

Rules for conducting audits

of services of the

Technical Service Category C

of GTÜ Certification GmbH

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1. GTÜ Certification GmbH introduces itself

GTÜ Certification GmbH was founded in July 1995 by GTÜ Gesellschaft für Technische Überwachung mbH.

GTÜ Certification GmbH is accredited by DAkkS Deutsche Akkreditierungsstelle GmbH in accordance with the European standard DIN EN ISO/IEC 17021 and is designated as a technical service category C by KBA and SNCH.

This authorizes GTÜ Certification GmbH to certify and monitor management systems in the following areas

- DIN EN ISO 9001:2015 Quality management systems
- DIN EN ISO 14001:2015 Environmental management systems
- DIN EN ISO/IEC 27001:2017 Information security management systems (only ongoing procedures until October 31, 2025)
- DIN EN ISO/IEC 27001:2024 Information security management systems

The following services are provided by the Technical Service category C (hereinafter also referred to as TS C)

- Carrying out inspections for initial assessment
- Conducting audits as part of conformity of production (CoP-Q), also in conjunction with conducting QMS audits in the combined procedure
- Verifications (only in the national area of parts certificates regulated by the StVZO)
- Other services commissioned by the type approval authorities that are directly related to the above-mentioned activities

The aim of GTÜ Certification GmbH is to bring together the expertise and extensive professional experience of in-house and freelance experts from a wide range of disciplines and to use this for optimum certification of management systems and approval-relevant requirements.

For us, the principle is: "Success is based on quality".

Our customers come from a wide range of industries and we take into account customer and industry-specific aspects of the structure of the management systems that the standards expressly provide for.

For us, certification is not only about assessing conformity with standards, but also about checking the functionality and efficiency of management systems in order to maintain the trust that our customers and our customers' business partners place in our certificates and assessments and in the certification system in general.

We therefore regard the certificates of GTÜ Certification GmbH as

"Seal of trust".

Maintaining this trust is our top priority.

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A key feature of GTÜ Certification GmbH and the Technical Service category C is our impartiality, our neutrality and our high sense of responsibility. For us, impartiality means providing access to our certification services to all customers without discrimination and on equal financial and other terms, regardless of the size of the applicant's company or membership of certain groups or associations.

By neutrality, we mean offering all our customers the same conditions for certification and not favoring or benefiting any of our customers. In order to maintain our neutrality, we therefore refuse to provide consultancy services in the management sector, in the well-understood interests of our clients.

We strictly observe the following principles:

1. no persons will be employed on GTÜ Certification GmbH contracts who have been involved in consulting the customer named in the GTÜ Certification GmbH service contract for less than 2 years prior to the award of the contract. Furthermore, the above-mentioned persons undertake for a period of 2 years after completion of the procedure, the above-mentioned persons undertake not to be involved either directly or indirectly in consultancy services for the development of the management system of the GTÜ Certification GmbH customers concerned. Consultations also include internal company training and internal audits.
2. in order to ensure the independence and impartiality of GTÜ Certification GmbH both internally and externally, a strict separation is made between the tasks of the employees of GTÜ Gesellschaft für Technische Überwachung mbH and GTÜ Certification GmbH. This rules out the possibility of these employees simultaneously providing consultancy services for a customer via GTÜ mbH and working on GTÜ Certification GmbH assignments.
3. no audits are outsourced to consultant organizations for management systems or other certification bodies are certified by GTÜ Certification GmbH. GTÜ Certification GmbH excludes cooperation with consulting organizations in order to maintain impartiality and neutrality.

The audit objectives of GTÜ Certification GmbH and the Technical Service category C are, among others

- determining the conformity of the customer's management system or parts of this management system
- to determine the ability of the management system to ensure the customer's compliance with the applicable legal, regulatory and contractual requirements
- the determination of the effectiveness of the management system to ensure that the client can reasonably expect to achieve its defined objectives;
- the identification of areas for possible improvement of the management system
- The review and evaluation of adequate arrangements and procedures implemented by the manufacturer to ensure effective control to ensure that vehicles, systems, components, separate technical units or parts and appliances conform to the approved type during production.

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2. The auditing procedure of the Technical Service category C

The auditing process is divided into the following phases:

- Phase I: Information and preparation phase
- Phase II: Auditing phase with possible monitoring

2.1 Information and preparation phase

This phase serves to provide our customers with specific information on the individual steps of the procedure and the costs. This phase is also used to assess whether the prerequisites for carrying out the procedure are met.

2.1.1 Information and handover of the application documents

On request, interested parties will receive the "Customer information TS C" form to request a quotation for the audit procedure.

2.1.2 Application for the preparation of an offer

Interested parties return the completed "Customer information" form to the Technical Service Category C. The application with the customer-specific information and data contained therein (details of the company and persons commissioned, details of management systems, details of employees and production facilities, details of approval objects and type approval authorities) is checked by TS C.

If the conditions for carrying out an initial assessment inspection are not met, the applicant will be notified accordingly.

2.1.3 Preparation of an offer

Based on the customer information, the TS C prepares a concrete offer for the audit. The following documents are sent with the offer:

- Price list of the TS C of GTÜ Certification GmbH
- General Terms and Conditions of TS C
- Rules for the audit performance of TS C

Offers include the following points depending on the customer's requirements:

- Administrative order processing
- Performance of a pre-audit (optional)
- Determination of readiness for certification (stage 1 for 2-step procedure - initial audit)
- Stage 2 - on-site audit of the company
- Post-audit (if required)

2.1.4 Acceptance of the offer by the client

By accepting the offer in writing, the customer agrees to the rules for conducting the audit and the costs as well as the General Terms and Conditions of TS C. The contract between the Technical Service Category C and the customer is concluded. The auditing procedure and, if necessary, additional measures to prepare for the audit are then initiated.

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2.1.5 Preparation for the audit

To assess the maturity level of its system, a customer has the option of having its system subjected to a pre-audit by the Category C Technical Service.

A pre-audit is offered by Technical Service Category C a maximum of once per procedure. The customer's system is checked on site and its readiness for auditing is assessed.

2.2 Initial audit (initial assessment)

For customers who want to apply for permits from a licensing authority for the first time, an additional stage 1 audit is scheduled to ensure readiness for the inspection. The stage 1 audit can be carried out on site or remotely.

The detailed determination of the date begins with the coordination between the customer, audit team/auditor and TS C.

After a positive assessment by the auditor of the stage 1 audit, the stage 2 audit is scheduled.

2.2.1 Sending relevant documents to the Technical Service Category C

Documents relevant to the audit are requested from the customer in good time before the scheduled audit date.

The documents may include, among other things

- Possible manual
- Procedural instructions of the company
- Organizational plan of the company
- ...

2.2.2 The stage 1 audit

Prior to the audit, an audit plan is drawn up which shows the implementation and scheduling of all activities. The stage 1 audit can be carried out on site or remotely.

The audit objectives of the stage 1 audit include

- Evaluation of relevant documented information
- Evaluation of site-specific conditions
- Assessment of the customer's level of preparation with regard to the requirements
- Assessment of whether the degree of implementation is sufficient for stage 2
- Coordination of the details for stage 2

The audit result is recorded in a stage 1 audit report.

2.2.3 Implementation of the stage 2 audit

Prior to the audit, an audit plan is drawn up which shows the implementation and scheduling of all activities.

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All approval-relevant requirements must be audited on site. The approval objects to be audited must be selected accordingly and, in the case of certifications or other procedures with regular audits, planned for at least an entire certification period or the duration of the procedure. The program must be documented.

A clustering of essentially similar approval objects is permissible. The aim is to audit as many types of approval objects as possible in one auditing period and all approval objects over a longer period of time.

The audit must result in an analysis of the risks relating to

- critical or approval-relevant product and system properties
- process parameters
- Compliance with specific requirements from the legal act, approval, type-approval regulation

be planned and carried out in a process-oriented and company- and approval object-specific manner.

In addition to the general technical vehicle regulations, the auditor must also be familiar with other approval-relevant requirements in accordance with the regulations of the type approval authorities on whose behalf the audit is carried out and check their implementation on site.

In addition to the systematic assessment of the management system, each on-site audit must include, at least for the selected sample, a review of the up-to-dateness of the information in approvals already granted (not only the information directly relating to the product) and the up-to-dateness and availability of the relevant regulations.

If the approval holder has the products to be approved/approved or significant parts thereof manufactured in other legally independent companies, the extent to which the approval holder complies with its obligations arising from the approval with regard to production must be assessed.

At the end of the audit, a final meeting is held with the customer in which the customer is informed of the results of the audit. If there are any non-conformities, these are recorded in reports by the audit team leader.

The customer is requested to describe and implement appropriate corrective measures. In this case, the auditor can recommend the initial assessment in the corresponding CoP report directly or only after the corrective actions have been completed.

The closure of non-conformities is usually carried out by reviewing the documents submitted by the customer for the measures.

However, depending on the severity and scope of the non-conformities, a follow-up audit may also be necessary to review the corrective actions, in which the corrective actions implemented by the customer are reviewed on site. So that the effects of the corrective measures on the customer's system can be recognized, follow-up audits are only carried out after an appropriate implementation period has expired.

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A follow-up audit is subject to a charge and is not included in the quotation.

The audit team leader submits a completed CoP report approved by the Technical Service Category C to the responsible approval authority.

2.3. Decision on compliance with the requirements

The decision as to whether the conformity of production procedures are ensured and whether a positive initial assessment can be certified to an approval holder is the responsibility of the type-approval authority in charge of the procedure.

3. Appeals and complaints procedure of GTÜ Certification GmbH

The customer has the right to appeal in writing against decisions of the Technical Service Category C within a period of 30 days after delivery. Furthermore, he is entitled to lodge complaints against the certification body or against persons who have provided services for the client on behalf of the Technical Service Category C of GTÜ Certification GmbH. Complaints must be submitted in writing within 30 days of the service being provided. On request, GTÜ Certification GmbH will send the objections/complaints form for the submission of objections.

The head of GTÜ Certification GmbH or his deputy shall decide on the handling of objections/complaints.

4. General

4.1. Duties and responsibilities of GTÜ Certification GmbH and Technical Service category C

GTÜ Certification GmbH and the Technical Service Category C work impartially, neutrally and with a high degree of responsibility.

For us, impartiality means providing access to our services to all customers, regardless of membership in certain groups or associations.

By neutrality, we mean offering all our clients the same conditions for auditing and not favoring or benefiting any of our clients.

In order to maintain our neutrality, we therefore refuse to provide consultancy services in the best interests of our clients.

The Technical Service category C is aware of its high responsibility as part of the type approval process.

We therefore undertake to treat all information that we receive from our customers as part of the procedure in accordance with the GDPR, to use it only for the agreed purpose and not to make information accessible to uninvolved third parties.

Customer records are stored and backed up in our INTACT operating system. These include, among others:

- Application information, audit reports;
- Audit agreement;

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- Justification for the methodology used for sampling at sites, where appropriate;
- Justification for the determination of audit time;
- Verification of corrections and corrective actions;
- Records of complaints and appeals and subsequent corrections or corrective actions;
- Committee deliberations and decisions, if applicable;;
- Documentation of decisions;
- Audit documentation including scope of product, process or service, as applicable;
- related records necessary to establish the credibility of decisions, such as evidence of auditor and subject matter expert competence;
- Audit programs.

Access to the documents is regulated confidentially via access authorizations on INTACT. The Technical Service category C of GTÜ Certification GmbH retains the records and information of audited customers in accordance with the applicable legal requirements.

4.2. Duties and responsibilities of our customers

In order to ensure a proper audit of our customers' management systems, all necessary information on the system must be made available to the Technical Service category C in written or verbal form.

The audited company is obliged to

- Provide suitable premises and relevant resources for the performance of audits;
- to immediately communicate important changes in its management system;
- immediately report any significant quality and approval-relevant changes in the company organization.

In addition, the audited company must keep records of complaints relating to its management system.

4.3. Good reasons for an initial assessment inspection by the Technical Service category C of GTÜ Certification GmbH

We not only demand quality from our customers, but also offer our customers a high level of quality themselves:

- Professional competence and commitment of the auditors
- Industry-specific assessment of your management system
- Customer support from competent GTÜ Certification GmbH personnel
- Information on all questions relating to the type approval procedure

Our service stands for the benefit of our customers, and it is important to us to deal with our customers in a friendly and cooperative manner, regardless of the necessary technical decisions.

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4.4. Summary

- We conduct a preliminary discussion to clarify the exact content of your request.
- We send you a request to determine the relevant information.
- We submit a transparent offer based on the request.
- We conclude a contract with you for the performance of the audit.
- We check the request and commission the auditor(s).
- We send you an order confirmation with the audit data.
- We document the audit activities for all audits in an audit plan.
- We inform you of the audit plan in advance and agree it with you.
- We assess the maturity level of your system in the stage 1 audit.
- In the stage 2 audit, we assess your system and compliance with the approval-relevant requirements on site.
- We document the audit findings in a CoP report and send this to the responsible approval authority.

4.5. Additional information

If you have any specific questions about the type approval procedure, auditing, the process, data protection or general questions, please do not hesitate to contact us.

You can obtain further information

- by telephone: +49 711 / 9 76 76 750
- by e-mail: certification@gtue.de
- via the contact on our website: www.gtuecert.de

or write to us:

GTÜ Certification GmbH

Vor dem Lauch 25

DE - 70567 Stuttgart

We look forward to hearing from you and will reply as soon as possible.

Your Technical Service Category C Team

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