

Indian Register Quality Systems

(A department of Indian Register of Shipping)



Certification Scheme

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CERTIFICATION SCHEME

IRQS (*A Dept. of Indian Register of Shipping*) provides independent certification services for various management systems. IRQS commenced certification services in 1993.

IRQS stands for **Integrity, Reliability, Quality and Safety**.

1. Management Systems Certification Scheme

1.1 The scheme covers assessment by IRQS for certification of various management system/s in accordance with the International Standards viz. ISO 9001, ISO/TS 16949, OHSAS 18001, ISO 14001, ISO 22000, ISO 27001, ISO 28000.

1.2 Certificates are issued as per the following accreditations / certification schemes:

1.2.1 RvA accredited certificates for QMS, EMS and FSMS

1.2.2 NABCB accredited certificates for QMS and EMS

1.2.3 IATF accredited certificates for ISO/TS 16949

1.2.4 Unaccredited certificates for OHSAS 18001, ISO 27001, ISO 28000. These certificates are issued as per IRQS certification scheme.

1.3 Scope of Accreditation

The accreditation covers the quality system of the certifying body as well as specified certification scope in working areas described under different NACE code, for which the certification body is authorised to carry out assessment and issue of certificates of approval.

1.3.1 For IRQS accreditations details of particular industry sector authorisations refer to RvA and NABCB certificates for QMS, FSMS and EMS or visit the following websites;

www.rva.nl

www.qcin.org

For registration details of ISO/TS16949, refer www.iaob.org

1.3.2 Certification by IRQS to OHSAS 18001, ISO 27001, ISO 28000 is carried out for all types of organisations.

1.3.3 For other information and list of clients; visit www.irclass.org

1.4 Scope of Assessment

These are the various activities carried out by the industry / organisation, within the scope of the standard which appears in the certificate of approval issued to the organisation by IRQS after satisfactory assessment.

2. Management Systems as per international Standards

Certification of following Management Systems Standards /Specifications are offered by IRQS:

2.1 Quality Management System (QMS)

2.1.1 ISO 9001

The International Standards specify requirements for quality management systems where an organisation needs to demonstrate its ability to consistently provide product that meets customer and applicable regulatory requirements and aim to enhance customer satisfaction through the effective application of the system, including processes for continual improvement of the system and the assurance of conformity to customer and applicable regulatory requirements.

2.1.2 ISO/TS 16949

This technical specification, in conjunction with ISO 9001:2000, defines the quality management system requirements for the design and development, production and, when relevant, installation and service of automotive-related products.

This technical specification is applicable to sites of the organisation where customer-specified parts, for production and / or service, are manufactured.

Supporting functions, whether on-site or remote (such as design centres, corporate headquarters and distribution centres), form part of the site audit as they support the site, but cannot obtain stand-alone certification for ISO / TS 16949.

2.2 Environmental Management System (EMS) – ISO 14001

The requirement for an environmental management system is to enable an organisation identify its significant aspects and their impact, to develop and implement policy and objectives, which take into account legal and other requirements to which an organisation subscribes, and take decision to inform about significant environmental aspects to all the interested parties. It applies to those environmental aspects that the organisation can control, that it can influence. It does not itself state specific environmental performance criteria.

The extent of application depends on factors such as the environmental policy of the organisation, the nature of its activities, products, services, location and the conditions in which it functions.

2.3 Occupational Health and Safety management Systems (OH & SMS) – OHSAS 18001

This standard gives requirements for an occupational health and safety (OH & S) management system, to enable an organisation to control its OH&S risks and improve its performance.

This standard is intended to address occupational health and safety of personnel and processes, rather than product and services safety.

The standard is applicable to any organisation that wishes to

- a) establish an OH&S management system to eliminate and minimise risk to employees and other interested parties who may be exposed to OH&S risks associated with its activities.
- b) Implement, maintain and continually improve the OH&S management system
- c) Assure itself of its conformance with its stated OH&S policy
- d) Compliance to legal and other requirements

2.4 Food Safety Management System (FSMS) - ISO 22000

Certification of an organisation's FSMS is one of the means of providing assurance that the certified organisation has implemented a system for the food safety management of its processes, activities, products and services in line with the organisation's food safety policy and the requirements of ISO 22000

It is applicable to all organisations, regardless of size, which are involved in any aspect of the food chain and want to implement systems that consistently provide safe products.

2.5 Information Security Management System (ISMS) - ISO 27001

An Information Security Management System (ISMS) is a systematic approach to managing sensitive company information so that it remains secure. It encompasses people, processes and IT systems.

Certification of an organisation's ISMS ensures that the organisation has a model for establishing, implementing, operating, reviewing, maintaining and improving the security of information including those of customer, held by the organisation. The implemented ISMS ensure handling of overall business risks by implementation of security controls customised to the needs of the organisation thus increasing the productivity of the people and enhancing corporate image.

2.6 Specification for security management systems for the supply chain - ISO 28000

Supply chain describes an overall process that results in goods being transported from the point of origin to final destination and includes the movement of the goods, the shipping data, and the associated processes as well as the series of dynamic relationships. It involves many entities such as producers of the goods, logistics management firms, consolidators, truckers, railroads, air carriers, marine terminal operators, ocean carriers, cargo/mode/customs agents, financial and information services, and buyers of the goods being shipped.

ISO 28000:2007 outlines the requirements to enable an organization to establish, implement, maintain and improve a security management system, including those aspects critical to security assurance of the supply chain. These aspects include, but are not limited to, financing, manufacturing, information management and the facilities for packing, storing and transferring goods between modes of transport and locations.

3. Certification (Registration) of Management Systems

3.1. Application

Organisation, intending to obtain management system certification from IRQS, to fill up the questionnaire, indicating the scope of assessment (refer para 1.4) along with other details. An offer is made to the organisation based on required man days calculated as per the details provided in the questionnaire and after ensuring that the declared scope of assessment is within the authorisation of IRQS's scope (refer para 1.3) of accreditation.

3.2. Submission of Documents

Upon acceptance of IRQS offer the Organisation submits the 'Request of Audit' Form (application form of IRQS) indicating the scope of assessment (refer para 1.4) duly signed, along with the documentation establishing the relevant management system, for review by IRQS auditors.

3.3. Assessment of Documents

The assessment of the documents may be done prior to the scheduled Stage I audit or during the Stage I audit. It is preferable to receive and review the documents at least 4 days prior to Stage I audit to provide a better focus on the scope of audit. The adequacy of the management system documentation with respect to implementation is reviewed during the assessment and if found deficient appropriate comments are communicated to the auditee through Stage I report.

The details of audit schedule are planned and these are submitted to the Organisation.

3.4. Certification (registration) Assessment for the Management Systems is carried out in 2 stages.

- a) Stage I
- b) Stage II

Some of the key activities of each are described as below:

a) Stage I – Readiness review

- Collection of necessary information regarding scope of management system, processes, aspects, hazards, risks and location/s of the organisation, statutory requirements and their compliance etc.
- Review of organisation's status and understanding of the requirements of the standard, particularly with respect to identification of key performance, aspects, hazards, risks, processes, objectives and operation of the relevant management system
- Review of documentation
- Identification of issues including areas of concern requiring special attention during Stage II audit.
- Evaluation of organisation's readiness for Stage II audit

It is ensured during Stage I audit that the management system is designed to achieve the organisation's goals; implementation programmes and justifies proceeding to Stage II audit.

Stage I audit report is submitted to client at the end of Stage I audit. Such report includes identified areas of concern, which are required to be appropriately acted upon prior to Stage II audit. Otherwise, these areas of concern could lead to non-conformities during Stage II audit.

During the Stage I audit, if it is found that the organisation is not ready for Stage II audit, the process stops. IRQS records such decision. Subsequently certification process restarts only after satisfactory completion of Stage I audit.

b) Stage II – Audit

The audit plan for the conduct of Stage II audit is drawn up on the basis of the findings of the Stage I audit.

Stage II audit is to be completed within 90 days from the completion of Stage I audit. This is done to ensure that the findings of Stage I audit remain valid. On the agreed date/s IRQS assessment team conducts the audit. At the conclusion of the assessment the audit findings are informed to the organisation

- All the sites identified shall be audited
- All support activities like purchase, marketing, warehouse, design etc. shall be audited

3.5. Outcome of certification audit (Initial/ Renewal):

The outcome of a certification audit or renewal audit is decided based on the audit findings including nature of non-conformities noted during the audit.

If major NCs are identified during the certification/Renewal audit then a follow up audit or Re-audit shall be recommended.

Minor NCs found during the certification/ renewal/ surveillance audit, would need to be acted upon immediately, however a time frame for closure will be agreed with Team leader, but the same will not exceed 90 days. The team leader shall decide to close the NC either through a follow-up audit or through verification of documentary evidence. IN ANY CASE, the correction and implementation of corrective action shall be verified before closing the NC.

A follow-up by verification of documentary evidence to be submitted to IRQS. In this case, a re-visit may not be necessary.

There are four possible outcomes:

- i) Recommendation for certification
- ii) Recommendation for certification subject to corrective actions being implemented satisfactorily and / or effectively
- iii) Limited re-audit or follow-up visit at a later date
- iv) No recommendation for certification, which usually means that a complete re-audit is necessary.

For (c) and (d) above, additional fee and expenses will be charged

Note: The certificate cannot be recommended in case of any unresolved non-conformities identified during the audit.

Non-conformities shall be categorised by the auditors into Major and Minor.

Non-conformity is considered to be Major:

- (a) When an applicable requirement of the relevant standard criterion is violated or deficient to such an extent that it can be reasonably concluded as absence of, or failure to implement and maintain the requirement concerned.
- (b) When there is a failure to implement the quality, the occupational health and safety, food safety or the environmental policy.

Non-conformity will be categorized as Minor:

Based on the objective evidence if it is found that there is only a lapse identified in a stray case and has not actually lead to a system breakdown. However, the situation does require identification and implementation of an appropriate action by the organization, to ensure that there is no continued or further non-conformance in respect of the requirement concerned.

A significant number of minor non-conformities in any one area of the requirements would normally constitute a major non-conformity.

3.6. Surveillance Audit:

Surveillance audit shall be carried out within 12 months from the last date of Stage II audit. Surveillance audit would normally cover the functions and activities identified in the Audit Plan. However, the audit findings may lead to requirement of additional verification of certain functions/activities other than those included in the original audit plan. Nature and extent of non-conformities found may result in identifying the necessity of

- ❖ A complete or limited re-assessment,

- ❖ A follow-up by a re-visit to verify the effectiveness of agreed actions, or
- ❖ A follow-up by verification of documentary evidence to be submitted to IRQS. In this case, a follow-up visit may not be necessary.

In some cases, IRQS may require verification of effectiveness at the next regular audit.

In case of a re-assessment, the validity of the current certificate may be subject to suspension until the effective implementation of the actions against the relevant non-conformities is verified satisfactorily by IRQS.

In other cases, acceptable corrective actions are to be proposed and agreed upon and the date for further verification is to be mutually agreed upon – normally the entire process is expected to be completed within a period of one month from the date of the audit. In exceptional cases, a period not exceeding three months may be agreed upon.

3.7 Documents Issued to the Organisation:

Stage I Audit:

- Audit schedule
- Stage I audit report including areas for concern and comments on manual
- Invoice

Stage II / Renewal / Surveillance Audit:

- Audit schedule
- Audit report
- Objective evidence report
- Non-conformity report
- Invoice

On recommendation for grant of certificate of Approval, it is issued from Head Office along with covering letter addressing excluded clauses and the logo artwork.

4. General Terms and Conditions

4.1 Responsibility of IRQS

It is the responsibility of IRQS to provide Assessment and Certification in accordance with the current issue of IRQS Document "Certification Scheme". Please note that in meeting its Policy of consistent improvement of service, IRQS reserves the right to modify the contents of "Certification Scheme".

4.2 Responsibility of Organisation

- a) It is the responsibility of the organisation to provide IRQS with all documents, information and facilities and changes as and when it takes place, as necessary to enable IRQS to provide the services under these terms and conditions .
- b) It is the responsibility of the organisation to provide accreditation bodies of IRQS with all documents, information and visits as necessary to enable them to verify audits carried out by IRQS

4.3 Fees & Expenses

- a) For agreements under Tender Documents: All terms & conditions will be applicable as per agreed tender documents.
- b) The fees payable and terms of payment are as detailed in IRQS letter enclosing the quotation to the organisation. The basic charges for services requested are based on the assumption that the information supplied by the organisation was accurate and complete.
- c) Special Surveillance Visits
Special Surveillance Visits will be charged as per prevalent fees applicable at that time.
- d) Travel and Incidental Expenses
All fees are exclusive of travel and incidental expenses, which will be charged extra at actuals.
- e) Postponement – (Recovery of Administrative Costs)
In case a scheduled audit is postpone, at the behest of the auditee, an amount of 10% of the total Audit and Certification fee, as referred in Annexure-1 of our quotation for Certification Services, shall be charged – for each of such alterations – towards Administrative charges.
- f) Cancellation – (Recovery of Administrative Costs)
The application fees/administrative charges as mentioned in Annexue-1 of our quotation for Certification Services, shall be payable in advance, prior to scheduling of the audit. In case of cancellation of audit by the auditee, these application fees/ administrative charges will not be refunded.
- g) Statutory Taxes
All fees and expenses quoted are exclusive of any statutory taxes, which will be charged at the current rate, if applicable.
- h) Invoices
Invoices will be submitted as soon as practicable, after the completion of any assessment visit(s). As IRQS is a department of IRS, the invoices would be as per IRS invoice format.
- i) Payment
All payments should be made in the name of "Indian Register of Shipping" preferably by local cheque/demand draft within 7 days of receipt of the invoice. Amounts remaining unpaid for more than 30 days from invoice date will be liable to interest at the rate of 15% per annum.

The Certificate(s) of Approval cannot be released until full payment has been received by IRS.

4.4. Termination

Either party may terminate this request for assessment:-

a. By Notice

Three months written notice may be given by either party to the other.

b. Default by either party in compliance with the terms of the certification scheme

c. Immediately upon either party being notified by the other of any material breach of this request for assessment.

d. If either party goes into liquidation or a receiver or administrator is appointed for all or part of the undertaking thereof.

e. In the event of request for assessment being terminated whether by notice, default or otherwise the IRQS Certificate of Approval issued pursuant hereto shall forthwith become invalid and the Supplier shall cease to use the same and return to IRQS all documentation and other matters issued pursuant thereto or bearing an indication of such Certificate of Approval.

4.5 Fundamental Term

a) Organisation whereby warrants and covenants with IRQS that it will at all times during the subsistence of these terms and conditions comply with all reasonable requirements necessary for the issuance of the Certificate of Approval including (but without prejudice to the generality thereof) all statutes, rules, regulations issued by any statutory or any other competent authority, all recommendations, codes and similar matters issued by any authority, pursuant to which or in compliance of which or for the purpose of which the Certificate of Approval is issued or such other reasonable requirements of IRQS as are necessary to enable the Certificate of Approval to be issued and maintained in force in conformity with standards of high quality of certification.

b) The organization hereby warrants the completeness and accuracy of all documents and accuracy of all information supplied to IRQS for the purposes of these terms & conditions for assessment.

4.6 Certificates and Use of Logo(s) and Complaints Procedure

a) Upon successful completion of Initial Assessment IRQS shall issue Certificate(s) of Approval to the organisation detailing the quality Standard(s) to which assessment was made, declaring the scope of supply. Together with the Certificate of Approval, artwork of the logo is issued to the Organisation along with instructions for its use. The Certificate(s) of approval is/are valid for a period of three years from the date of issue subject to satisfactory maintenance of the quality systems through surveillance audits.

b) Certification under this scheme does not imply certification of the organisation's product or service and does not therefore exempt him from his legal obligations.

c) The Certificate(s) of Approval issued to the organisation shall display the relevant Accreditation Logo(s) at his place of work on his premises or in any promotional & / or advertising literature.

d) The organisation is entitled to display the appropriate Logo(s) on his stationery and any other promotional literature. The organisation will be provided with camera-ready artwork together with relevant instructions covering the reproduction and use of Certificate(s) and Logo(s) which IRQS is obliged to control.

- The logos shall be reproduced in its entirety, including all "border lines", as specified by IRQS in any reasonable size or colour.
- They shall be used to promote the approval of the organisation's Management System and not his product(s). The logo shall not be used on any packaging material used for packing the product.
- They shall not be used in such a manner as to misrepresent the certification awarded such as test reports / certificates issued by the organisation against product /service / testing.
- The use of IATF logotype as displayed in the certificate issued by IRQS should not be reproduced in isolation elsewhere.

e) The organisation undertakes to institute a system of registering all complaints received from any source. The corrective action(s) taken and review by Organisation Management of such actions shall be made available for verification. They will inform that the complainant can also write to IRQS.

4.7 Liability

Whilst Indian Register of Shipping (hereinafter referred to as IRS) and its Committees use their best endeavours to ensure that the functions of IRQS are properly carried out, in providing services information or advice neither IRS nor any of its employees or agents warrants the accuracy of any information supplied. Except as set out herein neither IRS nor any of its employees or agents (on behalf of each of whom IRS has agreed this clause) shall be liable for any loss damage or expense whatsoever sustained by any person due to any act or omission or error of whatsoever nature and howsoever caused by IRS, its employees or agents or due to any inaccuracy of whatsoever nature and howsoever caused in any information or opinion given in any way whatsoever by or on behalf of IRS, even if held to amount to a breach of warranty. Nevertheless, if any person uses services of IRS, or relies on any information or advice given by or on behalf of IRS and suffers loss damage or expenses thereby which is proved to have been due to any negligent act omission or error of IRS, proved in a court of law or related jurisdiction its employees or agents or any negligent inaccuracy in information or opinion given by or on behalf of IRS then IRS will pay compensation to such person for his proved loss up to but not exceeding the amount of the fee charged by IRS for that particular service, information or opinion.

4.8 Indemnity

The Organisation shall fully and effectively indemnify IRS, its employees or agents all costs, claims, actions and demands arising from:

- (i) The service provided by IRQS save to the extent only that such claims arise from the neglect of IRQS, its employees or agents.
- (ii) The misuse by the organisation of any certificate, license, mark of conformity provided by IRQS in accordance with these terms & conditions.
- (iii) Any breach of these terms & conditions.

4.9 Force Majeure

IRQS, its employees or agents shall not be liable in any respect should it/ they be prevented from discharging any obligations under this scheme as result of any matter beyond its / their control which could not be reasonably foreseen.

4.10 Confidentiality

Except as may be required by Law, IRQS and the Organisation will treat as strictly confidential and will not disclose to any third party without prior written consent of the other, any information which comes into their possession, the possession of their employees, agents or other by virtue of these terms & conditions.

4.11 Law

These terms & conditions are governed by the law of India and the parties submit to the jurisdiction of the Courts of justice in Mumbai and all notices and proceedings served will be deemed to be duly served if send by pre-paid registered mail to the address of the party as herein above appearing or as may be subsequently notified by the other.

4.12 Arbitration

Any disputes or differences arising between the parties other than the payments of IRQS's charges shall be determined by single arbitrator to be appointed by the parties in default of these terms & conditions.

4.13 Terms & conditions related to Accreditation requirements

Organisation shall not refuse a Witness audit of the Certification body.
Organization shall give access authorization for Accreditation Body representative or their delegates.
Organization shall authorize certification body to provide final report to the Accreditation body.

4.14 Maintenance of Approval

Certificate of Approval is issued to the Organisation on the understanding that the relevant Management system will be maintained at all times and for this purpose, IRQS will conduct Surveillance Audits in accordance with the IRQS Surveillance Plan which will be notified to the Organisation along with his Certificate of Approval. During Surveillance audit, it is ensured that all the relevant Management system elements are examined at least once during

the validity period of three years of the certificate of Approval. The intervals between the initial certification audit and the first and second surveillance audit shall not exceed one year from the last date of audit. At the end of three years duration, if the Organisation desires to continue Certification, Renewal Audit shall be carried out.

4.15 Suspension, Withdrawal or Cancellation

The Certificate of Approval shall be suspended, withdrawn or cancelled if it is found that:

- The Organisation does not agree for surveillance within the specified time frame
- The Organisation does not complete corrective action within the agreed time scale
- The Organisation fails to conform to the requirements of relevant standards
- The Organisation fails to comply with the financial requirements of the agreement of Certification
- The Organisation undertakes actions which may bring IRQS into disrepute
- The Certificate or Logo is misused in any way.
- The organisation goes to liquidation or ceases to exist or ceases its activities for which it has been certified.
- The activities of the organisation are stopped by directives from court / statutory authorities.

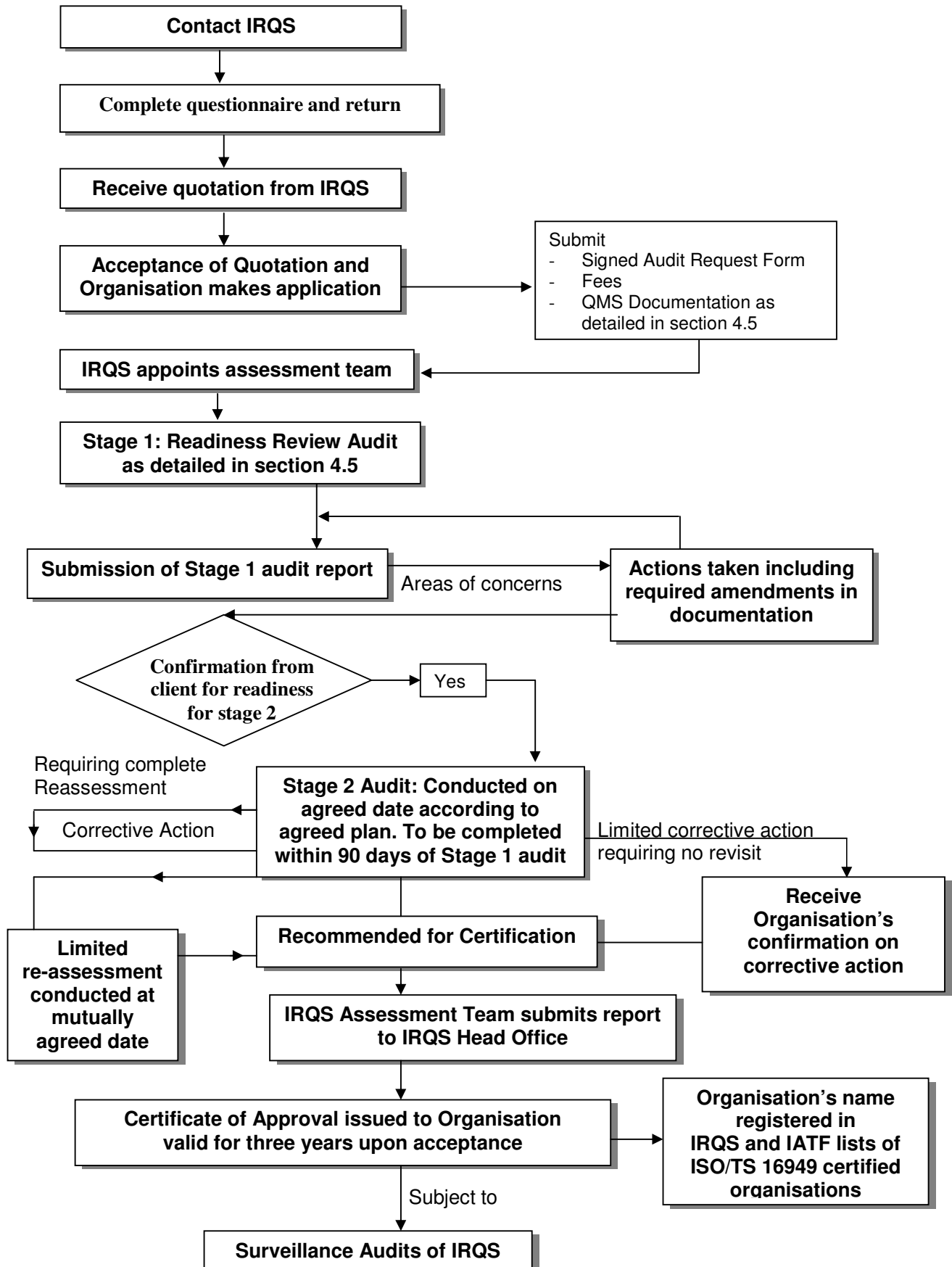
4.16 Appeals

It would be the endeavour of IRQS to provide efficient and satisfactory services as detailed in the Request Form. However, in case it is felt that any decision or the conduct of IRQS is unjust and prejudicial to any party, that party can appeal to IRQS and seek redressal. These appeals are to be sent to IRQS in writing.

4.17 Disclaimer

While this document is intended to provide guidance to prospective / existing clients of IRQS and every effort is made to keep its content accurate and up to date, it should not be construed to be comprehensive or conclusive in its contents and applicability. Assessment audit / Certification / Surveillance being activities that always call for auditor's judgement based upon the facts and circumstances of each case / situations, this document cannot be construed to be binding IRQS in the scope, interpretation and applicability of its certification activities.

**ROUTE TO MANAGEMENT SYSTEM CERTIFICATION
OF AN ORGANISATION
IN ACCORDANCE WITH ISO/TS 16949 STANDARD**



**ROUTE TO MANAGEMENT SYSTEM CERTIFICATION OF AN ORGANISATION
IN ACCORDANCE WITH OTHER MANAGEMENT SYSTEM STANDARDS**

