

Global Certification and Monitoring Services

**Procedure of Granting, Termination,
reduction, suspension or withdrawal of
certification**



GCMS *QMS-11*
Global Certification and Monitoring Services

TABLE OF CONTENTS

<i>SCOPE</i>	<i>3</i>
<i>1. GENERAL</i>	<i>3</i>
<i>2. GRANTING / REFUSING CERTIFICATE</i>	<i>4</i>
<i>3. AMENDMENTS OF CERTIFICATION SCOPE.....</i>	<i>4</i>
<i>4. CERTIFICATION SUSPENSION.....</i>	<i>5</i>
<i>5. CERTIFICATE WITHDRAWAL</i>	<i>6</i>



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SCOPE

This document defines the procedure for all decisions on granting, suspension, revocation and refusal of certification, as well as expanding or reducing the scope of certification within each of GCMS Group subsidiaries.

1. GENERAL

The Decision-makers are separately assigned for each certification process by GCMS headquarter, and they are responsible for all decisions on granting, refusing, suspending, withdrawing and expanding/reducing Certification and its scope. The procedure includes the assessment of the sufficiency of information provided by the audit team of the relevant GCMS subsidiary, assessment of the content of all audit reports and Application documents, critical evaluation of all risks and information received from the Certification Unit of the relevant GCMS subsidiary and the GCMS Group's Committee (if any).

All decisions on Certification are made with respect to the principle of safeguarding impartiality. Certification decisions are documented in protocols and kept in the Clients' files. For the Certification decision making, auditors/inspectors shall provide the decision-maker of the relevant GCMS subsidiary with the following information:

- a. an audit report.
- b. comments regarding the detected non-conformances and, if applicable, the measures taken by the Client to eliminate these non-conformances.
- c. a report on the analysis of information provided in the Client's Application documents.
- d. a confirmation of the fulfilment of audit objectives.
- e. a recommendation regarding certification decisions, including special conditions and observations.

2. GRANTING / REFUSING CERTIFICATE

2.1 Decision-maker analyses all the information, reports and feedback provided by the auditors/inspectors of the relevant GCMS subsidiary. It critically reviews this information in terms of a client's activity compliance with certification standards, requirements and regulations by applying the critical analysis technique and knowledge of these standards, requirements and regulations. After the review of all information provided, the decision making takes place.

2.2 After the analysis of decision-making results, the decision on granting/refusing Certificate is protocolled and the official conclusion including the decision and the reason for this decision is provided to the certification manager.

If the decision is negative, the certification manager informs the Client about the decision and reasons for it. In this case the Certification process ends at this point.

If the decision is positive, the certification manager informs the Client about the positive decision and prepares a Certificate.

3. AMENDMENTS OF CERTIFICATION SCOPE

In case a client would like to expand/reduce the scope of certification, the decision procedure on certification scope amendment is the same as the procedure on granting/refusing the Certificate. After the official decision on the Certificate scope amendment, the amendment is done in the following way:

3.1 One of the parties (the relevant GCMS subsidiary or the Client) informs another party via the post and/or email about the wish or the need to expand/reduce the scope of Certification, explaining the reasons of this.

3.2 The Client is obligated to return the original issued Certificate together with its Annex to the relevant GCMS subsidiary by post within the 5 (five) working days after exchanging the information on Certification scope expansion/reduction.

3.3 After receiving the original Certificate and its Annex, the relevant GCMS subsidiary issues a new Certificate stating the expanded/reduced scope of certified products and posts the new original Certificate and its Annex to the Client.

3.4 In case of the certificate is issued in electronic version and an amendment is done on the document; to distinguish the revised documents from any prior obsolete documents, indicators are mentioned in the new copy (name/number/version).

3.5 After receiving the updated Certificate, the Client is obligated to accordingly amend the information on Certification in all the resources and inform its personnel about the changes in the Certified products within the 5 (five) working days. Failure to do so may lead to the suspension or withdrawal of the Certificate.

4. CERTIFICATION SUSPENSION

If breaches of the requirements are found during the surveillance audits or periodic document check, the decision-maker may decide to suspend the issued Certificate until the breaches are eliminated. In this case the Client is forbidden to use the GCMS Group's logo or certificate, until the Certificate suspension is revoked. The suspension of the Certificate is done in the following way:

4.1 The relevant GCMS subsidiary informs the Client about the suspension of the Certificate and the terms under which the suspension will be revoked via email.

4.2 The relevant GCMS subsidiary can 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. Any such reduction shall be in line with the requirements of the standard used for certification.

4.3 The Client is obligated through the Certification Agreement to immediately remove any information on the Certification from any sources, immediately remove GCMS Group's Mark from all its products and return the original issued Certificate together with its Annex to the relevant GCMS subsidiary by post within the 10 (ten) working days after receiving the notice from the relevant GCMS subsidiary.

4.4 The Certificate suspension may not last longer than 3 (three) months. If within this timeframe the Client does not manage to eliminate the breaches, the Certificate is withdrawn.

4.5 When the Certificate is suspended, the Client is forbidden to sell any products or to use any promotional materials stating the Client has a valid Certificate and use

the copies of Certificate or GCMS Group's Mark in any ways. Failure to comply with these requirements may and will result in a court appeal by the relevant GCMS subsidiary.

4.6 If the Client manages to eliminate the breaches and comply with the requirements, an additional on-site evaluation is done. If the audit results are satisfactory, the decision-maker makes a decision on revocation of Certificate's suspension.

4.7 In this case the original Certificate and its Annex are posted back to the Client, the Client is allowed to use the GCMS Group's mark on its products and post the information on the Certification in the public resources.

5. CERTIFICATE WITHDRAWAL

In the case a client did not eliminate the non-conformances within the timeframe given during the Certification suspension or in case of very serious breaches of Certification requirements the issued Certificate may be withdrawn by the formal decision of the decision-maker (after the review all the relevant information provided by the Certification Unit). The Certificate is withdrawn following this procedure:

5.1 The relevant GCMS subsidiary informs the Client about the withdrawal of the Certificate via the post and email stating the reason of the withdrawal.

5.2 The Client is obligated to immediately remove any information on the Certification from any sources, immediately remove GCMS Group's Mark from all its products and documents and return the original issued Certificate together with its Annex to the relevant GCMS subsidiary by post within the 10 (ten) working days after receiving the notice from the relevant GCMS subsidiary.

5.3 The Client is immediately forbidden to use any promotional materials stating the Client has a valid Certificate and use the copies of Certificate or GCMS Group's Mark in any ways. Failure to comply with these requirements may and will result in a court appeal by the relevant GCMS subsidiary.

5.4 In the case of Certificate withdrawal, the cost for the Certificate is not refunded to the Client.

5.5 If the Client manages to eliminate the breaches and comply with the requirements, they will need to start the Certification application from the beginning.

5.6 Upon request by any party, GCMS Group shall correctly state the status of certification of a Client's activity as being suspended, withdrawn or reduced.



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