comments and for making arrangements for the audit at the scheduled date. The organization may refuse the appointed auditor and request for a substitute in which case a qualified substitute auditor shall be arranged. If the surveillance audit Plan requires a visit to an operational site, this shall be planned by the Team Leader, when arranging the date of the visit with the company.

10.5. Surveillance Audits shall consist of an opening meeting, assessment and closing meeting. It is generally undertaken on a selected sample of the company's activities. Audit shall proceed as per the planned arrangement agreed with the customer organization

10.6. The corrective action against the non-conformities identified during the previous visits shall be verified to ensure that corrective actions have been effectively implemented, as per the agreed corrective action plan and the CAP closed out. At each visit an entry on to the surveillance audit record will be made and clauses needed for next audit verification are indicated.

10.7. During the audit, the auditor shall take care that the relevant elements defined at the certification audit, are covered over the several surveillance audits performed within the scope of the maintenance program. The progress of the re-verified elements shall be indicated as follows in the work matrix of the audit report: "S1"*: re-verified at the first surveillance audit, "S2": re-verified at the second surveillance audit, etc.

10.8. At the end of the audit in the closing meeting the auditor shall formally disclose identified non-conformities during the audit and present these to the organization. The organization shall be invited to define the necessary actions and to provide a suitable answer by filling in these CAR forms within 2 weeks after the audit. Organization shall also be informed about the Procedure "Complaint and Appeals" for lodging complaint/Appeal with the head office in a case they do not concur with the Audit findings or for any other reason.

10.9. The auditor shall complete the audit report (Assurion/F/12) and shall forward these to the QM. The surveillance audit report and the auditor recommendation shall have to be submitted to the GM for review in the following cases:

- Disclosure of major nonconformities or unreasonable accumulation of minor non-conformities;
- Any other reason for suspension of the certificate;
- Request for modification of the current certificate.

The Technical Manager shall communicate the decision and send the surveillance audit report to the organization and shall file the report and any other related document in the concerned "customer file".

10.10. During a surveillance audit (ISMS) a number of elements defined at the certification audit shall have to be re-verified. These elements shall be spread over the surveillance audits in such a way that all the relevant items will be covered within the scope of the surveillance program. The surveillance program shall include at least:

- the effectiveness of the ISMS with regard to achieving the objectives of the client's information security policy.
- the functioning of procedures for the periodic evaluation and review of compliance with relevant information security legislation and regulations.
- information security risk assessment and control maintenance, internal ISMS audit, management review and corrective action.
- Communications from external parties.
- changes to the controls determined, and resulting changes to the SoA.
- implementation and effectiveness of controls according to the audit programme
- records of appeals and complaints
- any nonconformity or failure to meet the requirements of certification-Client's Investigation and procedure for appropriate action

11. RE-CERTIFICATION AUDIT

11.1. Three months before the expiry of the validity of the certification of a management system or before the expiry the certified management system has to be renewed. Accordingly, Assurion proposes the client organization to renew their certification of registration. The following information is normally forwarded to the certified client intimating that Stage 1 audit shall be conducted only in case of:

- Change in the applicable Legislation,
- Any significant change to the management system,
- Any complexity in the activity and in the management system,
- Variations in working practices and activities undertaken.

The recertification activity will include the review of previous surveillance audit reports and the performance of the management system over the most recent certification cycle will be considered.

11.2. The selection of sample size for multiple site organization in case of Recertification should be the same as for an initial audit. Nevertheless, where the management system has proved to be effective over a period of three years, the size of the sample could be reduced by a factor 0.8, i.e.: (y=0.8 √x), rounded up to the whole number.

11.3. The Administration shall draw up a quotation in accordance with Procedure P11, "Application Review". When a contract is signed between the organization and Assurion, the Administration shall assign an audit team, by preference different to the previous one. The recertification audit shall be conducted not later than 36 months after the previous recertification or initial certification audit. The Administration shall, by preference, plan the recertification audit between 34 and 36 months after the initial certification audit. If during the recertification audit non-conformities are raised, the time frame for effective closure of those non-conformities shall not exceed the original certificate decision date. The recertification audit on site shall be conducted like the initial certification stage 2 audits and shall also address the following:

- Effectiveness of the entire management system despite internal and external changes;
- Demonstrate commitment to maintain effectiveness of Management system;
- Continual Improvement status;
- Process performance and its review over last 3 years;
- Customer Complaint & Satisfaction status;
- Continued relevance of the scope of certification;
- Commitment to maintain and improve the effectiveness of the management system;
- Achievement of the organization's policy and objectives.

11.4. Recertification Audits shall consist of an opening meeting, assessment and closing meeting. It is generally undertaken on a selected sample of the company's activities. Audit shall proceed as per the planned arrangement agreed with the customer organization.

11.5. At the end of the audit in the closing meeting the auditor shall formally disclose identified non-conformities during the audit and present these to the organization. The organization shall be invited to define the necessary actions and to provide a suitable answer by filling in these CAR forms within 2 weeks after the disorganization shall also be informed about the Procedure "Complaint and Appeals" for lodging complaint/Appeal with the head office in a case they do not concur with the Audit findings. The auditor shall complete the audit report (Assurion/F/12) and shall forward these to the QM. The surveillance audit report and the auditor recommendation shall have to be submitted to the GM for review in the following cases:

- Disclosure of major nonconformities or unreasonable accumulation of minor non conformities within stipulated time frame
  - For major non-conformities time limits for correction and corrective action is 30 days.
  - While for minor non-conformities time limits for correction and corrective action is 60 days
- Any other reason for suspension of the certificate.
- Request for modification of the current certificate.

11.6. The Technical Manager shall communicate the decision and send the Recertification audit report to the organization and shall file the report and any other related document in the concerned "customer file".

11.7. When recertification activities are successfully completed prior to the expiry date of the existing certification, the expiry date of the new certification is based on the expiry date of the existing certification. The issue date on a new certificate is normally on or after the recertification decision.

11.8. If Assurion has not completed the recertification audit or is unable to verify the implementation of corrections and corrective actions for any major nonconformity prior to the expiry date of the certification, then recertification is not recommended and the validity of the certification is not extended. The client is informed and the consequences are also explained.

11.9. Following expiration of certification, GM may restore certification within 6 months provided that the outstanding recertification activities are completed, otherwise at least a stage 2 is required to be conducted. The effective date on the certificate is on or after the recertification decision and the expiry date is normally based on prior certification cycle.

11.10. During Recertification Audit Nonconformities will be classified as either major or minor based on their potential impact on the ISMS and associated information security risk. The time allowed for the client to implement corrective actions will be proportional to the nonconformity's severity and risk. For major nonconformities, a shorter timeframe and an on-site follow-up audit are typically required.

12. SHORT NOTICE AUDIT

12.1. The GM/ED can request an audit on short-term notice to verify handling of customer's complaints, important modification within the organization or any reason leading to withdrawal or suspension of the certificate.

12.2. The GM/ED, based on the nature of complaint, shall take decision on the time frame within which the audit is to be conducted. In case of Short Notice Audit because of Customer Complaint, the audit team shall not disclose the name of the complainant.

12.3. The TM shall assign an auditor (LA or AD) to perform the short notice audit and inform the organization about the identity of the auditor. The organization may refuse the appointed auditor and request once for a substitute.

12.4. After the audit, the auditor shall report about the results of his investigation and shall make his recommendation to the GM.

13. Special Audit

13.1. A special audit is typically conducted in response to specific circumstances that fall outside the regular audit schedule. These circumstances might include.

13.1.1. Significant changes within the client's organization, such as a major merger, acquisition, or restructuring.

13.1.2. Complaints or concerns raised by stakeholders, regulators, or customers that require immediate investigation.

13.1.3. Incidents or non-conformities of a serious nature that necessitate a focused audit to determine the root cause and assess the effectiveness of corrective actions.

13.1.4. Requests from regulatory bodies or accreditation bodies for a specific examination of certain aspects of the management system