

Management System Certification Process

Purpose

For the Public Interest and in view of making the Certified Clients, Interested Parties, and Potential Clients (having interest in Certified Management System), DGCS has provided all the relevant information forming the primary purpose of this instruction. In addition, the company's management system undergoes an independent and transparent assessment for certification issues and maintenance of the company's management system standards.

Scope of Activities

The primary objective of the Certification Scheme of DGCS is to recognize the companies that have maintained the appropriate documentation for the system and implement the same. The DGCS Certification program is a third-party system and involves long-term effectiveness. Here is the scope of this program;-

- Management System Certification involves an Independent Assessment.
- Surveillance Audit Conduct by DGCS for continuous compliance with the certification standards verification
- Re-certification Audit within the Certificate's validation period
- Application receipts for Certification Standards or Scope Reduction and Extension from the Certified Clients or for Management System Certification from Potential Clients
- Certificate Issue and Audit File Review Process
- Conduct of Re-assessments or Supplementary (Applicable on the occasion of non-conformities or any change appearing in the organization or any complaint from interested parties, certified clients, or any system-identified non-conformities.)

Detailed Procedure of Application

Proposal Request: The applicant organization must fill up the Company Profile Questionnaire in Forms AUD-F-02.

Application: The proposal request or application must be subject to acceptance and confirmation. After this, the DGCS Marketing Team will communicate the Fees Structure or Proposal for a 3-year period. The initial or scope extension will begin after receiving the Acceptance forms from the Clients. The process will be subject to the audit schedules according to the pre-determined dates, agreed upon mutually.

Initial Certification Process

Audit Plan and Schedule (Stage-1 Audit)

At least a week before the initiation of the Certification Process, the DGCS authorities will make the schedule for the Stage-1 Audit and communicate the Audit Plan to the Clients. Acceptance from the Audit Team and the Client is essential for final initiation. Therefore, the company will plan for the Stage-1 Audit after it receives the acceptance from the Client organization.

Stage-1 Audit

Stage-1 Audit involves verification of the Management system documentation during an onsite review for the client organization. The process is conducted to check documents' genuineness and compliance with management standards. As per the confirmation policy of DGCS, within the prior three months of Onsite Registration Assessment, the client organization must implement the stipulated Management System. During the Audit, this confirmation will be verified. Issue of Audit Report takes place identifying any area of non-conformity and the corrective actions that need to be taken in this matter.

The Audit Team is responsible for conducting the verification process to identify any deviation or non-compliance, or area of improvement. At the Closing Meeting with the Client, the Auditee organization will receive the communication in these matters from the Audit Team and finally go for accepting the Audit findings.

Scheduling of the Audit Plan (for Stage-2 Audit)

At least a week prior to the initiation of the audit process, the DGCS authorities will make the schedule for the Stage-2 Audit and communicate the Audit Plan to the Clients. They will need the acceptance of the Audit Date from the Audit Team and the Client Organization for initiating the Stage-2 Audit, and the planning will start only after the acceptance from the Client.

Stage-2 Audit

Conformity to the audit criteria concerning the management system of the client organization is the main objective of Stage-2 Audit. It also determines the management system's capability to fulfill the contractual and regulatory requirements and the applicable statutory regulations. Depending on the Purpose of the Audit, the Stage-2 Audit Plan (AUD-F-11 and AUD-F-12) will identify the objective of conducting the Stage-2 Audit.

The Audit Team is responsible for conducting the verification process to identify any deviation, non-compliance, or improvement areas. At the Closing Meeting with the Client, the Auditee organization will receive the communication in these matters from the Audit Team and finally go for accepting the Audit findings.

DGCS will conduct this Audit keeping in line with the Stage-1 Audit to verify compliance with applicable standards and other requirements. The Certification Audit will occur at sampled sites or all the sites (as per the need). This kind of Audit is classified as a Full System Audit.

Corrective Actions and Follow Up

The Audit Client organization shall submit a plan for Corrective Actions on acceptance of the Audit Non-conformity against the Audit Criteria that the Audit Team identifies. The time for submission of the Corrective Action Plan is 30 days from the date of issue of the Non-Compliance report in case of a Minor Non-Conformity. The necessary evidence should accompany it.



If lapses of Legal or Regulatory requirements implementation take place or there are a number of repeated Minor NCs, it is a case of Major Non-Conformity. The submission time to give the necessary evidence and Corrective Action plan by the Client is 90 days from the date of such report. The Audit Team Leader, on being satisfied by the CAR submitted by the Client, shall certify the decision after submitting the Audit Report for Review and recommending the Certification Process.

The Client shall get a notification in advance if the Audit Team Leader is not satisfied with the CAR. In such a case, a Supplementary Audit plan will be made to verify the implementation. The Audit Team Leader, on being satisfied by the Supplementary Audit, shall certify the decision after submitting the Audit Report for Review and recommending the Certification Process.

Recommendations and suggestions

On the basis of the Audit Review of the CAR submitted by the Client and the Audit Findings, the Audit Team Lead, acting as the only recommending authority for the different actions on Certification, shall present recommendations on the following issues;-

- Granting of Certification
- Maintenance
- Renewing or Suspension of Certification
- Withdrawal
- Expanding or Reducing the Certification scope
- Restoring

The Competent Team members shall verify all the recommendations impartially with the Audit Report Review's help, leading to Certification Decision.

Decisions on Certification

- On submission of the Audit Report by the Audit Team Lead Auditor, the Competent Technical Reviewer or Auditor will conduct the review of the report impartially. On being satisfied, the Director will receive a recommendation from the Reviewer to make the Certification Decision. This decision will incorporate, Granting of Certification, Maintenance and Renewing or Suspension of Certification, Withdrawal, Expanding or Reducing the Certification scope, or Restoring of Certification.



- No grant of Certificate will be made unless there is sufficient Audit evidence to prove that the Management System of the Client organization complies with all the requirements of the Audit Standards and Criteria.

Certificate Issuance

DGCS will issue the Certificate of Registration to the Client only after completion of the Audit Review and Acceptance of the Audit Findings and Corrective Actions by the Client. However, it is subject to clearance of all the payments received by DGCS as per the invoices issued to the Client.

Certificate Renewal and Its Validity

The validity period of the Certificate which DGCS issues is three years from the date of the Certification Decision. Within this time, the Recertification Audit shall also take place. 12 months from the Certification Decision date is the time for conducting the first Surveillance Audit. However, the successive Audit of Surveillance will occur periodically per the calendar year.

Surveillance Assessment

The Surveillance Audit shall take place either on an annual basis or six months basis for every certified organization as per DGCS reports. During Contract Review, DGCS will provide a detailed Audit Plan for the Three-year Certification Cycle Audit Program. The time to conduct the first Surveillance Assessment is six or twelve months from the Stage-2 Audit Completion date. To complete the Re-certification and Surveillance on time, the Client Organization must accept the Audit Program Plan issued by DGCS.

If there is a delay in the conduct of the Surveillance Assessment for more than a month, depending on the stipulated date, the Client must provide necessary justifications for such delay. A non-valid justification will lead to a reassessment of the Certification program. Only DGCS has the rights reserved to conduct such a Reassessment Program. As per the agreed Audit Program schedule, if the Re-Certificate Audit is conducted one month after the scheduled date, DGCS has the reserved right to declare Full Assessment freshly or suspend the entire Certification process. This must be presented in the clauses of the Initial Certification Audit Program.

Special Audits

Expanding to Scope

The Certified Client organization can request to expand the scope of the Certificate already granted to them. On receipt of such request, DGCS will conduct a review, according to the Document Procedures of DGCS, and decide whether any audit is needed to grant the extension or not. The Audit will be held along with the Surveillance Audit of DGCS grants expansion of the scope.



Audit at Short Notices

The conduct of the Unannounced or Short Notice Audit shall take place in case of the following occasions;-

- Suspension Follow Up
- Investigation of any Complaint
- Changes, if any, for status or ownership, or any other commercial or legal alterations
- Any changes to address of sites or contact
- Changes in Management Processes and System
- Changes in ownership or management (decision-making authority, key personnel, etc.)
- Major changes in the Management System Operation's Scope

Short Notice Audit Cases Will Involve;-

1. DGCS shall send advance intimation about the Audit Team members to the Client organization. The Audit Plan shall be made only after acceptance by the Client.
2. The client organization will receive an update in advance from DGCS regarding the conditions of short visits.
3. In case of a lack of opportunity to raise any objections by the Client for the audit team members, DGCS must take extra care for audit team assignment.

Maintenance of Certification

The Registration or Certification's validity will remain unaltered subject to the following;-

- Proper schedule is followed for the conduct of Surveillance/Reassessments
- DGCS has received all the payments on time
- Management system is effectively managed and maintained
- Prompt handling of all the primary changes in the Management system and communicated timely.
- Corrective Actions for any Complaint or major NC take place on time and to the satisfaction of the Lead Auditor

Notice of Changes

In case of changes affecting the management system's capability, the Client must promptly communicate the notice of changes to DGCS to meet the criteria required for the Certification standards. The changes must be related to;-

- Contact addresses and sites
- Significant modifications in case of Management Systems and related processes
- Organizational ownership, status, commercial or legal matters
- Scope of operations for the Certified Management system



- Management and Organizational hierarchy (like decision-making authority, key personnel, etc.)

Suspension or Withdrawal of Certification

If the certificate holder commits any of the following defaults, the DGCS authorities will cancel or suspend the Certificate issued.

- When corrective actions are not submitted within the stipulated time period
- Failure to pay timely fees
- When Surveillance Assessment does not take place within three months from the date stipulated in the notice issued by DGCS
- DGCS has come across any conflict of interest leading to impartiality compromise in the Certification issuance or recommendation, and the Client disagrees with the decision of any Special Audit

In case of withdrawal, the Client shall discontinue using the Certificate any further in the form of any reference or for any advertisement whatsoever. DGCS will take back the Certificate and all the copies thereto.

Verification of Status of Certified Clients

The interested party or Client must visit the official site of DGCS <https://dgcsindia.com/> to verify its status. Then, enter the unique certificate number after clicking on the certification link and click on Search. Kindly request the certificate number from us if it is unknown to you.

Information upon Request

On request, DGCS is supposed to provide the following information;-

- Status of Certification
- Operational areas of DGCS
- Name, scope, geographical boundary, and related documentation for a specific client

Availability of Documents

The following details can be accessed without request from the DGCS website;-

- DGCS Certification process details
- DGCS Scope of activities
- Rights and Duties of the Clients



- Information about the DGCS operating authorities
- Certified/Suspended/Withdrawn Clients Information
- Procedure for Complaint Handling and Appeal
- Usage of Logo Rules

Appeals/Complaints

The certification scheme of DGCS will provide only impartial and prompt services to the clients. However, when a certified company brings a complaint against any activity compromising transparency and is prejudicial to the Client's interest, DGCS will consider the complaint by following the procedure of PR-10. The Appeal or Handling procedure is available on the website for the public.

Access to Records of Complaints

DGCS makes all the complaints, records, and corrective actions easily accessible from the website by the client organization if they are certified to get access to the details based on the normative documents and Management system standards.

Use of Logo

A certified company of DGCS can use the Logo on any advertisement, publicity brochure, stationery, etc., except the actual product. However, it must follow the rules and instructions stipulated on <https://dgcsindia.com/> for using the Logo.

General Guidelines

Confidentiality

During the certification process, no office staff, or any other person working for DGCS, including the Auditor, shall disclose any information to any third party without prior notice or consent of the Client. The staff of DGCS must abide by the confidentiality agreement and safeguard the interests and information of the Client. Therefore, only information like Certification Status, Certificate Number, name, and Certified Standards of the Client will be available on the website only on request.

Safety

The Client must have proper arrangements and protective equipment to safeguard the Audit Team Members while conducting the Audit. It must intimate any necessity of special safety training to DGCS before the arrival of the Audit Team.

Certification Services Registration

DGCS will be the owner of the registered Logo and Certificate issued.



Limitation of Liability Law

Indian Laws shall govern the Management system agreement of DGCS, and the non-exclusive jurisdiction will remain with the New Delhi Courts.

For breach of any terms and conditions of DGCS, the company is liable to charge only the amount payable to it in the period of 12 months before, pertaining to the events. DGCS is not responsible for any other claims made by the clients.

Only experts and competent Auditors or Qualified Lead Auditors or Associates can undertake the DGCS assessments. The responsibility of the Lead Auditor is to assign the auditing tasks to the Audit Team, schedule the Audit, prepare the Audit Plan, Report the findings to the authorized persons and give recommendations on Granting of Certification, Maintenance and Renewing or Suspension of Certification, Withdrawal, Expanding or Reducing the Certification scope, or Restoring of Certification. The client organization must appoint a responsible coordinator to look after the assessments, provide all the required resources to the Audit Team, provide access to all the critical files and documents to the auditors, etc. If the Client wishes to postpone the Audit, it must intimate the same to DGCS at least 15 days before; else, the company will charge the assessment fees in full.

For Delta 300 Global Certification Solutions Pvt. Ltd.

A handwritten signature in blue ink, appearing to read 'Bhusal', is placed within a light gray rectangular box.

Approved by DGCS Director
Mr. Bhupender Singh