

FOR BIS USE ONLY

OPERATING MANUAL FOR PRODUCT CERTIFICATION 1994

(Second Revision of "Certification Marks Manual")

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**Central Marks Department
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CONTENTS

SECTION I - GENERAL

1

INTRODUCTION	1
SCOPE	1
ABSTRACT	2
CERTIFICATION ADVISORY COMMITTEE	3
OPERATIONAL MEMOS	4
ISO/IEC GUIDES ON CERTIFICATION	4
DELEGATION OF POWERS	5

SECTION II GRANT OF LICENCE

6

ENQUIRIES REGARDING CERTIFICATION SCHEME	6
APPLICATION FOR CERTIFICATION LICENCE	6
PRE-REQUISITES FOR GRANT OF LICENCE	9
SCHEME OF TESTING AND INSPECTION (STI)	11
MARKING FEE	13
STANDARD MARK	14
PRELIMINARY INSPECTION	16
HANDLING OF SAMPLES	17
PROCESSING FOR GRANT OF LICENCE	20
FEATURES OF THE LICENCE DOCUMENT	23

SECTION III OPERATION OF CERTIFICATION SCHEME AFTER GRANT OF LICENCE

25

INITIATION OF MARKING	25
PERIODIC INSPECTIONS	25
INSPECTION PROGRAMME	25
SUPERVISORY INSPECTIONS	26
SPECIAL INSPECTIONS	26
INSPECTION PROCEDURE	27
MARKET SAMPLES	29
TESTING OF SAMPLES	30
SAMPLING PROCEDURE FOR LOT INSPECTION	31
FOLLOW UP ACTIONS INCLUDING SUSPENSION OF MARKING	31
RENEWAL, DEFERMENT, EXPIRY AND CANCELLATION OF LICENCE	34

SECTION IV OPERATIONAL ISSUES	38
IMPLEMENTATION OF INDIAN STANDARDS	38
COMMENTS ON INDIAN STANDARDS	39
RECOGNITION OF OTHER STANDARDS AS INDIAN STANDARDS	40
ASSISTANCE TO LICENSEES	40
COMPLAINTS REDRESSAL	41
SPECIAL SITUATIONS	41
MISUSE OF STANDARD MARK	44
SEARCH AND SEIZURE	44
COORDINATION AND MONITORING	45
SUPPLY OF INFORMATION CONCERNING LICENCES	45
DUPLICATE COPY OF LICENCE	46
FEEDBACK FROM ORGANIZED CONSUMERS	47
EXCLUSION OF CERTAIN PRODUCTS FROM CERTIFICATION SCHEME	47
RELAXATION IN IN-HOUSE TESTING FACILITIES - GUIDELINES FOR	48
SECTION V COMPULSORY CERTIFICATION, SPECIAL SCHEMES AND APPOINTMENT OF AGENT	49
COMPULSORY CERTIFICATION	49
SPECIAL CERTIFICATION SCHEMES	49
APPOINTMENT OF AGENTS	51
OPERATION OF ECO MARK SCHEME	52
SECTION VI FINANCIAL AND DATA MANAGEMENT	54
FINANCIAL MANAGEMENT	54
COMPUTERIZATION OF CERTIFICATION DATA	55
COMPUTER OUTPUTS	57
SECTION VII GAZETTE NOTIFICATIONS	58
SECTION VIII CERTIFICATION WORK DOCUMENTATION	59

ANNEXURES

1	RELEVANT LITERATURE ON CERTIFICATION SCHEME	60
2	CERTIFICATION MARKING FLOW CHART	61
3	JURISDICTION OF REGIONAL AND BRANCH OFFICES	64
4	SPECIMEN SCHEME OF TESTING AND INSPECTION	67
5	PREFERRED DESIGNS OF MONOGRAM FOR THE STANDARD MARK	70
6	RESPONSIBILITIES OF BIS LICENSEES	71
7	ENDORSEMENTS IN LICENCES	73
8	ABBREVIATIONS FOR USE IN CERTIFICATION MARKS WORK	76
9	PROCEDURE FOR DEALING WITH COMPLAINTS	77
10	PAPERS TO BE SENT TO CMD/ROs BY MDs/BOs	90
11	LIST OF PRODUCTS UNDER COMPULSORY CERTIFICATION	92
12	FINANCIAL MANAGEMENT OF CERTIFICATION REVENUE	99
13	COMPUTER OUTPUT FROM CERTIFICATION DATABASE	101
14	LIST OF PROFORMAE USED IN CERTIFICATION WORK	102
15	GUIDELINES FOR COLLECTION OF MARKING FEE IN VIEW OF RENEWAL OF LICENCES FOR TWO YEARS	106
16	GUIDELINES FOR PERMITTING RELAXATION IN IN-HOUSE TESTING FACILITIES	108

SECTION I

1. GENERAL

1.1 INTRODUCTION

1.1.1 Bureau of Indian Standards (BIS) Certification Scheme consists of a series of activities primarily aimed at ensuring the quality of the products under certification at the various stages in the manufacturer's premises and providing a third-party certification to the consumer. It is imperative, therefore, that systematic and uniform procedures be followed by the various personnel posted at the various offices of BIS to ensure efficient operation of the Scheme. A realization of this need prompted the preparation of this manual which was issued for the first time in 1983. The growing popularity of certification scheme with the masses and the Government laying more stress on consumer protection through quality goods resulted in providing statutory status to the then Indian Standards Institution (ISI) by way of enactment of BIS Act, 1986. With the attainment of statutory status and the framing of BIS Rules in 1987 and Certification Regulations in 1988, a revised version of the manual was issued in 1990.

Since December 1993, the operational procedures have been further reviewed for improving the quality of BIS services to make it more effective, efficient and result oriented. Various operating guidelines issued till 31 July 1994 as well as the 15 amendments issued to the earlier version have been incorporated in this second revision of the manual. The title has also been modified as "Operating Manual for Product Certification" to distinguish it from the documentation related to Quality System Certification.

1.1.2 Every attempt has been made to provide guidelines to the various situations, but many new situations may arise, which are not covered by the procedures outlined here. In all such cases the guidance of the Central Marks Department (CMD) shall be obtained.

1.1.3 While supervising the scheme and while using this manual, it should be borne in mind that the Certification Scheme of BIS is in the nature of a quality audit for total quality assurance. At the same time, being primarily a voluntary scheme, it should be treated as a quality assistance programme designed to render service to those opting for the scheme.

1.2 SCOPE

1.2.1 The manual is designed to serve as a comprehensive reference document for the personnel engaged in the operation of the certification scheme and elaborates the various operational procedures and norms established from time to time. The distribution of responsibilities at various levels and the coordination and monitoring functions of the Certification Marks work as well as other related work of BIS have also been indicated.

1.2.2 Relevant documents pertaining to BIS Certification Scheme has been enlisted in Annex I to facilitate reference.

1.3 ABSTRACT

1.3.1 BIS Act, Rules And Regulations Pertaining To Certification - The Certification Scheme is governed by the Bureau of Indian Standards Act, 1986 which gives BIS powers to grant licences to producers to use the Standard Mark on their product which conforms to the requirements of the corresponding Indian Standard. The details of various functions of BIS including that of certification have been set out in the Act. The Act also provides for penalties for breaches of the Act; authentication of courts for trying breaches; powers for search and seizure and appointment of agents in India or outside India for testing, inspection and other activities in the field of standardization and quality control; compulsory use of Standard Mark for articles and processes to certain scheduled industry; etc. The detailed procedures are given in the Bureau of Indian Standards Rules 1987 and the Bureau of Indian Standards (Certification) Regulations, 1988.

1.3.2 Procedure for grant of licence - Licence to use the Standard Mark on a product is accorded only after BIS has ensured the capability of the manufacturer to manufacture the product continuously in accordance with the relevant Indian Standard. This is ensured through factory inspection to ascertain capability of the manufacturer to produce goods according to the relevant Indian Standard specially with respect to raw materials, process of manufacture, manufacturing equipment and quality control facilities including testing equipment and supervisory staff. Simultaneously, samples are drawn for testing in the factory and also in independent laboratories to check conformity to the relevant standard. The manufacturer is required to agree to operate a well defined Scheme of Testing and Inspection (STI) as approved by BIS which *inter alia* prescribes the specific tests and the frequency for conducting them. In order to meet the expenditure incurred by BIS in operating the licence, the manufacturer also has to agree to pay a marking fee fixed by BIS for the product. Licence is granted only after the manufacturer agrees to these conditions and if the factory inspection and test reports are satisfactory.

1.3.2.1 Checks after the Grant of Licence - After the grant of licence, BIS carries out surprise periodic inspections through competent engineers and scientists. During these inspections, inspecting officers check that the manufacturer is following the prescribed STI and all relevant requirements. They also test sample(s) in the factory to ascertain whether the test results found by them correlate with the test record maintained by the manufacturer. Samples are also drawn from the factory for testing at BIS laboratories or other laboratories recognized by BIS to ensure that the goods are in conformity with the relevant Indian Standard. In addition, samples are also drawn from open market for testing in BIS/other recognized laboratories. Complaints from the consumers are also thoroughly investigated. Through all these controls, it is ensured that the goods bearing Standard Mark conform to the relevant Indian Standard.

1.3.2.2 Annex 2 gives the flow chart, indicating the distribution of responsibilities.

1.3.3 Significance of the Scheme of Testing and Inspection (STI) - When an applicant applies for getting Certification licence BIS brings out a document called Scheme of Testing and Inspection (STI) to his notice for implementation. The STI contains details for the daily exercise or the drill to be conducted on the product by way of testing quality parameters defined in the relevant Indian Standard strictly in accordance with the test procedures as laid down in the

standard. Further, the document stipulates the frequency at which each test is to be conducted. The document also details procedures for maintaining appropriate controls and checks in the process of the manufacture of the article and the records to be maintained in accordance with them. In short, the STI document contains conditions governing the operation of licence to a party and forms a part of the licence document issued by BIS to the licensee. The prospective licensee is expected to peruse the document critically for the purpose of its adoption in production system. The acceptance of the document by the applicant forms a pre-requisite for the grant of licence. The STI document is a tool for in-process control in production for a given article/process.

1.3.4 Certification Marking Fees - The basic spirit behind the realisation of Certification Marking fee for any product is to recover administrative and the related developmental and surveillance expenses incurred by BIS for rendering the necessary services in the field of certifying products. These include the testing charges, cost of samples, administrative overheads, cost of development of standards, cost for investigations etc. With a view to encouraging certification activities in the small scale sector, and to reduce the burden on account of low volumes of production a lumpsum concession is given to units registered as small scale industries. While fixing the marking fee for a given product a unit rate is decided depending on nature and quantum of its production. There is also provision for the minimum marking fee recoverable from the licensees during the course of an operative year. The minimum marking fee so decided for a product ensures collection of expenses incurred in operating a given licence. The marking fee also forms an important requirement for the grant of licence. The prospective licensee is expected to give his acceptance prior to the grant of licence. The rate of marking fee and manner of charging marking fee calculated on the unit rate for the article/process is indicated under the second schedule of the licence document issued to the licensee.

1.4 CERTIFICATION ADVISORY COMMITTEE (CAC)

For advising the Bureau on the policy matters connected with the Certification Scheme, an advisory Committee called Certification Advisory Committee (CAC) has been constituted under BIS Act, with the following terms of reference:

To advise on policy matters relating to -

- a) development of certification activities of the Bureau in the country and abroad,
- b) coordination of certification activity with other organizations using Indian Standards,
- c) collaboration with organizations abroad which are dealing with Certification,
- d) formulation of guidelines for assessment of quality assurance,
- e) other matters regarding certification.

CAC meets normally once in a year.

1.5 OPERATIONAL MEMOS

1.5.1 Instructions and guidelines issued from time to time under operational memos have been appropriately incorporated in this Manual except for the following operational memos which relate to particular products:

CMD/OM:1	Procedure for drawal of samples of pesticides supplied to state governments
CMD/OM:7	Testing of market samples of pesticides and pesticidal formulations
CMD/OM:14	Procedure for grant, renewal and operation for ISI certification marks licences for steel products
CMD/OM:20	Pesticide licences
CMD/OM:24	Operation of steel licences
CMD/OM:39	Procedure for certification marking of 18 litre square tins as per IS:916-1966 for defence supply
CMD/OM:94	Special instructions for periodic inspections of licensees of pesticidal formulations
CMD/OM:102	Tensile testing machine - calibration of
CMD/OM:115	Endorsement of CIB approved concentrations in pesticides licences
CMD/OM:122	Guidelines for the keeping property test

All Operational Memos except those mentioned above stand withdrawn.

1.6 ISO/IEC GUIDES ON CERTIFICATION

1.6.1 Number of guides have been brought out by ISO and IEC dealing with the subject. These are given below for reference and use:

ISO/ITC booklet	ISO/IEC Guide 38
ISO/IEC Guide 2	ISO/IEC Guide 39
ISO/IEC Guide 7	ISO/IEC Guide 40
ISO/IEC Guide 16	ISO/IEC Guide 42
ISO/IEC Guide 23	ISO/IEC Guide 44
ISO/IEC Guide 25	ISO/IEC Guide 54
ISO/IEC Guide 27	ISO/IEC Guide 56
ISO/IEC Guide 28	

1.7 DELEGATION OF POWERS

1.7.1 Details of delegation of powers for Certification Marks work are contained in Office Order No. BIS/DGO(103)/94 dated 1994-04-29 and these should be referred for day to day use. Provisions of the orders have been incorporated at appropriate places in this manual.

SECTION II

2. GRANT OF LICENCE

2.1 ENQUIRIES REGARDING CERTIFICATION SCHEME

2.1.1 When an enquiry is received from a manufacturer for obtaining a licence for use of Standard Mark for his product(s), he may be informed about the following:

- a) Indian Standard(s) for the product(s);
- b) Procedure for obtaining Certification Licence;

Note: In case there is no published Indian Standard for the product, Certification licence cannot be granted. Provision, however, exists in the Act for recognition of a standard other than the Indian Standard.

2.1.2 When a manufacturer requests for application forms, he should be informed while supplying the application forms, to submit the application in his own interest only if he has the requisite testing facilities for testing the product and the product conforms to the relevant Indian Standard. A list of the test equipment required should be supplied to him and he should be informed to send also a report indicating conformity of his product preferably tested in his own laboratory. CM/PF 110 may be used for this purpose.

2.2 APPLICATION FOR CERTIFICATION LICENCE

2.2.1 **Receipt of Application** - The manufacturer desirous of obtaining Certification licence, should apply in triplicate in the prescribed form (CM/PF 301) to the BO within whose jurisdiction the factory premises are situated (see Annex 3, p). The application has to be for product covered in an Indian Standard and the prescribed fee shall be paid with each application.

If the application is unsigned or not accompanied with the fee, the application shall be returned to the manufacturer with an advice to submit the same duly completed (See CM/PF 109).

2.2.2 **Scrutiny and Recording of Applications** - All applications shall be scrutinized before recording with respect to availability of adequate manufacturing machinery, testing facilities and testing personnel. If the application is for a product for which licences have already been issued, it shall be recorded only after scrutiny of the application indicates the availability of adequate manufacturing machinery, testing equipment and testing personnel and the applicant is ready to offer samples within 30 days of the recording of the application. For this purpose, if necessary, discussion shall be held with the representatives of the applicant before the application is recorded. The application shall be recorded only if the applicant has all the manufacturing and testing facilities and is ready to offer samples within 30 days. Otherwise the application shall not be accepted.

Applications shall be recorded at the BO under whose jurisdiction the manufacturing premises are situated in order of priority of receipt and an acknowledgement sent [See CM/PF 101(a)]. A five-digit number shall be given to the application in a serial order prefixed by letter CM/A and the Code number of the BO. The application register shall be maintained by MD/BO as per the prescribed proforma (CM/PF 303).

If the application is for a product for which no licence has been granted, the application should be recorded only if the relevant Indian Standard is amenable to certification. For determining amenability to certification, the nature of requirements specified in the Indian Standard and the availability of testing facilities in the country shall be considered. The following procedure is recommended:

- a) For ascertaining the availability of testing facilities, periodic lists circulated by CL may be referred to.
- b) In case availability of testing facilities is not listed, a reference shall be made to CMD for consulting CL and the concerned Standard Formulating Department.
- c) The Standard shall be scrutinized and discussions held with the applicant regarding the process of manufacture, to satisfy ourselves about the feasibility of an appropriate surveillance scheme.
- d) In case of doubt, an acknowledgement should be issued and the application referred to CMD before recording.
- e) Information about recording of application for a new product should be sent to all ROs/BOs and CMD for special attention.

If the application received is for a product/variety, which is not covered in the Indian Standard and it needs to be revised/amended which is time consuming, the application shall be returned with the fee and the applicant advised to approach BIS at a later date.

After the scrutiny of the application, any deficiency observed should be brought to the attention of the applicant through a letter within 7 days of the receipt of the application and the applicant shall be given 30 days time to complete the deficiencies and intimate his readiness for preliminary inspection and drawal of samples [See CM/PF 101(b)]. In case no response from the applicant is received within the stipulated period, the application shall not be recorded.

When sample drawn fails in an independent testing, and the firm shows willingness to improve the quality of the product, one more chance should be given to the applicant to submit fresh samples within 30 days. If the applicant does not respond or the second sample also fails, the application shall be rejected. There shall be no extension given beyond the second sample.

2.2.2.1 Every application received shall be scrutinized. If required, RO/BO may call for supplementary information from the applicant to substantiate any statement made by him.

Reasonable time shall be given to the applicant to provide the information. In case of non compliance with such directions the application shall be summarily rejected and the firm informed. (CM/PF 111).

2.2.3 Rejection of Application - Where after a preliminary enquiry it is felt that a licence should not be granted the application shall be rejected. However, before rejecting an application, a reasonable opportunity shall be given to the applicant of being heard either in person or through a representative on his behalf. The following are some of the reasons for the applications remaining pending:

- a) Samples not being offered for testing;
- b) Samples failing repeatedly;
- c) Lack of testing facilities with the applicant;
- d) Lack of technical personnel with the applicant;
- e) Non-receipt of acceptance of marking fee; and
- f) Non-receipt of acceptance of STI.

The pending applications for the grant of licence shall be reviewed every month by the BO to ensure that the desired action are expeditiously taken and the applications mature into a licence within a maximum period of four months.

Applicants who are not taking sufficient interest in processing the application as indicated by the review shall be given a notice for completing the pending actions. If no favourable response is received, the application shall be taken up for rejection.

2.2.4 The following procedure shall be adopted for rejecting an application:

- a) A registered A.D. letter (see CM/PF 112) under the signature of Head of the BO shall be sent to the applicant intimating our intention to reject the application and indicating the reasons for doing so. Two weeks time shall be given to the applicant for submitting any explanation.
- b) In case no reply is received or if the applicant's explanation is not satisfactory, and the applicant has not requested for any personal hearing, recommendation for rejection of the application shall be sent to the competent authority in the prescribed proforma (CM/PF 304).
- c) Where the applicant requests for a personal hearing the case with complete details shall be referred to the competent authority who will decide the place, date and

time of hearing, which will be intimated to the applicant. The statement of the applicant will be recorded and orders regarding rejection or keeping the application under consideration would be recorded by the competent authority.

- d) The applicant shall be informed of the decision regarding the rejection of the application together with grounds for arriving at the same by Registered A.D. post. Copy of the letter shall be sent to the concerned RO.
- e) If the reply is satisfactory or if there are other adequate reasons, the application may be kept pending.

Note : Some of the reasons justifying this action are:

- i) Existing statutory order or possibility of promulgation of statutory order requiring compulsory certification of the product;
- ii) Amendment/revision of the standard being considered by the Technical Committee; and
- iii) Specific difficulties of the applicant, such as, obtaining proper quality of raw material, testing equipment, etc.

Where an application is rejected, the firm should be advised to submit fresh application after improving the quality and quality infrastructure or when they are ready in all respects (See CM/PF 113).

2.3 PRE-REQUISITES FOR GRANT OF LICENCE

2.3.1 The basic requisites for the grant of licence to use the Standard Mark to a manufacturer are:

- a) The availability of all relevant manufacturing and processing equipment. While assessing the relevance of the manufacturing equipment it is imperative to have fairly good understanding of the production variables, controls and checks for production of goods of consistent quality in a continuous manner.
- b) Availability of authorized and/or adequate power and water supplies, where such supplies are required for manufacturing and testing.
- c) A test laboratory fully equipped to check all quality characteristics of the product strictly in accordance with the test procedure detailed in the specification. This quality control laboratory be manned by competent qualified personnel who could be expected to provide test results with a fair amount of repeatability and reproducibility.

- d) The conformance of the product and raw material wherever specified completely to quality characteristics as given in the relevant Indian Standard, when tested.
- e) The applicant confirming formally in writing: (i) to follow the scheme of testing and inspection and (ii) to pay the marking fee relevant to the product for which he has applied to get the licence.
- f) Necessary documentation is available authenticating the premises of manufacture.

Note: Certificates/documentary evidence from Registrar of Firm/Directorate of Industries/District Industries Centre/Gram Panchayat/Municipal Corporation/Local Body/Central Insecticides Board or Drug Controller may be accepted for the purpose of authentication of premises.

The following documents may also be accepted for authentication purposes:

- i) Sale deed indicating ownership of the premises by the applicant firm.
- ii) In case the applicant firm is having tenancy rights over the premises, the registered lease deed showing lawful occupancy of the firm over the premises.
- iii) Any other document like firm's registration with Sales Tax Authority, Central Excise Authority/Registrar of Societies shall be additional documentation with respect to (i) and (ii) above.

2.3.1.1 It shall be ensured that the licences are granted within a maximum period of four months from the date of recording of the application. In case it is necessary to draw a second sample the period may be extended to six months.

2.3.2 The requisites detailed above are to be fully satisfied before a licence is granted to the party. The scheme does not generally permit part time employment of manufacturing and testing personnel and debars use of testing and manufacturing equipment owned by party other than the applicant. Any deviation from prerequisites requires prior sanction of ADGM or any other officer authorized on his behalf who may, based on the merit of the case, permit relaxation in the in-house testing facilities in accordance with the guidelines on the subject (See clause 4.14).

2.3.3 One or more of the following criteria should be kept in view to determine if the applicant has the requisite skill, equipment, system, resources, previous performance and antecedents:

- a) The firm has been issuing misleading advertisement with reference to the Standard Mark.
- b) The firm has misused the Standard Mark or ISI monogram prior to the grant of licence or otherwise.

- c) Licence granted to the firm was cancelled or not renewed by BIS and not at the request of the firm.
- d) Court proceedings are pending against the firm for the alleged misuse of the Standard Mark.
- e) The firm has not been clearing the financial dues to BIS to its satisfaction.
- f) The firm has tampered with documents in connection with the grant or operation of the licence.
- g) The firm has indulged in corrupt practices or applied external pressures in the context of grant or operation of the licence.
- h) The firm has revealed its inability to adequately comply with the Scheme of Testing and Inspection to the satisfaction of BIS.
- j) The firm is unable to satisfy BIS in respect of its skill, equipment, systems, resources, previous performance and antecedents required for the operation of a licence.
- k) Any other aspect/factor which is likely to adversely affect the firm's ability to ensure compliance to standards.
- m) The applicant (person) has been convicted under section 33 of the BIS Act in which case, he shall not be eligible to apply for a period of six months from the date of such conviction.

2.4 SCHEME OF TESTING AND INSPECTION (STI)

2.4.1 The STI is a document that lays down system for checks and controls to be exercised in ensuring quality of the product during various stages of production of the article. It defines the lot, the sample size and the frequency of testing each quality characteristic of the product strictly in accordance with the test procedure detailed in the Indian Standard and the criteria for conformity to the specification. The document also gives a system for maintenance of appropriate test and other relevant records. Besides this, the document details other conditions that are contractually binding for the licensee for the operation of the certification scheme for a given product.

2.4.2 For the products for which licences are already granted, the latest approved STI is available with CMD. The inspecting officer should examine whether this STI could be followed by the applicant as such or any modification would be required in view of the process of manufacture, production capacity or the controls exercised by the applicant at intermediate stages. These

modifications and other requirements of the STI should be discussed with the applicant at the time of preliminary inspection. In particular, the discussions should cover the size of the batch, control unit, lot, etc. and the frequencies of carrying out test for each of the requirements. Such modifications should then be communicated to CMD for scrutiny and approval. CMD may consult Systems and Management Department and the concerned Standards Formulating Department, for examining these modifications before finalization.

2.4.3 For a new product the inspecting officer(s) shall prepare the STI immediately after the preliminary inspection is carried out. The scheme shall include in addition to the usual clauses, the following:

- a) Method of applying Standard Mark;
- b) Definition of the control unit;
- c) The frequency of tests on the raw material, if necessary;
- d) The controls at the intermediate stages of manufacture;
- e) The levels of control for various characteristics given in the specification;
- f) Criteria for the conformity of the control unit to the various requirements of the specification; and
- g) The format for maintaining test and other relevant records.

The provisions as intended to be covered in the STI may be discussed with the applicant at the time of preliminary inspection.

2.4.4 The STI shall be prepared in accordance with the standardized pattern of presentation (see Annex 4) where the wording of general clauses is also given. The applicability of these general clauses to the particular product should be carefully examined at the time of preparation of the STI. The STI after preparation shall be sent to CMD for necessary processing and approval through the Standard Formulating Department concerned and Systems and Management Department. CMD shall convey the approved STI to the RO/BO concerned and also to other RO/BO for information. The concerned RO/BO shall then send the STI to the applicant for his acceptance.

2.4.5 Revision of STI - Revision of STI shall be the responsibility of CMD. There are a number of situations which may call for the revision of existing STI. These situations are:

- a) The standard has been revised;
- b) An amendment has been issued to the standard;

- c) Based on the data submitted by RO/BO there is a case for changing the frequency of testing.

For effecting any change in STI, the case shall be forwarded to CMD.

2.5 MARKING FEE

2.5.1 In terms of regulation 6(3) of BIS (Certification) Regulations 1988 the marking fee is to be determined by the Bureau and published in the Official Gazette in the form of a schedule showing marking fee per unit for each class of product or process. The detailed basis and the guidelines for fixation, as also for review and revision of marking fee, shall be worked out by CMD from time to time. A schedule of latest rates of marking fee approved for the various specifications shall be maintained by CMD and made available periodically to the RO/BO.

Note: The elements which are required to be taken into consideration are communicated by CMD from time to time. While processing the marking fee the latest communication from CMD shall be taken into consideration.

2.5.2 Fixation of Marking Fee for New Products - Rate of Marking fee for a new product shall be proposed by the BO, which receives the first application for the product (CM/PF 501). The basis for working out the marking fee proposal is the broad estimate of the expenditure of BIS in operating the licence, more or less on a self-supporting basis. This includes three components as follows:

- a) **Cost of Market Samples** - While operating a licence, BIS purchases from the market, samples of the product with the Standard Mark. Normally, four such samples should be purchased in a year. In case of food and consumer products, number of such samples should be correspondingly increased to about 8. For products which are costly and for those which are supplied against specific requirements of consumer, it may not be possible to obtain market samples, and naturally, their cost should not be included in these calculations.
- b) **Cost of Testing** - For this purpose, it is necessary to ascertain testing charges of various laboratories for complete testing of product (including raw material testing). The number of such samples to be tested is normally eight consisting of four factory and four market samples. This number however, would increase or decrease depending upon the decision regarding the number of market samples to be purchased. In addition cost of testing of samples of raw material from the factory may also be taken into consideration.
- c) **Overhead Expenses** - These include administrative expenses incurred in operation of the Certification Scheme, such as, pay of officers and staff, office expenses, the expenses incurred while travelling for inspection purposes, etc. The actual cost is determined through special studies from time to time.

2.5.2.1 It is general practice that along with unit rate, a suitable minimum fee per annum is specified for each product with a view to cover the minimum expenses incurred by BIS in supervising the operation of the licence. A concessional minimum is fixed for registered small scale units. Where some units have a very large production, a telescopic rate may be fixed so that the impact of the unit rate is less on higher quantities. For parties holding more than one licence a concessional minimum rate for subsequent licence(s) is also permitted. For working out marking fee for a product or a group of licences operated by a unit, details are provided in CM/PF 501. While proposing the unit rate and the minimum marking fee, the fees fixed for similar products shall be taken into consideration. The marking fee proposal worked out as above shall be scrutinized by CMD and approved by DG or any other officer authorized on his behalf before it is communicated to the applicant for acceptance.

Note: The manufacturing units who are in the small scale but are unable to get SSI registration and desire concessional minimum marking fee, be asked to produce a certificate about the amount of investment in the plant and machinery from a Chartered Accountant and if the amount does not exceed Rs. 60 lacs, be considered as SSI unit for availing concessional minimum marking fee. In the case of existing licensees, the concessional rate would be applicable from the operative year during which they submit the necessary certificate from a Chartered Accountant.

2.5.3 Revision of Marking Fee - CMD shall review periodically at least once in 3 years the marking fees fixed for various products (CM/PF 502). CMD shall communicate the revised marking fee directly to the licensee(s) with a copy to the ROs and BOs in the prescribed proforma (CM/PF 103) indicating the effective date. It shall be ensured that one month notice is given.

2.5.4 Schedule of Rates of Marking Fee - The original orders fixing rates of marking fee for a new product and revised rates of marking fee shall be serially numbered and maintained centrally in CMD. Copies of these orders shall be distributed as follows:

- a) General Group of CMD for IS NO. wise folders;
- b) Concerned Group in CMD; and
- c) Computer cell for updating the computerized marking fee directory file.

2.5.4.1 Computer Cell shall organize coding of this information for data preparation and update the computerized marking fee directory file once every three months. The complete update of the schedule of rates of marking fee shall be printed from computer data-base once every year. An addendum to the existing schedule shall be printed once every three months.

2.6 STANDARD MARK

2.6.1 STANDARD MARK stands for quality of the product in total conformance to the provisions of the related Indian Standard. The mark carries an IS number as a distinguishing feature for identifying the product certified.

2.6.2 The Standard Mark consists of two components i.e. monogram and a reference to the relevant Indian Standard. The preferred sizes of the monogram are given in Annex 5 which should be used by the licensees. However, a photographic reduction or enlargement is permitted in specific cases.

2.6.2.1 The second component of the Standard Mark is the reference to the relevant Indian Standard, superscribed as the corresponding IS number above the monogram. Normally, the year mentioned in IS designation is not given in the Standard Mark. However, in case of revision of a Standard, it is sometimes necessary to use both the versions simultaneously for some period. In such cases, years of adoption of the old and the revised versions should also be indicated along with the IS number as applicable. In addition references to part of the standard, as well as, to the grade, type, variety, class, etc. as per the Indian Standard shall also be indicated in the Standard Mark at the bottom of the monogram. In cases where the Standard Mark is applicable to only certain components of the product, the part which is specifically covered under certification may be mentioned at the bottom, for example, 'Tin only', 'Motor', 'Pump', etc. However, in the Standard Mark for safety of Household Electrical Appliance, the word "SAFETY" is mentioned at the top of the monogram and the relevant standard number is indicated at its bottom.

2.6.2.2 The Standard Mark in relation to each Indian Standard shall be gazetted by CMD. Copies of the Standard Mark shall be made available to each licensee, with a copy to the BO at the time of grant of licence, and whenever there is a revision in the Standard Mark.

2.6.3 Method of Standard Mark

2.6.3.1 As far as possible Standard Mark shall be applied on the product itself or on the container or packing of the product. However, for products supplied in bulk, the Standard Mark may be affixed on the conformity certificate accompanying each consignment of certified products. In such cases the conformity certificate forms part of STI.

2.6.3.2 In order to avoid possibilities of fraudulent use, the Standard Mark shall be applied on the product in such a manner that it gets automatically destroyed when the consumer takes out the article from the package, wherever feasible.

2.6.3.3 In certain cases, it may be necessary to affix the Standard Mark on the product before the test results are known. Also in certain cases the Standard Mark may have to be embossed or moulded on to the product. In such cases, an agreement should be obtained in advance from the applicant that if the product is found unsatisfactory after testing, the Standard Mark shall be defaced.

2.6.3.4 The following are some of the recognized methods of applying Standard Mark on the product:

- a) Printing on a label;
- b) Printing on an anodized name-plate;

- c) Printed stickers, adhesive tapes, transfix labels, etc.;
- d) Stencilling with paint;
- e) Embossing or punching; and
- f) Casting where no other specified system exists.

Rubber stamping of the Standard Mark shall be avoided as far as possible.

2.7 PRELIMINARY INSPECTION

2.7.1 General - The preliminary inspection of the manufacturing premises of an applicant should be carried out, as far as practicable, by officer(s) with specialized knowledge of the particular industry. In case an officer with that discipline is not available in the branch office, service of an officer of the requisite discipline in a technical department, CMD or RO may be sought. It is necessary that the officer should familiarize himself with the various requirements of the specification and the related test methods. The inspection should be conducted in such a manner, so as to obtain maximum possible information on the items listed in the appropriate preliminary inspection report proforma (CM/PF 201, 202, 203, 204, etc.). A declaration of manufacturing machinery and test equipment available with the firm, and the details of brand name of their product shall also be obtained on appropriate proformae (CM/PF 305, 306, 307, etc.). Details for handling the sample drawn are given in clause 2.8.

2.7.1.1 - All preliminary inspection shall be conducted by a team of two inspecting officers. All inspection visits to the applicant's factory shall be treated as Special Inspection and charged for at the prevailing rate of special inspection charges.

2.7.2 Sampling - If the inspecting officer is satisfied that the firm is able to manufacture the product according to the relevant Indian Standard, he shall also draw sample(s) of the product from the factory preferably from the production line. Samples of raw materials may also be drawn, wherever necessary. For drawal of a sample, which is representative of production level, it is necessary that sample is drawn at random from sufficient quantity of the material. While no definite criteria for this purpose can be laid down, the quantity representing one control unit or batch is considered adequate. In case of products which are discrete items a lot of about 10 items is considered adequate. The samples of each type and grade which the applicant wants to be included in the licence shall be drawn. The samples shall be properly sealed with official seal so that no substitution is possible subsequently. A sealed counter sample shall also be left with the applicant. As far as possible, the inspecting officer should bring the sample along with him but if it is not possible to do so, for reasons that the sample is too bulky or is covered by excise, etc., it should be left with the firm with clear and definite instructions for expeditious despatch of the sample to the testing laboratory.

2.7.3 Testing Charges - The testing charges shall be collected in advance except in cases where these have not been finalized and notified by CL. In all other cases an invoice for testing charges shall be sent soon after the testing charges become available, to the applicant by the concerned BO in case it is to be tested in any of BIS laboratories. In case of outside laboratories the applicant

shall be advised to make payment to the laboratory directly under intimation to the BO.

2.7.4 Inspection Reports - The inspection report in the appropriate proforma giving inspecting officer's conclusions shall be submitted as soon as the inspection is carried out, giving therein the follow up actions which have to be taken. It is very essential that the various points in the proforma, are completely filled up from inspecting officer's own knowledge. Any omissions or ambiguity will lead to delays in consideration of the application and may sometimes result in a wrong decision. The inspecting officer should also give an objective assessment of the capability of the applicant to operate the Certification Scheme.

2.7.5 Verification of Manufacturing Machinery and Testing Equipment - During the preliminary inspection the applicants should be required to produce documentary evidence about the ownership of the manufacturing machinery and test equipment available with them. In case documentary evidence is not available in respect of any machinery/equipment, a declaration should be obtained from the firms representative that the machinery/equipment are really owned by them. An undertaking should also be obtained that in the case of grant of licence, they will send prior intimation to BIS whenever any machinery/equipment is taken out of the premises of the firm due to any reason.

2.8 HANDLING OF SAMPLES

2.8.1 During the course of grant and operation of licences, samples of the products are required to be drawn from the applicant's and licensees' factories. These samples are tested either in BIS or other approved laboratories.

2.8.1.1 Factory Testing of Samples for New Products - Concerned Inspecting Officers should ascertain the availability of testing facility in an independent laboratory. If no independent laboratory has the facility, which may be confirmed from CL, the testing may be carried out in the laboratory of applicant or licensee. Prior approval of DDGR is required for testing in the applicant's factory before grant of licence or for inclusion of new varieties in the existing licence.

In case, a partial test report is received from the laboratory due to any reason, which could not be foreseen at the time of sending to the sample to the laboratory e.g. a test equipment having gone out of order, the remaining tests may be carried out in the factory of the applicant to expedite processing of the application (See also clause 2.9.5).

2.8.2 Drawal of Sample - During inspection of licensees the inspecting officer shall draw sample(s) from a control unit and test it in the factory. The test results of this sample shall be compared with test results of corresponding control unit, as entered in the factory records. In addition, sample(s) preferably from another control unit shall be drawn and sent for independent testing. Counter sample of this control unit should be retained in the factory.

2.8.2.1 For drawal of sample, guidelines issued by CMD/CL for specific group of products shall be followed.

2.8.3 Size of the Sample - It shall be ensured that the size of the sample is adequate for testing (and retesting wherever needed) the requirements for which it is desired to be tested. The inspecting officer shall anticipate all requirements of the laboratory on the basis of the relevant Indian Standards and STI, and draw the required size of the sample. Counter samples of identical size shall be drawn and left with the factory.

2.8.3.1 For products where complete testing facilities are not available in the BIS and other approved labs and where the sample is required to be tested in another lab for remaining tests, one more set of samples shall be drawn and sent simultaneously to the other laboratory indicating clearly the tests to be carried out. Similarly, when separate tests are required for chemical, physical, metallurgical characteristics etc. and for the components of the product, it is advisable to draw the appropriate number of samples for expeditious testing.

2.8.4 Type/Grade/Size of the Material - These shall be ascertained and indicated on the sample and test request. In case any other information is required for testing of the sample (for example, declared values, direction of rolling in case of brass sheets, etc.), information on the same shall also be obtained and indicated. Where the licence covers a number of sizes, types, grades, etc., it should be ensured that the sample(s) is (are) not of the same size/grade/type as had been drawn earlier. Every effort should be made to cover the entire or maximum possible range in one year of operative period of the licence. Normally, one sample of a size/type/grade should be drawn. Larger number of samples should not be drawn unless there is adequate justification, which should be recorded.

2.8.4.1 To cover entire range guidelines issued by CMD for specific group of products shall be followed.

2.8.5 Packing, Labelling, Coding, Sealing and Signing of Samples

2.8.5.1 Packing - The inspecting officer shall take every precaution or suitably instruct the licensee to ensure that the sample is packed in a durable packing material to withstand hazards during handling and transportation.

2.8.5.2 Labelling - The sample shall be labelled to indicate (a) name of the product; (b) the relevant Indian Standard with its year; (c) grade/type/size of the product (d) quantity of sample; (e) batch No./Control Unit No./date of production; (f) declared values, if any. In case, separate sample of raw material is drawn, the corresponding specification may also be indicated.

2.8.5.3 Coding - A code number should be given to the sample/label in the following manner:

Branch office/Initials of the Inspecting Officer/Date of drawal of sample/Serial Number of the sample drawn by the Inspecting Officer on that date/Type of Sample (i.e. applicant/ factory/ market/complaint etc.).

For example: MDD/RKT/940718/06/AS

The last two letters in the above code number will indicate the type of sample as under;

Applicant Sample	AS
Complaint Sample	CPLS
Inclusion Sample	IS
Market Sample	MS
Factory Sample (Normal Licensee Sample)	FS
Counter Sample	CS

The type of the sample may also be prominently indicated on the test request so that the concerned laboratory is able to give priority to the testing depending on the type of the sample.

Each IO shall maintain the details of the sample drawn by him on a particular date and submit to the Head of MD/BO. The test report when available from the laboratory will be decoded from the information available with the Head of MD/BO.

2.8.5.4 Sealing - The sample shall be properly sealed with official seal and signed by inspecting officer and the representative of applicant/licensee so that no substitution or tampering with the contents is possible subsequently. For the purpose of sealing, the inspecting officers should always carry the brass seal or the seal punch. The impression of the seal used over the sample is to be given in the inspection report.

2.8.5.5 Receipt for Samples - For any sample drawn for testing receipt shall be issued by the inspecting officer in terms of BIS (Certification) Regulations 1988. The receipt shall be got countersigned by representative of the firm.

2.8.6 Despatch of Samples and Test Requests

2.8.6.1 Despatch - As far as possible samples should be brought to BO personally by the inspecting officer (see also 2.7.2). Where samples are heavy, they may be left with the firm along with instructions as to where the samples are to be despatched; it should also be impressed upon the licensee/applicant that the sample should be despatched quickly and that any contact or correspondence directly or indirectly (other than delivery of sample) with the concerned testing laboratory shall be seriously viewed by BIS. Till the sample is received by the concerned laboratory the BO should keep track and follow up actively. During the next inspection, the inspecting officer should invariably check whether or not previous sample(s) had been despatched.

2.8.6.2 Test Requests - A copy of test request (CM/PF 102 or 402) should invariably accompany the sample being sent to the laboratory for testing. It should be ensured that the laboratory receives it as soon as the sample reaches them. In the test request, the date by which the test report is required shall be mentioned. Proper attention shall be given to indicate the grade, type, size

and other details about the sample in the test request so as to avoid unnecessary delays in completion of tests by the laboratory. It should also be verified whether the particular type, grade or size is included in the Standard. In case of licensee's sample, it should also be ensured that the particular type, grade or size is included in the licence.

Note 1 : In cases where only partial testing is to be done in any of the approved laboratories, the BO should draw samples in duplicate and send them directly to the concerned laboratory for the appropriate tests, indicating in the test request, the tests which are to be carried out. The information about the laboratory where the test could be carried out, may be obtained from CL, if required.

Note 2 : Within a week of receipt of the samples in BIS laboratories, they shall examine the following and inform the concerned office accordingly;

- a) Whether the test report could be given by the date mentioned in the test request. If not, by what date the test report would be given. It is expected that the laboratory shall adhere to this date. If there is likely to be considerable delay in testing of the sample, the laboratory shall immediately arrange to send the sample to any other BIS laboratory or an outside laboratory and inform the concerned BO accordingly.
- b) Whether all the tests can be carried out in the laboratory; if not, which other laboratory can carry out the test so that a portion of the sample or another sample could be simultaneously tested at the other laboratory;
- c) Whether the quantity of sample sent to laboratory is adequate for carrying out complete tests; if not, how much quantity is required in addition; and
- d) Any additional information required in respect of the test sample.

2.8.6.3 In order to follow up the movement of sample and to ensure that test reports are received in time, BOs shall maintain a record of samples procured both from the market and the factory in appropriate proforma (CM/PF 401).

2.8.6.4 Collection of Tested Samples - The samples which are not consumed during testing shall be returned to the applicants/licensees after the testing is over. Heads of MD/BOs should ensure that firms are intimated about the collection of samples. A copy of the letter sent to the firm may also be sent to the concerned laboratory to facilitate handing over the samples to the firms' representatives as and when they approach the laboratories.

2.9 PROCESSING FOR GRANT OF LICENCE

2.9.1 When the following actions are completed, the case for grant of licence shall be prepared by the concerned BO in the proforma (CM/PF 308) usually referred to as Red Form:

- a) The preliminary inspection and/or subsequent inspections, wherever carried out, have been found to be satisfactory;
- b) The test report(s) of the sample(s) drawn by the inspecting officer during the preliminary inspection or subsequent inspection is found to be satisfactory;
- c) The testing charges/charges for all visits to the factory before the grant of licence have been paid;
- d) The applicant has got all the testing facilities or has made arrangements for carrying out all the tests, to the satisfaction of the BO;
- e) The applicant has declared the brand names/trade marks which would carry the Standard Mark (CM/PF 307) and has declared their manufacturing machinery and testing equipment (CM/PF 305 and CM/PF 306);
- f) The availability of authorized/adequate power and water supplies have been verified;
- g) The applicant has given an undertaking to intimate BIS, whenever any machinery or equipment is taken out of the premises of the firm due to any reason;
- h) The applicant has accepted the STI and the rate of marking fee; and
- j) Necessary approval has been obtained from statutory authorities, if required;

2.9.2 The case may then be submitted for further processing. The relevant papers such as, preliminary inspection report and subsequent inspection reports, if any, acceptance of STI and rate of marking fee and relevant correspondence should be attached with the Red Form and sent to the concerned RO. In the Red Form, the performance of the applicant in respect of other licences held by him shall also be indicated. The case shall be sent by the MD/BO to the concerned RO for orders of DDGRs. In respect of the first application for a product in the region the case shall be referred to CMD through the concerned DDGR for orders of ADGM.

- 2.9.3**
- a) After the licence is granted by the competent authority, the necessary papers shall be sent to the concerned BO by RO through Speed Post/Courrier Service within three working days.
 - b) No intimation shall be sent to the licensee by RO.
 - c) BO on receipt of the papers from RO shall issue a telegram to the licensee as follows:

"WITH REFERENCE TO YOUR APPLICATION NO. _____, PLEASE DEPOSIT AN AMOUNT OF RS. _____ TOWARDS ADVANCE MINIMUM MARKING FEE THROUGH BANK DRAFT WITHIN SEVEN DAYS AND COLLECT APPROVAL LETTER FROM THIS OFFICE"

Confirmatory copy of the telegram shall be sent to the applicant by a registered post, acknowledgement due.

- d) BO may wait for a period of one week from the date of issue of the telegram.
- e) In case the minimum marking fee is not received, a telegraphic reminder shall be sent asking the firm to make the payment.
- f) In case the payment is still not made within a week of the second telegram this may be brought to the notice of the RO and action initiated to stop implement the orders for grant of licence.
- g) It may be ensured that the intimation about the grant of licence should not be sent to the firm in the absence of receipt of the advance minimum marking fee. ROs may decide about the cancellation of the orders regarding the grant of licence.
- h) The effective date of the licence shall be date of issue of the detailed letter by the BO in proforma CM/PF 104 (b) which shall be sent on the date of receipt of the bank draft.
- j) A separate register shall be maintained by each BO indicating the date of deposit of the bank draft and date of issue of the detailed letter.
- k) The original Red Form and the order shall be retained in the BO for record and further action.
- m) A copy each of the following shall also be enclosed with the detailed letter:
 - i) Design of the Standard Mark in different preferred sizes (see Annex 5,p68) so that he may choose the appropriate size and prepare the Mark;
 - ii) Instructions sheet containing responsibilities of licensees (see Annex 6,p69);
 - iii) Letter of instruction (CM/PF 105) regarding advertisements to be issued by the new licensee; and
 - iv) Copy of the test report(s) for sample(s) drawn during the preliminary inspection.

2.9.3.1 The licence (CM/PF 309) shall be sent to the licensee by BO after it is signed by the officer authorized to do so provided the licensee has completed actions or points indicated in the letter of intimation and has paid advance minimum marking fee. Signed copies of the licence shall be sent by the concerned RO to the BO and shall also be retained in the RO for their record.

2.9.4 As far as possible there shall be no conditional grant of licence. There shall be no separate conditions like permission to initiate marking imposed at the time of grant of licence. All formalities including any corrective actions, if necessary, are to be completed before grant of licence. If at any stage of considering the Red Form, DDGR/ADGM finds it necessary to examine a few additional aspects, including additional tests, if any, it shall be ensured by writing to the applicant that "with a view to process your case towards grant of licence, additional details as listed below shall be required".

The additional actions shall be listed and a date indicated for completion of these actions by the applicant. In case the applicant fails to complete the actions within the stipulated time period, the application shall be processed for closure.

2.9.5 Factory Testing of Applicant Samples - In case, the samples sent to approved laboratories for independent testing are likely to be held up inordinately, and when grant of licence is required to be considered urgently, or where approved laboratory is not available or product is difficult to transport, the samples may be tested in the laboratory of the applicant provided complete testing facilities exist, after obtaining prior approval from DDGR. In such circumstances, testing in the factory may be done by our inspecting officer. Special inspection charges are to be levied for the purpose. Depending on the requirements of the specification a number of days of inspection may be called for and, for this purpose, the Inspecting Officer shall make an advance plan in consultation with the applicant and get it approved by the Head of the BO. Test records shall invariably be recorded in the proforma approved by CL for the relevant specification.

2.9.6 A register of licences granted to various manufacturers shall be maintained by each RO in appropriate form (CM/PF 601).

2.10 FEATURES OF THE LICENCE DOCUMENT

2.10.1 The licence is a legal document issued by BIS under the BIS Act, 1986 to its licensee and it carries the licence number, the premises where the licence is to be operated, the date of grant of the licence and the period of validity.

2.10.2 The first schedule of the licence gives details of the Indian Standard, the grade/type/size of the article approved for certification marking and the standard mark to be put on the certified article. The second schedule specifies the rate of marking fee applicable to the product and its mode of payment to BIS. The STI document, as applicable to the product, forms annexure to the licence document. Each page of the STI document bears the seal, the licence number and the initials of an officer of BIS.

2.10.3 Inclusion of Additional Types, Grades, Sizes or Varieties - In case, the licensee intends to cover types, grades, varieties, etc. not included in the licence, action should be taken to draw samples of the new varieties for independent testing. These may be tested in the factory in the presence of inspecting officer with the prior approval of DDGR. The licensee shall be required to pay special inspection charges for such factory testing. The criterion to determine whether the

sample should be tested before the type or grade could be included is that the construction of the new type or grade should be distinctly different from those already included in the licence. In case of doubt, the matter should be referred to CMD.

After the test report of the sample of new type, grade, etc. is found satisfactory, the case should be put up to by the Head of MD/BO by the group leader for orders in proforma (CM/PF 603) known as Yellow Form.

2.10.3 Endorsement for the inclusion of additional varieties should give a complete and clear description of items covered under the licence so that there is no scope for misrepresentation or misinterpretation by the licensees in this regard.

2.10.4 Brand Names - No brand name shall be endorsed in the licence. However, the applicant should indicate the brand names to be covered under the Certification Mark. Declaration from the applicant/licensee shall be obtained in proforma (CM/PF 307) for recording the brand names used by them under the BIS Certification Scheme. Where the firm is having more than one brand names, proof of using all the brands by the firm should be obtained and so also the reasons for having different brands. There is no limit to the number of brands which a licensee may cover under certification mark. However, for any additional brand(s) to be used, justification should be obtained with fresh declaration (CM/PF 307).

2.10.5 Endorsement in Licence - Any addition or alteration to the licence shall be by a serially numbered endorsement indicating the name of the licensee and licence number duly signed by the Officer authorized to do the same. Approved language prescribed in Annex 7, p.71 shall be used for endorsement. For situations not covered, suitable endorsements be drafted on the same lines and got approved from DDGR. BIS seal shall be embossed on the endorsement sheets meant for the licensee and the Branch Office.

SECTION III

3. OPERATION OF CERTIFICATION SCHEME AFTER GRANT OF LICENCE

3.1 INITIATION OF MARKING

3.1.1 All assistance shall be given to the licensee operating a licence for the first time. Normally no visit should be paid to the factory of a new licensee for initiation of marking. However if so requested by a new licensee a visit may be paid at the time of initiation of marking to acquaint the licensee with the stipulations of the Scheme of Testing and Inspection and its adoption in the production system. Necessary guidelines are also given to the licensee for maintainance of all records necessary for operating the STI. Such visits shall be treated as special inspection visits and charged for at the prevailing rate for special inspection.

3.2 PERIODIC INSPECTIONS

3.2.1 After initiation of marking by the licensee, surprise visits should be paid to the licensee's factory to keep a check on his operation of the STI, and for the drawal of samples from the factory. BIS is required to arrange a minimum of two inspections of a licensee unit in a year. More frequent inspections if required for any product would be decided from time to time.

3.2.1.1 All periodic inspection shall be carried out by a team of two inspecting officers and the gap between two periodic inspections normally shall be not more than six months. It should also be ensured that the same team does not visit the same factory on two successive occasions.

3.2.2 For effective supervision of the operation of the licences and for ensuring that follow-up actions are taken promptly, a set of licences of similar or allied products shall be entrusted to a group of officers under the guidance of a group leader.

3.2.3 All inspections - periodic, supervisory, lot, etc. shall be recorded through an appropriate inspection or contact report duly signed by the inspecting officer along with the details of the persons contacted and the date of inspection. For periodic inspection, the general proforma (CM/PF 251) or the no-production report proforma (CM/PF 252) or special product proformae (CM/PF 253 to 257, etc.) shall be used. For inspection of certain specialized groups of products like steel, plywood, diesel engines, motors, LPG cylinders, etc. separate proformae have been developed and these shall be used. The reports of any other inspections shall be made in the form of contact reports giving details of licence, date of visit, person contacted, purpose of visit and results of the inspection. The report should be brief and precise.

3.3 INSPECTION PROGRAMME

3.3.1 Quarterly inspection programmes shall be worked out by the BO keeping in view the

frequency of visits as determined from time to time, and special requirements in specific cases. It should be ensured that the same team of Inspecting officers does not visit the same factory successively. It is recommended that periodic inspections are planned in such a manner that there is no backlog of inspections. While two periodic inspections per operative year shall be kept as the minimum, more inspections may be planned for licences depending on the performance. While planning inspections, the normal production schedule of licensees should be taken into account so that inspections are synchronized with production.

3.3.2 If sufficient information is not available during surprise inspection carried out during an operative period, the periodic inspection preceding renewal should be carried out after giving intimation to the licensee. For such inspection the licensee should be asked to keep the technical personnel connected with the inspection, quality control, etc. available for discussion along with all the records connected with the certification marking. The inspecting officer should discuss thoroughly the requirements of the operation of the STI and lapses noticed during the operative period, with the licensee during this visit and suggest actions for improving the performance.

3.3.3 To avoid infructuous visits by the Inspecting Officers resulting in no production/no stock report, all licensees shall be instructed to intimate their production schedule to the respective BOs by Registered Post. In case it is observed that there is no production/no stock during the visit as per the production schedule submitted by the licensee, an initial warning shall be issued. In case the same situation is noticed during the next visit, cancellation of the licence may be considered after obtaining legal opinion.

3.4 SUPERVISORY INSPECTIONS

3.4.1 The Head of the BO should also pay periodic surprise visits to the licensees by rotation to ensure that the procedures are strictly followed both by the licensees and the inspecting officers. Reports of such visits should be sent to DDGR in the prescribed proforma (CM/PF 221).

3.4.2 Visits by officers from CMD/RO may be arranged to bring in uniform approach to the inspection. These officers should study the testing procedures followed by the licensee in their laboratories with reference to the size of the sample, time taken for testing, practical problems, if any, and advise Marks Department regarding the necessary improvements. For mutual appreciation of the problems of interpretation and implementation of standards, it is advisable that concerned officer responsible for inspections also accompanies the officer during such visits and a joint report submitted.

3.5 SPECIAL INSPECTIONS

3.5.1 For grant of licence and for supervision of operation of the licence, inspections are regularly organized. Some of these inspections are considered to be normal inspections under the Scheme whereas the others as special inspections, the procedure being the same as above in both the cases (unless otherwise specified for special circumstances). The special inspections are charged for to meet the additional costs incurred. Normal and special inspections are defined as follows (Export Inspection, however, does not come under the purview of the following classification):

3.5.2 Normal Inspections - The following inspections shall be considered as normal inspections:

- Inspection at the discretion of BIS for supervision of the operation of licence;
- Inspection in connection with investigation of complaints; and
- Lot inspection where scheme of testing and inspection envisages such inspections.

3.5.3 Special Inspections - The following inspections shall be considered as special inspections:

- All inspection visits to the factory of an applicant for considering grant of licence.
- All inspections carried out at the licensee's request for considering resumption of marking.
- All inspections carried out at the licensees request for considering renewal of deferred licence.
- All inspections carried out at the request of the licensees for considering inclusion of additional varieties in the licence. (However such inspections carried out simultaneously with the periodic inspection shall not be treated as special inspections).
- Any other visit paid to the factory of an applicant/licensee at their specific request.

3.5.4 Schedule of Charges for Special Inspections - The charges for special inspections shall be as under:

Rs. 1000/- for each day of inspection irrespective of the location of the unit. Part of the day shall also be charged as full day. Charges for special inspection shall be conveyed and collected in advance.

3.6 INSPECTION PROCEDURE

3.6.1 Before proceeding for inspection, the inspecting officer shall:

- study the standard and the requirements prescribed therein thoroughly;
- acquaint himself completely with the laboratory procedures that have to be adopted to test the requirements given in the specification;
- have complete grasp of the STI given in the licence;
- acquaint with the appropriate periodic inspection proformae (CM/PF 251, 252, etc.) so that he may be able to carry out the inspection in all aspects;

- e) study at least the last two periodic inspection reports as well as any contact report of the visits and note down the actions which the licensee had been asked to take
- f) study the correspondence exchanged with the licensee after last inspection and note down the points on which action by licensee is pending, such as, despatch of sample drawn, payment of bills, etc; and
- g) check up whether any sample had failed in independent tests and the correspondence and actions taken regarding the failure.

3.6.2 During the visit to the factory the inspecting officer shall;

- a) inspect the factory thoroughly with respect to raw materials, storage, manufacturing process, the controls exercised at intermediate stages of production; and examine the test certificates of raw material or bought out components or sub-assemblies;
- b) examine the various test procedures that are being followed to find out if these procedures are according to those given in the specification;
- c) check records of production, laboratory testing, calibration of instruments wherever necessary, for ascertaining compliance to the provisions of scheme of testing and inspection;
- d) check if there is any change regarding the manufacturing machinery and test equipment declared in the proformae (CM/PF 305 and 306) at the time of preliminary inspection. A fresh declaration in the proformae (CM/PF 305 and 306) should be obtained during each periodic inspection;
- e) check and report hygienic conditions maintained in the premises, wherever applicable
- f) sign records indicating the date of inspection and record observations about any improvements needed in maintaining the records. Any discrepancies observed shall also be indicated and a discrepancy/variation report issued and signatures of representative of the firm obtained (CM/PF 260);
- g) draw samples of the material with the Standard Mark and test it in the factory for the important requirements of the specification. The test results obtained should be compared with the results recorded by the licensee. In case of wide difference between the two results, an explanation may be obtained from laboratory personnel. Another sample with the Standard Mark preferably of different type/size/grade/lot/control unit should be drawn for independent testing. One sample properly sealed and labelled shall also be left with the licensee as counter sample. The inspecting officer should also note down the test results of the particular control unit from which samples are drawn as recorded by the

licensee. The inspecting officer should invariably ensure that at the time of drawal of the sample whether the particular type/grade/size/brand/variety of the sample drawn is the one which is included in the standard and for which the licence has been granted; and check that the varieties/grades/sizes etc. not included in the licence are not marked by the licensee;

- h) see that the quantity of the sample is adequate for testing the requirements for which it is desired to be tested. Where a separate test piece has to be cast along with the product and where a material has to be tested before processing, the inspecting officer has to anticipate it and draw the required samples;
- j) take down names and addresses of the consumers to whom the material with the Standard Mark has been recently supplied;
- k) see how material not conforming to standard is stored and disposed of;
- m) ensure that the Standard Mark is removed from the batches or control unit which on testing by inspecting officer do not conform to the specification;
- n) check whether the licensee has taken all the actions asked for during the previous inspections, if not, find out the reasons for it;
- p) ensure that samples drawn during previous visits and left with the firm if any, have been despatched to the desired laboratory;
- q) discuss any recent failure of samples; and
- r) discuss on manufacturing, testing and other technical problems to find solutions.

3.6.3 After completing the inspection, the inspecting officer should immediately report to group leader or in his absence to Head of the BO, his conclusions regarding the operation of the licence, particularly, if the operation is not satisfactory. He should fill in the appropriate inspection report proformae completely in his own handwriting giving all the details. Inspecting officers while reporting any result should employ the symbols and units given in the relevant standard in reports and correspondence and the abbreviations given in Annex 7. The observations noted by the inspecting officer in the record of licensee shall also be reproduced in the inspection report. Copy of the inspection report should be sent to the concerned RO.

3.7 MARKET SAMPLES

3.7.1 Samples of certified products should be purchased from market or procured from organized consumers since the tests on market samples give evidence whether the BIS Certification Scheme is operating satisfactorily or otherwise. It shall be the responsibility of the concerned BO, to make arrangements for the purchase of market samples. As far as possible, a list of regular retailers/

consumers of the product should be maintained by the BO, which help in obtaining the market samples in a regular manner. In case, it is not possible to keep the list, action should be initiated immediately after carrying out the periodic inspection. If the material has been supplied to place other than those covered by the Branch Office, help of the concerned BO should be obtained in purchasing the market samples. Where products are made against specific order, sample from consumer end may not be available. In such cases opinion of the consumer may be obtained.

3.7.1.1 Market samples should be purchased as far as possible from the authorized dealers of the licensee's product. In case it is not possible to draw samples from the authorized dealers/retailer consumers, it may be drawn from the despatch point of the licensee.

3.7.2 While purchasing market samples, the actual number will depend upon ready availability of the material, availability of funds, complaints from consumers and overall performance of licensee. In case where a number of varieties are covered in the same licence, attempt should be made to draw the market samples in such a manner that practically entire range is covered in the course of one year.

3.7.3 For food products and common consumer items, it is necessary that the drawal of sample is not restricted to only one or two areas. It should be ensured that different areas are covered in the course of one year.

3.8 TESTING OF SAMPLES

3.8.1 Testing of Counter Samples - When factory samples tested in independent laboratory fail, licensees may request inspecting officers to test the counter samples in the factory during the time of their visit. This shall not normally be agreed. In such cases, reference shall be made to DDGR for approval. If licensees want another check, a formal written request is necessary and the sample shall be retested only at the respective BIS laboratory or at the same laboratory where it was tested earlier. Prior permission of DDGR shall be taken before testing of counter samples is taken up. In cases where tests are carried out in outside laboratories, testing charges for testing of counter samples at the request of applicant/licensee shall be borne by applicant/licensee irrespective of the results obtained. In the case of BIS laboratory, however, they may not be charged if the results of counter sample are found to be conforming to the requirement of the standard. This shall be made clear to the party before undertaking the testing of the counter sample.

3.8.1.1 Sometimes it may happen that an organized consumer sends a number of samples in response to BIS request. As can be appreciated, testing of unnecessarily large number of samples would be a burden on BIS resources of testing. It is sufficient if only the required number of samples are obtained. RO/BOs while making request for samples from such organisations should specially mention the number of samples required. If in spite of such a request additional number of samples are received they may be returned to the organisation concerned, if necessary.

Note: It would be desirable if RO/BOs find out the availability of material with the Standard Mark and depute an Inspecting Officer to draw the sample(s).

3.8.2 Testing of Subsequent Samples - A subsequent sample drawn from an applicant/licensee after making improvements shall normally be tested in the same laboratory as the earlier one. In case it is not possible to test the sample in the same laboratory for some reasons, the sample may be got tested in another approved laboratory after approval from DDGR. However, duplicate samples of the same batch may be tested at a different laboratory, if required for purposes of investigations.

3.8.3 Supply of Test Reports - Copies of satisfactory test reports should not be given to licensees as a general rule. However, the test data may be shared with the licensees. Unsatisfactory test reports shall be sent to the licensees free of charge, to enable them to locate the exact reason for failure. Some licensees may ask for copies of test reports to enable release of their payments by Government Department. Copies of test reports should not be sent to licensees in such cases, but may be made available on request to Government Departments, undertakings or organized purchasers. Test reports may be supplied to organized purchasers who had made available the samples free of cost.

3.8.4 Correlation of Test Results - In some cases samples pass in factory testing but fail in independent tests. Therefore, as soon as such a discrepancy is observed, inspecting officer of a senior level should carry out the next periodic inspection and submit a detailed report for consideration by the concerned RO. This report inter alia should include observations on repeatability and reproducibility of the test methods in which the failures have been found; skill and competence of technical personnel; laboratory facilities with the licensee and inspecting officer's assessment about the credibility of the results of the factory testing.

3.8.5 Action on Failure of Samples on Independent Testing - When the sample drawn from the factory or the market is found to be failing on independent testing, the licensee should be asked to withdraw the material of that batch from market or withhold its despatch if it is still available with him. The licensee shall also be advised to take corrective actions and a second sample shall be drawn from the factory/market after a gap of six weeks. If the second sample also does not conform to the requirements of the standard, the licensee shall be put under "stop marking".

3.9 SAMPLING PROCEDURE FOR LOT INSPECTION

3.9.1 During the operation of Certification Scheme, sometimes the licensee is put under lot inspection. For lot inspections, the sampling scheme given in the relevant Indian Standard shall be adopted, unless separate schemes have been formulated for such purposes. Any departure necessary from the sampling procedure stipulated in the Indian Standard shall be referred to DDGR for orders.

3.10 FOLLOW UP ACTIONS INCLUDING SUSPENSION OF MARKING

3.10.1 On receipt of report from inspecting officer, the group leader should review the report and take actions on the lapses noticed during the periodic inspection, which are of serious nature and require urgent action. Verbal actions/instructions of the inspecting officer during inspection shall also be confirmed in writing. Speed in written communication as a follow up is very important.

At the same time the communication should be clear and precise covering all the points and advising corrective actions. Copies should be sent to RO for information and to CMD in case of serious lapses. The actions taken should be indicated by group leader on the inspection report. The actions to be taken by group leader/Director/Head of BO, during operation of licence should include;

- a) giving a warning to the licensee for lapses noticed, advising him to take necessary action to remove these lapses, and thereafter following up to ensure that actions are taken by the licensee;
- b) advising the licensee to stop marking if the STI is not being operated satisfactorily, proper checks to see if marking is suspended, shall be exercised;
- c) permitting resumption of marking if the operation is found to be satisfactory after approval by the Head of MD/BO concerned. For this purpose the prescribed proforma shall be used (CM/PF 602);
- d) ensuring forwarding of the samples to the laboratory for testing; a letter (CM/PF 114) should go to the firm if the information regarding despatch of sample is not received from the firm;
- e) making arrangements for drawal of market samples and seeking users views;
- f) carrying out investigations in case of failure of factory and market samples;
- g) reminding the licensees to send reply/take actions on the earlier letter sent to them;
- h) informing licensees of any amendments to the scheme of testing and inspection, marking fee, operational procedures, etc., if necessary;
- j) informing Technical Departments regarding any lacuna, noticed in specification by RO/BO/licensee;
- k) suggesting modifications in specification requirements on the basis of the analysis of data collected from licensee;
- m) processing of notice of cancellation of licence under the Act under the signatures of DDGR or any other officer authorized on his behalf when the lapses are of serious nature and it is felt that licensee is not interested in removing these lapses. Draft notice with complete papers shall be sent by BO to RO;
- n) investigation of any complaints received; and
- p) internal notings for suggestion/advice to Inspecting Officer.

3.10.2.1 Monitoring of Stop Marking - Stop marking orders should be issued after two consecutive failures of sample, even when the samples are failing in two different but naturally consecutive operative period. A visit should be arranged to licensee's factory after seven days but within 30 days of the issue of stop marking instructions to ensure the compliance with the orders. In case the licensee has not complied with the stop marking instructions, licence may be considered for cancellation.

For issuing stop marking instructions, the following procedure should be adopted:

- a) Speaking orders shall be recorded on the file for imposing stop marking.
- b) A Copy of the letter directing the licensee to stop marking should invariably be sent to the Chief Executive of a firm also so that he is personally aware of the developments and can look into the matter.
- c) In case the stop marking instructions have not been complied with, cancellation notice may be served to the licensee in consultation with the legal department.

3.10.2 Stop Marking - Under the circumstances mentioned in Certification Regulation 5(7)(a) the licensee should stop marking by himself and intimate BIS. Likewise when the licensee proposes to resume marking the same must be intimated to BIS. BIS may direct a licensee to stop marking under conditions laid down in Regulation 5(7)(b). The situations where the licensee may be directed to stop marking include the following:

- i) Recurrent failure of factory and/or market sample in independent testing. Normally two consecutive test reports indicating failure would be sufficient.
- ii) Continuation of marking even when samples tested in the factory show failure.
- iii) The licensee has not carried out an important test as per the frequency laid down in STI.
- iv) Marking is continued even when testing equipment in the factory is out of order and no alternative arrangements were made.
- v) No responsible testing or technical personnel are available. This may be due to resignation from service of existing personnel and absence of alternative arrangements for looking after the testing work.
- vi) Non calibration of testing equipment even after repeated instructions to do so.
- vii) Unsatisfactory hygienic conditions in food processing factories.
- viii) Actions to satisfy the complainant not taken inspite of advice by BIS. When a complaint lodged by a Government Department/Public Sector Undertaking/Organized Consumer is found to be genuine, stop marking should be invariably imposed on the licensee.

After the firm has taken necessary actions to remove the discrepancies, the firm should be allowed resumption of marking. Sometimes it may be desirable to allow the licensee to operate under lot inspection procedure for a limited period or for a specified number of lots. As a rule lot inspection procedure shall not be continued indefinitely. A decision regarding the continuance or cancellation of licence shall be taken expeditiously.

Note 1 : Resumption of marking after stop marking under Regulation 5(7)(b) should be after visit by BIS to satisfy the specified requirements wherever need be.

Note 2 : Details of stop marking should be recorded in the Blue Form under "Any Other Information".

Note 3 : Stop marking should not be recorded in the Blue Form Under "Any Other Information".



3.11 RENEWAL, DEFERMENT, EXPIRY AND CANCELLATION OF LICENCE

3.11.1 BIS (Certification) Regulations stipulate that unless a licence is renewed or its renewal is deferred by the Bureau it shall expire at the end of the period for which it is granted. A renewal notice as per prescribed proforma (CM/PF 106) should be issued to the licensee, by the BO concerned about two months before the date of the current operative period. The licensee is required to submit the renewal application along with the original copy of the licence one month in advance of the expiry of the licence, in the prescribed form (CM/PF 604).

3.11.2 The renewal case shall be put up in the proforma (CM/PF 606) commonly referred as Blue Form, to the Head of MD/BO for his orders, by the group leader with his recommendations, on receipt of the following:

- a) Renewal application (CM/PF 604),
- b) Renewal fee,
- c) Annual licence fee for two years,
- d) Marking fee dues (Please See Annexure 15),
- e) Any other outstanding dues, and
- f) Original copy of the licence.

3.11.3 Head of MD/BO shall record his orders and a copy of the Blue Form shall then be sent to RO for information.

3.11.4 In the Blue Form, all information regarding the periodic inspections carried out during the operative period, contact visit reports and discussions, and the factory and market samples drawn and tested during the period should be given. The information about pending actions, and samples under test at the time of previous renewal shall also be included. In case lot inspections were carried out during the operative period, a summary of the inspections, quantities offered and quantity passed/rejected shall be given. The position regarding complaints received in respect of the licence and the actions taken thereof shall also be given. Under 'Any Other Information' the follow-up action taken on the lapses and failures observed, and the corrective actions taken by the licensee should be given. Also the performance of the licensee during the period including stop marking, inclusion of additional varieties, changes permitted in the licensee's premises, personnel, etc; lock out, strike, etc., should also be given.

3.11.4.1 Whenever the performance of a licensee is continuously unsatisfactory, Blue Form should be put up at least one month in advance of the validity date, so that the decisions are taken and implemented well before the validity period ends.

Licence is Renewed -

- a) When the renewal application is received before the date of expiry, performance is satisfactory and dues stand cleared.
- b) When renewal application is received in not more than one month after the expiry

date (during which period renewal had been deferred) and performance is satisfactory and dues stand cleared.

Note: Under any circumstances, no licence shall be renewed with continuation of stop marking (See 3.11.8c).

Licence Not Renewed-

- a) When the application is not received even after one month of the validity date.
- b) When the application is received but performance is considered unsatisfactory and there exist no possibility of effecting an improvement within the period of two months. A registered letter should be sent to the licensee listing the shortcomings and giving him two weeks time to make a representation. After the expiry of the stipulated period or after considering his representation if received, a speaking order should be recorded.

Note 1: When a licence is not renewed it expires at the end of validity period and the licensee is informed accordingly.

Note 2: The practice of 'lapsing' the licence has been discontinued since the licence which has expired, automatically lapses.

- c) If the licence is under stop marking at the end of validity period, and no improvement in performance is expected in the next two months, the licence may not be renewed.

3.11.5 After the renewal orders, necessary endorsements shall be prepared for signatures of the Head of MD/BO. Signed copies of the endorsements shall also be sent to RO for record.

3.11.6 Head of MD/BO shall, however, record specific justification for agreeing to renewal, in the following cases:

- a) Marking fee arrears;
- b) All samples tested in independent testing laboratories have failed during the operative period; and
- c) Licensee has not produced any goods with Standard Mark for two successive years for reasons other than lack of orders. Confirmatory evidence regarding lack of orders shall be obtained from the licensee.

3.11.6.1 All such cases shall be referred to DDGR/ADGM for approval.

3.11.7 Renewal Period - Licences shall be renewed normally for a period of Two years only.

However, the period of renewal may be marginally shortened for alignment of the validity date with those of other licences held by the same licensee.

3.11.8 Deferment of Renewal of Licence -

- a) When renewal application is not received within the validity period or before the expiry date.
- b) When application is received in an incomplete form.
- c) If the licence is under stop marking at the end of validity period.
- d) Where renewal application received but performance needs improvement which may require not more than two months from the date of expiry, the renewal of the licence may be deferred.

For cases under (c) and (d) above, renewal shall be deferred for a period of two months during which the licensee shall be required to take all corrective actions and to ensure verification of those actions by BIS. The licence may be renewed retrospectively from the due date if all corrective actions are taken. If the licence is not renewed within a period of two months, the licence shall stand expired.

Note 1: When application is received incomplete, renewal may be deferred for not more than one month in any case, after which the licence shall expire.

Note 2: Intimation of deferment of renewal shall be communicated telegraphically followed by a registered A.D. letter confirming that the licence shall stand expired after the end of the validity period.

Note 3: A licence where renewal is deferred shall be put up to Head of MD/BO for orders of renewal or non-renewal at the expiry period of one/two months after expiry date.

3.11.9 Suspension of Licence - When the normal operation of a licence is not feasible due to temporary set backs (such as natural calamities, labour disputes, break down of equipment etc.), licence may be suspended. For this:

- a) 14 days notice is to be given. <vide Regulation 5(5)(b)>.
- b) No notice of suspension is required if the request to that effect is received from licensee.
- c) Suspension of licence to be decided by DDGR in accordance with the Regulations on the recommendation of Head of MD/BOs.

Note 1: Suspension generally should not be for more than six months after which the position be reviewed.

Note 2: During the period of suspension marking fee is not payable.

Note 3: A suspended licence may be revived by DDGR on the recommendations of Head of MD/BO after necessary conditions have been complied with satisfactorily.

3.11.10 Cancellation of Licence - When the normal operation of a licence is not feasible due to reasons other than those indicated in 3.11.9 above and violative of the provisions of the Regulations (such as, poor performance, malpractices, discontinuance of the product, etc.), licence may be cancelled. For this:

- a) 14 days notice is to be given <vide Regulation 5(5)(b)>.
- b) No notice of cancellation is required if the licence is surrendered by the licensee.
- c) Cancellation with a due notice is to be proposed if stop marking or suspension of licence is in vogue for more than 6 months at a stretch.
- d) Cancellation notice and final decision of cancellation should be taken by DDGR on the recommendation of Head of MD/BO.

3.11.10.1 If a complaint against BIS certified product is found to be genuine cancellation of the licence may be considered depending upon the seriousness of the complaint. In case, it is established that any licensee has intentionally produced substandard product, cancellation not only of that particular licence, but of all other licences, held by that licensee should be done in consultation with ADGM/DG.

3.11.11 Endorsement -

- a) Required for renewal/suspension/revision of STI/revision of marking fee/change in STI/inclusion of new varieties/change in structure of licensee.
- b) Not required for expiry/deferment of licence/stop marking.

3.11.12 Whenever a licence is deferred, expired or cancelled, it should be ensured by the BO that the party has really stopped using the Standard Mark. Also the quantity of material with the Mark lying with them, along with the details of batch NO., date of manufacture and packing, pending orders along with the names of purchasers, etc., should be ascertained for record.

3.12 The licensee whose licence has expired may, if he so desires, apply afresh in the prescribed form for a fresh licence, and the case shall be processed in the normal course. As in the case of a fresh licence, a preliminary inspection should invariably be carried out to ensure that the earlier defects which led to the expiry have been rectified. This information should be clearly indicated in the Red Form.

SECTION IV

4. OPERATIONAL ISSUES

4.1 IMPLEMENTATION OF INDIAN STANDARDS

4.1.1 Circular letters to manufacturers of a group of products are issued to find out whether their product conforms to the various requirements of the Indian Standard(s). On the basis of the replies received to these enquiries, the manufacturers who are manufacturing products according to the Indian Standards should be approached by the concerned BO to take the licence. Further follow-up actions including personal contacts are invariably necessary to be taken by the BO to achieve the objective.

4.1.2 Advertisements appearing in newspapers and technical journals should also be scrutinized as a routine by the RO/BO and wherever a manufacturer claims that his product conforms to the requirements of the Indian Standard Specification, a letter shall be sent to persuade him to apply for Licence, if the product is not already covered by the BIS Certification Scheme. If the product advertised is already covered by BIS Certification Scheme, such advertisements by non-licensees amount to contravention of the provisions of BIS Act, 1986. They should be immediately advised to discontinue such advertisements. They may be asked to apply for Licence for use of Standard Mark so that if the licence is granted to them they may be able to advertise accordingly.

4.1.3 The trade marks of various organizations shall also be scrutinized to find out if any of them resembles the Standard Mark. Any such resemblance leads to contravention of the BIS Act, 1986 and necessary action for withdrawal of approval of the trade mark should be taken by writing to the concerned firm as well as the Registrar of Trade Marks.

4.1.4 In addition, RO/BO should organize periodic visits to manufacturers to promote interest in certification for their products. Also they should be advised to insist on Standard Mark for all their purchases.

4.1.5 Another approach to popularise the Certification Scheme is to organize periodic meetings and conferences with various industries associations. The forum should be utilized to explain the features of the Certification Scheme and to persuade them to advise their members to join the scheme.

4.1.6 Frequent dialogues are necessary with organized purchasers like the PWD, State Electricity Boards, Port Trusts, etc. so that they ensure that their purchases are based in accordance with the Indian Standards.

4.1.7 State level Committees on Standardization and Quality Systems have been set up in most of the States/Union Territories. The secretariats of the Committees are held by BIS.

These forums should be used for projection of Bureau's objectives. State level implementation Conferences, Industry-wise Conferences, etc. organized periodically by the BOs in collaboration with the concerned department of the BIS HQs also serve these objectives effectively.

4.2 COMMENTS ON INDIAN STANDARDS

4.2.1 Comments on Draft Standards - The various draft standards, revisions of standards and amendments to standards circulated by the Standards Formulating Departments should be thoroughly scrutinized by the officers engaged in certification activity with special reference to the following:

- a) raw materials;
- b) testing facilities;
- c) whether the specification requirements are possible to be complied with. This is particularly necessary in case of revision of the existing specification. If necessary, the views of the licensees should be obtained; and
- d) whether the draft standard is implementable or not.

For this work, the draft, when received in the RO/BO, should be passed on to the Director/Head of BO who would circulate these drafts to such officers who are qualified in that particular subject and those who are dealing with the subject so that they can scrutinize them on the above lines. After their scrutiny a list of consolidated comments should be prepared in duplicate and sent to CMD. CMD shall retain one copy and pass the other copy to the concerned Department for consideration of comments.

4.2.2 Comments on Printed Standards - During the operation of licences, sometimes shortcomings are noticed in the standards which make certain requirements difficult to be implemented. Sometimes errors are also noticed in the test procedures set out in the standard. Further, during the course of implementation of the standard by the licensees, some improvements in the procedure or some alternate test methods are found out and definite correlation established between the new method and method given in the specification. Such comments after proper scrutiny by the dealing officer should be passed on to CMD in duplicate. CMD will retain one copy and pass on the other copy to standard formulating department for the consideration of the concerned Sectional Committee or Subcommittee. CMD should follow up with the Department to ensure that the comments are duly considered, without undue delay.

Note: As per Rules 6(i) & 6(j) of BIS Rules, the Director General has been empowered to issue amendments of the corrigenda type meant to correct error and omissions in established standards and to tentatively modify such of the provisions of an Indian Standard as in his view are necessary for expeditious fulfilment of any of the objectives of the Act. In the case of later concurrence of the concerned Sectional Committee is to be obtained within six months of such action.

4.3 RECOGNITION OF OTHER STANDARDS AS INDIAN STANDARDS

4.3.1 Section 10(b) of the Bureau of Indian Standards Act, 1986 empowers the Bureau to recognize any standard established by any other Institution in India or outside as an Indian Standard with necessary editorial modifications. The proposal for such recognition of the appropriate standard shall be made as laid down in Clause (a) of sub-rule (6) of Rule 7 of BIS Rules 1987. If the Director General is satisfied that the proposal should be processed, he shall:

- a) refer it to the Chairman of the concerned Sectional Committee for his recommendation regarding the recognition of the other standard as Indian Standard.
- b) if the subject matter of the proposed standard does not fall within the scope of work of any of the existing Sectional Committees, refer it to the Chairman of the Division Council the scope of which is close to the subject under consideration, for his recommendation regarding its recognition.
- c) if the subject-matter of the proposed standard does not fall within the scope of work of any of the existing Sectional Committees and if there is no Division Council, the scope of which is close to the subject under consideration, consult an adhoc experts committee specially constituted by him for this purpose, for recommendations regarding its recognition.

4.3.2 If it is finally decided to recognize a particular standard, a notification in the Official Gazette shall be issued.

4.4 ASSISTANCE TO LICENSEES

4.4.1 During the operation of licence, several requests are generally received seeking help of BIS in respect of supply of raw materials, preference in the sale of certified products, procurement of import licence for raw materials, and testing equipment, etc. As no definite policy in this respect can be laid down, the Bureau's attitude should be to help the licensee as far as possible. However, BIS should not take any responsibility for matters such as the import or allotment and procurement of raw materials or the manufacturing and production equipment which fall within jurisdiction of other Government Departments. The licensee should be directed, in such cases, to the proper authority. If any case is referred to BIS by these departments suitable recommendations within the limited powers of BIS should be made.

4.4.2 BIS also renders assistance to licensees by organizing periodically training programmes in testing and Statistical Quality Control (SQC) techniques for a nominal fee. These are conducted by BIS Laboratories and the Systems and Management Department respectively with the active involvement of the RO/BO/CMD. Any individual requests received in this respect shall be forwarded to the concerned department for action in due course.

4.5 COMPLAINTS REDRESSAL

4.5.1 It is not unusual for the Bureau to receive complaints from actual users and others regarding quality of products. These complaints may refer to certified products or to products without BIS Certification Mark. The procedure for dealing with the complaints is outlined in Annex 9.

4.6 SPECIAL SITUATIONS

4.6.0 During the operation of licences, a number of special situations arise on account of changes in the structure of the licensee or in the Indian Standard. Each case has to be dealt with on its own merit, in consultation with CMD. The situations which have been occurring fairly frequently are given in 4.6.1 to 4.6.5.

4.6.1 Changes in the Structure of the Licensee - The following types of changes or in combinations thereof in the set up of licensees may occur during the operation of the licences:

- a) change in address of the manufacturing premises;
- b) change in the name of licensee;
- c) change in the ownership of the licensee, with or without change in the name;
- d) division of the firm into two or more units with one of them retaining the original name;
- e) change in the status from small scale to the large scale; and
- f) leasing of premises with or without the change of name.

In all the above cases suitable endorsements duly signed by the concerned Head of MD/BO are required in the licences. But before doing so the following actions are to be completed by the BO:

- i) In the case of 4.6.1.(a) the marking at the old premises should be stopped and a visit to the old and new premises arranged simultaneously to ensure that the entire manufacturing and testing equipment have been satisfactorily installed and that there is no change in technical personnel. If necessary, a sample may be drawn and tested at the new premises.
- ii) In the case of 4.6.1(c), a specific undertaking (See CM/PF 615) shall be obtained from the new firm that they will abide by the agreement with the Bureau regarding the operation of STI and the payment of marking fees;
- iii) In the case of 4.6.1(d) and (e), a suitable legal document establishing the ownership of the licenced premises by one or the other of the new owners is to be obtained and a specific undertaking as mentioned in (ii) above should be obtained;
- iv) In case of 4.6.1(f), applicable marking fee will be required to be endorsed in the licence; and

v) In case of 4.6.1(g), copy of the agreement shall be obtained and information with respect to lessee/lessor shall be suitably endorsed in the licence.

vi) In case there is any change in the managerial and/or quality control personnel consequent to any of the above changes at the manufacturing and licenced premises, this should be checked up and recorded.

There is no need to cancel the existing licence and consider grant of new licence normally in any of the above situations excepting when the changes reported in 4.6.1 (d) requires a fresh appraisal of the case. When the earlier licence is sought to be cancelled and a new application is received and processed for grant of a fresh licence, a reference to the performance of the licence held earlier should invariably be made in the Red Form.

Stop marking instruction to a licensee be resorted to only in situations when there is change of manufacturing premises.

4.6.2 Lock out. Winding up. Liquidation. Dissolution. Closure etc - On receipt of such information, contacts should be established by the BO with the firm's premises and their registered office to find out the exact state of functioning of the firm. Depending on an assessment of the situation action should be initiated for the suspension/cancellation of the licence. In the case of winding up, liquidation etc., full details regarding the authorized owner of the Company of the liquidator should be obtained with a view to enabling BIS to lodge a claim for recovery of marking fee dues, if any. In such cases Legal Deptt. and CMD at Headquarters shall be kept informed.

4.6.3 Operation of Licences from Multiple Premises - The Licence is granted only to a single manufacturing premises. If the same firm manufactures the same product in more than one premises, separate applications should be obtained and separate licences granted. However, there are instances in which same product is sequentially manufactured or processed at different premises. In such cases, the premises where the final assembly/the finishing operation and testing is done shall be deemed to be the premises for the purpose of grant of licence and it should be ensured that the quality control on the finished product, testing and maintenance of records including the actual marking operation is done at this premises only.

4.6.3.1 In respect of licensees having plants at multiple locations, manufacturing the same product under the same brand name, the licensee shall be required to indicate licence number alongwith the Standard Mark on their product. This will be applicable also for those cases where plants are taken on lease or are covered under franchise arrangements etc. However individual cases where difficulties are expressed by the licensees, in adhering to these provisions, may be considered on its merit and shall be referred to ADGM for a decision.

4.6.4 Repacking - In the case of certain chemical products, the certified material is brought to another premises in bulk containers for repacking into smaller containers for purposes of marketing. Since the bulk container bearing the Standard Mark has been opened, the retail packs

shall not bear Standard Mark unless the premises for repacking are also licenced for marking. Repacking licences granted to these premises involve maintenance of appropriate records regarding the receipt and despatch of marked quantities, details of retail packing, correlation of the batch numbers of the bulk packing with corresponding control unit numbers of the retail packs, etc. It should be ensured that the repacking is invariably done under supervision of an authorized person of the firm holding the licence for the bulk packing.

4.6.5 Withdrawal, Supersession or Revision of Indian Standard - During the period of validity of licences, the related standard may be withdrawn, superseded by another standard or revised. In accordance with the provisions of the BIS (Certification) Regulations, the licence shall be deemed to have been cancelled from the date of withdrawal of the Indian Standard.

4.6.5.1 However, in case Indian Standard is superseded by another Indian Standard, the licence may be endorsed to the new standard superseding the earlier one provided the technical provisions of the new specification are comparable to the earlier specification. In case there are significant changes in the new specification either by way of change in the specified requirements and/or change in the test methods, it should be ensured that the testing facilities for new requirements/test methods are available with the licensee before the date fixed for effecting the new standard. The licensee should also declare that the product marked by him from the effective date conforms to the new specifications. The date of effecting the new standard will be decided by DG or any other officer authorized on his behalf in consultation with the concerned Standard Formulating Department.

4.6.5.2 In the case of revision of Indian Standard, as also when standards are superseded by a new standard, a revised or new STI has to be prepared. As soon as the revised or superseded standard is available, CMD shall prepare revised or new STI and circulate it to all licensees/applicants/ROs/BOs indicating the proposed date for its adoption. Unless the licensees bring out specific difficulties in adoption of revised standards, the revision of the standard shall be gazetted effective from the date of adoption as proposed.

Note: There may be situations where the earlier standard and the revised version are required to run concurrently. In such cases necessary instructions shall be issued by CMD including period for which this would be valid. However, this practice should be normally avoided.

4.6.6 Amendment to Indian Standards - During the validity period of licences, an amendment may be issued to the related standard. The amendment may or may not necessitate the revision of STI. In case STI is required to be revised it shall be undertaken by CMD and the same shall be circulated to all the licensees/applicants/ROs/BOs alongwith a copy of the amendment. CMD may also take up revision of marking fee, if found desirable. In all such cases, CMD shall circulate a copy of the amendment to all the licensees/ applicants/ROs/BOs, indicating the proposed date of endorsement of the amendment. Unless the licensees bring out specific difficulties in adopting the Amendment, it shall be gazetted effective from the date proposed.

4.7 MISUSE OF STANDARD MARK

4.7.1 It is not unusual to come across a product bearing the Standard Mark or the monogram manufactured by a non-licensee. Their use by any person without a valid licence is a criminal offence under the Act. Hence action has to be initiated against the erring party for violation of the Act.

4.7.2 As soon as information regarding the misuse of the Mark or the supply of a product with Standard Mark is received, the BO receiving the intimation should immediately take steps to investigate and confirm whether it is a case of misuse of the Mark. If yes, action should be taken to collect sample(s) of the marked materials either from the complainant or from elsewhere, if necessary, on payment. From the source of procurement of samples or otherwise, information regarding the parties who have supplied the material as well as the parties who might have manufactured the same should be obtained. It will be advisable to procure photocopies of the bills and other documents connecting the material with the supplier or the manufacturer.

Thereafter a recommendation should be made to DG or any other officer authorized on his behalf for initiation of legal action against the erring manufacturer or the party misusing the Mark. The advice of the Legal Department at BIS Headquarters should be taken with a view to collect any additional information to strengthen the case.

4.7.3 After getting clearance a formal complaint has to be drafted by the concerned BO in consultation with the lawyer, locally appointed for the purpose. It is necessary to obtain the advice of the Legal Department as to which BO should file the law suit and get order from DG for authorizing an officer at the BO as the BIS nominee for filing the complaint in the appointed court.

4.7.4 After filing the complaint in the Court in consultation with the locally appointed lawyer the case should be processed with by the BO. The Legal Department and CMD shall be kept informed from time to time about progress of the case, till a judgement is delivered. Copies of the complaint and that of the judgement when delivered should be recorded at the Legal Department.

4.8 SEARCH AND SEIZURE

4.8.1 Section 26 of the Bureau of Indian Standards Act, 1986 confers powers on the inspecting officer to search such places, premises or vehicle where any party is believed to have contravened the provisions of the Act as mentioned under Section 11 or Section 12 in relation to an article or process or in the title of any patent or any trade mark or design of the Standard Mark or any colourable imitation thereof, except under a licence and to seize such article and other things which, in the opinion of BIS or its inspection staff, would be useful for, or relevant to, any proceedings under the Act. The Act also provides that where it is not practicable to seize any such article or thing, the inspecting officer may serve on the owner an order that he shall not remove or part with, or otherwise deal with, the article or things except with the previous permission of the inspecting officer. The provisions of the Code of Criminal Procedure, 1973, relating to search

and seizure, so far as may be, apply to every search and seizure, made under this section.

Note: All such cases where search and seizure are contemplated shall be referred to Enforcement Department for examination and providing necessary guidance.

4.9 CO-ORDINATION AND MONITORING

4.9.1 Central Marks Department (CMD) - The entire work of certification activity comprising the inspections and their planning, drawal of market and factory samples, getting them tested and scrutinizing the test reports received, recommendation of laboratories for their recognition, collection of marking fees including the billing and follow-up action, supervision of licensees performance and investigation of complaints, etc. are handled by the various BOs under the direction and control of the DDGRs. There is however a need for the inter-regional coordination of procedures, review of operation in specific areas, maintenance of liaison with Central Government authority, maintenance of centralized statistics, etc. This is being done by CMD at the BIS Hqrs. CMD also assists ADGM in arriving at decisions regarding various policy matters relating to certification marking. In order to enable CMD to function efficiently, BO's should send copies of all the important papers to them periodically. Annex 10 gives a list of such documents.

4.9.2 Enforcement & Coordination - Work relating to enforcement is being looked after by Director (Enforcement). This involves all such actions which are required to be taken for misuse of the standard mark, search and seizure and implementation of mandatory Quality Control Orders. Before any action is taken by RO/BO on filing of any complaint in the court, the matter should be referred to Director (Legal). CMD shall work in close liaison with Legal and Enforcement Departments on such matters. Reference may also be made to Enforcement Manual.

4.10 SUPPLY OF INFORMATION CONCERNING LICENCES

4.10.1 Confidentiality of Information - Sometimes licensees, organised consumers, other Government Department and firms ask for information concerning the licences. Section 30 of BIS Act provides for certain matters to be kept confidential except for purposes of prosecution under the BIS Act, and such information can not be divulged to any other party or in an enquiry under any other act. Generally the information as is being made public by BIS, for example, in Buyer's Guide, List of Licensees, Standards India, etc. can be supplied.

4.10.2 Issue of Certificates - Requests are often received from applicants/licensees for issuing certificates to them on various aspects. The matter has been considered at the highest level and it has been decided that no open ended certificate of the type "TO WHOM SO EVER IT MAY CONCERN" shall be issued.

However in case the Director of the Branch Office/Marks Department feels that any clarification is to be provided, then the following procedure may be adopted:

- i) In case the issue relates to clarification with respect to an Indian Standard, it should be referred to the relevant technical department who would take necessary action in consultation with the chairman of the committee if required.
- ii) In case the issue relates to operation of licence, clarification should be provided ensuring that it does not contravene the provisions of the Certification Marks Act, Rules and Regulations and there is no possibility of misuse of such certificates issued, by the applicants/licencees. In case of doubt DDGR, CMD, ADGM should be consulted before providing clarification.

4.11 DUPLICATE COPY OF LICENCE

4.11.1 Sometimes licensee ask for a duplicate copy of the licence. Duplicate licence shall be issued under the following circumstances:

- a) Original licence having been lost, or
- b) When the original licence is not in a presentable condition.

For preparing the duplicate licence, the following procedure shall be adopted:

- a) A written request from the licensee shall be obtained indicating the reason for asking the duplicate copy of the licence and in case the reason is as per (i) above, an undertaking from the licensee shall also be obtained that in case if the original licence is located at a later date, it shall be surrendered to BIS. In case the reason is as per (ii) above, the original licence shall be surrendered by the licensee alongwith the request for the duplicate licence. The original licence shall be sent by BO to RO for record.
- b) A nominal charge of Rs 100.00 shall be collected in advance.
- c) Duplicate licence shall be prepared by the concerned RO/BO.
- d) Page 1 of the licence shall be stamped with the word 'DUPLICATE' at the top and at the bottom. It shall also have an endorsement 'DUPLICATE COPY CERTIFIED' which shall be signed by DDGR and stamped.
- e) Only the latest scheme of testing and inspection in force shall be attached; however the licence including all endorsements and pages shall be photocopied from ROs' copy of the licence. Each page of the duplicate licence shall be attested by an officer not below the rank of Joint Director/Head and stamped.
- f) Copies of the duplicate licence shall also be prepared as per above for RO/BO and sent accordingly.
- g) The duplicate licence shall also be embossed with BIS Seal.

4.12 FEEDBACK FROM ORGANISED CONSUMERS

4.12.1 BIS has already approached a number of Government purchasing organisations like DGS&D, Railways, Defence, etc to inform BIS about the quality of products carrying the Standard Mark purchased by them. An understanding has been arrived at with DGS&D that they would inform BIS about the failures of stores carrying the Standard Mark inspected by them. DGS&D are sending this information every month to CMD with copies to the concerned RO also. The information sent by DGS&D is a very useful feedback information and it is necessary that this should be made use of to tone up the operation at the licensees' end. Prompt action on such feedback information is necessary. The following actions are to be initiated on receipt of such information:

- a) A visit shall be arranged to the licensee immediately to investigate the cause(s) of the rejection of the material; operation of the STI by the licensee; how such material has been disposed of; what remedial measures have been taken by the licensee, etc.
- b) In case it is not possible to pay a visit immediately, licensee's explanation shall be called and the information at (a) above sought. During the periodic inspection which shall be arranged at an early date, Inspecting Officers shall investigate and discuss the matter thoroughly.
- c) Remedial measures, both short term and long term, including tightening up the STI be considered and proposed, if necessary.
- d) Such firms should also be advised to be more careful in submitting lots to DGS&D for inspection and the material rejected by DGS&D should not be sold with the Standard Mark. The material may be permitted to be sold with the Standard Mark after the defects have been rectified to our satisfaction.

The relevant extract of investigation report shall be communicated to concerned DGS&D Office, that had provided the feed back under intimation to RO/CMD.

A report of the investigations alongwith the actions taken shall be sent to CMD after the visit.

4.12.2 Similar action shall be taken in case of feedback from other organised consumers.

4.13 EXCLUSION OF CERTAIN PRODUCTS FROM CERTIFICATION SCHEME

4.13.1 Meat and Meat Products - It has been decided that meat and meat products should not be covered under BIS Certification Scheme, since the quality of such product is ensured through Meat Food Products Order, 1973 under which the manufacturers are required to obtain licences from Directorate of Marketing and Inspection, Government of India.

4.14 RELAXATION IN IN-HOUSE TESTING FACILITIES

4.14.1 Whenever any request is received from an applicant or a licensee for sharing of testing facilities with other firms or for utilizing the facility of an independent laboratory for the purpose of operating the STI, such request shall be considered in accordance with the guidelines given in Annexure 16.

SECTION V

5. COMPULSORY CERTIFICATION, SPECIAL SCHEMES AND APPOINTMENT OF AGENTS

5.1 COMPULSORY CERTIFICATION

5.1.1 BIS Certification Scheme is essentially a voluntary scheme and industries opting for the scheme voluntarily will naturally show a greater sense of responsibility in operating the scheme of total quality assurance. However, there are areas where BIS Certification Scheme is required to be operated compulsorily, as a result of suitable instructions, orders or provisions of legislation by the Government. These are limited to areas of safety, health, consumer protection, export, conservation of basic raw materials, etc. A list of items covered as on 31 July 1994 under compulsory certification under the various legislative provisions is given in Annex 11. In respect of these items, if actions such as stop marking, deferment of renewal, expiry or cancellation of the licence, etc. are to be initiated, the concerned MD/BO should draw the special attention of DDGR/ADGM to each of these cases.

5.2 SPECIAL CERTIFICATION SCHEMES

5.2.1 BIS Certification Scheme operates on the basis of in-process quality control adopted by the manufacturer and approved by the Bureau, subject to a quality audit by the inspecting officers. This quality audit is carried out through periodic checks of the quality control scheme operated by the licensee, such as surprise inspections, drawal of factory and market samples, consumer views, feed-back of test data, etc. However, in the case of certain products the BIS Certification Marks Scheme has to be supervised on a more intensive basis. This could be due to reasons of high volume of production or due to safety considerations. Sometimes such intensified inspections are taken up at the instance of the organized purchasers. While BIS generally does not undertake inspections to standards other than Indian Standards there are a few areas where this is being done, on behalf of Indian or foreign authorities. Some such cases are enumerated in paragraphs 5.2.1.3 and 5.2.1.4. The details however, are not exhaustive.

5.2.1.1 Lot Inspections - In order to generate more confidence among the users of products carrying Standard Mark, lot inspections are sometimes incorporated in the scheme of testing and inspection or through administrative decisions in exceptional cases. All such cases require prior approval of ADGM or any other officer authorised on his behalf and are periodically reviewed. A few examples of such Schemes being operated at present are as follows:

- a) 18 Litre Square Tins - At the instance of Ministry of Defence lot inspections are carried out for 18-litre square tins to be supplied to Army Purchase Organization. A certificate of conformity is issued with every lot found to be conforming to the relevant Indian Standard.

- b) **Deep-well Hand Pumps** - As these pumps are installed in remote villages for supply of drinking water, extra precaution to ensure their conformity to the relevant Indian Standard is taken by carrying out lot inspections on behalf of UNICEF.

5.2.1.2 Continuous Supervision of Inprocess Quality Control by BIS Inspecting Officers

While periodic inspection of the operation of BIS Certification Marks Scheme is generally sufficient in most cases, certain products require continuous supervision, due to large quantum of production or due to consideration of safety. This is achieved by posting of inspecting officers at the manufacturing premises to supervise the stage-wise quality control and also for the inspection of finished product. Some of the cases of this nature are:

- a) **Steel Manufactured by Primary Producers** - The coverage of steel product under BIS Certification Marks Scheme by the integrated primary steel producers being extensive, the supervision of the operation of the scheme is being carried out by posting inspecting officers at the steel plants, exclusively for this work. Generally, fortnightly inspections for each of the mills in the steel plant are carried out irrespective of the individual licences which have been granted for the various standards. For chemical analysis and physical testing with respect to each of these mills samples are drawn at the intermediate product stage or the finished products stage, as the case may be, and they are got tested at the steel plant quality control laboratory. Samples are also sent for testing to independent laboratories. The records of intermediate stages of inspection carried out by the steel plant at the various mills are scrutinized. The supervisory personnel of the mill are advised on the spot about any corrective actions required followed by confirmation from RO/BO supervising these licensees. The performance of the licences is reviewed as usual at the time of the renewal based on these reports. Presently the activities of the inspecting officers are intensive inspections of primary integrated steel plants and is supervised by the concerned RO/BO.
- b) **LPG Cylinders** - In view of the explosive nature of the LPG, BIS inspecting officers are posted on a regular basis at the manufacturing units of LPG cylinders as far as possible. After carrying out inspection and testing in accordance with the requirements of the Scheme the rejected cylinders are to be segregated and the cylinders in conformity to the standards are permitted to be embossed with the Standard Mark. A complete record of the serial numbers of the cylinders marked with the Standard Mark is maintained by the inspecting officer for future reference. The rejected cylinders shall be deformed and destroyed in accordance with the instructions in force.
- c) **Valves for LPG and other Gases** - Being a safety item, this is also subject to intensive inspection. During each inspection the various components and forgings are sampled for independent testing. Simultaneously, the complete valves are also subjected to testing in accordance with the relevant Indian Standard. A complete

record of valves conforming to requirements of the standard is maintained along with the serial number. Test certificates signed by the BIS inspecting officer are issued giving details of the valves as well as their components which have undergone testing. While posting of inspecting officers on a regular basis may not be feasible, for ensuring intensive supervision of these licences very frequent periodic inspections (every week or so) may be necessary to be organized.

5.2.1.3 **Inspections on Behalf of Other Organizations** - In a few cases BIS has agreed to undertake inspections on behalf of the other organizations. These inspections are carried out according to the procedure agreed to by BIS with these organizations. Reports of inspection and certificate of conformity to relevant standards are issued. An important example is:

Export Inspection Council - These inspections are carried out on a consignment basis, on receipt of intimation from the exporters for drawal of samples and testing against customers specifications in respect of products for which BIS has been notified as an inspection agency by EIC. Consignment-wise certificates of conformity signed by the BIS Inspecting Officer are issued.

5.2.1.4 **Inspection on behalf of Overseas Organizations** - Inspection, testing and certification of products manufactured in the country to the requirements of overseas bodies, as per the procedure laid down by them are also carried out by BIS. Earlier, these were introduced by the ISI on specific request from some countries. Demand for such services is likely to increase and accordingly the BIS Act, 1986 has also provided for it. The following schemes are presently in progress and formal agreements to streamline the provisions of the scheme is on hand, and further expansion in such activities is envisaged.

- a) **Underwriters Laboratory (UL)** - On behalf of the Underwriters Laboratory Inc., of United States of America (USA), inspections of the factories approved by them in India for the purpose of export of certain items (fans, motors, etc.) to USA, is carried out by BIS. Reports of inspection are submitted to them directly in the proforma provided by UL. UL also reimburses to BIS, the actual costs incurred and for the time spent by inspecting officers in carrying out inspections.
- b) **Canadian Standards Association (CSA)** - Certification of electrical conductors and a few other products manufactured in India conforming to the standards of the Canadian Standards Association (CSA) have been undertaken at the instance of CSA. Here the guidelines stipulated by CSA are strictly followed and a report sent to them regarding the operation of the scheme by the licenced units.

5.3 APPOINTMENT OF AGENTS

5.3.1 BIS may appoint any person or laboratory or organization in India or outside India as their agents to act on their behalf for discharging any one or more of the following functions:

- a) to carry out inspections of manufacturer's premises in India or outside for allowing use of the Standard Mark;
- b) to test samples of products for their conformity to Indian Standards; and
- c) to inspect consignments intended to be covered under the Standard Mark.

The terms and conditions of the appointment as agents are to be set out in an agreement between BIS and the agent so appointed.

5.4 OPERATION OF ECO MARK SCHEME

5.4.1 The Government of India have instituted a scheme for labelling of environment friendly products to be known as ECO Mark.

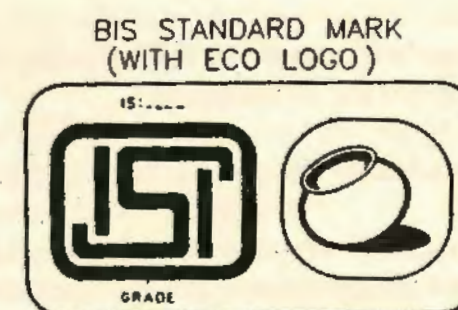
The scheme would be administered by the Bureau of Indian Standards. So far the following product categories have been identified under this scheme:

- a) Soaps and Detergents;
- b) Plants;
- c) Paper;
- d) Plastics;
- e) Cosmetics;
- f) Textiles;
- g) Batteries;
- h) Wood Substitutes;
- j) Propellents and Aerosols;
- k) Food Items (edible oils - including Vanaspati, Tea and Coffee);
- m) Electrical and Electronics Goods;
- n) Packing/Packaging Materials;
- p) Lubricating/Speciality Oils;
- q) Drugs;
- r) Foods Preservatives and Additives; and
- s) Pesticides.

5.4.2 The Scheme will operate on a national basis and provide accreditation and labelling for house-hold and other consumer products which meet certain environmental criteria along with quality requirements prescribed in relevant Indian Standards for the product. For the implementation of the scheme, BIS will be responsible for the following functions:

- i) Assessment of the product for ECO Mark, certification of the product for award of ECO Mark.
- ii) Renewal, suspension and cancellation of the licence.

- iii) Products certified as eligible for the ECO Mark shall also carry the ISI Mark for quality, safety and performance of the product and shall be licenced to carry the ECO Mark for a prescribed time period after which it shall be reassessed.
- iv) Undertaking inspections and taking samples for analysis of any material or substance in relation to which the BIS - ECO Mark has been used as may be necessary for proper implementation of ECO Mark. For this purpose the Standard Mark of Bureau would be a single mark having a combination of the ISI Mark and the ECO Logo which is illustrated below:



5.4.3 To operate the scheme, BIS is including additional requirements for ECO Mark in the concerned Indian Standards. The terms and conditions governing operation of the licences including fees shall be as per the Bureau of Indian Standards Act, Rules and Regulations framed thereunder. Marking fee would be separate - one with and the other without ECO Mark requirements. Similarly two types of schemes of testing and inspection would be prepared, one incorporating the additional requirements of the ECO Mark and the other for BIS Certification against Indian Standards.

SECTION VI

6. FINANCIAL AND DATA MANAGEMENT

6.1 FINANCIAL MANAGEMENT

6.1.1 The BIS Certification Scheme is intended to operate financially on a self supporting basis. This objective has so far been largely achieved. To continue to achieve this balanced operation, the following steps are necessary to control the expenditure:

- a) Productivity should be increased by adopting proformae and systematic procedures and ensuring optimum use of manpower;
- b) Tour programmes should be planned judiciously and economically;
- c) Market sample purchases should be made at fair prices, and limited to the right quantities, avoiding duplication of grades, types, batch numbers and control unit numbers; while at the same time ensuring the procurement of the assigned number of samples per year.
- d) Testing should be done as far as possible in the BIS laboratories.

6.1.2 While economising on expenditure, it should be ensured that the revenue due to the Bureau is collected promptly and correctly. This requires the following actions:

- a) Ensure that the applications for new and renewal of licences are accompanied by the application fees, preliminary inspection charges, advance minimum marking fee, etc, as applicable;
- b) Obtain correct and authentic production data for calculating the actual marking fee and ensure that the licensees mark 100 percent of the production, which conforms to the standard and is covered by the licence. Appropriate action including cancellation of the licence may be taken against the licensee for non compliance;
- c) Prompt collection preferably in advance, of testing fees, special inspection charges, lot inspection charges, etc, before releasing the test reports, inspection certificates, etc.
- d) Remit the amounts received to the Accounts Department without delay;
- e) Computerised list of BIS licensees for a given product be made available on payment;

- f) Ensure that no deferred payment or part payment is accepted. In case any specific request is received, such requests should be considered on its merit at the level of ADGM/DG.

6.1.3 Licensees and applicants should be advised of the exact amount due from them to BIS, from time to time. They should be reminded at reasonable intervals till the amounts are recovered. As a rule, Red Form for grant of licence should not be submitted unless all the dues are cleared. Intimation of the grant of licence shall be sent advising them to deposit the advance minimum marking fee, and the intimation about the grant of licence shall be sent to them only after this amount is received. In case advance marking fee is not paid within two weeks, action for cancellation of licence be taken (See 2.9.3g).

6.1.3.1 Before submitting the Blue Form to Head of MD/BO, the Group Leader shall ensure that the arrears of marking fee, along with the advance minimum for the next operative year are paid, apart from the renewal application and licence fee.

6.1.4 **Maintenance of Account** - The accounts of individual licence are maintained by Computer centre. The details of the system and various statements obtained from the Computer Centre are given in Annex 12. The proformae to be used for computer inputs are also indicated in the Annexure and should be correctly used. The inputs should be sent promptly to the Computer Centre to enable updating of data.

6.1.4.1 The maximum benefits out of computerization of licences accounts can be obtained only if the inputs such as invoices, receipts and credit or debit notes are correctly prepared and the necessary details are given in the receipts for amounts received.

6.2 COMPUTERIZATION OF CERTIFICATION DATA

6.2.1 With effect from 1 April 1981, selected data relating to certification activity has been computerized. The system is basically intended for maintenance of accounts of individual licence but is capable of providing other data about operation of Certification Scheme. The system has been further modified with effect from 1 April 1983.

6.2.2 The computerized data have the following three elements of information:

- a) **About Licensee** - Licensee code No; licence number (allotted by RO), full name, factory and office addresses, telephone No. and names of contact persons (wherever available), status (large scale or small scale), branch code number
- b) **About Licence** - Licensee code No; licence number; ISNO. and its part, if any; technical division; status (operative, deferred, expired or cancelled); last date of validity; branch code number;
- c) **About financial transactions** - Invoices, receipts, debit and credit notes, relating to the licence

6.2.3 Updating Computer Data - In order to maintain up-to-date information in the computer data base, it is essential that information about all changes, additions or alterations is supplied to the Computer Centre promptly. The details of information to be supplied to Computer Centre by RO and BO, its periodicity and the proformae to be used for the purpose are given below:

Deptt	Information to be supplied	Input Proformae	Format for supply of Data	Period*
(1)	(2)	(3)	(4)	(5)
BO/ CMD/ CC	New Applications	COMP/GOL/IP/01	Data to be prepared on floppy using file structure 'GOL.DBF'	M
	Progress of applications	COMP/GOL/IP/02	-do-	M
CMD	New Licensees	Master register kept in CMD CM/PF/601	Data to be supplied to CMD on floppy prepared through 'MISS' Package (in CMDATA01.DBF structure)	M
CMD	New Licences Granted	-do-	-do-	M
BO/ CMD	Statement of status change			
	a) Licences lapsed or cancelled	CM/PF 612	Data to be supplied by	M
	b) Licences renewed during month	CM/PF 613	BOs on floppy to CMD using 'MISS' Package.	M
	c) Change in party information such as name, size, Prime code, factory address or office address, contact person, phone	CM/PF 614		M
BO/ RO	Certification Income			
	a) Receipts	CM/PF 503	Data to be prepared	F
	b) Invoices	CM/PF 504	using 'MISS' package	F
	c) Credit Notes	CM/PF 505	(File structure Income.DBF)	F
	d) Debit Intimation	CM/PF 506		F
	e) Payment against credit note	CM/PF 507		F

CMD Schedule of Marking Fee

a) Revision of rate of Marking Fee

CM/PF 502

Floppies to be exchanged by BO/ CMD once in two months

b) Fixation of rate of Marking Fee

CM/PF 501

-do-

*M = Monthly, F = Fortnightly

6.3 COMPUTER OUTPUTS

6.3.1 Various statements which will be obtained from the computer data periodically are given in Annex 13. In addition, the computer data is amenable to various other statements as and when required. Some of these are also listed in Annex 13.

SECTION VII

7. GAZETTE NOTIFICATIONS

7.1 In accordance with the BIS Rules and the (Certification) Regulations, the following are to be notified in the Official Gazette:

- a) Establishment of all standards, their revisions, amendments and cancellation including establishment of Tentative Indian Standards and recognition of other standards as Indian Standards;
- b) Standard Mark in relation to each Indian Standard;
- c) Licences granted for use of the Standard Mark;
- d) Suspension/cancellation of licences;
- e) Marking fee per unit rate for a class of product or process.

7.2 Gazetting of Indian Standards - All new and revised standards should be gazetted; as also their amendments, withdrawals and supersessions. In all cases where these do not have a bearing on applicants or licensees they shall be notified immediately soon after the printed copies are made available to CMD. In other cases the date of implementation shall be decided based on recommendations by CMD depending upon:

- a) the number of existing licensees/applicants against the particular Indian Standard;
- b) the extent of technical/other variations appearing in the latest version of the Indian Standard; and
- c) the administrative and financial implications/ constraints in operating the Certification Scheme for the Indian Standard.

7.2.1 For Indian Standards where certification licences exist, the Standards Formulating Department shall send at the time of sending revised version/amendment to Publication Department for printing, six copies of the 'F' Document to CMD also. CMD shall get the views of DDGRs about the date of implementation, changes in STI if any, etc. DDGRs may consult licensees in their respective regions before sending their views. CMD shall consolidate the views received and take orders from ADGM about the date of their implementation. CMD should ensure that the revised standard/amendment is implemented as soon as possible after the printed copies are available.

7.3 CMD shall maintain a register for recording the details and for immediate gazetting. The various gazette notifications proformae are given as CM/PF 701 to CM/PF 713.

SECTION VIII

8. CERTIFICATION WORK DOCUMENTATION

8.1 For convenience of Inspecting Officers and for initiating various actions, various proformae have been developed and are in use. These proformae have not been included in this manual. However a list of proformae is given in Annexure 14. These proformae are available at HQ and RO/BO/IO and should be used. For any clarification with respect to documentation, CMD may be contacted.

ANNEX 1
(Clause 1.2.2)

RELEVANT LITERATURE ON CERTIFICATION SCHEME

1. Bureau of Indian Standards Act, 1986
2. Bureau of Indian Standards Rules, 1987
3. Bureau of Indian Standards (Certification) Regulations, 1988
4. BIS Certification Marks Scheme - Licensing Procedure
5. Products for which BIS Certification Mark/Compliance to Indian Standard(s) is compulsory
6. List of BIS recognized laboratories
7. List of items for which testing facilities are available in BIS labs.
8. List of testing charges for various items covered under Certification
9. List of manufacturers holding valid licences to use the Standard Mark
10. List of Marking Fees chargeable and the relevant STI (document number) under the Certification Scheme
11. Common Consumer products covered under BIS Certification Scheme
12. Financial incentives for licensees under the BIS Certification Scheme
13. Preferences by Government and other bodies to BIS certified products.
14. Enforcement Manual issued by Enforcement Department vide their note No. ENF/1:14 dated 13 May 1994.

ANNEX 2
(Clause 1.3.2.2)

CERTIFICATION MARKING FLOW CHART

Item of work	Responsibility	Remarks
1. APPLICATION		
a) Recording	MD/BO	Copies to RO
b) Correspondence with the applicant	MD/BO	Copy to RO/CMD when policy matter is involved
c) Preliminary Inspection	MD/BO	Copies of PI reports to RO
d) STI (new items)	Draft STI alongwith preliminary inspection report by MD/BO, finalization by CMD	Copies to RO/BO/IO by CMD on finalisation of STI
e) Rate of Marking Fee (new items)	Proposal by MD/BO and submitted to CMD through DDGR for approval of ADGM	All orders for new rates in a serial order be kept by CMD and copy sent to MD/BO. Copy sent to Computer Cell in CMD for inclusion in data base
f) Revision of Rate of MF	Proposal by CMD - Approval of ADGM	Revised MF to be conveyed by CMD to licensee(s). Follow up and endorsements by RO/BO. Up-to-date Schedule prepared by Computer Centre periodically.
g) Testing of Samples Collection/Payment of Testing charges	MD/BO	Approval of Head BO for & testing at recognized Lab. For testing in applicants' factory, approval by DDGR. Collection of inspection/testing charges to be done in advance by BO.
h) Red Form for the Grant of licence	Recommendation by MD/BO, Approval by DDGR	While sending the Red Form to RO for DDGR's approval all connected documents such as: Preliminary Inspection report test

report, acceptance of STI, rate of marking fee besides copies of other relevant papers which are helpful in decision making shall be enclosed. In the case of the first licence for a product in a region the Red Form shall be referred to CMD through DDGR for ADGM's approval.

- | | | | |
|----|--|-------------------|---|
| i) | Intimation letter for grant of licence | MD/BO | BO to send detailed letter to the party with copy to RO |
| j) | Preparation of Licence | RO | |
| k) | Forwarding of Licence to licensee | MD/BO to licensee | Copy in RO |
| m) | Rejection of Application including summary rejection | Head of MD/BO | Intimation to the Applicant by BO and copy to RO. |

2. OPERATION OF LICENCES

- | | | | |
|----|--|--|---|
| a) | Planning of Inspection | MD/BO | DDGR to ensure proper utilization of specialization of Inspecting officers in the Region. |
| b) | Periodic and other Inspections Follow-up Actions | MD/BO/IO | Copy of IR and important correspondence to RO |
| c) | Collection of Samples (Market and Factory) and their testing | MD/BO/IO | Approval of DDGR for testing in approved lab be obtained where needed. Copies of TR to RO |
| d) | Inclusion of Additional variety | Proposal by concerned group leader and approval by Head of MD/BO | Testing at factory premises on approval of DDGR. |
| e) | Complaints and closure | Registration and Investigation as per Annex 9 | Closure by DDGR with a copy to CAD |

- | | | | |
|----|---|--|---|
| f) | Unsatisfactory Performance | Action by MD/BO/IO (including stop marking) | Information to RO. Approval of Head BO for resumption of marking. |
| g) | Blue Form for renewal/deferment and lifting deferment | Proposal by concerned group leader, approval by Head of MD/BO | Copy of the Blue Form to RO |
| h) | Expiry | Proposal by concerned group leader, approval by Head of MD/BO | Copy to RO |
| i) | Cancellation/ Suspension | Proposal and Draft show cause notice by Head of MD/BO scrutiny by RO | Show cause notice under DDGR's signatures |

3. EXPORT AND OTHER SPECIAL INSPECTION

Policy decision by ADGM on recommendation of DDGR/CMD
Field activity MD/BO
Collection of fees by MD/BO
Information to RO/CMD

- | | | |
|----|---|---|
| BO | - | Branch Office |
| IO | - | Inspection Office |
| IR | - | Inspection Report (Periodic) |
| MD | - | Marks Department at the Regional Office |

ANNEX 3
(Clause 2.2.1)

JURISDICTION OF REGIONAL AND BRANCH OFFICES

- 1. Northern Regional Office(Chandigarh), NRO**
State of Punjab, Haryana, Jammu & Kashmir, Himachal Pradesh,
Union Territory of Chandigarh and Uttar Pradesh
(excluding NOIDA and area covered by Ghaziabad Office)
 - 1.1 Chandigarh Branch Office (CHBO)**
— States of Punjab, Himachal Pradesh, Jammu & Kashmir, Haryana (excluding those under FDO), Union Territory of Chandigarh
 - 1.2 Faridabad Office (FDO)**
— Faridabad & Gurgaon Districts of Haryana
 - 1.3 Kanpur Branch Office (KBO)**
— Agra, Etawah, Kanpur, Kanpur Dehat, Mathura, Aligarh, Fatehpur, Firozabad & Jhansi Districts of UP
 - 1.4 Lucknow Branch Office (LBO) - Inspection Office - Naini**
— State of Uttar Pradesh (excluding NOIDA and districts covered by KBO and GZO)
- 2. Central Regional Office (Delhi), CRO**
States of Madhya Pradesh, Rajasthan, Union Territory of Delhi, NOIDA and area of U.P. covered by Ghaziabad Office
 - 2.1 Bhopal Branch Office (BPLBO) - Inspection Office - Bhilai**
— State of Madhya Pradesh
 - 2.2 Delhi Branch Office (MDD)**
— Union Territory of Delhi
— NOIDA
 - 2.3 Ghaziabad Office(GZO)**
— Ghaziabad (excluding NOIDA), Saharanpur, Dehradun, Muzaffarnagar, Meerut, Bulandshahar, Chimoli, Tehsil Garhwal, Hardwar Districts of UP
 - 2.4 Jaipur Branch Office (JBO)**
— State of Rajasthan

- 3. Eastern Regional Office (Calcutta), ERO**
— States of Bihar, Bengal, Orissa, Assam, Meghalaya, Nagaland, Arunachal Pradesh, Tripura, Manipur and Mizoram
 - 3.1 Bhubaneswar Branch Office (BHBO) - Inspection Office - Rourkela - State of Orissa**
 - 3.2 Calcutta Branch Office (CBO) - Inspection Office - Durgapur - State of West Bengal**
— Andaman Nicobar - Sikkim
 - 3.3 Guwahati Branch Office (GBO)**
— States of Assam, Meghalaya, Arunachal Pradesh, Nagaland, Tripura, Manipur and Mizoram
 - 3.4 Patna Branch Office (PBO) - Inspection Office - Jamshedpur**
— State of Bihar
- 4. Western Regional Office (Bombay), WRO**
— States of Maharashtra, Gujarat, Goa, Daman and Diu
 - 4.1 Bombay Branch Office (BBO) - Inspection Office - Poona, Nasik, Aurangabad and Nagpur - State of Maharashtra - Goa**
 - 4.2 Ahmedabad Branch Office (ABO) - Inspection Office - Rajkot and Vadodara**
— State of Gujarat, Daman and Diu, and Dadra Nagar Haveli
- 5. Southern Regional Office (Madras), SRO**
— States of Tamil Nadu, Andhra Pradesh, Karnataka, Kerala and Union Territory of Pondichery
 - 5.1 Bangalore Branch office (BNBO)**
— State of Karnataka
 - 5.2 Coimbatore Office (CBTO)**
— Districts of Coimbatore, Nilgiri & Periyar
 - 5.3 Hyderabad Branch Office (HBO)**
— State of Andhra Pradesh
 - 5.4 Madras Branch Office (MBO)**
— State of Tamil Nadu except those districts covered under Coimbatore Branch
— Union Territory of Pondicherry (excluding Mahe)
 - 5.5 Trivandrum Branch Office (TBO)**
— State of Kerala

- Lakshdeep
- Mahe (Union Territory of Pondicherry)

**ABBREVIATED FORMS FOR MARKS DEPARTMENTS LOCATED IN REGIONAL
OFFICE HEADQUARTERS**

ABBREVIATED FOR

MDCH	Marks Department Chandigarh
MDD	Marks Department Delhi
MDC	Marks Department Calcutta
MDB	Marks Department Bombay
MDM	Marks Department Madras

ANNEX 4
(Clause 2.4.4)

SPECIMEN SCHEME OF TESTING AND INSPECTION
DOC : STI /25/2
July 1988

CERTIFICATION OF
SODA ASH, TECHNICAL
ACCORDING TO IS : 251-1982 (Third Revision)

1. **Laboratory** - A laboratory shall be maintained which shall be suitably equipped and staffed where the chemical analysis will be carried out in accordance with the methods in the specification.
2. **Test Record** - All records of analysis and tests shall be kept in suitable forms approved by the Bureau of Indian Standards.
 - 2.1 Copies of any records that may be required by BIS shall be made available at any time on request.
 - 2.2 **Quality Control** - It is recommended that, as far as possible, Statistical Quality Control (SQC) methods may be used for controlling the quality of the product as envisaged in this Scheme < See IS: 397 (Part 1) - 1972, IS: 397 (Part 2)-1985 and IS: 397 (Part 3) - 1980>.
 - 2.3 In addition, effort should be made to gradually introduce a Quality Management System in accordance with the Quality System Modules as per IS 14001 or IS 14002 or IS 14003 as appropriate to the activities of the organization.
3. **Standard Mark** - The Standard Mark (s) as given in Column (1) of the first Schedule of the licence shall be printed/ stencilled on each container of soda ash, technical or printed on the label applied to the container as the case may be provided always that the material in each container to which this mark is applied conforms to every requirement of the specification.
4. **Marking** - In addition, the following information should be given on each container or on the label applied to it :
 - a) Name of the manufacturer and recognized trade-mark, if any;
 - b) Name and grade of the material;
 - c) Control unit; and
 - d) Year of manufacture.
5. **Levels of Control** - The analysis and tests, as indicated in Table 1 and at the levels of control specified therein, shall be carried out on the whole production of the factory which is covered by this scheme and appropriate records and charts maintained in accordance with para 2 above. All the pro-

duction which conforms to the Indian Standard and covered by this licence shall be marked with the Standard Mark.

5.1 Control Unit - For the purpose of this Scheme material produced and packed at the silo stage in one shift shall constitute a control unit.

5.1.1 Each of the test results for description, total alkalinity chlorides for all the grades and particle size for dense grade shall pass. However, if one or more samples do not satisfy the specified requirement in respect of Soda Ash, Technical, the material in the control unit represented by the failed sample/ samples shall be rejected for the purpose of marking. It may, however, be reprocessed and such reprocessed material when tested shall satisfy the specified requirements for the purpose of marking.

5.2 On the basis of tests and analysis results, the decision regarding conformity or otherwise, of a control unit to a given requirement shall be made.

6. In respect of all other clauses of the specification the factory will maintain appropriate controls and checks to ensure that their product conforms to the various requirement of the specification.

7. Rejection - A separate record shall be maintained giving information relating to the rejection of units of soda ash, technical which do not conform to the specification and the method of their disposal. Such material, of packed in containers, shall in no case be stored together with that conforming to the specification.

8. Samples - The licensee shall supply, free of charge, the sample or samples required in accordance with the Bureau of Indian Standard (Certification) Regulations from his factory or godown. BIS shall pay for the samples taken by it from the open market.

9. Replacement - Whenever a complaint is received soon after the goods with the Standard Mark have been purchased and used, and if there is adequate evidence that the goods have not been misused, defective goods or their components shall be replaced or repaired free of cost by the licensee in case the complaint is proved to be genuine and the warranty period (where applicable) has not expired. The final authority to judge conformity of the product to the Indian Standard shall be with BIS.

10. Stop Marking - The marking of the product shall be stopped under intimation to BIS if, at any time, there is some difficulty in maintaining the conformity of the product to the specification or the testing equipment goes out of order. The marking may be resumed as soon as the defects are removed under intimation to BIS.

The marking of the product shall be stopped immediately if directed to do so by BIS for any reason. The marking may then be resumed only after permission by BIS. The information regarding resumption of marking shall also be sent to BIS.

11. Production Data - The licensee shall send to BIS as per the enclosed proforma, a statement of quantity produced, marked and exported by him and the trade value thereof during the half year ending 30 June and 31 December. This statement is required to be forwarded to BIS on or before 31st day of July and January for the preceding half year.

Note : The proforma given in Annexure 15 shall be enclosed to the STI for obtaining the Production Data.

IS : 251-1982
Soda Ash, Technical
Table 1 Levels of Control
(Para 5 of the Scheme of Testing and Inspection)

Test Details				Levels of Control			
Clause	Requirements	Test Method		No. of Samples			Remarks
		Clause	Reference	Dense Grade	Medium Grade	Light Grade	
3.1	Description	3.1	IS : 251-1982	Two	Two	Two	Every Control Unit
3.2	Bulk Density	App A-2	-do-	One	One	One	-do-
3.3	Volatile Matter Content	App B	-do-	One	One	One	-do-
3.4	Sieve analysis (for particular size)	3.4.1	-do-	Two	—	—	-do-
5.1 & Table 1	Total Alkalinity (as Na_2CO_3) percent by mass, min	App C-3	-do-	Two	Two	Two	-do-
-do-	Chloride (as NaCl)	App C-6	-do-	Two	Two	Two	-do-
-do-	Iron as (Fe)	App C-7	-do-	One	One	One	-do-
-do-	Matter insoluble water	App C-4	-do-	One	One	One	-do-
-do-	Sulphates (as H_2SO_4)	App C-5	-do-	One	One	One	-do-

ANNEX 5
(Clause 2.6.2)

GENERAL INSTRUCTIONS ON SIZES OF ISI MONOGRAM TO BE USED BY LICENSEES UNDER ISI CERTIFICATION MARKS SCHEME

Refer to the Standard Mark indicated in your licence. Regarding size please note that:

- Photographic reduction in any size of Figure 1 is permissible; and
- Preferred dimensions as given in Table 1 be used as far as possible.

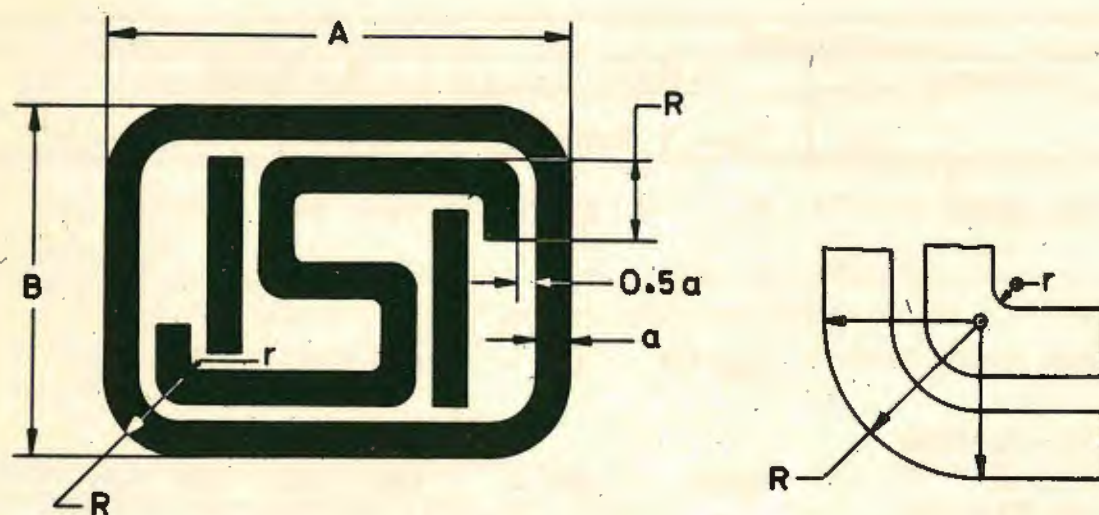


FIG.1

TABLE 1 PREFERRED DIMENSIONS OF ISI MONOGRAM

All dimensions in millimetres

A	B	a	R	r	SIZE OF LETTERS
2.5	1.9	0.2	0.4	-	1.0 mm
5	3.8	0.4	0.8	0.1	1.0 mm
10	7.5	0.7	1.7	0.2	2.0 mm
20	15	1.5	3.3	0.5	3.0 mm
40	30	2.9	6.7	1.0	4.0 mm
80	60	5.9	13.4	1.9	6.0 mm
160	120	11.7	26.7	3.8	10.0 mm
320	240	23.4	53.4	7.6	16.0 mm

ANNEX 6
(Clause 2.9.3)

RESPONSIBILITIES OF BIS LICENSEES

General

- NOMINATE responsible person(s) to deal with all matters concerning BIS Certification
- FAMILIARIZE with the provisions of the BIS Act, Rules and Certification Regulations as amended from time to time
- PAY minimum marking fee in advance; if it is not received in time, your licence may be cancelled.
- SUPPLY one copy each of the up-to-date Indian Standard(s) and the Scheme of Testing and Inspection attached to your licence to all concerned specially to the personnel of Quality Control Department. DO NOT reprint Indian Standards. This is not permitted and is a violation of the Copyright Act.
- OBTAIN prior permission of Excise/Bank authorities (where necessary) so that the sample(s) can be made available to BIS as and when necessary. INFORM BIS in case of difficulties, if any.
- SUBMIT statement of quantity produced and marked by 31 July and 31 January for the preceding six months.
- INFORM BIS IMMEDIATELY if there are any changes in the name of your organization, status, factory premises, management, process, design and brand names on which you are applying Standard mark.
- APPLY for renewal (along with the licence and fees) one month in advance of the expiry date of the validity period of your licence. No renewal from retrospective effect will be agreed to. While applying, full details should be given in 'Performance Sheet' enclosed with the application form.
- COMPLY with all instructions of BIS immediately, specially when a licence is cancelled/deferred/expired; otherwise you will attract legal action(s) as per the Act.
- GET prior approval from BIS of the design, proportions and manner of applying the Standard Mark. SEEK assistance of BIS, as and when necessary. INFORM BIS when you initiate marking for the FIRST time.

11. INFORM BIS when you stop production, and stop/resume marking. INDICATE stock of ISI marked goods at the time of stopping production/marketing.
12. APPLY Standard mark only on those varieties and batches/lots of production which conform to the relevant Indian Standard for which you hold a valid licence.
13. DO NOT APPLY Standard Mark on products produced on behalf of other agencies, unless prior permission has been obtained from BIS. ALSO DO NOT APPLY Standard Mark on products produced on your behalf by other agencies.
14. DO NOT APPLY Standard Mark on material produced prior to grant of licence.

Inspection and Testing

15. MAINTAIN records of inspection and testing indicated in the Scheme of Testing and Inspection (STI) attached to your licence.
16. EXTEND all possible co-operation to the BIS Inspecting Officer in checking your production line and records, testing in your factory premises and drawal of samples for independent testing.
17. ARRANGE the presence of concerned personnel and keys of laboratory, godown, etc (if not available) soon after the arrival of the BIS Inspecting Officer.
18. GET test equipment calibrated periodically and maintain records for the same.
19. INFORM BIS about all the changes in your Quality Control Department. SEEK assistance of BIS in training your testing personnel if necessary.
20. DO NOT test the counter sample sealed by the BIS Inspecting Officer without prior permission of BIS.
21. PACK the sample(s) drawn by BIS Inspecting Officer properly to avoid damage during transit and ENSURE that BIS Inspecting Officer's seal is intact.
22. DESPATCH the sample(s) expeditiously to the Laboratory as instructed by the BIS Inspecting Officer with advice to the concerned Regional Office/Branch Office of BIS.
23. NOTE that action may be taken against you in case BIS Inspecting Officer is not able to carry out inspection at the time of his normal visit (see 5,11,16 and 17).

ANNEX 7 (Clause 2.10.5)

ENDORSEMENTS IN LICENCES

Endorsement A - Renewal

Renewed for a further* period of Two Years! fromOne Thousand Nine Hundred andtoOne Thousand Nine Hundred and

Other terms and conditions of the licence remain same.

Director, BIS
Sig.

*Delete in the case of first renewal

!Where the licence is not renewed for complete year(s), the words 'One Year' may be deleted.

Endorsement B - Inclusion of Additional Varieties

The following additional...(sizes/types/grades/etc.) has (have) been included in Column (2) of the First Schedule and Column (1) of the Second Schedule of the licence alongwith the Standard Mark in Column (1) of the First Schedule with effect from(date of inclusion).

Other terms and conditions of the licence remain the same.

Director, BIS
Sig.

Endorsement C - Revision of Standard and STI

Consequent upon the revision of IS: (old number as IS:(new number)....., the Scheme of Testing and Inspection attached to the licence has been replaced by the revised scheme, (Doc:STI.....) and Column (3) of the First Schedule of the licence revised as under with effect from (date of enforcement)..... IS:.....

Other terms and conditions of the licence remain the same.

Director, BIS
Sig.

Endorsement D - Changes in Scheme of Testing and Inspection.

a) FOR INCLUSION OF NEW CLAUSES ETC.

The following clause has been included in the Scheme of Testing and Inspection, Doc:STI..... with effect from

Other terms and conditions of the licence remain the same.

Director, BIS
Sig.

b) FOR CHANGE IN THE EXISTING CLAUSE

Clause.....of the Scheme of Testing and Inspection, DOC:STI.....has been modified as under with effect from

Other terms and conditions of the licence remain the same.

Director, BIS
Sig.

Endorsement E - Revised Scheme of Testing and Inspection

Consequent upon the revision of the Scheme of Testing and Inspection, DOC:STI..... has been replaced by the revised scheme,DOC:STI.....

with effect from

Other terms and conditions of the licence remain the same.

Director, BIS
Sig.

Endorsement F - Revised Rate of Marking Fee

Consequent upon the revision of rate of marking fee, column(s)of the Second Schedule of the licence has(have) been revised as under with effect from, One Thousand Nine Hundred and

Rs..... per unit for the 1st units;
Rs..... per unit for next units;
Rs..... per unit for the remaining..... units;
..... as is relevant

With the minimum of Rs..... for an operative period of one year subject to such concessions as may be admissible.

Note: The words "Subject to such concessions as may be admissible" shall not be endorsed in case the licensee holds only one licence).

Other terms and conditions of the licence remain the same.

Director, BIS
Sig.

Endorsement G - Change in Name or Address of the Licensee

Consequent to the change in the name of the firm, the name of the licensee in the Licence has been changed to M/s

Other terms and conditions of the licence remain the same.

OR

Consequent to the shifting of the office/factory, the office/factory address on the Licence is changed to

Other terms and conditions of the licence remain the same.

Director, BIS
Sig.

ANNEX 8
(Clause 3.6.3)

ABBREVIATIONS FOR USE IN CERTIFICATION WORK

The following abbreviations have been evolved for use in Certification Work:

APL	for	Approval	MF	for	Marking Fee
APN	"	Application	MS	"	Market Sample
BF	"	Blue Form	OPD	"	Operative Date
BO	"	Branch Office	PIR	"	Preliminary Inspection Report
CPL	"	Complaint	RA	"	Renewal Application
CS	"	Counter Sample	RF	"	Red Form
FS	"	Factory Sample	RO	"	Regional Office
IO	"	Inspection Office	STI	"	Scheme of Testing and Inspection
IR	"	Inspection Report			
LIC	"	Licence	TR	"	Test Report
LIR	"	Lot Inspection Report	YF	"	Yellow Form
MD	"	Marks Department at RO			

ANNEX 9

**PROCEDURE FOR DEALING WITH COMPLAINTS AGAINST
BIS CERTIFIED PRODUCTS**

1. ACTIONS ON RECEIPT OF COMPLAINTS

- 1.1 On receipt of every complaint, RO/BO/PGO receiving it shall take the following actions:
 - a) Formally acknowledge the complaint, within seven days of its receipt.
 - b) If necessary, ascertain whether the complaint pertains to product carrying Standard Mark or not.
 - c) If necessary, request the complainant for providing additional information related to the complaint which could be useful in arranging investigation/redressal.
 - d) Forward copies of the complaint and the acknowledgement letter to CAD along with the Complaint Data Sheet duly filled in (see Appendix 1).
- 1.2 All complaints shall be recorded centrally at HQ by CAD. The assigned Sl. No. of the complaint shall be conveyed to the concerned ROs/BOs which shall be quoted in all future correspondence related to the complaint.
- 1.3 At ROs/BOs, the PGOs shall maintain a register of all complaints pertaining to complainants under their respective jurisdiction and keep track of their progress towards redressal and send a monthly statement on the same to CAD.

2. INVESTIGATION OF COMPLAINT

- 2.1 Responsibility of arranging investigations at complainant and licensee ends shall be of the BOs under whose respective jurisdictions the complainant and the licensee are situated.
- 2.2 For the complainant/'licensee complained against' situated locally, the investigations shall be completed by the concerned BO within 15 days and those situated outstation shall be completed within 30 days of receipt.
- 2.3 Investigation at complainant end should normally precede the investigation at the licensee end. The complainant end BO shall ensure that its report in the prescribed proforma (see Appendix 2), reaches the licensee end BO soon after the investigations are completed.
- 2.4 The report of investigations at the licensee's end shall be submitted in the prescribed

proforma even if the same is carried out during the course of visit to the licensee for periodic or other inspections (see Appendix 3).

2.5 The investigation of complaint shall consists of one or more of the following actions:

- a) Establishment of genuineness of complaint by physical verification of the product under complaint and noting down the marking details on the product and/or its packing/container.
- b) Ascertaining details of the complained material such as, quantity under complaint and that held in stock, name of manufacturer, source of purchase, date of purchase, installation, etc. Copies of relevant documents shall also be obtained from the complainant.
- c) If the BIS certified material has been accepted after inspection by another Agency, such as DGS&D, full particulars about inspections may be obtained. The inspection Agency may be contacted to obtain copies of inspection note and other terms of contract.
- d) Drawal of sample as per the following procedure:
 - i) Draw sample from the stock under complaint.
 - ii) If stocks are inadequate, sample may be drawn from the same batch/control unit from the source from where the complained material was purchased.
 - iii) In case complaint batch sample is not available at source of purchase and instead material pertaining to nearby lot/batch/control unit is available, a market samples could be drawn/purchased from the same for review of licensee's performance only.

Note: Decision on the particular complaint is not to be taken on the basis of such market sample.

- e) Examination of records of the lot/batch/control unit of the complained material as maintained by the licensee and the over all assessment of its performance during the period of manufacture.

3. ACTIONS AFTER COMPLETION OF INVESTIGATION

3.1 After completion of all necessary investigations, BO, where the complainant/licensee is situated shall take one or more of the following actions:

- a) In case complaint is found to be not genuine, the complainant shall be informed

accordingly and case put up for closure to the respective DDGRs.

- b) Redressal may be arranged straight away if the product is not expensive.
- c) In case the complaint is established by way of independent test report of the complaint sample or even by testing/observation during visit to the complainant, steps shall be taken to advise the licensee to arrange redressal of the complainant by way of replacement/ repairs depending upon the product under complaint. Depending upon the gravity of the findings in the investigation of a complaint, strict action, both punitive as well as corrective, should be taken against the licensee.
- d) Complainant shall be requested to give a satisfaction letter for the redressal arranged. In case he is not willing to provide the same, a Registered A.D. letter shall be sent for intimating confirmation of redressal and if no response is received within two weeks, complaint shall be processed for closure.
- e) The proposal for closure of complaint shall be put up by the BO under whose jurisdiction the licensee is situated in the prescribed proforma (see Appendix 4). Copy of complaint closure proforma carrying orders of DDGRs shall be forwarded to CAD.
- f) While deciding upon closure of complaint, DDGRs shall ensure that the corrective actions taken by the licensees for avoiding recurrence of such failures and/or actions taken after stoppage of marking, if imposed in view of the complaint, have been duly verified and reported by the BO.
- g) In case, the matter relating to the complaint has been referred to a Court of Law or to a Consumer Redressal Forum (i.e., has become sub-judice) or has been referred for arbitration, the complaint could be processed for closure.
- h) If a complaint against BIS certified product is found to be genuine cancellation of the licence may be considered depending upon the seriousness of the complaint. In case it is establish that any licensee has intentionally produced substandard product, cancellation not only of that particular licence but of all other licences, held by that licensee, should be done in consultation with ADGM/DG.
- j) The final decision/action taken shall be conveyed to the complainant by the BO under whose jurisdiction the complainant is situated.
- k) "Stop Marking" should be invariably imposed on the licensee if the complaint sample fails in testing in the case of complaints by large scale buyers. If, however, the concerned RO/BO feels that there is sufficient justification for not imposing "Stop Marking", such justification should be recorded on the closure proforma submitted to DDGRs.

Note: Copy of Test report of complaint sample shall not be given to the complainant. In case, it is insisted upon, then only the findings should be conveyed.

- 3.2 If necessary, ADGM may re-open any complaint which has been closed for actions as considered necessary.
- 3.3 Efforts shall be made to dispose off the complaints within three months of their receipt. CAD shall put up all complaints pending for more than three months to ADGM/DG for review and direction every month.

4. ANONYMOUS/PSEUDONYMOUS COMPLAINTS

- 4.1 Anonymous/pseudonymous complaints relating to BIS Certified Products be dealt with by the concerned BOs/Deptt. of ROs and discrete investigations carried out to verify the genuineness of the complaint and if necessary, actions shall be initiated in consultation with the DDG/ADG.

Appendix 1

BUREAU OF INDIAN STANDARDS (BO/Deptt. of RO/CAD)

COMPLAINT DATA SHEET (For complaints regarding BIS certified products)

Ref:

Date:

- | | | | |
|----|--|---|---------|
| 1. | Complainant Name and Address | : | |
| 2. | Status of Complainant (Refer Code Directory) | : | |
| 3. | Type of Complaint | : | 1 |
| 4. | Complaint Received at (Name of BO/Deptt.) | : | On Date |
| 5. | Name of the licensee complained against | : | |
| 6. | CM/L No. & valid upto | : | |
| 7. | Product & IS No. | : | |
| 8. | Specific Nature of Complaint | : | |
| 9. | Complaint No. (To be assigned by CAD) | : | |

(Dealing Officer/PGO)

- cc: i) CAD
ii) Complainant end BO
iii) Licensee end BO

Appendix 2
BUREAU OF INDIAN STANDARDS
(BO/Marks Deptts. of ROs/CAD)

PROFORMA FOR CLOSURE OF COMPLAINTS ON BIS CERTIFIED PRODUCTS

Ref:

Date:

1. Complaint No. _____
2. Date of Receipt _____
At _____ (BO/Deptt.)
3. Name of Complainant _____
4. Status of Complainant _____
5. Licensee Complained against _____
6. CM/L- No. & valid upto _____
7. Product & IS No. _____
8. Specific Nature of Complaint _____
9. Quantity of material under complaint _____
10. Findings of Investigations at Complainant's end _____
11. Test results of the complaint sample _____
12. Whether complaint established (by observation at complainant end and/or Independent TR) _____
13. Findings of Investigations at Licensee's end _____
14. Licensee's test record of the batch/lot under complaint _____

15. Performance during the preceeding one operative

a)	Dates of Inspection	<u>Performance</u> Satis/Unsatis	<u>Factory Testing</u> Pass/Fail
b)	Independent Test Reports	<u>Factory Sample</u> Pass Fail	<u>Market Samples</u> Pass Fail

c) Details of Other Complaints

i) Closed :

ii) Pending :

16. Licensee's Overall Performance :
17. Actions taken against licensee such as Stoppage of Marking :
18. Verification of Corrective actions taken by the licensee :
19. Actions taken by the licensee for redressal of complaint :
20. Whether redressal acknowledged by the complainant :

(Dealing Officer)

10. Recommendations

(Director Incharge)

11. Orders of DDG

- cc:
- i) CAD
 - ii) Complainant End BO
 - iii) Other concerened deptts. such as Enforcement/Legal

Appendix 3

BUREAU OF INDIAN STANDARDS
(BO/Marks Deptt. of RO/CAD)

(REPORT OF INVESTIGATION OF COMPLAINT AT COMPLAINANT END)

Our Ref: _____ **Date** _____

Subject: Complaint Against M/s.....
our Licensee underBranch Office

0. GENERAL

- 0.1 Complaint No. & Date :
- 0.2 Name and Address of Complainant :
- 0.2.1 Name & Address of recipient of material (if different from 0.2) :
- 0.3 Product and IS No. :
- 0.4 Nature of Complaint (highlight specific shortcomings) :
- 0.5 Licence No. :

1. DETAILS OF INVESTIGATION

- 1.1 Place and Date of Investigation :
- 1.2 Persons contacted :
- 1.3 Details of Purchase
- 1.3.1 Date of Purchase :

- 1.3.2 Total Quantity Purchased :
- 1.3.3 Quantity Under Complaint :
- 1.3.4 Source of purchase and details of Bill/Cash Memo :
- 1.3.5 Material Under Complaint Inspected/Repaired/Handled by any other Agency e.g. DGS&D, Local Dealer/Mechanics :
- 1.3.6 Is Product Under Warranty/ Any Service Contract :
- 1.3.7 Action Taken by the licensee for redressal of the complaint (if any, till date) :
- 1.4 Inspection of Material Under Complaint
- 1.4.1 Is material ISI-Marked or Not :
- 1.4.2 Whether ISI Mark Genuine or Spurious :
- 1.4.3 Details of Markings on the product :
- 1.4.4 Condition of Packing/Storage :
- 1.4.5 Visual Examination :
- 1.4.6 Observations in Respect of 0.3 :
- 1.4.7 Result of Testing at Complainant End, if done (attach sheet if necessary) :
- 1.5 Testing
- 1.5.1 Details of Sample Drawn for Independent Testing, if any :

- 1.5.2 Test Request Ref. & Date :
- 1.5.3 Laboratory to Which Sent :
- 1.5.4 Date on Which Despatched to Lab By Self/Complainant :
- 1.6 Any Other Information Relevant to the Complaint :

2. CONCLUSIONS

3. RECOMMENDATIONS

Signature

Name of IO :
Designation :
BO/Deptt. :

Head of BO/Group Leader

- cc: i) Licensee End BO
- ii) CAD

Appendix 4

BUREAU OF INDIAN STANDARDS
(BO/Marks Deptt. of RO/CAD)

REPORT OF INVESTIGATION OF COMPLAINT AT LICENSEE END

Our Ref:

Date:

Subject: Complaint against M/s

0. GENERAL

0.1 Complaint No. & Date :

0.2 Name and Address of the Complainant :

0.2.1 Name and address of the recipient of material (if different from 0.2) :

0.3 Product and IS No. :

0.4 Specific nature of complaint :

0.5 Licence No. & valid upto :

0.6 Is complainant end report available at the time of licensee end investigation :

1. DETAILS OF INVESTIGATION

1.1 Date of Investigation :

1.2 Persons contacted :

1.3 Quantity under complaint :

1.4 Whether licensee is aware of the complaint :

- 1.4.1 If yes, actions taken for the same :
- 1.4.2 Licensee's opinion on the complaint :
- 1.4.3 Whether material was sold directly or through dealer, retailer, etc. :
- 1.4.4 Is product under warranty/ guarantee/service contract :
- 1.5 Licensee's record of the material under complaint :
- 1.6 Manner of marking adopted by the licensee for the product under complaint :
- 1.7 Has the material been taken back by licensee :
- 1.7.1 If yes, observations on the same vis-a-vis specific nature of complaint :
- 1.8 Is the batch/lot/control unit under complaint held in stock by the licensee :
- 1.8.1 If yes, give factory testing details (if carried out on the same) :
- 1.9 Any other observations :

2. CONCLUSION

3. RECOMMENDATIONS

Signature

Name of IO :

Designation :

RO/BO/Deptt.:

Head of BO
Group Leader

cc: i) Complainant-end BO
ii) CAD

ANNEX 10

(Clause 4.9.1)

PAPERS TO BE SENT TO CMD/ROs BY MDs/BOs

A. To be sent to RO

I. APPLICANTS

- i) Copy of the application along with the letter of registration;
- ii) Red form along with
 - a) Preliminary inspection report with subsequent IRs if any;
 - b) Acceptance letter regarding STI and Marking fee;
 - c) All test reports;
 - d) Reply of the firm for having taken corrective actions, if any; and
 - e) Other papers referred to in the Red Form. These should include documentary evidence for the status of the firm (small/large).

II. OPERATIVE LICENCES

- i) Intimation about the grant of licence
- ii) Copy of Blue form with orders of Head of MD/BO
- iii) Copy of Yellow form with orders of Head of MD/BO, if processed
- iv) Copies of important correspondence exchanged with licensee during the operative period.
- v) Copies of other papers relating to suspension/ resumption of marking; complaints; and correspondence in relation to deficiencies/ irregularities of the licensee.

B. Papers to be sent to CMD

I. APPLICANTS

- i) Preliminary Inspection Report with Draft STI and Proposal for Marking Fee in case of new items.
- ii) Red Form along with all necessary papers in case of first application for a product in the Region.
- iii) Comments of the licensee on STI, Marking Fee or Indian Standards.

II. FINANCIAL MATTERS

- a) Receipt vouchers/Bank deposit statements containing:
 - i) Marking fee realized indicating relevant licence number, the amount, the period, production figure with ISI mark and name of the party;
 - ii) Application fee and P.I. charges;
 - iii) Testing charges;
 - iv) Pre-shipment charges;
 - v) Special inspection charges; and
 - vi) Licence/Renewal fee.
- b) Claims of outside laboratories for testing charges/and market samples where payment is to be made by CMD. This should include in the original bill/demand note duly supported by test request and test reports where applicable.

It is assumed that whenever other matters, such as elaboration of procedures, interpretation of requirements as given in Indian Standards, etc. arise, correspondence would be inevitable.

ANNEX 11
(Clause 5.1.1)

LIST OF PRODUCTS UNDER COMPULSORY CERTIFICATION

(As on 31 July 1992)

1. FOOD COLOURS AND FOOD COLOUR PREPARATIONS

(Prevention of Food Adulteration Act, 1954)

IS:1694-1974	Tartrazine, Food grade	23 Feb 1975
IS:1695-1974	Sunset Yellow FCF, Food grade	23 Feb 1975
IS:1697-1974	Erythrosine, Food grade	23 Feb 1975
IS:1698-1974	Indigo Carmine, Food grade	23 Feb 1975
IS:2558-1974	Ponceau 4R, Food grade	23 Feb 1975
IS:2923-1974	Carmoisine, Food grade	23 Feb 1975
IS:5346-1975	Coltar Food Colour preparations and mixtures	23 Feb 1975
IS:6022-1977	Fast Green FCF, Food grade	23 Feb 1975
IS:6406-1971	Brilliant Blue FCF, Food grade	23 Feb 1975

2. NATURAL FOOD COLOURS

(Prevention of Food Adulteration Act, 1954)

IS:3827-1966	Riboflavin	15 Nov 1985
IS:3841-1966	B-Carotene	15 Nov 1985
IS:4446-1967	Chlorophyll	15 Nov 1985
IS:6386-1971	Beta-apo-8-carotenal, food grade	15 Nov 1985
IS:6405-1971	Centhaxanthine, food grade	15 Nov 1985
IS:6797-1972	Methyl ester of beta-apo-8-carotenoic acid	15 Nov 1985
IS:7260-1974	Ethyl ester of beta-apo-8-carotenoic acid, food grade	15 Nov 1985

3. FOOD ADDITIVES

(Prevention of Food Adulteration Act, 1954)

IS:2557-1963	Annatto colour for food products	27 March 1985
IS:4447-1967	Sodium banzoate, Food grade	27 March 1985
IS:4448-1967	Benzoic acid, Food grade	27 March 1985
IS:4467(Pt 1)-1980	Caramel (Plain)	27 March 1985
IS:4467(Pt 2)-1980	Caramel (Ammonia Process)	27 March 1985
IS:4467(Pt 3)-1980	Caramel (Ammonia sulphite process)	27 March 1985
IS:4750-1968	Sorbitol, Food grade	27 March 1985
IS:4751-1968	Potassium metabisulphite, Food grade	27 March 1985
IS:4752-1968	Sodium metabisulphite, Food grade	27 March 1985
IS:4818-1968	Sorbic acid, Food grade	27 March 1985
IS:5191-1969	Sodium alginate, Food grade	27 March 1985
IS:5306-1978	Sodium carboxymethyl cellulose, Food grade	27 March 1985

IS:5342-1969	Ascorbic acid, Food grade	27 March 1985
IS:5343-1969	Butylated hydroxyanixole, Food grade	27 March 1985
IS:5707-1970	Agar, Food grade	27 March 1985
IS:5719-1970	Gelatin, Food grade	27 March 1985
IS:6030-1971	Sodium propionate, Food grade	27 March 1985
IS:6031-1971	Calcium alginate, Food grade	27 March 1985
IS:6793-1972	Fumaric acid, Food grade	27 March 1985
IS:7905-1975	Calcium alginate, Food grade	27 March 1985
IS:7908-1975	Sulphur dioxide, Food grade	27 March 1985
IS:7928-1975	Alginic acid, Food grade	27 March 1985
IS:8356-1977	Titanium dioxide, Food grade	27 March 1985

4. MINER'S SAFETY LEATHER BOOTS AND SHOES

(Mines Act, 1952)

IS:1989(Pt I)-1986	Leather safety boots and shoes for mines	29 April 1972
IS:1989(Pt 2)-1986	Leather safety boots and shoes for heavy metal industries	29 April 1972
IS:3976-1967	Safety rubber-canvas boots for miners	29 April 1972

5. CEMENT

(Essential Commodities Act, 1955)

IS:269-1976	Ordinary and low heat portland cement	1 July 1983
IS:455-1976	Portland slag cement	1 July 1983
IS:1489-1976	Portland pozzolana cement	1 July 1983
Part-I Flyash based		
Part-II Calcined clay based		
IS:3466-1967	Masonry cement	1 July 1983
IS:6452-1972	High alumina cement for structural use	1 July 1983
IS:6909-1973	Supersulphated cement	1 July 1983
IS:8041-1978	Rapid hardening portland cement	1 July 1983
IS:8042-1978	White portland cement	1 July 1983
IS:8043-1978	Hydrophobic portland cement	1 July 1983
IS:8112-1976	High strength ordinary portland cement	1 July 1983
IS:8229-1976	Oil well cement	1 July 1983
IS:12269-1983	53 Grade OPC	1 July 1983
IS:12330-1988	Sulphate resisting portland cement	1 July 1983
IS:12600-1989	Low heat portland cement	1 July 1983

6. SAFETY HELMETS FOR USE IN MINES

(Mines Act, 1952)

IS:2925-1984	Industrial safety helmets	20 Aug 1973
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7. MINERS' CAP LAMP BATTERIES

(Mines Act, 1952)

IS:2512-1978 Miners' cap lamp batteries
(Lead acid type) 19 Dec 1986

8. FLAMEPROOF ELECTRICAL EQUIPMENTS

(Mines Act, 1952)

IS:2148-1981 Flameproof enclosures of
electrical apparatus 22 Aug 1973

9. LPG CYLINDERS

(Gas Cylinder Rules, 1981)

IS:3196-1982 Welded low carbon steel gas cylinder
exceeding 5-litre water capacity for 1 July 1967
low pressure liquefiable gases

10. WIRE ROPES USED IN MINES

(Mines Act, 1952)

IS:1855-1977 Stranded steel wire ropes for winding 23 Apr 1966
and man-riding haulages in mines

11. MILD STEEL TUBES

(Essential Commodities Act, 1955)

IS:1161-1979 Steel tubes for structural purposes 1 Aug 1978

IS:1239(Part I) Mild steel tubes 1 Aug 1978
1979

IS:4270-1983 Steel tubes used for water wells 1 Aug 1978

12. STEEL AND STEEL PRODUCTS

(Ministry of Steel & Mines Notification No. SO (I-2(44)/63-IV
dated 26 March 1971)

IS:226-1975 Structural steel (standard quality) 1 Apr 1965

IS:277-1977 Galvanized steel sheets (plain and
corrugated) 1 Apr 1965

IS:279-1981 Galvanized steel wire for telegraph
and telephone purposes 1 Apr 1965

IS:280-1978 Mild steel wire for general
engineering purposes 1 Apr 1965

IS:432(Pt I) M.S. and medium tensile steel bars
-1982 1 Apr 1965

IS:432(Pt 2) Mild steel and medium tensile steel
bars and hard-drawn steel wire for
concrete reinforcement 1 Apr 1965

IS:513-1973 Cold rolled carbon steel sheets 1 Apr 1965

IS:961-1975 Structural steel (high tensile) 1 Apr 1965

IS:1029-1970 Hot rolled steel strips (baling) 1 Apr 1965

IS:1079-1973 Hot rolled carbon steel sheet and
strip 1 Apr 1965

IS:1148-1982 Hot-rolled steel rivet bars
(upto 40mm diameter) for structural
purposes 1 Apr 1965

IS:1149-1982 High tensile steel rivet bars for
structural purposes 1 Apr 1965

IS:1786-1985 High strength deformed steel bars
and wires for concrete reinforcement 1 Apr 1965

IS:1875-1978 Carbon steel billets, blooms, slabs
and bars for forgings 1 Apr 1965

IS:1977-1975 Structural steel (ordinary quality) 1 Apr 1965

IS:1990-1973 Steel rivet and stay bars for boilers 1 Apr 1965

IS:2002-1982 Steel plates for pressure vessels for
intermediate and high temperature
service including boilers 1 Apr 1965

IS:2062-1984 Weldable structural steel

IS:2830-1975 Carbon steel billets, blooms and
slabs for re-rolling into structural
steel (standard quality) 1 Apr 1965

IS:2831-1975 Carbon steel billets, blooms and
slabs for re-rolling into structural
steel (ordinary quality) 1 Apr 1965

IS:2879-1975 Mild steel for metal arc welding
electrode core wire 1 Apr 1965

IS:3502-1981 Steel chequered plates 1 Apr 1965

IS:3748-1978 Tool and die steels for hot work 1 Apr 1965

IS:3749-1978 Tool and die steels for cold work 1 Apr 1965

IS:3930-1979 Flame and induction hardening steels 1 Apr 1965

IS:4368-1967 Alloy steel billets, blooms and
slabs for forging for general
engineering purposes 1 Apr 1965

IS:4397-1972 Cold rolled carbon steel strips

IS:4398-1972	for ball and roller bearing cages Carbon-chromium steel for the manufacture of balls, rollers and bearing races	1 Apr 1965
IS:4430-1979	Mould steels	1 Apr 1965
IS:4431-1978	Carbon and carbon-manganese free cutting steel	1 Apr 1965
IS:4432-1967	Case hardening steels	1 Apr 1965
IS:4882-1979	Low carbon steel wire for rivets for use in bearing industry	1 Apr 1965
IS:5489-1975	Carburising steels for use in bearing industry	1 Apr 1965
IS:5517-1978	Steels for hardening and tempering	1 Apr 1965
IS:5518-1979	Steel for die blocks for drop forging	1 Apr 1965
IS:5522-1978	Stainless steel sheets and coils	1 Apr 1965

13. VANASPATI

(Essential Commodities Act, 1955)

IS:10633-1983	Vanaspati	1 Oct 1985
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14. VANASPATI CONTAINERS

(Essential Commodities Act, 1955)

IS:2552-1979	Steel drums (galvanized and ungalvanised)	15 Apr 1986
IS:10325-1982	15-kg square tins for VANASPATI and edible oils	15 Apr 1986
IS:10339-1982	GHEE and edible oil tins	1 July 1986
IS:10840-1984	Blow moulded HDPE containers for vanaspati	1 July 1986
IS:11258-1985	10 and 20-kg square tins for vanaspati ghee and edible oils	1 July 1986
IS:11352-1982	Flexible packs for the packing of edible oils and vanaspati	1 July 1986

15. MILK PRODUCTS AND INFANT FOODS

(Prevention of Food Adulteration Act, 1954)

Milk Products

IS:1165-1975	Milk powder	4 July 1986
IS:1166-1973	Condensed milk	4 July 1986

Infant Foods

IS:1547-1985	Infant milk foods	3 Nov 1991
IS:1656-1985	Milk-cereal based weaning foods	3 Nov 1991

IS:11156-1988	Infant formulae	3 Nov 1991
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16. PRESSURE STOVES

(Essential Commodities Act, 1955)

IS:1342-1978	Oil pressure stoves	1 Oct 1987
IS:2787-1979	Multi-burner oil pressure stoves	1 Oct 1987
IS:8808-1978	Burners for oil pressure stoves and oil pressure heaters	1 Oct 1987
IS:10109-1981	Oil pressure stoves, offset burner type	1 Oct 1987

17. NON PRESSURE STOVES

(Essential Commodities Act, 1955)

IS:2980-1979	Non pressure stoves	1 Feb 1992
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18. DRY CELL BATTERIES

(Essential Commodities Act, 1955)

IS:203-1984	Dry batteries for flashlights	1 Apr 1987
IS:2576-1975	Dry batteries for transistor radio receivers	1 Apr 1987
IS:8144-1976	Multipurpose dry batteries	1 Oct 1987

19. GLS LAMPS

(Essential Commodities Act, 1955)

IS:418-1978	Tungsten filament general service electric lamps	24 Apr 1989
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20. ELECTRICAL APPLIANCES AND WIRING ACCESSORIES

(Essential Commodities Act, 1955)

IS:302-2-3 (1992)	Safety of household and similar electrical appliances - Electric irons	24 Feb 1993
IS:302-2-201 (1992)	Safety of household and similar electrical appliance - Electric immersion water heaters	24 Feb 1993
IS 302-2-30 (1992)	Safety of household and similar electrical appliance - Electric radiators	24 Feb 1993
IS 302-2-202 (1992)	Safety of household and similar electrical appliance - Electric stoves	24 Feb 1993

IS 3854-1988	Switches for domestic and similar purposes	24 Feb 1993
IS 4949-1968	2 Amp. switches for domestic and similar purposes	24 Feb 1993
IS 1293-1988	3 pin plugs and socket outlets	24 Feb 1993

NOTE : Steel & Steel Products have been covered on the basis of the notification issued by the Ministry of Steel and Mines; this group of products infact should be differentiated from the regular compulsory items in the sense that the notification is not issued under the power vested in any regular statute.

ANNEX 12 (Clause 6.1.4)

FINANCIAL MANAGEMENT OF CERTIFICATION REVENUE

<u>Item of Work</u>	<u>Actions Involved</u>	<u>Responsibility</u>	<u>Related Proforma</u>
1. Receipt of Application Fee	Preparation of Receipt	Branch Office	FM - 1
2. Raising of Invoice for a) Advance Minimum Marking Fee on Grant of Licence b) Testing charges c) Lot Inspection charges d) Special Insepction charges e) On any other account	Preparation of Request for raising of Invoice Raising of Invoice	Technical Group in Branch Office Registry Clerk in Branch Office	FM-5/ FM-6
3. Debtors Ledger	Posting of Invoices, Debit Notes, Credit Notes, Receipts against Invoices and Debit Notes, and Payments against Credit Notes	Registry Clerk in Branch Office	Debtors Ledger
4. Receipt of dues against Invoices and Debit Notes	Preparation and Issuance of Receipt	Registry Clerk in Branch Office	FM-1
5. Payments against Credit Note	Preparation of Vouchers for Payment	Registry Clerk in Branch Office	
6. Raising of Debit Notes for Cheque returned Unpaid by the Bank	Raising of Debit Note	Registry Clerk in Branch Office	FM-4
7. Allowing Credit for Invoices	Preparation of Note	Technical Group in Branch Office	

wrongly raised or
for any other
reason

8. Despatch of Computer Input forms (Fortnight)		Registry Clerk in Branch Office	FM-3
9. Follow up action on Computer monthly Statement on Amount due	Checking with Debtors Ledger Sending Reminders	Registry Clerk in Branch Office Technical Group in Branch Office	
10. Follow up action on Computer monthly Statement on Licences Due for Renewal showing outstanding amounts	a) Checking with Debtors Ledger, and b) Incorporating outstanding Amount due in Renewal Notice	Registry Clerk in Branch Office Tech. Group in BO	
11. Raising of Invoices for additional Advance Minimum Marking payable by licensee on account of Revision of Marking Fee	Preparation for Request for Raising Invoice Raising of Invoice	Technical Group in Branch Office Registry Clerk in Branch Office	FM-6 FM-2
12. Receipt of Payments with Renewal Application Invoice (if any)	Checking for Correctness and Preparation of Request for Raising Invoice Raising of Invoice/Preparation and Issuance of Receipt	Technical Group in Branch Office Registry Clerk in Branch Office	FM-6 FM-2/ FM-1

ANNEX 13

(Clause 6.3)

COMPUTER OUTPUTS FROM CERTIFICATION DATA BASE

Sl No.	Output	Frequency
1.	List of Licensees indicating licences due for renewal (and amount due from them)	Monthly
2.	List of licensees showing outstanding dues/credits	Monthly
3.	Half yearly statement of accounts (complete ledgers)	Twice a year
4.	Management Information Report a) Income - cash, accrued and outstanding dues - BO/RO wise b) No. of operative and deferred licences - BO/RO wise c) No. of licensees and licences under small/large scale - BO/RO wise d) No. of licensees/licences - Division wise - BO/RO wise	Monthly
5.	Alphabetic list of licensees	On request
6.	IS-wise list of licensees with addresses - Division wise - BO/RO wise	On request
7.	Addresses and contact persons of licensees	On request

ANNEX 14

(Clause 8.1)

LIST OF PROFORMAE USED IN CERTIFICATION WORK

REF:NO. TITLE

1. PROFORMAE FOR LETTERS

CM/PF 101(A)	ACKNOWLEDGEMENT LETTER FOR RECEIPT OF APPLICATION CM/
PF 101(B)	LETTER REGARDING RECEIPT OF APPLICATION TO USE
	THE STANDARD MARK
CM/PF 102	LETTER TO AN OUTSIDE LAB FOR TESTING OF SAMPLES
CM/PF 103	LETTER INTIMATING REVISION OF MARKING FEE
CM/PF 104(A)	INTIMATION OF GRANT OF LICENCE BY CMD
CM/PF 104(B)	INTIMATION ABOUT GRANT OF LICENCE BY BO
CM/PF 105	INSTRUCTIONS REGARDING ADVERTISEMENTS TO BE
ISSUED BY	NEW LICENSEES
CM/PF 106	RENEWAL NOTICE
CM/PF 107	REMINDER RENEWAL NOTICE
CM/PF 108	LETTER INTIMATING EXPIRY OF LICENCE
CM/PF 109	LETTER REGARDING RETURNING OF INCOMPLETE APPLICATION
CM/PF 110	SUPPLY OF INFORMATION ON PROCEDURE FOR GRANT OF LICENCE
CM/PF 111	LETTER SUMMARILY REJECTING AN APPLICATION
CM/PF 112	NOTICE FOR REJECTION OF APPLICATION
CM/PF 113	LETTER INTIMATING REJECTION OF APPLICATION
CM/PF 114	LETTER SEEKING FIRMS EXPLANATION FOR DELAY IN DESPATCH
	OF SAMPLES

2. PROFORMAE FOR INSPECTION REPORTS

CM/PF 201	REPORT OF PRELIMINARY INSPECTION
CM/PF 202	REPORT OF PRELIMINARY INSPECTION FOR STEEL PRODUCTS
CM/PF 203	REPORT OF PRELIMINARY INSPECTION FOR STEEL PRODUCTS
	(APPLICABLE TO PRIMARY PRODUCERS)
CM/PF 204	REPORT OF PRELIMINARY INSPECTION (APPLICABLE TO DIESEL

ENGINES)

CM/PF 205	REPORT OF PRELIMINARY INSPECTION FOR CONSIDERING
	REGISTRATION OF RE-REFINING UNITS
CM/PF 221	REPORT OF SUPERVISORY INSPECTIONS (BY HEAD/DIRECTOR)
CM/PF 251	REPORT OF PERIODIC/LOT SPECIAL INSPECTION (IR-2)
CM/PF 252	REPORT OF PERIODIC INSPECTION (NO PRODUCTION SINCE LAST
	INSPECTION (IR-3 NP)
CM/PF 253	REPORT OF PERIODIC INSPECTION FOR PLYWOOD PANELS (IS:10)
CM/PF 254	REPORT OF PERIODIC INSPECTION FOR STEEL PRODUCTS
	(APPLICABLE TO GROUP I LICENCES)
CM/PF 255	REPORT OF PERIODIC INSPECTIONS FOR STEEL PRODUCTS
	(APPLICABLE TO GROUP II LICENCES)
CM/PF 256	REPORT OF PERIODIC INSPECTIONS FOR STEEL PRODUCTS
	(APPLICABLE TO PRIMARY PRODUCERS)
CM/PF 257	REPORT OF PERIODIC INSPECTION FOR DIESEL ENGINES
CM/PF 258	PROFORMA FOR LOT INSPECTION OF 18-LITRE SQ. TINS
(IS:916-75)	ACCORDING TO SAMPLING SCHEME
CM/PF 259	REPORT OF PERIODIC INSPECTION FOR CEMENT
CM/PF 260	REPORT OF DISCREPANCIES/ VARIATIONS

3. PROFORMAE RELATING TO PROCESSING OF APPLICATIONS

CM/PF 301	APPLICATION FOR LICENCE TO USE THE STANDARD MARK UNDER
	THE BUREAU OF INDIAN STANDARDS ACT, 1986
CM/PF 302	(WITHDRAWN)
CM/PF 303	REGISTER OF APPLICATIONS FOR LICENCE TO USE STANDARD
	MARK
CM/PF 304	PROFORMA FOR REJECTION OF AN APPLICATION
CM/PF 305	MANUFACTURING MACHINERY DECLARATION
CM/PF 306	TEST EQUIPMENT DECLARATION
CM/PF 307	APPLICANT'S DECLARATION OF BRAND NAME/TRADE MARK
	PROPOSED TO BE COVERED UNDER CERTIFICATION
CM/PF 308	GRANT OF LICENCE (RED FORM)
CM/PF 309	LICENCE FOR THE USE OF STANDARD MARK (LICENCE DOCUMENT)
CM/PF 310	ACCEPTANCE OF STI
CM/PF 311	ACCEPTANCE OF MARKING FEE

4. PROFORMAE RELATING TO SAMPLES

CM/PF 401	RECORD OF SAMPLES PROCURED BY ROs/BOs FOR TESTING
CM/PF 402	TEST REQUEST

5. FINANCIAL MATTERS

CM/PF 501	FIXATION OF MARKING FEE
CM/PF 502	REVISION OF MARKING FEE
CM/PF 503	RECEIPT .
CM/PF 504	INVOICE
CM/PF 505	CREDIT NOTE
CM/PF 506	DEBIT NOTE
CM/PF 507	RAISING OF INVOICE FOR THE MINIMUM MARKING FEE (ADVANCE) AT THE TIME OF GRANT OF LICENCE
CM/PF 508	RAISING OF INVOICE FOR THE CHARGES OTHER THAN MINIMUM MARKING FEE

6. OPERATION OF LICENCES

CM/PF 601	REGISTER OF LICENCES FOR THE USE OF THE STANDARD MARK
CM/PF 602	PERMISSION FOR RESUMPTION OF MARKING
CM/PF 603	INCLUSION OF NEW VARIETIES
CM/PF 604	APPLICATION FOR RENEWAL OF LICENCE
CM/PF 605	RECOMMENDATION FOR EXPIRY/CANCELLATION OF LICENCE
CM/PF 606	RENEWAL OF LICENCE
CM/PF 607	RENEWAL OF DEFERRED LICENCE
CM/PF 608	REGISTRATION OF COMPLAINTS REGARDING CERTIFIED PRODUCTS
CM/PF 608(A)	COMPLAINTS REGISTERED DURING THE QUARTER
CM/PF 609	CLOSURE OF COMPLAINTS
CM/PF 609(A)	COMPLAINTS CLOSED DURING THE QUARTER
CM/PF 610	LIST OF NEW PARTIES WHICH HAVE BEEN GRANTED A CERTIFICATION LICENCE
CM/PF 611	LIST OF NEW LICENCES GRANTED
CM/PF 612	COMPUTER INPUTS - STATEMENT OF STATUS CHANGE, EXPIRED/ CANCELLED LICENCES

CM/PF 613	COMPUTER INPUTS - STATEMENT OF STATUS CHANGE RENEWED/ DEFERRED LICENCES
CM/PF 614	PROFORMA FOR REPORTING CHANGES IN PARTY INFORMATION
CM/PF 615	UNDERTAKING FROM MANAGEMENT ON ACCOUNT OF CHANGE IN NAME OR OWNERSHIP OF THE LICENSEE

7. PROFORMAE RELATING TO GAZETTE NOTIFICATIONS

CM/PF 701	ESTABLISHMENT OF INDIAN STANDARDS
CM/PF 702	AMENDMENTS TO INDIAN STANDARDS
CM/PF 703	RECOGNITION OF OTHER STANDARD AS INDIAN STANDARD
CM/PF 704	INDIAN STANDARD CANCELLED/WITHDRAWN
CM/PF 705	STANDARD MARK
CM/PF 706	ADDITIONAL STANDARD MARK
CM/PF 707	REVISION OF STANDARD MARK
CM/PF 708	WITHDRAWAL OF STANDARD MARK
CM/PF 709	MARKING FEE
CM/PF 710	REVISION OF MARKING FEE
CM/PF 711	GRANT OF LICENCE
CM/PF 712	EXPIRY OF LICENCE
CM/PF 713	CANCELLATION OF LICENCE

GUIDELINES FOR COLLECTION OF MARKING FEE IN VIEW OF RENEWAL OF LICENCES FOR TWO YEARS

There may be two types of cases coming up for renewal to be considered for two years:

- a) Licences which have just completed one year of operation and advance marking fee for nine months/one year only was deposited at the time of grant of licence.
- b) Licences which have completed more than one year of operation and marking fee has been paid on the basis of actual production covered or the minimum whichever was higher for one year.

In the first instance marking fee on the basis of unit rate for actual production covered under BIS Mark for the first nine months, or the minimum whichever is higher shall be calculated. In case it exceeds the advance minimum collected at the time of grant of licence, the difference of marking fee shall be collected in addition to the advance minimum marking fee for next one year.

In the second instance marking fee on the basis of actual production covered under BIS Mark for one year (comprising of three months of the previous operative period and nine months of the current operative period) shall be calculated or in case of no production the minimum applicable whichever is higher and the difference of marking fee from the advance minimum paid by the licensee collected at the time of renewal, in addition to the advance minimum marking fee for the next one year.

Two months before the expiry period of the first year of the validity the licensee shall be asked to provide the production details as per proforma given in Appendix I so as to enable the Bureau to prepare the invoice and forward the same. In case marking fee dues are not cleared by the licensee before expiry of 30 days of the second operative year of the licence a cancellation notice shall be served to the licensee.

APPENDIX I

PROFORMA FOR OBTAINING PRODUCTION DETAILS

(Period to be covered by the Report being to)*

Name of Licensee

CM/L No.

Name of Articles(s)

IS No.

1. Total production of the article(s) licensed for certification marking
 - 1.1 Total production of the article(s) conforming to Indian Standard
2. Production covered with BIS Certification Mark and its approximate value
 - a) Quantity
 - b) Value Rs.
- 2.1 Calculation of marking fee on unit-rate basis:
 - a) Unit
 - b) Quantity covered with BIS Certification Mark
 - c) Marking fee rounded off in whole rupees as obtained by applying unit rates given in (a) on quantity given in (b)
3. Quantity not covered with BIS Certification Mark. If any, and the reasons for such non-coverage

Marking Fee per unit

*Information to be filled up by BO before forwarding to the licensee:
Note: In case a clause is not applicable, suitable remarks may be given against it.

GUIDELINES FOR PERMITTING RELAXATION IN IN-HOUSE TESTING FACILITIES

1. OBJECTIVE OF IN-HOUSE TESTING FACILITY

1.1 Under the provisions of BIS Certification Marks Scheme for the use of Standard Mark, all the licensees are required to maintain, to the satisfaction of the Bureau, the Scheme of Testing and Inspection (STI), which is attached to the licence and forms an integral part of the licence.

1.2 For the purpose of operation of STI, the important requirements are:

- i) Availability of qualified and experienced testing personnel, and
- ii) Availability of complete testing facilities for carrying out the tests as per STI.

In regard to ii) above, the ideal situation is that each and every firm should have complete Testing Facilities (T/F) (in-house) for in-process quality control. Such a situation contributes to development of quality culture and enables the firm to adopt immediate corrective measures in case of any non-conformity during testing.

2. SITUATIONS FOR PERMITTING RELAXATION

2.1 However, during the operation of the scheme and on the request of the licensees the Bureau has permitted certain tests to be carried out in an outside laboratory or by sharing of test facilities among firms. The main criteria for permitting such relaxations has been one or more of the following:

- i) Test equipment is very costly,
- ii) Test equipment not readily available.
- iii) The frequency of test of the particular requirement is such that it enables testing by an outside laboratory conveniently without affecting the routine in-house quality control, and
- iv) Specialized nature of test.

2.2 Requests keep on coming for permitting sharing of test facilities among firms or for

utilizing the facilities of independent laboratories. The firms may be under the same management called sister concerns, or they may be under different management. When the T/F are available only at one location, that is, with one firm relaxation in complete testing facilities to other units may be permitted where T/F falls under one or more the categories indicated below:

- a) Test equipment is costly.
- b) Testing equipment not readily available, and
- c) Specialized nature of test.

In addition, the frequency of the test requirement shall be such that it enables testing by an outside laboratory conveniently, without affecting the routine in-house quality control.

NOTE - Normally the frequency requirement meeting the above criteria shall be taken as once in a month or more than a month.

3. GUIDELINES FOR PERMITTING RELAXATION

3.1 Individual cases, where requests are received for permitting sharing of testing facilities with other firms (licensees or non-licensees) or with independent laboratories (recognized or unrecognized), may be considered subject to:

- i) Units should normally be located in the same city or the firm should satisfy BIS that they have adequate/satisfactory arrangement for transportation of the sample to the laboratory at the specified frequency.

Eg. Dry batteries. For some of the tests (life tests), T/F for a number of units under M/s National Carbon Company are got done at their Calcutta Laboratory.

- ii) It would be necessary to ensure that qualified testing personnel are available at the location where T/F are installed.
- iii) Work load and degree of utilization of test facilities by the unit having T/F should be such that it would permit enough time for testing of materials brought from other units.
- iv) The laboratory should follow the calibration of testing equipment as recommended by BIS.
- v) It shall also be ensured that satisfactory arrangement for handling of samples along with proper codification is available at the place where T/F are installed.
- vi) A consent letter should be obtained by the firm from the unit having T/F or independent testing laboratory, that

a) they are prepared to carry out the tests for the applicants/licensees concerned at the specified frequency.

b) an access will always be provided to BIS Officers for necessary verification at any time and without any prior intimation. Such verification would include all records and test equipment maintained by that laboratory for the relevant tests.

vii) An undertaking shall be taken from the firm that maintenance of test records as per STI, including the tests done at a laboratory other than their own, shall continue to remain their responsibility.

viii) At times, if a firm has more than one unit, say 3-4 units in the same city and T/F are centralized at one place, such an arrangement can be permitted subject to these guidelines.

ix) Whenever it is intended to permit the use of any outside T/F, whether of a firm or an independent laboratory, a BIS officer from the region where T/F are installed, will visit and certify that T/F as available, meet the above criteria and are in proper working order. Such verification may not, however, be necessary in the case of independent laboratories approved under BIS Laboratory Recognition Scheme.

4. COMPETENT AUTHORITY FOR PERMITTING RELAXATION

4.1 For situations covered in these guidelines, a separate recommendation, duly authenticated by a BIS Officer that T/F, as available, meet the above criteria, should be sent to DDGR for approval.

4.2 For situations not covered in these guidelines and where T/F outside the region of DDGR are to be utilized, recommendations should be put up to ADGM for approval.