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## PURPOSE

To ensure that the processes needed to meet the requirements for the provision of products and services and to implement effective actions are developed and carried out in a controlled manner.

## SCOPE

Applicable to all the services offered *at the Head office and warehouse located at Dheku.*

*Warehouse at Dheku includes core and back-end services like storage, file retrieval, re-file, destruction, scanning, receiving courier and permanent removal of files from storage.*

*Head office includes centralised processes of Purchase process, Proposal to CIF Process, MR and Leadership and Recruitment and Training Process*

## REFERENCE

NA

## RESPONSIBILITY

The overall responsibility for establishing, documenting, implementing and updating this system lies with the Chief Operating Officer.

## PROCEDURE / DESCRIPTION OF ACTIVITIES

### 1. OPERATION

#### 1.1. OPERATIONAL PLANNING AND CONTROL

The product / service delivery processes have been planned and developed based on customer and organisational requirements. During the planning and development of the processes, the specific requirements from the output, the process documentation required the verification, validation and monitoring requirements for service delivery as per customer/other stakeholder requirements have been determined and defined in the processes so developed. Also, criteria for each process and for acceptance of products and services have been considered in the planning stages together with the resources required to achieve conformity.

In case a new process needs to be put in place for effecting the delivery of a new service, the above stated requirements are determined (during the planning stage of the process) and defined in the process for service delivery.

#### 1.2. REQUIREMENTS FOR PRODUCTS AND SERVICES

##### 1.2.1. CUSTOMER COMMUNICATION

The organisation has determined and implemented effective arrangements for communicating with the customers in relation to the following:

- For providing information relating to products and services and for handling enquiries, contracts, or orders, including changes – this maybe through phone, email, or meetings
- For any clarifications and coordination in contract review related matters, the customer can reach the Sales Department. This may be through phone, email or personal discussion

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- Customer feedback, including customer complaints – this is captured through the Complaint Management Process
- For handling or controlling customer property
- For establishing specific requirements for contingency actions, when relevant

### 1.2.2. DETERMINING THE REQUIREMENTS FOR PRODUCTS AND SERVICES

The customers of OEC Records Management Company are financial service institutions, hospitals, public sector enterprises, and any other organisations that have record storage requirements. The documents of these organisations is stored upon request received by the customer after the necessary data entry has been carried out.

The process of determining requirements ensures the following are determined:

- Requirements specified by the customer, including requirements for delivery and post-delivery activities
- Requirements not specified by the customer but necessary for specified use or known and intended use – these are determined through the interactions with the customer during the course of the understanding the new product/changed requirements and other interaction
- Regulatory requirements related to the service

### 1.2.3. REVIEW OF REQUIREMENTS FOR PRODUCTS AND SERVICES

The service required by the customer are reviewed prior to acceptance of the agreement. This review is done by the Sales Department based on the understanding of the customer requirements. Based on the understanding of the revised requirements and SLA's, amendments to the existing contracts/ agreements are made. This is then communicated to the customer. This review ensures that –

- requirements specified by the customer, including requirements for delivery and post-delivery are defined
- Requirements not stated by the customer, but necessary for the specified or intended use, when known are defined
- Requirements specified by the organisation are defined
- Statutory or regulatory requirements as applicable to the products or services if any are defined
- Contract or order requirements differing from those previously expressed are resolved, and
- Capability exists to meet the defined requirements

Verbal clarification, if any, is documented by acknowledging the same through mail.

In addition to the review done by the Sales Department, secondary reviews (if required) are also done by the Chief Operating Officer or Director- Sales on communication received from the customer.

OEC maintains documented information on the results of the review and on any new requirements for the products and services.

### 1.2.4. CHANGES TO REQUIREMENTS FOR PRODUCTS AND SERVICES

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It is ensured that any amendments to the contract, at any stage, are documented and accepted after doing a capability/ feasibility check. The amendment is initiated based on changes in customer requirements / market forces which is then incorporated into the contract. All impacted personnel within and external to OEC Records Management Company are informed of the amendment.

### 1.3. DESIGN AND DEVELOPMENT OF PRODUCTS AND SERVICES

This requirement of the International Standard is not applicable to the quality management system at OEC Records Management Company as the company does not design any product/service that is offered to the customer.

### 1.4. CONTROL OF EXTERNALLY PROVIDED PROCESSES, PRODUCTS, AND SERVICES

“Process for Purchasing (OEC-MR-PU-P-01)” has been established and is maintained to ensure that the purchased products / services conform to the specified requirements.

#### 1.4.1. Classification of Purchased Products/Services

The products/services purchased include the following:

- Services of an outsource agency for personnel performing various activities bulk scanning
- Stationery items such as boxes, racks, files
- Other Stationery items
- IT Hardware
- IT Software

#### 1.4.2. Vendor/Service Provider Evaluation

Evaluation and selection of vendors & service providers is done on the basis of their ability to meet purchase requirements including those of the Quality System and any specific quality assurance requirements. This is done by the respective Department Managers procuring the service.

Vendors / service providers are selected from the Lists of Approved Vendors / Service Providers. However, in case the specified requirements cannot be met by an approved vendor / service provider, potential new vendors / service providers having the ability to meet the specified requirements, are identified, and after evaluation, an appropriate vendor / service provider is selected. They are then included in the Approved Lists only after the evaluation or after a trial order.

Purchase orders are issued only to a vendor / service provider in the Approved Vendor List. However, this excludes one-time orders that may be placed on vendors not on the Approved Lists.

Depending on the product or service being purchased, the requiring personnel enter into agreements / contracts or issue purchase orders, as applicable, at the time of the initiation of the contract, in accordance with the process. All agreements / contracts / purchase orders are reviewed and approved prior to issue. The agreements / contracts / purchase orders indicate the date, the vendor / service provider's name and the material or service description and requirements. At the time of the actual purchase, the applicable purchase document is issued / filled up. Where there is day-to-day interaction with the outsourced agency staff, instructions are given on the job to be done. Instructions are also issued to ensure that the details of the

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work to be carried out are understood completely. OEC also communicates to external providers its requirements for

- Processes, products, and services to be provided and its approval
- Competence including any required qualification of persons
- External providers interaction with the organization
- Control and monitoring of the external providers performance to be applied by OEC

#### 1.4.3. Verification of Purchased Product or Service

All purchased products/service are verified as per Purchase Order/Contract/Agreement for conformance to specified requirements prior to use.

#### 1.4.4. Customer Verification of Purchased Product or Service

The customers of OEC Records Management Company do not include this as part of a contractual requirement but wherever / whenever required, this is done.

#### 1.4.5. Vendor/Service Provider Performance Review

The performance of all continuing product / service providers is reviewed at defined intervals, at least once a year with particular attention to nonconformity's to products or complaints of services delivered and initiate appropriate corrective action as appropriate. This is done by the respective authority as defined in the process.

AVP-Admin have the authority to delete the name of an approved service provider from the Approved List, for legitimate reasons; e.g., deterioration of service provided or lack of response to corrective action requests.

### 1.5. PRODUCTION AND SERVICE PROVISION

#### 1.5.1. CONTROL OF PRODUCTION AND SERVICE PROVISION

All work is done under controlled conditions and these include:

- Availability of documented information and suitable monitoring and measuring resources
- Implementation of monitoring and measurement activities
- Use of suitable infrastructure and environment for operation of processes
- Appointment of competent resources
- Validation and periodic re-validation of the ability to achieve planned results of the processes
- The implementation of actions to prevent human error
- The implementation of releases, delivery, and post-delivery activities

The process control system of OEC Records Management Company covers the following primary service operations:

- Pick Up Process
- File Retrieval Process for scanning, copying, or dispatch

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- Refiling Process
- Destruction Process
- Permanent Removal Process

All the above processes are performed in accordance with appropriate processes and instructions.

At all stages it is ensured that all personnel performing work affecting quality of services delivered are trained. Verification is done at various stages and the status of verification is clearly indicated.

### 1.5.2. IDENTIFICATION AND TRACEABILITY

There is no specific process for Identification and Traceability, however all identification and traceability issues have been addressed in the relevant processes.

#### 1.5.2.1. Identification

All materials at various stages (Documents, files, boxes) are identified by one or more of the following methods:

- By appropriate signoff and remarks by relevant personnel (Operations Supervisor, Customer Service Executive)
- By numeric codes (e.g. Agreement code for a customer created in the system)
- By barcodes on documents and boxes
- Demarcation of files for different processes – scanning, refiling, retrieval, destruction, and permanently out

#### 1.5.2.2. Traceability

Where traceability is a specified requirement, it is ensured that the product/service is traceable.

All files are identified by a unique barcode that is mapped to a unique box code and agreement code. Each request received from the end customer carries file barcode numbers that can be traced back in the system. This traceability would extend to the deliverables as well.

### 1.5.3. CUSTOMER OR EXTERNAL PROVIDER PROPERTY

Customer Supplied Property includes the files and documents provided by the end-customer for the purpose of storage.

Customer supplied property is verified before Pick-Up and during receipt, stored, and maintained so that they are fit for scan, copy, or delivery at the time of retrieval.

Customers supplied property, if lost, damaged or otherwise found unsuitable for use either on receipt or usage, is recorded and reported to the customer.

The customer supplied property is returned or shared with the customer upon request at a later stage.

### 1.5.4. PRESERVATION

All end-customer documents (files/documents) and deliverables are handled and stored in a manner so as to prevent damage or deterioration (not natural) both during transit and storage.

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### 1.5.5. POST DELIVERY ACTIVITIES

All end customer deliverables (files/documents/boxes) that have to be transported, are packaged in appropriate cartons, envelopes, and boxes so as to prevent damage during transportation. Where packaging is necessary to prevent damage, it is effectively done.

Soft copies of documents/files should be sent to the customer in an encrypted format.

### 1.5.6. CONTROL OF CHANGES

OEC reviews and controls changes for production or service provision, to the extent necessary to ensure continuing conformity with requirements. It also retains documented information describing the results of the review of changes, the persons authorising the change, and any necessary action arising from the review.

### 1.6. RELEASE OF PRODUCTS AND SERVICES

OEC implements planned arrangements at appropriate stages to verify that the product and service requirements have been met. OEC would retain documented information on the release of products and services and this information will include

- Evidence of conformity with the acceptance criteria
- Traceability to persons authorising the release date

### 1.7. CONTROL OF NONCONFORMING OUTPUT

All non-conformances are identified based on verification carried out as defined in the respective operational processes. The non-conformances identified during the different activities are recorded in the respective logs as defined in the "Process for Control of Non-conforming Product / Service" for further review.

The deviations identified are addressed in the following way:

- By taking action to eliminate the detected nonconformity
- By authorising its use, release or acceptance under concession by a relevant authority and, where applicable, by the customer
- By taking action to preclude its original intended use or application

Action to be taken in case of detection of a non-conformance have been defined in the "Process for Control of Non-Conforming Product / Service (OEC-MR-NC-P-01)".

A nonconforming product/service is reworked where it is possible to correct the non-conformance.

Where a non-conformance cannot be corrected and the impact of the non-conformance on the quality of the services delivered by OEC Records Management Company is severe, the product/service is rejected.

The decision to exercise any one of the above options is based on the type of the non-conformance and the decision is taken by the Vice President Operations, Branch/Zonal Managers.

Records of the nature of nonconformities and any subsequent actions taken, including concessions obtained, are maintained as defined in the process.

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When deviations are rectified, further performance is monitored to ensure that the deviation does not recur.

**RECORDS**

Records for the above process are maintained as specified in the processes.

**ENCLOSURES**

NA

**FORMATS / EXHIBITS**

NA