

# **GL Systems Certification Guidelines – Management Systems Certification**

Germanischer Lloyd SE Competence Centre Systems Certification – Brooktorkai 18 - 20457 Hamburg  
Handelsregister Hamburg, HR B 115442

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## 1. Purpose and scope

### 1.1. 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.

### 1.2. 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:**

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.

- Energy management system (EnMS): EN 16001, ISO 50001
- Food: HACCP; ISO 22000; GMP
- Disposal of waste: EfbV
- Aerospace Industry: EN 9100, EN 9110, EN9120
- Education and training: certification acc. to Requirement SGB III
- Security: 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 (audit)

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 certification period of three years includes an initial or renewal audit and two surveillance audits with the exception of CCQI, CTQI, EfbV with annual certificate renewals.

The audit programme is developed annually and ensures that the applicable requirements are met.

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

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

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.

It is to be avoided that due to repeated assessment indirect consultancy takes place.

##### 4.1. Enquiry / quotation / order

Before preparing a quotation it has to be checked whether the enquiry can be covered by the scope of accreditation of GL Systems Certification. The feasibility will be checked (standard, branch/scope, auditor, date). The offer will be prepared on the basis of the data specified in the questionnaire. Every quotation is clearly identified with a quotation No. and date. The "GL Systems Certification Guidelines" and the General Terms and Conditions of GL SE as well as the current GL Systems Certification price list are attached to the quotation. 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 sign the quotation, in order to conclude the contract. After the acceptance of the order an order confirmation and a draft of the certificate will be issued.

When GL Systems Certification declines an application for certification the reasons for declining are documented and the organization will be informed.

Before the Initial audit one Pre-audit is allowed.

##### 4.2. 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 and the audit team will be announced as a contact person to the organization in time.

In case of combined audits and the use of two Lead Auditors a Team Leader will be nominated who is responsible in front of the client and the certification body.

Organizations where several locations audited a Team Leader (if not the Lead Auditor) needs to be appointed.

Depending on the certification procedure, f.e. standard and size, an adequate audit team will be nominated. Criteria for the selection are the following:

- Qualified as Lead Auditor or Auditor or authenticated (EN/AS 91xx Lead Auditor) or accepted Auditor for the certification standard, special requirements apply to ISO 28000 and KBA auditors

- Scope experience
- Audit objectives, scope, criteria and time of the audit
- Combined, integrated or joint audit
- Overall competence of the audit team needed to achieve the objectives of the audit
- Whether the members of the audit team have previously audited the organizations management systems
- Availability
- Language, culture
- Acceptance by the client (disapproval by the client accepted once)
- Independency
- Knowledge about special social and/or cultural characteristics

DAkKS requires that the audit is to be staffed with a team in case of the audit duration exceeding 4 days (for Energy Management audit duration exceeding 3 days). Exemptions from this rule are to be agreed with Hub or Global Practice.

Before starting the audit on-site, the audit team must be instructed by the Lead Auditor or Team leader (in case of combined audits). Results of the manual assessment including status of issued nonconformities, audit plan and all agreements with the client must be communicated in the team (including travel and safety organization). The Lead Auditor provides the audit team member with all necessary audit forms to perform the audit on-site.

Each Auditor must confirm in written his/her impartiality using the valid GL Systems Certification form and make available to the respective Hub.

Audit tasks relating to the technical aspects of processes (e.g. their management, controls, capability and effectiveness) which demand specific technical competence in relation to the audit criteria shall not be delegated to auditors who are not competent for the technical area as relevant for each certification scheme.

### **4.3. Audit preparation and performance**

#### **4.3.1. General**

In cooperation with the organization, the Lead Auditor will set up 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.

Comments to the audit plan have to be submitted in advance but not later than during the opening meeting. We will be pleased to consider them.

The audit takes place by interviewing employees belonging to the whole hierarchy of the company (not only the management), reviewing documents and records, observing the on-site activities and work conditions. The requirements of ISO 19011 are to be considered. Basis is the client's documentation and the standard applied for.

The audit should take place in a fair, clear and goal-directed manner. Suggestive and catch questions as well as instructive behaviour are not admissible.

It shall be demonstrated that the central office of the organization has established a management system in accordance with the relevant management system standard under audit and that the whole organization meets the requirements of the standard. This shall include consideration of relevant regulations.

#### **4.3.2. Audit objectives**

The objective of the audit is to achieve the following points:

- Determination of the conformity of the organizations management system with the audit criteria
- Evaluation of the ability of the management system to ensure requirements
- Evaluation of the effectiveness of the management system to meet the objectives
- Identification of areas for potential improvement

#### 4.3.3. Initial Audits

Unless otherwise specified, all Initial Audits consist of two phases which are conducted as on-site audits.

#### 4.3.4. Surveillance audits

Surveillance audits are on-site audits and scheduled with reference to the date of initial audit on-site. Surveillance audits are conducted at least once a year. The date of finalising the first surveillance audit following initial certification shall not be more than 12 months from the last day of the stage 2 audit (including audit on-site and final decision).

The following annual surveillance audits are planned within a period of +12 months (or multiples of 12 months) following the last day of phase II audit on-site.

#### 4.3.5. Renewal Audit

Renewal audits are scheduled prior to expiration of certification. The new three-year certification cycle starts with the expiry date of the previous certificate or the date of recertification decision (in cases where the audit is performed after expiry date).

During a recertification audit, special attention shall be paid to

- The effectiveness of the management system during the entire past certification cycle, particularly taking into account internal and external changes and their relevance and applicability to the scope of the certification
- Continual improvement together with maintaining efficiency of and improving the management system for enhancement of overall performance
- How the operation of the certified management system contributes to the achievement of the organisation's policy and objectives.

During planning as well as during the renewal audit itself, the performance of the whole certification cycle (stretching over the past 3 years) needs to be taken into account. Previous surveillance reports must be reviewed.

In exceptional cases the performance can be postponed. The renewal audit including the final decision should finalize within 6 months after expiration of certification. Otherwise an Initial Audit will take place to restart with the certification.

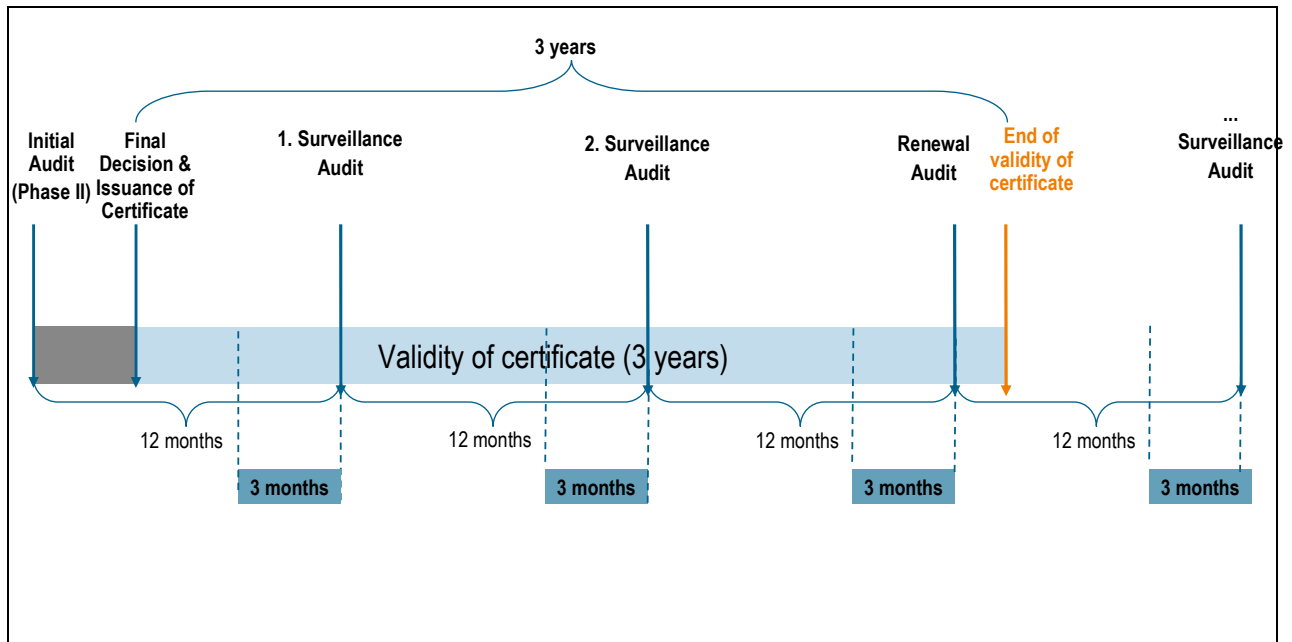
However until recertification the company may not use the certificate and logos for advertising.

#### Specifics:

- 27001/28000 Multi-site: ALL sites with significant risks shall be visited every year
- EnMS:
  1. Audit plan  
The audit plan is to transfer to the organization for at least 4 weeks prior to the performance of the audit (in writing). The auditor must ensure when preparing the audit plan, that the basic data of the organization is accurate and up to date.  
The audit day equals 8 hours on site. This length must not be exceeded regularly. Especially the audit day shall not exceed a length of 10 hours.  
For combined audits must emerge from the data, what times for the subjects of 16001/50001 are provided and what times of the subjects of the other standards.
  2. Audits  
In all audits of the certification period is to ensure that one key aspect is considered in the audit. Re-certification process must be performed in time so that a seamless certification is guaranteed.

#### 4.3.6. Audit time windows

The following chart presents the certification cycle as well as the audit time frames:



The audit time windows are always ending 12/24/etc. months after last day of Initial Audit. It is also possible that audit time windows are aligned at the date of last Renewal audit instead of date of Initial Audit.

The following chart presents an example of the validity of certificate and audit time windows per audit type:

Audit	Validity of certificate	Example Validity of certificate	Example Audit time windows
IA	From: date of certification decision Until: + 3 years minus 1 day	2010-01-15 2013-01-14	
SA			(last day of Initial audit: 2009-12-20) 2010-09-20 - 2010-12-20
RA	From: expiry date certificate + 1 day Until: expiry date previous certificate +3 years	2013-01-15 2016-01-14	2012-09-20 - 2012-12-20
RA after expiry date of certificate	From: date of certification decision Until: expiry date previous certificate +3 years	Certification decision e.g.: 2016-01-30 2019-01-14	2015-09-20 - 2015-12-20

Requests from clients for postponement of audits beyond the time window will be decided from case to case: In case the due date of surveillance audit is exceeded, the certificate is to be suspended unless the client has clear grounds to postpone the surveillance audit. (Note: the first surveillance audit following initial audit (Phase II) shall not be more than 12 months from the last day of the phase 2 audit). During the period the certificate is suspended the client is not allowed to use the GL Systems Certification seal and/or the certificate for advertising.

In case the customer prevents the audit from taking place for a period of 8 weeks after the due date, proceedings towards suspension of certificate are to be started.

In exceptional cases, a single extension of the renewal audit on-site for a maximum period of 5 months after the expiry date of the certificate is possible.

If the renewal audit will not be performed in due time, a new initial audit has to take place. The specific scope of expenses will be checked and determined from case to case.

#### 4.4. Assessment of documentation, Phase 1 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 review should take into account the size, nature and complexity of the organization as well as the objective and scope of the audit.

If the system documentation is found to be inadequate, the Lead Auditor informs the client in written. For nonconformity identified, an individual note is issued and sends to the client. The organization has to propose appropriate corrective actions and a date for their introduction for the nonconformities.

A decision will take place whether the audit process can be continued or suspended until documentation concerns are resolved. The certification body is to be informed accordingly.

Assessment of documentation may take place prior or during phase 1 audit as checked by Lead Auditor.

##### Performance of phase 1 audits:

To assess the readiness of the management system a phase 1 Audit has to be done on-site. Here the organisation has to show that they are ready for certification. Potential nonconformities will be communicated in written form.

During this first stage the Lead Auditor will check following topics:

- **Check of documentation**
  - Management manual
  - Management policy
  - Management objectives
  - Records
  
- **Audit on-site phase 1**
  - Management
  - Internal Audits
  - Draw samples regarding control of documents and records
  - Draw samples regarding non-conforming products
  - Draw samples regarding corrective and preventive action
  - Verification of a sample of key processes

The audit shall also include the key performance or significant aspects, processes, objectives and operations of the management systems.

As a result from this phase 1 audit and during the closing meeting, the company must have a clear idea about which measures might still be required to successfully undergo the phase 2 audit.

It is mandatory for the Lead Auditor to escalate immediately to the certification body if

- The results from phase 1 suggest a deviation from the initial planning
- If the competence of the audit team as planned for phase 2 is not sufficient
- Any other of the conditions as per phase 1 audit plan are not met and cannot be rectified

It has to be confirmed that the corrective actions have been settled before the start of the initial audit phase 2. Depending on the severity and contents of the findings, the planning for phase 2 might be revised including a change of audit dates.

Specifics:

- EnMS - further topics:
  1. Check of documentation  
further process description, records (at least checklist, Energy key data, significant energy processes)
  2. On-site phase 1  
Internal Energy audits/review, potential analyses and project-/investment calculation, definition of "period", definition of key aspects
  3. The check of documentation for small companies already ISO 14001, EMAS, EEG, GHG certified, has to perform at least 1 week prior to the audit.
  4. Between phase 1 and phase 2 should be at least 2 weeks.

The audit has to consider the essential aspects of the energy management system.

#### **4.5. Audit - Phase 2**

Phase 2 will check finally the conformity between the clients system and the applicable standard requirements.

At the beginning of the audit an opening 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 according to 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).

After completion of the audit the Lead Auditor verbally informs the management and the responsible person of the functions 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.

Specifics:

- General:

In exceptional cases and only under the following conditions phase 1 and phase 2 can be combined

  - in case of a so-called small organization (<50 employees)
  - in case if the organization is a low complex organization respectively has low environmental and occupational health and safety risks
  - in case the organization has already a certified management system
  - in case the separation of phase 1 and phase 2 would result in excessive high travel costs

- EnMS:
  1. The initial audit phase 2 can start only if the organization can demonstrate activity three months (starting from the date of the review of top management).
  2. At the closing meeting must also attend the persons of the main functions that have been touched in the audit.
  3. The report considers the results on all the standard elements.
  4. An additional list of documents has to be recorded as part of the report. The audit report has to determine the key aspect for the next audit.
  5. Phase 1 and Phase 2 can be combined in addition to the above points, if the company has an environmental management system already that takes into account energy aspects.

#### **4.6. Surveillance Audit**

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.

Changes to the document management system have to be handed to GL Systems Certification at least six weeks before the date of the surveillance audit (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 demand 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.

#### **4.7. Renewal Audit**

Well in time an audit has to be agreed upon which shall be completed before the expiry date 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.

Furthermore it is important to check prior to the renewal audit if another phase 1 audit is required. This is the case (refer to 17021:9.4.1.3) following significant changes to the management system, the client, operating context etc.

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.

In that case, the continuation of the certification will be carried out after a successful audit with time and effort of an initial audit.

## 4.8. Special Audits

### 4.8.1. Multisite Audits

When companies with several locations are certified, the contract will be concluded solely with the Head office of the company, irrespective of the legal status of the locations.

A multi-site organization need not be a unique legal entity, but all sites shall have a legal or contractual link with the central office of the organization and be subject to a common management system, which is laid down, established and subject to continuous surveillance and internal audits by the central office.

The organization's management system shall be under a centrally controlled and administered plan and be subject to central management review. All the relevant sites (including the central administration function) shall be subject to the organization's internal audit program and all shall have been audited in accordance with that program prior to the certification body starting its audit.

This means that the central office has rights to require that the sites implement corrective actions when needed in any site. Where applicable this should be set out in the formal agreement between the central office and the sites.

Examples of possible multi-site organizations are:

- Organizations operating with franchises
- Manufacturing companies with a network of sales offices
- Service companies with multiple sites offering a similar service
- Companies with multiple branches
- Small sales offices (without production) shall not be considered as locations.

It has to be checked whether the company complies with and proves specific conditions of a common management system for all locations covered by the certification.

The processes at all the sites have to be substantially of the same kind and have to be operated to similar methods and procedures. Where some of the sites under consideration conduct similar, but fewer processes than others, they may be eligible for inclusion under multi-site certification providing that the sites(s) which conduct the most processes, or critical processes are subject to full audit.

Where processes in each location are not similar but are clearly linked, the sampling plan shall include at least one example of each process conducted by the organization (e.g. fabrication of electronic components in one location, assembly of the same components – by the same company in several other locations).

#### Sampling rule for audits:

The Head Office is to be audited during every initial and renewal audit and also at least annually during surveillance audits.

The minimum number of sites to be visited per audit is:

- Initial audit: the size of the sample should be the square root of the number of remote sites, rounded to the upper whole number.
- Surveillance audit: the size of the annual sample should be the square root of the number of remote sites with 0.6 as a coefficient, rounded to the upper whole number
- Re-certification audit: the size of the sample should be the same as for an initial audit. Nevertheless, where the management system has proved to be effective over a period of three years, the size of the sample could be reduced by a factor 0.8, rounded to the upper whole number.

At least 25% of the calculated sample should be selected at random. The remaining locations are to be selected as representative as possible.

During multisite audits the auditor(s) shall verify in its Head office that the central organisation is able to collect and analyse data (including but not limited to) from all sites including head office as well as its authority and ability to initiate organisational changes of required:

- System documentation and system changes;

- Management review;
- Complaints;
- Evaluation of corrective actions;
- Internal audit planning and evaluation of the results;
- Changes to aspects and associated impacts for environmental management systems (EMS)
- Different legal requirements.

The audit in the Head office must also include the interfaces to the locations.

Multisite audits may also have no open NC left irrespective of whether it was raised at head office or in any location. It is not permitted to omit the 'problematic' location.

If, in the case of a multisite process, only one location has an open nonconformity at the time of the certification decision, the certification of the whole QM system has to be refused, until sufficient corrective actions have been carried out.

It is not permissible for an organisation, to exclude such a „problematic“ location, to circumvent the obstacle for the certification, created at one location.

Nonconformity notes raised during a multisite audit are to be evaluated by the Lead Auditor with respect to the need of increasing the sampling frequency and/or sampling size. If so, this is to be agreed by a veto person as well as the persons named under the topic "decision of certification". The decision is to be recorded. If the Lead auditor decides that no change to sampling is necessary, no further records are required.

#### Specifics:

- EnMS:
  1. The sampling procedure for multisite audits is only possible if all sites have a certificate (initial audit and both surveillance audits) and have completed the first certification cycle. Exclusion: companies with existing environmental management system (single or matrix) and at least one certification period.
  2. Locations are excluded by § 41 EEG/EMAS.

#### **4.8.2. 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.

#### **4.8.3. 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.

#### **4.8.4. 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 re-calculation of the audit duration.

The audit team as a whole shall satisfy the competence requirements for each technical area as relevant for each certification scheme covered by the scope of the combined audit. In cases where the audit team leader does not have the competence required to audit all management system standards covered by the combined audit, individual team members shall be appointed as the 'lead' for each applicable standard and be responsible for any related recommendations that fall outside the competence of the audit team leader.'

All applicable elements of each management system standard relevant to the scope of the combined audit visit shall be adequately assessed.

#### **4.8.5. Take Over Audits – Transition procedure**

The transition of a client to GL Systems Certification will be handled according to the following procedure:

- Order confirmation by the client
- The client forwards documents to GL Systems Certification
- Take Over Review of documents by GL Systems Certification
- It might be necessary to re-calculate the offer if the take over review reveals any problems
- GL Systems Certification plans and performs the next re-certification or surveillance audit
- Issue of Certificate by GL Systems Certification after a successful audit

GL Systems Certification needs the following information for the transition

- Current valid certificate
- Last report re-certification audit and all following reports up to date, incl. closed non-conformities and corrective actions

#### **4.9. Audit nonconformities**

If it is found that standard requirements are not fulfilled and/or the management system does not comply with its actual condition, these errors / deviations have to be recorded as non-compliances:

Non-compliances are to be described accurately:

- Basis of check (request of standard item, ref.-document and original unit)
- Exact description of non-compliance including possible proof as evidences (e.g. document No., drawing No., order No.)
- Rating of the nonconformity
- Multisite audits: the auditor shall try to establish if other sites and/or head office might be affected
- Integrated audits: the impact of a nonconformity found for one of the system standards should be checked with respect to the compliance of the management system(s) with the other standards.
- Combined audits: it must be ensured that the person(s) reviewing NCN and consequent corrective measures is/are competent for all standards covered by the management system.

The audit findings (compliances, non-compliances and potentials for improvement) will be assessed during final discussions. To avoid misunderstandings, the non-conformity notes should be formulated and documented directly at the department/function/process audited. The original form is left with the organisation, a copy is kept for monitoring by GL Systems Certification.

If it proves in the course of the audit that documentation requirements have not been implemented (numerous implementation non-compliances), the management / management representative is to be informed that the audit cannot be successfully performed and that another complete audit may be required (no re audit). The reasons will have to be stated.

For economic reasons it is left to the company to decide on continuation of the audit. If the same occurs during a new audit, a third attempt is admissible only with the consent of the GL Systems Certification management; subsequently auditing is to be discontinued.

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.

#### **4.10. Corrective actions**

Have nonconformities to the chosen standard been identified, the organization has to perform a corresponding root cause for these nonconformities and to start corrective actions with dates to when the corrective actions will be completed. The performance of the root cause and the planning of corrective measures shall be communicated to GL Systems Certification within a time period agreed with the lead auditor 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 root cause, the 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.

Specifics:

- **Multisite Audit:**  
if the Nonconformity note affect more than the location where they were raised, the corrective action by the customer has to include all those locations affected (if necessary, also head office). If only the location of origin of Nonconformity note is affected, then this should be proven by the organisation.
  
- **27001:**  
under the multi-site scheme, corrective action found at the head office or at a single site needs to cover all sites under the management system. Legal and other requirements are to be checked by sampling.

#### **4.11. 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 audit. 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.

These person need to follow the decision of the audit team or veto person in the case to not grant a certificate. The final decision is part of the final audit report or a separate final assessment document is produced. The certificate may only be issued and/or its validity confirmed or extended when at the time of the certification decision all nonconformities are closed.

Specifics:

- EN/AS 91xx: The review is performed by veto-persons with experiences and knowledge of aerospace and space industry.
- EnMS:  
The review must be performed by veto persons with experience and knowledge in energy management systems and be approved as EnMS auditors.

#### **4.12. Certification**

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.

The certification documents comprises the following documents

- Audit report
- Veto report (may be combined with audit report)
- Certificate (contains the information according to the annex of this procedure)

DAkKS accredited certificates must be in English or German language. In addition entire translations in other languages are possible.

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.

A certification covering multiple sites shall contain the name and address of the central office of the organization and a list of all the sites to which the certification documents relate. If the certification scope of the sites is only issued as part of the general scope of the organization, its applicability to all the sites shall be clearly stated.

The locations covered by the certification may be stated either in an appendix to the certificate or in a sub-certificate each marked with certificate number and continuous number or letter, separate by "/" which clearly refer to the main certificate.

Within the scope of a surveillance audit or extension audit, further locations and/or activities may be included in the certificate.

The certificate will be issued in line with the certification scope as agreed and checked during the audit on-site. The respective Accreditation has to be considered.

If the audit results do not justify the issuance / maintenance of the certificate, the reasons and the decision will also be communicated in the Final Report:



- Re audit to verify corrective actions
- Suspension of certificate
- Withdrawal of certificate.
- Issuance of certificate can not be justified.

The organization may appeal against the GL Systems Certification decision.

#### 4.13. 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.

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

<p><b>Certification concerning Quality</b></p>	 <p>The seal consists of a blue square with the white letters 'GL' on the left, and a smaller blue square on the right containing the text 'ISO 9001'. Below these squares, the text 'GL Systems Certification' is written in a smaller font.</p>
<p><b>Multiple certification</b></p>	 <p>The seal consists of a blue square with the white letters 'GL' on the left, and a smaller blue square on the right containing the text 'ISO 9001' and 'ISO 14001' stacked vertically. Below these squares, the text 'GL Systems Certification' is written in a smaller font.</p>

#### 4.14. Additional guidelines for specific standards

##### 4.14.1. GMP

- Additional subjects of the contract for GMP are the GMP Standard GMP+ A1 Reglement and GMP+ A3 GMP+ Markenzeichen.
- GL Systems Certification commits to forward all reports, NCN's, certificates and other information to GMP+
- It is mandatory for GL Systems Certification to allow the accreditation bodies (DAkkS/GMP+) access to GMP relevant files or offices.
- Complaints to the organization can be monitored by GL Systems Certification. Information will be forwarded to GMP+.
- The use of the GMP-seal must comply on the terms of GMP+ A1 and GMP+ A3.
- GL Systems Certifications will inform immediately GMP+ of any abuse of the seal and/or logo.
- In case of cancellation of the contract the certificate will invalid. GMP+ will be informed immediately.
- Disputes between organization and GL Systems Certification can be regulated by the GMP Dispute committee in the head office of GMP+ according to the GMP Disputes Procedure (GMP+ A4).
- GMP+ has no liability whatsoever with respect to the assessment of companies by the certification bodies.
- Parallel audits can be performed in certified organizations by GMP+.

## **5. Suspension and withdrawal of the certificate**

### **5.1. Suspension of the certificate**

In the event of a violation of 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 6 months). 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 within two months after due date,
- 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 certified management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the management system,
- the client has voluntarily requested a suspension,
- the GL Systems Certification Guidelines are otherwise contravened.

Depending on the reasons for the suspension, the certificates will be suspended for a period determined by GL Systems Certification. 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 cancel 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 (the certification is temporarily invalid).

### **5.2. 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 "appeals".

Depending on the reasons of the withdrawal, GL Systems Certification may terminate the agreement.

It may be possible in certain cases to reduce the scope of the certificate 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**

### **6.1. 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.

### **6.2. 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.

### **6.3. Safekeeping of documents**

GL Systems Certification will keep all certification records, documents and reports for the duration of the current cycle plus one full certification cycle in electronic form.

## 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.

### 7.1. 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.

### 7.2. 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.

### 7.3. 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. Required documentation (such as management manual) has to be provided available by the organization. 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. The organization provides supervisors to assist the auditors.

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 GMP+ from the Netherlands.

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

### 7.4. 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.
- Significant changes in energy use (only EnMS).

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

### 7.5. 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.

### 7.6. 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's 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's 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 Guidelines 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. The fees will be calculated in accordance with the respective latest edition of the "Price list for the certification of management systems".

## **10. Appeals and Complaints Panel**

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 to the complainant/appellant.

Together with the complainant it will be decided whether the complaint and the solution or extracts from it are made available to the public.

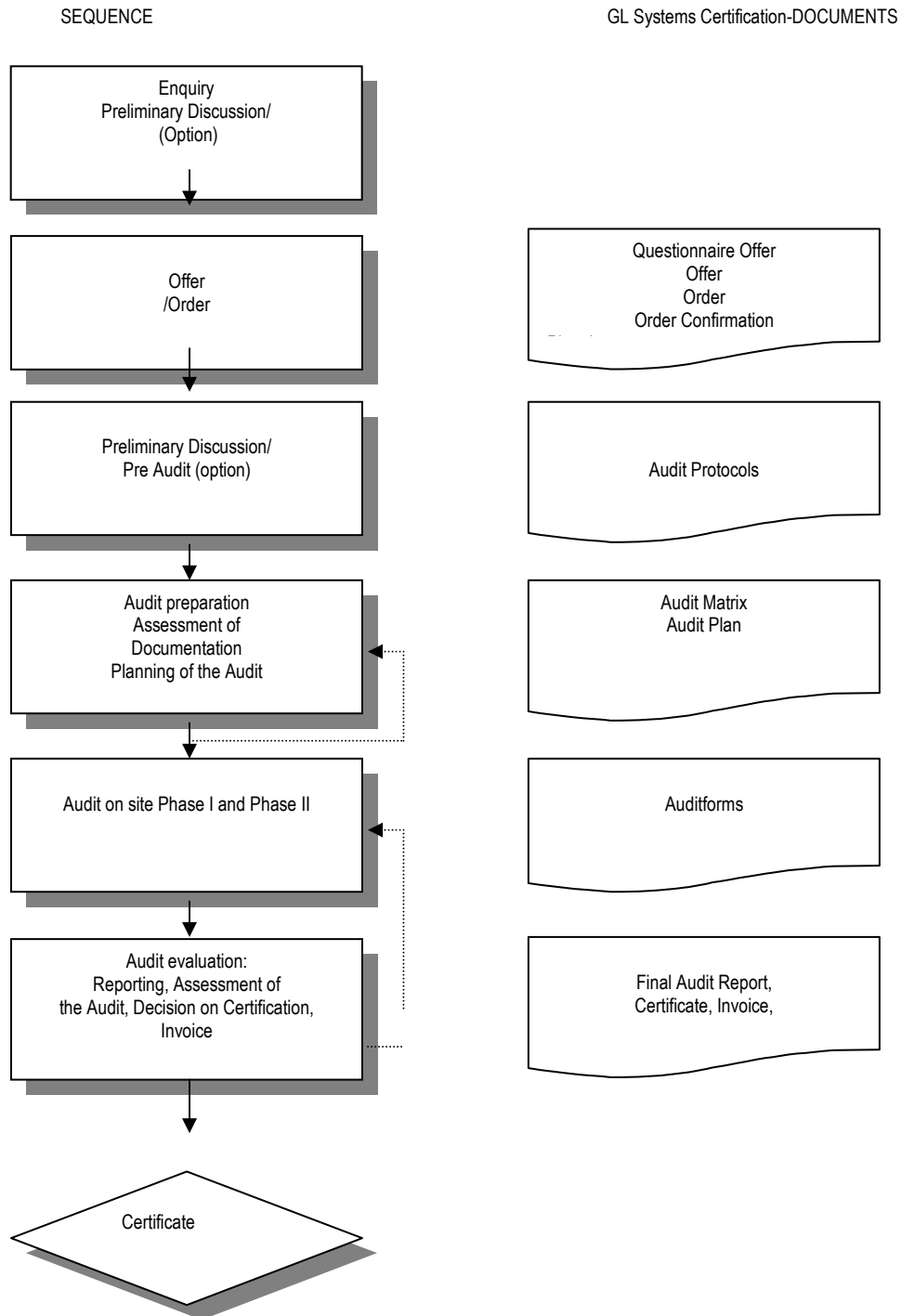
If the matter has not been resolved, the complainant/appellant may escalate the matter to the committee of experts, irrespective of their statutory rights.

## **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 and confirms the impartiality of the certification body. This is governed by the statutes of the committee of experts.

Alterations to this Guideline need the approval of the Committee of Experts.

**12. Annex I – General Flow Chart of Initial Audit for ISO-Certification**  
(applies to both management systems as well as product certification)



.....> = if a follow up audit is required /this report has to be assessed too

### 13. Annex II – Supplementary Regulations for Certification (acc. 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 guideline:

The audit duration is calculated based on the requirements of the IAF M5 document and the EN 9104.

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 IAF MD1 document 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.

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 30 days after the certificate issue date. The certified organisation commits itself to this entry. After a surveillance audit the entry into the OASIS Database must be done within 90 days after the audit. Prerequisite is that all Non-Conformities are closed. Otherwise the certificate must be suspended in the OASIS Database.

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.

#### 14. Memorandum on the Issuance of Certificates, Use of Certificates and Audit Seal

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 it's 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 below. The seal is shown in the colour Pantone 308 (CMYK: 100/0/0/51) or black / white. 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 / activities. 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 samples shown below.

**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.**

 <p>GL Systems Certification</p>	 <p>GL Systems Certification</p>
 <p>GL Systems Certification</p>	 <p>GL Systems Certification</p>

## 15. 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.