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FUNCTION: CERTIFICATION UNIT	ISSUE No: 01 TITLE: SURVEILLANCE, RECERTIFICATION AND SPECIAL AUDITS

Botswana Bureau of Standards




BOBS/MS/01/POL4


Policy on Surveillance, Re-Certification and Special Audits

Approved By: 

M. B. Marobela
 Deputy Managing Director



 Date of Approval (YY/MM/DD)

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0.0 Introduction

This policy document has been designed to guide in matters related to the maintenance of certification in accordance with the BOBS Management Systems Certification Scheme. BOBS certification is maintained through surveillance audits, recertification audits and special audits. Surveillance audits are conducted bi-annually to check continuing compliance of a certified management system. Recertification audits are carried out at the end of the licensing period to enable renewal of certification, while special audits are carried out to respond to changes to the certified system or to investigate complaints against a certified management system.


1.0 Surveillance Audits

- Following the award of the certification BOBS shall carry out bi-annual surveillance audits to ensure continued compliance with the requirements of the standard.
- Surveillance audits shall be carried out by appointed audit teams, and shall be on-site audits, but not necessarily full system audits.
- Surveillance audits may be planned with other surveillance activities.
- In the case of organizations that have been certified for the first time, the first surveillance audit shall be carried out six months after the issuance of a certification licence.
- The date of the first surveillance audit following initial certification shall not be more than twelve (12) months from the last day of the initial certification audit (i.e. Stage 2 audit of initial certification audit).
- The surveillance interval must not be reduced or extended by more than two (2) months.
- If there is a particular reason, the time for a surveillance audit can be brought forward or delayed relative to the time when it would normally have been held. Such special reasons include extending the scope of certification, synchronising a surveillance audit with a full re-assessment for purposes of renewal of certification, implementing changes in the certification requirements, coordination with some other surveillance audits or a request from the certified organization due to, say, illness, that BOBS should change the date of its planned surveillance. Notifications to this effect and agreements thereafter shall be documented by both parties.
- Selection and frequency of the surveillance audits shall be based on the importance of the sector/activity, the results of earlier surveillance audits, and other campaigns that may have been decided by BOBS and/or on appropriate sampling.
- If the results of any surveillance activity reveal serious shortcomings, an additional surveillance may be planned during which the problem may be investigated in more detail.
- In addition to the scheduled surveillances, other surveillances may be planned to check on certain parts of the certified system, or following customer complaints.

2.0 Recertification Audits

- The certification licence is valid for 3 years.
- A certified organization that wishes to maintain its certification licences shall notify BOBS of the impending expiry of the licence at least 3 months before the expiry date of the licence.
- To renew the licence, BOBS shall conduct a full site audit.

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- In situations where there have been significant changes to the management system or changes to legislation or the management system standard, the recertification audit shall include a documentation review.
- In the case of multiple sites, the audit shall ensure adequate on-site coverage following Procedure for Multi-site Sampling [\[MSC/PROC10\]](#).
- For any nonconformities identified the Client shall ensure that correction and corrective actions are implemented within the agreed time limits and prior to the expiration of the certification.
- BOBS shall make decisions on renewing the certification based on the results of the recertification audit as recommended by the audit team.

3.0 Special audits

- It may be necessary for BOBS to conduct audits of certified organizations at short notice to investigate complaints or response to changes.
- Special audits may also be undertaken in response to an application for modification of scope of a certification already granted. Application for modification of scope of certification shall be made on the relevant application form [\[MSC/PROC06.A23 Application for Modification of Scope of Certification of a Management System\]](#).
- Special audits undertaken in response to changes or modification of scope may be conducted in conjunction with a planned surveillance audit.

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