

DQS Inc. Management Systems Solutions Certification Requirements



MANAGEMENT SYSTEMS SOLUTIONS

DQS Inc.

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General Business Terms and Conditions

The general terms and conditions defined in this document, the DQS Assessment and Certification Regulations and in the contract, Agreement for Assessment Services comprise the overall management system requirements for organizations certified by DQS

Impartiality Statement

Independence and Objectivity

The executive management of DQS Inc. and all its subsidiaries respects the importance of impartiality in carrying out our assessment and certification activities. Potential conflict of interest is managed in order to assure the objectivity of all certification activities.

1. Terms and Definitions

1.1 Certification - A decision by DQS Inc. that an organization's management system meets the requirements of a specific MS standard and DQS Inc.'s Management System Requirements.

1.2 Certificate - Document indicating the organization's conformance to the specified standard and DQS requirements.

1.3 Organization - The party that is responsible for the product, process or service and is able to ensure that management assurance is exercised. This definition may apply to manufacturers, distributors, importers, assemblers, service customers, etc.

1.4 Management System - The customer's structure, responsibilities, policies, procedures, processes and resources for managing the business within the defined scope of activity in conformance with a published standard.

1.5 Certification Marks - The Registered Firm Mark which is used by certified customers in accordance with DQS Inc.'s certification agreements.. The use of the mark(s) provides an organization the ability to publicize their facility certification.

3. DQS Management System Certification Requirements

3.1 General

The customer agrees that it will comply with all applicable laws, statutes and regulations (e.g. state, region, providence, country, etc.)

3.2 The Customer shall

3.2.1 ensure that any purchased finished product, processes or services covered under the scope of certification are provided in conformance with the applicable MS standard(s). If any finished products, processes or services are produced or provided external to the customer's management system, the external producer or provider may also be evaluated on-site by DQS during the certification process. In cases where products described in the scope of certification are not traceable to an accredited management system certification, the customer shall establish and operate a procedure for notifying the prospective customer that the items in question have not been produced or provided within DQS Inc.'s Certification;

3.2.2 not use any Report, Certificate or Plaque issued by DQS Inc. to indicate or suggest a product is certified by UL.

3.2.3 not release any information referencing DQS Inc.'s Management System Assessment Certification before it is issued by DQS Inc.

3.2.4 Assure press releases referencing an accreditation body be reviewed by DQS prior to release.

3.3 DQS Inc. shall:

3.3.1 notify the customer at its discretion of complaints relating to the conformance of the management system.

3.3.2 direct the audit team to exercise due care in complying with any safety regulations applicable to the customer's facility in relation to the management system.

4. Conformance with DQS Inc.'s Management System Certification Requirements

4.1 If a customer is temporarily unable to comply with these Certification Requirements, DQS Inc. may require the customer to discontinue use of the Certification Mark, any claim to certification and notify customers until the conditions of certification are again achieved or an appeal reviewed as described under section 5.6

4.2 If the customer fails to comply with these Certification Requirements DQS Inc. may, as appropriate:

- (a) revoke the certificate
- (b) refuse to issue or renew the certificate
- (c) change/limit the scope of certification
- (d) notify vendors, authorities, and potential users of improper or unauthorized use of the DQS Inc. mark or improper or unauthorized reference to DQS Inc.

4.3 DQS Inc. May, at its discretion, revoke or refuse to issue or renew a certificate if the customer is convicted of an offense tending to discredit the customer's reputation and good faith as a trader. Such decisions shall be communicated to the customer in writing.

4.4 In the event that DQS Inc. makes changes to its Management System Program that affect certified customers, DQS Inc. shall:

- (a) specify an effective date for the changes, which shall allow sufficient time for certified customers to amend their management system,
- (b) formally notify all certified customers affected by the new requirements of the change and new action required of them.
- (c) where appropriate, afford the opportunity for DQS Inc. certified customers to submit comments on the proposed changes,

4.5 The certified customer is required to take required action by the effective date. If agreed action is not acceptably taken, withdrawal or suspension of Certificate may occur. If special assessment of the system is necessary due to the revised requirements, the Customer shall be responsible for the cost of the evaluation.

5. DQS Inc.'s Management System Certification Services

5.1 Prior to the On-site Visit

5.1.1 A customer seeking DQS Inc.'s Management System services can obtain information including at a minimum an Information Request Form and Self-Assessment System Checklist.

5.1.2 The customer will need to complete the Information Request Form. Upon receipt of the form, DQS Inc. verifies capability to perform the service and forward a quotation and agreements to the customer. The agreements must be completed and returned to DQS Inc. prior to scheduling the on-site visits.

5.1.3 The System Checklist may be an effective tool for the customer to determine its facility's state of readiness for an assessment.

5.2 Nonconformances

5.2.1 Nonconformances fall under two categories, "major" and "minor". Major non-conformances are those giving evidence of systemic failure that require partial or full reassessment prior to the audit team recommending certification. Major non-conformances must be verified as resolved prior to the issuance of the certificate.

5.2.2 Minor non-conformances are isolated issues of a less significant nature not requiring on-site reassessment and generally can be resolved through correspondence with further verification during subsequent continuous assessments.

5.2.3 Certification is issued only if the facility evaluated fully complies with the requirements of the MS standard and all Action Requests acceptably resolved. If any are not satisfactorily resolved, the lead auditor will explain why the response is unacceptable and request additional resolution.

5.3 Maintenance of Certification

5.3.1 Advanced Assessment Methods may be used only when authorized by DQS Inc. in writing. Terms and conditions of the Alternate Assessment method are defined separately in accordance with accreditation and related requirements. This method is not eligible for all programs. Check with your local DQS Inc. office for eligibility.

5.3.2 A Special Assessment is an additional assessment to determine continued conformance to requirements where major nonconformances or potentially significant changes were found and immediate corrective action required. The assessment is in addition to the continuous assessments to verify the implementation of corrective actions. Clauses audited during a Special Assessment shall be determined based on the audit findings, field data, complaints, client requests, major customer or system changes, etc.

5.3.3 A Scope Expansion assessment is scheduled when a customer requests to expand their certification to include other standards, operations, etc. This can be scheduled with/or separate from a continuous assessment. A scope expansion normally requires additional assessment time.

5.4 Complaints about DQS Inc. Certified Companies

5.4.1 When DQS Inc. receives a complaint about a certified company, confidentiality of the customer's files and any other associated information is maintained in accordance with our policies and agreements.

5.4.2 Only complainants who are willing to identify themselves to the DQS Inc. certified company will be made aware of their complaint's resolution (i.e. the resolution would be communicated by the certified company). DQS Inc. will encourage its customer to work with the complainant through their complaint handling mechanism. DQS Inc. can verify the resolution during the subsequent Continuous Assessment(s).

5.4.3 DQS Inc. enters all written complaints into our corrective action system for investigation and tracking. We initially request that the certified company perform an investigation and provide a corrective action plan including root cause analysis and action as appropriate.

5.4.4 If DQS Inc. management determines after review of the complaint and associated evidence that an on-site visit is required, the following shall be observed:

- a. Depending on the complaint severity certain elements/systems may have to be evaluated at the next Continuous Assessment, or an immediate special assessment at the cost of the certified company may need to be scheduled.
- b. If a major nonconformance is found during the assessment of the complaint, it is to be documented in the audit report and handled in accordance with Certification Suspension and Withdrawal policy.

5.4.5 DQS Inc. shall determine, together with the certified company and the complainant whether and, if so to what extent, the subject of the complaint and its resolution shall be made public.

6. TL-9000 Additional Terms and Conditions:

- 6.1 Clients participating in the TL 9000 Registration program must comply with the requirements in the current *TL 9000 Quality System Requirements and Quality System Measurements Handbooks*.
- 6.2 Registration may be granted to organizations in hardware, software, service or any combination thereof.
- 6.3 Appropriate measurements must be reported for hardware, software, service or any combination by product category as specified by the most current Product Category Tables, which are contained on the QuEST Forum Website at <http://www.questforum.org/index.htm>.
- 6.4 Clients participating in the TL 9000 Registration program must comply with the Organizational Responsibilities section of the TL 9000 Quality Management Systems Measurements Handbook.
- 6.5 *TL 9000* registration assessments shall include, but not be limited to verification that the organization has completed one complete audit cycle of internal audits and management review.

How to contact DQS

If you have additional questions or would like more information, please feel free to contact DQS Inc. at: 1-800-285-4476 from North America or access our web site at www.dqsus.com.