

# GSAS POLICY UPDATE

Ref: [02]/2018



## DEMERIT SYSTEM for Quality Assurance

### Introduction

To protect the integrity and continually improve the quality of GSAS services rendered to projects, GSAS Trust is committed to a system that evaluates the performance of GSAS service providers and demerit those who provide non-conforming work/services. This system is triggered by the several requests received from project owners and developers who naturally and legitimately wish to receive the highest quality of services from authorized GSAS Service Providers.

A demerit system is hereby established to avoid unnecessary delays and financial burden on project owners due to non-conforming work of Service Providers. GSAS Trust introduces the following chronology of notifications and actions required by Service Providers when the non-conforming work/ service is identified for the projects. The non-conforming work/services, triggering GSAS Trust notification, may be identified by GSAS certifiers during desk reviews or site audits. This non-conforming work of GSAS Service Provider is assessed and notified through established protocols of GSAS Trust. Generally, it requires evidences for observed repeated non-conformities in GSAS Service Providers' work/services on a given project before GSAS Trust decides to raise flags in accordance with the demerit system.

### Non-Conformities

Non-conformities refer to the systemic and factual evidences, which demonstrate sub-standard work or services by GSAS Service Provider that can hamper the sound assessment of the project with respect to GSAS requirements. These non-conformities include, but are not limited to:

- Inadequate submission of evidences;
- Irrelevant or inappropriate documentation;
- Errors in basic calculations;
- Improper archiving;
- Imprecise referencing; and,
- Unclear reports.

### Details of the Demerit System

The system employs the five levels of flag raising that has increasing order of severity and actions requiring escalated levels of engagement as shown in the table below. GSAS Trust may raise multiple flags for a given project depending on the severity and extent of the non-conformities observed in the submissions.

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Following is the summary of flags raised and the order of their increasing severity.

FLAG	Action by GSAS Trust	Escalation of Involvement
FLAG 1	Notification to GSAS-CGP	GSAS CGP
FLAG 2	Alert to GSAS Service Provider	GSAS Service Provider
FLAG 3	Warning to GSAS Service Provider + Project Owner Notification	Project Owner
FLAG 4	Demand for GSAS CGP Change + Wide Circulation of Message	Key Stakeholders
FLAG 5	Project Contract Termination Request + Public Notification	Public-at-Large

The details of the Demerit System including non-conformities on a project, actions warranted from GSAS Service Providers and measures taken by GSAS Trust for non-action are provided below.

Trigger for Flag	Contents of Flags	Actions Warranted from Service Providers	GSAS Trust Measures for Non-action
Observation and evidences of first non-conformity (NC) on the project.	Flag-1 is raised with email notification to the GSAS-CGP containing specific observations/ evidences and corrective actions required.	<ul style="list-style-type: none"> <li>Submission of Acknowledgement of notification by GSAS-CGP; and</li> <li>Resubmission with NC-1 corrected.</li> </ul>	Raise Flag-2 and see the details below.
Observation and evidences of second NC on the project.	<ul style="list-style-type: none"> <li>Flag-2 is raised with email notification to GSAS-CGP and GSAS Service Provider containing specific observations/ evidences; and,</li> <li>Request to GSAS Service Provider to issue its Commitment Letter for improvement.</li> </ul>	<ul style="list-style-type: none"> <li>Submission of formal commitment letter by authorized partner of GSAS Service Provider, who is signatory of Commercial Registration (CR); and</li> <li>Resubmission with NC-2 corrected.</li> </ul>	Deactivation of GSASgate for project on which NC-2 is notified.

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Trigger for Flag	Contents of Flags	Actions Warranted from Service Providers	GSAS Trust Measures for Non-action
Observation and evidences of third NC on the project.	<ul style="list-style-type: none"> <li>Flag-3 is raised with email notification containing specific observations/ evidences; and,</li> <li>A copy of notification is sent to the project owner, clearly indicating that the Service Provider has received Flag No.3 due to failure to address the NC issues.</li> </ul>	<ul style="list-style-type: none"> <li>Submission of Rectification Plan along with clear timelines and responsibilities. The plan will also demonstrate how GSAS-CGP's capacity will be enhanced to prevent further non-conformities. The submission must be by the Authorized partner of GSAS Service Provider, who is signatory of Commercial Registration (CR).</li> <li>Resubmission with NC-3 corrected.</li> </ul>	Deactivation of GSASgate for project on which NC-3 is notified.
Observation and evidences of fourth NC on the project.	<ul style="list-style-type: none"> <li>Flag-4 is raised with email notification containing specific observations/ evidences; and,</li> <li>The copy of notification is sent to the project owner and key stakeholders, mentioning that GSAS Service Provider cannot use the same GSAS-CGP on the project.</li> </ul>	<ul style="list-style-type: none"> <li>Replacement of GSAS-CGP of the Service Provider; and</li> <li>Resubmission with NC-4 corrected.</li> </ul>	<ul style="list-style-type: none"> <li>Deactivation of GSASgate access to GSAS Service Provider for all the projects.</li> <li>Public posting of the status of Service Provider on designated zone of GORD website.</li> </ul>
Observation and evidences of fifth NC on the project.	<ul style="list-style-type: none"> <li>Flag-5 is sent with email notification containing specific observations/ evidences, asking project owner to re-assign the project to another GSAS Service Provider, as GSAS Service Provider has failed the service delivery expectations of project</li> <li>Public posting of notification to service provider on designated zone of GORD website.</li> </ul>	Service Provider needs to make an in-depth retrospection to improve its delivery system and apply for re-registration for GSAS after demonstrating their eligibility.	GSAS Service Provider to contact GSAS Trust for further action.

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### Important Note:

Although the above **Demerit System** is operationalized per project, if repeated non-conformities are observed on different projects of the GSAS Service Provider, GSAS Trust may elect to take further action in either of the following ways on a case-by-case basis.

- Stopping the acceptance of new projects registration requests from GSAS Service Provider at GSASgate.
- Suspension of GSAS Service Provider's License.