



Customer contract & scheme of registration

INTRODUCTION- In today's fiercely competitive and Regulatory environment it has become imperative for companies over a wide range of manufacturing and service sectors to provide assurance of their Management System(s). International Management Systems standards/Specification stipulate the minimum requirements for a documented management system(s) to be established and a Certificate of Compliance to these standards has now become an international / National criteria of assessing a company's credibility and capability to consistently assure good standards to enhance the customer satisfaction & achieving continual improvement.

PURPOSE- The purpose of this description of the Assure Quality Management Certification Services Pvt. Ltd. Management System(s) Certification Scheme is to provide relevant information regarding Assure Quality Management Certification Services Pvt. Ltd., services for conducting an impartial and competent assessment of a company's management system for issue and maintenance of certification to the applicable standard/Specification.

SCOPE- The certification scheme operated by Assure Quality Management Certification Services Pvt. Ltd. is a third party system certification scheme with an objective of giving recognition to companies who have effectively implemented and operated a verifiable documented system. It covers the following scope:

- Preliminary meeting to established scope of registration and the applicable standard for assessment (this might be a Sales visit or telephonic conversation or through e-mail)
- Conduct of independent assessment for certification/ registration
- Issue of certification
- Surveillance visits for verification of conformance of management systems to certification standard
- Supplementary visit (required where major non conformities have been identified or major changes in the organization or its system have been identified/ notified) & Re-assessments.

REGISTRATION PROCEDURE

Enquiry and Fee offer: Upon receipt of an enquiry, the Form A001 Company Details Questionnaire is required to be completed by the applicant company. This form includes declaration of number of sites and people work at these sites (if applicable). Based upon the information provided, a detailed offer is submitted for client's consideration and acceptance.

If AQMCS found information provided in A001 are incorrect/untrue jeopardizing the impartiality and affecting the objectivity of management system certification (applicable standard/specification), the certification issued shall stand suspended/withdrawn & AQMCS shall not be responsible for any financial or credibility loss of client.

Application: Upon confirmation of acceptance of Assure Quality Management Certification Services Pvt. Ltd. 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.

AQMCS make the necessary arrangement such as selection of competent audit team, technical expert as per requirement of audit stage. At initial certification audit conducted at two stages, stage -1 audit & stage -2 audits. Client documents examination & assessment of processes are varied as it depends on type of audit (may be stage-1, stage-2, surveillance audit, pre-assessment, follow up audit or recertification audit). After completion of audit a documented report is provided to client in each audit.

AUDIT PROCESS

Stage -1 audit (DOCUMENTATION AND READINESS REVIEW) preferably an onsite review at the main site (unless otherwise limited by logistics) of the client's management systems documentation is conducted to verify that the requirements of the appreciable management standard are satisfactory. The readiness is also reviewed for the stage-2 audit as to whether in a stipulated time frame whether the assessment may be conducted. Such readiness includes a brief understanding on Internal Audit & management Review processes and their status. A report is issued listing any non-conformity against which corrective actions are required to be taken as per a corrective action plan to be submitted. The progress implementation of the quality management system is also assessed to agree on a tentative schedule for stage-2 audit. AQMCS expects its clients to implement their Management System at least for two months prior to an onsite stage-2 audit which need to be confirmed at this stage.

PRE-ASSESSMENT (TRIAL AUDIT) - Is a macro level verification of the operating management system to provide assurance of the compliance with the requirements and to identify any non-conformances which are reported for necessary corrective actions being taken before the Stage- 2 Registration Assessment. This Pre-assessment is conducted in conjunction with stage 1 as above in case of such Tenders where it is a specific requirement. Such Pre assessment is considered a part of STAGE 1 and reported accordingly using a common stage-1+PA (Tender) Reporting Templates. The outcome recommendations from such a combination assessment affect the timescale planning for the Stage 2 Assessment.

Stage-2 audit- Following the Stage -1 audit (not later than 6 months), Assure Quality Management Certification Services Pvt. Ltd. will conduct a full scale Registration Assessment either at all sites or sampled (as the cases may be) to assess conformity with the requirements of the applicable standard. This will include a thorough effectiveness assessment of Internal Audit, Management review, Corrective Action & Preventive Action Processes. A report categorizing any non-conformities or weakness in the implementation of the documented systems is issued.

CORRECTIVE ACTIONS AND FOLLOW-UP - The Company is required to submit a corrective action plan and where required objective evidences addressing the non-conformities within a given time frame. For Minor non-conformities, the assessment report includes a request for Corrective Action Plan in order to eliminate the cause of the non-conformities. Corrective actions against all major non-conformities required to be verified during a Supplementary Assessment evidence of effective implementation, prior to confirmation of certification. Observations are also recorded relating to various elements of the management system but do nevertheless indicate a problem, which may need correction. Assure Quality Management Certification Services Pvt. Ltd. requires its applicant organization to make all necessary arrangements for the conduct of the assessment, including provision for examining documentation and the access to all areas, records (including internal audit reports) and personnel for the purposes of assessment, surveillance, reassessment and resolution of complaints;

REVIEW OF RECOMMENDATIONS - Assessors are only recommending authorities. These recommendations are impartially verified through Review of Assessment Report Pack & for successful cases of Certification Decision.

CERTIFICATION DECISIONS- An impartial Competent Certification Reviewer / Panel (if required) independently reviews the recommendations and if found satisfactory issue Certification Decision to Chief Executive/designated officer for the Grant of the Certification/Registration. Certification/registration shall not be granted until there is sufficient evidence to demonstrate that in addition the arrangements for management review and internal audits have been effective and maintained. The reviewer makes the comments specific about this in check sheet.

ISSUE OF CERTIFICATE - Upon completion of the review of all audit documentation and corrective action plan being accepted, Assure Quality Management Certification Services Pvt. Ltd. will issue the Certification to Registration of the company. This will be subject to the due payments against the invoice(s) issued to the client are cleared by the client to Assure Quality Management Certification Services Pvt. Ltd.

VALIDITY AND RENEWAL OF CERTIFICATES - Certificates issued by Assure Quality Management Certification Services Pvt. Ltd. remain valid for a period as defined on certificate maximum up to three years from the issue date as given on certificate subject to satisfactory conformance with the certification standards as verified during periodic surveillance visits & submission of fee timely. The Certificates will be considered continued after completion of validity time as defined on certificate maximum three year needed to conduct the re-certification audit on time. An appropriate fee will be charged for recertification.

SURVEILLANCE ASSESSMENT –

All certified companies will be subjected to a minimum of two/ one surveillance audits annually with the first surveillance visit being scheduled on a suitable date, six months or twelve months from the date of registration assessment respectively for six monthly/ annual scheme & 6m/ 12m thereafter and two month in advance in case of reassessments in both the cases. Organization may choose either scheme at the time of Contract Review with Assure Quality Management Certification Services Pvt. Ltd. AQMCS shall inform the registered client 2 months in advance for scheduling the Surveillance Assessment. AQMCS requires that such audit dates need to be confirmed at least 15 days prior to the confirmed date of the surveillance or re assessment. Any cancellations done during last seven days of the confirmed date shall be charged the full assessment day rate as per the signed contract between the registered organization and AQMCS. AQMCS sends A-016-Annual Update of Customer Company for any other change in address, contact person, employee, shifts, and any other product the organization is manufacturing/ providing service in existing product and scope. AQMCS schedules the visit(s) on a specified date informs the Client in advance and confirms through the assessment plan / Intimation letter / email. In case if the date is not agreed till 7 days before the due date of Stage 2 Registration Assessment, a caution indicating a suspension warning is released. In case if the due date is approached and the Surveillance Audit date is still not agreed or not responded from client, then on the next date or within 7 days after the due date the Client's Registration is Suspended with intimation to suspend the use of Registration Status. Suspension period is for 6 months. First 3 months the suspension may be lifted with a successful Normal Surveillance and Later 3 months through a Re assessment with increased days. In case if the attempts failed to conduct the Surveillance/ Re- Assessment with in Suspension period, the Registration is withdrawn. Client is notified of the all communications time to time. A fresh certification cycle may be started if any Full Re assessment is done prematurely based on circumstances.

SUPPLEMENTARY ASSESSMENT- A Supplementary Assessment visit may require to be made to the company's premises in the following circumstances:

- Assure Quality Management Certification Services Pvt. Ltd. has reason to believe that the documented management systems are inadequately maintained with major deficiencies in operation.
- Upon intimation by the certified company, of any significant change in the certified documented management system.
- As a result of a complaint, by any party, any adverse publicity or contravention of the conditions of certification or other information received.
- Where more than 6 months have elapsed between stage-I & stage-II Assessment.
- Where any Conflict of Interests or Impartiality have been found jeopardized.
- The supplementary assessment visit will be undertaken after due notice has been given and details agreed between Assure Quality Management Certification Services Pvt. Ltd. and the certified company. A separate fee will be chargeable for a Supplementary Assessment.



EXTENSION OF SCOPE OF MANAGEMENT SYSTEM - Client (i.e. Registered) may request Assure Quality Management Certification Services Pvt. Ltd. if they wish to Extend the Scope of their Management System for Registration. A written request is required to be submitted well in advance for Assure Quality Management Certification Services Pvt. Ltd. to review the request, apply post contract review and commission an assessment. Extension of Scope is Chargeable and the fee scale is first agreed with the client. The Assessment visit can be of two types:

(1) Thru a Special Audit or (2) thru the upcoming Surveillance or Reassessment: The same process applies further as explained above from Registration Assessment to Issue of Certificate. The Obsolete Certificate is taken back by Assure Quality Management Certification Services. Further Surveillance/Re- Assessments of the Extended Scope is conducted as per the redefined assessor day's allocation.

REDUCTION OF SCOPE OF MANAGEMENT SYSTEM- Reduction in Registered Client's Scope may be required if Assure Quality Management Certification Services Pvt. Ltd. thru any information or thru submitted facts or thru any of its assessments come to know about that any of its Registered Scope activity has been deleted or stopped by the Registered Client. Such a reduction may be proposed right in the Surveillance Assessment Report and upon review of recommendations the Scope may be revised. In such the Registered client is liable to Return its obsolete certificate and pay the applicable certification fees to collect its revised certificate of correct and current activity related scope of the management system.

MAINTENANCE OF CERTIFICATION / REGISTRATION - Certification / Registration remain valid in case of:

- Maintaining an effective Management System
- All Surveillance / Re assessments getting conducted as per schedule
- All corrective actions getting resolved in case of a major Non conformity or Complaint in stipulated time frame and to the satisfaction of the Lead assessor/ Assessor.
- Any major change in the organization Management System is handled satisfactorily and promptly communicated to Assure Quality Management Certification Services Pvt. Ltd.
- All the fee payable has been paid to Assure Quality Management Certification Services Pvt. Ltd. in time.

Information exchange between AQMCS and its clients

AQMCS has provided information and update clients on the following: a detailed description of the initial and continuing certification activity, including the application, initial audits, surveillance audits, and the process for granting, refusing, maintaining of certification, expanding or reducing the scope of certification, renewing, suspending or restoring, or withdrawing of certification; normative requirements for certification; information about the fees for application, initial certification and continuing certification;

Notice of changes by AQMCS: AQMCS will give its certified clients due notice through AQMCS web portal or email for any changes to AQMCS requirements or change in accreditation status for certification. Thereby AQMCS will verify that each certified client complies with the new requirements within the set time frame

Notice of changes by a client: To ensure that the certified client informs the Assure Quality Management Certification Services Pvt. Ltd., without delay, of matters that may affect the capability of the management system to continue to fulfill the requirements of the standard used for certification. These include, changes relating to:

- the legal, commercial, organizational status or ownership,
- organization and management (e.g. key managerial, decision-making or technical staff),
- contact address and sites,
- Scope of operations under the certified management system, and
- Major changes to the management system and processes.
- update information about to fatal incidents, serious injuries, occupational disease or legal action by a regulatory authority
- occurrence of a serious incident or breach of regulation necessitating the involvement of the competent regulatory authority
- Client also informs the AQMCS, at the time of surveillance or recertification, of any OHS related findings by third-parties.

Note: A-016-Annual Update of Customer Company is used to inform AQMCS

SUSPENSION OR WITHDRAWAL (CANCELLATION) OF CERTIFICATION - Any certificate issued by Assure Quality Management Certification Services Pvt. Ltd. may be suspended and subsequently withdrawn (based on severity of breach and a resolution period of max. 3 months) in the event of any of following defaults by a certificate holder.

- If a surveillance assessment is not arranged within 3 months of the due date in response to notice issued by Assure Quality Management Certification Services Pvt. Ltd.
- Major lack of effective implementation corrective actions within agreed time limits in respect of non-conformities identified during Surveillance Assessment.
- Failure to pay appropriate fees.
- In default to return the certificate after withdrawal, AQMCS will charge/Recovered Rs. 100000/- (Or Equivalent) as penalty amount from the customer company. AQMCS will receive the penalty amount mentioned as above from the customer/ customer copy by legal ways.
- Continued misuse of Accreditation mark / logo e.g. misleading publications, advertisement or contravention of the stipulated conditions for the use of Accreditation mark/ Assure Quality Management Certification Services Pvt. Ltd. logo.

-Major changes in the organization leading to the breakdown of relevant management system as per application standard.

-Any Proven Conflict of Interests become known to the Management of Assure Quality Management Certification Services Pvt. Ltd. in due course after the release of Registration in such a way that impartiality to the certification recommendation had been compromised and the Registered organisation declines the Assure Quality Management Certification Services Pvt. Ltd. request to undergo an additional Re Assessment.

-Under suspension, the client's management system certification is temporarily invalid. Assure Quality Management Certification Services Pvt. Ltd. requires that in case of suspension the client refrains from further promotion of its certification. Assure Quality Management Certification Services Pvt. Ltd. shall make the suspended status of the certification publicly accessible and shall take any other measures it deems appropriate. All the certificates issued by Assure Quality Management Certification Services Pvt. Ltd. are the property of Assure Quality Management Certification Services Pvt. Ltd. and upon Withdrawal the organization is liable to return all original and copied sets to Assure Quality Management Certification Services Pvt. Ltd. in the event of any of above defaults.

- Information on incidents such as a serious accident, or a serious breach of regulation necessitating the involvement of the competent regulatory authority, provided by the certified client (see G 8.5.3) or directly gathered by the audit team during the special audit, (G 9.6.4.2) shall provide grounds for the Certification Body to decide on the actions to be taken, including a suspension or withdrawal of the certification, in cases where it can be demonstrated that the system seriously failed to meet the OH&S certification requirements.

Upon Withdrawal the Client shall discontinue its use of all advertising matter that contains any reference to a certified status. The withdrawal shall be informed to public through its web site or by other suitable means.

AVAILABILITY OF ASSURE QUALITY MANAGEMENT CERTIFICATION SERVICES PVT. LTD. DOCUMENTS OR INFORMATION -As a valued customer you have right to following information about Assure Quality Management Certification Services Pvt. Ltd., which may be asked in writing to Chief Executive of Assure Quality Management Certification Services Pvt. Ltd. with an explanation on objective of the information being sought:

- information about the authority under which it operates
- A description of the means by which it obtains financial support and general information on the fees charged to applicants and certified/registered organizations.
- A description of the rights and duties of applicants and certified/registered organisations, including requirements, restrictions or limitations on the use of its logo and on the ways of referring to the certification/registration granted

APPEALS/ COMPLAINTS - Assure Quality Management Certification Services Pvt. Ltd. certification scheme endeavors to provide a prompt, competent and impartial service to its clients. In case, an applicant & a certified company wishes to make a complaint in respect of the operation of Assure Quality Management Certification Services Pvt. Ltd. certification scheme or appeal against a decision of the Assure Quality Management Certification Services Pvt. Ltd. which is considered to be unfair and prejudicial to the interests of the complain Assure Quality Management Certification Services Pvt. Ltd. will consider the complaint or appeal in accordance with Section 9.7 & 9.8 of the Assure Quality Management Certification Services Pvt. Ltd. Manual, Procedures for Appeal and PM011/012 for Complaints are available at www.aqmcs.com.

ACCESS TO RECORDS OF ORGANISATIONS AND ACCREDITATION BODY WITNESS VISITS

Assure Quality Management Certification Services Pvt. Ltd. requires, records of each Organisation whose management system is certified/registered to make available, when requested, this may include the record of complaints and corrective action taken in accordance with the requirements of the management system standards or other normative documents etc.

Where requested by the Accreditation Body, the Assure Quality Management Certification Services Pvt. Ltd. shall request you for the acceptance in bringing the Auditors from its Accreditation Body. Such Auditors however do not audit the applicant / registered client directly and their scope is limited to observe the performance of the Assure Quality Management Certification Services Pvt. Ltd. assessment Personnel.

VALIDATION VISIT:

Where any case of Conflict of Interest been compromised becomes known after the Assessment is delivered or certificate is issued, the CE of AQMCS reserves the right to appoint himself or delegate a Manager to conduct a special assessment of Min. half man day to ensure that the recommendations of the assessor were sound. And as a correction the concerned client shall be notified by CE/ delegate of AQMCS in writing that the Conflict of Interest of the assessor was not established and AQMCS will conduct a special assessment or if needed a Re assessment in a given time frame. Any denials from the client on this issue will be a direct case of Suspension or withdrawal subsequently of its AQMCS Registration.



AQMCS 1172, Sector-11, Panchkula-134109, Tri City Chandigarh- India, www.aqmcs.com

For Registered Clients with respective Accreditation, if accreditation body may decide to arrange Validation visits at Assure Quality Management Certification Services Pvt. Ltd. Registered client's facility. Assure Quality Management Certification Services Pvt. Ltd. shall inform its Registered Client of any such validation visits and its duration. Assure Quality Management Certification Services Pvt. Ltd. Personnel may also join the accreditation body assessor on such visits if required.

ACCESS OF RECORDS OR SUBMITTING THE RECORDS OF CLIENTS TO ACCREDITATION BODY OR ASSURE QUALITY MANAGEMENT CERTIFICATION SERVICES PVT. LTD. ADVISORY COMMITTEE

Assure Quality Management Certification Services Pvt. Ltd. is assessed or reviewed by its accreditation boards or its impartiality advisory committee every year. If required the Application Documents, Assessment records and the Correspondence with client is accessible to them under secured Confidentiality. When confidential information is made available to other bodies (e.g. accreditation body, agreement group of a peer assessment scheme), Assure Quality Management Certification Services Pvt. Ltd. shall inform its client of this action and where required the permission from client is taken first.

USE OF LOGO -A certified company is entitled to use the Accreditation mark/ AQMCS logo on its stationery, advertising and publicity brochure etc. for promotional purposes but not on the actual product. The use of Logo is governed by the Assure Quality Management Certification Services Pvt. Ltd. conditions and instructions applicable to the use of Accreditation and certification marks by certificated companies.

GENERAL GUIDELINES - All assessments undertaken by Assure Quality Management Certification Services Pvt. Ltd. are conducted by Recognized Auditors/ Associates 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 Lead Assessor is responsible for planning the assessment 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 Assure Quality Management Certification Services Pvt. Ltd. assessors, an access to its relevant facilities and records, appointing a responsible person to co-ordinate the arrangements for assessment and to provide all resources required by the audit team for performing their duties. In case the Applicant Company wish to request for postponement of a scheduled assessment, then the request must be given to Assure Quality Management Certification Services Pvt. Ltd. 15 days in advance or else Assure Quality Management Certification Services Pvt. Ltd. may charge the full assessment fee. Client shall make provisions, where applicable, to accommodate the presence of observers (e.g. accreditation auditors or trainee auditors).

CONFIDENTIALITY- All assessments are conducted in complete confidentiality of the company's activities Assure Quality Management Certification Services Pvt. Ltd. office staff and auditing personnel are bound by a confidentiality agreement to safeguard the client's classified information. All our staff is bound by a written confidentiality undertaking to fulfill Accreditation Requirements Assure Quality Management Certification Services Pvt. Ltd. will be making available the information related to your Registration as Publicly Accessible or provided upon request. Where the Assure Quality Management Certification Services Pvt. Ltd. is required by law to release confidential information to a third party, Assure Quality Management Certification Services Pvt. Ltd. will notify the client in advance of the information provided.

SHORT NOTICE ASSESSMENTS - If required Assure Quality Management Certification Services Pvt. Ltd. may conduct audits at Short Notice to investigate complaints, or in response to changes, or as follow up to verify the status under Suspension of the certification or any other reasons to ensure the Objectivity of the Registration is maintained at client's end.

ASSURE QUALITY MANAGEMENT CERTIFICATION SERVICES PVT. LTD. REGISTRATION OWNERSHIP-The certificate and the right to use the Assure Quality Management Certification Services Pvt. Ltd. symbol /logo shall remain the property of Assure Quality Management Certification Services Pvt. Ltd. and you agree not to assign, charge, license, transfer or otherwise deal with it in any way.

FORCE MAJEURE -Assure Quality Management Certification Services Pvt. Ltd. shall not be liable in any respect, should it be prevented from such obligations as a result of any matter beyond its control which could not be reasonably foreseen.

SAFETY -You are responsible for ensuring the safety of AQMCS representative/assessor, when Assure Quality Management Certification Services Pvt. Ltd. representative/assessor visits your sites, Assure Quality Management Certification Services Pvt. Ltd. representative/assessor has provides adequate protective equipment for the safety where required. Please raise these matters with Assure Quality Management Certification Services Pvt. Ltd. audit team leader in advance of a visit.

LIMITATION OF LIABILITY-

(a) Limitation of Liability:

- (1) AQMCS is neither an insurer nor a guarantor and disclaims all liability in such capacity. Clients seeking a guarantee against loss or damage should obtain appropriate insurance.
 - (2) Reports of finding are Issued on the basis of information, documents and/or samples provided by, or on behalf of, Client and solely for the benefit of Client who is Responsible for acting as it sees fit on the basis of such Reports of Findings. Neither the AQMCS nor any of its officers, employees, agents or subcontractors shall be liable to neither Client nor any third party for any actions taken or not taken on the basis of such Reports of findings nor for any incorrect results arising from unclear, erroneous, incomplete, misleading or false information provided to the AQMCS assessor.
 - (3) AQMCS shall not be liable for any delayed, partial or total non-performance of the services arising directly or indirectly from any event outside the AQMCS control including failure by Client to comply with any of its obligations hereunder.
 - (4) The AQMCS shall have no liability for any indirect or consequential loss including without limitation loss of profits, loss of business, loss of opportunity, loss of goodwill and cost of product recall etc. It shall further have no liability for any loss, damage or expenses arising from the claims of any third party (including, without limitation, product liability claims) that may be incurred by the client.
- (b) Indemnification: AQMCS Assessed/audited/certified Client shall guarantee, hold harmless and indemnify its client (interested party) and its officers, employees, agents or Subcontractors against all claims (actual or threatened) by any third party for loss, damage or expense of whatsoever nature including all legal expenses and related costs and howsoever arising relating to the performance, purported performance or non-performance, of any services/product given by AQMCS Assessed/audited/certified client. AQMCS has Assessed/audited/certified the client on basis of sampling audit/inspection during assessment. It is not 100% assurance of client system to be perfect & client has Assessed/audited once in a year/once in six month as per standards requirements. So AQMCS has not ensured 100% perfection in its certified client management system/service/product, there may be a chance of non- conformance in AQMCS certified client system. AQMCS has only limited liability of its Assessed/audited/certified client only maximum up to fee given to AQMCS by its client for that specific service in last one year/six month depend on frequency of assessment as per standards requirements in favor of AQMCS Pvt. Ltd. if liability more than given fee will be bear by AQMCS assessed/audited/certified client.

GUIDELINES FOR USAGES AQMCS & ACCREDITATION BODY LOGO

Ref.

A-014-AQMCS- Registered Logo Display Conditions

A-015-Conditions for use of JAS-ANZ Accreditation mark by the AQMCS certified clients.

Details available at www.aqmcs.com

LAW

This agreement shall be governed by Indian law and the parties agree to submit to the non exclusive jurisdiction of the court of Safidon or Panchkula in India.

A004 latest version is applicable & available at www.aqmcs.com.

Please send in original to AQMCS Head office.

Thank You & Best Regards

AQMCS

This document is to be signed in original by the authorized person

Accepted:

Name:

Designation:
(Please affix client stamp)

Dated: