Ready Mix Concrete Plant Certification Scheme (RMCPCS)

Certification Process

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0. SCOPE

0.1 This document describes the certification process to be followed by the Certification Bodies approved under the RMC Plant Certification Scheme operated by the **Quality Council of India** for both the **Capability Certification** as per the RMC Production Control Criteria as well as the **RMC 9000^{+} Certification** covering ISO 9001.

0.2 Types of Certification

The following certification schemes shall be available:

a) **RMC Capability Certification** based on the RMC Production Control Criteria

b) **RMC 9000^{+} Capability Certification** based on implementation of Quality Management Systems as per ISO 9001 and the RMC Production Control Criteria

0.3 The certification shall be granted for each plant after due verification of compliance to the prescribed criteria.

0.4 This document should be read with the document titled **"Criteria for RMC Production Control"** published by the **Building Materials and Technology Promotion Council** (BMTPC) under the Ministry of Housing & Urban Poverty Alleviation, Government of India, in support of the **Voluntary RMC Plant Certification Scheme** of the QCI .

1. Application for Certification

1.1 Application Form

1.1.1 The applicant shall indicate the type of certification it is applying for.

1.1.2 The application form shall include the information for each plant in the formats of Tables 1, 2 and 3, which are included in Section B of the "Criteria for RMC Production Control".

1.1.3 The Application Forms shall clearly indicate if any activities covered under the criteria for certification are carried out at any premises other than the plant location to enable covering the same under audit.

1.1.4 The applicant shall specify, in the application form, the coverage of the RMC plant to be audited and certified clearly indicating the activities and whether these are covered at single or more than one location.

1.1.5 Irrespective of the number of RMC plants to be covered under certification, each and every plant shall be audited for the RMC Production Control Criteria.

1.2 List of Documents

The applicant RMC plant shall provide to the Certification Body (CB) all Tables 1 to 11 in Section B of BMTPC's document on "Criteria for RMC Production Control" duly filled up (wherever necessary) and with supporting documents.

1.3 Information for Applicants

1.3.1 The certification body shall maintain and make publicly available (on its web site and by other modes) accurate information describing its certification processes for granting, maintaining, extending, renewing, reducing, suspending or withdrawing certification, and geographical areas in which it operates. The information shall include:

a) reference to the Certification Criteria,
b) procedure for obtaining RMC Certification, a detailed description of the initial and continuing certification activity, including the application, initial evaluation, periodic surveillance, evaluations, and the process for granting, maintaining, reducing, extending, suspending, withdrawing certification and re-certification .
c) an Application form;
d) list of documents required to be submitted along with the application.
e) information about the fees for application, initial certification and continuing certification and policy for the fee
f) documents describing the rights and duties of certified clients, and
g) information on procedures for handling complaints, feedbacks and appeals

1.4 Registration of Application

1.4.1 The CB shall respond to all enquiries received from prospective applicants for RMC Capability Certification / RMC 9001^{+} Capability Certification with complete information for facilitating a registration of an applicant, within 7 days of receipt of the query.

1.4.2 The prospective applicant RMC plant shall apply to any of the approved Certification Bodies on the Application format prescribed by the CB, and provide the information as mentioned in previous clauses and any other information the CB may consider relavant to the certification process.

1.4.3 The prospective RMC plant shall declare (in the form of an undertaking) whether it has been an applicant / certified under this Scheme with or by any other certification body, and if yes then shall provide the previous evaluation reports to the new certification body. The certification body may verify the information provided by contacting the earlier certification body.

1.4.4 The prospective applicant RMC plant shall along with the application declare any judicial proceedings relating to its operations, any proceedings by any Regulatory body or

suspension / cancellation / withdrawal of any certification / approvals under any Regulations or otherwise. Such declaration shall be a part of the undertaking mentioned in 1.4.3 above.

1.4.5 Certification is granted only against the current relevant certification criteria. The certification body shall review all applications for the above and ensure the same.

1.4.6 All applications for certification shall be reviewed by the certification body for adequacy and deficiencies observed, if any, shall be informed to applicant RMC plant within 7 days of receipt of application. Review of applications shall be done by a competent person. Records of review shall be maintained.

1.4.7 Only applications found to be completely filled and supported with all documents sought shall be accepted and registered in order of receipt with a unique identification number, acknowledged and records maintained. Registration shall be done within 7 days of receipt of application or information in response to the deficiencies communicated as per 1.4.6 above. In case the applicant discloses any proceedings, suspensions etc. as per 1.4.3 above, the applicant shall not be entertained for a period of one year from the date of conviction, suspension, withdrawal, deregistration etc.

1.4.8 If the RMC Certification of either type has been suspended / cancelled by any approved CB, the application from such an RMC plant shall not be accepted till suspension is lifted by the concerned CB or for one year from the date cancellation of certification.

1.4.9 If ISO 9001 certification of the applicant is under suspension, application for RMC 9000^{+} Capability Certification shall not be entertained till the suspension of ISO 9000 certification is revoked. In case ISO 9000 certification of a plant is cancelled by any CB, the application for RMC 9000^{+} Capability Certification shall not be accepted for a period of one year from the cancellation.

1.4.10 The antecedents of the applicants shall be checked in relation to the Scheme. Applications from RMC plants who have earlier either misused the RMC Certification, or whose earlier certificate was cancelled because of violation of terms & conditions / misuse of certification or have been implicated / convicted by the court, shall not be entertained for a period of 3 years of conviction / strictures by the court / cancellation of the certificate by any CB.

1.4.11 Applications from RMC plant found to be misusing the RMC Certification while their application is being processed for grant of certificate, shall not be processed any further, and rejected after a due notice of 15 days. Fresh applications from them shall be treated as per clause 1.4.10 given above.

1.4.12 Requests for grant of certification from previous applicants shall be processed like a fresh application and the entire procedure for grant of certification shall be adhered to subject to clauses 1.4.8 to 1.4.11 above.

1.4.13 Certification Bodies shall reject or close an application under the following conditions;

a) if Initial Evaluation is not carried out within 3 months of registration of application
b) if the entire certification process is not completed within 6 months of registration of application.
c) If the applicant shows no progress towards completion of corrective actions within 3 months of Initial Evaluation and 6 months of Registration of application.
d) Misuse of RMC Certification
e) Evidence of any malpractice
f) Voluntary withdrawal of application.

1.4.14 The application fee, if charged by CB, shall be non refundable.

2. Audit Programme

2.1 Audit Programme

Considering the type of the certification sought, the following program shall be followed:

Certification activity	RMC CAPABILITY CERTIFICATION	RMC 9001+ CAPABILITY CERTIFICATION
Certification Audit – Stage 1	NA	√
Certification Audit – Stage 2	√	√
Surveillance – Six monthly including one surprise audit each year	√	√

2.2 Sampling of plants to be audited

2.2.1 Each plant applying for certification shall be audited for the RMC Production Control Criteria.

2.2.2 The ISO 9001 audits may be carried out on sampling basis as allowed under ISO 9001 certification.

3. Audit Mandays

3.1 The mandays required to conduct an effective audit shall be calculated in accordance with the following Table:

	Audit Mandays	
Certification activity	**RMC CAPABILITY CERTIFICATION**	**RMC 9001^{+} CAPABILITY CERTIFICATION**
Certification Audit	2 min. per plant	IAF MD 5 + 2 Min. (per plant)
Surveillance	2 min. per plant	IAF MD 5 + 2 Min. (per plant)

Notes:

1. The audit time shall include at least one man-day (8 hrs.) on-site audit. Audit preparation and report preparation time shall be additional and shall be at least one man-day.
2. CBs shall witness all the tests as mentioned in Table 4 of the Criteria during each on-site visit.
3. Reduction in man-days as available in IAF MD 5 document referred to above shall not be allowed by CBs.

4. Certification Audit Planning

4.1 Preliminary information to be provided to the CB

4.1.1 Before starting the Initial Evaluation (both for "RMC Capability Certification" and "RMC 9001^{+} Capability Certification"), the Applicant shall provide the Certification Body with the documentation as mentioned in Tables 1 to 11 in Section B of the “Criteria for RMC Production Control”.

4.1.2 Apart from information regarding the equipment and facilities of the RMC plant, the applicant shall provide information regarding the plan and frequency of controls carried out on incoming material, production facilities and testing equipment in order to allow auditor to have a preliminary overview on the plant.

4.1.3 The documentation to be provided is the following:

Documentation	**RMC CAPABILITY CERTIFICATION**	**RMC 9001^{+} CAPABILITY CERTIFICATION**
Production and quality control manual	√	√
Quality Manual	NA	√

4.2 Audit Team

The CB shall appoint an Audit Team having the necessary competences and skills required to conduct the audit.

Audit Type	Audit Team composition
Certification Audit	1 Auditor + 1 Technical Expert (if Auditor is not qualified for RMC sector)
Surveillance	same as above

4.3 Audit Plan

4.3.1 The CB shall ensure that the Audit is conducted during working days in which customers' orders are being produced and delivered.

4.3.2 Audit shall not be planned in case the RMC plant is non-operational and, as far as possible, on Monday (often without or with low production) and within one week following relevant holidays (e.g. Diwali) since it may be difficult to verify all the aspects of production processes.

4.3.3 The Auditors, if more than one, may conduct part of the audit in parallel being focused on specific processes.

4.3.4 The audit of the Headquarters should be planned late in the afternoon to optimize the time spent in the morning and early in the afternoon to verify the operations and the plant equipment.

5. Certification Audit

5.1 Certification Audit

5.1.1 RMC 9001+ QMS based Certification

5.1.1.1 The Initial certification audit is performed to:

a) audit the client's management system documentation;
b) evaluate the client's location and site-specific conditions and to undertake discussions with the client's personnel to determine the preparedness for the stage 2 audit;
c) review the client's status and understanding regarding requirements of the standard, in particular with respect to the identification of key performance or significant aspects, processes, objectives and operation of the management system;

d) collect necessary information regarding the scope of the management system, processes and location(s) of the client, and related statutory and regulatory aspects and compliance (e.g. quality, environmental, legal aspects of the client's operation, associated risks, etc.);
e) review the allocation of resources for stage 2 audit and agree with the client on the details of the stage 2 audit;
f) provide a focus for planning the stage 2 audit by gaining a sufficient understanding of the client's management system and site operations in the context of possible significant aspects;
g) evaluate if the internal audits and management review are being planned and performed, and that the level of implementation of the management system substantiates that the client is ready for the stage 2 audit.

5.1.1.2 The document review shall be carried out off site and judge the adequacy of the system to meet requirements of ISO 9001 plus the RMC Production Control Criteria. It shall result in a formal document review report.

5.1.1.3 The stage 1 audit during the initial certification shall be carried out at the client's premises in order to achieve the objectives stated above. It may be carried out on site should there be significant changes in the management systems or when the applicant switches from one certification body to another. The CB shall have a defined guideline for the same.

5.1.2 RMC Capability Certification Audit

Audit at RMC Plant

Objective: Verifying the effective implementation of the Criteria for RMC Production Control.

Opening Meeting

During the Opening Meeting, the Team leader shall ask the Management Representative to show the list of customers' orders undertaken in last 6 months including the ones to be processed during the day (for verification, the auditor is free to select any five random orders since last audit including at least one from the ones executed during the day of the audit).

The audit plan shall be modified accordingly.

During the opening meeting, the Team leader shall collect information on the situation and on changes concerning RMC plant, equipment, raw materials and anything else relevant.

5.1.3 Safety during audits

5.1.3.1 The Audit involves risks linked to the need to travel to work environments. Responsibility for risk analysis and the identification of the most suitable means of protection is of the RMC plant that manages the building or factory.

5.1.3.2 However, auditors must have personal protective equipment which may be reasonably required to run in the security checks. In particular, each auditor must go to the sites to verify with at least:

- ❒ helmet;
- ❒ safety shoes;
- ❒ goggles;
- ❒ ear protectors;
- ❒ high visibility vest

5.2 Use of the Check List

The Audit shall be conducted for each type of certification (RMC Capability Certification and RMC 9001^{+} Capability Certification) in accordance with the following instructions:

5.2.1 Capability Certification

The audit shall be conducted with the help of the Check List included in Section B of the Criteria document. The auditor shall fill in the entire Check List along with remarks giving objective evidence of compliance/non compliance in the production facility itself, and not in the office.

5.2.2 RMC 9001^{+} Capability Certification

The audit shall be conducted with the help of a Check List prepared by the CB subject to the following:

a. the check list must embed all the requirements of the "RMC Production Control Criteria"
b. the check list must address all the requirements of ISO 9001 standard

The check list used by CBs shall be verified by the Accreditation Body to ensure the compliance with the reference documents.

Competence of people at site shall be audited in each plant to verify the effective knowledge of internal procedures and applicable standards.

5.3 Non conformities

Objective: To establish criteria for determining the relevance of evidences considered as NCs to reduce variation among auditors and CBs.

5.3.1 Classification and Closure

Non Conformity	Description	Time frame for closure
Critical	Non compliance 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 CB 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 (applicable to ISO 9001 requirements only as defined by CB), or As given in the Criteria for classification below	Within 1 month. Evidences of closure shall be provided to the CB; verification to be done on site
Minor	Non compliance 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 the CB; verification to be done in the following surveillance audit

5.3.2 Criteria for Classification

Critical NCs	Major NCs	Minor NCs
Check List items as under: 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), 7 (Control of Process control equipment and measurements)	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)

The certified clients shall be shown with a green colour code on the Certification Body's website as a sign of their current status. In case critical NCs are raised, the status shall be classified as 'Certification Status under Review' and colour coded as Orange. In case the

certification is suspended, the colour code Red would be used to indicate the status of certification.

Any non-compliance observed during audit, for which corrective actions are taken on-site during audit and not raised as non-conformity, shall however be reported in the report findings.

The Non Conformities and related corrections and corrective actions shall be:

a) prepared by the Team leader before the Closing Meeting
b) discussed with the Customer
c) countersigned by the Team leader and the Customer's representative
d) sent to the CB for verification.

5.4 Audit Report

5.4.1 The CBs shall send the Audit Report within 7 days from the date of the completion of the audit to the client.

5.4.2 Irrespective of the Scope of the Certification (Company-wide, Regional office, List of RMC plants, Single plant), the Audit report shall:

a) describe the structure of the audited RMC plant
b) specify the part of the RMC plant to which each NC is addressed
c) the processes excluded by the Scope of the certification, if any,

6. Certification Decision

The CB shall grant the certificate when all the following conditions are met with:

a) All NCs raised are closed – critical and major after onsite verification and minor after off-site verification
b) payment of outstanding dues

7. Surveillance

7.1 Type

Two types of surveillance audits shall be carried out:

a) Planned Surveillance Audits

b) Surprise Audits (with a short notice of 3 days)

7.2 Frequency

To ensure more stringent control on production and delivery processes and monitor the effective implementation of the Certification Scheme, the frequency of surveillances shall be as follows:

Surveillance Audit shall be conducted within every six month period with at least one Surprise Audit in a year. The Surprise can be in addition to Surveillance audit shall be one of the two Surveillance audits to be carried out in a year. Surveillance shall normally be held within the defined period and a delay of maximum one month beyond the due date shall only be allowed in exceptional circumstances. Any further failure to conduct surveillance shall result in suspension of the certificate.

8. Complaints

8.1 Complaints submitted by the RMC plant to the CB

8.1.1 The CB shall have a documented process to receive, evaluate and make decisions on the complaints. This process shall be subject to requirements for confidentiality, as it relates to the complainant and to the subject of the complaint.

8.1.2 The complaints-handling process shall include at least the following elements and methods:

a) an outline of the process for receiving, validating, and investigating the complaint, and for deciding what actions are to be taken in response to it;

b) tracking and recording complaints, including actions undertaken in response to them;

c) ensuring that any appropriate correction and corrective action are taken.

8.1.3 The CB shall make a description of the complaint-handling process publicly available.

8.1.4 Upon receipt of a complaint, the CB shall confirm whether the complaint relates to certification activities that it is responsible for and, if so, shall deal with it. If the complaint relates to a certified client, then examination of the complaint shall consider the effectiveness of the certified production control/management system.

8.1.5 Any complaint about a certified RMC plant shall also be referred by the CB to the certified plant in question within 7 days from the date of receipt of the complaint.

8.1.6 The CB receiving the complaint shall be responsible for gathering and verifying all necessary information to validate the complaint.

8.1.7 Whenever possible, the certification body shall acknowledge receipt of the complaint, and shall provide the complainant with progress reports and the outcome.

8.1.8 The decision to be communicated to the complainant shall be made by, or reviewed and approved by, individual(s) not previously involved in the subject of the complaint.

8.1.9 Whenever possible, the CB shall give formal notice of the end of the complaints handling process to the complainant.

8.1.10 The CB shall determine, together with the client and the complainant, whether and, if so to what extent, the subject of the complaint and its resolution shall be made public.

8.2 Complaints regarding the activity carried out by the Certified organization

a) The CB may audit the complaints received by the RMC plants from its customers
b) receive a complaint regarding the activity of a certified organization from any interested party

In the event a) the CBs shall audit the complaints in each visit to the plant and report the compliance to and findings of the same. The RMC plant shall keep a register for complaints received by the Customer.

In the event b) the CB the complaint must specify detailed information regarding the certified RMC plant and the reasons of the complaint. The complaint shall be evaluated by the CB in accordance with its own "complaint procedure". A decision shall be take on the basis of evidences. If the decision is to conduct a supplementary audit the CB shall plan it, even with short notice. The RCM plant must accept such supplementary audit. In case of rejection in receiving the audit, the CB may decide for suspending the certification.

9. Certificate

9.1 Certificate

The organization may achieve one of the following certificates:

Certificate	Object	Extension	Certificate Number
Single plant	All the processes carried out by the plant	Single plant	One certificate number

Cluster	Group of plants sharing common facilities or processes	Group of plants	One certificate number for cluster of plants (a list of plants certified in the cluster is given)
Company	Entire company	All plants	One number per company (the certificate shall have an annexure with the list of certified plants)

9.2 Information

The certificate shall report the following information:

- ❒ certificate number
- ❒ certification scheme name (or logo)
- ❒ reference to certification criteria
- ❒ company name (should be a legal entity)
- ❒ certified plant address
- ❒ scheme logo
- ❒ logo of the CB
- ❒ accreditation number of the CB
- ❒ date of certification
- ❒ expiry date
- ❒ signature of the CB's legal representative

In case of organization certification, the CB shall annex to the certificate the list of the certified plants.

9.3 Validity

The certificate shall be valid for 3 years from the date of issuance.

10. Suspension and Withdrawal of Certificate

10.1 Suspension

10.1.1 The certification body shall issue instructions to the certified RMC plant for suspension of certification when

a) a critical NC is raised during any surveillance audit and not resolved within 15 days
b) the major NCs issued are not closed in timelines prescribed
c) repeated major NCs are raised in consecutive surveillance assessments
d) there is failure to organize a surveillance audit within the specified time period
e) there is non payment of outstanding dues

f) any major changes have taken place in the legal status, ownership, name etc without prior information to the CB
g) any wilful misuse of the logo of the Scheme is detected
h) any wilful false declaration in the application form or otherwise is detected
i) excessive or serious complaints against the RMC plant's production or management system are recieved and are found to be valid
j) the RMC plant voluntarily requests a suspension. Such request must be submitted in writing to the CB along with the reasons. The CB may decide to accept the request but may not allow the client to revoke suspension on its own.

10.1.2 The certification body 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 required.

10.1.3 On receipt of instructions for suspension of certification, the certified plant shall suspend claiming RMC certification with immediate effect.

10.1.4 The certification body shall revoke suspension only when Corrective actions have been taken and verified by the certification body.

10.1.5 Suspension shall not exceed a period of six months. The RMC plant's inability to resolve issues relating to suspension within this period shall lead to withdrawal of certification after due notice of 15 days is given.

10.2 Withdrawal

10.2.1 Certification body shall withdraw the certificate when

a) Certified unit contravenes the terms and conditions of certification and provisions of the RMC Plant certification scheme
b) RMC Plant 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;

10.2.2 Certification body shall withdraw the certificate at the request of the certified plant, if the operation(s) in the certified plant premises can no longer be carried due to reasons of natural calamities such as flood, fire, earthquake etc, lock out declared by the management, or closure of business operations etc.

11. Change of Location / Ownership / Name

11.1 Duty of Information

11.1.1 The certified RMC plant shall inform the CB of any change:

a. in the location of the plant

b. in the ownership;

c. in the name

11.1.2 Treatment of information

11.1.2.1 On receipt of information at 11.1.1a above, the certification body shall suspend certification of the certified plant with immediate effect. The certified plant shall be subject to an evaluation at the new site like certification audit of an applicant. If the evaluation is satisfactory, the CB shall transfer the Certificate to the new location and the suspension of the RMC plant shall be revoked. The CB shall endorse the change of premises on the Certificate. In case of an applicant changing location, a fresh evaluation at the new site shall be carried out.

11.1.2.2 In the event of 11.1.1b above, the plant shall provide necessary documentary evidence to the CB. The new management of the organization shall submit its acceptance of the agreement for certification with the CB. The same process shall be followed as and when an existing applicant undergoes a change in management. This shall not call for a visit to the production site

11.1.2.3. In the event of 11.1.1c above, the applicant/certified RMC plant shall inform the change in the name to the CB supported with documentary evidence, and if satisfied the CB shall endorse the Certificate in the new name.

12. Fee

12.1 A fee to be charged to the organization for various activities of the certification scheme, without any discrimination between units, geographical location, size of the unit.

12.2 The CBs fee structure shall be publicly accessible and also be provided on request.

12.3 CB shall notify and obtain consent to its fee structure from the organizations prior to grant of certification. As and when the fee undergoes a change, the same shall be communicated to all including applicants and the RMC plants certified under this scheme of certification for their acceptance.

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