Procedure for Ensuring the Proper Methods & Procedures for Evaluation

Contents

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Approved By Technical Manager

1. Purpose

The purpose of this procedure is to establish, implement and maintain a system for certification process in Ravi Energie Pvt Ltd (REPL) to ensure the operational process is well defined.

2. Scope

This procedure establishes methods to be followed for evaluation conducted for product certification.

3. Responsibility

System Manager, Technical Manager, Auditors

4. Terms and Definitions

Accredited - Officially recognized or authorized.

NC - Non-Conformance

CoC – Certificate of Conformity

5. Procedure

1. Application

The process of Product Certification starts with the receipt of application in the application form with information (QCI/F65/01/01) covering the aspects by the applicant organization (client), along with an application fee. Application form shall be sent to client enquiry received through any mode. The client shall fill up the form in its entirety with requisite information.

Received application is registered and provided a unique application number and recorded in application register (QCI/F65/01/03). The unique number will be alpha numeric such as Abbreviation of client name/YYYYMMDD/Sr. No.

2. Application review

After receipt of application, operation manager gives a unique identification number (QCI/F65/01/02) and assigns the responsibility to technical manager to conduct a review of the information obtained with the application to ensure that:

a) The information about the applicant and the product is sufficient for the conduct of the certification process,

b) The differences, if any, in understanding between REPL and the client is resolved including agreement regarding standard,

c) The scope of certification sought is defined.

d) The competent personnel to perform all evaluation activities are available,

e) The competence and capability to undertake the certification activity such as review and decision-making process.

When the application is received, REPL identifies product, processes and services, national standards and certification scheme if the REPL has no prior experience.

In such cases REPL ensures that it has competence and capability for all the certification activities and maintain record of the justification for the decision to undertake certification.

REPL declines to undertake a specific certification if it lacks any competence or capability for the certification activities it is required to undertake.

If REPL relies on certification it has already granted to the client and decides to omit any activities, then the REPL records the justification. REPL provides justification for omission of activities if requested by the client.

The unique number will be alpha numeric such as Abbreviation of client name/YYYYMMDD/serial number on the day

3. Evaluation

The auditor/s shall perform the Conformity Assessment process by evaluating the technical documents. After the evaluation is completed, the results are recorded by the auditor/s in Evaluation Report (QCI/F65/01/05) for Product Certification that records the activities undertaken and their outcomes.

The evaluation report shall be a part of the internal certification documentation and may be issued to the applicant upon request.

Audit Team shall upload their evaluation report in **non-editable** format (Review permitted) only and notify the decision maker of their recommendation.

4. Testing

REPL shall be open to accept test report from the applicant if the testing is conducted by competent ISO/IEC 17025 accredited/ practicing testing laboratory having scope of relevant product/ standard. In such cases, REPL shall verify the validity of the same.

Testing shall be conducted by competent ISO/IEC 17025 accredited/ practicing testing laboratory, outsourced by REPL. Technical Manger shall be responsible for identifying the competent ISO 17025 accredited outsourcing laboratory with the relevant scope. If the laboratory/agency fulfils the corresponding criteria, the competent authority signs an agreement with the laboratory and the laboratory is treated as an approved testing laboratory.

5. Factory Assessment

Initial Factory audit for the product certification shall be required for Type 3 scheme, as defined in relevant SASO scheme (Technical Regulations). Factory Audit is conducted as per procedure (QCI/P65/02). Factory Audit is conducted by competent and authorized auditor.

REPL shall accept audit/ evaluation report from accredited body organised by the client.

The auditor carries a set of updated documents like client details, test reports, surveillance plan and comments from prior visits as applicable for the factory audit.

Activities during audit include the opening meeting with the client, team briefings, evaluation interviews, client briefings, and the closing meeting with the client.

Certification will be granted only when there are no pending non-conformance.

The factory audit report shall be subject to acceptance based on below conditions-

Critical NC:

Observation that would result in a failure of one or more production quality system processes that may have an effect on the production quality or may result in problems achieving management system certification.

In case of critical NC, Certificate will not be issued.

Major NC:

Observation that may result in a failure of one or more production quality system processes that may have an effect on the production quality, and which is less severe than Critical NC.

Major non-conformities shall need to be addressed and corrected as early as possible as but not later than 15 days from the date these have been observed by the auditor.

In case of major NC, Certificate will not be issued.

Minor NC:

Observation that may not have an effect on the product quality or may not have any impact on achieving management system certification.

Minor non-conformities shall need to be addressed and corrected as early as possible as but not later than 30 days from the date these have been observed by the auditor.

In case of minor NC, Certificate will not be issued.

In case the corrective action is not completed within the stipulated time frame, certification process will be on hold, or the certification may be liable for suspension partially or completely or withdrawal based on the nature of non-conformity.

Auditor need to present findings of audit in closing meeting. All the findings need to be classified by auditor as per above criteria and process of corrective actions need to elaborate during closing meeting.

During the certification evaluation process, when any non-conformance in respect to concerned certification is being detected, the CB shall inform the applicant accordingly. If the customer responds to the non-conformance with appropriate corrective action within an agreed time frame, the certification process shall be resumed accordingly. Otherwise the request may be closed and “Product

Non-Conformable" result will be marked in the Evaluation Report and the CB shall refuse to issue certificate and shall inform the applicant accordingly.

In case of certified product/s the certificate may be kept on hold or may be withdrawn and the client shall be informed accordingly.

6. Review

Technical manager will review all information and results related to the evaluation. The review shall be carried out by personnel who have not been involved in the evaluation activities.
The result of all evaluation activities documented prior to review in (QCI/F65/01/06).

Recommendation for a certification decision based on the review will be documented.

7. Certification Decision

REPL has responsibility and authority for decisions related to certification. Technical Manager/ competent person makes the certification decision (QCI/F65/01/06) based on all the information related to the evaluation, and any other relevant information.
The client shall be informed about the decision of REPL.

In case the decision is not to grant certification REPL notifies client and informs the reasons for the decision. If the client express interest in continuing the certification process, REPL can resume the process for evaluation.

8. Issue of Certificate

After the final certification decision is taken, the result shall be communicated to Coordinator. The coordinator shall verify the payment status with Accounts team and proceed with the SABER portal operations.
The Certificate (QCI/F65/01/07) will be issued online via SABER portal and does not need any further approval after the decision result has been communicated by the decision maker.

The final certificate of conformity (QCI/F65/01/07) shall be shared with the client via email.

For subsequent batches within validity period, each product will be verified against the shipping document (Invoice containing a detail of certified models under CoC).

9. Directory of Certified Products

REPL shall maintain information on certified products (QCI/L65/01/01) which contains at least the following:
a) Identification of product

b) The standard and other normative document(s) to which conformity has been certified;
c) Identification of the client.

REPL makes arrangements that this information can be published or made available upon request in a directory. Client's consent is taken in this regard before publishing or made available.

10. Conditions of Use of Certificate(S)

a) The use of certification is permitted only with respect to and consistent with the scope for which certification has been granted.

b) The organization has the right to use the type certification as a basis for declaring the manufacturer ability to ensure the production meets the certification requirements, or for the purpose of shipment or clearing customs, when a certificate is required.

c) The validity of the certificate expires on the date specified in it.

d) Use the certificate only to indicate that product(s) is certified as being in the conformity with the requirements of the certification scheme.

e) Use of CoC does not, under any circumstances, engage REPL as a substitute for that of the product manufacturer.

f) The certificate cannot be transferred. It is not transferable, and it is un-seizeable.

g) In case of merger, liquidation or absorption of the holder/ beneficiary, all certificates of conformity expire automatically. The terms of a new certificate to be requested shall be adopted, after consulting REPL.

h) Any misuse of CoC by the recipient or by a third party, shall entitle REPL, to take any legal action it deems appropriate in the framework of current local legislation. Misused cases are considered where reference is made to CoC including:

i. The certificate is used or advertised by any of advertisement means without obtaining REPL's consent.
ii. Products for which the application is still under investigation or where CoC was denied.
iii. Extending the reference to certificates of conformities, to products other than those certified.
iv. Product for which the certificate of conformity is no longer valid.
v. The certificate or any statement regarding the certification, or any part thereof, is used in a misleading manner(s).
vi. Partial reproduction of CoC;
vii. Unauthorized use of REPL's logo or that of its accreditation body.

11. Surveillance

If surveillance is required by the certification scheme, REPL initiates surveillance of the product(S) covered by the certification decision in accordance with certification scheme at least once a year and it is ensured that the same inspector does not visit the same factory successively. Frequency may be increased depending on the performance of the client and sensitivity of the product.

If sufficient information regarding product conformity is not available before recertification a surveillance visit shall be carried out after giving intimation to the client.

Surveillance activity include factory inspection, testing, record review and sampling. After completing the inspection, the inspectors should report to technical manager and his conclusions regarding the operation of the license, particularly, if the operation is not satisfactory.

In the event that samples drawn from the factory or market samples collected from authorized dealers fail in the laboratory tests then the matter shall be noted and a report submitted to the reviewing personnel for recommendations to be put up to the technical manager/ competent authority.

A notice shall be sent to the client regarding the failure of the samples and a decision communicated based on the severity of the case.

When continuing use of a certification mark is authorized for placement on a product (or its packaging, or information accompanying it) (for process or service) of a type which has been certified, surveillance established and shall include periodic surveillance of marked products to ensure ongoing validity of the demonstration of fulfilment of product requirements.

When continuing use of a certification mark is authorized for a process or service, surveillance established and include periodic surveillance activities to ensure ongoing validity of the demonstration of fulfilment of process or service requirements.

12. Changes affecting Certification

No changes are permitted once the product certificate is issued on the SABER platform. Any change needed in product certification after issuance is considered as a new certification request.

New models are allowed to be added in existing product certification after successful verification of model relation with existing certified product, to be strictly same as the certified product type.

Model addition request shall be considered as new request and complete evaluation and review process shall be performed. Coordinator shall be responsible for addition of new models after getting approval from Technical Manager/ competent authority.

13. Termination, Reduction, Suspension or Withdrawal of Certification

When a nonconformity with certification requirements is substantiated, either as a result of surveillance or otherwise, REPL shall consider and decide upon the appropriate action.

Appropriate actions can include:

a) Continuation of certification under condition/s specified by the REPL;

b) Suspension of the certification (if clients certified management system has seriously failed to meet certification requirements or certified client does not allow surveillance or recertification audit at required frequencies or certified client has voluntarily requested a suspension;

c) Withdrawal of the certification (if certified client fails to resolve the suspension issue)

d) Reduction in the scope of certification (to remove nonconforming product variants or part of system not meeting the requirements)

If certification is terminated (by request of the client), suspended or withdrawn, REPL take action specified as per certification scheme and make all necessary modification to formal certification documents, public information, authorizations for use of marks, etc.

If a scope of certification is reduced, REPL takes action specified as per scheme and make all necessary modifications to formal certification documents, public information, authorizations for use of marks, etc. in order to ensure the reduced scope of certification is clearly communicated to the client and clearly specified in certification documentation and public information.

If certification is suspended, REPL assign one or more person to formulate and communicate the following to the client:

- Actions needed to end suspension and restore certification scheme in accordance with the certification scheme;
- Any other actions required by the certification scheme.

If certification is reinstated after suspension, REPL make all necessary modifications.

14. REPL shall retain records to demonstrate that all certification process requirements have been effectively fulfilled.

15. REPL keep records confidential and if the certification scheme involves complete re-evaluation of the product(S) within a determined cycle, record shall be retained at least for the current and the previous cycle.

6. References

- ISO 17065:2012(E) Clause No: 7.1
- Quality Manual Section: 7.0

7. Records

Sr. No	Document Description	Document Number
1.	Application	QCI/F65/01/01
2.	Application Review	QCI/F65/01/02
3.	Application Register	QCI/F65/01/03
4.	Product Certification Service Agreement	QCI/F65/01/04
5.	Evaluation Report	QCI/F65/01/05
6.	Review and Decision Report	QCI/F65/01/06
7.	Certificate of Conformity	QCI/F65/01/07
8.	Directory of Certified Products	QCI/L65/01/01
9.	Work Instruction for Preparation & Issuance of Certificate of Conformity	QCI/W65/01/01