

Annexure - 15			
Certification Scheme Regulations.			
Annexure: 15	Issue : 01	Issue Date 12.11.2012	Rev no -01, Date - 01/04/2015

QCS MANAGEMENT PVT LTD.
MANAGEMENT SYSTEM CERTIFICATION
SCHEME REGULATIONS - ISO 9001 ISO 14001 & 18001 STANDARDS

1.1 INTRODUCTION:

In today's fiercely competitive environment of the global market place, it has become imperative for companies over a wide range of manufacturing and service sectors to provide assurance of the quality of their products or services through an implementation of a variable quality management system.

International standards ISO 9001 14001 & 18001 series stipulate the minimum requirements for a documented QUALITY / ENVIRONMENTAL/OHSAS management system to be established and a Certificate of Compliance to these standards has now become an international criterion of assessing a company's credibility and capability to consistently meet quality standards to the customer satisfaction.

1.2 PURPOSE:

The purpose of this description of the QCS Quality/Environmental /OHSAS Systems Certification Scheme is to provide relevant information regarding QCS services for conducting our impartial and competent assessment of a company's management system for issue and maintenance of an accredited certification ISO 9001, ISO 14001 & OHSAS 18001 Standard.

1.3 SCOPE:

The accredited certification scheme operated by QCS is a third party system certification scheme with an objective of giving recognition to companies who have effectively implemented and operate a verifiable documented system. It covers the following scope:-

- Preliminary meeting to establish scope of registration and the applicable standard.
- Conduct of independent audits for certification
- Issue of accredited certifications as per accredited scope sectors
- Surveillance visits for verification of conformance of quality systems to certification standard.
 - The organization need to develop a system in respect to ISO 9001:2008/ ISO 14001:2004/ISO 18001:2007 as per the applicable management system for Which they need the certification.

1.4 CERTIFICATION PROCEDURE:

- Enquiry and Fee Quotation:-
Upon receipt of an enquiry, the QCS Questionnaire is required to be completed by the applicant company. Based upon the information provided, a detailed offer is submitted for client's consideration and acceptance.
- Application:- Upon confirmation of acceptance of QCS fee offer and the receipt of client's application together with the application fee, the process of certification commences with scheduling of audits on mutually agreeable dates.
- Extension of Certification:-
Whenever the clients applies for the extension of Scope/ addition of sites, facilities etc. the same is verified during a special visit or at the next surveillance audit and based upon the recommendations of Lead Assessor and verification of audit reports a decision is taken for issue of amended certification for scope extension.

1.5 AUDIT PROCESS

- Documentation Review and stage 1 Audit
For most management system, it is recommended that at least part of the stage-I audit be carried out at the client premises in order to achieve the objectives. An onsite review of the client's optional quality/environmental management/OHSAS systems documentation is conducted to verify that the

requirements of the applicable ISO standard are satisfactorily addressed. A report is issued listing any non-conformity against which corrective actions requires to be taken as per a corrective action plan to be submitted. The degree of implementation of the quality systems is also assessed to agree on a tentative stage 2 audit schedules. In particular, the records of the Internal Audit, Corrective Actions and the Management Reviews shall be verified to assess the level of Implementation of the Organization's Quality System, so as to ensure that the Quality / environmental/ OHSAS management System is mature before the Stage-II assessment is scheduled to be conducted. The evaluation may be carried out during Stage-I by the Organization's. Management and risk analysis is carried out before proceeding to the next stage of audit

Annexure - 15			
Certification Scheme Regulations.			
Annexure: 15	Issue : 01	Issue Date 12.11.2012	Rev no -01, Date - 01/04/2015

INCASE OF IMS AUDIT:

The audit team as a whole shall satisfy the competence requirements for each technical area as relevant for each certification scheme covered by the scope of the combined audit. In cases where the audit team leader does not have the competence required to audit all management system standards covered by the combined audit, individual team members shall be appointed as the 'lead' for each applicable standard and be responsible for any related recommendations that fall outside the competence of the audit team leader.'

To determine the audit time for a combined audit covering two or more management system standards, e.g. A + B + C, QCS shall

calculate the required audit time for each management system standard separately (applying all relevant factors provided for by the applicable accreditation guidance and / or scheme rules for each standard)

calculate the starting point T for the duration of the combined audit by adding the sum of the individual parts (e.g. T = A + B + C)

where appropriate, adjust the starting point figure by taking into account factors that may reduce (see annex 1) or increase the time required for the combined audit. These factors should include but not be limited to:

o The availability and use of multi-discipline auditors.

o The extent to which the organizations management system is integrated.

o The ability of the organizations personnel to respond to questions concerning more than one management systems standard..

o The planning of the audit takes into account effective use of auditor time.

o The complexity of combined audits compared with single management system audits.

Inform the client that combined audit durations which have been based on declared levels of system integration that are subsequently found to be invalid, will be subject to adjustment.

Combined audits of non integrated management systems (although conducted at the same time) should not qualify for any time reduction.

Stage 2 Audit

Following the Stage-I audit, QCS will conduct a Stage-II certification audit to assess conformity with the requirements of the applicable ISO standard. A report categorizing any non conformities or weakness in the implementation of the documented quality systems are issued.

Corrective Actions and Follow-up

The company is required to submit a Corrective Action Plan addressing the non-conformities within a given time frame. Corrective actions against all major conformities require to be verified during a follow up visit and / or through provision of objective evidence of effective implementation, prior to confirmation of certification. Observations are also recorded relating to various elements of the quality / environmental/ OHSAS systems which do not significantly affect the operation of the system but do nevertheless indicate a problem which may need correction.

a) In the event of major non conformities being identified (Category 'A') in respect of the implementation of any element of the quality system or several minor non-conformities being recorded against any one element which renders the system deficient but operable, a recommendation for certification is made subject to a CAP being submitted within 2 weeks and corrective actions being verified onsite and closed out through a special visit within 8 weeks of the assessment date, before certification is granted or as decided by CEO.

b) Where the audit has revealed only minor non conformities (Category 'B') which need to be addressed through corrective actions, the certification may be recommended subject to the **CAP (Corrective Action Plan)** being submitted by the company within 2 weeks together with objective evidences of the corrective actions taken. The corrective actions plan is required to be closed out upon physical verification of the satisfactory implementation at the first subsequent audit.

c) In the case of where "opportunities for improvement: (Category 'C') having been recorded during the certification audit, the actions, as applicable, are observed for effectiveness at the subsequent audit visit.

1.6 ISSUE OF CERTIFICATE

Upon completion of the review of all audit documentation and corrective actions being closed out, QCS will issue the Certificate of Registration to the company.

Annexure - 15

Certification Scheme Regulations.

Annexure: 15

Issue : 01

Issue Date 12.11.2012

Rev no -01, Date - 01/04/2015

1.7 **VALIDITY AND RENEWAL OF CERTIFICATE**

Certificates issued by QCS remain valid for three years subject to the conformance of the quality / environmental/ OHSAS systems to the certification standards being verified and found satisfactory during periodical surveillance audits, though certificate will be expired after 01 year from the initial registration date and new certificate with extended validity will be issued after each surveillance audit. After three years from initial registration date, certificate of Registration is renewed for a further term of three years after the conduction of a satisfactory reassessment.

1.8 **SURVEILLANCE AUDIT**

QCS Certifications are issued subject to the maintenance and continual conformance of the documented quality / environmental/ OHSAS systems to the certification standards. Surveillance audits shall be conducted at periodic intervals at least once a year during the three year term of validity of the Certificate followed by a re-assessment of the quality systems for renewal of the certification prior to its expiry. The frequency of the surveillance audits has to be at least once in 12 months from the date of closing meeting of the certification audit i.e., two surveillance audits to be conducted during the three year period of validity at annual intervals. In case of nine monthly surveillance audit 3 surveillance audits will be conducted and in case of six monthly surveillance audit 5 surveillance audits will be conducted. The nine monthly and six monthly surveillance audits will be conducted in case the organization demands the same during the signing of the contract.

1.9 **SPECIAL AUDITS**

A special visit may require to be made to the certificate company's premises in the following circumstances:

-QCS has reason to believe that the documented systems are inadequately maintained with major deficiencies in operation.

- In case of any change in the management system standard due to which the certification requirements are going to be changed, client will be intimated in advance for the transition audit and audit will be scheduled after the consent of the organization. But the audit has to be done before the defined timeframe.

upon intimation by the certified company, of any significant change in the certified documented system. Including extension of scope visit will decide, whether the extension of scope sector can be granted or not. This may be clubbed with the surveillance audit this surveillance audit program shall include, at least

- (A) Internal audit and management review
- (B) A review of actions taken on NC identified during the previous audit.
- (C) Treatment of complaint
- (D) Effectiveness of the management system w.r.t. achieving the certified client objectives.
- (E) Progress of planned activities aimed at continual improvement
- (F) Continuing operational control
- (G) Review of any changes
- (H) Use of marks and or any other reference to certification

1.10 **Short Notice Audit**

As a result of a complaint, by any party, any adverse publicity or contravention of the conditions of certification or other information received and suspended client. The special visits will be undertaken after due notice has been given and details agreed between QCS and visits will be undertaken after due notice has been given and details agreed between the certified company. Due care is taken of the following.

- Information is given to the client in advance regarding the re-source of the visit with details.
- Due care is taken to select the auditor to Safeguard Lack of Reason to client for objection to the auditor.

1.11 **Suspension, Withdrawal, Extension and reduction of Certification:**

Suspension: The grounds for suspending the certificate are as follows:

- a) If the certified organization is not getting the Surveillance audit conducted as per the certification agreement.

Annexure - 15

Certification Scheme Regulations.

Annexure: 15

Issue : 01

Issue Date 12.11.2012

Rev no -01, Date - 01/04/2015

- b) If the client is found to misuse the logo of the Certification Body or is using any kind of misleading statement which might affect the reputation of the certification body and the accreditation board.

Any certificate issued by QCS may be withdrawn in the event of any of following defaults by a certificate holder.

- If a surveillance audit is not arranged within 3 months of the due date in response to notice issued by QCS
- Major lack of effective implementation of corrective of actions within agreed time limits in respect of non-conformities identified during surveillance audits.
- Failure to pay appropriate fees.
- Continued misuse of Accreditation mark/logo e.g. misleading publications, advertisement or contravention of the stipulated conditions for the use of marks/logo. Upon suspension or cancellation of certificate of registration, the name of the organization shall be deleted from the QCS's approved list of certified companies.

Extension: Upon the request of the client at any point of certification cycle, the scope of certification can be extended after the verifications conducted as per the QCS certification process

Reduction: Upon the request of the client or during the surveillance audit as identified/verified by the audit team, the scope of certification can be reduced after the verifications conducted as per the QCS certification process.

- a) If there is any complaint from the customer's customer QCS needs to verify the complaint and in case if the certified organization is found guilty the certificate will be suspended and will remain suspended until the complaint is not resolved.
- b) In case of Non payment of the fee as per the Contractual agreement.
- c) If during the Surveillance audit system found not to comply with Standard requirement.

Cancellation: The grounds for cancellation of certificate are as follows:

- a) In case the Organization is not able to resolve the issue of Suspension with in 90 days from the date of Suspension.
- b) The evidences submitted by the organization for the reason of suspension as defined above are not found satisfactory.

Upon the Suspension the certificate will be surrendered from the client, the QCS web site will be updated that the organization's certificate is cancelled (not valid). After the cancellation of the certificate if the organization is found to use the certificate or certification information in any manner legal action will be taken against the Organization as per the contractual agreement Annexure 13.

Note: The evidences can be verified onsite or offsite depending upon the nature of the reason for the suspension.

Extension: Upon the request of the client at any point of certification cycle, the scope of certification can be extended after the verifications conducted as per the QCS certification process

Examples of extensions can be addition of the site/unit, product line, Business line .And this can be done by conducting the extra Mandays of the audits as per the complexity of the extensions requested.

Reduction: Upon the request of the client or during the surveillance audit as identified/verified by the audit team, the scope of certification can be reduced after the verifications conducted as per the QCS certification process.

Examples of reductions can be deletion of the site/unit, product line, Business line .And this can be done by conducting the extra Mandays of the audits as per the complexity of the reductions requested

1.12 APPEALS / COMPLAINTS

QCS accredited certification scheme endeavors to provide a prompt, competent and impartial service to its clients. In case, an applicant, a certified company or any other interested party wishes to make a complaint in respect of the operation of QCS certification scheme or appeal against a decision of the QCS which is considered to be unfair and prejudicial to the interests of the complainant, QCS will consider the complaint or appeal in accordance with Section P5 and P6 the QCS Procedures Manual, a copy of which can be provided upon request.

1.13 USE OF LOGO

The use of Logo is governed by the QCS conditions and instructions applicable to

The use of Accreditation and certification marks by certified companies. In case of lab certification, a separate instruction will be issued to the clients

1.14 GENERAL GUIDELINES

All assessments undertaken by QCS are conducted by auditors qualified to the requirements of ISO 19011 with expertise matched with the nature of an applicant company's activities under assessment. The company is advised in advance of the composition of the Audit Team and the schedule of audit for confirmation. The Team Leader is responsible for planning the audit in accordance with the requirements, assigning auditing functions to his team members and reporting, with authority to take final decisions in respect of the interpretation of the applicable requirements of the standard as well as makes recommendation regarding grant of certification based upon a review of the level of compliance of the systems in operation.

Annexure - 15

Certification Scheme Regulations.

Annexure: 15

Issue : 01

Issue Date 12.11.2012

Rev no -01, Date - 01/04/2015

The applicant company is responsible for providing QCS Auditors, an access to its relevant facilities and records, appointing a responsible person to co-ordinate the arrangements for audit and to provide all resources required by the audit team for performing their duties.

1.15 **CONFIDENTIALITY**

All audits are conducted in complete confidentiality of the company's activities. QCS office staff and auditing personnel are bound by a confidentiality agreement to safeguard the client's classified information.

1.16 QCS does not offer or undertake internal audits to its clients as well as to other parties. Hence there is no chance of providing certification to any such party.

1.17 QCS does not outsource audits to a Management System consulting organization to avoid any threat to impartiality.

1.18 QCS does not market its activities as linked with the activities of the organization that provides management system consultancy.

1.19 QCS shall take action to respond to any threats to its impartiality arising from the Actions of other persons, bodies or organizations.

1.20 QCS and any part of it do not offer or provide internal audits to its certified clients. QCS does not certify any management system on which it provided internal audits within two years following the end of the internal audits

1.21 **ACCREDITATION BOARD:**

At any time of the Certification cycle the Accreditation Boards auditor may accompany the QCS Audit Team for the evaluation of the QCS Auditor's. Also the accreditation Board auditors may visit personally without any representative from QCS in both the cases organization is liable to allow them to audit there system and verify the documents related to Management System but under prior and timely information.