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## Botswana Bureau of Standards



Approved By: \_\_\_\_\_


Managing Director

\_\_\_\_\_

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## BOTSWANA BUREAU OF STANDARDS

### STANDARDS MARK CERTIFICATION SCHEME


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## 0.1 Foreword

This Scheme may be cited as the **Standards Mark Certification Scheme of 2009** and, upon its approval, it will effectively replace the BOBS' Standards Mark Certification Scheme 2004. Organizations that are certified under this Scheme will be issued with a Licence to use the Standards Mark. The Scheme is complementing the effective implementation of the Standards Act No.16, of 1995.

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


**ISO/IEC Guide 23:1982** *Methods of indicating conformity with standards for third-party certification systems.*

**ISO/IEC Guide 28:1982** *General rules for a model third party certification system for products.*

**ISO/IEC Guide 53:1988** *An approach to the utilization of a supplier's quality system in third party product certification.*

**ISO/IEC Guide 65:1996** *General requirements for bodies operating product certification systems.*

**ISO/IEC Guide 67:2004** *Conformity assessment – fundamentals of product certification*  
Standards Mark Certification Scheme, 2004

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## 1.0 Introduction

### 1.1 General

The Botswana Bureau of Standards (BOBS) was established by an Act of Parliament, Standards Act No. 16, 1995 mandated to develop standards and assist or enforce their implementation. BOBS endeavors to educate its clientele on certification through industrial visits, BOBS' website, brochures and through customer requests. BOBS offers voluntary certification, guided by the Standards Mark Certification Scheme, as means of assisting in implementation of product Standard.

Successful implementation of the Scheme and the relevant product Standard shall be through certification, and issuance of a licence to use the Standards Mark. Product certification is third party's written assurance that a certain product, including its manufacturing process and service provision complies with the requirements of its relevant product Standard. Through acquisition of a licence to use the Standards Mark, a manufacture makes it known that his/her product is in conformity with the requirements of the relevant Standard.

The fundamental purpose of product certification is to:

- Address concerns of consumers, users, and more generally, all interested parties by instilling confidence regarding fulfillment of requirements
- Be used by suppliers to show to the market the thirds party's involvement in declaring compliance, hence quality assurance
- Not require excessive resources that result in product costs beyond what society in general is willing to bear

### 1.2 Terms, Abbreviations and Acronyms


**BOBS** – Botswana Bureau of Standards

**CAC** – Certification Approvals Committee

**Inspection** – conformity evaluation by observation and judgement accompanied by measurement, testing and gauging.

**Certification** – attestation by an independent party that a product or service complies with specified requirements.

**Quality Plan** – document specifying which procedures and associated resources shall be applied by whom and when to a specific project, product, process or contract.

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### 1.3 Purpose and Scope

This Scheme is intended for use by the Applicants, Licensees, and BOBS for guidance in successful implementation of product standards for purposes of certification. Evidence of conformity to the standard or other normative documents and any supplementary documentation will be in a form of a Standards Mark.

BOBS Standards Mark Certification Scheme is a System 5 product certification Scheme relying on a combination of:

- Type testing;
- Assessment of the factory quality system, and;
- Periodic surveillance that takes into account the inspection of factory quality system and the testing of samples from the factory and the open market.

This Scheme describes the terms and conditions for applying, assessing, and licensing an Applicant. It refers to procedures that describe the certification process, from receipt of application for certification by BOBS, through assessment, awarding of the licence and monitoring through surveillances.

This Scheme also stipulates obligations of the Licensee, as well as conditions and/or events that may lead to suspension or withdrawal of the licence to use the Standards Mark.

A legally enforceable Standards Mark Licence Agreement 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 Licensee.

## 2.0 The Certification Process


The Certification process involves application, initial assessment, (including factory inspection, testing and/or examination) approval, followed by periodic surveillance assessment.

### 2.1 Application for Certification

2.1.1 Every application for a licence to use the Standards Mark shall be;

- a) Made to BOBS using the appropriate application form.
- b) Made in respect of a relevant Botswana product Standard only.
- c) For each factory or premises at which the product is manufactured.

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d) Accompanied by a:

- i. non refundable application fee as quoted in the fee schedule;
- ii. completed pre-application questionnaire;
- iii. documented Quality Plan of the organisation relating to the product whose licence is sought;
- iv. copy of the certificate of incorporation, issued by the Registrar of Companies or the relevant national authority, and;
- v. copy of the trading licence, issued by the relevant national authority.

2.1.2 BOBS shall conduct a review of the application and the relevant supplementary information accompanying the application, and acknowledge receipt of the same.

2.1.3 The Applicant shall receive a quotation from BOBS depicting the fees of the envisaged certification services to be rendered.

2.1.4 BOBS shall appoint an Inspection Team upon receipt of a purchase order from the Applicant.

2.1.5 The Inspection Team shall review the Applicant's Quality Plan and communicate to the Applicant in writing, the findings including conclusions and recommendations emanating from the review.

2.1.6 The application shall be valid for a period of six (6) months from the date of the Quality Plan review.


## **2.2 Preliminary Visit (Optional)**

2.2.1 Whenever possible based on logistics and cost factors, BOBS shall pay a preliminary visit to the site where certification is being sought. The purpose of the visit is to identify the site and meet the company's representatives responsible for implementation of this Scheme.

2.2.2 A mutually convenient date for the preliminary visit shall be agreed upon by the Inspection Team and the Applicant.

2.2.3 The Inspection Team may during the visit conduct a factory tour to appreciate the factory and identify areas of focus for the initial inspection.

2.2.4 Findings, conclusions and recommendations of the preliminary visit shall be communicated to the Applicant in writing.

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## 2.3 Initial Assessment

2.3.1 During the initial inspection, the Inspection Team shall establish the level of implementation of the relevant product(s) Standard to determine the ability of the company in ensuring that the product whose certification is being sought always conforms to the requirements of the relevant Standard and this Scheme.

2.3.2 The Inspection Team shall therefore during the inspection conduct the following activities;

- a) Verification of the effective implementation of the company's Quality Plan
- b) Assessment of the production process through observation of activities and interviews with staff (production personnel)
- c) Assessment of records produced from implementation of the Quality Plan
- d) Verification of compliance with the requirements of the relevant product Standard.

2.3.3 The Applicant shall make available to the Inspection Team access to all the facilities at which the activities described in the Quality Plan are carried out.


2.3.4 The Inspection Team shall select enough representative samples from batches identified by the Applicant as ready for the market to be used for the tests and/or examinations where required by the product Standard(s).

### NOTES:

1. Where the company has established internal testing facilities, for which they would like BOBS to use for purposes of certification, arrangements shall be made prior to the initial assessment for BOBS to assess facilities for capability.
2. Where BOBS lacks capacity to test/examine the samples, a capable testing facility shall be subcontracted to conduct the tests/examinations on behalf of BOBS.
3. BOBS would not accept or use test data produced by other testing facilities for purposes of certification other than those facilities instructed by BOBS or where testing was observed by BOBS for certification

2.3.5 Pending test results, BOBS shall within two weeks of the inspection prepare an interim report to communicate the results of the initial assessment to the Applicant for corrective action where applicable.

2.3.6 Where corrective action is required the Applicant shall be required to establish causes of the identified shortfalls and communicate to BOBS the established time-framed action taken or to be taken to eliminate and/or prevent their recurrence.

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2.3.7 BOBS shall evaluate the corrective action plan's adequacy in addressing the identified shortfalls and establish the need for a follow up inspection to verify the effectiveness of the corrective measures.

2.3.8 BOBS shall prepare an inspection report to communicate to the Applicant the results of initial assessment, which may where applicable contain findings of the inspection, results of the tests and/or examinations, and feedback regarding corrective action plan.

2.3.9 Based on the satisfactory results of the evaluation of the entire inspection results, and having proved the Applicant's ability in ensuring that the manufactured product(s) always comply with the requirements of the applicable Standard(s) and this Scheme, BOBS shall make a recommendation to the Certification Approvals Committee (CAC).

## 2.4 Decision and Licensing

2.4.1 The Inspection Team's recommendation shall be presented to the CAC, and the Committee's resolutions shall be communicated to the Applicant in writing.


2.4.2 If aggrieved by the CAC's decision to decline the approval of an application for a licence to use the Standards Mark, the Applicant may make an appeal to BOBS in writing within fourteen (14) days of date of notification.

2.4.3 Following confirmation of approval of application, BOBS' responsibility shall be to issue the Applicant with a Licence to use the Standards Mark subject to settlement of any outstanding debt emanating from processing of the application.

2.4.4 The licence;

- a) shall be issued in respect of each Standard and in respect of each manufacturing factory/premises;
- b) shall be valid for a period of 3 years as from the date of issuance;
- c) could be modified, suspended, terminated, withdrawn during its validity period, or renewed at the end of its validity period.
- d) and all copies thereof remain at all times the property of BOBS and shall immediately be surrendered to BOBS upon suspension, termination or cancellation of the licence

2.4.5 The Licensee shall enter into a contract with the BOBS by signing the Licence Agreement.

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2.4.6 The Licensee shall have the right, subject to the conditions in the Licence Agreement, to state that her/his products are BOBS certified, and where possible, apply the relevant Standards Mark on the relevant product (s).

### **3.0 Surveillance Inspections**

#### **3.1 Surveillance Inspection Intervals Plans**

3.1.1 Following the issuance of a licence, BOBS shall conduct surveillance inspections of the Licensee's certified products at bi-annual intervals.

3.1.2 Based on the criticality of the parameters to be tested/examined as per the product Standard, BOBS may select parameters to test during surveillance inspections.

3.1.3 The first surveillance inspection shall be conducted six (6) months from the date of the initial inspection.

3.1.4 In cases where a licence was granted by the CAC after at least six (6) months from the date of the initial inspection, the first surveillance inspection shall be conducted within the first month of date of approval of the licence.

3.1.5 Where circumstances such as extension of scope of certification, change of location, unavailability of key personnel (BOBS/Licensee) lead to surveillance inspection dates being varied relative to surveillance inspection plan, the variations shall be limited to one (1) month before or after the planned date. Following such a shift in the planned inspection date, the next surveillance must fall back to cycle as per the surveillance inspection plan.


3.1.6 If the results of the surveillance inspection identify shortfalls that may affect the compliance of the certified product, BOBS may tighten the interval of inspections through additional surveillances within the six (6) months interval, during which the shortfalls may be investigated in more detail.

#### **3.2 Market Surveillance Inspections**

In addition to the scheduled factory surveillance inspections carried out at the Licensee's premises, surveillance may be carried out in the open market, for checking that the certification conditions are fulfilled, or following customer complaints.

### **4.0 Changes to Processes and Certified Products**

4.1 The Licensee shall at least two (2) months in advance notify BOBS in writing of any planned changes to the processes or the certified products, which may affect

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the basis for the grant of the licence. Unplanned changes should immediately be reported to BOBS.


- 4.2 BOBS reserves the right to make a special visit to assess the effect of the changes on conformity with the Standard.
- 4.3 The Licensee shall ensure that amendments to the Quality Plan are documented and the updated Quality Plan shall be availed to BOBS prior to inspections.

## **5.0 Change of Site**

- 5.1 The Licensee shall forthwith notify BOBS in writing of intentions to relocate from the site for which the licence has been issued.
- 5.2 BOBS shall undertake a special visit to the new site to establish continued compliance of the product. During this visit, samples may be taken for testing and/or examination.
- 5.3 Whenever possible, the date of the special visit shall coincide with the date of the next scheduled surveillance inspection as per the surveillance inspection plan.
- 5.4 The Licensee may continue claiming certification during the transition period while BOBS assesses the new site to establish Licensee's ability to continue compliance with the requirements of this Scheme and the relevant product Standard provided the licence is still valid.
- 5.5 Based on the results of the assessment, BOBS may update the certification licence and withdraw the current. Where the Inspection Team has established that the Licensee's system has totally collapsed, which may result in failure of a certified product, the certification licence may be suspended or withdrawn, depending on the extent of non-compliance.

## **6.0 Modification of Scope of Certification**

- 6.1 Modification of scope shall only apply to Licensees who wish to add or reduce the type/class of products already certified.
- 6.2 Application for modification of scope shall be made to BOBS on the relevant application form.
- 6.3 Where the Licensee wishes to add another type/class of products to those already certified, BOBS shall conduct a special inspection to assess the capacity of the Licensee to extend their scope of certification. BOBS shall select samples for testing/examination.

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6.4 Where the Licensee wishes to reduce their scope of certification, they shall be required to provide evidence of action taken or to be taken in ensuring that there are no claims of certification regarding the excluded class/type.

6.5 Once the modification has been approved, BOBS shall ensure that a modified certification licence is issued to the client, bearing the new scope.

## **7.0 Renewal of Certification Licence**

7.1 The licence shall be valid for a period of three years from its date of issue and may be renewed for a further period of three years on fulfillment of the requirements of this Scheme.

7.2 The Licensee shall inform BOBS of intentions to renew certification licence by submitting to BOBS the application for renewal of licence at least nine (9) months prior to expiry of the licence.

7.3 BOBS shall make arrangements for a re-certification inspection for purposes of renewal of licence. The inspection may be scheduled such that it coincides with the last scheduled surveillance inspection.

## **8.0 Obligations, Terms and Conditions**

8.1 The Licensee shall pay all financial dues to BOBS, as prescribed, even for the period during which the operation of the licence remains discontinued by him or suspended by BOBS.


8.2 The Licensee shall keep a record of any complaints and their disposal regarding the certified product and avail them to BOBS upon request.

8.3 The Licensee shall not use the licence in any misleading manner to which BOBS may object.

8.4 The use of the Standards Mark on publications shall be done in agreement with BOBS. The Licensee shall submit to BOBS for approval, proposals for intended publications.

8.5 BOBS may take such action as deemed appropriate, including suspension, withdrawal or termination of the licence, when there is failure to comply with the relevant product Standard(s) and the requirements of this Scheme.

8.6 The following circumstances, although not exhaustive, may lead to suspension, withdrawal or termination of a licence:

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- a) Failure of certified products to comply with the requirements of the relevant Standard(s); and the conditions pre-requisite to which the licence was granted;
- b) Failure of Licensee, without reasonable excuse, to comply with this Scheme, including the Licence Agreement;
- c) The Licensee has, without reasonable excuse, failed or refused to comply with any of the conditions or terms to which the licence was made subject;
- d) Inadequate implementation of corrective measures following failures; and
- e) Failure of Licensee to comply with the settlement of financial obligation.