

General Procedures and Guidelines for RMC Plant Certification.

	<p>0.0 INTRODUCTION:</p>	<p>REFERENCE</p>
	<p>0.1. This document outlines the general rules and procedures applicable to the Scheme that must be accepted by all applicants /Clients in order to get their plant certified under the Scheme.</p> <p>0.2. The grant of Certificate to a plant under the Certification Scheme operated by EMTAC is determined by the results of conformity assessment through preliminary evaluation. The surveillance of the scheme involves periodic assessment of the complete plant process.</p> <p>0.3. The Certification programme operated by EMTAC shall not discriminate plants, on the basis of its size, membership to any particular association/group, geographical location, the number of Certificates already issued to a particular client or undue financial conditions etc.</p> <p>0.4. EMTAC shall agree to certify any plant under its scope of certification provided, the manufacturer meets the requirements of the certification Scheme for the particular plant.</p> <p>0.5. EMTAC may decline to certify the plant that has a history of indulging in illegal activities, repeated non-compliance with respect to product requirements, violations of the conditions of certification, failure to meet financial obligations etc. irrespective of whether such antecedents were in connection with the manufacturer's relation with EMTAC or any other organization.</p> <p>0.6. The Certification activities of EMTAC shall be directed by Impartial Committee The day-to-day activities shall be headed by the Chief Of Certification (COC) who shall be responsible for implementation of the directives of the Impartial Committee.</p> <p>0.7. The Certification Schemes operated by EMTAC are based on the guidelines provided in the following international standards: -</p>	

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- ISO/IEC Guide 2 Standardization and related activities – General vocabulary
- ISO/IEC 17007-200 Guidelines for drafting of standards suitable for use for conformity assessment
- ISO/IEC 17026-2015 General rules for a model third-party certification system for products
- ISO/IEC Guide 60-2004 Code of Good practice for conformity assessment
- ISO/IEC 17065-2012 General requirements for bodies operating Product Certification systems
- ISO/IEC 17067-2013 Fundamentals of product certification and guidelines for product certification schemes.
- ISO/IEC Guide 68-2002 Arrangements for the recognition and acceptance of conformity assessment results
- ISO/IEC 17025 General requirements for the competence of testing and calibration laboratories
- ISO/IEC 17021 2015 Conformity assessment — Requirements for bodies providing audit and certification of management systems

1. DEFINITIONS

Application: A formal request submitted by the manufacturer to the Certification body, for certifying its plant.

Certification body: EMTAC, an independent entity which is responsible for certification of plant after proper evaluation.

Certification: The status given to a duly identified product or group of products that has been shown by examination, tests and inspections to meet all the requirements of specific product standard or other accepted document and which is suitable for a specific application.

Conformity: The fulfillment by a product or group of products, of all requirements specified.

Evaluation: A planned and organized review conducted periodically by the certification body at the manufacturers, before taking the samples for testing and certifying.

Inclusion: Product to be included in an existing Certificate.

Certificate: A certificate issued by the certification body under specific procedures indicating that adequate confidence is provided that a duly

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tested product, is in conformity with a specific product standard or other accepted document. It is a document that:

- a. Identifies the manufacturer;
- b. Specifies the field of application / special operational limitation of the product;
- c. Specifies the conditions to be complied with to retain the approval during the validity period.

Manufacturer : The organization who manufactures the product,

Scheme owner: Certification body which develop a product certification scheme for the sole use of their clients, In this case, EMTAC.

Sample: One or more pieces of product intended to represent all similar products produced by a manufacturer.

For the purpose of certification, the term product/sample can include a line or group of products manufactured to the same specified standard(s).

Standard: A document, established by consensus by a recognized body, that specifies the requirements to be fulfilled by a product, or group of products, to establish its fitness for purpose.

Testing: A method under which a sample among a lot of samples is tested in order to assess whether the performance provisions of a specified standard are fulfilled.

2. PRELIMINARY

2.1. Applicant shall submit application in the prescribed proforma in duplicate, along with the following documents:

- a) Document evidencing legal status of applicant
- b) List of Stage-wise on –line QC checks
- c) List of QC checks done on final product with frequency
- d) Plant lay out
- e) Process flow-chart with time required at each stage
- f) The information as mentioned in Tables 1-3 in application form & from Tables 4-11 (after signing the proposal) of the application form.
- g) Factory Certificate copy or Plant structural stability certificate.
- h) Pollution control board copy
- i) Local authority consent copy (If applicable)
- j) Quality Manual of Plant

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| | <p>2.2. Any shortcomings will be informed to the applicant within seven working days, following which applicant will be allowed 15 days of time to take necessary actions.</p> <p>2.3. On completion of actions, the application will be formally acknowledged with an application number. This number will have to be referred to in all correspondence till a final decision about grant is taken.</p> <p>2.4. The applicant will have to give formal acceptance of the relevant Certification scheme, Schedule of Certification Fees and other applicable conditions.</p> <p>2.5. A legally enforceable agreement will be signed between EMTAC and the Client. This agreement will contain the responsibilities and rights of the parties.</p> <p>2.6. A preliminary assessment of the applicant's premises will be made to assess the applicant's capability to consistently manufacture and control quality of the product considered for certification.</p> <p>2.7. The preliminary survey may inter alia cover:</p> <ol style="list-style-type: none"> a) Capability, capacity, experience and organization structure of the plant; b) The qualification and experience of the production and QA/QC personnel; c) RMC Plant facilities; d) The system of checking raw materials; e) Quality control operations; f) Packing, identification and labelling; g) Storage facilities; and h) Record keeping and traceability. <p>2.8. During the visit, the applicant will be required to keep the production in process to enable the Assessor to study the different stages of the production. The details of the process will be recorded by the assessor.</p> <p>2.9. The Plant machinery and testing laboratory will be verified for technical adequacy and correctness of the lists provided along with the application.</p> <p>2.10. The QC set-up and check-points will be verified for adequacy and correctness of the information provided along with the application.</p> <p>2.11. All information collected during the Preliminary Assessment shall be made in duplicate. Two identical sets shall be made of the documents and put inside two envelopes. The envelopes shall be sealed and signed by both parties in a manner that it will not be possible to open the envelope</p> | |
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without leaving signs of tampering. Either party shall retain one of the identical envelopes and be responsible about its safe custody.

3. PROCESSING TOWARDS GRANT:

- 3.1. Provided the plant conforms to all requirements of the Specification and additional requirements as may be specified in the scheme, closure of all NC's, payment of outstanding fees, the case shall be taken up for grant of Certification.
- 3.2. The decision regarding grant of Certification is taken by a Chief of Certification, who is not involved in preliminary evaluation process.
- 3.3. In order to overcome any shortcomings in the applicant's system or product, EMTAC may at any time advise the applicant to take necessary corrective actions before the applicant may be considered for grant of Certification. If the applicant fails to make the necessary improvements the application may be considered for closure after serving a notice to the applicant.

4. GRANT OF Certification.:

- 4.1. EMTAC will issue a certificate to the Client, indicating, inter alia, the scope of Certification.
- 4.2. EMTAC shall issue one of the following Certificates

Certificate Type	Object	Extension	Number of Certificates
Single Plant	All the processes carried out by the same plant.	Single Plant	One
Cluster	Group of plants sharing common facilities or processes	Group of plants	One Certificate for Cluster of Plant (a list of plants certified in the cluster is given)
Company	Entire company	All Plant	One Certificate per company (the certificate shall have an annexure with the list)

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			of certified plants)
<p>4.3. The softcopy of EMTAC’s and QCI’s Logo will be shared to the client, indicating the plant is certified by EMTAC,</p> <p>4.4. It will be the Client’s responsibility to use it appropriately so that it conforms to the certification scheme.</p> <p>5. CERTIFICATION FEES:</p> <p>5.1. The Client will pay the charges for certification as per the Schedule of Fees Structure for Certification.</p> <p>5.2. As and when the fee undergoes a change, the same shall be updated in the website, and will be communicated to the client.</p> <p>6. Auditee Familiar:</p> <p>6.1. Preliminary information to be provided to EMTAC by Client.</p> <p>a) Before starting the initial evaluation for “RMC Capability Certification” The Client should provide all document from 1 to 11 to EMTAC as mention in RMC Plant Certification Scheme Criteria.</p> <p>b) Apart from information regarding equipment and facilities, the Client shall also provide regarding plan and frequency of control carried out at incoming raw material, production facilities and testing equipment in order to Technical Assessor to have preliminary overview of plant.</p> <p>c) Below document are also need to be provided by Client prior to Initial Audit.</p> <ul style="list-style-type: none"> I. Production detail II. Quality control manual of plant. III. Plant license <p>6.2. Audit Plan</p> <ul style="list-style-type: none"> I. Audit shall be conducted only during the working days in which customers’ orders are being produced and delivered. II. Audit shall not be planned in case RMC plant is non-operational and, as far as possible on Monday due to low production and one week following relevant holidays (e.g., Diwali), since it may be difficult to verify all the aspects of production processes. 			

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	<p>III. The Audit of the headquarter shall be planned late in the afternoon to optimize time spent in the morning.</p> <p>6.3. Safety during the Audit</p> <p>I. Responsibility for risk analysis and identification of most suitable means of protection is of RMC plant that manages building or factory.</p> <p>II. The Client must provide the personal protective equipment's like Helmet, Safety Shoes, goggles, ear protector & high visibility vest to Technical Assessor which may be reasonably required to run in the security checks.</p> <p>7. SURVEILLANCE DURING OPERATION OF CERTIFICATE:</p> <p>7.1. It will be the responsibility of the Client to ensure that all the conditions of the Certification Process are met during the operation</p> <p>7.2. EMTAC will conduct surveillance audit within every six months, with a maximum delay of one month in exceptional circumstances, constituting a total of at least two surveillance audits in a year. Failure to conduct audit within one month after due date leads to suspension of client.</p> <p>7.3. One audit will be announced and the other will be a Surprise audit with a short notice of 3 days.</p> <p>7.4. The announced audit will be chargeable to the Client as per the fees schedule.</p> <p>7.5. During the surveillance visit, the auditor will verify the compliance to the conditions of operation of the Certificate. The Client shall extend all reasonable facilities and access to relevant documents and evidences to the auditor to enable him to do the needful.</p> <p>7.6. In case of any doubt about the compliance to the conditions, the auditor may insist on cross-checking with the documents sealed at the time of the preliminary evaluation. The Client shall make the sealed envelope available for this purpose. The documents shall be open, verified with and re-sealed in presence of both parties. As in case of the preliminary evaluation, two identical sets shall be made and one each shall be retained in custody of each party.</p> <p>7.7. In case of any change or modifications in the recorded facts relevant to the operation of the Certificate, the documents will be suitably modified and similarly kept in the sealed envelope.</p>	
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	<p>7.8. Neither party shall open the seal in the envelope in the others absence, unless required by some regulator or legal authority. The corrective actions documented by Client will be reviewed by COC and necessary modifications shall be made in the relevant documents by the Client. In all such cases efforts shall be made to speedily complete all actions and decisions so as to ensure that neither the Client nor the integrity of the certification process suffers due to undue delays in the process.</p> <p>7.9. Based on the satisfactory surveillance audit, EMTAC shall communicate to the client through letter/email granting permission for continuation of the Certificate. In case of any issue during the surveillance audit, the same will be communicated to the client for corrective actions as per the criticality of N.C, mentioned in this document. Based on the satisfactory action by the client, EMTAC will grant permission for continuation of the Certificate else the case shall be put up to COC for consideration of Suspension and the same will be communicated to the client.</p>	
<p>8. Classification and Closure of Non-Conformities.</p>		

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8.1. Criteria for Classification as per Audit Checklist

Non Conformity	Description	Time frame for closure
Critical	Noncompliance with a requirement which indicates serious failure of the plant's capability to produce and deliver RMC to meet the customer requirements.	Within 15 days. Corrective Actions shall be submitted to EMTAC within 10 days. Onsite verification to be undertaken within 5 days and decision taken either to close the NCs or suspend certification.
Major	Non conformity regarding a Management system requirement which does not allow the production and delivery process to meet the customer requirements.	Within 1-month evidences of closure shall be provided to EMTAC; verification to be done on site
Minor	Noncompliance with a requirement which does not compromise either the overall management system effectiveness or the production and delivery process.	Within 3 months; Evidences of closure shall be provided to EMTAC; verification to be done in the following surveillance audit.

Critical NCs	Major NCs	Minor NCs
3.2.1.1 (Storage - Cement only), 3.2.1.2 (Batching & Mixing), 3.3 (Laboratory), 5 (Concrete Mix Design), 6(Production and Delivery), 6.1 (Identification and traceability),	3.2.1.1 (Storage – other than Cement), 3.2.1.3 (Delivery Fleet), 3.4 (Key Personnel), 4 (Control of Incoming materials), 8 (Complaints)	6.2 (Control of non-conforming products), 9 (Feedback)

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7 (Control of Process control equipment and measurements)		
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8.2. Client Certification Status on Website.

- i. Green colour: Certified Client
- ii. Orange colour: Certification under review (in case of critical NC)
- iii. Red colour: Suspended

9. Suspension

9.1. EMTAC may suspend the certificate issued to a Client if

- the Client does activities that may lead certification body into disrepute
- make any statement that maybe considered misleading.
- a critical NC is raised during any surveillance audit and not resolved within 15 days
- the major NCs issued are not closed in one month.
- repeated major NCs are raised in consecutive surveillance assessments.
- there is failure to organize a surveillance audit within the specified time period.
- there is non-payment of outstanding dues.
- any major changes have taken place in the legal status, ownership, name etc without prior information to the CB
- any wilful misuse of the logo of the Scheme is detected.
- any wilful false declaration in the application form or otherwise is detected
- excessive or serious complaints against the RMC plant's production or management system is received and are found to be valid.
- the RMC plant voluntarily requests a suspension. Such request must be submitted in writing to the EMTAC along with the reasons. The EMTAC may decide to accept the request but may not allow the client to revoke suspension on its own.

9.2. EMTAC shall issue due notice of at least one week for suspension of certification to the RMC plant. In case of critical NCs, the notice may not be issued.

9.3. On receipt of instructions for suspension of certification, the Client shall suspend claiming RMC certification with immediate effect.

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- 9.4. EMTAC shall revoke suspension only when Corrective actions have been taken and verified.
- 9.5. Client shall take a maximum of six months for resolving issues relating to suspension. Violating the same shall result in withdrawal of Certification, with a 15 days' notice issued by EMTAC.

10. Change Of Location / Ownership / Name

10.1. Duty of Information

10.1.1. The certified RMC plant shall inform EMTAC of any change:

- a. in the location of the plant
- b. in the ownership;
- c. in the name

10.1.2. Treatment of information

10.1.2.1. On receipt of information at 10.1.1a above, EMTAC shall suspend certification of the certified plant with immediate effect. The Client shall be subject to an evaluation at the new site like certification audit of an applicant. If the evaluation is satisfactory, EMTAC shall transfer the Certificate to the new location and the suspension of the RMC plant shall be revoked.. In case of an applicant changing location, a fresh evaluation at the new site shall be carried out.

10.1.2.2. In the event of 10.1.1b above, the Client shall provide necessary documentary evidence to EMTAC. The new management of the Client shall submit its acceptance of the agreement for certification with EMTAC. This shall not call for a visit to the production site.

10.1.2.3. In the event of 10.1.1c above, the Client shall inform the change in the name to EMTAC supported with documentary evidence, and if satisfied EMTAC shall endorse the Certificate in the new name.

11. COMPLAINT REDRESSAL

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- 11.1. There may be complaints from the users or purchasers about the quality of the certified Product. It is the duty of both the manufacturer of the product and EMTAC to resolve such issues on priority.
- 11.2. Specific complaints concerning certified parameters of the product shall only be entertained .
- 11.3. Client shall extend all cooperation to EMTAC to carry out a detailed investigation about the quality of the product in question.
- 11.4. Wherever necessary the Client shall provide samples to determine the correctness of the complaint .
- 11.5. In the event of a complaint being found genuine and the product fails to meet the specified requirements , the Client shall arrange free replacement of the product .

12. VALIDITY

- 12.1. The Certificate shall be valid for three year from the date of granting.

13. RENEWAL

- 13.1. Renewal is not automatic. A Certificate will be renewed only when it has been operated satisfactorily during the preceding operative year. Criteria for satisfactory operation of the Certification Process during preceding operative year shall be as follow:

- Satisfactory closure of NCs, if any, raised during the surveillance audit.
- No customer complaints
- No change in process flow, equipment, raw materials, quality checks etc.
- No financial dues

- 13.2. Renewal of the Certificate depends on the surveillance audit report and the performance of the Client in the operative year.

- 13.3. The flow diagram depicting the process of renewal is enclosed as Appendix A to this document.

14. WITHDRAWAL OF CERTIFICATE:

- 14.1. The Certificate may be withdrawn at the end of an operative period (non-renewal) or during an operative period (cancellation).
 EMTAC shall withdraw the certificate when:

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- a) Client contravenes the terms and conditions of certification and provisions of the RMC Plant certification scheme.
 - b) Client is not conforming to the requirements of the Certification Criteria and the corrective actions taken are not ensuring compliance.
 - c) the proposed plan for corrective actions will take a considerable time beyond 6 months for implementation.
- 14.2. EMTAC shall withdraw the certificate upon client's request if operations in the client's premises can no longer be carried due to reasons of natural calamities like floods, earthquakes, fire etc., lookout declared by management, or closure of business activities etc.

For _____

SIGNED

POSITION

NAME

DATE:

For _____.

SIGNED

POSITION

NAME

DATE: