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## **PURPOSE**

The purpose of this Instruction is to provide relevant information about OSS Management System certification process, In View of Public Interest to make aware to Interested Party, Certified Client, Potential Clients (Those who are Interested in Certification of Management System). OSS is conducting an impartial and Independent assessment of a company's management system for issue and maintenance of certification to the management System standards.

## **SCOPE OF ACTIVITIES**

The certification scheme regulation provided by OSS Certification Services Pvt Ltd is a third party system certification scheme with an objective of giving recognition to companies who have effectively implemented and maintained the documented system. Scope of activities follows as below:

- Receipt of Application from Potential Client for Management System Certification or certified client for Scope Extension/ Reduction or Certification of New Standards.
- Conduct of independent assessment for Management System certification.
- Review of Audit File and Issue of certification
- Conducting Surveillance Audit for verification of continue compliance management systems to certification standard
- Conducting Re-Certification Audit -within the validity of certificate.
- Supplementary/ Re-assessments (required where major non conformities have been identified or major changes in the organization or its system have been identified/ notified or any complain from Interested Party.

## **APPLICATION PROCEDURE**

**Enquiry and Request for proposal:** Upon receipt of an enquiry, the **Form F 11 & F 13** Company Profile Questionnaire is required to be completed by the applicant company. Based upon the information provided, a detailed offer is submitted for client's consideration and acceptance.

**Application:** Upon confirmation of acceptance of OSS Application. The OSS Marketing Team will send complete 3 Years certification Fess Structure (proposal). After Receipt of acceptance of Proposal from Applicant client organization, the process of Initial/Scope Extension certification commences with scheduling of audits on mutually agreeable dates.


## **INITIAL CERTIFICATION PROCESS**

### **Audit Plan and Schedule (For Stage-1 Audit)**

OSS will send the Audit Plan and schedule for Stage-1 Audit (at Least one-week advance) to Client organization for acceptance of Audit Date and Audit Team acceptance. After receipt of Acceptance from Client organization, the Stage-1 Audit shall be Planed.

### **STAGE – 1 Audit**

An onsite review of the client's management systems documentation is conducted to verify that the requirements of the management standard are satisfactorily implemented and documented. Audit report (Stage – 1) is issued listing any non-conformity against which corrective actions are required to be taken. OSS expects its clients to implement their Management System at least 3 months prior to an onsite Registration Assessment which need to be confirmed at this stage.

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During the Stage-1 Audit – The Audit Team will find the Compliance / Non-Compliance/ Opportunity for Improvements. The Audit Team Shall Communicate the same to Auditee organization during closing meeting for the Acceptance of Audit findings.

### **Audit Plan and Schedule (For Stage-2 Audit)**

OSS will send the Audit Plan and schedule for Stage-2 Audit (at Least one-week advance) to Client organization for acceptance of Audit Date and Audit Team acceptance. After receipt of Acceptance from Client organization, the Stage-2 Audit shall be Planned.

### **STAGE – 2 AUDIT**

The purpose of Stage-2 audit is to determination of conformity of client’s management system against the audit criteria and the ability of management system to meets applicable statutory, regulatory and contractual requirements. So that the objective of Stage-2 Audit shall be clearly identified in Stage -2 Audit Plan (F-0020) according to purpose of Audit.

In line with the stage -1 audit, OSS will conduct the Stage-2 Certification Audit **either at all sites or sampled (as needed)** to assess conformity with the requirements of the applicable standard. The Stage-2 Audit is a Full System Audit.

During the Stage-2 Audit – The Audit Team will find the Compliance / Non-Compliance/ Opportunity for Improvements. The Audit Team Shall Communicate the same to Auditee organization during closing meeting for the Acceptance of Audit findings.

### **CORRECTIVE ACTIONS AND FOLLOW-UP**

If during the Audit Non-Compliance against the Audit Criteria is found and Auditee organization accepted the Same.


Auditee Client is required to submit a corrective action plan - where minor lapses is found is categories as Minor Non-Compliance. At the condition of Minor Non-Compliance, the Auditee Client organization is required to Submit the Corrective Action along with supporting evidences for implementation -within 30 days from Date of Issue of minor-NC.

When the Non Compliance categorized as Major NC- (i.e ) Lapses of Implementation of Requirements of Audit Criteria or Similar Nature of minor NC found in many process of the organization or Lapses of implementation of Legal / Regulatory body requirement. In this situation the Auditee Client organization is required to implement the Corrective action and submit the Corrective action report along with supporting evidences within 90 Days to OSS Audit Team Leader for verification. If the Audit Team Leader Satisfy with CAR submitted. Audit Team Leader will recommend for Certification and Submit the audit report for Review and making the certification decision.

If Audit Team Leader is not satisfying with CAR a Supplementary Audit shall be planned for verification of implementation. The Same shall be notify to client in advance. After supplementary Audit and verification of implementation of CAR , Audit Team Leader will recommend for Certification and Submit the audit report for Review and making the certification decision.

### **RECOMMENDATIONS**

Audit Team Leader shall recommend for the granting of Certification, refusing, maintaining of certification, expanding or reducing the scope of certification, renewing, suspending or restoring following suspension, or withdrawing of certification, are only recommending authorities based on the Audi findings and review of CAR. These recommendations are impartially verified through Review of Audit Report by the competent person or Team and the certification decision shall be made.

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## **CERTIFICATION DECISIONS**

- An Impartial Competent Auditor/Technical Reviewer reviews the Audit Report submitted by Lead Auditor and if found satisfactory, then reviewer will recommend CEO for the Certification Decision, related to certification for granting, refusing, maintaining of certification, expanding or reducing the scope of certification, renewing, suspending or restoring following suspension, or withdrawing of certification.
- The Certification shall not be granted until there is sufficient evidence to demonstrate that organization's Management System is complying the requirements of Audit Criteria /standards.

## **ISSUE OF CERTIFICATE**

Upon completion of the review of audit report documentation and acceptance of corrective action, OSS will issue the Certification to Registration of the Client organization. This will be subject to the full Audit fee payments against the invoice(s) issued to the client has been received at OSS.

## **VALIDITY AND RENEWAL OF CERTIFICATES**

Certificates issued by OSS remain valid for a period of three years from the date of Certification Decision. The first surveillance Audit shall be conducted with the 12 months from date of certification decision and successive periodic surveillance Audit shall be conducted on calendar year basis. The Recertification Audit shall be conducted within the validity of certification period.

## **SURVEILLANCE ASSESSMENT**

The certified organization will be subjected to a surveillance audits (either six monthly or Annually). The first surveillance visit being scheduled on a suitable date, six months or twelve months from the date of Stage-2 Audit. The OSS will provide the complete Three Year Certification Cycle Audit Program Plan at the time of Contract Review with OSS. For the acceptance to client organization. So that Surveillance Audit and Re-Certification Audit shall be conducted on time.

In case of delay for more than a month from surveillance Audit / Re-certification Audit, as per agreed audit plan date. It is certified client organization to provide the valid justification for delay for not allowing for conduct of Audit, without a valid justification will lead to the conduct of a reassessment. OSS reserves the right to conduct such re assessment. In case the Re-Certification Audit is delayed more than a month, as per the Agreed Audit program, the OSS reserves a right to either suspend the certification or conduct a full assessment again, as per Initial Certification Audit program/Process.

## **SPECIAL AUDITS**


### **EXPANDING TO SCOPE**

When the certified client organization applied for extension to the scope of a certification already granted, the Application shall be reviewed as per OSS documented procedure and application reviewer determine any audit activities necessary to decide whether or not the extension may be granted. If decided to for extension of scope, the audit shall be conducted in conjunction with a surveillance audit.

### **SHORT-NOTICE AUDITS**

The Short Notice or unannounced Audit of certificate client site shall be conducted in the Following Situations, considering the significant to certification

1. For Investigation of Complaint.
2. Follow up on Suspension.
3. The change to legal, commercial, organizational status or ownership.

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4. The changes of organization and management (e.g. key managerial, decision-making or technical staff),
5. Changes to contact address and sites,
6. Changes to Scope of operations under the certified management system.
7. major changes to the management system and processes

### **IN SUCH CASES OF SHORT NOTICE AUDIT**

- a) OSS shall update to Client organization in advance and the conditions under which these short notice visits are to be conducted.
- b) OSS shall update the client about the Audit team members in advance and after acceptance of Audit Team combination, the Audit shall be planed.
- c) OSS shall exercise additional care in the assignment of the audit team because of the lack of opportunity for the client to object to audit team members.

### **MAINTENANCE OF CERTIFICATION**


#### **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 Auditor/ Auditor.
- Any major change in the organization/Management System is handled satisfactorily and promptly communicated to OSS
- All the fee payable has been paid to OSS in time.

### **NOTICE OF CHANGES BY A CLIENT:**

***To ensure that the certified client informs the OSS , 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.

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## **SUSPENSION OR WITHDRAWAL (CANCELLATION) OF CERTIFICATION**

Any certificate issued by OSS may be **suspended or withdrawn (based on severity of breach)** 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 OSS Certification Services

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. \_ Continued misuse of Accreditation mark / logo e.g. misleading publications, advertisement or contravention of the stipulated conditions for the use of Accreditation Body Logo/ OSS 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 OSS in due course after the release of Certification in such a way that Impartiality to the certification recommendation had been compromised and the certified organization declines the OSS request to undergo an additional Audit/Special Audit.

All the certificates issued by OSS are the property of OSS and an organization is liable to return all original and copied sets to OSS in the event of any of above defaults. Upon Withdrawal the Client shall discontinue its use of all advertising matter that contains any reference to a certified status /use of Logo (OSS & Accreditation Body).

## **VERIFICATION ON OSS CERTIFIED CLIENT STATUS THROUGH OSS WEBSITE**

The client/ Interested party who want to verify the certification status , kindly visit to OSS website [www.oss-certification.com](http://www.oss-certification.com) and go to verify your certificate link (Provided on Home Page) place the unique certificate number (only numeric value) and click to search button to check the status of certification of particular client.

If the certificate number is not known, kindly request us.

## **INFORMATION SHALL BE PROVIDED UPON REQUEST**


The OSS can provide the Following Information upon request

- The geographical areas in which OSS operates
- The status of a given certification.
- The name, related normative document, scope and geographical location (city and country) for a specific certified client.

## **AVAILABILITY OF OSS DOCUMENTS OR INFORMATION**

The following information and OSS policy, Procedure and Rules are available at OSS website, without request. for the Interests of Public / Certified Client / Potential clients / Interested Party.

- Information about the authority under which OSS operates
- Information on OSS Management System Certification Process
- Information about certified Clients/ Suspended Clients /withdrawn Clients.
- Information about OSS scope services.
- Information about Right & Duty of Clients

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- Information about Rules of Use of Logo
- Information about Appeal and Complain Handling procedure.

## **APPEALS/ COMPLAINTS**

OSS in 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 OSS or appeal against a decision of the OSS which is considered to be unfair and prejudicial to the interests of the complaint OSS will consider the complaint or appeal in accordance with procedure OSS-P-10. The copy of Appeal / Complaint Handling Procedure is publicly available on [www.oss-certification.com](http://www.oss-certification.com).

## **ACCESS TO RECORDS OF COMPLAINTS TO ORGANISATIONS**

OSS requires each organization whose quality management system is certified to make Available, when requested, the record of all complaints and corrective action taken in accordance with the requirements of the management system standards or other normative documents.

## **USE OF LOGO**

A certified company is entitled to use the Accreditation mark/ OSS 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 OSS conditions and instructions applicable to the use of Accreditation and certification marks by certificated companies. As per the Rules for use of Logo, which is available on OSS website – [www.oss-certification.com](http://www.oss-certification.com)

## **GENERAL GUIDELINES** **CONFIDENTIALITY**


As per the Confidentiality Agreement Policy, the OSS office Staff, Auditor and the person working under control of OSS (Technical Experts/Contracted Auditors) shall main the confidentiality of information gained during the entire certification process and shall not be disclosed to any third party without prior consent the client organization. In case the information required by Law, the OSS shall disclose the information, with prior notice and consent with client organization. OSS office staff and auditing personnel are bound by a confidentiality agreement to safeguard the client's information. All our staff is bound by a written confidentiality undertaking, to fulfill Accreditation Requirements. OSS will make available the information related to client certification status on OSS website (only limited part of certification status -i.e Name of the Organization , certificate number ,certified Standards and status of certification ) or the of certification status ( address , scope and contact information) shall be provided upon request, with prior consent with client organization or when requested by accreditation body.

## **OSS CERTIFICATION SERVICES REGISTRATION OWNERSHIP**

The certificate and OSS registered Logo shall remain the property of OSS.

## **SAFETY**

Client is responsible for ensuring that when OSS Audit Team visits client sites, the client organization should have adequate arrangement of protective equipment for the safety and Audit Team member.

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Where special training is required in case matter of safety this is to be disclosed to OSS before visit to Audit Team.

### **LIMITATION OF LIABILITY** **LAW**

The OSS Management System agreement shall be governed by Indian law and the parties agree to submit to the nonexclusive jurisdiction of the courts of **NEW DELHI** in India.

OSS liability in respect of any single event or series of events for breach of OSS obligations in this Contract Terms & Scheme for certification shall be strictly limited to the amounts payable by you to OSS in the 12 months preceding the date of the event or events. OSS Certification Services is not liable for any other liability (including any third party liability) claim what so ever is claimed by the client to OSS. OSS is not liable for any claims passed by its clients in case their products or services malfunctions with their own clients or users.

All assessments undertaken by OSS are conducted by Qualified Lead Auditor / 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 Auditor 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 certification for granting, refusing, maintaining of certification, expanding or reducing the scope of certification, renewing, suspending or restoring following suspension, or withdrawing of certification based upon a review of the level of compliance of the systems in operation. The client organization is responsible for providing OSS 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 client organization wish to request for postponement of a scheduled assessment, then the request must be given to OSS 15 days in advance or else OSS may charge the full assessment fee.

**For OSS Certification Services Pvt Ltd,**

***Management Team***