General Scheme Rules for Certification of Products

1.0 GENERAL

These Rules describe the procedures applied by ZABS for the certification of products and how organisations can apply for, obtain, retain and use this certification, as well as its possible suspension and revocation.

ZABS issues certification in accordance with ISO/IEC 17065:2012 to organisations whose products has been recognised as conforming to the all the requirements of the reference standard or regulatory document.

Certification is open to all Organisations and does not depend on whether they belong to an association or group.

ZABS applies its current certification fees and guarantees fairness and uniformity of application.

ZABS is entitled to refuse requests for certification by organisations that have been subject to, or whose production or activities have been subject to restriction, suspension or proscription by a public authority.

The certificate issued by ZABS pertains exclusively to a single organisation, where organisation means a group, company, enterprise, body or institution, or parts and combinations thereof, whether associated or not, public or private, with its own functional and administrative structure.

2.0 DEFINITIONS

The terminology used in these Rules complies with ISO/IEC 17000:2020.

3.0 REFERENCE STANDARD / CERTIFICATION REQUIREMENTS

The management system shall comply to the applicable national, regional or international standard(s) or technical regulation.

4 THE MANUFACTURER'S FACTORY PRODUCTION CONTROL (FPC)

4.1 General

The client shall operate a Factory Production Control (FPC) system so as to ensure consistent control of the product characteristics and to ensure compliance of the product to the relevant specifications. The Factory Production Control (FPC) system of the manufacturer does not have to be certified.

Where the client does not operate a relevant certified management system, such as an ISO 9001 quality management system, an ISO/FSSC 22000 food safety management system or any sector-specific management system, and where ZABS has not issued specific rules and criteria in accordance with the relevant certification scheme or sector, the following the general Factory Production Control (FPC) requirements in this section shall apply.

4.2 Technical Documentation

The following documentation shall be available at the manufacturer for inspection by certification

As applicable, the Technical Documentation may include but not limited to the following:

a) A general description of the Product. This requirement could normally be met by the description (including brand, make, model number, type description, etc.) as found in the user's handbooks, packaging etc.;

b) Standards/specifications for the final product(s);

c) A list of the standards/specifications applied to any ingredient, raw material or subcomponent where that ingredient, raw material or subcomponent may have a significant impact on the performance of the final product; and

d) Adequate labelling as per standard or scheme requirements

4.3 Management Responsibility

The Client shall appoint a management representative (MR) for quality who, notwithstanding any other responsibility the MR may carry, shall have the necessary authority and shall be responsible for ensuring that the requirements of these conditions are implemented and maintained.

The organization shall conduct internal audits at planned intervals to determine whether the quality management system

a) Conforms to the quality management system requirements established by the organization.
b) Is effectively implemented and maintained

4.4 Control of Documents and Records

A procedure shall be documented for the control of all documents and records related to the certified product including:
a) To approve all related documents
b) To review, update and re- issue as necessary
c) To ensure that changes and the current revision status of documents are identified
d) To ensure that relevant versions of applicable documents are available at points of use, that they remain legible and are readily identifiable

All records as required by these terms and conditions shall be kept by the Client for a minimum period of 3 years or as required by law if longer than 3 years

4.5 Competence of Personnel

The MR shall be a competent person, or the MR shall nominate a competent person or persons, capable of operating a Factory Production Control System in accordance with these terms and conditions.

The client shall ensure that all personnel performing work which may affect product conformity have appropriate competence in terms of education, experience, skills or training.

4.6 Production Control

The client shall plan and carry out production under controlled conditions. Controlled conditions shall include, as applicable:

a) The availability of information that describes the characteristics of the product.
b) The availability of work instructions, as necessary.

c) A production flow diagram or equivalent, acceptable to ZABS that indicates all the control and test points at each stage of production.
d) The use of suitable equipment to ensure product consistency to the standard
e) The availability and use of monitoring and measuring devices
f) The factory shall at all times be maintained in a tidy and hygienic condition in conformity with the requirements of the specification.

4.7 Purchasing and control of incoming material

The Client shall ensure that all product or components purchased, conforms to specified purchase requirements. Where components, used in the manufacture of a mark-bearing product, are required to meet Regulated Requirements, then there shall be purchasing control of those components.

The Client shall evaluate and select suppliers based on their ability to supply product or components that will satisfy the requirements of the product.

The Client shall ensure that no incoming material is used or processed unless and until inspected or otherwise verified as complying with specified requirements.

Material may be released for urgent production purposes prior to inspection or other verification, provided that it is identified in a positive manner that will, prior to despatch, permit immediate identification and replacement of any defective item.

Verification of the quality of purchased material by a ZABS representative shall not form part of the Client's quality system.

4.8 Inspection and testing

The manufacturer shall have an inspection and test plan indicating all the sampling, inspection and testing points, including the characteristics to inspected/tested and the frequency of sampling and testing.

At all control or test points, working drawings or instruction sheets, or both, shall be available and accessible. They shall indicate the measurement accuracy required and the tolerance permitted.

The Client shall ensure that he is able to distinguish between inspected and uninspected product at all stages of production.

A final inspection shall be conducted, this inspection shall include verification that at least the inspections and tests required during manufacture and on the finished product have been performed.

The client shall demonstrate by regular sampling and testing of products being produced or distributed that the products have met the requirements of consistency of manufacturing and that the product(s) conform to the relevant product standards or specifications. The sampling frequency may be adjusted from time to time to ensure that the client ensures the required product consistency.

Where the Client uses an outside laboratory to conduct any tests or inspections, the Client shall be responsible for ensuring that all the relevant inspections and tests have been correctly carried out and that his records include the results of these inspections and tests.

The Client shall ensure the identification and traceability, where required.

Certified product shall be handled, packaged and preserved to ensure only acceptable product is offered to the market.

4.9 Test equipment and accuracy of measurement

Test and measuring equipment relevant to a certified product shall be:

a) Calibrated or verified at specified intervals, or prior to use, against measurement standards traceable to National Standards. Where no standard exists, the basis used for calibration shall be recorded

b) Identified to enable the calibration status to be determined

c) Adjusted or re-adjusted as necessary

d) Safeguarded from adjustments that would invalidate the measurement results of the required accuracy, commensurate to the product standard

e) Protected from damage and deterioration during handling, maintenance and storage

4.10 Nonconforming product and Corrective Action

The Client shall establish a procedure for the control of nonconforming product and for corrective action directly related to the certified product to ensure that any such product is identified and controlled to prevent its unintended use or delivery.
Where audits or testing indicate that the quality system or products do not comply with the relevant requirements, the Client shall be required to institute appropriate corrective action.

Only product that fully complies with the requirements of the terms and conditions may carry the relevant ZABS Mark.
The client shall have a documented recall system for products identified to be non-conforming after delivery.
Should ZABS incur any costs due to verification activities to ensure that an effective recall has been achieved, these costs shall be for the account of the Client.

4.11 Handling, storage, packaging, preservation and delivery

Storage and holding areas (or both) shall be provided for conforming material at all stages of production.

Separate storage areas shall be provided for rejected material at all inspection points, and/or where necessary, elsewhere in the factory, in order to obviate any possibility of such material being used after it has been rejected or before it has been rectified.

5 INITIAL CERTIFICATION

5.1 APPLICATION AND AGREEING THE CONTRACT

Preliminary Enquiry. When an enquiry is received from a prospective client, our sales staff provides an outline of certification process and discusses your certification requirements. We are happy to arrange a visit discuss your requirements. The client is provided with a Request for Quotation (RFQ) form and a Pre-Licence Factory Assessment Questionnaire.

Request for Quotation. The RFQ form is designed to obtain complete information on the client's certification requirements, and is the basis for the certification proposal. The RFQ should be submitted to the relevant certification office.

Pre-Licence Factory Assessment Questionnaire. This form is designed to evaluate the client's eligibility and readiness for product certification by evaluating the client's factory production control system as well as to prepare a detailed initial

assessment plan. This questionnaire must be submitted together with the RFQ form. Significant issues arising out of review of the questionnaire may have to be addressed before a certification proposal is made to the client.

Certification Proposal. Upon receipt of the RFQ and the Pre-Licence Factory Assessment Questionnaire, we prepare a no obligation detailed quotation or certification proposal covering the client's requirements.

Application. The client makes an 'Application' by signing the quotation/proposal returning it to the relevant ZABS certification office.

Contract. Once the client's signed certification quotation/proposal is also signed by a ZABS representative, this constitutes the entire 'contract' for certification services. The contract must be signed before any work can commence. The proposal is valid for 90 days. Once the 90 days end, we will review the contract again and issue a new proposal if necessary.

5.2 PLANNING THE ASSESSMENT

Agreeing the Assessment Dates. Following the signing of the contract and payment of the initial assessment fees, the ZABS and the client mutually agree the assessment dates. The initial assessment consists of the factory audit and product evaluation. The factory audit date is set and arrangement for product evaluation or testing made

Assessment Team Selection. The assessment team is selected taking into account the nature of the client's business. The roles of the assessment personnel involved is as follows:

The Team Leader is responsible for the whole assessment process and the production of the assessment plan. They are responsible for managing the members of the team, including allocating activities to the team members to ensure that the assessment plan can be completed, the compilation of the assessment report and assessment findings and making the recommendations in relation to your certification. The Team Leader will ask that you appoint personnel from your organization who will act as guides for the assessment team during each of the visits and who will assist the assessment team.

The Team Members undertake the assessment process under the direction of the Team Leader. They undertake the detailed assessment work in accordance with the assessment plan, producing a report of the work they have undertaken, including any findings, for inclusion within the overall assessment report.

A Technical Expert will be used on an assessment where specialist knowledge is required to supplement that of the assessment team. Whilst they will act as advisors to the assessment team they will not undertake any assessment work.

An Assessor in Training may be included within the assessment team, and performs the duties of either a team member or team leader under the direction of an experienced assessor.

An Observer may, from time to time, accompany the assessment Team. An observer is not a part of the assessment team and will not influence or interfere with the conduct of the assessment. An observer can be from ZABS, an accreditation body or regulator, or from another interested party who wishes to witness the assessment.

Our planning office will inform you of the makeup of any assessment team in advance of the visit, including where applicable any technical experts, and if the team will be accompanied by any observers.

Assessment Plan. Prior to the initial assessment, a detailed assessment plan will be prepared and provided to the client at least two weeks in advance of the assessment.

The Team Leader prepares for the assessment plan based on the information provided by the client in the Pre-Licence Assessment stage, and discusses and agrees the further procedures, such as logistics, safety requirements, test arrangements etc., with the organization to be assessed.

The assessment plan will at least include or refer to the following:

- the assessment objectives;
- the assessment criteria;

- the assessment scope, including identification of the organizational and functional units or processes to be assessed;
- Product testing or other product evaluation activities.
- the dates and sites where the on-site assessment activities will be conducted, including visits to temporary sites and remote assessment activities, where appropriate;
- the expected duration of on-site assessment activities;
- the roles and responsibilities of the assessment team members and accompanying persons, such as observers or interpreters.

5.3 INITIAL ASSESSMENT

Factory Audit

A factory visit is conducted and consists of an assessment of the implementation of the management system to confirm conformity with certification requirements such as the factory production control system and certification scope

The factory audit assessment determines conformity to your documented system and the requirements of the assessment standard(s). In order to fully assessment the agreed scope it is necessary that the products included within the certification scope are in manufacture/process at the time of the assessment. Should any product not be available for review during the assessment, then these items will not be included in the scope of the certificate.

All assessment conclusions are based on sampling of assessment evidence to demonstrate effective implementation regarding requirements of the standard(s) and factory production control requirements

On conclusion of the assessment the assessor will make a recommendation dependent on findings. This recommendation will reflect the level of findings identified during the assessment.

Product Evaluation

ZABS Certification accepts the following sources of test results:

a) Test results from an accredited or recognised laboratory prior to the application < 3 months old for food
b) Test results for factory audit samples tested using ZABS own Test facilities
c) Test results from the manufacturer's test facilities (after assessment of the test facilities)
d) Test results from outsourced accredited or recognised test facilities.

Reporting

The Team Leader will issue an assessment report to the client within 14 days from the last day of the certification assessment. If test results for product certification are not yet available, this will be a preliminary report based on the factory audit only.

The report is sufficiently detailed to clearly show the level of conformity of your factory production control system with the scheme criteria. The report will contain a record of assessment findings, progress against the assessment plan, positive comments, and points of clarification or interpretation. We record non-conformities in a Nonconformity Report (NCR) form, and identify them as major nonconformity or minor nonconformity. These nonconformities are defined below.

Follow-up and Close Out of NCs

Major non-conformity is identified and is caused through a significant breakdown of system control, the certification decision will be deferred until corrective action has been taken. Major NC is also a circumstance in which direct impact on the product without appropriate action by the organization is observed during the assessment or when legality and/ or certification integrity is at stake.

A major nonconformity negatively affects the capability of the factory production control system to achieve product conformity. In other words, the absence of, or the failure to implement and maintain, one or more management system elements, or a situation which would, on the basis of the available objective evidence, raise significant doubt of the management to achieve:

- the factory production control requirements
- compliance with the applicable regulatory requirements
- Conformity to the product standard or specification.

A major nonconformity can also be raised (on management responsibility and resource allocation) in the event of non-completion of the approved action plan of a minor nonconformity at the next scheduled on-site assessment.

When a major nonconformity is issued during an assessment, the organization must provide ZABS with objective evidence of an investigation into causative factors, and the proposed corrective action plan (CAP). This shall be provided within 14 days after the assessment. The corrective action shall be implemented by the organization within 60 days after the assessment and evidence of this implementation shall be send to the assessor (team leader).

Our assessor will plan a follow-up assessment within 60 days after the assessment, to review the corrective action and related objective evidence of implementation, challenge it if necessary and determine its effectiveness and approve and corrective action (CA).

The objective of the follow up assessment is to review the effectiveness of the correction and corrective action taken after the raising of a Major Nonconformity.

This follow-up includes the review of the documented root cause analysis by the company, actions taken and documented evaluation by the company for the effective close out of the non-conformity.

In cases where documentary evidence is sufficient to close out the major nonconformity, the assessor may decide to perform a desk review.

The completion of corrective actions might take more time depending on the potential severity of the major nonconformity and the amount of work necessary to eliminate the causative factors. In such cases the CAP shall include any temporary measures or controls necessary to mitigate the risk until the permanent corrective action is implemented.

In such cases, the major nonconformity can be downgraded by the assessor to a minor nonconformity.

A follow-up assessment shall be conducted to verify the permanent corrective action and to close the nonconformity.

Downgrading of a major nonconformity is not possible if the major is defined based on the event of non-completion of the approved action plan of a minor nonconformity.

Recommendation for certification is not possible when major nonconformities are not closed or downgraded to minors.

Minor Nonconformity: nonconformity that does not affect the capability of the factory production control system to achieve the product conformity. In other words: a finding indicative of a weakness in the implemented and maintained system, which has not significantly impacted on the capability of the factory production control system or put at risk the product, but needs to be addressed to assure the future capability of the system.

Minor non-conformity will not prevent recommendation for certification but may delay it, as planned action must be submitted to and reviewed by ZABS prior to the certification decision taking place. Follow up of minor

non-conformities is usually by means of evaluation of documented evidence. Verification and closure of minor non-conformity will take place at the next routine surveillance visit.

5.4 GRANTING OF CERTIFICATION

Certificates are awarded to the client when all assessment activities have been satisfactorily completed, the assessment Team Leader has recommended that certification is granted, any non-conformities raised during certification assessment are cleared and ZABS Certification has formally reviewed the assessment report and reached a certification decision in accordance with its procedures.

Certificates are maintained and held in force subject to satisfactory completion of the requirements for maintenance of certification (see Step 5 Surveillance) but remain the property of ZABS. Normally the certificates are valid for 3 years

Details of certified clients are listed on the website at: www.zabs.org.zm

6.0 SURVEILLANCE

Once issued certificates are only valid subject to satisfactory maintenance of your system and product conformity. Ongoing assessments (surveillance visits) are conducted either six-monthly or annually to verify continued implementation of your factory production control system in accordance with “planned arrangements” and the requirements within the scheme criteria. The first surveillance must be conducted within 6 months of the end of the initial factory audit . The choice of surveillance period will be agreed at the proposal stage and will depend on the scale, nature of your operations and scope of certification. Regardless the surveillance interval, certain mandatory elements will be reviewed at every visit together with other pre-selected processes. We will work with you to identify areas that are not conforming to support opportunities for improvement. An assessment plan will be forwarded in advance of the agreed assessment date.

7.0 RECERTIFICATION

ZABS operates a system of continuous certification. As part of this programme, it is not necessary to conduct a complete assessment. Rather, we conduct a recertification visit which is more in-depth than surveillance visits but will ensure that we review all aspects of your system. The recertification assessment must be carried out and the /major non-conformities closed prior to the expiry of your current certificate. The recertification assessment is the first visit of your new certification cycle.

8.0 USE OF CERTIFICATION MARK

8.1 GENERAL

The Certification Mark is only be used once certification has been granted by the ZABS.

The Certification Mark granted by ZABS bears the relevant Product certification and the scope of certification

On being issued with a Certificate, a client whose product/s have been certified shall have the right to use the certification mark

ZABS periodically conduct surveillance activities to assess and monitor the use of the Certification mark. and statements proclaiming certification; this includes during scheduled audits

Where the Client is uncertain as to whether the manner in which it intends to use any of the certification precursors might be in breach of the requirements of this document, the Client may submit to ZABS for a written request for assessment or approval.

The Client organization whose product has been certified is required to comply with the following:

a) not use or permit the use of a certification document or any part thereof in a misleading manner,
b) upon suspension or withdrawal of its certification, discontinue the use of mark on the product and as directed by ZABS may be required to recall product bearing the certification mark which is already on the market

c) amend all advertising matter when the scope of certification has been reduced,

d) not allow reference to its product certification to be used in such a way as to imply that ZABS certified it management system,

e) not imply that the certification applies to products that are outside the scope of certification, and

f) not use its certification in such a manner that would bring ZABS and/or certification system into disrepute and lose public trust.

8.2 USE OF THE CERTIFICATE

The use of the Certificate is restricted to the scope of certification and the period of validity of the certification;

The Certificate and its annex are specific to the organization and the product/s which stated on the certificate and the organization client whose specific product has been certified shall not transfer any certification right nor give permission to a third party to use the Certificate

The Certificate shall not be photocopied or in any way reproduced for the purposes of public display unless when produced in full colour and bearing all features of the original Certificate. When reproduced, for purposes other than public display, the copies shall at all times bear only the features of the original certificate;

The Certificate remains at all times the property of ZABS and shall immediately be surrendered to ZABS upon suspension, revocation, termination or annulment of the certification. Any copies of the Certificate to be destroyed or surrendered to ZABS.

8.3 USE OF CERTIFICATION MARK

A client whose product is ZABS' certified is not allowed to use the ZABS Certification Mark in such a manner as to bring ZABS into disrepute and shall not make any statements regarding its certified product in a manner that ZABS may consider inaccurate and/or misleading;

A client whose product is ZABS' certified may affix the ZABS Certification Mark on the label of the certified product (front or back of pack) and on the primary and secondary packaging of the certified product.

A client whose product is ZABS' certified may not place the ZABS Certification Mark in isolation of its own logo and the size of the ZABS Certification Mark shall not exceed the size of the Client's logo;

The ZABS Certification Mark shall always be clearly visible and shall at all times be:

a) in the original colour it was issued or monochrome (any single colour),
b) in a size which makes all features of the Certification Mark clearly readable,
c) without distortion of its dimensions and shape;

The client whose product is ZABS' certified may not display the Certification Logo:

a) on letterheads and stationery,
b) in advertising or promotional material,

c) on a panel or hoarding that identifies its premises or the nature of his business;
d) on a fleet vehicle or delivery vehicle, on condition that it is clear from such display that the certification logo relates to the subject of certification; and

The client whose product is ZABS' may use the Certification Mark on a product or product packaging.

8.4 MAKING REFERENCE TO THE CERTIFICATION

A client whose product is ZABS' certified may submit to ZABS for approval the way in which it proposes to use the certification mark or proposes to make reference to its certification, where the is doubt;

No person may, claim or refer to the ZABS Product Certification in an advertisement or other form of publicity, by giving the impression that the management system is ZABS certified

8.5 DEALING WITH INCORRECT USE OF CERTIFICATION OF REGISTRATION AND LOGO

ZABS takes appropriate action to deal with incorrect and/or misleading use of the Certificate and the Certification Mark or any reference to the certification. The action(s) may include:

a) a request for corrective actions established in respect and extent of the incorrect and/or misleading use of the logo;
b) suspension/termination of certification;
c) publication of transgression; and
d) if necessary legal action

Upon withdrawal of the certification, the client shall, where applicable, recall any dispatched advertising materials and as directed by ZABS may have to recall product already in market bearing the certification mark as well as return any certification documents as required by ZABS.

Figure 1 Product Certification Mark