

### 1. INTRODUCTION

This document has been prepared to explain the rules to be applied relating to certification of products under The Lifts Regulations by **GCL International Limited**, hereinafter known as (**GCL**).

These rules are mandatory and reflect the content of the relevant United Kingdom statutory. Any change to the application of these scheme rules can only be with the formal, documented approval of the **GCL** Chief Executive Officer.

### 2. SCOPE

These rules apply to all activities undertaken under The Lifts Regulations 2016 Schedules 12, 15, 18 and 19 only. The rules apply to **GCL** and the Applicant company as appropriate.

### 3. CONFIDENTIALITY

**GCL** agrees not to disclose any information relating to the client's business or affairs except information, which is required by the United Kingdom Accreditation Service (UKAS) in fulfilling their responsibilities and duties on behalf of the United Kingdom Department, Business, Energy & Industrial Strategy (BEIS).

Any statutory body as defined by the Regulations who may from time to time request such information in pursuance of the application of the Regulations.

As required by The Lifts Regulations, **GCL** shall inform BEIS of the withdrawal of any approvals.

### 4. GENERAL REQUIREMENTS

A quotation shall be advised prior to undertaking the work associated with the application. If the figure will, or is

likely to be exceeded then the applicant shall be informed as soon as practicable.

Where an applicant operates an "approved" quality system in accordance with ISO 9001 with **GCL**, the Lifts Regulations surveillance shall be at a frequency of once per annum. The number of lifts to be visited will be based upon the performance on compliance and the number of lifts installed.

Any changes to the quality system, including changes in relevant personnel shall be communicated to **GCL** for review and assessment.

For all modules it is a requirement that all equipment used for test and/or verification purposes if calibrated, and that such calibration is traceable to National and/or International standards of measurement.

### 5. APPLICATION PROCESS

- All applicants shall submit an application form and submit to **GCL** for review.
- Upon receipt of the application it shall be reviewed and a quotation sent out together with these rules of registration.
- Written acceptance of quotations are required, which can be by email or the issue of a purchase order or purchase order number.

A copy of the technical file/dossier shall be required for all modules and must contain the following:

- A general arrangement drawing of the product and drawing of electrical, pneumatic and/or hydraulic control circuits.
- Full detailed drawings, calculations, notes, test results and any other data which may be necessary to check the conformity of the

product with essential health & safety requirements (EHSR's).

- A description of methods adopted to eliminate hazards presented by the product, a list of dedicated standards, national standards or other documents used to ensure conformity.
- A copy of the instructions to be supplied with the product these to be in English language.

For series manufacture the internal measures which will be used to ensure that all products of the type referred to in the application are in conformity with the provisions of the Regulations.

Where a product is modified the original applicant, or his legal successor, must inform **GCL** of the modifications.

The applicant to **GCL** must freely supply all relevant information necessary to allow assessment for conformity with the Regulations. If an application has been submitted to any other Approved Body then **GCL** must be informed and the circumstances resulting in a submission to **GCL** must be fully and frankly documented.

### 6. DESIGN EXAMINATIONS

In cases where the installation does not apply the dedicated standards due to circumstances where this is not possible. Such circumstances shall not be due to costs and evidence of why the criteria cannot be met will be required to be submitted to **GCL**.

The processes involved for design examinations are as follows:

- The installer to complete and send a deviation request form and send to **GCL** for review.

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- b) All documents as requested by the deviation request form shall be sent to **GCL** for review with the application form.
- c) Upon receipt of all information **GCL** shall issue a quotation for the work to be carried out.
- d) The **GCL** lift inspector shall review all information and determine whether the essential health & safety requirements (EHSR's) have been met and evidence is available to demonstrate this, then **GCL** shall issue a design examination certificate to the lift installer.

### 7. INSPECTION

#### Schedule 12 Final Testing Installed Lift

Under this module **GCL** shall undertake a final test of the lift. This shall include a review of the technical file.

#### Schedule 15 Unit Verification Installed Lift

Under this module **GCL** shall undertake a unit verification of the lift. This shall include a review of the technical file and a witness of the lift testing.

#### Schedule 18 Full Quality Assurance of Lifts & Schedule 19 Production Quality Assurance of Installed Lifts

In the case of the modules specified above inspection activities will normally be undertaken as part of the surveillance activities. However, in the case of lifts installed on site additional visits to site to inspect lift installations may be arranged.

### 8. ASSESSMENT PROCESS

A lift inspector shall be allocated for the inspection and shall be experienced in lift technology. The assessment of the quality system shall be against ISO 9001.

### 9. CERTIFICATION

In the case of the following schedules **GCL** shall assess the applicant quality system, following the assessment **GCL** shall notify the applicant of its decision.

### 10. SURVEILLANCE

Surveillance of the ISO 9001 and The Lifts Regulations quotations shall be undertaken at periods defined by the **GCL** quotation. For ISO 9001 the frequency can be, 5 visits in a 3 year period of, (6-12-28-24-30 months) from the initial assessment, or 3 visits in a 3 year period (6-18-30 months) from the initial assessment. Whatever the frequency of visits the time spent annually shall be a constant. For Schedules 18 & 19 of The Lifts Regulations surveillance shall be 2 times in a 3 year period (12-24 months) from the initial assessment / reassessment. If the installer is installing:  
 1-12 lifts per year: 1 lift sampled per year  
 12-24 lifts per year: 2 lifts sampled per year  
 More than 24 lifts per year: 3 lifts sampled per year

### 11. APPEALS

In circumstances where **GCL** decline to issue certification then the client has the right to appeal. The client shall support his reasons by objective evidence. A sub-committee of the **GCL** Impartiality Committee shall hear all appeals. The sub-committee's decision is final and binding on both the client and **GCL**. Either party shall allow no counter claim. No costs, for whatever reason shall be allowed for either party as a result of an appeal.

### 12. COMPLAINTS AGAINST GLOBALGROUP PERSONNEL

If a client has a complaint about the conduct of any **GCL** inspector or auditor then this should be sent in writing and addressed to the **GCL** quality manager. If the complaint involved the quality manager then it is to be addressed to the chairman of the impartiality committee.

### 13. COMPLAINTS RECEIVED BY GLOBAL CLIENTS

All clients are required to keep a log of all customer complaints. This log shall be made available to **GCL** upon request and at all surveillance visits.

### 14. COMPLAINTS RECEIVED BY GLOBALGROUP ABOUT CLIENTS

If any complaints are received direct from companies with installed lifts or a trade body they will be investigated. This may require a client visit, which will incur extra cost. However, wherever possible investigation shall be carried out during routine surveillance visits.

### 15. MODIFICATIONS

Any modification to a certificated product or "approved" quality management System shall be advised to **GCL** for review, assessment and approval. Failure to notify of such modifications may result in withdrawal of the associated approval.

### 16. UKCA DECLARATIONS (LIFT INSTALLERS)

All declaration of conformity certificates for installed lifts shall state the following:

- (a) business name and address of the installer;
- (b) where appropriate, business name and address of the authorised representative;
- (c) description of the lift, details of the type or series, serial number and address where the lift is installed;
- (d) year of installation of the lift;
- (e) all relevant provisions to which the lift conforms;
- (f) a statement that the lift is in conformity with the relevant legislation;
- (g) where appropriate, reference(s) to dedicated standard(s) used;
- (h) where appropriate, the name, address and identification number of the approved body which carried out the type examination of lifts set out in

Schedule 11, Part B and the reference of the type examination certificate issued by that approved body;  
 (i) where appropriate, the name, address and identification number of the Approved Body which carried out the unit verification for lifts set out in Schedule 15;  
 (j) where appropriate, the name, address and identification number of the approved body which carried out the final inspection for lifts set out in Schedule 12;  
 (k) where appropriate, the name, address, and identification number of the approved body which approved the quality assurance system operated by the installer in accordance with the conformity assessment procedure set out in Schedules 18 & 19  
 (l) the name and function of the person empowered to sign the declaration on behalf of the installer or his authorised representative;  
 (m) place and date of signature;  
 (n) signature.

### 17. UKCA MARKING

Subject to compliance with these rules the applicant will be granted the use of **GCL** approved body number. Should **GCL** find evidence that the licensee is not complying with the undertakings it reserves the right to withdraw the use of the Approved Body number.

### 18. PRIVACY NOTICE

We take the privacy and the protection of personal information seriously. Our Privacy Notice sets our details about we gather, use and share personal information and about individual privacy rights. How we use personal information depends upon the context in which it is made available to us. Our Privacy Notice is available from our website: <http://gcl-intl.com/privacy-policy-cookies/>

### 19. ARBITRATION AND DISPUTES

Any dispute, controversy, proceedings or claim between the parties relating to this Agreement shall be settled amicably. If no agreement is reached, the matter will then be referred to an arbitrator nominated by both parties.

### 20. APPLICABLE LAW AND JURISDICTION

This Agreement and any dispute, controversy, proceedings or claim between the parties relating to this Agreement shall be governed by, and construed in accordance with, the laws of England and Wales.

### 21. GCL POLICIES

GCL follows policies as stated on GCL's website (<https://www.gcl.uk/about-us/policies/>).

### 22. GCL ANTI-BRIBERY AND CORRUPTIONS

GCL follows policies as stated on GCL's website (<https://www.gcl.uk/about-us/policies/>).