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**REVISION HISTORY**

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### 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, 45001 & 22000 series stipulate the minimum requirements for a documented Quality / Environmental / OH&SMS / Food Safety 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 BCIMS Quality / Environmental / OH&SMS / Food Safety Systems Certification Scheme is to provide relevant information regarding BCIMS 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, ISO 45001 & 22000 Standard.

### 1.3. SCOPE

The Accredited Certification scheme operated by BCIMS 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 / ISO 14001 / ISO 45001 / ISO 22000 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 BCIMS 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 in the form of quotation.

#### Application Review

- a) Typically consists of the receipt of an appropriately filled application from the client organization. The application is then reviewed for accuracy & adequacy of the information.



- b) Submission of the fee offer & its acceptance by the client organization. Then the signing of the contractual agreement with the client organization is completed & and discussions pertaining to requirements, planning & scheduling of stage 1 audit are carried out.

### Stage – 01 Audit

#### The stage 01 audit will typically consist of:

- a) An audit of the management system documentation to ensure that all the applicable requirements of the standard(s) have been addressed.
- b) Confirmation that all legal/technical requirements are identified and documented.
- c) An evaluation of client's location, processes and site conditions & to check the readiness for stage–02 audit.

The stage–01 audit is partly offsite & partly onsite.

### Stage – 02 Audit

At stage–02, the client organization is audited according to the implemented management system/s by gathering objective evidence & interactions/interviews with the personnel of the client organization.

A stage–02 audit is a purely onsite audit.

#### Stage–02 activities will typically consist of:

- a) An opening meeting
- b) Interviews with managers and staff
- c) Evaluation of internal audits, management review and objectives.
- d) Examination of records, documents, policies & objectives.
- e) Audits of all relevant processes such as production, purchasing, complaints, roles & responsibilities, management leadership, risks & opportunities management, needs & expectations of the interested parties etc.
- f) Visits of temporary sites (if applicable)
- g) Discussions regarding any findings
- h) A closing meeting

#### Certification Decision & Grant:

- a) Review of audit reports.
- b) Effective closure of non-conformity, if any.
- c) Review of certification fee status.
- d) Issuance of the certificate.
- e) All issued certificates can be verified at BCIMS website – [www.bccertification.com](http://www.bccertification.com).

## 1.5. VALIDITY OF CERTIFICATE

Typically, the certifications from BCIMS come with initial 3-year validity. However, in specific cases, the validity of the issued certificates can be 2 years or 1 year also.



In order that the certificate remains valid for its full duration, the client organization shall have to ensure the timely & successful completion of the due surveillance audits.

### 1.6. SURVEILLANCE AUDIT

Surveillance audits shall be conducted at periodic intervals which is at least once a year from the date of issuance/grant of the certificate.

A surveillance audit typically consists of the following –

- a) Internal audits and management review;
- b) A review of actions taken on nonconformities identified during the previous audit;
- c) Complaint's handling;
- d) Effectiveness of the management system with regard to achieving the certified client's objectives and the intended results of the respective management system (s);
- 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.

### 1.7. RECERTIFICATION AUDIT

The purpose of the recertification audit is to confirm the continued conformity and effectiveness of the management system as a whole, and its continued relevance and applicability for the scope of certification.

The recertification audit shall have to be completed before the expiration of the existing certificate allowing BCIMS sufficient time to review the audit report/s as well as ensuring sufficient time for the client organization to close the non-conformities identified during the audit.

### 1.8. SUSPENSION OF CERTIFICATION

The certification is typically suspended in the following situations:

- a) The client's certified management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the management system.
- b) The client organization is found to be misusing marks & logos of certification.
- c) Complaints from the customers of certified client organization.
- d) The certified client does not allow surveillance or recertification audits to be conducted at the required frequencies, or
- e) The certified client has voluntarily requested a suspension.

Under the status of suspension, the client's management system certification is temporarily invalid. During suspension, the client shall refrain from further promotion of its certification & that of using BCIMS certification mark & symbol. In the event of non-compliance, BCIMS shall take an appropriate action, including legal action, against the client organization to ensure compliance.



The status of suspended certificates is made public & displayed on BCIMS website – [www.bccertification.com](http://www.bccertification.com).

BCIMS may also inform the client's customers and other stake-holders of the client organization on the suspended status of certification.

The certification shall be restored, if the issues, based on which it was suspended, has been effectively addressed by the client organization. However, if the issues are left unaddressed for a pre-determined time frame, the certification shall be withdrawn.

### 1.9. WITHDRAWAL OF CERTIFICATION

The certification is typically withdrawn by BCIMS in the following situations:

- a) The client organization has failed to address the issues of suspension of the certificate.
- b) The client organization has voluntarily surrendered its certificate.
- c) The client organization has failed to get the renewal/recertification done as per stipulated timeframe.

After withdrawal, the client organization shall stop completely the use of certification marks & logos. It shall also have to remove all references to certification, wherever the client organization had done so, including website, stationery, etc.

The status of withdrawn certificates is made public & displayed on BCIMS website – [www.bccertification.com](http://www.bccertification.com).

BCIMS may also inform the client's customers and other stake-holders of the client organization on withdrawn status of the certificate.

### 1.10. SPECIAL AUDITS

#### 1.10.1. Expanding Scope

BCIMS shall, in response to an application for expanding the scope of a certification already granted, undertake a review of the application and determine any audit activities necessary to decide whether or not the extension may be granted. This may be conducted in conjunction with a surveillance audit.

#### 1.10.2. Reducing Scope

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 BCIMS certification process.



Examples of reductions can be deletion of the site/unit, product line or business line. This can be done by conducting the extra man-days of the audits as per the complexity/risk of the reductions requested.

### 1.10.3. Short-Notice Audits

It may be necessary for BCIMS to conduct audits of certified clients at short notice or unannounced to investigate complaints, or in response to changes, or as follow up on suspended clients.

BCIMS shall take due care that the –

- a) Information is given to the client in advance regarding the visit with details.
- b) 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.
- 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 BCIMS 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 BCIMS.
- 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. During the suspension the organization is not allowed to use the Logo & they can't claim their Certification validity or on cancellation of certificate of registration, the name of the organization shall be deleted from the BCIMS'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 BCIMS 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 BCIMS certification process.



- a) If there is any complaint from the customer's customer BCIMSPL 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 Nonpayment 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 within 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 BCIMS 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 10.

**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 BCIMS 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 BCIMS 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

BCIMS 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 BCIMS certification scheme or appeal against a decision of the BCIMS which is considered to be unfair and prejudicial to the interests of the complainant, BCIMS will consider the complaint or appeal in accordance with Procedure P-02 and P-03. Appeals and Complaints procedures are also available to download through BCIMS website ([www.bci certification.com](http://www.bci certification.com)).



### 1.13. USE OF LOGO

The use of logo is governed by the conditions mentioned in Annex. -09. The logo can only be used by organizations that hold a valid certification from BCIMS. All organizations whose certificate has been suspended or withdrawn are strictly debarred from usage of BCIMS certification mark & symbol. Non-compliance to this shall attract an appropriate action, legal action included.

### 1.14. ADDITIONAL INFORMATION

All assessments undertaken by BCIMS 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.

The applicant company is responsible for providing BCIMS 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

BCIMS understands & gives due care to the confidentiality on the information of client's management system. All audits are conducted in complete confidentiality of the company's activities. BCIMS office staff and auditing personnel are bound by a confidentiality agreement to safeguard the client's classified information.

- a) BCIMS 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. BCIMS does not outsource audits to a Management System consulting organization to avoid any threat to impartiality.
- b) BCIMS does not market its activities as linked with the activities of the organization that provides management system consultancy.
- c) BCIMS shall take action to respond to any threats to its impartiality arising from the actions of other persons, bodies or organizations.
- d) BCIMS and any part of it do not offer or provide internal audits to its certified clients. BCIMS does not certify any management system on which it provided internal audits within two years following the end of the internal audits.

### 1.16. ACCREDITATION BOARD





# BCI MANAGEMENT SYSTEMS PVT. LTD.

## CERTIFICATION SCHEME REGULATION

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