	UGANDA NATIONAL BUREAU OF STANDARDS MANAGEMENT SYSTEM CERTIFICATION SCHEME	Operating procedures Manual
TITLE: GUIDELINES FOR APPLICANTS		
DOC: MSC-G/01	ISSUE NO: 01	DATE: APRIL 2007
PREPARED BY: HEAD-SC	APPROVED BY: MANAGER	

1.0 Purpose and Scope

The purpose of this document is to provide guidance to applicants who would like their management system certified by UNBS

2.0 Definitions


- (a) **HC-** Head Certification Section
- (b) **HACCP-** Hazard analysis critical control points system
- (c) **Management Systems:** The Management systems referred to by this guideline are HACCP, ISO 9001, ISO 22000, ISO 14001
- (d) **Auditee:** The organisation being audited

3.0 Responsibility

- 3.1 The HCS is responsible for management of this procedure
- 3.2 It is the responsibility of the applicant to read and understand the procedures related to processing of applications, grant of license as well as the responsibilities and obligations of applicants as outlined in this guideline

4.0 Application and its Processing

- 4.1 Organizations seeking registration/certification to any Management Systems (ISO 9001, ISO 22000, ISO 140001, HACCP, etc) should ensure that they are operating a management system in accordance with the requirements of the relevant standard.
- 4.2 The application shall be made in duplicate on prescribed forms and each application must be accompanied by a supplementary questionnaire. The form can be obtained from UNBS Head Office, or its Regional Offices or the UNBS website (www.unbs.go.ug)
- 4.3 The duly filled application forms shall be submitted with the application fee. The application fee is non- refundable.
- 4.4 The application form and the supplementary questionnaire is to be signed by the proprietor, partner or the Chief Executive Officer (CEO) of the organization or any other person authorized to sign any declaration on behalf of the organization. The name and designation of the person signing the

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application must be recorded legibly in a space set apart for the purpose in the application form.

4.5 Each application must be accompanied by all documents as specified on the application form plus any other supporting documents the organisation may deem necessary.

4.6 UNBS reserves the right to reject an application which is incomplete and does not fulfill one or more of following requirements:

- i) Application fee not accompanying the application;
- ii) Application form is incomplete;
- iii) Annexures to the application are not clear.

However, ample opportunity and information will be provided to the applicant to fulfill the requirements. The reason for rejection of the application shall be communicated to the applicant by UNBS.


4.7 UNBS will acknowledge the receipt of the application and application fee. Every application will be given a serial number to be known as 'Application Number'. In all future correspondence, reference must be made to the 'Application Number'.

5.0 Adequacy Audit

5.1 After the application has been accepted, UNBS will verify the documented Management System along with the accompanying documentation for conformance to the relevant standard. Any significant omissions or deviations from the prescribed requirements intimated by UNBS will have to be corrected by the applicant before further processing of the application.

6.0 Pre-Audit

6.1 Where UNBS determines that a pre-audit is necessary, UNBS auditor(s) will make a visit to the premises of the applicant to be acquainted with the size, nature of the operation and organization's readiness for the audit. The visit will also be utilized to assess the number of auditors for the initial audit for grant of license, duration of the audit and type of expertise required. The number of the auditors for audit and its duration will vary according to the size and nature of operation of the organization being assessed.

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6.2 The lead auditor will prepare the audit plan detailing the programme of the audit and contact the applicant to agree on a date for auditing. The applicant will obtain a copy of the audit programme.

7.0 Assessment Fee

This is the fee paid in respect to the auditing activity. Assessment fee will be payable in advance, estimate of which will be provided by UNBS at the time of application. The fee is variable depending on the man-days expected to be spent on the audit of the organization and the anticipated expenses for travel and/or accommodation. Travel and accommodation expenses for clients outside Kampala shall be paid by the applicant.

8.0 Initial/Certification Audit

An Audit Team from UNBS will visit the organization for assessment of the organization's compliance to the requirements of standard and processes, procedures and activities enumerated in the documented Management System. The Assessment will comprise the following sequence:

a) Opening Meeting


This meeting will be conducted by the leader of the audit team in which the Chief Executive Officer (CEO) of the organization, the management representative and heads of all the departments being audited are expected to be present. The purpose of an opening meeting is to confirm the audit plan; provide a short summary of how the audit activities will be undertaken; confirm communication channels; and to provide an opportunity for the auditee to ask questions.

b) Conduct of Assessment

- ✓ Each auditor may be accompanied by a guide who is conversant with the activities of the department(s) the auditor is auditing.
- ✓ Observations recorded by the auditors may be signed by the guide as a token of acceptance, if desired by the auditor.
- ✓ The non-conformities observed by the audit team will be handed over to the auditee at the end of each day for necessary correction and corrective actions.
- ✓ Time frame for the corrective action(s) will be agreed upon between the auditee and the auditors.
- ✓ The non-conformity reports will be signed by Management Representative or authorized signatory as a token of acceptance.

c) Closing Meeting

All the members present in the opening meeting should preferably be present in the closing meeting as well, when the audit team will present their findings to the auditee. The audit team leader will present the audit

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findings and conclusions during the closing meeting. A report will be submitted to the firm by the audit team leader.

9.0 Responsibilities of applicant during the audit

- 9.1 The organization is expected to provide following assistance to the audit team during the audits:
- a) Arrangements of stay, local guidance and travel arrangements, etc.
 - b) The CEO and the Management Representative of the company must be present during the opening and closing meetings. As far as possible, all responsible personnel of the company whose departments are being audited should be present in these meetings.
 - c) In the interest of the auditee, all efforts should be made that time of the audit team is not wasted on account of non-availability of relevant personnel, documents, records, shut down of unit(s) being audited, etc.
 - d) The auditee will arrange a place/room where members of the audit team can meet to exchange their notes and discuss audit findings at the end of the audit.
- 9.2 The auditee shall be responsible for putting in place corrections/corrective actions on the non conformities observed during the audit. These corrections or corrective actions shall be verified by UNBS either during the audit or call for a follow up audit, full or partial, as the case may be. Grant of license shall only be done after UNBS is satisfied with the recommendation of the assessment team.
- 9.3 At the time of grant of license to the applicant, they shall give the following undertaking: "We shall make no claim direct or implied that the license granted to us relates to products or processes other than those set out in the said license and the schedule thereof."

10.0 Grant of License

- 10.1 The audit team shall make a full report of the audit findings with recommendations and submit the report to the Certification Committee. The Certification Committee is composed of persons independent of those who conducted the audit and shall not have any conflict of interest with respect to the certification body and the auditee. The role of the Certification Committee is to independently assess the suitability of the applicant for certification visa vis the audit findings.
- 10.2 The license shall be granted for a period of three years for Food Safety Management Systems, Quality Management Systems and Environmental Management Systems while HACCP Certification is valid for one year.

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10.3 Grant of license will be followed by at least one surveillance every six months. Surveillance shall be performed by UNBS auditors to verify the effective implementation and maintenance of the management system established by the organization

10.4 During the operation of license, when a licensee fails to observe the conditions of the Management Systems Certification Scheme or where there have been significant changes in the organization of the licensee, the license of the organization is liable to be suspended and may call for special visits for which the firm is liable to paying a special visit charges as set out in schedule of fees.


11.0 Renewal, expiry, suspension and cancellation of license

11.1 Any license granted automatically expires at the end of the period for which it is granted. A renewal notice will be issued to the licensee by UNBS four months before the expiry of the operative period. The licensee is required to submit the renewal application at least three months in advance before the expiry of the license which will be followed by a complete audit of Management System of the organization.

11.2 If some discrepancies are found during the audit, the licensee will be asked to take actions (correction and corrective actions). After the licensee has taken necessary action or a corrective and preventive action plan is proposed by the licensee to remove discrepancies, the Management Systems Certification license will be renewed for a period of three years (ISO 9001, ISO 14001 and ISO 22000) and one year for HACCP.

11.3 The license may be suspended for such period as the National Standards Council may determine in any of the following cases:

- i) If during surveillance audit, there is non-compliance with the requirements of the standard and the laid down procedures of the organization and the organization fails to institute corrective measures.
- ii) If the company is found violating the terms and conditions of the permit or have used the license improperly.
- iii) The company has failed to provide reasonable facilities to assessors to enable them to discharge the duties imposed on them by or under the UNBS Act No. 1 of 1983.

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- iv) If the company fails to institute corrective measures to product(s) which, upon monitoring fails to comply with the National Standard.
- v) If the company is unable to pay financial obligations to UNBS as provided for in the Certifications Regulations of 1995, Statutory Instrument Supplement No.25.


11.4 The permit shall be withdrawn or cancelled by the National Standards Council on the basis of the following:

- i) The permit is used for illegal or immoral purposes.
- ii) If the company is found continuously violating the terms and conditions of the permit as set out in the Certification regulations of 1995.
- iii) Continuous failure or refusal to comply with a legal summon, subpoena issued by UNBS.

12.0 Obligations of licensee

12.1 A licensee on grant of certification a Management System will:

- a) At all times comply with the requirements of the license as set out therein and comply with *UNBS Certification Regulations, 1995* or any amendments thereto and the UNBS Act, 1983.
- b) Only claim that he is holding a license in respect of the capability which is the scope of the license and which relates to the products, processes or systems in accordance with the license requirements.
- c) Not use the license in any manner to which the UNBS may object and shall not make any statement concerning the authority of the licensee's use of the license which, in the opinion of the UNBS, may be misleading.
- d) Submit to the UNBS for approval the form in which he proposes to use the license or proposes to make references to the license.
- e) Upon expiry of its period of validity, suspension or termination of the license, however determined, discontinue its use forthwith and withdraw all promotional and advertising matter which contains any reference thereto.
- f) Not make any change in the Management System which forms the basis for the grant or renewal of the license and which prevents its compliance with the Scheme without prior approval of the UNBS
- g) Submit to the UNBS any amendments to the approved documented system.
- h) Document all changes made to the Management System and make records of such changes available to Bureau's designated officers on request. A change in key personnel in relation to management of the

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licensed systems and technological functions or senior management shall be notified to the UNBS by the licensee.

i) Permit access to a team appointed by the UNBS for purposes of assessment, audit or surveillance. The licensee shall give full details of all actions taken in response to field problems arising from allegations of defects in products, processes or systems covered in the license and allow UNBS officers access to all relevant records and documents for the purpose of verifying such details.

j) Be required to produce evidence of continuing operations for the products, processes or systems covered by the license. Licensee shall notify to UNBS in writing of discontinuance of such operations exceeding three months. Discontinuance of a license in excess of six months or more may lead to cancellation of the license. In such cases, a fresh application shall be submitted to the Bureau and assessment visit will be necessary prior to grant of a new license.

k) Pay all financial dues to the Bureau, in the manner specified by it, even for the period of discontinuance or suspension of license.

l) Operate and maintain procedures for handling and recording of complaints and shall report any complaints against the Management System and/or license to UNBS. Cooperate and assist UNBS on the investigation and resolution of such complaints.

m) Operate within the provisions of the *UNBS Act 1983*; *UNBS Certification Regulations, 1995* and *Certification Scheme Procedure for grant of license*.

13.0 Privileges of licensee

The privileges enjoyed by UNBS licensees include:


a) Original Management System Certification license which can be demonstrated by the licensees to anyone concerned. If need be, it can be photocopied and displayed at various locations.

b) Use of Management Systems Certification Mark, if prescribed, on letter heads in advertisements, brochures, complimentary documents and for other promotional purposes. However, the Certification Mark shall not be directly applied on the product and its packaging so as to avoid the impression that product itself is certified by UNBS.

c) Each license shall be listed in the register of licensees maintained by UNBS

14.0 Appeals


Under the Provisions of *UNBS Act 1983* and the *UNBS Certification Regulations 1995*, any decision taken in respect of granting, withholding, renewal, suspension or cancellation of certification can be appealed

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against. For the Procedure and Guidelines for making an appeal, contact Head (Management Systems Certification) at UNBS Headquarters, P.O.Box 3629 Kampala, Plot M217 Nakawa Industrial Area, Telephone 256-414-505995, e-mail: unbs @infocom.co.ug

15.0 Legal Actions

All permit holders' manufacturers; distributors, retailers and importers of products under Management certification scheme shall be subject for legal actions as provided for in Uganda National Bureau of Standards Act No.1 of 1983.

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16.0 PROCESS OF MANAGEMENT SYSTEMS CERTIFICATION

