

**BUREAU OF INDIAN STANDARDS**

*For internal use only*

**OPERATING MANUAL  
FOR  
PRODUCT CERTIFICATION  
2004**

**(Fifth Revision)**

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# SECTION I

## 1. GENERAL

### 1.1 INTRODUCTION

**1.1.1** Bureau of Indian Standards (BIS) Product Certification Scheme consists of a series of activities 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 consumers and industry and the Government laying more stress on consumer protection through quality of 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.

The operational procedures were further reviewed for improving the quality of BIS services to make them more effective, efficient and result oriented. Various operating guidelines issued till 31 July 1994 as well as the 15 amendments issued to the first revision were incorporated in the second revision of the manual issued in Aug 1994. The title was also modified as "Operating Manual for Product Certification" to distinguish it from the documentation related to Quality System Certification.

Since issue of second revision of manual in Aug 1994, a series of guidelines in the form of Amendments were issued based on different situations encountered during operation of certification scheme. These were further reviewed and incorporated in the third revision which was brought out in 1998. A significant achievement of the third version was the standardization of the procedure for imposing Stop marking and its revocation. Through amendment No. 2 several clarifications were issued to make the instrument of Stop marking meaningful and relevant to the various situations encountered.

An attempt was also made in the third revision to align the provisions with BIS Act, Rules and Regulations whenever it was felt that these were not matching. Comments received from ROs/BOs through refresher course in certification and those received otherwise were examined and incorporated wherever necessary.

**1.1.2** After the third revision, the following important developments took place which have necessitated the evolution of this fourth version. These include:

- a) Implementation of BIS Foreign Manufacturer's Certification Scheme and Certification Scheme for Indian importers.

Amendment to BIS (Certification) Regulations dated 30 July 2003 through which

- i) The situations governing Stop Marking have been prescribed
- ii) The situations governing Suspension of Licence have been prescribed
  
- b) Delegation of powers to Heads of some Branch offices to grant licences and corresponding delegation of powers to Group leaders for renewal of licences etc.
  
- c) Adoption of time norms for processing of applications
  
- d) Adoption of stricter norms for stop marking / cancellation in respect of food products under mandatory certification
  
- e) Development of Integrated Certification Marks Management System Software requiring changes in certain procedures and documents
  
- f) Proposed amendment of regulation prescribing minimum two inspections in one year (amendment to Regulations pending approval of Govt.)
  
- g) Proposed development of a modified Application Form with provision of filing applications on line (amendment to Regulations pending approval of Govt.)
  
- h) Approval of Scheme for outsourcing of inspections
  
- i) Approval of Scheme for involving NGOs and related Govt Agencies in surveillance inspections and of NGOs in testing of market samples for food products under mandatory certification
  
- j) Implementation of policy of using courier services for transportation of samples from factory to laboratory.
  
- k) Involvement of experts in preliminary factory evaluation for products covered under certification for the first time.

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 such cases the general principles of product certification shall be applied by the decision-making authority at BO with proper recording of justification under intimation to DDGR. Where difficulty arises in arriving at the decision, prior direction of the Deputy Director General (Region) shall be taken. Such decision with full background shall be informed to CMD for determining whether it requires any policy guideline for uniform application on all India basis. Branch/Regional Offices shall maintain a reference file of such decisions taken at BO / RO level for future reference. Activity Head of Certification shall have authority to decide on any issue and permit any deviation from the Manual. However the actions proposed or decisions taken at any level must be in the frame work of provisions of BIS Act, Rules and Regulations.

**1.1.3** While supervising the Scheme, it should be borne in mind that the certification is a means of providing assurance that a product complies with specified standards. 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** This Manual shall be necessary adjunct to the Quality System Management Manual for Product Certification. It has been evolved 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 manual prescribes 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.

**1.2.2** Relevant literature pertaining to BIS Certification Scheme has been enlisted in **Annex I** to facilitate reference. Concerned departments may be contacted for any further information regarding these documents.

## **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 violation of the Act; authorization of courts for trying violations; 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 preliminary factory evaluation to ascertain the capability of the manufacturer to produce goods according to the relevant Indian Standard specially with respect to raw materials, process of manufacture, manufacturing capability and quality control facilities including testing equipment and supervisory staff. Samples are tested in the factory, in order to bring out any deficiencies in test equipment/testing procedures and testing personnel as well as for spot establishment of quality of product. Simultaneously, samples are also drawn for testing in the independent laboratories for assessing 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 from time to time, 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 (see 1.3.3 and 1.4 also).

**1.3.2.1 Surveillance after the Grant of Licence** - After the grant of licence, BIS carries out surprise periodic surveillance visits through technical auditors. During these surveillance visits technical auditors check that the manufacturer is following the prescribed STI and all relevant requirements. Sample(s) are also tested in the factory to ascertain whether the product conforms to the requirements of the relevant Indian Standard(s) and that the test results observed correlate with the test records 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, when manufactured and tested on continuous basis according to the relevant Scheme of Testing and Inspection

**1.3.3 Significance of the Scheme of Testing and Inspection (STI)** – The STI document is a tool for in-process control in production for a given article/process. In order to ensure consistency in the evaluation of product conformity to specification, the licensee has to follow an agreed Scheme of Testing and Inspection (STI) while exercising his self marking rights and maintain records of the test results. STIs are available for all products under Certification. When an applicant applies for getting Certification licence, relevant Scheme of Testing and Inspection (STI) is brought to his notice which he is required to accept and implement after grant of licence. An applicant or licensee may request for modification in the STI which can be agreed by the Activity Head of Certification after preliminary factory evaluation. The acceptance of the document by the applicant forms a pre-requisite for the grant of licence.

**1.4 Certification Marking Fees** - The basic spirit behind the realization of Certification Marking fee for any product is to meet administrative and the related developmental and surveillance expenses incurred by BIS for rendering the necessary services in relation to certification of product. These include the testing charges, cost of market samples, administrative overheads, cost of development of standards, cost for investigations etc. With a view to encourage certification activities in the small scale sector, and to reduce the burden on account of low volumes of production a lump sum 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 a 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 applicant is required to give his acceptance of marking fees 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 **CERTIFICATION ADVISORY COMMITTEE (CAC)**

**1.4.1** An advisory Committee called Certification Advisory Committee (CAC) has been constituted under BIS Act, for advising the Bureau on policy matters connected with the Certification Scheme, 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 six months.

## **1.5 GUIDELINES ON SPECIFIC SUBJECTS**

**1.5.1** Product specific guidelines under CMD/16 series and Sectoral Manuals have been issued/are issued from time to time with respect to specific Indian Standards. These shall be continued to be implemented, reviewed and updated as and when necessary. However policy guidelines of generic nature should normally be issued as amendment to this manual.

## **1.6 ISO/IEC GUIDES ON PRODUCT CERTIFICATION**

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

ISO/IEC Guide 2	Standardization and related activities – General vocabulary
ISO/IEC Guide 7	Guidelines for drafting of standards suitable for use for conformity assessment
ISO/IEC Guide 28	General rules for a model third-party certification system for products
ISO/IEC Guide 53	An approach to the utilization of a supplier's quality system in third-party product certification
ISO/IEC Guide 60	Code of Good practice for conformity assessment
ISO/IEC Guide 65	General requirements for bodies operating Product Certification systems

ISO/IEC Guide 68	Arrangements for the recognition and acceptance of conformity assessment results
ISO/IEC 17025	General requirements for the competence of testing and calibration laboratories

## **1.7 DELEGATION OF POWERS**

**1.7.1** Details of delegation of powers for Certification Marks work are contained in Annex 2 and these should be referred for day to day use.

**1.7.2** In the manual, wherever the terms DDGM/ADGM have been used, it refers to “Activity Head of Certification at Headquarters” and the term DDGR(s) refer to “Head of

**1.7.3** In the manual the term Technical Auditor(s) refers to the Inspecting Officer(s) of the Bureau as mentioned in BIS Act, Rules and Regulations. However, the term Inspecting Officer shall be referred wherever a statutory function is to be performed..

## **1.8 NORMS FOR DEPLOYMENT OF OFFICERS FOR FACTORY VISITS**

**1.8.1** Normally one officer is deployed for carrying out a factory visit. However the Head BO may decide upon the number of officers to be deployed for specific assignments. A team comprising more than one officer may be deputed for carrying out preliminary factory evaluation of large multidisciplinary units and also for products which are sensitive and are vulnerable to consumer complaints. Similar consideration can be applied to situations covering inclusion of new varieties, resumption of marking following stop marking due to failure of samples etc.

**1.8.2** Officers looking after Product certification activity shall be deputed for training in technological processes whenever such programmes are organized by NITS.

## SECTION II

### 2. GRANT OF LICENCE

#### 2.1 ENQUIRIES REGARDING CERTIFICATION MARKS SCHEME

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

- a) Relevant Indian Standard(s) for the product(s);
- b) Procedure for obtaining Certification Marks Licence.
- c) List of documents required to be submitted along with the application.
- d) Financial obligations involved

**Note:** In case there is no published Indian Standard for the product, licence cannot be granted and querist may be informed accordingly.

**2.1.2** When a manufacturer approaches BIS for grant of licence, he should be advised to submit the application only if he has the requisite manufacturing and testing facilities for testing the product and he can assure himself that the product conforms to the relevant Indian Standard. For this purpose, the manufacturer shall be asked to submit a report indicating conformity of his product to the relevant Indian Standard preferably tested in his own laboratory. These measures will ensure that the applicant is properly guided and at the same time effort is not wasted in processing an application that cannot mature into a licence. Applicants making queries through telephone or letters may be guided to study the Certification procedures given on the BIS web-site.

#### 2.2 APPLICATION FOR CERTIFICATION MARKS LICENCE

**2.2.1 Receipt of Application** - The manufacturer desirous of obtaining Certification Marks licence, should apply in duplicate in the prescribed form (CM/PF 301) to the BO within whose jurisdiction the factory is situated (**see Annex 3**) along with the prescribed application fee. A single application has to be filed for all type/grades/sizes of a product covered in an Indian Standard; however, separate applications have to be filed for products covered in different Indian Standards unless specific guidelines to the contrary exist. Applicant should be informed of these provisions while sending or handing over the Application form. The Application may also be submitted in the form downloaded from the BIS web-site or submitted electronically through the internet (when such provision is made) with the application fee details. Electronically submitted applications may be processed for technical scrutiny if accompanying details are complete. However such applications should be followed by a signed application and recording number should be allotted only when the Application fee is received.

**2.2.2 Return of Application** - If the application is not signed by an authorized signatory or not accompanied with the fee, or relevant documents, or found incomplete in providing

adequate information to the relevant clauses of the application, it shall be returned to the manufacturer with advice to submit the same duly completed (see CM/PF 109). The application recording number shall not be allotted at this stage. The application fee shall be accepted only when relevant documents are in order. However a temporary application number would be generated by the CMMS software which may be used for recording the application at a later date when complete documents are received.

#### **2.2.2.1** Non Acceptance of Application due to Antecedents

Under the following situations, the application made by the Applicant for obtaining license may not be accepted:

- (i) The court under section 33 of the BIS Act has convicted applicant.
- (ii) Prosecution case is pending/ contemplated in the trial court against the applicant or person under Section 33 of BIS Act
- (iii) Applicant whose earlier license was cancelled due to misuse detected during the operation of the license.
- (iv) Applicant has made the application immediately after the case of misuse of Standard Mark or any violation under Section 11 & 12 of BIS Act detected on the part of applicant
- (v) Misuse of Standard Mark or any violation under Section 11 & 12 of BIS Act detected on the part of applicant after the application was made to BIS.

**2.2.2.1.1** Where a person or firm who has been convicted under Section 33 of the BIS Act makes an application for grant of license, such person or firm shall not be eligible to apply for grant of license for a period of six months from the date of such conviction. The period of disqualification shall be determined by the DDGRs having regard to the facts and circumstances of the each case and it shall not exceed a period of one year [see Regulation 4(1) of BIS Regulations]

**2.2.2.1.2** In case a person or firm has made an application for grant of license against whom a prosecution case is pending or contemplated in the trial court under section 33 of the BIS Act, such person or firm shall not be granted the license. (Refer ADGM Circular LAW/1/1/96-2002 dated 9 July 2002)

**2.2.2.1.3** In the cases where an ex-licensee whose license was not-renewed/cancelled due to misuse of Standard Mark makes an application, such person or firm shall not be eligible to apply for grant of license till the minimum waiting period as stated in orders for non-renewal/cancellation is completed (see Cl 3.12.9.2).

**2.2.2.1.4** In the cases, when application for grant of license is received from the firm after the case of misuse of Standard Mark or any violation under Section 11 & 12 of BIS Act is detected on their part, the application shall not be processed

pending an enforcement case registered against the firm and the case for launching prosecution against the person or the firm shall be sent to Enforcement/Legal Department immediately.

**2.2.2.1.5** In the cases where misuse of Standard Mark or any violation under Section 11 & 12 of BIS Act is detected on the part of applicant after the application was made to BIS and later enforcement case recorded, the case for launching prosecution against the person or the firm shall be sent to Enforcement/Legal Department immediately. The pending application shall not be processed for grant of license. The processing of application shall also be stopped in case an applicant is found issuing misleading advertisement with reference to the Standard Mark and simultaneously actions as per enforcement manual shall be initiated.

**2.2.2.1.6** In the cases where the Hon'ble Court has acquitted the offender and it has been decided not to file appeal against the case before the Hon'ble Court or the case has been closed by the Competent Authority due to lack of evidence, the application, if received from the concerned firm may be processed.

**2.2.3 Scrutiny and Acknowledgment of Application** - Every application accompanied with the fee and relevant documents shall be acknowledged in order of priority of the receipt (PF 101 A). All applications shall be scrutinized with respect to availability of adequate manufacturing machinery, testing facilities, and qualified testing personnel. In case any deficiency is observed it shall be brought to the attention of applicant through a letter within 10 days of receipt of application and the applicant shall be given 30 days time to complete the deficiency. In case no response from the applicant is received within 30 days, the application shall be returned.

#### **2.2.4 Acceptance and Recording of Application**

**2.2.4.1** All applications found to be complete, with listed documents, shall be accepted for recording (PF 101B)... The acceptance of application shall be done in order of priority of receipt and be given a recording number. The recording number shall be a five digit number 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).

**NOTE:** The application register shall be dispensed with, when the Certification Marks management system (CMMS) software is fully functional and orders are issued to the effect.

**2.2.4.2** If the application is for a product for which no licence has been granted (All India basis), the application should be accepted only if the relevant Indian Standard is amenable to certification, otherwise it shall be returned along with the application fee. For determining amenability to certification, the nature of requirements and Marking Clause 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.
- b) In case availability of testing facilities is not listed, reference shall be made to CL under intimation to CMD and the concerned Standards Formulating Department to ascertain the laboratory who can undertake the test.
- c) The Standard shall be scrutinized and discussions held with the applicant regarding the process of manufacture in order to satisfy ourselves about the feasibility of an appropriate surveillance scheme.
- d) In case of doubt, an acknowledgment should be issued and the application referred to CMD before accepting.
- e) Information about acceptance of application for a new product should be sent to all ROs/BOs and CMD for special attention.

For processing Grant of licence in case of such products, guidelines as per **Annex 24** shall be followed.

**2.2.4.3** 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. Simultaneously, CMD/concerned technical department shall be informed.

## **2.2.5 Rejection of Application**

**2.2.5.1** The application may be rejected due to the reasons mentioned below:

- a) Samples not offered for testing within 30 days of recording
- b) Sample drawn fails in an independent testing. (In case more than one sample has been drawn to cover different type/grades etc and more than 50% such samples fail, it shall be treated as failure of complete sample). .
- c) Lack of testing facilities with the applicant except when relaxation is allowed under 4.13
- d) Lack of technical personnel with the applicant except when permitted under 4.14.
- e) Non-receipt of acceptance of marking fee.
- f) Non-receipt of acceptance of STI.
- g) If corrective actions on discrepancy/variation report are not taken within 30 days of issue of such reports
- h) The firm has not been clearing the financial dues to BIS.
- i) The firm has tampered with documents in connection with the grant or operation of the licence.
- j) The firm has indulged in corrupt practices or applied external pressures in the context of grant or operation of the licence.

However before rejecting an application, a reasonable opportunity shall be given to the applicant of being either heard in person or through a representative on his behalf. Speaking orders of the Head BO shall be recorded for rejection or continuation of the application. The application fee shall not be refunded.

**2.2.5.2** When an application has been rejected and the firm reapplies within a period of 3 months of the rejection, together with the corrective actions taken, for such applications, the previously submitted documents, results of preliminary and other inspections and of any tests carried out shall remain valid and only the remaining actions may be verified for processing the application. Suitable documentation may be made in this respect. This facility will be extended only once.

**2.2.6 Review of Applications** - All pending applications for the grant of licence shall be reviewed every month by the BO to ensure that the desired actions are expeditiously taken and the applications mature into a licence within a maximum period of four months from the date of recording of application. The time norms set for various activities is enclosed at Annex 20. As far as possible, communication with Applicant / RO and CMD may be done through email and FAX to save on correspondence delays. It would be acceptable to obtain approvals of DDGR / CMD, wherever required through email, provided print copies of formal approvals are maintained in file. The approving authority should also take print copies of the emails sent conveying formal approvals and file them at their end.

**2.2.6.1** Applicants who do not take sufficient interest in processing their applications 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 considered for rejection as given in **2.2.7**.

**2.2.6.2** Applicants shall be apprised about progress of their case where time norms are likely to exceed and a regret letter may be issued where time norms are exceeded due to delay by BIS.

### **2.2.7 Procedure for Rejection of Application**

**2.2.7.1** The following procedure shall be adopted for rejecting an application:

- a) A registered AD letter see (CM/PF 112) under the signature of Head of the BO/MD followed by email/fax 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 put up to the competent authority in the prescribed proforma (CM/PF 304). In case, the Red form was already forwarded to RO/CMD, intimation regarding the rejection of application shall be sent to RO/CMD by BO for withdrawal of the Red Form
- 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.
- e) If the reply is satisfactory or if there are other adequate reasons such as those given below, the applications may be kept pending for a longer period not exceeding six months under normal circumstances and not exceeding one year under any circumstances (except with approval of competent authority):
  - i) Existing statutory order or possibility of promulgation of statutory order requiring compulsory certification of the product;
  - ii) Issuance/Implementation of amendment/revision of the standard after acceptance of the application, necessitating further testing/ procurement of test equipment.

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 should be manned by competent and qualified personnel who could be expected to provide test results with a fair amount of repeatability and reproducibility, except when relaxed under Cl 4.13 and Cl 4.14.
- 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 his acceptance 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/ Industries Centre/Gram Panchayat/Municipal Corporation/Local Body/Central Insecticides Board or Drug Controller/Pollution Control Board 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 valid 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 specific cases if the application is to be kept pending beyond 4 months/6 months and upto 1 year after its recording, the case shall be put up to DDGR's and beyond 1 year after its recording, to ADGM, with proper justification for approval. (See **Annex 20**)

**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 Competent Authority 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 clauses **4.13** and **4.14**).

### **2.3.3 FRESH REGISTRATION OF APPLICATION FOR A CANCELLED/EXPIRED LICENCE**

**2.3.3.1** When cancellation/non-renewal was done due to following administrative reasons:

- a) not applying for renewal
- b) not applying for renewal in time including the grace period given as per existing procedures
- c) not paying advance minimum marking fee/marketing fee due
- d) non initiation of marking
- e) Non-utilisation of BIS licence (See Clause **3.12.5 c**)

A fresh application should be registered (following the existing procedure) as and when the applicant presents an application for the same product with the appropriate fees and has cleared all marking fee dues. The applicant must also give evidence of his willingness and ability to initiate marking. Such applications should be processed as per existing procedures. Such application may be processed for grant of licence on the basis of factory testing after approval from CA (See Clause **3.12.12**).

**2.3.3.2** When cancellation/non renewal was done due to reasons other than administrative reasons

Certification regulation **5(5)(a)(i) to (iv)** have laid down the grounds for cancellation of licences. Thus cancellation/non-renewal is to be considered in any one or a combination of

situations such as:

- a) failure to comply with any of the conditions of grant of licence, which also includes:
  - failure in maintenance of the system according to STI;
  - ii) shifting of licensed premises without prior intimation to BIS;
  - iii) sub-contracting manufacturing operations to other units without prior permission of BIS; and
  - iv) unsatisfactory dealing of consumer complaints.
- b) failure to take corrective actions on the discrepancies/failures pointed out to the licensee,
- c) not taking actions on failures which are needed to be taken for resumption of marking within 6 months of issue of stop marking instructions.
- d) Failure to provide reasonable facilities to any Technical auditor to enable him to discharge duties imposed on him

The ex-licensee should be allowed to apply again as soon as the corrective actions are taken and evidence to that effect is produced. In case of b) & c) above test reports from an independent laboratory indicating conformity of the product to the relevant Indian Standard are also to be submitted. The evidence submitted by the applicant is to be verified by BIS. A written undertaking must be given by the applicant that he will strictly abide by the BIS Act, Rules and Regulations and conditions of grant of licence.

### **2.3.3.3 Applicability of 2.2.1 and 2.3.3 and Clauses thereunder to Surrendered Licence Cases**

The provisions of **2.2.1 and 2.3.3** and clauses there under should also be applied in cases where the licensee himself has surrendered the licence for his own reasons including apprehension of the licensee of cancellation/non-renewal of the licence by BIS due to unsatisfactory performance and/or misuse of the Standard Mark.

## **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 by the firm in ensuring quality of the product during various stages of production of the article. The STI contains details for testing the product for quality parameters defined in the relevant Indian Standard. 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 details procedures for maintaining appropriate controls and checks in the process of the manufacture of the article and the appropriate test and other relevant records. 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 (See also **1.3.3**).

**2.4.2** For the products for which licences are already granted, the latest approved STI is available with CMD. The technical auditor 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 with justification should then be communicated to CMD, through DDGR, for scrutiny and approval by Activity Head of Certification. CMD may consult Management and Systems Department and the concerned Standards Formulating Department, for examining these modifications before finalization. CMD will allot a specific number to such STI and convey to the RO/ BO concerned who shall then endorse the specific STI the licence in place of the standard STI. Similar process to be followed in case an existing licensee desires a change in the standard STI.

**2.4.3** For a new product the technical auditor(s) shall prepare the STI immediately after the preliminary factory evaluation 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.
- h) List of instruments/equipments requiring periodic calibration
- i) Reference to BIS website

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.. Immediately after the preliminary factory evaluation, PIR along with the proposed STI and Marking Fee shall be sent to CMD within 7 days. The proposal shall also contain the list of instruments/equipments requiring periodic calibration. The frequency of calibration may be left upon the licensee which should depend on the usage of the instrument/equipment. The recommended format for test records to be maintained during operation of STI should also be included in the draft STI.. CMD shall examine the STI in

consultation with Technical Department and communicate its findings/acceptance within 30 days. CMD shall convey the approved STI to the RO/BO concerned and also to other RO/BO for information. In case, CMD does not convey its findings/acceptance within 30 days and the BO is otherwise ready to process the Red Form, the proposed STI may be taken as final. 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 or comments submitted by RO/BO there is a case for changing the frequency of testing.

It shall be ensured that no amendments are issued to STI. Whenever changes are required, only Revised STIs shall be issued.

**2.4.6** CMD shall convey the revised approved STI with its date of implementation to the ROs/ BOs. The concerned BOs shall intimate all licensees about the same and their (licensees) acceptance taken on the requisite proforma before the date of implementation of the revised STI. In case the licensees fail to give their acceptance, their licence shall be processed for cancellation according to the guidelines laid down for cancellation of the licence. Also refer to clause 4.5 for concurrent operation of standards.

## **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 in hard copy or through Master database in the CMMS.

**Note:** The elements which are required to be taken into consideration for fixing the marking fee are communicated by CMD from time to time. While proposing 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, two such

samples should be purchased in a year. In case of food and consumer products, number of such samples should be correspondingly increased to three. 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 four consisting of two factory and two 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 traveling for inspection purposes, etc. The actual cost is determined through special studies from time to time.

**2.5.2.1** It is a 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 additional 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 ADGM 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 the amount as fixed by the Govt from time to time, be considered as SSI unit for availing concessional minimum marking fee. In such cases the unit should apprise BIS of the reasons why they were unable to obtain SSI registration certificate. In the case of existing licensees, the concessional rate would be applicable from the date of submission of necessary certificate from a Chartered Accountant.

**2.5.3 Revision of Marking Fee** - CMD shall review periodically the marking fees fixed for various products (CM/PF 502). CMD shall communicate the revised marking fee with its date of implementation to ROs/BOs. The BOs shall intimate all concerned licensees about the same in the prescribed proforma (CM/PF 103) and licensees acceptance taken on the

requisite proforma before the date of implementation of the revised marking fee. Further, the revised marking fee shall be collected by BOs within 30 days from the date of implementation of the revised marking fee. In case the licensee fails to give their acceptance for the revised marking fee or the requisite balance of revised marking fee, their licence shall be processed for cancellation according to guidelines laid down for cancellation of the licence. The effective date of cancellation of licence shall be the date of implementation of revised marking fee. Marking Fee shall also be reviewed by CMD whenever an Indian Standard under product certification is revised as in the case of STI.

**2.5.4 Schedule of Rates of Marking Fee** - The original orders for 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 to the following :

- a) General Group of CMD for IS NO. wise folders;
- b) Concerned Group in CMD;
- c) All RO/BOs so that they are aware about details for operation of licence.

**2.5.4.1** CMD shall update the Marking fee data base under the CMMS at least once every 15 days and upload the same on the central server for downloading/use by RO / BOs.

## **2.6 STANDARD MARK**

**2.6.1** Standard Mark stands for quality of the product in 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, which should be used by the licensees are given in **Annex 5**. 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. In case of dual number standards (ISO adoption) only corresponding IS No. should appear. For those standards having number as IS/ISO, the same should appear before the number. Normally, the year mentioned in IS designation is not given in the Standard Mark.. 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. At the time of grant of licence, copies of the Standard Mark shall be made available to each licensee by the BO.

**2.6.2.3** Apart from the Standard Mark, all licensees shall mandatorily mark the licence No. 'CM/L-.....' at a suitable place on the Standard Marked Product and/or its packaging and/or carton.

### **2.6.3 Method of Applying 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 package 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 undertaking 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) Stenciling with paint;
- e) Embossing or punching;
- f) Casting where no other specified system exists;
- g) Use of Hologram;
- h) Woven cloth labels in case of textile products like cotton vests;
- i) Metal tags; and
- j) As a part of the test certificate if individual items cannot be marked, like steel products, emitters etc.
- k) Printing on products, like PVC cables etc.

Rubber stamping of the Standard Mark shall be avoided as far as possible. However the specific method to be adopted shall be defined in the STI.

## **2.7 PRELIMINARY FACTORY EVALUATION**

**2.7.1 General** - The preliminary factory evaluation of the manufacturing premises of an applicant should be carried out, as far as practicable, by officer(s) with adequate knowledge of the particular product and industry. In case an officer having adequate knowledge is not available in the branch office, service of an officer of the requisite discipline in a technical

department, CMD or RO can 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 factory evaluation report proforma (CM/ PF 201, 202, 203, 204, etc.). For this purpose, it should be ensured that the production is undertaken by the applicant, whenever feasible, during the visit. 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.). Declaration provided by the applicant along with his application be verified and confirmed as available / correct by the Officer(s) carrying out the preliminary factory evaluation. If any deviations are observed, a discrepancy/variation report (CMD/ PF 260) highlighting all deficiencies and shortcomings shall be given to the applicant. Details for handling the sample drawn are given in clause 2.8.

**Note:** Knowledge of product and / or industry is a subjective term and can be deemed to be adequate if the officer is of the relevant technical discipline or has experience of evaluation of similar products. It has to be realized that providing officers of all technical disciplines in each Branch Office may not be feasible. The BO Head should therefore generate knowledge and specialization through exposure of officers to products and industries of compatible disciplines by deputing two member teams during preliminary factory evaluations, one member of the team being a specialist

**2.7.1.1** All visits to the applicant's factory shall be treated as “Special Visit” and charged for at the prevailing rate of “Special Visit Charges” in advance, except those at clause **3.6.3 (d)**. Visit charges for Preliminary factory evaluation are to be taken for each application separately.

**2.7.1.1.1** Visits for the factory testing of applicant sample where laboratory has carried out partial testing shall also be termed as Special Visits.

**2.7.1.2** During preliminary factory evaluation maximum possible tests shall be conducted in order to bring out any deficiencies in test equipment/testing procedures and testing personnel as well as for spot establishment of quality of product. Any deficiency should be brought out in the Spot Factory Evaluation Report which should be handed over to the applicant at the end of the evaluation. In addition all tests should be carried out relating to descriptive/subjective requirements specified in the ISS during the factory evaluation and reported in the Preliminary factory evaluation report (See **2.7.3.1**). If sample(s) fail during factory testing, no sample(s) shall be drawn for independent testing.

**2.7.1.3** For Grant of Licence, creation of testing facilities for optional requirements given in Indian Standard may not be insisted upon. However, information may be sought from the applicant with respect to the arrangement proposed by him for testing of optional requirements. This information may be retained in the concerned BO.

**2.7.2 Testing Charges** - The testing charges shall be collected in advance except in cases



where these have not been finalized and notified by CL. In those cases, the demand for testing charges shall be sent to the applicant by the concerned BO..

**2.7.3 Reports** - The Preliminary factory evaluation report in the appropriate proforma giving the technical auditor's conclusions shall be submitted immediately(preferably within 7 days) after the evaluation 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 technical auditor'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 technical auditor should also give an objective assessment of the capability of the applicant to operate the Certification Scheme. The relevant details of the preliminary factory evaluation together with details of samples drawn shall also be simultaneously entered in the CMMS software. When the CMMS Module has been upgraded to include the technical brief of the factory evaluations, the complete report may be typed into the computer and print taken out.

**2.7.3.1** The subjective requirements mentioned in the respective product standards which may be in the form of workmanship, construction, visual characteristics, colour, taste, flavour, odour and surface defects not subject to tests, *shall* be assessed directly by technical auditor(s) during preliminary factory evaluation and reported in a separate sheet annexed to the evaluation report. For these tests, no factory testing permission may be necessary as the element of discretion is not applicable.

**2.7.4 Verification of Manufacturing Machinery and Testing Equipment** - During the preliminary factory evaluation 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 additional machinery/equipment is installed or any machinery/ equipment is taken out of the premises of the firm due to any reason [CM/PF 305 and CM/PF 306].

## **2.8 SAMPLING**

**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 recognised laboratories.

**2.8.2 Sampling during preliminary factory evaluation-** If the technical auditor is satisfied that the firm is able to manufacture the product according to the relevant Indian Standard, as verified through process control being adopted during manufacture, he shall also draw sample(s) of the product from the factory preferably from the production line. In case it is not possible to draw samples from production line, it shall be ensured as far as possible by the technical auditor(s) that the sample taken is out of production manufactured by applicant. A declaration shall be obtained from the applicant for this purpose. The technical auditor should ascertain before proceeding for preliminary factory evaluation, the range or type/size/grade

that would be represented by each sample for inclusion in the licence and also inform the applicant in advance. To cover entire range, guidelines issued by CMD for specific group of products shall be followed.

### **2.8.2.1 Guidelines for Drawal of samples for raw materials of products under Certification.**

In order to bring uniformity in operation with respect to drawal of samples for raw materials of products under Certification, the following guidelines have been formulated:

- a. During Preliminary Inspections, samples of raw materials/components shall be drawn for independent testing where ensuring conformity of raw materials is the normative requirement of the product standard being considered for Certification. In case of inspections for inclusion of new varieties, samples of only additional raw materials/components, if any, shall be drawn.
- b. Samples of raw materials/components shall also be drawn, even if they are BIS Standard Marked. However, they shall be treated only as Market sample(s) of the concerned licensee(s). The case may however be processed for GOL/inclusion without awaiting the test results of the raw material sample(s). If ISI marked raw material/component is found failing, it shall be taken as a failure of market sample and shall not affect the grant of licence. It should however be ensured that the markings on the raw material/component are genuine, and the firm has the appropriate records of purchase. For raw material samples, other than ISI Mark, the applicant shall be given two chances for reoffering the rawmaterial samples provided the product sample is found to be conforming.

Note : This provision, however does not affect closure of applications where time norms have been stipulated.

- c. Samples of raw materials / components may also be drawn during surveillance visits by rotation so as to test all raw materials during a period of two years
- d. Where Indian standards for raw materials are referred to in the product Standard for guidance or reference only, raw material samples should not be drawn. However, suitable declaration may be taken from the applicant/ licensee depending on the stipulation in the standard.
- e. Separate raw material samples shall not be drawn where the requirements of a raw material can be tested from the product itself.

Test certificates of the conformity of raw material/components provided by the applicant/ licensee shall not be accepted in general. However, in specific cases where acceptance of Test Certificates has been permitted by CMD, test certificate shall be from a BIS recognized Lab or a NABL Accredited Lab. Relaxation for acceptance of test certificate of raw materials from a reputed manufacturer/ an organized buyer

shall be done with consent of CA for GOL. Where general statements are made in Indian Standards that raw materials should conform to 'relevant' Standards or other similar statements, without indicating the specific Indian Standard, raw material samples shall not be drawn in order to avoid subjectiveness. In case of such statement being in the standards pertaining to products of direct human consumption/application an undertaking with regard to safety of the raw material in use may be obtained from the manufacturer

**2.8.2.2** 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 technical auditor should bring the sample along with him or instruct the officially appointed courier to lift the sample from the factory for onward dispatch to the laboratory, but if it is not possible to do so, for reasons that the sample is too bulky or delicate 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 or to BO. The technical auditor should issue a receipt of the sample drawn to the applicant / licensee.

### **2.8.3 Sampling during Surveillance Visits – See Clauses 3.7.2 g) and 3.7.3**

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

**2.8.4 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 technical auditor 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 applicant / licensee.

**2.8.4.1** For products where complete testing facilities are not available in the BIS and where the sample is required to be tested in another lab for some requirements, one more set of samples shall be drawn and sent simultaneously to the relevant laboratory indicating clearly the tests to be carried out. Similarly, appropriate number of samples shall be drawn when separate tests are required for chemical, physical, metallurgical, mechanical characteristics etc. for expeditious testing.

**2.8.5 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.

## **2.8.6 Packing, Labelling, Coding, Sealing and Signing of Samples**

**2.8.6.1 Packing** - The technical auditor 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. Wherever feasible, all original markings indicating the origin of the product would be removed / defaced from the sample with the objective of concealing the identity of the origin from the testing laboratory.

**2.8.6.2 Labelling** - The sample shall be labeled 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. Labels shall be tagged to the samples.

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

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

For example: 81/RKT/20040301/AS/02

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

Applicant Sample	AS
Complaint Sample	CP
Inclusion Sample	IN
Market Sample	MS
Factory Sample	FS (Normal Licensee Sample)
Counter Sample	CS
Stop Marking	SM

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.

For Coding/Decoding of samples see Clause 3.9.1.

**2.8.6.4 Sealing** - The sample shall be properly sealed with official seal and signed by technical auditor and the representative of applicant/licensee (if he demands) so that no substitution or tampering with the contents is possible subsequently. For the purpose of sealing, the technical auditor should always carry the brass seal or the steel punch.

**2.8.6.5 Receipt for Samples** - For any sample(s) drawn for testing including counter

samples, complaint samples etc. receipt shall be issued by the technical auditor in terms of BIS (Certification) Regulations 1988[CM/PF.....]. The receipt shall be got countersigned by representative of the firm.

### **2.8.7 Despatch of Samples and Test Requests**

**2.8.7.1 Despatch** - As far as possible samples should be brought to BO personally by the technical auditor (see also 2.8.2.2) or the transportation to the laboratory should be arranged through the officially appointed courier. Where samples are bulky, delicate or very expensive 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 visit the technical auditor should invariably check whether or not previous sample(s) had been despatched.

**2.8.7.2 Guidelines for Choosing Despatch of Samples to Laboratories** - Although RO/BO's are at liberty to send the samples to BIS approved laboratories, the primary objective of expeditious testing of samples may be kept in view and the following guidelines may be followed:

- a) the applicant and complaint samples may preferably be tested at BIS laboratories, if testing facility exists;
- b) other surveillance visit samples and market samples may be tested at BIS / BIS approved laboratories keeping in view that sending samples of one particular licensee repeatedly to the same laboratory is avoided.

Any instructions issued for choosing of laboratories may be followed.

**2.8.7.3 Test Requests** - A copy of test request (CM/PF 102 or 402) should accompany the sample being sent to the laboratory for testing. In the test request, the date by which the test report is required shall be mentioned. Proper attention shall be given to indicate the version of standard Amendment Number upto which the sample is to be tested, 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:** 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.

**2.8.7.4** 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). BO shall ensure that sample has been deposited with the concerned laboratory and also follow up with laboratory to provide the test report by the date stipulated in test request. Relevant entries of samples drawn, Code Numbers, laboratory, date of dispatch of samples, receipt of test reports should be made in the CMMS Software.

**2.8.7.5 Return of Tested Factory Samples** - The returnable samples which are not consumed during testing or remnants of samples shall be returned to the applicants/licensees if they so desire after the testing is over. In such a case Heads of 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 factory evaluation wherever carried out, have been found to be satisfactory;
- b) Actions, if any, required to be taken with regard to the deficiencies pointed out during preliminary factory evaluation have been taken as verified by visits to the unit or through submission of necessary evidence by the firm;
- c) The test report(s) of the sample(s) drawn by the technical auditor during the preliminary factory evaluation and follow-up visits is found to be satisfactory;

**Note 1:** If samples of more than one variety were drawn for testing, the grant of licence shall be recommended restricting to the variety/group/sizes(s)/type(s) found satisfactory in testing; However, if more than 50% of the samples drawn fail, it shall be treated as failure of sample and the application shall be processed for rejection.(see Clause **2.2.5**)

**Note 2:** For product characteristics requiring testing time more than six months (like keeping property tests in paints, carbon paper, insulating tapes, various types of inks etc) proof in the form of test reports from laboratory, firms own or outside, should be made available for such tests. It shall be made clear to the applicant that in case of non conformity of independent sample in these requirements, the licence shall be processed for cancellation and fresh licence to such units shall be granted based on independent test reports only. An undertaking from the applicant shall be obtained for this purpose..

- d) The testing charges as well as charges for all visits to the factory before the grant

- of licence have been paid;
- e) The applicant has got all the testing facilities or has made arrangements for carrying out all the tests to the satisfaction of the BO;
  - f) 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);
  - g) The availability of authorized and/or adequate power and water supplies have been verified;
  - h) The applicant has given an undertaking to intimate BIS, whenever any machinery or equipment given in CMD/PF 305 & 306 is taken out of the premises of the firm due to any reason;
  - i) The applicant has accepted the STI and the rate of marking fee; and
  - j) Necessary approval has been obtained from statutory authorities under product specific guidelines, if required.

**2.9.2** The case may then be submitted for further processing. The relevant papers such as, preliminary factory evaluation report and subsequent inspection reports, if any, acceptance of STI and rate of marking fee, test reports and relevant correspondence should be attached with the Red Form and submitted to the designated licence granting authority. In the Red Form, the existing party code, if any, and performance of the applicant in respect of any other licences held by him shall also be indicated.. However the first two Red Forms for any given product in a Branch Office shall be sent to DDGR for grant of licence. 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** After the licence is granted by the competent authority,

- a) the necessary papers shall be sent to the concerned BO by RO (where applicable) through Fax/Speed Post/ Courier 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 (where applicable) shall send the following message through telegram or other quick mode like email / fax etc. to the applicant as follows:

"WITH REFERENCE TO YOUR APPLICATION NO. \_\_\_\_\_, PLEASE DEPOSIT AN AMOUNT OF RS. \_\_\_\_\_ TOWARDS ADVANCE MINIMUM MARKING FEE AND ANNUAL LICENCE FEE THROUGH BANK DRAFT WITHIN SEVEN DAYS AND THEREAFTER APPROVAL LETTER WOULD BE ISSUED."

Confirmatory copy of the telegram or fax above shall be sent to the applicant by a registered post:-

- d) BO may wait for a period of one week from the date of issue of the telegram/fax.
- e) In case the minimum marking fee is not received, a telegraphic reminder or message through other quick mode 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 and

action may be initiated to stop implementing 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. Licence granting authority may decide about the cancellation of the orders regarding the grant of licence.
- h) The effective date of the licence shall be date of receipt of the marking fee. The licence number and party code shall be given by RO on receipt of intimation from BO about payment of marking fee and licence fee. The detailed letter shall be sent by the BO in proforma CM/PF 104 (b).
- 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.
- l) A copy each of the following shall also be enclosed with the detailed letter to be sent to licensee:
  - i) Design of the Standard Mark in different preferred sizes (see **Annex 5**) so that he may choose the appropriate size and prepare the Mark;
  - ii) Instructions sheet containing responsibilities of BIS licensees (see **Annex 6**);
  - 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.

Note: The design of the Standard Mark and other marking details shall be approved by the BO before allowing the firm to mark the products.

**2.9.3.1** The licence (CM/PF 309) shall be sent to the licensee by BO after it is signed by the BO Head, provided the licensee has completed actions or points indicated in the letter of intimation for grant of licence. Signed copies of the licence shall be sent by the concerned BO within one month from operative date of licence.

**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 requirements including any corrective actions, if necessary, are to be completed before grant of licence. If at any stage of considering the Red Form the licence granting authority 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 BIS or other recognised laboratories for independent testing are likely to be held up inordinately and when



grant of licence is required to be considered urgently in view of public interest, the samples may be tested in the laboratory of the applicant provided complete testing facilities exist, after obtaining prior approval from DDGR. For products where approved laboratory is not available or product is difficult to transport and where CMD has issued specific guidelines, factory testing of applicant sample in the applicant laboratory can be undertaken and in such cases prior permission from DDGR for factory testing would not be required. Special inspection charges are to be levied for the purpose. Depending on the requirements of the specification the number of days required for inspection shall be estimated and, for this purpose, the technical auditor shall make an advance plan in consultation with the applicant and get it approved from the Head of the BO. Test records shall invariably be recorded in the approved proforma of CL, wherever it is available for the relevant specification..

Where a licensee has applied for an additional grant of licence for a product similar to the product (e.g. IS 2062 and IS 1977; IS 2830 and IS 2831 etc.) for which they are operating a licence satisfactorily, the applicant sample be tested in the factory for grant of licence with prior permission of DDGR.

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 the sample to the laboratory e.g. a test equipment having gone out of order or facility for test does not exist for some of the requirements, the remaining tests may be carried out in the factory of the applicant on the counter sample under permission from Head BO, to expedite processing of the application. Separate permission from DDGR is not required. Such visit shall be charged at the rate of Special Visit Charges and testing charges for test(s) not carried out shall be refunded/adjusted

**2.9.5.1** If the grant of licence is to be recommended based on factory testing with permission, samples for independent testing need not be drawn for confirmatory test. However samples shall invariably be drawn for independent test during the next surveillance visit, if available, failing which in subsequent visits whenever available.

**2.9.5.2** In case a licence is operated exclusively on factory testing basis, complete testing of sample during surveillance visits, at least once in an operative year shall be done to ensure conformity of products to relevant standard.

**2.9.6** A register of licences granted to various manufacturers shall be maintained by each BO/RO in appropriate form (CM/PF 601). The red form shall be generated through the CMMS software and decision to grant the licence shall also be entered in CMMS.

## **2.9.7 SPECIAL SITUATIONS**

**2.9.7.1** During the processing of applications a number of special situations arise on account of changes in the structure of the applicant or in the Indian Standard. Each case has to be dealt with on its own merit, in consultation with RO/CMD. The situation which have been occurring fairly frequently and the actions to be taken are given below.

**2.9.7.1.1 Change in the Premises** - No fresh application is necessary and the existing

application be considered for the new premises. In case the preliminary factory evaluation at the old premises has already been carried out, it would be necessary to carry out an inspection of the new premises. Samples shall also be drawn out of the quantity manufactured at the new premises for testing to verify the conformity to Indian Standards. **In cases where the test results of the Sample drawn at the old premises are to be taken into consideration, specific prior permission of DDGR to be obtained.**

**2.9.7.1.2 Changes in Applicant's Registered Office** - The same may be changed in the application and it is not necessary to ask the applicant to apply afresh.

**2.9.7.1.3 Changes in Name of Firm** - If there is a change in the name of the firm with no change in the set up, it is not necessary to ask the applicant to apply afresh.

**2.9.7.1.4 Changes in the Ownership with or Without Change in the Name** - A specific undertaking shall be obtained from the new firm that they will abide by the agreement with BIS regarding operation of STI and payment of marking fee, a fresh acceptance of both be taken.

Note : Suitable legal documents as detailed in Cl 4.4.2 for similar situations as above shall be obtained from the applicants.

## **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 and the product for which licence has been granted.

**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 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. A copy of the Agreement with the Brand owner shall be submitted to BIS, clearly bringing out the responsibility and liability of the brand owner as well as the licensee respectively, in case of product deficiency and the manner of product recall. It shall be ensured that, the sharing of responsibility and liability in the Agreement shall rest both with the brand owner as well the licensee.. For any additional brand(s) to be used, justification should be obtained with fresh declaration (CM/PF

307) and Agreement. If required, the intimation regarding brand name may be acknowledged only to indicate that the information has been noted, without mentioning the brand names in our letter, in order to avoid any legal implication. However, for each Brand, fresh approval of the marking labels etc should be obtained by the licensee. Each Brand name shall be entered in the CMMS software.

**2.10.4 Marking of Licence number** - Irrespective of whether the manufacturer's name or the Brand is appearing on the product, the Licence Number shall invariably be marked on the product / package alongwith other markings.

## **SECTION III**

### **3 OPERATION OF CERTIFICATION SCHEME AFTER GRANT OF LICENCE**

#### **3.1 INITIATION OF MARKING**

**3.1.1** Normally no visit is paid 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 maintenance 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 INSPECTION PROGRAMME**

**3.2.1** Tentative quarterly/monthly 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. However, the quarterly programme shall be continuously reviewed for necessary updation to accommodate new preliminary visits, ROM visits and other visits etc. It should be ensured that the same technical auditor/same team of technical auditors do not visit the same factory successively. It is recommended that surveillance visits are planned in such a manner that there is no backlog of inspections. While two surveillance visits per operative year shall be kept as the general norm, more or less inspections may be planned for licences depending on the performance or specific guidelines issue by CMD. While planning inspections, the normal production schedule of licensees should be taken into account so that inspections are synchronized with production.

**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 visits surveillance, supervisory, lot, etc. shall be recorded through an appropriate inspection or contact report duly signed by the technical auditors along with the details of the persons contacted and the date of inspection. For surveillance visits, 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.) as given in Annex 14 shall be used. For evaluation 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. As far as possible the report shall be prepared at the site itself.

### **3.3 SURVEILLANCE VISITS**

**3.3.1** After initiation of marking by the licensee, 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 visits of a licensee unit in a year. More frequent inspections if required for any product would be decided from time to time. The gap between the two surveillance visits normally shall not be more than six months.

**3.3.2** To avoid infructuous visits by the technical auditors 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 there is any change in the plan it shall be intimated by the licensee. 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 repeatedly and it is concluded that the licensee is avoiding verification of marked product, cancellation of the licence may be considered as per procedure.

**3.3.3** If sufficient information regarding product conformity is not available during inspection carried out during an operative period, the surveillance visits preceding renewal should be carried out after giving intimation to the licensee. For such visits 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.

### **3.4 SUPERVISORY VISITS**

**3.4.1** The Head of the Certification Department in BO shall also pay periodic surprise visits to the licensees by rotation specially for products under mandatory certification, new products brought under certification in BO and licensees whose performance is inconsistent to ensure that the procedures are strictly followed both by the licensees and the technical auditors. Reports of such visits shall be sent to DDGR in the prescribed proforma (CM/PF 221). BO Head should carry out at least 2 supervisory visits in a month.

**3.4.2** Visits by DDGRs, and by officers from RO/CMD, may be arranged to bring in uniform approach and improvement to the operation of scheme. 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 the concerned Marks Department regarding the necessary improvements. For mutual appreciation of the problems of interpretation and implementation of standards, the concerned officer responsible for inspections may also accompany the officer during such visits and a joint report submitted.

### **3.5 INTERNAL AUDITS**

**3.5.1** In order to ensure uniform implementation of certification system annual audits of BOs and ROs shall be conducted, as per the checklist. . Follow up action on all audit reports shall be taken by RO /CMD as relevant. Normally CMD will organize the audits of ROs and ROs will organize the audit of BO's. However audits of BO's may also be organized from Headquarters under direction of DDGM. The internal audit procedure prepared by CMD and given in Quality Manual for Product Certification shall be followed.

### **3.6 SPECIAL VISITS**

**3.6.1** For grant of licence and for supervision of operation of the licence, regular visits to licensee are required as part of normal operation. However, often special visits are required to attend to specific situations. The special visits are charged for to meet the additional costs incurred. Normal and special visits are defined as follows (Export Inspection, however, does not come under the purview of the following classification).

**3.6.2 Normal Visits** - The following visits shall be considered as normal visits:

- a) All visits at the discretion of BIS for supervision of the operation of licence;
- b) Visits in connection with investigation of complaints; and
- c) Lot inspection where scheme of testing and inspection envisages such inspections.

**3.6.3 Special visits** - The following visits shall be considered as special visits:

- a) All visits to the factory of an applicant for considering grant of licence.
- b) All visits carried out at the licensee's request for considering resumption of marking.
- c) All visits carried out at the licensees request for considering renewal of deferred licence.
- d) All visits carried out at the request of the licensees for considering inclusion of additional varieties in the licence (However such visits carried out simultaneously with the surveillance visits shall not be treated as special visits).
- e) Visits for the factory testing of applicant/inclusion sample where laboratory has carried out partial testing.
- f) Lot inspection, when specifically imposed by Licence renewing authority.
- g) Any other visit paid to the factory of an applicant/licensee at their specific request.

### **3.7 PROCEDURE FOR SURVEILLANCE VISITS**

#### **3.7.1 Before proceeding for visits the technical auditors shall:**

- a) study the relevant Indian standard and the requirements prescribed therein thoroughly;
- b) acquaint himself completely with the laboratory procedures that have to be adopted to test the requirements given in the specification;
- c) have complete grasp of the STI given in the licence;
- d) acquaint with the appropriate surveillance visits proforma (CM/PF 251, 252, etc.) so that he may be able to carry out the inspection in all aspects;
- e) examine conditions if any imposed at the time of grant of licence/renewal/inclusion and any other aspects requiring verification during the subsequent visit;
- f) study at least the last two surveillance visits reports as well as any contact reports of the visits and note down the actions which the licensee had been asked to take including the types / varieties / grades of samples drawn for independent testing in the previous inspections.
- g) study the correspondence exchanged with the licensee after last visit and note down the points on which action by licensee is pending, such as, dispatch of samples drawn, payment of bills, etc.; and
- h) check up whether any sample had failed in independent tests and the correspondence and actions taken regarding the failure.

#### **3.7.2 During the visit to the factory the technical auditors 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 results of incoming inspection and / or test certificates of raw material or bought out components or sub-assemblies.
- b) Check availability of relevant standards, STI etc and examine the various test procedures that are being followed to ensure that 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 proforma (CM/PF 305 and 306) and whenever there is a change a fresh declaration should be obtained.
- e) Check and report hygienic conditions maintained in the premises, wherever applicable.
- f) Sign records indicating the date of visit and record observations about any improvements needed in maintaining the records. Any discrepancies observed shall also be indicated and a spot visit report issued including 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 technical auditors should also note down the test results of the particular control unit from which samples are drawn as recorded by the licensee. The technical auditors should invariably ensure that at the time of drawl 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.

Where conformity of raw materials is specified, samples of raw materials may be drawn by rotation during surveillance visits.

- 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 technical auditor has to anticipate it and draw the required samples.
- i) Take down names and addresses of the consumers to whom the material with the Standard Mark has been recently supplied.
- j) See how material not conforming to standard is stored and disposed off.
- k) 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.
- l) Check whether the licensee has taken all the actions asked for during the previous inspections, if not; find out the reasons for it.
- m) Ensure that samples drawn during previous visits and left with the firm if any, have been despatched to the desired laboratory.
- n) Discuss any recent failure of samples and corrective actions taken.
- o) Discuss on manufacturing, testing and other technical problems to find solutions.
- p) Discuss on details of improvements made in management/process/quality control with specific reference to the improvements required on the non conformities observed during surveillance visits and testing of samples. This should be specifically reported in evaluation Reports.

**3.7.3** After completing the inspection, the technical auditor 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 surveillance visit report proformae giving all the details as per time norms given in **Annex 20**. Technical auditor 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 8**. The observations noted by the technical auditor in the record of licensee shall also be reproduced in the inspection report.



During surveillance visits of licensees the technical auditor's 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 for independent testing. However if only one control unit is available, apart from carrying out tests in the factory, an independent sample shall also be drawn. If the sample fails in the factory, independent sample need not be drawn. In case of failure in the independent test, the independent test report shall prevail. Counter sample of this control unit should be retained with the licensee. 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.

Details of the visit and sample drawn shall be entered in the CMMS software by the Technical auditor.

**3.7.4 OUTSOURCING OF VISITS** - Head of BO shall ensure that relevant guidelines given in **Annex 23** (under development) are followed.

### **3.8 MARKET SAMPLES**

**3.8.1** Samples of certified products should be purchased from market or procured from organized consumers since the tests on market samples give additional 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 would 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 surveillance visit. Where products are made against specific order, sample from consumer end may not be available. In such cases opinion of the consumer must be obtained.

**3.8.1.1** 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 sample from the authorized dealers/retailers/organized consumers, it may be drawn from any point in the supply chain after the product has been dispatched from the manufacturing premises. As far as possible, drawal of Despatch point sample should be discouraged. However, in case, invoice, excise gate pass number, challan etc. indicating readiness for material under despatch are available, then only the Despatch point sample should be drawn by the Technical auditor during surveillance visit.

**3.8.1.2** An exclusive cell for drawal of market sample is to be created at each BO with the combination of one officer and one staff (part time and full time activity). This cell will be responsible for coordinating the drawal of market samples for all the products based on the feedback from the dealing officers.

**3.8.1.3** Coordinating officer for market sample can take help of any officer and staff in the BO for drawal of Market Samples with the knowledge of the Head of the BO..

**3.8.2** 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 within a reasonable period.

**3.8.2.1** Samples should be drawn for all the products under certification with the exclusion of certain products (i.e sample is costing more than Rs. 10,000/-, licence is operated on factory testing basis, transportation is extremely difficult, etc.).

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

**3.8.4** If the material has been supplied to places other than those covered by the Branch Office, help of the concerned BO should invariably be obtained in purchasing the market samples. In such cases the following procedure shall be adopted:

- a) The Coordinator of the Market Sample Cell will send a monthly list of the samples to be drawn to other BOs for drawal of samples where samples are available.
- b) Counting of number of market samples will be in the account of BO which draws the samples.
- c) BO should monitor the progress on the request made to other BOs and inform their respective DDGR on quarterly basis in case samples are not drawn by BOs to whom request was made.
- d) DDGR in turn will interact with DDGR of other region or BO under his own region, for non-drawal of Market samples and DDGM to be kept informed.
- e) The market samples for the licensees falling outside the jurisdiction of the BO shall be drawn from consignees only on receipt of the request from the BO in whose jurisdiction the licensee is located.
- f) The test request shall be prepared and sent along with the market sample to the designated laboratory indicating that the test report be sent directly to BO where licensee is situated. A copy of the test request giving complete details of the sample drawn and the reference to the request received for the drawal of the market sample (see a above) should be sent to the BO dealing with the licensee.

- g) The BO dealing with the licensee will ensure that the market sample has been drawn against their request and also verify that the variety of the sample drawn is included in the licence. It will also verify that the material was manufactured during the period the licence was in operation. If the information contradicts the above, the case should be dealt as per enforcement procedure. Suitable action shall be taken in case any discrepancy is found about the variety of the product or the date of the manufacture (see Enforcement procedures).
- h) A copy of the test report should be made available to the BO dealing with the licensee either directly from the laboratory or immediately on receipt by the BO which has despatched the sample to the testing laboratory.
- i) During preliminary factory evaluation and surveillance visits, ISI marked raw materials and components, where available, may be drawn as market samples and concerned BO informed about the details.

**3.8.5.** A list of the items for which the market samples cannot be drawn shall be prepared by CMD and shall be circulated to ROs /BOs from time to time. In such cases, users' feedback shall be obtained and shall be taken in the count of market sample. One user feedback shall be taken as one Market Sample.

**3.8.6** 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 numbers of samples are obtained. RO/BOs while making request for samples from such organizations should specially mention the number of samples required. If in spite of such a request additional numbers of samples are received they may be returned to the organization concerned, if necessary.

### **3.9 TESTING OF SAMPLES**

**3.9.1 Coding /Decoding of Samples** – The code number of all samples drawn by a BO shall be entered in the Sample Code Register and in the relevant input screen of CMMS software. The code shall be linked to Licence No. and laboratory where the sample has been sent. Access to Register/CMMS data shall be restricted to the concerned officer or to other person authorized by the Head BO. Upon receipt of test report, it shall be decoded and its results recorded in the sample code register/CMMS. After decoding it shall be marked to the dealing officer.

**3.9.2 Scrutiny of Test Reports** - With the use of the modified proforma for the test reports (**Annex 17**), the dealing officer shall be responsible for proper scrutiny of the test report and for the drawal of conclusion regarding conformity or otherwise of the samples under test. He will also be required to record his findings on the body of the test report. These findings shall be taken into account for judging the performance of the licensee. After scrutiny, the details of test report and results of conformity shall be entered in CMMS software and also suitable follow up action shall be taken.

**3.9.3 Testing of Counter Samples** - When factory samples tested in independent laboratory fail, licensees may request technical auditor to test the counter samples in the factory during the time of his visit. This shall not be agreed. If licensees want another check, a formal written request is necessary. Testing of remnants of earlier samples may also be considered, if feasible. Prior permission of DDGR shall be taken before testing of counter samples/remnants 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 case of BIS laboratory, however, if the results of counter sample are found to be conforming to the requirement of the standard they may not be charged. This shall be made clear to the party before undertaking the testing of the counter sample. Head BOs may allow testing of counter samples when the original sample is damaged or lost in transit due to bonafide reasons.

**3.9.4 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 or in Central / Regional Laboratory of BIS. 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 by Head BO or DDGR.

**3.9.5 Supply of Test Reports** - Copies of satisfactory test reports (other than Grant of licence/inclusion cases) 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 provided the samples free of cost.

**3.9.6 Action on Failure of Samples** - On receipt of first independent test report/factory testing report showing failure, the dealing officer shall identify and record with due justification the criticality of the failure (see Note 1) . If the failure in any requirement is rated as critical an immediate surveillance visit shall be arranged after the corrective action taken on failure reported has been received from the licensee, in any case not later than two months from date of communicating the failure, for verification of corrective action, as well as, for drawal of independent sample(s). 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 the credibility of the results of the factory testing. In the event of even one batch being available during this inspection, sample may be subjected to factory testing for immediate verification of corrective actions.

If the test report shows failure of a sample in more than one critical requirement, stop

marking may be imposed (see **3.11.2.2**) after taking concurrence of Head BO.

Where the failure is rated as non-critical, the failure along with the test report shall be communicated to the licensee asking him to inform the corrective actions. These shall be verified during next surveillance visit.

Whenever a failure is received a Review proforma shall be put up by the Dealing Officer to the next higher authority in the Branch.

**NOTES:** 1) Critical failures shall be for those parameters that are specifically covered in the technical regulations for the product wherever available (both in mandatory and voluntary sector) or where the parameters have been defined as critical in the Indian standard or where they have been classified to be critical by CMD through individual circulars. Wherever these are not available, CMD shall prepare a list of critical and non critical parameters. Till such a list is prepared, BOs may continue to decide about the critical parameters through consultation within the BO.

2) In case of critical failure observed, stop marking shall be issued to licensees of food products under mandatory certification and for any other product identified specifically in this regard. (see **Annex 22**). For other products, the failure along with the test report shall be communicated to the licensee advising him to thoroughly investigate the possible causes of failure and to submit the findings with in a month.

**3.9.7 Withdrawal of Samples** - At the time of renewal of licence, where reports of latest samples (as determined by date of manufacture) has been received and found satisfactory, then the pending samples manufactured earlier and drawn during the previous operative period, for which test reports have not been received as yet, may be considered for withdrawal from testing by the designated authority for renewal of licence and concerned laboratory informed.

### **3.10 LOT INSPECTION AND SAMPLING PROCEDURE**

**3.10.1** During the operation of Certification Scheme, sometimes the licensee is put under lot inspection.. Lot inspection condition shall be applicable only where it is the part of relevant scheme of testing & inspection like Gas Cylinders, Deep well Hand pump, LPG Valves & Pressure Regulators etc. 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 CMD.

### **3.11 FOLLOW UP ACTIONS INCLUDING STOP MARKING**

**3.11.1** On receipt of surveillance report from technical auditor the next superior authority should review the report and take actions on the lapses noticed during the surveillance report which are of serious nature and require urgent action. Observations, discrepancy/variation

report of the technical auditor during visit shall also be confirmed in writing to the licensee by email / FAX (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. The actions taken should be indicated by group leader on the inspection report. The actions to be taken by Dealing officer /Group leader/Director/Head of BO, during operation of licence should include (See **Annex 2: Certification Marking Flow Chart**):

- a) giving a notice to the licensee for lapses observed and advising him to take necessary action to remove these lapses, and thereafter following up to ensure that actions are taken by the licensee well in time.
- b) advising the licensee to stop marking if the STI is not being operated satisfactorily; proper checks to see that marking is stopped, 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 courier/firm as the case may be.
- e) making arrangements for drawal of market samples and seeking consumers views. (See **3.9.7**)
- 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.
- i) informing Technical Departments regarding any lacuna, noticed in specification by RO/BO/licensee.
- j) suggesting modifications in specification requirements on the basis of the analysis of data collected from licensee.
- k) 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 observed that licensee is has not taken adequate actions for removing these lapses. Draft notice with complete papers shall be put up to competent authority.
- l) investigation of any complaints received.
- m) internal notings for suggestion/advice to technical auditor.

### **3.11.2 Stop Marking**

**3.11.2.1** 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 Regulations **5(7)(b)**, when sufficient evidence is available that the product carrying the Standard Mark may not be conforming to the requirements of the relevant Indian Standard and other situations detailed in the tree diagram

for stop marking at Figure 1 or for non payment of dues as given in Regulation 5(7)(c).

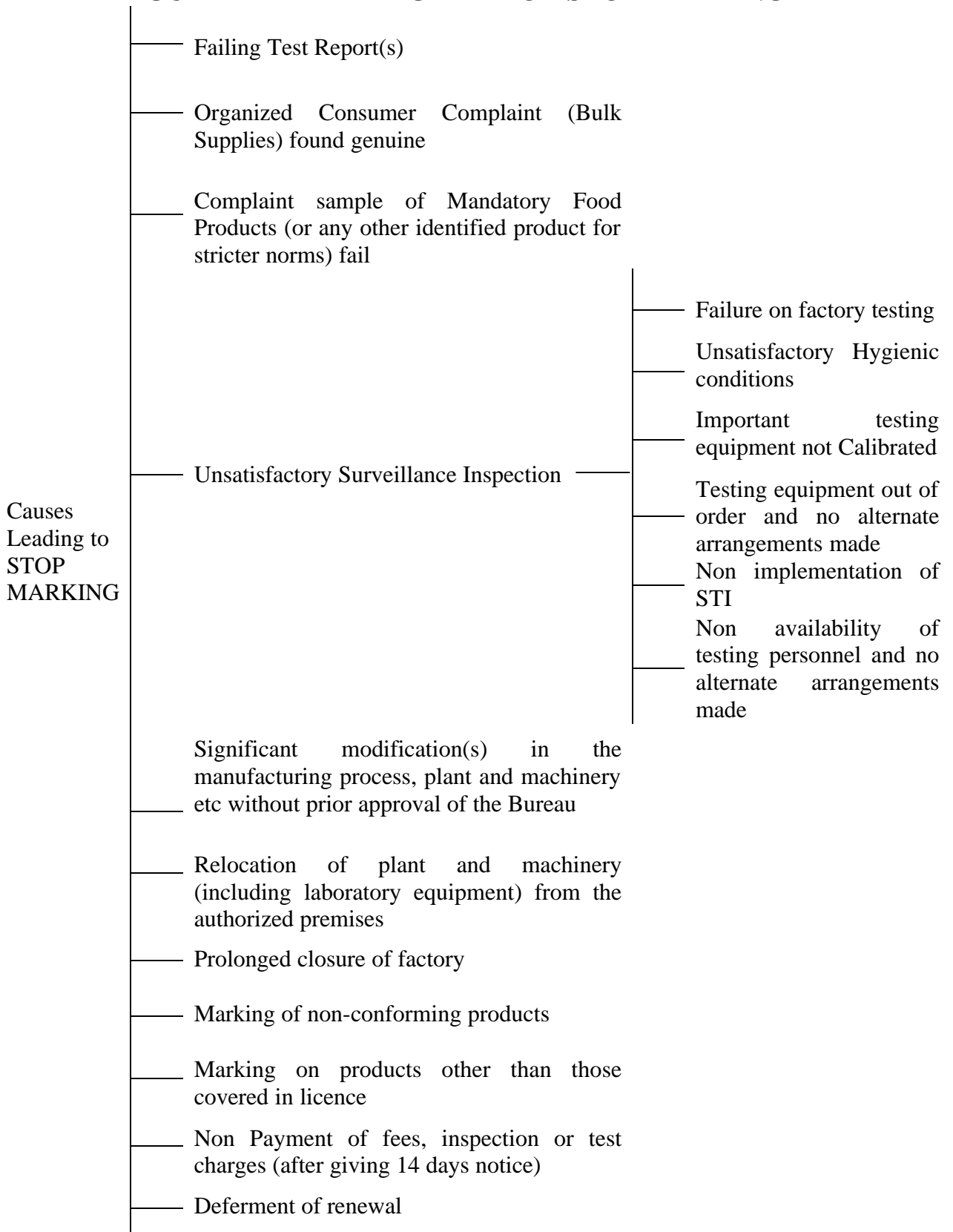
The stop marking in case of food products under mandatory certification and any other product identified specifically in this regard shall be done in accordance with provisions of **Annex 22**.

**Note 1:** In case the scope of licence covers more than one variety/type/grade/rating and the nonconformity reported pertains to one such variety/type/grade/rating only, and the effect of the failure relates to a process, raw material, component etc. which does not affect the overall quality and characteristics of other grades, partial stop marking may be considered.

### **3.11.2.2 Process for Stop Marking**

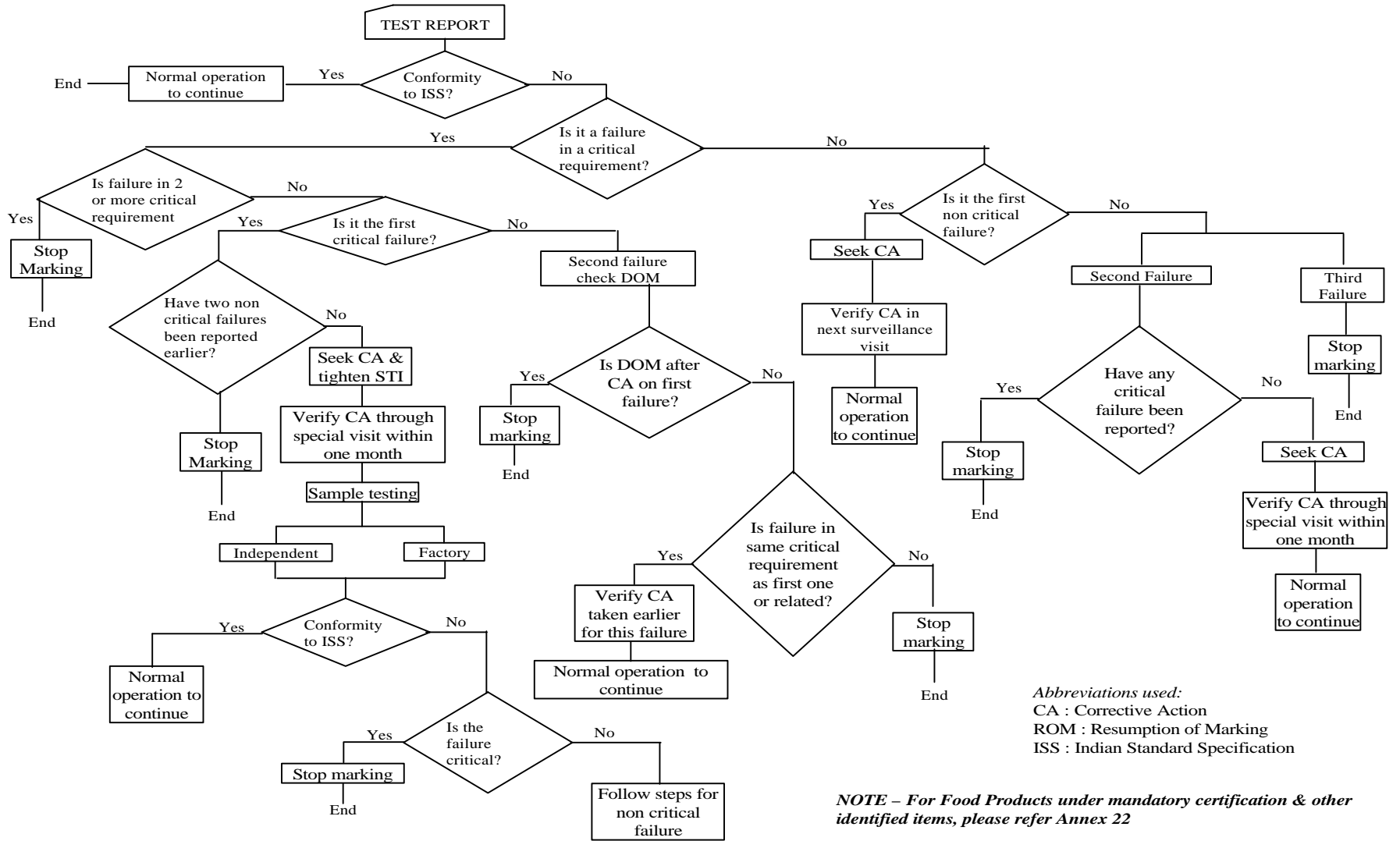
- i) The procedure leading to issuance of stop marking on account of failures of samples (non-ISI marked raw materials, components, final products etc), has been detailed in the Stop marking process flow chart in Figure 2. For the purpose of counting 'First', 'Second' or 'third' failure, all Test reports received in the past shall be taken into account, unless one passing (based on date of drawal) test report has been received, in which case the previous failures shall be disregarded. (See also **Annex 21** - Guidelines on STOP MARKING /RESUMPTION OF MARKING). However, if failure in two or more Critical requirements are observed in the same sample, Stop Marking should be imposed immediately after taking concurrence of Head BO. For food products under mandatory certification and for any other product specially identified, norms given in **Annex 22** will apply.
  
- ii) For reasons other than failure of samples, stop marking instructions can be issued on receipt of consecutive unsatisfactory surveillance visit reports; the receipt of a complaint from an organized consumer involving bulk supplies, being found genuine, significant modification(s) in the manufacturing process, plant and machinery etc without prior approval of the Bureau; relocation of plant and machinery(including laboratory equipment; prolonged closure of factory; (intentional) marking of non-conforming products; marking on products other than those covered in licence as detailed in Figure 1. Stop Marking may be imposed after the first unsatisfactory visit following major breakdown of testing and manufacturing equipment; non availability of Testing Personnel (and no alternate arrangement made) and in case confirmation of corrective action is not received from firm within a reasonable time (See **Annex 21** - Guidelines on STOP MARKING / RESUMPTION OF MARKING. See also **Annex 22** Norms for Strict Control/Licences of Food Products under Mandatory Certification.)

**FIGURE 1 TREE DIAGRAM FOR STOP MARKING**





**FIGURE 2 STOP MARKING ON ACCOUNT OF FAILURE (PROCESS FLOW CHART)**

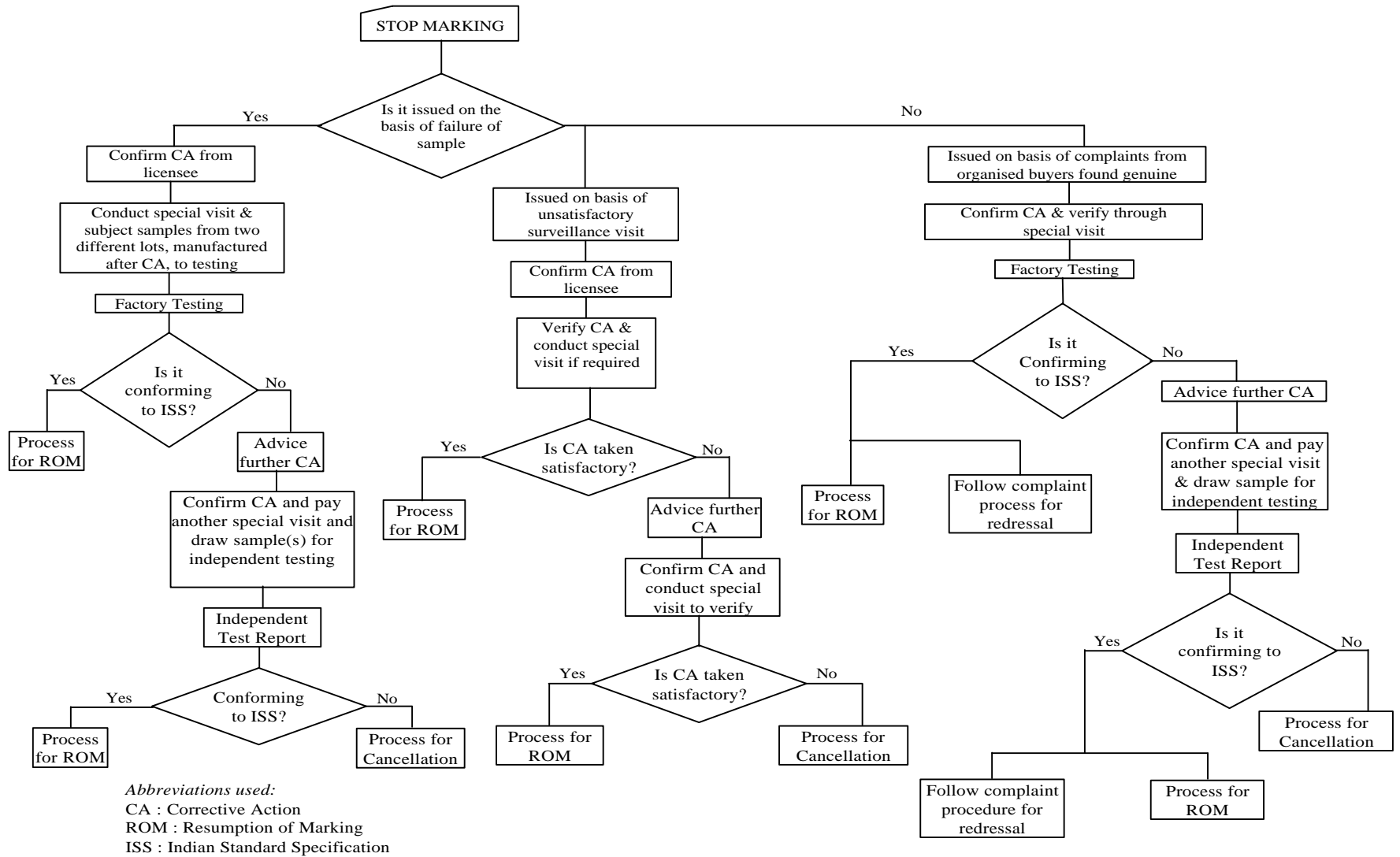


Abbreviations used:  
 CA : Corrective Action  
 ROM : Resumption of Marking  
 ISS : Indian Standard Specification

**NOTE – For Food Products under mandatory certification & other identified items, please refer Annex 22**

Note: The above Flowchart is under review

**FIGURE 3 RESUMPTION OF MARKING (PROCESS FLOW CHART)**



Note: The above Flowchart is under review

### **3.11.2.3 Communicating the Stop Marking Decision**

- i) Speaking order shall be recorded by the competent authority on the file for imposing stop marking.
- ii) The BO shall communicate the stop marking decision through a telegram/e-mail and simultaneously confirm the stop marking through a letter sent through registered mail or fax addressed to Chief Executive of the firm, stating the grounds of stop marking, the scope to which stop marking instructions apply (specify if partial stop marking) and the conditions under which the marking will be resumed, so that, corrective actions could be initiated. In addition this letter also should contain the paragraphs ; - “Please confirm that you have stopped marking the above mentioned products with the ISI Mark and furnish us information on quantity of ISI marked material held in stock along with the details of brand, type, variety, batch number, packing and pending orders for Standard marked material.”
- iii) While communicating stop marking instructions to the licensees, the reference to relevant Certification Marks Regulations i.e. **5(7)(a)** or **(b)** shall invariably be mentioned. The terminology used for such communication shall be synonymous with the terminology provided in the regulation. The term "self marking rights suspended" "marking is suspended" etc. should not be used. Similarly for resumption of marking, terminology "resumption of marking" should be used as provided in Regulation **5(7)(b)** and other terms like "revocation of marking," "restoration of self marking rights" etc. should not be used.
- iv) A visit should be arranged to licensee's factory preferably within a time period not exceeding 30 days of the issue of stop marking instructions to ensure compliance with the orders. In case the licensee has not complied with the stop marking instructions, licence may be considered for cancellation. The provision for visiting the factory for verification of stop marking instructions, may be relaxed in case of licences where the previous experience indicates compliance to stop marking instructions. However visit must be paid for mandatory product licences.
- v) Standard marked material lying in stock at the time of stop marking should be withheld, declared, reassessed and segregated by licensee. Based on evidence provided, Head of BO may decide to release of material.
- vi) On issuance of stop marking instructions due to administrative reasons any samples pending despatch or testing should not be withheld or withdrawn.

### **3.11.2.4 Resumption of Marking**

- i) Where corrective actions need to be confirmed by ascertaining product conformity, representative samples may be tested in factory. In case of long

duration tests, sample may be sent for independent testing for considering resumption. Normally there is no requirement to draw independent samples for confirmatory testing except where indicated in Figure 3 RESUMPTION OF MARKING (FLOW CHART). However, when 'Stop Marking' was done for reasons other than failure, sample may be drawn to get feedback of licensees performance in the long run. The test reports of such samples would have no bearing on the decision for resumption of marking, and should be viewed as normal samples (See also **Annex 21**-Guidelines on STOP MARKING / RESUMPTION OF MARKING).

- ii) Resumption of marking should be done, within six months of issuance of stop marking orders, by the Head of BO/DDGR on verification of corrective actions.
- iii) The details of stop marking instructions and resumption of marking shall be recorded in the blue form.
- iv) When 'Stop Marking has been imposed due to shifting/closure of factory, verification of proper functioning of plant and machinery, including factory testing where considered necessary should be carried out for resumption of marking. (See also **Annex 21** - Guidelines on STOP MARKING/RESUMPTION OF MARKING). In case of shifting of premises, all other documents as required to be submitted as in the case of an applicant shall also be obtained for considering ROM.

### **3.12 RENEWAL, DEFERMENT, EXPIRY AND CANCELLATION OF LICENCE**

**3.12.1** A renewal notice as per prescribed proforma (CM/PF 106) should be issued to the licensee, by the BO concerned about three months before the date of the current operative period. The licensee is required to submit the renewal application at least one month in advance of the expiry of the licence, in the prescribed form (CM/PF 604). Upon receipt of the following, the relevant entries shall be made in input screen in CMMS Software:

- a) Renewal application (CM/PF 604),
- b) Renewal fee,
- c) Annual licence fee for two years (if renewal is sought for two years),
- d) Marking fee dues (see Annex 15), and
- e) Any other outstanding dues,

**3.12.2** The renewal case shall be put up in the proforma (CM/PF 606) commonly referred as Blue Form, to the Licence Renewing Authority for his orders, by the dealing officer /group leader with his recommendations clearly giving the period recommended for renewal.

**3.12.3** Renewal Authority of BO shall record his orders on the Blue Form.

**3.12.4** In the Blue Form, all information regarding the surveillance visits 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. Information about samples withdrawn (see 3.9.8) may also be incorporated in the Blue Form giving the reasons. 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.

**3.12.4.1** As far as possible, there shall no conditional renewal of licence. In some cases the licence is renewed on the assurance of licensee to fulfill certain minor requirements within a time frame. Any assurance given by the licensee shall be recorded as a condition for renewal of licence in BF. To ensure that such conditions are complied within the specified time period, a record shall be maintained by the dealing officer and periodically reviewed by him. In case the conditions are not fulfilled within the time period, the case shall be put up to competent authority for necessary action including cancellation of licence. The information of such conditions of renewal of licence, if any shall invariably be mentioned in the Blue Form.

**3.12.4.2** Blue Form should be put up preferably two weeks in advance of the validity date, so that the decisions are taken and implemented well before the validity period ends, unless marking fee is received late, but before the validity date.

### **3.12.4.3 Renewal of Licence**

#### **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 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:** No licence shall be renewed with continuation of stop marking, except in cases of partial stop marking (see Note 1, Clause **3.11.2.1**) the licence may be renewed.

#### **Licence not Renewed**

- a) When the application is not received even after one month of the validity date.
- b) When the application is received and overall assessment of performance is unsatisfactory and there exist no or little possibility of effecting an improvement within the period of two months beyond the validity date. 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 the marking is not resumed within a period of six months from the date of stop marking the licence may not be renewed.
- d) In case of food items under mandatory certification, a licence shall not be renewed in case three stop marking instances have taken place in an operative year, if not already cancelled.

**Note 3:** If the licence is not renewed, advance marking fee and annual licence fee received has to be refunded after adjusting the dues, if any. No advance marking fee is payable by the licensee once the licence is expired because the licensee ceases to be a licensee in these cases. However the renewal application fee received is non- refundable

**3.12.5** Renewing authority shall, however, record specific justification for agreeing to renewal, in the following cases:

- a) Licensee has taken positive steps to overcome unsatisfactory performance for which BO had served expiry notice.
- b) Licensee has not produced any goods with Standard Mark for two or more successive years.
- c) Marking fee arrears.

Note: Cases covered under **a)** and **b)** shall be referred to Head BO for prior approval. Cases covered under **c )** shall be referred to DDGR for prior approval.

**3.12.6** After the renewal orders, necessary endorsements shall be prepared for signatures of the renewing authority. Where the licence has expired or has been cancelled, the original licence document shall be taken back from the licensee within one month.

**3.12.7 Renewal Period** - Licences shall be renewed normally for a period of one year. However, a licence may be renewed for a period of two years at the request of the licensee, provided he pays the advance minimum marking fee and Licence fee for both the years' along with the renewal application. This option shall be allowed only when applying for renewal and extension of validity of a renewed licence shall not be permissible. However, on the discretion of the Competent Authority, the renewal may be limited to one year for

licences whose performance was unsatisfactory during the operative period or where no material was marked for 2 successive years. Slight adjustments in renewal dates may be permitted to align with validity of other licences held by the licensee. However, such adjustments should not lead to extension of validity beyond a maximum period of two years.

### **3.12.8 Deferment of Renewal of Licence**

- a) When renewal application is not received within the validity period or before the expiry date, renewal application is received in an incomplete form, the renewal may be deferred for not more than one month after which the licence shall expire.
- b) If the licence is under stop marking at the end of validity period, the renewal may be deferred for a period of six months from the date of issue of stoppage of marking during which the licensee shall be required to complete all corrective actions for resumption of marking, The licence may be renewed retrospectively from the due date if marking is resumed. If the licence is not renewed within a period of six months from date of stoppage of marking, the licence shall stand expired.
- c) Where renewal application has been received but overall performance needs improvement which may require not more than two months from the date of validity, the renewal of the licences may be deferred. If the licence is not renewed within a period of two months, the license shall stand expired.

**Note 1:** Intimation of deferment of renewal shall be communicated telegraphically/by fax/e-mail followed by a registered A.D. letter confirming that the licence shall stand expired after the end of the validity period in case corrective actions are not taken within stipulated time period.

**Note 2:** A licence where renewal is deferred shall be put up to renewal authority for orders of renewal or non-renewal at the expiry of the deferment period.

**3.12.9 Cancellation of Licence** - Action shall be initiated for cancellation of licence when the normal operation of a licence is not feasible due to violation of the provisions as contained in Regulations (5) a) (i) to (iv), also on account of following reasons;

- a) Non-conformity of serious nature affecting health and safety observed during inspection or independent testing and that the corrective actions required would take considerable time for effective implementation.
- b) Any contravention of the licensing provisions or the STI considered serious in nature, for example non-settlement of financial dues, non settlement of complaints, not allowing - technical auditor access during working hours for the purposes of assessment, using the Mark for types/varieties not included in the scope of the licence etc.

- c) The second sample drawn for independent testing to consider resumption of stop marking also shows failure.
- d) The measures taken towards correcting the discrepancies are found inadequate or time taken is too long (say six months or more).
- e) If the stop marking is in vogue for more than six months at a stretch.
- f) If the licensee does not wish to prolong the licence and send a communication to that effect.
- g) If the standard is amended/revised and implemented by CMD and the licensee either will not or cannot ensure compliance to the new requirements.
- h) The licensee continues to mark even after stop marking instructions.
- i) Contravention of any other provisions of the Certification Regulations/Procedures.
- j) 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.
- k) In case of food items under mandatory certification and any other identified product, the provisions of **Annex 22** shall also apply.

**3.12.9.1** In each case mentioned at **3.12.9** except at **3.12.9 f)** the cancellation notice on the recommendations of the BOs should be issued by DDGRs. The cancellation notice shall give fourteen days notice to the licensee in accordance with Regulation **5(5)(b)** and should include a provision of personal hearing. The speaking orders should be issued by DDGRs/ADGM on the file after the personal hearing.

**3.12.9.2** In cases of cancellation/non renewal due to misuse of Standard Mark DDGR/BO issuing the cancellation /non renewal order should state in the order the minimum waiting period between six to twelve months from date of cancellation/non-renewal before a fresh application can be made.

**3.12.9.3** In the event of cancellation of licence due to reasons other than withdrawal of ISS, no advance marking fee is to be refunded.

**3.12.9.4** In the event marking cannot be resumed due to non availability of independent test report for the sample under test, the period of six months may be extended under written permission of DDGR. In such case the provisions for non-renewal of licence / cancellation of licence shall not apply till receipt of test report and decision thereafter.

### **3.12.10           SUSPENSION OF LICENCE**

A licence may be suspended by the Bureau (and endorsed in the Licence accordingly) on the request from the licensee, if the operation(s) in his premises can no longer be carried due to:

- a) Natural calamities such as flood, fire, earthquake etc
- b) A lock out declared by the licensee's management,
- c) Closure of operations directed by a competent court or statutory authority



### **3.12.11 INCLUSION OF ADDITIONAL TYPES, GRADES, SIZES OR VARIETIES**

**3.12.11.1** 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 alongwith raw material, where applicable. These may also be tested in the factory in the presence of technical auditor 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.

**3.12.11.2** When visiting the licensee for inclusion of additional varieties in the licence, the additional resources required should be ascertained, e.g. raw materials, process requirements & controls, manufacturing machinery, test facilities, technical skills and reported. Depending upon the extent of change, the criteria for reporting these details shall be adapted from the Preliminary Factory Evaluation Report (CM/PF 201) and changes in machinery/equipment recorded in CM/PF 305 & 306

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

**3.12.11.4** 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 the sample to the laboratory, the remaining tests may be carried out in the factory of the licensee, under permission from Head BO, to expedite processing of Yellow Form. Such visit shall be charged at the rate of Special Visit Charges and testing charges for test(s) not carried out shall be refunded / adjusted

**3.12.11.5** For long duration tests the provisions applicable to grant of licence shall apply. For product characteristics requiring testing time more than six months (like keeping property tests in paints, carbon paper, insulating tapes, various types of inks etc) proof in the form of test reports from laboratory, firms own or outside, should be made available for such tests. It shall be made clear to the licensee that in case of non conformity of independent sample in these requirements, the variety which will be found non-conforming in independent test shall be withdrawn and inclusion shall be restricted only to varieties which are found conforming in independent test. An undertaking shall be obtained from the licensee for this purpose.

**3.12.11.6** If the inclusion of variety is to be recommended based on factory testing, samples for independent testing need not be drawn for confirmatory test. However such variety shall invariably be drawn for independent testing during immediate next surveillance visits, if available, failing which in subsequent visits whenever available.

**3.12.11.7** 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.

### **3.12.12 ENDORSEMENTS TO LICENCES**

It is essential that the Licence Document held by a licensee is kept continuously updated with regard to the changes and modifications affected. The following changes and modifications shall require endorsements in the licence documents:

- a) Renewal
- b) Inclusion of new varieties
- c) Change of STI
- d) Revision /Merger/ Supersession of Indian Standard
- e) Revision of Marking Fee
- f) Change of Standard Mark
- g) Change in Name/Address of licensee
- h) Change in Name/Address of Indian Representative (Applicable in case of Licences granted under Foreign Manufacturer Scheme)
- j) Change in Marking Fee on account of change of status of manufacturing unit from Small Scale to Large Scale and vice-versa

Typical text for each type of endorsement is given in **Annex 7**. For situations not covered, suitable endorsements be drafted on the same lines. Each endorsement to a licence shall be sequentially numbered and dated. It shall be signed by the Head of BO or any other authority designated for signing endorsements BIS logo shall be embossed on the endorsement sheets meant for the licensee and the Branch Office. One copy of the endorsement shall be sent to licensee by Registered Post while one copy each shall be retained by RO and BO for records. The licensee shall be advised to attach the endorsement to the Original Licence Document.

**3.12.13** 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 factory evaluation should invariably be carried out. This information should be clearly indicated in the Red Form, In case the licence was expired/ cancelled due to reasons other than unsatisfactory performance, fresh licence may be granted on the basis of factory testing after seeking competent authority's approval.

### **3.13 VERIFICATION VISIT TO THE PREMISES OF FORMER LICENSEE**

**3.13.1** 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 number, date of manufacture and packing, pending orders along with the names of purchasers, etc., should be ascertained. Where a licence has been suspended or cancelled, or the term thereof has not been renewed on the expiry of the period of its validity, the licensee shall discontinue forthwith the use of the Standard Mark notwithstanding the pendency of any appeal before the Central Government under **Section 16** of the BIS Act and if there be, with the licensee or his agents, any articles in stock which have been improperly marked, the licensee or his agents as the case may be, shall take necessary steps to get the Standard Mark on such articles either

removed, cancelled, defaced or erased.

**3.13.1.1** Considering possibility of misuse of BIS Certification Mark by the former licensee(s) whose licence has expired/cancelled, the verification visit to their premises/godowns shall be made.

**3.13.2** Such visits shall be organized after 7 days but within 30 days of the expiry/cancellation of the licence to verify stop marking and physically take stock of the last batch of manufacture under the licence and the stock of the marked products available with the firm. During this process attempt should be made to get the stock and batch number etc. declared by the firm on their letter head and if the same is not feasible these details may be recorded by the visiting officer and a copy handed over to the firm and the signatures of the representative obtained on the office copy. Where the expiry / cancellation has been done due to failure of sample or unsatisfactory performance, the Standard Mark on the material in the factory should be defaced and instructions should be left with the firm to get the Standard Mark similarly defaced from the material lying in the stock with the licensees agents and to submit evidence of the same to the Bureau.

In case any misuse is detected during such visits, further action on such occurrences wherever required shall be taken in accordance with Enforcement Manual.

## SECTION IV

### OPERATIONAL ISSUES

#### 4.1 COMMENTS ON INDIAN STANDARDS

**4.1.1 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 ROs/BOs 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 concerned Technical Department. A Copy of such comments shall be sent to CMD for record and further interaction, if required.

**4.1.2 Comments on Printed Standards** – During the operation of licences, sometimes short-comings are noticed in the standards which make certain requirements difficult to implement. 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 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 Technical Department with a copy to CMD. CMD should follow up with the Department to ensure that the comments are duly considered, without undue delay.

**Note:** As per Rules 7(6)(i) & 7(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 Standards as in his view are necessary for expeditious fulfillment of any of the objectives of the BIS Act. In the case of later, concurrence of the concerned Sectional Committee is to be obtained within six months of such action.

## **4.2 ASSISTANCE TO LICENSEES**

**4.2.1** 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 recommendation within the frame work of BIS Act should be made.

**4.2.2** 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 National Institute of Training in Standardization. Any individual requests received in this respect shall be forwarded to the concerned department for action in due course.

## **4.3 COMPLAINTS REDRESSAL**

**4.3.1** 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**.

## **4.4 SPECIAL SITUATIONS**

**4.4.1** 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. Such cases have to be dealt with on their own merit, in consultation with CMD. The situations which have been occurring fairly frequently are given in 4.4.2 to 4.4.6

**4.4.2 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/none retaining the original name;
- e) change in the status from small scale to the large scale or vice-versa;
- f) leasing of premises with or without the change of name; and
- g) Mergers or extension of facilities.

The following actions are to be completed by the BO:

- i) In the case of **4.4.2 (a)** , the licensee is required to intimate stoppage of production / marking to the Bureau. If he has not done so, the marking at the old premises should be stopped. A visit to the old and new premises arranged to ensure that the entire manufacturing and testing equipment have been satisfactorily installed and that there is no change in technical personnel. A sample may be drawn and tested at the new premises for the maximum possible tests. The document regarding authentication of premises, SSI Certificate if applicable, Lay Out Plan & Location plan for new premises shall also be taken.
- ii) In the case of **4.4. (b)**, a suitable legal document, same as indicated in **2.3.1 f)** and Note under it; as also a declaration shall be obtained from the firm.
- iii) In the case of **4.4.2 (c)** and **(d)**, a suitable legal document (**See 2.3.1 f)** establishing the name/ownership of the licensed premises by one or the other of the new owners is to be obtained and a specific undertaking (see CMD/PF 615) that they will abide by the agreement with the Bureau regarding the operation of STI and the payment of marking fees should be obtained.
- iv) In case of **4.4.2(e)**, applicable rate of marking fee will be required to be endorsed in the licence.
- v) In case of **4.4.2(f)** , copy of the agreement shall be obtained and information with respect to lessee/lessor shall be suitably endorsed in the licence.
- vi) In case of **4.4.2g)** conduct an exhaustive inspection and process for orders of CA, virtually like a new 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 licensed premises, this should be checked up and recorded.
- viii) In case of shifting of unit of food industry (where microbiological requirements are specified) to a new premises, a sample shall be drawn and marking shall be permitted only after conformity of the sample.

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 **4.4.2(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.

**4.4.3 Lock Out, Winding Up, Liquidation, Dissolution, Closure etc.** - On receipt of such information, contacts should be established by the BO with the firm to find out the exact status of functioning of the firm. Depending on an assessment of the situation action

should be initiated for the 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.

**4.4.4 Operation of Licences from Multiple Premises** - The Licence is granted only to 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.

**4.4.4.1** 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 Activity Head of Certification for a decision.

**4.4.5 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 licensed 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. For each product, where repacking is considered, a separate STI for repacking needs to be prepared.

**4.4.6 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, when an Indian Standard is withdrawn and not superseded by any other Indian Standard any licence issued in respect thereof shall be deemed to have been cancelled from the date of withdrawal of such Indian Standard and any such licence shall be surrendered to the Bureau by the licensee forthwith. In the case of such cancelled licence, a part of the marking fee, if paid in advance, proportionate to the unexpired period of the licence may be refunded to the licensee.

**4.4.6.1** 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 giving effect to 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 giving effect to the new standard will be decided by DG or any other officer authorized on his behalf in consultation with the concerned Standard Formulating Department.

**4.4.6.2** 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 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 revised version needs some switchover time. In such cases necessary instructions shall be issued by CMD, after approval of DG for the period for which this would be valid. However, this practice should be normally avoided.

#### **4.5 Guidelines for Implementation of Revised Indian Standards**

- 1) Technical Departments shall send one hard copy of the 'F' document of the Revised Version to CMDII/CMD-III and CL at the time of sending the same to Printing Department, together with a soft copy by email to all ROs / BOs highlighting the changes in the revised Standard.
- 2) CMDII/CMD-III shall confirm the receipt of finalized copies from all ROs/BOs.
- 3) CMDII/CMD-III shall simultaneously examine the revised standard to see whether it can be implemented straightway, for example when no changes are required in the STI or the changes are such that they can be implemented without any verification.
- 4) If it is found that the revised standard cannot be implemented straightway, CMDII/CMD-III shall propose a switchover period not exceeding three months from the date the printed Standard is received in CMD II/CMD III based on comments from ROs/ BOs., ROs/BOs shall forward the 'F' copies to the licensees for taking necessary actions to be ready for implementation within the three month period.
- 5) Based on the feedback received from ROs/ BOs, CMD shall examine each case in its own merit and recommend to DG the required switchover time. CMD shall circulate the switchover time permitted by DG to ROs/ BOs and also to the Standards formulation Department for gazetting of Indian Standard effective from the switch over date.
- 6) CMD shall issue clear instructions to ROs/ BOs together with the revised STI, for implementing the revised Standard including verification procedure for amended



requirements in the product as well as for additional equipment that may be necessary for manufacturing / testing the product.

- 7) In case the licensee is not having additional test equipment as required by the revised standard the licensees may be allowed to get the test conducted in an outside laboratory for a period as may be decided on the basis of the product requirements not exceeding one year.
- 8) New applications shall be registered only as per the latest version of the standard.
- 9) CL may also take up revision of testing charges if necessitated by the changes and inform CMD II / CMD III for taking up revision of marking fee.

**4.6 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 ROs/BOs alongwith a copy of the amendment.. In all such cases, where no difficulty in implementation is anticipated CMD shall circulate a copy of the amendment to all the ROs/BOs, indicating the date of implementation of the amendment. In cases where difficulties are anticipated a switchover period (similar to revision of Standard) would be suggested, and unless the licensees bring out specific difficulties in adopting the Amendment, it shall be gazetted effective from the date proposed and information about implementation sent by CMD to all ROs/ BOs. If the amendment requires additional tests to be carried out, this may be done in the factory with the permission of Head BO.

#### **4.7 MISUSE OF STANDARD MARK, SEARCH AND SEIZURE**

**4.7.1** It is not unusual to come across a product bearing the Mark or the monogram, manufactured by a non-licensee including applicants or by a licensee who is not authorized to mark the same. The use of Standard Mark by any person/firm without a valid licence; is a criminal offense under the BIS Act. Hence action has to be initiated against the erring party for violation of the Act. There is separate Enforcement Manual for activities relating to misuse of Standard Mark which may be referred to. (Also see Clause **2.2.2.1**)

**4.7.2 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. . Before any action is taken by RO/BO on filing of any complaint in the court, the matter should be referred to Director (Legal). RO/BO shall work in close liaison with Legal and Enforcement Departments on such matters. Reference may also be made to Enforcement Manual.

#### **4.8 CO-ORDINATION AND MONITORING**

**4.8.1 Central Marks Department (CMD)** – The entire work of certification activity comprising the inspections and their planning, drawl of market and factory samples, getting them tested and scrutinizing the test reports received, 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 Activity Head of Certification 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.

**4.8.2** The Guidelines for maintaining certification marks files in ROs/BOs are given in **ANNEX 19**.

## **4.9 SUPPLY OF INFORMATION CONCERNING LICENCES**

**4.9.1 Confidentiality of Information** – Sometimes licensees, Organized 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 BIS Web Site Buyer's Guide, List of Licensees, Standards India, ManakDoot etc. can be supplied. More specific information may be supplied after consulting DDGRs/ Activity Head of Certification

**4.9.2 Issue of Certificates** - Requests are often received from applicants/licensees for issuing certificates to them on various aspects. It should be ensured that no open ended certificate of the type "TO WHOM SO EVER IT MAY CONCERN" shall be issued.

However in case the Head of the Branch Office 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 CMD II/CMD III informed
- 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/licensees. In case of doubt DDGR, CMD, Activity Head of Certification should be consulted before providing clarification.

## **4.10 DUPLICATE COPY OF LICENCE/ENDORSEMENTS**

**4.10.1** Sometimes licensees ask for a duplicate copy of the licence/endorsements. Duplicate licence/endorsements shall be issued under the following circumstances:

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

**4.10.1.1** For preparing the duplicate licence/endorsements, 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/endorsements is located at a later date, it shall be surrendered to BIS. In case the reason is as per (ii) above, the original licence/endorsements shall be surrendered by the licensee alongwith the request for the duplicate licence/endorsements. The original licence/endorsements shall be sent by BO to RO for record.
- b) A nominal charge of Rs 100 shall be collected in advance.
- c) Duplicate licence/endorsements shall be prepared by the concerned BO.
- d) Page 1 of the licence/endorsements shall be stamped with the word 'DUPLICATE' at the top and at the bottom.
- 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 BOs' copy of the licence. Each page of the duplicate licence shall be attested by Head BO and stamped.
- f) Copies of the duplicate licence/endorsements shall also be prepared as per above for RO/BO and sent accordingly.
- g) The duplicate licence shall also be embossed with BIS Seal.

#### **4.11 FEEDBACK FROM ORGANISED CONSUMERS**

**4.11.1** BIS has already approached a number of Government purchasing organizations 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) Communicate the failure to the licensee
- b) 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.
- c) In case it is not possible to pay a visit immediately, licensee's explanation shall be called and the information at (b) above sought. During the surveillance visit which shall be arranged at an early date, technical auditors shall investigate and

- discuss the matter thoroughly.
- d) Remedial measures, both short term and long term, including tightening up the STI be considered and proposed, if necessary.
  - e) 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 along with the actions taken shall be sent to CMD after the visit.

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

#### **4.12 EXCLUSION OF CERTAIN PRODUCTS FROM CERTIFICATION SCHEME**

**4.12.1 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.

**4.12.2** Similarly products covered under AGMARK and Drugs and Cosmetics Act shall not be taken up for certification. In case of any doubt CMD should be consulted.

#### **4.13 RELAXATION IN IN-HOUSE TESTING FACILITIES**

**4.13.1** 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 Annex 16.

**4.14 SHARING OF TESTING PERSONNEL** - DDGR may permit sharing of testing personnel on merits in special cases.

## **SECTION V**

### **5. MANDATORY CERTIFICATION, SPECIAL SCHEMES AND APPOINTMENT OF AGENTS**

#### **5.1 MANDATORY 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 under mandatory certification under the various legislative provisions is given in **Annex 11**. The Act/Rules/Quality Control Orders are required to be implemented by the Appropriate authority notified by Central Govt. Often the authorities are delegated to State Govt. in which case the latter notifies the relevant Department/Official. ROs/BOs should maintain a list of notified appropriate authorities and if none have been notified bring it to the attention of State Level Committee.

It should be realized that BIS is not responsible for implementation of the Quality Control Orders and therefore should not take cognizance of the instances where a manufacturer or trader is supplying the product without BIS Standard Mark. Such instances should be brought to the knowledge of Appropriate Authority. ROs/BOs should keep the Appropriate Authority informed of cancellation/suspension/expiry of licences under Mandatory Certification as well as Stop Marking orders issued and their revocation.

**5.1.2** In order to expedite the process of certification of mandatory items and operation of licences after grant the following guidelines shall be followed:

- 1) Ensure despatch of samples to the designated laboratory without undue delay.
- 2) The laboratories should be requested to take up testing immediately pointing out that it is a mandatory item and that test reports are required quickly for effective monitoring as safety, health etc. are involved in view of mandatory certification.
- 3) Monitor the progress on testing.
- 4) Take immediate action when test report is received.

#### **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 technical auditors. 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 Clauses **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 Activity Head of Certification or any other officer authorized on his behalf and are periodically reviewed. A few examples of such Schemes being operated at present are as follows:

- a) **Gas Cylinders, Valves and Regulators**- These products have been placed under Lot Inspection as BIS is required to furnish Test Certificates for each Lot inspected under Gas Cylinder Rules under the Indian Explosives Act. The detailed schemes are given in the relevant manual brought out by CMD for Lot Inspection of these products. CMD has also issued guidelines for grant of licence, inclusion of new variety of these products.
- b) **Deepwell 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.

**5.2.1.2 Continuous Supervision of In-process Quality Control of Steel Manufactured by Primary Producers** - The coverage of steel products 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 technical auditors 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 mills 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 technical auditors are intensive inspections of primary integrated steel plants and is supervised by the concerned RO/BO.

**5.2.1.3 Inspections on Behalf of Other Organizations** - BIS may undertake inspections on behalf of the other organizations to be decided by DDGR. 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.

**5.2.1.4** The inspection charges for such inspections shall be @ 2% of the FOB value of the

goods inspected, to be collected in advance.

**5.2.1.5 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 can be carried out by BIS if provided under Mutual Recognition Agreement(MRA). Details of such Agreements would be circulated by CMD I when such MRA come into existence.

**5.2.1.6 Lot Inspection on the Request of Licensee** - If any licensee requests for inspection of lots to meet buyers requirements, BO shall undertake the same and issue a certificate. Charges shall be levied and collected in advance, as detailed in **Annex 18**. Sampling plans as given in Indian Standards Specifications shall be followed.

### **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. The procedure for utilizing their services is given in **Annex 23** (under development).

### **5.4 OPERATION OF ECO MARK SCHEME**

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

The scheme is being administered by the Bureau of Indian Standards. So far the following product categories have been identified for coverage under this scheme:

- a) Soaps and Detergents;
- b) Paints;
- c) Paper;
- d) Plastics;
- e) Cosmetics;
- f) Textiles;
- g) Batteries;
- h) Wood Substitutes;
- j) Propellants 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.
- t) Leather

**5.4.2** The Scheme is being operated on a national basis and provide certification and labeling for house-hold and other consumer products which meet certain environmental criteria alongwith quality requirements prescribed in relevant Indian Standards for the product. For the implementation of the scheme, BIS is 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 IS I Mark (except for leather) for quality, safety and performance of the product and shall be licensed 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:

**BIS STANDARD MARK  
(WITH ECO LOGO)**

IS:....-



GRADE

**5.4.3** To operate the scheme, BIS has included 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 have been 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 proforma 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 as per the status circulated by the BIS Laboratories to ROs/ BOs from time to time.
- e) CMMS programme be utilized thoroughly in order to achieve target of paperless office

**6.1.2** While economizing 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 grant and renewal licences are accompanied by the application fees, preliminary factory evaluation-, advance minimum marking fee, etc, as applicable.  
Obtain correct and authentic production data for calculating the actual marking fee and encourage that the licensees mark 100 percent of the production, which conforms to the standard and is covered by the licence.
- b) Prompt collection in advance, of testing fees, special inspection charges, lot inspection charges, etc, before releasing the test reports, inspection certificates, etc.
- c) Remit the amounts received to the Accounts Department latest by next day.
- d) 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 Activity Head of Certification or DG.
- e) Payments should be received by Demand Draft / Pay Order / Money Transfer.

**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 regarding intent of grant of licence shall be sent advising them to deposit the advance minimum marking fee, and the letter intimating 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 order be taken (see **2.9.3 g**). Licence number shall be allotted only on receipt of advance minimum marking fee.

**6.1.3.1** Before submitting the Blue Form to Renewal Authority BO, the dealing officer shall ensure actual marking fee or advance minimum marking fee (whichever is higher), pending dues/arrears, if any, are paid, apart from the renewal application and licence fee.

**6.1.3.2** A consolidated list of fee to be charged from applicant/licensee as applicable is given in **Annex 18**.

**6.1.4** The various activities, actions involved, responsibilities within the BO and the related proforma to be used for financial management of certification revenue is given in **Annex 12**.

## **6.2 COMPUTERIZATION OF CERTIFICATION DATA**

**6.2.1** With effect from 1 April 2004 all relevant data relating to certification activity shall be entered in CMMS software. See **Annex 13** for instructions and responsibilities of users at BO level. Separate guidelines have been issued by NIC for data entry and generation of reports and letters.

**6.2.2 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 entered in the input screen promptly. All fees/charges received from applicant/licensees should be entered in CMMS programme which has been designed to generate receipts for the payments made to BIS and when fully functional shall be integrated with finance module of computerization project in BIS.

## **6.3 Revision of Marking Fee**

**6.3.1** Whenever marking fee rates are decided for a new product, they shall be reviewed after one year and modified, if necessary, based on production data and marking fee received. The BO which had proposed the initial Marking fee shall propose the review using the same format.

Whenever a standard is revised/amended, marking fee shall be reviewed/reaffirmed by CMD and communicated to BOs for implementation in case of any change.

For other products, marking fee shall be reviewed/reaffirmed periodically. The period of review shall be as decided by Activity Head of Certification.

## **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) Standard Mark in relation to each Indian Standard;
- b) Licences granted for use of the Standard Mark;
- c) Cancellation of licences; and
- d) Unit Rate of Marking fee for a product or process.

**7.2** While gazette notifications for Standard Mark and and Marking Fee rates shall be prepared by CMD IV, the Gazette notifications for Licences granted shall be prepared by individual BOs every month, consolidated by CMD IV and sent for gazetting under the signatures of Competent Authority.

**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 704 to CM/PF 713.

## **SECTION VIII**

### **8. CERTIFICATION WORK DOCUMENTATION AND FILING SYSTEM**

**8.1** For convenience of technical auditors 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 **Annex 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.

**8.2** Guidelines for maintaining certification marks files in BO/RO are given in **Annex 19**.

## **SECTION IX**

### **9. PROMOTION OF BIS PRODUCT CERTIFICATION SCHEME**

**9.1** 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.

**9.2** 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.

**9.3** 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.

**9.4** 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.

**9.5** Another approach to popularize the Certification Scheme is to organize periodic review meetings with licensees 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.

**9.6** 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.

**9.7** 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.

**9.8** BO shall organise technical seminar(s) as per targets fixed. During the seminar the industry's participation must be ensured and opportunity availed to enhance brand image.

**ANNEX 1**  
(Clause 1.2.2)

**RELEVANT LITRATURE ON BIS CERTIFICATION SCHEME**

	<b>CUSTODIAN</b>
Bureau of Indian Standards Act, 1986	Bureau Sectt.
Bureau of Indian Standards Rules, 1987	Bureau Sectt
Bureau of Indian Standards (Certification) Regulations, 1988	Bureau Sectt
BIS Certification Mark Scheme- Licensing Procedure	CMD I
Quality Control Order for Products under Mandatory Certification	CMD I
List of BIS recognized laboratories	CL
List of items for which testing facilities are available in BIS laboratories	CL
List and Break up of testing charges for various items covered under Certification	CL
List of manufacturers holding valid licences to use the Standard Mark	ITSD
List of Marking Fee chargeable and the relevant STI (document number) under the Certification Scheme	CMD I
Enforcement Manual issued by Enforcement Department vide their. note No ENF/1:14 dated 13 May 1994	CMD I
Quality Manual for product Certification Scheme	CMD I
Quality Procedures for Product Certification Scheme	CMD I
Forms/Formats/Register in use in Product Certification Scheme	CMD I
CMMS Software	CMD I/ITSD
Product wise policy guidelines (CMD 16 Series Circulars)	CMD-II/CMD III
BIS Foreign Manufacturer's Certification Scheme	CMD I
BIS Scheme for Indian Importers	CMD I

## ANNEX 2

(Clause 1.7.1)

### CERTIFICATION MARKING FLOW CHART

Item of Work	Responsibility	Remarks
<b>1. APPLICATION</b>		
a) Recording	BO	See <b>Annex 13</b> for recording through CMMS Software and related responsibilities
b) Correspondence with the applicant	BO	Copy to RO/CMD when policy matter is involved
c) Preliminary Factory Evaluation	BO (Technical Auditor)	Collection of Special Inspection Charges by Dealing Officer in advance
d) STI (new items)	Preparation of Draft STI –BO after preliminary factory evaluation report	Copies of finalized STI to ROs /BOs /IOs by CMD
STI Revision	Finalization – CMD CMD	
e) Rate of Marking Fee (new items)	Proposal by BO and submitted to CMD through DDGR for approval of Activity Head of Certification at HQ	All orders for new rates in a serial order be kept by concerned CMDs and a copy sent to BOs. Copy sent to CMD-I for inclusion in data base
f) Revision of Rate of MF	Proposal by concerned CMD  Approval by Activity Head of Certification at HQ	Copies of finalized Marking Fee to be sent to ROs /BOs/ IOs by CMD. Revised MF to be conveyed by BOs to licensee(s). Follow up and endorsements by BO.
g) Testing of Samples, Collection/Payment of Testing charges	BO	Approval of Head BO for testing at recognized Lab. For testing in applicant's factory, approval of DDGR to be obtained. Collection of inspection/ testing charges to be done by BO

<b>Item of Work</b>	<b>Responsibility</b>	<b>Remarks</b>
h) Red Form for the Grant of licence	<p>1. Recommendation of GOL by Dealing Officer Endorsement by Group Leader Grant of Licence by Head BO</p> <p><u>2. For first 2 licences in a BO</u> Recommendation by Group Leader Recommendation by Head BO Grant of Licence by DDGR</p> <p><u>3. For first licence in a RO</u> Recommendation by Group Leader Recommendation by Head BO Recommendation by DDGR Grant of Licence by DDGM</p>	While sending the Red Form to RO or to CMD, where required all connected documents such as Preliminary Factory Evaluation report, acceptance of STI & rate of marking fee besides copies of other relevant papers which are helpful in decision making shall be enclosed.
j) Intimation letter for grant of licence	BO	See <b>Annex 13</b> for recording through CMMS Software and related responsibilities
k) Preparation and signing of licence document	BO/RO as case may be. Signing by Licence granting authority.	
m) Forwarding of licence to licensee	BO	
n) Rejection/Closure of an application	Head of BO	Intimation to the Applicant
<b>2. OPERATION OF LICENCES</b>		
<b>Item of Work</b>	<b>Responsibility</b>	<b>Remarks</b>
a) Planning of Surveillance Vists	BO (Head / Group leader) See clause 3.2.1	Head BOs /DDGR to ensure proper utilization of specialization of Inspecting Officer in the Region
b) Surveillance and other Visits / Follow-up action	Tech Auditor / DO	
c) Collection of Sample (Market and Factory), their	Tech Auditor / DO	Withdrawal of sample to be permitted by authority



testing, and withdrawal, if required		having powers of renewal
d) Inclusion of Additional variety	Recommendation by Dealing Officer Endorsement by Group Leader Decision by Head BO	Testing at factory premises on approval of DDGR (excluding specially notified items – see <b>2.9.5</b> )
e) Complaints and closure	Regn. and Investigation as per Annex 9	Closure by DDGR with a copy to SP & CAD
f) Action arising out of Unsatisfactory performance / Failure of samples	Action at BO (Including stoppage & resumption of marking to be approved by Head of BO/Group leader as per delegation of powers in the concerned BO)	However before issuing Stop Marking, Group Leader shall take concurrence of Head BO.
g) Renewal of Licence/ Deferment of Renewal	Recommendation by Dealing Officer. Decision by Group Leader	In case where Group Leader is also the Dealing Officer, the decisions to be taken by Group Leader shall be referred to the BO Head.
h) Resumption of stop Marking	Recommendation by Group Leader Decision by Head BO	
j) Expiry	Proposal by concerned group leader, approval by Head of BO	
k) Cancellation	Proposal by BO Show cause notice by BO under DDGR's signature Decision on cancellation by DDGR (after hearing, if any)	
l) Endorsements in Licence Document	Group Leaders	
m) Export and other special inspection	Policy decision by Activity Head of Certification at HQ on recommendation of DDGR/CMD  Inspection by nominated BO/officers	Collection of fees by BO. Information to RO & CMD

- HQ - Head quarters  
RO - Regional Office  
BO - Branch Office (includes Marks Departments at ROs & CMD-I)  
IO - Inspection Office

## **ANNEX 3**

(Clause 2.2.1)

### **JURISDICTION OF REGIONAL AND BRANCH OFFICES**

1. **Northern Regional Office (Chandigarh), NRO**  
States of Punjab, Haryana, Jammu & Kashmir, Himachal Pradesh, Uttar Pradesh/Uttaranchal (excluding NOIDA and area covered by Ghaziabad Office), Union Territory of Chandigarh
  - 1.1 Chandigarh Branch Office (CHBO)  
States of Punjab, Jammu & Kashmir, Haryana (excluding those under FDO), Union Territory of Chandigarh
  - 1.2 Faridabad Office (FDO)  
Faridabad , Gurgaon, Rewari, Mahendragarh & Jhajjar Districts of Haryana
  - 1.3 Kanpur Branch Office (KBO)  
Agra, Etawah, Kanpur nagar, Kanpur Dehat, Mathura, Aligarh, Fatehpur, Firozabad & Jhansi, Hamirpur, Banda, Auraiya, Mainpuri, Hathras, Etah, Lalitpur, Jalaun, Mahoba, Shahuji Nagar, Allahbad,Pratapgarh, Kaushambi, Farrukhabad, Kannauj Districts of UP
  - 1.4 Lucknow Branch Office (LBO)  
States of Uttar Pradesh and Uttaranchal (excluding NOIDA and districts covered by KBO and GZO)
  - 1.5 Nalagarh Branch Office (NLBO)  
State of Himachal Pradesh
2. **Central Regional Office (Delhi), CRO**  
States of Madhya Pradesh, Chhattisgarh, Rajasthan, Union Territory of Delhi, NOIDA and areas of U.P. covered by Ghaziabad Office
  - 2.1 Bhopal Branch Office (BPLBO)  
State of Madhya Pradesh, Chhattisgarh, Inspection Office - Bhilai
  - 2.2 Delhi Branch Offices (MDD)  
Union Territory of Delhi, NOIDA
  - 2.3 Ghaziabad Branch Office (GZO)  
Ghaziabad (excluding NOIDA), Saharanpur, Muzaffarnagar, Meerut, Baghpat, Bulandshahar, Districts of UP and Dehradun, Hardwar, Tehri Garhwal , Pauri Garhwal, Chamoli, Uttarkashi, Rudraprayag, Districts of Uttaranchal

- 2.4 Jaipur Branch Office (JBO) .  
State of Rajasthan
3. **Eastern Regional Office (Kolkata), ERO**  
States of Bihar, Jharkhand, West Bengal, Orissa, Sikkim, Assam, Meghalaya,  
Nagaland, Arunachal Pradesh, Tripura, Manipur and Mizoram
- ~~3.1~~ Bhubaneshwar Branch Office (BHBO)  
State of Orissa, Inspection Office - Rourkela,
- ~~3.2~~ Kolkata Branch Office (MDK)  
State of West Bengal, Sikkim, Inspection Office – Durgapur
- 3.3 Guwahati Branch Office (GBO)  
States of Assam, Meghalaya, Arunachal Pradesh, Nagaland, Tripura, Manipur and  
Mizoram
- ~~4.3~~ Patna Branch Office (PBO)  
States of Bihar & Jharkhand, Inspection Office – Jamshedpur
4. **Western Regional Office (Mumbai), WRO**  
States of Maharashtra, Gujarat, Goa, Daman and Diu, Dadra and Nagar Haveli
- 4.1 Mumbai Branch Office (MDM)  
State of Maharashtra (excluding districts covered by Pune and Nagpur offices), State  
of Goa, Daman and Dadra Nagar Haveli
- 4.2 Ahmedabad Branch Office (ABO)  
State of Gujarat, except Districts covered by Rajkot Branch Office
- 4.3 Pune Branch Office  
Ahmednagar, Aurangabad, Beed, Jalna, Kolhapur, Latur, Nanded, Osmanabad,  
Parshani, Pune, Sangli, Satara and Solapur, Hingoli, Washim, Districts of  
Maharashtra State
- 4.4 Nagpur Branch Office  
Akola, Amaravati Bhandara, Buldhana, Chandrapur, Gondia, Garhichirol, Nagpur,  
Wardha and Yavatmal Districts of Maharashtra State
- 4.5 Rajkot Branch Office  
Rajkot, Junagadh, Kodinar, Bhavnagar, Jamnagar, Porbandar, Surendranagar, Kutch,  
and Amreli Districts of Gujarat and U.T of Diu

5. **Southern Regional Office (Chennai), SRO**  
States of Tamil Nadu, Andhra Pradesh, Karnataka, Kerala, Andaman Nicobar and Union Territory of Pondichery
- 5.1 Bangalore Branch office (BNBO)  
State of Karnataka
- 5.2 Coimbatore Office (CBTO)  
Districts of Coimbatore, Nilgiri & Erode of Tamil Nadu State
- 5.3 Hyderabad Branch Office (HBO)  
State of Andhra Pradesh, except districts covered by VBO
- 5.4 Chennai Branch Office (MDC)  
State of Tamil Nadu except districts covered under Coimbatore Branch, Union Territory of Pondichery (excluding Mahe and Yanam)
- 5.5 Thiruvananthapuram Branch Office (TBO)  
State of Kerala, Lakshadweep, Mahe (Union Territory of Pondichery)
- 5.6 Vishakhapatnam Branch Office (VBO)  
Districts of Khammam, West Godavari, East Godavari, Vijaynagram, Vishkapatnam, Srikakulam of Andhrapradesh State and Yanam (U.T. of Pondichery)

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

MDCH	-	Marks Department Chandigarh
MDD	-	Marks Department Delhi
MDK	-	Marks Department Kolkata
MDM	-	Marks Department Mumbai
MDC	-	Marks Department Chennai

## **ANNEX 4**

(Clause 2.4.4)

### **SPECIMEN SCHEME OF TESTING AND INSPECTION**

**DOC : STI/XXX/1  
April 2004**

#### **CERTIFICATION OF PRODUCT ACCORDING TO IS XXX**

**1. Laboratory** - A laboratory shall be maintained which shall be suitably equipped and staffed to carry out the different tests in accordance with the methods given in the Indian Standards.

**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 products as envisaged in this Scheme [See IS: 397 (Part 1) - 1972, IS: 397(Part 2) - 1985 and IS:397 (Part 3) - 1980].

**2.2.1** The following instruments/equipment are required to be brought under: calibration control, as per frequency to be decided depending upon the usage.

**2.3** In addition, effort should be made to gradually introduce a Quality Management System in accordance with IS/ISO 9001-2000.

**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 (Product) 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 attached 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.

- e) Licence Number “CM/L...”
- f) For details of BIS certification Scheme, visit [www.bis.org.in](http://www.bis.org.in)

**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 production 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 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 Product A, 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 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 Product A, 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.

**9.1** In the event of any damages caused by the goods bearing the Standard Mark, or claim being filed by the consumers against BIS Standard Mark and not "conforming to" the relevant Indian Standard, entire liability arising out of such non conforming product shall be of licensee and BIS shall not in any way be responsible in such cases.

**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 to be authenticated by a Chartered Accountant or by the manufacturer by giving an affidavit / undertaking, a statement of quantity produced, marked and exported by him and the trade value thereof end of each operative year of the licence.

**Note:** The proforma given in Appendix I to **Annex 15** shall be enclosed to the STI for obtaining the production data.

## IS XXX

### Product A

**Table 1 Levels of Control**

**(Para 5 of the Scheme of Testing and Inspection)**

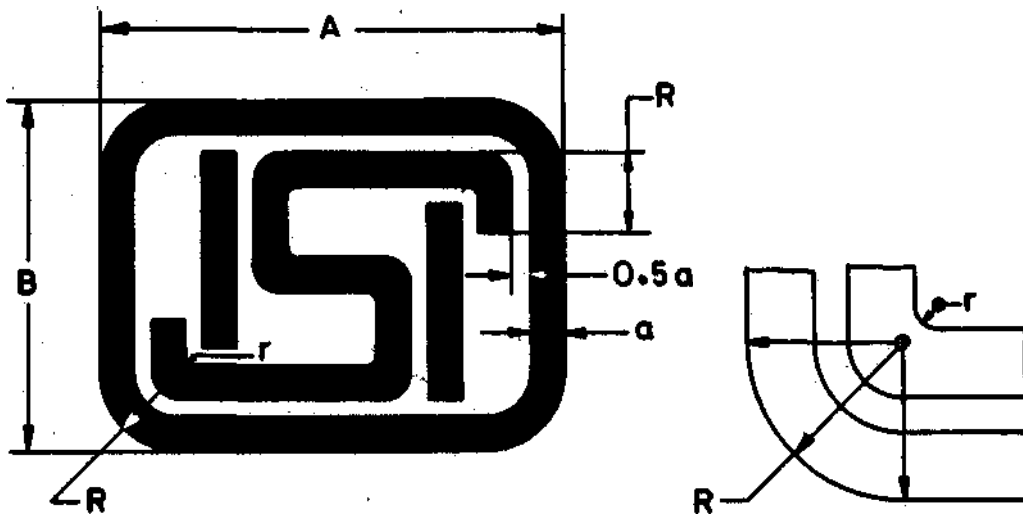
Test Details			Levels of Control				
Clause Requirements	Test Method		No..of samples			Freq.	Rinks
	Cl.	Ref.	Den. Gr.	Med. Gr.	Light Gr.		
3.1 Description	3.1	XXX	Two	Two	Two	Every Control unit	
3.2 Bulk Density	App A-2	-do-	One	One	One	-do-	
3.3 Volatile Matter	App B	-do-	One	One	One	-do-	
3.4 Sieve analysis (for particular size)	3.4.1	-do-	Two	--	--	-do-	
5.1 & Total Alkalinity Table 1 (as Na <sub>2</sub> CO <sub>3</sub> ) 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	App C-5	-do-	One	One	One	-do-	



## ANNEX 5

(Clause 2.6.2 & 2.9.3)

### PREFERRED DESIGNS OF MONOGRAM FOR STANDARD MARK



**FIG. 1 MONOGRAM FOR STANDARD MARK**

The monogram of the Standard Mark consists of the pictorial representation, drawn in the exact style as indicated in Fig. 1 and in relative proportions as given in Table 1.

**Table 1 Preferred Dimensions of Monogram**

All dimensions in millimeters

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**

1. NOMINATE responsible person(s) to deal with all matters concerning BIS Certification.
2. FAMILIARIZE Top Management and Quality Assurance personnel with the provisions of the BIS Act, BIS Rules and BIS (Certification) Regulations as amended from time to time.
3. PAY minimum marking fee in advance. If it is not received in time, your licence may expire.
4. 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.
5. 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.
6. SUBMIT statement of quantity produced and marked by 31 July and 31 January for the preceding six months.
7. 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 and await verification / permission from BIS
8. APPLY for renewal (along with the licence and fees) one month in advance of the expiry date of the validity period of your licence.. While applying, full details should be given in 'Performance Sheet' enclosed with the application form.
9. COMPLY with all instructions of BIS immediately, specially when a licence is under stop marking or is cancelled/deferred/expired; otherwise you will attract legal action(s) as per the BIS Act.
10. 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/markings.
12. APPLY Standard mark only on those varieties and batches/lots of production which conform to the relevant Indian Standard and 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.
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 Technical Auditor 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 Technical Auditor.
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 Technical Auditor without prior permission of BIS.
21. PACK the sample(s) drawn by BIS Technical Auditor 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 Technical Auditor with advice to the concerned Regional Office/Branch Office of BIS. Alternatively hand over the sample to the courier appointed by BIS for transporting the sample.
23. NOTE that action may be taken against you in case BIS Technical Auditor is not able to carry out inspection at the time of his normal visit (see 5,11,16 and 17).
24. Copy of the STI in force should be available in the laboratory.

**ANNEX 7**  
(Clause 3.12.12)

**ENDORSEMENTS IN LICENCES**

Licence No. : \_\_\_\_\_ Name of Licensee : \_\_\_\_\_  
Endorsement No. : \_\_\_\_\_ IS : \_\_\_\_\_ Product ; \_\_\_\_\_

**Endorsement A – Renewal**

Renewed for a further\* period of Two Years! from .....Two Thousand and .....to Two Thousand and Two Thousand and ..... ,

Other terms and conditions of the licence remain same.

Sig. of designated authority

\*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.

Sig. of designated authority

**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.

Sig. of designated authority

**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:STL..... with effect from .....

Other terms and conditions of the licence remain the same.

Sig. of designated authority

b) FOR CHANGE IN THE EXISTING CLAUSE

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

Other terms and conditions of the licence remain the same.

Sig. of designated authority

**Endorsement E - Revised Scheme of Testing and Inspection**

Consequent upon the revision of the Scheme of Testing and Inspection, Doc;STL..... has been replaced by the revised scheme, Doc;STL..... with effect from .....

Other-terms and conditions of the licence remain the same.

Sig. of designated authority

**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 ..... Two Thousand 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 marking fee 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.

Sig. of designated authority

**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.

Sig. of designated authority

## ANNEX 8

(Clause 3.7.3)

### ABBREVIATIONS FOR USE IN CERTIFICATION WORK

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

GOL	for	Grant of Licence	MF	for	Marking Fee
FT	"	Factory testing	MS	"	Market Sample
BF		Blue Form	FM		Foreign Manufacturer
BO	"	Branch Office	IT	"	Independent Testing
OSL	"	Outside Laboratory	RA	"	Renewal Application
CS		Counter Sample	RF		Red Form
FS		Factory Sample	RO	"	Regional Office
IO		Inspection Office	STI	"	Scheme of Testing and Inspection
SR		Surveillance Visit Report	ROM		Resumption of Marking
LIC	"	Licence	TR	"	Test Report
LIR	"	Lot Inspection Report	YF	"	Yellow Form
MD	"	Marks Department at PFR RO			Preliminary Factory Evaluation Report
AS		Applicant Sample	CP		Complaint Sample
IN		Inclusion Sample	SM		Stop Marking

**ANNEX 9**  
(Clause 4.3)

**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 products 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 the 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 jurisdiction 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 the 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 AD 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 SP & 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 established that any licensee has intentionally produced substandard product. In such cases, cancellation of not only of that particular licence but of all other licences, held by that licensee, should be done in consultation with ADGM/DG.
- i) The final decision/action taken shall be conveyed to the complainant by the BO under whose jurisdiction the complainant is situated.
- j) “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.
- k) In case of food products under mandatory certification (and for any other identified product where stricter norms are to be applied), ‘Stop marking’ shall be imposed if complaint sample fails in testing in critical requirements.

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. 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/SP & 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
4. Complaint Received at On Date (Name of BO/Deptt.)
5. Name of 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 SP & CAD)

(Dealing Officer/PGO)

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

## Appendix 2

### BUREAU OF INDIAN STANDARDS (BO/Mark Deptts. of ROs/SP & 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 proceeding one operative

a) Dates of Inspection	Performance Satis/Unsatis	Factory Testing Pass/Fail
------------------------	---------------------------	---------------------------

b) Independent Test Reports	Factory Sample Pass/Fail	Market Samples 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 licensee

19. Actions taken by the licensee for redressal of complaint

20. Whether redressal acknowledged by the complainant

(Dealing Officer)

21. Recommendations

(Director Incharge)

22. Orders of DDG

cc:

i) SP & CAD

ii) Complainant End BO

iii) Other concerned Deptts. such as Enforcement/Legal

## Appendix 3

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

#### REPORT OF INVESTIGATION OF COMPLAINT AT COMPLAINANT END

Our Ref:

Date:

Subject:

Complaint Against M/s.....  
Our Licensee under..... Branch Office

- 0. GENERAL
  - 0.1 Complaint No. & Date
  - 0.2 Name & 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 & Date of Investigation
  - 1.2 Persons contacted .
  - 1.3 Details of product
    - 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) SP & CAD

## Appendix 4

### BUREAU OF INDIAN STANDARDS

(BO/Marks Deptt. of RO/SP & 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 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. CONSLUSION
- 3. RECOMMENDATIONS

Signature

Name of IO : Designation :  
RO/BO/Deptt.:

Head of BO  
Group Leader

cc: i) Complainant-end BO  
ii) SP & CAD

**ANNEX 10**  
(Clause 4.8.1)

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

**A. Papers to be sent to RO (when required)**

**I. For Grant of licence**

i) Red form along with

- a) Preliminary factory evaluation 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).

**B. Papers to be sent to CMD**

**I. For fixation of Marking Fee and STI**

- i) Preliminary Inspection Report with Draft STI and Proposal for Marking Fee (in relevant proforma CM/PF 501) 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 ROs/BOs on STI, Marking Fee or Indian Standards.

**II. For Revision of Marking Fee**

- i) Justification proposal in relevant proforma, CM/PF 502

## ANNEX 11

(Clause 5.1.1)

### LIST OF INDIAN STANDARDS UNDER MANDATORY CERTIFICATION\*

Sl No.	Parent Act, Rules, Regulations	Title of the QC Order	QC Order/ Notification	Implementing Authority
<b>I</b>	<b>Prevention Of Food Adulteration Act, 1954</b>	Prevention of Food Adulteration Rules, 1984 (third amendment)	Ministry of Health and Family Welfare, Dept of Health, Notification G.S.R. No. 764(E) 15 Nov 1994	Food (Health) Authority of the State
1.	IS 1694	Tartrazine, Food grade		
2.	IS 1695	Sunset Yellow FCF, Food grade		
3.	IS 1697	Erythrosine, Food grade		
4.	IS 1698	Indigo Carmine, Food grade		
5.	IS 2558	Ponceau 4R, Food grade		
6.	IS 2923	Carmoisine, Food grade		
7.	IS 5346	Synthetic Food Colour preparation and mixtures		
8.	IS 6022	Fast Green FCF, Food grade		
9.	IS 6406	Brilliant Blue FCF, Food grade		
10.	IS 3827	Riboflavin		
11.	IS 3841	B-Carotene		
12.	IS 4446(Pt1)	Chlorophyll, (Mg Complex)		
13.	IS 4446(Pt2)	Chlorophyll, (Cu Complex)		
14.	IS 6386	Beta-apo-8-carotenol, food grade		
15.	IS 6405	Centhaxanthine, food grade		
16.	IS 6797	Methyl ester of beta-apo-8-carotenoic acid		
17.	IS 7260	Ethyl ester of beta-apo-8-carotenoic acid, food grade		
<b>II</b>	<b>Prevention Of Food Adulteration Act, 1954</b>	Prevention of Food Adulteration Rules, 1984 (Fourth amendment)	Ministry of Health and Family Welfare, Dept of Health, Notification G.S.R. No. 283(E) dt. 26 March 1983	Food (Health) Authority of the State
18.	IS 2557	Annatto colour for food products		
19.	IS 4447	Sodium benzoate, Food grade		
20.	IS 4448	Benzoic acid, Food grade		
21.	IS 4467(Pt1)	Caramel (Plain)		
22.	IS 4467(Pt2)	Caramel (Ammonia Process)		
23.	IS 4467(Pt3)	Caramel (Ammonia sulphite process)		
24.	IS 4750	Sorbitol, Food grade		

	25.	IS 4751	Potassium meta-bisulphite, Food Grade	
	26.	IS 4752	Sodium metabisulphite, Food grade	
	27.	IS 4818	Sorbic acid, Food grade	
	28.	IS 5191	Sodium alginate, Food grade	
	29.	IS 5306	Sodium carboxymethyl cellulose, Food Grade	
	30.	IS 5342	Ascorbic acid, Food grade	
	31.	IS 5343	Butylated hydroxy-anixole, Food Grade	
	32.	IS 5707	Agar, Food grade	
	33.	IS 5719	Gelatin, Food grade	
	34.	IS 6030	Sodium propionate, Food grade	
	35.	IS 6031	Calcium propionate, Food grade	
	36.	IS 6793	Fumaric acid, Food grade	
	37.	IS 7905	Calcium alginate, Food grade	
	38.	IS 7908	Sulphur dioxide, Food grade	
	39.	IS 7928	Alginic acid, Food grade	
	40.	IS 9504	Tartaric acid, Food grade	
<b>III</b>		<b>Prevention Of Food Adulteration Act, 1954</b>	Prevention of Food Adulteration Rules, 1988 (Six amendment)	Ministry of Health and Family Welfare, Dept of Health, Notification G.S.R. No. 437(E) dt 8 Apr 1988
				Food (Health) Authority of the State
	41.	IS 10563	Mineral Oil, Food grade	
<b>IV</b>		<b>Prevention Of Food Adulteration Act, 1954</b>	Prevention of Food Adulteration Rules, 1979 (First amendment)	Ministry of Health and Family Welfare, Dept of Health, Notification G.S.R. No. 55(E) dt 31 Jan 1979
				Food (Health) Authority of the State
	42.	IS 8356	Titanium dioxide, Food grade	
<b>V</b>		<b>Prevention Of Food Adulteration Act, 1954</b>	Prevention of Food Adulteration Rules, 1981 (third amendment)	Ministry of Health and Family Welfare, Dept of Health, Notification G.S.R. No. 290(E) dt 13 Apr 1981
				Food (Health) Authority of the State
	43.	IS 9971	DL Lactic acid, Food grade	
<b>VI</b>		<b>Prevention Of Food Adulteration Act, 1954</b>	Prevention of Food Adulteration (amendment) Rules, 1984	Ministry of Health and Family Welfare, Dept of Health, Notification G.S.R. No. 550(E) dt. 4 July 1995
				Food (Health) Authority of the State
	44.	IS 1165	Milk powder	
	45.	IS 1166	Condensed milk, partly skimmed and skimmed condensed milk	

<b>VII</b>	<b>Prevention Of Food Adulteration Act, 1954</b>	Prevention of Food Adulteration (fifth amendment) Rules, 1991	Ministry of Health and Family Welfare, Dept of Health, Notification G.S.R. No. 257(E) dt 3 May 1991	Food (Health) Authority of the State
	46. IS 1547	Infant milk foods		
	47. IS 1656	Milk-cereal base weaning foods		
	48. IS 11156	Infant formulae		
<b>VIII</b>	<b>Bureau of Indian Standards Act, 1986 ( 63 of 1986) Sec 14</b>	Cement (Quality Control) Order, 2003	Ministry of Commerce & Industry, Dept. of Industrial Policy and Promotion S.O. No. 191(E) Dt. 17 Feb 2003	Officers appointed by State Govt./ Central Govt
	49. IS 269	33 Grade Ordinary Portland cement		
	50. IS 455	Portland Slag cement		
	51. IS 1489(Pt1 & Pt2)	Portland pozzolana cement - Part 1 Flash based and Part 2 Calcined Clay based		
	52. IS 3466	Masonry cement		
	53. IS 6452	High alumina cement for structural use		
	54. IS 6909	Supersulphated cement		
	55. IS 8041	Rapid hardening Portland cement		
	56. IS 8042	White Portland Cement		
	57. IS 8043	Hydrophobic Portland Cement		
	58. IS 8112	43 Grade Ordinary Portland cement		
	59. IS 8229	Oil well cement		
	60. IS 12269	53 Grade Ordinary Portland cement		
	61. IS 12330	Sulphate resisting Portland cement		
	62. IS 12600	Low heat Portland Cement		
<b>IX</b>	<b>Essential Commodities Act, 1955</b>	Mild Steel Tubes (excluding seamless tube & tubes according to API specification) (Q.C.) order, 1978 and Amendment Order, 1983	Min. of Industries (Dept. of Heavy Inds.) G.S.R. No. 374(E) dt. 18 July 1978 and G.S.R. No. 462(E) dated 1 June 1983	State Govts.
	63. IS 1161	Steel tubes for structural purposes		
	64. IS 1239(Pt1)	Mild steel tubes, tubular products and other wrought steel fittings:Part 1 Mild Steel Tubes		
	65. IS 4270	Steel tubes used for water wells (upto 200 mm dia)		

<b>X</b>	<b>Essential Commodities Act, 1955</b>	Oil Pressure Stove (Q.C) Order, 1997	Min of Industry, Dept. of Indl Policy & Promotion SO 451(E) 16 June 1997	Officers appointed by State Govt./ Central Govt./ BIS in terms of Cl.2(a) of the Order.
	66. IS 1342	Oil pressure stoves		
	67. IS 2787	Multi-burner oil pressure stoves		
	68. IS 10109	Oil pressure stove, offset burner type		
<b>XI</b>	<b>Bureau of Indian Standards Act, 1986 ( 63 of 1986) Sec 14</b>	Electrical Wires, Cables, Appliances and Protection Devices and Accessories (Quality Control) Order, 2003	Ministry of Commerce & Industry, Dept. of Industrial Policy and Promotion S.O. No. 189(E) Dt. 17 Feb 2003	Officers appointed by State Govt./ Central Govt
	69. IS 302(Pt2/Sec 3)	Safety of household and similar electrical appliances -Electric Iron		
	70. IS 302(Pt2/Sec 30)	Safety of household and similar electrical appliances- Electric radiators		
	71. IS 302(Pt2/Sec 201)	Safety of household and similar electrical appliances - Electric immersion water heater		
	72. IS 302(Pt2/Sec 202)	Safety of household and similar electrical appliances - Electric stove		
	73. IS 3854	Switches for domestic and similar purposes		
	74. IS 4949	2 Amp Switches for electric and similar purposes		
	75. IS 418	Tungsten filament general service electric lamps (upto 100 W)		
	76. IS 694	PVC insulated cables for working Voltages upto and including 1100 V		
	77. IS 8828	Electrical Accessories - Circuit Breakers for over current protection for household and similar installations		
	78. IS 9968 (Pt.1)	Elastomer insulated cables (Pt.1): For working voltages upto and including 1100 V		
	79. IS 12640 (Pt.1)	Residual current operated circuit breakers for household and similar uses - (Pt.1) : Circuit breakers without integral overcurrent protection (RCCBs)		
	80. IS 12640 (Pt.2)	Residual current operated circuit breakers for household and similar uses - (Pt.2) : Circuit breakers with integral overcurrent protection (RCVOs)		
	81. IS 13010	AC Watt-hour meters, class 0.5, 1 & 2		
	82. IS 13779	AC static watt-hour meters, class 1 & 2		



83.	IS 14697	ac static transformer operated watt-hour and VAR- hour meters, class 0.2S & 0.5S		
<b>XII</b>	<b>Regulation 191 of the Coal Mines Regulations, 1957 and Regulation 182 of the Metalliferous Mines Regulations 1961</b>	Supply and Purchase of approved safety footwear for use in mines	Directorate General of Mines Safety, D.G.M.S. (Approval) Circular No. 5 Dt. 5 March 1976	Director General of Mines Safety, Chief Inspector of Mines
84.	IS 1989(Pt1)	Leather safety boots and shoes for miners		
<b>XIII</b>	<b>Regulation 157(4) Of Coal Mines Regulations</b>	Certification of Miner's Cap Lamp Batteries	Directorate General of Mines Safety, letter No. 59817 (G) Dt. 19 Dec. 1968	Director General of Mines Safety, Chief Inspector of Mines
85.	IS 2512	Miners' cap lamp batteries (Lead acid type)		
<b>XIV</b>	<b>Regulation 157(4) Of Coal Mines Regulations</b>	Certification of Winding ropes used in Mines	Chief Inspector of Mines C.I.M. Circular No. 22 of 1966 Dt. 23.4.1966	Director General of Mines Safety, Chief Inspector of Mines
86.	IS 1855	Standard steel wire ropes for winding and man-riding haulages in mines		
87.	IS 2148	Flameproof enclosures of electrical apparatus		
88.	IS 2925	Industrial safety helmets		
<b>XV</b>	<b>Indian Explosive Act, 1884</b>	Gas Cylinder Rules, 1981	Min of Industry, Dept. of Industrial Development G.S.R. No. 77(E) Dt. 24 Feb 1987	Controller of Explosives. DM's, Magistrates Subordinates to DM's, Commissioner of Police & all Police Officers
89.	IS 3196(Pt1)	Welded low carbon steel gas cylinder exceeding 5 litre water capacity for low pressure liquefiable gases:Pt1 Cylinders for liquefied petroleum gas (LPG)		

90.	IS 3196(Pt2)	Welded low carbon steel gas cylinder exceeding 5-litre water capacity for low pressure liquefiable gases:Pt 2 Cylinders for liquefiable gases other than LPG.		
91.	IS 3224	Valve fittings for compressed gas cylinder excluding liquefied petroleum gas cylinders		
92.	IS 3745	Yoke type valve connections for small medical gas cylinders		
93.	IS 7142	Welded low carbon steel gas cylinder for low pressure liquefiable gases not exceeding 5 litre water capacity		
94.	IS 7285	Seamless steel cylinders for permanent and high pressure liquefiable gases		
95.	IS 7302	Valve fittings for gas cylinder valves for use with breathing apparatus		
96.	IS 7312	Welded and seamless steel dissolved acetylene gas cylinders		
97.	IS 7680	Welded low carbon steel gas cylinders for ammonia		
98.	IS 7681	Welded low carbon steel gas cylinders for chlorine gas		
99.	IS 7682	Welded low carbon steel gas cylinders for methyl bromide gas		
100	IS 8737	Valve fittings for use with liquefied petroleum gas cylinders of more than 5 litre water capacity: Pt 2 Valve fittings for newly manufactured LPG cylinders		
101	IS 8776	Valve fittings for use with liquefied petroleum gas cylinder up to and including 5 litre water capacity		
<b>XVI</b>	<b>Essential Commodities Act, 1955</b>	Solvent Extracted Oil, De-oiled Meals and Edible Flour (Control) Order, 1967	Dept. of Civil Supplies, Directorate of Vanaspati	Vegetable Oil Products Controller of India
102.	IS 3470	Hexane, Food grade		
<b>XVII</b>	<b>Bureau of Indian Standards Act, 1986 ( 63 of 1986) Sec 14</b>	Multiple Dry Batteries (Q.C.) Order, 1987	Dept. of Civil Supplies, S.O. 516 (E) Dt. 25 May 1987	Bureau of Indian Standards
103.	IS 8144	Multipurpose dry batteries		
<b>XVIII</b>	<b>Atomic Energy Regulation Board</b>	Diagnostic Medical X-Ray Equipment	AERB/443/39 MDX/3509/94 Oct 94	Atomic Energy Regulatory Board
104.	IS 7620(Pt1)	Diagnostic Medical X-ray Equipment - Part 1 : General and Safety Requirements		

<b>XIX</b>	<b>The Infant Milk Substitutes, Feeding Bottles and Infant Foods (regulation of production, supply and distribution) Act 1992</b>		Department of Women and Child Development, Ministry of Human Resource Development . GSR No. 527(E) Dt. 31 July 1993	Food (Health) Authority of the State
105.	IS 14625	Plastic Feeding Bottles		
<b>XX</b>	<b>Prevention of Food Adulteration Act, 1954 (37 of 1954) Sec 23</b>	Prevention of Food Adulteration (6 <sup>th</sup> amendment) Rules 2000	Ministry of Health & Family Welfare GSR No. 759(E) Dt. 29 September 2000	
106.	IS 13428:1998	Packaged Natural Mineral Water		
<b>XXI</b>	<b>Prevention of Food Adulteration Act, 1954 (37 of 1954) Sec 23</b>	Prevention of Food Adulteration (7 <sup>th</sup> amendment) Rules 2000	Ministry of Health & Family Welfare GSR No. 760(E) Dt. 29 September 2000	
107.	IS 14543:1998	Packaged Drinking Water (Other than Packaged Natural Mineral Water)		
<b>XXII</b>	<b>Bureau of Indian Standards Act, 1986 ( 63 of 1986) Sec 14</b>	Clinical Thermometers (Quality Control), 2001	Ministry of Consumer Affairs, Food and Public Distribution, Deptt. of Consumer Affairs GSR No. 843(E) dt. 9 November 2001	Director, Legal Metrology
108.	IS 3055(Part 1):1994	Clinical Thermometers : Part 1 Solid Stem Type		
109.	IS 3055(Part 2):1988	Clinical Thermometers : Part 2 Enclosed Scale Type		

\* List under review (Updated list shall be posted on the BIS website from time to time).

**ANNEX 12**  
(Clause 6.1.4)

**FINANCIAL MANAGEMENT OF CERTIFICATION REVENUE**

Item of Work	Actions Involved	Responsibility	Related Proforma
1. Receipt of Application Fee	Preparation of Receipt through CMMS	Branch Office	FM -1
2. Raising of Invoice for			
a) Advance Minimum Marking Fee on Grant of Licence	Preparation of Request for raising of Invoice	Technical Group in Branch Office	FM-5/ FM-6
b) Testing charges	Raising of Invoice	Registry Clerk in Branch Office	
c) Lot Inspection charges			
d) Special Inspection charges			
e) On any other account			
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 wrongly raised or for any other reason	Preparation of Note	Technical Group in – Branch Office	

9. Follow up action on 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 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	Technical Group in Branch Office	FM-6
	Raising of Invoice	Registry Clerk in Branch Office	FM-2
12. Receipt of Payments with Renewal Application Invoice (if any)	Checking for Correctness and Preparation of Request for Raising	Technical Group in Branch Office	FM-6
	Raising of Invoice/ Preparation and Issuance of Receipt	Registry Clerk in Branch Office	FM-2/ FM -1

**Note :** Raising of Invoice would not be necessary in case the payment is made by the applicant / license himself based on intimation letter sent by BIS.

**ANNEX 13**  
**(Clause 6.2.1)**  
**INSTRUCTIONS FOR USE OF CMMS SOFTWARE**

**1.1** The CMMS software has come in operation with effect from 1 April 2004. In order for the software to function effectively, information regarding all existing applications and licences should be entered using the relevant input sub-modules. The cut off date for entering data for existing licences shall be 1 April 2003 or the last renewal date, whichever is earlier. At the same time all procedural transactions falling due after 1 April 2004 relating to processing of applications and licences should be entered in the relevant screens. For any difficulty the Instruction Manual prepared by NIC may be referred or the NIC personnel may be contacted through email. While the software has been provided with adequate validation checks to prevent incorrect information from being recorded, due care should be taken when making the entries to avoid future inconvenience. There is no provision for changing the information, once recorded, except at the administrator level. It may therefore be emphasized to all officers and staff that they should confirm the correctness of information before making entries. Certain outputs such as Blue Form, Red Form may not get generated if the essential information is not entered before hand. In such case, the information can be entered using the appropriate screen even at later stage.

In the first version, limited number of query outputs have been provided. However these will be added in the subsequent versions. In the first version the status of the application and licence has to be manually updated. The dealing officer / staff should therefore ensure that the status is updated after each transaction. To know the full status of the application and Licence, the History' output in the Queries section may be accessed.

Administrators shall ensure that the uploading of the Central Server at NIC with the BO level data and downloading of Masters relating to Indian Standards, employee database, STI and Marking Fee, Laboratories is done in accordance with the instructions issued for this purpose. Web postings of Application status and DG MIS shall also be responsibility of administrators Head BOs.

**1.2 RESPONSIBILITIES OF ADMINISTRATORS**

Allocation of login & passwords to different users  
Assigning of Groups and Indian Standards to users  
Preparation of BO Masters  
Making corrections/modifications in database on request from users in BOs  
Coordinating with IT Services, CMD-I and NIC  
Uploading of BO data to central server at defined intervals  
Downloading of CMD Masters at defined intervals  
Booting and shutdown of server

### **1.3 RESPONSIBILITIES OF HEAD BOs**

Nominating Administrator/alternate administrator  
Deciding access to individual entry/query screens  
Ensuring use of CMMS by all officers individually  
Monitoring entries and reviewing through query outputs  
Ensuring Generation of MCR  
Ensuring entry in DG MIS

### **1.4 RESPONSIBILITIES OF DEALING OFFICERS**

Completing entries for existing licences and applications as per guidelines  
Ensuring entry of new applications before recording and at the time of recording  
Ensuring updating of Application Status after each stage  
Ensuring entry of application fee and related charges and generation of receipt (Application module)  
Generation of letter for recording of application  
Generation of letter for responding to incomplete applications  
Entry for Test Report receipt and results after decoding (Application module)  
Generation of Red Form, entry of decision on Red form  
Entry of type size grade variety for which licence granted  
Entry of receipt of Advance Marking Fee and generation of receipt  
Entry of Licence number  
Preparation of Grant of Licence Letter  
Ensuing entry for market samples  
Ensuring entry for Stop Marking  
Ensuring entry for Brand Names  
Ensuring entry for sample deposition  
Entry for Test Report receipt and results after decoding (Licence module)  
Ensuring entry for all fees and related charges and generation of receipt (Licence module)  
Generation of renewal notice, Blue form, entry of decision on Blue form  
Preparation of Grant of Licence Letter  
Entry in Yellow Form, entry of decision on Yellow form  
Ensuring Preparation of Endorsements in Licences  
Entry for Cancellation of Licence  
Generating queries and reports as relevant

### **1.5 RESPONSIBILITIES OF TECHNICAL AUDITORS**

Entry of Preliminary Factory evaluation report  
Entry of Surveillance report  
Entry of Follow up / Contact reports  
Entry for samples drawn

## **1.6 RESPONSIBILITES OF CERTIFICATION STAFF**

All activities relating to Dealing Officer as assigned by Head BO / Group Leader

## **1.7 RESPONSIBILITIES OF ACCOUNTING STAFF**

All entries relating to financial transactions / generation of receipts / other financial statements as assigned by Head BO / Group Leader.



**ANNEX 14**  
(Clauses 3.2.3 and 8.1)

**LIST OF PROFORMAE USED IN CERTIFICATION WORK**

<b>REF: NO.</b>	<b>TITLE</b>
<b>1. PROFORMAS FOR LETTERS</b>	
CM/PF 101(A)	ACKNOWLEDGMENT 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 TO LICENSEE BY BO TO DEPOSIT MINIMUM MARKING FEE
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
<b>2. PROFORMAE FOR INSPECTION REPORTS</b>	
CM/PF 201	REPORT OF PRELIMINARY FACTORY EVALUATION
CM/PF 202	REPORT OF PRELIMINARY FACTORY EVALUATION FOR STEEL PRODUCTS
CM/PF 203	REPORT OF PRELIMINARY FACTORY EVALUATION FOR STEEL PRODUCTS (APPLICABLE TO PRIMARY PRODUCERS)
CM/PF 204	REPORT OF PRELIMINARY FACTORY EVALUATION (APPLICABLE TO DIESEL ENGINES)
CM/PF 205	REPORT OF PRELIMINARY FACTORY EVALUATION FOR CONSIDERING REGISTRATION OF RE-REFINING UNITS
CM/PF 221	REPORT OF SUPERVISORY INSPECTIONS (BY HEAD/DIRECTOR)

CM/PF 251	REPORT OF SURVEILLANCE VISIT/LOT/SPECIAL INSPECTION (IR-2)
CM/PF 252	REPORT OF SURVEILLANCE VISIT (NO PRODUCTION SINCE LAST INSPECTION (R-3 NP)
CM/PF 253	REPORT OF SURVEILLANCE VISIT FOR PLYWOOD PANELS (IS:10)
CM/PF 254	REPORT OF SURVEILLANCE VISIT FOR STEEL PRODUCTS (APPLICABLE TO GROUP I LICENCES)
CM/PF 255	REPORT OF SURVEILLANCE VISIT FOR STEEL PRODUCTS (APPLICABLE TO GROUP II LICENCES)
CM/PF 256	REPORT OF SURVEILLANCE VISIT FOR STEEL PRODUCTS (APPLICABLE TO PRIMARY PRODUCERS)
CM/PF 257	REPORT OF SURVEILLANCE VISIT 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 SURVEILLANCE VISIT FOR CEMENT
CM/PF 260	DISCREPANCY /VARIATION REPORT

### **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 ST ANDARD AS INDIAN STANDARD
CM/PF 704	INDIAN STANDARD CANCELLED/WITHDRAWN
CM/PF 705	ST ANDARD 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

**ANNEX 15**  
(Clause 3.12.1)

**GUIDELINES FOR COLLECTION OF MARKING FEE IN VIEW OF OPTIONAL RENEWAL FOR ONE/TWO YEARS**

1.1 In view of the option permitted to licensees to apply for renewal of licence for one year or two year periods (see clause 3.12.7), the following guidelines shall apply to the respective situations:

- a) Licences which have completed one year from grant of licence;
- b) Licences which become due for renewal after one year; and
- c) Licences which have been renewed for two years and have:
  - i) completed one year of operation; and
  - ii) are due for renewal after two years.

1.2 For situations covered by a) above, Marking fee on the basis of unit rate for actual production for the first nine months shall be calculated and the difference, if any, from the advance Minimum Marking fee shall be charged. If the calculated fee is less than the minimum, the latter shall be charged.

1.3 For situations covered in b) above, provisions given in the preceeding paragraph shall apply except that actual production figures for twelve months (last three months of previous year and first nine months of current year) shall be taken for comparing with the minimum marking fee.

1.4 For situations covered in c) i) and ii) the advance minimum marking fee for both the operative years would already be available with BIS. ' However, in order to realize the difference between minimum marking fee and calculated fee, a proforma given in Appendix I 'Proforma for Obtaining Production Details' shall be sent to the Licensee advising him to pay only the difference if any, between the minimum marking fee and the calculated marking fee. Suitable actions may be initiated for cancellation of licence if the production figures are not furnished or the accumulated arrears exceed the net advance available with BIS within 30 days of the expiry of the first year of operation of licence .

**REGISTERED AD**

Our Ref:

Subject: RENEWAL OF CERTIFICATION MARKS LICENCE NO. CM/L-

Dear Sir/Madam,

The licence mentioned above is valid upto \_\_\_\_\_. Under Regulation 4 (2) and 4 (6) of BIS (Certification) Regulations an application for renewal of licence is to be made at least one month before its expiry and a licence, unless renewed or its renewal is deferred by the Bureau shall expire at the end of the period for which it is granted. The licence can be renewed upon application for a period of one year or two years, the choice for which may be indicated in the Renewal Application Form.

In case you wish to apply for renewal, two copies of application form for renewal of licence as enclosed may please be filled in and returned alongwith the following:

- i) Renewal application fee of Rs. 500.00
- ii) Annual licence fee of Rs. 1000.00 per year i.e. Rs. 1000.00 if renewal is applied for one year and Rs. 2000.00 if renewal is applied for two years.
- iii) Marking fee dues calculated as under:

For First Renewal:- On the unit rate basis for the production marked during the first nine months of the operative period or minimum marking fee of the first nine months of the operative period or annual minimum marking fee of Rs. \_\_\_\_\_ whichever is higher.

For Subsequent Renewals:- On the unit rate basis for the production marked during the 12 months period consisting of last three months of the previous operative period and first nine months of the current operative period or annual minimum marking fee of Rs. \_\_\_\_\_ whichever is higher.

- iv) Previous dues of Rs. \_\_\_\_\_(Statement enclosed).
- v) Additional advance Minimum Marking Fee Rs. \_\_\_\_\_ if renewal is applied for two years.

For licences which are renewed for two years, although advance minimum marking fee is required for both the years together, adjustment for calculated marking fee on unit rate basis shall be carried out at the end of each year of operation and the difference if any shall be payable by the licensee.

Please note that MARKING OF GOODS WITH STANDARD MARK AFTER THE EXPIRY OF THE VALIDITY OF THE LICENCE IS NOT PERMISSIBLE UNLESS THE LICENCE IS RENEWED, nor during the stop marking or suspension of marking during operative period.

In case the renewal of your licence is to be considered it is required that the amounts indicated in para 2 are remitted in full by Bank Draft drawn in favour of Bureau of Indian Standards.

In case discrepancy is observed in our records or some payment has already been made, details thereof may please be furnished.

It is clarified that mere submission of an application for renewal alongwith the stipulated fee(s) does not confer any right on you to take it for granted that the licence will be renewed. The renewal of the licence, is decided based on the operation of the scheme by you as revealed through inspection reports, results of testing of samples and other feedback received, if any.

This notice is (being sent only by way of courtesy. In case it is decided not to renew your licence, the advance marking fee and annual licence fee paid by you would be refunded.

Thanking you.

Yours faithfully.

End : As above.

**APPLICATION FOR RENEWAL OF LICENCE**

The Director General  
Bureau of Indian Standards

Dear Sir,

I/we, \_\_\_\_\_ carrying \_\_\_\_\_ on \_\_\_\_\_ business  
at \_\_\_\_\_

\_\_\_\_\_ (Full factory and office address) under the style of  
\_\_\_\_\_ (Full name of individual or firm) apply for renewal of  
Licence No. CM/L \_\_\_\_\_ dated \_\_\_\_\_ granted by the  
Bureau under the Bureau of Indian Standards Act, 1986, and the Rules and Regulations  
framed thereunder, as amended from time to time, for a further period of one year/two  
years\*, the terms and conditions being the same as stipulated in my/our previous application  
and the aforesaid licence, and/or such other conditions as the Bureau may stipulate.

2. Details of production of goods bearing BIS Certification Mark effected under the  
licence are given overleaf duly authenticated by Chartered Accountant or by the  
manufacturer by giving an affidavit / undertaking.

3. I/We are enclosing herewith a Bank Draft No. \_\_\_\_\_ dated \_\_\_\_\_  
for Rs \_\_\_\_\_ drawn on \_\_\_\_\_ towards the following  
dues:

- i) Renewal application fee of Rs. 500.00
- ii) Annual licence fee of Rs. 1000.00
- iii) Marking fee calculated on unit-rate basis (item 3.1 of the Report of  
Performance); or annual minimum marking fee of Rs. \_\_\_\_\_  
(whichever is applicable)
- iv) Previous dues (as per your notice) or Rs. \_\_\_\_\_
- v) Additional minimum marking fee of Rs. \_\_\_\_\_  
as we wish the licence to be renewed for two years.

4. Renewal application dated this \_\_\_\_\_ day of \_\_\_\_\_ One  
thousand nine hundred and \_\_\_\_\_

Signature  
Name  
Designation  
For and on behalf of Seal of the firm

\*Strike our whichever is not applicable



## REPORT OF PERFORMANCE

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

Name of Article(s)

IS No.\*

1. Brand name(s) of BIS Certified article(s)
2. Total production of the article(s) licensed for certification marking
- 2.1 Total production of the article(s) conforming to Indian Standard
3. Production covered with BIS Certification Mark and its approximate value
  - a) Quantity \_\_\_\_\_;
  - b) Value Rs. \_\_\_\_\_
- 3.1 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)
4. Quantity not covered with BIS Certification Mark, if any, and the reasons for such non-coverage
5. Quantity and value of BIS certified goods exported
6. Names and addresses of indigenous purchasers of BIS certified goods
7. Names and addresses of importers of BIS certified goods

8. Brief information regarding difficulties if any, experienced in operating of BIS licence.
9. Authentication by Chartered Accountant or by the manufacturer by giving an affidavit / undertaking.  
(Amendment no 2)  
(Amendment No 1)

**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.

Grade/type/Size/Variety/Class/ Rating

- 1.1 Brand/Trade/Name(s) of BIS Certification Marked Products
2. Total production of the article(s) licensed for certification marking
  - 2.1 Total production of the article(s) conforming to Indian Standard
3. Production covered with BIS Certification Mark and its approximate value
  - a) Quantity
  - b) Value Rs.
- 3.1 Brand Name used on production covered under BIS Certification Mark
- 3.2 Calculation of marking fee on Unit-rate basis: Marking Fee per unit
  - a) Unit
  - b) Quantity covered with BIS Certification Mark

-

\*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.

- c) Marking fee rounded off in whole rupees as obtained by applying unit rates given in (a) on quantity given in (b)
4. Quantity not covered with BIS Certification Mark. If any, and the reasons for such non-coverage
  - 4.1 Brand Name under which non certified goods were sold
5. Quantity Exported with BIS Standard Mark and its value
  - 5.1 Brand Name under which BIS Certified goods are exported
6. Authentication by Chartered Accountant

**ANNEX 16**  
(Clause 4.13)

**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 follow, 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 the particular test 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.

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 (*Accredited*, recognized or un-recognized), 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.
- 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 alongwith proper ~~codification~~ identification 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 that 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 (non-licensees) or with independent laboratories (un-recognized), 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 visits may be treated as special visits and charged from the applicant/licensee. Such verification may not, however, be necessary in the case of licensee/independent laboratories recognised under BIS Laboratory Recognition Scheme *or any other Accredited Laboratory*.

Note : Reverification of the above arrangements in respect of non licensees or non-recognized/non-accredited labs only may be carried out after grant of licence periodically

#### **4. COMPETENT AUTHORITY FOR PERMITTING RELAXATION**

**4.1** Head BO shall be the Competent Authority to permit relaxation for situations covered in these Guidelines.

**4.2** For situations not covered in these Guidelines, a separate recommendation, duly authenticated by a BIS Officer, that T/F, as available, meets the required criteria, should be sent to DDGR, through Head BO, for approval, or to ADGM when the T/F to be utilised are situated outside the Region .

**ANNEX 17**  
(Clause 3.9.2)

**SPECIMEN TEST REPORT**

**BUREAU OF INDIAN STANDARDS**  
( CHEMICAL/ELECTRI CAL/MECHANI CAL )

DOC. NO.CL/QF/1301

TELEGRAM

TELEPHONE(S) :

ADDRESS OF THE LABORATORY TELEX

FAX

TEST REPORT AS PER IS  
REPORT NO.

AMENDMENT NO.(s)  
DATED

**PART A. PARTICULARS OF SAMPLE SUBMITTED**

- a) Nature of Sample
- b) Grade Variety/Type/Class/Size etc. :
- c) Brand name, if any
- d) Declared values, if any
- e) Code No.
- f) Batch No. & Date of Manufacture :
- g) Quantity
- h) Mode of packing
- j) Date of Receipt
- k) BIS seal INTACT/ NOT INTACT/ NOT SEALED

- m) IO's signature Signed/Unsigned
- n) Any other information

- N.B. 1. This report, in full or in part, shall not be published, advertised, used for any legal action, unless prior permission has been secured from the Director General, Bureau of Indian Standards. This report is intended for "BIS CERTIFICATION MARKS PURPOSE ONLY"
2. This test report is ONLY FOR THE SAMPLE TESTED.

REPORT NO.: IS

**PART B. SUPPLEMENTARY INFORMATION**

- a) Reference to sampling procedure, wherever applicable
- b) Supporting documents for the measurements taken and results derived like graphs, tables, sketches and/or photographs as appropriate to test report, if any [To be attached]
- c) Deviation from the test methods as prescribed in relevant ISS/ Work Instructions, if any

**PART C. TEST RESULTS**

**PART D. REMARKS**

Authorised Signatory

**GUIDELINES FOR MAKING OF THE TEST REPORT**

1. Part 'C' of the report providing Test Results shall only include results of testing and inspection of the sample where objective assessment has been made. No assessment is required to be reported either against subjective requirements or marking/packaging requirements.
2. The test results in Part 'C' of the test report shall be provided exactly/as per the requirements detailed out in the relevant Indian Standards.
3. In part 'D' of the report under Remarks, no remark regarding conformity/non-conformity of the sample is to be made by laboratory .



4. Under Part 'D' of the report, specific remarks on the following aspects of testing must be appropriately made:
  - a) Remarks on partial testing, if applicable;
  - b) Remark on any deviation from test request;
  - c) Details of sub-contracting, if any;
  - d) Remark on failure during sequential testing, resulting in stoppage of further testing;
  - e) Marking related to safety aspects, for example, terminals in electrical appliances.

**ANNEX 18**  
(Clause 6.1.3.2)

**LIST OF FEE TO BE CHARGED FROM APPLICANT/LICENSEE  
AS APPLICABLE**

**A. APPLICANT**

A-1	Application fee (Non Refundable) (along with application)	Rs.1000/-
A-2	Preliminary Factory Evaluation Charges	Rs. 4000/--
A-3	Special Visit Charges	Rs. 3000/- per day
A-4	Testing Charges	As applicable to the relevant product.

**B. LICENSEE**

B-1	ANNUAL LICENCE FEE	Rs.1000/-
B-2	RENEWAL APPLICATION FEE (Non refundable)	Rs. 500/-
B-3	MARKING FEE As applicable to the relevant product. Manner of payment as mentioned in Schedule II of licence document	
B-4	Special Visit Charges	Rs. 3000/- per day.
B-5	Testing charges, where required as applicable 'to the relevant product.	
B-6	Lot inspection charges (see <b>5.2.1.3 &amp; 5.2.1.6</b> )	1% of cost of lot from Licensees 2 % from any other organization
B-7	Issue of Duplicate Licence	Rs 100/=.

**C. FOREIGN MANUFACTURERS SCHEME CHARGES** available with CMD-I.

Note 1: All payments shall be taken in advance.

Note 2: Testing charges of samples drawn in connection with resumption of marking/  
renewal of deferred licence shall be charged.

**ANNEX 19**  
(Clause 4.8.3)

**GUIDELINES FOR MAINTAINING CERTIFICATION MARKS FILES IN BO/RO**

1. APPLICANT STAGE

1.1 BO shall maintain one file for each application. Each applicant file shall contain the following folders:-

- i) Correspondence portion(with applicants RO/CMD/Laboratory etc
- ii) Test Request and Test Reports portion
- iii) Red form portion
- iv) Preliminary Inspection.Report and other inspection reports

2. LICENCE STAGE

2.1 Once the licence is granted, the applicant file alongwith the folders shall be changed to licensee file after writing the CM/L No. in place of application number.

2.2 The number of folders shall be the same as was created at the applicant stage.

2.3 The original licence alongwith STI, original yellow form etc. with competent authorities order shall be kept in the folder created for red form.

2.4 Whereas the correspondence, IR & TR' s portion may be archived after any renewal the folder containing licensee Red Form, Blue Form, Yellow Form shall not be archived and shall be carried over alongwith new folders.

2.5 Similar corresponding files shall be built up at RO with the papers sent by BO. However for BO's situated at the same station at RO, RO need not create the duplicate files and for reference purposes, whenever required, the files of BO may be called.

3. TECHNICAL FILES

3.1 Each BO shall create Master IS file for each IS under certification in BO. This shall contain copy of relevant STI's and Indian Standards. Any correspondence regarding particular Indian Standards shall be from this IS file and in no case such correspondence shall be made from applicant/licensee file.

3.2 In case the relevant papers of particular IS are received in BO which no applicant/licensee exists at that time, such papers shall be filed in the relevant technical department file, ~ which are also to be created in each BO.

4. AUDIT OF FILES -Periodically Head of BO shall carry out audit of files selected at random, to ensure that these are being maintained as per the guidelines mentioned above. .

## **5. WEEDING OUT OF OLD RECORDS –**

**5.1** Rejected Application files may be weeded out, two years after rejection.

**5.2** Expired/Cancelled Licence files may be weeded out 3 years after expiry/cancellation.

**5.3** Old volumes of Licence files may be weeded out in respect of documents older than 3 years. However original Licences with all endorsements, Red forms, Preliminary Inspection Report, all Blue forms and Yellow forms, original Application and Renewal Applications shall be retained.

**5.4** No file or record related to any existing or expected legal enquiry or proceeding shall be destroyed

**ANNEX 20**  
(Clause 2.2.6)

**TIME NORMS FOR CERTIFICATION ACTIVITIES**

1. Product Certification Scheme (Licence for use of ISI Mark)

Grant of licence -	i) 120 days *
For products requiring long duration of tests like PVC Pipes, GLS Lamps, Dry Cell batteries, Tubular Fluorescent Light, Paints, PC wire, Cement	More than four months (unless applicant has submitted long duration test report, see Clause 2.9 , in which case time norms shall be 4months as applicable)
All India first Licence for a product	180 days

2. Laboratory Testing

Priority samples	45 days
Other samples	60 days

3. Redressal of consumer complaints (against ISI marked products )

Normally three months from the date of receipt of complaints

4. Technical Information

Reply within two weeks (maximum)

5. Technical Queries - Same day (if received in person)

Within a week (if received by correspondence)

6. General Correspondence

Acknowledgement Within two days

Within two weeks

\* For the purpose calculating time taken for grant of licence, number of days may be counted from the date of recording of application till the date the licence granting authority signs the red form.

**ANNEX 21**  
(Clause 3.11.2.2)

**GUIDELINES ON STOP MARKING/RESUMPTION OF MARKING**  
**(Fig 1, 2 AND 3)**

**1. Stop Marking for Reasons other than failure**

**1.1** Figure 1 gives the situations under which Stop Marking can be imposed, except when failure of samples is involved. Normally Stop Marking should be imposed after two unsatisfactory reports are received consecutively. However, when serious discrepancies are observed such as absence of technical person (excluding temporary absence), breakdown of major testing equipment, violation of statutory norms, compromise with safety, hygiene or other norms endangering public life and health, discretion may be used for directing stop marking even after one visit. However, if the firm has taken, or is prepared to take immediate corrective action, and at the same time voluntarily stops marking, a reasonable period may be allowed, before issuing Stop Marking. The situation should always be assessed in light of (Certification) Regulation 5) 7) b) which requires the Bureau to have sufficient evidence that product may not be conforming to the relevant Standard.

**1.2** Stop Marking should be imposed following detection of misuse of ISI Mark and andsimultaneously actions may be taken as per Enforcement Manual, and cancellation notice may be served if the misuse was intentional and/or large scale.. In the event of shifting of factory, , if the firm informs in writing that it has stopped production, which is equivalent to self stoppage of marking covered by Regulation 5) 7) a). In such case the firm may be advised to resume marking only after BIS verifies the production facilities and testing arrangements in the new premises. Similarly marking need not be stopped, when intimation regarding closure of factory is received. However, verification of condition of plant and machinery may be done following prolonged closure as a precondition to resumption of marking.

**2. Stop Marking due to failure of samples**

- 2.1** Stop Marking based on failure of samples is covered in the Flow chart given in Figure 2 (under review). As per the flow chart, stop marking is to be imposed following
- a. failure of same sample in two or more critical requirements,
  - b. failure of two consecutive samples in one critical requirement,
  - c. three 'Non critical' failures or
  - d. one 'Critical' and two 'Non critical' failures.

Before issuing Stop Marking based on two consecutive critical failures (situation b) above, it should be seen whether the second failure is in the same requirement as the first one, and if so whether the sample was produced after the firm had taken corrective action on the first failure. In the event that the sample was produced before firm could take corrective action,

Stop Marking should not be imposed. However, when the critical failure is in some other requirement, Stop Marking should be imposed, as it is then viewed as positive lack of control on the quality of production. When two test reports are received together, or in quick succession, obviously the firm has not had the opportunity to take corrective action. Stop Marking should therefore not be imposed, in such cases, if the failure is in the same requirement, but should be imposed if the failure is in different requirement.

**2.2** Stop Marking should be imposed when three reports show failure (critical or non-critical) as it is again a case of positive lack of control.

### **3. Resumption of Marking**

**3.1** Resumption of Marking should be carried out as per Flow Chart given in Figure 3. When stop marking was done due to reasons other than failure, the verification is required only for the corrective actions taken. Testing of samples should be carried out if necessary to prove that corrective actions are effective. During this visit routine sample for independent testing can also be drawn, but not as a means of confirmation. When stop marking was imposed following closure or shifting of factory, the verification may be carried out as per 1.2 above.

**3.2** When Stop Marking has been done based on sample failure, resumption should be based on factory testing except when the sample offered had failed in the first instance. Normally, long duration tests should be excluded during such factory testing. When long duration tests formed the basis of Stop Marking, verification testing can be carried out in independent testing at the discretion of Head BO, depending on the factory location, availability of inspecting officers etc.

**ANNEX – 22**  
( Clause 3.11.2.2)

**Norms for Strict Control/Licences of Food Products under Mandatory Certification**

The revised policy is to test samples drawn from the market. However, samples from the factory may also be drawn whenever a visit is paid.

Sl. No.	Nature of Violation/Performance Review	Action to be Taken
1.	Unsatisfactory performance observed during surveillance visit.	Stop Marking shall be necessarily imposed if it is observed during a surveillance visit that there is a major breakdown of testing & manufacturing equipment, or testing personnel are not employed, or violation of statutory norms, or non-adherence to Hygiene codes is observed.
2.	Failure of samples in factory	Stop Marking shall be imposed as soon as failure is observed in any requirement.
3.	Failure of sample in independent testing (drawn from factory or market) in any requirement	As soon as a failing test report is received, stop marking instructions will be issued immediately followed by notice for cancellation by Competent authority following due process. However, during the process of issuing cancellation notice and giving personal hearing to the licensee, the aspect of genuineness of sample which was found failing should be ensured. After cancellation of licence the name of both the manufacturer as well as the brand owner should be publicized.
4.	Performance appraisal at the time of renewal of licence.	Licence shall not be renewed in case three stop marking instances have taken place during the last one year, if not already cancelled.
5.	Complaints	Stop marking shall be imposed if complaint sample fails in testing in critical requirement in case of complaint from any consumer.
6.	Performance appraisal on continuous basis	Licence shall be cancelled for all existing provisions and on the third instance of Stop Marking ( <u>due to failure / unsatisfactory performance</u> ).

Note : In case of 2 & 3 above, the concurrence of DDGR shall be taken orally or in writing with in 24 hours before imposition of Stop Marking. Confirmation of oral decisions shall be taken subsequently.

**Annex 23**



(Clause 3.7.4)

**Procedure for utilization of Agents in Product Certification**  
(Under development)

**Annex 24**  
(Clause 2.2.4.2)

**Procedure for Grant of licence for new products (All India basis) within a time limitation of 180 days**

**1) Procedure before recording of application**

Immediately upon receipt of a query from any firm who wants to obtain ISI licence on a product which is not under certification, the BO shall first of all check that Indian Standard exists for the product and that the varieties offered are covered within the scope of Indian Standard.

The BO shall refer the enquiry to RO/CMD-II/III as relevant regarding amenability of the Indian Standard to Certification, if required.

The BO shall also refer the enquiry to CL for deciding testing facilities in BIS labs/OSLs for independent testing.

Both CMD and CL shall respond within a period of two weeks for above actions.

The party shall be informed by the BO of the decision of the Bureau within 3 weeks of receipt of query whether product can be certified, and if so, necessary documents may be sent to him for filing the applications.

**2) Procedure after receipt of application till recording**

The scrutiny of application shall normally be completed within two weeks. All aspects relating to manufacturing facilities, testing facilities, other technical requirements of raw materials, calibration etc. would be examined. If the application is found incomplete in any of these aspects, the applicant shall be informed.

In case any relaxation is to be given in the certification procedure, CMD shall be consulted before recording of application.

**3) Procedure after recording of application**

- i) As soon as all information is found complete, the application shall be recorded and recording letter shall be issued within 3 days.

The applicant shall be consulted over phone or by fax to fix the date of preliminary inspection. Mutual consultation by phone, fax/E-mail shall also be done regarding samples to be offered by the applicant, the lot size to be retained, samples of raw materials to be offered in order to cover the desired range.

The preliminary inspection shall be conducted within 10 days of recording for local applications and 20 days for outstation applicants.

A maximum margin of 5 days to be allowed to the applicant over the above limits otherwise application may be closed. This time limit may be communicated to the applicant through the recording letter specifying the condition that the application shall be closed if preliminary inspection is not invited in the time frame. In case, the product category is new to the branch, they may request a technical expert from Regional Office or CMD to join the inspection team for Preliminary Inspection. Additionally, an expert from Panel of experts established by BO for new products should also be associated during Preliminary factory evaluation. However, the inspection shall not be delayed on this account.

**ii) Preliminary factory evaluation**

Thorough examination of the facilities as per manual shall be carried out after examining the technical process and testing frequency adopted by the firm. A draft STI shall be prepared in the factory itself and a temporary number may be allotted to the same. Acceptance of the temporary STI shall be taken from the firm during the visit itself. Proposal for marking fee shall also be prepared in the factory based on CMD guidelines and the applicant to be informed. Factory testing of the product shall be conducted for all possible tests with a view to determine whether sample will pass during independent testing. In case of failure, sample need not be sent and application may be closed after returning to office by giving due notice. Sample may be drawn for complete range of products together with all relevant marking samples separately. Separate samples should be drawn for physical and chemical testing. If not restricted otherwise samples for tests such as chemical tests, tensile test etc. may be drawn from the product itself. Samples for independent testing should be dispatched through courier appointed by BIS wherever feasible.

iii) The receipt of the samples at the laboratory shall be confirmed to the BO and in case report is not received within 60 days of receipt of sample, a reminder will be issued to the laboratory. In case, the complete test report is not received within 90 days, the red form shall be processed based on factory testing, where complete testing facilities are available with the applicant, after obtaining permission from the Competent Authority. As far as raw materials are concerned, the guidelines issued by CMD regarding drawal of raw material samples shall be followed. In case, the independent test reports for raw material samples drawn by the IO are not received within 90 days, the red form may be processed on factory testing basis together with the test certificates/test reports of raw materials submitted by the applicant.

iv) In case any failure is observed from independent lab, the application may be closed after giving due notice. If the failing report is received after GOL, the licence will be cancelled after giving due notice.

v) **Approval of STI & Marking fee**

Immediately after the preliminary factory evaluation, PIR alongwith the proposed STI and marking fee shall be sent to CMD within 7 days. CMD shall examine the STI in consultation with technical committee and communicate its findings/acceptance within 30 days. Formal acceptance of the finalized STI may also be taken from the applicant.

The marking fee proposal shall be finalized by CMD in consultation with Finance Department and obtain DDGMs approval within 45 days. The finalized marking fee shall be communicated to the BO who will in turn take formal acceptance of the finalized marking fee from the applicant.

In case, CMD does not convey approval of STI and the BO is otherwise ready to process the red form, the proposed STI itself may be taken as final. However, for marking fee, the approval of DDGM is essential as per delegation of powers.

4) **Processing of Red Form**

The red form shall be prepared as soon as all documents are available with BO. Red form preparation should not take more than one week in the BO. The Red Form shall be sent through courier to the RO. RO shall scrutinize the Red Form within 7 days and any deficiency shall be pointed out to the BO through E-mail/fax. The BO shall respond to the queries within 7 days including visit to the factory, if necessary. As soon as BO's response is found available to the RO, Red form should be sent to CMD through courier by RO. CMD shall examine the Red Form within 10 days of receipt and in case of any observations, the same shall be asked directly from the BO through fax/e-mail. The BO shall respond within 7 days as above. GOL shall be communicated to BO by CMD through fax/e-mail to BO/RO which will be followed by the dispatch of the file to RO.

**Annex 25**

**LIST OF PRODUCTS TO BE EXEMPTED FOR LIFTING BY COURIER**

<b>Sl. No.</b>	<b>IS No.</b>	<b>Products</b>
1.	1223	Centrifuge
2	1825	Milk Can
3	1741	Latex foam
4	2553	Safety glass
5	264	Nitric Acid
6	265	Hydrochloric Acid
7	266	Sulphuric Acid
8	3119	Hot Air Sterilizer
9	3438	Silvered Glass Mirror for General purposes
10	8391	Rubberized coir sheets for cushioning
11	550-1	Safes
12	1238	Hurricane Lanterns
13	1391-1	Unitary air conditioners
14	1391-2	Split Air conditioners
15	1475	Self-contained drinking water coolers
16	1610	Household sewing machines
17	3196-1	Cylinders for liquefied petroleum gases (LPG)
18	3196-2	Cylinders for liquefiable gases other than LPG
19	3315	Evaporative air coolers (Desert coolers)
20	3686	Student-type microscope
21	3832	Hand-operated chain pulley blocks
22	4254	Jaw crushers
23	4328	Monocular dissecting Microscope
24	5204	Research Microscope
25	5244	Safe deposit locker cabins –specification
26	5456	Positive displacement type air compressors and exhausters
27	5604	Hand-operated universal gearless pulling and lifting machines
28	6471	Spectometer (Student type)
29	7142	Welded low carbon steel cylinders for low pressure liquifiable gases not exceeding 5 litre water capacity
30	7285	Seamless steel cylinders for permanent and high pressure liquefiable gases
31	7312	Welded and seamless steel dissolved acetylene gas cylinders
32	8034	Submersible Pumpsets
33	8035	Handpump – shallow well
34	8110	Well screens and slotted pipes
35	8472	Pumps – Regenerative for clear, cold water
36	9079	Monoset pumps for clear, cold water for agricultural purposes
37	9301	Deepwell handpumps
38	10617-1	Hermatic compressors – high temperature application group

<b>Sl. No.</b>	<b>IS No.</b>	<b>Products</b>
39	10617-2	Hermatic compressors – Medium temperature application group
40	10617-3	Hermatic compressors – Low Temperature application group
41	11006	Flash back arrestor (Flame Arrestor)
42	11188-1	Vault (Strong Room) Doors
43	11501	Engine monoset pumps for clear, cold, fresh water for agricultural purposes
44	12109	Light duty sewing machine heads for industrial use
45	12225	Centrifugal jet pump
46	12586	Brazed low carbon steel gas cylinders not exceeding 13 Litre water capacity
47	12933-1	Solar flat plate collector
48	13056	Deepwell handpumps (Vlom)
49	13095	Butterfly valves
50	13287	Extra Deepwell Handpumps
51	13429-1	Solar cookers
52	14103	Deepwell handpumps components – Mild Steel
53	14106	Direct action handpump
54	14220	Openwell submersible pumpsets
55	14562	Fire resisting computer media protection cabinets
56	14769	Household sewing machine head
57	14899	Cylinders for auto LPG
58	15100	Multi function valve for (LPG)
59	303	Specification for plywood for gen purposes
60	458	Specification for precast concrete pipes (with and without reinforcement)
61	459	Indian standards corrugated and semi-corrugated asbestos cement sheets
62	651	Specification for salt glazed stoneware pipe and fittings
63	710	Specification for marine plywood
64	771	Specifiatiion for glazed fireclay sanitary appliances
65	774	Specification for flushing cistern for water closets and urinals
66	784	Prestressed concrete pipes
67	804	Rectangular pressed steel tanks
68	1038	Steel doors, windows and ventilators
69	1237	Cement concrete flooring tiles
70	1328	Veneered Decorative plywood
71	1592	Asbestos cement pressure pipes
72	1626	Asbestos cement building pipes and pipe fittings
73	1658	Fibre hard boards
74	1659	Block boards
75	1678	Prestressed concrete poles for overhead power, taction and telecommunication lines
76	1726	Cast iron manhole covers and frames
77	2098	Asbestos cement building boards

Sl. No.	IS No.	Products
78	2185	Concrete masonry units
79	2202	Wooden flush door shutters
80	2556	Vitreous sanitary appliances
81	3087	Wood particle boards
82	3097	Veneered particle boards
83	3443	Crane rail section
84	4351	Steel door frames
85	4990	Plywood for concrete shuttering work
86	5290	Landing valves
87	5312	Swung check type reflux valves for water works purpose
88	5509	Fire retardant plywood
89	5758	Precast concrete kerbs, channels, edgings, quadrants and gutter aprons
90	5820	Precast concrete cable cover
91	6073	Autoclaved reinforced cellular concrete floor and roof slabs
92	6248	Metal rolling shutters and rolling grills
93	9627	Asbestos cement pressure pipes
94	10080	Vibration machine
95	10658	Specification for higher capacity dry powder fire extinguisher (Trolley Mounted)
96	12406	Medium Density Fibreboards for general purposes
97	12592	Precast concrete manhole cover and frame
98	12701	Rotational moulded polyethylene water storage tanks
99	12823	Wood products prelaminated particle boards
100	13000	Silica asbestos cement flat sheets
101	13385	Fire extinguisher 50 capacity wheel mounted water type
102	13386	501 capacity fire extinguisher, mechanical foam type
103	13753	Dust pressed ceramic tiles with water absorption of E 10% group (B-III)
104	13755	Dust Pressed ceramic tiles with water absorption of 3%
105	13801	Chequered cement concrete tiles
106	14276	Cement bonded particle boards
107	14399	Hot pressure moulded thermosetting glass fibre reinforced polyester resin section water storage tanks
108	14587	Prelaminate medium density fibre board
109	14845	Resilient seated cast iron air relief valves for water works purposes
110	14846	Sluice valve for water works purposes
111	14862	Fibre cement flat sheets
112	14871	Fibre reinforced cement-Long corrugated asymmetrical section sheets and fittings for roofing and cladding
113	15155	Bar/Wire wrapped steel cylinder pipes with mortarling and coating
114	3829	Horizontal cylindrical and horizontal rectangular steam sterilizers, pressure type
115	3831	Sterilizer, shallow
116	4037	Stretchers and stretcher carriers

Sl. No.	IS No.	Products
117	4266	Lockers, bedside for hospital use
118	4533	Suction apparatus
119	4787	Table examination
120	5022	Sterlizers instruments
121	5029	Specification for bedsteads hospital general purposes
122	5291	Tables, Operation, Hydraulic Major
123	6106	Tables, Operation, Hydraulic, Minor
124	6593	Electric Serological water baths
125	7080 (Pt.3)	MTP suction apparatus
126	7454	Rehabilitation equipment wheelchairs folding adult size
127	7620 (Pt.1)	Diagnostic medical x-ray equipment
128	8086	Rehabilitation equipment wheelchairs, folding junior size
129	8088	Tricycle, Hand Propelled
130	8462	Sterilizer, Portable, Vertical, Pressure type
131	10554	Radiographic intensifying screens for medical use dimensions
132	11378	Anaesthetic machines for use with humans
133	14429	Braille shorthand machine
134	14724	Water purifiers with ultra violet disinfection
135	7276	Non-expandable general purpose, flat pallets for through transit of goods-specification
136	7347	Performance of small size spark ignition engines
137	10001	Constant speed compression ignition (Diesel) Engines for general purpose
138	11170	Performance requirements for constant speed compression ignition (Diesel) engines for agricultural purpose (Upto 20 kw)
139	10914-2	Truck, Bus and light truck tyres – Diagonal ply
140	10914-3	Passenger car tyres
141	2092	Plunger type dial gauges
142	2747	Taximeters
143	1536	Centrifugally cast (Spun) Iron pressure pipes for water, gas and sewage
144	1537	Vertically cast iron pressure pipes for water, gas and sewage
145	1538	Cast iron fittings for pressure pipes for water, gas and sewage
146	1729	Cast iron/Ductile iron drainage pipes and pipe fittings for over ground non-pressure pipeline slocket and spigot series
147	1783-1	Grade A drums
148	1783-2	Grade B Drums
149	2552	Steel Drums (Galvanized and Ungalvanized)
151	3575	Bitumen Drums
152	3589	Steel pipes for water and sewage (168.3 to 2540 mm outside diameter)
153	3989	Centrifugally cast (Spun) iron spigot and socket soil, waste and ventilating pipes, fittings and accessories
154	5504	Spiral welded pipes



<b>Sl. No.</b>	<b>IS No.</b>	<b>Products</b>
155	7181	Horizontally cast iron double flanged pipes for water, gas and sewage
156	8329	Centrifugally cast (Spun) Ductile iron pressure pipes for water, gas and sewage
157	10325	Square tins – 15 kg/Litre for ghee, vanaspati, edible oils and bakery shortnings
158	13997	Drums large open top
159	325	Three phase induction motors
160	335	New insulating oils
161	374	Electric ceiling type fans and regulators
162	398-1	Aluminium stranded conductors
163	398-2	Aluminium conductors, galvanized steel reinforced
164	398-4	Aluminium alloy stranded conductors (Aluminium magnesium silicon type)
165	398-5	Aluminium conductors – galvanized steel reinforced for extra high voltage (400 kv and above)
166	418	Tungsten filament general service electric lamps
167	692	Paper insulated lead-sheathed cables for rated voltage upto and including 33 kv specification
168	1554-1	PVC insulated (Heavy duty) cables working voltages upto and including 1100 V)
169	1554-2	Working voltages from 3” 3 kv upto and including 11kv
170	1777	Industrial luminaire with metal reflectors
171	2026-1	Power transformer
172	2121	Conductors and earth wire accessories for overhead power lines
173	2148	Flameproof enclosures for electrical apparatus
174	2206	Flameproof electric lighting fittings
175	2312	Propeller type ac ventilating fans
176	2418-1	Tubular flourescent lamp
177	2486	Metal fittings of insulators for overhead power lines with nominal voltage greater than 1000 V
178	2512	Miners cap Lamp batteries (Lead-acid type_
179	2593	Flexible cables for Miner Cap-Lamps
180	2705-3	Protective current transformers
181	2705-4	Protective current transformers for special purpose applications
182	2972-1	Textile motors
183	2997	Air circulator type electric fans and regulators
184	3231	Electrical relays for power system protection
185	3637	Gas operated relays
186	5077	Decorative lighting outfits
187	5679	Miners cap lamp assemblies (incorporating lead acid type batteries)
188	5780	Intrinsically safe electrical apparatus and circuits
189	6381	Construction and testing of electrical apparatus with type of protection ‘e’
190	6701	Tungsten filament miscellaneous electric lamps

<b>Sl. No.</b>	<b>IS No.</b>	<b>Products</b>
191	6937	Overhead projectors
192	7098(Pt.1)	Crosslinked polyethylene insulated PVC sheathed cables (Pt.1)
193	7098(Pt.2)	Crosslinked polyethylene insulated PVC sheathed cables (Pt.2)
194	7098(Pt.3)	Crosslinked polyethylene insulated PVC sheathed cables (Pt.3)
195	7372	Lead-acid storage batteries for motor vehicles
196	7538	Three phase squirrel cage induction motors for centrifugal pumps for agricultural application
197	9283	Motors for submersible pumpsets
198	9537-2	Conduits for electrical installations (Pt.2)
199	9537-3	Conduits for electrical installations (Pt.3)
200	9537-4	Conduits for electrical installations (Pt.4)
201	9968-2	Elastomer insulated cables (Pt.2)
202	9974-1	High pressure sodium vapour lamps
203	12463	Inhibited mineral insulating oils
204	12615	Induction motors energy efficient three phase squirrel cage
205	13010	Photography overhead projectors (Pt.1)
206	13340	Power capacitors
207	13364	Ac generators driven by reciprocating internal combustion engine
208	13779	Ac static watt-hour meters, class 1 and 2
209	13947-3	Low Voltage Switchgear and control gear – Discontactors & SFU Etc.
210	13947-2	Low Voltage Switchgear and control gear – circuit breakers
211	13947-1	Low voltage Switchgear and controlgear contractors and motor starters
212	14582	Single phase small A.C. electric motors for centrifugal pumps for agricultural application
213	14697	AC static transformer operated watt hour and var-hour meters class 0.2 S and 0.5 S
214	14768	Conduit fittings for electrical installations
215	14255	Ariel Bunched cables
216	14494	Elastomer insulated cables for use in mines
217	15111-1	Self Ballasted Lamps for general lighting services – safety requirements
218	15111-2	Self ballasted lamps for general lighting services – performance requirement