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| | | Rev. No. | 01 |
| | | Date | 01-05-2024 |

1. SCOPE

RMX Concrete Solutions LLP followed by RMC Plant Certification Scheme operated by the Quality Council of India for Capability Certification as per the RMC Production Control Criteria

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

2. Application for Certification

Certification Manager Verify 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".

Certification Manager Verify 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

The Customer 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

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

2.2 List of Documents

The Customer RMC plant shall provide to the RMX 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

2.3 Information for Applicants

RMX Concrete Solutions LLP maintain and make publicly available (www.concretesolutions.com) 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

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2.4 Registration of Application

RMX Concrete Solution LLP shall respond to all enquiries received from prospective applicants for RMC Capability Certification with complete information for facilitating a registration of an applicant, within 7 days of receipt of the query

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

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.

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 above

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

All applications for certification shall be reviewed by the Certification Manager 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.

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 above. In case the applicant discloses any proceedings, suspensions etc. as per above, the applicant shall not be entertained for a period of one year from the date of conviction, suspension, withdrawal, deregistration etc.

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

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.

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 given above 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 above

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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.

The application fee, if charged by RMX, shall be non-refundable

3 Audit Programme

3.1 Audit Programme

| Certification activity | RMC Capability Certification |
|---|-------------------------------------|
| Certification Audit – Stage 1 | Not Applicable |
| Certification Audit – Stage 2 | Applicable |
| Surveillance – Six monthly including one surprise audit each year | Applicable |

3.2 Sampling of plants to be audited

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

4. Audit Programme

The man-day's required to conduct an effective audit shall be calculated in accordance with the following Table

| Certification activity | RMC Capability Certification |
|-------------------------------|-------------------------------------|
| Certification Audit | 2 min. per plant |
| Surveillance | 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. RMX witnesses all the tests as mentioned in Table 4 of the Criteria during each onsite visit.

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5. Certification Audit Planning

5.1 Preliminary information to be provided to the CB

5.1.1 Before starting the Initial Evaluation (both for "RMC 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**”.

5.1.2 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

5.1.3 The documentation to be provided is the following

| Documentation | RMC Capability Certification |
|---------------------------------------|------------------------------|
| Production and quality control manual | Applicable |
| Quality Manual | Not Applicable |

5.2 Audit Team

RMX Concrete Solutions LLP 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 | 1 Auditor + 1 Technical Expert (if Auditor is not qualified for RMC sector) |

5.3 Audit Plan

4.3.1 RMX 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.

6. Certification Audit

6.1 Certification Audit

6.1.2 RMC Capability Certification Audit

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

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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.

6.1.3 Safety during audits

6.1.3.1 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.

6.1.3.2 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

6.2 Use of the Check List

The Audit shall be conducted for each type of certification (RMC Capability Certification) in accordance with the following instructions:

6.2.1 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/noncompliance in the production facility itself, and not in the office.

6.3 Non conformities Objective:

To establish criteria for determining the relevance of evidences considered as NCs to reduce variation among auditors and Certification Manager.

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6.3.1 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, 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 |

6.3.2 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 nonconforming products), 9 (Feedback) |

The certified clients shall be shown with a **green colour** code on the RMX 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:

- Prepared by the Team leader before the Closing Meeting
- Discussed with the Customer
- Countersigned by the Team leader and the Customer's representative
- Sent to the Certification Manager for verification.

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6.4 Audit Report

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

6.4.2 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,

7. Certification Decision

RMX 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

8. Surveillance

8.1 Type

Two types of surveillance audits shall be carried out:

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

8.2 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.

9. Complaints

9.1 Complaints submitted by the RMC plant to the CB

9.1.1 RMX has 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.

9.1.2 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.

9.1.3 RMX makes a description of the complaint-handling process publicly available.

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9.1.4 Upon receipt of a complaint, the RMX 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.

9.1.5 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.

9.1.6 RMX receiving the complaint shall be responsible for gathering and verifying all necessary information to validate the complaint.

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

9.1.8 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.

9.1.9 Whenever possible, RMX Will gives formal notice of the end of the complaints handling process to the complainant.

9.1.10 RMX 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.

9.2 Complaints regarding the activity carried out by the certified organization

a) RMX 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 RMX in accordance with its own "complaint procedure". A decision shall be taking 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, RMX may decide for suspending the certification.

10. Certificate

10.1 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) |

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10.2 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, RMX annex to the certificate the list of the certified plants.

10.3 Validity

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

11. Suspension and Withdrawal of Certificate

11.1 Suspension

11.1.1 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 RMX
- 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 received 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.

11.1.2 RMX 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.

11.1.2 RMX 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.

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11.1.4 RMX revokes suspension only when Corrective actions have been taken and verified by the certification body.

11.1.5 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.

11.2 Withdrawal

11.2.1 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;

11.2.2 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.

12. Change of Location / Ownership / Name

12.1 Duty of Information

12.1.1 The certified RMC plant shall inform to the RMX of any change:

- a. in the location of the plant
- b. in the ownership;
- c. in the name

12.1.2 Treatment of information

12.1.2.1 on receipt of information at

12.1.1a 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, RMX transfer the Certificate to the new location and the suspension of the RMC plant shall be revoked. RMX 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.

12.1.2.2 In the event of 12.1.1b above, the plant shall provide necessary documentary evidence to RMX. The new management of the organization shall submit its acceptance of the agreement for certification with RMX. 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

12.1.2.3. In the event of 12.1.1c above, the applicant/certified RMC plant shall inform the change in the name to the CB supported with documentary evidence, and if satisfied RMX endorse the Certificate in the new name.

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13. Fee

- 13.1 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.
- 13.2 RMX fee structure shall be publicly accessible and also be provided on request.
- 13.3 RMX 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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