Overview of Certification Process

Application for Certification
The applicant will specify the type of certification being applied for in the application form.

The application form will include necessary details of site including activities not covered under certification. Information for each plant in the formats of Tables 1-3, which are included in Section B of the "Criteria for RMC Production Control". 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.

The Application Form 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.

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.

All applications for certification shall be reviewed by TUVI for adequacy and deficiencies observed, if any, these shall be informed to applicant RMC plant within 7 days of receipt of application.

Only applications found to be completely filled and supported with all documents sought shall be accepted. In case the applicant discloses any proceedings, suspensions etc., the application shall not be entertained for a period of one year from the date of conviction, suspension, withdrawal, deregistration etc.

In case of takeover of Certification of either type, if it is found to be under suspension or has been 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.

If the ISO 9001 certification of the applicant is under suspension, application for RMC 9000+ Capability Certification shall not be entertained till the suspension of ISO 9001 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.

The antecedents of the applicants shall be checked in relation to the Scheme. Typical indicators may include membership of the RMCMA, corporate entity, etc. 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.

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 in line with the requirements stated in the above paragraph.

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 followed. TUVI shall reject or close an application/contract under the following conditions;

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

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 (offsite document review mandatory)	X
Certification Audit – Stage 2	X	X
Surveillance – Six monthly	X	X*

(a) For "RMC 9000+ Capability Certification" the audit cycle shall include:

- Initial certification audit in two stages (Stage 1 and Stage 2) as per ISO 17021-1:2015
- *Surveillance audits (every 6 months or annual frequency, however, RMC Capability audits will be done at 6-monthly intervals (with one surprise audit in each year).
- Recertification audits (before end of 3 year validity)

(b) Each plant applying for certification shall be audited for the RMC Production Control Criteria. No sampling of sites permitted for RMC Capability Certification.
(c) The provisions of the RMC Production Control Criteria (Checklist for Production Control) shall not be sampled during surveillance audits for RMC Capability Certification.
(d) The ISO 9001 audits may be carried out on sampling basis as allowed under ISO 9001 certification. In case sampling basis is followed, appropriate provisions of IAF MD1 shall be considered.
(e) Exclusions related to Clause 8.3 (Design & Development) shall not be permitted in case of RMC 9000+.

The Certification Audit time for each site is calculated as below:

Certification activity	Audit Mandays	
	RMC Capability Certification	RMC 9001 Capability Certification
Certification Audit	2.5 Mandays Min	* IAF MD 5 + 2.5 (Per Plant)
Surveillance – Six monthly	2 Mandays Min	* IAF MD 5 + 2 (Per Plant)

- The audit time shall include at least one man-day (8 hrs.) on-site audit.
- Audit preparation and report preparation time shall be additional.
- TUVI shall witness all the tests as mentioned in Table 4 of the Criteria during each on-site visit.
- Reduction in man-days as available in IAF MD 5 document referred to above shall not be allowed by CBs.
- For recertification, the mandays would be same as above for RMC Capability Certification. In case of RMC9000+ Certification, provisions of IAF MD5 shall apply. However, further reduction in mandays shall not be allowed.
- In case of one premise having more than one central mixer, the onsite manday will increase by 0.5 for every additional central mixer.

Certification Process
As a policy, TUVI does not take into account the results of any evaluations performed prior to application for certification and the entire Production & QA/QC requirements are essentially verified during the onsite audit. The results of the same form the basis for performing the audit & recommendation to certification.

RMC Capability Certification (Off-site Review)
The basic RMC Capability certification may not require a Stage 1 audit. However, it is recommended to perform an offsite review of the submitted documentation, especially the Tables 1-11 of the RMC Production Control Criteria.

The application form details, especially the availability of complete information in Tables 1-3 shall be verified by the Sales person or by the person who is performing the offer review. Once the offer review is approved & the proposal is signed, the client shall provide the balance information in Tables 4-11. The availability of the complete information shall be verified by TUVI authorised representative. In case of no discrepancies, each of the tables 1-11, shall be signed off by the concerned auditor as evidence of the review being done. In case of any discrepancy (w.r.t information provided in Tables 1-11), the same shall be raised as 'concerns'. Either outcome, irrespective of whether discrepancies were identified or not, shall be reported as per the 'Document Review Audit Report' template. The client is expected to revert within max 60 days to the concerns raised. Subsequent to the resolution of the concerns raised, the recommendation for proceeding for the onsite audit can be made. In case there is no response from the client for a period of 60 days, the onsite audit shall not be conducted.

RMC9000+ Stage 1 (Initial) Audit
The Initial certification audit is performed in accordance with the requirements of current applicable version of ISO 17021. The audit criteria shall also include ISO 9001 standard. The purpose of the Stage 1 audit is as outlined in the ISO 17021 & TUVI and also to confirm the availability & adequacy of the information of the Tables 1-11 of the RMC Production Criteria as explained in Section 1.1 above. The outcome of the audit shall be recorded in the Stage 1 report.

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 another CB to TUV India Pvt. Ltd. (TUVI).

RMC Capability Certification Audit & RMC9000+ Stage 2 (main) Audit
The main certification audit is performed in accordance with the requirements of the current applicable version of ISO 17021. The objective of this audit is to verify the effective implementation of the Criteria for RMC Production Control. Competence of people at site shall be audited in each plant to verify the effective knowledge of internal procedures and applicable standards.

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. TUVI does not intend to perform any product testing activities on its own. Samples may be drawn & sealed in presence of the client & client would be asked to get the same tested from laboratories fulfilling the qualification criteria as per the scheme requirements.

Surveillance Audit
Surveillance Audit shall be conducted within every six month period with at least one Surprise Audit in a year. The Surprise audit can be done amongst one of the two Surveillance audits to be carried out in a year. Any failure to conduct surveillance may result in suspension of the certificate.

Recertification Audit
The certificate is valid for 3 years. Recertification audit has to done and file to be forwarded for Veto review such that the decision is made before the end of validity of the current certification cycle. In case of the recertification requirements, it is preferred that the audit is completed well in advance preferably three months before certification expiry date so as to facilitate retention of continuity.

Follow-up Visits
If the results of corrective actions need to be verified on site e.g. as a result of a major nonconformity being raised or multiple minor non-conformities being raised, the Team Leader will initiate an additional follow-up visit. In case of Critical NCRs, the requirement for follow-up, as explained below in Section 3 shall apply.
If a follow-up audit is to be conducted, the TUVI office shall arrange the date with the client and in conjunction with the Team Leader will also determine which auditor is most qualified to conduct the on-site follow-up audit. Follow up visits are charged at the same man-day rate as the corresponding visit that initiated the follow up visit.

Overview of Certification Process

Audit Report
At the end of the audit, an audit report shall be prepared & submitted to the client.

Certificate Issuance
Certificate can be issued only after a positive certification decision and certificate can be issued either electronically or hard copy. The certificate validity is 3 year subject to successful surveillance audit at six-monthly intervals. No extension to certificate expiry is permitted.

The certified clients shall be shown with a green colour code on the TUV 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.

Non-conformities:
Where the audit team identifies deviations from the requirements of the RMC Production Control Criteria (in case of RMC Certification) or the requirements of the same &/or ISO 9001 (in case of RMC9000+ Certification), the same would be categorized as Non-conformities. The consideration for classification of the nonconformities and their closure is as follows –

Grading and Management of Non-conformities

Non-Conformity	Description	Time frame for closure
Critical	Non-conformance to the 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 TUVI within 10 days. Onsite verification to be undertaken within 5 days of submission of CAs and decision taken either to close the NCs or suspend certification
Major	Non-conformance to the 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 TUVI; verification of actions to be done on site. The decision for closure of the Major NC offsite, where effectiveness of corrective actions can be verified by audit team based on documentary evidences submitted by client will be taken case to case basis under the discretion of In-charge – RMC Certification, Accreditation Head & Senior VP-Certification.
Minor	Non-conformance to the 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 TUVI; verification to be done in the following surveillance audit

Criteria for Classification

Critical NC's	Major NC's	Minor NC's
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 nonconforming products), 9 (Feedback)

Process for Suspension, Withdrawal & Revoke of certification status
TUVI shall issue instructions to the certified RMC plant for suspension of certification when -

- a critical NC is raised during any surveillance audit and not resolved within 15 days
- the major NCs issued are not closed in timelines prescribed
- 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 TUVI
- 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 are received and are found to be valid
- the RMC plant voluntarily requests a suspension. Such request must be submitted in writing to TUVI along with the reasons. TUVI may decide to accept the request but may not allow the client to revoke suspension on its own.
- TUVI 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.
- On receipt of instructions for suspension of certification, the certified plant shall suspend claiming RMC certification with immediate effect.
- TUVI shall revoke suspension only when Corrective actions have been taken and verified by TUVI.
- 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 with-drawal of certification after due notice of 15 days is given.
- In case of change in location of RMC Plant, the certificate shall be suspended. In such a case the website shall be updated to reflect the status as "Plant Lo-cation Changed".

TUVI shall withdraw the certificate when ;

- Certified unit contravenes the terms and conditions of certification and provisions of the RMC Plant certification scheme
- RMC Plant is not conforming to the requirements of the Certification Criteria and the corrective actions taken are not ensuring compliance,
- the proposed plan for corrective actions will take a considerable time beyond 6 months for implementation;
- 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.
- Any specific client request for withdrawal of certificate.

The audits shall be carried out as per defined frequency failing which client's certificate shall be suspended. Additional time shall be taken for the audit under sus-pension. The client certificate shall be terminated at the end of suspension period of 3 months if the audit is not successfully completed.

TUVI will suspend\withdraw certificate if the RMC Plant is not conforming to the requirements of the Certification Criteria and the corrective actions taken are not en-suring compliance and also in case Certified unit contravenes the terms and conditions of certification and provisions of the RMC Plant certification scheme

Changes to contract / certification details
The certified RMC plant shall inform TUVI of any change:
in the location of the plant –
On receipt of information, TUVI 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, TUVI shall transfer the Certificate to the new location and the suspension of the RMC plant shall be revoked. TUVI 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

In the ownership –
On receipt of information, the plant shall provide necessary documentary evidence to TUVI. The new management of the organization shall submit its acceptance of the agreement for certification with TUVI. 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

In the name –
On receipt of information, the applicant/certified RMC plant shall inform the change in the name to TUVI supported with documentary evidence, and if satisfied TUVI shall endorse the Certificate in the new name. In case of any changes in the certification requirements, TUVI shall give a formal notice of any changes it intends to make in its requirements for certification. While deciding the changes, consideration shall also be given to the views, if any, expressed by interested parties before deciding on the precise form and effective date of the changes. Following the publication of the changed requirements, TUVI shall verify that each supplier makes any necessary adjustments within an appropriate time frame. The adequacy of the same would be reviewed either through a special surveillance or during a routinely planned audit.

Fee Structure
The Fee Structure for RMC/RMC9000+ would be as follows –

- Application / Registration Charges
- Audit Fees for Certification/Recertification Audit & Issue of Certificate
- Audit Fees for Surveillance Audits
- Audit Fees for any special audits and/or follow-up audits, as applicable

For any further information & specific details related to the fee structure and pricing, kindly contact –

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