



DMSL CERTIFICATION SCHEME

1.0 INTRODUCTION

As the environment becoming fiercely competitive, it becomes necessary for organizations to provide assurance of their Management System(s). ISO has stipulated the minimum requirements for a documented management system(s) to be established and a Certificate of Compliance to these standards has now become an international / National condition of assessing a company's credibility and capability to consistently assure good standards. The ultimate goal is the organization's ability to achieve customer satisfaction and continual improvement.

2.0 PURPOSE

This document, **DOMINITE Management Systems Ltd. (Hereinafter referred to as DMSL) Management System(s) Certification Scheme (hereinafter referred to as DMSL Certification Scheme)** provides relevant information regarding DMSL services for conducting an impartial and competent conformity assessment of a company's management system for issue and maintenance of certification to the applicable standards/Specification along.

3.0 SCOPE

The certification scheme operated by DMSL is a third party system certification scheme with an objective of giving recognition to companies who have effectively implemented and operated a verifiable documented system. It covers the following scope:

- Conduct of independent assessments for certification/ registration
- Issue of certification
- Surveillance visits for verification of conformance of management systems to certification standard
- Supplementary/ Re-assessments (required where major non-conformities have been identified or major changes in the organization or its system have been identified/ notified).

4.0 REGISTRATION PROCEDURE

4.1 Enquiry

Upon receipt of an enquiry, New Client Application Form (F29) is required to be completed by the applicant company. This form includes declaration of the number of sites and the people who work at these sites (if applicable). Based on the information provided, a detailed offer is submitted for client's consideration and acceptance.

Note 1:

The information provided in DMSL Nigeria - Client Application Form (F29) with respect to the presence / absence of a consultant and contact details of the consultant if applicable, should be true and if found to be untrue, would jeopardize and directly or indirectly affect the impartiality and objectivity of management system certification, then the certification issued shall stand suspended/withdrawn.



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4.2 Application and Fee Offer

After receipt of the Form F29, DMSL will based on the data provided, review and issue an offer to the client, upon receipt and acceptance of which by the client, the process of certification commences with the scheduling of audits on mutually agreeable dates.

5.0 AUDIT PROCESS

5.1 Assignment of Audit Team, Audit Notice and Notification of Audit Plan

DMSL will identify and select the audit team and inform the client of the audit activities two (2) weeks before the scheduled date via email. Audit plan will be sent to the client two to three days before the actual audit date.

In case of appeal regarding the audit schedule, the audit plan will consider and reflect the opinions of the client.

5.2 PRE-AUDIT (Gap Assessment)

The pre-audit is an optional chargeable audit, which is designed to preview the Client's management system for areas of the specifications against which the Client asks for certification. DMSL will issue a Report to the Client detailing the findings of this audit in due time including any appropriate actions.

5.3 STAGE 1 - DOCUMENTATION AND READINESS REVIEW

This involves the review of the documentation which is required to be sent electronically to DMSL and an onsite review **at the main site** (unless otherwise limited by logistics) of the client's management systems. Documentation is conducted to:

- Verify that the requirements of the **applicable** management standard are satisfactorily documented.
- evaluate the client's location and site-specific conditions and to undertake discussions with the client's personnel to determine the preparedness for the stage 2 audit;
- review the client's status and understanding regarding requirements of the standard, with respect to the identification of key performance or significant aspects, processes, objectives and operation of the management system;
- Collect necessary information regarding the scope of the management system, processes and location(s) of the client, and related statutory and regulatory aspects and compliance (e.g. quality, environmental, legal aspects of the client's operation, associated risks, etc.);
- review the allocation of resources for stage 2 audit and agree with the client on the details of the stage 2 audit;
- provide a focus for planning the stage 2 audit by gaining a sufficient understanding of the client's management system and site operations in the context of possible significant aspects;
- Evaluate if the internal audits and management review are being planned and performed, and that the level of implementation of the management system substantiates that the client is ready for the stage 2 audit.



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A report is issued listing any non-conformity against which corrective actions are required to be taken as per a corrective action plan to be submitted.

DMSL expects its clients to implement their Management System at least for 3 months prior to an onsite Registration Assessment which need to be confirmed at this stage.

Related Management System Progress Review Assessments include a detailed applicable standard Questionnaire, to be filled in during this assessment.

5.4 STAGE 2 - REGISTRATION ASSESSMENT:

Following the progress review assessment (not later than one month), DMSL will conduct a full Registration Assessment either at all sites or sampled (as the cases may be) to assess conformity with the requirements of the applicable standard. This will include a thorough effectiveness assessment of Internal Audit, Management review, Corrective Action & Preventive Action Processes. A report categorizing any non-conformities or weakness in the implementation of the documented systems is issued.

5.5 CORRECTIVE ACTIONS AND FOLLOW-UP

The company is required to submit a corrective action plan and **where required objective evidences** addressing the non-conformities within a given time frame. For Minor non-conformities, the assessment report includes a request for Corrective Action Plan to eliminate the cause of the non-conformities.

Corrective actions against all major non-conformities required to be verified during a Supplementary Assessment evidence of effective implementation, prior to confirmation of certification. Observations are also recorded relating to various elements of the management system but do nevertheless indicate a problem, which may need correction.

DMSL requires it's applicant organization to make all necessary arrangements for the conduct of the assessment, including provision for examining documentation and the access to all areas, records (including internal audit reports) and personnel for the purposes of assessment, surveillance, reassessment and resolution of complaints.

In case there are any Management Systems records that cannot be made available to the audit team by the client due to reasons of confidentiality, DMSL Audit team will verify if the client's MS can be audited without "these records", and inform the client of their ability OR inability to conduct the Progress Review/ Registration Assessment.

5.6 REVIEW OF RECOMMENDATIONS

Assessors are only recommending authorities. These recommendations are impartially verified through Review of Assessment Report Package & for successful cases of Certification Decision.



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6.0 ISSUING THE CERTIFICATION

If the Initial audit or Re-assessment audit was carried out successfully, the certification is officially issued after approval by the Verification party. The issuance is subject to payments cleared. The valid term of certification is for 3 years from the date of certification approval. The applicant organization will not be asked to pay any other fee unless during a re-certification audit.

Applicants can check the validity of the certificates on website of DMSL.

7.0 SURVEILLANCE AUDIT

The objective of surveillance audit is to ensure that the system of the certified company continually, validly, and effectively conforms to the International standards and continually meets the certification requirements even though the status of systems may be changed, The date of the first surveillance audit following initial certification shall not be more than 12 months from the certification decision date.

DMSL shall inform the registered client four (4) weeks in advance for scheduling the surveillance Assessment. The client needs to confirm the date once received, the intimation and audit allocation letter will be via email. Any cancellation within the last seven days, the client will be charged the full assessment day rate as stated in the signed contract. If the date is not agreed till 7days before the due date a suspension warning will be issued. Failure to conduct the surveillance before the stated date on the certificate will cause the certificate of the said organization to be suspended for a period no less than 6 months.

Within the first three months, the suspension may be lifted if the surveillance audit is conducted and within the next three months thereafter, a Re-assessment with increased days will be carried out. Where these are not conducted within the six months, the certificate will be withdrawn. In this case, a fresh certification cycle will have to be started.

During this assessment (Surveillance Audit) the certified client will need to fill the company profile update and feedback form.

8.0 SUPPLEMENTARY ASSESSMENT (FOLLOW-UP)

A Supplementary Assessment visit may be required to the company's premises in the following circumstances:

- DMSL has reason to believe that the documented management systems are inadequately maintained with major deficiencies in operation.
- Upon notice from the certified company, of any significant change in the certified documented management system.
- Due to a complaint, by any party, any adverse publicity or contravention of the conditions of certification or other information received.



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- Where more than 6 months have elapsed between Progress Review Assessment and Registration Assessment.
- Where any Conflicts of Interest or Impartiality have been found jeopardized.
- The supplementary assessment visit will be undertaken after due notice has been given and details agreed between DMSL and the certified company.
- A separate fee will be chargeable for a Supplementary Assessment.

9.0 EXTENSION OF SCOPE OF MANAGEMENT SYSTEM

Client (i.e. Registered/certified) may request DMSL if they wish to extend the Scope of their Management System for Registration. A written request is required to be submitted in advance for DMSL to review the request, apply post contract review and commission an assessment. Extension of Scope is chargeable, and the fee is first agreed with the client.

The Assessment visit can be of two types:

- Through a Special Audit or
- Through the upcoming Surveillance or Reassessment. The same process applies further as explained above from Registration Assessment to Issue of Certificate.

The Obsolete Certificate is taken back by DMSL. Further Surveillance/Re-Assessments of the Extended Scope is conducted as per the redefined assessor day's allocation.

10.0 REDUCTION OF SCOPE OF MANAGEMENT SYSTEM

Reduction in Registered Client's Scope may be required if DMSL through any information or through submitted facts or through any of its assessments come to know about that any of its Registered Scope activity has been deleted or stopped by the Registered Client.

Such a reduction may be proposed right in the Surveillance Assessment Report and upon review of recommendations the Scope may be revised. In such the Registered client is liable to Return its obsolete certificate and pay the applicable certification fees to collect its revised certificate of correct and current activity related scope of the management system.

11.0 MAINTENANCE OF CERTIFICATION / REGISTRATION

The Certification / Registration remain valid where the following conditions are met.

- Maintaining an effective Management System
- All Surveillance / Re assessments performed as per schedule & the Certificate is used appropriately.
- All corrective actions get resolved in case of a major nonconformity or Complaint within the stipulated time frame and to the satisfaction of the Lead assessor/ Assessor.
- Any major change in the organization's Management System is handled satisfactorily and promptly communicated to DMSL
- The entire fee payable has been paid to DMSL in time.



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- The valid use of DMSL Logo/ Accreditation Mark as applicable.
- If applicable, a DMSL requirement of a Witness Audit is considered.

12.0 Notice of changes by a client:

Certified client informs the DMSL, without delay, of matters that may affect the capability of the management system to continue to fulfill the requirements of the standard used for certification. These include, changes relating to:

- the legal, commercial, organizational status or ownership,
- organization and management (e.g. key managerial, decision-making or technical staff),
- contact address and sites,
- scope of operations under the certified management system, and
- Major changes to the management system and processes.

13.0 SUSPENSION OR WITHDRAWAL (CANCELLATION) OF CERTIFICATION

Any certificate issued by DMSL may be suspended and subsequently withdrawn (based on severity of breach and a resolution period of maximum 3 months is here given) in the event of any of following defaults by a Certified client.

- If a surveillance assessment is not arranged within due date in response to notice issued by DMSL as per Surveillance Assessment conditions stipulated above.
- Major lack of effective implementation of corrective actions within agreed time limits in respect of non-conformities is identified during Surveillance Assessment.
- Failure to pay appropriate fees.
- In default of the return of the certificate where requested, DMSL will charge a payable fee as penalty amount on the certified client for the non receipt of the withdrawal notice of certificate issued by the DMSL.
- Continued misuse of Accreditation mark / logo e.g. misleading publications, advertisement or contravention of the stipulated conditions for the use of **Accreditation** mark/ **DMSL** logo.
- Major changes in the organization leading to the breakdown of relevant management system as per application standard.
- Any Proven Conflict of Interests that become known to the Management of DMSL in due course after the release of Registration in such a way that the impartiality to the certification recommendation has been compromised and the certified client declines DMSL request to undergo an additional Re-Assessment.

During suspension, the client's management system certification is temporarily invalid. DMSL requires that in case of suspension the client refrains from further promotion of its certification. DMSL shall make the suspended status of the certification publicly accessible and shall take any other measures it deems appropriate.



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All the certificates issued by DMSL are the property of DMSL and upon Withdrawal the organization is liable to return all original and copied sets to DMSL in the event of any of above defaults.

Upon Withdrawal the Client shall discontinue its use of all advertising matter that contains any reference to a certified status. The withdrawal shall be communicated to the public through the DMSL web site or by other suitable means.

14.0 APPEALS/ COMPLAINTS

Where a certified company or any other interested party wishes to make a complaint in respect of the operation of DMSL or appeal against a decision which is considered to be unfair and prejudicial, DMSL will consider the complaint or appeal in accordance with the documented procedure.

15.0 ACCESS TO RECORDS OF COMPLAINTS FROM/TO ORGANISATIONS AND ACCREDITATION BODY WITNESS VISITS

DMSL requires all organizations whose management system is certified / registered to make available, when requested, the record of all complaints and corrective action taken in accordance with the requirements of the management system standards or other normative documents.

16.0 ACCESS OF RECORDS OR SUBMITTING THE RECORDS OF CLIENTS TO ACCREDITATION BODY

DMSL is assessed and/ or reviewed by its accreditation boards every year. If required the Application Documents, Assessment records and the Correspondence with client is accessible under secured Confidentiality.

Where confidential information is made available to other bodies (e.g. accreditation body, agreement, group of a peer assessment scheme), DMSL shall inform its client of this action and where required the permission from client will be taken first.

17.0 AUDIT MANDAY

Audit man-day is calculated in accordance with the code standard. It is also based on Management Scope, complexity, field of activity of organization or company being audited, complexity and diversity of technologies in place, number of site, and previous audits at the auditee's facilities, regulations, laws and contract agreements.

17.1 FACTORS FOR ADJUSTMENTS OF AUDIT DURATION

Decrease in audit duration where:

- The Client is not "design responsible" or other standard elements are not covered in the scope (QMS only);
- The site is very small for the number of personnel (e.g. office complex only),
- There is Maturity of management system;
- There is Prior knowledge of the client management system (e.g., already certified to another standard by the same CAB);



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- The Client preparedness for certification (e.g., already certified or recognized by another 3rd party scheme).
- There is a High level of automation.
- Where staff include number of people who work “off location” e.g. salespersons, drivers, service personnel, etc. and it is possible to substantially audit compliance of their activities with the system through review of records.
- Activities considered to be of low risk or Low complexity activities e.g.:
 - Processes involving similar and repetitive activities (e.g., Service only).
 - Identical activities of low complexity performed on all shifts with appropriate evidence of equivalent performance on all shifts.
 - Where a significant proportion of staff carry out a similar simple function. Repetitive process within scope (when employees perform repetitive activities).

Increase in audit duration where:

- There exists complicated logistics involving more than one building or location where work is carried out. e.g., a separate Design Centre is to be audited;
- Staff speaking in more than one language (requiring interpreter(s) or preventing individual auditors from working independently);
- Very large site for the number of personnel (e.g., a forest);
- High degree of regulation (e.g. food, drugs, aerospace, nuclear power, etc);
- System covers highly complex processes or relatively high number of unique activities;
- Activities that require visiting temporary sites to confirm the activities of the permanent site(s) whose management system is subject to certification.
- Outsourced functions or processes.