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Botswana Bureau of Standards



MSC/PROC06


Procedure for Management Systems Certification Process

Approved By: 

K. Morgan
 Director of Commercial Enterprises

2008/09/01

 Date of Approval (YY/MM/DD)

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1. Purpose

The purpose of this procedure is to ensure that enquiries on management system certification, the certification process and subsequent surveillance audits of companies are handled in a consistent manner.

2. Scope

This procedure covers the whole certification process, i.e. from the enquiry stage, through to processing of application, initial certification and subsequent surveillances of the Client's management system.

3. Responsibilities and Authorities

The Director of Commercial Enterprises (DCE) has the overall responsibility for the effective implementation of this procedure.

The Manager Certification (MCertS) is responsible for implementing, maintaining, improving and revising this procedure.

4. Definitions and abbreviations

For purposes of this procedure, the terms, definitions, abbreviations and acronyms in [BOBS/MSC/01/A1.1 Terms, Abbreviations and Acronyms](#) shall apply.

5. Activity Description

5.1 General Guidance

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.

Processing of application will commence if the interested applicant indicates familiarity with the relevant management system standard(s) and the certification thereof.


It is important to note that BOBS does not offer consultancy services to Clients or prospective applicants implementing any of the management systems.

5.2 Enquiry

5.2.1 Following an enquiry, the Responsible Officer (RO) shall complete an enquiries form [\[MSC/PROC06.A01 Certification Enquiries Form\]](#) and act accordingly.

5.3 Request for certification

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- 5.3.1 Following a request for certification the RO shall arrange for an introductory meeting with the Client.
- 5.3.2 This is an information gathering meeting intended at achieving the following:
- explaining this procedure, applicable terms and conditions and any other relevant documentation;
 - acquainting the RO with the Client's contact person (or Management Representative), nature of the client's business and the Client's specific needs.
 - completing a pre-application questionnaire [[MSC/PROC06.A02 Pre-application Questionnaire](#)] to gather relevant information about the Client's management system that would determine if the Client is ready to apply.
 - providing the Client with application documents if the Client:
 - has a documented Management System;
 - has been operating its Management System for at least six months;
 - has had at least one (1) internal audit(s) covering the whole management system;
 - has had at least one (1) management review(s).
- 5.3.3 If the Client requires, the RO may prepare a cost estimate for certification as guided by the fee schedule [[MSC/PROC06.A04 Fee Schedule](#)].


5.4 Application

- 5.4.1 The applicant shall fill in the application form [[MSC/PROC06.A03 Application Form](#)].
- 5.4.2 Application shall be accompanied by an application fee.
- 5.4.3 On receipt of the filled in application form the OS shall open a file for the applicant with a unique identification and forward it to the MCertS.
- 5.4.4 The MCertS shall appoint a Client Contact Officer (CCO) who shall then conduct a review of the application and other supplementary information to ensure compliance with application requirements. (Refer to Section 2.2.1 of the Scheme).
- 5.4.5 The CCO shall then acknowledge receipt of the application in writing and notify the applicant of the decision to accept or not to accept the application. The reasons for non-acceptance shall be discussed with the MCertS and made known to the applicant.
- 5.4.6 Following acceptance of application, the CCO shall forward the file to the MCertS who shall then identify the appropriate audit team [[BOBS/MS/01/POL3 Policy on Auditor Qualification Criteria](#)] and complete the audit team appointment form [[MSC/PROC06.A05 Audit Team Appointment Form](#)] for approval by the DCE
- 5.4.7 The DCE shall notify all those in the team following the set communication channels.
- 5.4.8 The CCO shall furnish the applicant with the names of the audit team members.
- 5.4.9 The applicant has the right to formally appeal against the appointment of any particular auditor(s) or expert(s) in the audit team, and the DCE shall ensure that such issues are resolved satisfactorily.
- 5.4.10 The DCE reserves the right to appoint any person he/she deems qualified to take part in an audit.

5.5 Planning for the Audit

- 5.5.1 The audit team shall plan for Stage 1 and Stage 2 audits (i.e. preliminary visit, documentation review, site audit and reporting).
- 5.5.2 The CCO shall communicate the plan to the MCertS within one (1) week of appointment of the audit team, and shall update the MCertS on its effective implementation.
- 5.5.3 The audit team may review the plan following a preliminary visit (see 5.6 below), in consultation with the MCertS and CCO.

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5.5 Pre-audit assessment (optional)

- 5.5.1 On being requested by the Client, the MCertS, with approval by the DCE, may assign an auditor(s) to perform a pre-audit assessment of the Client's management system.
- 5.5.2 The Client shall define the scope of the assessment (i.e. documentation review and/or site audit).
- 5.5.3 Following the assessment, the assigned auditor(s) shall generate a report for the Client.
- 5.5.4 Applications for a pre-audit assessment shall be made in the relevant application form [\[MSC/PROC06.A07 Application for Pre-audit Assessment\]](#).
- 5.5.5 Fees for this activity are as per Schedule of Fees [\[MSC/PROC06.A04 Fee Schedule\]](#) excluding the annual licence fee and surveillance fees.


5.6 Preliminary Visit

- 5.6.1 The Team Leader, if necessary accompanied by any member of the Audit Team, shall undertake a preliminary visit to the Client's site.
- 5.6.2 The purpose of this visit is to verify information on the pre-application questionnaire and to gather more information that will enable the determination of the following for use in the preparation of an audit program and a quotation for the audit:
- sectors to be audited (full, correct official names), their scope and interactions with others;
 - site plan (distribution of sectors and hence appropriate allocation of time);
 - special processes;
 - audit logistics;
 - audit fee;
 - appropriate frequency of the surveillance audits;
 - any other relevant documentation.
- 5.6.3 Team Leader shall fill in a preliminary visit form [\[MSC/PROC06.A09 Preliminary Visit Report\]](#) which identifies the envisaged scope of certification, any exclusions and their justifications, site-specific conditions, information relating to the applicant's preparedness with regard to planning and performing of internal audits and management reviews, the general level of implementation of the management system as well as adequacy of the applicant's documented system.
- 5.6.4 A preliminary visit can be undertaken in the form of a survey, without necessarily visiting the Client's site. The decision not to visit the site shall be justified and documented. Such justification could be based on the applicant organization's size, location, risk considerations, previous knowledge, etc.

5.7 Quotation for certification

- 5.7.1 With guidance from the Team Leader, the CCO shall calculate the estimated cost for the whole certification activity and furnish the applicant with a quotation based on the fee schedule [\[MSC/PROC06.A04 Fee Schedule\]](#).
- 5.7.2 The CCO shall prepare a quotation for each stage of the audit (i.e. application, documentation review, site audit, etc), prior to the activity being undertaken.
- 5.7.3 All quotations shall be verified by the MCertS.

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5.8 Certification Contract

- 5.8.1 Before commencing with the audit, a certification contract shall be established between BOBS (represented by the MD) and the Client (represented by the Chief Executive Officer).
- 5.8.2 The audit shall be carried out only after the Client has returned a signed copy of the Contract [\[BOBS/MSC/03 Certification Contract\]](#).

5.9 Documentation Review

- 5.9.1 The audit team shall review the Client's documented management system and produce a documentation review report [\[MSC/PROC06.A10 Documentation Review Report\]](#).
- 5.9.2 The report shall be forwarded to the MCertS for verification.
- 5.9.3 The MCertS shall discuss the contents of the report with the Team Leader where necessary.
- 5.9.4 The CCO shall send the report to the Client for the necessary action.
- 5.9.5 A time period shall be agreed with the Client within which matters raised in the report should be cleared/clarified.
- 5.9.6 The Team Leader shall assess the clarifications and complete form [\[MSC/PROC06.A12 Corrective Action Assessment Report\]](#).
- 5.9.7 The CCO shall provide feedback to the Client on the adequacy/inadequacy of the corrective actions.
- 5.9.8 Any apparent nonconformities, omissions and ambiguities shall be cleared before an initial audit can be undertaken.


5.10 Preparation for on-site audit

- 5.10.1 The Audit Team shall prepare an audit program [\[MSC/PROC06.A13 Audit Programme\]](#) and submit it to the CCO.
- 5.10.2 The CCO shall furnish the Client with the audit programme at least two weeks before the audit.
- 5.10.3 The CCO shall provide the Audit Team with the audit package [\[MSC/PROC06.A14 Audit Package List\]](#) at least a day before the audit.
- 5.10.4 In addition to the audit package the audit team shall have copies of audit criteria and reference documents as relevant.
- 5.10.5 The CCO shall liaise with the Office Secretary (OS) for the preparation of the audit package (see 5.10.3) as well as for necessary arrangements for travel and boarding.

5.11 Conducting Initial Audit (on-site)

- 5.11.1 The audit shall start with an opening meeting and end with a closing meeting, both chaired by the Team Leader, making use of agenda for opening and closing meetings [\[MSC/PROC06.A17 Agenda for Opening and Closing meetings\]](#).
- 5.11.2 The audit shall include examination of the management system by means of interviews, reviewing records and observation of activities and current practices within the company following a pre-established audit programme [\[MSC/PROC06.A13 Audit Programme\]](#).
- 5.11.3 All findings shall be captured on the relevant form [\[MSC/PROC06.A16 Corrective Action Report\]](#) and be acknowledged by the company guide.
- 5.11.4 At the end of the audit, the audit team shall meet to collate the audit findings in preparation for the closing meeting.
- 5.11.5 During the closing meeting the audit team formally presents the findings and the conclusion of the audit to the company management.

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- 5.11.6 Some minor nonconformities can be corrected quite quickly and easily during the audit, and these shall be noted and closed-out at the closing meeting. They shall however, still form a part of the report.
- 5.11.7 The audit team shall advise the Client that the decision on certification shall be made after consideration of the recommendations by the Certification Approvals Committee (CAC).
- 5.11.8 The audit team shall leave with copies of the audit findings.

5.12 Initial Audit Report

- 5.12.1 The Team Leader shall prepare a report within one week of conducting the audit. The report shall follow the prescribed format [[MSC/PROC06.A18 Audit Report](#)].
- 5.12.2 The CCO shall forward the checked report to the MCertS for authorisation prior to dispatch to the Client.
- 5.12.3 The audit report shall be dispatched to the Client within two weeks of conducting the audit.
- 5.12.4 The CCO shall make any necessary follow-up as may be recommended in the audit report.
- 5.12.5 Nonconformities shall be handled in accordance with the relevant BOBS policy [[BOBS/MS/01/POL5 Policy for Handling Nonconformities](#)].
- 5.12.6 For purposes of the CAC meeting the MCertS shall prepare a recommendation report following the prescribed format ([MSC/PROC06.A19 Recommendation Report](#)).
- 5.12.7 In the likelihood of the reports differing (closing meeting report, initial audit report, and recommendation report) the Client shall be made aware of this fact and the reasons behind.
- 5.12.8 The MCertS shall discuss and clarify all recommendations with the DCE prior to the CAC meeting.


5.13 Decision on certification

- 5.13.1 BOBS decision on certification shall be made by the CAC based on the audit team's recommendations.
- 5.13.2 In the absence of a Team member, the MCertS or nominated representative shall present the recommendation to the CAC.
- 5.13.3 The Managing Director shall notify the Client about the decision taken by the CAC.

5.14 Post- certification activities

- 5.14.1 Following the award of the certification BOBS shall carry out bi-annual surveillance audits as presented in the Annual Audit Schedule [[MSC/PROC06.A20 Annual Audit Schedule](#)].
- 5.14.2 For effective implementation of the Annual Audit Schedule, a workprogramme [[MSC/PROC06.A21](#)] shall be prepared, updated and communicated to the respective audit teams.
- 5.14.3 Surveillance reports shall be prepared within one week of conducting the audit.
- 5.14.4 Applications for renewal of certification shall be made on the form [MSC/PROC06.A03 Application Form](#).
- 5.14.5 Applications to modify the scope of certification shall be made on the relevant form [[MSC/PROC06.A23 Application for Modification of Scope of Certification of a Management System](#)].

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6 Records

Records resulting from the implementation of this procedure shall be kept in designated files and controlled in accordance with the procedure for Control of Records [\[MSC/PROC02\]](#).

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