	Work Instruction	Certification Decision		Document #: WI-8.5.2
		Process owner CD	Approved By PRES	Issue date: 8/6/2024

1 Purpose and Scope

PURPOSE

The work instruction establishes the process GMS follows to conduct an effective review prior to making a decision for granting or refusing certification, expanding or reducing the scope of certification, maintaining, renewing, suspending, restoring, or withdrawing of certification.

SCOPE

This work instruction covers the review of all decisions for granting or refusing certification, expanding or reducing the scope of certification, maintaining, renewing, suspending, restoring, or withdrawing of certification.

2 Responsibility

The Lead Auditor is responsible for completing audit packages and sending them to the Certification Director or designee.

Certification Director (CD) or designee is responsible for assuring our documents required are included in the audit package and assigning Certification Committee Members (CCM) to review audit packages.

CCM are responsible for viewing the appropriate packages and making decisions for granting or refusing certification, expanding or reducing the scope of certification, maintaining, renewing, suspending, restoring, or withdrawing of certification.

CD or designee is responsible for contacting customer with decision information.

CD or designee is responsible for creating and issuing the certificate and sending it to the customer.

3 Instructions

3.1. Once an audit is completed the LA sends all the required audit documentation per the WI-9.2.1 Auditor Expectations.


3.2. Audit Package reception and CCM Selection

3.2.1. CD or designee receives the audit package from the LA.

3.2.2. The CD or designee reviews the audit documents to make sure that all the required forms have been returned. The CD will reach out to the LA to collect any missing documents.

3.2.3. Once all the required documents are with the CD, the CD will consult with the QF-7.2.14 Certification Committee Selection Matrix to choose the appropriate Certification Committee Member.

3.2.4. CD determines that the chosen CCM meets the requirements for the standard(s) and areas being audited.

	Work Instruction	Certification Decision		Document #: WI-8.5.2
		Process owner CD	Approved By PRES	Issue date: 8/6/2024

3.2.5. CD reviews QF-5.2.1 Conflict of Interest, Risk Assessment Matrix and the client's completed QF-9.2.1 Request for Service to assess risk of impartiality for the audit package review and certification decision.

3.3. Audit Package Review

3.3.1. CCM Review documents using the QF-9.2.5 Certification Committee Audit Package Review to document the review.

3.3.2. If the audit package is reviewed and found to be complete with no errors and in-line with the certification scope, and the LA had indicated Recommendation to Register or to Maintain Registration (upon Closure of Nonconformities - if Applicable), the CCM will indicate approval on the QF-9.2.5 and send the entire package to the CD for Certification decision.

3.3.3. If there are any errors or missing information, the CCM reaches out to the LA to make corrections or complete the documentation as needed. LA will send the documentation to the CCM for further review and the CCM will continue its usual process.

3.3.4. The CCM completes review and sends audit package and the filled-in QF-9.2.5 with its audit package decision to the CD.

3.4. Certification Decision

3.5. CD reviews the CCM recommendation and makes a final certification decision and contacts the customer with the results of the decision per the PM 9.2 Auditing and Certification Process.


3.5.1. If approved the CD issues the certificate per the PM-9.2 and PM 8.1 Information Requirements.

3.5.2. If all requirements are addressed but CCM recommendation indicates there is insufficient evidence that the system is effectively implemented or the number of nonconformities indicates a lapse in the maintenance of the quality management system and the errors or missing information is due to customer not providing required information such as nonconformance response, the CCM will note the information in the QF-9.2.5 and do the following depending on the status of the certification cycle:

3.5.2.1. If a new certification or recertification – refuse certification, CD will speak to the customer to perform a follow-up audit or brand-new Stage 2 audit.

3.5.2.2. If a surveillance audit the CD recommends to follow guidance of QSP-9.6 Probation, Withdrawal and Cancellation of Registration to either maintain certification or refuse certification.

3.6. If LA has indicated that there is a Recommendation NOT to Register or to Maintain Registration or they are Unable to Make a Recommendation at This Time and Follow-up Audit Required the CCM will note the information in the

	Work Instruction	Certification Decision		Document #: WI-8.5.2
		Process owner CD	Approved By PRES	Issue date: 8/6/2024

QF-9.2.5 and sends audit package and the QF-9.2.5 with its decision to the CD. CD will review audit package and make a determination if all requirements are addressed and there is sufficient evidence that the system is effectively implemented. CD will then contact the client and follow steps 3.5.2.1 or 3.5.2.2.

4 References

4.1 Related Procedures

Information Requirements	PM-8.1
Auditing and Certification Process	PM-9.1
Probation, Withdrawal & Cancellation of Registration	QSP-9.6

4.2 Reference Documents

Auditor Expectations	WI-9.2.1
Conflict of Interest, Risk Assessment Matrix	QF-5.2.1
Request for Service	QF-9.2.1
Certification Committee Selection Matrix	QF-7.2.14

5 Records

Certificate of Registration	QF-8.2.1
Certification Committee Audit Package Review	QF-9.2.5