	Quality Procedure	Probation, Withdrawal and Cancellation of Registration		Document #: QSP-9.6
		Process owner PRES	Approved By CD	Issue date: 5/14/2024

1 Purpose and Scope

PURPOSE

This procedure defines the processes for probation, withdrawal and/or cancellation of an organization's certification.

SCOPE

This procedure applies to all companies certified by GMS and includes:

1. Probation: A minor and strictly internal warning measure communicated only to organizations and GMS staff.
2. Suspension: A serious warning measure communicated to organizations, GMS staff and relevant accreditation bodies.
3. Cancellation: An action of ceasing registration initiated by the organization.
4. Withdrawal: An action of ceasing registration initiated by GMS or another body other than the organization.

2 Responsibility

The **Certification Director (CD)** and/or **President** approve all registration withdrawals.

The **President** initiates probations, suspensions and/or recommend withdrawal for organizations failing to meet GMS financial obligations.

Probations, suspensions and/or recommendations for withdrawal for organization's failing to meet certification requirements other than GMS financial obligations as well as cancellations for organizations that choose not to renew registrations are the responsibility of the **CD**.

GMS Lead Auditors are responsible for completing the Lead Auditor Recommendation Report QF-9.2.4 and communicating to the GMS office during an audit any company certified by GMS that falls into the "Recommendation Not to Maintain Registration" category.


Certification Committee Members (CCM) and **CD** review audit packages and determine if "Recommendation Not to Maintain Registration" or other factors during the audit might lead to a decision to initiate probations, suspensions and/or recommend withdrawal.

3 Procedures

- 3.1. It is the GMS policy to inform a company of any imminent action in order to try and resolve problems without formal proceedings.

3.1.1. Probation

- 3.1.1.1. Probation of Registration is an internal measure that may lead to Suspension and/or Withdrawal of Registration. Probation shall not last longer than 120 days, but exceptions may be made by appropriate management.
- 3.1.1.2. GMS reserves the right to place an organization's registration on probation for

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the following conditions:

- Persistent delays in meeting their financial obligations to GMS.
- Not scheduling the 6 or 12 month surveillance audits prior to or on their target dates. Circumstances, (such as a natural disaster, will be permitted an extension. GMS will not accept being too busy or other business conditions for an extension. If GMS has not been able to schedule the audit with the organization within 30 days of the due date the probation process should begin. Numerous changes in the scheduled date may also trigger this process.
- Other infraction of requirements of the contractual agreement with GMS.
- In response to a certification decision based on Certification Committee Member and CD review of an audit package.

3.1.1.3. If the condition(s) causing GMS to place the registration on probation have been eliminated, GMS shall reinstate the registration.

3.1.1.4. If the client is unable to eliminate the conditions leading to probation the company will be placed on Suspension.

3.1.2. Suspension


3.1.2.1. Suspension should not last longer than 120 days, but exceptions may be made by accounts receivable for financial probations.

3.1.2.2. GMS reserves the right to place an organization's registration on Suspension for the following conditions:

- Continued failure to meet financial obligations schedule required audits
- Major changes to client such as ownership, interruption of activity, etc.
- Failure to take corrective actions to identified nonconformance(s) within sixty days
- GMS has not been able to schedule the audit with the organization by the due date (*Note: A Suspension letter will be sent and will require conduct of an audit by a specified date. The letter will state that the registration will be subject to withdrawal if this audit is not conducted by the specified date.*)
- The organization is unwilling or unable to make changes in response to registration system or GMS procedure changes.
- Improper use of the logo, symbol, registration, registration document or misrepresentation of registration
- The organization violates the spirit and intent of the registration in such a way as to do damage to the image of the registration process
- Any other infraction of the requirements within the contractual agreement with GMS
- Notification from a customer of an organization of poor quality performance

3.1.2.3. Suspension shall be documented within 10 days of being issued and a letter regarding the Suspension and its cause will be sent to the client. The organization is allowed to retain its certificate but it will be considered temporarily invalid and the organization is asked to refrain from promoting its certification.

3.1.2.4. If the condition(s) causing GMS to place the registration on suspension have been eliminated, GMS shall notify the organization and reinstate the

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registration.

- 3.1.2.5. If the client is unable to eliminate the conditions leading to suspension the company's may face either an extension of the suspension or the complete withdrawal of their certificate.

3.1.3. Withdrawal

- 3.1.3.1. GMS reserves the right to withdraw a registered organization's registration for all conditions listed in 3.1.1 and 3.1.2.
- 3.1.3.2. When GMS notifies a registered organization of withdrawal the registered organization must immediately stop use of the GMS and accreditation body logos. This includes use of logo on their stationary, advertising, etc.
- 3.1.3.3. GMS shall document notification to the organization of withdrawal of publication of registration.
- 3.1.3.4. GMS will request the return of the organization's certificate.
- 3.1.3.5. Withdrawal of the registration shall result in the organization having to complete the entire registration process again.

3.1.4. Cancellation

- 3.1.4.1. A registered client may request cancellation of registration at any time. GMS requires this notice to be documented.
- 3.1.4.2. GMS will send documented acknowledgement of the organization's request of cancellation and withdraw publication of registration.
- 3.1.4.3. GMS will also request the return of the organization's certificate.

3.1.5. General

- 3.1.5.1. GMS will provide notification to the registered organization of probation, withdrawal, cancellation or reinstatement immediately by telephone, fax, e-mail and/or US mail.
- 3.1.5.2. GMS reserves the right to publish notices of probation, withdrawal or cancellation.
- 3.1.5.3. The registered organization shall be afforded the opportunity to appeal any probation, suspension or withdrawal per WI-9.8 Complaints and Appeals.

3.1.6. Reduction of Scope

- 3.1.6.1. GMS does not consider reduction of the scope. Any clients not meeting the requirements, or if a client has persistently or seriously failed to meet the certification requirements for any parts of the scope, the certification will not be granted or maintained.


4 References

4.1 Related Procedures

None

4.2 Reference Documents

Auditing and Certification Process	PM-9.2
Certification Decisions	WI-9.5.2
Complaints and Appeals	WI-9.8

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5 Records

Service Agreement	QF-5.2.1
Lead Auditor Recommendation	QF-9.2.4
Certification Committee Audit Package Review	QF-9.2.5
Certificate of Registration	QF-8.2.1
Letter of Withdrawal, Probation or Cancellation	

6 Governing Policies

ISO/IEC 17021 Element 9
