

QSS-Quality Management Services

Revision 02 Effective Date: 1st November 2009

REGISTRATION REGULATION

Introduction

This document outlines the process of obtaining and maintaining registration or certification with QSS-Quality Management Services.

Included are the requirements and rights of a company undergoing registration services, along with the applicable rules of conduct for the company and QSS-QMS Registrar Inc.

QSS-Quality Management Services will be referred to herein as "QSS-QMS". The company requesting certification services is referred to as the "applicant" or "company." After a contract is signed and the process has begun, the applicant is referred to as the "client."

1.0 Overview of the Registration Process

1.1 The basic steps of the ISO 9000 Registration Process are:

- 1) **Company Profile:** This detailed description of the company seeking registration provides the information necessary for QSS-QMS to perform the Registration Activities.
- 2) **Quote:** QSS-QMS provides the company with a price for the different Registration Activities.
- 3) **Application for Registration Services:** This is the official document requesting Registration Services from QSS-QMS. After the Applicant Company and QSS-QMS approve this document, it becomes a legal contract.
- 4) **Pre-Assessment (Optional):** Conducted to determine if the Company's Quality System is sufficiently documented to warrant the next steps.
- 5) **Document Review:** The Company's Quality Manual and the required ISO 9000 procedures are reviewed. This may be done at the QSS-QMS Office or at the company. All nonconformities identified in this review must be resolved before Certification will be granted.
- 6) **Registration Assessment:** Determines if the company has successfully documented and implemented the requirements of the specified ISO Standard.
- 7) **Issuance of Certification:** After successful completion of the Registration Assessment and resolution of all nonconformities identified & meeting the requirements of Clause 2.1 a, b, c, d, the "Certificate of Registration" will be issued to the company.
- 8) **Surveillance:** A mini-assessment conducted on site every six/twelve months that reviews a part of the ISO Standard to determine if the Company has implemented, and is maintaining the Quality System.
- 9) **Reassessment:** Conducted every three years to review the status of the applicable ISO requirements of the company. After successful completion of the reassessment

surveillances will be conducted until the next three-year anniversary occurs. Then another Reassessment will be conducted.

QSS-Quality Management Services

Revision 02 Effective Date: 1st November 2009

If a company does not pass the Registration Assessment or fails to maintain its Quality Program, a Corrective Action Assessment may be implemented to review the situation.

Further details are provided in the next sections of this document.

2.0 Requirements

2.1 Each **certified / applicant (as applicable)** facility shall:

- a) Have a documented Quality Manual that addresses the applicable Quality Standard i.e. ISO 9001:2008.
- b) Document and maintain a Quality Program in accordance with the Quality Standard i.e. ISO 9001:2008.
- c) Perform a Management Review and Internal Audit of the Quality Standard effectively before the Registration Assessment and a minimum of once a year thereafter. *Note: The yearly requirement for management review and internal audit is a QSS-QMS interpretation of the ISO 9000/9001 Standards.*
- d) Allow QSS-QMS access to all locations during normal working hours to assess the Quality Program and the company's implementation of the Quality Standard i.e. ISO 9001:2008
- e) Allows the Accreditation Body (NABCB) auditors to Observe the QSS-QMS Auditors during the Audit as well as inspect the facility to verify the compliance with ISO 9001:2008 Standard
- f) Inform QSS-QMS (in writing) of major changes to the Quality Program (e.g., changes of: ownership, management structure, production capability, location, the Quality Manual
- g) Use the registration mark in accordance with QSS-QMS's requirements as specified in QSS-QMS's Registration Regulations. Original Certificates of Registration are the property of QSS-QMS.
- h) Upon termination of the registration, discontinue reference to the registration in all advertising material or other documents. The applicant shall notify its contracting companies that the registration has been terminated. The registration shall not be used as evidence of product certification, product endorsement, or product approval.
- i) Maintain a record of all complaints about the products or services.

2.2 QSS-QMS shall:

- a) Perform Document Reviews, Pre-Assessment, Registration Assessments, Corrective Action Assessments, Surveillances, and Reassessments, as applicable to the requirements of the QSS-QMS Quality Manual.

QSS-Quality Management Services

Revision 02 Effective Date: 1st November 2009

- b) Maintain and make available a listing of *Registered* Companies. This list shall include their name, location, certification only.
- c) Hold in complete confidence all information pertaining to the applicant (other than specified in 2.2.b). No information about the company will be released without written permission of the applicant except as required by law.
- d) Comply with all applicant company rules and regulations while at their facilities.
- e) Comply, in all activities, with applicable accreditation bodies' requirements, the QSS-QMS Quality Manual, Registration Regulations, and QSS-QMS Implementing Procedures.

3.0 Quote

QSS-QMS will provide the client with fixed price quotes for the optional Pre-Assessment, the Document Review and the Registration Assessment, Stage 1 & 2 Assessments. Travel and living expenses will not be part of the quotation but will be charged to the client at actual cost.

An estimate will be provided for the Surveillances and Reassessments based on the current daily charges.

4.0 Company Profile

The Company Profile will identify the facility location, the product or service produced the product within the scope of certification, the IAF/NACE Sector Code, the ISO Standard for certification, the number of personnel, the number of work shifts, the processes, the applicable codes and standards, and the ISO Representative.

In case the client requires information on any specific programme, necessary information shall be provided by QSS – QMS.

5.0 Application for Registration

QSS-QMS will give full consideration to any Application for Registration of a Quality System in accordance with the proper ISO Standard i.e. ISO 9001:2000

QSS-QMS will require the client to have a documented Quality System

The company seeking registration will complete a Company Profile and a contract agreement (Application for Registration Services) for the registration process.

For companies seeking Registration Services:

- a) QSS-QMS will never delay requests for registration services without justifiable cause.
- b) QSS-QMS will always maintain the necessary level of expertise and capability to perform registration services.
- c) If an Application for Registration is rejected, QSS-QMS will inform the applicant in writing, stating the reasons for the rejection, and advising that

QSS-Quality Management Services

Revision 02 Effective Date: 1st November 2009

the decision may be appealed. The rejection may also be appealed to the applicable accreditation agency e.g. NABCB.

The contract (Application for Registration Service) is the legal agreement to conduct the registration activities, including the right of access to the company to conduct assessment activities and the confidentiality requirements.

The contract shall also require the client to keep records of all complaints and subsequent remedial actions. These records must be available to QSS-QMS.

6.0 Pre-Assessment (Optional)

The aim of the Pre-Assessment is to determine the readiness of the client for the Registration Assessment. It shall be similar in scope to the Registration Assessment unless the client requests a smaller scope.

As a minimum, the Pre-Assessment will review the following items: Quality Manual, implementing procedures, sampling of procedural implementation, certification scope, proper IAF/NACE Sector Codes, and identification of any special personnel required for the assessment.

Following Pre-assessment, the client will be issued a report that details the activities not meeting the applicable ISO requirements.

The assessors will not consult during the Pre-Assessment activities. The client has the right to object to the identified assessor(s) for the Pre-Assessment.

7.0 Stage -1 Audit (On Site)

This is a review of the client's Quality Manual, **procedures & readiness to face Certification Audit** as required by the applicable ISO Standard. The results of the Stage -1 Audit will be documented in a report. This report will identify any ISO 9000 requirements not properly addressed **by the Client in its Implemented ISO system**. Any ISO 9000 requirement not properly addressed is required to be corrected before the client will be recommended for **registration / Stage-2 Assessment**.

8.0 Registration Assessment (Stage-2 –On Site)

The Registration Assessment determines if the client has documented and implemented the Quality Program. This is accomplished by an in-depth review of the procedures and their implementation for conformance to the identified Quality Standard. The assessment is performed in accordance with the requirements of ISO 19011 and QSS-QMS Technical Procedures.

Each Assessor will examine the specific area or activity assigned by the Lead Assessor. This may involve interviews, examination of documents, and observations, to thoroughly determine the implementation of the Quality Standard.

At the conclusion of the assessment, the assessment team will convene to determine nonconformities. In accordance with Section 12.0, these nonconformities will be identified as major or minor. Corrective action for all nonconformities must be accepted by QSS-QMS before the client can be recommended for registration. The Lead Assessor will then make a recommendation for registration or non-registration.

QSS-Quality Management Services

Revision 02 Effective Date: 1st November 2009

Assessor does not advise or give consultancy as part of an assessment. The client has the right to object to any of the identified assessors.

9.0 Corrective Action Assessments

If, during the **Stage -1**, Registration Assessment, Surveillance, or Reassessment, an ISO 9000 element is found to have major nonconformities; a Corrective Action Assessment will be conducted.

This assessment may also be conducted because of complaints, appeals, suspension of Registration, or withdrawal of Registration.

A specific assessment plan will be developed for the nonconforming ISO 9000 elements. This assessment will be conducted in accordance with the requirements of paragraph 8.0 (except for assessment scope).

10.0 Surveillances

After registration or certification, Surveillance Assessments are conducted approximately every six/twelve months or once a year to review selected elements of ISO 9000. The first surveillance will be conducted at approximately six/twelve months after the Registration Assessment **as per the period/date specified on the certificate**. The client has the choice of six months or yearly assessments. After three years a Reassessment is conducted.

As a minimum, each Surveillance will review the following ISO elements: 4.1 General Requirements, 4.2 Documentation Requirements, 5.1 Management Commitment, 5.3 Quality Policy, 5.4.1 Quality Objectives, 5.5 Responsibility, Authority & Communication, 5.2.2 Management Representative, 5.6 Management Review, 8.2.2 Internal Audit, 8.5.1 Continual Improvement, 8.5.2 Corrective Action, 8.5.3 Preventive Action. The other ISO Elements will be reviewed in accordance with the Surveillance Plan.

This Surveillance Assessment will also review the use of the Registration Mark, status or closure of assessment nonconformities, and customer complaints.

This Surveillance will be conducted in accordance with paragraph 8.0 except for scope and recommendation for certification. Each ISO element will be assessed at least one time before the Reassessment.

11.0 Reassessment

Reassessment is conducted every three years and will review all the applicable ISO 9000 elements. This assessment is conducted in accordance with paragraph 8.0 except the assessment time is less than the Registration Assessment. The Lead Assessor will make a recommendation for re-registration or non-registration of the company. If a client has had six months surveillance, the Reassessment will be review of the Quality Manual and the review/analysis of the surveillance reports for negative trends. If no negative trends exist and the Document Review is acceptable, the client will be recommended for re-registration. This registration cycle will repeat itself every three years.

12.0 Assessment Nonconformities

Nonconformities identified during the assessments and the surveillances will be documented in the QSS-QMS Nonconformity Report. In accordance with QSS-QMS

QSS-Quality Management Services

Revision 02 Effective Date: 1st November 2009

Technical Procedures, the Lead Assessor will determine if the nonconformities are major or minor. The company will acknowledge the nonconformities by signing the Nonconformity Report. The company has 30 calendar days to provide a Corrective and Preventive Action Plan for QSS-QMS to review. If the plan results in improper or lack of corrective action, the Registration may be suspended or withdrawn.

13.0 Certification & Continuation of Certificate

Based upon the Lead Assessor's recommendation for certification and the QSS-QMS Technical Director's decision for certification, the Certificate of Registration will be issued. Registration is valid for three years and maintaining the Registration is dependent upon the client's maintenance the ISO 9000 Program and following the Registration Regulations.

NOTE: The three years calculated from the Starting date of the Stage-2 Assessment & not from the date of issue of the certificate. The same Period is mentioned on the Certificate along with date of Surveillance & Re-certification. The date of surveillances / Re-certification shall not exceed from the date given on the certificate , failing to which the certificate termed as suspended as per point 17.0 of this document.

14.0 Use of the Certificate

Upon registration, the client is issued an original Certification of Registration. More than one original may be issued to the client. The original remains the property of QSS-QMS. The Certificate of Registration may be photocopied.

Also upon *registration*, the client is entitled to use the QSS-QMS mark and the proper accreditation body mark i.e. NABCB. The mark shall not be used on a product or in a way that may be interpreted as denoting product conformity. The certification marks may be used on business cards, advertising materials, supplier letterheads, or other material that is not used on the product. Specific guidance for the marks will be provided after registration.

A client awarded registration shall stop the display or otherwise use of the Certification of Registration, QSS-QMS mark, and the accreditation agency mark, as soon as possible after the following conditions:

- a) A lapse, suspension, or withdrawal of registration.
- b) When the client makes a major change to the Quality System that is not acceptable to QSS-QMS; meaning QSS-QMS deems the change will reasonably affect qualification for registration.
- c) When the client has failed to implement a change to the system rules issued by QSS-QMS.
- d) Any circumstance that could reasonably be expected to adversely affect the client's Quality System.

15.0 Publication

QSS-QMS will publish a list of Registered Companies and provide it to the client at no cost. The information provided on the list will be Name, location & standard of certificates.

QSS-Quality Management Services

Revision 02 Effective Date: 1st November 2009

16.0 Confidentiality

In accordance with QSS-QMS Implementing Procedures, all information that is not public knowledge and is not identified in paragraph 15.0, will be considered confidential, and maintained as such at all times. **Any Information about client obtained from other sources shall be treated as confidential by QSS-QMS.**

17.0 Suspension of Registration

The client's certification or registration may be suspended for up to **Six months (from last day of audit)** if any of the following conditions exist:

- a) QSS-QMS identifies a major nonconformity to the Quality System that questions the implementation of ISO 9000 but is not serious enough to require withdrawal.
- b) Improper use of the Certificate of Registration, Registration, Registration marks (logo, symbol), or corrective action to the improper use of same that is not acceptable to QSS-QMS.
- c) **Not conducting Surveillance / Re-Certification Audits within stipulated time frame i.e. the dates mentioned on the Certificate.**
- d) Any other violation of the Registration Regulations or the QSS-QMS Procedures – **e.g. payment of fees, misuse of logos etc.**

18.0 Withdrawal of Registration

QSS-QMS may withdraw the Registration, the Registration document, and cancel all agreements with the company in the following cases:

- a) If the registration is suspended and no corrective action is implemented **within six month from last day of audit.**
- b) If QSS-QMS identifies major nonconformities which may cause improper implementation of the ISO requirements.
- c) By formal request of the client.
- d) If the ISO requirements change and the client will not or cannot ensure conformance to the new requirements.
- e) If the client ceases to supply the product, process or service for an extended period of time.
- f) If the client fails to meet financial obligations to QSS-QMS.
- g) On any other grounds specifically provided for under the system rules or formally agreed to between QSS-QMS and the client.

The client will be notified by registered mail of any change in registration status. The notification will advise that an appeal can be filed.

QSS-Quality Management Services

Revision 02 Effective Date: 1st November 2009

The original Certificate of Registration must be returned to QSS-QMS, and the other clients must be notified that the certification has been withdrawn.

QSS-QMS has the right to publish that the certification has been withdrawn from the client.

19.0 Changes to the Client's Quality System

The client shall notify QSS-QMS in writing within 30 calendar days of any major changes to its Quality System or Environmental System that affect the ISO 9000 Quality System. A major change to the Quality System is defined as one that involves organization or procedures that affect the implementation of the Quality System to a substantial degree.

Examples of major changes include a sale of the company that involves a management change, deletion of the ISO Quality Program, downgrading of the ISO Quality Procedures, decisions to not conduct internal audits, change in technology, or downgrading of management resources to conduct the Quality Program.

20.0 Unscheduled Assessments

If the client has a significant change to its Quality System that affects the implementation of ISO 9000, QSS-QMS may deem that an unscheduled assessment is necessary. Unscheduled assessments will be considered a Corrective Action Assessment or Special Assessment.

Unscheduled assessments will be conducted with the client's permission, but the client may have only a short notice of the assessment's date and content.

QSS-QMS may perform an unscheduled assessment as a result of complaint, appeal, and knowledge of client not properly implementing its ISO Quality Program or upon receiving other related information.

21.0 Modification of Scope

The client shall notify QSS-QMS if the company wants to increase or decrease the registration scope. QSS-QMS will investigate the change in scope to decide the applicable actions.

If a decrease in the Registration scope is requested, the applicable requirements of paragraph 17.0 will be conducted.

If an increase in the Registration scope is requested, normally the next surveillance assessment will be increased to review the scope change. If necessary, a reassessment will be conducted.

22.0 Changes in ISO 9000 Requirements

When there is a change in the ISO 9000 requirements, QSS-QMS will notify the client. For the ISO 9001 Standard, the client has appropriate time after the approval of the revised standard to implement the requirements. If the Quality Program does not meet the requirements after the same period, the registration will be withdrawal. The further information will be available in QSS-QMS Office.

Depending on significant / non-significant changes, client shall be notified if Re-assessment or implementation confirmation is required.

QSS-Quality Management Services

Revision 02 Effective Date: 1st November 2009

If the company does not implement changes, QSS-QMS may suspend or withdraw the Registration.

23.0 Changes in the QSS-QMS Requirements

If there are changes in QSS-QMS Registration Requirements that affect the clients, QSS-QMS shall:

- a) Afford the opportunity for clients affected by the proposed changes to submit comments on the proposed change(s).
- b) Specify an effective date for the change(s). The effective date shall be by agreement to allow sufficient time for clients to amend their Quality System.

The client will be notified by the QSS-QMS for any required change to the Registration Requirements.

24.0 Complaints

Any person or entity may file a complaint about the QSS-QMS Registration Program or registration decision.

A Complaint is defined as a disagreement that does not affect the outcome or decision of the registration activities, or the registration scheme. The complaint may be made orally to QSS-QMS or on the Complaint or Appeal Form. All disputes, which are not resolved, will be treated as complaints.

The Technical Director of QSS-QMS is responsible for the investigation and conclusion of a complaint/dispute investigation. The company will be notified of the results. If there is disagreement with the results, an appeal may be filed in accordance with paragraph 25.0, or the appropriate accreditation agency may be contacted concerning the complaint.

25.0 Appeal

Any person or entity may file an appeal about the QSS-QMS Registration Program or registration decision. An appeal is defined as a disagreement that affects the outcome or decision of the registration activities or registration scheme. The appeal will be made to QSS-QMS in writing, preferably on the Complaint or Appeal Form.

The Technical Director of QSS-QMS will process the appeal in accordance with the implementing procedures. An appeal committee may be formed to address the appeal. The company filing the appeal has the right to state objections to the person or persons on the appeal committee.

If the review for the appeal is extensive, the cost for the review may be split between the company filing the appeal and QSS-QMS.

The company filing the appeal will be notified of the decision. If there is disagreement with the results of the appeal, the company may contact the appropriate accreditation body concerning the appeal.

QSS-Quality Management Services

Revision 02 Effective Date: 1st November 2009

26.0 Transfer Assessments

If a Company who is already registered by an accredited registrar desires registration from QSS-QMS, QSS-QMS can transfer the registration without normally performing all the activities of the original registration.

For ISO 9000, a Document will be conducted. Also, a Transfer Assessment will be conducted which reviews ISO Elements 4.1 General Requirements, 4.2 Documentation Requirements, 5.1 Management Commitment, 5.3 Quality Policy, 5.4.1 Quality Objectives, 5.5 Responsibility, Authority & Communication, 5.2.2 Management Representative, 5.6 Management Review, 8.2.2 Internal Audit, 8.5.1 Continual Improvement, 8.5.2 Corrective Action, 8.5.3 Preventive Action along with review of Previous NCR raised by the Certification body & Applicable Statutory, Regulatory & Legal Requirements

Definitions

QSS-QMS – QSS-Quality Management Services

Applicant – The Company *that is* applying to QSS-QMS for certification services.

Registration – The decision by QSS-QMS that the applicant's Quality Program meets the requirements of the specified ISO Standard or Quality Standard or Environmental Standard.

Document Review – A review of the company's Quality Manual *Documentation* and Quality Standard required procedures, to assess compliance to the applicable Quality Standard.

Pre-Assessment – An optional first review of the Quality System to identify its strengths and weaknesses. This assessment does not result in registration of a Quality System.

Registration Assessment – Review of the Quality Program to determine compliance to the designated ISO Standard.

Surveillance – Assessments normally carried out to review aspects of the Quality Program or the Environmental Program.

Reassessment – An assessment of the Quality Program or Environmental Program three years after the Registration Assessment.

Quality Standard – The recognized commercial, national, or international standard governing Quality Programs or Quality Management

Certificate – Document issued upon certification stating that the Quality Program or Environmental Program has been audited by QSS-QMS and found to meet the requirements of the designated Quality Standard.

Quality Program – The documented, implemented, and maintained actions that fulfill the requirements of the Quality Standard.