



# Policy and Procedure: Suspension, Withdrawal and Reduction of Scope

## Policy Statement

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Platinum Certification AQA (PCAQA) reserves the right to suspend, withdraw or reduce the scope of certification where a client does not comply with certification requirements or where the integrity of certification may be compromised.

All decisions will be made in accordance with:

- ISO/IEC 17021-1:2015 (Clauses 9.6.5 – 9.6.9)
- NDIS Approved Quality Auditor Scheme Guidelines
- Applicable JAS-ANZ requirements

Actions will be applied consistently, transparently and proportionately to the level of risk.

## Purpose

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Platinum Certification AQA Pty Ltd is committed to maintaining the integrity, credibility and impartiality of its certification processes.

This Policy and Procedure outlines the circumstances and processes for the suspension, withdrawal or reduction of certification scope where a certified client fails to meet certification requirements.

## Scope

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This Policy applies to all clients of Platinum Certification AQA across all certification schemes.

## Grounds for Suspension, Withdrawal, or Reduction of Scope

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Certification may be suspended, withdrawn, or reduced in scope if the client:

- Persistently or seriously fails to meet certification requirements (standard or scheme-specific).
- Fails to close out major non-conformities within the required timeframes



- Provides false, misleading or insufficient evidence
- Breaches the *Rules for Use of Certification Marks and Logos*.
- Breaches contractual terms with Platinum Certification AQA
- Fails to permit surveillance or recertification audits
- Requests a voluntary suspension of certification.
- Engages in conduct that impacts impartiality, integrity or reputation
- Commits any other serious breach as determined by senior management

Platinum Certification AQA reserves the right to suspend certification where a client fails to pay audit fees or any other applicable charges in accordance with agreed terms and conditions. Where payment remains outstanding beyond the specified due date and no acceptable resolution has been reached, certification may be suspended until full payment is received. Continued non-payment may result in withdrawal of certification and escalation to relevant regulatory bodies where applicable.

## Procedure

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### Suspension Process

Where non-compliance is identified, PCAQA will undertake a review by the Leadership Team, independent of the audit activity to determine whether suspension of certification is warranted. Where suspension is applied, PCAQA will notify the NDIS Commission seven (7) calendar days prior to actioning the suspension. The client will be formally notified in writing of the reasons for the decision, the corrective actions required for reinstatement, and the timeframe within which those actions must be completed. (In most cases, the suspension would not exceed six months).

During the period of suspension, the client shall not promote its certification status or use certification marks, and this condition will be clearly communicated.

Platinum Certification AQA will update certification records (NDIS Commission and JASANZ) and publicly available information, including JASANZ registers where applicable, to reflect the suspended status.

Platinum Certification AQA will monitor the client's progress against the required corrective actions within the defined timeframe. Where the client satisfactorily resolves the issues, certification will be reinstated. Where the client fails to resolve the issues within the specified timeframe, a decision will be made to withdraw certification or reduce the scope, as appropriate.

### Withdrawal Process

Certification will be withdrawn where the client fails to resolve the causes of suspension within the specified timeframe, or where serious or repeated breaches of certification requirements are identified.



The decision to withdraw certification will be made by the Leadership Team. Where a withdrawal is applied, PCAQA will notify the NDIS Commission seven (7) calendar days prior to actioning the withdrawal. The client will be formally notified in writing of the withdrawal decision and the effective date. Upon withdrawal, the client shall immediately cease all use of certification marks and remove all references to certification from promotional materials, documentation and public platforms.

Platinum Certification AQA will update all certification records and publicly available information, including relevant registers, to reflect the withdrawal.

The withdrawal of the NDIS Provider certification or verification decision does not necessarily mean the NDIS Commission will suspend the registration.

## Reduction of Scope

Where non-compliance is identified as being limited to part of the certified scope, Platinum Certification AQA may reduce the scope of certification to exclude the affected areas.

This decision will be made by the Leadership Team, independent of the audit activity and communicated to the client in writing, including details of the revised scope and any required actions. Certification documentation and public records will be updated accordingly, and the client shall remove all references to the excluded scope.

## Reinstatement

Certification will only be reinstated where Platinum Certification AQA has verified that all conditions leading to suspension have been satisfactorily addressed within the required timeframe.

Verification may include review of submitted evidence and, where necessary, additional audit activities. A reinstatement decision will be made by the Leadership Team independent of the original audit decision, and certification status and public records will be updated accordingly. Where applicable, reinstatement may be granted with a reduced scope.

Where a reinstatement is applied, PCAQA will notify the NDIS Commission seven (7) calendar days prior to making any decisions to resolve a suspension or withdrawal.

## Public Disclosure

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Platinum Certification AQA will maintain accurate and up-to-date information regarding certification status. Suspension, withdrawal and reduction of scope will be reflected in publicly accessible records, including JAS-ANZ registers where applicable, and certification status information will be made available upon request in accordance with ISO/IEC 17021 requirements.



## Responsibility

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The NDIS Certification Manager is responsible for ensuring that certification decisions are made in accordance with ISO/IEC 17021 and applicable scheme requirements, and that appropriate governance and impartiality are maintained. The Client Relations Team are responsible for monitoring compliance, administering the certification process, maintaining accurate records and communicating with clients. Clients are responsible for maintaining compliance with certification requirements, addressing non-conformities within required timeframes and complying with conditions applied during suspension, withdrawal or scope reduction.

## Review

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This Policy and Procedure will be reviewed at least annually, and as required following changes to applicable standards, regulatory or scheme requirements, or where significant certification decisions, risks or disputes indicate a need for revision.