

# **TERMS AND CONDITIONS FOR THE CERTIFICATION OF MANAGEMENT SYSTEMS AND PRODUCT CERTIFICATION (Q060)**

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## 1. PURPOSE AND SCOPE

### Purpose

These "Instructions for the Certification of Management Systems" define the procedures to be applied for the certification of conformity of management systems. The purpose of this description is to have a better understanding of the content and procedures of the certification processes, which are of significance for interested organizations. These instructions are based on ISO/IEC 17021 and IAF/EA and other accreditation documents but also EN 45011.

### Scope of application

These instructions apply to the certification of management systems of production- and services enterprises in accordance with the respective scope of the accreditation of the GL Systems Certification.

## 2. DEFINITIONS

The definitions on hand mainly refer to the following standards in their respective valid edition:

ISO/IEC 17021	General Criteria for Bodies Assessing and Certifying Quality Management Systems
ISO/IEC 17020	General criteria for the operation of various types of bodies performing inspection
DIN EN ISO 9000	Quality Management Systems, basics and definitions
DIN ISO 19011	Guidelines for Audits of Quality Management Systems and/or Environmental Management Systems
EN 45011	General criteria for bodies operating product certification systems

Following - with reference to the above-mentioned standards -the most important terms required for the correct understanding of the text will be explained:

Throughout this text the standards are quoted on the ISO basis (DIN EN ISO → ISO) as far as possible.

### **Organization (applicant and/or contract party of GL Systems Certification):**

The party responsible for the product, the procedure or the services and capable to ensure the application of a management system. This definition can be applied to companies, corporations, firms, enterprises, institutions, non-profit organizations, small businesses, associations or parts or combinations thereof. An organization can be privately owned or a public institution.

### **Certification body /assessment organization (GL Systems Certification):**

An impartial third party auditing and certifying management systems of organisations and the additional documentation necessary for these management systems in regard to valid standards on management systems.

### **Certification document (certificate):**

A document confirming that the management system of an organisation as well as all the additional documentation required within the certification system meets the requirements of the standards stipulated.

### **Certification system (Q060 and internal procedures):**

A system maintaining its own procedures and a leadership to perform assessments to lead to the issue of a certification document and maintenance of its validity in the future.

### **Certification:**

Examination and assessment of a management system of an organisation concerning conformity with the underlying standard.

### **Auditor:**

A person with the competence to perform audits.

**Audit:**

A systematic, independent and documented process to collect audit-evidence and to an objective assessment in order to determine in how far the audit criteria have been fulfilled.

**Standard:**

Standards, decrees, guidelines, etc. on which the certification procedure is based (in the following text referred to as standard).

### 3. CERTIFICATION STANDARDS

#### Quality management systems

For the certification of quality management systems the following standards may be applicable:

- 9001  
On the basis of the structure of the organization and its products, the organization can exclude one or more requirements of this standard. These exclusions are limited to the requirements of section 7.

#### Environmental management systems

For the certification/assessment of environmental management systems the following standards can be applied:

- ISO 14001  
When applying this standard, the organization has to take into account the criteria laid down therein.

#### Safety management systems

The certification of safety management systems can be based on the following standards:

- Safety Certificate Contractors (SCC) resp. Safety Certificate Personnel Services (SCP) or
- BS OHSAS 18001 (health and safety management systems specification).

The organization has to take into account the criteria laid down therein.

#### Special management systems

When applying other standards for management systems e.g.

- **Automotive:** VDA 6.1 / 6.2 / 6.4; KBA;
- **Food:** HACCP; ISO 22000; GMP
- **Disposal of waste:** EfbV
- **Aerospace Industry:** EN 9100, EN9120
- **Education and training:** certification acc. to Requirement SGB III
- **Safety:** ISO 28000, TAPA
- **Logistics:** CTQI, CCQI

the requirements defined by the respective accreditation bodies are applicable. The organization has to take into account the criteria laid down therein.

#### **4. CERTIFICATION PROCEDURE**

A certification or the examination and assessment to the conformity of the applied for standard on principle consist of:

- The examination of the applicable documentation, and
- The examination of implementation of this documentation at the organization

The process of certification is to be understood as an on-going process. After the initial audit (IA), consisting of Phase I and Phase II, periodical confirmation by surveillance audits (SA) or renewal audits (RA) are necessary. A contract for a certification period of three years includes an initial or renewal audit and two announced surveillance audits with the exception of CCQI, CTQI, EfbV with annual certificate renewals.

Annex I to Annex II demonstrate the sequence of the certifications as basic principle.

The now following sections describe the necessary steps of the procedure of an initial audit as well as steps to be taken to maintain the validity of the certificate for the certification of a quality management system according to ISO 9001.

For further special requirements for other certification scopes as environment, safety and automotive the applicable standards and/or regulations have to be considered.

##### **Enquiry / offer / application / order**

Verbal or written enquiries for certification are to be answered by the submittal of information brochures and a reference to the GL Systems Certification homepage. The information brochures contain documentation on the certification process as well as a questionnaire requesting all data necessary for the preparation of the offer.

Before preparing an offer it has to be checked whether the enquiry can be covered by the scope of accreditation of GL Systems Certification. This check will be effected by the document (Check of application) and include the check of viability (standard, branch/scope, auditor, date). The offer will be prepared on the basis of the data specified in the questionnaire. Every offer is clearly identified with a quotation No. and date. In case a questionnaire is not available, the required data will be demanded subsequently. The "Instructions for the Certification of Management Systems" (Q060) and an application form with the General Terms and Conditions of GL Systems Certification as well as the current GL Systems Certification price list are attached to the offer. This ensures that the applicant is informed about all relevant phases of the procedure. Basically, all costs for a certification are to be agreed upon in a quotation.

Organizations wishing their management system to be certificated by GL Systems Certification have to confirm this with the use of the GL Systems Certification application form. With the application form, all necessary information needed for performance of the certification procedure is agreed upon.

Upon receipt of the application / order it will be examined for its feasibility on the basis of the documentation available under the following aspects:

- Examination of the permissibility of possible exclusions

If the application is refused, the organization is entitled to give notice of appeal.

The acceptance of the order sets off the following course of events:

- An order confirmation and a draft of the certificate will be issued
- Inclusion of the order into the GL Systems Certification data base AHEAD (basic data, terms)
- Rough planning of the procedure (establishment of contact, terms, personnel planning on the basis of the standard applied for)

##### **The team for certification procedures**

The certification body nominates the Lead Auditor and as required, the members of the audit team. It is ensured that the general qualification criteria for auditors are met. At least one member of the audit team has professional experience in the respective sector of business of the organisation to be audited. The Lead Auditor will be announced as a contact person to the organization in time.

### **Assessment of documentation, Phase I-Audit**

At least four - six weeks before the initial audit, the organization has to present the documentation of the management system to the GL Systems Certification for examination. If desired resp. required, the assessment of the documentation can be made in the office of the organization.

The documentation to be assessed has to fulfil the requirements as defined in the chosen standard. All information necessary for a proper planning of the audit shall be included in the documentation.

The documentation will be assessed under responsibility of the Lead Auditor to completeness and compliance with the terms of the chosen standard. The organization will receive a written report on the result of the assessment. If nonconformities have been found, the organization has to propose appropriate corrective actions and a date for their introduction.

To assess the readiness of the management system a phase I-Audit has to be done on-site. Here the organisation has to show that they are ready for certification. The complete implementation of the documented management system will be verified by a member of the audit team. Potential nonconformities will be communicated in written form.

It has to be confirmed that the corrective actions have been settled before the start of the initial audit phase II. Depending on the severity and contents of the findings, the planning for phase II might be revised including a change of audit dates.

### **Audit preparation and planning**

In cooperation with the organization, the Lead Auditor will set up a programme (audit plan) for performance of the audit and will inform the organization in time in writing. The audit plan contains all information required by the organization for the preparation of the audit.

### **Audit - Phase II**

At the beginning of the audit an introductory meeting will be held with the management of the organisation and the management's representative. The aim of this introductory meeting is:

- To establish official communication channels between the auditors and the management of the organisation,
- To achieve mutual agreement regarding the course and contents of the certification procedure,
- To ensure that the audit scope will provide the auditors with results suitable for assessment
- The declaration of the confidentiality and impartiality of the audit team.

Accompanied by the management representative of the organization or his deputy, the auditors will carry out the audit in the organization's organisational units as stipulated in the audit plan. Unless extraordinary findings enforce otherwise, the audit plan it is to be adhered including the alterations decided upon during the introductory meeting.

During the audit GL Systems Certification will check whether the organization's management system is implemented in line with the documentation. This will be done with interviews of employees at their work places and the inspection of documents/records of the organization. The results will be recorded (audit list, audit protocols, non-conformities protocols).

Depending on the kind and number of detected faults the following grading is possible:

- **Minor nonconformity:**  
The essential requirements of the standard are fulfilled, but one or a number of individual defects impair the effectiveness of parts of the management system.
- **Major nonconformity:**  
The requirements of a management system or essential parts have been insufficiently settled or the existing regulations have not been implemented sufficiently. This nonconformity can result in a break - down of the management system. A number of minor nonconformities which combined can cause a breakdown of the system are to be considered as a major nonconformity.

After completion of the audit the Lead Auditor verbally informs the organization about the results of the audit. The audit team can recommend the certification, but is not authorized to finally decide on the certification.

After completion of the audit the lead auditor prepares a written audit report, which contains the results of the audit as well as other important details. The nonconformities found will be attached to the audit report as nonconformity reports. This final report includes also the final assessment done by a GL Systems Certification-veto person who has not participated at the audit.

### **Corrective actions**

Have nonconformities to the chosen standard been found, the organization has to start corrective actions with dates to when the corrective actions will be completed. Planning of corrective measures shall be communicated to GL Systems Certification within a fortnight following the end of the audit. When scheduling the corrective actions it has to be taken into account that all nonconformities must be closed before the certificate can be issued or renewed. With suitable evidence, such as action plans, instructions and other records etc, or with a follow up audit, proof of the correction of the faults can be confirmed.

The lead auditor will assess the proposed corrective actions and their terms. Should the corrective actions and the evidences not permit a final assessment, the lead auditor will request additional evidence or recommend a follow up audit to assess the result of the corrective actions.

### **Assessment of audit results and decision on the certification**

The audit documentation (reports, nonconformity-notes, audit plan matrix with records) including possible corrective actions will be passed on to a veto person not involved in the process. The veto person will review and assess the audit documents submitted to him to adequacy, comprehensibility presented and decisions made, as well as to the compliance with the GL Systems Certification procedures.

The veto person can refuse the issue of the certificate if necessary evidence of conformity is missing. Questions arising from the review and the evaluation will be clarified with the lead auditor.

The final decision on the certification is confirmed by one of the following persons after confirmation of the veto person:

- Head of certification body
- Deputy of certification body
- Head of hub
- Head of group.

A certificate cannot be issued or reconfirmed as long as all nonconformities are not closed.

### **Information to the organization**

The organization receives the final assessment report from GL Systems Certification with the decision whether the certificate can be issued.

If GL Systems Certification arrives at the conclusion that the assessment results do not allow the issue of a certificate, this will be stated in writing, together with the reasons for this decision.

The organization may appeal against the GL Systems Certification decision.

After a positive decision about the issue of the certificate, this will be send to the organization together with the final assessment audit report and the invoice

### **Certificate**

The validity of the certificate is three years calculated from the date of issue (date of certification decision) subject to the confirmation through the annual surveillance audits. The certificate specifies the name of the legal entity with its address, the standard and the product or services sector. If further locations are included in the certification, sub certificates can be issued for other locations.

### Use of GL Systems Certification - Audit seal and the certificate

The use of the GL Systems Certification audit seal and the certificate by the organization is defined in the attached agreement and with additional documents which need to be complied with. The right to use the certificate and/or seal is connected to the validity of the certificate and ends with the expiry date of the certificate and the withdrawal of the certificate respectively (in case of a suspension, use is not permitted during the period of suspension). Abuse of the certificate and/or logo may result in the withdrawal of the permit by GL Systems Certification for further use of certificate and/or logo. Due to accreditation requirements GL Systems Certification has to make customers aware of potential legal action in case of abuse of certificate and/or logo.

### Maintenance of validity

For the maintenance of the validity of the certificate annual surveillance audits shall be performed. The surveillance audits have to take place according to the requirements and the terms of the responsible accreditation body.

At least six weeks before the date of the surveillance audit the current documentation has to be handed to GL Systems Certification (following agreement with the Lead Auditor). All revisions made have to be marked. New editions or part revisions of the documentation will be examined and assessed at the surveillance audit. If necessary, the organisation and the auditor will agree on the extend of a document review prior to the audit.

If, during the surveillance audit GL Systems Certification finds out that the management system of the organization does not comply anymore with the requirements of the standard agreed upon (non-conformities are detected), the organization will be given the opportunity to take corrective action within a period to be stipulated. GL Systems Certification will assess and review whether the corrective action initiated is adequate for the maintenance of the validity of the certificate. The result will be announced in the final assessment report.

If the surveillance audit cannot be closed in time or if there are non-conformities still open at the final assessment, the certificate shall be suspended. (Viz. also Chapter 5)

### Certification renewal

Well in time before the expiry of the certificate, the organization will receive an offer for the certification for the next contractual period. If the organization accepts the offer, GL Systems Certification will perform a renewal audit. Also well in time an audit plan has to be agreed upon to enable the audit and the assessment to be completed before the expiration of the validity of the certificate. The continued validity of the certificate is hereby ensured.

Latest six weeks before the date of the renewal audit the organization shall hand to GL Systems Certification the current documentation. In preparation for the audit GL Systems Certification will assess the documentation.

After a positively finalised renewal audit the certificate will be reissued and the validity will be extended by a further three years.

If the renewal audit cannot be completed in time or nonconformities are still open at the final assessment, the certificate cannot be renewed.

The continuation of the certification will be carried out after an successful audit with time and effort of an initial audit.

### Special Audits

#### Extension Audits

In order to extend the scope of an existing certificate (e.g. including new sites, new activities/products etc.), an extension audit may be necessary. GL Systems Certification will advise on this issue based on the information provided by the organisation (please refer to section 7 "Organisation's responsibilities"). The extension audit may be combined with a surveillance audit but may be performed as a separate audit.

### Short notice audits

Short notice may be performed for two main reasons, firstly in order to satisfy accreditation requirements but, secondly, also to deal with special issues (i.e. complaints about the management system performance of the certified organisation, significant changes affecting the certification, reinstating a suspended certificate etc.).

Short notice audits will be performed in compliance with the relevant standard, however, this does not apply to audit for special reasons. Audits dealing with special reasons are performed as described in this document with appropriate adjustments being made to suit the individual circumstances.

It is within the responsibility of the organisation to make those short notice audits possible. If the organisation does not comply with this requirement, GL Systems Certification has the right to suspend certification or initiate the withdrawal of the certificate.

### **Combined / integrated audits**

Combined Audits are audits of non-integrated management systems which take place at the same point in time. For integrated management systems, a reduction in the audit duration may be granted depending on the degree of integration. For more details please contact our sales. In case of integration of management systems with different certificate expiry dates the integrated certificate will be issued with the earliest expiry date of the formerly separate certificates.

For integrated management system we can issue either one certificate covering all standards or one certificate per standard, please discuss at the latest during Phase I with the Lead Auditor.

Assumptions for reduction are to be checked during Phase I. This may lead in case of non-substantial assumptions to a consequent recalculation of the audit duration.

## **5. SUSPENSION AND WITHDRAWAL OF THE CERTIFICATE**

### **Suspension of the certificate**

In the event of a violation of these certification rules or the certification agreement by the organization, GL Systems Certification can, after thorough investigation into the seriousness of the violation, suspend the certificate for a period to be fixed by GL Systems Certification (maximum 90 days). This may, for instance, be the case if

- during surveillance audits it is found out, that definitely agreed upon corrective actions were not adhered to and an immediate withdrawal of the certificate seems not to be necessary,
- the surveillance audits cannot be performed in due time,
- the organization is involved in legal settlement or bankruptcy proceedings,
- the invoices are not paid even after receipt of reminders
- an inadmissible use of the certificate or of the GL Systems Certification audit seal and/or those of the accreditation body is not corrected.

The suspension of the certificate will be declared by GL Systems Certification in writing. The organization may appeal against a suspension of certificate.

The suspension of the certificate is a temporary measure, which can end only with the reinstatement or the withdrawal of the certificate. GL Systems Certification will rescind the suspension of the certificate, as soon as the violations have been proven to be corrected within the given time. During the suspension of the certificate the organization may not advertise with the certificate.

### **Withdrawal of the certificate**

If on demand of GL Systems Certification the organization fails to fulfil its obligations, e.g. the points mentioned under "suspension of the certificate", GL Systems Certification will as sanction against the breach of agreement, withdraw the certificate. Other reasons for withdrawal of a certificate can be:

- The surveillance audit proves that essential requirements to the management system are not fulfilled and can not be fulfilled in a foreseeable period of time;
- The organization has submitted a formal application;
- The organization does no longer offer the respective product, procedure or services for a prolonged period
- The organization does not meet their financial obligations towards GL Systems Certification, as far as they are related to the certification of their management system;
- Other terms of the certification agreement have been violated.

The organization will be informed in writing about the withdrawal of the certificate. The organization may appeal against the withdrawal of the certificate as laid down in section 10.

Depending on the reasons of the withdrawal GL Systems Certification may finalize the agreement and withdraw the certificate.

It may be possible in certain to reduce the scope in order for the certificate to remain valid. This decision, however, is an individual decision made by GL Systems Certification taking into account the organisation's interests.

## **6. RESPONSIBILITIES OF GL SYSTEMS CERTIFICATION**

### **Confidentiality**

GL Systems Certification undertakes to treat confidentially all information and documentation made available to it by the organization.

Information on special products or individual organizations will only be forwarded to third parties with the written consent of the organization.

The accreditation body is allowed to inspect documents of the organization during accreditation audits. It is mandatory for GL Systems Certification to allow the accreditation bodies access to files. The accreditation bodies and anybody working on their behalf, however, are strictly bound to confidentiality.

In cases, where the law requires the passing on of information to third parties, the organization will be informed of the forwarded information within the scope of law.

Due to accreditation requirements it is mandatory for GL Systems Certification to maintain a register of certified customers which is to be made available on request. Hence, the following data are excluded from confidentiality: (1) Name of the organisation, (2) certified standard, (3) Scope and (4) certified sites.

### **Employment and qualifications of auditors**

For auditing and certifying management systems GL Systems Certification chooses auditors with the required qualifications and relevant professional experience. Continuous internal and external education maintains the knowledge of these employees always at the required level.

Auditors and veto persons intended to be employed with a certification procedure may not have acted as consultants to the organization during the introduction and implementation of their management system. Clarification of questions regarding the certification procedure is permitted.

External auditors and experts may be included in the audit team. The organisation can object to the employment of auditors and experts without stating reasons. In that case GL Systems Certification will refrain from appointing them. External auditors and experts are bound by contract with GL Systems Certification to observe confidentiality. All auditors have to comply during the entire audit including grading of possible non-conformities with the GL Systems Certification documentation and related documents.

### **Safekeeping of documents**

GL Systems Certification will keep all certification records, documents and reports for a period of 1 year in electronic form beyond the period of validity of the agreement.

## 7. ORGANIZATION'S RESPONSIBILITIES

In order to maintain the certificate, the organisation has to comply with certain requirements as requested by the accreditation. Amongst those issues are the following points.

### Compliance with the requirements of the standard(s)

It is mandatory for the organisation to maintain a system in full compliance with the certified standard(s) and to conduct, if necessary, appropriate corrective measures.

### Self control of the management system

With the certification of their management system the organization undertakes to verify the effectiveness of their management system by regular and documented internal audits. If non-compliance to the underlying standard or of the agreed terms of the contract is found out, the organisation has to take appropriate corrective actions on their own initiative. The continuous supervision required by GL Systems Certification does not release the organization of its obligations.

### Assistance to GL Systems Certification auditors

The organization binds itself to enable GL Systems Certification to perform the audit in due time and to offer the necessary assistance to the auditors to perform the audit. Also it will permit access to the production or service areas covered by the scope of the certification and enable the review of the relevant documentation to the required extent.

If it is requested by the accreditation body of GL Systems Certification to perform a "Witness-audit" to maintain its accreditation, the organization will enable this.

Furthermore parallel audits will be performed in certified organizations by different admission offices, for example by PDV from the Netherlands.

The organisation shall make short-notice audits possible, if required in order to maintain certification.

### Modifications within the organisation

The organization binds itself to notify GL Systems Certification immediately of any modifications to its management system or other modifications affecting the scope of validity of the certificate, e.g.:

- Organisational changes (renaming, change of locations, purchase or sale of enterprises or parts thereof, legal action or bankruptcy proceedings, as far as the agreed certification scope is affected, etc.).
- Significant changes of the number of employees
- Changes to the main activities, main products or services sectors
- Major amendments to the documentation.

GL Systems Certification will check the modifications. Depending on their kind and scope, an additional audit may become necessary.

### Communicating through Email

GL Systems Certification reserves the right to communicate with the customer through Email. It is the duty of the organisation to inform GL Systems Certification accordingly if the organisation does not agree with the use of emails for communication purposes.

### Complaints against the organisation

All complaints regarding the certified management system are to be recorded and communicated to GL Systems Certification, if those complaint(s) raise doubts about the validity of the certificate. It is also the duty of the organisation to inform GL Systems Certification about measures taken. It is an accreditation requirement that GL Systems Certification might consider to conduct a special audit for verification of the ongoing effectiveness of the management system.

## 8. INTRODUCTION OF CHANGES TO THE RULES OF THE CERTIFICATION SYSTEM

The GL Systems Certification certification system is based on the standards quoted in section 2. The observance of these standards is binding to maintain the GL Systems Certification accreditation. If due to revisions of these requirements a modification of the GL Systems Certification certification system becomes necessary, all parties concerned will be informed immediately. Possible causes could be:

- Revisions / amendments to the standards underlying the certification,
- Changes of the accreditation regulations (e.g. changes of the surveillance period, directives relating to the audit fees).

GL Systems Certification will inform the organizations concerned about the contents and the effective date of the modification. Changes in the Q060 are communicated through the GL Systems Certification web-page. Depending on the kind and scope of the modification, an additional audit may become necessary.

If the organization accepts the modifications stated, it is taken for granted that on its effective date the amendments will become an integral part of the agreement.

If the organization informs GL Systems Certification that they are either not in a position or not willing to consider the amendments, the contractual relationship will terminate on the effective date of the amendments.

## 9. AUDIT COSTS AND FEES

The audit fees for the certification are stipulated by the concerned accreditation-/certification rules (e.g. "IAF Guidelines on the Application of ISO/ICE 17021 in the current issue"). Within the scope of its accreditation GL Systems Certification undertakes to maintain these requirements.

The fees for the certification and possible other costs will be agreed upon in the quotation for a period of three years. The fees will be calculated in accordance with the respective latest edition of the "Price list for the certification of management systems".

## 10. APPEALS PANEL

### Appeals, complaints, disputes

Only those customer involved in the audit process of GL Systems Certification have the right to appeal, Complaints may be filed against current certifications but also against all other proceedings by GL Systems Certification and also against real or suspected weaknesses of management systems certified by GL Systems Certification. All proceedings are to be transmitted to GL Systems Certification in writing or as mail. GL Systems Certification will deal with all those proceedings in a non-discriminatory manner with respect to all parties involved. Appeals and complaints are dealt with by an independent committee, usually consisting of the head of certification body, head of hub and quality representative (as long as their not involved in the case or in any other way not fully impartial). The appellant/complainant has the right to make his case should there be a hearing.

If GL Systems Certification can not decide on the case within 3 working days there shall be an interim information to the appellant/complainant stating the name of the person handling the case and a brief description of further steps to be taken by GL Systems Certification. Following the final decision there will an information in writing to the complainant/appellant.

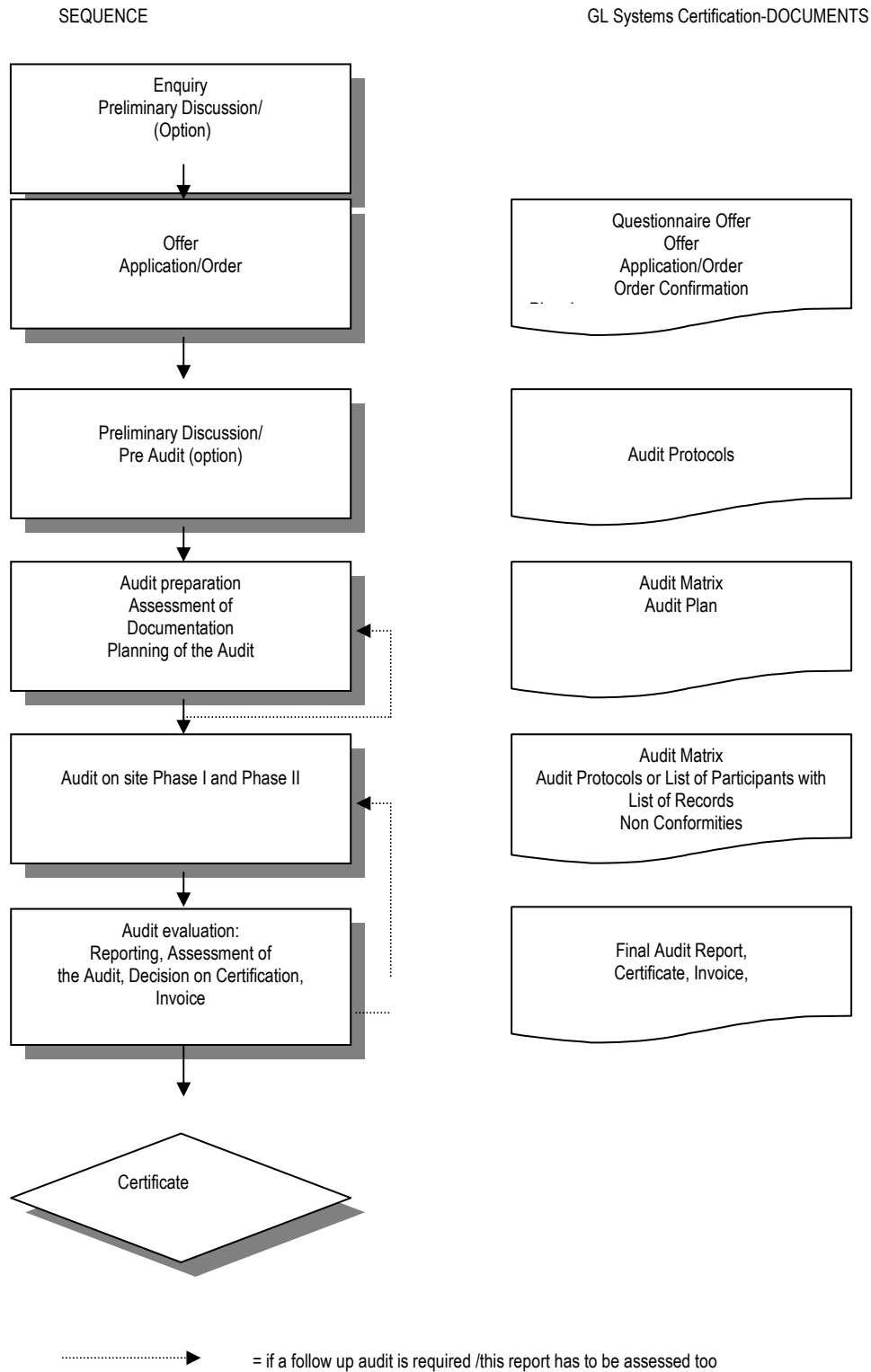
If the matter has not been resolved, the complainant/appellant may escalate the matter to the committee of experts, irrespective of their statutory rights.

## 11. COMMITTEE OF EXPERTS

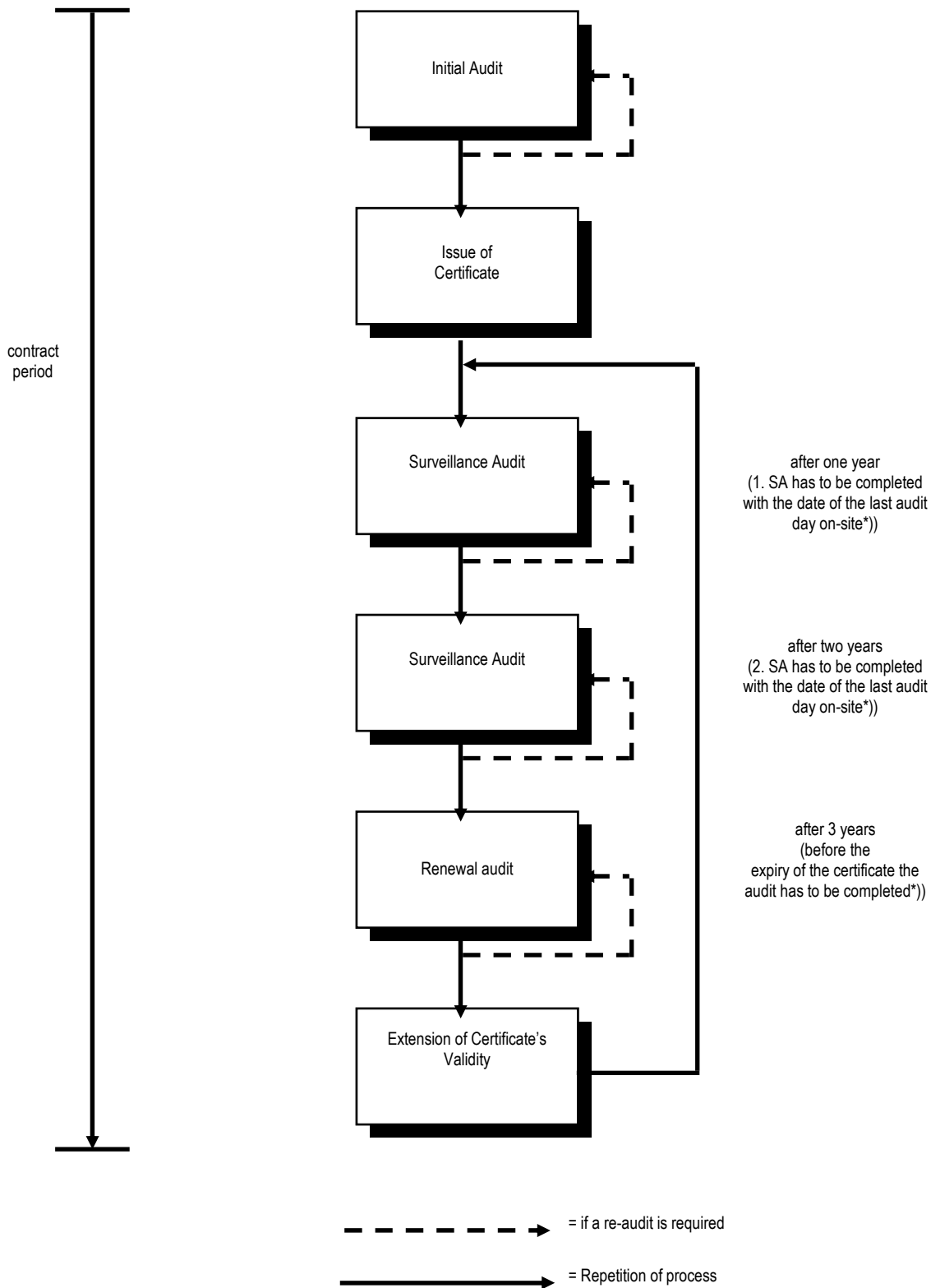
GL Systems Certification has established a Committee of Experts (governing board) according to ISO/IEC 17021 and EN 45011. In accordance with the GL Systems Certification scope of accreditation, the Committee of Experts represents the circles interested in certification. The Committee of Experts has the duties and competence defined in ISO/IEC 17021 and EN 45011. This is governed by the statutes of the committee of experts.

Alterations to these "Instruction for the Certification of Management Systems" (QO60) need the approval of the Committee of Experts.

**ANNEX I – GENERAL FLOW CHART OF INITIAL AUDIT FOR ISO-CERTIFICATION (APPLIES TO BOTH  
MANAGEMENT SYSTEMS AS WELL AS PRODUCT CERTIFICATION)**



ANNEX II – FLOW CHART OF MONITORING FOR ISO-CERTIFICATION



\*) = The audit process including the final assessment must be finalized latest until the anniversary date of the certificate in order to guarantee the ongoing validity of the certificate.

### **ANNEX III – SUPPLEMENTARY REGULATIONS FOR CERTIFICATION ACCORDING TO DIN EN/AS/JISQ 9100/9110/9120**

Due to the special requirements connected to the certification in the aerospace sector, following supplements respective modifications apply regarding the present Q060:

In addition to the Regulations laid down in the IAF Guidance on the Application of ISO/IEC 17021, evidence of additional audit time for the certification according to DIN EN/AS/JISQ 9100/9110/9120 has to be provided. These are given in the EN9104 for. GL Systems Certification will consider these additional expenses in its offer for certification.

The audit of multiple site organizations for a single certificate shall be conducted by auditing each site to the complete EN/AS 9100 / 9110 standard requirements prior to initial certificate issuance.

For re-certification audits audit program shall ensure that each site is audited to the applicable EN/AS 9100 / 9110 clauses for each site and central office/site.

For surveillance audits, the audit program shall ensure that each site is audited at least once during the surveillance audit cycle to the applicable EN/AS 9100 / 9110 clauses for each site. In addition, the central office/site shall be audited in each year of the surveillance audit cycle.

For EN/AS 9120 only, sampling of multiple sites shall comply with the guidance provided in the IAF Guidance on the Application of ISO/IEC Guide 62 and shall be limited to sites located in the same country. Surveillance/Recertification assessment shall assure that each site under a single Registration/Certificate is assessed during the period of validity of the Registration/Certificate.

Before the Initial audit one Pre-audit is allowed.

In case of companies to be certified acc. to DIN EN/AS/JISQ 9100/9110/9120 with shift works, all shifts have to be audited comprehensibly.

A certificate will be issued only, if all Non Conformances have been closed. The certification body shall submit the summary results of the assessments performed to DIN EN/AS/JISQ 9100/9110/9120 into the IAQG OASIS database within one month after the certificate issue date or surveillance visit date. The certified organisation commits itself to this entry.

Separate costs for this entry will accrue. These costs are included in the offer for certification submitted by GL Systems Certification.

The certificate must include exact data regarding the standard being certified and, if applicable, a reference regarding equivalence with the two other sector schemes (e.g. EN 9100 with AS 9100 and JISQ 9100). As far as the contents are the same, the standards AS 9100 and JISQ 9100 are fulfilled likewise.

If there are different revisions and contents, a decision on the validity has to be made once again.

Furthermore, the certificate must contain a reference to the current national/sector scheme document (e.g. EN 9104).

The Surveillance and Renewal Audits shall be performed 12/24 month respective 36 month after the Initial Audit at the latest. date.

**All European accreditation bodies have uniform instructions for the issue and use of their certificates and audit seals to be observed by the certification bodies. Please notice the following instructions of this memorandum, in order to avoid misunderstandings and problems.**

## ISSUANCE OF CERTIFICATES

### Range of validity of the Certificate

The scope of the certificate has to be clearly defined in the certificate especially with regard to:

- **Legal person(s)**  
In the certificate the organization audited must be clearly defined. If the said organization maintains several locations covered by the certification, these have to be clearly stated in the certificate and/or an Appendix to it.  
Sub-certificates for different locations are possible.
- **Main activities and main products and/or services**  
The products and/or services covered by the certification must be clearly specified by the certificate. Please observe that maximum 256 characters are available for describing the scope.  
For certificates with multiple locations each location must be mentioned together with its respective scope.

## USE OF CERTIFICATES

The certificates may be published as a whole or passed on to third parties in the form of copies. Enlargements and reductions to scale are possible. Certificate copies in 1:1 scale are to be clearly identified as such. Amendments, falsifications and extracts (including extract enlargements) of the certificates are not admissible.

## USE OF CERTIFICATION SYMBOL

The authorization for the use of the GL Systems Certification -seal shall apply exclusively to the agreed certification scope.

The GL Systems Certification -seal has only to be used in such a way as shown in the enclosed Appendix. Principally, the seals have to be used such as to be still legible.

The seal may not be used in a misleading way, i.e. not in such a way as to produce the impression that the seal confirms the product quality. This may be the case when used on products or their packages, attestations as well as product papers, certificates or documents added to the product.

The use on stationery, general information brochures and other PR material is permitted.










To avoid confusion the GL Systems Certification-logo should not be bigger than the logo of your company.

Holders of a valid certificate may use the audit seals under following conditions:

- **GL Systems Certification audit seal**  
The seal of GL Systems Certification can only be used by adding the identification of the standard, in compliance to which the certification has been performed.
- **SCC-Certification**  
Certified contractors and personnel-service companies may use the SCC Logo in accordance with the attached samples.

**We kindly ask you to present to us all advertising - draft documents using our seal for prior verification. We are pleased to place our GL Systems Certification -seals at your disposal in electronic form and offer assistance for the proper use.**

**Samples how to use the GL Systems Certification-Seals**

<b>Certification concerning Quality</b>		
 <p>GL Systems Certification</p>	 <p>GL Systems Certification</p>	 <p>GL Systems Certification</p>
<b>Certification concerning Environment</b>		
 <p>GL Systems Certification</p>		
<b>Certification concerning Safety</b>		
 <p>GL Systems Certification</p>	 <p>GL Systems Certification</p>	
 <p>GL Systems Certification</p>	 <p>GL Systems Certification</p>	
<b>Multiple certification*)</b>		
 <p>GL Systems Certification</p>		

\*) In case a multiple certification is required, e.g. quality and environment, a GL Systems Certification seal will be available.

## Issue of certificates

### Certification of a single company



\*) In case of a certificate with several locations each certified location has to be mentioned with address and scope on a separate appendix.

In case of certificates with several locations the issue of location certificates is possible but only with a common certificate number and a supplement such as XXX/1, XXX/2 etc.