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|  | <b>DI Quality Certification Services<br/>Private Limited</b> | <b>Document no.</b> | <b>D-MMS-P-0002</b> |
|   |  | <b>Rev. No</b>      | 04                  |
|   | <b>Policy Manual</b>   | <b>Date</b>         | 05-09-2024          |

**POLICY MANUAL of DI Quality Certification Services Pvt. Ltd.**  
*(Herein after referred as DI QCS)*

| Process Description               | Designation          | Name        | Signature   |
|-----------------------------------|----------------------|-------------|---|
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### Revision History

| Sr. No. | REVISION NO. | CRN NO.        | EFFECTIVE DATE | REASON CHANGE   | FOR | AUTHORIZED BY       |
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| 1       | 00           | Not Applicable | 15-02-2022     | Initial Release   |     | Document Controller |
| 2       | 01           | CRN/22/02      | 17-08-2022     | ISO 9001 certification scheme added in Section 5.4.1  |     | Document Controller |
| 3       | 02           | CRN/22/03      | 05-09-2022     | Section 5.7 added   |     | Document Controller |
| 4       | 03           | CRN/24/04      | 26-08-2024     | The document is updated for revised Roles & Responsibility of Director, Technical & Operations head |     | Document Controller |
| 5       | 04           | CRN/24/05      | 05-09-2024     | DI QCS new logo updated   |     | Document Controller |

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## 1. Purpose

This policy manual sets forth the policy of the DI QCS against which it performs independent management system assessment and certification.

## 2. Scope

This manual applies to system established as per requirements of ISO 17021-1: 2015 and applicable mandatory IAF documents.

## 3. Responsibility

- 3.1 Top management is responsible to establish, create awareness and monitoring. .
- 3.2 All employees are responsible to understand and implement, in practice.

## 4. References

- 4.1 ISO/IEC 17021-1: 2015 Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 1: Requirements
- 4.2 External documents as per the documents listed in D-MMS-G-0003

## 5. Policies of DI QCS

### 5.1 Quality Policy

***DI QCS is committed to offer the audit and certification services that will comply with the expectations of the customers, the Accreditor and the public with the highest level of quality and integrity by maintaining effective Quality Management System.***

### 5.2 Management principles

DI QCS will adopt the following management principles, in the operations, to achieve the quality policy.

- a. **Customer focus** - Organizations depend on their customers and therefore should understand current and future customer needs, should meet customer requirements and strive to exceed customer expectations.
- b. **Leadership** - Leaders establish unity of purpose and direction of the organization. They should create and maintain the internal environment in which people can become fully involved in achieving the organization's objectives.
- c. **Involvement of people** - People at all levels are the essence of an organization and their full involvement enables their abilities to be used for the organization's benefit.
- d. **Process approach** - A desired result is achieved more efficiently when activities and related resources are managed as a process.

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- e. **System approach to management** - Identifying, understanding and managing interrelated processes as a system contributes to the organization's effectiveness and efficiency in achieving its objectives.
- f. **Continual improvement** - Continual improvement of the organization's overall performance should be a permanent objective of the organization.
- g. **Factual approach to decision making** - Effective decisions are based on the analysis of data and information.
- h. **Mutually beneficial supplier relationships** - An organization and its suppliers are interdependent and a mutually beneficial relationship enhances the ability of both to create value.

### 5.3 **Guiding principles**

DI QCS shall adopt following principles as guidance during the operations and while making decisions, to gain confidence and trust of all interested parties:

#### 5.3.1 **Impartiality:**

- All customers and stakeholders shall have maximum trust in the assessments and certifications made by DI QCS
- Being impartial and being perceived to be impartial is paramount to acquiring and maintaining that trust. DI QCS shall be true to the facts presented (objective evidence) in any situation and only determining compliance with the spirit and word of the criteria to which we are assessing with no regard to other interests.
- DI QCS continues identify and analyse all business practices and processes with a view to maintaining the highest ethical standards.
- Threats to impartiality, not limited to the following, shall be considered:
  - a) **Self-interest:** threats that arise from a person or body acting in their own interest. A concern related to certification, as a threat to impartiality, is financial self-interest.
  - b) **Self-review:** threats that arise from a person or body reviewing the work done by themselves. Auditing the management systems of a client to whom the certification body provided management systems consultancy would be a self-review threat.
  - c) **Familiarity (or trust):** threats that arise from a person or body being too familiar with or trusting of another person instead of seeking audit evidence.
  - d) **Intimidation:** threats that arise from a person or body having a perception of being coerced openly or secretly, such as a threat to be replaced or reported to a supervisor.

#### 5.3.2 **Competence:**

- To ensure that tasks in all functions shall only be carried out by those persons deemed competent to carry out the tasks.
- Competence to be demonstrated against the knowledge and application of that knowledge in making assessments, certifications activities and in all other aspects of the business.
- The competence requirements to be supported by the management system established.

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- To establish competence criteria of all personnel and to perform evaluation against the criteria.

**5.3.3 Responsibility:**

- We will take the responsibility to assess sufficient objective evidence upon which certification decision will be decided. Based on audit conclusions, if there is sufficient evidence of conformity, decision shall be made to grant certification, otherwise, certification shall not be granted.

**5.3.4 Openness:**

- DI QCS shall have openness through access to or disclosure of appropriate information.
- We will provide public access to, or disclosure of appropriate and timely information about the audit process and about the certification status (i.e. the granting, maintenance of certification, expansion, or reduction in the scope of certification, renewal, suspension or restoration, or withdrawal of certification) of any certified client, to gain confidence in the integrity and credibility of certification.
- DI QCS shall disclose where necessary all appropriate information in regards to our business as required by law and the highest ethical standards.

**5.3.5 Confidentiality:**

- All information sent to DI QCS by customers or collected during assessment shall be maintained with the highest regard for its confidential nature. No such information shall be disclosed to any other party unless requested by the customer, or required by law and regulations.

**5.3.6 Responsiveness:**

- All customers and stakeholders should have maximum trust in the assessments and certifications made by DI QCS. All complaints relating to our services shall be logged and investigated. Any necessary actions in relation to those complaints and in regard to the other principles above shall be processes swiftly and the client will be responded appropriately.

**5.3.7 Risk based approach:**

- DI QCS shall consider the risks associated with providing competent, consistent, and impartial certification.
- The risks identified against, but not limited to, those associated with the following will be subjected to analysis and be controlled and documented.
  - the objectives of the audit.
  - the sampling used in the audit process.
  - real and perceived impartiality.
  - legal, regulatory and liability issues.
  - the client organization being audited and its operating environment.
  - impact of the audit on the client and its activities.
  - health and safety of the audit teams.
  - perception of interested parties.
  - misleading statements by the certified client.
  - use of marks.

**5.4 Impartiality Policy**

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- 5.4.1 DI QCS provides Audit and Certification services of Management Systems as per ISO 9001 and ISO 13485.
- 5.4.2 DI QCS does not participate in the design, manufacture, installation or distribution of the products we certify nor do we participate in the design of quality management systems we certify and we do not provide consultancy services related to those products or services.
- 5.4.3 DI QCS's top management ensures that DI QCS is operated in a manner such as to safeguard objectivity and impartiality, and hence delivering accreditation services in a non-discriminatory manner.
- 5.4.4 DI QCS monitors conformance to this Impartiality Policy through administration of its management system, including its process for managing risks. DI QCS has appointed a 'Committee to Safeguard Impartiality' (CFSI) in its activities. This committee comprises of members from diverse professional fields. The purpose of this Committee is to oversee the operations of DI QCS and ensure that they are consistent with the stated objectives.
- 5.4.5 Subject to limitations in this document, DI QCS shall make its services available to all applicants whose certification application meets DI QCS's publicly available criteria for certifications offered by DI QCS Policies and procedures shall be non-discriminatory.
- 5.4.6 Services provided by DI QCS shall not be conditional upon membership of any association or group. Certification services may be restricted without discrimination where there is an unacceptable risk to DI QCS Such risks include, but are not limited to evidence of fraudulent behaviour, concealment of information, or providing false information in an application or in an assessment process.
- 5.4.7 DI QCS shall not offer or provide any services that impacts its impartiality. DI QCS does not provide consultancy or any other services that pose a risk to impartiality.
- 5.4.8 DI QCS shall not suggest that certification would be simpler, easier, faster, or less expensive if any specified person or consultancy was used.
- 5.4.9 Certification decisions shall be made by persons other than those who conducted the assessment.
- 5.4.10 All DI QCS personnel, contractors, and volunteers involved in the delivery of auditing & certification services:
- Shall act objectively and be free from any undue commercial, financial or other pressures that could compromise impartiality, and
  - Are under a continual obligation to disclose potential conflicts of interest.
  - Shall make certification decisions based on objective audit data.
  - Shall undertake continual risk assessments and respective mitigations with respect to impartiality.
  - Shall make sure that competent personnel are deployed in auditing and certification activities and are made aware of the Six principles that are applied by DI QCS while providing services as a certification body and abide them while

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their conduct and ensure their competence requirements are identified and maintained on a continual basis.

- f. Shall not let sales and marketing activities like contracts, marketing, payment of a sales commission or other inducement for the referral of new clients, sales-oriented relationships with interested parties, the source of revenue from clients be an influencing factor towards the conduct of the activities undertaken by DI QCS while providing services as a certification body and will not enter into such activities neither will maintain such relationships with any such interested parties.
- g. Shall not indulge in any sort of consulting, guiding, solution specific or client specific training activities.

## 5.5 Liability and financing

DI QCS shall identify risks arising from its finances and operations related to Management System Audit and Certification Services, to protect and ensure liabilities arising from them. The mitigation of these risks is planned and implemented as below:

### 5.5.1 Liabilities arising from financial risks:

- a) DI QCS has a Professional Liability/Indemnity Insurance Policy which covers the Audit and Certification activities of DI QCS
- b) DI QCS maintains sufficient reserves in the form of fixed deposits with nationalized bank to cover itself from the liabilities, which may occur while providing Management System Audit and Certification Services.

### 5.5.2 Liabilities arising from operations related to certification services provided by DI QCS:

- a) A certification agreement shall be established with each client which will be a legally enforceable agreement. This agreement will cover liabilities arising from and operations related to Management System Audit and Certification Services.
- b) Certification services are provided by DI QCS as per the agreed proposal for certification/quotation and all the related terms and conditions will be part of the proposal/quotation/certification agreement.
- c) Liability of DI QCS shall be limited to the commercial terms referred in the proposal/quotation under any circumstances. Client agrees to indemnify, hold harmless and defend DI QCS from any and all liabilities of any and all kinds and types, including without limitation, claims, demands, or causes of action, including attorney fees, made or brought by any entity, person, firm or corporation arising out of or incidental to the certification services to be provided in connection with this agreement by reason of injury of any entity, person or damage of any property regardless of whether such injury or loss, cost, damage or expenses is occasioned in whole or partly by any negligent or omission on the part of DI QCS, its subcontractors or employees and regardless of where any such loss or any action may occur.
- d) Client agrees to indemnify and hold DI QCS harmless from and against any fines, taxes, levies or imposed which may be asserted or imposed upon DI QCS by any



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country or jurisdiction in which certification services are performed. Client shall also indemnify and hold and save DI QCS against all expenses and out-of-pocket expenses incurred by DI QCS in connection with or related to the assertion by any such country or jurisdiction of liability of DI QCS to pay any such fine, tax, and levy or imposed.

- e) In case, the accreditation of DI QCS is suspended/cancelled by its accreditation board, then DI QCS shall not refund any fees charged to the client during the period when DI QCS accreditation was valid. In such cases, the certified client of DI QCS has the right to report the matter to the accreditation body of DI QCS, and ask for the transfer of its accredited certificate to any other accredited certification body in the same accreditation regime.

Reference: Risk assessment and mitigation (D-MMS-S-0002) and Risk assessment Report (D-MMS-G-0009)

## 5.6 Formation of committees

### 5.6.1 Committee for safeguarding impartiality (CFSI):

In order to ensure impartiality in certification activities, DI QCS shall have a committee to provide inputs or constructive criticisms of DI QCS's certification process.

#### 5.6.1.1 Formation of CFSI:

5.6.1.1.1 DI QCS collects data of eminent personnel from websites, references and creates a data base and based on experience and accessibility, prepares a list of personnel to be approached, requesting them to join as a CFSI member. A concurrence is obtained from such personnel prior to their appointment as CFSI member.

5.6.1.1.2 Each CFSI member is required to sign the confidentiality statement on agreeing to act as a member.

5.6.1.1.3 Upon initial appointment to the CFSI, members shall provide a current CV including their background and experiences. Over the course of each term of membership, committee members shall provide updates as their responsibilities and experiences change. This can be provided to DI QCS in various formats including, but not limited to: updated CV, telephone calls, CFSI meetings, e-mails, etc.

5.6.1.1.4 Competence of the CFSI members shall be evaluated by Programme manager and approved by Operations Head. The evaluation shall be documented, based on discussions, review of CV, and other inputs such as industry influence, industry input.

5.6.1.1.5 Constitution and activities of CFSI shall be reviewed during the 'Management Review'.

### 5.7 DI QCS has adopted below policies related to training division:

5.7.1 The Training modules shall not be designed / tailored for any Client. Client specific trainings will not be conducted.

5.7.2 Training will not be conducted other than publicly available standards and normative documents.



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5.7.3 DI QCS shall conduct the training as open programmes.

**6 Associated Procedures/Documents/Formats**

- 6.1 D-MMS-G-0007 Organizational Policy
- 6.2 D-MMS-G-0011 Objectives
- 6.3 D-MMS-S-0001 Management of Impartiality
- 6.4 D-MMS-S-0002 Risk assessment and mitigation
- 6.5 D-MMS-G-0009 Risk assessment Report
- 6.6 D-MMS-S-0026 Operation of Committee For Safeguarding Impartiality