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A. Distribution List

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The Quality Manual is hosted on the home page of the intranet site of the Office of the Additional DGFT, New Delhi for use of the officers and the staff.
### B. Document Revision History

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<td>Identification and control of documents of external origin</td>
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<td>Inclusion of Documentary Procedures</td>
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<td>13</td>
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<td>Addition of role of Co-Management Representative and update of the Definition section</td>
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<td>14</td>
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<td>Amendment for inclusion biometric attendance, changes related to trade notice</td>
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The following abbreviations shall wherever used, have the meaning as under-

1. DGFT- Director General of Foreign Trade
2. ADGFT – Additional Director General of Foreign Trade (CLA)
3. CLA- Central Licensing Area
4. MR- Management Representative
5. FTP – Foreign Trade Policy
6. HBP- Hand book of Procedures Vol.-1
7. FTDR Act- Foreign Trade (Development & Regulation) Act, 1992 (as amended)
8. IEC – Importer Exporter Code
9. FPS – Focus Product Scheme
10. MLFPS- Market Linked Focus Products Scrip
11. MEIS – Merchandise Export Incentive Scheme
12. SEIS – Services Export Incentive Scheme
13. AIIS-Agri Infrastructure Incentive Scheme
14. AA- Advance Authorization
15. DFIA- Duty Free Import Authorization
16. ARO – Advance Release Order
17. DEPB – Duty Entitlement Passbook Scheme
18. SION – Standard Input Output Norms
19. REP – Replenishment
20. EPCG- Export Promotion Capital Goods
21. NC – Norms Committee
22. EO – Export Obligation
23. EODC – Export Obligation Discharge Certificate
24. ECA- Enforcement cum Adjudication Action
25. DEL – Denied Entity List
26. RCMC – Registration-cum-Membership Certificate
27. LUT –Legal Undertaking
28. BG – Bank Guarantee
29. R&I – Receipt & Issue
30. FTDO – Foreign Trade Development Officer
31. PRC - Policy Relaxation Committee
32. EDI – Electronic Data Interchange
C. PROFILE OF THE OFFICE OF THE ADDITIONAL DGFT, NEW DELHI:

The Directorate General of Foreign Trade (DGFT) is an attached office of the Department of Commerce in the Ministry of Commerce & Industry, Government of India. Over the last few years, the role and responsibilities of the DGFT has undergone a change and the work orientation has shifted from a ‘trade regulator’ to that of a ‘trade facilitator’.

The main areas of responsibility of DGFT, as per the Government of India Allocation of Business Rules 1961, include-

- Formulation & Implementation of Export-Import Policy and its procedures; and
- Facilitating international trade with a view to promoting sustained national economic growth;

The Directorate with its headquarters at Udyog Bhavan, New Delhi has regional offices spread all over India to carry out the implementation of the Foreign Trade Policy and administration of Export Promotion Schemes.

The Office of the Additional DGFT, New Delhi has under its umbrella all the regional offices of the Northern Zone. This office handles major workload of the Directorate General of Foreign Trade in issuance of Importer – Exporter Code/Authorisations/Scrips/Certificates/Letters/Permissions etc under the FTP/HBP.

The main areas of responsibility of the O/o the Additional Director General of Foreign Trade, New Delhi as per various O & M instructions, Manual of Office Procedure, Establishment Rules, FTP, HBP Vol.I includes the issuance of Importer-Exporter Code/Authorisations/Scrips/Certificates/Letters/Permissions etc.
Code/Authorisations/Scrips/Certificates /Letters/Permissions etc under various chapters of the FTP/HBP

The organisation structure of the office of the Additional Director General of Foreign Trade, New Delhi is given in the manual of procedure.
1. SCOPE OF THE QMS

1.1 Issuance of Importer-Exporter Codes/Authorisations/Scrips/Certificates/Permissions/Amendments thereto/Refund of taxes/duties and Grant of Status Certificates to the Exporters/Importers under New Delhi Jurisdiction as per the provisions of the Foreign Trade Policy and the Hand Book of Procedures.

The office of the Additional Director General of Foreign Trade, New Delhi has adopted International Standard ISO 9001: 2008 which specifies the requirements for a Quality Management System in order to:

- Consistently provide services that meets Exporters’ and applicable legal requirements, and
- Enhance Exporter satisfaction through the effective application of the QMS, including the processes for continual improvement of the QMS for timely issuance of Importer – Exporter Code/Authorisations/Scrips/Certificates/Letters/Permissions etc under the FTP/HBP.

1.2 The established System is applicable to the activities of the Office of the Additional DGFT, New Delhi located at A Wing, Indraprastha Bhawan, IP Estate, New Delhi.

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<tr>
<td></td>
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<td></td>
<td>Fax.No. 23379114</td>
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<tr>
<td></td>
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All Quality Management System requirements laid down in the International Standard ISO 9001: 2008 are applicable to this Organisation, except the following exclusions that are stated below:

a) Clause 7.3 – **Design and Development:** This office is not involved in design/development activities. The services rendered are in conformity with the legislative requirements and international trade agreement commitments, which are not formulated by the organisation. Hence, this clause is not applicable to the activities of the office.

b) Clause 7.5.2 – **Validation of Special Processes:** The office does not have any such activities where the outputs of the services rendered cannot be tested/verified for its conformity. Hence, this clause is not applicable to the activities of the organisation.

c) Clause 7.6 – **Control of monitoring and measuring devices:** The office does not use any measuring and monitoring devices (or inspection, measuring and test equipment)
since its processes are not related to physically measurable activities/services. Hence, this clause is not applicable to the activities of the office.
2. REFERENCES

The List of references which is used in developing and implementing the Quality Management System are given below:

**ISO STANDARDS**

IS/ISO 9001: 2008 Quality Management Systems- Requirements

Some of the terms and definitions used are

**Process**: Process is defined as ‘a set of inter-related activities that transform inputs into outputs’

**Quality**: Degree to which a set of inherent characteristics fulfil customer expectations and needs

**Customer Satisfaction**: Customer’s perception of the degree to which the customer’s requirements have been fulfilled

**Quality Management System**: Management system to direct and control activities of the Office with regard to quality

**Quality Objective**: Something sought or aimed for related to Quality

**Quality Improvement**: Part of quality management focused on increasing the ability to fulfil quality requirements

**Continual Improvement**: Recurring activity to increase the ability to fulfil requirements

**Effectiveness**: Extent to which planned activities are realised and planned results achieved
3. TERMS AND DEFINITIONS
The following abbreviations shall wherever used, have the meaning as under-

33. ADDITIONAL DGFT- Additional Director General of Foreign Trade, New Delhi
34. Jt.DGFT-Joint Director General of Foreign Trade
35. Dy.DGFT-Deputy Director General of Foreign Trade
36. Asstt.DGFT-Assistant Director General of Foreign Trade
37. FTDO-Foreign Trade Development Officer
38. MR- Management Representative
39. Co-MR- Co Management Representative
40. FTP-Foreign Trade Policy
41. HBP- Hand Book of Procedures
42. FT( D &R) Act- Foreign Trade (Development & Regulation) Act, 1992
10. DA-Dealing Assistant
11. UDC-Upper Division Clerk
12. LDC-Lower Division Clerk
13. MTS-Multi Task Staff
14. IEC- Importer Exporter Code
15. I-Card –Identity Card
16. DES-Duty Exemption Schemes
17. EPCG-Export Promotion Capital Goods
18. EP AU Bond-Export Promotion Actual User Bond
19. ECA-Enforcement cum Adjudication
20. HRD-Human Resources Development
21. EFC-Export Facilitation Cell
22. GSP-Generalised System of Preferences

Some of the terms and definitions used are

Top Management: Persons or group of people who direct and control an organisation at the highest level

Process: Process is defined as ‘a set of inter-related activities that transform inputs into outputs’

Quality: Degree to which a set of inherent characteristics fulfil Exporter expectations and needs

Grade: Category or rank given to different quality requirements for products, processes or systems having the same functional use

Exporter Satisfaction: Exporter’s perception of the degree to which the Exporter’s requirements have been fulfilled

Quality Management System: Management system to direct and control activities of the organisation with regard to quality
Quality Objective: Something sought or aimed for related to Quality

Quality Improvement: Part of quality management focused on increasing the ability to fulfil quality requirements

Continual Improvement: Recurring activity to increase the ability to fulfil requirements

Effectiveness: Extent to which planned activities are realised and planned results achieved
4. QUALITY MANAGEMENT SYSTEM

4.1 GENERAL REQUIREMENTS:

The office has a well-established, documented and implemented Quality Management System (the details of which are explained in the section related to the Quality Policy). This office is maintaining and continually improving the effectiveness of this system in accordance with the requirements of ISO 9001:2008

As part of this process of implementing, maintaining and improving the said QMS, the office has been constantly finding means to provide better services to the exporters by way of putting processes in place for simplification of procedures, easy access to information etc:

a. The office has determined the processes needed for the quality management system and their application throughout the office, except for the exclusions mentioned in the Section 1.2 above. All such processes are detailed in the Process Manual.

b. The office has determined the sequence and interaction of all the processes and has been specified in the processes detailed in the Process Manual.

c. The office has been using various methods required to effective operation and control of the processes so as to ensure conformity with Exporter and legal requirements by way of issuing instructions/notes/circulars/trade notices which have laid down the details regarding the persons responsible for exercising the controls and also the documentation requirements for processing of applications under different schemes of the FTP. The detailed list of all such instructions/notes/circulars/trade notices are given in the Manual of Procedure.
d. The top management is making available all the resources like office equipments, stationery and information necessary to support the operation and monitoring of these processes. Also, all the staff has been provided access to the Computers and the Local Office Server so that any information is readily available to them.

e. The top management monitors and analyses the relevant processes continually on the basis of constant reviews through meetings of the top management, exporters feedback, internal audit reports, internal feedback, weekly review meetings, etc.

f. The top management has been implementing various measures necessary to achieve the planned results and thereon for the continual improvement of these processes by means of bringing in effective measures for, easy accessibility to information, simplification of procedures, creating awareness about the requirement of mandatory documents, setting up of facilitation counters, by way of issuing instructions/notes/circulars/trade notices/clarifications etc

This office is not outsourcing any processes that affects the product conformity except the specialised support services like maintenance of office equipments, computer hardware and software maintenance which are done through Annual Maintenance Contracts.
4.2 DOCUMENTATION REQUIREMENTS

4.2.1 GENERAL

The Quality Management System documentation of the office includes documented statement of:

(a) Quality Policy and Quality objectives;
   (Refer Section 5.3 and 5.4.1 of this Manual)

(b) Quality Manual;

(c) Mandatory documented procedures detailed in the Documentary Procedures (explained in Section 9 of this Manual)

(d) Process Manual containing the details of all the processes followed by this office.

(e) Manual of Procedure showing all the O & M Instructions/Office Orders/Circulars/Trade Notices/Notes etc issued for the purpose of effective planning, operation and control of the various processes

(f) Softwares on the local server for processing the applications received in the office of the Additional DGFT, New Delhi.

The “Documented Procedures” i.e. Procedure for Control of Documents, Procedure for Control of Records, Procedure for Control of Non Conforming Products, Procedure for Preventive Action, Procedure for Corrective Action and Procedure for Internal Quality Audits as explained at the end of the Quality Manual have been established, documented, implemented and maintained.

The above documents are maintained in hard copies with the MR and Co-MR. However, soft copies are also available for the ease of editing, printing and as a backup and for easy
accessibility by all the officers and staff of the office of the Additional DGFT, New Delhi.

### 4.2.2 QUALITY MANUAL

The office has established and maintained this Quality Manual which includes the Quality Management System and:

a. The applicable Scope which has already been specified at 1.1 above and also the exclusions which have been specified at 1.2 above along with justification for exclusion.

b. The documented procedures which have been established for the Quality Management System are explained at the end of the Quality Manual.

c. The interaction of the various processes of the quality management system explained in the Process Manual.

### 4.2.3 CONTROL OF DOCUMENTS

All the documents required by Quality Management System are controlled. The office has established “Documented Procedures” which defines the controls needed to effectively implement the Quality Management System and are explained at the end of the Quality Manual.

The controls defined in the procedures include the applicable methodology:
a. To enable proper dak receipt, diarisation, movement, handling and action on receipts thereof and ensure approval of documents for adequacy prior to issue from designated approving authorities and to store the documents after completion of such processes;

b. To ensure proper receipt and disposal of communications;

All the documents, controls, processes are periodically reviewed by the Top Management at regular intervals and re-approved through circulars/instructions/notes etc. Wherever any changes are made in the controls, processes, documents, etc the same will be circulated to all the levels concerned

All the personnel have access to the latest changes in the FTP/HBP/other legal requirement in processing the exporters’ applications since these are updated regularly on the home page of the local office computer server which is being accessed by all levels of officers and staff of the office of the Additional DGFT, New Delhi.

All documents are stored properly so that they remain legible and are also scientifically and systematically numbered so that they are readily identifiable by their document numbers and titles.

* The Quality Manual and the Process Manuals shall be issued with specific details like:

- **Name of the Office** is Office of Additional DGFT, New Delhi
- **Issue Number** will be 01 for the first issue of a document. After 15 revisions issue number will be incremented by 1.
- **Revision Number** which denotes the revision being introduced whenever there are any revisions/amendments in the Document made in a year
- **Date of Revision** denotes the date on which the revision/Amendment is effected
- **Reviewed by** shows the authority which has reviewed the document which shall be the Management Representative
- **Approved by** shows the authority which has approved the document which shall be the Additional DGFT, New Delhi.
- **Issued by** shows the authority which has issued the document which shall be the Management Representative
- **Issue date** shows the date on which the original document is issued
- **Page number** indicates the page number of the Document

Hard copies of all documents of ISO standards, requirements are available with the MR and softcopies of the same are placed on the homepage of the local server.

All documents used in the processing of Exporter’s applications. like the FTP, HBP, Policy Circulars, notifications, Public Notices, Trade Notices, etc. are available on the Home Page of the Local Server for the purpose of proper reference.
All external documents like Shipping Bills, Bank Realisation Certificates, Chartered Engineer’s Certificates, Chartered Accountant’s Certificates, Industrial Licences, RCMCs, etc. are systematically referenced and stored in the respective file of the exporters.

c. All changes in the FTP/HBP are regularly updated on the homepage of the local computer server which is accessible to all the personnel in the office and the earlier versions are also retained for any legal/referential purposes.

Ref: Procedure for Control of Documents explained at the end of the Quality Manual.

4.2.4 CONTROL OF RECORDS

The office has determined, established and maintained a scientific system for proper maintenance of Records which is in conformity to organisational requirements and effective operation of the Quality Management System.

These scientific systems of maintenance of records is done through a software system and is maintained in such a manner that these remain legible, readily identifiable, properly protected, and easily retrievable and disposition is done as per the related instructions and guidelines.

The office has also established a “Documented Procedure” which defines the controls needed for identification, storage and protection, retrieval, retention time and disposal of records.

Ref: Procedure for identification, storage and protection, retrieval, retention and disposal of documents explained at the end of the Quality Manual.
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5. MANAGEMENT RESPONSIBILITY

5.1 MANAGEMENT COMMITMENT

The Top Management headed by the Additional DGFT at the New Delhi Zonal office of DGFT has committed itself to implementing and maintaining a documented quality system as per ISO 9001: 2008 requirements. This includes:

a) communication to all the members of the office the importance of meeting Exporter as well as legal requirements which is being regularly highlighted by the top management in the review meetings;
b) established quality policy which has already been stated at 5.3 of this manual;
c) ensured that quality objectives are established which has been stated in detail at 5.4.1 of this manual;
d) conducting management reviews; and
e) ensuring the availability of resources. The Top management has made available the necessary resources and personnel to maintain the system, including a Quality Coordinator who, as a Management Representative, is responsible for ensuring that the requirements of this manual are met.

5.2 EXPORTER FOCUS

The focus of the office of the Additional DGFT, New Delhi is Export facilitation at all levels of authority and at various stages of decision-making while issuing various Importer-Exporter Code/authorisations/Scrips/permissions/certificates/letters under various Export Promotion Schemes of the Foreign Trade Policy.
The office strives to render the services to the exporting community in a time bound manner as per timelines stipulated in the HBP. Utmost care is been taken to introduce the elements of transparency, uniformity and simplification of procedures.

In furtherance of the above objective the following measures have been taken by the office of the Additional DGFT:

a. An Export Facilitation Committee has been set up to redress grievances of the members of the trade and industry which is held once in a month.

b. In order to resolve quality complaints from foreign buyers in a time bound manner mechanism (RSCQC) for settlement of trade disputes/complaints has also been put in place.

c. Counter Assistance Cell has been reintroduced for providing support to the Exporters in matters relating to Foreign Trade Policy and to assist the exporters in making the applications under various schemes of the FTP.

d. The Office of the Additional DGFT, New Delhi also maintains a Website http://dgft.gov.in/dgftNew Delhi which is updated on a regular basis. The information available on the website includes the Foreign Trade Policy and its procedures, Public Notices, Notifications and Policy Circulars issued by the DGFT and other related data. (image on the homepage of the website showing the exhaustive features is also enclosed in the manual of Procedures).

e. The Additional DGFT, New Delhi has with a view to facilitate the exporters been issuing various local circulars and trade notices regarding the checklist for submitting applications under various schemes of the FTP which are regularly updated on the website.

f. The site provides excellent interface to the users by giving link to the minutes of various committee meetings of the DGFT HQs, the list of status holders, defaulter status, Scrips issued, Authorisations issued, authorisations redeemed etc.

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g. In addition to this the site has link to FAQs as well as other important websites useful for the exporting community. The application status is also available online.

h. Queries of the Exporters are replied through e-mail by the concerned authorities for faster communication, which results in reduced response time.

i. The list of Export Incentive Scrips issued are placed on the website which enable for speedy registration of the same at the Customs Authorities.

j. The list of authorisations redeemed in a month are placed on the website which enable for speedy verification of redemption/release of the Bank Guarantees/Bonds at the Customs Authorities.

k. A system of filing electronic applications through the Web for grant of FTP incentives to the users has also been put in place in order to enhance productivity, reduce physical interface, bring about transparency in various export related activities. Efforts are made to process applications received electronically within 24 hours.

l. The exporters can contact any of the officers of this office for any clarification by phone, mails and personal hearings.

m. The Additional DGFT, New Delhi has also issued instructions regarding the necessity for implementation of the Job Rotation Policy to ensure vested interests are not created through high frequency of contacts with the same applicant repeatedly, and officers assigned to sensitive posts like Enforcement, Licensing, Audit, Vigilance, etc. would be changed periodically.

The entire activities/functions carried out by Office of the Additional DGFT, New Delhi is Exporter-centric. Consistent efforts are made to address their needs and facilitate trade in line with the provisions of the Foreign Trade Policy and Hand book of procedures.

5.3 QUALITY POLICY
QUALITY POLICY STATEMENT

The Office of the Additional DGFT, New Delhi is committed to facilitate the Exporters in obtaining all the benefits due to them under the Foreign Trade Policy within the stipulated timelines through:

- issuing the Importer-Exporter Codes/authorizations/scrips/certificates/letters, as per policy requirements
- improving the performance and efficiency of all the personnel of this office
- electronic governance
- transparency in the operations and access to information

The Office of the Additional DGFT, New Delhi has put in place the above quality policy that is:

a. appropriate to facilitate the exporters in obtaining the Importer-Exporter Code/authorisations/Scrips/Certificates/letters etc under the FTP in most efficient and timely manner as per time lines set in the Hand Book of Procedures;

b. committed to comply with the requirements of continually improving the effectiveness of the quality management system by making the processes more user-friendly through the introduction of checklists and templates, extension of counter timings, increase in the intake in the number of applications for status holders, etc

c. provides a framework for the Management Review Committee with Additional DGFT, New Delhi in chair to establish and review quality objectives annually;
d. is communicated to all employees through instructions/notes/circulars, link on the home page, training so that the quality policy is understood at all levels within the office; and

e. is periodically reviewed for continued suitability in the Management Review Committee Meetings.

To ensure that the above declared Quality Policy is maintained, this office has put in place the following systems which are required:

- to provide better services to the exporters by way of reduced transaction costs by reducing the number of deficiency letters as per the note issued by the Additional DGFT, New Delhi on the issue of raising the deficiency letters

- to monitor regularly so that the problem areas are identified and the same can be addressed without any time lag which is being done in the review meetings

- The top management has been regularly issuing trade notices to facilitate the exporters by way of coming out with checklists specifying the documentary requirements for applying under different schemes of the FTP. The trade notices are issued only with the approval of DGFT HQ, Delhi.

The Additional DGFT, New Delhi has been issuing various circulars regarding the templates to be used by different sections of the office in processing the applications of the exporters to bring about smooth processing, clarity, efficiency and uniformity in the processes;
The Additional DGFT, New Delhi has also issued trade notice regarding the frequently found deficiencies in processing the applications of the exporters so that the exporters are aware of the possible deficiencies and can take due care before submitting their applications so that their applications are processed within least possible time and with least deficiencies;

The Additional DGFT, New Delhi has been issuing various notes/instruction regarding clarifications/important changes in the FTP/HBP to create better understanding, clarity and implications of the changes;

The Counter Assistance cell has been reintroduced to assist the exporters in pre scrutiny of the applications before submission of documents at the counters. This has been done with a view to minimise the deficiencies that may arise due to non submission of documents;

A traffic light system has been developed for monitoring almost all types of the pendencies in this office wherein the Red column points out to the cases in which target lines have been reached, The Yellow column denotes the cases in which 80% of the target time is over and therefore the same requires to be taken up and the Green column which is not reflected in these statements has figures of the cases in which as yet 80% target time is not over.

As part of the Business Process Re-Engineering process conducted during the process of preparation of the Process manuals, the system of desk to desk monitoring has been included wherein the dealing hands shall maintain movements register in respect of the files processed and put up by them to the approving authority. This shall ensure the easy tracking of the files and helps
to fix responsibility in case there is any noticeable delay in the processing of the exporters files.

The Additional DGFT, New Delhi has created a special cell under the direct control of the head of the office to conduct a 1% check of Fresh files (except issuance of Scrips) and amendment files and 2% check of Scrips issued and redemption files to verify whether the cases are being dealt within the time lines and within the prescribed guidelines relating to following the due process, issue of quality deficiency letters, following of policy procedures, following of instructions regarding page numbering and cross referencing, etc;

The office has a fully equipped Computer Cell with a dedicated staff to ensure that all the system related issues are constantly monitored to ensure the continuous working of the Computer systems.

The office also has a NIC cell manned by Senior Technical Officers to attend to any problems faced by the Exporters during the course of the online applications and the transmission of online data.

This office also has a regularly updated website which is very exhaustive and is very informative (a copy of the Home page is enclosed in the Manual of Procedures).

The office has been conducting Senior Officers’ Meetings as and when required to deliberate upon any issue relating to the implementation of the FTP/HBP whenever any difficulties regarding the same has been brought to its notice. This ensures that there is clarity and uniformity in the implementation of the FTP/HBP and the decisions of the same are circulated.
to all the sections of the office for implementation while processing the applications of the exporters.

The Additional DGFT, New Delhi has been issuing various vigilance instructions regarding maintenance of proper filing system, cross referencing in the notings, strengthening of the ECA sections, instructions to officers and staff for maintaining punctuality, instructions regarding attendance of staff members, late arrivals, specifying the names of dealing hands in file notings, policy for job rotation etc in order to maintain integrity and transparency. AADHAR linked biometric system is being used for recording attendance of staff in the office.

The Additional DGFT, New Delhi conducts a weekly review meeting of all the officers of this office to monitor the performance of all the sections, identify the problem areas, initiate necessary steps to solve such problems, monitoring of Pre realisation Scrips, Issue to be taken up with the customs authorities, obtaining the feedback of the officers, Export Obligation Monitoring activity, Listing and sending of files to records, monitoring the implementation of PRC decisions, etc;

The Additional DGFT, New Delhi has issued the Trade notices to extend the Timing of the counters for facilitate the exporters coming from distant places and also has increased the number of application to be received at the counters from 3 to 5 in case of the status holders keeping in mind their larger requirements.

In order to facilitate trade and cut down processing time delays that occur due to deficiencies which are there in the IEC applications or their supporting

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documents, the Additional DGFT, New Delhi has created an **IEC Assistance Cell** at the IEC counter which shall do the preliminary scrutiny of the manual IEC applications when the same are submitted at the counter. Whenever an IEC application is received at the IEC Counter, the IEC Assistance Cell shall verify, on the spot, the application and the supporting documents therein. If there is a deficiency in the application/supporting documents, the same shall be intimated to the applicant on the spot, by making a noting in the side margin of the application and the application along with the supporting documents shall be returned to the applicant. Such applications, therefore, would not be recorded as ‘Received’ in the office. Only if the application is found complete in all respects, including the documents submitted, the IEC application will be accepted in this office and acknowledgement regarding the same shall be given to the applicant. This business process re-engineering will ensure that there is an ‘on the spot’ scrutiny at the counter of the IEC applications and the supporting documents at the Counter by the IEC Assistance Cell and they are pointed out there itself so that time of the applicant is saved in receiving the deficiencies and then addressing them.

As part of the commitment made for **continuous improvement** during the ISO certification process, the Additional DGFT, New Delhi has issued instructions to the Deemed Export Section so that the application for the Deemed Exports Section are received at the counter in the same way as is being done in other cases. These applications will be given a unique acknowledgement number to identify the applications. Any deficiencies in the application and in the documents submitted therein will be communicated to the firm by way of deficiency letter. Only after the application and the documents therein are complete in all respect, would the file number be given. This Business Process Re-engineering has been done in order to be

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able to effectively monitor and keep record of all the deemed export section applications received, the deficiency letters issued and the disposals in the said regard.

As part of the **Niryat Bandhu Initiative** for mentoring first generation entrepreneurs, the Additional DGFT, New Delhi has started weekly session for the new entrepreneurs in the Conference Hall of the Office of the Additional DGFT, New Delhi wherein the officers of this office along with experts from different Export Sectors invest time and knowledge in mentoring the interested individuals who want to export and enter markets in a legal way. Further Seminars at different Colleges/Industry associations are also being conducted to mentor and handhold Young Turks and upcoming exporters in International Business Enterprises. Sessions have been conducted at the Towns of Export Excellence as well.

Vide DGFT’s Notification No. 21 dated 13th June 2013 the Additional DGFT, New Delhi has been empowered to act as the **Appellate Authority** to decide appeals against the orders passed by the Assistant Director General of Foreign Trade, Deputy Director General of Foreign Trade, Joint Director General of Foreign Trade in the Western Region. Consequently, the Additional DGFT New Delhi has created an Appeal Section in the Office for handling of the appeals filed in this regard. After receiving the appeals at the Counters, the Personal Hearings are given to decide on the appeals.

The Additional DGFT, New Delhi has been continuously monitoring the quality of deficiency letters and issuing regular instructions. The O & M Instruction No. 12/2008 dated 12.11.2008 mandates that only one Deficiency Letter (DL) may be issued conveying all the deficiencies in the application in one go which may be decided at the level of FTDO/Asstt. DGFT. The O & M
Instruction No. 19/2015 dated 13.01.2015 mandate that even the first DL can be issued only with the approval of Dy. DGFT or Jt. DGFT, as the case may be. Licences will be issued after approval by the officer (Dy. DGFT/Jt.DGFT) at whose level second or subsequent DL was issued, while the first deficiency can be issued at the FTDO level, the 2nd deficiency requires to be necessarily put up to the next higher authority who could be the DDG or the JDG as the case may be. Accordingly, it has been instructed by the Additional DGFT, New Delhi that for the purpose of ensuring Quality deficiencies in fresh applications and post-licensing Applications, the 3rd deficiency letter should thereafter necessarily be put up to the subsequent higher authority i.e., JDG or Addl.DGFT as the case may be and all cases in which the deficiency letter is proposed for the fourth time, necessarily requires to be put up to the Addl. DGFT for approval. This will also ensure that the deficiencies which are issued by the sections are comprehensive, complete, clear and substantial.

As part of the commitment made for continuous improvement during the ISO certification process, the Additional DGFT, New Delhi has put the office space into more efficient use. Each floor has been re-organised so that the work areas have more space for workstations and proper keeping of files.

To provide a transparent working environment in the office, CCTVs have been put at every exit and entrance points to monitor the movement of outsiders. CCTVs have also been put at the Counter Areas and the waiting places to monitor and manage traffic movement of exporters.

The list of all the important notes/circulars/trade notices/instructions issued in the above regard is listed in the Manual of Procedure.
5.4 PLANNING

5.4.1 QUALITY OBJECTIVES

The Quality Management System ISO 9001: 2008 in the office of the Additional DGFT, New Delhi is designed to achieve the following objectives:

- To facilitate imports into, and augmenting exports from India and for matters connected therewith or incidental thereto; and
- To issue Importer-Exporter Code/Authorisations/Scrips/Licences/Letters etc to Exporters conforming to FTP/HBP requirements within the stipulated time schedule;

The Office of the Additional DGFT, New Delhi exercises the responsibility of quality management through strict adherence to the laid down procedures and maintaining work culture that fosters continuous improvement. The objectives are established via a process of consultation and are communicated to all levels and hierarchy in the office for use and implementation. These objectives are continuously monitored for their achievement periodically in the Management Review meetings. The Measurable Quality Objectives are available with all the officers in charge of the sections.

5.4.2 QUALITY MANAGEMENT SYSTEM PLANNING

a. The Top management of the office of the Additional DGFT, New Delhi has ensured that the planning of the quality management system is carried out in order to meet the requirements given in Section 4.1 as well as the quality objectives
b. The top management is committed to maintain the integrity of the QMS whenever changes to the QMS will be planned and implemented.
The process management approach adopted at the office of the Additional DGFT, New Delhi is as follows:

EIPOE (Exporter-Input-Process-Output-Exporter)
Based on EIPOC (Exporter, Input, Process, Output and Exporter), the processes have been identified and are shown hereunder:

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<tr>
<th>S.No</th>
<th>Process Name</th>
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<tr>
<td>1</td>
<td>Process for online processing of applications</td>
<td>PMOLLP</td>
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<td>2</td>
<td>Process for receipt and dispatch at the counter</td>
<td>PMRDC</td>
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<td>3</td>
<td>Issue of Importer-Exporter Code</td>
<td>PM01</td>
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<td>4</td>
<td>Issue of Identity Card</td>
<td>PM02</td>
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<td>5</td>
<td>Issue of Chapter 3 Incentive Scrips</td>
<td>PM03</td>
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<td>6</td>
<td>Issue of Advance licences in respect of export products for which Standard Input –Output norm is not notified</td>
<td>PM04</td>
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<td>7</td>
<td>Issue Of Advance Licences in respect of export products for which input –output norm is notified / standardised</td>
<td>PM05</td>
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<tr>
<td>8</td>
<td>Post-Licensing Activities in respect of Advance Licences issued under duty exemption scheme</td>
<td>PM06</td>
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<tr>
<td>9</td>
<td>Export Obligation Monitoring in respect of Advance licences issued under Duty Exemption Scheme</td>
<td>PM07</td>
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<tr>
<td>10</td>
<td>Issue of Duty Entitlement Pass Book (DEPB)</td>
<td>PM08</td>
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<td>11</td>
<td>Issue of Licences under export Promotion capital goods scheme</td>
<td>PM09</td>
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<td>12</td>
<td>Post license work in respect of licenses issued under Export Promotion Capital Goods Scheme</td>
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<tr>
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<th>Process Description</th>
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<td>Export Obligation Monitoring for licenses issued under Export Promotion for Capital Goods Scheme</td>
<td>PM11</td>
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<td>14</td>
<td>Issue of Licence for the items in the negative list of imports /exports</td>
<td>PM12</td>
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<tr>
<td>15</td>
<td>Grant of Deemed Export Benefits</td>
<td>PM13</td>
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<td>16</td>
<td>Issue of Status Holder Certificate</td>
<td>PM14</td>
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<td>17</td>
<td>Litigation</td>
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<td>18</td>
<td>Enforcement –cum-Adjudication</td>
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<td>19</td>
<td>Record Management</td>
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<td>Registration Certificate</td>
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<td>21</td>
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<td>22</td>
<td>Policy Relaxation Committee Cases</td>
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<td>23</td>
<td>Infrastructure</td>
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<td>25</td>
<td>HRD</td>
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5.5 RESPONSIBILITY, AUTHORITY AND COMMUNICATION

5.5.1 RESPONSIBILITY AND AUTHORITY

The Additional DGFT, New Delhi has defined the responsibilities and authorities of the key personnel within the Quality Management System and has communicated the same to all the persons within the office.
All staff members are given appropriate authority and resources to carry out the functions as per the work distribution outlined in the processes explained in the Process Manual.

A brief summary of the key duties and responsibilities of various functional authorities as represented in the organization chart of the Office of the Additional DGFT, New Delhi and the work distribution amongst various Sections/Divisions is given in the Manual of Procedures.

The administrative and financial delegations to various levels of authority are as per orders and notifications issued in this behalf and laid down in the O and M instructions issued by the DGFT.

Ref.: a. Organisation Chart as per the Manual of Procedure.
   b. Job Description as per the Manual of Procedure.

**5.5.2 MANAGEMENT REPRESENTATIVE**

The Head of the Office, New Delhi has designated Shri Amiya Chandra, Joint Director General of Foreign Trade, as the Quality Coordinator who will act as a Management Representative, in addition to other assigned responsibilities. Shri Nitish Suri, Deputy DGFT, Shri Utpal Kumar Acharya, Deputy DGFT, Shri Vivek Singh, Deputy DGFT has been designated as the Co-MR to discharge the responsibilities of the MR in his absence. The responsibility and authority of the Management Representative includes:

a. ensuring that the processes needed for Quality Management System are established, implemented and maintained;
b. reporting to the Top management on the performance of the Quality Management System and any need for improvement;
c. ensuring the promotion of awareness of Exporter requirements within the organization by conducting meetings, holding awareness programmes etc. and
d. liaison with the ISO certifying agency on matters related to Quality Management System.

The Management Representative reports directly to Additional DGFT, New Delhi on matters concerning implementation and maintenance of QMS ISO 9001:2008

5.5.3 INTERNAL COMMUNICATION

The Top Management has issued instructions regarding the appropriate communication processes within the office and is ensuring that all communications are taking place as per the instructions regarding the effectiveness of the Quality Management System.

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<tr>
<td>1</td>
<td>Quality Policy</td>
<td>Notes, Office Orders, Circulars</td>
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<td>2</td>
<td>Quality Objectives</td>
<td>-Do-</td>
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<td>3</td>
<td>Management Review Meetings</td>
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<td>Q M S Review</td>
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<td>5</td>
<td>Internal Audits</td>
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<td>6</td>
<td>Corrective/Preventive Action Follow up</td>
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5.6 MANAGEMENT REVIEW

5.6.1 GENERAL

The Top Management shall review the Quality Management System in the Office at least once in six months, to ensure its continuing suitability, adequacy and effectiveness.

This review includes assessing opportunities for improvement and the need for changes to the Quality Management System, including the quality policy and quality objectives.

The Management Representative is responsible for maintaining the records of management reviews including the minutes of Management Review meetings (this is done as per 4.2.4 of the manual).

5.6.2 REVIEW INPUT

The input to Management Review meetings shall include information for the period under review on all elements of ISO 9001:2008. However, emphasis shall be laid on the following issues:

a. results of audits
b. Exporter feedback
c. process performance and product conformity
d. status of corrective and preventive actions;
e. follow-up actions from previous management reviews;
f. changes that could affect the QMS
g. recommendations for improvement

5.6.3 REVIEW OUTPUT
The Management Representative shall be responsible for recording and maintaining the minutes of the Management Review Committee meetings. The output from the management review Committee in the form of Minutes and action plans shall include any decisions and actions related to:

a. improvement of the effectiveness of the Quality Management system and its processes;
b. improvement of services related to Exporter; and
c. resource needs for the effective implementation of the QMS.

Thereafter recommendations of the MRC meeting will be recorded as action points with specific time frame of compliance to be carried out by sections on which responsibility will be placed. These action points will then become the objective of the concerned section which will have to be complied with.
6 RESOURCE MANAGEMENT

6.1 PROVISION OF RESOURCES

a. The Top Management at the office of the Additional DGFT, New Delhi is constantly making efforts to identify and provide for adequate resources like personnel, proper working environment and adequate infrastructure, office equipments, stationery etc needed to achieve the objectives of the Office of the Additional DGFT, New Delhi and implement and maintain a Quality Management System and continually improve its effectiveness.

b. The Top Management at the office of the Additional DGFT, New Delhi is constantly providing resources to enhance Exporter satisfaction and has established processes to identify Exporter requirements as detailed in the Quality Policy Section through the Exporter Facilitation Committee Meetings, Counter Assistance Cell, Checklist for the Exporters etc

Ref.: Procedure for Customer Satisfaction is explained at the end of the Quality Manual.

6.2 HUMAN RESOURCES

6.2.1 GENERAL

The personnel of the office of the Additional DGFT, New Delhi are recruited by the DGFT organization through the Union Public Service Commission (UPSC) and the Staff Selection Commission (SSC). The employees so recruited are posted/deployed in all the field offices (including Office of the Additional DGFT, New Delhi). The Department of Personnel is also consulted on all matters relating to methods of recruitment, principles to be followed in making promotions, transfers and on all disciplinary matters.
The Organization based on the job requirements/transparency requirements/Departmental Guidelines etc identifies personnel having appropriate skills and experience for the specific jobs and assigns the tasks on the basis of their competence.

All employees are required to maintain a code of conduct in order to ensure probity in public life as per procedures laid down in this behalf in the Central Civil Services (Conduct) Rules. The Organization endeavors to maintain efficiency, transparency, discipline and integrity of its employees by taking appropriate preventive measures in their operational area of work. Disciplinary proceedings are instituted against errant employees as per established procedures.

6.2.2  COMPETENCE, AWARENESS AND TRAINING

The Establishment Division of the Office of the Additional DGFT, New Delhi constantly

a. identifies the competency requirements for performing various jobs that affect the quality of service;

b. arranges for providing necessary training to satisfy these needs. In this regard the office has implemented a training programme for all the staff in the office in which the Jt.DGFTs had conducted sessions on various provisions of the FTP/HBP/Policy Circulars etc. Also training sessions were arranged to the staff to create awareness about the ISO requirements to increase their commitment towards the Quality maintenance and to enhance their work performance

c. takes a weekly review meeting on every Friday in which the evaluation of the effectiveness of the actions taken are discussed and necessary steps are taken to make it more effective;

d. ensures that the personnel are aware of the relevance and importance of their activities and their contribution to achieve quality objectives of the organization through the above meetings.
e. is maintaining the relevant records of education, training, skills and experience.

In this regard the Additional DGFT, New Delhi has issued various circulars/instructions to improve the efficiency of the working of the personnel by way of bringing out the checklist/templates/frequently issued deficiency lists/and other instructions. The Additional DGFT, New Delhi has also issued various instructions/notes regarding the policy provisions and their implications and the latest changes brought out in provisions of the FTP/HBP; and

Training programmes focus on:

- Responsiveness to the genuine needs and expectations of the exporters and organizational and technological developments.
- Guidelines for effective implementation of the Quality Management System and confirming to the specified requirements
- Keeping update with the latest changes in the FTP/HBP and the clarifications given by various committees of the DGFT HQs New Delhi
- Knowledge of the statutory documentation of the interrelated departments like the Customs/Excise Authorities/Banks etc
- Technical knowledge and skills like computer operations etc
- Accountability to ensure high performance in every professional field and cost effective methods of delivery.

The training programmes are organized based on organizational needs and training skill requirements as identified on a continual basis to ensure the achievement of identified quality objectives. The list of Training Programmes organised by the office/conducted

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by the DGFT HQs for which officers/staff of this organisation are nominated shall be part of the Manual of Procedures.

6.3 INFRASTRUCTURE

The Office of the Additional DGFT, New Delhi organization is constantly analysing, determining and managing the required infrastructure facilities needed to achieve conformity to the quality policy. The infrastructure needs that are considered include:

a. Adequate workspace for its employees, record storage space etc. In this regard a proper and aesthetic working atmosphere is being created by way of renovation in phased manner in the office. The counters and the working sections of the 2nd Floor had been renovated in the year 2013 with proper ventilation and lighting arrangements;

b. Office equipment needs like personal computers and telecommunication facilities, storage cupboards, stationery consumables etc;

c. Supporting services like proper working environment, information and communication systems, welfare, security, drinking water etc. In this regard each section and each officer have been providing with telephone facilities. All the officers have been provided with internet and official mail facilities.

The Additional DGFT, New Delhi has issued instructions to keep the working environment clean and safe by way of moving unwanted files to the records section and creating sufficient space to the personnel.

The Office of the Additional DGFT, New Delhi has arranged for conducting regular preventive and associated maintenance of the identified infrastructure like Computer hardware, consumer durables like Air Conditioners, etc to ensure its continued suitability.
6.4 WORK ENVIRONMENT

The Office of the Additional DGFT, New Delhi is constantly monitoring and managing the required work environment needed to achieve conformity to policy, services given to the Importer/Exporter during issuance of Importer-Exporter Codes/Authorisations/Scrips/Certificates/Permissions/Amendments thereto/Refund of taxes/duties and Grant of Status Certificates. The work environment factors that are taken into consideration are:

- temperature, noise, lighting, ventilation etc.
- human factors such as ergonomics etc. In this regard all the working spaces are being renovated in a phased manner
- introduction of functional lay-out for the office premises;
- creation of open offices to facilitate better supervision,
- efficient file management and cost effective and space effective records management.
- Creation of glass windows on all the cabins of the officers to bring about confidence among the exporters for greater transparency and openness
- Availability of Equipments like Computers, Printers, etc.
- Stationery, Tags, Envelopes, Ink, Stamp Pad, etc.
- Training is conducted as and when need arises.
- Guidelines issued time to time regarding the behaviour/attachment to be maintained at work place.
Efforts are made to continually improve the work environment within the existing budgetary grants.
7 PRODUCT REALIZATION
7.1 PLANNING OF PRODUCT REALIZATION

The Office of the Additional DGFT, New Delhi has established the following as appropriate while planning for providing services to its Exporters:

a. quality objectives and requirements of its services;
b. has established detailed processes through various Notes/Circulars/instructions for implementation of the Checklist and Templates in processing the requests of the Exporters under different schemes of the FTP
c. specified the list of documents to be verified and insisted while processing the applications
d. has given instructions regarding the need to abide by the timelines prescribed in the Handbook of procedures and also introduced a traffic light system in the system software to constantly view the applications to be processed to ensure that realization processes meet Exporter requirements. In this regard, the Additional DGFT, New Delhi has also given proper guidelines for processing of the files/page numbering/indexing/cross referencing/verification of the documents specific to the schemes and the criteria for their acceptability;

Ref.: Various processes followed at Office of the Additional DGFT, New Delhi of DGFT are explained in the Process Manual.
7.2 EXPORTERS- RELATED PROCESSES

7.2.1 DETERMINATION OF REQUIREMENTS RELATED TO THE PRODUCT

The Office of the Additional DGFT, New Delhi determines the Exporter requirements for obtaining benefits under different schemes of the Foreign Trade Policy that include:

a. requirements specified by the Exporter explicitly in their application regarding the consideration of their request under specific provisions of the FTP/HBP;
b. the specific policy/procedural provision under which the request of the exporter is to be considered may have not been referred by the exporter in his application but the application is to be considered as per the provisions applicable; and
c. legal requirements as prescribed in the FTP/HBP related to the services offered.
d. The office also issues timely clarifications, trade notifications etc keeping in mind the exporters’ requirements

7.2.2 REVIEW OF REQUIREMENTS RELATED TO THE PRODUCT

Applications are received under a particular Scheme of the FTP and they are processed in this office. The Office of The Additional DGFT, New Delhi has also issued various Circulars specifying templates and the documents to be checked in processing the applications for accepting the applications of the exporters under different schemes of the FTP which are also published on the homepage of the local server for easy availability to all the staff concerned.
In respect of the corrective measures and amendments to be done after processing the Exporter’s applications due to changes in the Policy/Procedure during the validity of the Certificate/Authorisation/Scrips, the request may originate from the Exporter or this office may initiate the action on its own.

If the Exporter wants to modify his request then the same is scrutinized/reviewed and allowed.

7.2.3 EXPORTER COMMUNICATION

The Office of the Additional DGFT, New Delhi has identified and implemented the arrangements needed for effective communication with Exporters related to

a. service information through the exporter facilitation cell;
b. enquires/clarification through the exporter facilitation cell, mails to officers,
c. Exporter feedback including Exporter complaints, Exporter Feedback Forms e-mails to officers, personal hearings and interviews with the officers etc
d. The status of the Exporter’s application can be viewed by the Exporter on the DGFT Website, since the link is available on the DGFT Website till it is accepted at the Customs Server.

7.3 DESIGN AND DEVELOPMENT

Clause No. 7.3 of ISO 9001:2008 is not applicable. This is a permissible exclusion as per Clause No. 1.2 of ISO 9001:2008. The exclusion of this clause does not affect the ability of the Office of the Additional DGFT, New Delhi to provide services to meet Exporter and regulatory requirements.
7.4 PURCHASING

7.4.1 PURCHASING PROCESS

The Office of the Additional DGFT, New Delhi is following all the guidelines laid down by the Government of India during the process of purchase of products and services that conform to the specified requirements. Purchase activities include:

a. Purchase of various consumer durables like Water Coolers, Air Conditioners, Water Purifiers, Office furniture, Computer Hardware and Softwares etc

b. Purchase of Expert services like IT- hardware and software Annual Maintenance Contracts, Annual maintenance Contracts for maintenance of Air Coolers/Conditioners etc;

c. Purchase of consumables, like spares for printers, computer stationery, office stationery etc

d. Purchase of other items for the office.

e. Tenders are also published on the home page of the office website to give more publicity to the requirement and to make the process more transparent

The Office of the Additional DGFT, New Delhi applies specified types and extent of controls on the suppliers and the purchased products depending on the effect of the purchased material/service.

All Such Purchasing Processes are documented and maintained to ensure that all services/products whenever procured conform to specified requirements and the purchase is done through the processes which are transparent and open.
The Additional DGFT, New Delhi nominates the committee and its members to evaluate the suppliers and select them based on certain factors like their financial viability/technical expertise/ past work experience, ability to supply the service/material product in accordance with the specified requirements, etc.

The Office of the Additional DGFT, New Delhi maintains a list of approved/eligible/past suppliers who are capable of meeting all the requirements including quality, cost and delivery schedule.

Records of selection, evaluation and revaluation of the suppliers and necessary actions arising from such evaluations are maintained as per 4.2.4 above.

7.4.2 PURCHASING INFORMATION

The Purchase Order contains adequate information about the service/product proposed to be purchased, specifications like quality and quantity, duration of service, cost and delivery schedules to be adhered to, etc.

a. The purchasing document also contains all details about the requirements of approval of the product/service.

b. The purchase process also includes the initiation of a note by the appropriate authority for approval by the designated officer/selection committee for taking a decision for purchase of products/services, clearly mentioning the specifications,

c. The details of all the competitors, valuation of the offers, tenders/quotations received, deficiencies etc are all included in the notings before finalising the supplier. Based on the approval accorded by the designated officer, the purchasing department (Infrastructure Cell) places the order on the supplier for supply of the specified product/service.
The performance of supplier is reviewed, assessed and necessary controls are exercised to ensure that their services are meeting the requirements as specified by incorporating the said clauses in the contract/purchase order.

7.4.3 VERIFICATION OF THE PURCHASED PRODUCT

The Office of the Additional DGFT, New Delhi constantly verifies the services/products being procured. This provision is included in the concerned contract/purchase order itself. This is to ensure that the products/services being supplied by the supplier meets the specified purchase requirements.

In case the office feels desirable to perform verification at the supplier’s premises, the same is also mentioned clearly in the purchase order about the intended verification arrangements and also the methods of release of the product is specified in the purchase order itself.

The type of Inspection/Verification by Exporters at my Supplier’s premises is not applicable to us since this office is not involved in manufacture of any product and also no main activity is outsourced to any other agency.
7.5 PRODUCTION AND SERVICE PROVISION

7.5.1 CONTROL OF PRODUCTION AND SERVICE PROVISION

The Office of the Additional DGFT, New Delhi has issued required instructions to all the concerned to carry out the processes in providing the timely service to the exporters as per the provisions of the FTP/HBP under controlled conditions. The controlled conditions applied include

a. availability of all the information required to process the applications of the exporters keeping in view the objectives of the FTP. In this regard, all the staff have the access to the latest changes in the FTP/HBP/Notifications/Public Notices/Policy Circulars/links to various other organisations like Customs, etc on the home page of the local computer database server

b. availability of work instructions as necessary through various instructions of the Additional DGFT, New Delhi in processing the claims of the exporters through the prescribed checklists/templates/notes/trade notices, etc;

c. all the staff process the applications of the exporters as per FTP/HBP/instructions/guidelines etc

d. all the instructions/documents etc required to the process the applications of the exporters are readily available on the homepage of the local server

e. implementation and monitoring the processes is done by the concerned Jt.DGFTs on daily basis and Additional DGFT, New Delhi monitors the processes of the office in the weekly review meetings held on every Friday; and

f. after the implementation of the processes, release, delivery and post delivery activities like despatching the scrips/authorisations/certificates to the exporters and maintaining the files for further record/auditing/monitoring for realisation/export obligation fulfilment etc are also conducted as per instructions issued by the Additional DGFT, New Delhi in this regard.
7.5.2 VALIDATION OF PROCESSES FOR PRODUCTION AND SERVICE PROVISION

Presently no production activities are performed by the office of the Additional DGFT, New Delhi and hence this clause is not applicable.

7.5.3 IDENTIFICATION AND TRACEABILITY

The Office of the Additional DGFT, New Delhi has already implemented the system of automatic file number generation by the local computer data base server by way of generating unique code number of the files according to the sections pertaining to the alphabets and the scheme under which the application is made and the year and the serial number of the application. This number is unique for a file throughout the country and is uniquely identifiable.

The Office of the Additional DGFT, New Delhi has also established the methods for identifying the status of the services provided to the exporters through the various links on the home page of the intranet which can be accessed by the personnel of the office to ensure that non-conformities do not occur.

Also the home page of the website gives the exporters opportunity to know about the status of their IEC /scrip issuance status /redemption status etc.
7.5.4 **USER PROPERTY**

The Office of the Additional DGFT, New Delhi exercises adequate care with the User’s files and documents while it is under its control. The User documents and files are properly identified/filed/numbered/stored/ verified/ protected and safeguarded when the same is in possession of the office. Any loss or damage or deterioration observed in the User property during receipt or storage is identified, recorded and taken up with the higher officers for taking suitable action. Appropriate storage and preservation conditions are maintained to enable delivery of the User documents in good condition to the Exporters.

The Additional DGFT, New Delhi has issued instructions/Circulars/Notes regarding the proper file maintenance and also proper storing of the files which has been listed in the Manual of Procedure.

7.5.5 **PRESERVATION OF PRODUCT**

The Office of the Additional DGFT, New Delhi ensures proper preservation of the proposals/requests/ documents/files of the exporters during the internal processing and delivery to the Exporter. The office has an established method for proper preservation of the letters of Exporter/documents that includes the identification, handling, packing and storage and protection.

Ref.: Procedure for identification, storage and protection, retrieval, retention and disposal of documents is explained at the end of the Quality Manual.
7.6 CONTROL OF MONITORING AND MEASURING DEVICES

The office does not use any measuring and monitoring devices (or inspection, measuring and test equipment) since its processes are not related to physically measurable activities/services. No instruments are used which affect the quality of services rendered by the office.

As such, Clause No. 7.6 of ISO 9001:2008 is not applicable. This is a permissible exclusion as per Clause No. 1.2 of ISO 9001:2008. The exclusion of this clause does not affect the ability of the organization to provide services.
8 MEASURES, ANALYSIS AND IMPROVEMENT

8.1 GENERAL

The Office of the Additional DGFT, New Delhi has planned and implementing the processes needed for monitoring, analysing and improvement of various processes through the instructions/notes/orders etc. These methods are implemented by the Office of the Additional DGFT, New Delhi for the purpose of

a) demonstrating conformity with service requirement;

b) ensuring conformity with requirements of Quality Management System; and

c) to continually improve the effectiveness of the Quality Management System.

There are no specific statistical techniques like charts, etc. involved in the processing of the Exporter’s applications. However, a traffic light system has been developed for monitoring almost all types of the pendencies in this office wherein the Red column points out to the cases in which target lines have been reached, The Yellow column denotes the cases in which 80% of the target time is over and therefore the same requires to be taken up and the Green column which is not reflected in these statements has figures of the cases in which as yet 80% target time is not over.
8.2 MONITORING AND MEASUREMENT

8.2.1 EXPORTER SATISFACTION

Being an Office of the Service Organization (DGFT), the Office of the Additional DGFT, New Delhi is conscious of the fact that Exporter comes first. With this in mind, the Office of the Additional DGFT, New Delhi has a large number of necessary methods for gathering, understanding and monitoring information relating to the perception of the Exporters. Some of the methods include

- A comprehensive website http://dgft.gov.in/dgftNew Delhi which is accessible to the exporters through which they can contact the various officers of the office by telephone and mail for giving any feedback
- Regular Meetings with Exporters in the form of Export Facilitation Committee meeting
- Redressing grievances of members of trade and industry by having the system of open interviews with senior officers ,
- Providing the opportunity of personal hearing to obtain the view of the exporters facing any difficulties in their applications, as and when the Exporter expresses the desire to explain the matter in person, etc.,
- Complaint box wherein the Exporters can submit their grievances
- Exporters’ feedback form is available at the Public Relations Office and the same can be submitted at the Public Relations Office.

These methods are also used by Office of the Additional DGFT, New Delhi as a means for gaining the external perception of the performance about the Quality Management System.
8.2.2 INTERNAL QUALITY AUDITS

The Office has planned to conduct the Internal Quality Audits in phased intervals twice a year to determine whether the Quality Management System conforms to

a. the planned arrangements set up by this organisation and
b. also to check if the Quality Management System is effectively implemented and maintained.

The Office has selected a team of auditors who have the practical knowledge of the processes and experience to conduct the audit. It is being ensured that the Auditors are not involved in any manner in the processes of the concerned sections on which the audits are being conducted. They have also been given detailed instructions regarding the importance of the audit, scope of the audit, audit criteria, methods etc.

If Non-Conformities are observed during the Internal Audit then the same are communicated to the Auditee by way of Non-Conformity report/Internal Audit report through MR.

The Auditee will take the necessary Corrective Action without delay to eliminate the Non-Conformities and their causes.

Follow up audits will be carried out by the Auditors to verify whether the Corrective Actions taken are effective or not and a report of verification result will be submitted to MR.
The instructions regarding the persons responsible for conducting the audits, the records to be maintained and the reports to be submitted is detailed in the Documentary Procedures.

8.2.3 MONITORING AND MEASUREMENT OF PROCESSES

The office has issued instructions to all the concerned section in charges regarding the processes to be followed in order to achieve the objectives of the office.

Also all the information and the process systems are placed in the EDI mode so that there is very minimum scope for error.

A traffic light system has been developed for monitoring almost all types of the pendencies in this office wherein the Red column points out to the cases in which target lines have been reached, The Yellow column denotes the cases in which 80% of the target time is over and therefore the same requires to be taken up and the Green column which is not reflected in these statements has figures of the cases in which as yet 80% target time is not over.

The Office of the Additional DGFT, New Delhi has been issuing guidelines as and when required issued regarding the application of suitable methods for proper implementation of the processes in order to realise the objectives of the office

The Additional DGFT, New Delhi has been conducting the weekly review meetings of all the officers to ensure that all the guidelines are being followed.
The minutes of the weekly review meetings will include the sections which will be responsible for implementing the processes and the action to be taken by them in specified time lines. These will become targets for the concerned section to be completed before the next meeting in the time frame specified.

Further, timely instructions are being issued when required for corrective action as appropriate to be taken when planned results are not achieved. These methods also specify the steps to be taken for ensuring conformity with the service requirements.

8.2.4 MONITORING AND MEASUREMENT OF PRODUCT

All the processes have been computerised so that there is no delay and there is no scope for error in processing the applications of the Exporters.

The Top Management of the Office of the Additional DGFT, New Delhi constantly monitors the processes to verify whether all the applications are being processed as per timelines and the legal requirements are complied. A traffic light system has been developed for monitoring almost all types of the pending cases in this office wherein the Red column points out to the cases in which target lines have been reached. The Yellow column denotes the cases in which 80% of the target time is over and therefore the same requires to be taken up and the Green column which is not reflected in these statements has figures of the cases in which as yet 80% target time is not over.

These monitoring processes are carried out by the concerned Jt.DGFTs / Dy.DGFTs / Asstt.DGFTs and the FTDOs by monitoring the status of the applications disposed as per the timelines prescribed in the Hand Book of Procedures.
All Importer-Exporter Codes/Authorisations /Scrips/Certificates/Permissions/ Amendments thereto /Refund of taxes/duties, Grant of Status Certificates etc. are checked, stamped and sealed by the FTDO before sending the same to the Counters for issuance to the Exporters or sending the same to R & I Section for despatch by post.

Normally, the non-conformities in processing of the applications are not accepted by deviation/concession. However, in extreme cases, where such concessions/deviations are to be given, same are done with the approval of the Additional DGFT/ Jt.DGFTs and other designated officers depending upon the emergent conditions of the need for such concessions.

Ex: Hand delivery of documents, Issuance of Authorisations on Immediate basis to avoid losses to the Exporters in emergent situations/to follow Court Orders, etc.

Also the Additional DGFT, New Delhi monitors the process on daily basis and also a weekly meeting is conducted on every Friday evening for reviewing overall performance of the office in following the processes in meeting the prescribed service requirements.

The Additional DGFT, New Delhi has also issued trade notice regarding the frequently found deficiencies in processing the applications of the exporters so that the exporters are aware of the possible deficiencies and can take due care before submitting their applications so that their applications are processed within least possible time and with least deficiencies;

The Additional DGFT, New Delhi has created a special cell under the direct control of the head of the office to conduct a 1% check of fresh files and 2% check of the redemption files to verify whether the cases are being dealt within the time lines and
within the prescribed guidelines relating to following the due process, issue of quality deficiency letters, following of policy procedures, following of instructions regarding page numbering and cross referencing, etc.

The O & M Instructions No. 12/28 specifies the financial powers to which the applications are vary categorically. All applications are to be approved by different level of Officers. Accordingly the respective files are approved before finalization of the Exporter’s request.

All approved applications are authenticated/tested/signed by the FTDO/ADG before dispatching the same to the Counters or to the R & I Section for dispatch by post.

Timely Instructions have been issued to all the section officers to ensure that no non-conform occur.

8.3 CONTROL OF NON CONFORMING PRODUCTS

The Office of the Additional DGFT, New Delhi is constantly making efforts in ensuring that the services, processes and systems non conformances which do not conform to the service requirements are identified and controlled while performing the activities required delivering the quality services to Exporters.

It is ensured that any non conforming activities observed during receipt, process and final verification are suitably identified, documented, evaluated, segregated and notified to all the relevant personnel and disposed of suitably.

Any non-conformances observed in the services are disposed of by taking suitable remedial actions that will make the services conform to the specified requirements.
With reference to the methods in which the non-conformities are tackled there may be times when the product which is delivered in the form of Importer-Exporter Code or Authorisations or Scrips or Licences or Letters or Amendments/Modifications thereof may have certain non-conformities in the form of errors which may happen. In such cases the handling procedure will be as follows:

In case the Non conformity is brought to the notice of the department by the exporter, then the department would require the exporter to file an application along with the original documents at the counter. This application along with the original documents would be sent to the sections following the same process as is followed for the original product to be delivered in the said regard. Thereafter processing of the same would be carried out in the respective section in following exactly the same processes as was followed while delivering the original product. The corrected product would then be delivered at the counter. The time line for the said delivery would be 2 working days in case of corrections.

In case the department suo motto finds that a non conformity has occurred/ an error has crept in, then the department would suo motto initiate action through the officer who is empowered to do so/FTDO/Asstt.DGFT by way of issuing instructions to the concerned person in the section to initiate action to undertake the correction.

The exporter will be informed in the said regard by the concerned section officer to surrender the original documents due to the error and subsequent correction to be effected therein.

Thereafter after the documents including the original documents is received in the same counter and the same would be processed in the respective section in following exactly
the same processes as was followed while delivering the original product. The corrected product would then be delivered at the counter. The time line for the said delivery would be 2 working days in case of corrections.

Normally, the non-conformities in processing of the applications are not accepted by deviation/concession. However, in extreme cases, where such concessions/deviations are to be given, same are done with the approval of the Additional DGFT/ Jt.DGFTs and other designated officers depending upon the emergent conditions of the need for such concessions.

Ex: Hand delivery of documents, Issuance of Authorisations on Immediate basis to avoid losses to the Exporters in emergent situations/to follow Court Orders, etc

Records of non-conformance services observed in services and any subsequent actions taken including concessions obtained are maintained.

The Additional DGFT, New Delhi has created a special cell under the direct control of the head of the office to conduct a 1% check of the fresh files and 2% check of redemption files to verify whether the cases are being dealt within the time lines and within the prescribed guidelines relating to following the due process, issue of quality deficiency letters, following of policy procedures, following of instructions regarding page numbering and cross referencing, etc;

All the cases of non-conformities are reviewed by the Additional DGFT, New Delhi on daily basis and a weekly meeting on every Friday is conducted to take discuss the issues relating the non-conformities.
8.4 ANALYSIS OF DATA

The Office of the Additional DGFT, New Delhi has been constantly gathering, understanding and analyzing appropriate data and information necessary to demonstrate the suitability and effectiveness of the Quality Management System during the various meeting of the Management Review Committee, Weekly meetings, through Exporters’ feedback etc.

Further, all such data and information gathered are used to evaluate where continual improvements of the effectiveness of the Quality Management System process can be met. The data is gathered while various monitoring and feedback related activities are implemented. The methods for analysis of data used by the Office of the Additional DGFT, New Delhi to provide necessary information for its top management include:

a) the Exporter perceptions during the Export Facilitating Committee meetings,

b) the Exporters feedback during the personal hearings and interview with the officers of the Office of the Additional DGFT, New Delhi to achieve conformity to service requirements,

c) the system data relating to the disposal of the requests of the exporters through the issue of Importer-Exporter Code/authorisations/scrips/certificates etc

d) trends observed during the weekly review meetings regarding the processes including opportunities for preventive action.

e) Exporters feedback forms

8.5 IMPROVEMENT
8.5.1 CONTINUAL IMPROVEMENTS

One of the key principles of the Office of the Additional DGFT, New Delhi Quality Management System as clearly stated in the Quality Policy is the objective to continually improve the effectiveness of the Quality Management System. To achieve this, the Office of the Additional DGFT, New Delhi has identified a large number methods for gathering and understanding information relating to Quality Policy, quality objectives, internal audit results, corrective and preventive actions, Management reviews and outputs from the analysis of data to identify appropriate opportunities for continually improving the effectiveness of the established Quality Management System.

8.5.2 CORRECTIVE ACTIONS

The Office of the Additional DGFT, New Delhi has also ensured that methods are in place for identification of non-conformities and appropriate corrective actions to be taken to ensure the Exporter satisfaction. These corrective actions are very much essential to eliminate causes of non-conformances in order to prevent recurrence.

All the processing of applications is done online and through the computer systems. The applications are processed only when all the requirements are fulfilled in a particular stage.

The Additional DGFT, New Delhi has created a special cell under the direct control of the head of the office to conduct a 1% check of Fresh files (except issuance of Scrips) and amendment files and 2% check of Scrips issued and redemption files to verify whether the cases are being dealt within the time lines and within the prescribed guidelines relating to following the due process, issue of quality deficiency letters,
following of policy procedures, following of instructions regarding page numbering and cross referencing, etc;

The Additional DGFT, New Delhi has issued various instructions on the following issues for the purpose of taking corrective actions:

a) Reviewing non-conformities on the basis of the daily pending report as obtained from the computer database and taking the corrective action necessary

A traffic light system has been developed for monitoring almost all types of the pending cases in this office wherein the Red column points out to the cases in which target lines have been reached, The Yellow column denotes the cases in which 80% of the target time is over and therefore the same requires to be taken up and the Green column which is not reflected in these statements has figures of the cases in which as yet 80% target time is not over. Feedback is also obtained from the Exporters during the personal hearings and interview with the officers and by mail and the corrective actions necessary are taken.

b) Determining causes of non-conformities during the weekly review meetings conducted by the Additional DGFT, New Delhi on every Friday

c) The cases where corrective actions are required are determined and the corrective actions as required are taken

d) Records of the results of the corrective actions taken are updated in the computer database which is reflected in the MIS report which are reviewed and monitored by the Additional DGFT, New Delhi before being sent to the DGFT HQs, New Delhi.

e) Evaluating the cases for appropriate corrective action to ensure that the non-conformities do not recur by taking up the cases which are due to become
non-conformities on priority basis as per data obtained from the computer database.

The non-conformities identified and recorded during the entire week and the causes of non-conformities are discussed during the weekly review meeting conducted by the Additional DGFT, New Delhi on every Friday and instructions are issued to all the concerned officers for taking proper care to ensure that such non-conformities are avoided and the observations are recorded. The corrective actions required are determined, evaluated and implemented on priority basis with the approval of the appropriate authority. The effectiveness of the corrective actions taken is reviewed by the Jt.DGFT/Dy.DGFT/Asstt.DGFTs/FTDOs and is monitored by the Management Representative.

Ref.: Procedure for Corrective Action is explained in detail at the end of the Quality Manual.

8.5.3 PREVENTIVE ACTIONS

The Office of the Additional DGFT, New Delhi has also established methods for determining the actions to be taken for eliminating the causes of potential non-conformities in order to prevent their occurrence and placed a mechanism on the homepage of the local computer database so that the concerned staff and officers can ensure that preventive actions are taken as appropriate with the degree or magnitude of the potential problems. Hence the sources have been identified for collection of necessary information which is required for analysis and identification of potential problems.

A traffic light system has been developed for monitoring almost all types of the pending cases in this office wherein the Red column points out to the cases in which target lines...
have been reached. The Yellow column denotes the cases in which 80% of the target time is over and therefore the same requires to be taken up and the Green column which is not reflected in these statements has figures of the cases in which as yet 80% target time is not over.

Exporter complaints, results of audits, etc., are also used to collect, evaluate and establish the trends for identifying the potential problems and to determine the preventive actions required.

A mechanism to identify the situations necessary to take “Preventive Actions” is established and includes:

- a) Determining the potential non-conformities and their causes on the basis of the daily pending report on the local computer database (yellow highlight in the report)
- b) The action to be taken to prevent such non-conformities are evaluated
- c) Taking necessary actions for preventing the occurrence of non-conformities by disposing all the cases before they reach the yellow column so that no cases are due to reach the red column (non-conformities)
- d) Updating the records of results of preventive actions taken in the computer database and
- e) The Additional DGFT, New Delhi takes a review regarding the effectiveness of the preventive actions taken during the entire week in the weekly review meeting on every Friday.

Also the potential problems from various sources are analysed and discussed in the Management Review Committee meetings for taking the effective preventive actions for

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preventing the occurrence of non-conformities. The Management Representative shall review the effectiveness of the preventive actions.

Ref: Procedure for Preventive Action is explained in the Documentary Procedures.
9 DOCUMENTARY PROCEDURES

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9.1 PROCEDURES FOR CONTROL OF DOCUMENTS

9.1.1 PURPOSE:

The purpose of establishing the documentary procedure for control of documents is to define the controls needed to approve the documents, review and re-approve the documents, to ensure that the changes required are identified, to ensure that the documents are legible, readily identifiable and are available at the points of use and to ensure that the unintended use of obsolete documents is prevented and:

* for having effective control over all the documents required, generated and used in implementation of QMS at the Office of the Additional DGFT, New Delhi of DGFT.

* for ensuring that right document is available at right place for enabling effective decision-making and operations of QMS.
9.1.2 **SCOPE:** All internally generated or externally procured documents that are used in Quality Management System.

All the internal documents like instructions/notes/Office Orders/ Circulars etc are circulated in the form of hard copies and the soft copies are published on the home page of the server which is readily accessible to all the personnel of this office.

9.1.3 **RESPONSIBILITY**

* The Additional DGFT is the authority responsible for generating, reviewing, updating as necessary, approval and re-approval of all Office Orders/ Circulars/Notes/Trade Notices/Changes in the QMS documents.

* The Additional DGFT, New Delhi shall issue Office Orders/Circulars after ensuring their adequacy and forward the same to the Established Section for assigning an appropriate identification number and to issue the copies to all the concerned. The concerned Officer in Establishment Section shall assign a unique number along with the date of Office Order/Circular.

* Concerned Officer of Establishment Department shall be responsible for circulation/distribution of all Office Orders, Circulars and external documents and to the Management Representative.

* The respective Jt.DGFTs/Dy.DGFTs/Asstt.DGFTs/FTDOs shall be responsible for implementing all Office Orders and Circulars.
* The MR shall be responsible for reviewing and issuing the Quality Manual and Process Manual and controlling the same. The Additional DGFT, New Delhi shall be responsible for approval of QMS documents.

9.1.4 PROCESS

9.1.4.1 CONTROL OF INTERNAL DOCUMENTS

* The Office Orders/Circulars/Guidelines etc. Issued, compiled and circulated to all the concerned at the Office of the Additional DGFT, New Delhi shall be part of the guidelines for effective implementation of Quality Management System. The Office Orders/Circulars/Guidelines issued prior to implementation of QMS are also part of Quality Management System.

* The Management Representative shall maintain the master list of all Office Orders/Circulars

Based on observations/discussions/decisions taken in the management review committee, review meetings, Senior officers meetings, Exporter Facilitation Committee meetings and reports of Internal Quality Audits, Exporter complaints/Exporter feedback, guidelines received from DGFT HQs, etc. the concerned Jt.DGFT shall initiate notes for making necessary changes in the existing Office Orders/Circulars and forward the same to the Additional.DGFT, New Delhi for approval.

* The Office Orders/Circulars / QMS documents which are revised in total shall be removed from the system marking them as OBSOLETE after approval of the Additional DGFT, New Delhi as and when any changes are introduced and shall
be filed separately as reference copies, if felt desirable. However, all master copies of the Office Orders/Circulars shall be available with Establishment Division as reference copies.

* The Jt.DGFTs/Dy.DGFTs/Asstt.DGFTs/FTDOs in the office shall be responsible for implementing the changed instructions and for informing the changes in the Office Orders/Circulars to the employees working with them.

9.1.4.2 CONTROL OF EXTERNAL DOCUMENTS:

* The MR is responsible for identifying the external documents which are relevant, and being used in the Quality Management Systems. The same are indicated below:
  * FTP
  * HBP
  * Notifications
  * Public Notices
  * Policy Circulars,
  * Trade Notices
  * Documents relating to ISO Standards, etc
* The MR shall circulate the external documents to all the members of the Management Review Committee and to all the members of the office by publishing the same in the homepage of the officer server.
* The MR shall collect the revised documents from the external organisations like the DGFT, BIS and arrange for their distribution.
The MR shall maintain a master list of all external documents with their revision status and place them under Obsolete files link whenever they are completely revised.

9.1.4.3 CONTROL OF QUALITY MANUALS AND PROCESS MANUALS

The Management Representative shall issue the Quality Manual and Process Manual after approval of the Additional DGFT, New Delhi. The MR shall also control the issue of these documents.

The copy of the Quality Manual, Process Manual available with the Management Representative shall be the Master Copy.

The difficulties noticed by the officials while implementing the Quality Management System shall be brought to the notice of the concerned Jt.DGFT in the form of note and with the remarks and recommendations/suggestions of concerned Jt.DGFT for changes in the Quality Management System, the notes shall be forwarded to the MR for further action who shall be put up the said difficulties before the Management Review Committee.

Based on the decisions taken in the Management Review Committee meetings, non-compliance reports raised by the Internal Quality Auditors and the difficulties faced by the officials in implementing the Quality Management System, the Management Representative shall initiate bring in changes in the Quality Manual with the approval of the Additional DGFT, New Delhi.
* After approval of the changes in the Quality Manual and the Process Manual by the Additional DGFT, the MR shall issue revised documents incorporating the changes mentioning the status of revision and date of issue of the revised documents.

* The MR shall ensure the replacement of existing Quality Manuals, Process Manuals with the revised ones by the copyholders and ensure that the revised version is placed on the New Delhi Additional DGFT office intranet for office use.

* The Quality Manual and the Process Manuals shall be issued with specific details like:

- **Section Number** which relates to the different sections of the Quality Manual
- **Name of the Office**
- **Relevant Sections** of the ISO Standards
- **Issue Number** which shall be issued in the beginning and reissued once the number of amendments exceed 25 in numbers
- **Revision Number** which denotes the revision being introduced whenever there are any amendments in the Document
- **Date of issue** of the Document/Amendment

9.1.5 REFERENCES

* List of Office Orders/Circulars/Notes
9.2 PROCEDURES FOR CONTROL OF RECORDS

9.2.1 PURPOSE

The purpose of establishing the documentary procedure for control of records is to define responsibilities and authorities for controlling Quality records needed for identification, storage, protection, retrieval, retention time and disposition of records with a view to provide evidences of conformity to the requirements and the effective operation of the Quality Management System.

9.2.2 SCOPE

This procedure shall be applicable to all the records required to be established and maintained to demonstrate evidence of conformity to the requirements and of the effective operation of the Quality Management System.

9.2.3 RESPONSIBILITY

The overall responsibility for maintaining the Quality records shall be with the Asst. DGFT/ FTDOs and delegated staff at the Office of the Additional DGFT, New Delhi.

9.2.4 PROCESS
* Each record shall be uniquely identified, numbered, filed and maintained. The records shall be compiled in legible manner by the concerned Officers to enable effective use. The records shall be stored by the concerned Officers such that they are readily identified and retrievable and they are prevented from loss, damage or deterioration.

* Records shall be filed in uniquely identified manner by the Office staff designated for the purpose at the Office of the Additional DGFT, New Delhi.

* The Office staff shall be required to collect the papers/records marked for filing by the Officer from their respective cabins and tables and incorporate them in files identified at periodical intervals.

* The files shall be stored in an environment suitable to protect them from damage and deterioration.

* The legal documents, which required to be protected from damage and deterioration, shall be stored in cabinets. These shall be under lock and key to prevent unauthorized access.

* The Jt.DGFTs shall once in a year, review status of maintenance of the files and also record, if any, whose retention periods have expired and are to be disposed of.
* The disposals of records that have outlived their utility shall be carried out as per instructions in this regard.

* The retention time of the records shall be maintained as per the schedule shown on the O & M instructions in the Manual of Procedures

9.3 PROCEDURES FOR NON-CONFORMING PRODUCTS

9.3.1 PURPOSE

The purpose of establishing the documentary procedures for control of non-conforming products is to define responsibilities and authorities for identifying and controlling the product which does not conform to the product/service requirements during receipt, processing or on completion and to prevent its unintended use or delivery.

9.3.2 SCOPE

This procedure is applicable to all services, process and system non conformance identified while performing the activities required for delivering quality service to the Exporters.

9.3.3 RESPONSIBILITY

The Joint DGFTs shall be responsible for verification of services rendered/procedures followed during processing of the exporters’ applications.
9.3.4 PROCESS

* The office of the Additional DGFT, New Delhi deals with non conformance of processes/Procedures in more ways than one. As soon as a non conformance like violation of prescribed timelines, issuance of wrong deficiency letters, issuance of letters/amendments with typographical errors or attaching wrong enclosures are observed, the concerned department and its officers ensure that the non conformance is rectified on priority basis and the records are updated.

* A traffic light system has been developed for monitoring all types of the pending cases in this office wherein the Red column points out to the cases in which target lines have been reached, The Yellow column denotes the cases in which 80% of the target time is over and therefore the same requires to be taken up and the Green column which is not reflected in these statements has figures of the cases in which as yet 80% target time is not over.

* During processing of Exporter request, the concerned officer shall verify conformance to specified requirements as per the prescribed Procedure/Guidelines/Instructions. In case, the proposals are not meeting the requirements, the concerned officer shall ensure that the proposal is not processed further till the non-conformance is removed as per procedure.

* Normally, no non-conformance is permitted in the processing of Exporter’s requests. However, in certain emergency situations like implementation of the Directions of the Courts/DGFT HQs etc certain deviations like time lines may be observed and the record of the same shall be maintained.
The records of non-conformances identified or deviations permitted shall be maintained in the form of noting in the file/recording in specific registers by the appropriate authorities.

Any rework or reprocessing required shall be carried out by the designated officer. After reprocessing, it shall again be re-examined to ensure conformity with specified requirements. Records of re-examination shall also be maintained in the form of noting in the file.

9.4 PROCEDURES FOR INTERNAL QUALITY AUDITS

9.4.1 PURPOSE

* The purpose of establishing documentary procedure for internal quality audit is to define responsibility and authority for planning, organizing, conducting, reporting of results and maintenance of Quality Records including reviewing of Internal Quality Audits in order to ensure that the activities of the Office of the Additional DGFT, New Delhi covered under Quality Management System are conforming to the planned arrangements and is effectively implemented and maintained.

9.4.2 SCOPE

* Applicable to all activities of the Office of the Additional DGFT, New Delhi covered under the Quality Management System.

9.4.3 RESPONSIBILITY
The Management Representative shall be responsible for

* Planning, organizing and conducting of Internal Quality Audits

* For preparation of consolidated reports periodically on the findings of the Internal Quality Audits and placing the same before the Management Review Committee.

The Internal Auditors shall be responsible for carrying out the audits as assigned by the MR and submitting the reports of the audit to MR.

9.4.4 REFERENCE DOCUMENTS

A. Internal Audit Schedule (Doc. No. DGFT/MUM/QMS/IAS)

B. Internal Audit Plan (Doc. No. DGFT/MUM/QMS/IAP)

C. Internal Audit Checklist (Doc. No. DGFT/MUM/QMS/IAC)

9.4.5 PROCESS

* Trained/Experienced persons working in various divisions shall be drawn by the Management Representative for conducting Internal Quality Audits of various activities of the Quality Management System. The selected officers shall be provided with necessary inputs for conducting Internal Quality Audits.

* The Management Representative shall prepare the Audit Plan for internal Quality Audit at the beginning of the financial year such that all the activities to be audited are covered at least once in a year. The Internal Quality Audit schedule shall indicate work areas to be audited and the
tentative planned dates/period during which internal Quality Audits are to be held.

* The plan shall indicate the period during which the Internal Quality Audit shall take place during the year. The Audit Plan shall be communicated to all the concerned Jt.DGFTs well in advance in the form of a circular/Note letter. However, the change request from the Auditees or Auditors shall be intimated to the MR.

* The Internal Quality Audits shall be conducted by Audit personnel as per the requirements laid down in the ISO standards, documented Quality Management System and checklists.

* Audit findings shall be documented by the auditors in the Audit reports. The auditors shall also propose the corrective action along with the responsibility and target date for correcting the non-conformance in the Audit Report.

* Copy of the audit findings shall be handed over to the auditee by the auditors after taking an acknowledgement from the concerned officers.

* The copies of the Audit Report shall be forwarded by the auditors to the MR within 15 days of completion of the audit.

* The Jt.DGFT/Dy.DGFT/Asstt.DGFT/FTDO of the audited Division shall be responsible for investigating and analyzing the causes of non-conformance in the Audit reports and to initiate necessary corrective action.
* The Jt.DGFT/Dy.DGFT/Asstt.DGFT/FTDO of the concerned Division shall furnish details of corrective actions taken on the findings/explanation on nonconformity to the MR within a specified time frame. If the Audited Division could not implement corrective action within the specified time, the Jt.DGFT/Dy.DGFT/Asstt.DGFT/FTDO of the Audited Division shall seek extension of the target date for completion from the MR.

* The MR shall arrange for verification of the actions initiated by the audited division after receiving the compliance on the audit findings.

* The documentation relating to the corrective actions implemented by the audited division shall be verified during the next Internal Quality Audits of the audited division, if felt desirable by the MR.

* If required, specific follow up audit for review of the effectiveness of the action taken shall be planned by the MR.

* Management Representative shall close non-conformance reports by suitable endorsement in the non-conformance report by taking views and recommendations of the Internal Quality Audits, if required.
* Management Representative shall present the Internal Quality Audits reports for review during the Management Review Committee meetings.

* The Additional DGFT, New Delhi shall review the audit observations, and corrective actions initiated by the audited divisions during the Management Review Meetings.

* The decisions of the Management Review Committee are communicated by the MR to the concerned Officers for implementation. He shall also review from time to time the implementation of the decisions of the Management Review Committee.

* The records of planning and conducting audits, reporting results are maintained by the MR.

9.5 PROCEDURES FOR CORRECTIVE ACTION

9.5.1 PURPOSE

The purpose of establishing the procedure for Corrective Action is to define responsibilities and authorities for identifying and reviewing non-conformities including Exporter complaints, evaluating the need for corrective action, implementing the corrective action, maintenance of corrective actions and reviewing the corrective actions taken, so that the Quality Management System is functioning effectively.

9.5.2 SCOPE

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<td>MR</td>
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</table>
Applicable to Exporter complaints and non-conformities identified at various stages of processing the Exporters’ proposals and results of internal Quality Audits on Quality Management System.

9.5.3 RESPONSIBILITY

The Jt. DGFTs/Dy.DGFTs/Asstt.DGFTs/FTDOs at Office of the Additional DGFT, New Delhi shall be responsible for implementing this procedure.

9.5.4 PROCESS

* The non-conformities noticed in receipt, processing and during the delivery of services to the Exporters shall be reviewed thoroughly.

* The designated officers shall identify and determine the nature of non-conformities.

* The corrective actions for the non-conformities shall be determined keeping in view the proposed corrective action, time frame for completion of corrective action, resources required and other factors, so that, the non-conformities do not occur again.

* The corrective actions determined shall be appropriate to the magnitude of the problems, risk involved, cost factors and other related matters.
If the non-conformances are noticed during self-inspection, the corrective action normally involves application of the procedures strictly and the corrective action shall be indicated in the form of notings. In case, detailed examination/investigation is conducted, the same shall be noted clearly with responsibility for corrective action and fixing up the time frame clearly.

* For the non-conformities raised during Internal Quality Audits, a detailed analysis of the non-conformances shall be required.

* The concerned Jt. DGFT/Dy.DGFT/Asstt.DGFT/FTDO shall decide the corrective actions and intimate the designated officials for completion of the corrective actions.

* The concerned officials shall monitor the results of corrective actions after implementing the corrective action to verify their effectiveness.

* The records of the corrective actions and results of the corrective actions shall be maintained.

9.6 PROCEDURES FOR PREVENTIVE ACTION

9.6.1 PURPOSE

* The purpose of establishing the procedure for preventive action is to define responsibilities and authorities for determining the potential non-conformities and their causes, evaluate need for action to prevent occurrence of non-conformities,
determine and implement the preventive actions noted, maintaining the results of preventive actions and reviewing the preventive actions taken so that, the cost of potential non-conformities are eliminated and prevented from their occurrence.

9.6.2 SCOPE

Applicable to Procedures that to be followed to dispose the Exporters’ applications within stipulated timelines, and results of Internal Quality Audits on Quality Management System.

9.6.3 RESPONSIBILITY

The Jt. DGFTs/Dy.DGFT/Asstt.DGFT/FTDOs and other authorized officers at Office of the Additional DGFT, New Delhi are responsible for implementing the procedures.

9.6.4 PROCESS

* The respective Officers as mentioned above shall identify the preventive actions based on Exporter feedbacks, reports of non-conformances, internal and external audit reports etc.

* The concerned officers shall then determine suitable preventive action for the identified potential problems and also decide the time frame and responsibility for the same.

* Suitable follow-up action shall also be taken by the concerned officers to verify the effectiveness of the preventive action taken.
9.7 PROCEDURES FOR MANAGEMENT REVIEW

9.7.1 PURPOSE

The purpose of establishing the documentary procedure for management review is to define responsibility and authority in order to

* review the QMS of the office at planned intervals
* ensure its continuing suitability, adequacy and effectiveness
* for conducting an effective review of all non conformances found during the internal audit process;
* for identifying the right corrective action to be taken in a specified time;
* to ensure that the corrective actions have been taken and the compliance takes place.
* for evaluating the implementing of the QMS
* for bring out improvements in the QMS to make the system more effective

9.7.2 SCOPE

Applicable to all activities of the Office of the Additional DGFT, New Delhi covered under the Quality Management System.
9.7.3 RESPONSIBILITY

The following shall be the members of the Management Review Committee:

* The Additional DGFT, New Delhi
* Management Representative
* Joint DGFTs
* Any other member with the permission of the Chair

9.7.4 PROCESS

* The Non Conformance Reports shall be reviewed by the Management Review Committee in totality and the major non-conformances that effect the performance of the Office of the Additional DGFT, New Delhi shall be identified

* The auditee and the auditor of the concerned section (where the NCR was generated) shall also be asked to attend the meeting to trouble shoot the problem, if required.

* Based on the intensity of the problem, the management shall provide the necessary resources as appropriate to overcome the non-compliance.

* The minutes of the Management Review Committee meeting shall be circulated to all members to ensure timely closure of non-conformances and any other action desired by the MR Committee.
9.8 PROCEDURES FOR INTERNAL COMMUNICATION

9.8.1 PURPOSE

* The purpose of establishing the procedure for internal communication is to define responsibility and authority for an effective internal communication within the Office of the Additional DGFT, New Delhi and its sections.

9.8.2 SCOPE

* All communication regarding conduct of functions of the Office of the Additional DGFT, New Delhi and its functioning.

9.8.3 RESPONSIBILITY

* The Establishment section in coordination with the Management Representative shall be responsible for issuing all circulars and notices to communicate with employees regarding Quality Management System.

9.8.4 PROCEDURE

As and when the top management wants to convey issues related to Quality policy, quality objectives and QMS, a note/circular shall be issued by the Establishment Section.
* The copies of the Quality policy shall be displayed at prominent places throughout the Office of the Additional DGFT, New Delhi so that employees are constantly reminded of their values and mission for which they work.

* Copies of the Quality manual and the Process manual shall be placed on home page of the Office of the Additional DGFT, New Delhi intranet for internal use

9.9 PROCEDURES FOR EXPORTER SATISFACTION MEASUREMENT

9.9.1 PURPOSE

* The purpose of establishing the documentary procedure for Exporter Satisfaction is to define responsibility and authority
* For undertaking a periodic feedback about Exporter satisfaction
* For Exporter complaint handling system
* For improving services rendered to Exporters on a continual basis.

9.9.2 SCOPE

* To take stock of the feedback/complaints received from the Exporters and to bring in improvements in the Quality Management System.

9.9.3 RESPONSIBILITY

The following officers shall be the members of the Committee to review Exporter satisfaction:
9.9.4 PROCEDURE

* In each Management Review Committee meeting, the Committee shall check the Exporter’s feedbacks/ complaints/queries that are received in Grievance section if any.

* A feedback from each Jt.DGFT shall also be sought to understand the number of clarifications given on telephone or in person to Exporters every month.

* The data so obtained shall be analyzed and trends established to see whether the Exporter clarifications are increasing or decreasing. A decreasing trend would show an increase in Exporter satisfaction.

* During the meetings with the Trade bodies and associations, a procedure has to be established to obtain feedback about their satisfaction levels in respect of the services rendered by the Office of the Additional DGFT, New Delhi.

* Suggestions are also to be sought from time to time to improve the services rendered to Exporters and an Exporter feedback form has to be placed on the website of Office of the Additional DGFT, New Delhi and also made available in the Assistance Cell.

9.10 PROCEDURES FOR IDENTIFICATION, STORAGE AND PROTECTION, RETRIEVAL, RETENTION AND DISPOSAL OF DOCUMENTS.

9.10.1 PURPOSE
The purpose of establishing the documentary procedure is to define responsibility and authority for identification, storage, protection, retrieval, retention and disposition of records.

9.10.2 SCOPE

All records of the office of the Additional DGFT, New Delhi covered under the QMS.

9.10.3 RESPONSIBILITY

Maintenance and Safe Custody of Recorded Files:

* Each section officer is responsible for proper cataloguing of the records, listing and storage, safe custody of all the records pertaining to the concerned section till it is sent to the Record Section of the Office after all the processes are completed and the file is closed in all respects at the section level.

* The Record Section is responsible for proper maintenance and safe custody of recorded files forwarded to it by the various sections of the Office. This Section is also responsible for timely issuance of files whenever requisitioned, and timely disposition of records in its charge.

* List showing the various types of files, diaries, registers and other records which are generally in use in the Sections of this Office and the period of preservation in respect of each type of record shall be circulated by the Vigilance/Establishment Section. There may be certain types of records which may have not been included in the list. It shall be the responsibility of the FTDOs of the concerned Sections to refer such proposals to the Vigilance/Establishment Section of the
office indicating the nature of files and suggesting the period of preservation, which in turn can be forwarded to Headquarters for decision. It shall be the responsibility of all concerned section officers to point out immediately the missing entries/instructions or any orders which they feel are in contravention of the latest instruction.

Transfer of Records to the Record Room:

* It shall be the responsibility of each dealing hand in the Section to watch the progress of his/her files and close them and list them for movement to record section as soon as the action is completed which shall be supervised by the Asstt.DGFT/FTDO concerned. Listing of files shall be a part of his/her office work. It is important that the files should be recorded as soon as action is completed and sent to Record Room, as per rules and instructions issued. So far as the files leading to the issue of import/export authorisations are concerned, they shall be recorded and sent to the Record Room as soon as Authorisations have been issued unless there are valid reasons for not doing so, (like awaiting further references for the attestation of the list of items, revalidation after the initial period prescribed, awaiting fulfillment of obligation etc.).

* As soon as a file is listed, a mention to this effect shall be made in the filing system software on the office computer data base and a printout of the file status shall be generated which shall be attested by the concerned staff and the Asstt.DGFT/FTDO.

* The Asstt.DGFT/FTDO shall personally verify that the list on the bundle which is being transferred to record Room contains all the files as specified in the said list.
The Asstt.DGFT/FTDO shall authenticate the list on the bundle which is proposed to be sent to the Record Room on a particular date.

**Duty of the Record Room Staff:**

* The record clerks in the Record Room shall verify that all the list along with the bundle received by him are complete and all the files are enclosed as stated by the Sections in the computer data base and shall make a report every month to the Asstt.DGFT/FTDO of the record section.

**Other Records:**

* Other records like different registers, diaries etc. shall also be examined periodically to see if they are not frequently required, and shall be transferred to the Record Room as soon as that stage is reached along with a suitable list of the records transferred to the Record Room.

**Arrangement of Records in the Record Room:**

* The files shall be arranged authorisation period/year-wise and according to bundle serial numbers and shall be updated in the computer system data base. The files shall be placed in the appropriate place and in the appropriate manner, on the record racks.

**Issue of Files against Requisitions:**
* All requisitions for retrieval of files from the Record Room shall be generated in duplicate from the computer software and shall be signed by the Asstt.DGFT/FTDO of the concerned Section requiring the file and then forwarded to the record section. The relevant file shall be traced and sent to the requisitioning section against an acknowledgement in the Record Room Transit Register after updating the movement of the same in the system software. The requisition slip is placed in the place of the file removed from the bundle concerned. The duplicate copy of the requisition is returned to the section concerned along with the requisitioned file.

* On return of the file back to the Record Room, an acknowledgement shall be given by the Record Room in the Transit Register of the section concerned and the status of the file is updated in the computer database. The file shall then be placed at the appropriate place on the rack.

* It shall be the duty of the section clerks in the Record Room to see that all requisitions are complied with promptly on their receipt in the Record Room. If any file is not made available to the requisitioning Section promptly, the fact shall be brought to the notice of the officer in charge of the record section. Cases of undue delay in return of the records shall be brought to the notice of the officer in charge of the record section.

Destruction of Records
The Record Section shall prepare list of files to be destructed in duplicate at least two months before the due date of destruction and send a note to the officer in charge of the respective sections who shall scrutinize the list and return them to the Record Room within a month indicating clearly his/her no objection for the records to be destroyed on the due date. In case a particular file/record merits longer preservation, the officer in charge of the record section shall issue instruction for the same. Final recommendations either for destruction or for further preservation shall be recorded by the Asstt.DGFT/FTDO. The records recommended for further preservation shall be returned to the appropriate place in the rack. The In charge clerks in the Record Room shall submit the list along with the files, recommended for destruction, to the Asstt.DGFT/FTDO (Records) who shall then arrange for their destruction, and sign the concerned register and the status of the same shall be updated in the computer software regarding destruction.

General Cleanliness:

It shall be the duty of the Record Sorters in the Record Section to see that all recorded files and the racks are kept properly cleaned and in good order and also to keep a check on possible destruction of files by Rats and White Ants. The bundles shall be dusted periodically as the dust cuts through paper fibers and also form nuclei for condensation. There shall also be a special cleansing at least twice a year when the bundles shall be brought down to the floor, the shelves thoroughly cleaned with wet rags and the bundles carefully dusted and replaced on the shelves. Also adequate amount of naphthalene shall be evenly distributed on the shelves to ensure that there is no danger from insects like bookworms, silverfish, cockroaches etc.
Control and Inspection of Records:

The Asstt.DGFT/FTDO in charge of the Record Room shall pay frequent visits to the Record Room and bring to the notice of the Joint Director General of Foreign Trade in charge of the Record Section, instances in which the proper recording of files in accordance with the prescribed procedure laid down in this connection has not being done, owing to delays in the transfer of files on the part of the Sections, or for any other reasons.

The Asstt.DGFT/FTDO in charge of the Record Room shall send a report to the Joint Director General of Foreign Trade clearly indicating:-

* Whether the records are kept legible, readily identifiable and retrievable
* Whether record room is kept free and secure from entry from all points.
* Whether there is enough space in the record room and whether there is any overcrowding which will be detrimental to the safety of the records and the health of the staff?
* Whether the prescribed registers are being properly kept and whether system entries regarding the status and movement of the files are up-to-date.
* Whether all the records of the different sections have been received and placed in their proper order in the rack.
* Whether the requisitions for documents have been properly complied with.
* Whether the return of any record requisitioned for reference by any section has been unduly delayed by the Sections.
* Whether the records marked for destruction have been properly destroyed.
The Records Retention shall be as per O&M Instructions issued from time to time in this behalf.

Also the following measures shall be taken in the sections for storage of files till the same are sent to the record section

* The Section MTS shall retrieve the files requested by the concerned Dealing Assistants and hand it over to them not later than 15 minutes from the time of receiving the request in respect of the correspondence related to the resubmitted Application/post issuance activities, etc for further processing and obtain acknowledgement clearly from the dealing assistant mentioning the time and date of receipt in the File Issuance Register maintained by the MTS.

* The MTS shall paste the list of all such acknowledgments in the File Issuance registers as per format prescribed for record purpose. The MTS shall update his File Issuance registers on daily basis with details like the file no. /date of issue/staff to whom the file has been issued, etc.

* Once the files are finalised after the issuance of the Authorisation/Scrip/Amendment sheet/Redemption letter/EODC letter/transferability letter/deficiency letters etc and are transferred to him, the MTS shall acknowledge the receipt of the files clearly specifying the time and date in the file movement register of the Dealing Assistant in the prescribed format.

* The MTS shall be responsible for safe storage of the files till the same are finalized, listed, updated and forwarded to the record section when no more actions are required to be taken in respect of such files. The MTS shall follow the instructions given below in respect of proper maintenance of records:
i. **Codification of records:**

Typically a file no. in the O/o. Addl. DGFT, New Delhi is mentioned as 05/26/51/001/AM07, 05/26/40/001/AM07, 05/26/76/001/AM07 etc. (03 is code for RA, New Delhi; 26 for section DES I; 51 is for scheme (DEPB); 40 for Scheme (Advance Authorisation); 001 is running number of file generated by the system and AM07 is the licensing year).

Therefore each file has a unique identifiable code and, therefore, there is no need for further codification.

ii. **Identification/Numbering of Racks:**

Since every floor has more than five/six sections and a large number of racks where files are kept, it is necessary to serially number each rack and identify each one with a particular section.

All the racks available on each floor should thus be serially numbered (1, 2, 3 and so on). A sticker as indicated below should be pasted on each of the racks.

<table>
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<tr>
<th>RACK NUMBER</th>
<th>SECTION</th>
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iii. **Sub-classification:**

Each rack has numbers of horizontal partitions. Each partition should have a sticker as shown below indicating the year, category of application and the running serial nos. of files kept in the horizontal position(s).

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<th>YEAR</th>
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iv. **Systematic storage of records:**

Files should be placed year wise/category wise/running file number wise on horizontal partitions in the following sequence:

Example:

05/26/51/001/AM07, 05/26/51/002/AM07, 05/26/40/001/AM07, 05/26/40/002/AM07, 05/26/76/001/AM07, 05/26/76/002/AM07, etc.

on horizontal partitions year wise.

v. **Maintaining Catalogue:**

MTS of each section should maintain catalogue of records of files of his section in the following fashion:

<table>
<thead>
<tr>
<th>Section</th>
<th>Year</th>
<th>Category</th>
<th>Rack Number</th>
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<td></td>
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vi. **Retrieval of records:**

Thus, whenever a file is requisitioned, the rack number can be identified immediately. Then, on that rack file can be located by referring to the sticker of the year, category and serial number of file on each of the horizontal partitions.

vii. **Restoration of Records in their original place:**

As soon as the work relating to that particular file is over, without delay, the file should be placed back on the rack in the same sequence. Further, at end of the day, the file should necessarily be restored in the original position as per the classification and sequencing defined above.

* The MTS shall update his File Issuance register (annexure II) on daily basis with details like the file no. /date of receipt/ staff from whom the file has been received, etc.

* All the files in the section records shall be systematically catalogued and maintained as per Sequence in each section in a scientific manner. The cataloguing and sequential and maintenance of the records in the section will be known to all the persons working in the section so that any file can be obtained by the concerned person on his own also.

* The MTS should not take more than 15 minutes to locate and return a file as the same will be maintained in a systematic and stipulated manner.

Reference: (1) Software programme on the Home Page of the Office Server.

(2) O & M Instruction No. 05/2001 dated 22.06.2001.