



Global Gateway Certifications Quality Procedure

Procedure for Granting, Suspension, Withdrawal and Reduction of Certification

1.0 Purpose

This document describes the procedure for granting, suspension, withdrawal and reduction of certification.

2.0 Scope

This procedure applies to all certification services providing by **Global Gateway Certifications**.

3.0 Responsibility

Certifier is responsible in making decision for granting, suspension, reduction and withdrawal of certification.

Managing Director is responsible for approving certification certificates and in the absence of Managing Director, the Certifier shall be signed on behalf.

The **Team Leade/Lead Auditor**, after performing audit is responsible for preparing and submitting the complete audit documents as well as other relevent documents or supporting documents to the Certifier.

4.0 Description of Activity

4.1 Granting of certification

4.1.1 Upon receiving the complete audit documents from audit Team Leader, the Certifier shall review the documents. . Subject to the scheme requirements, the documents shall consist of the following, typically:

- a) audit report
- b) audit plan
- c) audit checklist
- d) attendance sheet
- e) corrective action report
- f) others supporting documents or notes deem necessary
- g) client signatory

4.1.2 The Certifier shall then make the certification decision within a reasonable time. The Certifier shall not be the same person conducting audit and shall not delegate the decision-making authority to the third party.

4.1.3 The Audit Report Review Checklist form (F34) is used to record the review outcome. If deviation was found, the Certifier shall seek clarification from the Team Leader/Lead Auditor to request for rectification. Among others essential aspects to take into consideration during the review are,

- a) confirmation of the scope of certification
- b) closure of non-conformity



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- c) compliance with the standard requirements
- d) compliance with the scheme requirements
- e) any known adverse issues

4.2 Certificates

4.2.1 The certification certificates shall only be issued to the clients once,

- a) the decision to grant or extend the scope of certification has been made
- b) evidence of non-conformity raised has been closed out
- c) certification requirements have been fulfilled
- d) payment for certification has been made

4.2.2 The certification certificates shall be prepared upon successful of the initial audit, extension of certification scope or completion of triennial audit. The Certifier shall ensure that,

- a) numbering the certificate according to QP01 Document Control procedure
- b) all logos used to follow the scheme owner or accreditation requirements
- c) all information in the certificate and annex are correct
- d) printing certificate on the standard type of paper quality
- e) update client's records

4.2.3 The hardcopy signed certificate shall then submit to the client with following where required,

- a) cover letter from **Global Gateway Certifications**
- b) certificate
- c) rules accompanying the mark and logo (F36)
- d) softcopy of the logo
- e) customer survey form (F37)

4.3 Suspension of certification

4.3.1 Suspension means that the certification is temporarily invalid and may the results of the following condition.

4.3.2 Voluntary suspension, when the certified clients voluntary request **Global Gateway Certifications** for suspension, with valid reasons such as:

- a) change of production or services facility location
- b) organization restructure that affect the implementation of the certified mandate
- c) internal audit shown that major breakdown of the certified system implementation
- d) production or services to be halted within limited period of time

4.3.3 **Global Gateway Certifications** may at their discretion suspend certified client for a maximum of six months period with the following condition;



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- a) certified system persistently fails to meet the conform standard requirements
- b) non-conformance(s) or effective corrective action not implemented within a specified time period
- c) fails to comply with the certification requirements and the terms condition stated in the certification contract agreement
- d) fails to meet financial obligations to **Global Gateway Certifications**
- e) existence of a serious complaint, or a large number of second or third-party complaints, which indicate that the certified products or services of client is not being maintained
- f) fails to address any complaint against the products or services of the client brought to the attention of **Global Gateway Certifications**
- g) denies reasonable access to auditors during audits without valid justification
- h) misuses certificate or the mark, symbol, logo and appropriate corrective actions not taken within the specified time period
- i) if there has been any other violation of the certification scheme requirements
- j) if the certified client does not allow surveillance or recertification audits to be conducted at the planned frequencies
- k) existence of a serious complaint, or a large number of second- or third-party complaints, which indicate that the quality management system is not being maintained.
- l) client does not allow routine surveillance to be conducted at the required frequency
- m) any others valid justification made by the **Global Gateway Certifications** Certifier that could affect the certified scheme implementation
- n) infringement by the client of any contractual conditions between the client and **Global Gateway Certifications**

4.4 Withdrawal or termination of certification

4.4.1 Withdrawal means the cancellation of the certification.

4.4.2 The certification at the discretion of **Global Gateway Certifications** shall be withdrawn or cancelled certification on the following condition,

- a) voluntarily requests made by the certified clients
- b) failure to resolve issues that have resulted in the suspension
- c) surveillance audit shown that the nonconformity is of a major issue
- d) certification certificate validity period expired
- e) fails to meet financial obligations to **Global Gateway Certifications**
- f) infringement by the client of any contractual conditions between the client and **Global Gateway Certifications**
- g) certified clients use the certification to undermine the reputation of **Global Gateway Certifications**
- h) continuously use of the certification for promotion during suspension
- i) improper use of the certificate, symbol or logo not remedied to the satisfaction of **Global Gateway Certifications**
- j) certified clients unable to conform to the standard, scheme or accreditation requirements.



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- k) existence of a serious complaint, or a large number of second- or third-party complaints, which indicate that the quality management system is not being maintained.
- l) client does not allow routine surveillance to be conducted at the required frequency
- m) any others valid justification made by the Global Gateways Certifications 's Certifier that could affect the certified scheme implementation

4.5 Reduction, expansion and change in certification

4.5.1 **Global Gateway Certifications** shall made change in certification after satisfactory reviewing the relevant documents, due to following condition,

- a) change in client's ownership
- b) change in client's company name
- c) change in certified unit location
- d) increase or decrease in scope (products, services offered etc.)
- e) increase or decrease in locations (opening / closing of site etc.)
- f) adverse findings from surveillance audit
- g) repetitive failure in meeting the certification requirements

4.5.2 The decision to change shall be made upon the surveillance, recertification or special audit and will result to,

- a) revise certification certificate
- b) reduction in the scope of certification
- c) expansion in the scope of certification
- d) revise contract agreement
- e) public information

4.6 Conditions wile under suspension and withdrawal

The following actions shall be taken during the suspension or withdrawal conditions,

- a) a notification of suspension may be published at the discretion of **Global Gateway Certifications**
- b) the client's response to the accompanying letter will be reviewed and the proceedings may be put on hold while clarification is sought.
- c) where mutually agreed-upon corrective action is to be implemented, a time period for implementation will be specified and a verification of the corrective action shall be conducted. This may be the subject to a special visit at the discretion of **Global Gateway Certifications**.
- d) where suspension has been imposed, unless otherwise specified, the client must response the corrective action plan to **Global Gateway Certifications** within 14



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days.

- e) where suspension has been imposed due to failure to conduct surveillance audit, the client shall give justification for failure and propose suitable date. The date shall not be later than 15 months from last audit date, otherwise Global Gateway Certification shall withdraw the certification. Extra audit man-days may be required and added to routine surveillance days.
- f) when corrective action to resolve the problem(s) taken by the client has been verified, certification will be resumed. The period of certification will not be revised to cover the period of suspension.
- g) withdrawal of certification shall be imposed where, following suspension of certification, the client fails to respond to **Global Gateway Certifications** within the 14-day grace period or fails to implement corrective action within the agreed time period.
- h) in extreme circumstances, **Global Gateway Certifications** may impose the cancellation of certification with immediate effect without recourse to initial certification suspension.
- i) cancellation of certification will require the client to assume the status of non-approval and return all certification documentation to **Global Gateway Certifications**
- j) use of certification documents, symbols, or logos by the client following certification cancellation may result in legal action being taken against the client.
- k) re-approval after certification cancellation will be on the same basis, and follow the same process, as that of initial application for a new client. This will require a full assessment, with optional document review at the discretion of **Global Gateway Certifications**.
- l) the de-certification will be published as a separate list and will be available at the **Global Gateway Certifications** office and made available upon request.
- m) the client has the right to appeal any decisions of **Global Gateway Certifications** and a copy of the appeals procedures will be made available upon request.
- n) Certifier shall remove the companies where the certificate has been cancelled.
- o) client files for all cancelled cases shall be archived for a period of 3 months

4.7 Re-instatement of certification

- 4.7.1 Reinstatement shall be made once the certified client has taken appropriate corrective action prior the t expiry of the suspension period. Evidence of such corrective action shall be reviewed by the Certifier.
- 4.7.2 Reviewing shall be undertaken to determine whether the conditions for reinstatement have been satisfactorily fulfilled and the associate risks are manageable.
- 4.7.3 The Certifier shall then be notified the client that the suspension has been lifted and the certification is reinstated.



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- 4.7.4 Clients suspended due to obligation of certification fees shall be reinstated immediately upon received of the outstanding amount.
- 4.7.5 A new application is required when the client's intent to reinstate after it has been withdrawn and a new certificate shall be issued out upon successful completion of the certification process.

5.0 Reference

ISO 17021:2015 Conformity assessment – Requirements for bodies providing audit and certification of management system

ISO 17065:2012 Conformity assessment – Requirements for bodies certifying products, processes and services

QM01 Management System Manual (Ref. Std ISO 17021)

QM02 Management System Manual (Ref. Std ISO 17065)

6.0 Enclosure

Nil

7.0 Formats / Exhibits

F33 Certificate Format

F34 Audit Report Review Checklist

F35 Deviation Note

F36 Rules for Use of Certification Mark and Logo

F37 Customer Satisfaction Survey form