



Gabriel Registrar Certification Issuing Services LLC (GRCIS) Dubai branch is an Accredited Certification Body for providing management system certification services. Certification services are provided based on the principles of Impartiality, Competence, Responsibility, Openness, confidentiality and responsive to complaints. All Management System Certification services are delivered within a frame of conditions applicable for initial review of inquiry to the issue of Certificate of Registration and post-certification activities as applicable. Compliance with conditions of certification shall be mandatory upon the Client's signing of the Certification Agreement.

By agreeing to the GRCIS certification proposal, GRCIS and the Client's together proclaim that they have read this Certification Agreement, have understood its contents, and, expressing their free and serious will, in witness whereof, they have signed it by their own signatures in the GRCIS certification proposal.

1. DEFINITIONS

- **GR or GRCIS:** Gabriel Registrar Certification Issuing Services LLC Dubai branch is an independent third-party certification body providing Management System certification services.
- **Client:** An applicant organization applying to GR by providing Client information for certification and subsequent signing of the Certification Agreement for Management System Certification services.
- **AB:** Accreditation Body by which GR is Accredited for specific management system schemes.
- **Certificate of Registration:** Document issued to the Clients the satisfactory assessment of Client's Management System meeting the requirements of the contractual standards.

The Certificate of Registration demonstrates the effective implementation of the Management System and confidence in the product and services provided as defined in the scope of certification. Clients have the right to use the certification and Accreditation body logo as per the instructions provided along with a certificate of registration. The certificate number identifies the certificate of registration specific to each Client and is not transferable. Certificate of registration is valid for a minimum of one year and maximum three years from the date of certification as specified in the Certificate.

Certificate of registration issued to a client is a demonstration of their capability to develop and effectively implement a management system meeting the contractual requirements for a specific scope of the product category. **Certificate of Registration is not a product certification.**

2. CONFIDENTIALITY AND IMPARTIALITY BY GR (ISO/IEC 17021-1, Cl. # 4.2, 4.6, 5.2 & 8.4)

1. All personnel associated with service delivery process of GR including members of various committees, associates / sub-contractors and external organizations including Accreditation body shall keep all information pertaining to business/process/activities obtained during the service delivery process as confidential; Communication of confidential information to any other person or organization including Accreditation body shall be with specific prior written approval and as per any local regulation, if applicable. When GR is required by law or authorized by contractual arrangements (The Accreditation Body) to release confidential information, the Client shall, unless prohibited by law, to be notified of the information provided by GR. When disclosing confidential information, if permitted by law, GR may communicate such information for a specific purpose with prior written permission from the Client. GR maintains impartiality in all phases of certification service delivery process. Impartiality of services is ensured through a committee to safeguard impartiality. Information about the Client from sources other than the Client (e.g., complainant, regulators) shall be treated as confidential, consistent with GR's policy.
2. GR is not engaged in any types of management system consultancy and does not participate as a lecturer in training courses and Hence GR shall not provide company-specific any advice which contravenes the requirements of ISO/IEC 17021-1 and ISO/IEC 27006:2015.
3. GR has published information describing the GR's interpretation of the requirements of the certification audit standards.
4. GR provides pre audits facilities solely aimed at determining readiness for certification audit; and GR shall not provide any recommendations or advice that would contravene impartiality clause. The duration of the preaudit is not included in the normal duration and the reduction in any of the eventual certification audit duration.
5. GR do not perform second and third-party audits according to standards or regulations other than those being part of the scope of accreditation.
6. GR shall not provide internal information security reviews of the

client's ISMS subject to certification. Furthermore, GR is not involved in providing any internal audits and has no relationship with anybody or bodies (including any individuals) which provide the internal ISMS audit.

3. CERTIFICATION AGREEMENT (ISO/IEC 17021-1, CL. # 5.1-2)

GR shall provide certification services to Clients who have signed Certification Agreement by signing the GR proposal and agreed to abide by terms and conditions for certification provided in the Certification Agreement. A Certification Agreement is a legally enforceable Certification Agreement binding on both GR and the Client. A Certification Agreement shall be signed by the Client after reviewing the proposal for certification and understanding the conditions for certification. The Certification Agreement is valid for an initial period of three years (3 years) subject to satisfactory completion of periodic surveillance and renewed subsequently for every three years (3 years) upon signing recertification contract/Certification Agreement. In the case of non-compliance with any of the requirement(s) of Certification Agreement, GR reserves the right to initiate actions for withdrawal, suspension, or other appropriate actions including legal action. However, GR shall provide notification with adequate justification for initiating any such action(s).

Gabriel Registrar Certification Issuing Services LLC (GRCIS) Dubai branch located in 2nd December St, Al Satwa, Dubai, UAE is authority or responsibility for signing the agreement and having authority and responsibility for all types of the certification decision (Critical location) related to decisions relating to certification, including the granting, refusing, maintaining of certification, expanding or reducing the scope of certification, renewing, suspending or restoring following suspension, or withdrawing of certification.

4. CERTIFICATION REQUIREMENTS: (ISO/IEC 17021-1, CL. # 8.5.1, 8.3.4)

Client organization shall:

1. Identify a responsible function and assign responsibility and authority for effective implementation of management systems Communications and coordination with GR.
2. Maintain a documented Management System in accordance with the applicable contractual standard(s) and demonstrate effective implementation for a minimum period of three months prior to initial certification assessment.
3. Comply with all applicable legal requirements as any breach or contravention will be recognized as non-Conformity during the audit and may have an impact on certification recommendation.
4. Conduct a minimum of one cycle of internal audit and one management review covering the specific management system developed and implemented for certification prior to the initial certification assessment.
5. GR nominated audit team members shall be provided access to all processes, production areas, personnel, applicable documents, records, organization structure, policy, and procedures. GR audit team may also comprise technical experts, auditors in training, audit observers, Accreditation Body representatives and other relevant authorities as applicable. GR shall communicate to the Client on the participation of GR audit observers and Accreditation body observers in the audit team. GR audit observers and technical experts shall accompany any one of GR audit team members but shall not be auditing independently. Accreditation body audit observers shall observe the auditing process of GR but shall not be auditing the Client management system independently.
6. Accreditation Body will accompany the GR audit team during any planned management system audits to conduct witnessing of GR audit process as per the Accreditation requirements. The Client shall co-operate and provide access to Accreditation body auditors for witnessing.
7. Agree with GR for any arrangement that any time during the certification cycle Accreditation Body assessors can visit the Client premises or have necessary arrangements to visit other organization's premises where the Client provides services, to verify certain certification requirements onsite or offsite. In this case, GR representative(s) may accompany the Accreditation Body assessors.
8. Provide facilities needed by the audit team.
9. Arrange guides to audit team with responsibilities to take the auditors to distinct functions, introduce the auditors to the auditee and resolve any communication issues during the audit. Guides will not participate in the audit.
10. Ensure that consultants involved in the development of their management system do not participate in the audit.
11. Upon grant of certification, conforms to the requirements of GR when referring to its certification status in communication media such as the internet, brochures, or advertising, or other documents.



12. Ensure that it does not make or permit Client's breaching law mandatory requirements misleading statement regarding its certification that the certificate.
13. Ensure that it does not use or permit the use of a GR certification document or any part thereof in a misleading manner.
14. The Client shall ensure the safety of the GR audit team during the conduct of audit within its premises, onshore and offshore.

5. RESPONSIBILITIES AND RIGHTS (ISO/IEC 17021-1, CL. # 4.4 & 5.1.3)

5.1 Client organization, shall

- 1) Review and understand the purpose of conditions for certification.
- 2) Maintain records of certification documents issued by GR always and accessible to responsible functions and interested parties as and when requested including Accreditation body.
- 3) Respond to GR requests and correspondence within a reasonable period as requested.
- 4) Cooperate with GR for conducting Initial Certification assessment, surveillance audits, and recertification audits at agreed frequencies without undue delay.
- 5) Provide corrective actions for the identified non-conformances identified during Initial Certification assessment, surveillance audits, and recertification audits within 30 days of the last day of the audit.
- 6) Coordinate for conducting initial certification audit and subsequent surveillance audits as per agreed on terms and conditions.
- 7) Coordinate for recertification audit at least one month prior to the expiry of the Certificate of registration and propose corrective action(s) for any non-conformance prior to the expiry of the Certificate of registration.
- 8) Develop and effectively implement a documented system for adequacy to the contractual standard(s) always.
- 9) Appoint a responsible function and assign responsibility and authority for effective implementation and monitor the management systems through internal audits and management review at planned frequencies.
- 10) Provide information on the organization structure, manpower, statutory and legal requirements, and customer complaints.
- 11) Do not promote the certification status during the suspension period of management system certification.
- 12) In the case of withdrawal of certificate due to any reason, the Client shall return the original certificate to GR and discontinue use of the logo on all advertising material.
- 13) Communicate with GR as and when required during the certification validity period for the following information:
 - a) Any major organizational changes
 - b) Addition of new products and changes in business processes with impact on the scope of certification.
 - c) Changes relating to legal, ownership,
 - d) Major changes to organization structure and management personnel,
 - e) Change in contact address and communication details.
 - f) Addition or deletion of the number of branches, location, and contacts that have impact on the scope of certification sites and size of the organization.
 - g) confidentiality of specific information, if required,
 - h) Any ongoing legal issues pertaining to the product, environmental or safety issues and their status including any impact on business activities.
 - i) Any disturbance within the Client's operating country/ location with an impact on the audit schedule.
 - j) Any other Auditing language other than English which needs to be followed.
- 14) Provide necessary working place, communication facilities, and guides during assessments.
- 15) Provide access to all records of customer complaints and corrective action taken as per the requirement of the implemented management system.
- 16) Inform the GR audit team on safety, emergency, and security requirements to be observed within the plant areas.
- 17) Inform GR, without delay, of the occurrence of any incidents such as a serious accident, or a serious breach of regulation necessitating the involvement of the competent regulatory authority.
- 18) Maintain the list of all complaints and take corrective actions (internal and external) within the scope of certified system and shall submit to GR auditors during each audit.
- 19) **Multisite certification (ISO/IEC 17021-1, Cl. # 9.1.5)**
 - a) All sites shall have a legal or contractual link with the identified central office of the organization.
 - b) All sites shall be implementing a common management system, which is laid down, established, and subject to continuous surveillance and an internal audit by the identified central office.
 - c) The audit process will not be completed or delayed if any of the provisions for multi-site certifications are not met.
 - d) In the case of non-conformities are identified at central authority or any of audited sites during certification process or during an internal audit, the requirement of the Client organization to review the non-conformities for their impact on overall system deficiencies as applicable to other sites.
- 20) Any documents and or information shared with GR are to be treated as Confidential Information.
- 21) Provide information on the applicable statutory and regulatory requirements for the scope of certification.
- 22) Comply with certification requirements as communicated by GR including changes, statutory and regulatory requirements always.
- 23) Cooperate for short notice audits for:
 - a) Investigation of any complaint received from the interested parties,
 - b) Response to any changes,
 - c) Follow up on a suspended certificate of registration.
- 24) Agree for follow-up audit, if recommended by Lead Auditor during any of the assessment and/or requirement of the GR Certification Decision Committee.
- 25) Ensure proper use of a certificate of registration, certification mark, and Accreditation mark when referring to communication media.
- 26) Inform GR of any change of audit team members/technical experts in advance with a cause like a conflict of interest.
- 27) Coordinate planning and conducting surveillance audit and recertification audits at an agreed frequency as per the Certification Agreement to ensure continued validity of the certificate of registration.
- 28) Provide corrective action(s) for the non-compliances recorded during any assessments.
- 29) Ensure use Certificate of registration in a planned and controlled manner which will not bring GR and AB to disrepute and lose the trust of interested parties.
- 30) Change relevant documents within an agreed time limit, in the case of changes to conditions for certification, as and when communicated by GR.
- 31) Understand the certification process as detailed in section 6.0 of these terms and conditions, certification agreements.
- 32) Maintain confidentiality of proceedings of the assessments.
- 33) Shall maintain responsibility for providing, implementing, and maintaining necessary corrective actions for the non-conformances addressed in the GR audit report.
- 34) Agrees with GR that there is always an element of uncertainty inherent in the management system audit processes and that this uncertainty is at the core of what the Client / audited organization should investigate to determine the extent and magnitude of nonconformances encountered relevant to the organization's management system requirements.
- 35) Advice GR on any local Accreditation requirements specifically for the needs of its customers or a requirement arising from the

country or local body where they supply. In the event, if this information is not provided to GR, then GR will provide the Accreditation on its own discretion. The Client shall hold GR harmless of any dispute arising post-certification.

5.2 Gabriel Registrar shall

Initial Certification Audit (ISO/IEC 17021-1, Cl. # 9.3.1)

1. Provide impartial certification services to Clients within the configuration of the Accredited scope.
2. Maintain confidentiality of the information obtained during the certification service delivery.
3. Communicate requirements for certification to the Client in a timely manner.
4. Description of initial certification including the application, certificate maintenance, and process for granting, maintaining, extending, reducing, suspending, withdrawing and renewal of certification.
5. Communicate the professional service charges for certification services for 3 years' period.
6. Certification of multi-site Clients shall be done as per the requirements of IAF Mandatory Document IAF MD1.
7. Information on the procedure for handling complaints and appeals.
8. Communicate changes to certification criteria to Clients for implementation within an agreed period considering the views of interested parties.
9. Provide adequate notice for surveillance and recertification audits.
10. Provide all opportunities to the Client to explain their standpoint for any identified non-compliance.
11. Responsible and retain authority for decisions relating to certification, including granting, maintaining, renewing, extending the scope, reducing scope, suspending, and withdrawing of certification.
12. Responsive to complaints from interested parties.
13. Ensure the availability of publicly accessible information pertaining to the certification process, a list of certified Clients and their status of certification.
14. Information about a certified Client or individual shall not be disclosed to a third party without the written consent of the certified Client or individual concerned unless it is by law (ISO/IEC 17021-1 Cl. # 8.4.3)
15. GR shall give its certified Clients due notice of any changes to its requirements for certification and shall verify that each certified Client complies with the new requirements. (ISO/IEC 17021-1 Cl. # 8.5.2)
16. **Multisite Clients (ISO/IEC 17021-1, Cl. # 9.1.5)**
 - a) Communicate the criteria for multi-site application and Decision on the eligibility of a client with multiple sites for sample audit as per IAF and Accreditation body guidelines.
 - b) Select an appropriate sample size to gain confidence in the implementation of centrally controlled management systems in all branches prior to a decision on certification.
 - c) Provide an opportunity for the Client to withdraw branches that are not ready for certification from the scope of certification prior to the initial assessment.
 - d) Increase the frequency of samples or increase the sample size to re-establish satisfactory controls across the sites.
 - e) If multiple sites of a client, then client ensure and agree the legally enforceable agreement between the certification body to grant the certification and the client that covers all the sites within the scope of the certification.
 - f) An agreement can be reached through multiple agreements that reference or otherwise link to one another.

6. CERTIFICATION PROCESS

6.1 Pre-Audit Activities

- a) **Application (ISO/IEC17021-1, Cl.#9.1.1)**
Information about the applicant organization is gathered through GR application for certification from the Client. Details such as the form of organization, the scope of certification, manpower, statutory & regulatory requirements, applicability and or exclusions, processes & product information, and infrastructure details are critical inputs for the certification process.
- b) **Application Review (ISO/IEC17021-1, Cl.#9.1.2)**
The submitted Application is reviewed to ensure the adequacy of the information for submitting the proposal and subsequent provision of certification services. The ability and competence to perform the certification are decided by GR considering its accreditation scope. GR shall submit the proposal for certification services for initial assessment and surveillance audits for the 3 years' period along with Certification Agreement and conditions for certification.
- c) **Proposal & Certification Agreement**

The commercial proposal is submitted to the Client providing information on how the audit man-days required for each stage of the audit process are determined by GR and the professional charges associated. As acceptance of the terms and conditions stated in the proposal and acceptance to condition for certification, the Client shall sign the proposal and shall return to GR. The proposal is signed in originals and

Client organization shall retain a copy of the signed proposal for its future reference. Subject to approval by the Client, GR may offer services for an unaccredited certificate.

GR may plan to transfer such certificates to an Accredited certificate subject to approval by Accreditation body within a period.

Initial Certification Audit is conducted to evaluate the implemented management system and decide on the maturity of the system and issue certificate of registration. The initial audit is conducted in two stages (stage 1 and stage 2) as per the requirement of ISO 17021. The audit team leader and audit team of GR are responsible for the audit and control of the audit execution as per the audit plan.

- a) **Stage I Audit:** Conducted to assess the management system planning, validate the information provided in the Client information for certification, required coordination and planning for Stage II assessment. It is recommended that part of stage 1 or complete stage 1 audit is conducted at the Client's premises.
- b) **Stage II Audit:** Verify compliance of the management systems to the planned arrangements and decide on the recommendation for certification Based on assessment output.

Upon signing the certification proposal, the Client shall coordinate the date for stage I audit. GR shall as soon as possible inform the Client of the stage I audit schedule.

Stage 1 is conducted to evaluate site-specific conditions, focus on Management System planning and planning for stage II audit, document review to evaluate the adequacy of the document to the applicable standard(s), allocation of resources for stage II audit, understand the scope/clause applicability and or exclusions/ Applicable statutory requirements/product.

Standard(s)/processes/evaluate Client's understanding of the applicable standard(s)/aspect-impact study for EMS and /hazard-risk analysis for OHSAS, risk analysis, and management in case of FSMS, HACCP & ISMS.

The audit reports shall be provided to the Client along with audit observations if any. The Client is responsible for planning adequate corrective actions for audit observations along with a revision to system documents if required. The Client shall communicate the corrective actions to GR prior to stage II assessment.

The output of stage I assessment and nature of observations may have an impact on the stage II assessment schedule. Inadequate and ineffective corrective actions for stage I assessment may lead to major non-conformances in stage II assessment.

6.3 Stage II audit (ISO/IEC 17021-1, Cl. # 9.3.1.3)

Stage II audit is conducted to evaluate the effective implementation of the Management System.

7. Inform the audit team nomination and audit program in advance.
8. Conduct opening meetings to explain the audit methodology.
9. Verify effective implementation of the management System for adequacy to the scope of certification by examining personnel, policies, procedures, and records on a sampling basis against the contractual standard(s).
10. Stage II audit is conducted by using auditor notes or checklist. The checklist is an internal document of GR and is used to assist auditors during the audit.
11. Record Non-conformance and classify as Category -1 or Category -2.
12. Conduct closing meetings to explain audit findings, recommendations, and revision to the scope of certifications if required.
13. Provide a copy of the assessment report along with non-conformance report if any and recommendations including a schedule for surveillance / recertification audit.
14. Review the adequacy of surveillance frequency and/or man-days Based on the audit findings.
15. Review corrective actions provided by the Client for all the non-conformance reports by follow-up audit or document verification.
16. The audit team may terminate the audit prematurely if there is no evidence of implementation of planned management system and/or compliance with applicable legal requirements.
17. Agree upon audit conclusions with the Client, considering the uncertainty inherent in the GR audit processes.
18. Advise the Client that the audit evidence obtained was based on a sample of the information; thereby introducing an element of uncertainty.
19. Agree with the Client for necessary follow-up actions if required.

6.4 Audit Report Review and Issue of Certificate of registration (ISO/IEC 17021-1, Cl. # 9.4.8)

1. A review of audit reports shall be done by the GR certification decision committee. Impartiality shall be maintained during such reviews. Resolutions of clarifications in the audit report if any prior to approval of recommendations.
2. GR shall Issue Certificate of registration after approval by certification decision committee, which is valid for a period of 1-year



minimum or 3 years' maximum from the date of certification decision. In case, where certificate of registration is issued with 1-year validity, certificate of registration shall be renewed for another one year after successful completion of surveillance audit on or before completion 12 months from the certification decision date. Clients shall verify the GR website for the reference of their organization on the GR website and contact GR for any clarification.

3. Certificate of registration is considered invalid under the following conditions:
 - a) Client organization is not listed in GR web site and/or on the AB website, if applicable.
 - b) The certificate of registration does not have a certificate number.
4. The Client shall verify the validity of the issued certificate through the GR website: www.gabrielregistrar.com or by contacting GR Head Office.
5. The Client shall not accept a Certificate of compliance from any other sources except GR Head Office unless otherwise informed of an alternative arrangement for delivery of the certificate of registration.
6. GR shall issue instructions (Use of Logo's) on the use of GR certification marks and Accreditation mark.

6.5 Surveillance Audit (ISO/IEC 17021-1, Cl. # 9.6.2)

1. Conduct surveillance audits at an agreed frequency to verify continued implementation of Management System as per the proposal. The first surveillance audit shall be conducted within 12 months from the certification decision date of initial certification or recertification.
2. Except for the surveillance¹ audit, all subsequent surveillance audits shall be completed within 3 months from the due date. Failure of compliance will lead to suspension of the certificate which may be revoked if the audit is planned within the next 3 months.
3. Verify the effectiveness of the continuous implementation of Management systems and planned processes during each surveillance audit ensuring to cover all processes at least once during each certification cycle.
4. Conduct follow-up audits if required.
5. Verify the use of GR Certification mark and Accreditation mark as per GR instructions.
6. Provide recommendations on the continuation of certification as per audit report provided after each surveillance audit.

6.6 Re-certification (ISO/IEC 17021-1, Cl. # 9.6.3.2)

Conduct a re-certification audit prior to certification period for continuation of Certificate of registration and subsequently followed up by surveillance audits as per the accepted proposal.

Re-certification audit shall be completed, preferably one month prior to expiry of the present certificate of registration including the provision of adequate time to close any NCRs.

6.7 Special Audits (Scope Extension / Scope Reduction) (ISO/IEC 17021-1, Cl. # 9.6.4)

Scope Extension:

Scope extension audits shall be conducted upon request from Client organization under the following conditions:

1. The inclusion of processes in the system which was earlier excluded. Example: Design & Development.
2. Inclusion of additional product(s).
3. Request for scope extension shall be reviewed and conducted as detailed in clause from **a) to d)** except that required for conducting stage 1 audit may be waived with justification. Scope extension audit may be conducted as a separate assessment or combined with surveillance or recertification audit.

Scope Reduction:

The scope of certification may be considered for the scope reduction under the following conditions.

1. Client discontinuation of product from manufacturing as and when requested by the Client.
2. Restriction on sale of a certain product(s) by regulatory authorities.
3. Inadequate corrective action for complaints by regulatory authorities.
4. The Client shall amend all advertising matter because of scope reduction.

6.8 Short Notice Audit

A condition arising out of a complaint from interested parties including regulatory authorities under which audit must be planned preliminarily for investigation and review planned corrective action.

Upon receipt of the complaint, GR shall communicate with the Client immediately on the requirement for an immediate audit and coordinate for an audit schedule.

The audit shall be planned preferably after completion of an initial investigation by GR Client. The period for planning the audit shall be appropriate to the nature of the complaint.

If the complaint has an impact on the interested parties' health and safety, the audit shall be planned within a maximum of 7 working days.

6.9 Transfer of certificate (ISO/IEC 17021-1, Cl. # 9.5.3.3, IAF MD 2 & relevant Accreditation requirements)

Recognition of an existing and valid management system certification, granted by one accredited certification body (Issuing certification body), by another accredited certification body (accepting certification body) for issuing its own certificate. Following documents shall be submitted by the Client for review:

1. A copy of a Certificate of registration from the previous certification body. Review the Certificate of registration for the scope, EA / NACE classification and the capability of GR to provide an accredited certificate.
2. A copy of the assessment report of the previous certification body. Review of any adverse remarks in the report.
3. A copy of the NCRs of the previous certification body. Verify if the NCRs are major or minor and open or closed, and review the criticality of the report.
4. Compliance status to applicable legal requirements. List of aspects and impacts identified (EMS)
5. List of Hazards & Risks identified (OHSAS, HACCP, FSMS, ISMS)
6. A copy of the last internal audit report and management review. Review for meeting the requirement of the contractual standard(s).

6.10 Criteria for Suspension and withdrawal of Certificate (ISO/IEC 17021-1, Cl. # 9.6.5)

The certificate may be withdrawn under the following conditions:

1. At the request of the Client.
2. The certificate may be kept under suspension for a maximum period of six months from the due date of the surveillance audit.
3. Recertification audits are not offered by the Client prior to the expiry of the validity period of the certificate.
4. The Client does not comply with any part of the conditions of certification (E.g.: misuse of the logo).
5. Any information on incidents such as a serious accident, or a serious breach of regulation necessitating the involvement of the competent regulatory authority, provided by the certified Client or directly gathered by the audit team during the special audit, shall provide grounds for GR to decide on the actions to be taken, including a suspension or withdrawal of the certification, in cases where it can be demonstrated that the system seriously failed to meet the OH&S certification requirements.
6. GR adopts a policy of providing continuous services based on regular surveillance to the Client without any lapse on the procedural requirements to maintain the certification. GR forwards the surveillance audit notifications to Client organization as a reminder of the forthcoming /delayed surveillance audit to ensure that the validity of the Certificate of registration is maintained. GR provides an opportunity for the Client to initiate action but without any responsibility for coordinating the surveillance audit.

The following is the plan of action of GR to enable the Client to coordinate for the surveillance audit within the agreed period.

1. Surveillance Notification letter 1 is forwarded to the Client two months ahead of the due date of surveillance audit.
2. Surveillance Notification letter 2 is forwarded to the Client one month ahead of the due date of the surveillance audit.
3. Surveillance Notification letter 3 is forwarded to the Client on the due date of surveillance audit, informing the Client of keeping the Certificate of registration under suspension for a period of 6 months from the due date and provide an opportunity to the Client to coordinate for the surveillance audit.
4. Except for first surveillance of initial certification, all subsequent surveillance audits including surveillance audits after recertification shall be completed within 3 months from the due date. However, Failure of compliance will lead to suspension of the certificate which may be revoked if the audit is planned and coordinated within the next 3 months.
5. Withdrawal notification is forwarded to the Client Six months after the expiry of the due date of surveillance audit informing the Client regarding the withdrawal of Certificate of registration with



immediate effect. If the Client wishes to reapply for certification after withdrawal same will be considered as a new contract.

Certificate of registration shall be withdrawn or scope of certification of the Client's management system shall be reduced (for a Client failed to meet the requirements of those part of the scope) when the Client does not comply with any part of the conditions of Certification.

When the Certificate of registration is suspended/ withdrawn, a certified organization directory including information on GR website is updated accordingly.

The Client shall return the Certificate of registration to GR immediately and discontinue the use of reference to the certificate of registration.

6.11 Inactive certification

The Certified management system may be kept as inactive when:

1. The Client makes a request in view of the current market situation. The current certification shall be allowed to continue for a period up to the next surveillance due.
2. Requests for further extension may be reviewed and granted by the certification Decision committee. Such extension shall not be more than two surveillance duration from the certification time. A fresh audit shall be conducted before revoking the inactive certificate.
3. GR shall withdraw the Certificate of registration after the above period, with notice to the Client and request to return the original certificate.

6.12 Information and Communication Technology (ICT) for Auditing/Assessment (ICT)

It is the use of technology for gathering, storing, retrieving, processing, analyzing, and transmitting information. It includes software and hardware such as smartphones, handheld devices, laptop computers, desktop computers, drones, video cameras, wearable technology, artificial intelligence, and others. The use of ICT may be appropriate for auditing/assessment both locally and remotely. Examples of the use of ICT during audits/assessments may include but are not limited to:

- a) Meetings; by means of teleconference facilities, including audio, video and data sharing
- b) Audit of documents and records by means of remote access, either synchronously (in real time) or asynchronously (when applicable)
- c) Recording of information and evidence by means of still video, video or audio recordings
- d) Providing visual/audio access to remote or potentially hazardous locations

Assessing the information on Emergency Situation

GR analyses the collected information on Client's emergency situation and if the risk of continuing certification is low, and based on the collected information (example, using a suitable questionnaire) it may consider alternative short-term methods of assessment to verify continuing system effectiveness for the organization.

This may include requesting relevant documentation along with questionnaire (documents for example, management review meeting minutes, corrective action records, results of internal audits, test/inspection reports, etc.) to be reviewed off site by the GR to determine continuing suitability of the certification (on a short-term basis only).

GR Planned Actions for conducting audits (in case of an identified extra ordinary event or circumstance)

1. GR suitably identifies the method of conducting remote audits applying suitable information and communication technology (ICT) (for example, use of Skype) and requirements of Accreditation and IAF MD 4.
2. GR is to ensure the security and confidentiality of electronic or electronically transmitted information when using ICT for audit purposes.
3. GR and the Client organization selected for ICT, mutually agree the audit in accordance with information security and data protection measures and regulations before ICT is used for audit purposes.
4. In the case of non-fulfilment of these measures or non-agreement of information security and data protection measures, GR shall use other methods to conduct the audit and to fulfil audit objectives.
5. GR identifies and documents the risks and opportunities that may impact audit effectiveness for each use of ICT under the same conditions, including the selection of the technologies, and how they are managed.
6. When ICT is proposed for the audit activities, the application review shall include a check that the Client and the GR have the necessary infrastructure to support the use of the ICT proposed.
7. Upon considering the risks and opportunities identified by GR, the audit plan shall identify how ICT will be utilized by GR and the extent to which ICT will be used for audit purposes to optimize audit effectiveness and efficiency while maintaining the integrity of the audit process.
8. When using ICT, GR shall ensure its auditors and other involved persons (e.g., drone pilots, technical experts) shall have the competency and ability to understand and utilize the information and communication technologies employed to achieve the desired results of audit(s). The auditors are required to be aware of the risks and opportunities of the

information and communication technologies used and the impacts that they may have on the validity and objectivity of the information gathered. If ICT is used for audit purposes, it contributes to the total audit time determined using IAF MD 5 and in accordance with the specific management system for which audit is conducted, as additional planning may be necessary which may impact audit duration.

9. GR 's audit reports and related records indicate the extent to which ICT has been used in conducting audits and the effectiveness of ICT in achieving the audit objectives.

10. If virtual sites are included within the scope, then the GR 's certification documentation identifies the virtual sites that are included, and the activities performed at the virtual sites.

6.13 Use of certification mark and Accreditation mark (ISO/IEC 17021-1, Cl. # 8.3)

1. Accreditation marks shall be used only in conjunction with the GR certification mark.
2. The size of the Accreditation shall be the same as the quality mark.
3. The Certification mark and Accreditation mark may only be used on correspondence, advertising, invoice, Stock form and promotional material for the products or services described in the scope of certification.
4. Certification and Accreditation mark shall not be used on a product or product packaging or in a way interpreted as product conformity given by the certification and or the Accreditation body.
5. On size, A4 stationery Certification mark and Accreditation mark shall be as per the size is given by GR.
6. Proportional increase/reductions may be allowed on stationery of larger/smaller size than A4 and shall be legible to have Management System standard(s) and certificate number without any distortion or overlapping.
7. The conditions as indicated shall also apply to package material and promotional products. The party reporting the violations to the attention of GR is informed of appropriate action being taken but is not provided with the details as it may be violating the right to confidentiality.
8. Any deviation or specific use of the mark for special purposes like small advertisements, on Client vehicles, shall not be allowed.
9. The mark shall not be displayed on vehicles except in publicity material as part of a large advertisement.
10. The Accreditation mark shall only be printed in the color combination or in the grey-black combination as specified in the instructions attached to the certificate of registration.
11. The mark shall not be used on any inspection reports, calibration certificates, laboratory test certificates, etc. as such reports are deemed to be products for such organizations.
12. GR Certification Mark along with Accreditation mark shall be used on business cards as per GR use of Logo Procedure, whereas Accreditation mark alone shall not be used.
13. The mark shall not be used in such a way that GR has not certified Clients' products or processes.
14. The mark shall not be used in such a way that the certification applies to the Clients' activities and sites outside the scope of certification.
15. The certified organization shall abide by the GR rules of certification to discontinue any use of the Certification Mark and Accreditation mark that is unacceptable to GR.
16. GR shall initiate corrective action with the certified organization to avoid misuse of the Certification Mark and Accreditation mark brought to the notice of GR by any interested parties and/or public subject to thorough investigation.
17. Upon withdrawal of certification by GR or upon request by the Client to withdraw certification or due to the cancellation of certification contract with GR, the certified organization shall immediately discontinue the use of all marks and to destroy all stocks of material on which they appear.
18. Usage of marks shall be verified during each surveillance, recertification audits, and findings reported in the assessment report. Misuse of quality marks, if any, shall be recorded as non-conformance and corrective action taken verified prior to continuation of certification or reissue of the certificate.
19. Misuse of certification, GR mark, AB logo may also be reported by any interested party and GR shall act against misuse.
20. In the event of suspension or withdrawal of the Accreditation status of GR by the Accreditation body, the Client shall hold GR harmless of any certification cost paid to GR towards its certification services to the Client. In such cases, GR at its sole discretion can provide transfer of its certification to another IAF member CB, for the cost as agreed in the proposal/contract made earlier with GR.

7. COMPLAINTS, DISPUTES AND APPEALS HANDLING (ISO/IEC17021-1, CL. #9.7&9.8)

GR has established an impartial appeals and complaints managing committee constituted by CB Manager to investigate complaints, appeals, and disputes related to the certification services.

In the event of ensuring balanced rights between the Client and GR, by resolving a complaint or an appeal including rejection, reduction of scope or suspension of the certification, the Client can appeal to GR within 30 days from the date of decision by GR. In this case, if GR accepts the appeal, it can accept the new decision by the appeals handling committee, if GR rejects the appeal, then it shall uphold the original decision. The right to accept or reject the appeal shall rest with CB Manager.

Following are other provisions for resolving appeals and complaints:

1. Analyze and take corrective actions and inform the Client of the action taken.
2. Provide an opportunity to the Client to appeal against actions taken by GR appeals committee.
3. The appeals committee shall prepare a report after investigation including providing an opportunity to the Client to represent their evidence.
4. The decision of the CB Manager who is responsible for the approval of the report is binding on both parties.

If there are any unresolved complaints, GR shall refer the same to AB.

7. TRANSITION REQUIREMENTS

If any ISO standards revision or upgrade by ISO or IAF then as per IAF MD requirements and ISO transition requirements GRCIS will comply with transition audit procedure and imply with audit procedure.

8. CLIMATE CHANGE AMD-1, 2024 REQUIREMENTS

The purpose of this communiqué is to highlight the publication of Climate Action Amendments to existing and new ISO Management Systems Standards (MSS) to reflect ISO's Climate Action commitments. It is important that all parties understand the intent so that the changes can be consistently introduced and Implemented in accordance with IAF/ISO Joint Communiqué.

The changes (two new statements) will be incorporated into the new text of the Harmonized Structure (Appendix 2 of the Annex SL in the ISO/IEC Directives Part 1 Consolidated ISO Supplement) as follows. The amendments to the standards will be published on February 23rd, 2024.

4.1 Understanding the organization and its context.

Added: The organization shall determine whether climate change is a relevant issue.

4.2 Understanding the needs and expectations of interested parties.

Added: NOTE: Relevant interested parties can have requirements related to climate change.

9. PROFESSIONAL CHARGES BY GR FOR CERTIFICATION CHARGES

1. Accredited Certification Fee to be paid as per the above – Table for Service Charges.
2. Routine Surveillance Audit Fee to be paid upon as per the above – Table for Service Charges.
3. GR shall submit the Tax invoices for the professional services as indicated in the proposal for certification, for the Client approval and payment before the delivery of the certificate of registration.
4. Certificate of registration shall be issued after receipt of the professional service charges in full, including taxes if any, as per the proposal.

9. LIABILITY OF GR

GR provides certification services as per the agreed proposal for certification. The liability of GR shall be limited to the commercial terms referred to in the proposal under any circumstances.

GR agrees to indemnify, hold harmless and the Client. GR from any and all liability of any and all kinds and types, including without limitation, claims, demands, or causes of action, including attorney fees, made or brought by any entity, person, firm or corporation arising out of or incidental to the certification services to be provided under this Certification Agreement by reason of injury to any entity, person or damage to any property regardless of whether such injury or loss, cost, damage or expenses is occasioned in whole or partly by any negligent or omission on the part of GR, its subcontractors or employees and regardless of where any such loss or any action may occur.

10. CONFIDENTIALITY

GR and the Client are bound by this Certification Agreement to keep confidentiality towards third parties. The obligation of confidentiality remains valid for both parties, The obligation to maintain confidentiality shall survive, completion, termination of the Agreement for an unidentified period.

GR shall not disclose the details of its Clients accredited under one Accreditation to any other Accreditation without the written consent of the Client.

Any information related to certification, including the conduct of the audit process by GR, shall not be disclosed to a third party without the written consent of the GR management.

Where the GR is required by law to release confidential information to a third party, the Client or individual concerned shall, unless regulated by law, be notified in advance of the information provided.

11. PROHIBITIONS

The Client is prohibited to seek any professional advice through any social media or forums in a way discriminating GR, its personnel or its associates or certification partners. The Client is prohibited to take photos or video recording of the audit proceedings including GR audit documents or to make anyone other than its employees or those attendees listed in the GR audit plan present for the audit as a witness or as an observer without prior permission from GR. Breach of this Certification Agreement gives GR the justification to terminate this Certification Agreement immediately.

The Client is prohibited from using GR management system certificate(s), GR certification mark, AB logo upon expiry or cancellation or withdrawal of the certificate by GR. In these cases, the Client shall return the original certificate to GR and shall refrain from using the copies, certification mark and AB logo including its promotional materials such as website, business cards, letterheads, other advertising materials, etc.

The certified Client organization shall utilize its certification of registration and GRCIS certification mark in commercial relation and in the media (e.g., in documents, brochures, advertisements etc.) in accordance with GRCIS conditions for the use of certification, certification mark and AB logo. For IAF MLA mark usage, kindly refer GRCIS logo mark usage procedure in our website.

12. VALIDITY AND VOIDING OF THE CERTIFICATION AGREEMENT

This Certification Agreement is concluded for one (1) certification cycle (3 years) only as per ISO/IEC 17021-1 standard requirements from the date of signing the Certification Agreement. Both GR and Client are entitled to terminate this Certification Agreement unilaterally with a 6-month notice period upon an email notification which will be communicated to the Client.

13. REFUND & CANCELLATION POLICY

Any request for cancellation of any services (services including certification, training, etc.) offered by GR will be allowed only if the cancellation requests are made within 05 working days from the date of signing the contract.

Any request for cancellation must be made only through email by the authorized representative of the organization to the GR management. Cancellation requests through any other medium of communication shall not be entertained.

A refund for any services (services including certification, training, etc.) offered by GR can be processed only if the cancellation request is made within the above specified time.

A Refund shall not be entertained in the following cases:

1. For the services completed either partly and or fully by GR.
2. Cancellation request made after the above specified time.
3. Cancellation request made through phone, fax, or verbal.
4. Cancellation request that is made through an employee of GR.
5. Refund against the GR invoice raised either in part or in full.
6. Refund request stating any stationery issue or mishandled certification kit and training documents.

A refund shall be processed only if:

1. If the agreed services are out of scope offered by GR
2. Only if the appropriate bank details are furnished by the organization to the GR Head office.

Any refund shall take a minimum of 21 working days from the date of approval of the cancellation or refund request. For a refund, the



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organization is required to provide accurate bank details and contact details.

The refund will be through telegraphic or bank transfer only. A cash refund shall not be made. All refunds shall be processed only after deducting the administration, Accreditation and other expenses incurred by GR.

15. VALIDITY AND AUTHENTICITY OF THE CERTIFICATE OF REGISTRATION (ISO/IEC 17021-1, CL. # 8.1 & 8.5.1)

GR maintains and updates the directory of its certified Clients on its website www.gabrielregistrar.com for all its certified Clients.

Client shall ensure validity and authenticity of the issued Certificate of registration by verifying the GR website www.gabrielregistrar.com and Client are requested to report any discrepancy in issued Certificate of Registration to GR Head Office.

16. APPLICABLE LAW & JURISDICTION

This Certification Agreement shall be governed by and construed and enforced in accordance with the laws of UAE and subject to the authority of Courts of Dubai.

End of GR Certification Terms & Conditions