

for the certification of management systems

by

GTÜ Certification GmbH

(GTÜ Certification GmbH guidelines for the certification procedure)

Verantwortlich:	Freigabe:	Revision:
Standort GTÜ Cert: L GTÜ Cert seit 10.03.2025	Oliver Knecht (10.03.2025 15:28)	1.0
öffentlich		Seite 1 von 16



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 the designation authorities KBA and SNCH.

This authorizes us for the certification and surveillance of 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 27001:2024 Information security management systems
- Assessments for the fulfillment of approval-relevant requirements

Our certification procedures are carried out in accordance with the EAC European Accreditation of Certification and the recognized accreditation conditions of the DAkkS.

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

Our principle is: "Success is based on quality".

Our customers come from a wide variety of sectors. These include industrial companies, trade and craft businesses, service companies as well as architecture and engineering companies. For us, "optimal certification" means interpreting the standards individually during certification and applying them to our clients' management systems.

In doing so, 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 assessing conformity with standards, but also 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 in the certification system in general.

We therefore regard the certificates of GTÜ Certification GmbH as a

"Seal of trust".

Maintaining this confidence is our top priority.

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

Verantwortlich:	Freigabe:	Revision:
Standort GTÜ Cert: L GTÜ Cert seit 10.03.2025	Oliver Knecht (10.03.2025 15:28)	1.0
öffentlich		Seite 2 von 16



By neutrality, we mean offering all our clients the same conditions for certification and not favoring or benefiting any of our clients. 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 person will be employed on GTÜ Certification GmbH contracts who has been involved in consulting the customer named in the GTÜ Certification GmbH certification contract for less than 2 years prior to awarding the contract. Furthermore, the above-mentioned persons agrees for a period of 2 years after completion of the certification procedure to not participate, either directly or indirectly, in consultations on the development of the management system of the customers of GTÜ Certification GmbH in question. Consultations also include internal company training courses 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. Thus prevents the possibility that these employees simultaneously provide consultancy services for a customer via GTÜ mbH and working on GTÜ Certification GmbH assignments.
- 3. GTÜ Certification GmbH also does not outsource any audits to consulting organizations for management systems or certify other certification bodies. GTÜ Certification GmbH excludes cooperation with consulting organizations in order to maintain impartiality and neutrality.

The audit objectives include

- Determination of the conformity of the client's management system or parts of it;
- Determination of the ability of the management system to ensure the client meets applicable statutory, regulatory and contractual requirements;
- Determination of the effectiveness of the management system to ensure the client can reasonably expect to achieving its specified objectives;
- Identification of areas for potential improvement of the management system.

2. The certification procedure of GTÜ Certification GmbH

The GTÜ Certification GmbH certification procedure is divided into the following phases:

- Phase I: Information and preparation phase
- Phase II: Certification phase with surveillance
- Phase III: Certificate renewal phase (re-audit)

Verantwortlich:	Freigabe:	Revision:
Standort GTÜ Cert: L GTÜ Cert seit 10.03.2025	Oliver Knecht (10.03.2025 15:28)	1.0
öffentlich		Seite 3 von 16



2.1 Information and preparation phase

This phase serves to provide our customers with specific information on the individual steps of the certification process, the certification effort and the certification costs.

2.1.1 Information and handover of the application documents

On request, interested parties can obtain the "Client information" form to request a quotation for the certification procedure. The form can also be downloaded from our website.

2.1.2 Request for the preparation of an offer

Interested parties return the completed "Client information" form to GTÜ Certification GmbH. The application with the customer-specific information and data contained therein (sector, number of employees, details of the customer's management system, any external consultants, scope/description of activities) is examined by GTÜ Certification GmbH.

If the conditions for carrying out the certification procedure are not met, the applicants will be informed accordingly.

2.1.3 Preparation of a quotation

On the basis of the customer information, GTÜ Certification GmbH prepares a specific quotation for the implementation of the certification procedure. The offer includes links to the following documents:

- Price list of GTÜ Certification GmbH,
- General Terms and Conditions,
- Data protection information in accordance with Article 13 GDPR
- Certification rules of GTÜ Certification GmbH.

Quotations include the following items depending on customer requirements:

- Pre-verification of the documents (optional)
- Carrying out a pre-audit (optional)
- Possible examination of transfer certificate (if applicable)
- Verification, evaluation of QM documents and preparation of audit report
- Performance of the stage 1 audit
- Performance of the management system audit (stage 2 audit) in the company
- Post-audit (if necessary)
- Issue of the certificate
- Carrying out 2 surveillance audits (in the 2nd and 3rd year)

Customers do not receive any financial benefits for the participation of observers during audits.

Verantwortlich:	Freigabe:	Revision:
Standort GTÜ Cert: L GTÜ Cert seit 10.03.2025	Oliver Knecht (10.03.2025 15:28)	1.0
öffentlich		Seite 4 von 16



2.1.4 Acceptance of the quotaion by the customer

By accepting the quotation in writing, the customer agrees to the certification rules and costs as well as the General Terms and Conditions of GTÜ Certification GmbH. The contract between GTÜ Certification GmbH and the customer is concluded. The certification procedure and, if necessary, additional measures to prepare for certification are then initiated.

In case of certification transfer procedures, various documents from the previous certification period are evaluated. GTÜ Certification GmbH requests those documents from the customer.

2.1.5 Preparation for the certification process

In order to determine whether his management system is sufficiently mature, a customer is given the opportunity by GTÜ Certification GmbH to choose to have the system submitted to various preliminary tests. On the basis of these preliminary tests, the customer can then decide "if" or "when" the actual certification procedure should be carried out. GTÜ Certification GmbH offers the following options for preliminary testing:

- Preliminary review of the documents (optional):
 Prior to the actual certification procedure, the customer is given the opportunity to send his documents to GTÜ Certification GmbH (management manual or documented information, procedures, work instructions) to check whether they are ready for certification. Only deficiencies and deficits will be identified. The certification body does not offer advice or any solutions to fix deficiencies.
- Carrying out a preliminary visit (optional):
 On request, the certification body offers the customer a preliminary visit to explain the certification procedure.
- Carrying out a pre-audit (optional):
 A pre-audit is offered by GTÜ Certification GmbH only once per certification procedure. In this occasion the customer's system is inspected on site by GTÜ Certification GmbH and the readiness for certification is assessed.

2.2 Initial certification audit

The initial certification audit is conducted in two stages. In stage 1, the auditor determines the customer's eligibility for certification. In stage 2 audit, the implementation as well as the effectiveness of the customer's management system are assessed on site.

The stage 1 audit usually takes place as an on-site audit. At this moment the customer's management system must already be operational.

The certification phase begins with the coordination of the date for the stage 1 audit and the timing and organization of the subsequent certification steps between the client and GTÜ Certification GmbH.

Verantwortlich:	Freigabe:	Revision:
Standort GTÜ Cert: L GTÜ Cert seit 10.03.2025	Oliver Knecht (10.03.2025 15:28)	1.0
öffentlich		Seite 5 von 16



2.2.1 Transmission of the documents to GTÜ Certification GmbH for audit preparation

The documents required for certification are requested from the customer on time before the specified certification date.

The requested documents include at least:

- Documented information / possibly management handbook
- Organizational chart
- Procedures
- Possible ISMS documentation

To ensure that the certification process runs smoothly, the documents must be submitted by the client at least 6 weeks before the date of the certification audit.

The documentation is submitted to a preliminary review by the audit team leader, which covers the thematic completeness of the processes and the required documents (records). The accuracy of the descriptions is checked on the basis of the actual processes during the audit.

If the document review leads to an inadequate result, the certification procedure can be postponed after consultation with the customer and the customer can first be requested to adapt and resubmit the documents in accordance with the standard.

The audit is usually conducted by the audit team leader who will also conduct the certification audit in the further course of the certification procedure. GTÜ Certification GmbH proposes to the customer the audit team leader/auditors/experts responsible for handling his certification procedure. The client is given the opportunity to contact the audit team leader by telephone in order to find out possible aspects against the assignment of this team. The client is given the right to reject the proposed persons with written justification. Examples of reasons for rejection are e.g:

- suspected partiality;
- competition concerns;
- possible conflicts of interest.

2.2.2 The stage 1 audit

During the stage 1 audit, the following is assessed, among other things:

- Existence of documented information on the management system;
- Readiness for certification and level of implementation of the management system;
- Determination of the sequence and interactions of the processes;
- Systematic planning and implementation of internal audits and management reviews;
- Information regarding the scope of the management system, the processes and work
 equipment used, the client's location(s) and defined control levels as well as associated
 legal and regulatory aspects;

Verantwortlich:	Freigabe:	Revision:
Standort GTÜ Cert: L GTÜ Cert seit 10.03.2025	Oliver Knecht (10.03.2025 15:28)	1.0
öffentlich		Seite 6 von 16



- Status of the client and understanding of the requirements of the reference standard, in particular with regard to the identification of key performance or significant aspects, processes, objectives and the operation of the management system;
- Completeness of the documentation and ensuring compliance with all standard requirements.
- Also for IS audits:

Design of the ISMS in the context of the organization, risk assessment and handling (including defined measures), information security policy and objectives.

The stage 1 audit includes the following tasks for the audit team:

- to assess the client's site and site-specific conditions and interview personnel within the client's organization to determine readiness for the stage 2 audit;
- to assess the status of the client and question the client's understanding of the requirements of the standard, in particular with regard to the identification of key performance/significant aspects, processes, objectives and implementation of the management system;
- to gather necessary information regarding the scope of the management system, the processes and the client's site(s) and related legal and regulatory aspects and compliance (e.g. quality, environmental, legal aspects of the client's activities, associated risks, etc.);
- to evaluate the allocation of resources for stage 2 audits and agree the details of stage 2 audits with the client;
- to provide a focus for the stage 2 audit planning by gaining sufficient understanding of the client's management system and on-site activities together with possible significant issues;
- to assess whether the internal audits and management reviews are planned and conducted and that the level of implementation of the management system demonstrates that the client is ready for the stage 2 audit;

For IS audits as well:

- the design of the ISMS in the context of the organization, risk assessment and risk handling (including defined measures), information security policy and objectives;
- to evaluate and document audit findings from stage 1 and communicate them to the customer. Effects on the implementation of the stage 2 audit are proposed.

2.2.3 Conducting the certification audit (stage 2 audit)

Before the certification audit begins, the timing and organization of the audit is agreed between the customer and the audit team leader. The customer receives a detailed audit plan approx. 10 days before the certification date. According to this audit plan, the effectiveness of the management system introduced and the associated procedures and workflows in the customer's company are reviewed.

The auditors verify at the client's company whether measures, responsibilities and processes have been implemented in the company in accordance with the underlying standard and are defined accordingly in the documentation.

Verantwortlich:	Freigabe:	Revision:
Standort GTÜ Cert: L GTÜ Cert seit 10.03.2025	Oliver Knecht (10.03.2025 15:28)	1.0
öffentlich		Seite 7 von 16



In addition to the conformity check, the stage 2 audit includes the implementation of the following measures:

- Control of the performance of measuring, reporting and reviewing regarding key deliverables, objectives and targets (consistent with the expectations in the applicable management system standard or other normative documents);
- Verification the client's management system and its performance in relation to compliance with legal requirements;
- Verification of the operational control of the client's processes;
- Verification of internal audits and management review;
- Management accountability for the client's policies;
- Connections between normative requirements, policies, performance objectives and targets (consistent with expectations in the applicable management system standard or other normative documents), all applicable legal requirements, responsibilities, competence of personnel, activities/work practices, procedures, performance data and findings and conclusions from internal audits.

If the auditors get the impression that the customer is grossly obstructing the certification audit and is unwilling and/or unable to conduct the certification audit or if essential elements of the management system have not been implemented, the auditors are entitled to cancel the certification audit after consultation with the certification body.

At the end of the audit, a final meeting is held with the customer in which the customer is informed about 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 certificate can not be issued until the corrective measures have been assessed and verified by GTÜ Certification GmbH.

However, depending on the severity and scope of the non-conformities, a post-audit may also be necessary to verify on site the corrective measures implemented by the customer. In order to acknowledge the effects of the corrective measures on the customer's management system, post-audits are only carried out after an appropriate implementation period has expired.

A post-audit is subject to a fee and is not included in the offer.

In addition for combined audits ISO + assessment of approval relevant requirements (ARR):

For ISO audits in combination with the assessment of the approval relevant requirements, the corresponding additional costs are already taken into account during the calculation and quotation.

Verantwortlich:	Freigabe:	Revision:
Standort GTÜ Cert: L GTÜ Cert seit 10.03.2025	Oliver Knecht (10.03.2025 15:28)	1.0
öffentlich		Seite 8 von 16



During the audit, it is assessed whether the quality management system guarantees the conformity of production with the requirements of the applicable regulations/laws. The documentation of the QM system with regard to ARR must enable a clear understanding of the measures and procedures on quality, such as planning, schemes, manuals and reports on quality. Furthermore, the rights and obligations of the approval holder must be known within the company and responsibilities must be defined.

After a positive assessment by GTÜ Certification GmbH, the audited and approved audit report is sent to the customer.

In the case of combined ISO+ARR audits, the report on CoP completed by the audit team leader and approved by the Technical Service Category C is also sent to the responsible approval authority.

2.2.4 Certificate issuance and registration of the certificate

After the conduction of the certification audit and verification of implemented corrective actions for non-conformities, the documentation is submitted to a review by a person not involved in the audit. Following a positive review, the head of GTÜ Certification GmbH or his deputy decides on the granting of the certificate on the basis of the audit findings and other relevant information.

If the requirements for the customer's management system are met, the certificate is issued in the form of a certification document. In case of the combined ISO+ARR procedure, an additional confirmation is issued.

2.2.5 Maintenance of certification (surveillance of continued conformity with standards)

The certificate issued by GTÜ Certification GmbH is normally valid for three years from the date of the certification decision.

After the certificate has been issued, GTÜ Certification GmbH monitors the certificate holder's management system at regular intervals. This is done by means of so-called surveillance audits.

To monitor the management system of certificate holders, a surveillance audit is conducted GTÜ Certification GmbH once a year during the 3-year validity period of the certificate in accordance with the contractual agreements.

Surveillance audits are less extensive than certification audits because they only verify individual requirements of the management system on a random basis. However, each surveillance audit must cover at least specific points (e.g. internal audits, management review, corrective measures from the previous audit, progress in the area of continuous improvement, changes compared to the last audit). The scope of the program for the first and second surveillance audits is designed in such a way that all standard requirements are audited at least once within a surveillance cycle.

Verantwortlich:	Freigabe:	Revision:
Standort GTÜ Cert: L GTÜ Cert seit 10.03.2025	Oliver Knecht (10.03.2025 15:28)	1.0
öffentlich		Seite 9 von 16



The aim of surveillance is to determine whether the certificate holder continues to meet all the criteria of the standards for which it is certified.

Without such surveillance, the certificate loses its validity.

Surveillance audits must be conducted at least once per calendar year, with the exception of years in which a recertification audit is carried out. The date of the first surveillance audit following the initial certification must not be more than 12 months after the date of the certification decision.

The 2nd surveillance audit should be carried out no later than 23 months after the certification decision.

If these deadlines are to be exceeded, the certificate holder must provide GTÜ Certification GmbH with plausible justifications in written form. The certification body will decide if the justification is sufficient. If the justification is not sufficient, the certificate must be suspended or withdrawn.

GTÜ Certification GmbH shall notify the certificate holder in writing of the surveillance audit at least 6 weeks before the date of the audit after consultation with the audit team leader. The auditors appointed for the surveillance audit will be named to the certificate holder.

As with the certification procedure itself, the certificate holder can reject the auditors in written form.

Before the start of the surveillance audit, the timing and organization of the audit is agreed between the customer and the audit team leader. The customer receives a detailed audit plan approx. 10 days before the planned audit date.

The surveillance audit at the certificate holder's premises focuses on random controls of the management system, verification of the proper implementation of internal audits and monitoring and verification of the effectiveness of defined corrective measures.

Furthermore, the use of the certificate/logo/seal as well as newly introduced measures and changes in the company and any complaints received against the certificate holder's management system are verified.

If non-conformities are identified in the certificate holder's company during the audit, these are recorded in reports on site and discussed with the responsible persons in the company.

The client has to submit tp GTÜ Certification GmbH evidence of the assessment/implementation of the agreed corrective measures.

A certificate confirmation/extension can only take place when all major non-conformities have been eliminated. Minor non-conformities must be implemented by the next audit. Conversely, an extension of the certificate is not possible as long as no corrective measures have been defined for the major nonconformities and implemented in the company (documented evidence). The certificate may then be suspended or withdrawn.

Verantwortlich:	Freigabe:	Revision:
Standort GTÜ Cert: L GTÜ Cert seit 10.03.2025	Oliver Knecht (10.03.2025 15:28)	1.0
öffentlich		Seite 10 von 16



The audit report is reviewed and approved by GTÜ Certification GmbH and a copy is sent to the certificate holder.

In case of combined ISO/ARR audits, the report on CoP completed by the audit team leader and approved by the Technical Service Category C is also sent to the responsible approval authority.

The decision to confirm or withdraw the certificate is made by the head of GTÜ Certification GmbH or his deputy.

In the event of a decision to "withdraw or suspend the certificate", the certificate holder will be given the opportunity to appeal against the decision of the certification body.

2.2.6 Non-granting of a certificate

If the customer's management system does not meet the requirements or if there are other reasons against a positive certification decision, GTÜ Certification GmbH will refuse to issue the certificate after examining the situation and will inform the customer of this in written form.

The customer has the right to appeal against decisions made by GTÜ Certification GmbH.

2.2.7 Refusal, misuse, suspension, restriction of scope, withdrawal and restoration of certificates

If GTÜ Certification GmbH determines that the requirements of the customer's management system are not continuously fulfilled or if misuse of the certificate/logo/seal is detected, GTÜ Certification GmbH is entitled to suspend certification or withdraw the certificate from the customer.

The customer has the right to appeal against a refusal or withdrawal of the certificate.

The certification body shall suspend certification in the following cases:

- The customer's certified management system persistently or seriously fails to meet the certification requirements, including requirements for the effectiveness of the management system;
- the certified client does not allow the annual surveillance audits to be conducted at the required frequencies;
- the certified client voluntarily requests a suspension of certification.

In the event of suspension, the certification of the management system is temporarily suspended. If the problems that led to the suspension are not resolved within a maximum period of 6 months, this leads to a restriction of the scope or withdrawal of the certification.

The scope of the certificate is restricted if the requirements for a part of the scope of a certificate are permanently not met.

Verantwortlich:	Freigabe:	Revision:
Standort GTÜ Cert: L GTÜ Cert seit 10.03.2025	Oliver Knecht (10.03.2025 15:28)	1.0
öffentlich		Seite 11 von 16



The withdrawal of the certification and thus the withdrawal of the certificate takes place if the suspension of a certificate cannot be risolved on time. In the event of suspension or withdrawal of the certificate, the customer may not advertise with the certificate and the logo/seal.

As soon as the reasons that led to one of these measures have been eliminated and GTÜ Certification GmbH has been provided with proven evidence that these reasons have been eliminated, the certificate can be restored.

2.3 Certificate renewal through re-certification audits

After expiry of the 3-year validity of the certificate, the customer can continue the certification and obtain a follow-up certificate through a re-certification audit.

GTÜ Certification GmbH will submit a written offer for re-certification to the certificate holder. After receipt of the written request for certificate renewal from the customer, the recertification procedure is initiated.

The process is basically the same as the initial certification procedure, whereby the stage 1 audit is only conducted if there have been far-reaching and fundamental changes to the management system since the last audit. However, it also includes a review of previous audit reports on surveillance audits.

The re-certification audit should be conducted at the earliest 3 months and should be conducted at the latest 6 weeks before the certificate expires. If, in exceptional cases, the recertification audit cannot be executed before the certificate expires, the new certificate cannot be issued seamlessly with the previous one. In this case, the customer will be informed.

Generally the re-certification audits have to be fully completed before the currently valid certificate expires. Any identified major non-conformities have to be closed before the certificate expires. For all identified minor non-conformities, the corrective measures have to be defined before the certificate expires.

In cases, where this is not possible, the follow-up certificate may not be issued until the major non-conformities have been closed. During this time, the company is not certified. This period of suspension is indicated on the follow-up certificate.

The certification body can only issue the follow-up certificate within 6 months of the expiry date, provided that the necessary measures to close the non-conformities have been taken by the client within this period.

If the client does not want to renew the certificate, the right to use the certificate/logo/seal of GTÜ Certification GmbH is only valid until the certificate expires and the client will be cancelled from the list of companies certified by GTÜ Certification GmbH.

Verantwortlich:	Freigabe:	Revision:
Standort GTÜ Cert: L GTÜ Cert seit 10.03.2025	Oliver Knecht (10.03.2025 15:28)	1.0
öffentlich		Seite 12 von 16



2.4 Special audits

2.4.1 Expanding scope of application

The customer can apply at any time for an extension of the scope of application. Upon receipt of the application, the customer receives a list of the documents to be submitted. These are evaluated and the necessary audit activities are determined in order to decide whether or not an extension can be granted. Usually the possibility of extending the scope is evaluated during a surveillance or re-certification audit.

2.4.2 Short-notice audits

The certification body may conduct audits of certified clients at short notice to investigate complaints, or in response to changes that could affect the capability of the management system or as follow up on suspended certifications. In such cases, the conditions under which such audits will be conducted are made known in advance to the customer in writing.

In case of very critical non-conformities or massive complaints, GTÜ Certification GmbH is also entitled to carry out unannounced audits at the customer's premises.

2.5 Appeals and complaints procedure of GTÜ Certification GmbH

The client has the right to appeal in writing against decisions made by GTÜ Certification GmbH within 30 days of notification. 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 certification body. Complaints must be submitted in writing to GTÜ Certification GmbH within 30 days of the service being provided. On request, GTÜ Cert will send the objections/complaints form for the submission of objections/complaints.

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

3. General information

3.1 Duties and responsibilities of GTÜ Certification GmbH

GTÜ Certification GmbH works impartially, neutrally and with a high level of responsibility.

For us, impartiality means providing access to our certification services to all customers, regardless of membership in 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 well-understood interests of our customers.

As part of the certification system, GTÜ Certification GmbH is aware of its high level of responsibility.

Verantwortlich:	Freigabe:	Revision:
Standort GTÜ Cert: L GTÜ Cert seit 10.03.2025	Oliver Knecht (10.03.2025 15:28)	1.0
öffentlich		Seite 13 von 16



GTÜ Certification GmbH therefore commits itself to treat all information received from its customers as part of the certification process in accordance with the GDPR, to use it only for the agreed purpose and to not make any information accessible to uninvolved third parties.

Customer records are stored and backed up in GTÜ Certification GmbH's operational system Intact. These are among others:

- Information on the application, audit reports on initial, surveillance and recertification audits;
- Certification agreement;
- Justification for the methodology used for sampling at sites, if 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 on certification decisions;
- Certification documents including the scope of the certificate relating to product, process or service, where applicable;
- related records necessary to establish the credibility of the certification, such as evidence of the competence of auditors and technical experts;
- Audit programs.

Access to the documents is regulated confidentially via access authorizations on Intact. GTÜ Certification GmbH retains the records and information of certified customers for the current cycle plus a further complete cycle.

GTÜ Certification GmbH further undertakes to inform immediately the certificate holders and companies undergoing the certification process immediately of any changes to the GTÜ Certification GmbH certification system.

3.2 Duties and responsibilities of our customers

In order to ensure a proper auditing of our customers' management systems, GTÜ Certification GmbH must be provided with all necessary information on the system in written or verbal form.

The certificate holder is obliged:

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

The certificate holder must also keep records of complaints relating to his management system.

Verantwortlich:	Freigabe:	Revision:
Standort GTÜ Cert: L GTÜ Cert seit 10.03.2025	Oliver Knecht (10.03.2025 15:28)	1.0
öffentlich		Seite 14 von 16



3.3 Advertising by the certificate holder

The certificate holder is entitled to use and publish the GTÜ Certification GmbH certificate for advertising purposes or as proof to customers and authorities. In order to ensure the correct use of GTÜ Certification GmbH certificates, the certificate holder will receive an "Information sheet on handling certificates/logos/seals". Furthermore apply the General Terms and Conditions of GTÜ Certification GmbH and the relevant legal provisions against unfair competition.

3.4. Publication of certificate holders

A current list of certificate holders of GTÜ Certification GmbH with company name, location, scope and period of validity of the certificate can be requested from GTÜ Certification GmbH by telephone or at certification@gtue.de. It will be sent in compliance with data protection regulations.

3.5 Good reasons for certification by GTÜ Certification GmbH

GTÜ Certification GmbH not only demands quality from its customers, but also offers its customers a high level of quality itself:

- Professional competence and willingness to perform of the auditors;
- Sector-specific assessment of your management system;
- Customer support by competent GTÜ Certification GmbH personnel;
- Information on all questions relating to certification.

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

When it comes to the certification of your company's management system, you are in good hands with us.

3.6 Summary

- We conduct a preliminary meeting to clarify the exact content of your request.
- We send you a request to determine the relevant information.
- We submit a transparent quotation based on the request.
- We conclude a contract with you for the implementation of the certification.
- We verify the application 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 send you the audit plan in advance and coordinate it with you.
- We assess your readiness for certification in the stage 1 of the initial certification audit.
- We assess your management system on site in the stage 2 audit.
- We document the audit findings for each audit in an audit report.
- We review the entire certification process and decide on certification.
- We issue a certificate with a general validity period of three years.

Verantwortlich:	Freigabe:	Revision:
Standort GTÜ Cert: L GTÜ Cert seit 10.03.2025	Oliver Knecht (10.03.2025 15:28)	1.0
öffentlich		Seite 15 von 16



3.7 Additional information

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

If your company has several sites and you would like to be certified as part of a multi-site procedure, we will send you additional information material.

Further information is available:

- by telephone: 0711 / 9 76 76 750
- by e-mail: certification@gtue.de
- via the contact on our website: <u>www.gtuecert.de</u>

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 GTÜ Certification GmbH team

Verantwortlich:	Freigabe:	Revision:
Standort GTÜ Cert: L GTÜ Cert seit 10.03.2025	Oliver Knecht (10.03.2025 15:28)	1.0
öffentlich		Seite 16 von 16