

### 1.0. PURPOSE:

The purpose of this procedure is to define FTGS Issuing Office & Operation Office Activities for CBCA guidance process.

### 2.0. SCOPE OF APPLICATION:

Office	Activities in Issuing Office
<b>CBCA Issuing Office</b>	<ul style="list-style-type: none"> <li>✚ Management of CBCA Operation such as organization of seminars, training....etc.</li> <li>✚ Dispatching Security papers to Operation offices &amp; keeping records.</li> <li>✚ Validation of local procedures at the issuing office</li> <li>✚ Management of Registration/Licensing databases of CBCA Clients, as applicable.</li> <li>✚ Provide Technical &amp; Operational assistance to operational offices, as &amp; when required</li> <li>✚ Update about any changes/additions in "CBCA function table" when applicable.</li> <li>✚ Verification of Test Reports/other means of conformity evidence received by CERTECH GLOBAL</li> <li>✚ Coordinate with CBCA Operation Office to organize Inspection as per the guidelines and procedures, when applicable.</li> <li>✚ Decide to tag samples for control testing / full testing when necessary during Inspection and coordinate operation office.</li> <li>✚ Following up for final documents &amp; information required to issue certificate.</li> <li>✚ Verification of final technical documents.</li> <li>✚ Issue CoC (Certificate of conformity) under CBCA (VoC) programs.</li> </ul>

Office	Activities in Operation Office
<b>CBCA Operation Office</b>	<ul style="list-style-type: none"> <li>✚ Validation / Creation of files by CERTECH GLOBAL &amp; dispatching RFC (as applicable) / Guidelines to exporters.</li> <li>✚ Advising fees to the concerned party for making the payment, collect fees (as applicable) from clients &amp; invoicing.</li> <li>✚ Schedule physical inspection in coordination with exporter / manufacturer</li> <li>✚ Coordinate certification steps with Issuing Office &amp; clients</li> <li>✚ Verification of Inspection Report, PICL and Pictures</li> <li>✚ Verification of final commercial documents.</li> <li>✚ Draft verification &amp; issuance of certificates within stipulated time limit.</li> <li>✚ Distribution of security paper to the concerned team members and control the records for traceability of usage.</li> <li>✚ Printing CoC under CBCA (VoC) programs.</li> </ul>

### **3.0 RESPONSIBILITY FOR APPLICATION:**

FTGS Manager are responsible for ensuring that all concerned staff implements this procedure.

## **4. PROCESS RALATED TO OPERATION OFFICE**

### **4.0. Steps involved in generating a file reference by CBCA Operation Team:**

- CBCA Operation Department receives invoice by email or fax and same is verified to ensure all details needed to open a file are present. The ID (Import declaration) and Invoices are verified as per the applicable program requirement (with the assistance of technical department if required).
- Generating file reference by CERTECH GLOBAL team is realized by CBCA Operation Team.
- Generating file reference is done within 24 Hrs upon receipt of required data from the exporter and a RFI/ RFC is sent to the exporter along with a guideline letter, as applicable.
- If filled RFI / RFC or email (as applicable) is not received, then a follow up for the same is done by the concerned. Exporters have the choice of sending the inspection details by email where RFI is not mandatory.

### **4.1. Step involved in processing files by CBCA Operation Team:**

- CBCA Operation Department at HQ receives the CBCA files directly from the Technical Dept.
- CBCA Operation Department is responsible to approve IRs.
- When inspection needs to be performed by the Global Network in other countries, CBCA Operation Department shall handle the coordination process.
- Inspectors perform inspection as per the Inspection / CBCA procedure and as per instructions received from the respective CBCA Operation Department if any.
- For all cases, complete IR's are submitted within 24 Hrs. upon completion of inspection.
- CBCA Operation Department / Inspectors are responsible to ensure all reporting is done accurately and IR is accordingly ticked as satisfactory, satisfactory with reserves or unsatisfactory.

### **4.2. Steps Involved in the Final Process by CBCA Operation Team (FP):**

## **FOREIGN TRADE AND GOVERNMENT SERVICES CBCA GENERAL PRECEDURE**

- Files are received for issuance by the CBCA Operation Team. These are further distributed by the corresponding Coordinator (or in the absence, designated back-up) to his/her.
- Once FDs are received, the CBCA operations team verifies the same before issuing the certificate.
- All FDs are checked by the CBCA operations team before issuance along with the inspection details.
- The operations team is responsible to verify the draft & issue all COCs within the stipulated time.
- Authorized personnel for issuance are listed by CERTECH GLOBAL.
- The files are eventually closed by issuing a CoC or NCR.
- The corresponding operations Team ensures sufficient number of security paper is provided to the staff, when alerted.
- The operations team is responsible to maintain a database of all security papers used, as applicable.
- The operations team is responsible to endorse final documents whenever requested by the clients.
- The operations team is responsible to coordinate file with exporters and Technical Team.

### **5. PROCESS RALATED TO ISSUING OFFICE**

#### **5.0. Steps Involved In The Technical Department (Tech Dept.):**

- After generating file by CBCA Operation Team, file will be nominated to Technical Team to define standards required for products
- In order to perform conformity verification of documents, tech dept. checks for existing test reports from the test report register (library) or TRs are requested from the client and such documents are recorded in CERTECH GLOBAL database (as applicable).
- In case of no satisfactory TRs, the Tech Dept choose samples for CT. Instructions are given to the Operation Team via the "Additional requirements to inspector" available in the network folder - Additional requirements to inspector. Samples are chosen based on the risk involved and based on a defined procedure by program, if applicable. A quotation from the lab is received and the same is sent for approval to the client before p r o c e e d i n g further unless an agreement exists. All control test reports received from labs are maintained in a database.
- Tech Dept. sends the inspection order via mail to the concerned Operation Team (s).
- The Tech Dept. is responsible to provide any additional instruction to the inspector besides his normal duties in case of doubts etc, via the instructions to inspector form/ by email.
- CBCA Technical Coordinators are responsible to approve IRs for all CBCA files.
- The Tech Dept. completely depends on the reporting of the inspector on the IR. The files are forwarded for issuance when IR and Technical requirements are satisfactory. If IR is marked as "satisfactory with reserves" or "unsatisfactory", the Tech Dept. investigates further and concludes accordingly.

## FOREIGN TRADE AND GOVERNMENT SERVICES CBCA GENERAL PRECEDURE

- For all verifications Tech Dept. follows guidelines of CERTECH GLOBAL under each program and refers to special instructions received from HQ. Such instructions may be documented for future reference.
- Tech Dept provides technical assistance to the CBCA operations team as and when needed.
- All discrepancy files shall be followed up with the clients. In case of no reply, the file shall be forwarded to CBCA operations team for NCR issuance

### 6. SPECIFIC INSTRUCTIONS FOR OPERATION OFFICE & ISSUING OFFICE

- Any file with a discrepancy/confusion shall be clarified with the concerned party immediately.
- Related correspondences (E-mail / Fax / verbal communication (followed by an email)) for a particular file shall be retrievable / traced back as and when needed.
- Technical Department shall apply a risk analysis study for clients. HQ must approve requesting / accepting a self-declaration letter from clients for a time in order to avoid same mistake by Exporter for next shipments.
- Any deviation to the normal process for any reason shall be approved by the Technical Department in the form of email.
- Any letter of claims or appreciation of good service received from client at any time must be recorded with quality department.
- For certain clients/processes refer to special procedure created after having Issuing Office approval.

### 7. TERMINOLOGY:

AWB	= Air way Bill.
BL	= Bill of Lading
GS	= Government Services
CDR	= Conformity Document Review
COC	= Certificate of Conformity
COI	= Certificate of Inspection
CT	= Control Testing
FT	= Full Testing
CBCA	= Consignment Based Conformity Assessment
DSO	= Days of Sales Outstanding
G-PIC	= Global Physical Inspection Centre
FCL	= Full Container Load
FD	= Final Documents
FP	= Final Processing
FTGS	= Foreign Trade & Government Services
HQ	= Head Office
HS	= Harmonized System for Classification of Products
IDF	= Import Declaration Form
Issuing Office	= Office authorized to issue certificates Globally under CBCA Programs
IP	= Initial Processing
IR	= Inspection Report
KAM	= Key Account Management
LC	= Letter Of Credit
LCL	= Less Container Load

LO	= Liaison Office
NCR	= Non-Conformity Report
PAD	= Pre-Arrival Declaration
PCS	= Product Conformity Specifications
PFI	= Proforma Invoice
OO	= Operation Office
PIC	= Physical Inspection Centre
PICL	= Product Inspection Checklist
PL	= Packing List
PSI	= Pre-Shipment Inspection
GP	= General Procedure
RFI	= Request for Information
RFC	= Request for Certificate
ROF	= Report of Findings
TC	= Test Certificates
TR	= Test Report
TD	= Technical Department
TER	= Technical Evaluation Report
TIR	= Technical Inspection Report
VOC	= Verification of Conformity

### 8. RELATED DOCUMENTS

- Code of Practice
- Code of Ethics
- Performance Of Physical Inspection Procedure
- Country Specific Programs Procedure
- CBCA Guidelines
- Sampling Instructure
- Saving Code Checklist
- Inspection Reports
- Product Inspection Checklist

### 9. REVISION SITUATION

Revision date	Revision No	Revised clause	Explanation
14.02.2025	-	-	Generation of the procedure.