

Global Business Bureau Certification LLC – Certification Terms & Conditions

These Terms & Conditions have been written to address the requirements of accredited management system certification activities.

1. Scope

Global Business Bureau Certification LLC provides independent conformity assessment services for the following relevant International Standards:

- Quality Management - ISO 9001
- Environmental Management – ISO 14001
- Occupational Health and Safety - ISO 45001
- Information Security Management - ISO 27001
- Any other Certification Standards that Global Business Bureau Certification LLC may offer certification in the future.

2. General Conditions

The basic conditions for acquiring and retaining certification with Global Business Bureau Certification LLC are that the applicant company agrees to, and complies with, the following procedures and rules:

- The audited company shall be made available all information deemed necessary by Global Business Bureau Certification LLC, to complete the relevant audit program.
- Any Certification contract issued by Global Business Bureau Certification LLC is governed by the laws of United Arab Emirates.
- The scope of services to be rendered by GBBC LLC shall be based exclusively on the agreed-upon contractual agreements. Any side agreements, commitments, supplements to the contract and other declarations of employees of GBBC LLC shall only be binding if they are expressly confirmed in writing by the management or an authorized person of GBBC LLC. This shall also apply for modifications or the waiver of this clause. Responsibilities and planned activities of the Certification Office in the sense of impartiality body are subject to the contracts.
- Global Business Bureau Certification LLC, if not satisfied that all the requirements for certification are being met, shall identify non-conformities and require the audited company to correct and take actions to prevent recurrence of said non-conformities.
- The registered company grants Global Business Bureau Certification LLC permission to publicise their certification status.
- In case of Major non-conformities, when the applicant company can demonstrate that actions have been taken to meet all the requirements, Global Business Bureau Certification LLC will arrange to repeat only the necessary parts of an audit that cannot be verified by submission of documentary evidence.
- If Global Business Bureau Certification LLC is unable to verify the implementation of correction and corrective actions for a major non-conformity within 6 months of the date of the stage 2 audit, then Global Business Bureau Certification LLC is obliged by accreditation rules to repeat the stage 2 audit prior to certification.
- If the applicant company fails to take corrective action within the specified time limit, it may be necessary for Global Business Bureau Certification LLC, at extra cost to the applicant company, to repeat the audit in full;
- Identification of conformity shall refer only to the site or sites audited and shall only apply to the worded scope appearing on the certificate.
- Fees must be paid within the time scales stated on the quotation. Certificates will not be issued, until relevant fees have been paid in full;
- For a registered company to demonstrate effective management reviews and internal audits these activities shall be carried at least once every 12 months by the registered company.
- Failure to comply with these Terms & Conditions may result in legal action being taken against the company.
- The registered company must allow Global Business Bureau Certification LLC to conduct on-going surveillance audits in line with the planned arrangements stated in the legally binded contract.
- Certified clients must only use the certification marks in accordance with the Global Business Bureau Certification LLC rules for use of certification and accreditation logos.
- Certified clients must inform Global Business Bureau Certification LLC within 7 days of any serious incident that occurs within the scope of any certification held (*such as a fatality, data breach or pollution incident*) – this may result in an extra, unscheduled audit by Global Business Bureau Certification LLC;
- Certified clients must inform Global Business Bureau Certification LLC within 7 days of notification of prosecution by a regulator within the scope of registration.
- An audit day consists of 8 hours of audit activity.
- A cancellation fee may be charged for visits booked and confirmed in writing that are cancelled or postponed by the registered client within 2 weeks of the confirmed booked date.

Global Business Bureau Certification LLC is responsible for, and will retain authority for, decisions relating to accredited certification, including the granting, maintaining, renewing, extending, reducing, suspending and withdrawing of certification.

3. Confidentiality

Global Business Bureau Certification LLC is responsible for ensuring that secrecy is maintained by its employees, contractors and agents concerning all confidential information with which they may be acquainted because of their contacts with the company.

The certification programs define ownership and copyright concerning the GBBC LLC logo and the conformity mark.

Global Business Bureau Certification LLC agrees to treat as confidential all information about the company to which access is provided and to evaluate such information only for the agreed purpose. Documentation to which access is provided will not be passed on to third parties. This does not include reporting to the committee of the protection of the impartiality in the case of disputes or to the responsible accreditation and authorising authority.

Information about the client from sources (such as complainant, regulators) shall be treated as confidential.

Where information is required to be disclosed to a third party, either by law or in maintenance of certification (e.g., Accreditation Bodies), the client shall be informed of the information to be provided as permitted by the law.

4. Changes

The certified client shall inform Global Business Bureau Certification LLC in writing and without delay of any intended changes relating to the following:

- the legal, commercial, organizational status or ownership;
- Organization and management (e.g., Key managerial, decision-making or technical staff);
- contact address and sites;
- scope of operations under the certified management system.
- major changes to the management system and processes.

Global Business Bureau Certification LLC will determine whether the notified changes require any

additional audit activity. Failure to notify Global Business Bureau Certification LLC may result in certificate suspension.

Global Business Bureau Certification LLC ensures to 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.

5. Application for Certification

Upon receipt of a completed application for quotation from an applicant company, a quotation outlining the audit criteria and fees will be submitted to the applicant company.

Once the application for certification, suitably authorized by the applicant company, and accompanied by the necessary fee payment has been received by Global Business Bureau Certification LLC, the client will be included in the GBBC LLC audit plan and will be allocated an audit team. The audit team leader will be responsible for ensuring that the audit is carried out in accordance with Global Business Bureau Certification LLC procedures.

6. Fees

Fees are detailed in the quotation submitted to the applicant. All costs are based on the charge rate applicable at the time of quotation and Global Business Bureau Certification LLC reserve the right to increase charges during the certification period. Such increases will be notified to the client company in writing. Once an application for certification is made, payment of the initial registration fees is required, payment of ongoing registration fees is due as per the payment schedule within the quotation. Additional fees will be charged for additional work not included in the scope of the original quotation and for any extra, unscheduled visits required due to reported incidents, non-compliances being identified in the continuing adequacy and/or implementation of the relevant management system. Expenses associated with the audit/surveillance activities, accommodation and travel expenses are excluded from the services fees and will be charged at cost. Global Business Bureau Certification LLC reserves the right to charge late-payment charges. All fees charged by Global Business Bureau Certification LLC are net and exclude any local taxes in the country.

7. Initial Audit

Conformity assessment audits are based on sampling within a Management System and are therefore not a guarantee of 100% conformity with standard requirements.

The initial audit of an applicant company's management system shall be carried out over two stages:

- Stage 1 – to audit the applicants management system documentation; evaluate location and site-specific conditions and to determine readiness for the stage 2 audit; establish the applicants understanding of the requirements of the standard, in particular with respect to the identification of key performance or significant aspects, processes, objectives and operation of the management system; to discuss and agree the scope of the management system, processes and location(s) and related statutory and regulatory aspects (where applicable) and associated risks, etc.; to plan the Stage 2 audit and establish planning arrangements for internal audit and management review and the general readiness for the Stage 2 audit;

- Stage 2 – to audit the implementation (including effectiveness) of the applicants management system through the audit of the information and objective evidence about conformity to all requirements of the applicable management system standard or other normative documents; assess performance monitoring, measuring, reporting and reviewing against key performance objectives and targets; evaluate the applicants management system and performance as regards legal compliance, operational control of processes, internal auditing and management review and policies; 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

NOTE: During an ISO 45001 audit the following persons shall be available for interview at the time of audit: Management with legal responsibility; workers' representatives; person(s) responsible for occupational health activities; employees at all levels; and Contractor's representatives (if applicable).

All records produced for the implementation and operation of the appropriate management system shall be readily available for inspection by the audit team.

The applicant company shall ensure that Global Business Bureau Certification LLC is advised of the name of the Management Representative who has authority and responsibility for maintaining the Management System. This individual shall be required to maintain contact with Global Business Bureau Certification LLC.

8. Certification Decision

When the responsible decision makers of Global Business Bureau Certification LLC are confident that the company meets all the requirements for certification following a thorough review of the audit report(s) and associated objective evidence, the applicant shall be entered on the Global Business Bureau Certification LLC certification directory and a registration number and certificate issued.

Certificates issued will remain the property Global Business Bureau Certification LLC and shall be returned to Global Business Bureau Certification LLC upon request.

9. Surveillance

Periodic surveillance visits shall be carried out to confirm that the certified management system has continued to fulfil requirements between recertification audits; ensure internal audits and management review have been performed to programme; review actions taken on nonconformities identified during the previous audit; evaluate treatment of complaints; evaluate the continued effectiveness of the management system with regard to achieving objectives; evaluate the management system and performance as regards legal compliance; review progress of planned activities aimed at continual improvement; ensure continuing operational control and review of any changes since the last visit.

The certificate holder shall allow Global Business Bureau Certification LLC the right of access for surveillance purposes and Global Business Bureau Certification LLC shall reserve the right to make unannounced visits as required. The certificate holder will be informed of the results of all surveillances.

First surveillance visits shall be conducted no later than 12 months after the certificate decision date; and second surveillance not later than 24 months after the certificate decision date.

10. Renewal of Registration

Regardless of the frequency of the Surveillance routine, a certification cycles runs for a three-year period from the date of the certificate decision with a full re-audit to be completed within 3 years of the last date of the stage 2 audit, and every 3 years thereafter. Failure to submit for re-audit prior to the expiry date will result in a period during which the company's registration will deem to have

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expired. Global Business Bureau Certification LLC client companies will be subject to re-audit prior to the expiry of the certificate. Utmost 6 months prior to the expiry date a new quotation will be submitted covering the new three-year cycle.

11. Extension/Reduction of Certificate Scope

Extending the scope of registration, to cover new products/processes/locations requires registered companies to complete and return a new application for quotation. This will allow Global Business Bureau Certification LLC to determine whether additional audit time is required to cover the changes required. The application procedure outlined in clause 5 of these Terms & Conditions will be followed and an audit will be carried out on the areas not previously covered.

Reductions to a scope of registration, it is mandatory that Global Business Bureau Certification LLC is advised immediately of changes in organization or products i.e., closure of sites or removal of product previously supplied under original scope on certificate.

Upon review and acceptance of the information, Global Business Bureau Certification LLC will determine the actions needed to process the scope reduction and will notify if an additional audit, and a change in the worded scope, is required. The cost of this reduction in scope of the certificate will be based on the nature and programming of the audit if required or administration costs for a new certificate.

In the above cases an amended certificate detailing those aspects of the company activities covered by the extension will be issued following a successful audit (where applicable) to replace the original certificate issued to the company.

12. Publicity by registered companies

A certified company has the right to publicise the fact that the management system which it utilizes has been certified, and can apply the relevant marks to stationery and promotional material relating to the scope of certification as detailed on the certificate.

Certification marks must not be applied to products or primary packaging, or displayed in any way that is ambiguous as to the scope of the certification. Any statement about certification made on product packaging shall in no way imply that the product itself is certified by Global Business Bureau Certification LLC and shall include the brand name of the certified client, the type of management system and standard and the name of Global Business Bureau Certification LLC.

In every case the registered company shall ensure that no confusion arises between certified and non-certified products/processes and activities in its publications and advertising. The company shall not make any claim that could mislead purchasers to believe that a product/process or activity is covered by certification when, in fact, it is not.

13. Misuse of Certificates

Global Business Bureau Certification LLC take all reasonable precautions to control the use of the certificates issued. Incorrect references to the scope of certificates or incorrect use of the certificate shall be dealt with by suitable actions, which could include suspension or withdrawal of certificates, legal action and/or publication of the transgression.

14. Suspension of a certificate

A certificate may be suspended for a limited time in cases of:

- Widespread failure by a registered company to effectively implement Management System requirements.
- Failure to permit Global Business Bureau Certification LLC to conduct re-certification or surveillance audits at the required frequencies.
- Failure to accept the presence of accreditation body auditors attending an audit to be conducted by Global Business Bureau Certification LLC.
- Failure to notify Global Business Bureau Certification LLC of significant changes to the registered company.
- Misuse of certification marks.
- Misrepresentation/misuse of the certificate.
- Client ceases to supply product or service of the certified quality system for an extended period.
- Infringement by the client of any contractual conditions between the client and Global Business Bureau Certification LLC.
- The existence of a serious complaint, or a large number of second or third-party complaints, which indicate that the quality management system is not being maintained.
- Falsification and/or fabrication of records of implementation.
- Failure to respond to Corrective Action Requests within 30 days of the date of issue.
- Client fails to meet financial obligations to Global Business Bureau Certification LLC.
- Expiry of a certificate after the 3-year registration period has elapsed.
- Client makes a formal request to withdraw certification.

If suspended, the company shall immediately cease to identify the coverage of any certificate under suspension. Global Business Bureau Certification LLC shall notify in writing an official suspension of certificate to the company, this notification will indicate the conditions that will allow removal of the suspension. At the end of the suspension period, or earlier if suitable responses have been submitted by the suspended client, an investigation will be undertaken to determine whether the required conditions for removal of suspension have been followed. If the conditions have been satisfied the certificate will be re-instated, if the conditions have not been satisfied the certificate shall be withdrawn.

The suspended company shall be liable for any reasonable costs associated with suspension and subsequent re-instatement of the certificate and these will be charged to the registered company.

15. Withdrawal of Certificate

A certificate may only be withdrawn if the company does not meet required conditions raised on suspension of certificate.

Intention to withdraw a certificate will be notified to the company in writing 30 days before the proposed withdrawal date and the company does have the right of appeal against this decision. Global Business Bureau Certification LLC is not liable to reimburse any audit fees paid and Global Business Bureau Certification LLC will publish the withdrawal of the certificate.

Reinstatement of 'withdrawn' certificates may require a full initial audit to be conducted and where appropriate, fees to be paid in advance.

Withdrawal of the certificate will require that all promotional materials endorsed with the Global Business Bureau Certification LLC certification logos must be withdrawn from use immediately and any continued use of marks on company publicity and stationery material will be in contravention of the intellectual property rights of the owners of the marks.

16. Cancellation of Certificate

A certificate may be cancelled if:

- The company does not wish to renew the certificate.
- The company goes out of business.

- The company does not respond to correspondence from GBBC LLC.

Global Business Bureau Certification LLC is not liable to reimburse any audit fees paid and Global Business Bureau Certification LLC will publish notification of the cancellation of the certificate. Cancellation of the certificate will require that all promotional materials endorsed with the Global Business Bureau Certification LLC certification logos must be withdrawn from use immediately and any continued use of marks on company publicity and stationery material will be in contravention of the intellectual property rights of the owners of the marks.

17. Appeals and Disputes

In the event of certificate withdrawal or if a client company does not accept a non-conformity or recommendation for registration, the company has the right of appeal. Should the company intend to appeal then they should refer to the Complaint & Appeal Handling procedure of Global Business Bureau Certification LLC.

Global Business Bureau Certification LLC must receive notification of the intent to appeal within five days of the company's receipt of the intention of withdrawal notice from Global Business Bureau Certification LLC, or the date of the audit.

The appellant must submit a formal documented substantiation for the appeal to Global Business Bureau Certification LLC within five days of the receipt of the intention of withdrawal notice or the date of the audit.

All client appeals will be initially reviewed by the Certification Manager / Technical Manager and the Global Business Bureau Certification LLC audit staff responsible for the recommendation to withdraw the certificate or identification of the non-conformity - who must provide evidence to support their recommendation.

Should the appointed decision maker reject the appeal then it will have to be passed to the Appeal Committee. Should the Appeal Committee concur with the decision maker(s) finding then the appeals committee, drawn from the independent members of the impartiality committee shall consider the appeal.

The appellant will be advised of the names of the appeals committee and the appellant has the right to dispute the members of the appeals committee by formal notification of their dispute. This dispute will be reviewed by the chairman of the committee or, if the chairman is a member of the appeals committee, by the vice-chairman. The result of the appeals committee review will be notified to the company.

The decision of the appeals committee is final and shall be binding on both parties. Once the decision on the appeal has been made no counter claim by either party can be made to amend or change the decision.

In instances where the appeal has been successful, and the certificate is re-instated or the non-conformity is removed, no claim can be made against Global Business Bureau Certification LLC for reimbursement of costs, or any other losses incurred because of the initial withdrawal or identified non-conformity. Submission, investigation and decision on appeals shall not result in any discriminatory actions against the appellant.

18. Complaints

Should a client have any reason to complain regarding the conduct of Global Business Bureau Certification LLC employees, then the complaint should be made in writing to Global Business Bureau Certification LLC.

Complainants will receive an acknowledgment of receipt immediately and the complaint will be investigated and decided upon within a maximum of 7 days from initial receipt.

Should Global Business Bureau Certification LLC receive a complaint by a user of a registered client, indicating that a certified client no longer complies with Global Business Bureau Certification LLC requirements, then Global Business Bureau Certification has the right to conduct an investigation or a full/partial re audit of the client, at extra cost to the client.

All certified clients shall make available, when requested, records of all complaints and corrective actions taken, in accordance with the management system standards or other normative documents.

19. Directory of Certified Companies

Global Business Bureau Certification LLC maintains a directory of all certified companies, including the name, relevant normative document, scope and geographical location (e.g., city and country) for each certified client (or the geographic location of the headquarters and any sites within the scope of a multi-site certification). This is published in our website and made available upon request to both certified and non-certified companies and members of the public.

20. Accreditation Body Visits

Global Business Bureau Certification LLC clients shall, where an accreditation body so nominates a need to, accept the presence of members of the Accreditation Body attending an audit to be conducted by Global Business Bureau Certification LLC. An Accreditation Body may without any or with limited time notice to Global Business Bureau Certification LLC request a witnessed audit take place, in agreeing to these terms and conditions the client consents to this.

Attendance by accreditation members shall in no way affect the certification decision making process of the Global Business Bureau Certification LLC Lead Auditor.

21. Liability

Global Business Bureau Certification LLC auditors carry out an evaluation of conformity against a standard, which in respect of the time allocated can only be considered as a snapshot and sampling of the activities of the audited company and not an exhaustive evaluation.

At no point, does Global Business Bureau Certification LLC hold itself up, purport or profess to be a regulatory authority or expert consultants within the areas audited and can only operate within the general working knowledge of the field involved as defined by the scope of activity.

Global Business Bureau Certification LLC holds itself removed from any responsibility or liability to the audited company for any implications or actions resulting from legislative/regulatory non-compliance on behalf of the audited company including any actions taken after the audit resulting in legal or financial failures of the audited company.