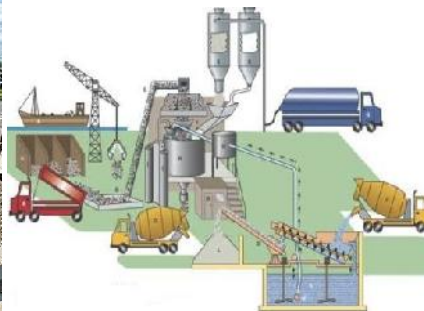
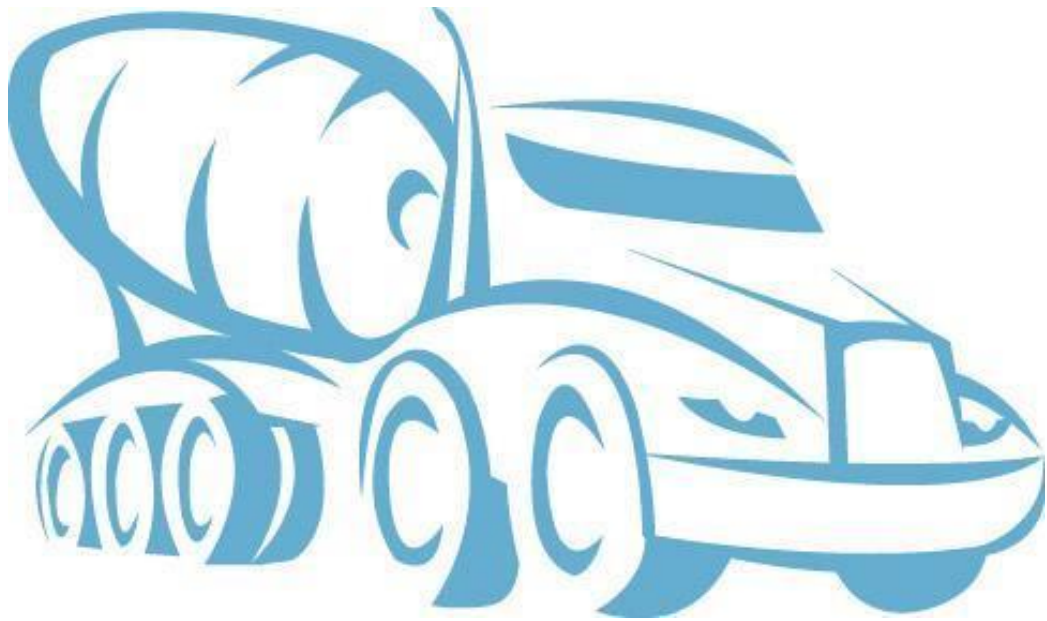




**Ready Mix Concrete Plant Certification Scheme  
(RMCPSCS)**



**Provisional Approval System for Certification Body**



## **QUALITY COUNCIL OF INDIA (QCI)**

2<sup>nd</sup> Floor, Institution of Engineers Building, Bahadur Shah Zafar Marg, New Delhi – 110002  
Phone: +91-11-2337 8056 / 57; Fax: +91-11-2337 8678; Web: [www.qcin.org](http://www.qcin.org); E-mail: [nabcb@qcin.org](mailto:nabcb@qcin.org)

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## **Provisional Approval System for Certification Body**



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Phone: +91-11-2337 8056 / 57; Fax: +91-11-2337 8678; Web: www.qcin.org; E-mail: nabcb@qcin.org

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### 0. Introduction

- 0.1 The Certification Body (Certification Body), in order to operate under the Ready Mix Concrete Plant Certification Scheme (RMPCPS), hereafter referred to as the Scheme, shall need to primarily comply with the requirements specified in ISO 17065 and the additional requirements prescribed by QCI, as the scheme owner.
- 0.2 In order to be formally accredited by the **National Accreditation Board for Certification Body (NABCB)** as above, the Certification Body, even if already accredited to ISO 17065, would need to undergo a short Office Assessment plus a Witness Assessment of an actual audit under the Scheme.
- 0.3 The Certification Body would not get a client unless they are approved under the Scheme and would not be able to offer an audit for witnessing and get the relevant scope added in their accreditation.
- 0.4 Therefore, it is necessary to establish a procedure for provisional approval of Certification Body under the Scheme by QCI till such time they can get the scope added in their accreditation or get formally accredited from NABCB to be formally approved.
- 0.5 This document sets out the requirements to be fulfilled by Certification Body desirous of operating under the Scheme pending formal accreditation and approval.

### 1. Scope

- 1.1 This document defines the process for Certification Body (Certification Body) to obtain provisional approval to operate under the RMC Plant Certification Scheme pending formal accreditation for the Scheme by the National Accreditation Board for Certification Body (NABCB) as per the prescribed international standard(s).
- 1.2 This approval shall be valid for a period of one year within which the approved Certification Body would have to obtain formal NABCB accreditation.

### 2. Criteria for Approval

- 2.1 The Certification Body desirous of operating Certification of Ready Mix Concrete Plants under this Scheme shall meet the criteria as prescribed in clauses 3 and 4 of this document.

### 3. General Requirements

- 3.1 **Legal Entity:** The Certification Body shall be a legal entity, or shall be a defined part of a legal entity, such that it can be held legally responsible for all its Certification activities. A governmental Certification Body is deemed to be a legal entity on the



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basis of its governmental status. A CERTIFICATION BODY, that is part of an organization involved in functions other than certification, shall be separate and identifiable within that organization.

### 3.2 Impartiality

**3.2.1** The Certification Body shall be impartial.

**3.2.2** The Certification Body shall be so structured and managed as to safeguard impartiality.

**3.2.3** The Certification Body and its personnel/ staff shall not engage in any activities that may conflict with their Impartiality.

**3.2.4** The Certification Body shall require personnel involved in the certification process to sign a contract or other document by which they commit themselves to declare any prior and/or present association on their own part, or on the part of their employer, with:

- a) a supplier or designer of products, or
- b) a provider or developer of services, or
- c) an operator or developer of processes

**3.2.5** The Certification Body and any part of the same legal entity and entities under its organizational control shall not:

- a) be the designer, manufacturer, installer, distributor or maintainer of the certified product;
  - a) be the designer, implementer, operator or maintainer of the certified process;
  - b) be the designer, implementer, provider or maintainer of the certified service;
  - c) offer or provide consultancy to its clients;
- b) offer or provide management system consultancy or internal auditing to its clients where the certification scheme requires the evaluation of the client's management system.

**3.2.6** The Certification Body shall ensure that activities of separate legal entities, with which the Certification Body or the legal entity of which it forms a part has relationships, do not compromise the impartiality of its certification activities.

**3.2.7** When the separate legal entity in 3.2.6 offers or produces the certified product (including products to be certified) or offers or provides consultancy, the Certification Body's management personnel and personnel in the review and certification decision-making process shall not be involved in the activities of the separate legal entity. The personnel of the separate legal entity shall not be



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involved in the management of the Certification Body, the review, or the certification decision.

**3.2.8** The Certification Body shall act impartially in relation to its applicants and certified clients.

**3.2.9** The Certification Body shall have a process to identify, analyze, evaluate, monitor, and document the threats to impartiality arising from its activities including any conflicts arising from its relationships, or from the relationships of its personnel on an ongoing basis.

**NOTE** Sources of threats to impartiality of the Certification Body can be based on ownership, governance, management, personnel, shared resources, finances, contracts, training, marketing and payment of a sales commission or other inducement for the referral of new clients, etc.

**3.2.10** The Certification Body shall not certify a system/ product/ personnel on which they have provided consultancy, carried out internal audits or provided training, for a minimum of two years following the completion of consultancy/ internal audits / training.

**3.2.11** The Certification Body shall not use personnel in audits /inspections /evaluations or other certification / inspection activities if they have been employed by or involved in consultancy /training towards the client, for a minimum of two years following the end of the employment/ consultancy / training.

**3.2.12** The Certification Body shall not have any relationship with its clients other than third party conformity assessment.

### **3.3 Liability and financing**

**3.3.1** The Certification Body shall evaluate its finances and sources of income and demonstrate that initially, and on an ongoing basis, commercial, financial or other pressures do not compromise its impartiality.

**3.3.2** The Certification Body shall be able to demonstrate that it has evaluated the risks arising from its certification/inspection activities and that it has adequate arrangements (e.g. insurance or reserves) to cover liabilities arising from its operations in each of its fields of activities and the geographic areas in which it operates.

### **3.4 Organizational Structure**

**3.4.1** The Certification Body shall define and document the duties, responsibilities and reporting structure of its personnel and any committee and its place within the organization. When the Certification Body is a defined part of a legal entity, documentation of the organizational structure shall include the line of authority and



the relationship to other parts within the same legal entity.

### **3.5 Publicly Available Information**

**3.5.1** The Certification Body shall maintain a website for providing information about the Scheme and its certification activities under the Scheme.

**3.5.2** The Certification Body shall maintain and make publicly available information describing its certification processes for granting, maintaining, extending, renewing, reducing, suspending or withdrawing certification, and about the certification activities and geographical areas in which it operates.

**3.5.3** The Certification Body shall make publicly available information about applications registered and certifications granted, suspended or withdrawn.

**3.5.4** The Certification Body shall make publicly available its processes for handling appeals and complaints.

**3.6 Confidentiality:** The Certification Body shall ensure confidentiality of information obtained in the course of its certification activities by having a suitable system.

**3.7 Certification agreement:** The Certification Body shall have a legally enforceable agreement for the provision of certification activities to its client. In addition, the Certification Body shall ensure its certification agreement requires that the client comply at least, with the specific requirements as prescribed in the relevant accreditation standards (ISO 17065) and the Scheme document.

### **3.8 Responsibility for decision on certification**

**3.8.1** The Certification Body shall be responsible for, shall retain authority for, and shall not delegate, its decisions relating to certification, including the granting, maintaining, recertifying, expanding and reducing the scope of the certification, and suspending or withdrawing the certification.

**3.9 Integrity:** The Certification Body and its personnel shall maintain integrity at all times. The Certification Body shall implement adequate measures to ensure integrity.

## **4. Technical Requirements**

### **4.1 Personnel**

**4.1.1** The Certification Body shall have, as part of its own organization, personnel, either employed or on contract, having sufficient competence for managing the certification / inspection process of RMCP Scheme.

**4.1.2** The Certification Body shall have defined processes for selecting, training, and formally authorizing and monitoring their performance its personnel involved in carrying out the various certification / inspection activities and for selecting technical experts, if needed, as per the requirements of the Scheme Document.



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### 4.1.3 Competence

**4.1.3.1** The Certification Body shall define the competence of the personnel involved in application review, evaluation and review and decision making.

**4.1.3.2** The auditors used by the Certification Body shall have the following qualifications:

- a) Minimum Bachelor's Degree in engineering in related field(s) with at least 5 years of relevant working experience or Diploma in engineering in related field(s) with 7 years of relevant working experience in RMC / Batching Plants (Commercial, Captive at construction site, Precast Manufacturing plants); the experience shall be in core technical processes like QA/QC or Production & Process Control.
- b) In the absence of nature of experience in a) above, experience in auditing and inspection of RMC plants or Consultancy of RMC manufacturing or academic/ standards related experience of RMC manufacturing is acceptable provided -

EITHER

- i) Such an auditor is assessed by conducting a written examination by Certification Body covering areas such as (i) knowledge of material storage and handling, batching and mixing control equipment and delivery fleet (ii) knowledge on key provisions in various Indian Standards on concrete and its different ingredients (iii) basic knowledge on salient properties of various ingredients of concrete and their quality control (iv) knowledge on concrete mix proportioning and on managing day-to-day variations in the material properties (v) knowledge of properties of fresh and hardened concrete (vi) knowledge on basic laboratory tests on concrete and its ingredients, etc. The written examination shall be of min 2 hour duration and the questions should be set in such a manner as to assess in-depth knowledge of the potential auditor.

OR

- ii) Satisfactory certification from the NRMCA's Concrete Technologist India (CTI) Program

In either case above, the auditor shall audit a minimum of three audits of RMC plants under the supervision of a qualified auditor before being allowed to audit independently.

The entire process under b) shall be subject to verification by the AB. The AB



shall give priority to witnessing such auditors in its assessment programme.

OR

c) Post-graduate degree in science with relevant working experience of 5 years in core processes like QA/QC or production control in RMC/batching plant (Commercial, Captive at construction site, Precast Manufacturing plants), subject to the satisfactory certification from the NRMCA's Concrete Technologist India (CTI) Program.

d) Training and Experience in auditing.

**4.1.3.2** The Certification Body may use auditors who do not have the requisite qualifications as prescribed above provided they are supported by technical experts (TEs) who meet the qualifications at 4.1.3.1 a) and b) above. The time spent by the TE on an audit shall not be counted in determining the audit time as prescribed under the 'Certification Process' which the Certification Body is expected to spend.

#### **4.1.4 Personnel records**

**4.1.4.1** The Certification Body shall maintain up-to-date personnel records, as per requirements of the Scheme document, of each member of its personnel involved in its certification / inspection activities.

#### **4.2 Certification Procedure**

**4.2.1** The Certification Body shall assign at least one person to review all information and results related to the evaluation. The review shall be carried out by person(s) who have not been involved in the evaluation process.

**4.2.2** Recommendations for a certification decision based on the review shall be documented, unless the review and the certification decision are completed concurrently by the same person.

**4.2.3** The Certification Body shall manage the process of certification / inspection as per the documented 'Certification Process' prescribed under the Scheme.

**4.2.4** The Certification Body shall maintain records to demonstrate that the certification/ inspection process is effectively fulfilled.

**4.2.5** The Certification Body shall ensure the requirements of the Scheme are met with at any point in time.

**4.2.6** The Certification Body shall certify / conduct inspections only under the Scheme and shall use the logo of the Scheme in the certificates issued to the certified/inspected organization as per Rules for Use of the RMC Plant Certification



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Mark/Logo.

- 4.2.7 The Certification Body shall have written agreement with the certified plant on the use of the certificate and the Scheme logo.
- 4.2.8 The Certification Body shall have a process to handle appeals by the clients against any of Certification Body decision.
- 4.2.9 The Certification Body shall have a process to handle complaints from the users of the services of the Certification Body or any other stake holder.

### 5.0 Approval Process

#### 5.1 Application

- 5.1.1 Any organization interested in approval as a Certification Body for the purpose of this Scheme may apply to QCI in the prescribed application format along with the prescribed application fee. The applicant shall also enclose the required information and documents as specified in the application form.
- 5.1.2 The filled in application form for approval shall be duly signed by the CEO/ authorized representative/s of the organization seeking approval.
- 5.1.3 On receipt of the application form, it will be scrutinized by the secretariat at QCI and those found complete in all respects will be processed further.

#### 5.2 Assessment process

- 5.2.1 On review of the application for completeness, an assessment team comprising a team leader and member(s)/technical expert(s) will be nominated by QCI for the purpose of assessment at applicant's office and other locations, if required. Under normal circumstances, the assessment at Head Office will be for a total of two man days. If however, the organization is already accredited to ISO 17021/ISO 17065, the duration may be reduced.
- 5.2.2 The names of the members of the assessment team along with their CVs will be communicated to the applicant organization giving it adequate time to raise any objection against the appointment of any of the team members, which will be dealt with by QCI on merits. All assessors/experts nominated by QCI have signed undertakings regarding confidentiality and conflict of interest.
- 5.2.3 If necessary, QCI may decide based on the report of office assessment or otherwise, to undertake witness assessment(s) of actual evaluation or any part of the certification process by the applicant.
- 5.2.4 The assessment team leader shall provide an assessment plan to the applicant in advance of the assessment.
- 5.2.5 The date(s) of assessment shall be mutually agreed to between the applicant and QCI/assessment team.



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- 5.2.6** The Office assessment will begin with an opening meeting for explaining the purpose and scope of assessment and the methodology of the assessment. The actual assessment process shall cover review of the documented system of the organization to assess its adequacy in line with the assessment criteria as specified. It will also involve verification of the implementation of the system including scrutiny of the records of personnel competence and other relevant records and demonstration of personnel competence through means like interviews, etc. In short, it will be an assessment for verifying technical competence of the applicant for operating under the Scheme.
- 5.2.7** At the end of the Office assessment, through a formal closing meeting, all the nonconformities and concerns observed in the applicant's system as per the assessment criteria and the assessment team's recommendation to QCI, shall be conveyed to the applicant.
- 5.2.8** Based on the report of assessment, and the action taken by the applicant on the nonconformities/ concerns, if any, QCI shall take a decision on whether to;
- a) Undertake witness assessments(s) of actual evaluation or any part of the certification process by the applicant prior to granting of provisional approval or,
  - b) Granting provisional approval to the applicant as Certification Body under the Scheme.
- 6.0 Validity of Approval**
- 6.1** The approval shall be valid for a period of one year.
- 6.2** During the validity of approval, QCI shall undertake at least one witness assessment to confirm the Certification Body's competence. This may be waived of if the organization is able to provide a witness assessment report from NABCB.
- 6.3** The Certification Body shall obtain formal accreditation as per ISO 17065 from NABCB within one year of approval by QCI.
- 6.4** Based on the request of Certification Body and review of previous performance, it may be decided to extend the period of validity; in such a case, the Certification Body shall be assessed covering both office and witnessing on site, as decided by QCI, prior to such an extension.
- 6.5** The approval shall be subject to suspension/withdrawal with due notice of 15 days in the event of any noncompliance to the requirements of the Scheme.
- 6.6** The approved Certification Body shall inform QCI without delay about any changes relevant to its approval, in any aspect of its status or operation relating to;



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- a) Its legal, commercial, ownership or organizational status,
- b) The organization, top management and key personnel,
- c) Main policies, resources, premises and scope of approval, and
- d) Other such matters that may affect the ability of the Certification Body to fulfil requirements for approval.

**6.7** QCI shall examine such information and decide on the issue on merits with or without an on-site verification.

### **7.0 Fee**

**7.1** The following fee structure shall apply:

- |                    |                         |
|--------------------|-------------------------|
| a) Application fee | INR 10000/-             |
| b) Man-day charges | INR 20000/- per man-day |
| c) Travel / stay   | on actuals              |

**7.2** QCI at its discretion may revise/levy any other fee necessary with due notice to the Certification Body



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## Amendment Sheet

The history of changes are as below.

Sl. No.	Date Of Amendment	Page No./ Clause No.	Amendment details
1.	01.10.2015	4-5/ 2.3.1	Clause 2.3.1 of this document – Competency of CERTIFICATION BODY auditors revised.
2.	12.10.2016	-----	Restructured with addition of General requirements