Terms of Reference for Engagement of Program Management Unit with Dedicated IT Professionals

1. About BIS and the eBIS project

Bureau of Indian Standards (BIS) is the National Standard Body of India under the aegis of Ministry of Consumer Affairs for the harmonious development of the activities of standardization, marking and quality certification of goods and for matters connected therewith or incidental thereto. BIS has been providing traceable and tangible benefits to the national economy in several ways – providing safe reliable quality goods; minimizing health hazards to consumers; promoting exports and import substitutes; control over proliferation of varieties etc. through standardization, certification and testing. Presently, BIS functions and processes have limited IT adoption, which constraints BIS officials for timely & effective delivery of services to internal and external stakeholders. The eBIS project envisages IT enablement of all the services and functions of BIS including requisite Portals/Apps for thousands of stakeholders outside BIS to provide efficient, effective and timely services to the stakeholders. The present requirement relates to first tranche of manpower needed for getting software developed in an in-house manner. Additional technical/management professionals may be hired, if and to the extent needed, for system sizing, hardware/system software specs & designing, cloud-hiring, roll-out, change management, end-user help and roll-out.

1.1. Vision of BIS

"The vision of eBIS project is to completely automate the processes and functions of BIS and its constituent departments, Regional Offices (ROs) and Branch Offices (BOs), as well as provide a strong base for IT infrastructure and service delivery framework. The project envisages both improvement of existing applications and development of an Integrated Application for BIS including various software products, integration of existing applications and creation of a single/comprehensive 'BIS Portal' for dissemination of information and for providing online and timely service delivery support. The project also envisages digitization of past data and migration of the same to the eBIS system.

2. Scope of Work

The broad scope of work for the selected Program Management Unit (PMU) to carry out the program management and consultancy work for BIS with a focus on in-house software development is defined in detail below. These consultants and other ICT professionals (including Programmers, Web-Designers, Mobile App Developer, Solution Architect etc. either already available in-house or to be hired separately) shall directly interface with work in IT Services Department of BIS which, in turn, will also bring on board other Departments in BIS and other stakeholders down to the screen level to get

the Applications and Portals developed using Agile Methodology in a hands-on manner. Therefore, even though these ICT professionals in the PMU will be employees of the Programme Management Agency (bidder tin this case), their performance appraisal will also contain a detailed sub-item-wise quarterly assessment to be given by the IT Services Department and reviewed by the senior level eBIS Programme Advisory Committee which will also include DG, BIS. The Programme Management Agency will nevertheless provide requisite guidance from their senior level technology and domain experts by way of periodic evaluation of the work and participation in the meetings of eBIS Programme Advisory Committee.

2.1. Phase 1: Assessment /Performance Improvement of Existing BIS Applications and Development of New Applications

PMU will assess the present applications of BIS, identify the implementation and performance improvement areas (if any) and get the deficiencies removed and applications enhanced. The PMU will monitor and review the performance in terms of availability, response time, ease of use and security layers. BIS platform development is an ongoing activity, depending upon evolving need of departments and industry. The PMU will be responsible to monitor the level of adherence of the Applications/Portals by the Development Team to security guidelines by STQC and IT department. The brief description of existing BIS applications as well as new applications to be developed are placed in the DPR attached at Appendix-A which also includes broad level SRS.

2.2. Phase II: Project Management for the Implementation Phase

Once applications start getting pilot tested, additional activities as per last lines of Para 1 will commence. The PMU will be responsible for Project Monitoring Support during project implementation by the SI, review all the deliverables of the SI.

Exact timelines for each deliverable for various Applications/Portals will be worked out separately.

3. Key Considerations and Instructions for Submitting Bid Response

- The personnel deployed by the Bidder shall be responsible for the project design, development and management support under the guidance of BIS.
- NICSI empanelled Consulting Companies meet an eligibility criteria of annual turnover from Consulting Services (including application development) of Rs. 200 crore in India in each of the last 3 years and annual turnover from Consulting Services in e-Governance/IT Projects (including application development) of Rs. 60 crore in India in each of the last 3 years. These companies are also ISO 9001 certified. BIS also considers these criteria necessary for the purpose of eligibility considering large size and complexity of the project. In addition to this, CMMi Level 5/3 will be desirable as software development work is involved. Therefore, based on NICSI empanelment as

on date, all 5 Consulting Companies empanelled companies have been considered on par for eligibility purposes. Any other company meeting these criteria can also submit its bid. For technical evaluation of the bids, CVs of 3 alternative persons for each position shall be offered by the Bidder and considered by the Evaluation Committee. However, during actual selection of particular candidates, additional profiles can be sought. In addition to the above, turnover and number of projects undertaken to provide management & technology consultancy services shall also be considered as enunciated in the table relating to technical evaluation.

- Bid Evaluation shall be done on 60:40 basis for Financial Bid and Technical Score respectively.
- Financial Bid value shall be equal to annual cost as per the man-month rates given by the Bidder. The man-month rates should cover all costs related to positions being quoted for {e.g. CTC (which includes Basic, Allowances, Employer Contribution for EPF, Medical Insurance, Laptop, Phone/Internet etc.) + Training Expenses + Offsite Events + Leave Travel Allowance+HR Cost + Admin Cost + Bonus + Local Travel Allowance (if any) + Senior Level Supervision Cost + Profit Margin}. Figures should be quoted by showing GST separately. The Bidder has an option of showing all components of the cost separately.
- Integrity Pact in standard format is also to be provided.
- PMU team members will work in BIS HQ and be subject to travel outside Delhi also. However, expenditure on outstation travel will be directly borne by BIS.
- The deployed personnel should be the employees of the Bidder as on the date of their joining on BIS and likely to continue for fairly long duration.
- If due to any unavoidable circumstance, one or more of the deployed person(s) needs to be replaced/changed, then the bidder will need to provide equivalent or better personnel (to the satisfaction of BIS) and ensure complete knowledge transfer required for continuity of the project.
- Regular progress reporting and review of the work shall be undertaken with BIS on periodic basis as stated above in para 2.
- Other terms and conditions as per the empanelment agreement of the bidder with NICSI, unless specifically over-ridden in this document, will be applicable during the currency of the project.
- The agency shall be solely responsible for providing and maintaining all required insurances, ESIC etc. of its personnel's (medical, accidental insurance etc.) as is required under government laws and shall indemnify BIS against any such claims.
- Payment to the shortlisted company shall be made latest by the end of every month or at such higher periodicity as may be mutually agreed. Salarie sshall be released on the last day of the previous month even if there is a delay for reasons beyond control in release of previous payment by BIS . All payments shall be made subject to TDS under Income Tax Act and other applicable taxes to be deducted at source, if any.

- Empanelment rates shall be enhanced every year to accommodate annual increment to be given to the deployed resources, if continuity is maintained. However, the weighted average of this amount will be about 8 to 10%.
- Performance Bank Guarantee equal to 10% of the annual value of the contract which will be renewed every year failing which the same shall stand forfeited.
- EMD equal to 2% of the Bid Value shall be given by way of Demand Draft in the name of Bureau of India Standards payable in New Delhi.
- **Time limit for bid submission is 1200 hours on 13.06.2019.**

4. **Duration**: 3 years extendable to 5 years (different resources may have varying requirement of duration depending on functional requirement).

5. **Resource Requirement**

#	Key Personnel	Role	Nos.	Educational Background & Professional Experience
1	Senior Program Manager/ Senior Project Coordinator eBIS	Consultant with 10 years and <15 years exp. (Technology Profile)	1	**Educational Qualifications:** - Must have a B.E/ B.Tech. degree (preferably Computer Science failing which any other related branch of engineering with good knowledge of software development) from a reputed and recognized university or institution within/outside India, Minimum of 10 years of experience. - MBA preferable

				Experience: • Experience of business processes reengineering • Large Scale IT transformation project Implementation • Should have experience of designing of As-Is Process maps, identification and analysis of gaps and proposing To-Be processes for improved and efficient delivery of G2G, G2B and G2C services with the use of ICT. • Prior experience of interaction at senior level in the Government or outside for eliciting user requirements and getting their inputs acted upon. • Hands on Experience in getting software applications / portals developed

			for e-Governance Projects in the Government preferably for 5 years or more in large scale multi-location projects.
			• Preferably have Certification of PMP/Prince2
			• Knowledge of getting software developed in at least one software stack for development
			• Experience in project management (including roll-out, hand-holding, change-management, user feedback incorporation etc.)
			• Experience in leading team of at least 10 professionals.
2	Consultant Technology	Consultant with > 4 Years and < 6 Years exp. (Technology Profile)	1	**Educational Qualifications:** (i) Must have a B.E/ B.Tech. degree (preferably Computer Science/IT failing which any other

				related branch of engineering with good knowledge of software development) from a reputed and recognized university or institution within/outside India, Minimum of 4 years of experience.
				(ii) One-year additional experience in case of MCA
				(iii) MBA preferable
				• Large Scale IT transformation project Implementation
				• Design and architecture for Hardware/Software requirements in simple/complex heterogeneous systems environments for large projects leading to enablement of IT

				enabled service delivery of G2G/G2B/G2C
				• Should have knowledge of IT and data protection policy.
				• Must have core development & application architecture experience
				• Preferably have experience of working with leading IT companies
				• Should be well aware of Data structures, Design Patterns, Network loading, Cyber security basics
				• Should have knowledge of IT Audit Process in Government
				• Should have basic understanding of SQL and basic Database concepts
				• Should have experience of managing team of developers, testers
				• Experience of 2 years or more

				working for a government project (desirable)
3	Consultant (Technology/Management)	Consultant with >4 Years and < 6 Years exp. (Technology Profile)	1	**Educational Qualifications:** • Must have a B.E/ B.Tech. degree (preferably Computer Science/IT failing which any other related branch of engineering with good knowledge of software development) from a reputed and recognized university or institution within/outside India, Minimum of 4 years of experience. • One-year additional experience in case of MCA • MBA **Experience**: • Large Scale IT transformation project roll-out and change-management • RFP formulation for System Integration • User Feedback and Change Incorporation • System Sizing and Hardware Specs • Should be able to design and conceive

			systems to harmonize administrative requirements with technological solutions
• Should have knowledge of IT and data protection policy.
• Must have core development & application Architecture experience
• Should be well aware of Data structures, Design Patterns, Network loading, Cyber security basics
• Should have knowledge of IT Audit Process in Government
• Should have experience of managing team of developers, testers
• Experience of 2 years or more working for a government project (desirable)
4.	Solution Architecture Consultant	Programmer/Analyst with 6 years' experience	1	**Educational Qualifications:**
(iv)   Must have a B.E/ B.Tech. degree (preferably Computer Science/IT failing which any other

				related branch of engineering with good knowledge of software development) from a reputed and recognized university or institution within/outside India, Minimum of 10 years of experience.
				(v) One-year additional experience in case of MCA
				• Should have knowledge of IT and data protection policy.
				• Must have core development & application architecture experience
				• Should be well aware of Data structures, Design Patterns, Network loading, Cyber security basics
				• Should have knowledge of IT

			Audit Process in Government
			• Should have basic understanding of SQL and basic Database concepts
			• Should have experience of managing team of developers, testers
			• Experience of 2 years or more working for a government project (desirable

6. Evaluation Criteria

Technical Bids shall be evaluated as follows::

Part A: CVs of Personnel

S. No.	Matrix	Maximum Marks	Criteria
1.	Higher Qualification	7 marks	(i) M.Tech. in CS/IT: 3 marks (ii) MBA: 2 marks* (iii) Any special accomplishment in education e.g. Gold Medalist, Rank Holderetc. 2 marks
2.	Experience in Software Development and implementation	7 marks	Percentile basis on incremental experience above lower threshold

3.	Experience in working in the government sector for project implementation (including software design, development, roll-out etc.)	5 marks	Percentile basis on incremental experience above lower threshold
4.	Quality of Applications/Portal Developed in the past	13 marks	Based on study of the software development work claimed to have been done
5.	Additional Relevant Certifications	4 marks	2 marks for each subject to a maximum of 4
6.	Any specialized skills suitable for eBIS Project	4 marks	

* Not applicable in case of Serial No. 3 where MBA is essential (one mark each will be divided between other two qualification in such a case)

Note:

1. Marks for each category of personnel offered by a company shall be averaged and then weighted average shall be taken in the ratio 3:2:1 to calculate the final score.
2. Additional technical professionals may also be hired subsequently to the extent of 25% to 30% of the Gross Bid Value as per need of the eBIS Project after such price discovery as may necessary.

Part B: Company Profile

S. No	Criteria	Max Marks	Sub Criteria	Documentary Evidence
1	Number of similar work in IT consulting/ project implementation for e-Governance Projects in different organizations (above Rs. 1 crore each) like Central	8	Percentile Basis	Self-declaration by an authorized representative of the Bidder along with list of works.

	Government/ State Government/ PSU's / Autonomous bodies etc. during last 3 years viz. 2016-17, 2017-18 and 2018-19			
2	Order Value of works executed/ under execution as at 1 above in last 3 years viz. 2016-17, 2017-18 and 2018-19	7	Percentile Basis	Self-declaration by an authorized representative of the Bidder along with list of works.
3.	CMMi Level 5 CMMi Level 4 CMMi Level 3	5 3 2		

7. Commercial Bid

Bidder will be required to share the **total program management fee** for one year.

S/n	Role	Man Month Rate (in Rs)	Total fees for 60 months (in Rs.)
1	Program Manager/Project Coordinator		
2	Technology Consultant -1		
3	Technology Consultant -2		
4	Solution Architecture Consultant		
	Total Fees (excluding applicable Taxes)		
	Total Fees (including applicable Taxes)		
	GROSS BID VALUE (including Bid Value)		

Price for each of the above roles will be given as per the following break-up:

(i)   Cost to the Company (including all items in 4th bullet in para 3 above -with or without individual intem-wise details)

(ii)   Administrative/HR Overheads and other items excluding the ones covered in (i) above.

Note: List of items out of 4th bullet in para 3 above to be given to each employee being covered may be provided with or without cost-breakup

8. Penalties

Penalties shall be imposed @1% for each week of delay for non-supply of replacement manpower and for delay in other target dates mutually agreed originally. There shall be a capping of 6% after which the contract will be liable to be cancelled with a cancellation penalty of 10% besides having a discretion of invoking Bank Guarantee as well.

9. Payment Schedule

Payment shall be made on monthly basis or as agreed as above for the resources deployed.

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General Description

1. Major Components of Software

1.1 Integrated Software for Product Certification and Laboratories (ISPCL)

1. Product Certification
2. Hallmarking
3. Management Systems Certification Scheme
   - Auditor and Sub Contractor Management
4. Foreign Manufacturer Certification Scheme
5. Registration Scheme

1.2 Laboratory Management System (Independent Software)

1. Sample Collection & Report Module
2. Laboratory Recognition System (LRS)
   - Auditor and Sub Contractor Management
3. Calibration
4. Inter Lab Comparison and Performance Testing.

1.3 Product Certification, Hallmarking, Management System Certification Scheme and Registration Scheme and LRS section of lab software shall have following common features:-

    i. Application and Application Tracking Module
    ii. Fee Module
    iii. Inspection Module/Audit
    iv. IR/TR Module / Audit Report as applicable
    v. Tour Module
    vi. Remarks Module
    vii. Letter Module
    viii. Application Status Module
    ix. Auditor Registration Module.
    x. Master Entry Module
    xi. License Operation Module
    xii. Endorsement Module
    xiii. User Module
    xiv. Report Module
    xv. Query Module
    xvi. View Module
    xvii. Auditors Registration Module

    xviii.   Chat Server for internal communication.

    xix.   Existing Application Module

    xx.   Existing License/Certificate/Registration Module

    xxi.   Complaint Information Management Module

    xxii.   Help

1.4 Activities Covered under process of licensing, recognition, registration

1. Grant of License/Recognition/Registration
2. Periodic Inspection
3. Periodic Inspection (No production)
4. Visit for Verification
5. Change in scope of Licence
6. Contact Visit
7. Visit for resumption of marking
8. Market samples
9. Supervisory visits
10. Pre dispatch Inspections
11. Transfer of License
12. Initial Audit
13. Preliminary Audit
14. Renewal Audit
15. Surveillance Audit
16. Follow-up Audit

1.5 Actions covered under activities (also applicable for recognition/registration as case may be)

1. Renewal of License
2. Renewal of Deferred License
3. Deferment of the Renewal of License
4. Stop Marking
5. Resumption of Marking
6. Cancellation of License
7. Suspension of license
8. Expiry of License

1.6 Fee

1. Application Fee
2. Preliminary Inspection Charges
3. Subsequent Inspection Charges,
4. Testing Fee
5. Annual License Fee,
6. Renewal Fee

7. Marking Fee

8. Pre Dispatch Inspection Charges

9. Special Visit Charges

10. Inclusion of verity Charges

11. Late Renewal Charges

12. Others Charges i.e. Fee charged for issue of duplicate Certificate

13. GST

14. Audit Fee

15. TDS (Tax Deduction at Source)

16. Excess Payment Made, if any.

2. Major Components of the of Software

2.1 Integrated System for Certification Marks Management (ISPCL)

1. Product Certification

2. Hallmarking

3. Management Systems Certification Scheme
   - Auditor/Sub Contractor Management

4. Foreign Manufacture Certification Scheme

5. Registration Scheme

2.2 Product Certification, Hallmarking, Management System Certification Scheme, Foreign Manufacturer Certification Scheme, and Registration Scheme shall have following common features:-
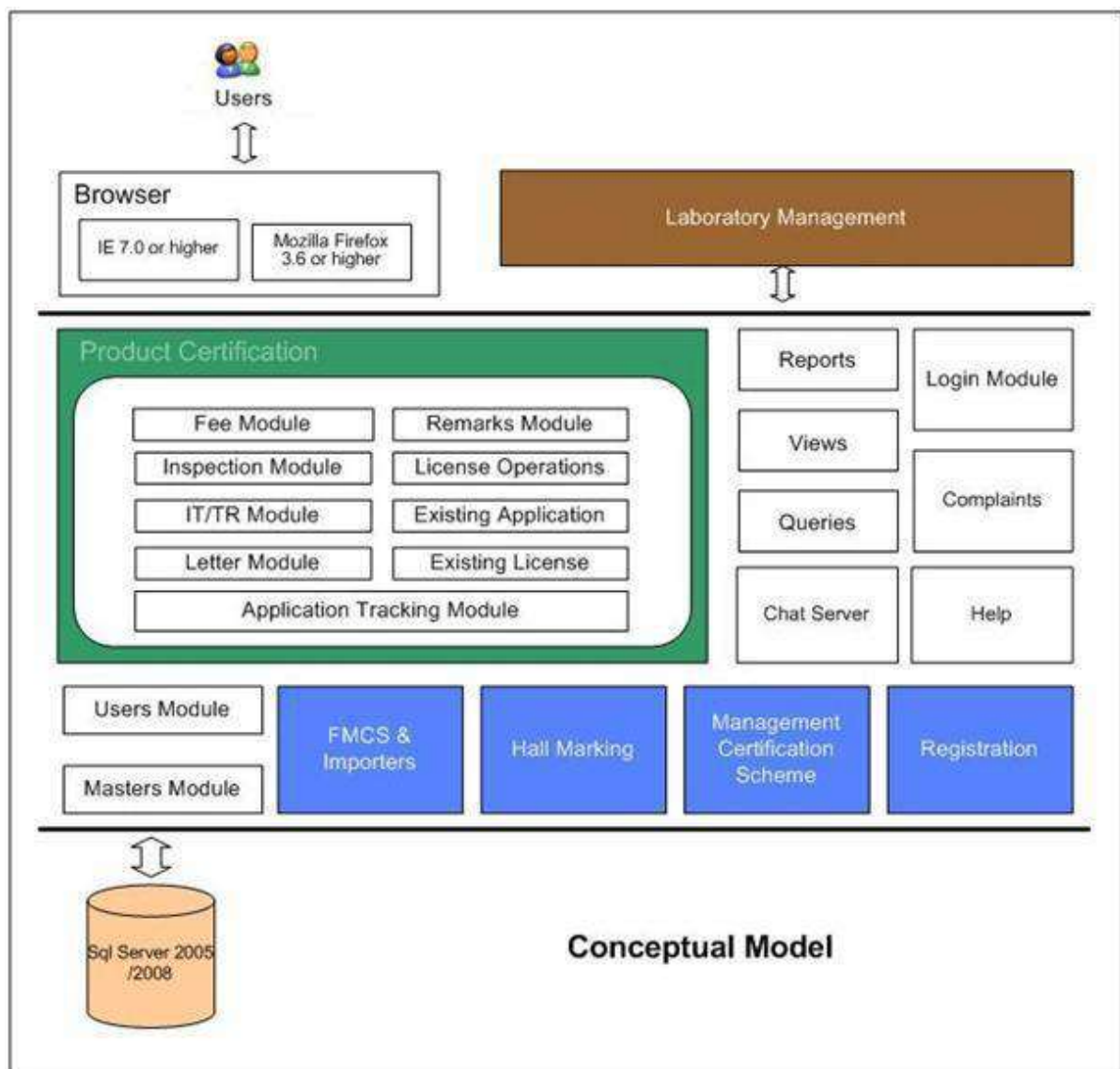
i. Application and Application Tracking Module

ii. Fee Module

iii. Inspection Module

iv. IR/TR Module

v. Tour Module

vi. Remarks Module

vii. Letter Module

viii. Application Status Module

ix. Auditor Registration Module.

x. Master Entry Module

xi. License Operation Module

xii. Endorsement Module

xiii. User Module

xiv. Report Module

xv. Query Module

xvi. View Module

xvii. Chat Server

xviii. Existing Application Module

xix. Existing License/Certificate/Registration Module

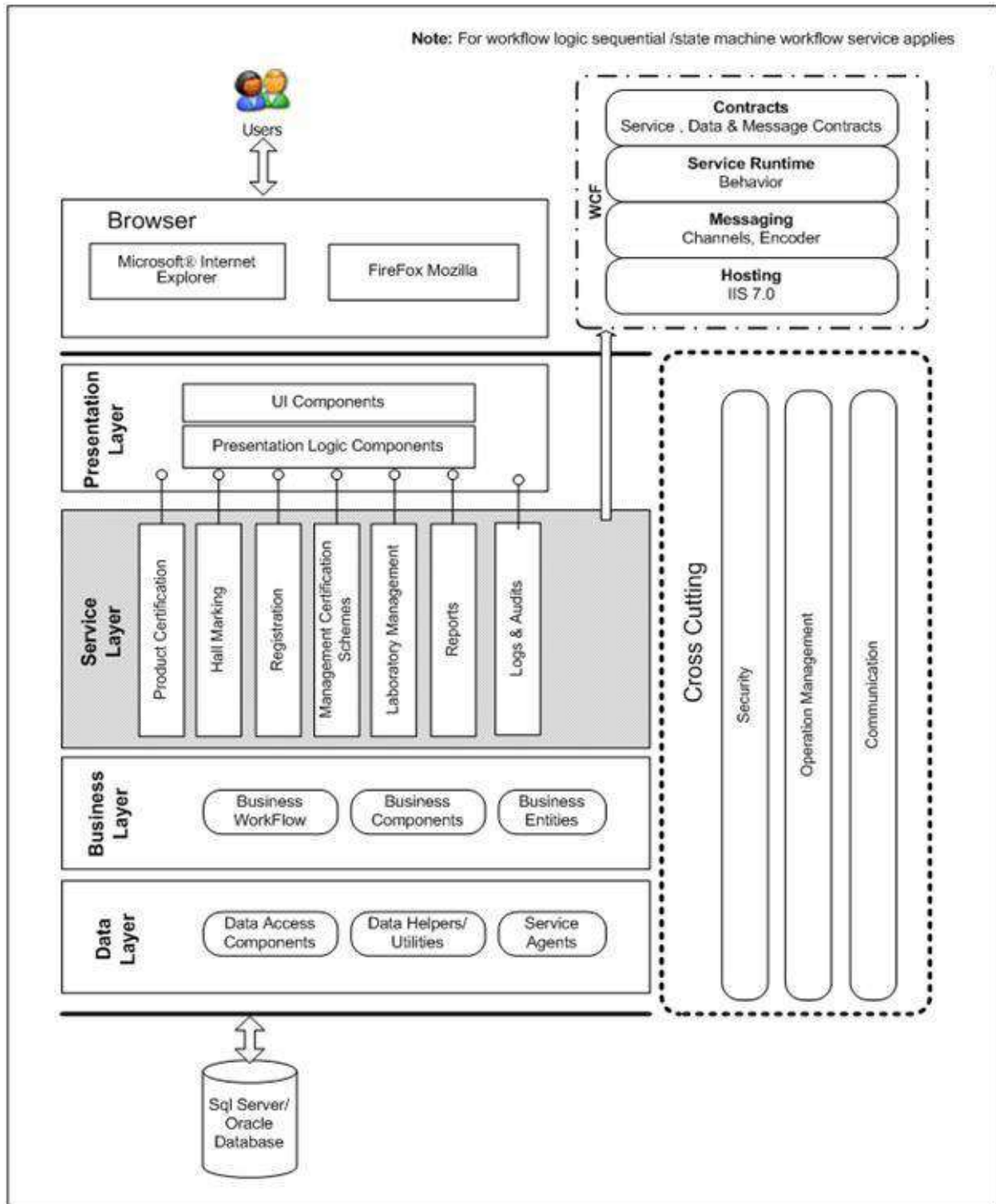xx. Complaint Information Management Module

xxi. Help

2.3 Laboratory Management (Independent Software)

1. Sample Collection & Report Module

2. Laboratory Recognition System (LRS)

   - Auditor/Sub Contractor Management

3. Calibration

4. ILC/PT (Inter Lab Comparison and Performance Testing)

Conceptual Model - Implementing SOA
(Service Oriented Architecture)

Note: For workflow logic sequential /state machine workflow service applies

Users

Browser

Microsoft® Internet Explorer

FireFox Mozilla

WCF

Contracts
Service , Data & Message Contracts

Service Runtime
Behavior

Messaging
Channels, Encoder

Hosting
IIS 7.0

Presentation Layer

UI Components

Presentation Logic Components

Service Layer

Product Certification

Hall Marking

Registration

Management Certification Schemes

Laboratory Management

Reports

Logs & Audits

Business Layer

Business WorkFlow

Business Components

Business Entities

Data Layer

Data Access Components

Data Helpers/ Utilities

Service Agents

Cross Cutting

Security

Operation Management

Communication

Sql Server/ Oracle Database

Deployment Model

BIS HQ/ NIC DC

Data Base Server

Back Up Serv...

Application Server

Internet /Intranet

Applicant /Licensee User Group

User 1 User 2 — — — — — — User n

BIS User Group

User 1 User 2 - - - - - User n

Public Domain User Group

User 1 User 2 - - - - - User n

Administration User Group

User 1 User 2 - - - - - User n

Product Certification

1. **Product Certification**

   1.1 Procedure for Grant of license: License to use the Standard Mark on a product is issued only after BIS has ensured the capability of the manufacturer to manufacture the product continuously in accordance with the relevant Indian Standard. This is ensured through preliminary factory evaluation to ascertain the capability of the manufacturer to produce goods according to the relevant Indian Standard especially with respect to raw materials, process of manufacture, manufacturing capability and quality control facilities including testing equipment and supervisory staff. Samples are tested in the factory, in order to bring out any deficiencies in test equipment/testing procedures and testing personnel as well as for spot establishment of quality of product. Simultaneously, samples are also drawn for testing in the independent laboratories for assessing conformity to the relevant standard. The manufacturer is required to agree to operate a well defined Scheme of Testing and Inspection (SIT) or Manufacturer SIT as approved by BIS from time to time, which inter-alia prescribes the specific tests and the frequency for conducting them. In order to meet the expenditure incurred by BIS in operating the License, the manufacturer also has to agree to pay a marking fee fixed by BIS for the product. License is granted only after the manufacturer agrees to these conditions and if the factory inspection and test reports are satisfactory.

   After the grant of license, BIS carries out surprise periodic surveillance visits by technical auditors. During these surveillance visits technical auditors check that the manufacturer is following the prescribed STI and all relevant requirements. Sample(s) are also tested in the factory to ascertain whether the product conforms to the requirements of the relevant Indian Standard(s) and that the test results observed correlate with the test records maintained by the manufacturer. Samples are also drawn from the factory for testing at BIS laboratories or other laboratories recognized by BIS to ensure that the goods are in conformity with the relevant Indian Standard. In addition, samples are also drawn from open market for testing in BIS/other recognized laboratories. Complaints from the consumers are also thoroughly investigated. Through all these controls, it is ensured that the goods bearing Standard Mark conform to the relevant Indian Standard, when manufactured and tested on continuous basis according to the relevant Scheme of Testing and Inspection

   1.2 Certification Marking Fees: The basic spirit behind the realization of Certification Marking fee for any product is to meet administrative and the related developmental and surveillance expenses incurred by BIS for rendering the necessary services in relation to certification of product. These include the testing charges, cost of market samples, administrative overheads, cost of development of standards, cost for investigations etc. With a view to encourage certification activities in the small scale sector, and to reduce the burden on account of low volumes of production a lump sum concession is given to units registered as small scale industries. While fixing the marking fee for a given product a unit rate is decided depending on nature and quantum of its production. There

is also a provision for the minimum marking fee recoverable from the licensees during the course of an operative year. The minimum marking fee so decided for a product ensures collection of expenses incurred in operating a given License. The applicant is required to give his acceptance of marking fees prior to the grant of license. The rate of marking fee and manner of charging marking fee calculated on the unit rate for the article/process is indicated under the second schedule of the License document issued to the licensee

1.3 Certification Advisory Committee

SIT: BIS exercises a practice called STI (Scheme of Inspection and Inspection) which is a tool for in-process control in production for a given article/process. In order to ensure consistency in the evaluation of product conformity to specification, the licensee has to follow an agreed Scheme of Inspection and Testing (SIT) while exercising his self marking rights and maintain records of the test results. SITs are available for all products under Certification. When an applicant applies for getting Certification License, relevant Scheme of Inspection and Testing (SIT) is brought to his notice which he is required to accept and implement after grant of license. An applicant or licensee may request for modification in the SIT which can be agreed by the Activity Head of Certification after preliminary factory evaluation. The acceptance of the document by the applicant forms a pre-requisite for the grant of license.

Certification Process at BIS

Fig: Product Certification Process
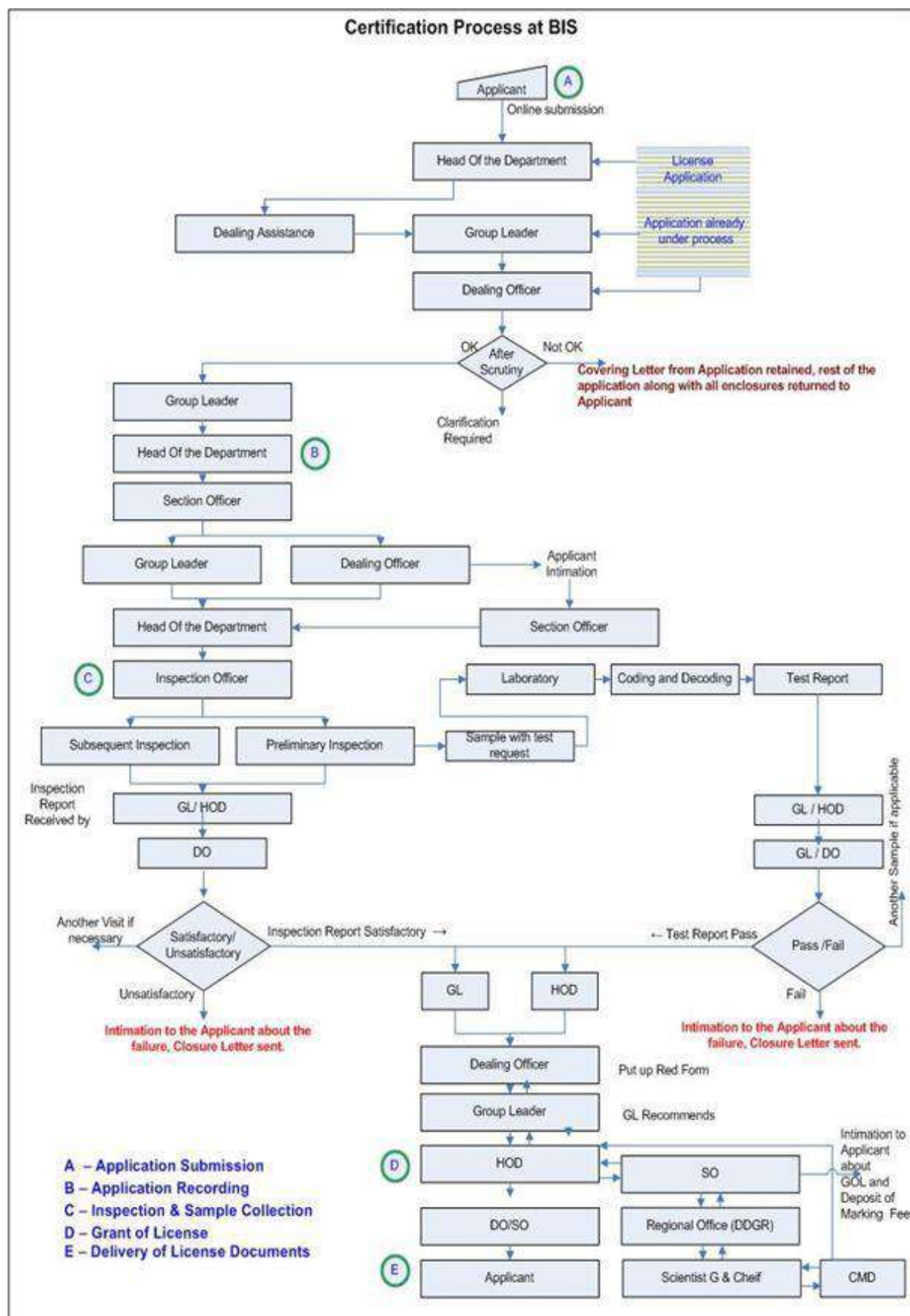
1.4 There are two procedures in Product Certification Process:

i. Normal Procedure

ii. Simplified Procedure

1.4.1 Normal Procedure

Normal Procedure is to obtain Marks Certification from BIS through filling up online application and meeting the pre-requisites as desired by BIS according to IS norms. In normal procedure, applicant applies online for certification for the product he/she is manufacturing. Applicant will get registered with BIS and after getting credentials will fill up online application, furnish necessary documents and details pay requisite fee, gets inspected production setup and testing of product. On passing the test and getting satisfactory inspection report, applicant is granted License to use Mark on the product. License is granted within 120 days from the date of application.

1.4.2 Simplified Procedure

Simplified Procedure is similar to normal procedure except, applicant gets sample tested from BIS approved lab and furnishes the lab report while applying. This is the Fast-Track process and license is granted within 30 days from the date of application submission. BIS reviews the documents, conducts inspection and testing but license is granted on the basis of lab report furnished by the applicant and subject to satisfactory inspection report. In case, any deviation or failure in noticed in the reports the same is communicated to applicant and asked for rectification. Chance is given to improve the process or product quality as per the given standards. If applicant meets the requirements, he is allowed to continue with. In case of second failure again mercy chance is given. If still fails to implement then is cancelled. The major benefit of this process is that applicant gets as he meets the requirements defined in simplified procedure.

First applicant shall register with BIS through registration module. In the registration module applicant will be getting user id and password along with list of the documents containing general procedural guidelines pertaining to product certification, check list of the documents to be submitted to the BIS, Payment details etc.

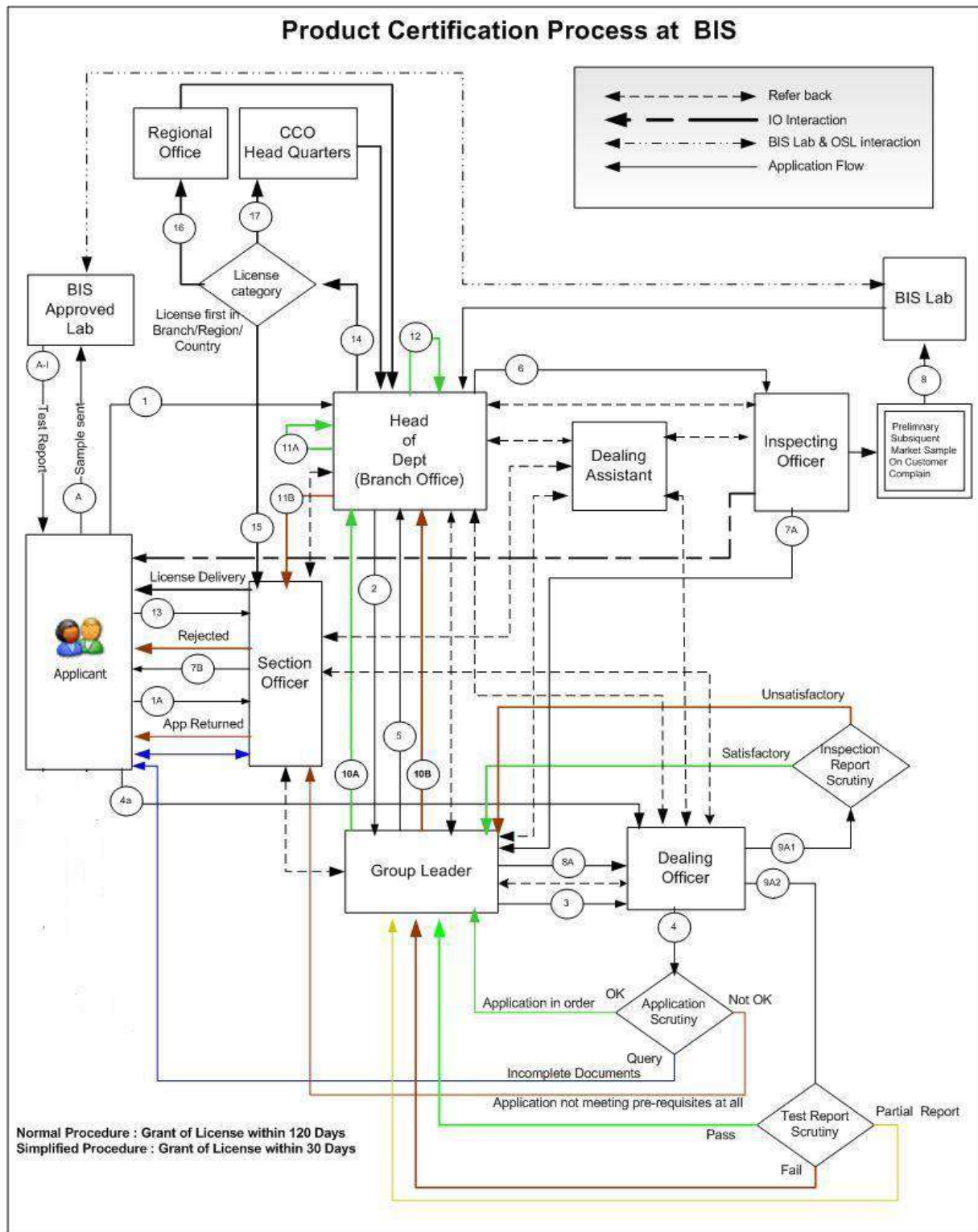## Product Certification Process at BIS

Fig: Product Certification Workflow at BIS

1.4.3 Product Certification Process

First applicant shall register with BIS through registration module with help of user ID and Password.

Registration: (Pre-Requisites)

- Registration should be on the name of firm.

- Registration form should capture three types of Addresses Company registered, factory address and preferred address.
- There should be functionality when a check box is clicked against the repeated nature of address; the same should be copied on check event.

In case of Online Application Submission

Applicant has to register with the BIS for getting the user-id and password. In the registration module applicant will be getting user-id and password along with list of the documents containing general procedural guidelines pertaining to product certification, check list of the documents to be submitted to the BIS along and the fee details.

Constraints

A. Individual registration should not be allowed. Check on firm registration number.
B. Applicant must provide the mail ID for the interaction
C. Mandatory of capturing the service he/she interested (Product certification, Hall Marking, Registration or others)

Step 1

Applicant

1. Applicant fills up application online in the prescribed format.
2. A single application to be filed for all type/grade/sizes of the products under one IS.
3. Uploads documents against check list.
4. Makes payment using payment gateway/ net banking / direct debit or by Demand Draft in which Demand Draft will be entered online.
5. Confirms the submission of the application.

Alerts, Validations and Constraints

A. Alert to DO regarding new application.
B. Mail, alert shall be sent to HOD regarding submission of new application.
C. Mail shall be sent to applicant acknowledging the submission of his application.
D. Payments shall be reflected in BIS account immediately in case of online payment.
E. The system should not allow the applicant to proceed further if documents are not uploaded.
F. The system should be intelligent enough to categorize and label the documents automatically.

Features

1. Applicant should be able to fill up online application as per the given format.
2. Applicant should be able to upload documents in image, doc, pdf format to a specific folder (named on applicant) against the given check list by BIS.
3. Applicant should be able to delete and re-upload incase of erroneous uploading of the documents (Scanned copies etc).
4. Applicant to have options of the various Online payments.
5. Applicant must have a preview of the list of uploaded documents.

6. System should be capable enough to restore process from the last saved point in case of application failure or power failure etc.

7. There should be functionality to route application to appropriate BO depending upon the selection of the applicant.

8. Application should be addressed to Head of the Department of the branch.

9. Functionality to maintain a record of all the payments, dues and credit notes of the individual account (as against the Application ID).

10. There must a flexible system for naming the documents which are to be uploaded on site.

11. As soon as applicant submits application, mail to be sent to concerned HOD and DO of the Branch.

12. There should be necessary checks if no document is uploaded and system must suggest applicant to upload necessary documents. There should be mechanism that applicant will not be able to upload where necessary (mandatory) Like Payment, SSI etc are not provided during filing the application.

   - Status- Application Route Marked to HOD

Constraints

A. Individual registration should not be allowed.

B. Applicant must provide the mail ID for the interaction.

C. Mandatory of capturing the service he/she interested.

D. The service is he/she interested (Product certification, Hall Marking or Registration).

Step 1

Applicant

1. Provides to DO requested information (by uploading relevant documents, by entering necessary modification in the application entries) (these tasks will be completed when application in account of DO).

Alerts, Validations and Constraints

A. Application Status to the DO/GL/ HOD

B. Step 1 shall be initiated

Features

1. Applicant should be able to upload necessary documents as sought by BIS.

2. Applicant should be able to make payments as requested for against the inspection charges. (Preliminary).

Step 2 (Optional)

GL/DO

1. GL/DO forwards application to HOD in case of

   o Recommending of recording of application.

     o   Recommending of returning of application.

2. GL refers back the application to DO in case of clarification required for recording or rejection.

Alerts, Validations and Constraints

A. Step 1 shall be initiated in case item 2 of step 2

Features:

3. Application visible in pane showing Sl. No., Name of firm, Date of application, Procedure Type,

4. GL/DO should be able to view application

5. GL/DO should be able to view uploaded documents

6. GL/DO should be able to view payment details.

7. He must able to take action on application. i.e.. Space for giving recommendation

8. He should be able to state reason for rejection.

9. He should be able to forward application to DO for discussion and remarks columns for topic of discussion.

10. Feature to forward application to HOD or other appropriate officer.

    • Status Application Route -- Marked to HOD

Step 3
HOD

1. Approval in case of
    o   Recording
       • Assigning IO
    o   Returning
       • Forwarding Application to GL/DO for action application.(status closed)

2. Refer back to GL/DO in case any clarification
    o   Forwards to GL/DO

Alerts, Validations and Constraints

A. Mail intimation to the applicant regarding the recording of application with number, fee details or rejection of the application with stated reasons for rejection

B. Rejection letter should be generated and sent to the applicant as attachment

C. System shall generate permanent application number on approval of recording the application and intimation to the concerned GL/ DO regarding the same

D. Step 2 shall be initiated in case 6.2

E. Request mail to applicant for payment for the inspection fee and other charges. Enabling payment option for the applicant (like inspection fee, GST etc.,)

F.   **Features**

1. Application visible in pane showing Sl. No., Name of firm, Date of application. Procedure Type

2. HOD should be able to view all the remarks given by DO and GL

3. In case of recording application, software must have provision to generate application No. and same to be mailed to applicant. (3. Letter Generation regarding Recording of Application Refer Application Recording).

4. As the application is recorded, there should be email function through that Brand Name Proforma,

5. HOD should be able to see the list of IOs and assign inspections (workload) to IOs.

6. HOD should be able to assign IO for the application that has been recorded.

7. HOD should be able to forward application to IO in recording case and he should be able to give remarks/directions if any.

8. HOD should be able to forward application to GL/DO in case of clarification /discussion and able to enter his remarks for discussion.

9. HOD should be able to record grounds of rejection.

10. In case of rejection, system should send SMS/mail to Applicant.

11. There should be provision to record application status Returned.

12. HOD should be able to forward application to IO with the necessary guideline to inspect the firm.

- Status Application Route ---Marked to IO

Step 4

IO

1. Makes a checklist for preliminary inspection,(link should be available in Inspection pane of the software to refer online pdf)

2. Makes entry in movement register- viewable by HOD only (Tour Log).

3. Filling up test request in the prescribed form

4. Labeling of samples-generation of labels

5. Fills up the inspection report & submits the same

6. Updates movement register after the inspection (inbound).

Alerts, Validations and Constraints

A. Payment status of the inspection should be received/ yes

B. Mail Alert to the concern LAB without showing the identity of the manufacturer. Alert can show No. of samples, IS No, Name of the BO.

C. Making availability of Inspection report to the concern DO,GL and HOD

Features

1. Application visible in pane showing Sl. No., Name of firm, Date of application, Procedure Type, IS No.

2. IO should be able to view application

3.   IO should be able to view uploaded documents

4.   IO should be able to view payment details.

5. IO should be able to see checklist/Guidelines (in PDF form) required for preliminary inspection or other inspection as appropriate.

6. IO must able to make movement entry Movement -Out that is viewable by GL/HOD other than IO (Entries in Tour Log)

7.   There should be a provision in software where IO fills up test request against the application.

8. There should be provision in the software to accommodate multiple type of testing (chemical, mechanical, bacteriological, physical etc.) from a given sample No..

9. There should be a provision to Lab side software to make bifurcation of the sample No. sub numbers under the single number against the same sample No. and the result of sub test can be recorded in that.

10. Service should be capable to push all attributes of test request so that these are captured at lab software and similarly there should be service that push details of all types of test in test report partial test report that makes the availability of whole report at ISPCL software. Alternatively there should be provision at lab software that the scanned copy of test report are uploaded in ISPCL against the given sample

11.   There should be provision to generate sample labels.

12. There should be provision to have auto- manual sample code generation pertaining to applicant, branch and IO and date of collection.

13.   There should be provision to record the No of samples collected,

14.   There should be provision accept more than one sample against one test request.

15. There should be provision for IO to submit the Inspection Report and Test Request online. There should be service that communicates with the lab management software regarding acceptance of test request (open position to receive the stated sample).

16. There should be feature in the software where IO can have status of the lab in respect to accept the sample. Some suitable service that brings data to ISPCL application regarding lab.

17. There should be provision to save the Test request and push action to run as service. There also should be provision to edit the saved data and push action is ready once IO is sure to submit Test Request.

18.   As IO submits the Test Request, the service should release data that is to be captured by lab.

19.   Test Request should be part of Inspection Report.

20.   There should be provision for IO to fill up inspection report as per the prescribed format.

21. When IO submits inspection report a message should go DO/GL and HOD stating that Inspection report has been submitted by IO.

22. There should be a provision that every inspection report is recorded against the application No/license Number.

23. IO should be able to forward application to DO/GL/HOD and Inspection report should be visible to DO/GL/HOD.

24.   GL/HOD Forwards Inspection report to DO for further action.

25. After the inspection is over, IO should be able to make entry in movement register to make **Movement –In**

Step 5

Laboratory

1. Making entry regarding the sample received.
2. Updating test report (by making entries or uploading scanned documents).

Alerts, Validations and Constraints

A. Provision to upload the report as scanned documents.

Features:

1. Lab Management Software must have suitable interface to receive the service contents (Contents of Test Request pushed by IO during or after inspection).
2. More features of laboratory……….(not a part of this application).
3. There should be a provision to communicate the Test Report results in form of the fractional data (as a service) for all types of reports complete report, partial report, interim report.
4. There should be a provision in the Lab Management software to forward a scanned copy of the Test Report Results.
5. There should be an email function whenever any Test Report is entered in Lab Management Software, a push service for the Test Report Data for uploading to software and email intimation to HOD and DO of the Branch .
6. There should be provision to feed data from Lab for all kind of test report i.e.. Complete Report, partial report, or part of the report as the case may be.

Step 5

GL/HOD

1. Record his remarks
2. Forwards Application to DO with Inspection Report
3. On Receive of Test Report Forwards IT to DO.

Features

1. Application visible in pane showing Sl. No., Name of firm, Date of application. Procedure Type, IS No
2. GL should be able to view application
3. GL should be able to view Test Report.
4. GL should be able to view Inspection Report
5. Provision to forward application to DO

   • Status Application Route -- Marked to DO   .

Step 6A1 (Inspection Report Scrutiny)

DO

1. Review of the inspection report and follow up for pending actions.
2. In case of IR is in complete or any missing information seek clarification and refer back to IO.
3. Forwards application to DO/GL/HOD with his remarks (remarks may be satisfactory or unsatisfactory)

Alerts, Validations and Constraints

A. Intimation mail to the concerned IO, DO/GL, HOD regarding the status

Features

1. Application visible in pane showing Sl. No., Name of firm, Date of application. Procedure Type, IS No
2. DO should be able to view application
3. DO should be able to view uploaded documents
4. DO should be able to view payment details.
5. DO should be able to view Inspection Report.
6. DO must have the option to forward back application to IO for clarification.
7. There should be provision where DO will record his response pertaining to Inspection Report.
8. Ability to capture response Satisfactory/Unsatisfactory.
9. Provision to take print of the remarks.
10. DO should get alert for the samples not reached to lab within the given time frame.(Time frame to be decided by the BIS).
11. Feature to forward application to GL or other appropriate officer.

- Status Application Route-- Marked to GL

Step 6A2 (Test Report Scrutiny)

DO

1. Review of the Test report and follow up for pending actions from the Lab
2. Forwards application to GL with his remarks (remarks may be Pass or Fail)

Alerts, Validations and Constraints

A. Intimation mail to the concerned GL/HOD

Features

1. Application visible in pane showing Sl. No., Name of firm, Date of application. Procedure Type, IS No
2. DO should be able to view application
3. DO should be able to view uploaded documents
4. DO should be able to view Test Report.
5. DO must have the option to request clarification from the concern LAB
6. There should be provision where DO will record his response pertaining to Test Report which may be:

      a.   Partial

      b.   Full

7.   Ability to capture the result of DO

8.   Pass (With Stated Reasons)

9.   Fail (With Stated Reasons)

10.   There should be provision to make entries regarding no. of TR received and No of TRs pending, partial report. There should be provision DO to update this information.

11.   Provision to take print of the remarks

12.   Feature to forward application to GL or other appropriate officer.

- Status Application Route-- Marked to GL/HOD

Step 7 A (PASS)

GL

1.   Scrutinize the red form and make recommendations to the competent authority (CA)

Alerts, Validations and Constraints

Features

1.   Application visible in pane showing Sl. No., Name of firm, Date of application. Procedure Type

2.   GL/DO should be able to view application

3.   GL/DO should be able to view uploaded documents

4.   GL/DO should be able to view payment details.

5.   GL/DO should be able to view Inspection Report.

6.   GL/DO should be able to view Test Report.

7.   GL/DO should be able to give his recommendation for Grant of license.

8.   GL/DO must have a feature to forward the application to any of the Officer i.e. IO, DO for any clarification.

9.   Feature to forward application to HOD for GOL (Grant of license).

- Status Application Route -- Marked to HOD.

Step 8A (PASS)

HOD

1.   Considers recommendation of the GL and records his decision

2.   For first cases in the branch for any IS HOD makes the recommendation to DDGR/DDG Certification for Grant of license.

Alerts, Validations and Constraints

A.   In case of Step 11A Item Number(2) step 16 shall be initiated

Features:

1. Application visible in pane showing Sl. No., Name of firm, Date of application. Procedure Type

2. HOD should be able to view application

3. HOD should be able to view uploaded documents

4. HOD should be able to view payment details.

5. HOD should be able to view Inspection Report.

6. HOD should be able to view Test Report.

7. HOD should be able to record his Remarks /Decision.

8. There should be provision that BO(HOD) should have information regarding the first and second license in branch.

9. There should be provision that BO (HOD) has the information regarding the license first in the region and first in the country the same information should be available to RO and to CCO.

10. There should be a provision for sending intimation to applicant, regarding grant of license and request for depositing Marking Fee by online fee payment

11. Provision to forward application for Marking Fee Collection

12. Provision to Refer back with comments to GL/DO

13. Provision to HOD for Marking Red form to any officer for independent scrutiny

- Status Application Route-- Marked remains with HOD until marking fee is received.

Step 8 B (FAIL)

GL/DO

1. Verification of the DO's Report and recommends for rejection

2. Chance is given to applicant for testing fresh sample (IO)

3. Forwards to HOD in case of proposal of closure of application.

Alerts, Validations and Constraints

Features:

1. Application visible in pane showing Sl. No., Name of firm, Date of application, Procedure Type, IS Number

2. GL/DO should be able to view application

3. GL/DO should be able to view uploaded documents

4. GL/DO should be able to view payment details.

5. GL/DO should be able to view Inspection Report.

6. GL/DO should be able to view Test Report.

7. Provision for comments by GL/DO

8. GL/DO must able to forward application to HOD

9. GL/DO must have a feature to forward the application to any of the Officer i.e. IO, DO for any clarification.

10. Feature to maintain the status of application as Under Grant of license or as appropriate.

- Status Application Route -- Marked to HOD.

Step 11B (FAIL)

HOD

1. To consider recommendation for second chance or issue of closure notice

Alerts, Validations and Constraints

A. In case of second chance DO will send intimation to Applicant
B. Closure notice is sent to Applicant

Features

1. Applications to be visible in pane showing Sl. No., Name of firm, Date of apply. Procedure Type
2. HOD should be able to view application
3. HOD should be able to view uploaded documents
4. HOD should be able to view payment details.
5. HOD should be able to view Inspection Report.
6. HOD should be able to view Test Report.
7. HOD should be able to print Closure Notice (5. Letter Generation. Refer letters of existing software)
8. Feature to maintain the status of application as closure notice issued.

Step 12

HOD

1. HOD shall consider grant of license.
2. HOD may seek clarification and refer back the RF to GL/DO

Alerts, Validations and Constraints

A. Alert mail to the applicant, informing the grant of license
B. Alert mail to the applicant, requesting for the payment of marking fee. (Refer Letter 9. Existing software)
C. Payment module should be enabled for the applicant with marking fee in default mode

Features

1. Application visible in pane showing Sl. No., Name of firm, Date of application, Procedure Type
2. HOD should be able to view application
3. HOD should be able to view uploaded documents
4. HOD should be able to verify application fee, inspection fee, and marking fee (all payment details)
5. HOD should be able to view Inspection Report.
6. HOD should be able to view Test Report.
7. HOD should be able to see all the remarks against an application in chronological.

8.   HOD should be able to his own previous responses on the application.

9.   HOD should be able record his decision regarding grant of license in Red Form.

10.   Provision to print Red Form by DO/SO.

11.   Feature to maintain the status of application as Under Grant of license or as appropriate.

- Status Application Route-- Marked remains with HOD.

Step 13

Applicant

1.   Payment of the marking fee.

Alerts, Validations and Constraints

A.   Intimation mail regarding the same to the concerned DO, GL and HOD.

B.   Applicant should be able to pay Marking Fee online .

C.   The feedback should be justified to application account for which is due against the whole process of grant of license.

D.   System should acknowledge the receipt for the payment made.

Features

1.   Provision to make payment online.

Step 14

HOD

1.   Issuing Grant of license (Issuing Documents)

Alerts, Validations and Constraints

A.   Intimation mail regarding the same to the concerned DO, GL, and HOD

B.   Alert mail to the applicant, informing the issuance of CML Number

Features

1.   Application visible in pane showing Sl. No., Name of firm, Date of application Procedure Type, IS No.

2.   Provision to generate CML number and party code.

3.   Provision to send intimation to Regional Office regarding Grant of license, Licensing Authority, Date of grant of license, CML No, and User ID.

4.   Status of Application is updated to License.

5.   Status of the made Operative from the date of issuance of and ready for publishing on website (public domain)

6.   HOD should be able forward application DO/GL as appropriate for closing the application. Any one status:

- Status Application Route -- Marked to DO.
- Status Application Route -- Marked to DDGR.

- Status Application Route -- Marked to CCO.

Step 15

DO

1. Takes print of document (refer documents).
2. Makes delivery of Documents to Applicant.
3. Application gets converted to License.

Alerts, Validations and Constraints

Features

1. Application visible in pane showing Sl. No., Name of firm, Date of apply. Procedure Type
2. There should be provision for DO to take print out of license documents
3. DO is able to make Endorsement.
4. DO is able to close application status.
5. DO is able to take print of the document (Refer documents of Existing software) as per the specified format (with n… number of documents).
6. Able to email documents to applicant.
7. There should be a feature that documents are digitally signed.
8. Able to attaché necessary guidelines to keep operative.
9. Able to attaché necessary guidelines in case of any failure, inoperative, deferred, Stoppage of Marking (SOM), Resumption.
10. Able to attaché helpline numbers.
11. Able to attach a feedback proforma pertaining to service rendered.
12. License documents should be delivered in secure and authenticated way (Implementation to Digital Signature- function implementation on the discretion of BIS).

- Status Application Route -- Marked to DO.

Step 16 (In first case in the Country)

Scientist G and DDG (Certification)

1. DDG (Certification) shall consider grant of license.
2. DDG (Certification) may refer the file to CMD –II or CMD-III depending on the IS of the product.
3. DDG (Certification) may seek clarification and refer back to DDGR.
4. DDG (Certification) may Grant License based on the recommendation of CMD-II/CMD-III.

Alerts, Validations and Constraints

A. Alert mail to the DDGR, informing the grant of license, Clarification.
B. In case of clarification, 16 shall be initiated.

Features

5. Application visible in pane showing Sl. No., Name of firm, Date of application, Procedure Type, IS No.

6. DDG (Certification) should be able to view application

7. DDG (Certification) should be able to view uploaded documents

8. DDG (Certification) should be able to verify application fee, inspection fee, and marking fee (all payment details)

9. DDG (Certification) should be able to view Inspection Report.

10. DDG (Certification) should be able to view Test Report.

11. DDG (Certification) should be able to forward the file to Head CMD-II/CMD-III.

12. Head CMD-II/CMD-III shall also be able to view all documents related to application and forward the same to concerned Dealing Officer for scrutiny and forward the same to DDG(Certification) with their recommendations.

13. DDG (Certification) should be able record his decision regarding Grant of   license or clarification

14. DDG (Certification) should be able to forward application to DDGR in case of Grant of license or Clarification.

1.1.1. Application and Application Tracking Module

This will be the primary module of the ISPCL software through which a new application will be processed for grant of license. This will also have an application tracking system that will hold the status of application during the various stages of the application process.

The application tracking system will hold the status of application, provision to mark application to designated officials, listing all the applications those have been marked to an individual officer and various links available to officer so that he can complete related tasks coming under the particular stage of process. This will be basically an integration module that will hold all the links at appropriate level with given privileges or rights for an individual (Application User).

Features

1. There should be mechanism where application is tracked throughout the application lifecycle.

2. There shall be distinguishing stages of application i.e. 1. New Application 2. Application Recording 3. Inspection 4. Reporting 5. Discussion/Clarification 6. Granting License   7. Application Closure

New Application

- When any new application is submitted directly by the status of the Application Stage for submitted application should be changed to new application and it should be visible on the pane when New Application menu is clicked under the Heading Application Process. For process implementation refers Step 1 and Step 1A.

- Software should have the function where applicant has the option to choose District, IS and related branch where he intends to submit the application. Information related to the District, IS No. Branch to be picked up from Master Entry Database.

- Applicant shall be notified by mail that his application has been received and is under scrutiny.
- Temp Application status should be communicated to Applicant when HOD marks the application to Group Leader at step 2.

Application Recording

- As soon as Group Leader forwards the application to HOD for recording, the status of application stage should change to Application Recording and the application should be available in Grid View when HOD clicks on Application Recording Stage and it should not appear under any other stage i.e. inspection, reporting etc. For process implementation refers Step 5.
- Mail should be sent to Applicant regarding the status of the application showing application under process.
- In case of outright rejection, status should be recorded as Application Rejected and this functionality should be available to HOD/GL/DO.

Inspection

- Application stage status should change to as Inspection when HOD marks application to IO. Refer Step 6 for implementation.
- Intimation mail should be sent to applicant stating Application under Inspection stage.
- There should be a provision that facilitates planning for inspections, re-scheduling the inspection that includes original date, new date, and reasons for change (rescheduling).

Reporting

- Application stage status should change to Reporting as IO conducts Inspection and submits Inspection Report. Refer Step 7A for implementation.
- Alert should be provided to HOD/GL/DO when inspection report is submitted by IO.

Discussion

- Application stage status should change to Discussion whenever any officer/staff marks application for clarification/Discussion to concerned officer. All the applications marked for discussion will appear under the links discussion. Refer back action may be needed at any the stage.
- Once discussion point is over (Refer back) application logic should change to appropriate stage when officer/staff marks application to other officer.
- No intimation mail to Applicant at this stage.
- However BIS user may use Reminder Feature of the software in case anything is needed to be communicated to Applicant or if some information is awaited from applicant.

Granting License

- Application stage status should change to Granting License as DO forwards the application along with Red Form to GL.
- Provision should be available for GL for seeking clarification/Discussion.
- Intimation mail to Applicant regarding status of Application/Clarification/GOL.

Application Closure

- Application stage status should change to License Granted when License Documents are generated as a final output of the process. Refer process implementation Step 14
- There should be a provision to change status Application Returned due to reasons such as non compliance of pre-requisites. Refer corresponding Step at which the application is being returned.
- Provision shall be available for HOD/GL/DO to view the change of status.
- The license Number should appear against the pending application for which license has been granted.
- Provision to record the reasons for closure of application. These reasons should be retrieved from the remarks/reasons given by the competent authority. Competent Authority may state or choose from the predefined reasons while closing the application.

3. Software should hold logics separately for Normal Procedure and Simplified Procedure for managing count of days of pendency of application in each stage of its life cycle. These No of Days logics should be fully user defined. (For example- HOD shall have the right to set/ reconfigure the period for stay under each stage and the system should generate appropriate alerts in case of application is pending period goes beyond the defined period).

4. Software should have the feature to Re-Route the application.

5. There should be a feature that at the end of every stage of application lifecycle (except Discussion) Applicant gets intimation regarding the progress of application.

6. Work flow should have consistency.

7. Software should have the functionality of showing pending status report at a glance

8. There should be a provision for the applicant to make modifications to his submitted application. However, the original record should also be available in the system and the modified record (along with date of modification) should be available for further processing.

9. System should automatically update status of Application Returned, Recorded or Closed, Granted as the case may be.

10. In certain cases applicant is shifting factory premises in the jurisdiction of other branch with consent of BIS, there should be a provision to transfer the license to new branch. However it should also preserve the details of the activities pertaining to previous Branch.

1.1.2. Fee Module

Fee Module will manage Fee Collections of all type of requisite fees paid for obtaining license and license operations. Fee type includes:

1.   Application Fee

2.   Preliminary Inspection Charges

3.   Subsequent Inspection Charges,

4.   Testing Fee

5.   Annual License Fee,

6.   Renewal Fee

7.   Marking Fee

8.   Lot Inspection Charges

9.   Special Visit Charges

10.   Others Charges i.e. Fee charged for issue of duplicate Certificate

11.   GST

12.   Late Renewal Fee/

13.   Audit Fee

14.   TDS (Tax Deduction at Source)

15.   Excess Payment Made, if any.

Marking Fee: Minimum Marking Fee + Actual Marking for the number of items (units) produced in 9 months for the current operative year.

This module will hold the check box selection option for the given type of fee and on checking, the check box will automatically fill up the column and will also automatically calculate the minimum marking fee and actual no of units produced during the current operative period and the additional making fee payable to BIS on account of actual production (Basis for calculation will be provided by BIS). This module will record all the information against the application ID and License ID or the reference to the other act where fee/charges are charged from the party by the BIS under the existing policies and provisions.

Design of the fee module will have all the elements/attributes that are in practice of existing system. In addition there will be a convenient mode of making payment online, Fund Transfer or as desired by BIS and suitably integrated with main application at appropriate stage of fee collection. There should be necessary arrangement to payback for over drafted (excess) payment (provisions for making credit notes), currency conversion wherever applicable. This module will be suitably integrated with applicant to put him at ease for making payment during filling up online application, during the application stage i.e. paying inspection fee, marking fee etc in the selected mode.

The system should acknowledge and should generate a receipt showing break-up of the payment for every instance of the fee paid (successful transaction of payment to BIS) and available to both the parties. All the transaction should be completed unambiguously irrespective of the branch. This module should be developed as per the financial accounting guidelines that shows debit, credit and balance clearly against the application (Temp or Permanent)/ License ID.

Features

1.   Applicant should be able to make payment online.

2.   Applicant should be able to make payment through Net Banking

3.   Both (Applicant and BIS) should be able to print invoice cum fee receipt.

4. There should be a provision for generating Invoice-cum-Receipt showing breakup of the payment made and a feature to take a print.

5.   Software should have the function of generating form AC15.

6. There should be function where SO can take print out of details of the payment made during the day.

1.1.3. Inspection Module

Inspection Module shall accommodate details of all types of inspections/audit required for grant of license and later required for license operations. All the entries will be against the application ID / License / Certificate / Registration / Recognition. This module will also facilitate to record the other information like type of inspection, Number of inspection, date, place, details of inspecting officer and other information that is in practice in BIS for their business operations. Entries in this module are to be made by Inspecting Officer/auditors. This module will facilitate to capture the complete information pertaining to inspection/audits and recording the same in the prescribed format. An application can have n… numbers of the inspection details. However, independent audit module can be developed to reduce complexity. Audit module shall record the details of Initial Audit, Surveillance audit, Follow-up Audit, Verification visits etc.

This module will also facilitate an inspecting officer to make Test Request, generate sample codes as defined in the work flow, generate labels, necessary services required to push test request to Lab software and necessary interface to receive data that is pushed from Lab software. This test request module will facilitate to capture data for all types of tests as discussed in workflow and the manner in which, the test result is requested.

Features

1. In addition to the features stated at Step 7A in product certification, there should be feature where IO can Plan for Inspection where ever applicable.

2.   There should be a feature where previous inspection can be viewed.

3. Provision for recording Sample details, generating labels. Provision for filling up and submitting Test Requests.

4.   Provision for submitting inspection Report.

5.   Fill up Tour Log

6. There should be a provision for where n.. numbers of inspection details can be recorded against the application/license No.

7. Inspection Module should be designed in such a way that an instance of any type of inspection as mentioned below holds the complete data unambiguously irrespective of Application or License and module is linked appropriately with Application/License Operations.

8. Provision to record response of IO (in case of failure in requirements that has to be communicated to HOD/DDGR within 24 hours as applicable) stating HOD/DDGR informed or not.

Inspection Module should manage the data of following types of Inspections:

1.   Preliminary Inspection
2.   Periodic Inspection
3.   Periodic Inspection (No production)
4.   Visit for Verification
5.   Contact Visit
6.   Visit for Resumption of Marking
7.   Market Samples
8.   Supervisory Visits
9.   Lot Inspections
10.   IS Revision

Periodic Inspection

Step 1

HOD

1.   Allocation of inspection is done by HOD. Quarterly/Monthly inspection Schedule is prepared.

Alerts, Validations and Constraints

A.   License status has to be operative
B.   Checks last inspection date(there should be a gap of 4 – 6 months between successive inspections
C.   Alert to IO.

Features

1.   HOD and IO are able view the details of licensee(complete file)
2.   Provision for generating report on list of pending periodic inspection in a given time period i.e. Quarterly, Half yearly etc and list of inspections pending against each IO.
3.   There should be provision to help HOD in getting view of all the period inspections at a glance and facility to forward (assign) the same to GL/IO.
4.   Provision to change the allocation.

Step 2

IO

1.   IO views the license file and prepares notes. (There should be a provision to generate a brief report of the licensee which may include license details, details of last two inspections etc.
2.   Enters in the movement register (Tour Log)
3.   Does the inspection
4.   Fills up the Inspection report
5.   If sample is drawn then step 3 shall be initiated else step 4
6.   Forwards the inspection details to the concerned GL/DO
7.   In case of unsatisfactory report the details to be brought to the notice of the HOD.

Alerts, Validations and Constraints

A.   Already mentioned in step 1.1

Features

1.   HOD and IO should be able to view the details of license (compete file).
2.   Feature to forward IR to HOD/GL/DO.

Step 3

IO

1.   Fills up the Test Request
2.   Generates the labels for samples
3.   Forward the details to the concern DO
4.   Step 4 shall be initiated

Alerts, Validations and Constraints

A.   Alert to HOD/DO and also to concerned Lab
B.   Alert from Lab regarding receipt of sample to concerned HOD/GL/DO

Features

1.   IO should be able to fill up the relevant proforma
2.   Provision to forward IR to HOD/GL/DO as the case may be.

Step 4

Laboratory

1. Updates the test report against the test request
2. If the sample is being sent to OSL, check is there any BIS lab available for the product (can be coordinated with lab module)

Step 5

DO

1.   Scrutiny of the Inspection Report
2.   Scrutiny of the Test Report
3.   Scrutiny of the DV Report
4.   Forwards IR &TR to the GL/HOD with remarks.

Alerts, Validations and Constraints

Features

1.   Provision to seek the clarification from the licensee
2.   Put up review of Performance
3.   DO should have provision to choose/ propose following actions
        o   Show cause notice
        o   SOM

- o   Cancellation of license
- o   Normal Operation to continue

Step 6

GL

1. Considers the DO's proposal and forwards it to HOD with his remarks (can take certain decision at his/her own level where it won't be forwarded to HOD)
2. May refer back to DO

Alerts, Validations and Constraints

Feature

1. HOD/GL should have provision to choose the actions with his remarks
   - o   Normal Operation to continue
   - o   SOM
   - o   Cancellation of License
   - o   Forward the file to HOD whenever required.

Step 7

HOD/GL

1. Consider the DO's Recommendations and may impose any one of the following actions:-
   - o   Normal Operation to continue.
   - o   SOM (where GL is the DO)
   - o   Cancellation of License
2. Refer back to GL/HOD
3. Permission to the licensee to take corrective actions and testing of the sample if required

Alerts, Validations and Constraints

A.   Alerts to the DO to take necessary actions in case of Step 7 Item (1) and sub items (a & b)

Features

1. In case of Step 7 Item (1) and sub items (b, c) a letter to the licensee to take necessary action and status has to be changed to one of the following :
   - o   License is cancelled
   - o   Imposed SOM (with effective date)/ROM
2. And there should be a provision to record the same
3. In case of Step 7 Item (1) and sub item (a) status will be unchanged
4. Licensee should have provision to enter his corrective actions.
5. Licensee enabled payment mode if any visit required after corrective actions
6. HOD should have provision to set the time lines to implement corrective actions

Step 8A

Licensee

1. Enters his corrective actions against the requested
2. Pay the amount if visit required from BIS

Alerts, Validations and Constraints

A. HOD/ DO shall be alerted on submission of corrective actions
B. Step 1 shall be initiated

Step 8 B
DO/ SO

1. Generate the SOM/canceled notice
2. Sends it to the licensee with stated reasons given by HOD through Email/SMS Aletrs.

Step 9A
HOD

1. If inspection is required step1 shall be initiated
2. Forwards corrective actions from the licensee to the DO

Alerts, Validations and Constraints

A. HOD should have all the corrective actions submitted by the licensee
B. Should have provision to forward the details to DO
C. In case of step 9A item (2) step 3 shall be initiated

Periodic Inspection (No production)
Step 1
HOD

1. Initiates the inspection by allocating the date and time to the IO

Alerts, Validations and Constraints

A. License status has to be operative

Features

1. Alert to the IO
2. HOD and IO can able view the details of licensee

Step 2
IO

1. Enters in the movement register
2. Does the inspection
3. Fills up the Inspect report with no production
4. Forwards the inspection details to the concern DO

Alerts, Validations and Constraints

A. HOD and GL shall be notified the no production status

B. IO should have the details of the licensee Production details if updated any, date of operational license, type of IS date of last Inspection, inspection status

Features

1. Provision to enter movement register
2. Provision to fill up No Production Inspection Report.
3. Provisions to forward details to the concerned DO.

Step 3
DO

1. Does the inspection report scrutiny and update his remarks with satisfactory/ unsatisfactory
2. Request the licensee to update the production details once it is started

Alerts, Validations and Constraints
Features

1. DO should have provision to update the inspection report status with his remarks
2. DO should have provision to request the licensee
3. DO should have provision to set time period to submit the production details from the licensee.
4. License status should not be changed.
5. On completion of time period system should generate remainder as defined.
6. System should alert the DO if the reply is not received from the licensee to impose cancellation of license.

Step 4
Licensee

1. Does the entry of the production details

Alerts, Validations and Constraints

A. HOD should alert on completion of production details entry and step 1 shall be initiated
B. DO and GL shall be notified regarding the entry of details
C. License status should not be changed.

Contact Visit
Step 1
Licensee

1. Facilitate inspection requesting HOD for inspection

Alerts, Validations and Constraints

A. License status has to be operative

Features

1. Intimates HOD for inspection. (external to software)

Step 2

HOD

1.   Considers the Licensee Request and requests licensee to make the required payment.
2.   Assigns IO and schedules the Inspection
3.   May reject the request with his remarks

Alerts, Validations and Constraints

A. Licensee shall be notified and in case of payment module should be enabled to the applicant to make necessary payments
B.   Notification to the IO keeping informed the DO

Features

1.   Provision to make assign IO.
2.   Provision to make remarks against licensee

Step 3

Licensee

1.   Does the payment

Alerts, Validations and Constraints

Features

1.   Licensee should have provision to pay with allowing him to choose the payment mode
2.   On successful payment respective IO should be notified to carry out the Inspection

Step 4

IO

1. Carry out the inspection
2.   Fills up the inspection Report
3.   Forwards to the DO
4. If sample is drawn then raises test request to the LAB and request the payment from the licensee to collect the necessary amount.

Alerts, Validations and Constraints

A. DO should be notified about the Inspection Report
B. Lab should have provision to check the payment details required to carry out the test has been made or not
C.   In case step 4 item(4) step 5 shall be initiated

Step 5

Licensee

1.   Make the payment required to carry out the test

Alerts, Validations and Constraints

A.   Laboratory shall be notified regarding the payment against the test request

Step 5A

Lab

1.   Does the testing and updates the test report

Alerts, Validations and Constraints

A.   Concern DO shall be notified regarding the TR status

Step 6

DO

1.   Scrutiny of the Inspection report

2.   Scrutiny of the Test report

3.   Updates the performance details and Forwards to the GL/HOD

Alerts, Validations and Constraints

A.   DO will be notified the Inspection Report

Supervisory Visits

Step 1

HOD

1.   Does the visit to the firm

2.   Fills up the Prescribed proforma with his recommendations like

      o   SOM

      o   Cancellation of license

      o   Normal operation to continue

3.   Forwards the supervisory visit details to the concern DDGR

4.   May seek corrective actions from licensee

Features

1.   HOD should have provision to make his remarks and initiate necessary actions

2.   In case of step1 item (4) step 3 shall be initiated

Step 2

DDGR

1.   Does the scrutiny of the supervisory visit proforma filled by the HOD may initiate appropriate actions

2.   May give chance to the licensee

Features

1.   Shall have provision to view the performance of the licensee

2.   Shall have provision to set the timelines to complete the licensee activities

3.   DDGR should have provision to choose/ propose following actions

- ○ Show cause notice?
- ○ SOM
- ○ Cancellation of license
- ○ Normal Operation to continue

4. In case first three actions licensee shall be notified with appropriate letter as attachment

Step 3

Licensee

1. Update the details of corrective actions taken

Features

1. HOD shall be notified regarding the corrective actions
2. Step 2 shall be initiated

Market Samples

Step 1

DO

1. Collects the sample from market
2. Fills up the Test request form
3. Generation of label
4. Forwards it to the Lab.

Step 2

Laboratory

1. Making entry regarding the sample received
2. Updating test report (by making entries or uploading scanned documents)

Alerts, Validations and Constraints

A. Provision to upload the report as scanned documents

Features:

1. Lab Management Software must have suitable interface to receive the service contents (Contents of Test Request pushed by IO during or after inspection)
2. There should be a provision to communicate the Test Report results in form of the fractional data (as a service) for all types of reports complete report, partial report, interim report.
3. There should be a provision in the Lab Management software to forward a scanned copy of the Test Report Results.
4. There should be an email function whenever any Test Report is entered in Lab Management Software, a push service for the Test Report Data for uploading to CMMS software and email intimation to HOD and DO of the Branch.
5. There should be provision to feed data from Lab for all kind of Test Reports i.e. Complete Report, partial report, or part of the report as the case may be.

Step 3

DO

1. Review of the Test report and follow up for pending actions from the LAB
2. Forwards application to GL with his remarks (remarks may be Pass or Fail)
3. In case failure and the IS category is mandatory propose for SOM/License cancelation step 4 shall be initiated

Alerts, Validations and Constraints

Features:

1. DO must have the option to request clarification from the concern LAB
2. In case of step no 3 Item (3) DO should have provision to select the appropriate activity (SOM/ License cancelation)
3. There should be provision where DO will record his response pertaining to Test Report which may be
   o   Partial
   o   Full
4. Ability to capture the result of DO
   o   Pass (With Stated Reasons)
   o   Fail (With Stated Reasons)
5. Provision to take print of the remarks

Step 4

GL

1. Consider the DO's proposal and recommends HOD with his remarks
2. Refer back to DO

Alerts, Validations and Constraints

Features

1. Provision to make remarks.
2. Provision to forward it to HOD.
3. Provision to refer back.

Step 5

HOD

1. Consider GL's recommendation and issue imposing of
   o   SOM
   o   License cancel
2. May give chance

Alerts, Validations and Constraints

Features

1. In case of item (1) licensee shall be notified and the imposing SOM notice

IS Revision

Step 1 CMD

Office

1. Makes specific entries pertaining to IS Revised specifically Date of implementation (with effect from), revised IS No and revised contents
2. Sends all the details of the Revised IS, through mail to HODs (All Branches)

Alerts, Validations and Constraints

Features

1. Provision to make entries for IS revision.
2. Provision for sending mail to all HOD as the IS Revision is saved to database.

Step 2

DO

1. A check for the any IS Revision as issued by CMD by reading Internal mail/Letters/Circulars and takes following actions:
   o   Inform applicant/licensee accordingly.
   o   Intimate applicant switchover period to applicant/license.
   o   Seeks confirmation for implementation of STI and any other action required in that effect.
   o   Forwards the application file/License to GL/HOD for proposing for inspection if it is required as per the revised STI
   o   Forwards the deviation or non compliance to HOD noticed from licensee end.

Alerts, Validations and Constraints

   • Check for License status

Features

1. Provision for viewing IS revisions/amendments in current month.
2. Provision to make endorsement in license document.
3. Provision to forward endorsement to Licensee.
4. Provision to forward remarks/recommendation regarding inspection (if required)

Enforcement

Step 1

HOD

1. Decides for Inspection/Raid (Raid is for Non Licensee only)
2. Identify the team, and organize inspection. In case of Licensee no team only IO assigned with the task.

Alerts, Validations and Constraints

Features

1. Provision to record the final outcome of the complaint that is needed to be brought to the notice of Enforcement

2. Provision to forward details to HOD.

Step 2

IO

1. Inspects the premises.
2. Seals the samples
3. Submit report to HOD

Alerts, Validations and Constraints

Features

1. Provision to submit report to HOD as per prescribed format.

Step 3

HOD

1. Views Report
2. Gives recommendation
3. Forwards case file to GL/DO

Alerts, Validations and Constraints

Features

1. Provision to view reports.
2. Provision to give recommendation on the report against the license (i.e imposing SOM or Cancel License as appropriate)

Step 4

GL/DO

1. Views remarks given by HOD
2. Makes endorsement to license
3. Communicates decision to licensee

Alerts, Validations and Constraints

Features

1. Provision to view remarks given by HOD
2. Provision to make endorsement.
3. Provision to send letter to Licensee.

1.1.4. IR/TR Module

IR/TR module will show the details of the previous Inspection Reports and Test Reports, Latest Inspection Report, Latest Test Report and provision to record remarks by Competent Authority on these reports.

Features

    1.   Provision to include details of the Test Request into Inspection Report.

1.1.5. Tour Module

This module will work in conjunction with inspection module where an officer plans a tour or inspection of firm. This module will also serve basis for getting movement details of an officer/staff for a particular period and may be an authenticated data for putting TA, DA claims etc. This module will facilitate to pick up planned inspection from the inspection plan or to make new choice for tour. Details of the applicant/licensee and IO details will be used from database. It will also manage the custom entry.

Features

1.   Provision to fetch necessary data entries that are available with system

2.   Provision to enter data as per the format provided by BIS

3.   Facilitate for generating reports pertaining to Tour Log.

4.   Provision to extract tour information for a particular period, person, license, application etc.

1.1.6. Remarks Module

Remarks Module shall capture all types of the remarks given on application, license renewal application or on the major occasion of decision making. The main components of the module will be Application ID/License No, Remarks given by, date, remarks attribute i.e. Remarks, Comments, Recommendation, Brief History or similar to that. The same information can be retrieved in an organized way to have a look up in chronological order for the application before granting/renewing/deferring/imposing SOM on a license. Remarks module is basically a input module where all the remarks will be recorded, in chronological order.

Features

1.   Module should have the provision to record- chronologically, each type of Remarks, Comments, Recommendation, Brief History, Decision, remarks given by, Date of application/license.

2.   Each remark should be a new entry and shall appear with date of entry.

3.   No provision for editing once remarks by an officer is recorded on the application.

4.   There should a provision where officer can view all the remarks given on application.

1.1.7. Letter Module

Letter module will work as a channel through which applicant/Licensee will be receiving letters or reminders. Reminder will inherit the format from existing organizational assets. It will record reference No., subject, reminder issued by, dated, subject matter and other relevant details.

Features

BIS user should be able to record Reminder No, Reference No, Application/License No, Subject, Subject Matter, other information, Issued by, date and other relevant details.

1. Provision to Edit the Reminder
2. Provision to print or send it by mail/fax to applicant/licensee.
3. Provision to list all the reminders pertaining to that applicant/licensee.

Note: All the proforma used in product certification listed By CMD needs to be incorporated at appropriate level of application process.

1.1.8. Endorsement Module

Endorsement Module will manage endorsements to records of licensee. All events related endorsements i.e. License renewed, inclusion of new variety will be managed during the process itself. Other endorsements like change of address, change in name of Licensee will be managed through getting request from license/applicant. Entries of collecting back license documents in case of License expired or cancelled with also be managed through this module. Corresponding view module will display the information regarding the license expired/cancelled in last one month. Rest of the endorsement will be managed through master data entries.

Features

1. Provision for adding the data.

1.1.9. Application Status

This module will show the status of application at any stage of its lifecycle. Here all the authenticated user will be able to see the status of application i.e. stage at which application is, which officer is currently working on the application, what are the fees received and pending against the application, test report received or not, Inspection report is submitted by the IO or Not, Officer has joined after Tour or not and other similar functions. But this will not be a part of the Report Section in the application.

Features

- This is for information purpose only and no editing or modification provision shall be available in this module to modify any status.

1.1.10. Existing Application Module

This module will facilitate data entries for the current applications those are under progress. This module will ensure a consistent data entry at any given stage.

Features

1. Provision to make lateral entries.
2. Provision for Appropriate integration

1.1.11. Existing License Module

This module will facilitate data entries for the current license operation in process. This module will ensure a consistent data entry at any given stage.

Features:

1. Provision to make lateral entries.

1.1.12. Master Entry Module

Master Entry Module shall manage all master entries to master database. Master entries are the entries those are recorded once and used frequently in business processes as predefined values. All the master entries will be made by authenticated user (Administrator or appropriate person).

Features

1. Provision to add master entry
2. Provision to modify master entry.
3. Provision to delete master entry.
4. Whenever any entry is made in master database, it should be reflected in underlying Grid.

Master Entries not limited to:

1. State Master
2. District Master
3. Region Master
4. Branch Master
5. Sector Master
6. Inspection Master
7. Fee Master
8. Marking Fee Master
9. IS Master
10. Organizational Hierarchy Master
11. Employee Master
12. User Master
13. Role and Privileges Master
14. Application Status Master
15. License Status Master
16. Application Checklist Master
17. Application/License Day Count Master
18. Lab Master
19. STI master

1.1.13. License Operation Module

In license operations the following activities are carried out by BIS

1. Periodic Inspection
2. Periodic Inspection (No production)
3. Visit for Verification
4. Inclusion of New Variety
5. Contact Visit
6. Visit for resumption of marking

7. Market samples

8. Supervisory visits

9. Lot Inspections

10. Transfer of License

Which includes following actions (as the case may be):-

1. Renewal of License

2. Renewal of Deferred License

3. Deferment of the Renewal of License

4. Stop Marking

5. Resumption of Marking

6. Cancellation of License

7. Suspension of license

8. Expiry of License

9. Inclusion of New Variety

10. Brand name intimation

License Renewal

Step 1

DO

1. Views list of licenses due for Renewal for a particular period.

2. Check for the reminders.

3. Intimation Mail/SMS along with Renewal Application, Details regarding fee to be paid and general guidelines regarding Renewal Process.

4. Check for the past SOM (License will not be renewed if there are three SOM during the current operation year-*Conditions apply for food product).

Alerts, Validations and Constraints

A. Check for License status – It has to be Operative/Stop Marking/Deferred, including the time period in case of SOM/Deferred.

B. Mail/SMS to Licensee.

Features

1. Provision for viewing the all licenses due for renewal.

2. Provision to send Mail (along with attachments) /SMS to licensee. Attachments are: -License Renewal Application Form, Request for Application Fee, Renewal Fee, Marking Fee and clearing other outstanding due.

3. There should be function where DO can have look up on Remainders during the particular period.

4. Provision to attach letter for seeking resolution of open issues/reply of unanswered reminders, pending dues.

5. Provision to view license status (past one year).

6. File stays with DO.

Step 2

Licensee

1. Applies Online minimum two months before the validity date of License.
2. Makes Payments (Online/Fund Transfer/Advance Payment Adjustments)
3. Attaches documents, information as desired by BIS which are necessary for license renewal.

Alerts, Validations and Constraints

A. Alert to DO whenever renewal application is received or when SO makes an entry of application received as hard copy.

Features

1. Provision to apply Online
2. Provision to make payment and take a print of the payment made.
3. Provision to upload documents

Step 3

DO

1. Checks the application received.
2. Check for the payment
3. Process/Forwards the application .

Alerts, Validations and Constraints

Features

1. DO Should be able to view renewal application.
2. Details of payment received and the receipt issued should be available in report forms.
3. Provision to calculate and cross check for the submitted marking (Minimum or   Actual Productions Figures*Unit Price whichever is greater and it should consider other licenses for deciding Marking Fee)

Step 4

DO

1. Checks for the application received.
2. Checks for License Status and condition at the time of last renewal.
3. Checks for the payments and other outstanding dues
4. Checks for any pending actions (Reminders)
5. Checks for Performance Report (Results of IRs/TRs of during the current operative year/past years)

6.   Checks for other license details.

7.   Checks for production details.

8.   Makes summary of the lot inspections during the year, if any.

9.   Remarks on the complaints during the current operative year, if any.

10.   Any other observation/follow up.

11. Remarks on the performance of license i.e. SOM, Inclusion of new variety, Change Permitted, lock out, strike etc.

12.   Comment on conditional renewal, if any.

13.   Recommendation regarding Renewal, SOM, Cancellation, Expiry, Deferment

14.   Forwards the renewal application to GL/HOD.

Alerts, Validations and Constraints

A.   Alert if license is already under SOM, system should prompt to re-consider the recommendation.

Features

1.   DO should be able to view renewal application.

2.   DO should be able to view all payment details.

3.   Able to see generic license details.

4.   Able to enter nth renewal.

5.   Able to view status of license.

6.   Able to check for pending actions.

7.   Able to check Performance Report (able to view IRs & TRs)

8.   Able to view complaint against the licensee and the status of complaint.

9.   Able to check other licenses detail.

10.   Provision to see production details

11.   Provision to DO for making summary for lot inspections.

12.   Provision to record any other observation.

13.   Provision to give remarks on Performance of License.

14.   DO should be able to give comment on any conditional renewal, if any.

15.   DO should be able to give recommendation regarding Renewal, SOM, Deferment, Expiry.

16.   Provision to forward application to GL/HOD.

Step 5

GL/HOD

1.   Checks remarks given by GL/DO.

2.   Seeks clarification if required

3.   Agrees for renewal/deferment

4.   Recommends for renewal, deferment where GL is the DO

Alerts, Validations and Constraints

Features

1.   Provision for viewing the license renewal application
2.   Provision to view summary submitted by DO.
3.   Provision to forward renewal application to DO.
4.   Provision to renew license and record remarks.
5.   Provision to change status of the License.
6.   Provision for Refer back

Step 6

DO

1.   generates License Renewal documents.
2.   Provision to forward letter and endorsement.
3.   Forwards License renewal details, Endorsements to licensee by Mail/SMS

Alerts, Validations and Constraints

Features

1.   Provision to entering data in License Document.
2.   Provision for forward details to HOD/GL.
3.   Provision to mail renewal documents to Licensee.
4.   Provision for updation of status.

Deferred License Renewal

Step 1

DO

1. Checks for the all deferred licenses, Renewal Date (Date of Expiry of License- 03 Months), expiry of deferment, Date of deferment for a particular period and to what date.
2.   Checks for the reminders.
3. Sends Mail to Licensee for renewal of the deferred license. In case of by post, letter is sent with A.D./ FAX
4.   Checks for the reasons for deferment of License.
5.   Checks for the renewal application received and its completeness
6.   Checks for License Status
7.   Checks for the validity date of deferment.
8.   Checks for the payments and other outstanding dues
9.   Checks for any pending actions (Reminders)
10. Checks for Performance Report (Results of IRs/TRs of during the current operative year/past years)
11.   Checks for other license details.
12.   Checks for production details.
13.   Makes summary of the lot inspections during the year, if any.
14.   Remarks on the complaints during the current operative year, if any.
15.   Any other observation/follow up.

16. Remarks on the performance of license i.e. SOM, Inclusion of new variety, Change Permitted, lock out, strike etc.

17.   Comment on conditional renewal, if any.

18. Recommendation regarding Renewal, SOM, Expiry, extension of Deferment period if applicable.

19.   Forwards the file to HOD?GL.

Alerts, Validations and Constraints

A. Check for License status – Must be in Deferred State.

Features

1.   DO should be able to view renewal application.

2.   DO should be able to view all payment details.

3.   Able to see generic license details.

4.   Able to enter nth renewal.

5.   Able to view status of license.

6.   Able to check for pending actions.

7.   Able to check Performance Report (able to view IRs & TRs)

8.   Able to view complaint against the licensee.

9.   Able to check other licenses detail.

10.   Provision to see production details

11.   Provision to DO for making summary for lot inspections.

12.   Provision to record any other observation.

13.   Provision to give remarks on Performance of License.

14.   DO should be able to give comment on any conditional renewal, if any.

15. DO should be able to give recommendation regarding Renewal, SOM, Cancellation, further Deferment, Expiry.

16.   Able to make entries for the actions taken to comply with ISS.

17.   Provision to forward application to GL.

Step 2

HOD/GL

1.   Checks the remarks given by GL/DO.

2.   Recommends for Renewal or extension of deferment period.

3.   Forwards the file back to GL/DO

Alerts, Validations and Constraints

Features

1.   Provision for viewing the license renewal application

2.   Provision to view summary submitted by DO/GL.

3.   Provision to forward renewal application to DO.

4.   Provision to record remarks regarding license renewal.

5.   Provision to change status of the License.

6.   Provision for Refer back

Step 3

DO/SO

1.   Generates License Renewal documents or extension of deferment period.

2.   Forwards endorsement to GL

3.   Forwards Licenses renewal details, Endorsement to License to licensee.

Alerts, Validations and Constraints

Features

1.   Provision to enter data in Endorsement Sheet

2.   Provision to forward endorsement to GL

3.   Provision to mail renewal documents or intimation of deferment to Licensee.

Cancellation of License

Step 1

DO

1.   Checks for the reasons those attract cancellation of License. i.e.

   (a) Non-conformity of serious nature affecting health and safety. observed during inspection or independent testing

   (b)   Any contravention of the licensing provisions or the STI considered serious in nature

   (c) 2nd sample drawn for independent testing to consider resumption of stop marking also shows failure.

   (d) The measures taken towards correcting the discrepancies are found inadequate or time taken is too long (say six months or more).

   (e)   If the stop marking is in vogue for more than six months at a stretch.

   (f) If the licensee does not wish to prolong the license and send a communication to that effect.

   (g) If the standard is amended/revised and implemented by CMD and the licensee either will not or cannot ensure compliance to the new requirements.

   (h)   The licensee continues to mark even after stop marking instructions.

   (i)   Contravention of any other provisions of the Certification Regulations/Procedures.

   (j) If a complaint against BIS certified product is found to be genuine cancellation of the license may be considered depending upon the seriousness of the complaint.

   (k)   In case of food items under mandatory certification

2.   Forward case to HOD/GL

Alerts, Validations and Constraints

A.   Check for License status

Features

1.   Provision for viewing license details that is considered for cancellation.

2. Provision to forward case to HOD/GL

3. Provision to forward case to DDGR (except reason vi).

Step 2
HOD/GL

1. Checks the remarks mentioned by GL/DO.

2. Records his recommendation on cancellation.

3. Forward to DDGR (except reason vi).

Alerts, Validations and Constraints
Features

1. Provision for viewing under cancellation.

2. Provision to view summary submitted by DO/GL.

3. Provision to forward case to DDGR (except reason vi).

4. Provision for Refer back

Step 3
DDGR

1. Checks the Recommendation given by HOD/GL.(Branch Office).

2. Hearing is held and decision communicated to Licensee.

3. Records his decision on the file.

4. Forwards case to HOD for further action.

Alerts, Validations and Constraints
Features

1. Provision for viewing license under cancellation

2. Provision to view summary submitted by HOD.

3. Provision to issue notice for hearing.

4. Provision to record hearings against the license.

5. Provision to forward the file to HOD.

6. Provision for Refer back.

Step 4
HOD

1. Checks the remarks given by DDGR.

2. Puts up the case with desired clarification for cancellation, if required., then forwards the file to DDGR

3. Forwards file to GL/DO for intimation to Licensee regarding cancellation

Alerts, Validations and Constraints

Features

1. Provision for viewing remarks given by DDGR.
2. Provision for forwarding the file to DDGR in case of Refer back.
3. Provision to send intimation to Licensee regarding cancellation of License through mail/Hard Copy/Fax.
4. Feature to upload minutes of the Hearings, if any
5. Provision for updation of status from Operative to Cancelled.

Stoppage of Marking

Step 1

DO

1. Checks the reasons for imposing Stoppage of Marking:

   ./ **Failure of Test Report**
   ./ Organized customer complaints.
   ./ Complaint of mandatory food product.
   ./ **Unsatisfactory Surveillance Inspection**.
   ./ Significant change in manufacturing process without prior approval of BIS
   ./ Relocation of plan from authorized premises.
   ./ Prolonged closure of Factory.
   ./ Marking on non conforming products.
   ./ Marking on the product not covered under license.
   ./ Non Payment of Requisite Fee
   ./ Deferment of Renewal

2. In case of Failure Test Report, DO checks for the followings:

   ./ Conformity to ISS, if no check for failure in Critical Requirements, if failure yes, in critical requirements looks for the instances of the failures in requirements, if Failure is two or more in Critical Requirements then SOM is imposed.
   ./ DO checks whether it is the First Critical Failure and if Yes then look for the two critical failures reported earlier. If Yes then recommends for SOM
   ./ If no evidence of earlier failure then Seeks CA and Tighten STI, verify through CA, special visit within one month, goes for sample testing, independent testing and factory testing. Both results should conform to ISS, if Not then its again checked for critical failure, if yes then SOM and in case of No then steps for non critical failure are taken.
   ./ If the Critical Failure 2nd (refer point ii) then Checks for the Date of Drawal/Date of Mfg. of sample after CA on the First Failure, If yes then SOM
   ./ If DOM after CA on First Failure is No then checks for the failure in same critical requirement as first one or related, if No, then SOM and if Yes then verify CA taken earlier for this failure.

✓ If the failure is No (refer point i) checks for the First Critical Failure, if yes, seek CA and Normal operation to continue and if No then Look for the Second and Third Failure, In case of Third Failure, SOM applies. In case of Second Failure looks for any other Critical Failure Reported if Yes then SOM else seek CA, normal operation to continue and special visit within one month.

3. Under unsatisfactory Surveillance Inspection

   ✓ Failure on Factory Testing
   ✓ Unsatisfactory Hygienic Conditions in the case of food products.
   ✓ Important testing equipment not calibrated.
   ✓ Testing Equipment Out of order and no alternate arrangement made.
   ✓ No implementation of STI
   ✓ Non availability of testing personnel and no alternate arrangement is made.
   ✓ Remarks on the performance of license i.e. SOM.
   ✓ Recommendation regarding Renewal, SOM, Cancellation, Expiry, Deferment
   ✓ Forwards the Stop Marking case to HOD/GL with stated reason(s) for SOM.

Alerts, Validations and Constraints

A. Check for License status, non payment of requisite fee, deferment of Renewal

Features

1. DO should have the provision to view compete history of Test Reports.
2. DO should have the feature to view customer complaints and subsequent actions taken against the licensee regarding license operations.
3. Provision to check for complaint of mandatory food product.
4. DO should have the provision to view all past Inspection Reports including Surveillance Inspections. Inspection Reports should have the provision to record the changes noticed in manufacturing process during the inspection and that has no prior no prior intimation to BIS.
5. Provision in inspection report to record details where licensee has relocated manufacturing unit without prior approval of BIS.
6. Provision in the Inspection Report to record the incidences where licensee found marking on the non conforming products.
7. Provision in the Inspection Report to record the incidences where licensee found marking on the products not covered under license,
8. Provision to DO to check for the payment ensuring that all dues are clear.
9. Provision to view details of deferment of license if, any.
10. Provision to record the remarks related to the reasons responsible for stoppage of Marking.
11. Provision to forward application to GL.

Note: Currently, Review of Performance Report (reference Letter Generation) is being used in decision making for imposing SOM. It may be worthwhile, if all the eleven points viewed at a glance before imposing SOM.

Step 2

HOD/GL

1.   Checks remarks given by GL/DO.
2.   Recommendation for Stoppage of Marking.
3.   Forward to HOD.

Alerts, Validations and Constraints

Features

1.   Provision for viewing license considered for SOM.
2.   Provision to view remarks given by DO.
3.   Provision to record remarks.
4.   Provision to forward case to HOD.
5.   Provision for Refer back.

Step 3

GL

1.   Checks remarks given by GL/DO.
2.   Records final recommendation for Stoppage of Marking.
3.   Intimates IO.
4.   Forward to DO/SO

Alerts, Validations and Constraints

A.   Email intimation to IO.

Features

1.   Provision for viewing license considered for SOM
2.   Provision to view remarks given by DO.
3.   Provision to record remarks.
4.   Provision to forward case to DO/SO.
5.   Provision to send email intimation to IO.
6.   Provision for Refer back for clarification.

Step 4

DO/SO

1.   Intimates Licensee.

Alerts, Validations and Constraints

Features

1.   Provision for intimating Licensee be releasing mail/Letter.

Resumption of Marking

Step 1

DO

1. Checks for the reasons for imposing Stoppage of Marking:

    i. Failure of Test Report
    ii. Organized customer complaints.
    iii. Complaint of mandatory food product.
    iv. Unsatisfactory Surveillance Inspection.
    v. Significant change in manufacturing process without prior approval of BIS
    vi. Relocation of plan from authorized premises.
    vii. Prolonged closure of Factory.
    viii. MISUSE/Marking on non conforming products.
    ix. Marking on the product not covered under license.
    x. Non Payment of Requisite Fee
    xi. Deferment of Renewal

2. Checks performance of license.
3. Ensures conformance of licensee to ISS pertaining to the reasons for SOM.
4. Forwards file to GL with stated reason(s) for SOM.

Alerts, Validations and Constraints

A. Check for License status

Features

1. DO should have the provision to view all the Test Reports.
2. DO should have the feature to view customer complaints and disciplinary actions taken against the licensee regarding license operations.
3. Provision to check for complaints of mandatory food product.
4. DO should have the provision to view all past Inspection Reports including Surveillance Inspections.
5. Inspection Reports should have the provision to record the changes noticed in manufacturing process during the inspection and that has no prior intimation to BIS.
6. Provision in inspection report to record details where licensee has relocated manufacturing unit without prior approval of BIS.
7. Provision in the Inspection Report to record the incidences where licensee found marking on the non conforming products.
8. Provision in the Inspection Report to record the incidences where licensee found marking on the products not covered under license,
9. Provision to DO to check for the payment ensuring that all dues are clear.
10. Provision to view details of deferment of license if, any.
11. Provision to record the remarks related to the reasons responsible for stoppage of Marking.
12. Provision to forward application to GL.

Step 2

GL

1. Checks remarks given by GL/DO.
2. Recommendation for ROM

Alerts, Validations and Constraints

Features

1. Provision for viewing license considered for SOM
2. Provision to view remarks given by DO.
3. Provision to record remarks.
4. Provision to forward case to HOD.
5. Provision for Refer back.

Step 3

HOD

1. Checks remarks given by GL/DO.
2. Records final recommendation for Stoppage of Marking.
3. Forward to DO/SO.

Alerts, Validations and Constraints

Features

1. Provision for viewing license considered for ROM.
2. Provision to view remarks given by DO.
3. Provision to record remarks.
4. Provision to forward case to DO/SO.
5. Provision for Refer back for clarification.

Step 4

DO/SO

1. Intimates Licensee.

Alerts, Validations and Constraints

Features

1. Provision for intimating Licensee by releasing mail/Letter.

Inclusion of New Variety

Step 1

Licensee

1. Applies Online for inclusion of new Type/Grade/Size/Variety.
2. Makes Payments (Online/Fund Transfer/Advance Payment Adjustments).
3. Attaches documents, information as desired by BIS which are necessary for Inclusion.

Alerts, Validations and Constraints

A. Alert to DO whenever Inclusion received or when SO makes an entry of inclusion request received as hard copy.

Features

1.   Provision to apply Online .

2.   Provision to make payment wherever applicable and take a print of the payment made.

3.   Provision to upload documents.

Step 3

DO

1.   Checks the application received.

2.   Check for the payment and issue Invoice – Cum - Receipt against the payment made.

3.   Forwards the application .

Alerts, Validations and Constraints

Features

1.   DO should be able to view for inclusion of new variety.

2.   Provision to make entry by DO.

3.   DO should be able to forward application to HOD/GL

4.   Details of payment received and the receipt issued should be available in report forms.

Step 4

DO

1.   Checks for the application received.

2.   Checks for License Status.

3.   Checks for the payments and other outstanding dues.

4.   Checks for Performance Report (Results of IRs /TRs of during the current operative year/past years)

5.   Checks for the Preliminary Factory Evaluation Report.

6.   Checks for the change in machinery/equipment recorded.

Alerts, Validations and Constraints

Features

1.   DO should be able to view renewal application.

2.   DO should be able to view all payment details.

3.   Able to see generic license details.

4.   Able to view status of license.

5.   Able to check for pending actions.

6.   Able to check Performance Report (able to view IRs & TRs)

7.   Able to view complaint against the licensee and the status of complaint.

8.   Able to check Preliminary Factory Evaluation Report.

9.   Check for any change in machinery/equipment recorded.

10.   Provision to forward application to GL/HOD.

Step 5

GL/HOD

1.   Checks remarks given by GL/DO.
2.   Seeks clarification if required
3.   Assign Inspection Officer

Alerts, Validations and Constraints

Features

1.   Provision for viewing the license renewal application
2.   Provision to view summary submitted by DO.
3.   Provision to forward renewal application to DO.
4.   Provision to renew license and record remarks.
5.   Provision to change status of the License.
6.   Provision for Refer back.

Step 6

IO

1. Makes a checklist for inspection,(link should be available in Inspection pane of the software to refer online pdf)
2.   Makes entry in movement register- viewable by HOD only (Tour Log).
3.   Filling up test request in the prescribed form
4.   Labeling of samples-generation of labels
5.   Fills up the inspection report & submits the same
6.   Updates movement register after the inspection (inbound).

Alerts, Validations and Constraints

A. Payment status of the inspection should be received/ yes.
B. Mail Alert to the concern LAB without showing the identity of the manufacturer. Alert can show No. of samples, IS No,, Name of the BO.
C.   Making availability of Inspection report to the concern DO,GL and HOD

Features:

1. IO should able to view license in which inclusion to take place.
2.   IO should be able to view inclusion application.
3.   IO should be able to view uploaded documents.
4.   IO should be able to view payment details.
5. IO must able to make movement entry Movement -Out that is viewable by GLHOD other than IO (Entries in Tour Log).
6.   There should be a provision in software where IO fills up test request against the application.
7. There should be provision in the software to accommodate multiple type of testing (chemical, mechanical, bacteriological, physical etc.) from a given sample numbers.

8. There should be a provision to lab side software to make bifurcation of the sample No. sub numbers under the single number against the same sample No. and the result of sub test can be recorded in that.

9. There should be provision to generate sample labels.

10. There should be provision to have auto- manual sample code generation pertaining to applicant, branch and IO and date of collection.

11. There should be provision to record the No of samples collected,

12. There should be provision accept more than one sample against one test request.

13. There should be provision for IO to submit the Inspection Report and Test Request online. There should be service that communicates with the lab management software regarding acceptance of test request (open position to receive the stated sample).

14. There should be feature in the software where IO can have status of the lab in respect to accept the sample. Some suitable service that brings data to ISPCL application regarding lab.

15. There should be provision to save the Test request and push action to run as service. There also should be provision to edit the saved data and push action is ready once IO is sure to submit Test Request.

16. As IO submits the Test Request, the service should release data that is to be captured by lab.

17. There should be provision for IO to fill up inspection report as per the prescribed format. Test Request should be part of Inspection Report.

18. Then IO submits inspection report a message should go GL and HOD stating that Inspection report has been submitted by IO.

19. There should be a provision that every inspection report is recorded against the application No/license Number.

20. IO should be able to forward application to GL and Inspection report should be visible to GL.

21. GL Forwards Inspection report to DO for further action

22. After the inspection is over, IO should be able to make entry in movement register to make Movement –In

   - Status of inclusion application route -- Marked to DO/GL.

Step 7

GL/DO

1. Views Test Reports for that particular category

2. Views Inspection Report

3. Records his decision.

4. Forwards inclusion application to DO (in case of GL)

Alerts, Validations and Constraints

Features

1. Provision to Test Reports.

2. Provision for view inspection Reports.

3. Provision to remarks/recommendation of inclusion.

4. Provision to forward inclusion application to DO.

Step 8

DO

1. Views inclusion application.

2. Views recommendation.

3. Makes Endorsement.

4. Forwards endorsement to Licensee.

Alerts, Validations and Constraints

Features

1. Provision to view inclusion application.

2. Provision to view recommendation.

3. Provision to make endorsement.

4. Provision to take print of endorsement.

5. Provision to mail endorsement documents to licensee.

Transfer of license

Step 1

Applicant

1. Raises the request for the transfer of the license with the required details.

2. Forwards the license details to the HOD.

Step 2

HOD (of the present/existing branch)

1. Forwards the license to the required branch and update the address details.

Features

1. Provision to view the details of the applicant request and update/forward the license to the new branch.

Step 3

HOD (of the new/forwarded branch)

1. Verifies the details of the new license which is transferred.

2. Forwards the license details to the IO for Inspection.

3. Forwards the license to the DO for monitoring purpose.

Step 4

IO

1. Makes a checklist for inspection,(link should be available in Inspection pane of the software to refer online pdf).

2.   Makes entry in movement register- viewable by HOD only (Tour Log).

3.   Filling up test request in the prescribed form.

4.   Labeling of samples-generation of labels.

5.   Fills up the inspection report & submits the same.

6.   Updates movement register after the inspection (inbound).

Step 5

DO

1.   Verifies the Inspection report.

2.   Forwards the license to the GL with his remarks.

Step 6

GL

1.   Verifies the license with DO remarks.

2.   May refer back to the DO.

3.   Forwards to the HOD with his remarks/recommendations.

Step 7

HOD

1.   Verifies the license with DO and GL remarks.

2.   Update the status of the license (operative/transferred).

3.   May refer back to the GL/DO.

1.1.14. Users Module

User module should facilitate creation of new users, assigning roles, granting and revoking the privileges. All the types of users should be handled through this module. Super Admin (Central Administrator) and Administrator (Branch Level Administrator should l have the privileges to assign and revoke the permissions. Super Admin should be Root User. User module should perform necessary authentication and authorization at appropriate application stages. Types of users are defined in the User Characteristics. Attributes of the user not limited to:

1. User Account Types: In User Account Type there should be following accounts –Super Administrator, BIS Users, Administrator at Branch level, Authorized Agents, Applicant, Licensee, Complainant, Outside Lab Users.

2. User Branch: This should identify a user for its location (branch). For the users outside BIS it should hold some default value.

3. User Groups: User Groups allow you to organise user accounts into groups.

4. Roles: Roles are a specialised form of User Groups. Like administrator can grant permissions to Roles or include them in steps within a Workflow Schema. However, unlike User Groups, the users who are assigned to Roles are not fixed; rather can define which Users or User Groups are assigned to a Role for individual assets (Form).

5. Permissions: Permissions are applied on an asset per asset bases. An administrator should able to decide who has access to view and edit an asset by setting these permissions. For example, an administrator can grant permission to Add, Modify, Delete, View, Print Download, Upload etc. Permission to an asset so the public can view the content of that asset within the Front-end of the Site. The System Administrators and the Root User have access to all assets within the system, regardless of the level of permissions that been applied.

Features

1. Provision for registration by an applicant.
2. Provision for registration BIS user.
3. Provision registration for external user.
4. Provision for deleting a user.
5. Provision for granting a role to new user.
6. Provision to revoke a role.
7. Feature to manage Forgotten Password/Resetting of Password.
8. Feature for verifying credentials when BIS user registers with CMMS
9. Feature to lock(block) password on invalid 3 attempts
10. Feature to forced password expiration.
11. Feature to create log login activities.
12. Feature to record IP address from where the log in request initiated.
13. Application should able to record error message.
14. Email to Administrator for blocked account.
15. Implementation of function that minimizes Brute Force Attacks/hacking.
16. Implementation of the function that prevents Sql Injection.
17. Password encryption when stored to database and communicated over network.

In user creation process, link register should open page that has the option in the following manner:-

Register->   1. Applicant: User creation screen for Applicant

               2. BIS User: User Creation screen for BIS User

               3. Authorized Agent: User Creation Screen for Authorized Agent

               4. Complainant

In case of BIS user, it should use data from the master's data. Only Emp_Code, date of Birth to be verified by the system.

In case of Authorized Agents/OSL system should verify the authenticity which is already supplied to Authorized agents/OSL by BIS..

ISPCL Users Profile

userID	Password	BOID	Account Type	User Group	Role	Permissions

abc	cxrzs	81	1. Super Admin	1. Upper Management	1. DG	1. Add
		65	2. BIS User	2. Middle Management	2. ADG	2. Modify
		87	3. Authorized Agent	3. Lower Management	3. DDG	3. Delete
		.	4. OSL User	4. Others	4. CCO	4. View
		.	5. Applicant		5. RHCO	5. Print
		n	6. Licensee		6. DDG	6. Upload
			7. Complainant		7. HOD	7. Download
			8. Other (if Any)		8. GL	
					9. DO	
					10. SO	
					11. DA	
					12. Admin	

1.1.15. Report Module

Report Module will cover all the reports those are required by BIS. Currently approximately 151 reports are in use and the same are expected to be designed and integrated in CMMS. However, it is at the discretion of BIS that numbers of the reports are decreased or increased. Reports module will have the provision to display reports in PDF, MS Word Format and the facility to export report in MS Excel Sheet and printing the report, Format and business logic will be provided by BIS, However it is necessary to have walk through of reports before development that ensures that all important information is included in the input screens. All the reports will have fixed input and a fixed out format. Reports have varying degree of complexity. Reports will be managed under the following headings:

Under Report Generation in Existing CMMS

Application Related Reports: (14 Reports)

1. Temporary Applications Pending Report
2. Temporary Applications Returned Report
3. Temporary Applications Status Report
4. Tour Log Related Reports
5. Registration of Applications
6. Count of Pending Applications Where PI Is Not Done

7. Details of Applications Where PIs Done

8. Details of Applications Where Sample Is Under Test

9. Count of Pending Applications Where Sample Is Under Test

10. Details of Applications Where PIs Not Done

11. Details of Test Reports Received

12. Details of Applications Pending

13. Details of Applications Closed

14. Applications Status Report

License Related Reports: (24 Reports)

1. Details of Licenses Granted

2. Details of Licenses Cancelled

3. Details of Licenses Operative

4. Details of Licenses Expired

5. Details of License Under Deferment

6. Details of Licenses Due for Renewal in a particular period

7. Details of Stop Marking for a particular Period/License/IS No

8. Time taken in Grant of Licenses

9. Inspection Plan

10. Counts of Licenses

11. Tour Log Related

12. List of Licensees For a Given Brand Name

13. Details of Inclusion of New Variety for a particular License

14. Renewal Notice Generation for a Specified Validity Period Count of Licenses

15. Mail Merge Letter /Labels Details of Licenses

16. Details of Test Reports Received

17. Technical Division Wise Count of Licenses

18. Scale Wise Count of Licenses

19. IS Wise Count of Licensees

20. Register of Licenses

21. Group Related

22. Brief for Inspection Outsourcing

23. List of Licensees to be Outsourced

24. List of Licensees in Hindi

Fee Related: (06 Reports)

1. Fee Related (Monthly)

2. Fee Related (AC-15)

3. Fee Summary (M/V)

4. Credit Note (Daily)

5. Fee Related AC-15 (Old)

6.   Credit Note (Monthly)

History Reports: (02 Reports)

1.   Application History Report

2.   License History Report

MCR Reports:

1.   MCR Page 1

2.   MCR Page 2

3.   Annex-I

Application Status: (01 Report)

1.   Status of application

Under Letter Generation

Application Related: (12 Reports)

1.   Incomplete Check list

2.   Temporary Appl. Ack

3.   Application Recording

4.   Red Form Print

5.   Grant of License

6.   Closure Notice

7.   Closure Letter

8.   Telegram for Deposition of Minimum Marking fee

9.   Undertaking form

10.   License Document

Application Related (Hindi): (11 Reports)

1.   **अपूर्ण आवेदन लौटाने संबंधी प**

2.   **आवेदन रकार्ड**

3.   **लाल फाम मुण**

4.   **लाइस स दान**

5.   **समापन प**

6.   **समापन नोटिस**

7.   **यूनतम मुहरांकन शुक जमा करने हेतु तार**

8.   **परीण एवं निरीण योजना क वीकृति**

9.   **लाइस स दतावेज**

10.   **वचनबता फाम**

11.   **मुहरांकन शुक क वीकृति**

License Related (English) : (27 Reports)

1. Renewal Notice
2. Renewal Notice for a period
3. Renewal Print-Blue Form
4. Performance Report-Blue Form
5. Review of Performance
6. Renewal Letter
7. Telegram for Deferment
8. Deferment Letter cum Expiry Notice
9. Renewal of Deferred License (Blue Form)
10. Renewal of Deferred License Letter
11. Cancellation Notice
12. Expiration/Cancellation of License
13. Expiry Letter
14. License Document
15. SMS/Mail for SOM
16. Stoppage of Marking
17. ROM Process Letter
18. Resumption of Marking
19. Inclusion New Variety (Yellow Form)
20. Inclusion letter
21. Endorsement Letter
22. Sample/View Requisition
23. Application for Declaration/Incl/Deletion of Brand/Trade name
24. Letter for collection of second year marking fee
25. Undertaking Form

License Related (Hindi): (26 Reports)

1. **नवीकरण नोटिस**

2. **एक अवधी के लिए नवीकरण नोटिस**

3. नवीकरण मुण – नीला फाम

4. **नवीकरण प**

5. **आ थगन हेतु तार**

6. **आ थगन प एवं समाि नोटिस**

7. **आ थिगत लाइस स का नवीकरण (नीला फाम)**

8. **आ थिगत लाइस स का नवीकरण**

9. **दूसरे वष के मुहरांकन शुक सं हण करने हेतु प**

10. **समाि प**

11. **लाइस स द तावेज**

12. **लाइसेंस पंजीकरण पत्र**

13. **मुहरांकन पुनरारंभ**

14. **मुहरांकन बंद करने हेतु तार**

15. **मुहरांकन बंद करना**

16. **मुहरांकन पुनरारंभ ासेसप**

17. **नया क्रिम का समावेश (पीला फार्म)**

18. **समावेश प**

19. **प् ांकन प**

20. **नमूना माँग प**

21. **प ांड/ व्यापार नाम के घोषणा/समावेश/विलोपन के लिए आवेदन**

22. **निरसन प**

23. **लाइसेंस समापन/निरसन**

24. **वचनबद्धता फार्म**

Inspections: (01 Report)

1. Inspection Report

2. It is suggested that separate reports may be created for preliminary, periodic, periodic (No Production), verification visits (Applicant/Licensee), Contact Visits etc.

3. Drop Box feature shall be provided so that an officer can select the relevant report proforma.

Sample Related: (04 Reports)

1. TR Reminder

2. Sample Failure Report

3. Release of Tested Report

4. Test Request

Complaint Related :(04 Reports)

1. Complaint Data Sheet

2. Investigation at Complainant end

3. Investigation at Licensee end

4. Complaint Closure

Hallmark Related: (08 Reports)

1. Application For Grant Of License

2. Endorsement Based Report For Hallmarking

3. Hallmark Related Renewal Notice

4. Hallmark Grant Of License

5. Hallmark Red Form Print

6. Hallmark Renewal Print

7.   Hallmark Renewal

8.   Hallmark License Form 1

Under Endorsement

Endorsement Report Formats: (08 Reports)

1.   Renewal
2.   Inclusion of Additional Varieties
3.   Revision of Standard and STI
4.   Inclusion of New clauses
5.   Revised Scheme of Testing and Inspection
6.   Revised Rate of Marking Fee
7.   Change in Name of the Licensee
8.   Change in Address of the Licensee

Features

1. Reports are logically categorized.
2. Reports should have the function to view, print and export report in PDF, Word/Excel as desired by BIS.
3.   All statistical report should have only view and print option to retain authenticity of data.

Apart from the reports mentions there are approximately 85 letter formats are in use to cater the business needs of BIS. These letters also need to be generated. Letters take inputs from different-different tables.

1.1.16. Query Module

Query Module will have the all customized views. In the query module there will be n… number of parameters and on selection of check box against the given parameter will be included in the query. There should be a provision that result is displayed in suitable mode i. e. report viewer, PDF and the print of the same can be taken. Query Module will facilitate running dynamic queries for the following:-

1.   Application wise
2.   License wise
3.   Fee Collection wise
4.   Inspection wise
5.   IR/TR Queries
6.   SOM
7.   Complaints
8.   Product wise
9.   IS wise

Apart from this there will be some queries related to master data. That includes:-

1.   STI Master
2.   IS wise Lab Master
3.   Marking Fee
4.   Lists
5.   Standard to be revised
6.   License to be revised

Features

1. Query Module is not the replacement of the report module rather has the mechanism to include parameters dynamically to generate report.
2. Query Module should have the logical categorization of the queries and print & export feature to export data out of system.

1.1.17. View Module

View Module includes all the information which is required for viewing purpose and will be displayed in read only mode. Information displayed in grid that is desired by BIS for decision making will be covered under this module. This module will be suitably integrated with main application module and grid will be shown at appropriate place in application.

Features

1. Feature to display application history under history.
2. Display of all the details of remarks given by GL/HOD/DDG in the chronological order. While displaying information it should be displayed in such a manner that it comes every decision taken by individual office should be depicted under remarks heading. This should be facilitating in a way that appears (layout) in Noting Side Sheet in the physical file and there should also be provision to take print of same and can be attached to Noting side without any much effort.
3. There should be a provision to display the information for Test Report received with sample code. This should be visible to DO/HOD. There may be an alert when lab submits the Test Report.
4. Provision to have view status of application TR awaited, No of sample received, No of other sample TR awaited etc.
5. There should be provision that all the records pertaining to remainders against application ID are shown in arranged manner & in chronological order that reveals the complete details of the correspondence (Reminders) in PDF form or other suitable view and it should be ready in state to take print.

1.1.18. Chat Server

Chat server shall be a utility integrated with software application. This shall facilitate communication between ISPCL users.

1.1.19. Complaint Information Management System

BIS has a provision to address the issues of customers related to IS marked items. They report the problem to BIS and get justification. Decisions on complaints logged by customers have significant impacts on license operations. Complaints are received and appropriate action is taken. Complaint Information Management System which is an integral part of CMMS will have the provision record the complaint details, investigation done on Complainant End, investigation done Licensee End and closing the complaints. Decision out put will be used in license operations. There shall be suitable linkage with enforcement activities to cater the service to Enforcement Department of BIS.

Features

1. There should be a provision to record details of complaint.
2. Provision to record the findings of investigation on Complainant End.
3. Provision to record the findings of investigation on Licensee End.
4. Provision to record decision, change license status wherever necessary and close application.
5. All input Proformas to be incorporated in consultation with BIS.
6. Provision to record pseudonymous/anonymous complaints.

Product Certification Process

Certification Process at BIS

License Renewal

License Renewal (Normal Case)

A :
- Checks Licenses due for renewal
- Sends blank application to Licensee

B :
- Applies either online or hard copy submission
- Make Payment of Fee

C :
- Check for Application Received
- Acknowledge the Receipt of Payment

D :
- Checks for Fee Details
- Checks for Performance Report
- Check for Production Details
- Check for License status, Operative, Deferred, SOM, Cancelled,inoerative

E :
- Blue Form Completion
- Renews License

F :
- Delivers License Information and Endorsements.

License Deferment

License Deferment

A Check for Pending Action,
If pending actions are not completed, deferred for 02 months

B Renewal application is not received before the date of
License Expiry, deferred for 01 month

C License under SOM, deferred for max 06 months for ROM

License Cancellation

Cancellation of License

Input from License Operations

DO

A - Non Conformity

B – Controversy to Liense Provisions

C - 2nd Sample Failure user ROM

D – Inadequate Measures

E – SOM is more than 6 months

F – Licensee not willing to continue

G – Revised Standard and Licensee not willing to implement

H – Licensee continues Marking in SOM

I – Controversy in implementation to other Provisions

J– Genuine Complaints against the Licensee

K– Food Items under Mandatory Cancellation

Cancel License

HOD

DDGR

License Cancelled

Notice and Provision for Hearing

Licensee

Notice

Stoppage of Marking

Stoppage of Marking

Input from License Operations

DO

Check for Unsatisfactory Surveillance Inspection

A – Failing Test Report
B – Organized Customer Complaint
C - Complaint Sample of Mandatory Food Product
D – Unsatisfactory Surveillance Inspection
E –Change in Process without Approval
F – Relocation of Plant from authorised premises
G – Prolonged closure of Factory
H – Marking on non conforming Products
I – Marking on the product not covered under License
J– Non Payment of Fee
K– Deferment of Renewal

SOM

HOD

GL/DO

Licensee

Normal Operation continue — Conformity to ISS — No — Is Failure in Requirement Critical — No — 1st Non Critical Requirement — No — 3rd Failure

Yes — Normal Operation Continue

Yes

Yes

No — SOM

SOM — Failure 2 or more in Critical Requirements — No

Yes

SOM — Yes — 2nd Critical Failure Have any critical failure reported — No

SOM — Yes — First Critical Failure — No — 2nd Failure Check DOM After CA

SOM — 2 Non Critical Failure — Yes

Seek CA, Normal Operation to continue

No

Normal Operation Continue — Yes — Failure in Same Critical Requirement — No — SOM

No — Sample Testing — Factory

Independent — Conformity to ISS — No — Failure is Critical — No — Follow steps for Non Critical Failure
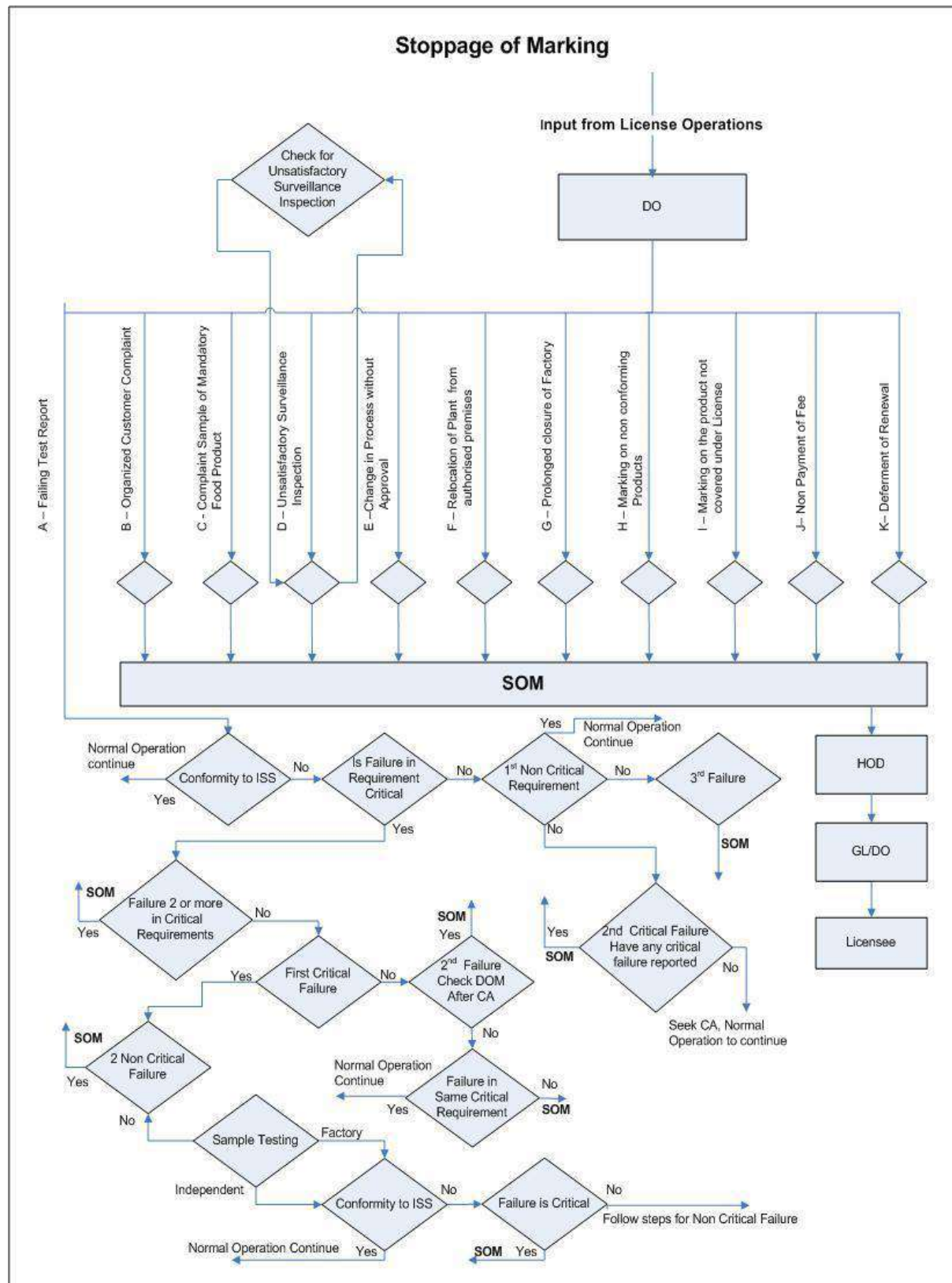
Normal Operation Continue — Yes

SOM — Yes

Foreign Manufacture   Certification Scheme

Foreign Manufacture Certification Scheme

BIS is operating a product certification scheme for foreign manufacturers also. This scheme, a license can be granted for any product against an Indian Standard specifying product characteristics, which is amenable to certification. The scheme operates on self-certification basis, whereby the manufacturer is permitted to apply the Standard Mark on the product after ascertaining its conformity to the Indian Standard license for. Through its surveillance operations, the Bureau maintains a close vigil on the quality of goods certified. Separate application is required to be submitted for each product/Indian Standard. The BIS license is granted to the factory address at which the manufacturing takes place, final product is tested as per relevant Indian Standards and conforming product is applied with BIS Standard Mark. Those desirous of obtaining the BIS license have to apply to BIS in the prescribed application form along with requisite application fee.

The foreign manufacturer shall set up a liaison/branch office located in India (authorized Indian Representative) with the permission of Reserve Bank of India, which shall meet all liabilities with respect to BIS Act, Rules and Regulations for purpose of the BIS license. The requirement to set up an office in India shall not apply, if BIS enters into an MOU with the respective Foreign Government for implementation of BIS Act, Rules, and Regulations including the punitive provisions, or if the foreign manufacturer nominates an Authorized Representative located in India who declares his consent to be responsible for compliance to provisions of BIS Act 2016, Rules and Regulations on behalf of the manufacturer as per terms and conditions of the Agreement signed between BIS and the foreign manufacturer. The Authorized Representative may either be in-charge or a senior officer of the Indian office or a legally appointed agent of the manufacturer in India

 License is granted to an applicant if results of preliminary inspection(s) conducted by BIS Officers (normally not more than 2 officers) and testing of samples drawn during the preliminary inspection are satisfactory; the applicant has in-house requisite manufacturing & testing facilities (as per relevant Indian Standards) ; has competent testing personnel (permanently employed) ; agrees to comply with requirements laid down in Scheme of Testing & Inspection (STI) and undertakes to pay the BIS Marking Fee. Copy of STI (different for different products) is available with BIS and can be obtained any time on request/at the time of submission or recording of application/during visit.

 Immediately after grant of license, the applicant is required to pay annual minimum marking fee and annual license fee. Subsequently, the licensee is required to quarterly pay the fee based on production marked during the quarter as per prescribed marking fee rates.

The initial validity period of the license is one year. License can be renewed for further periods of one or two years subject to satisfactory operation of license as observed during surveillance (periodic) inspections, satisfactory factory & independent testing of samples drawn from factory & market etc.

At the end of validity, the licensee shall apply to BIS on the prescribed renewal form along with the renewal application fee + annual license fee (for one or two years as applicable) + annual minimum

marking fee + marking fees based on production marked during the preceding operative year of license (less the amount already paid as quarterly fee). Prescribed application form for renewal of license is required to be filled up and submitted to BIS along with applicable fee and requisite details/documents two months in advance for timely renewal of license.

The Schedule of various fee/charges to be paid by an applicant/licensee are as under:

Schedule of Fee/Charges for Non-SAARC countries

Type of Fee/Charges Amount

Application Fee Rs 1000/-

Processing Fee US$300/-

Renewal Application Fee Rs 500/-

Marking Fee (annual) US$2000 +Marking Fee based on Unit Rate calculation

Annual License Fee Rs 1000/-

Visit Charges

1. Visits prior to Grant of License or visits for considering inclusion or Resumption of

   Marking Cost of Ticket, Visa Insurance and per-diem expenses

2. Surveillance Inspections -same as above-

Testing Charges

1. Samples drawn prior to GOL or inclusion samples or samples drawn to consider ROM Borne by

   Applicant/Licensee on actual

2. Samples drawn during Surveillance inspections Borne by Applicant/Licensee on actual

3. Market Samples Borne by Licensee on actual

Note: All Fee/Charges are to be paid in equivalent US$ only.

It would be in the interest of applicant, for expeditious processing of the case, to submit application for grant of license only if following is satisfied:

1. Manufacturing facilities are available within the factory premises/address indicated in the application form (else, details are provided).

2. All infrastructures to test the product in accordance with relevant Indian Standard is available in-house (else, details are provided along-with provisions of alternate arrangements made).

3. The product conforms to the requirements specified in relevant Indian Standards (get a sample tested in your own laboratory and/or any accredited independent lab for all requirements as per relevant Indian Standards and enclose a copy of the test reports with application showing conformity of the product to ALL requirements indicated in the product specification).

First applicant shall register with BIS through registration module with help of user ID and Password.

Registration: (Pre-Requisites)

● Registration should be in the name of firm and not in the name of an individual.

● Registration form should capture three types of Addresses Company registered, factory address and preferred address.

● There should be functionality when a check box is clicked against the repeated nature of address; the same should be copied on check event.

In case of Online Application Submission

Applicant has to register with the BIS for getting the User ID and password. In the registration module applicant will be getting user ID and password along with list of the documents containing general procedural guidelines pertaining to product certification, check list of the documents to be submitted to the BIS along and the fee details.

Constraints

A. Individual registration should not be allowed. Check on firm registration number.
B. Applicant must provide the mail ID for the interaction.
C. Mandatory of capturing the service he/she interested.
D. The service is he/she interested (Product Certification, Hallmarking or others).

In case Application submitted in hard copy and application done at BIS

Applicant gets registered with BIS and downloads the application (soft copy), fill up the application as per guidelines provided in the annexed document. Makes necessary payment in form of Demand Draft and along with all the relevant documents submits application to the concerned branch office for processing. Once the application is received at Branch Office, SO gives the receiving of application and application is forwarded to DA for making entry in the ISPCL software and application is processed in usual way.

Step 1

Applicant

1. Applicant fills up application online in the prescribed format.
2. A single application for all the type/grade/sizes of the product under one IS.
3. Uploads documents against check list.
4. Makes payment using Payment Gateway/Net Banking /Direct Debit or by DD in which case DD particulars will be entered online and subsequent DD would be send to SO with other papers.
5. Confirms the submission of the application.

Alerts, Validations and Constraints

A. Alert to the SO regarding new application.
B. Mail, alert shall be sent to CMD Head regarding submission of new application.
C. Mail shall be sent to applicant acknowledging the submission of his application.
D. Payments shall be reflected in BIS account immediately in case of online payment.
E. The system should not allow the applicant to proceed further if documents are not uploaded. The system should be intelligent enough to categorize and label the documents automatically.

Features

1. Applicant should be able to fill up online application as per the given format.
2. Applicant should be able to upload documents in image, doc, pdf format to a specific folder (named on applicant) against the given check list by BIS.
3. Applicant should be able to delete and re-upload incase of erroneous uploading of the documents (scanned copies etc).
4. Applicant must to have two options of the payments. Online and through Demand Draft.
5. Applicant must have a preview of the list of uploaded documents.

6. System should be capable enough to restore process from the last saved point in case of application failure or power failure etc.

7. Application should be addressed to Head CMD.

8. Functionality to maintain a record of all the payments, dues, and credit notes of the individual account (as against the Application ID).

9. There must a flexible system for naming the documents which are to be uploaded on site.

10. As soon as applicant submits application, mail to be sent to Head CMD and Section Officer of CMD-I.

11. There should be necessary checks if no document is uploaded and system must suggest applicant to upload necessary documents. There should be mandatory fields, so that applicant will not be able to upload where necessary (mandatory) documents/transactions like payment, Shop registration numbers, MOA etc are not provided during filing the application

12. Feature with application form for ascertaining that a physically signed application is being submitted in due course/accompanying.

Constraints

A. Individual registration should not be allowed.

B. Applicant must provide the mail ID for the interaction.

C. Mandatory of capturing the service he/she interested.

D. The service is he/she interested (Product certification, Hall Marking or Registration).

Step 1 A

1. Dealing Assistant fills up application online in the prescribed format.

2. Uploads documents against check list provided by Applicant in hard copy.

3. Using payment/receipt module generates receipt cum invoice for the fee paid. Temporary application number should be generated.

4. Submits application and maintains a file.

Alerts, Validations and Constraints

A.   Mail shall be sent to applicant acknowledging the submission of his application.

B. Payments shall be reflected in BIS account immediately.

C. The system should not allow the Dealing Assistant to proceed further if documents are not uploaded.

D. The system should be intelligent enough to categorize and label the documents automatically.

Features

1. Dealing Assistant should be able to fill up online application as per the given format.

2. DA should be able to upload documents in image, doc, pdf format to a specific folder (named on applicant_ID) against the given check list by BIS.

3. DA should be able to delete and re-upload incase of erroneous uploading of the documents (Scanned copies etc).

4. There should be a provision to accept payment through DD.

5. DA should have a preview of the list of uploaded documents.

6. System should be capable enough to restore process from the last saved point in case of application failure or power failure etc.

7. Functionality to maintain a record of all the payments, dues, and credit notes of the individual account (as against the Application ID).

8. There must a flexible system for naming the documents which are to be uploaded on site.

9. As soon as DA submits application it should be visible in pane of Head CMD.

10. There should be necessary checks if no document is uploaded and system must suggest applicant to upload necessary documents. There should be mechanism that applicant will not be able to upload where necessary (mandatory) Like Payment, MOA etc. are not provided during filing the application.

List of documents to be attached

a. Nomination form in support of Indian Representative.

b. Memorandum

c. Process Flow Chart

d. Quality Manual

e. Details of other Certificate on the product/System

f. Requisite details pre certification

g. List of Manufacturing Machinery

h. List of test equipment

i. Drawing of Products

j. Qualification of Lab-in charge

k. Layout of factory premises

l. Location Plan

m. Details of the fee payment DD etc.

n. Details of previous licenses/application.

Step2

Head CMD -I

1.   Marks application to GL/DO.

Alerts, Validations and Constraints

A. Alert to the concern GL/DO.

B. System shall generate temporary application number on forwarding the application to GL/DO.

C.   Alert to SO regarding status of application.

D.   Making available for SO/DA for print.

E. Confirmation mail to the applicant with an attachment of letter (mentioning the scrutiny of the application has been initiated).

Features

1. When Head CMD logs in to application, he should be presented with all new applications showing Sl. No., Name of firm, Date of apply. Procedure Type

2.   All new application should be visible in a grid.

3.   Head CMD should be able to view application

4.   Head CMD should be able to view uploaded documents

5.   Head CMD should be able to view payment details.

6. He should be able to take action on application. i.e. giving remarks, comments etc.

7. He should be able to see action history showing date remarks and comments etc, when it is chosen from the grid.

8. He should be able to forward application to Group Leader (Normal case) or any other designated officer/staff.

9.   Head CMD should be able to forward application to GL/DO.

10. SO should be able to take a printout of the application (decision of being temp application).

11.   SO should be able to generate application fee receipt as a hard copy.

12.   SO should be able to communicate receipt to Applicant in case payment by DD.

Step 3

GL/Head

1. Marks the application to DO with his remarks

Alerts, Validations and Constraints

A.   Intimation to Head CMD regarding the status

B.   Alerts to the concern DO regarding the new application influx

Features

1. Application visible in pane showing Sl. No. Temp Appl Number, Name of firm, Date of application. Procedure Type, IS No.

2. GL should be able to view application

3. GL should be able to view uploaded documents

4. GL should be able to view payment details.

5. He should be able to take action on application. i.e. giving remarks, comments etc.

6. He should be able to forward application to DO (Normal case) or any other designated officer/staff.

7. Alert should go to Head CMD regarding action.

8. Feature to forward application to DO or other appropriate officer.

9. Function to automatically mail to applicant for their status of application.

Step 4

DO

1. Verification and validation of the documents and application.

2. Forwards application to GL with his remarks (observations) in case of

   i.Application in order

   ii.Application not meeting pre - requisites at all

3. Request the applicant in case of any queries/ clarifications required.

Alerts, Validations and Constraints

A. Clarification request in case of clarification to the application keeping informed Head/GL regarding the same

Features

1. Application visible in pane showing Sl. No., Name of firm, Date of application, Procedure Type, IS Number.

2. DO should be able to view application

3. DO should be able to view uploaded documents

4. DO should be able to view payment details.

5. He should be able to take action on application. i.e. giving remarks, comments/ observation

6. Must state explicitly in remarks- Application in order or application is not meeting prerequisite at all and queries in case of clarification.

7. DO should be able to cross verify the documents against the check list.

8. Should be able to send email regarding/Hard copy letter to applicant under email intimation to GL and HOD.

9. Provision to take print of the remarks provided by DO

10. Feature to forward application to GL or other appropriate officer.

Step 4 A

Applicant

1. Provides to DO requested information (by uploading relevant documents, by entering necessary modification in the application entries) (these tasks will be completed when application in account of DO).

Alerts, Validations and Constraints

Features

1. Applicant should be able to upload necessary documents as sought by BIS.

2. Applicant should be able to make payments as requested for against the inspection charges. (Preliminary).

Step 5

GL/DO

1. GL forwards application to Head CMD in case of:
   - Recommending of recording of application
   - Recommending of returning of application

2. GL refers back the application to DO in case of clarification required for recording or rejection

Alerts, Validations and Constraints

A. Step 4 shall be initiated in case item 2 of step 5

Features

1. Application visible in pane showing Sl. No., Name of firm, Date of application, Procedure Type.

2. GL should be able to view application

3. GL should be able to view uploaded documents

4. GL should be able to view payment details.

5. GL should able to take action on application i.e. giving remarks/recommendation

6. GL should be able to state reason for rejection.

7. He should be able to forward application to DO for discussion and remarks columns for topic of discussion.

8. Feature to forward application to Head CMD or other appropriate officer.

Step 6

Head CMD I

1. Approval in case of
    a. Recording
        i. Assigning IO
    b. Returning
        i. Forwarding application to GL/DO/SO for action (application status closed)
2. Refer back to GL/DO in case any clarification
    a. Forwards to GL/DO

Alerts, Validations and Constraints

A. Mail intimation to the applicant regarding the recording of application with number, fee details or rejection of the application with stated reasons for rejection.

B. Rejection letter should be generated and sent to the applicant as attachment.

C. System shall generate permanent application number on approval of recording the application and intimation to the concerned GL, DO and SO regarding the same.

D. Step 5 shall be initiated in case 6.2

E. Request mail to applicant for payment for the inspection fee and other charges. Enabling payment option for the applicant (like inspection fee, service tax, educational tax etc.,)

F. Enabling archival for the application documents

Features

1. Application visible in pane showing Sl. No .Appl Number, Name of firm, Date of application. Procedure Type.

2. HOD should be able to view all the remarks given by DO and GL.

3. In case of recording application, software must have provision to generate application No. and same to be mailed to applicant.

4. As the application is recorded, there should be email function through that Brand Name Proforma, Details of marking fee to be paid and STI documents and acceptance proforma are sent to Applicant.

5. Head CMD should have the provision to view the list IO's
    i. List should facilitate to view the visits of individual officer to foreign country.
    ii. There should be check that an officer cannot visit foreign country more than 4 times.
    iii. There should be provision to track the record of the where minimum five years experience.
    iv. Provision to put up approved list to Scientist 'G' Certification.
    v. There should be provision to Scientist G to forward the ADG.
    vi. Provision to ADG to approve the list of selected IO to DG.
    vii. Provision to DG to approve the IO list and revert back in similar way.

6. Head CMD/DO should be able send letter to party regarding inspection plan and in response party sends invitation letter to Head CMD.

7. Head CMD/DO should be able to forward application to IO in recording case and he should be able to give remarks/directions if any.

8. Head CMD should be able to forward application to GL in case of clarification /discussion and able to enter his remarks for discussion.

9. Head CMD should be able to record ground of rejection.

10. In case of rejection, Head CMD should be able to forward application to SO for returning back to applicant.

11. There should be provision in application that SO takes the print of the decision for returning the application.

12. There should be provision to record application status Returned.

13. Head CMD should be able to forward application to IO with the necessary guideline to inspect the firm.

    - Status Application Route ---Marked to IO

Step 7A

IO

1. IO should have the provision to make tour program and forward it to HOD/ DDGR → Head CMD-I → DDG Certification/ADGM/DG and in reverse.

2. Makes a checklist for preliminary inspection,(link should be available in Inspection pane of the software to refer online pdf)

3. Makes entry in movement register- viewable by Head CMD only (Tour Log).

4. Visits Firm located in abroad.

5. Filling up Inspection Report, test request in the prescribed form.

6. Labeling of samples-generation of labels.

7. Updates movement register after the inspection (inbound).

Alerts, Validations and Constraints

A. Payment status of the inspection should be received/ yes

B. Mail Alert to the concern LAB without showing the identity of the manufacturer. Alert can show No. of samples, IS No.

C. Making availability of Inspection report to the concern DO,GL and Head CMD

Features

1. Application visible in pane showing Sl. No. Appl Number, Name of firm, Date of application, Procedure Type, IS No.

2. IO should be able to view application.

3. IO should be able to view uploaded documents.

4. IO should be able to view payment details.

5. IO should be able to see checklist/Guidelines (in PDF form) required for preliminary inspection or other inspection as appropriate.

6. IO must able to make movement entry Movement -Out that is viewable by Head CMD/ Head BO other than IO (Entries in Tour Log).

7. There should be a provision in software where IO fills up test request against the application.

8. There should be provision in the software to accommodate multiple type of testing (chemical, mechanical, bacteriological, physical etc.) from a given sample No.

9. There should be a provision to Lab side software to make bifurcation of the sample No. sub numbers under the single number against the same sample No. and the result of sub test can be recorded in that.

10. There should be provision to generate sample labels.

11. There should be provision to have auto- manual sample code generation pertaining to applicant, branch and IO and date of collection.

12. There should be provision to record the No of samples collected,

13. There should be provision accept more than one sample against one test request.

14. There should be provision for IO to submit the Inspection Report and Test Request online. There should be service that communicates with the lab management software regarding acceptance of test request (open position to receive the stated sample).

15. There should be feature in the software where IO can have status of the lab in respect to accept the sample. Some suitable service that brings data to CMMS application regarding lab.

16. There should be provision to save the Test request and push action to run as service. There also should be provision to edit the saved data and push action is ready once IO is sure to submit Test Request.

17. As IO submits the Test Request, the service should release data that is to be captured by lab.

18. Test Request should be part of Inspection Report.

19. There should be feature HOD to view all disputed samples under that branch.

20. Interface between CMMS and Laboratory software in such a way that data flows from CMMS to Lab not vice versa.

21. If no test request generated through CMMS software, the provision to Lab software to generate test request at the sample counter itself and suitable provision to track report on CMMS like other Test Reports once Test Report is uploaded on CMMS software.

22. Provision to HOD to view information about the diverted samples to their respective branch.

23. There should be provision for IO to fill up inspection report as per the prescribed format.

24. When IO submits inspection report a message should go GL and HOD stating that Inspection report has been submitted by IO.

25. There should be a provision that every inspection report is recorded against the application No/license Number.

26. IO should be able to forward application to GL and Inspection report should be visible to GL.

27. GL Forwards Inspection report to DO for further action.

28. After the inspection is over, IO should be able to make entry in movement register to make Movement –In.

29. There should to lock submission of the inspection report when an officer does not submit inspection report. Necessary date references should be picked up by movement in register (Tour Log) and there should also be a feature to Head CMD/ Head BO to unlock record.

   ● Status Application Route -- Marked to GL.

Step 7 B

SO

1. Verifies and performs the archival of the application.
2. Takes print out and makes a record of the rejected application.
3. Creation of credit note entry if required.

Alerts, Validations and Constraints

Features

1. Provision to create credit note if required.
2. Provision to take print out of rejection letter.
3. Provision close Application status.

Step 8

Laboratory

1. Making entry regarding the sample received.
2. Updating test report (by making entries or uploading scanned documents)

Alerts, Validations and Constraints

Features

1. Lab Management Software must have suitable interface to receive the service contents (Contents of Test Request pushed by IO during or after inspection)
2. There should be a suitable provision to communicate the Test Report.
3. There should be a provision in the Lab Management software to forward a scanned copy of the Test Report Results.
4. There should be an email function whenever any Test Report is entered in Lab Management Software, a push service for the Test Report Data for uploading to CMMS software and email intimation to concerned IO and HOD.
5. There should be provision to feed data from Lab for all kind of test report i.e. Complete Report, partial report, or part of the report as the case may be.

Step 8A

GL

1. Record his remarks.
2. Forwards Application to DO with inspection Report.
3. On Receive of Test Report Forwards IT to DO.

Features

1. Application visible in pane showing Sl. No. Appl Number Name of firm, Date of application. Procedure Type, IS No.
2. GL should be able to view application
3. GL should be able to view Test Report.
4. GL should be able to view Inspection Report
5. Provision to forward application to DO

Step 9A1 (Inspection Report Scrutiny)

DO

1. Reviews inspection report and follow up for pending actions.
2. In case of IR is incomplete or any missing information seek clarification and refer back to IO.

3. Forwards application to GL with his remarks (remarks may be satisfactory or unsatisfactory)

Alerts, Validations and Constraints

A. Intimation mail to the concerned IO, GL, HOD regarding the status

Features:

1. Application visible in pane showing Sl. No., Name of firm, Date of application. Procedure Type, IS No

2. DO should be able to view application

3. DO should be able to view uploaded documents

4. DO should be able to view payment details.

5. DO should be able to view Inspection Report.

6. DO must have the option to forward back application to IO for clarification.

7. There should be provision where DO will record his response pertaining to Inspection Report.

8. Ability to capture response Satisfactory/Unsatisfactory.

9. Provision to take print of the remarks.

10. DO should get alert for the samples not reached to lab within the given time frame.(Time frame to be decided by the BIS).

11. Feature to forward application to GL or other appropriate officer.

Step 9A2 (Test Report Scrutiny)

DO

1. Review of the Test report and follow up for pending actions from the Lab

2. Forwards application to GL with his remarks (remarks may be Pass or Fail)

Alerts, Validations and Constraints

A. Intimation mail to the concerned GL

Features

1. Application visible in pane showing Sl. No., Name of firm, Date of application. Procedure Type, IS No

2. DO should be able to view application

3. DO should be able to view uploaded documents

4. DO should be able to view Test Report.

5. DO must have the option to request clarification from the concern LAB

6. There should be provision where DO will record his response pertaining to Test Report which may be

    i.   Partial

    ii. Full

7. Ability to capture the result of DO

    i.   Pass (With Stated Reasons)

    ii. Fail (With Stated Reasons)

8. There should be provision to make entries regarding no. of TR received and No of TRs pending, partial report. There should be provision DO to update this information.

9. Provision to take print of the remarks

10. Feature to forward application to GL or other appropriate officer.

Step 10 A (PASS)

GL

1. Scrutinize the red form and make recommendations to the competent authority (CA)

Alerts, Validations and Constraints

Features:

1. Application visible in pane showing Sl. No., Name of firm, Date of application. Procedure Type

2. GL should be able to view application

3. GL should be able to view uploaded documents

4. GL should be able to view payment details.

5. GL should be able to view Inspection Report.

6. GL should be able to view Test Report.

7. GL should be able to give his remarks for Grant of license.

8. GL must have a feature to forward the application to any of the Officer i.e. IO, DO, SO for any clarification.

9. Feature to forward application to HOD (CMD-I/CMD-II) for GOL (Grant of license).

Step 11A (PASS)

HOD (CMD-I/CMD-II)

1. Considers recommendation of the GL and records his decision

Alerts, Validations and Constraints

Features:

1. Application visible in pane showing Sl. No., Name of firm, Date of application. Procedure Type

2. HOD (CMD-I/CMD-II)should be able to view application

3. HOD (CMD-I/CMD-II) should be able to view uploaded documents

4. HOD (CMD-I/CMD-II) should be able to view payment details.

5. HOD (CMD-I/CMD-II) should be able to view Inspection Report.

6. HOD (CMD-I/CMD-II) should be able to view Test Report.

7. HOD (CMD-I/CMD-II) should be able to give recommendation his Remarks /Decision.

8. Provision to HOD (CMD-I/CMD-II) to forward application to DDG Certification.

9. There should be a provision for sending intimation to applicant, SO regarding grant of license and request for depositing Marking Fee by DD or online fee payment

10. Provision to forward application to SO for Marking Fee Collection

11. Provision to Refer back with comments to GL/DO

Step 10 B (FAIL)

GL

1. Verification of the DO's Report and recommends for rejection

2. Chance is given to applicant for testing fresh sample (IO)

3. Forwards to HOD in case of proposal of closure of application.

Alerts, Validations and Constraints

Features:

1. Application visible in pane showing Sl. No., Name of firm, Date of application, Procedure Type, IS Number

2. GL should be able to view application

3. GL should be able to view uploaded documents

4. GL should be able to view payment details.

5. GL should be able to view Inspection Report.

6. GL should be able to view Test Report.

7. Provision for comments by GL

8. GL must able to forward application to HOD (CMD-I/CMD-II).

9. GL must have a feature to forward the application to any of the Officer i.e. IO, DO, SO for any clarification.

10. Feature to maintain the status of application as Under Grant of license or as appropriate.
   - Status Application Route -- Marked to HOD (CMD-I/CMD-II).

Step 11B (FAIL)

HOD (CMD-I/CMD-II)

1. To consider recommendation for second chance or issue of closure notice

Alerts, Validations and Constraints

A. In case of second chance DO will send intimation to Applicant

B. Closure notice is sent to Applicant

Features:

1. Applications to be visible in pane showing Sl. No., Name of firm, Date of apply. Procedure Type

2. HOD (CMD-I/CMD-II) should be able to view application

3. HOD (CMD-I/CMD-II) should be able to view uploaded documents

4. HOD (CMD-I/CMD-II) should be able to view payment details.

5. HOD (CMD-I/CMD-II) should be able to view Inspection Report.

6. HOD (CMD-I/CMD-II) should be able to view Test Report.

7. HOD (CMD-I/CMD-II) should be able to print **Closure Notice (5. Letter Generation. Refer letters of existing software**)

8. Feature to maintain the status of application as closure notice issued.

Step 12

HOD (CMD-I/CMD-II)

1. HOD (CMD-I/CMD-II) shall consider grant of license.

2. HOD (CMD-I/CMD-II) may seek clarification and refer back the RF to GL/DO

Alerts, Validations and Constraints

A. Alert mail to the applicant, informing the grant of license

B. Alert mail to the applicant, requesting for the payment of marking fee. (**Refer Letter 9. Existing software**)

C. Payment module should be enabled for the applicant with marking fee in default mode

Features

1. Application visible in pane showing Sl. No., Name of firm, Date of application, Procedure Type

2. HOD (CMD-I/CMD-II) should be able to view application

3. HOD (CMD-I/CMD-II) should be able to view uploaded documents

4. HOD (CMD-I/CMD-II) should be able to verify application fee, inspection fee, and marking fee (all payment details)

5. HOD (CMD-I/CMD-II) should be able to view Inspection Report.

6. HOD (CMD-I/CMD-II) should be able to view Test Report.

7. HOD (CMD-I/CMD-II) should be able to see all the remarks against an application in chronological

8. HOD (CMD-I/CMD-II) should be able to his own previous responses on the application.

9. Feature to maintain the status of application as Under Grant of license or as appropriate.

- Status Application Route-- Marked remains with HOD (CMD-I/CMD-II).

Step 14

HOD (CMD-I/CMD-II)

1. Forwarding application to DDG Certification for Grant of License.

Alerts, Validations and Constraints

A. Intimation mail regarding the same to the concerned DO, GL, and HOD (CMD-I/CMD-II)

B.   Alert mail to the applicant, informing the issuance of CML Number

Features

1. .Application visible in pane showing Sl. No., Name of firm, Date of application Procedure Type, IS No.

2. Provision to generate CML number and party code.

3. Provision to send intimation to Regional Office regarding Grant of license, Licensing Authority, Date of grant of license, CML No, and Party Code.

4. Status of Application is updated to License.

5. Status of the made Operative from the date of issuance of and ready for publishing on website (public domain)

6. HOD (CMD-I/CMD-II) should be able forward application DO/SO as appropriate for closing the application.

   Any one status:

- Status Application Route -- Marked to DDG Certification.

Step 13

DDG Certification

1. Views Application

2. Grants of License.

Alerts, Validations and Constraints

A. Intimation mail regarding the same to the concerned DO, GL, and HOD (CMD-I/CMD-II)

B. Alert mail to the applicant, informing the issuance of CML Number

Features:

1. Application visible in pane showing Sl. No., Name of firm, Date of application Procedure Type, IS No.

2. Provision to generate CML number and party code.

3. Provision to send intimation to Regional Office regarding Grant of license, Licensing Authority, Date of grant of license, CML No, and Party Code.

4. Status of Application is updated to License.

5. Status of the made Operative from the date of issuance of and ready for publishing on website (public domain)

6. DDG Certification should be able forward application DO/SO as appropriate for closing the application.

   Status Application Route -- Marked to DO/SO.

Step 14

Applicant

1. Payment of the marking fee

Alerts, Validations and Constraints

1. Applicant should be able to pay Marking Fee online or by DD

2. The feedback should be justified to application account for which is due against the whole process of grant of license.

3. System should acknowledge the receipt for the payment made.

4. In case payment is made by DD, the receipt shall be generated online by SO/DO

Step 15

DO/SO

1. Takes print of document (refer documents)

2. Makes delivery of Documents to Applicant.

3. Application gets converted to License.

Features:

1. Application visible in pane showing Sl. No., Name of firm, Date of apply. Procedure Type

2. There should be provision for SO/DA to take print out of license documents

3. DO/SO is able to make Endorsement.

4. DO/SO is able to close application status.

5. DO/SO is able to take print of the document (Refer documents of Existing software) as per the specified format (with n… number of documents).

6. Able to email documents to applicant.

7. There should be a feature that documents are digitally signed.

8. Able to attaché necessary guidelines to keep operative.

9. Able to attaché necessary guidelines to prevent any failure, inoperative, deferred, Stoppage of Marking (SOM), Resumption.

10. Able to attaché helpline numbers.

11. Able to attach a feedback proforma pertaining to service rendered.

12. License documents should be delivered in secure and authenticated way (Implementation to Digital Signature- function implementation on the discretion of BIS).

    ● Status Application Route -- Marked to DO/SO.

Management System Certification Scheme

Dashboard for MSCO, DDGRs, MSCD, DDGMSCD, Client, Auditor

DDGMSCD :

> **FEE Master, Auditor Master, CPA Master, Technical Area Master, Process Control Master, Time Calculator, Document Master, Type of Audit Master, System Master, Target Master, Time Line Master, CPA IAF, Discipline Master, IAF Master, Target Master, Include New Scheme**

> **Management System Certification**

> Bureau of Indian Standards (BIS), the National Standards Body of India has been providing service to the Indian industry for more than five decades by way of formulation of national standards and operation of product certification scheme. BIS is operating Quality Management Systems Certification Scheme as per **IS/ISO 9001** standard. The scheme was launched in 1991 covering a wide range of industry as well as service sectors including engineering, chemicals, pharmaceutical, cement, ceramics, food, textiles, automotives, mechanical, metallurgical, electrical, electronics, aeronautics, hospitals, financial, banking services, construction, wholesale & retail trade, education & training, hotel, power, printing, telecommunications, testing laboratories and information technology. This QMS and EMS schemes are accredited by, NABCB the Quality Council of India..

> **BIS is operating following Management Systems Certification Schemes:-**

1. Quality Management Systems Certification Scheme (IS/ISO 9001)
2. Environmental Management Systems Certification Scheme (IS/ISO 14001)
3. Occupational Health and Safety Management Systems Certification Scheme (IS18001)
4. Hazard Analysis and Critical Control Point (IS 15000)
5. Food Safety Management Systems Certification Scheme (IS/ISO 22000)
6. Service Quality Management Systems Certification Scheme (IS 15700)
7. Energy Management System (IS/ISO 50001)
8. Medical Devices Management System (IS/ISO 13485)
9. Social Accountability Management Systems (IS 16001)
10. Road Traffic Safety Management System (IS/ISO 39001:2012)

Grant of License Process

In case of online application submission

Applicant has to register with the BIS for getting the userid and password. In the registration module applicant will be getting userid and password along with list of the documents containing general procedural guidelines pertaining to MSCS, check list of the documents to be submitted to the BIS along, and the fee details. Payment should be made online/through pay order/DD.

Constraints

A.   Individual registration should not be allowed. Check on firm registration number.

B.   Applicant must provide the mail id and Mobile number for the interaction

C.   Applicant shall select the service he/she is interested from drop-down menu

Step 1

Applicant

(if already existing or licence with BIS, populate the data.)

1. Selects the type of Certification from the Existing Schemes:
2. Applicant fills up application online in the prescribed format +Additional information (like Questionnaire for respective Schemes)
3. Uploads documents against given check list in jpg or pdf format (size limit).
4. Makes online payment using payment gateway
5. Confirms the submission of the application to Client by email and SMS with Regn. Number.

Alerts, Validations and Constraints

A. Mail/SMS, alert shall be sent to MSCO(R), MSCD and DDGRs and DDGMSCD regarding submission of new application.
B. Mail shall be sent to applicant acknowledging the submission of his application
C. Payments shall be reflected in BIS account immediately in case of online payment
D. The system should not allow the applicant to proceed further if documents are not uploaded
E. The system should be intelligent enough to categorize and label the documents automatically

Features

Dashboard for applicant

1. Applicant should be able to fill up online application as per the given format.
2. Applicant should be able to upload documents in image, doc, pdf format to a specific folder (named on applicant) against the given check list by BIS.
3. Applicant should be able to delete and re-upload incase of erroneous uploading of the documents (scanned copies etc).
4. Applicant must to have options of the payments online only.
5. Applicant must have a preview of the list of uploaded documents.
6. System should be capable enough to restore process from the last saved point in case of application failure or power failure etc.
7. There should be functionality to route application to appropriate RO depending upon the selection of the applicant.
8. Application should be addressed to MSCO(R)/DDGR'S
9. Functionality to maintain a record of all the payments, dues, and credit notes of the individual account (as against the application id).
10. There must a flexible system for naming the documents which are to be uploaded on site.
11. As soon as applicant submits application, mail and SMS to be sent to concerned MSCO and DDGR.
12. There should be necessary checks if no document is uploaded and system must suggest applicant to upload necessary documents. There should be mandatory fields, so that applicant will not be able to upload where necessary (mandatory) documents/transactions like payment, registration numbers etc are not provided during filing the application.
13. Acknowledge the application and fees.

Step2

MSCO – Dashboard for MSCO

1. Views application
2. View Licence
3. Time based pending for action
4. Reports MCRs
5. Graphs
6. Views attached documents
7. Views fee paid.
8. Does scrutiny of application.
9. Communicates with applicant through portal in case of any discrepancy in documents
10. Makes competency analysis online calculation
11. Does Contract Review. Online
12. Forward Contract review Report to DDGR .with his recommendations

Alerts, Validations and Constraints

A. Alert to the concern DDGR for new application received for ISO certification.
B. Making available for DA for taking out necessary print
C. Confirmation mail to the applicant with an attachment of letter (mentioning the scrutiny of the application has been initiated)

Features:

1. When MSCO logs in to application, he should be presented with all new applications showing   sl. No., name of firm, date of apply, type of management Systems for which applied for etc
2. MSCO & MSCD should be able to view application
3. MSCO should be able to view related questionnaire.
4. MSCO should be able to view uploaded documents
5. MSCO should be able to view payment details.
6. Provision to send mail to applicant & portal communication.
7. Provision to preview competency for scope sector and time calculator
8. Provision to identify Technical area.
9. He should be able to take action on application. i.e. giving remarks, comments etc.
10. He should be able to see action history showing date remarks and comments etc, when it is chosen from the grid.
11. Select BIS Branches as per Pin Code
12. MSCO should be able to forward application to DDGR.

Step3

DDGR

1. Views application
2. Views contract Review Report.
3. Approves contract Review Report.
4. Application registration approved.
5. Mail to applicant by MSCO.

6. Application number generation.

7. May refer back to the MSCO for clarification.

Alerts, Validations and Constraints

A. On approval system should generated application number automatically

B. Intimation to applicant regarding the status (application considered)

Features

1. Application visible in pane showing sl. No., name of firm, date of application. Management Scheme, ISO No etc

2. DDGR/MSCD should be able to view application

3. DDGR/MSCD should be able to view uploaded documents

4. DDGR should be able to view payment details.

5. View Contract Review Report

6. Provision to give remarks on contract review report.

7. Provision to forward application to MSCO or to MSCD

8. Provision to record remarks on application

9. Provision for refer back.

10. Function to automatic mail to applicant for their status of application and status update in Dashboards.

Step 4

MSCO

1. Identifies audit team, Technical area through modules

2. Selects nearby and technical area wise auditor(s).

3. Forwards selected auditor(s) to DDGR for approval.

4. Approved by DDGR through mail/portal to client

Alerts, Validations and Constraints

A. Clarification request to the application

B. Fee payment module to auditor

C. After payment report auditors allotted

D. Provision to allot combination of audits

E. Provision to check audits pending with auditors and disabling due to overload.

Features

1. Application visible in pane showing sl. No., registration number, name of firm, date of application, Management Scheme, ISO number.

2. MSCO Should have provision to view the list of auditors, specialization, experience, Technical area, status, pending audits, locations details etc.

3. Provision to forward the list of selected auditor(s) to DDGR for approval.

4. Provision to send intimation to auditors who have been approved by DDGR for audit.

Step 5

Auditor(s)

1. Auditors to get pre-filled forms, process NCs, payment details,

2. Auditor(s) fills up tour log ticket request.

3. Conduct Stage-1 Audit.

4. Submits report to MSCO.

5. Observation/comments to auditor

6. Audit plan through the system by auditor

Auditor Dashboard

1. His Status

2. Audits allotted, done, pending, report submitted, payment received/pending

3. Evaluation status and score

4. New alerts/notifications

5. Feedback/training details.

Step 8

MSCO

1. Reviews Pre Audit Report.

2. If OK selects Team of Auditor(s) – view + select as per status + technical area + location + load.

3. If not OK request clarification from the applicant/auditor through portal

4. Forwards list of auditor(s) to DDGR for approval or to MSCD if DDGR/ADG'S are in audit team

Alerts, Validations and Constraints

A. Clarification request in case of clarification to the application

B. Intimation to team members regarding the new assignment

Features

1. Provision to view the Stage-I Audit Report

2. MSCO should have provision to view the list of auditors, specialization, experience, field of expertise etc.

3. Provision to forward the list of selected auditor(s) to DDGR for approval.

4. Provision to send intimation to applicant.

5. Provision to forward application to Auditor(s) for Initial Audit.

Step 9

DDGR/DDG(MSCD)

1. Approval of the team for Initial Audit

2. Re- organize Team, if required.

Alerts, Validations and Constraints

A. Alert to the concern team members regarding the new assignment

Features

1. List of the selected team shall be viewable to the DDGR

2. Provision to add/remove the selected team should be given to the DDGR

3. Provision to approve list of selected team.

4. Provision to forward the list of selected team to MSCO for execution.

Step 10

MSCO

1. View list of approved Auditor(s) (Audit Team)
2. Communication Audit program to Audit Team and applicant.
3. Forward file to Audit Team.

Alerts, Validations and Constraints

A. Intimation to Audit Team members regarding the new assignment
B. Intimation to the applicant regarding the audit program
C. Request applicant to pay Audit Fee.

Features

1. Provision to view the list of approved audit team.
2. Provision to view the list of auditors, specialization, experience, field of expertise etc.
3. Provision to intimate Audit team about the audit.
4. Provision to intimate applicant about the audit program and audit plan and fee.
5. Provision to forward application to Auditor(s) for Initial Audit.

Step11 A

Applicant

1. Prepares for Audit (External to system)
2. Pays Audit charges

Alerts, Validations and Constraints

A. Alert to the MSCO on submission of audit charges

Features:

1. Pays Audit charges

Step11 B

Audit Team

1. Team Leader to send Audit Plan in advance to Auditor, MSCO
2. Communicate audit plan to audit members
3. Change auditor if required on location/tech. area wise
4. Records NC (Major, Minor with section reference to the process of activities, date of raising the NCs, name of MR to whom NCs communicated, status of NCs) opportunity for improvement.
5. NC generated through system,
6. NC to be reflect in dashboard
7. Team Leader forwards feedback/information to MSCD on Tech. area.
8. Team member (like auditor/experts) submits individual audit report with their remarks
9. Team leader submits the evaluation report
10. Team leader submits the audit report with his remarks
11. Hand over the duly signed summery report to the applicant
12. Forward the audit report to the MSCO

Alerts, Validations and Constraints

A. Alert to the MSCO on submission of Initial Audit Report.

Features

1. Provision to fill up Tour Log

2. Provision to auditors to see confidentiality on system.

3. Provision to record the NCs as per the format that needs to be communicated to applicant.

4. Provision to Team Lead to submit summary report.

5. Provision to upload report by individual team member in form of pdf/word so that it can be viewed by MSCO as well by other officers in hierarchy as applicable. Naming convention of the individually submitted report that is uniquely identified.

6. Provision to upload scanned copy of acknowledgment summary report provided by applicant

7. Provision to forward the Initial Audit Report to the MSCO.

8. Provision to

Step12

MSCO

1. Scrutiny of audit report

2. May seek clarification

3. May assign an independent Auditor for Scrutiny.

4. Forwards application to DDGR with his recommendation

    A. GOL

    B. Closing of Application with notice.

    C. Follow up Audit if required. (Steps 8,9,10,11 are repeated in case of follow up audit)

Alerts, Validations and Constraints

A. DDGR shall be notified regarding the recommendation of the MSCO

Features

1. Provision to view application

2. Provision to view questionnaire

3. Provision to fee paid for all the instances

4. Provision to see adequacy report, preliminary visit/pre-audit report, Initial audit report, Follow up Audit Report (if applicable).

5. Provision to view remarks given by officer during independent scrutiny.

6. Provision to record his recommendations

7. Forwards application to DDGR for Grant of License.

Step13

DDGR

1. May seek clarification

2. Consider MSCO recommendation and Grants Licence and send it back to MSCO

3. If DDGR is auditor then report is submitted to ADG.

Alerts, Validations and Constraints

A. DDGR shall be notified regarding the recommendation of the MSCO

Features

1. Provision to view application

2. Provision to view questionnaire

3. Provision to fee paid for all the instances

4. Provision to see adequacy report, preliminary visit/pre-audit report, Initial audit report, Follow up Audit Report (if applicable).

5. Provision to view remarks given by officer during independent scrutiny.

6. Provision to view recommendations given by MSCO.

7. Provision to Grants License/Certificate

8. Provision to forward file to MSCO

Step14

MSCO

1. Communicate to the applicant regarding GOL /Grant of Certificate.

Alerts, Validations and Constraints

A. Applicant/license shall be notified regarding the GOL and Payment

Features

1. Should have provision to view the details of DDGR recommendation

2. Should have provision to communicate the applicant

Step15

Applicant

1. Does the payment

2. Accepts the policies

Alerts, Validations and Constraints

A. MSCO shall be notified on successful payment

Features

1. Should have provision to view the details of DDGR recommendation

2. Should have provision to communicate the applicant

Step16

MSCO

1. Generation of license document's number as per given business logic

2. Delivers the GOL and associated documents

Alerts, Validations and Constraints

A. MSCO shall be notified on successful payment

Features

1. Provision to deliver License documents

Business Logic for License Numbering for Initial Issue and Renewal

The numbering system shall comprise of alpha-numeric licence number starting with alphabets, like, QSC for Quality Management System Certification; EMSC for Environmental Management System Certification; OHSC for Occupational Health and Safety Management System Certification; HSC for HACCP System Stand-alone Certification; and **QSC** for QMS integrated with HACCP Certification;

followed by slash (/), alphabet `L' and dash (-) and seven digits. The first digit is code number for the region as being followed for Product Certification Licenses. The next five digits are determined serially followed by a check digit (7[th] digit) determined under the `modulus 11'formula

Let the serial number be CDEFGHZ which includes C as Code Number for the Region and Z as check digit.

a) Determine the product P as under (C the code number for the region is not to be multiplied):

$$P = H*2 + G*3 + F*4 + E*5 + D*6$$

b) If P < 11, check digit Z = 11 - P

c) If P = 11 or P > 11,

Divide P by 11 to get a quotient Q and a remainder R:

$$P/11 = Q + R/11$$

d) If R = 0 or R = 1, the check digit Z = 0

If R is not equal to 0 or R is not equal to 1,

Subtract R from 11 to get the check digit Z:

$$Z = 11 - R$$

The number of the license would then be CDEFGHZ prefixed by the words `**QSC**/L - '; `EMSC/L-`; OHSC/L-`; `HSC/L-`

The first license number for NRO would be as under:

Serial number is 900001 [Code number for the region (9 for NRO in this case) is not to be multiplied].

$$P = 1*2 + 0*3 + 0*4 + 0*5 + 0*6 = 2$$

Since P < 11,

$$Z = 11 - P = 11 - 2 = 9.$$

Therefore the license number is QSC/L-9000019 for the first license under NRO for Quality Management Systems Certification (IS/IS 9001:2000). Similarly, for ERO, the first license number for QMS certification will be QSC/L-5000019. `9' and `5' are the code numbers for the region NRO and ERO respectively as being followed for Product Certification licenses (Code numbers for Foreign – 4; ERO – 5; SRO – 6; WRO – 7; CRO – 8; and NRO – 9).

At the time of the first renewal, the license number shall be supplemented by the renewal number. In the case of the first license for NRO under Quality Management System Certification, the number after the first renewal will be QSC/L-9000019.1. The number after the second renewal will be QSC/L-9000019.2.

Timelines in process of Grant of License/Certificate

Sl. No.	Action	Action Taken by	Task Completion
1	Receive the application, Check the same for its adequacy	MSCO(R)	

and register. Acknowledge the
application and forward the fee to
Accts. Department.

2. Select and inform the auditor   MSCO(R)
    for conducting adequacy audit.
    [MSCO(R)] to select an auditor
    keeping in view the auditor's
    availability qualification & experience
    in relevant field and preferably
    stationed in Regional Office.

3. Adequacy audit and submission of report   Auditor

4. Scrutinize audit report, send   MSCO(R)
    copy of report to applicant and
    obtain his consent for preliminary visit
    or pre-audit for EMS & OHSMS

5. Arrange preliminary visit/pre-audit   MSCO(R)

6. Preliminary visit/ pre-audit and   Auditor
    submit report

7. Scrutinize documents and if   MSCO(R)
    in order, propose audit team
    with team leader and take approval
    of DDGR. Inform auditee and auditors.
    Time gap between team
    proposal and initial audit

8. Initial audit and submission   Team Leader
    of report to MSCO(R).

9.   Processing of case for grant   MSCO(R)   )
    of license and recommendation   )

10.   Approval
                                              DDG(R)   )
11. Intimation to licensee   and   MSCO(R)   )
    preparation of license document

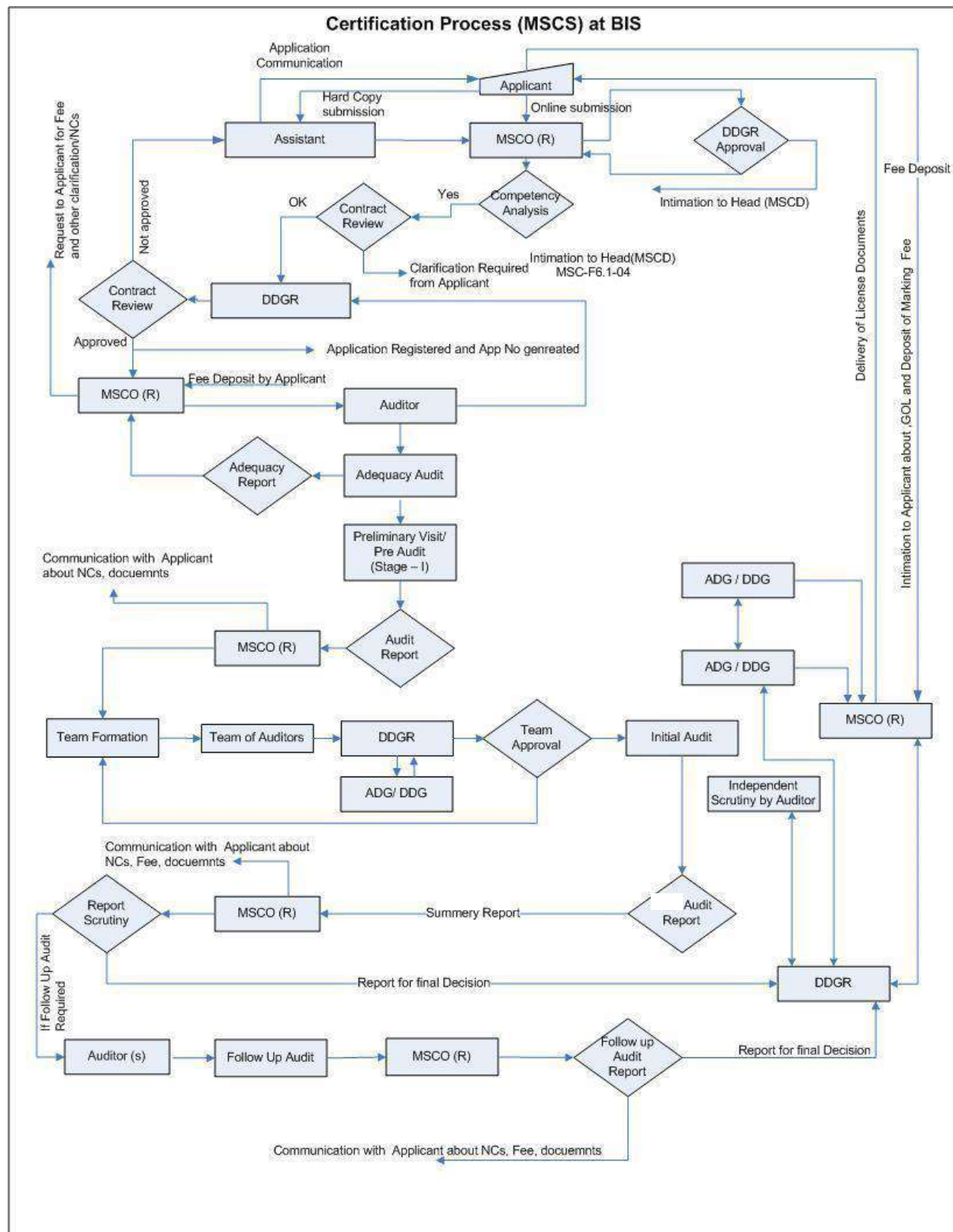# Certification Process (MSCS) at BIS

Fig: ISO Certification Process at BIS

License Operations

Grant of license will be followed by normally two surveillance audits in two years followed by re-certification audit by the auditor(s) nominated by BIS to verify the effective implementation and maintenance of the quality management system established by the organization. After three year license is recertified.

During the operation of certification, when a licensee fails to observe the conditions of the Management Systems Certification Scheme or where there have been significant departure from certification conditions, licence of the organization may be suspended and may call for special visits for which organization will be liable to pay special visit charges as set out in schedule of fees.

Any License granted automatically expires at the end of the period for which it is granted. A renewal notice will be issued to the Licensee by the concerned office of BIS about four months before the expiry of the operative period. The Licensee is required to submit the renewal application at least three months in advance before the expiry of the License which will be followed by a complete audit of service quality management system of the organization similar to Stage 2 audit.

If some discrepancies are found during the audit, the Licensee will be asked to take actions (corrective and preventive actions). For multiple service outlets in case non-conformity is observed, either at the Central Office, or at any outlet of the organization, the corrective/preventive actions will have to be taken on all applicable outlets. This may be verified during the audit or through a follow up audit, full or partial, as the case may be. After verification of necessary action or a corrective and preventive action plan as proposed by the organization to remove discrepancies, the Service Quality Management Systems Licence will be renewed for a period of three years.

Recertification

Step 1

MSCO

1. Views licences and checks for the expiry date of the validity of the License (Expiry date-5 Months).
2. Checks for the pending NCs
3. Checks for the pending Payments.
4. Checks for the pending issue/complains.
5. Sends mail along with application proforma, fee request for required for license renewal and other applicable fee, any pending NCs clarification, any other pending issue/complaint. Mail is sent 5 months in advance of expiry of validity date of license.

Alerts, Validations and Constraints

A. Mail, alert shall be sent to DDGR & MSCO for whenever any license becomes due for renewal.
B. Mail shall be sent to applicant.

Features

1. Provision to view licences due for renewal

2. Provision to check pending NCs

3. Provision to view any pending complaints

4. Provision to check any pending payment.

5. Provision to send mail to applicant/alert system

6. Provision to view the license due for renewal for which mail has been sent in the separate grid view and at the same time it should be removed from the mail view.

Step 2

Licence

1. Fills up the re-certification application as per given format on account of License ID.

In case of online application submission

On receipt of intimation mail for renewal from respective Regional Office, applies online for uploads the requisite documents

Constraints

Features

1. Provision to fill application for renewal pre-filled form

2. Provision to upload document (pre-filled form) if any document required by BIS

Step 3

MSCO

Alerts, Validations and Constraints

A. Mail, alert shall be sent to DDGR for whenever any license becomes due for renewal.

B. Mail shall be sent to Licence.

Features

Step 4

MSCO

1. Views application renewed

2. Provision to check details of fee paid.

3. Checks for the pending NCs

4. Views Performance Report.

5. Views pending reminders

6. Views compliant, if any.

7. If OK selects Team of Auditor(s) referred technical area, status combination audits.

8. If not OK request clarification from the applicant.

9. Forwards list of auditor(s) to DDGR for approval.

10. On approval sends intimation to licensee for fee to be paid.

11. Forward file to auditor(s).

Alerts, Validations and Constraints

A. Clarification request in case of clarification to the application

B. Intimation to team members regarding the new assignment and client information

Features

1. Provision to view the Performance Report.

2. MSCO should have provision to view the list of auditors, specialization, experience, field of expertise etc.

3. Provision to forward the list of selected auditor(s) to DDGR for approval.

4. Provision to send intimation to licence

5. Provision to forward application to Auditor(s) for Renewal Audit alongwith other documents.

6. Provision to check pending NCs

7. Provision to view any pending complaints

8. Provision to check any pending payment.

9. Provision to send mail to applicant/client

10. Provision to view the license due for renewal for which mail has been sent in the separate grid view and at the same time it should be removed from the mail view.

Step 5

DDGR

1. Approval of the team for renewal Audit.

2. Re- organize Team, if required.

Alerts, Validations and Constraints

A. Alert to the concern team members regarding the new assignment

Features

1. List of the selected team shall be viewable to the DDGR

2. Provision to add/remove the selected team should be given to the DDGR

3. Provision to approve list of selected team.

4. Provision to forward the list of selected team to MSCO for execution.

Step 6

MSCO

1. View list of approved Auditor(s) (Audit Team)

2. Communication Audit program to Audit Team and applicant.

3. Forward file to Audit Team.

Alerts, Validations and Constraints

A. Intimation to Audit Team members regarding the new assignment

B. Intimation to the applicant regarding the audit team and Audit Plan.

C. Request applicant to pay Audit Fee.

Features

1. Provision to view the list of approved audit team.

2. Provision to view the list of auditors, specialization, experience, field of expertise etc.

3. Provision to intimate Audit team about the audit.

4. Provision to intimate applicant about the audit team and audit plan and fee.

5. Provision to forward prefilled forms application to Auditor(s) for Renewal Audit.

Step 7 A

Applicant

1. Prepares for Audit (External to System)
2. Pays Audit charges

Alerts, Validations and Constraints

A. Alert to the MSCO and Team Leader on submission of audit charges

Features

1. Provision to pay Audit Fee

Step 7 B

Audit Team

1. Auditor(s) fills up tour log, Audit Plan.
2. Records NC (Major, Minor with section reference to the process of activities, date of raising the NCs, name of MR to whom NCs communicated, status of NCs)
3. Team leader submits the audit report with his remarks
4. Team member (like auditor/experts) submits individual audit report with their remarks
5. Team leader submits the evaluation report
6. Hand over the duly signed summery report to the applicant
7. Forward the audit report to the MSCO
8. Team leaders feedback, improvement to MSCD on Tech. Area

Note: if Auditee/any team has any issue in the team or required any inclusion of member, the same is communicated to Competent Authority through proper channel which is external to system and team is re-constituted and communicated accordingly.

Alerts, Validations and Constraints

A. Alert to the MSCO on submission of Renewal Audit Report.

B. Alert to MSCO showing due date of renewal and Audit date.

Features

1. Provision to fill up Tour Log
2. Provision to auditors individually to upload the confidentiality in word/pdf format.
3. Provision to record the NCs as per the format that needs to be communicated to applicant.
4. Provision to Team Lead to submit summary report.
5. Provision to upload report by individual team member in form of pdf/word so that it can be viewed by MSCO as well by other officers in hierarchy as applicable. Naming convention of the individually submitted report that is uniquely identified.
6. Provision to upload scanned copy of acknowledgment summary report provided by applicant
7. Provision to forward the renewal Audit Report to the MSCO.

Step 8

MSCO

1. Scrutiny of audit report
2. Forwards application to DDGR with his recommendation

      A. Closing of Application.

      B. Follow up Audit if required.

      C. Renewal of License.

3. May seek clarification

4. May assign an independent Auditor for Scrutiny.

Alerts, Validations and Constraints

A. DDGR shall be notified regarding the recommendation of the MSCO

Features

1. Provision to view application

2. Provision to view questionnaire

3. Provision to view fee paid for all the instances

4. Provision to see surveillance, Initial audit report, Follow up Audit Report (if applicable).

5. Provision to view remarks given by officer during independent scrutiny.

6. Provision to record his recommendations

7. Forwards application to DDGR for Renewal of License.

Step 9

DDGR

1. May seek clarification

2. Consider MSCO recommendation and Renewal of License send back to MSCO

Alerts, Validations and Constraints

A. DDGR shall be notified regarding the recommendation of the MSCO

Features

1. Provision to view application

2. Provision to fee paid for all the instances

3. Provision to see Renewal Audit Report, Surveillance Audit Report, Follow up Audit Report (if applicable).

4. Provision to view remarks given by officer during independent scrutiny.

5. Provision to view recommendations given by MSCO.

6. Provision to Renew License/Certificate

7. Provision to forward file to MSCO

   Note: If DDG is the team member send to MSCD for further action

Step 10

MSCO

1. Communicates to the Licensee regarding Renewal of License.

Alerts, Validations and Constraints

A. Applicant/license shall be notified regarding the Renewal and Payment

Features

1. Should have provision to view the details of DDGR recommendation

2. Should have provision to communicate the licensee

Step 11

Applicant

1. Does the payment

Alerts, Validations and Constraints

A. MSCO shall be notified on successful payment

Features

1. Should have provision to view the details of DDGR recommendation
2. Should have provision to communicate the applicant

Step12

MSCO

1. Generation of license renewal number as per given business logic
2. Delivers the License Renewal and associated documents

Alerts, Validations and Constraints

A. MSCO shall be notified on successful payment

Features

1. Provision to deliver Renewal documents and schedule.

Note: The renewal process that is all stages from renewal audit to the decision of the competent authority should be completed before the validity period. For follow-up audit, after the renewal audit, more than three months after the validity period may be required. If renewal application is not received till the validity period of license, inform the auditee that the name of the firm will be deleted (i.e. the license shall expire), in case the application is not received within one month after the validity period. Review the case, put up recommendations to DDGR

Surveillance Audit

1st Surveillance – after GOL/Renewal within 2 months

2nd Surveillance after 1st Audit within 12 months.

Normally three surveillance audits in three years by the auditor(s) nominated by BIS to verify the effective implementation and maintenance of the service quality management system established by the organization; the **Third Surveillance Visit** may be clubbed with **Renewal Audit.** An annual plan will be drawn for surveillance audits of Central Office, and attached offices on sampling basis. Efforts will be made to cover different sites for surveillance audits within the validity period of the licence. Renewal will be based on reassessment (similar to initial) audit after three years. During the initial three year certification cycle, surveillance audit duration for a given organization should be proportional to the time spent on initial certification audit (stage 1 + stage 2), with the total amount of time spent annually on surveillance being about 1/3 of the time spent on the initial certification audit. An update of auditee data related to certification shall be available for the planning of each surveillance audit. The planned surveillance audit duration shall be reviewed from time-to-time, at least at every surveillance audit and always at the time of recertification, to take into account changes in the organization, system maturity, etc. The evidence of review including any adjustments to audit duration shall be recorded.

Charges for surveillance audits, towards mandays spent, shall be as per fee schedule per manday plus expenses for travel and stay of auditors which will be charged at cost (surveillance audit fee and estimated travel and stay expenses to be paid in advance before the audit).

Step 1

MSCO

1. Checks for the License due for surveillance as per the schedule given by Management.
2. Checks for the pending NCs
3. Checks for the pending Payments.
4. Checks for the pending issue/complains.
5. Sends mail to licensee with applicable fee, any pending NCs clarification, any other pending issue/complaint. Mail is sent 3 months in advance of schedule audit program

Alerts, Validations and Constraints

A. Mail, alert shall be sent to MSCO for whenever any surveillance audit.
B. Mail shall be sent to applicant.
C. Alert to MSCO after 9th month of last audit

Features

1. Provision to view audit program
2. Provision to check NCs unclosed
3. Provision to view any pending complaints
4. Provision to check any pending payment.
5. Provision to send mail to licensee
6. Provision to view the license due for renewal for which mail has been sent in the separate grid view and at the same time it should be removed from the mail view.

Step 2

Applicant

1. Fills up the application as per given format on account of License ID.
2. Applicant should b fill up appropriate questionnaire if required
3. Pays fee.

Features

1. Provision to fill application for renewal.
2. Provision to make payment.
3. Provision to upload document if any document required by BIS
4. Provision to print receipt for fee in case of fee is paid online.

Step 3

MSCO

1. If OK selects Team of Auditor(s).
2. If not OK request clarification from the applicant.
3. Forwards list of auditor(s) to DDGR for approval.
4. Forward file to auditor(s).

Alerts, Validations and Constraints

A. Clarification request in case of clarification to the application

B. Intimation to team members regarding the new assignment

Features

1. Provision to view the Performance Report.

2. MSCO should have provision to view the list of auditors, specialization, experience, field of expertise etc.

3. Provision to forward the list of selected auditor(s) to DDGR for approval.

4. Provision to send intimation to licensee.

5. Provision to forward application to Auditor(s) for Renewal Audit.

6. Provision to check pending NCs

7. Provision to view any pending complaints

8. Provision to check any pending payment.

9. Provision to send mail to applicant.

Step 4

DDGR

1. Approval of the team Audit for renewal.

2. Re- organizes Team, if required.

Alerts, Validations and Constraints

A. Alert to the concern team members regarding the new assignment

Features

1. List of the selected team shall be viewable to the DDGR

2. Provision to add/remove the selected team should be given to the DDGR

3. Provision to approve list of selected team.

4. Provision to forward the list of selected team to MSCO for execution.

Step 5

MSCO

1. View list of approved Auditor(s) (Audit Team)

2. Communication Audit program to Audit Team

3. Sends intimation to Licensee.

4. Forward file to Audit Team.

Alerts, Validations and Constraints

A. Intimation to Audit Team members regarding the new assignment

B. Intimation to the licensee regarding the audit team and Audit program.

C. Request applicant to pay Audit Fee.

Features

1. Provision to view the list of approved audit team.

2. Provision to view the list of auditors, specialization, experience, field of expertise etc.

3. Provision to intimate Audit team about the audit.

4. Provision to intimate applicant about the audit team and audit program and fee.

Step 6 A

Applicant

1. Prepares for Audit (External to System)
2. Pays Audit Fee.

Alerts, Validations and Constraints

A. Confirmation of audit program

Features:

1.   Provision to pay Audit Fee

Step 6 B

Audit Team

1. Auditor(s) fills up tour log, Audit Plan
2. Does the Audit as per schedule.
3. Records NC (Major, Minor with section reference to the process of activities, date of raising the NCs, name of MR to whom NCs communicated, status of NCs)
4. Team leader submits the audit report with his remarks.
5. Team member (like auditor/experts) submits individual audit report with their remarks
6. Team leader submits the evaluation report through System
7. Hand over the duly signed summery report to the applicant
8. Forward the audit report to the MSCO

Note: if Auditee/any team has any issue in the team or required any inclusion of member, the same is communicated to Competent Authority through proper channel which is external to system and team is re-constituted and communicated accordingly.

Alerts, Validations and Constraints

A. Alert to the MSCO on submission of Re-certificate Audit Report.

Features

1. Provision to fill up Tour Log
2. Provision to auditors confidentiality agreement.
3. Provision to record the NCs as per the format that needs to be communicated to applicant.
4. Provision to Team Lead to submit summary report.
5. Provision to upload report by individual team member in form of pdf/word so that it can be viewed by MSCO as well by other officers in hierarchy as applicable. Naming convention of the individually submitted report that is uniquely identified.
6. Provision to upload scanned copy of acknowledgment summary report provided by applicant
7. Provision to forward the Initial Audit Report to the MSCO.

Step 7

MSCO

1. Scrutiny of audit report
2. Forwards audit report to DDGR with his recommendation

    A. Follow up Audit if required.

3. May seek clarification

4. May assign an independent Auditor for Scrutiny.

Alerts, Validations and Constraints

A. DDGR shall be notified regarding the recommendation of the MSCO

Features

1. Provision to view audit report
2. Provision to fee paid for all the instances
3. Provision to see adequacy report, preliminary visit/pre-audit report, Initial audit report, Follow up Audit Report (if applicable).
4. Provision to view remarks given by officer during independent scrutiny.
5. Provision to record his recommendations
6. Forwards summery audit report to DDGR for completion to Surveillance Audit.

Step 8

DDGR

1. Consider MSCO recommendation and Renewal of License and forwards it to MSCO
2. May seek clarification

Alerts, Validations and Constraints

A. DDGR shall be notified regarding the recommendation of the MSCO

Features

1. Provision to view summery audit report
2. Provision to fee paid for all the instances
3. Provision to see Renewal Audit Report, Performance Report, Surveillance Audit Report, Follow up Audit Report (if applicable).
4. Provision to view recommendations given by MSCO.
5. Provision to forward file to MSCO

Step 9

MSCO

1. Views recommendations

Alerts, Validations and Constraints

Features

1. Should have provision to view the details of DDGR recommendation
2. Should have provision to communicate the applicant

Step 10

Licensee

1. Does the payment
2. Accepts the policies or amendment

Alerts, Validations and Constraints

A. MSCO shall be notified on successful payment

Features

1. Provision to make payment

Follow –up Audit

Follow-up audit is carried out by any of the other audit where applicant/License required implementing the corrective action.

Step 1

MSCO

1. Checks the identified NCs during previous audit(s).
2. Checks for the Application/License status.
3. Views Performance Report.
4. Views pending reminders
5. Views compliant, if any.
6. Check for the other reasons those trigger follow-up audit.
7. Initiate the follow up Audit
8. Sends mail to licensee.
9. Selects Team of Auditor(s).
10. Forwards list of auditor(s) to DDGR for approval.
11. On approval sends intimation to licensee for fee to be paid.

Alerts, Validations and Constraints

A. Mail, alert shall be sent to DDGR
B. Mail shall be sent to applicant.

Features

1. Provision to view reasons those triggers for follow-up audit
2. Provision to check NCs unclosed
3. Provision to view any pending complaints
4. Provision to check any pending payment.
5. Provision to send mail to applicant.
6. Forward Auditors list to DDGR

Step 2

DDGR

1. Approval of the team for follow Audit.
2. Re- arranges Team, if required.

Alerts, Validations and Constraints

A. Alert to the concern team members regarding the new assignment

Features

1. List of the selected team shall be viewable to the DDGR
2. Provision to add/remove the selected team should be given to the DDGR
3. Provision to approve list of selected team.
4. Provision to forward the list of selected team to MSCO for execution.

Step 3

MSCO

1. View list of approved Auditor(s) (Audit Team)

2. Communication Audit program to Audit Team

3. Sends intimation to Applicant/Licensee.

4. Forward file to Audit Team.

Alerts, Validations and Constraints

A. Intimation to Audit Team members regarding the new assignment

B. Intimation to the licensee regarding the audit team and Audit Plan.

C. Request applicant to pay Audit Fee.

Features

1. Provision to view the list of approved audit team.

2. Provision to view the list of auditors, specialization, experience, field of expertise etc.

3. Provision to intimate Audit team about the audit.

4. Provision to intimate applicant about the audit team and audit plan and fee.

5. Provision to forward application to Auditor(s) for follow up Audit.

Step 4 A

Applicant/licensee

1. Prepares for Audit (External to System)

2. Pays Audit Fee.

Alerts, Validations and Constraints

Features

1. Provision to pay Audit Fee

Step 4 B

Audit Team

1. Auditor(s) fills up tour log

2. Asserts the confidentiality

3. Does the Audit as per schedule.

4. Records NC (Major, Minor with section reference to the process of activities, date of raising the NCs, name of MR to whom NCs communicated, status of NCs)

5. Team leader submits the audit report with his remarks.

6. Team member (like auditor/experts) submits individual audit report with their remarks

7. Team leader submits the evaluation report

8. Hand over the duly signed summery report to the applicant

9. Forward the audit report to the MSCO

Note: if Auditee/any team has any issue in the team or required any inclusion of member, the same is communicated to Competent Authority through proper channel which is external to system and team is re-constituted and communicated accordingly.

Alerts, Validations and Constraints

A. Alert to the MSCO on submission of follow up Audit Report.

Features

1. Provision to fill up Tour Log

2. Provision to auditors individually to upload the confidentiality in word/pdf format.

3. Provision to record the NCs as per the format that needs to be communicated to applicant.

4. Provision to Team Lead to submit summary report.

5. Provision to upload report by individual team member in form of pdf/word so that it can be viewed by MSCO as well by other officers in hierarchy as applicable. Naming convention of the individually submitted report that is uniquely identified.

6. Provision to upload scanned copy of acknowledgment summary report provided by applicant

7. Provision to forward the Initial Audit Report to the MSCO.

Step 5

MSCO

1. Scrutiny of audit report

2. Forwards application to DDGR with his recommendation

    A. Endorsement of audit.

    B. Repeats if any other Follow up Audit required.

3. May seek clarification

4. May assign an independent Auditor for Scrutiny.

Alerts, Validations and Constraints

A. DDGR shall be notified regarding the recommendation of the MSCO

Features

1. Provision to view follow up audit report

2. Provision to view questionnaire

3. Provision to fee paid for all the instances

4. Provision to see adequacy report, preliminary visit/pre-audit report, Initial audit report, Follow up Audit Report (if applicable).

5. Provision to view remarks given by officer during independent scrutiny.

6. Provision to record his recommendations

7. Forwards application to DDGR for completion to Follow-up Audit.

Step 6

DDGR

1. May seek clarification

2. Consider MSCO recommendation

Alerts, Validations and Constraints

A. DDGR shall be notified regarding the recommendation of the MSCO

Features

1. Provision to view application

2. Provision to fee paid for all the instances

3. Provision to see Renewal Audit Report, Performance Report, Surveillance Audit Report, Follow up Audit Report (if applicable).

4. Provision to view recommendations given by MSCO.

5. Provision to forward file to MSCO

Step 7

MSCO

1. Views recommendations

Alerts, Validations and Constraints

Features

1. Should have provision to view the details of DDGR recommendation

2. Should have provision to communicate to the applicant

Following documents should be used to design input screens, letters and reports.

Guidelines

S No.	Document	No Issue	Class	Description
1	G11-01	5	Application	Guidelines for Applicants
2	G6.1-01	1	Application	Guidelines Closure of Applications
3	G6.1-02	1	Application	Guidelines for Sending Quotations/Tenders and Other Replies
4	G6.2-01	12	Audit	Guidelines for time scale estimation
5	G6.2-04	2	Audit	Guideline for stage 1 and stage 2 audit
6	G6.2-05	3	Audit	Guidelines for time scale estimation for EMS audits
7	G6.2-06	3	Audit	Guidelines for time scale estimation for SQMS audits
8	G6.2-07	3	Audit	Guidelines for time scale estimation for OHSMS audits
9	G6.2-08	1	Audit	Guidelines for time scale estimation for FSMS-HACCP audits
10	G6.2-09	1	Audit	Guidelines for time scale estimation for EnMS audits
11	G6.2-10	3	Audit	Guidelines for time scale estimation for MDMS audits
12	G6.2-11	3	Audit	Guidelines for time scale estimation for SAMS audits
13	G6.3-01	2	Audit	Guidelines for Selection of Audit Team
14	G6.2-02	3	Auditor	Guidelines for integrated management and combined systems
15	G6.2-03	4	Auditor	Guidelines for audit of multisite units
16	G6.3-02	3	Auditor	Guidelines for roles and responsibilities in auditing
17	G6.7-01	4	Auditor	Guidelines for surveillance audits
18	G7.1-01	8	Auditor	Guidelines on criteria for selection competence and evaluation for BIS auditing personnel
19	G7.1-03	2	Auditor	Guideline for continual professional development
20	G7.1-04	4	Auditor	Guidelines for upgrading auditing personnel to team leader
21	G7.1-05	5	Auditor	Guidelines for criteria for competence of QMS certification personnel
22	G7.1-06	3	Auditor	Competence criteria for EMS certification personnel
23	G7.1-07	1	Auditor	Guidelines on Criteria for Competence for OHSMS
24	G7.1-08	4	Auditor	Guidelines ON CRITERIA FOR COMPETENCE FOR FSMS
25	G7.1-09	1	Auditor	Guidelines ON CRITERIA FOR COMPETENCE IN EnMS AUDITING
26	G7.1-10	1	Auditor	Guidelines ON CRITERIA FOR COMPETENCE FOR MDMS
27	G7.1-11	1	Auditor	Guidelines on Criteria for Competence of SAMS Personnel
28	G7.2-01	3	Auditor	Technical Areas Competency Skill Matrix
29	G7.3-01	5	Auditor	Guidelines on criteria for external auditors for auditing
30	G5.2-01	2	General	Guidelines for Risk Assessment and Management
31	G6.10-01	3	General	Guidelines on use of standard mark
32	G6.11-01	3	General	Guidelines on MSCS committee
33	G6.8-01	1	General	Guideline for making an appeal
34	G6.8-02	1	General	Guidelines on appeals against actions of BIS MSC
35	G7.1-02	2	General	Guidelines on personnel for certification
36	G8.1-01	2	General	Guidelines on role of audit planning group
37	G8.1-02	5	General	Guidelines on internal audit
38	G8.2-01	4	General	Guidelines for management review

39	G99.1-01	1	General	Implementation plan for transition to IS/ISO 9001:2015 and IS/ISO 14001:2015
40	G6.4-01	1	Licence	Guidelines on time schedule for grant of licence
41	G6.6-01	1	Licence	Licence for Management Systems Certification Conditions
42	G6.6-02	5	Licence	Guidelines for scope of certification
43	G6.6-03	2	Licence	Guidelines for incorporating change in the scope structure of licensee and for closure of licence
44	G6.6-04	1	Licence	Guidelines for Transfer of Licence

Procedures.

S No.	Document No	Issue	Class	Description
1	P6.1-01	1	Application	Contract review and processing of application
2	P6.1-02	1	Application	Procedure for closure of applications
3	P6.13-01	1	Application	Procedure for certification to foreign organizations
4	P10-01	1	Auditor	Procedure for obtaining confidentiality agreements
5	P6.2-01	4	Auditor	Procedure for stage 1 audit
6	P6.4-01	4	Auditor	Procedure for conduct of audits
7	P7.3-01	2	Auditor	Procedure for external auditor selection and control
8	P8.2-01	1	Auditor	Procedure for corrective action
9	P8.2-02	1	Auditor	Procedure for preventive action
10	P5-01	3	Doc Control	Procedure for control of documents
11	P5-02	1	Doc Control	Procedure for writing procedures
12	P9-01	1	Doc Control	Procedure for maintaining MS certification records
13	P9-03	3	Doc Control	Procedure for records matrix
14	P6.12-01	1	Finance	Procedure for control of finances and fees
15	P11-01	1	General	Procedure for issue of publications
16	P11-02	1	General	Procedure for handling inquiries
17	P5-03	2	General	Procedure for numbering documents
18	P6.8-01	1	General	Procedure for dealing with appeals
19	P6.9-01	1	General	Procedure for dealing with complaints
20	P8-01	3	Internal Audit	Procedure for internal audits
21	P6.11-01	1	Licence	Procedure for Control of certification
22	P6.6-01	3	Licence	Licensing procedure
23	P6.6-02	3	Licence	Procedure for numbering licence
24	P6.6-03	3	Licence	Procedure for incorporating change in the scope structure of licensee and for closure of licence
25	P6.7-01	6	Licence	Procedure for operation Surveillance and renewal of licence
26	P7.1-01	2	Personnel & Training	Procedure for personnel selection registration and control

Forms

S No.	Document No	Issue	Class	Description
1	F11-01	3	Application	Application FormFor grant/renewal of licence to use the standard mark For management systems certification under the Bureau of Indian Standards act 2016
2	F11-02	6	Application	FORM V Ppreliminary Questionnaire For QMS licence against ISO 9001
3	F11-07	3	Application Questionnaire	For obtaining preliminary information From the applicant For obtaining licence For certification of environmental management systems against relevant Indian standards
4	F11-08	3	Application Questionnaire	For obtaining preliminary information From the applicant For obtaining licence For certification of occupational health and safety management systems against IS 18001:2000
5	F11-09	4	Application Questionnaire	For obtaining preliminary information From the applicant For obtaining licence For certification of Food safety management systems against IS/ISO 22000:2005
6	F11-10	4	Application	For obtaining preliminary information From the applicant For

			Questionnaire	obtaining licence For certification of service quality management systems against IS 15700:2005
7	F11-11	3	Application Form XV -	For EnMS Questionnaire For obtaining preliminary information From the applicant For Energy Management Systems as per 50001
8	F11-12	3	Application Questionnaire	For obtaining preliminary information and declarations From the applicant For obtaining licence For certification of quality management systems and/or Hazard analysis and critical control point(HACCP) against relevan Indian Standards against relevant Indian Standards
9	F11-13	2	Application	Questionnaire For obtaining preliminary information From the applicant For obtaining licence For certification medical devices management systems against IS/ISO 13485
10	F11-14	2	Application	Questionnaire For obtaining preliminary information From the applicant For obtaining licence For certification of social accountability management systems against IS 16001
11	F6.1-01	1	Application	Form For Application/licence register
12	F6.1-02	3	Application	Checklist For contract review and adequacy of Application
13	F6.1-03	2	Application	Format of letter to be sent when Application is complete
14	F6.1-04	1	Application	Format of letter when Application is not complete
15	F6.1-06	1	Application	Form For reporting status of Applications
16	F6.1-08	1	Application	Checklist For applicant contact review by MSCO
17	F6.4-05	2	Application	Form For notifying the auditor For Follow-up audit
18	F6.4-06	1	Application	Form For closing notice to the applicant
19	F6.4-07	1	Application	Format For closure of Application
20	F6.4-08	2	Application	Form For processing Application For grant of licence
21	F6.4-10	1	Application	Form For letter intimating applicant of the intention to grant/renew licence
22	F6.4-33	3	Application	Renewal notice
23	F6.4-01	3	Audit Form	For nomination of team leader audit team
24	F6.4-02	1	Audit Form	For intimation of audit team to team leader and members of audit team and obtaining their confidentiality statements
25	F6.4-03	3	Audit	Form For intimation to the applicant of audit team and audit dates
26	F6.4-13	3	Audit	Audit Plan
27	F6.4-16	1	Audit	Audit Report For verification of transition to IS/ISO 9001:2015
28	F6.4-17	1	Audit	Report For Verification of Transition to 2015 version For EMS
29	F6.7-01	1	Audit	Surveillance Plan
30	F6.7-02	1	Audit	Form For informing the auditors about surveillance audit
31	F6.7-03	2	Audit	Notice For surveillance audit
32	F10-02	4	Auditor	Confidentiality statement to be submitted by auditors/experts
33	F6.2-01	4	Auditor	Stage 1 audit report
34	F6.2-02	2	Auditor	Audit intimation letter For stage 1 audit
35	F6.2-10	1	Auditor	Opportunity For improvement
36	F6.4-04	6	Auditor	Initial(certification) re-certification surveillance audit report
37	F6.4-09	2	Auditor	QMS audit plan matrix as per IS/ISO 9001:2008. Do not use this Form Form For IS/ISO 9001:2015
38	F6.4-14	4	Auditor	Non conformity report(NCR)
39	F6.4-15	1	Auditor	Form For Follow up audit report
40	F6.4-20	1	Auditor	Brief audit report
41	F6.4-22	4	Auditor	Audit observation
42	F6.4-23	1	Auditor	EMS audit plan matrix as per IS/ISO 14001:2004. Please do not use this Form For IS/ISO 14001:2015.
43	F6.4-24	3	Auditor	OHSMS audit plan matrix
44	F6.4-25	2	Auditor	FSMS audit plan matrix
45	F6.4-26	1	Auditor	HACCP audit plan matrix
46	F6.4-27	2	Auditor	SQMS audit plan matrix
47	F6.4-28	2	Auditor	EnMS audit plan matrix

48	F6.4-29	1	Auditor	Audit Plan Matrix For QMS
49	F6.4-30	1	Auditor	Audit Plan Matrix For EMS
50	F6.4-31	1	Auditor	MDMS audit plan matrix
51	F6.4-32	1	Auditor	SAMS Audit Plan Matrix
52	F7.1-01	4	Auditor	Application For registration of BIS personnel For Management System Auditing
53	F7.1-02	5	Auditor	Proforma For selection of bis personnel For auditing (auditor / expert)
54	F7.1-04	3	Auditor	BIS audit log sheet
55	F7.1-08	1	Auditor	Form For intimation For inclusion of additional CPA codes/Technical areas to MSCD
56	F7.1-10	2	Auditor	Continual professional development log sheet
57	F7.3-01	3	Auditor	Terms and conditions For the BIS Management systems audit external auditor andor expert services
58	F7.3-02	5	Auditor	Application For registration as External Auditor For Management System Auditing
59	F7.3-05	2	Auditor	Form communicating registration of an external auditor
60	F7.3-07	3	Auditor	Register of external auditor For management systems audi
61	F7.4-01	3	Auditor	Evaluation report of auditor by team leader
62	F7.4-02	2	Auditor	Review of performance of external auditor (auditorexpert)
63	F7.4-03	2	Auditor	Evaluation report of team leader by lead auditor
64	F7.4-04	2	Auditor	Surprise visit report For monitoring performance and conduct of external auditor
65	FNIL001	0	Auditor	Report by expert(non-auditor)
66	F5-01	1	Doc Control	Master document register
67	F5-02	1	Doc Control	Draft document control register
68	F5-05	1	Doc Control	Issue of documents For use
69	F5-06	1	Doc Control	Request For change in a document
70	F5-08	1	Doc Control	Regional document control register
71	F5-10	2	Doc Control	Approval of draft document
72	F5-11	1	Doc Control	Checklist For documentation For certification scheme For new/revised Indian Standard
73	F12-01	1	Finance	Revised FEE Structure For information
74	F12-03	1	Finance	FEE STRUCTURE WITHOUT DISCOUNT DISCRETION OF DDG/DG FEATURES TO BE UTILISED FOR MARKETING
75	F6.1-05	1	Finance	Form For Forwarding Fees to accounts department
76	F6.7-08	1	Finance	Letter to licensee For renewal audit and collection of Fees
77	F10-01	2	General	Confidentiality statement to be submitted by auditors who are employees of BIS
78	F10-03	1	General	Confidentiality statement For MSCS Committee members
79	F12-02	1	General	IAF Codes and CPA codes relation
80	F5-12	3	General	Document matrix relating requirement of ISO/IEC 17021-1 to MSC Documents
81	F5.2-01	1	General	Format For risk assessment
82	F6.8-01	1	General	Appeals Form
83	F6.9-01	1	General	Complaints register
84	F6.9-02	1	General	Format of letter of acknowleding complaint
85	F6.9-03	1	General	Complaints Form
86	F6.9-04	1	General	Investigation report For complaints
87	F6.9-05	1	General	Processing of complaint
88	F6.9-06	1	General	Format of letter informing the decision on complaint
89	F6.9-07	2	General	Form For closure of complaint
90	F6.9-08	1	General	Format of letter informing closure of complaint
91	F8.0-02	5	Internal	Audit Report of internal audit
92	F8.0-03	1	Internal	Audit System summary report
93	F8.0-04	1	Internal	Audit Form For intimation to internal auditors and auditee
94	F8.0-05	1	Internal Audit	Witness Audit report

95	F8.0-07	2	Internal Audit	Summary of report of Files checked during internal audit
96	F8-01	2	Internal Audit	Non conformity report of internal audit
97	F8.1-01	1	Internal Audit	Internal audit plan
98	F11-06	3	Licence Form	For Application For renewal of licence to use the standard mark For management systems certific ation
99	F14-03	1	Licence	CPA codes mapped with NABCB Accredited Scope
100	F14.1-01	1	Licence	NABCB ACCREDITED SCOPE
101	F14.1-02	1	Licence	QMS NABCB ACCREDITED SCOPE
102	F6.4-11	2	Licence	Form For letter intimating the grant/renewal of licence to the applicant/licensee
103	F6.6-01	1	Licence	Form For recommending change in scope structure of licensee/standard and closure of licence
104	F6.6-03	1	Licence	Undertaking by Licensee
105	F6.7-04	1	Licence Form	For intimation For intention of suspension/cancellation of licence
106	F6.7-05	1	Licence Form	For obtaining suspension and revocation of suspension of licence
107	F6.7-06	1	Licence	Letter of revocation of suspension of licence
108	F6.7-07	1	Licence Form	For recommending cancellation of licence
109	F6.7-10	1	Licence Form	For deletion of name of licensee on non receipt of renewal Application(Expiry of licence)
110	F6.7-11	1	Licence Form	For extension of time period For processing renewal of licence
111	F6.7-12	1	Licence Form	For intimation For suspension/cancellation of licence
112	F6.8-03	1	Personnel & Training	Format of letter For acknowledging appeal
113	F6.8-04	1	Personnel & Training	Format For appeals status register
114	F7.1-03	3	Personnel & Training	Register of personnel For auditing For management system audits
115	F7.1-05	1	Personnel & Training	Review of performance of BIS personnel For auditing
116	F7.1-06	1	Personnel & Training	Review of performance of management systems certification staff
117	F7.1-07	2	Personnel & Training	Form For registration as technical expert

Change in Scope of License, Structure of Licensee or Standard

This procedure is applicable for incorporating changes in the scope of the license, structure of licensee or in the standard after a license is granted under the BIS Management Systems Certification activity. The change in the scope of the license may include reduction or extension of scope and change in the standard.   The change in the structure of the licensee may include change in address, ownership, status of the licensee. It may also include division of the firm into two or more units, leasing of premises, mergers, etc. The procedure also covers actions to be taken in case of lock up, winding up, liquidation, dissolution, and closure of the firm (license).

Step 1

Licensee

1. Applicant fills up application online in prescribed format.
2. Applicant fills up appropriate questionnaire for QMS, EMS, OHSMS and HACCP if necessary.
3. Uploads documents against given check list.
4. Makes payment using payment gateway/ Net Banking / and direct debit or by DD in which case DD particulars will be entered online and sub sequent DD would be send to SO with other papers

5. Confirms the submission of the application.

Alerts, Validations and Constraints

A. Mail, alert shall be sent to HOD regarding submission of change request.

B. Mail shall be sent to applicant acknowledging the submission of his application

C. Payments shall be reflected in BIS account immediately in case of online payment

D. The system should not allow the applicant to proceed further if documents are not uploaded

E. The system should be intelligent enough to categorize and label the documents automatically

Features

1. Applicant should be able to fill up online application as per the given format.

2. Applicant should be able to upload documents in image, doc, pdf format to a specific folder (named on applicant) against the given check list by BIS.

3. Applicant should be able to delete and re-upload incase of erroneous uploading of the documents (scanned copies etc).

4. Applicant must have a preview of the list of uploaded documents.

5. System should be capable enough to restore process from the last saved point in case of application failure or power failure etc.

6. There should be functionality to route application to appropriate RO depending upon the selection of the applicant.

7. Application should be addressed to MSCO

8. There must a flexible system for naming the documents which are to be uploaded on site.

9. As soon as applicant submits application, mail to be sent to concerned MSCO and DDGR.

Features

1. Dealing Assistant should be able to fill up online application as per the given format.

2. DA should be able to upload documents in image, doc, pdf format to a specific folder (named on applicant_id) against the given check list by BIS.

3. DA should be able to delete and re-upload incase of erroneous uploading of the documents (scanned copies etc).

4. DA must have a preview of the list of uploaded documents.

5. System should be capable enough to restore process from the last saved point in case of application failure or power failure etc.

6. There should be functionality to route application to appropriate MSCO (R).

7. Functionality to maintain a record of all the payments, dues, and credit notes of the individual account (as against the application id).

8. There must a flexible system for naming the documents which are to be uploaded on site.

9. As soon as DA submits application it should be visible in pane of MSCO.

Step2

MSCO

1. Views application

2. Views attached documents

3. Acknowledge the receipt for fee paid (in case of hard copy submission).

4. Does scrutiny of application.

5. Communicates with applicant in case of any discrepancy in documents

6. Forwards letter to Applicant when application is not complete.

7. Select Auditor(s)

Alerts, Validations and Constraints

A. Alert to the concern DDGR for new application received for change in scope/structure.

B. Confirmation mail to the applicant with an attachment of letter.

C. Alert to auditor for new audit assigned

Features

1. When MSCO logs in to application, he should be presented with all Application for change Sl. No., name of firm, date of apply, type of management Systems for which applied for etc

2. MSCO should be able to view application

3. MSCO should be able to view related questionnaire.

4. MSCO should be able to view uploaded documents

5. Provision to send letter/mail to applicant.

6. Provision to preview competency for scope sector.

7. Provision to record competency state of the Organization for the particular scope sector and if not competent then MSCO should initiate action to update competency through proper channel and the response to be commutated for lag time, if any.

8. He should be able to take action on application. i.e. giving remarks, comments etc.

9. He should be able to see action history showing date remarks and comments etc, when it is chosen from the grid.

10. In case application is wrongly addressed, there should be a provision to re-route the application to concerned RO and intimation email should go to applicant.

11. MSCO should be able to forward application Auditor.

12. Payment details to be visible

Step 3

Auditor(s)

1. Views file

2. Views performance Report

3. Views pending NCs

4. Conduct Surveillance Audit.

5. Submits report to MSCO.

Alerts, Validations and Constraints

Features

1. Application visible in pane showing sl. No., registration number, name of firm, date of application, Management Scheme, ISO number.

2. Auditor(s) should have provision to view Quality Manual and other documents

3. Auditor(s) plan the visit.

4. Provision to record the summery report of Surveillance Audit

5. Provision to report of Surveillance Audit to MSCO.

Step 4

MSCO

1. Reviews Surveillance Audit Report.

2. If OK   recommends for change in scope..

3. If not OK request clarification from the applicant.

4. Forward report to DDGR.

Alerts, Validations and Constraints

A. Clarification request in case of clarification to the application

Features

1. Provision to view Surveillance Audit Report

2. Provision to approve change in scope.

3. Provision to record remarks.

4. Provision to send intimation to applicant along with request for inclusion fee if any

5. Provision to marks back to MSCO.

Step 5

MSCO

1. Receives inclusion fee

2. Delivers inclusion/exclusion document to applicant

3. Does follow up Audit in case of any exclusion in the scope.

Alerts, Validations and Constraints

Features

A. Provision to generate fee receipt

B. Provision to view endorsement made in the scope/structure/standard

C. Provision to delivers inclusion/exclusion document to applicant

D. Provision to go ahead with Verification Audit/Follow-up Audit in case of exclusion

E. Does follow up Audit in case of any exclusion in the scope

Fig: Change in Scope/Structure/Standard Process

Following documents should be used to manage change in scope.

1.   MSC-F6.7-02

2.   MSC-F6.4-16

3.   MSC-G6.6-02

4.   MSC-F6.6-03

5.   MSC-F6.6-01

6.   MSC-F6.6-01

Surrender of License

A license may be surrendered or voluntarily suspended by the licensee at any time in writing to BIS. In the case of surrender, the licensee shall return the license, schedule with related documents. The maximum term of voluntary suspension shall be 3 months.   MSCO(R) to follow procedure for

surveillance and renewal for suspension and revocation of license. Where a license has been suspended or cancelled or has not been renewed on the expiry of its validity the licensee shall discontinue the use of the license not withstanding the pending of any appeal. (Appeals against the decisions of BISMSC can be made under the provisions of the BIS Act 2016).

Auditor Registration Process

Auditor is a person a competence to conduct an audit and Audit Expert is a person who is an Expert also. BIS appoints Auditor & Experts to undertake Adequacy Check, Initial Audit, Surveillance Audit or Follow-up Audit. BIS invite application from BIS Officers to select Auditor and experts.

Step 1A

Auditor/sub contractor (New)

1. Submits the application in prescribed format – through web page
   - Select System
   - Valuation
   - Agreements

Alerts, Validations and Constraints

A. MSCO/MSCD to be informed when new application submitted

Feature

1. Provision to fill up the application online
2. Provision to upload the document
3. Provision to forward concern MSCO/MSCD
4. Provision to modify erroneous details in later stage

Step 1B

Existing Auditors/Team Leader

1. Updating of credentials (like skill set, area of expertise)
2. Updating of audit logs and review reports
3. Forwards details to MSCD
4. Step 5 shall be initiated

Alerts, Validations and Constraints

Feature

1. Provision to upload the document if related any
2. Provision to add the credentials online
3. Provision to request for upgrading of his auditor status (like auditor in trainee to auditor etc)

Step 2

MSCD

1. Verification of the application and attached documents
2. Take interview /evaluation
3. Evaluation summary

4. If all ok forward application to DDGMSCD for approval

5. On receipt interview report DDGMSCD does the scrutiny of the report and if it is not meeting the criteria he will return the application to applicant

Alerts, Validations and Constraints

Feature

1. Provision to view the application

2. Provision to forward the application to MSCD

3. Provision to forward the application to MSCD to DDG(MSC)

4. Provision to record his remarks

5. Provision to return the application to applicant

Step 3

DDG(MSC)

1. Reviews the application

2. Forwards the application to DDG(MSC) with interview report and recommendation.

3. Step 2 shall be initiated

Alerts, Validations and Constraints

Feature

1. Provision to view the application

2. Provision to view the uploaded documents

3. Provision to record decision

4. Provision to forward application to DDG(MSC) with his recommendations

Step 4

Head MSCD

1. Forwards the application to any officer in MSCD with his remarks

Alerts, Validations and Constraints

Feature

1. Provision to view the application

2. Provision to view the uploaded documents

3. Provision to forward application

Step 5

MSCD Officer

1. Verification of the application

2. Verification of the training certification and field of expertise

3. If application is meeting the criteria then

    a. Allocation of CPA code and put up to MSCD for registration and forward it to Head MSCD

4. Else seek clarification from the applicant

Alerts, Validations and Constraints

Feature

1. Provision to view the application
2. Provision to view the interview performance report
3. Provision to view the uploaded documents
4. Provision to allocate CPA codes and allocate field of expertise
5. Provision to forward application to Head MSCD with his recommendations
6. Provision to seek clarification from the applicant if required

Step 6

Head MSCD

1. Consider recommendation and approves the applicant for registration
2. Forwards the application to DDG/ADG

Alerts, Validations and Constraints

Feature

1. Provision to view the application
2. Provision to view the recommendations and remarks
3. Provision to record his remarks
4. Provision to forward application to DDG/ADG with his recommendations

Step 7

PTO

1. Communication to Applicant with his designation as auditor in trainee

Alerts, Validations and Constraints

Feature

1. Provision to communicate to the applicant
2. Reports/Queries

Fig: Auditor Registration Process

Fig: Auditor Registration Process

List of forms

1. Doc:MSC-G6.3-01   Guidelines for audit team selection.
2. Doc:MSC-G7.1-01   Criteria for Guidelines on Personnel for auditing.
3. Doc:MSC-F7.1-01   Application for Selection of Personnel for auditing
4. Doc: MSC-F7.1-02   Check list for evaluation of application for selection as personnel
for auditing
5. Doc:MSC-F7.1-03   Register of Personnel for auditing

6. Doc:MSC-F7.1-04   Audit Log Sheet of Personnel for auditing
7. Doc:MSC-F7.1-05   Form for review of   performance   of personnel for auditing
8. Doc:MSC-F7.4-01   Evaluation Report from Team Leader about performance of
BIS auditor/expert and subcontractor auditor/expert
9. Doc: MSC-F7.4-03   Evaluation Report from Lead Auditor about performance of
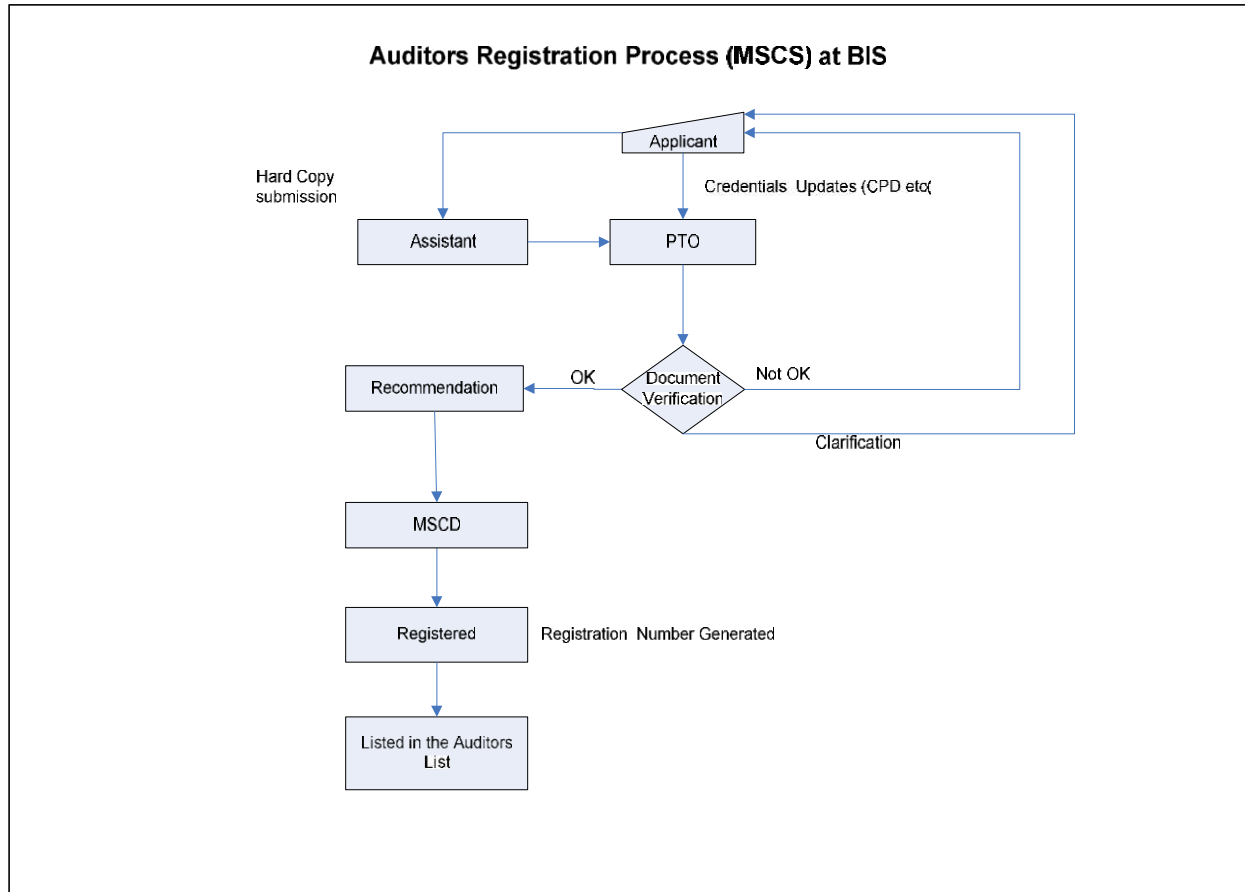10. Team Leader/Lead Auditor

Fig: Auditor Registration Process at BIS

MSCD Internal Audit/MR Modules Procedure & NABCB Audit

Document Management Module

Auditor Management Module

Time calculation module

Tender preparation module

Registration Scheme

1. **Login Creation**

   Applicant

   1. Applicant requests for new login in BIS website by submitting suitable address proof for the manufacturing unit in BIS prescribed online form.
   2. Email/registered mobile number of applicant to be authenticated by verification link/OTP.
   3. Applicant completes the process by clicking on verification link/entering the OTP.
   4. Submits application.

   BIS

   1. BIS to review the document submitted by manufacturer and then accept/reject the request for new login.
   2. In case of rejection of request, provision to send comments/reason for rejection.
   3. Provision to update email/reset password/ contact details for both new and granted requests.

   Alerts, Validations and Constraints

   1. Email of the manufacturer to be verified by sending verification link/OTP.
   2. Acknowledgement to be sent to manufacturer on mobile/email on successful submission.
   3. Applicant to receive confirmation email once BIS approves the request, hence after applicant can login to BIS website
   4. In case of rejection, applicant to receive the reason for rejection as informed by BIS.
   5. Email once used successfully for login creation cannot be used again.

2. **New application**

   Applicant

   1. Applicants logs in to BIS website using his existing login credentials.
   2. Applicant generates request for testing of sample for their product from website and submits sample to lab.
   3. Lab uploads report to BIS website through their login.
   4. Applicants selects test report for making fresh application.
   5. Applicant uploads other necessary document and enter details to save application.
   6. Payment will be based on the location and scale (MSME/large scale) of manufacturer as well as type of application(Tatkal/normal)
   7. Payment through online payment gateway. Payment receipt to be generated online.
   8. Reply to queries raised by BIS, if any, to be made online.

BIS

1. BIS to enter hard copy receipt date on receipt of hard copy.
2. Provision to check test report, payment receipt and other details.
3. Provision to allot the application to Dealing Officer and Granting Authority.
4. Provision to update/edit application details for both new and granted applications.
5. Registered Manufacturer's list need to be updated after grant of licence.

Dealing Officer (DO)

a. DO to check the application as per the checklist available for scrutiny.
b. Queries, if any to be raised through website itself.
c. DO to recommend the application in case all queries are resolved.
d. In case all queries not resolved, DO to mark the file as 'Not Recommended'.
e. Archive list to be made available.

Granting Authority (GA)

a. GA to review the DO's recommendation.
b. Queries, if any to be raised through website itself.
c. GA may refer the application back to the DO.
d. The application may even be allocated to other DO than the previous DO.
e. GA to recommend the application in case all queries are resolved.
f. R-number to be generated for recommended applications.
g. Provision to generate licence document.
h. Once the letter is issued the application to move to archive.
i. In case all queries not resolved, GA to mark the file as 'Not Recommended'. These application will be moved to archive.

Alerts, Validations and Constraints

1. Notification to be sent to manufacturer with unique code for request for testing.
2. Notification to be sent to manufacturer on when testing lab uploads test report against their request.
3. Test reports more than 90 days cannot be used for submission of online application.
4. Notification to be sent to manufacturer on online submission of new application.
5. Alerts related to payment to be sent.
6. Notification to be sent to DO and GA on allocation of file.
7. Notification to be sent to manufacturer if queries are raised.
8. Notification to be sent to manufacturer along with R-number on grant of license.
9. Licence document to be sent online.

3. Inclusion

Applicant

1. Applicants logs in to BIS website using his existing login credentials.
2. Applicant generates request for testing of sample for their product from website and submits sample to lab.
3. Lab uploads report to BIS website through their login.
4. Applicants selects test report for making inclusion.
5. Applicant uploads other necessary document and enter details to save application.
6. Payment will be based on type of application (Tatkal/normal).
7. Payment through online payment gateway. Payment receipt to be generated online.
8. Reply to queries raised by BIS, if any, to be made online.

BIS

1. BIS to enter hard copy receipt date on receipt of hard copy.
2. Provision to check test report, payment receipt and other details.
3. Provision to allot the inclusion to Dealing Officer and Granting Authority.
4. Provision to update/edit application details for both new and granted inclusions.
5. Registered Manufacturer's list need to be updated after completion inclusion.

Dealing Officer (DO)

a. DO to check the inclusion as per the checklist available for scrutiny.
b. Queries, if any to be raised through website itself.
c. DO to recommend the inclusion in case all queries are resolved.
d. In case all queries not resolved, DO to mark the file as 'Not Recommended'.
e. Archive list to be made available.

Granting Authority (GA)

a. GA to review the DO's recommendation.
b. Queries, if any to be raised through website itself.
c. GA may refer the inclusion back to the DO.
d. The inclusion may even be allocated to other DO than the previous DO.
e. GA to recommend the inclusion in case all queries are resolved.
f. Endorsement no. to be generated for recommended inclusion.
g. Provision to generate letter with inclusion ID.
h. Once the letter is issued the inclusion to move to archive.
i. In case all queries not resolved, GA to mark the file as 'Not Recommended'. These inclusion will be moved to archive.

Alerts, Validations and Constraints

1. Notification to be sent to manufacturer with unique code for request for testing.
2. Notification to be sent to manufacturer on when testing lab uploads test report against their request.
3. Test reports more than 90 days cannot be used for submission of online inclusion.
4. Notification to be sent to manufacturer on online submission of inclusion.
5. Notification to be sent to manufacturer on receipt of hard copy of inclusion.
6. Alerts related to payment to be sent.
7. Notification to be sent to DO and GA on allocation of file.
8. Notification to be sent to manufacturer if queries are raised.
9. Notification to be sent to manufacturer along with inclusion Id license.
10. Inclusion letter to be sent online.

4. Amendment of IS

Applicant

1. Applicants logs in to BIS website using his existing login credentials.
2. Applicant generates request for testing of sample for their product as per amendment from website and submits sample to lab.
3. Lab uploads report to BIS website through their login.
4. Applicants selects test report for making amendment request.
5. Applicant uploads other necessary document and enter details to save application.
6. Payment through online payment gateway. Payment receipt to be generated online.
7. Reply to queries raised by BIS, if any, to be made online.

BIS

1. BIS to enter hard copy receipt date on receipt of hard copy.
2. Provision to check test report, payment receipt and other details.
3. Provision to allot the amendment to Dealing Officer and Granting Authority.
4. Provision to update/edit application details for both new and granted requests.
5. Registered Manufacturer's list need to be updated after completion inclusion.

Dealing Officer (DO)

a. DO to check the amendment as per the checklist available for scrutiny.
b. Queries, if any to be raised through website itself.
c. DO to recommend the amendment in case all queries are resolved.
d. In case all queries not resolved, DO to mark the amendment as 'Not Recommended'.
e. Archive list to be made available.

Granting Authority (GA)

a. GA to review the DO's recommendation.

b. Queries, if any to be raised through website itself.

c. GA may refer the amendment back to the DO.

d. The amendment may even be allocated to other DO than the previous DO.

e. GA to recommend the amendment in case all queries are resolved.

f. Provision to generate letter with amendment ID.

g. Once the letter is issued the amendment to move to archive.

h. In case all queries not resolved, GA to mark the file as 'Not Recommended'. These amendment will be moved to archive.

Alerts, Validations and Constraints

1. Notification to be sent to manufacturer with unique code for request for testing.

2. Notification to be sent to manufacturer on when testing lab uploads test report against their request.

3. Test reports more than 90 days cannot be used for submission of online amendment.

4. Notification to be sent to manufacturer on online submission of amendment.

5. Notification to be sent to manufacturer on receipt of hard copy.

6. Alerts related to payment to be sent.

7. Notification to be sent to DO and GA on allocation of file.

8. Notification to be sent to manufacturer if queries are raised.

9. Notification to be sent to manufacturer of letter with amendment ID.

10. Letter to be sent online.

5. Auto Renewal

Applicant

1. Applicants logs in to BIS website using his existing login credentials.

2. Applicant uploads other necessary document and enter details to save application.

3. Payment will be based on the location and scale (MSME/large scale) of manufacturer.

4. Payment through online payment gateway. Payment receipt to be generated online.

5. Reply to queries raised by BIS, if any, to be made online.

BIS

1. BIS to enter hard copy receipt date on receipt of hard copy.

2. Provision to check payment receipt, Renewal Application, Production Report and other details.

3. In case of no AIR change, the renewal to be made automated on the receipt of hard copies.

4. An automated email to be sent for intimation of renewal of the license.

5. Registered Manufacture's list need to be updated after Renewal.

6. Provision to resend the email for intimation of renewal.

Alerts, Validations and Constraints

1. Notification to be sent to manufacturer on online submission of renewal application.
2. Notification to be sent to manufacturer on receipt of hard copy.
3. Alerts related to payment to be sent.
4. Notification to be sent to DO and GA on allocation of file.
5. Notification to be sent to manufacturer if queries are raised.
6. Notification to be sent to manufacturer with renewal details.
7. Renewal letter to be sent online.

6. **Auto Deferment**

Applicant

1. Applicants fails to apply online before the valid upto date.

BIS

1. In case of no renewal application at the time of valid upto date, the license to be auto deferred.
2. An automated email to be sent for intimation.
3. No allocation to DO & GA.
4. History to be maintained.
5. Registered Manufacturer's list needs to be updated.

Alerts, Validations and Constraints

1. An automated email to be sent for intimation of deferment of license.
2. Status of license to be updated.

7. **Auto Lapsing**

Applicant

1. Applicable only for deferred licenses.
2. Applicant's fails to apply online even in deferment period.

BIS

1. In case of no renewal application even in deferment period, the license to be auto lapsed.
2. An automated email to be sent for intimation.
3. No allocation to DO & GA.
4. History to be maintained.
5. Registered Manufacturer list need to be updated.

Alerts, Validations and Constraints

1. An auto mated email to be sent for intimation of lapsing of license.
2. Status of license to be updated.

8. Critical Components List (CCL) Updation

Applicant

1. Applicants logs in to BIS website using his existing login credentials.
2. Applicant generates request for testing of sample for their product from website and submits sample to lab.
3. Lab uploads report to BIS website through their login.
4. Applicants selects test report for making CCL Updation.
5. Applicant uploads other necessary document and enter details to save CCL Updation.
6. Payment through online payment gateway. Payment receipt to be generated online.
7. Reply to queries raised by BIS, if any, to be made online.

BIS

1. BIS to enter hard copy receipt date on receipt of hard copy.
2. Provision to check test report, payment receipt and other details.
3. Provision to allot the application to Dealing Officer and Granting Authority

Dealing Officer (DO)

a. DO to check CC Updation as per the checklist available for scrutiny.
b. Queries, if any to be raised through website itself.
c. DO to recommend the CCL Updation in case if all queries are resolved.
d. In case all queries not resolved, DO to mark the file as 'Not Recommended'.
e. Archive list to be made available.

Granting Authority (GA)

a. GA to review the DO's recommendation.
b. Queries, if any to be raised through website itself.
c. GA may refer the CCL Updation back to the DO.
d. The CCL Updation may even be allocated to other DO than the previous DO.
e. GA to recommend CCL Updation in case if all queries are resolved.
f. Provision to generate letter.
g. Once the letter is issued the CCL Updation move to archive.
h. In case all queries not resolved, GA to mark the file as 'Not Recommended'. These application will be moved to archive.

Alerts, Validations and Constraints

1. Notification to be sent to manufacturer with unique code for request for testing.
2. Notification to be sent to manufacturer on when testing lab uploads test report against their request.
3. Test reports more than 90 days cannot be used for submission of CCL Updation.
4. Notification to be sent to manufacturer on online submission of CCL Updation.

5. Alerts related to payment to be sent.

6. Notification to be sent to DO and GA on allocation of file.

7. Notification to be sent to manufacturer if queries are raised.

8. Notification to be sent to manufacturer if CCL Update request is completed.

9. Letter to be sent online.

9. Inclusion

Applicant

1. Applicants logs in to BIS website using his existing login credentials.

2. Applicant generates request for testing of sample for their product from website and submits sample to lab.

3. Lab uploads report to BIS website through their login.

4. Applicants selects test report for making inclusion.

5. Applicant uploads other necessary document and enter details to save application.

6. Payment will be based on type of application (Tatkal/normal).

7. Payment through online payment gateway. Payment receipt to be generated online.

8. Reply to queries raised by BIS, if any, to be made online.

BIS

1. BIS to enter hard copy receipt date on receipt of hard copy.

2. Provision to check test report, payment receipt and other details.

3. Provision to allot the inclusion to Dealing Officer and Granting Authority

4. Registered Manufacturer's list need to be updated after completion of the request.

Dealing Officer (DO)

a. DO to check the inclusion as per the checklist available for scrutiny.

b. Queries, if any to be raised through website itself.

c. DO to recommend the inclusion in case all queries are resolved.

d. In case all queries not resolved, DO to mark the file as 'Not Recommended'.

e. Archive list to be made available.

Granting Authority (GA)

a. GA to review the DO's recommendation.

b. Queries, if any to be raised through website itself.

c. GA may refer the inclusion back to the DO.

d. The inclusion may even be allocated to other DO than the previous DO.

e. GA to recommend the inclusion in case all queries are resolved.

f. Endorsement no. to be generated for recommended inclusion.

g. Provision to generate letter with inclusion ID.

h. Once the letter is issued the inclusion to move to archive.

i. In case all queries not resolved, GA to mark the file as 'Not Recommended'. These inclusion will be moved to archive.

Alerts, Validations and Constraints

1. Notification to be sent to manufacturer with unique code for request for testing.
2. Notification to be sent to manufacturer on when testing lab uploads test report against their request.
3. Test reports more than 90 days cannot be used for submission of online inclusion.
4. Notification to be sent to manufacturer on online submission of inclusion.
5. Notification to be sent to manufacturer on receipt of hard copy of inclusion.
6. Alerts related to payment to be sent.
7. Notification to be sent to DO and GA on allocation of file.
8. Notification to be sent to manufacturer if queries are raised.
9. Notification to be sent to manufacturer along with inclusion Id license.
10. Inclusion letter to be sent online.

10. **Amendment of IS**

Applicant

1. Applicants logs in to BIS website using his existing login credentials.
2. Applicant generates request for testing of sample for their product as per amendment from website and submits sample to lab.
3. Lab uploads report to BIS website through their login.
4. Applicants selects test report for making amendment request.
5. Applicant uploads other necessary document and enter details to save application.
6. Payment through online payment gateway. Payment receipt to be generated online.
7. Reply to queries raised by BIS, if any, to be made online.

BIS

1. BIS to enter hard copy receipt date on receipt of hard copy.
2. Provision to check test report, payment receipt and other details.
3. Provision to allot the amendment to Dealing Officer and Granting Authority.

Dealing Officer (DO)

a. DO to check the amendment as per the checklist available for scrutiny.
b. Queries, if any to be raised through website itself.
c. DO to recommend the amendment in case all queries are resolved.
d. In case all queries not resolved, DO to mark the amendment as 'Not Recommended'.
e. Archive list to be made available.

Granting Authority (GA)

a. GA to review the DO's recommendation.

b. Queries, if any to be raised through website itself.

c. GA may refer the amendment back to the DO.

d. The amendment may even be allocated to other DO than the previous DO.

e. GA to recommend the amendment in case all queries are resolved.

f. Provision to generate letter with amendment ID.

g. Once the letter is issued the amendment to move to archive.

h. In case all queries not resolved, GA to mark the file as 'Not Recommended'. These amendment will be moved to archive.

Alerts, Validations and Constraints

1. Notification to be sent to manufacturer with unique code for request for testing.

2. Notification to be sent to manufacturer on when testing lab uploads test report against their request.

3. Test reports more than 90 days cannot be used for submission of online amendment.

4. Notification to be sent to manufacturer on online submission of amendment.

5. Notification to be sent to manufacturer on receipt of hard copy.

6. Alerts related to payment to be sent.

7. Notification to be sent to DO and GA on allocation of file.

8. Notification to be sent to manufacturer if queries are raised.

9. Notification to be sent to manufacturer of letter with amendment ID.

10. Letter to be sent online.

11. **Management Change Application**

Applicant

1. Applicants logs in to BIS website using his existing login credentials.

2. Applicant uploads other necessary document and enter details to save management change application.

3. Payment through online payment gateway. Payment receipt to be generated online.

4. Reply to queries raised by BIS, if any, to be made online.

BIS

1. BIS to enter hard copy receipt date on receipt of hard copy.

2. Provision to check payment receipt and other details.

3. Provision to allot the management change application to Dealing Officer and Granting Authority

Dealing Officer (DO)

a. DO to check the management change application as per the checklist available for scrutiny.

b. Queries, if any to be raised through website itself.

c. DO to recommend the management change application in case all queries are resolved.

d. In case all queries not resolved, DO to mark the file as 'Not Recommended'.

e. Archive list to be made available.

Granting Authority (GA)

a. GA to review the DO's recommendation.

b. Queries, if any to be raised through website itself.

c. GA may refer the management change application back to the DO.

d. The management change application may even be allocated to other DO than the previous DO.

e. GA to recommend the management change application in case all queries are resolved.

f. Change of management reflects for recommended management change application.

g. Provision to generate letter with changed management.

h. Once the letter is issued the management change application to move to archive.

i. In case all queries not resolved, GA to mark the file as 'Not Recommended'. These management change application will be moved to archive.

Alerts, Validations and Constraints

1. Notification to be sent to manufacturer on online submission of management change application.

2. Alerts related to payment to be sent.

3. Notification to be sent to DO and GA on allocation of file.

4. Notification to be sent to manufacturer if queries are raised.

5. Notification to be sent to manufacturer when management changes reflects on portal.

6. Letter of change in management to be sent online.

12. Name Change Application

Applicant

1. Applicants logs in to BIS website using his existing login credentials.

2. Applicant uploads other necessary document and enter details to save application.

3. Payment through online payment gateway. Payment receipt to be generated online.

4. Reply to queries raised by BIS, if any, to be made online.

BIS

1. BIS to enter hard copy receipt date on receipt of hard copy.

2. Provision to check payment receipt and other details.

3.   Provision to allot the name change application to Dealing Officer and Granting Authority.

4.   Registered Manufacturer's list needs to be updated after Name change.

Dealing Officer (DO)

a.   DO to check the name change application as per the checklist available for scrutiny.

b.   Queries, if any to be raised through website itself.

c.   DO to recommend the name change application in case all queries are resolved.

d.   In case all queries not resolved, DO to mark the file as 'Not Recommended'.

e.   Archive list to be made available.

Granting Authority (GA)

a.   GA to review the DO's recommendation.

b.   Queries, if any to be raised through website itself.

c.   GA may refer the name change application back to the DO.

d.   The name change application may even be allocated to other DO than the previous DO.

e.   GA to recommend the name change application in case all queries are resolved.

f.   Change of name reflects for recommended name change application.

g.   Provision to generate letter with changed name.

h.   Once the letter is issued the name change application to move to archive.

i.   In case all queries not resolved, GA to mark the file as 'Not Recommended'. These name change application will be moved to archive.

Alerts, Validations and Constraints

1.   Notification to be sent to manufacturer of hard copy receipt.

2.   Notification to be sent to manufacturer on online submission of name change application.

3.   Alerts related to payment to be sent.

4.   Notification to be sent to DO and GA on allocation of file.

5.   Notification to be sent to manufacturer if queries are raised.

6.   Notification to be sent to manufacturer when name changes reflects on portal.

7.   Letter for change in name to be sent online.

13. Letter Correction

Applicant

1.   Applicants logs in to BIS website using his existing login credentials.

2.   Provision to generate request for letter correction.

3.   Applicant enter both details correct as well incorrect and save the details.

4.   Applicant uploads other necessary document

5.   Payment, if any, to be made through online payment gateway.

6.   Payment receipt to be generated online.

7. Reply to queries raised by BIS, if any, to be made online.

BIS

1. BIS to enter hard copy receipt date on receipt of hard copy.
2. Provision to check payment receipt and other details.
3. Provision to allot the application to Dealing Officer and Granting Authority.
4. Registered Manufacturer's list need to be updated after completion of letter correction.

Dealing Officer (DO)

a. DO to check authenticity of request made by applicant.
b. Queries, if any to be raised through website itself.
c. DO to recommend for revised letter in case if all queries are resolved.
d. In case all queries not resolved, DO to mark the request as 'Not Recommended'.
e. Archive list to be made available.

Granting Authority (GA)

a. GA to review the DO's recommendation.
b. Queries, if any to be raised through website itself.
c. GA may refer the correction request back to the DO.
d. The correction request may even be allocated to other DO than the previous DO.
e. GA to recommend for revised letter in case all queries are resolved.
f. Provision to generate revised letter.
g. Once the letter is issued the application to move to archive.
h. In case all queries not resolved, GA to mark the file as 'Not Recommended'. These applications of correction letter will be moved to archive.

Alerts, Validations and Constraints

1. Notification to be sent to manufacturer on online submission for correction letter
2. Notification to be sent to manufacturer on receipt of hard copy.
3. Alerts related to payment to be sent.
4. Notification to be sent to DO and GA on allocation of file.
5. Notification to be sent to manufacturer if queries are raised.
6. Notification to be sent to manufacturer after completion of request of correction letter.
7. Revised letter to be sent online.

14. Cancellation of licence

BIS

1. BIS may initiate cancellation of licence either individually or in bulk (based on IS number)
2. Licence(s) against which cancelation to be issued are assigned to DO.

DO

    a.   DO recommends the initiation of cancellation against the licence(s).

    b.   Reply received from licensee, if any, to be made available to DO.

    c.   Reply from licensees to be examined through website.

    d.   Provision to upload minutes of meeting, if any. The minutes are shared with the licensee for reference.

Head of Department(HoD)

    a.   HoD reviews the recommendation. Based on recommendation the initiation of cancellation may be approved or rejected altogether. It may also be possible that Head may approve initiation of cancellation against some of the licence(s) whereas initiation of cancellation may be dropped against some of the licence(s).

    b.   Reply from licensees to be examined through website.

    c.   Hearing may be scheduled for hearing(s).

    d.   Provision to take decision.

Applicant/Licensee

1. Licensee is able to view the notice issued.
2. Licensee is able to reply online.
3. If required, licensee is able to request for personal hearing.

Alerts, Validations and Constraints

1. Notification to be sent to manufacturer on initiation of cancellation. Cancellation notice issued by BIS to be made available to the licensee.
2. In case of individual cancellation, letter intimating initiation of cancellation to sent online.
3. In case of multiple licences, cancellation notice to be issued in form of system generated emails.
4. Once cancellation notice is issued, activities like inclusion, renewal, CCL update etc to be disabled for the licence(s) until decision is taken for the notice issued to them.
5. The decision by HoD to be informed to the licensee. Final decision uploaded on website for individual licence.
6. In case of multiple licence(s) final decision to be informed in form of system generated email.
7. Status and validity to be updated against the cancelled licence(s).
8. For the licence(s) where cancellation is dropped, normal operation to resume.

15. Lab module

Laboratory

1. Laboratory to create login on BIS website.
2. Laboratory to apply for BIS recognition by uploading required documents.

3. If recognition granted BIS, other activities to commence, else the provision for lab to apply again.

4. Payment to be made online.

5. Provision to upload the test report only against the ID generated by manufacturer for BIS licence.

6. Details regarding to testing of the product to be entered by lab.

7. Provision to apply for renewal of recognition.

8. Provision to apply for updating scope of recognition.

BIS

1. BIS to receive online application.

2. Visit to be scheduled and intimated to lab.

3. Result of visit to be uploaded on BIS site.

4. BIS to decide whether to approve lab's request or to reject.

5. Provision to update scope of testing by lab.

6. Provision to schedule surprise audit.

7. Provision to upload the result of surprise audit.

8. Provision to suspend the operation of lab.

9. Provision to resume the operation of lab.

10. Provision to renew the recognition of lab.

Alerts, Validations and Constraints

1. Notification to be BIS on receipt of new application.

2. Payment related intimation to be sent,

3. Lab available for testing only after recognition granted by BIS.

4. Provision for lab to update submitted records, if permission granted by BIS.

5. Testing to be suspended in case of suspension/ de-recognition.

Laboratory Management System

1.1 Laboratory Management System

About BIS Laboratories

Product certification scheme introduced in 1956 called for reliable testing of a wide variety of products and raw materials for evaluating their conformity to the requirements laid down in Indian Standards as required for continuous surveillance of the scheme. Initially services of several independent laboratories in India were availed for the purpose. With rapid expansion of the conformity assessment scheme, the need for expeditious testing of samples and for ensuring close conformity to the testing procedures laid down in various Indian Standards was strongly felt and the organization decided to have its own chain of laboratories mainly to cater to the needs of conformity assessment Scheme.

In-house testing of samples under Certification Marks Scheme started in 1963 in BIS HQ in Delhi. Subsequently with the number & variety of samples going up progressively, systematic expansion of lab activities had to be planned with a view to ensure availability of testing facilities close to its users, that is, BIS licensees. It was therefore decided to set up labs at various Regional Offices as well. To assist the organization in this task, industry, Central and State Governments contributed generously. Today BIS has four Regional Laboratories situated in different parts of the country. Simultaneously with the completion of these projects, the laboratory at HQ was shifted to its present premises near Delhi at Sahibabad(U.P.). All these five labs were commissioned with requisite test facilities under central assistance and were fully operational in their own premises by 1982.

Because of financial constraints with the organization at that time certain State Govts. came forward for funding the cost of land, building and the laboratory equipments for setting up Laboratory-cum-Office buildings in state capitals. Under this scheme laboratories were commissioned at Patna in Bihar and Bangaluru in Karnataka.

To meet the special requirements of the North-Eastern Region, plywood testing lab was set up at Tinsukia in Assam state. Subsequently office and lab were shifted to Guwahati.

BIS Laboratories mainly cater to the needs of BIS certification Marks Scheme and accordingly tests are carried out on samples generated from the applicants, licensees operating under the Scheme. Out of more than 950 products under Certification Marks Scheme, BIS Laboratories have test facilities for more than 700 products in electrical, mechanical, chemical & microbiological areas.

The network of eight BIS laboratories, spread throughout the country provide conformity testing of BIS certified products against relevant Indian Standards. Central Laboratory at Sahibabad (near Delhi) and the laboratories at Regional and some Branch Offices are engaged in testing primarily for operation of the BIS conformity assessment Schemes. The major areas covered under testing at the Central Laboratory are electrical, mechanical and chemical.

Laboratory Management System

Bureau of Indian Standards (BIS) is the National Standards body of India, functioning under the aegis of Ministry of Consumer Affairs and Public Distribution, Government of India. BIS has published more than 18000 Indian Standards (IS) and Priced Publications (PP) to ensure the quality of products, more than 400 new standards and 400 amendments are published. BIS has Manak online software that automates its core business processes.

Laboratory Management System Software is an software module that shall manage business processes of BIS Laboratory in alignment with manakonline . Laboratory Management Software shall perform the functions are:

1. Sample Cell Processes (Management of Test Requests, Samples and Test Reports).
2. Laboratory Recognition Scheme including Auditor Registration.
3. Management of records of calibration of equipments.
4. ILC/PT (Inter Lab Comparison & Performance Testing)
5. Relevant MCR & Queries

Laboratory Management Software shall have appropriate integration with main Manak online with a user friendly interface that facilitates integration of Test Requests and Test Report, MCR reports and facility to OSL to enter data and upload test report. It shall set an appropriate linkage for coding /decoding of samples, sample receipt and dispatch, test report entries and their display. Provision to display of status by all labs (BIS and outside labs). Access to outside labs for making entries related to receipt of samples, testing, status updation and uploading of test reports. All proformas including lab proforma, master performance for test report shall be made available in electronic form.

Outside labs approval and their operations, master list of approved labs, their test facilities, testing charges should be made available. Links for details of testing charges product wise, lab wise should be made available for scrutiny of bills. Facilities for sorting lab details- lab wise, region wise, testing facility wise should be made available. Capturing Email address of applicant should be compulsory.

Features of Laboratory Management System :

1. Web enabled software for Laboratory Management.
2. Use friendly interface.
3. Workflow implementation similar to Manak Online.
4. Data updating to Central Server.
5. Coding and decoding of samples, sample receipt and dispatch, test reports entry display and dispatch,
6. Test reports in output format.

7. Uploading of the scanned test reports and receiving a message at BO and RO level when uploaded.

8. Linking/Data entry of 220 outside labs and login being provided to outside labs to upload report.

9. Laboratory Recognition functionality.

10. Data capturing regarding diversion of samples to outside labs or other BIS lab after obtaining consent from BO.

11. Display of lab status of BIS Labs and OSL, test facility status, test facility database IS wise, testing charges, capacity, load status, data of TR received but not downloaded, sample received status, details of sample alert received but not deposited in the labs etc. facility for sorting lab details- lab wise, region wise, testing facility wise.

12. Implementation of calculation, TR preparation and regular formats.

13. Features for calibration management, monitoring of calibration status of test equipments, their periodicity history etc.

14. Feature to create users, privileges, reports of monitoring, management, MCR, QA audit report, implementation of new and old ISS and a single window information point to users.

15. Lab Recognition Scheme and NABL accreditation process implementation in software.

16. Capturing of email address of licensee laboratory for communication.

17. Uploading of incoming Dak in scanned copy form and integration with document management system

18. Provision to manage disputes samples. View of the disputed sample to be available to BO Head.

19. In case of diverted samples the information to be available concerned BO Head.

20. Use of encryption /decryption to generate codes as password or similar function to secure word or excel file that carries test results.

21. Flow of sample data to Laboratory not vice versa.

22. In LRS registering Auditors and maintaining their database.

23. Provision to select team of auditors.

24. OSL should be connected to Manak Online to so that HOD is update by alert when any report is uploaded. It should also update HOD about date of receipt of sample, expected date of testing and provision to upload results by OSL.

25. Drawl of samples by Govt. Departments and testing by BIS labs or OSL. Provision to lab software to receive the test request, samples, and testing charges for Registration Scheme.

26. List of approved labs for the products under registration available to BIS, Govt Departments, applicant and general public.

27. Prefixing R letter for Registration number.

28. Provision to registrant to apply online for renewal.

29. Provision to upload report to CMMS/ copy to individual/ Govt. Department that collected samples.

30. Option during development to accommodate changes received from Govt Department as scheme is new and yet to be started.

31. In case of failure of test reports, provision for autogeneration of sample failure letter and relevant alert in certification module for the dealing officer, HOD and MCR etc.

1.1.2 Sample Cell Processes

Step 1

Sample Cell Counter

1. Receives test request through manakonline

2. Receives test request along with sample

3. Receives the sample

    a. By courier

    b. By hand

4. Selects the source from the below list

    a. BIS

    b. Commercial

    c. Government / NGO'S

5. Verifies the label in the system against the label on sample

6. Does the inward entry, generates received acknowledgement in case of hand delivery

7. In case of sample is handed over by hand and sample is rejected then the same is communicated to bearer.

8. In case sample received through courier there is sufficient causes for rejection of sample same is communicated to sender

9. Forwards test request and sample to Officer IC sample cell

10. Returns the sample in case seal is not intact, leakage of sample / damage of sample or any other reason for outright rejection

11. Makes entry in the system for rejected case and explicitly states the reason for rejection

12. In case of sample is handed over by hand the same is communicated to the bearer.

Alerts, validations, and constraints

2. In case of BIS sample mail alert to concerned IO/BO

3. Alert shall be sent to concern BO in case source is BIS regarding arrival of sample non arrival of sample after prescribed time limit.

4. The system should be intelligent enough to categorize and label the documents automatically

Features

1. Provision to view the Test Request

2. Provision to view the sample tag.

3. Provision for inward entry of the sample

4. Provision to counter of sample cell to select the source of the sample

5. Provision to generate the acknowledgement

6. Provision to record details of all returned samples

7. Provision to send mail

Step 2

Officer IC Sample Cell

1. Scrutiny of the sample

2. Allocation of priority

3. Back routing of rejected samples

4. Clarification for the disputed samples

Alerts, validations, and constraints

A. Alert shall be sent to concerned OIC Lab regarding the sample

B. Alert to the Officer IC Sample cell

Features

1. Provision to view the Test request

2. Provision to mark to Sample Cell In charge

3. Provision to view the details of sample

Step 3

Officer IC Sample Cell

The sample codes should be visible to Officer Sample Cell which have been received by Sample Cell Counter at Step no. 1 with their test request. Officer sample cell opens the test request of the sample and has two options A. to accept the sample. B. to reject the sample C. to keep the sample under Dispute.

For option A, the sample is forwarded to testing section/OSL for testing. He may split the sample into parts, if required and sends to different labs. The encoded code is generated by the system. Provision to edit the test request while forwarding is to be made. The sample then appears to OIC Lab with encoded code for acceptance. For option B, OIC sample cell makes entry of reason for returning of sample. An alert is sent to BO in this regard.

For option C, the sample code should be added to dispute category and an alert should be sent to BO. The reason to put the sample under dispute is to be mentioned and the same should be communicated to the concerned BO/Officer who has sent the sample. The concerned officer then can reply and advise further action. There should be an option to communicate multiple times for a single sample. After

satisfactory receipt of reply, the sample could be forwarded for testing or rejected/withdrawn from testing.

In addition, OIC sample cell will have the provision to reverse any step made. (OIC Sample cell should have the provision to reverse the action if sample is inadvertently received or forwarded or forwarded to different lab than intended) with the approval of Head, Lab.

Step 4

OIC LAB

1. Decision on acceptance of sample, in case of rejection reasons need to be stated

Alerts, validations, and constraints

A. The system should automatically decrement the total capacity by 1 for each sample request accepted

Features

1. Provision to view the status of LAB
2. Provision to view the list of testing personal with details like their technical area, number of samples allocated to him/her, etc
3. Provision to record justification for accepting and not accepting the samples
4. Provision to view the details (Except Branch code, firm/applicant/licensee) of test request
5. Provision to record his reason for rejection/ Non acceptance
6. Provision to forward LAB Head
7. Provision to define master entries in LAB status for each type of capacity (chemical, mechanical, electrical)

Step 5

OIC Lab

OIC (Lab) receives the test request forwarded by Sample cell. He then either accepts the sample for testing or raises a query. The query is received by OIC sample cell. OIC sample cell then either can reply or forward the query to BO/concerned Officer. If the query is forwarded to BO/concerned Officer, the sample should be listed as disputed sample under OIC Sample Cell id.

If the sample is accepted, the count of pending samples in testing section is increased by 1. Sample Cell then physically hand over sample to OIC Lab. OIC Lab should have the provision to allocate samples to respective Testing personnel for testing at this stage.

OIC Lab should also have the provision to raise a query after acceptance of the sample and before issuing the result.

Step 6

Sample Cell in charge (coding)

1. Views approved samples

2. Generates code* and masking of sample

3. Forward test request and samples to OIC Lab(sample physically moved)

Alerts, validations, and constraints

A. ~~A~~lert shall be sent to concern OIC Lab/other BIS Lab/OSL regarding the sample

B. Alert to the Officer IC Sample cell

Features

1. Provision to view the Test requests

2. Provision to generate code

3. Generate label

4. Provision to view the labels of sample send through manakonline.

5. Provision to mark dispute if any disputed sampled is identified

6. Provision to generate encoded sample code Provision to forward Officer IC sample cell in case clarification

7. Provision to generate multiple codes for different type of tests against a test request for example under Chemical category there are n number of tests, provision to select from the dropdown and embed the portion of code with main code to identify the subcategory. Coding of the samples should be done in such way that it covers whole range of tests falling under each category of Lab i.e. Mechanical, Electrical, Chemical-including Biological

8. Provision to forward to LAB Head

Note: * Suggestion from Head CL implementing barcode will add value to the process and maintain secrecy as well

Step 7

Officer Sample Cell

The samples accepted by OIC lab are encoded with the system generated code and sent to OIC Lab for testing (Physical movement of sample). At this stage also, provision to put the sample under dispute should be made available to OIC Sample Cell.

OlC Lab:

The samples accepted for testing is to be marked to testing personnel (This can also be done at the time of accepting samples for testing in addition to this step). OIC Lab should have the provision to change allocated testing personnel and assign the sample to another testing personnel, or tests to be conducted for any sample. There

should be a counter displaying the number and age of the sample allocated for testing to each testing personnel. OIC Lab should have provision to get a list of samples pending with him with complete details of samples and testing personnel.

Step 8

Testing Personal

1. Acknowledge the physical sample receive
2. Forward to OIC Lab, if clarification required
3. Conducts the testing
4. Submits/uploads the test result

Alerts, validations, and constraints

Features

1. Provision to acknowledge the physical sample received
2. Provision to forward to OIC Lab in case of clarification
3. Provision to record the test report against the sample received
4. There should be provision to upload each type of report independently and record the details.
5. Provision to upload the testing results in word/pdf/excel (read only mode)

Testing Personnel:

Testing personnel upon receipt of sample enters the tentative date of completion of testing of samples. The tentative date thus entered is reflected to OIC Lab who can approve / modify and approve the tentative date of completion of testing. After approval, the tentative date is visible to BO and OIC sample cell.

Testing personnel can raise any query which can be communicated to OIC Lab, who can either reply, or forward it to OIC sample cell with or without any modification. OIC sample cell then can either reply, or forward it to BO/concerned officer with or without any modification.

Testing personnel conducts the tests. The details of the samples for report preparation are picked by the system from data of samples (may be editable). The results are fed in the system against the requirements of relevant Indian standards, which should be available in dropdown library. Some fields of custom requirements are to be provided under which requirements can be edited. Testing personnel also enters the testing charges of tests conducted.

The specified requirements, test results and testing charges thus entered, and forward to OIC Lab.

Step 9

OIC LAB

1. Forwards the clarification to Sample Cell/BO in case of clarification request from testing personal

Alerts, validations, and constraints

Features

1. Provision to view the clarification request from testing personal
2. Provision to view the test report submitted by the testing personal

OlC Lab:

OIC Lab reviews the specified requirements, test results and testing charges reported by testing personnel. OIC Lab can either approve specified requirements, test results and testing charges or can ask the testing personnel to re-conduct the tests or make a modification. OIC Lab can re-assign tests/ testing personnel to re-conduct all or any tests. The result thus may be re-entered in the system by testing personnel. In such cases, logs should be maintained.

If the test requirements, results and testing charges are accepted by OIC lab, he should have the option to issue the test report. The issued Test Report should be available to the user (Branch Offices). The Testing charges are directly communicated to Administration department for generation of invoice.

Step 10

Officer IC Sample Cell

1. Receives the clarification from IO/BO and takes any of the following action
   a. Diversion of the sample
   b. Does the disposal of the sample
   c. Forwards it to the OIC Lab
2. Forwards the clarification to OIC Lab in case of clarification request from customers/BO

Alerts, validations, and constraints

Features

1. Provision to view clarification given by the IO/BO
2. Provision to diversion of the sample
3. Provision to forward OIC Lab
4. Provision to disposal of the sample and closing the Test Request

Administration:

Administration department should get system generated information of Sample code (Both encoded and decoded), Indian standard and date of issue of test report, when the test report is issued by sample cell. Administration shall upload the invoice in the system with above details.

OIC (QA):

A provision to generate test request should be given to OIC (QA). OIC (QA) should be able to generate test request for QA samples and forward to sample cell for testing (similar to the test request generated and sample sent by Branch Offices to the lab).

Common features need to be included

I. Master entries like (capacity defining for each of type LAB including their sub category should be done by Head ~~CL~~ LAB) and there must be provision to record master entries

Feature for search of a sample should be given in the system. The system should be able to provide history of a particular sample code. The search option should be made to search a sample code in whole database, irrespective of the status of sample.

System generated mails should be kept to minimum. All the communications should be done in the system.

1.2 Laboratory Recognition Scheme

In case of online application submission

Applicant has to register with the BIS for getting the user id and password. In the registration module applicant will be getting user id and password along with list of the documents containing general procedural guidelines pertaining to Lab Recognition Scheme, check list of the documents to be submitted to the BIS along with fee details. Payment should be made online/through pay order/dd.

Constraints

A. Individual registration should not be allowed. Check on firm registration number of firm

B. Applicant must provide the mail id for the interaction

C. Applicant shall select the service he/she is interested.

D. Firm registered for LRS will not use other services like (product certification, Hallmarking, FMCS, Outside Agents)

In case application submitted in hard copy and application entry done at BIS Lab

Applicant fills up the application as per guidelines provided in the annexed document. Makes necessary payment in form of demand draft along with all the relevant documents submits application to the BIS Lab for processing. Once the application is received BIS, OIC(LRS), acknowledge the receiving of application and does the entry in the system, generates temp application no, Invoice for the received fee after this application is processed in usual way.

Step 1

Applicant

1. Applicant fills up application online in the prescribed format
2. Uploads documents against a check list
3. Applicant should be able to select fee from fee schedule
4. Makes payment using payment gateway/ net banking / and direct debit or through DD in which case DD particulars will be entered online and
5. Confirms the submission of the application

Alerts, validations, and constraints

A. Mail, alert shall be sent to Head BIS Lab regarding submission of new application.
B. Mail shall be sent to applicant acknowledging the submission of his application
C. Payments shall be reflected in BIS account immediately in case of online payment
D. The system should not allow the applicant to proceed further if mandatory attributes and documents are not provided
E. The system should be intelligent enough to categorize and label the documents automatically

Features

1. Applicant should be able to fill up online application as per the given format.
2. Applicant should be able to upload documents in image, doc, pdf format to a specific folder (named on applicant) against the given check list by BIS
3. Applicant should be able to delete and re-upload incase of erroneous uploading of the documents (scanned copies etc).
4. Applicant must have two options of the payments. Online and through demand draft.
5. There should be an unambiguous flow of the payment in both the cases.
6. Applicant must have a preview of the list of uploaded documents.
7. System should be capable enough to restore process from the last saved point in case of application failure or power failure etc.

8. Functionality to maintain a record of all the payments, dues, and credit notes of the individual account (as against the application id).

9. There must be a flexible system for naming the documents which are to be uploaded on site.

10. There should be necessary checks if no document is uploaded and system must suggest applicant to upload necessary documents. There should be mandatory fields, so that applicant will not be able to upload where necessary (mandatory) documents/transactions like payment, Lab registration numbers etc are not provided during filing the application.

11. Feature with application form for ascertaining that a physically signed application is being submitted in due course/accompanying.

Step 2

Head Lab

1. Views newly received application with the attached details (like questionnaire)

2. Acknowledge the temp application number to applicant.

3. Mark to OIC(LRS) for scrutiny of the application

Alerts, validations, and constraints

A. Alert to the concern OIC(LRS)

Features

1. When Head Lab in to application, he should be presented with all new applications showing sl. No., name of applicant date of application. etc

2. Should be able to generate and communicate of the receipt to applicant in case payment by DD.

3. System shall automatically generate Temporary application number as per the defined Business rule of BIS

Step 3

OIC(LRS)

1. Does the application scrutiny

2. Forwards the application to Head Lab with his observations

Alerts, validations, and constraints

Features

1. Application visible in pane showing sl. No., name of applicant, date of application, IS Numbers applied for etc.

2. OIC(LRS) should be able to view application along with uploaded documents

3. OIC(LRS) should be able to view payment details.

4. OIC(LRS) should be able to take action on application. i.e. giving remarks, comments etc.

5. OIC(LRS) should be able to forward application to Head Lab

Step 4

Head Lab

1. Review the remarks of OIC(LRS)
2. If any clarification required communicate to the applicant
3. If application meets the requirements then forwards,　to the OIC(LRS) to put up recommendation for　recording

Alerts, validations, and constraints

Features

1. Application should be visible in pane showing sl. No., Temp Appl Number, name of Lab, date of application etc.
2. Provision to communicate to the applicant in case of clarification
3. Provision to mark to the OIC(LRS) to put up for recording

Step 5A

OIC(LRS)

1. Put up the application for recording
2. Forwards to Head Lab for recommendation

Alerts, validations, and constraints

A. No clarification request should be in state of pending
B. All remarks by the Head should be available

Features

1. Application should be visible in pane showing sl. No., Temp Apppl Number, name of Lab, date of application etc.
2. Provision to put up for recording
3. Provision to forward to the Head Lab to put up for recording

Step 5B

Applicant

1. Provides to Head Lab requested information (by uploading relevant documents, by entering necessary modification in the application entries)

Alerts, validations, and constraints

A. Step 2 shall be initiated

Feature

1. Provision to view the clarification request and details of clarification
2. Applicant should be able to upload necessary documents, information as sought by BIS CL

Step 6

Head Lab

1. Views the OIC(LRS) remarks and takes the any of the following decision
    a. Recommendation for recording
    b. Recommendation for returning of application
    c. Requesting clarification
2. In case of step 6 Item 1 (C) Request the applicant to clarify
3. **Records the application**

Alerts, validations, and constraints

Features

1. Provision to record Head- Lab decision
2. Provision to communicate observations

Step 7

Head Lab

1. Approval of the team for audit and forward to OIC(LRS)
2. Should have provision to modify the audit team, adding/deleting of auditor, no. of mandays, if required
3. OIC(LRS) intimates applicants and auditors, reporting officer of auditors

Alerts, validations, and constraints

A. Intimation to the selected officers regarding the audit
B. **Applicant shall be notified regarding the audit team with the fee details**

Features

1. List of the selected team shall be viewable to the OIC(LRS) and Head Lab
2. Provision to add/remove the selected team should be given to the OIC(LRS) and Head Lab
3. Provision to set the timelines to complete the audit
4. Intimation to the selected officers regarding the audit
5. **Applicant shall be notified regarding the audit team with the fee details**

Step 8

Applicant

1. Makes the payment towards the audit fee
2. **Confirmation of the audit date (mutual understanding between the team and applicant)**

Alerts, validations, and constraints

A. Concern audit team leader and Head Lab shall be notified on the successful payment

Features

1. Provision to view the details of auditors
2. Provision to make the payment of initial audit (online/ DD etc)
3. **Provision to communicate the audit scheduling**

Step 9

Audit Team (Team Leader)

1. Does the audit

2. Team leader submits the audit report with his remarks with time frame Hand over the duly signed NC's report to the applicant

3. Forward the audit report to the Head Lab

Alerts, validations, and constraints

A. Head Lab shall be notified regarding the submission of the report

B. Applicant shall be notified about the NC's of audit team

C. Payment status should be yes/received

Features

1. Audit team should have provision to view the application details (SL No, Appl Number, Status all the documents submitted by the applicant etc)

2. Team leader should have provision to enter, upload the documents related to the audit report

3. Applicant should have provision to view the NC's report

4. Should have provision to communicate the audit feed back to the applicant

Step 10

OIC(LRS)

1. Scrutiny of audit report

2. Follow up audit if required

3. Forwards application to Head Lab with his recommendation

    A. Grant of Recognition

    B. Closing

4. Forwards to the testing sections of BIS lab, if required

5. May seek clarification

Head Lab

1. Consider OIC(LRS) recommendation and forward to DDGL with his recommendation for grant of recognition

Alerts, validations, and constraints

Features

1. Provision to view the details of audit report

2. Provision to record his recommendations

3. Provision to communicate to the audit team in case of clarification

4. Provision to set the time frame   in case of clarification from auditee lab

5. Provision to forward to the other BIS labs/ lab heads testing section of CL

Step 11

DDGL

1. Consider Head Lab recommendation and Grants Recognition

2. Forwards to the Head lab for fee collection and delivery of recognition letter

3. May seek clarification

Alerts, validations, and constraints

A. Alert to the applicant/OSL regarding the payment for the recognition fee

B. On receipt of recognition fee   the system shall automatically generate the Recognition number*

C. clarifications sought shall be visible to OIC(LRS) and Head Lab

D. OIC(LRS) seeks clarifications from applicant

E. provision to submit clarification along with documents by applicant

Features

1. Should have provision to view the details of audit report

2. Should have provision to record his recommendations

3. Should have provision to forward to Head Lab

4. Recognition number generation automatically

Note: The OSL number should be generated by implementing the following logic

The total number of digits should be 7

Code=12 345 6 7

XX XXX X X

A. The first two digits represent the region to which a lab belongs 51- Eastern, 61- Southern, 71-Western, 81- Central, 91- Northern

B. The next three digits represent a serial no allotted to a lab

C. The 6th digit represent the discipline of laboratories

0 – Laboratories with multiple discipline testing facilities

1-- Chemical only

2 – Electrical only

3 – Mechanical only

a) The 7th digit represent the status of laboratory

1 – National Importance / CSIR Labs

2 – Educational Institutions like IITs/University of Tech Studies/ Regional College of Engg

3 – Other Educational Institute

4 – Government Laboratories

5 – Associations, Industry sponsored

6 – Private

Step 12

BIS lab Heads   (in case scrutiny done by other BIS Lab)

1. Gets   the Scrutiny of the report done
2. Records observations
3. Forwards to the Head Lab
4. Step 10 A shall be initiated

Alerts, validations, and constraints

Features

1. Provision to view the audit report
2. Provision to view the details of and scope of the application
3. Provision to record observations
4. Provision to forward to Head Lab

Step 13

Applicant/OSL

1. Does the payment
2. Accepts the policies / undertaking

Alerts, validations, and constraints

A.   Head Lab shall be notified on successful payment

Step14

OIC(LRS)

6. Delivers the recognition letter and associated documents

Alerts, validations, and constraints

Features

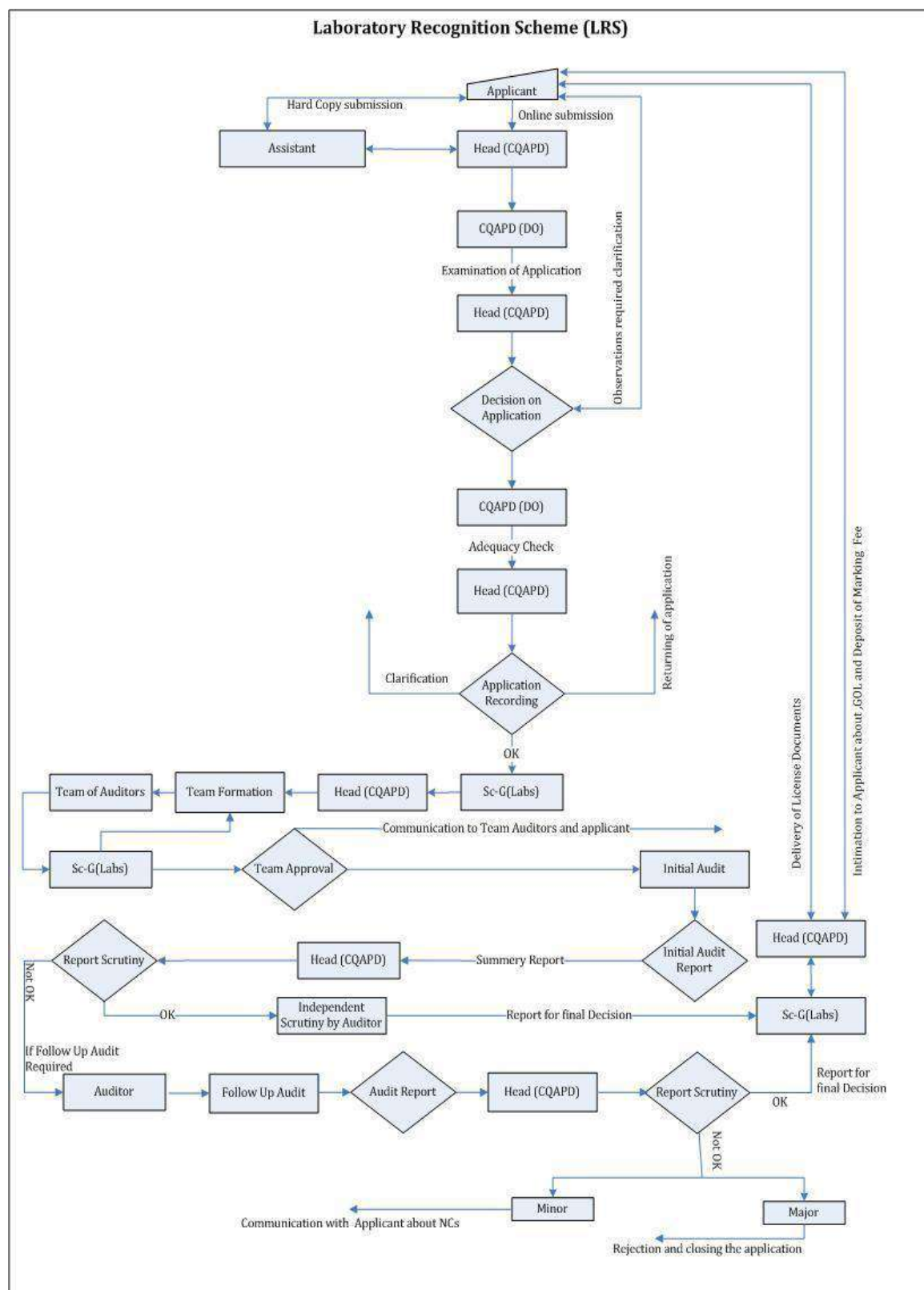1. Should have provision to communicate the applicant

Laboratory Recognition Scheme (LRS)

Fig: Lab Recognition Scheme Process

Renewal of Recognition

Step 1

OIC(LRS)

1. Views applications and checks for the expiry date of the validity of the Recognition (Expiry date-06 Months).

2. Checks for the pending NCs

3. Checks for the pending Payments.

4. Checks for the pending issue/complains.

5. Sends mail along with application proforma, fee request for required for recognition renewal and other applicable fee, any pending NCs clarification, any other pending issue/complaint. Mail is sent 3 months in advance of expiry of validity date of recognition.

Alerts, validations, and constraints

A. Mail, alert shall be sent to Head, Lab for whenever any recognition becomes due for renewal.

B. Mail shall be sent to applicant.

Features

1. Provision to view recognition due for renewal

2. Provision to check NCs unclosed

3. Provision to view any pending complaints

4. Provision to check any pending payment.

5. Provision to send mail to applicant.

6. Provision to send intimation mail to Head, Lab.

7. Provision to view the recognition due for renewal for which mail has been sent in the separate grid view and at the same time it should be removed from the mail view.

Step 2

Applicant

1. Fills up the application as per given format on account of Recognition ID.

2. OSL should be fill up appropriate questionnaire if required

3. Pays fee.

In case of online application submission

On receipt of intimation mail for renewal from BIS Lab, applicant applies online for uploads the requisite documents, and pays fee and submits application.

Constraints

Features

1. Provision to fill application for renewal.

2. Provision to make payment.

3. Provision to upload document if any document required by BIS

4. Provision to print receipt for fee in case of fee is paid online.

Step 3

OIC(LRS)

1. Views renewal application

2. Provision to check details of fee paid.

3. Provision to review recognition if application is not received after the expiry of validity date.

4. Checks for the pending NCs

5. Views Performance Report.

6. Views pending reminders

7. Views compliant, if any.

8. If OK selects Team of Auditor(s).

9. If not OK request clarification from the OSL

10. Forwards list of auditor(s) to Head, Lab for approval.

11. On approval sends intimation to OSL for fee to be paid.

12. All the details of OSL, renewal application and all documents shall be viewable to auditor(s).

Alerts, validations, and constraints

A. Clarification request in case of clarification to the application

B. Intimation to team members regarding the new assignment

Features

1. Provision to view the Performance Report.

2. OIC(LRS) and Head Lab should have provision to view the list of auditors, specialization, experience, field of expertise etc.

3. Provision to forward the list of selected auditor(s) to Head Lab for approval.

4. Provision to check NCs unclosed

5. Provision to view any pending complaints

6. Provision to check any pending payment.

7. Provision to view the recognition due for renewal for which mail has been sent in the separate grid view and at the same time it should be removed from the mail view.

Step 4

Head Lab

1. Approval of the team for renewal Audit.

2. Re- arranges Team, if required.

Alerts, validations, and constraints

A. Alert to the concern team members regarding the new assignment

Features

1. List of the selected team shall be viewable to the OIC(LRS) and Head, Lab

2. Provision to add/remove the selected team should be given to the Head, Lab

3. Provision to approve list of selected team.

4. Provision to forward the list of selected team to Team Leader for execution.

Step 5

OIC(LRS)

1. View list of approved Auditor(s) (Audit Team)

2. Communication Audit plan to Audit Team and OSL.

Alerts, validations, and constraints

A. Intimation to Audit Team members regarding the new assignment

B. Intimation to the OSL regarding the audit team and Audit Plan.

C. Request OSL to pay Audit Fee.

Features

1. Provision to view the list of approved audit team.

2. Provision to view the list of auditors, specialization, experience, field of expertise etc.

3. Provision to intimate Audit team about the audit.

4. Provision to intimate OSL about the audit team and audit plan and fee.

5. Provision to forward application with list of test equipments to Auditor(s) for Renewal Audit.

Step 6 A

OSL

1. Prepares for Audit (External to System)

2. Pays audit fees

Alerts, validations, and constraints

A. Alert to the Head Lab and from audit Team Leader on submission of adequacy audit report

Features

1. Provision to pay Audit Fee

Step 6 B

Audit Team

1. Does the Audit at least one month prior to expiry of validity date of recognition.

2. Records NC (Major, Minor with section reference to the process of activities, date of raising the NCs, name of MR to whom NCs communicated, status of NCs)

3. Team leader submits the audit report with his remarks

4. Hand over the duly signed NC's report to the OSL

5. Forward the audit report to the Head Lab

Note: if Auditee/any team member has any issue in the team or required any inclusion of member the same is communicated to Competent Authority through proper channel which is external to system and team is re approved and communicated accordingly through the system.

Alerts, validations, and constraints

A. Alert to the OIC(RS) and Head Lab on submission of Renewal Audit Report.

B. Alert to Head Lab showing due date of renewal and Audit date.

Features

1. Provision to record the NCs as per the format that needs to be communicated to OSL.
2. Provision to Team Lead to submit summary report.
3. Provision to upload scanned copy of acknowledgment summary report provided by OSL
4. Provision to forward the Audit Report to the Head Lab.

Step 7

OIC(LRS)

E7   Scrutiny of audit report

◆◆   Forwards application to Head Lab with his recommendation

   a. Renewal of Recognition.
   b. Closing of Application
   c. Follow up Audit if required.

◆◆   May seek clarification

⸵⸵☒   May assign an independent Auditor for Scrutiny.

Alerts, validations, and constraints

Features

1. Provision to view application
2. Provision to view questionnaire
3. Provision to view fee paid for all the instances
4. Provision to see audit report, Follow up Audit Report (if applicable).
5. Provision to view remarks given by officer during independent scrutiny.
6. Provision to record his recommendations
7. Forwards application to Head Lab for Renewal of Recognition.

Step 8

 Head, Lab

1. Consider OIC(LRS) recommendation and Renewal of Recognition and forwards it to Head Lab
2. May seek clarification

Alerts, validations, and constraints

Features:

I. Provision to view application

2. Provision to fee paid for all the instances

3. Provision to see Renewal Audit Report, Performance Report, Surveillance Audit Report, Follow up Audit Report (if applicable).

4. Provision to view remarks given by officer during independent scrutiny.

5. Provision to view recommendations given by Head Lab.

6. Provision to Renew Recognition/Certificate

7. Provision to forward file to Head Lab

Step 9

OIC(LRS)

1. Communicates to the OSL regarding Renewal of Recognition/non renewal of recognition

Alerts, validations, and constraints

A. OSL shall be notified regarding the Renewal and Payment

Features:

1. Provision to view the details of orders of Head, Lab recommendation Provision to communicate to the OSL

Step 10

OSL

8. Does the payment

9. Accepts the policies

Alerts, validations, and constraints

A. OIC(LRS) shall be notified on successful payment

Features

1. Provision to accept the policies

2. Provision to pay the fee

Step11

 Head Lab

(a) Generation of recognition renewal number as per given business logic

(b) Delivers the Recognition Renewal and associated documents

Alerts, validations, and constraints

Features

1. Provision to deliver Renewal documents and schedule.

Note: The renewal process that is all stages from renewal audit to the decision of the competent authority should be completed within three months after the validity period. For follow-up audit, after the renewal audit, more than three months after the validity period may be required. If renewal application is not received till the validity period of recognition,

inform the auditee that the name of the firm will be deleted (i.e. the recognition shall expire), in case the application is not received within one month after the validity period. Review the case, put up recommendations to Head, Lab

Note : May be added with all types of audits.

Surveillance Audit

Normally Two surveillance audits in three years by the auditor(s) nominated by BIS to verify the effective implementation and maintenance of the service Laboratory quality management system established by the organization; Al quarterly plan will be drawn for surveillance audits by Head, Lab. Efforts will be made to cover different sites for surveillance audits within the validity period of the recognition. Renewal will be based on reassessment (similar to initial) audit after three years. During the initial three year certification cycle, surveillance audit duration for a given organization should be proportional to the time spent on initial certification audit (stage 1 + stage 2), with the total amount of time spent annually on surveillance being about 1/3 of the time spent on the initial certification audit. An update of auditee data related to certification shall be available for the planning of each surveillance audit. The planned surveillance audit duration shall be reviewed from time-to-time, at least at every surveillance audit and always at the time of recertification, to take into account changes in the organization, system maturity, etc. The evidence of review including any adjustments to audit duration shall be recorded.

Step 1
OIC(LRS)

1. Checks for the Recognition due for surveillance as per the schedule given by Management.
2. Selection of Auditors
3. Checks for the pending NCs
4. Checks for the pending Payments.
5. Checks for the pending issue/complains.
6. Forwards auditors list to Head, Lab for approval

Alerts, validations, and constraints

 Features

1. Provision to view recognition due for surveillance audit
2. Provision to check NCs unclosed
3. Provision to view any pending complaints
4. Provision to check any pending payment.
5. Provision to view the available list of auditors with their relevant details like expert, discipline

6. Provision to send intimation mail to Head Lab

7. Provision to forward the selected auditors list to Head, Lab

Step 2

Head, Lab

1. Approval of the team for Surveillance Audit.

2. Re- arranges Team, if required.

Alerts, validations, and constraints

A. Alert to the concern team members regarding the new assignment

Features

1. List of the selected team shall be viewable to Head, Lab

2. Provision to add/remove the selected team should be given to the Head,Lab

3. Provision to approve list of selected team.

4. Provision to forward the list of selected team to OIC(LRS) for execution.

Step 3

OIC(LRS)

1. View list of approved Auditor(s) (Audit Team)

2. Communication Audit plan to Audit Team

3. Sends intimation to Audit Team.

4. All the details of OSL, pending Ncs, pending actions and all documents shall be viewable to auditor(s).

Alerts, validations, and constraints

A. Intimation to Audit Team members regarding the new assignment

B. Intimation to the applicant regarding the audit team and Audit Plan.

C. Request applicant to pay Audit Fee.

Features

1. Provision to view the list of approved audit team.

2. Provision to intimate Audit team about the audit.

1. Provision to view the details of OSL, pending NC, pending actions to auditor(s) for surveillance Audit.

Step 4 A

Audit Team

1. Does the Audit as per schedule.

2. Records NC (Major, Minor with section reference to the process of activities, date of raising the NCs, name of MR to whom NCs communicated, status of NCs)

3. Team leader submits the audit report with his remarks.

4. Forward the audit report to the Head Lab

Note: if Auditee/any team has any issue in the team or required any inclusion of member, the same is communicated to Competent Authority through proper channel which is external to system and team is re-constituted and communicated accordingly through system.

Alerts, validations, and constraints

A. Alert to the Head Lab on submission of Surveillance Audit Report.

Features

1. Provision to record the NCs as per the format that needs to be communicated to applicant.
2. Provision to Team Lead to submit summary report.
3. Provision to upload scanned copy of acknowledgment summary report provided by applicant
4. Provision to forward the Surveillance Audit Report to the Head Lab.

Step 5

OIC(LRS)

1. Scrutiny of audit report
2. If audit report found satisfactory then recommends Head, Lab for continual operation
3. If found not ok
   a. Seek clarification from OSL
   b. Initiates follow up audit if required
   c. Recommend suspension of the lab
   d. Recommend De recognition of Lab

Alerts, validations, and constraints

A. Head, CL shall be notified regarding the recommendation of the Head OIC(LRS)

B. In case of follow up audit

Features

1. Provision to see surveillance audit report; follow up Audit Report (if applicable).
2. Provision to view remarks given by officer during independent scrutiny.
3. Provision to record his recommendations

Step 6A

DDGL

1. Consider Head Lab recommendation for
   a. De recognition of the Lab
2. May seek clarification

Alerts, validations, and constraints

Features

1. Provision to see Surveillance Audit Report, Follow up Audit Report (if applicable).
2. Provision to view recommendations given by Head Lab.
3. Provision to forward file to Head Lab

Step 6B

OSL

4. Takes the corrective actions against the NC's

5. Communicate with the Head Lab regarding the corrective actions

Alerts, validations, and constraints

A. Step 5 shall be initiated

Features

6. Provision to record corrective actions against the NC's

7. Provision to communicate to the Head Lab

Follow –up Audit (special audit)

Replace with 'Follow-up audit is carried out to physically verify corrective actions taken by OSL w.r.t. NCs/ observations of scrutiny of audit report of initial, Surveillance, Inclusion case and also for complaint case and verification of corrective actions to consider revocation of suspension.

Step 1

OIC(LRS)

1. Checks the identified NCs during previous audit(s).

2. Checks for the OSL status.

3. Views Performance Report.

4. Views pending reminders

5. Views compliant, if any.

6. Check for the other reasons those trigger follow-up audit.

7. Initiate the follow up Audit

8. Sends mail to OSL.

9. Selects Team of Auditor(s).

10. Forwards list of auditor(s) to Head, Lab for approval.

Alerts, validations, and constraints

A. Mail shall be sent to OSL

Features

1. Provision to view reasons those triggers for follow-up audit

2. Provision to check NCs unclosed

3. Provision to view any pending complaints

4. Provision to check any pending payment.

5. Provision to send mail to OSL.

6. Forward Auditors list to Head, Lab

Step 2

Head, Lab

1. Approval of the team for Follow-up Audit.

2. Re- arranges Team, if required.

Alerts, validations, and constraints

A. Alert to the concern team members regarding the new assignment

Features

1. Provision to add/remove the selected team should be given to the Head Labs

2. Provision to approve list of selected team.

3. Provision to forward the list of selected team to OIC(LRS) for execution.

Step 3

OIC(LRS)

1. View list of approved Auditor(s) (Audit Team)

2. Communication Audit plan to Audit Team

3. Sends intimation to Applicant/OSL

4. Forward file to Audit Team.

Alerts, validations, and constraints

A. Intimation to Audit Team members regarding the new assignment

B. Intimation to the applicant regarding the audit team and Audit Plan.

C. Request applicant/OSL to pay Audit Fee.

Features

1. Provision to view the list of approved audit team.

2. Provision to view the list of auditors, specialization, experience, field of expertise etc.

3. Provision to intimate Audit team about the audit.

4. Provision to intimate applicant / OSL about the audit team and audit plan and fee.

5. Provision to view the details of OSL, Pending NC, pending actions by Auditor(s) for follow up audit Audit.

Step 4 A

Applicant/OSL

6. Prepares for Audit (External to System)

7. Pays Audit Fee.

Alerts, validations, and constraints

Features:

1. Provision to pay Audit Fee

Step 4 B

Audit Team

1. Does the Audit as per schedule.

2. Records NC (Major, Minor with section reference to the process of activities, date of raising the NCs, name of MR to whom NCs communicated, status of NCs)

3. Team leader submits the audit report with his remarks.

4. Hand over the duly signed NC's to the applicant/OSL

5. Forward the audit report to the Head Lab

Alerts, validations, and constraints

A. Alert to the OIC(LRS) and Head Lab on submission of Follow-up Audit Report.

Features

1. Provision to record the NCs as per the format that needs to be communicated to applicant.

2. Provision to upload scanned copy of acknowledgment for NC's report provided by applicant

3. Provision to forward follow up Audit Report to the Head Lab

Step 5

OIC(LRS)

1. Scrutiny of audit report

2. If audit report found satisfactory then recommends Head, Lab for continual operation

3. If found not ok

    a.   Seek clarification from Applicant / OSL

    b.   Initiates follow up audit if required

    c.   Recommend suspension of the lab

    d.   Recommend De recognition of Lab

Alerts, validations, and constraints

A.   Head, Lab shall be notified regarding the recommendation of the OIC(LRS)

B. In case of follow up audit

Features

1. Provision to view application

2. Provision to view questionnaire

3. Provision to view of the fee paid, for all the instances

4. Provision to see surveillance audit report; follow up Audit Report (if applicable).

5. Provision to view remarks given by officer during independent scrutiny.

6. Provision to record his recommendations

Step 6A

Head, Lab

1. Consider OIC(LRS) recommendation for

    `a.` Continual of operations and approves

    `b.` Imposing suspension order

    `c.` Recommend for De recognition of the Lab

2. May seek clarification

Alerts, validations, and constraints

Features

1. Provision to view application

2. Provision to fee paid for all the instances

3. Provision to see Surveillance Audit Report, Follow up Audit Report (if applicable).

4. Provision to view recommendations given by OIC(LRS).

5. Provision to forward the case for de-recognition to DDGL, in case of de-recognition recommended by Head Lab

Step 6B

Applicant / OSL

6. Takes the corrective actions against the NC's

7. Communicate with the Head Lab regarding the corrective actions

Alerts, validations, and constraints

A. Step 5 shall be initiated

Features

1. Provision to record corrective actions against the NC's

2. Provision to communicate to the Head Lab,LPPD and DDGL

Provision for inclusion application, inclusion audit is to be incorporated.

1.3 Calibration- Step 1

In-charge Lab/Lab Officer

1. Adds new equipment to the list

2. View added equipments in the list.

3. Edits equipment

4. Marks deleted in case item transferred out/auctioned/condemned

5. Update list each service instance

6. View list of equipment due for calibration.

7. Update list when calibration is done.

8. Update equipment list in case of any change in status of equipment Serviceable/Unserviceable/Under Repair

Alerts, validations, and constraints

A. Mail to Head CL, Head Lab, Lab In-charge for the equipment due for calibration in the current month.

B. Mail to Head CL, Head Lab, Lab In-charge for the equipment due for servicing in the current month.

C. Mail regarding period status report Serviceable, unserviceable, under repair to Head Lab, OIC

D. Status mail to Head Lab, OIC when there is any change in the status of equipment ie. Serviceable to unserviceable and vice versa, Equipment goes under repair and again becomes operational

Features:

1. Provision to adds new equipment to the list

2. Provision to view added equipments in the list.

3. Provision to edit equipment list

4. Provision to marks deleted in case item transferred out/auctioned/condemned

5. Provision to update list each service instance

6. Provision to view list of equipment due for calibration.

7. Provision to update list when calibration is done.

8. Provision to update equipment list in case of any change in status of equipment Serviceable/Unserviceable/Under Repair

9. Similar provisions to should be provided to other concerned officers.

Attributes of Calibration Table:

1. Region ID

2. Branch ID

3. Equipment ID

4. Equipment Name

5. Range

6. Accuracy

7. Make

8. Model

9. Category (for which equipment is used M, E, C, M_B)

10. Name of Manufacturer

11. Date of Installation/Commissioned

12. Date of Operation

13. Date of last service done

14. Date next service due

15. Last service done by(Name of Agency)

      A. Service charges paid

16. Date Last Calibration done

17. Date Next Calibration due

18. Last Calibration done by(Name of agency)

      A. Calibration charges paid

19. Status of equipment Serviceable/Unserviceable/Under Repair

These attribute are indicative, however attribute may increase or decrease depending upon the emerged need during development.

1.4 Auditors Registration-

Auditor is a person, competent to conduct an audit and Audit Expert is a person who is an expert also. BIS appoints Auditor & Experts to undertake Adequacy Check, Initial Audit, Surveillance Audit or Follow-up Audit. BIS invites application from BIS Officers to select Auditor and experts

Step 1

Applicant (New)

1. Submits dully completed application in prescribed format to LPPD in hard copy.

Alerts, Validations and Constraints

Features

1. No provision to applicant to applies online as application is entered in system by LPPD

Step 1B

Existing Auditors/Team Leader

1. Submits credentials (like skill set, area of expertise) in hard copy for updation

Alerts, Validations and Constraints

Feature

1. Provision to upload the document if related any
2. Provision to add the credentials online
3. Provision to request for upgrading of his auditor status (like auditor in trainee to auditor etc)

Step 2

LPPD

1. Verification of the application and attached documents.
2. Forwards application to Head Lab with his remarks.
3. Forwards to Scientist G (Labs) if interview is required.
4. On receiver of Scientist G (Labs) interview reportLPPD does the scrutiny of the report and if it is not meeting the criteria he will return the application to applicant.

Alerts, Validations and Constraints

Feature

1. Provision to view the application.
2. Provision to forward the application to LPPD
3. Provision to forward the application to Scientist G (Labs).
4. Provision to record his remarks.
5. Provision to record his decision in case of report from Scientist G (Labs).
6. Provision to return the application to applicant

Step 3

Scientist G (Labs)

1. Conducts the interview
2. Forwards the application to LPPD with interview report and remarks
3. Step 2 shall be initiated

Alerts, Validations and Constraints

Feature

1. Provision to view the application
2. Provision to view the uploaded documents
3. Provision to make entry of the interview report or uploading of the report in case of scanned copy
4. Provision to forward application to LPPD with his recommendations

Step 4

Head Lab

1. Forwards the application to LPPD with his remarks

Alerts, Validations and Constraints

Feature

I. Provision to view the application

2. Provision to view the uploaded documents

3. Provision to forward application to LPPD

Step 5

LPPD

1. Verification of the application

2. Verification of the training certification and field of expertise

3. If application is meeting the criteria then

    a. Allocation of code and put up to LPPD for registration and forward it to Head Head Lab

4. Else seek clarification from the applicant

Alerts, Validations and Constraints

Feature

1. Provision to view the application

2. Provision to view the interview performance report

3. Provision to view the uploaded documents

4. Provision to allocate codes and allocate field of expertise

5. Provision to forward application to Head Lab with his recommendations

6. Provision to seek clarification from the applicant if required

Step 6

Head Lab

1. Consider LPPD recommendation and approves the applicant for registration

2. Forwards the application to Scientist G (Labs)

Alerts, Validations and Constraints

Feature

1. Provision to view the application

2. Provision to view the Scientist G (Labs) recommendations and remarks

3. Provision to record his remarks

4. Provision to forward application to Scientist G with his recommendations

Step 7

LPPD

1. Communication to Applicant with his designation as auditor in trainee

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Alerts, Validations and Constraints

Feature

1. Provision to communicate to the applicant

1.5 ILC/PT(Inter Lab Comparison and Performance Testing Processes)

Inter Lab Comparison and Performance Testing (ILC/PT) is the process BIS Laboratories to check the performance and have the comparison of test results conducted in one laboratory and the same test conducted on the same material/product in other laboratories. Performing laboratories cover full scope within period of three years to assure quality of their test facilities. Samples are taken from remnants and sent to other BIS laboratories for testing to have cross check on their results and to assess the difference in values and subsequent alignment, if any variation is noticed'

- A provision shall be made generate test request by OIC(QA) for samples drawn under Quality Assurance activity.

- System shall provide various reports (for specific period with filters) on following activities to DDGL, Head, Labs and OIC(LRS):

- No. of sample received, tested, returned, damamged, forwarded to BIS Labs, OSLs, test reports uploaded by BIS labs, OSLs, Pending samples, Break up branch wise, lab wise, PR/NPR wise, Time taken wise etc.

ILC/PT Sample Dispatch Process at BIS Laboratory

Performing Lab covers full scope within period of 03 year to assure quality of its test facilities. Samples taken from remnants and sent to other BIS lab for test to have cross check on there results and to assess the difference in values and subsequent alignment if any variation is noticed

GL(Concerned Lab) periodically checks for the such ILC/PT facility due for testing , arranges to collect samples and dispatching them to other BIS Lab for testing.

```
┌─────────────────────────────────────────────────────────────────────┐
│                         ILC/PT  Samples                                │
│                (Samples  Collection at CL/other BIS Labs)              │
│  ┌──────────────┐  ┌──────────────┐  ┌──────────────┐  ┌───────────┐ │
│  │ Group Leader │  │ Group Leader │  │ Group Leader │  │   Micro    ││
│  │  Mech Lab    │  │  Elect Lab   │  │  Chem Lab    │  │  Biology   ││
│  └──────────────┘  └──────────────┘  └──────────────┘  └───────────┘ │
└─────────────────────────────────────────────────────────────────────┘
```

Testing Personnel	Testing Personnel	Testing Personnel	Testing Personnel
Sample / Test Reqeust	Sample / Test Reqeust	Sample / Test Reqeust	Sample / Test Reqeust

Group Leader Mech Lab	Group Leader Elect Lab	Group Lab Chem Lab

Sealed Samples

Head Laboratory

Receiving Test Report → Officer i/c QA Department (Coding and Dispatch to other BIS Laboratory) → Sample along with test request (letter) to other BIS Lab

Forwarding Z Score to Testing Lab once test report is recieved

Fig: Sample Dispatch Process at BIS Laboratory

ILC/PT Sample Receiving Process at BIS Laboratory

ILC/PT Samples
(Samples from other BIS Labs)

Sample | Test Reqeust

Test Request via service

Receiving Z score → O i/c QA Department

Sample not received at QA Section and sent back. Test request is denied to accept with the stated reasons.

Sample and Test request Check
- Accepted
- Rejected

Clarification

Head CL

Disputed → **Disputed Sample and TR**

Scrutiny and Assign Priority
- Disputed
- OK

Returning

Coding

Clarification/Disputed → Head CL

| Head Mechanical Lab | Head Electrical Lab | Head Chemical |

| GL Mech Lab | GL Elect Lab | GL Chem Lab | Micro Biology |

| Testing | Testing | Testing | Testing | Testing | Testing |

| GL Mech Lab | GL Elect Lab | GL Chem Lab |

Head CL

De Coding at QA Dept

Forwarding of Test Report

Dispatch of Report to concerned Lab → Concerned Laboratory
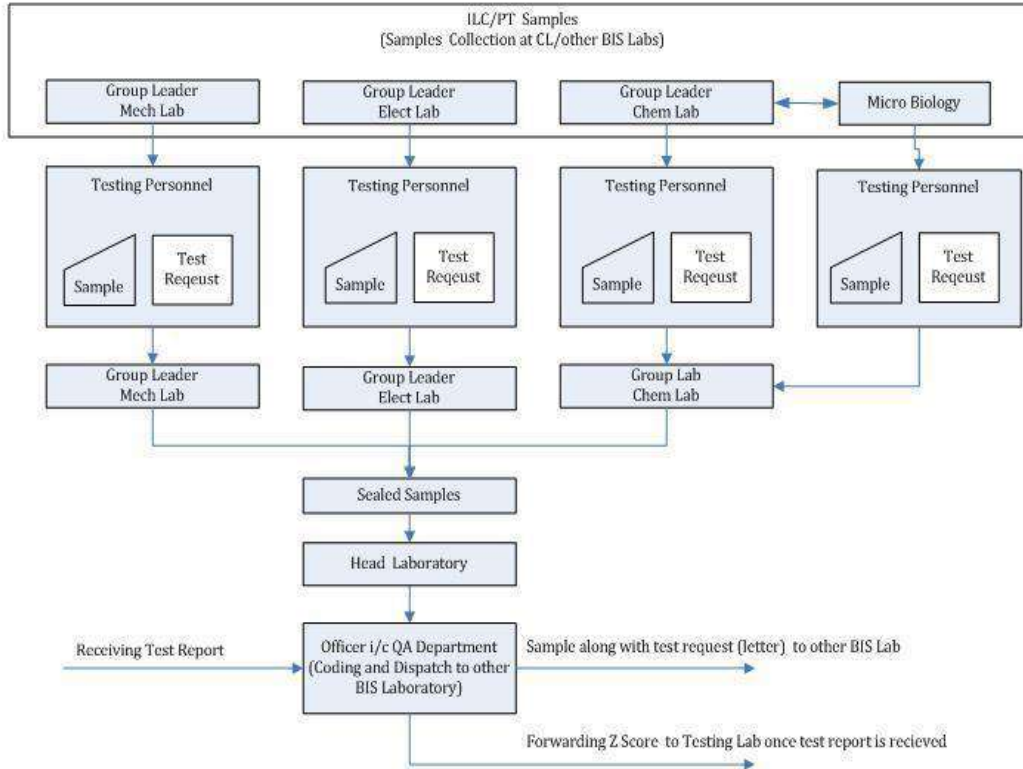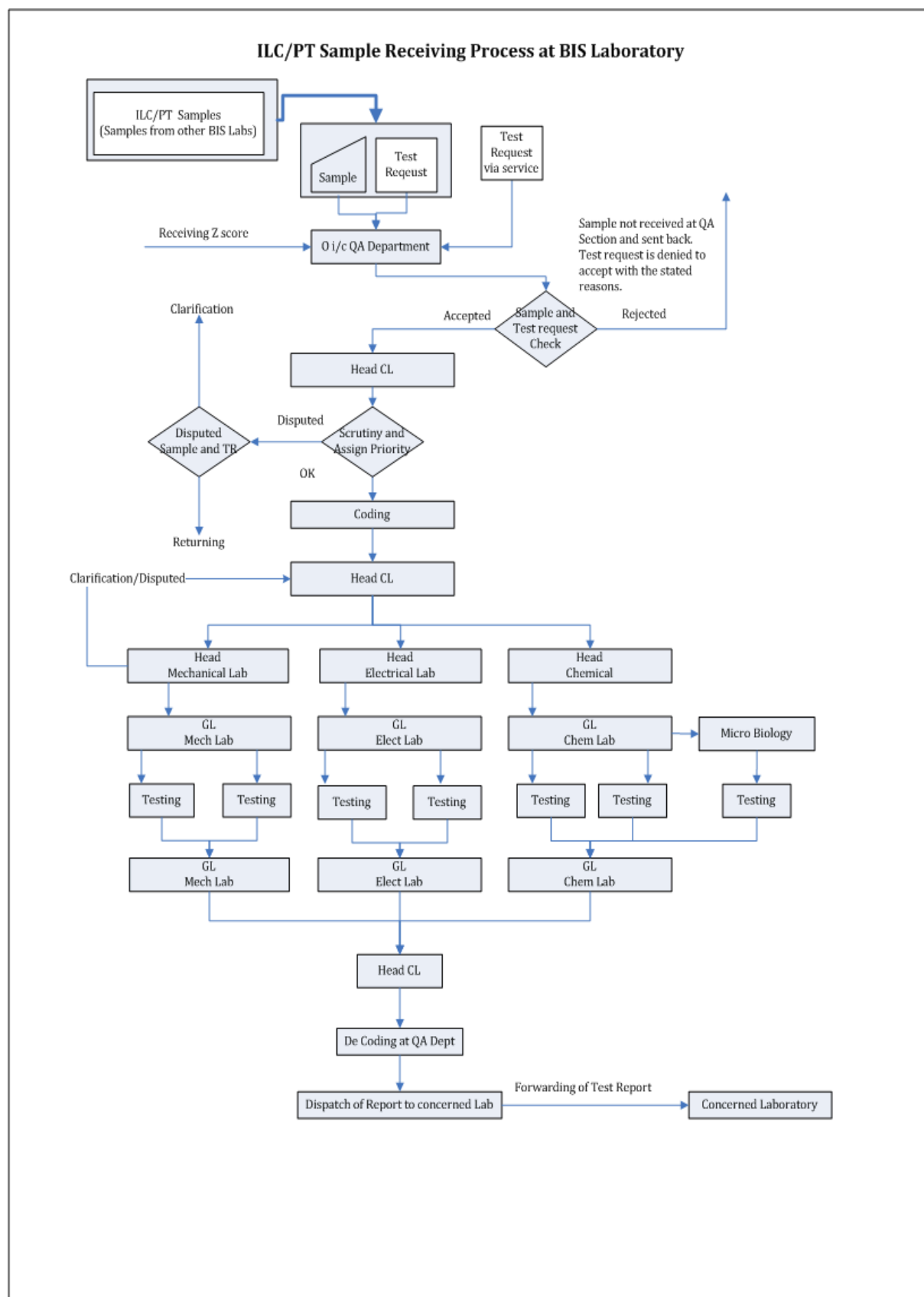
Fig: Sample Dispatch Process at BIS Laboratory

CAD- Complaint Handling

Overview

1. In CAD, mainly two types of complaints are received: Misuse of Standard mark, Substandard quality of the products
2. Complaints are received in form of email, hardcopy by post , through portal, through CP gram.
3. Other types of complaints are also received related to working of BIS officers and employees, delays in grant of licence, registration etc, misleading claims by licensees or non licensees etc.

Software Requirement Specification (SRS)

- SRS on one side will have provision for recording of complaint by complainants and investigation done by BIS for redressal of the complaints. On the other side, the details of Awareness Programs would be made available for both consumers & BIS.

- From the information in the database entered, the management control report of the month could be automatically generated from the system.

**Features :-**

For Consumers-

1. Consumers will register themselves with BIS (through an interactive interface)

2. Upon registration, consumers can record their complaint and check status of the complaint. While registering complaint there shall be an option to request for confidentiality.

3. Consumer can also view planned Awareness Programs and participate as per their convenience.

For BIS-

1. The complaint recorded will be visible at the complainant end for investigation.
2. Provision for all actions on the complaint like assigning IO, submission of Report, recommendation of HoD/DDGR shall be available. In a similar fashion, after receipt of complainant end investigation report at Licence end, investigation will be done, report submitted, closure of complaint proforma filled up, recommendation given by HoD and complaint closed by DDGR.
3. In case any complaint related to operation of licence does not require complainant end investigation, the complaint may be forwarded directly to Licensee BO with suitable remark.
4. In a similar way, complaint on misuse of BIS Standard Mark can be processed which may comprise making recorded complaint visible on the dashboard of the concerned BO, Investigation of the complaint, submission of closure Proforma/Form with recommendation of HoD and DDGR which will then be available on the dashboard of DDGCA for closure.
5. Complaint an BIS services shall also be processed by the concerned BO and closed by DDGR.
6. The complaint related to operation of license shall be reflected in the details of Licensee which can be taken into account while deciding on the license any time in the present or future.
7. The status of the complaint can be seen in real time by the management for review and appropriate directions to the concerned.

8. There shall be an option to obtain details of complaint or awareness programs as per specific requirement like area wise, year-wise, Product wise, etc.
9. There won't be any need to prepare MCR separately, as details in the desired format would be available to the management from the database created thus. Which will same effort and time currently employed.

Complaint Handling - Substandard Product
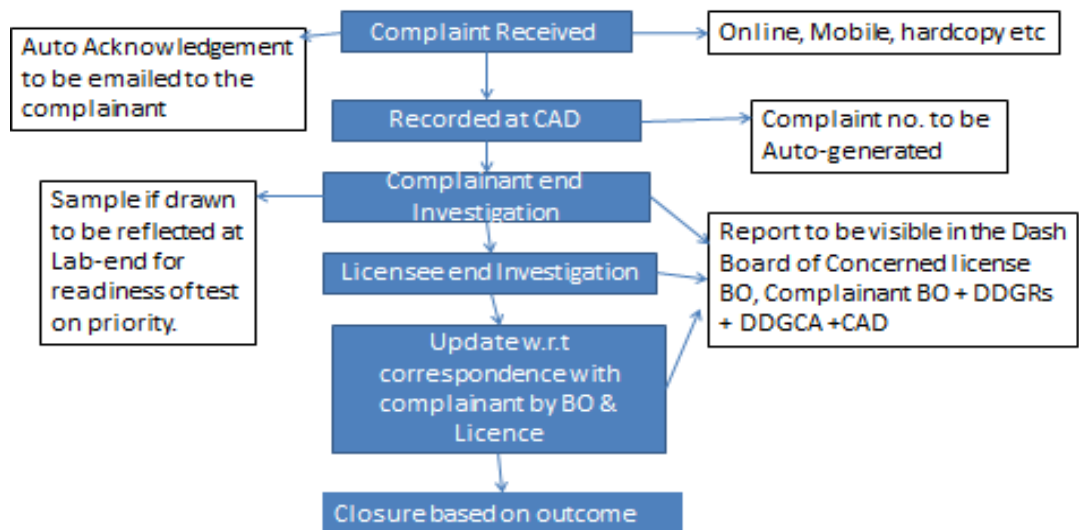
The status of the complaint would be available in real time to BIS, Management and to the complainant.

Complaint Handling - Misuse of Standard Mark

```
┌─────────────────────┐      ┌──────────────────────┐      ┌──────────────────────────┐
│ Auto Acknowledgement│←─────│  Complaint Received  │─────→│ Online, Mobile, hardcopy │
│ to be emailed to the│      └──────────────────────┘      │ etc                      │
│ complainant         │                 │                  └──────────────────────────┘
└─────────────────────┘                 ↓
                            ┌──────────────────────┐      ┌──────────────────────────┐
                            │   Recorded at CAD    │─────→│ Complaint no. to be       │
                            └──────────────────────┘      │ Auto-generated and        │
                                         │                │ alloted to concerned BO   │
                                         ↓                └──────────────────────────┘
                            ┌──────────────────────┐      ┌──────────────────────────┐
                            │ Investigation by BO  │─────→│ Report to be visible in   │
                            └──────────────────────┘      │ the Dash Board of         │
                                         │                │ Concerned  BO,  +         │
                                         ↓                │ DDGRs + DDGCA +CAD        │
                            ┌──────────────────────┐      └──────────────────────────┘
                            │Plan for Search and   │───────────────┘
                            │seizure, if required  │
                            └──────────────────────┘
                                         │
                                         ↓
                            ┌──────────────────────┐
                            │ File case in court,  │
                            │ if misuse found      │
                            └──────────────────────┘
```
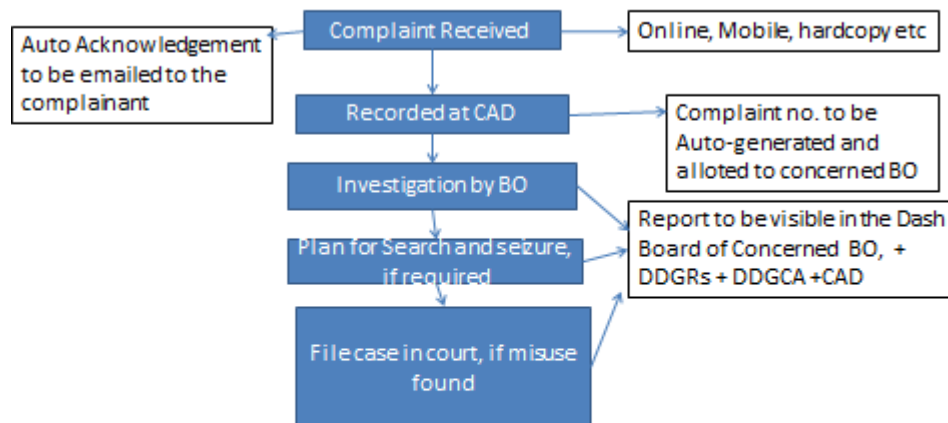
Hallmarking

Hall Marking

The Hallmarking scheme for gold jewelry was launched by BIS in April 2000 to protect consumer against victimization due to irregular gold quality, develop export competitiveness and make India as a leading gold market centre in the world. Hallmarking is the accurate determination and official recording of the proportionate content of precious metal in the gold hallmarks are official marks used in many countries as a guarantee of purity or fineness of gold Jewelry. The Scheme for Hallmarking of Silver articles was launched later in 2005.

Under the scheme, jeweler has to obtain certification mark license from BIS to get his jeweler hallmarked from a BIS recognized assaying & hallmarking centre. The scheme thus does not grant self marking rights to jewelers. The Hallmarking Centres are recognized by BIS based on laid down criteria after ensuring that the centre has required infrastructure for assaying and hallmarking of gold jewelry in addition to security and safety of the same.

BIS maintains surveillance on the certified jewelers, which includes collection of hallmarked gold jewelry samples from licensee's retail outlet and getting them tested for conformity in BIS Recognized Assaying and Hallmarking Centres. Deviations in purity of jewellery, observance of operations not in conformity with the system may result in suitable actions as provided for in the scheme. Adequate surveillance is maintained on operations of the assaying and Hallmarking Centers also.

The following standards are the base documents for BIS hallmarking scheme for gold and silver jewelerry/artefacts. These standards are aligned with the corresponding international standards and are the contemporary in all aspects:

a) IS 1417 Gold and gold alloys, Jewelry/Artifacts-fineness and Marking Specification

b) IS 1418 assaying of Gold in Gold Bullion, Gold alloys and gold jeweler / artifacts-cupellation (Fire Assay Method)

c) IS 2790 Guidelines for manufacture of 23,22,21,18,14 and 9 carat gold alloys

d) IS 3095 Gold Solders for use in manufacture of Jewelers

e) IS 2112:2014 Silver and silvergold alloys, Jewelry/Artifacts-fineness and Marking Specification

f) IS 2113:2014 Assaying Silver in Silver and Silver Alloys-Methods

Jeweller

Step 1

Applicant

1. Fills up the application.

In case of online application submission

Applicant has to register with the BIS for getting the user id and password. In the registration module applicant will be getting user id and password along with list of the documents containing general procedural guidelines pertaining to Hallmarking, check list of the documents to be submitted to the BIS and the fee details. Payment should be made online/through pay order/DD.

Constraints

    A.   Individual registration should not be allowed. Check on firm registration number.

        o   Applicant must provide the mail id for the interaction

        o   Applicant shall select the service in which he/she is interested.

In case application submitted in hard copy at BIS

Applicant gets registered with BIS and downloads the application (soft copy), fills up the application as per guidelines provided in the annexed document. Makes necessary payment in form of demand draft and along with all the relevant documents submits application to the concerned branch office for processing. Once the application is received at branch office, SO/concerned Branch Officer gives the receiving of application and application is forwarded to DA for making entry in the software, generates application number/fee and application is processed in usual way.

Step 1

Applicant

1. Selects the type registration from the following options

    A.   Registration for single certificate

    B.   Registration at corporate level

       ./   If Registration at corporate level is under the same branch, license is granted by HOD of BO

       ./   If Registration at corporate level is under the different branches Registration   is granted by DDGR.

2. Registration at corporate level

       ./   Minimum 5 outlets

3. Applicant fills up application online in the prescribed format.

4. Uploads documents against a check list.

5. Makes payment using Payment Gateway/Net Banking or by DD in which case DD particulars will be entered online and subsequent DD would be send to SO with other papers.

6. Confirms the submission of the application.

Alerts, Validations and Constraints

A. Mail, alert shall be sent to HOD regarding submission of new application.

B. Mail shall be sent to applicant acknowledging the submission of his application.

C. Payments shall be reflected in BIS account immediately in case of online payment.

D. The system should not allow the applicant to proceed further if documents are not uploaded.

E. The system should be intelligent enough to categorize and label the documents automatically.

Features

1. Applicant should be able to fill up online application as per the given format.

2. Applicant should be able to upload documents in image, doc, pdf format to a specific folder (named on applicant) against the given check list by BIS.

3. Applicant should be able to submit undertaking for Gold/Silver as case may be and the said field may be merged with application itself.

4. Applicant should be able to delete and re-upload in case of erroneous uploading of the documents (scanned copies etc).

5. There should be provision in the fee module that depending upon the threshold outlet and type of license the fee structure can be modified by the competent authority and should accommodate discount rationally

6. Applicant must have options of the payments - Online /DD/Net Banking.

7. Applicant must have a preview of the list of uploaded documents.

8. System should be capable enough to restore process from the last saved point in case of application failure or power failure etc.

9. There should be functionality to route application to appropriate BO depending upon the selection of the applicant.

10. Application should be addressed to HOD of the Branch.

11. There should be provision to applicant to record the registration type i.e single registration, multiple registration within the branch, multiple registration. covering several BOs

12. Functionality to maintain a record of all the payments, dues, and credit notes of the individual account (as against the application id).

13. There must a flexible system for naming the documents which are to be uploaded on site.

14. As soon as applicant submits application, mail to be sent to concerned HOD.

15. There should be necessary checks if no document is uploaded and system must suggest applicant to upload necessary documents. There should be mandatory fields, so that applicant will not be able to submit where necessary (mandatory) documents/transactions like payment, Shop registration numbers, MOA etc are not provided during filing the application.

16. Feature with application form for ascertaining that a physically signed application is being submitted in due course/accompanying.

Step 1 A – When hard copy application is received

DA/DO

1. Selects the type registration from the following options
    a. Registration for single certificate
    b. Registration at corporate level

2. Registration at corporate level

    ./ Minimum 5 outlets

3. Dealing assistant/Data Entry Operator(DEO) fills up application online in the prescribed format

4. Uploads documents against check list provided by applicant in hard copy.

5. Using payment/receipt module generates receipt cum invoice for the fee paid. Temporary application number should be generated

6. Submits application and maintains a file

Alerts, Validations and Constraints

A. Mail shall be sent to applicant acknowledging the submission of his application.

B. Payments shall be reflected in BIS account immediately.

C. The system should not allow the dealing assistant to proceed further if documents are not uploaded.

D. The system should be intelligent enough to categorize and label the documents automatically.

E. System should have a status grid, where the HOD can view the pendency of file (with date) with an officer/~~GL~~.

Features

1. DEO/DA should have restricted privileges.

2. Dealing Assistant/DEO, should be able to issue an acknowledgement letter/slip to the applicant after uploading the application. He should be able to fill up online application as per the given format.

3. DA/DEO should be able to upload documents in image, doc, pdf format to a specific folder (named on applicant_id) against the given check list by BIS.

4. DA should be able to delete and re-upload in case of erroneous uploading of the documents (scanned copies etc).

5. There should be a provision to accept payment through DD.

6. DA/DEO should have a preview of the list of uploaded documents against a checklist with options of documents required for uploading.

7. System should be capable enough to restore process from the last saved point in case of application failure or power failure etc.

8. There should be functionality to route application to appropriate HOD (BO).

9. Functionality to maintain a record of all the payments, dues, and credit notes of the individual account (as against the application id).

10. There must a flexible system for naming the documents which are to be uploaded on site.

11. As soon as DA submits application it should be visible in pane of HOD.

12. There should be necessary checks if no document is uploaded and system must suggest applicant to upload necessary documents. There should be mandatory fields, so that applicant will not be able to submit where necessary (mandatory) documents/transactions like payment, Shop registration numbers, MOA etc are not provided during filing the application.

Step 2

HOD

1. Views application.

2. Views attached documents.

3. Marks application to DO.

Alerts, Validations and Constraints

A. Alert to the concern DO.

B. System shall generate Temp application number on forwarding the application to DO.

C. Alert to DO regarding status of application.

D. Making available for DO for taking out necessary print

E. Confirmation mail to the applicant with an attachment of letter (mentioning the scrutiny of the application has been initiated)

F. Alert to HOD in case the application is not uploaded.

Features

1. When HOD logs in to application, he should be presented with all new applications showing   Sl. No., name of firm, date of apply. Registration type etc

2. HOD should be able to view application

3. HOD should be able to view uploaded documents

4. HOD should be able to view payment details.

5. He should be able to take action on application. I.e. giving remarks, comments etc.

6. He should be able to see action history showing date remarks and comments etc, when it is chosen from the grid.

7. In case application is wrongly addressed, there should be a provision to HOD to re-route the application to concerned BO and intimation email should go to applicant.

8. He should be able to forward application to DO or any other designated officer/staff.

9. SO should be able to generate application fee receipt as a hard copy.

10. SO should be able to communicate receipt to applicant in case payment by DD.

Step 3

DO

1. Views application.

2. Views attached documents.

Alerts, Validations and Constraints

A. Intimation to HOD regarding the status

Features

1. Application visible in pane showing Sl. No., App number, name of firm, date of application, procedure type, IS number.

2. DO should be able to view application.

3. DO should be able to view uploaded documents.

4. DO should be able to view payment details.

5. DO should be able to take action on application. I.e. giving remarks, comments/ observation.

6. Must state explicitly in remarks- application in order or application is not meeting prerequisite at all and queries in case of clarification.

7. DO should be able to cross verify the documents against the check list.

Step 4 A

Applicant

1. Provides to DO requested information (by uploading relevant documents, by entering necessary modification in the application entries) (these tasks will be completed when application is in account of DO).

Alerts, Validations and Constraints

A. Application status to the DO, HOD

Features

1. Applicant should be able to upload necessary documents as sought by BIS.

Step 5

DO

1. Forwards application to HOD with his remarks (observations) in case of
   - Recommending of GOL on red form
   - Recommending of returning of application
2. **DO** refers back the application to do in case of clarification required for recording or return of application

Alerts, Validations and Constraints

A. Step 4 shall be initiated in case item 2 of step 5

Features

1. Application shall be visible in pane showing Sl. No. Application Number, name of firm, date of application, procedure type, IS number.
2. **DO** should be able to view application.
3. **DO** should be able to view uploaded documents.
4. **DO** should be able to view payment details.
5. He should be able to take action on application. i.e. giving remarks, comments/ observation.

Step 6 (in case of single Registration And Corporate Registration)

HOD

1. Approval in case of
   A. Grant of license.
   B. Returning of the application.
2. Forwards to DDGR in case the outlets are falling beyond the jurisdiction of the BO and may be covering several BOs is.
3. Request the certificate of registration holder -to pay the marking fees as applicable.

Alerts, Validations and Constraints

Features

A. Applicant should get the **Registration** document, **Registration** number and party code on grant of **Registration**
B. Provision to forward the application to DDGR.

Features

1. Head BO should get notified on GOL by the DDGR.
2. Provision to view the application details with the remarks/comments by the DO and Head BO.
3. **Registration** document, **Registration** number and party code on Grant of Registration by the DDGR.
4. Provision to forward the application to DDGR.-
5. Provision to make endorsement / document of details of the multi chain outlets including their addresses.

6. Provision to send copy of the Registration document signed by granting authority as per guidelines.

7. Provision to Branch Offices to dispatch Registration document along with attachments to retails outlets.

8. Provision to align the validity of the additional outlets included with corporate Registration.

9. Provision to record NCs/Violations of conditions of Registration.

10. Provision to issue directions for corrective actions to Registered outlet.

11. The submission of gold jewellery articles / artefacts for hallmarking shall be stopped immediately if directed to do so by BIS for any reason.

12. In case of violation by one Registered outlet, corporate Registration will be put under Cancelled as appropriate.

Step 9

Certificate holder

1. Makes the payment towards certification fee and submits necessary documents wherever required.

Alerts, Validations and Constraints

A. HOD/DO should get alert on receipt payment.

Features

1. Receives registration document delivered through mail with the details of registration number and period of the license etc.

Assaying and Hallmarking Centers

In case of online application submission

Applicant has to register with the BIS for getting the User/registration-ID and password. In the registration module applicant will be getting User-ID and password along with list of the documents containing general procedural guidelines pertaining to Assaying & Hall Marking Centers registration, check list of the documents to be submitted to the BIS along with the fee details.

Constraints

A. Individual registration should not be allowed. Check on firm registration number.
B. Applicant must provide the mail id for the interaction
C. Assaying and hall marking centers must have legal identity and independent status

In case application submitted in hard copy and application done at BIS

Applicant gets registered with BIS and downloads the application (soft copy), fills up the application as per guidelines provided in the annexed document. Makes necessary payment in the form of demand draft and along with all the relevant documents, submits application to the concerned Regional Office for processing. Once the application is received at Regional Office, SO issues the acknowledgement / slip / letter of application and application is forwarded to DA/ DEO for making entry in the software and application is processed in usual way.

Step1

Applicant

1. Fills up the application in the prescribed form.

2. Pays the requisite fee which is not refundable.

3. Applicant attaches one copies of quality manual, requisite fee and other relevant documents to RHCO of the concerned region.

Alerts, Validations and Constraints

A. Mail alert shall be sent to RHCO regarding submission of new application.

B. Mail shall be sent to applicant acknowledging the submission of his application.

C. Payments shall be reflected in BIS account immediately in case of online payment.

D. The system shall not allow the applicant to proceed further if documents are not uploaded.

E. The system should be intelligent enough to categorize and label the documents automatically.

Features

1. Applicant should be able to fill up online application as per the given format.

2. Applicant should be able to upload documents in image, doc, pdf format to a specific folder (named on applicant) against the given check list by BIS.

3. Applicant should be able to delete and re-upload incase of erroneous uploading of the documents (scanned copies etc).

4. Applicant must to have two options of the payments. Online and through demand draft.

5. Applicant must have a preview of the list of uploaded documents.

6. System should be capable enough to restore process from the last saved point in case of application failure or power failure etc.

7. Application should be addressed to HOD of the region.

8. Functionality to maintain a record of all the payments, dues, and credit notes of the individual account (as against the application ID).

9. There must be a flexible system for naming the documents which are to be uploaded on site.

10. There should be necessary checks if no document is uploaded and system must suggest applicant to upload necessary documents. There should be mandatory fields, so that applicant will not be able to submit where necessary (mandatory) documents/transactions like payment, Shop registration numbers, MOA etc are not provided during filing the application.

11. Feature with application form for ascertaining that a physically signed application is being submitted in due course/accompanying.

Step2

RHCO

1. Scrutinizes the application.

2. Verification and validation of the documents and if Application found in order and meeting all the criteria. RHCO registers application if not then RHCO seeks clarification.

3. On fulfilling the clarification application goes to step 4.

4. If application is registered

5. Forwards shortlisted auditors/experts list to DDG (R) for approval

- Application status application marked to RHCO

Alerts, Validations and Constraints

Features

1. Application visible in pane showing Sl. No., name of firm, date of application etc.

2. RHCO should be able to view application.

3. RHCO should be able to view uploaded documents.

4. RHCO should be able to view payment details.

5. RHCO should be able to view the list of auditors branch/region wise.

6. RHCO should have provision to forward the list of short listed auditors/experts. pertaining to the particular case/file to respective DDGRs for their approval.

7. Provision to send list of shortlisted auditors/experts for audit team to DDGR to carry out Preliminary Audit / Initial Audit.

Step 3 A

DDGR

1. Approves audit team.

2. Makes necessary changes in the team, if required.

Alerts, Validations and Constraints

Features

1. Provision to view the list of auditors/experts.

2. Provision to approve the team.

3. Provision to make necessary changes if required.

4. Provision to send the file to RHCO.

Step 4

RHCO

1. Views the list of Approves audit team.

2. Communicate to the audit team and the applicant centre regarding the audit team.

Alerts, Validations and Constraints

Features

1. Provision to view the list of approved auditors/experts.

2. Provision to intimate audit team and the applicant centre regarding initial assessment auditing.

Step 5

Auditor (Preliminary Visit)

1. Interacts with the applicant and fixes the date.

2. Plans the visit.

3. Prepares a checklist for preliminary visit for Hall Marking,(link should be available in inspection pane of the software to refer online pdf).

4. Makes entry in movement register- viewable by HOD only (tour log).

5. Visits the applicant centre.

6. Submits preliminary visit report to RHCO.

Alerts, Validations and Constraints

A. Making availability of inspection report to the concern RHCO

Features

1. Provision to schedule the visit

2. Application visible in pane showing Sl. No., name of firm, date of application, IS NO.

3. Auditor should be able to view application.

4. Auditor should be able to view uploaded documents.

5. Auditor should be able to view payment details.

6. Auditor should be able to see checklist/guidelines (in pdf form) required for preliminary inspection or other inspection as appropriate.

Step 6

RHCO

1. RHCO forms team for initial assessment audit.

2. Forward proposal of the selected auditors to DDGR for audit team.

3. Sends the request to DDGR for approval of the team.

Alerts, Validations and Constraints

A. Payment status should be yes.

B. Valid list of auditors/experts to be available.

Features

1. Provision to select audit team.

2. Provision to forward the list of selected auditors to DDGR for approval.

3. RHCO should be able to view preliminary visit report and related documents.

4. RHCO should be able to view payment details.

Step 7

DDGR

1. Views proposal.

2. Approves the list of auditors/experts for audit team.

3. Send the file to RHCO.

Alerts, Validations and Constraints

Features

1. Provision to view the list of auditors/experts

2. Provision to approve the team

3. Provision to make necessary changes if required

4. Provision to send the file to RHCO

Step 8

RHCO

1. Views the list of Approves audit team.

2. Communicate to the audit team and the applicant centre regarding the audit team.

Alerts, Validations and Constraints

Features

1. Provision to view the list of approved auditors/experts

2. Provision to intimate audit team and the applicant centre regarding initial assessment auditing

Step 9

Assessment Audit Team

1. Interact with the applicant and fix up the appointment.
2. View application and prepares the check list.
3. Visit center for assessment.
4. Submit assessment report to concerned RHCO.

Alerts, Validations and Constraints

Features

1. Provision to plan the visit.
2. Provision to make entry in the tour log.
3. Provision to submit the Assessment Audit Report.
4. Provision to forward report to RHCO.

Step 10

RHCO

1. Shall examine the Assessment Audit Report.
2. Recommend recognition in case of report found in order
3. In case not in order

   (1) Clarification shall be sought from the firm for NCs raised.
   (2) Follow up visit in case verification is required.
   (3) Closure notice if NCs are not closed within the stipulated time.

Alerts, Validations and Constraints

Features

1. Provision to view the Audit Report.
2. Provision to record his remarks.
3. Provision to send intimation to the applicant regarding the queries.
4. Provision to plan visit in case required.
5. Provision to send closure notice.

Step 11

DDGR

1. Views application.
2. Views Preliminary Audit Report.
3. View Assessment Audit Report.
4. View fee payment details.
5. Recommends recognition of the centre.
6. Grants recognition of Center
7. May refer back the file to RHCO for clarification.

Alerts, Validations and Constraints

Features

1. Provision to view application.
2. Provision to view the remarks by the RHCO.
3. Provision to record recommendation regarding recognition of centre.
4. Provision to refer back to RHCO.

Step 12

Applicant

1. Makes payment of requisite fees and submits undertaking if required.

Alerts, Validations and Constraints

A. Should be notified by mail.

Features

1. Provision to make payment and submit the undertaking.

Step 13

DDGR

1. Intimates to applicant regarding the period of validity and terms and conditions to operate the centers.

Alerts, Validations and Constraints

Features

1. Provision to send the intimation to the applicant

License Operation for Jewelers

Market Surveillance: 10 % license in the Branch

Step 1

HOD

1. Looks up list of licensee for selection of 10% (Random selection).
2. Assigns IO.
3. Forwards selected Licensee to IO.

Alerts, Validations and Constraints

A. License status has to be operative
B. Check last inspection date(there should be a gap of 4 – 6 months between successive inspections

Features

1. Provision to look up operative Licensees.
2. Provision to view the list of Officers to assign as IO.
3. Provision to forward the selected licensee file to IO.

Step 2

IO

1. Views performance report of Licensee.
2. Views inspection guideline pertaining to the IS.
3. Makes entry in the Tour Log.
4. IO collects the samples.
5. Generate code.
6. Generates Tag.
7. Submits Test Request online.
8. Fills up markets surveillance report and submits it to HOD.
9. Sends it for testing

Alerts, Validations and Constraints

Features

1. Provision to view performance report.
2. Provision to view guidelines.
3. Provision to make entries in tour log.
4. Provision to generate code for sample.
5. Provision to generate Tag.
6. Provision to submit Test Request online.
7. Provision to fill up Market Surveillance Report and submission to HOD.

Step 3

Attributes of Test Report

Identification of sample including source, date of receipt, form of sample, sampling procedure, method used for determination of Gold content of the sample, any deviation, any unusual feature observed during the determination; date of test; Identification of the laboratory carried out the test, signature of the laboratory manager and operator.

Step 4

HOD

1. Views Market Surveillance Report.
2. Views Test Report.
3. Record Remarks.
4. Forwards to GL.

Alerts, Validations and Constraints

Features

1. Provision to view Market Sample Report.
2. Provision to View Test Report.
3. Provision to Record Remarks.
4. Provision to forward GL.

Step 5

GL

1. Views Market Surveillance Report.
2. Views Test Report.
3. Record Remarks.
4. Forwards to DO.

Alerts, Validations and Constraints

Features

1. Provision to view Market Sample Report
2. Provision to View Test Report
3. Provision to Record Remarks
4. Provision to forward to DO

Step 6

DO

1. Views Market Surveillance Report
2. Views Test Report.
3. Does scrutiny of Inspection Report
4. Does scrutiny of Test Report.
5. Records remarks on Inspection Report.
6. Record remarks on Test Report.
7. Records his decision.
8. Inspection Report and Test Report OK.
9. In case of fail:
10. Forwards to GL.

Alerts, Validations and Constraints

Features

1. Provision to view Market Sample Report
2. Provision to view Test Report
3. Provision to record remarks on Test Report
4. Provision to record remarks on Inspection remarks
5. Provision to record decision
6. Provision to initiate case as per the decision

   a. Test Report and Test Report OK
   b. In case of fail:

Reference of other operations of product certification for implementation in

Hallmarking workflow:

Stop Marking for A&HC

SOM imposed by BIS (DDGR) due to discrepancies:

- Failure of sample (refer guideline).

- Unsatisfactory performance during Assessment.

- Centre does not satisfactorily implements criteria for recognition of Assaying and   Hallmarking Centers.

- Centre is found divulging information about BIS licensees Jewelers and not maintaining.

- Centre directly or indirectly works against the interest of BIS.

- Centre is found violating the terms and conditions of recognition.

- Centre is shifting the premises.

- Major NCs as   not closed (Basis for imposing SOM are listed in guide lines to be incorporated - 10 NCs)

Additional points for work flow implementation:

- Provision to set logic where SOM is not allowed more than six months.

- Provision to Impose SOM by DDGR

- Provision to record the details of giving opportunity and outcome of final hearing.

- If corrective actions are found implemented as per direction of BIS then provision for revocation of SOM.

- Provision to plan visit for verification visit after SOM and to submit the verification report. This visit report shall include necessarily cover confirmation of corrective action, verification of working of the test equipment including validly of calibration, availability of standard gold of the same finenesses of jeweler as hallmarked by the centre, required chemical of right grade, purity, availability of metal like silver, copper, lead, corrective actions, testing witnessed and other relevant information and specific recommendation.

De-Recognition

Reasons of de-recognizing

1. Unsatisfactory performance.

2. Centre found marking under SOM.

3. No corrective action taken when discrepancy found BIS.

4. Repetition of discrepancy within one year.

Specifics points in workflow of derecognizing A&HC

1. Provision to view recommendation of DDGR by HMD.

2. Provision to issue showcases notice indicating chance to hearing (within 14 days) by DDGHP.

3. Provision to record stated reason for derecognizing.

4. Provision to release letter for hearing if request received from Centre owner.

5. Provision to record outcome of the hearing to DDGR.

6. Provision to communicate decision of hearing to DDGR with all relevant information.

7. Provision to communicate the decision of the DDGHP to centre.

8. Provision of collect back the recognition certificate.

9. Provision to re – recognition of centre in case it is derecognized after a specific period.

10. Provision of appeal in case of de-recognition.

Other Features

1. Provision for A&HC submits monthly report to respective RO of BIS.
2. For data entry to system, the input screens should include all the attributes of forms used in Hallmarking Department.
3. MCR and other Reports as desired by Management.
4. Software should have the provision to execute customized queries. (Parameters for such queries need to be discussed with management during development).

Report Format

Monthly report submitted by A&HC to BIS (RO)

Attributes: Name of A&HC……………..

Report for the Month:…………………

Qty Hallmarked in Kg (approx) during Month……………………….

Sl No.	Name of the Licensee	Quantity in Pieces			Amount charged from Licensee
		Received	Hallmarked	Rejected	(In Rs.)
	Total				

Name of the Authorized Person of Centre sending the report

1. Provision to A&HC to submit their audited statement of accountant once in the year.
2. Provision for A&HC to pay part of hallmarking charges to BIS collected from licensee jewelers bi-monthly.
3. Provision to calculate the interest of rate per month in case.
4. Provision to submit result of proficiency testing/inter laboratory test etc.
5. Provision to BIS mail list of updated approved charges to A&HC for marking.
6. Provision to BIS to generate yearly code.
7. Provision to submit the details of the cornet left after assaying.
8. Business rule for code generation.
9. For example: 81/RKT/20040301/AS/02

Branch Code/……./yyyymmdd/type of sample/Sl No of sample

The second last two letters in the above code number will indicate the type of sample as under:

- Complaint Sample CP
- Market Sample MS

- Counter Sample CS

Surveillance Assessment of A&HC

During period of 03 years, period surveillance assessment is carried out by BIS. Procedure for surveillance assessment is similar to product certification. Respective Regional Office under whose jurisdiction the centre falls, sudden surveillance assessment is carried.

Additional Features   required

1. Provision to list A&HC recognition centers due for assessment.

2. Provision to RHCO to prepare Surveillance Assessment schedule.

3. Provision to assign officer or team of officer for assessment.

4. Provision to carry out more then one surveillance.

5. Provision to RHCO to scrutinize the surveillance assessment report and record NCs.

6. Provision to take appropriate action in case of NCs observed.

7. Provision to forward report to DDGR for review.

Renewal of Recognition of Hallmarking Centre

Work flow is similar to product Certification only change in attributes of organizational hierarchy.

Preconditions

- License should be operative.

- Submission of renewal application prior two months of expiry of validity date of recognition.

Specific Features

- Provision to BIS to withdrawal of recognition.

- Provision to A&HC to relinquish recognition.

- Provision for renewal assessment same as initial assessment.

Deferment and Deferment Renewal is similar to Product Certification

GOL FOR REFINERIES

Step 1

Applicant

1. Fills up the application.

In case of online application submission

Applicant has to register with the BIS for getting the user id and password. In the registration module applicant will be getting user id and password along with list of the documents containing general procedural guidelines pertaining to Hallmarking, check list of the documents to be submitted to the BIS and the fee details. Payment should be made online/through pay order/DD.

Constraints

- Check on firm NABL accreditation scope and validity

- Applicant must provide the mail id for the interaction

- Applicant shall select the service in which he/she is interested.

In case application submitted in hard copy at BIS

Applicant gets registered with BIS and downloads the application (soft copy), fills up the application as per guidelines provided in the annexed document. Makes necessary payment in form of demand draft and along with all the relevant documents submits application to the concerned branch office for processing. Once the application is received at branch office, SO/concerned Branch Officer gives the receiving of application and application is forwarded to DA for making entry in the ~~CMMS~~ software, generates application number/fee and application is processed in usual way.

Step 1

Applicant

1. Applicant fills up application online in the prescribed format.
2. Uploads documents against a check list.
3. Makes payment using Payment Gateway/Net Banking or by DD in which case DD particulars will be entered online and subsequent DD would be send to SO with other papers.
4. Confirms the submission of the application.

Alerts, Validations and Constraints

A. Mail, alert shall be sent to HOD regarding submission of new application.
B. Mail shall be sent to applicant acknowledging the submission of his application.
C. Payments shall be reflected in BIS account immediately in case of online payment.
D. The system should not allow the applicant to proceed further if documents are not uploaded.
E. The system should be intelligent enough to categorize and label the documents automatically.

Features

1. Applicant should be able to fill up online application as per the given format.
2. Applicant should be able to upload documents in image, doc, pdf format to a specific folder (named on applicant) against the given check list by BIS.
3. Applicant should be able to delete and re-upload in case of erroneous uploading of the documents (scanned copies etc).
4. There should be provision in the fee module that depending upon the threshold outlet and type of license the fee structure can be modified by the competent authority and should accommodate discount rationally
5. Applicant must have options of the payments - Online /DD/Net Banking.
6. Applicant must have a preview of the list of uploaded documents.
7. System should be capable enough to restore process from the last saved point in case of application failure or power failure etc.
8. There should be functionality to route application to appropriate BO depending upon the selection of the applicant.
9. Application should be addressed to HOD of the Branch.
10. Functionality to maintain a record of all the payments, dues, and credit notes of the individual account (as against the application id).
11. There must a flexible system for naming the documents which are to be uploaded on site.
12. As soon as applicant submits application, mail to be sent to concerned HOD.

13. There should be necessary checks if no document is uploaded and system must suggest applicant to upload necessary documents. There should be mandatory fields, so that applicant will not be able to submit where necessary (mandatory) documents/transactions like payment, Shop registration numbers, MOA etc are not provided during filing the application.

14. Feature with application form for ascertaining that a physically signed application is being submitted in due course/accompanying.

Step 1 A – When hard copy application is received

DA/DO

1. Dealing assistant/Data Entry Operator(DEO) fills up application online in the prescribed format

2. Uploads documents against check list provided by applicant in hard copy.

3. Using payment/receipt module generates receipt cum invoice for the fee paid. Application number should be generated

4. Submits application and maintains a file

Alerts, Validations and Constraints

A. Mail shall be sent to applicant acknowledging the submission of his application.

B. Payments shall be reflected in BIS account immediately.

C. The system should not allow the dealing assistant to proceed further if documents are not uploaded.

D. The system should be intelligent enough to categorize and label the documents automatically.

E. System should have a status grid, where the HOD can view the pendency of file (with date) with an officer/~~GL~~.

Features

1. DEO/DA should have restricted privileges.

2. Dealing Assistant/DEO, should be able to issue an acknowledgement letter/slip to the applicant after uploading the application. He should be able to fill up online application as per the given format.

3. DA/DEO should be able to upload documents in image, doc, pdf format to a specific folder (named on applicant_id) against the given check list by BIS.

4. DA should be able to delete and re-upload in case of erroneous uploading of the documents (scanned copies etc).

5. There should be a provision to accept payment through DD.

6. DA/DEO should have a preview of the list of uploaded documents against a checklist with options of documents required for uploading.

7. System should be capable enough to restore process from the last saved point in case of application failure or power failure etc.

8. There should be functionality to route application to appropriate HOD (BO).

9. Functionality to maintain a record of all the payments, dues, and credit notes of the individual account (as against the application id).

10. There must a flexible system for naming the documents which are to be uploaded on site.

11. As soon as DA submits application it should be visible in pane of HOD.

12. There should be necessary checks if no document is uploaded and system must suggest applicant to upload necessary documents. There should be mandatory fields, so that applicant will not be able to submit where necessary (mandatory) documents/transactions like payment, Shop registration numbers, MOA etc are not provided during filing the application.

Step 2

HOD

1. Views application.
2. Views attached documents.
3. Marks application to Dealing Officer(DO)

Alerts, Validations and Constraints

A. Alert to the concern DO
B. Alert to DO regarding status of application.
C. Making available for DO for taking out necessary print
D. Confirmation mail to the applicant with an attachment of letter (mentioning the scrutiny of the application has been initiated)
E. Alert to HOD in case the application is not uploaded.

Features

1. When HOD logs in to application, he should be presented with all new applications showing Sl. No., name of firm, date of apply. License type etc
2. HOD should be able to view application
3. HOD should be able to view uploaded documents
4. HOD should be able to view payment details.
5. He should be able to take action on application. I.e. giving remarks, comments etc.
6. He should be able to see action history showing date remarks and comments etc, when it is chosen from the grid.
7. In case application is wrongly addressed, there should be a provision to HOD to re-route the application to concerned BO and intimation email should go to applicant.
8. He should be able to forward application to *DO* or any other designated officer/staff.
9. DO should be able to take a printout of the application (decision of being temp application).
10. DO should be able to generate application fee receipt as a hard copy.
11. DO should be able to communicate receipt to applicant in case payment by DD.

Step 3

DO

1. Views application.
2. Views attached documents.
3. Communicate to applicant regarding discrepancies if any
4. If application found in order, submits to HOD for allotment of auditor

Alerts, Validations and Constraints

A. Intimation to HOD regarding the status
B. Intimation to HOD regarding allotment of auditor

Step 4 A

Applicant

1. Provides to DO requested information (by uploading relevant documents, by entering necessary modification in the application entries) (these tasks will be completed when application is in account of DO).

Alerts, Validations and Constraints

A. Application status to the DO HOD

Features

1. Applicant should be able to upload necessary documents as sought by BIS.

Step 5

DO

1. Forwards application to HOD with his remarks (observations) in case of

   - Recommending of allotment of auditor for PI
   - Recommending of returning of application

2. *DO* refers back the application to do in case of clarification required for recording or return of application

3. Intimation to auditor as nominated by HOD online

4. Processing the Preliminary Inspection Report

HOD

1. Allotment of Auditor
2. Approval in case of

   A. Grant of license.
   B. Returning of the application.

ANNEXURE-8

Declaration for abiding by the Code of Integrity in Public Procurement

I/we hereby declare that I/we will abide by the Code of Integrity for Public Procurement (CIPP) as envisaged and prescribed in General Financial Rules, 2017.

I/we hereby further declare that in case of any transgression of this code, my/our name shall not only be liable to be removed from consideration for the present tender and from the list of registered suppliers/contractors/consultants/service providers (if already registered), but I/we will be liable for other punitive actions such as cancellation of contracts, banning and blacklisting or action in Competition Commission of India as provided in the GFR, 2017.

Date the .... day of 2018

Signature of Bidder_____

Name & Address of Bidder_____

_____

Seal of the Firm/Company

Integrity Pact guidelines

"The BIS" And **"The Supplier"** hereby agree not to indulge in any corrupt practices including without limitation any activity or action to influence the transaction on any aspect of contract and commit to take all measures necessary to prevent corruption maintaining complete transparency and fairness in all activities related to BIS. Users agree to follow and adhere with the Integrity Pact guidelines as under:

Preamble

The BIS values full compliance with all relevant laws of the land, regulations, economic use of resources and of fairness / transparency in its relations with its Supplier.

Section 1- commitments of the BIS.

1. The BIS commits itself to take all measures necessary to prevent corruption and to observe the following principles:

    a. No employee of the BIS, personally or through family members, will in connection with the bid for, or the execution of a person, any material or immaterial benefit which the person is not legally entitled to.

    b. The BIS will during the bid process treat all bidders with equity and reason. The BIS will in particular, before and during the bid process, provide to all Supplier the same information and will not provide to any Supplier confidential/additional information through which the Supplier could obtain an advantage in relation to the process or the contract execution.

    c. The BIS will exclude from the process all known prejudiced persons.

2. If the BIS obtains information on the conduct of any of its employees which is a criminal offence under the IPC/PC Act, or it there be a substantive suspicion in this regard, the BIS will inform the Chief Vigilance Officer and in addition can initiate disciplinary actions.

Section 2- Commitments of the Supplier

1. The Supplier commit himself to take all measures necessary to prevent corruption. He commits himself to observe the following principles during his participation in the bid process and during the contract execution.

    a. The Supplier will not, directly or through any other persons or firm, offer promise or give to any of the BIS's employees involved in the bid process or the execution of the contract or to any third person any material or other

benefit which he/she is not legally entitled to, in order to obtain in exchange any advantage before or during the execution of the contract.

b. The Supplier will not enter with other Bidders into any undisclosed agreement or understanding, whether formal or informal. This applies in particular to prices, specifications, certifications, subsidiary contracts, submission or non-submission of bids or any other actions to restrict competitiveness or to introduce cartelization in the bidding process.

c. The Supplier will not commit any offence under the relevant IPC/PC Act; further the Supplier will not use improperly, for purposes of competition or personal gain, or pass on to others, any information or document provided by the BIS as part of the business relationship, regarding plans, technical proposals and business details, including information contained or transmitted electronically.

d. The Supplier will, when presenting his bid, disclose any and all payments he has made, is committed to or intends to make to agents, brokers or any other intermediaries in connection with the award of the contract.

2. The Supplier will not instigate third persons to commit offences outlined above or be an accessory to such offences.

Section 3: Disqualification from bid process and exclusion from future contracts

If the Supplier, before award or during execution has committed a transgression through a violation of Section 2, above or in any other form such as to put his reliability or credibility in question, the BIS is entitled to disqualify the Supplier from the bid process or take action as per the procedure mentioned in the "Incident Management Policy" available on GeM portal.

Section 4: Compensation for Damages

1. If the BIS has disqualified the Supplier from the bid process prior to the award according to Section 3, the BIS is entitled to demand and recover the damages equivalent to Earnest Money Deposit/Bid Security.

2. If the BIS has terminated the contract according to Section 3, or if the BIS is entitled to terminate the contract according to Section 3, the BIS shall be entitled to demand and recover from the Supplier damages of the amount equivalent to Performance Bank Guarantee.

Section 5: Previous Transgression

1. The Supplier declares that no previous transgressions occurred in the last three years with any Government Organization that could justify his exclusion from the bid process.

2. If the Supplier makes incorrect statement on this subject, he can be disqualified from the bid process and action can be taken as per the procedure mentioned in "Incident Management Policy".

ANNEXURE - 10

FORM OF PERFORMANCE BANK GUARANTEE BOND

1. In consideration of Bureau of Indian Standards (hereinafter called 'The BUREAU')
    having agreed to exempt _____

    (hereinafter called "the said Contractor(s)') from the demand under the terms and
    conditions of an Agreement dated_____made between
    _____and
    _____for

    _____(hereinafter called "the said Agreement of
    security deposit for the due fulfillment by the said Contractor (s) of the terms and conditions
    contained in the said Agreement, on production of a Bank Guarantee for Rs.

    _____

    (Rupees   Only) we,

    _____

    _____ (hereinafter referred to as (indicate the
    name of the bank)

    'the bank') at the request of_____[(Contractor (s) do
    hereby   undertake   to   pay   the   Bureau   an   amount   not   exceeding   Rs.
    _____against any loss or demand caused to or suffered or
    would be caused to or suffered by the Bureau by reason of any breach by the said
    Contractor (s) of any of the terms or conditions contained in the said Agreement.

5. We_____do hereby (indicate the name
    of the bank)
    undertake to pay the amounts due and payable under this guarantee without any demur,
    merely on a demand from the Bureau of Indian Standards stating that the amount claimed
    is due by way of loss or damage caused to or would be caused to or suffered by the Bureau
    by reason of breach by the said Contractor (s) of any of the terms or conditions contained
    in the said Agreement or by reasons of the Contractor (s) failure to perform the said
    Agreement. Any such demand made on the bank shall be conclusive as regards the amount
    due and payable by the Bank under this guarantee. However, our liability under this
    guarantee shall be restricted to an amount not exceeding Rs. ....

6. We, undertake to pay to the Bureau any money so demanded notwithstanding any dispute
    or disputes raised by the Contractor (s) / Supplier (s) in any suit or proceeding pending
    before any Court or Tribunal relating thereto our liability under this present being absolute
    and unequivocal.

    The payment so made by us under this bond shall be a valid discharge of our liability for
    payment there under and the Contractor (s) / Supplier (s) shall have no claim against us for
    making such payment.

    4. We,_____further agree that the Guarantee
        (indicate the name of Bank)

herein contained shall remain in full force and effect during the period that would be taken for the performance of the said Agreement and that it shall continue to be enforceable till all the dues of the Bureau under or by virtue of the said Agreement have been fully paid and its claims satisfied or discharged or till the authorized officer of the Bureau (General Administration Department) certifies that the terms and conditions of the said Agreement have been fully and properly carried out by the said Contractor (s) and accordingly of the said Agreement have been fully and properly carried out by the said Contractor (s) and accordingly discharges this guarantee. Unless a demand or claim under this guarantee is

made on us in writing on or before the ....we shall be discharged from all liability under this guarantee thereafter.

5. We .... further agree with the Bureau that

      (indicate the name of Bank)

the Bureau shall have the fullest liberty without our consent and without affecting in any manner our obligations hereunder to vary any of the terms and conditions of the said Agreement or to extend time to performance by the said Contractor (s) from time to time or to postpone for any time or from time to time any of the powers exercisable by the Bureau against the said Contractor (s) and to forbear or enforce any of the terms and conditions relating to the said agreement and we shall not be relieved from our liability by reason of any such variation, or extension being granted to the said Contractor (s) or for any forbearance, act or commission on the part of the Bureau or any indulgence by the Bureau to the said Contractor (s) or by any such matter or thing whatsoever which under the law relating to sureties would but for this provision, have effect of so relieving us.

7. This guarantee will not be discharged due to the change in the constitution of the Bank or the Contractor (s) / Supplier (s).

8. We, ... lastly undertake not to revoke this

      (indicate the name of bank)

guarantee during its currency except with the previous consent of the Bureau in writing.

                                       Dated the ....day of 20