Certification Guide

(G-CERTII-09-02)

Certification Body

G-CERTI Co., Ltd.

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1. Certification Procedure

1-1. Inquiry

The overall procedure or method for certification is guided. (Please refer to the certification guide in home page of G-CERTI)

1-2. Proposal

We, G-CERTI will guide audit days and cost after review of standard, scope, number of employees when applying companies send application of certification forms filled up.

1-3 Certification Guide

Note) Prior to certification contract, G-CERTI informsapplying companies of audit cycle and surveillance control method related to certification through Certification Guide(Please see the certification guide in home page of G-CERTI)

1-4 Certification contract

After receipt of the application and contract agreement will be signed. After the signing of the contract, Each requirement between clients and G-CERTI shall be met reviewing certification contract and clients requests. Companies applying for certification must comply with certification procedures of the certification program. G-CERTI must keep the information strictest confidence; must not release or disclosure the confidential information to any person without client's permission;
must not use or disclose any confidential information; must make confidential information available to any person only if disclosure is expressly authorized by the law, and disclosure notice to clients.

1-5 Certification application

The audit fee shall be decided and requested by G-CERTI within this guideline.
When a certification application is available with completing a reviewing contract, audit fee shall be calculated according to MANDAY TABLE and Audit Fee Guideline (FI-09-04) shall be recorded, approved by Administrative Manger and officially dispatched to prospective clients through Fax, e-mail or E-mail.

1-6 Assignment of audit team, and Notification of audit plan

G-CERTI composes the audit team and audit plan is notified to applying companies when audit schedule is set up in agreement with applying companies.In case of appeal regarding the audit schedule, audit plan will consider and reflect the opinions of applying companies.

Note) Audit plan procedure

1) Establishment of the audit plan or schedule
2) Ensuring the competence of the auditor and the Audit Team Leader
3) Selecting the appropriate audit team and their roles and responsibilities
4) Audit performing
5) Performing the follow-up measures
6) Maintaining the record of audit plan
7) Monitoring the performance of audit programme and its effectiveness
8) Reporting the whole actual result to CEO.

If it is a small organization, the above activities may be processed with one procedure.

1-7 Audit

The audit programme shall include a two-stage initial audit, surveillance audits in the first and second years, and a recertification audit in the third year prior to expiration of certification. The three-year certification cycle begins with the certification or recertification decision.

Certification audit is possible only where the activities of a organization perform and maintain in accordance with documented procedure and method(in case of performance as to the production of product and the operation of service is available) and internal audit and management review conduct at least more than once after the establishment of the related management system, documentation.

1-7-1 Stage 1 Audit

Stage 1 audit is to determine whether clients' system is implemented with appropriate management system in relative standards and other requirements

a) audit the client's management system documentation;
b) evaluate the client's location and site-specific conditions and to undertake discussions with the client's personnel to determine the preparedness for the stage 2 audit;
c) review the client's status and understanding regarding requirements of the standard, in particular with respect to the identification of key performance or significant aspects, processes, objectives andoperation of the management system;
d) collect necessary information regarding the scope of the management system, processes and location(s) of the client, and related statutory and regulatory aspects and compliance (e.g. quality, environmental,legal aspects of the client's operation, associated risks, etc.);
e) review the allocation of resources for stage 2 audit and agree with the client on the details of the stage 2 audit;
f) provide a focus for planning the stage 2 audit by gaining a sufficient understanding of the client's management system and site operations in the context of possible significant aspects;
g) evaluate if the internal audits and management review are being planned and performed, and that the level of implementation of the management system substantiates that the client is ready for the stage 2 audit.

1-7-2 Stage 2 Audit

The purpose of the stage 2 audit is to evaluate the implementation, including effectiveness, of the client's management system. The stage 2 audit shall take place at the site(s) of the client. It shall include at least the following:

a) information and evidence about conformity to all requirements of the applicable management system standard or other normative document;
b) performance monitoring, measuring, reporting and reviewing against key performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document);
c) the client's management system and performance as regards legal compliance;
d) operational control of the client's processes;
e) internal auditing and management review;
f) management responsibility for the client's policies;
g) links between the normative requirements, policy, performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document), any applicable legal requirements, responsibilities, competence of personnel, operations, procedures, performance data and internal audit findings and conclusions.

1-8 Verification

When initial, re-certification, and active certification audits of stakeholders are completed→Lead Auditor submits documents→Verification Committee(verifycertification :Audit Verification Report) →Each identified nonconformance(corrective action request.)

1-9 Issuing the Certification

If the Initial audit or Re-assessment audit carried out successfully, the certification is officially issued after approval by the Verification part. The valid term of certification is for 3 years from the date of certification approval.

1-10 Surveillance Audit

The objective of surveillance audit is to ensure that the system of the certified company continually, validly, and effectively conforms to the International standards and continually meets certification requirements even though the status of systems may be changed, The date of the first surveillance audit following initial certification shall not be more than 12 months from the certification decision date.

1-11 Re-certification Audit

A Re-certification audit shall be conducted in every 3 year, and shall be audited within valid date of certification. Audit plan, audit scope and audit procedure shall be performed as Initial

2. Certified clients Regulation

2-1 Clients compliance

1. Certified clients must comply with the requirements of lawsrelatedcertification scheme.In this regards, The client shall co-operate for Surveillance with ACCREDITATION to develop the certification system.

2. Necessary data for certification application

1) Application form
2) Company's general status
- Company name, address, legal position, production status and process (Technical and human resources as necessary).
3) Applied certification scope and business location(s)
4) Construction situation and overview of Quality and Environmental management system (Application form and other documents)

2.2 Limitation of Using Mark

1) The mark must not be directly used on products or product packages.
It also must not be used in a way of showing an indication of the product conformance, but can be used on packaging for transport of the product. (It never use the individual package that goes to customers.) ※ Refer: ISO /IEC 17030
2) A certification body shall not permit its marks to be applied to laboratory test, calibration or inspection reports, as such reports are deemed to be products in this context.
3) The mark may be used from the issuing date of certification.
The certified client must observe the below.
4) When the client mentions about the condition of certification via internet, brochure, advertising, or any other documents, the client shall observe the requirement from G-CERTI.
6) Certification that may be misunderstood cannot be permitted.
7) It is not permitted that using certification documents or some parts of certification documents with misunderstanding.
8) If the case of suspension or withdrawal of certification, all advertising materials cannot be used according to G-CERTI directions.
9) If the case of reducing the scope of certification, all advertising materials shall be changed.
10) It shall not be mentioned of corresponded products or process about management system.
11) The Certification shall not be applied for other activities.
12) The Certification shall not be used to a method to lost the public confidence and to damage credit of G-CERTI /certification system.

2-3 Suspension condition

The following is in Suspension condition (the whole scope of the certification).

- Certified clients cannot continuously meet the certification requirements or the effectiveness of management system.
- Failure for clients to allow Surveillance or Re-assessment audit to regularly perform
- Clients request for Suspension or Withdrawal
- No corrective action for major nonconformance is completed within 3 months after Surveillance audit.
- The certification scope is exceeded than applied
- Clients breach the limitation of the 3.4 certification mark in

Issue of Certification and Use of Mark and Logo Guideline (G-CERTII-12).
- In case of that the audit fee is not payed after 6 months from the Certification Audit.

2-4 Withdrawal

1) G-CERTI can withdraw the certification (whole) as followings.

a. The license of manufacturing and servicing is cancelled.
b. The client does not request to release the Suspension within 6 months from the decision date.
c. The corrective action of the nonconformance during Surveillance is fail to fulfill within 3 months.
d. The client's request to withdraw the certification (Verification is unnecessary)

3. Audit Fee Table & Audit Day

3-1) For audit fee, audit man-day of Quality, Environment is applied and the fee is based on ???. The maximum ??% and the minimum minus ??% are applied. But in case of beyond this range, the case shall be approved by impartiality committee.

3-2) Traveling (Business Trap) Fee and Miscellaneous expense
Travel expense is applied as follows (Unit :)

region				
fee				

(But, in case of ??? of the expense cannot excess ???USD /day and in case of business trip for audit abroad, the moving is based on the criteria of Seoul area and the moving by air and transportation expense are paid by the related company (organization)

4. ISO 9001 Manday Table (FI-09-08)

MD Table of Quality Management System (Unit : Manday)			
인원기준 Number of Employees	최초심사 Initial Stage 1- Stage 2 (M/D)	사후심사 Surveillance	갱신심사 Re-certification
1~5	1.5	1	1.5
6~10	2	1	1.5
11~15	2.5	1	2
16~25	3	1	2
26~45	4	1.5	3
46~65	5	2	3.5
66~85	6	2	4
86~125	7	2.5	5
126~175	8	3	5.5
176~275	9	3	6
276~425	10	3.5	7
426~625	11	4	7.5
626~875	12	4	8
876~1175	13	4.5	9
1176~1550	14	5	9.5
1551~2025	15	5	10
2026~2675	16	5.5	11
2676~3450	17	6	11.5

3451~4350	**18**	**6**	**12**
4351~5450	**19**	**6.5**	**13**
5451~6800	**20**	**7**	**13.5**
6801~8500	**21**	**7**	**14**
8501~10700	**22**	**7.5**	**15**
10701 이상	**위와같이증가 Follow progression above**		

① Effective Number of Personnel :*Non-permanent (seasonal, temporary and contracted personnel) and part time personnel who will be present at the time of the audit shall be included in this number*
② The MANDAY standard is estimated by requiring time for all necessary activities including documents reviewing, briefing for the audit team, planning, auditing and audit reporting. Business sites, transferred sites and preview activities are excluded in the requiring time for auditing.
④ Temporary sites : In situations where the certification applicant or certified client provides their product(s) or service(s) at temporary sites, such sites shall be incorporated into the audit programmes.
⑤ Auditor time as referenced in chart is stated in terms of "Auditor Days" spent on the assessment. An "Auditor Day" is typically a full normal working day of 8 hours. The number of Auditor days employed may not be reduced at the initial planning stages by programming longer hours per work day.
⑥ Certification audit days reduce or extend for "Extension of certification audit days or reduction factors"
⑦In case of surveillance activity, *It is unlikely that a surveillance audit will take less than one (1) audit day.*
⑧½ day with 2 auditors may not be as effective as a one day auditwith 1 auditoror 1 audit day with one lead auditor and one technical expert is more effective than 1 auditor day without the technical expert).
⑨30 part time personnel working 4 hours/day equates to 15 full time personnel.

QMS – Risk of categories
High Risk : Food; pharmaceuticals; aircraft; shipbuilding; load bearing components and structures; complex construction activity; electrical and gas equipment; medical and health services; fishing; nuclear fuel; chemicals, chemical products and fibres.

*ISO14001 Manday Table (FI-09-09)

MD Table of Environmental Management System (Unit : Manday)

인원기준 Number of Employees	최초심사 Initial Stage 1- Stage 2 (M/D)				사후심사 Surveillance				갱신심사 Re-certification			
	H	M	L	Limited	H	M	L	Limited	H	M	L	Limited
1~5	3	2.5	2.5	2.5	1	1	1	1	2	2	2	2
6~10	3.5	3	3	3	1.5	1	1	1	2.5	2	2	2
11~15	4.5	3.5	3	3	1.5	1.5	1	1	3	2.5	2	2
16~25	5.5	4.5	3.5	3	2	1.5	1.5	1	4	3	2.5	2
26~45	7	5.5	4	3	2.5	2	1.5	1	5	4	3	2
46~65	8	6	4.5	3.5	3	2	1.5	1.5	5.5	4	3	2.5
66~85	9	7	5	3.5	3	2.5	1.5	1.5	6	5	3.5	2.5
86~125	11	8	5.5	4	4	3	2	1.5	7.5	5.5	4	3
126~175	12	9	6	4.5	4	3	2	1.5	8	6	4	3
176~275	13	10	7	5	4.5	3.5	2.5	2	9	7	5	3.5
276~425	15	11	8	5.5	5	4	3	2	10	7.5	5.5	4
426~625	16	12	9	6	5.5	4	3	2	11	8	6	4
626~875	17	13	10	6.5	6	4.5	3.5	2.5	11.5	9	7	4.5
876~1175	19	15	11	7	6.5	5	4	2.5	13	10	7.5	5
1176~1550	20	16	12	7.5	7	5.5	4	2.5	13.5	11	8	5
1551~2025	21	17	12	8	7	6	4	3	14	11.5	8	5.5
2026~2675	23	18	13	8.5	8	6	4.5	3	15.5	12	9	6
2676~3450	25	19	14	9	8.5	6.5	5	3	17	13	9.5	6
3451~4350	27	20	15	10	9	7	5	3.5	18	13.5	10	7
4351~5450	28	21	16	11	9.5	7	5.5	4	19	14	11	7.5
5451~6800	30	23	17	12	10	8	6	4	20	15.5	11.5	8
6801~8500	32	25	19	13	11	8.5	6.5	4.5	21.5	17	13	9
8501~10700	34	27	20	14	11.5	9	7	5	23	18	13.5	9.5
10701 이상	위와같이증가 Follow progression above											

① Effective Number of Personnel :*Non-permanent (seasonal, temporary and contracted personnel) and part time personnel who will be present at the time of the audit shall be included in this number*
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⑦In case of surveillance activity, *It is unlikely that a surveillance audit will take less than one (1) audit day.*

IA - Initial Audit / SR - Surveillance Audit / TR - Triennial Audit (re-certification)

1. The decimal point is rounded.
2. No of employees = total full time equivalent, including non-permanent, for all shifts.
3. IA duration includes Stages 1 and 2 Audits.
4. Audit duration includes time on site and time spent off site for planning and Audit Report writing. (however, time spent on site must be >80% of total audit duration).
5. Maximum reduction is 30%.
6. Minimum audit duration: IA = 1 day, SR & TR = 1 day, regardless of justification.
7 If the 'Justification Table' is used to reduce audit duration, a copy is to be forwarded to Head Office and a copy retained on file.

5. FACTORS FOR ADJUSTMENTS OF AUDIT DURATION (QMS AND EMS)

Decrease in audit duration:

• Client is not "design responsible" or other standard elements are not covered in the scope (QMS only);
• Very small site for number of personnel (e.g. office complex only),
• Maturity of management system;
• Prior knowledge of the client management system (e.g., already certified to another standard by the same CAB);
• Client preparedness for certification (e.g., already certified or recognized by another 3rd party scheme);
- Low complexity activities, e.g.
- Processes involve a single generic activity (e.g., Service only);
- Identical activities performed on all shifts with appropriate evidence of equivalent performance on all shifts based on prior audits (internal audits and CAB audits);
- Where a significant proportion of staff carry out a similar simple function;

Note: For EMS, low complexity processes are captured in Table EMS 1.
- Where staff include a number of people who work “off location” e.g. salespersons, drivers, service personnel, etc. and it is possible to substantially audit compliance of their activities with the system through review of records.

Increase in audit duration:

• Complicated logistics involving more than one building or location where work is carried out. e.g., a separate Design Centre must be audited;
• Staff speaking in more than one language (requiring interpreter(s) or preventing individual auditors from working independently);
• Very large site for the number of personnel (e.g., a forest);
• High degree of regulation (e.g. food, drugs, aerospace, nuclear power, etc);
• System covers highly complex processes or relatively high number of unique activities;
• Activities that require visiting temporary sites to confirm the activities of the permanent site(s) whose management system is subject to certification.

Increases in audit duration for EMS only:

• Higher sensitivity of receiving environment compared to typical location for the industry sector;
• Views of interested parties;
• Indirect aspects necessitating increase in auditor time;
• Additional or unusual environmental aspects or regulated conditions for the sector.

Increases in audit duration for QMS only:

Classification standard table of complexity

High - High level in environmental aspects (Typical manufacturing or artificial tissues as to a variety of environmental aspects)
Mid - Middle level in environmental aspects (Typical manufacturing organization as to partially environmental aspects)
Low - Low level in environmental aspects (Typical assembly organizations as to rare environmental aspects)
Limit - Limited attributes in environmental aspects (Typical office organizations)

6. Complexity Classification Standard Table (EMS/OHSAS)

(EMS/OHSAS Management System MD)			
Complexity Classification	**Standard**	**Classification Standard by Environmental System**	**Business fields**
High	High level in environmental aspects (Typical manufacturing or artificial tissues as to a variety of environmental aspects)	The first business type by Water Environmental Protection Law	· Mining Industry or Stone Quarrying Industry · Oil or gas extraction · Textiles or clothing tanning · Pulping part of paper manufacturing including paper recycle process · Oil refining · Chemistry or medical supplies · The first stage production - metal · Nonmetal process, ceramic and cement · Electronic creation by coal · Constructing or dismantling · Hazardous or non-hazardous waste disposal, ex: Waste Incineration ·Effluence and sewage treatment
Mid.	Middle level in environmental aspects (Typical manufacturing organization as to partially environmental aspects)	The second and third business type by Water Environmental Protection Law, The second and third business type by Air Environmental Protection Law	· Fishing industry, Agriculture industry, Hunting industry · Textiles or clothing without tanning · Board production, wood and wood product treatment / injection · Paper manufacturing or printing without pulping · Products including nonmetal process, glass, clay and lime production · Basis surface or other chemical processing for metal excluding the first production stage · Basis surface or other chemical processing for general mechanical engineering · BARE PRINTED circuit boards for electronics industry · Transportation Equipment Manufacturing - road, rail, air, ship · Electricity generation or distribution by non-coal · Gas production, storage, distribution (Note: the high level extract) · Water separation(extraction) including water system, purification and distribution (Note: the high level of commercial waste water treatment · fossil fuels wholesale or retail ·food and tobacco - processing ·transportation or distribution - water, air, land · Commercial real estate brokerage, Real estate management, Industrial cleaning, Sanitary cleaning, and General business services · General dry cleaning · Recycling, compost, landfill (non-hazardous waste) · Technology testing and research · Health/hospital/veterinary · Leisure services and personal services except hotels/restaurants
Low	Low level in environmental aspects (Typical assembly organizations as to rare environmental aspects)	The fourth and fifth business type by Water Environmental Protection Law, The fourth and fifth business type by Air Environmental Protection Law	· Hotels/restaurants · Wood and wood product treatment / injection except board producing · Paper goods excepts printing, pulping paper producing · Rubber and plastic molding, forming, assembly - except rubber and plastic raw materials in the part of the chemicals · Hot & cold forming, metal manufacturing, or the first stage producing except surface treatment and other chemical basis processing · Mechanical engineering assembly except surface treatment and other chemical basis · Whole and retail sales ·Electrical and electronic equipment assembly except BARE PRINTED circuit boards manufacturing
Limit	Limited attributes in environmental aspects (Typical office organizations)		· Corporate activities and management, or HQ and holding company's business management · transportation and distribution – management service of not having an actual vehicle to manage remote communications · Commercial real estate brokerage, real estate management, industrial cleaning, sanitary cleaning, common business services except dry cleaning · Education service
Exp.	Special, additional and unique consideration in the audit planning stages	Needs of additional audit period	· Nuclear · Nuclear electricity generation · A large amount of hazardous metal saved · Public administration · Local authorized administration · Organizations with environmentally sensitive products and services

7. Appeals and Complaints (Right of the Clients)

If necessary, the **A** can inspect relevant manual, procedure and guideline related with Certification activities of the Management System of the **G-CERTI.**

1) All appeals and complaints are received by fax, email, written letters or verbal messages. Only clarified client's name and contact details shall be reported and received.
2) If appeals and complaints occur related with certification issues, the receiver shall initiate Preventive/Corrective Action Request (FP09-01) and report to Administrative Manger.
If appeals and complaints are received through the G-CERTI web-site and they are simple cases, the receiver responds to the originator of the complaint.
3) All necessary measures shall be taken to preserve the confidentiality of information obtained during the investigation of a complaint.

8. Certification Scope Change

1) In case of reduction/extension of certification scope, the Administrative manager must review the content of a change and request for relevant information to the client. The content must be presented in the Verification committee. If the scope is reduced, there will be no confirmation audit (visiting as necessary)
2) If the certification scope is changed, the scope must be audited by selected auditor. (If there is additional scope [E.g; from "TV, refrigerator and electric fan" to "TV, refrigerator, electric fan and Air-conditioner]
   a. The audit procedure such as audit plan, audit performing and references must be followed according to Quality/Environmental procedure, Audit Plan Guideline, Audit Report Guideline. If the scope is extended, it must be audited with related standards.
   b. The audit period is decided after discussion with the client.
   c. After closing audit meeting, the procedure of re-cert certification must be the same as the Initial audit.
3) If the client wants to change the basic part of certification, if necessary, the visiting site may be required and the administrative manager shall re-issue the revised certification after approval.

9. Using Your GCERTI Certification Marks

GCERTI registered clients are authorized and encouraged to use the GCERTI certification marks to promote their achievement.

Organizations can only use the logo in reference to the provision of goods and services contained within their scope of certification.

The marks can be used widely, but please note that there are regulations to their use, specifically to the marks which carry the IAS logo.

USING CERTIFICATION MARKS

The use of any of the management certification marks on products is strictly prohibited. This prohibition includes all primary and secondary packaging.

Where to use the mark:		**Where not to use the mark:**	
Stationery	Letters (business card)	Product Packaging	Calibration Certificates
Signs	Websites	Inspection Certificates	Product Conformity Statements
Promotional Goods	Advertising	Products Certificates	laboratory test
Boundaries	Primary & Secondary Packaging	**IAS mark alone**	**IAF mark alone**

In case of incorrect reference to Certification status or misleading use of certification documents or marks, GCERTI may request corrective actions, suspension or withdrawal of certificate, publication of the transgression or, if necessary, legal action.

Where such a statement is used, it shall include reference to:

i) identification of the certified client; (e.g. brand or name)
ii) the type of management system and the applicable standard; (e.g. quality, environment)
iii) the name of certification body(e.g. GCERTI Co., Ltd.)

Example : "**Manufactured by ABC Co., Ltd. whose quality management system is certified to ISO 9001:2015 by GCERTI**"