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Botswana Bureau of Standards



Management Systems Certification Scheme

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0.1 Foreword

This Scheme may be cited as the **BOBS Management Systems Certification Scheme 2008**, and upon its approval it effectively replaced the BOBS Management Systems Certification Scheme 2007.

During the preparation of this Scheme, considerable assistance was derived from the following documents:

- BOBS Management Systems Certification Scheme 2007
- ISO/IEC 17021: 2006, Conformity assessment – Requirements for bodies providing audit and certification of management systems
- IAF Guidance on the Application of ISO/IEC Guide 62: 1996, Issue 4 (IAF GD 2: 2005)

For the purposes of this Scheme all the reference documents (i.e. Manual, Policies, Contract, Procedures, Annexes, and Forms) are depicted by a *blue italics colour*.

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1.0 Introduction

1.1 Terms, Abbreviations and Acronyms

For the purposes of this Scheme the terms, abbreviations and acronyms in [Annex: BOBS/MSC/01/A1.1](#) shall apply. For all other terms, definitions given in the following documents shall apply:

- ISO 19011:2002 *Guidelines for quality and/or environmental management systems auditing.*
- ISO/IEC 17021: 2006, Conformity assessment – Requirements for bodies providing audit and certification of management systems

1.2 Purpose and Scope


1.1.1 This Scheme describes the conditions for applying, assessing and certifying an organization according to a relevant management system standard.

1.1.2 It forms part of an agreement between BOBS and an applicant or certified organization.

1.3 Reference Documents

1.1.3 A separate document, BOBS Management Systems Certification Manual [\[BOBS/MSC/01\]](#) exists to describe the general principles and policies of the Botswana Bureau of Standards (BOBS) Management Systems Certification activity and its supporting documented system.

1.1.4 A legally enforceable Certification Contract [\[BOBS/MSC/03\]](#) exists to serve as an agreement for the provision of certification service to the Client. It stipulates the responsibilities and obligations of BOBS and the Client.


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2.0 How to Obtain Management Systems Certification

2.1 General Information

- 2.1.1 BOBS offers general guidance on the requirements of the management systems standards and the certification process. Information on relevant standards and the certification process is also given to prospective applicants who express their serious wish to implement a system in accordance with the relevant management system standard.
- 2.1.2 Processing of application will commence if the interested applicant indicates familiarity with the relevant management system standard(s) and the certification thereof.
- 2.1.3 It is important to note that BOBS does not offer consultancy services to clients or prospective applicants implementing any of the management systems.
- 2.1.4 BOBS provides Management Systems Certification service in accordance with the BOS ISO 9001: 2000 standard and other management systems standards. The standards have been adopted from and are identical to the internationally accepted standards on management systems.
- 2.1.5 BOBS auditors assess an organization's management system, or parts thereof, of its Clients with the goal of determining its conformity with the relevant management system standard, including the effectiveness of the system. Following the audit the Client receives an audit report and then a certification licence upon approval by the Approvals Committee.
- 2.1.6 BOBS is independent, neutral, and objective in its assessment, and it strives to minimize any disturbances of the business process while conducting an audit at the Client's premises.
- 2.1.7 BOBS shall disclose the names of the audit team to the Client, and when requested, shall make available background information on each member of the audit team, with sufficient time for the Client to object to the appointment of any particular member of the audit team, including technical expert.
- 2.1.8 Each step of the audit is planned and scheduled in cooperation with the Client, and follows the details described in [Procedure MSC/PROC06](#) Management Systems Certification Process. The process is summarised in Section 2.2 below.
- 2.1.9 An initial audit is a two-stage audit, comprising of documentation review and site audit. The duration for each stage is dependent on the size of the Client's organization, the scope and complexity of its management system, products and processes as well as demonstrated level of management system effectiveness.
- 2.1.10 BOBS shall provide a written report for each stage of the audit. In the report the audit team may identify opportunities for improvement, but shall not recommend specific solutions.
- 2.1.11 Decisions on certification/recertifications are made by the Certification Approvals Committee (CAC), based on recommendations by the audit team.
- 2.1.12 Following certification, BOBS carries out bi-annual surveillance audits to verify that the management system it has certified continues to comply with the certification requirements.

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2.1.13 Fees payable under this Scheme are as set out in the Schedule of Fees [\[MSC/PROC06.A04\]](#).

2.1.14 The determination of audit-time for each Client follows [Procedure MSC/PROC09](#).

2.1.15 In cases of multi-site certification (i.e. certification covering the same or different activities in various locations):

- a) a sampling programme to ensure a proper audit of the whole management system shall be developed following [Procedure MSC/PROC10](#).
- b) A Certification Contract [\[BOBS/MSC/03\]](#) shall be signed for each site.

2.2 Conditions for Applications, Assessments and Licensing

2.2.1 Applications

2.2.1.1 Every application for a certification licence under this Scheme shall be:

- a) made to the Managing Director using form [MSC/PROC06.A03, Application for Certification of a Management System\(s\)](#);
- b) made in respect of a relevant Management System Standard(s);
- c) accompanied by a non-refundable application fee as specified in [MSC/PROC06.A04, Schedule of Fees](#);
- d) accompanied by:
 - a copy of the registration licence issued by the Registrar of Companies or the relevant national equivalent;
 - a copy of the licence to operate, as issued by the relevant government department or national equivalent;
 - a documented management system (i.e. manual) prepared by the organization.
- e) routed through the applicant's Chief Executive Officer (CEO), or any other person authorized to sign any declaration on behalf of the organization.

2.2.1.2 BOBS shall conduct a review of the application form and all supplementary information supplied with the application to check if application requirements have been met, and to work out all the necessary logistics (i.e. audit-time, competencies required, quotations, safety conditions, impartiality, language, etc).

2.2.1.3 Should the applicant not meet the application requirements, or where the standard(s) selected by the applicant is not appropriate to the scope of activity for which the application has been made, the DCE may decline to proceed with such an application.


2.2.1.4 An application shall be valid for a period of 12 months as from the date of application.

2.2.1.5 Application for the renewal of the certification licence shall be done at least three months before the expiry of the existing licence.

2.2.1.6 The Client decides if a pre-audit assessment is required and how extensive it should be.

2.2.1.7 A separate application is required in respect of the address of each autonomous premises at which, or from which the organization controls its business.

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2.3 Assessments

2.3.1 Initial certification audits consist of:

a. Stage 1 audit, which comprises of the following activities:

- Fully explain the BOBS Management Systems certification Scheme and associated responsibilities and obligations
- Review of the documented management system;
- Discussion meetings with the applicant to:
- Gather relevant information about the organization, including site-specific conditions;
- Assess the organization's readiness for certification;
- Evaluate if internal audits and management reviews are being planned and conducted
- Assess the general level of implementation of the management system and the applicant's readiness for certification
- Agree with the applicant about the details of Stage 2 audit (i.e. site audit)

b. Stage 2 audit, which comprises of the following activities:

- Assessment of the management system(s) including records as proof of compliance with the standard and documented management system;
- Observation of activities;
- Review of the results of the internal audits and management reviews carried out;
- Checking any customer complaints received by the applicant/certified organization, and the corrective actions taken or proposed;
- Legal compliance
- Management responsibility for the organization's policies.

2.3.2 Stages 1 and 2 audit findings shall be documented and communicated to the Client for corrective action.


2.3.3 The Client shall be required to analyse the cause and describe the specific correction and corrective/preventive actions taken, or planned to be taken, to eliminate detected nonconformities, within a defined period of time.

2.3.4 Based on the results of the audit and actions taken thereafter, audit conclusions shall be reached by the audit team and recommendations forwarded to the Approvals Committee.

2.4 Licensing

2.4.1 BOBS' responsibility shall be to issue a certification licence subject to satisfactory audit results.

2.4.2 For all the minor nonconformities, the applicant shall submit to BOBS proposed corrective actions and their deadline dates before consideration could be given to the issuance of a certification licence. The adequacy of the proposed corrective actions shall be assessed and feedback given to the applicant. The Client shall be informed if an additional full or limited, or documented evidence (to be confirmed during future surveillance audits) will be necessary to verify effective correction and corrective actions. Certification can only then be granted after

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BOBS has satisfied itself that all corrective actions have been adequately addressed by the Client.

- 2.4.3 A major nonconformity which would not have been corrected during a follow-up audit shall render an applicant not eligible for the issuance of a certification licence). A detailed corrective action plan would then be required, followed by an additional full or limited audit to verify effective correction and corrective actions.
- 2.4.4 In the case of certified organizations, a major non-conformity can result in suspension or termination of certification. A full re-assessment shall be carried out to uplift the suspension.
- 2.4.5 The grounds for decision to suspend, terminate or refuse to grant the certification shall be notified to the Client in writing.

3.0 Policies and Procedures Governing Certification

3.1 BOBS has established the following policies and procedures to govern its certification programme:

- Procedure for Management System Certification Process [[MSC/PROC06](#)]
- Procedure for Handling Customer Feedback [[MSC/PROC07](#)]
- Procedure for Selection, Training, Development and Performance Monitoring of Auditors [[MSC/PROC08](#)]
- Procedure for Determining Audit Time [[MSC/PROC09](#)]
- Procedure for Multi-site Sampling [[MSC/PROC10](#)]
- Policy on Management of Impartiality [[BOBS/MSC/01/POL1](#)]
- Policy on Confidentiality [[BOBS/MSC/01/POL2](#)]
- Policy on Auditor Qualification Criteria [[BOBS/MSC/01/POL3](#)]
- Policy on Surveillance, Re-Certification and Special Audits [[BOBS/MSC/01/POL4](#)]
- Policy on Handling Nonconformities [[BOBS/MSC/01/POL5](#)]
- Policy on Use of Certification Licence and Certification Logo [[BOBS/MSC/01/POL6](#)]
- Policy on Suspension/Termination/Annulment of Certification [[BOBS/MSC/01/POL7](#)]
- Policy on Handling Complaints/Appeals/Disputes [[BOBS/MSC/01/POL8](#)]
- Policy on Information Exchange and Publicity [[BOBS/MSC/01/POL9](#)]
- Policy on Certification Fees and Terms of Payment [[BOBS/MSC/01/POL10](#)]
- Policy on Outsourcing of Audits [[BOBS/MSC/01/POL11](#)].

3.2 Procedures and policies that have been referenced in this Scheme for use by the Client are accessible on the BOBS website, or are made available to the Client on request.

4.0 Changes to the Scheme

4.1 BOBS reserves the right to effect amendments, modifications(s), revision(s), of the Scheme at anytime and notify the Client of the same.