

GUIDELINES FOR APPLICANTS – IS 15700:2005
QUALITY MANAGEMENT SYSTEMS – REQUIREMENTS FOR SERVICE QUALITY BY
PUBLIC SERVICE ORGANIZATIONS

INTRODUCTION

Bureau of Indian Standards (BIS), the National Standards Body of India, has been helping the Indian industry for about six decades by formulation of National Standards, Operation of Product Certification Scheme, Management Systems Certification Schemes and Training.

Central Government and State Governments are one of the largest service providers. With a view that the public service organizations, including Government organizations, establish and implement a system approach to provide service quality to citizens, BIS has prepared an Indian standard, namely, '**IS 15700:2005 Quality Management Systems – Requirements for Service Quality by Public Service Organizations**'. This standard has been published on the initiative of the Department of Administrative Reforms and Public Grievances, Ministry of Personnel, Govt. of India. This standard is a generic standard specifically designed for public service organizations.

BIS is operating Service Quality Management Systems Certification Scheme (SQMSCS) for public service organizations according to IS 15700:2005 as one of its Schemes under Management Systems Certification.

These guidelines contain useful information on processing of an application, procedure for grant of licence, obligations and responsibilities of the public service organizations interested in obtaining and operating licences according to IS 15700:2005.

These guidelines are the extracted information from the applicable regulations. For complete details, reference may be made to Bureau of Indian Standards (Certification) Amendment Regulations, 2002.

IS 15700:2005

IS 15700:2005 may be implemented by public service organizations to demonstrate their ability to consistently provide effective and efficient services which meets customer and applicable legal, statutory and regulatory requirements, to enhance customer satisfaction and for continual improvement in their services and service delivery processes. However, it does not apply for employment related disputes referred for resolution outside an organization. This standard provides emphasis on 'citizen focus' and includes following three key elements:

- ❖ Formulation of a realistic Citizen's Charter through a consultative process
- ❖ Identification of services rendered, Service delivery processes, their control and delivery requirements
- ❖ An effective process for complaints handling

WHO ARE ELIGIBLE

Public service organizations including Government Ministries and Departments, Regulatory Bodies, Public Utility Service Provider, etc, which are either directly providing service to society at large or those which through their policies, directives, regulations, etc, indirectly affect the services being provided by these service providers, are eligible for certification under this scheme. For example, Government Ministries/Departments, Public transport services, Public water supply services, Public distribution services, Insurance companies, Public health care services, Postal services, Telecommunication Services, Education services, Regulatory bodies, etc.

ORGANIZATIONS – INDIVIDUAL AND MULTI-SITE

Organizations generally operate individually from one site. There may be other organizations which operate through branches at different locations.

Individual Organizations

Individual organizations interested in obtaining licence for service quality management system as per IS 15700:2005 should ensure that they are operating service quality management system in accordance with the requirements of the standard, IS 15700:2005 and shall be able to demonstrate the same.

Multi-site Organizations

For the purpose of this scheme, a multi-site organization is an organization having an identified central function (normally referred to as Central Office) at which certain activities are planned, controlled or managed and a network of local offices or branches (sites) at which such activities are fully or partially carried out. The services provided by all the sites have to be substantially of the same kind and have to be produced fundamentally according to the same methods and procedures. Such an organization need not be a unique legal entity, but all sites shall have a legal or contractual link with the central office of the organization and be subject to a common quality management system, which is laid down, established and subject to continuous surveillance by the central office. This means that the central office has rights to implement corrective actions when needed in any site. The Central Office being the controlling will be referred to as the organization at “Apex level” and units/sites as an organization at unit level. Examples of possible multi-site organizations include:

1. Organizations operating with franchises
2. Manufacturing organizations with a network of sales offices
3. Organizations with multiple branches
4. Indian Postal Department
5. State Jal Board
6. Public Distribution System
7. State Transport Corporation

The organization's quality management system shall be centrally administered under a centrally controlled plan and be subject to central management review. All the relevant sites (including the central administration function) shall be subject to the organization's internal audit programme and audited in accordance with that programme.

In case of very large organizations where an organization is providing services through its multiple sites at different levels, for example Central/State/District level, etc, then the Controlling Office at the first point (for example, District level) will be the first Central Office. This Central Office along with various units/sites under its control will be treated as one entity if it establishes a Management System in accordance with the standard i.e. IS 15700:2005 and monitors its implementation by all the service outlets (units/sites) under it. For example, post offices at District level are units/sites controlled by Central Office at District level, which in turn may be under the control of Head Office at State level, which in turn may be under the control of main Head Post Office at the Centre. In such cases, the Central Office at District level with units under its control will be treated as one entity (organizations with multiple service outlets/sites).

The organization shall demonstrate that the central office has established a quality management system in accordance with IS 15700:2005 and that the whole organization meets the requirements of the standard. It shall demonstrate its ability to collect and analyse data (including but not limited to the items listed below) from all sites including the central office and its authority and ability to initiate organizational changes if required:

- System documentation and system changes
- Management review
- Complaints
- Evaluation of corrective actions; and
- Internal audit planning and evaluation of the result.

Following organizations are considered as individual organizations and not multiple service outlet organizations:

- a) Organizations that have multiple service outlets where dissimilar service processes are administered at different units/sites.
- b) Organizations dealing with Public service delivery relating to the following critical scope sectors :
 - i) Food Products, beverages and tobacco (e.g, Food Chains)
 - ii) Pharmaceuticals (e.g, Chain of chemist stores)
 - iii) Aerospace (e.g, Airlines services)
 - iv) Information technology (e.g Ministry of Information Technology)
 - v) Health (Chain of Hospitals/Nursing Homes)
 - vi) Services related to coke and refined petroleum products (e.g, Petrol filling stations, etc.)
 - vii) Electricity supply (e.g State Electricity Boards)
 - viii) Construction (e.g Construction sites by CPWD)
- c) Units having more than 1000 employees

HOW TO OBTAIN LICENCE

Application

Organizations (Individual or Multi-site) interested in obtaining licence for service quality management systems as per IS 15700:2005 should ensure that they are operating service quality management system in accordance with the requirements of the standard, IS 15700:2005. For this purpose, the organization shall have conducted minimum one Internal Audit and one Management Review Meeting. The application should be submitted in the prescribed proforma in triplicate (Form-IV & Form XIV) at the concerned Regional Office of BIS along with prescribed application fee, as applicable. The schedule of fee is given at Annexure I. The application fee is non- refundable.

The application (Form IV) is to be signed by the Chief Executive Officer (CEO) of the organization or any other person authorized to sign any declaration on behalf of the organization.

Each application shall be accompanied by a supplementary questionnaire (Form- XIV) duly filled in along with the documented service quality management system (such as, service quality manual, citizens' charter, any other document required by the standard, etc) prepared by the organization. The questionnaire (Form XIV) is also to be signed by the Chief Executive Officer of the organization or any other person authorized to sign any declaration on behalf of the organization. The name and designation of the person signing the application must be recorded legibly in a space set apart for the purpose in the questionnaire.

Organizations that have multiple service outlets shall declare the units to be covered in the certification scope along with the organization structure. Initially, option will be given to the organization to restrict the number of attached offices (units) for certification with provision to include the remaining outlets (units) gradually.

If necessary, BIS may seek and shall provide to the applicant further information about the scheme.

Processing of Application

BIS reserves the right to reject an application which is incomplete and does not fulfil one or more of following requirements. .

- i) Application fee not accompanying the application;
- ii) Application form is incomplete;
- iii) Annexures to the application are incomplete
- iv) Service Quality Manual/Citizen Charter/any other document needed by the organization for effective planning, operation and control of its service and service delivery processes not submitted

However, ample opportunity and information will be provided to applicant to fulfill the requirements.

The reason for rejection of the application will be communicated to the applicant by BIS.

BIS will acknowledge the receipt of the application and application fee. Every application will be given a serial number to be known as 'Application Number'. In all future correspondence, reference must be made to the 'Application Number'.

All multi-site organizations may not be eligible for sampling. Site sampling may be restricted where BIS does not get sufficient confidence in the effective implementation of the service quality management system as per IS 15700. Therefore, on receipt of application, it will be examined for the complexity and scale of service delivery process, size of sites eligible for multi-site assessment, variations in local implementation of the service quality management system, etc.

Preliminary Visit

After the application has been accepted, BIS official(s) will carry out a visit to the premises of the applicant/Central Office* to examine the documented Service Quality Management System (Service Quality Manual), Citizens' Charter, etc) for verifying the conformance to the standard and to acquaint himself/themselves of the size, nature of job being performed by the organization and organization's readiness for the initial audit. Any significant omissions or deviations from the prescribed requirements will be intimated by BIS during the visit and will have to be corrected by the applicant for further processing of their application.

* For multi-site organizations, normally, this Documents Review/Preliminary Visit will be carried out at Central Office (at first/second/third level) of the organization before initial audit. Apart from Central Office, other sites (units) may also be selected for preliminary visit based on complexity of activities, risk factors, etc. The complexities and scale of activities carried out at different sites will also be examined (by document review/preliminary visit) and any difference between the sites will be identified and intimated.

The visit will also be utilized to assess the number of mandays for the certification audit for grant of licence, its duration and type of expertise required. The number of mandays for audit will vary according to the size and nature of operations etc. of the applicant organization.

Based on the findings of preliminary visit, information relating 'selection of service outlets', 'number of audit mandays', etc., will be intimated to the auditee.

Assessment (Initial) Audit

For individual organization

An Audit Team from BIS will visit the organization for assessment of the organization's compliance to the requirements of IS 15700:2005 and service delivery processes, procedures and activities as enumerated in the documented service quality management systems.

For Organizations with Multiple Service Outlets

For organizations having multiple service outlets, initial evaluation will be done of the Central Office and attached office(s) on sampling basis as follows:

- Central Office
- Attached offices: (Number) ½ with minimum one in each level (state/district etc)

- Attached offices/units at lower levels, if any: (Number) ½ with minimum one at each level

RESPONSIBILITIES OF APPLICANT DURING THE AUDIT

The organization is expected to provide following assistance to the audit team during audits:

- a) Arrangements of stay, local guidance and travel arrangements, etc.
- b) The CEO and the nodal officer (apex level/unit level) of the organization must be present during the opening and closing meetings. As far as possible, all responsible personnel of the organization should be present in these meetings.
- c) In the interest of the organization, all efforts should be made that time of the audit team is not wasted on account of non- availability of relevant personnel, documents, records, shut down of department(s) being audited, etc.
- d) The organization will arrange a place/room where members of the audit team can meet to exchange their notes and findings and discuss during the day and at the end of the day.

Before grant of licence to the organization is considered, corrective/preventive actions taken by the organization on the non conformities, if any, observed during the audit will have to be verified by BIS. **For multiple service outlets in case a non-conformity is observed, either at the Central Office, or at a single outlet of the organization, the corrective action(s) will have to be taken on all applicable outlets.** This may be verified during the audit or through a follow up audit. After verification of necessary corrective action(s) taken by the organization the assessment team may recommend grant of licence.

At the time of grant of licence to the applicant, it shall give the following undertaking:

"We shall make no claim direct or implied that the licence granted to us relates to service(s) or delivery processes other than those set out in the said licence and the schedule thereof."

GRANT OF LICENCE

When the competent authority of BIS is satisfied with the recommendations of the assessment team for grant of licence, the same shall be granted. **If any site (Central Office or attached office) has a pending non-conformity, certification may be denied to the whole organization. The scope of certification will not be revised in order to overcome the non-conformity observed during initial audit at a given site.**

The licence shall be granted for a period of three years. In case of multi-site organization, one single certification will be issued with the name and address of the Central Office of the organization having multiple service outlets. A list of all the sites to which the licence relates will be issued either on the licence itself or in an annexure or as otherwise referred to the in the licence certificate along with the scope of the licence. The scope or other reference on the licence certificate will make it clear that the certified activities are performed by the network of sites in the list. If the scope of certification of the sites is only issued as part of the general scope of the organization, its applicability to all the sites will be clearly stated in the licence certificate and any annexure.

OPERATION OF LICENCE

Grant of licence will be followed by 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 replaced by 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 operation of certification, when a licensee fails to observe the conditions of the Service Quality 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.

In case of organizations with multiple service outlets, the licence certificate will be withdrawn in its entirety if the Central Office or any of the sites does not/do not fulfil the necessary criteria for maintenance of the licence. The organization shall inform about the closure of any of the site included in the licence and failure to provide such information will be considered as the misuse of the licence. Similarly, if the organization had added a new site, it shall not claim certification of this site, which otherwise will be considered as the misuse of licence.

Additional sites may be added to an existing licence based on recommendations of the audit team leader during surveillance/renewal/special audits when request has been made to BIS in advance.

RENEWAL, EXPIRY, SUSPENSION AND CANCELLATION OF LICENCE

Any Licence 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 atleast three months in advance before the expiry of the Licence which will be followed by a complete audit of service quality management system of the organization similar to initial 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 a 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.

For suspension and cancellation of Licence, please see Obligations of Licensee

OBLIGATIONS OF LICENSEE

A Licence holder on grant of certification for service quality management system will:

- a) At all times comply with the requirements of the Licence as set out therein and comply with *BIS (Certification) Amendment Regulations, 2002* or any amendments thereto.
- b) Only claim that he is holding a Licence in respect of the capability which is the subject of the Licence and which relates to service delivery processes or systems in accordance with its requirements.
- c) Not use the Licence in any manner to which the BIS may object and shall not make any statement concerning the Licence which, in the opinion of the BIS, may be misleading.
- d) Submit to the BIS for approval the form in which he proposes to use the Licence or proposes to make references to the Licence.
- e) Upon expiry of its period of validity, suspension or termination of the Licence, however determined, discontinue its use forthwith and withdraw all promotional and advertising matter which contains any reference thereto.
- f) Not make any change in the Service Quality Management System which forms the basis for the grant or renewal of the Licence and which prevents its compliance with the Scheme without prior approval of the BIS.
- g) The licence certificate will be withdrawn in its entirety if the Central Office or any of the sites does not/does not fulfill the necessary criteria for maintaining of the licence. The certified organization shall inform about the closure of any the site included in the licence and failure to provide such information will be considered as the misuse of the licence.
- h) Submit to the BIS any amendments to the approved documented system.
- i) Document all changes made to the Service Quality Management System and make records of such changes available to Bureau's designated officers on request. A change in key personnel in relation to management of the systems and technological functions or senior management shall be notified to the BIS by the Licence holder.
- j) Permit access to a team appointed by the BIS for purposes of assessment, audit or surveillance. The Licence holder shall give full details of all actions taken in response to field problems arising from allegations of defects in products, processes or systems covered in the licence and allow BIS officers access to all relevant records and documents for the purpose of verifying such details.
- k) Be required to produce evidence of continuing operations for the products, processes or systems covered by the Licence. Licence holder shall notify to BIS in writing of discontinuance in such operations exceeding three months. Discontinuance of a Licence in excess of six months or more may lead to cancellation of the Licence. In such cases, a fresh application shall be submitted to the Bureau and assessment visit will be necessary prior to grant of a new Licence.

- l) Pay all financial dues to the Bureau, in the manner specified by it, even for the period of discontinuance or suspension of Licence.
- m) Operate and maintain procedures for handling and recording of complaints and shall report any complaints against the service quality management system operated and/or Licence, to BIS. Cooperate and assist BIS on the investigation and resolution of such complaints.
- n) Operate within the provisions of the *BIS Act 1986*; *Rules, 1987*; *BIS (Certification) Amendment Regulations, 2002* and Certification Scheme Procedure for grant of licence.

PRIVILEGES OF LICENSEE

The privileges enjoyed by BIS Licence holder include:

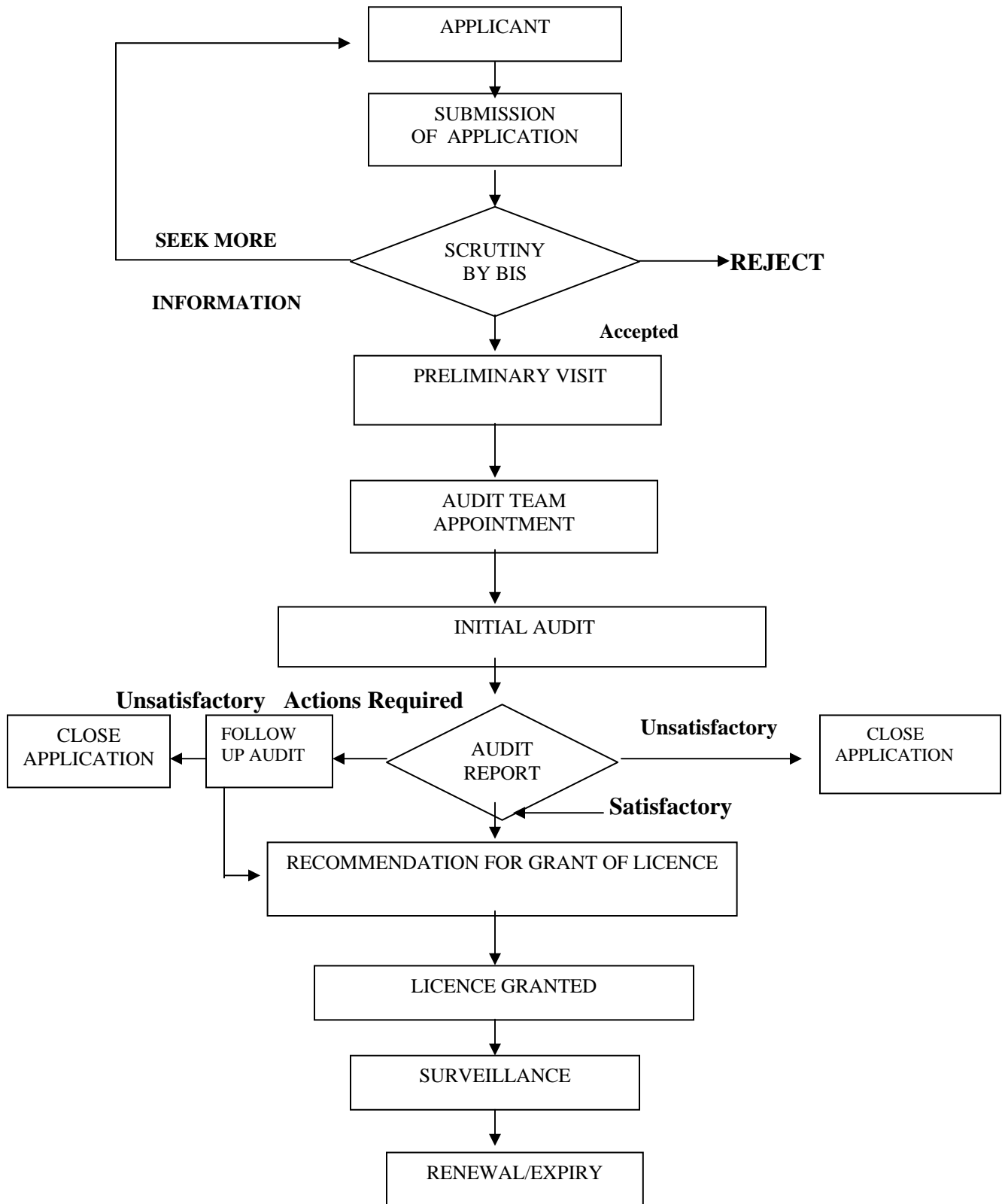
- a) Original Service Quality Management Systems Licence which can be demonstrated by the organization to anyone concerned. If need be, it can be photocopied & displayed at various locations.
- b) Use of Service Quality Management Systems Certification Mark (Sevottam) on letterheads in advertisements, brochures, complimentaries and for other promotional purposes.
- c) Each licence shall be listed in the register of certified organizations maintained by BIS.

APPEALS

Under the Provisions of *BIS Act 1986*, any decision taken in respect of granting, withholding, renewal, suspension or cancellation of certification under the Bureau of Indian Standards Service Quality Management Systems Certification Scheme (BIS SQMSCS) can be appealed against. For the Procedure and Guidelines for making an appeal, contact Head (Management Systems Certification) at BIS Headquarters, 9 Bahadur Shah Zafar Marg, New Delhi - 110 002.

<p>Note: BIS reserves the right to revise the terms and conditions and fees as and when necessary without notice.</p>

PROCESS OF SERVICE QUALITY MANAGEMENT SYSTEM CERTIFICATION



ANNEXURE I

SCHEDULE OF FEES FOR SERVICE QUALITY MANAGEMENT SYSTEMS CERTIFICATION

APPLICATION FEE

Application fee (to be paid along with application) shall be Rs 10,000/- .

PRELIMINARY VISIT

The application fee includes the adequacy audit (Document Review) of documented Service Quality Management System and preliminary visit fee. However, expenses for travel and stay of auditor(s) for preliminary visit will be charged at cost. Consideration will be given to allocate auditors from nearby offices of BIS to minimize travel/boarding cost.

ASSESSMENT/REASSESSMENT FEE

Rs 3,000/- per auditor(s)/expert(s) per day towards assessment (initial audit/renewal audit) fee plus expenses for travel and stay of auditors/experts which will be charged at cost.

Assessment/re-assessment fee and estimated expenses to be paid in advance before the audit.

Consideration will be given to allocate auditors from nearby offices of BIS to minimize travel/boarding cost.

LICENCE FEE

For Individual Organizations

Licence fee for a period of three years shall be of Rs. 40,000/-, to be paid at the time of grant/renewal of licence but before licence is issued to the licensee.

For Organizations with Multiple Service Outlets

Licence fee of Rs. 40,000/- for a period of three years, to be paid at the time of grant/renewal of licence but before licence is issued to the licensee. For each additional site to be covered under the scope, additional fee to be paid for each site shall be as follows:

No. of Sites with similar activities to be covered under certification	Fee for three years (Rs.)
Upto10	@10,000 per site
11 to 25	1,00,000 + @ Rs.7,000 for each additional site above 10
26 to 50	2,05,000 +@ Rs.5000 for each additional site above 25
51 and above	3,30,000 + @ Rs.3000 for each additional site above 50

SURVEILLANCE AUDITS

Normally 3 surveillance audits (one audit per year) will be undertaken during three years of validity period. Third surveillance audit may be replaced by renewal audit. Charges for surveillance audits, towards mandays spent, shall be Rs 3,000 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).

SPECIAL VISIT FEES

Any other audit (follow-up audit) or special visit will be charged at Rs 3,000/- per auditor per day towards fee plus expenses for travel and stay of auditors which will be charged at cost. Above charges will be leviable for any other visit/audit covering additional requirement which cannot be assessed during routine visits and/or visit(s) required to verify actions taken on non-conformities (NCs) raised (unsatisfactory performance), complaints investigation, etc. The special visit may also cover audits/visits for extension of scope, change of structure, merger, change of address, etc., as requested by auditee. BIS will decide about the conduct of special visits or any other audit (follow-up audit). Special visit fees or any other audit (follow-up audit) fee and estimated expenses for travel and stay shall be paid by the applicant/licensee in advance.

REVIEW OF FEES

Fees are subject to review periodically.

Note: Service tax as applicable on all fees to be paid by applicants/licensees along with fee in advance