

Management Systems – Certification Guidebook

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Revision History

| Rev No | Revision Date | Author | Approved by | Page No | Sec. No | Brief Description of Change |
|--------|------------------|--------------------|-------------------|---------|---------|---|
| 1 | 1 September 2014 | Stephanie Vincent | Stephanie Vincent | | | New – Transfer of NCSI Terminology to BSI |
| 2 | 13 May 2019 | Durba Bhattacharya | Alison Lord | | | Completely rewritten |
| | | | | | | |

Related Documents

| Document Number | Title |
|-----------------|-------|
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1 Management Systems Certification Guidebook

This certification guidebook is designed to assist your organization on the requirements for certification to Management Systems Certification and specifically Quality Management Systems (ISO 9001, Environmental Management Systems (ISO 14001), Safety Management Systems (OHSAS 18001, AS/NZS 4801, ISO 45001) and Safety Map. This guidebook also applies to management of other accredited Management System schemes however specific scheme requirements take precedence over generic requirements of this guidebook.

2 Accreditation Status

Certification to these schemes is accredited.

BSI holds accreditation for these standards with JAS-ANZ and ANAB as per Table 1.

Table 1: Accredited Bodies by Scheme

| Scheme | JAS-ANZ | ANAB |
|-------------|--|------|
| ISO 9001 | Yes | Yes |
| ISO 14001 | Yes | Yes |
| OHSAS 18001 | Yes | Yes |
| AS/NZS 4801 | Yes | No |
| ISO 45001 | Yes | Yes |
| Safety Map | Yes | No |
| ISO 55001 | In Application (current accreditation with UKAS) | No |
| ISO 50001 | No | Yes |
| ISO 27001 | No | Yes |

3 The Certification Process

The following section outlines the steps that apply during the BSI certification process for Management Systems schemes.

BSI reserves the right to provide its clients and those that request quotations with marketing and technical information relating to standards, training and compliance services.

3.1 Initial Inquiry

BSI will respond to either verbal or written expressions of interest from organizations interested in one or more of our programs. If your organization is located near one of BSI’s offices, an advisory visit may be arranged to discuss your certification requirements and how BSI can help your organization achieve them.

BSI will also, on request and receipt of a Request for Quotation, prepare a proposal tailoring our services to your organization's needs.

3.2 Application for Certification and Assessment

Receipt of your organization's Application form (or authorized acceptance of a valid BSI proposal), along with the accompanying payment of the non-refundable application fee (or invoicing instructions) together with this document forms the contract between your organization and BSI.

Your requirements will be entered into our database and a Client Manager and Client Services Officer will be appointed to look after your certification or assessment requirements. The Client Services Officer will be your primary point of contact with BSI and is responsible for ensuring that our certification/assessment services are delivered to your organization in the most effective manner possible.

3.3 Client Contact

As soon as practicable after receipt of your signed application/proposal, a BSI Client Manager or Client Services Officer will contact your organization. The Client Services Officer will seek to establish a working relationship between your organization and BSI, and to confirm your certification requirements in terms of the certification/assessment services, standards or codes of practice, locations, and activities and/or products to be included in the scope of certification.

The Client Manager or Client Services Officer will seek to gain an appreciation of the structure of your organization and the activities being conducted. In particular they will:

- Seek an appreciation of the nature and scope of the organization's activities, structure and location(s), including any activities for which confirmation is being excluded; and
- Determine the status of system documentation and implementation including organizational policies, objectives and targets.

If you are working with a consultant it is often useful for that person to be party to the communication process.

3.4 Gap Analysis

A Gap Analysis approach often proves an invaluable tool in determining system implementation, particularly for new systems that are still in the early stages of development. This one-off assessment includes the identification of gaps against the requirement of the nominated Standard or Code of Practice. At the conclusion of the Gap Analysis you will receive a report which highlights any gaps as well as options for next steps on your path to certification. The results of a Gap Analysis are not directly linked to any subsequent Certification Audits.

3.5 Preliminary Assessment Audit (Stage 1 Audit)

In order to gain certification to a management system scheme your organization is required to have an initial audit followed by a certification audit. An initial audit determines your readiness for certification.

The initial audit will be carried out by a qualified assessor. It is recommended that the assessment be carried out at your site. If you have multiple sites not all of the sites are required to be included in this audit.

BSI undertakes a review of your organization's system documentation, including policy manuals, procedures and other relevant supporting documentation.

This step gives your organization the opportunity to demonstrate that all documentation required by the relevant standard or code of practice has been prepared, is controlled where necessary, and is monitored and updated as required.

Your organization will receive a written report which outlines the readiness for the Certification Audit. The areas of concern from the stage 1 audit must be satisfactorily addressed prior to the certification audit.

A plan for the certification audit is prepared based on your organization's system and documented procedures. This ensures the audit team is focused on the way your organization operates when the Certification Audit is performed.

If a Gap Analysis Audit is not conducted, the Stage 1 Audit provides an opportunity for BSI to verify the audit durations as specified in your application/proposal and if required, vary the durations accordingly.

3.6 Certification Audit (Stage 2 Audit)

The purpose of the Certification Audit is to establish whether your organization's management system has been implemented and complies with the relevant standard or code of practice by examining actual practices, documentation and records and comparing them against the organization's policies and procedures. The audit process is, effectively, an undertaking to establish that your documented policies and practices are understood by your personnel and have been effectively implemented.

Audit teams will be led by qualified and experienced auditors (Client Manager) and, where required, witness auditors, observers and/or technical specialists acting as advisers to the audit team may also be present. These specialists bring current specialized knowledge of the activities being audited to the audit team and ensure that the audit provides a relevant and practical review of aspects critical to the business. When specialists are used, care is taken to ensure that your commercial confidentiality is not jeopardized. Your organization has the right to reject any specialist who is not acceptable to your organization, provided that an alternative may be substituted.

3.7 Certification Audit Report

At the conclusion of the audit, the audit team will prepare a written report on the audit findings and the audit team leader will present these findings to your organization's senior management at the exit meeting.

The audit findings include a summary of the overall compliance of your system with the requirements of the relevant standard(s) or codes of practice. The final report may be subsequently provided after completion of the audit.

The audit report will include the following information;

- An executive summary of the overall findings (conclusions) on the effectiveness of your system in meeting the requirements of the standard
- Ratings of the non-conformances against clauses of each standard(s)
- Suggestions for continual improvement
- Positive finding areas
- Times allocated for the activity and list of audit participants

Non-conformities will be discussed with your team during the auditor's visit and outlined at the exit meeting. Non-Conformities are categorized as Major, Minor and **Opportunity for Improvements**.

If you are unclear regarding the meaning of anything in your report, please contact your BSI Client Manager.

It is your organization's responsibility to respond to the non-conformities detailed in your audit report by the designated time frame. Failure to do so may result in suspension or cancellation of your certification.

3.8 Non-Conformities

Major non-conformances must be closed prior to the awarding of certification to the organization.

Specific audit findings are categorized as follows and are applicable during the certification audit activities:

Major Non-Conformances

Major Non-conformances are audit findings that reveal that the integrity of the Management System has been compromised and must be rectified before certification is granted.

Major Non-conformances are required to be closed out on site.

Minor Non-Conformances

Minor Non-conformances are audit findings that reveal an isolated incident of non-compliance that has no direct impact on the integrity of the product **or service provided**. Agreed proposed corrective action plans (CAPs) (detailing correction, cause identification and long term fix) must be received within two (2) weeks of the nonconformity being identified.

Opportunities for Improvement

These are comments, which may include praise, opportunities for improvement, or comments that may be relevant for the next audit. Actions do not necessarily have to be taken for observations however, it is recommended that these have been considered as part of your continuous improvement process.

3.9 Certification Decision

After confirmation that any necessary corrective actions have been taken, which may involve a follow up visit by the BSI Assessor/**Client Manager**, the findings and recommendations made in the audit report are subject to an internal review process prior to certification being granted.

3.10 Certificates

When your organization has achieved certification, BSI will provide you with a *Certificate* as a statement that your organization has achieved certification to the relevant standard(s). The certificate will include important data such as your organization's certification number, the standard for which certification has been granted, the date of certification, **expiry date and the scope of your certification**. The certificate should be displayed where it will be seen by customers and potential customers.

When copies or elements of the certificate are used in tenders or offered to potential or existing customers, the certificate should be accompanied by the scope of certification document (if issued separately) as it is important for them to understand the scope of activities for which certification has been granted (see 'scope' below).

Incorrect use of the certificate can result in a customer being misled as to the extent of your organization's certification. Clients are obliged to ensure that BSI has been formally notified of the latest address, ownership, changes to key management responsibilities, major management system changes and capability information so that the certificate maintains its currency. Failure to do so may compromise your organization's certification status.

All original certificates remain the property of BSI Group ANZ Pty Limited and must be returned on request.

3.11 Scope of Certification

The scope of certification fully details the scope of your organization's certification in terms of:

- Names and addresses of all locations covered by the certification;
- Achievement of certification to the relevant standard(s) or code(s) of practice
- The capability statement (range of products, services, and activities) for each location covered by the certification and
- Any specific exclusions from the scope of certification

Clients are obliged to ensure that BSI has been formally briefed in a timely manner when any variations occur. Clients should not wait until the next scheduled assessment to notify BSI. Failure to do so may compromise the organization's certification status.

3.12 Refusal of Certification

In the event that your organization is unable to comply with the requirements of the relevant standard, BSI may refuse to grant certification. The decision to refuse certification, and the grounds for that decision, will be communicated to your organization in writing.

3.13 Surveillance Audits

BSI is required to conduct an assessment at your organization at a minimum of 12 monthly intervals. Assessments may be conducted more frequently at 4, 6 or 9 month intervals as agreed between BSI and your organization.

Please discuss this with your Client Manager if you would like further information on increased frequency assessments and the value these provide to your organization.

The first surveillance audit may not be delayed beyond ten (10) months from the certification audit.

3.14 Re-Assessment Audits

The re-assessment cycle for Management System programs is three (3) yearly. Your reassessment audit must be conducted within three (3) years of the initial certification or last recertification. If not completed and processed within the required time frame, your certification is no longer valid.

The re-assessment audit must take place three (3) months prior to the expiry date. Extension on the re-certification dates **and expiry dates** are not permitted.

3.15 Suspension or Refusal of Certification

When an organization's certification is suspended or refused, the organization shall, for the period of suspension or refusal:

- Withdraw and cease to use any advertising or promotional material that promotes or advertises the fact that the organization is certified
- Ensure that all copies of certificates and scopes of certification are removed from areas of public display and
- Cease to use the certification mark on stationery and other documents including media and packaging that are circulated to existing and potential clients, or in the public domain

The organization shall advise BSI in writing of action taken with respect to the requirements listed above;

- BSI shall advise the organization in writing of the certification processes that will need to be completed to **reinstate** certification; and
- During the period of suspension the organization shall continue to pay all fees levied by BSI

3.16 Cancellation of Certificate

When an organization's certification is withdrawn, the organization shall immediately:

- Withdraw and cease to use any advertising and promotional activities and materials that promote the fact that the organization holds certification
- Cease to use relevant certification marks in any way to promote the fact that the organization holds certification and
- Return all certificates and pay outstanding fees

3.17 Variations to Certification

Your organization is required to advise BSI if there are any significant changes to your organization or the product/**service**. Variations to certification may originate from:

- Variations to the scope of certified product
- Major nonconformities
- Voluntary withdrawals
- Withdrawal of certification by BSI Group
- Change of certification scope **(including Business Activity/ies, Products and Processes)**
- Change of ownership
- Change of management/**Authorized Representative/Contact details**
- Change in Business Name (Legal entity) and Trading Name (where applicable), ABN
- **Change of address of any certified site**
- **Change in number of employees, covering all shifts and sites**
- **Change in Billing Details**

BSI will determine if the degree of change is significant to require an additional assessment or if the changes can be assessed at the next scheduled audit.

3.18 Reduction in Scope of Certification

When an organization's scope of certification is reduced, BSI issues revised certificates and scopes of certification as appropriate and the certified organization is required to:

- Return all superseded certificates
- Ensure that use of the certification mark is adjusted to reflect the reduced scope of certification
- Ensure that all advertising and promotional activities and materials are adjusted to reflect the reduced scope of certification and
- Pay any fees that are applicable for the facilitation of this activity

4 Use of the BSI Certification Mark

Whilst you maintain certification with BSI, you are entitled to use the appropriate BSI Assurance Mark. You can download the appropriate BSI Assurance Mark from the BSI Website or by logging into the Business Assurance Portal.

Use of the logo is subject to Condition and rules of its application as below –

[BSI Assurance Mark Guidelines](#)

5 Use of Accreditation Symbols

In addition to the BSI mark, the JAS-ANZ or ANAB mark may be used in accordance with the rules below if your BSI certificate is issued with a JAS-ANZ or ANAB logo respectively.

Organizations that have been granted certification are entitled to use either the JAS-ANZ or the ANAB Accreditation Symbol depending on the accreditation mark on your certificate.

The rules for the use of this mark are governed by the Accreditation Body.

The Accreditation marks may only be used in conjunction with the BSI Assurance Mark.

Specific guidance on the use of the Accreditation Marks are documented in;

[JAS-ANZ Mark Use Guidelines](#)

[ANAB Mark Use Guidelines](#)

6 Confidentiality

BSI will treat all information in accordance with the Privacy Amendment (Enhancing Privacy Protection) Act 2012.

7 Additional Obligations

Following certification, there are a number of managerial responsibilities which your organization will need to observe to maintain BSI's certification. These include:

- Continued compliance with the relevant systems standard(s) or code(s) of practice;
- Compliance with the BSI Standard Commercial Terms and Conditions and obligations as specified in this document as well as other guidance documentation that may be specifically provided from time-to-time;

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- Conduct of regular internal reviews of your system, with appropriate documentation of such reviews and of any subsequent corrective actions;
- Notification to BSI of any significant changes in the structure (key responsibilities and management system), ownership and operations of your organization to enable the impact of such changes on the certified system to be evaluated; and
- Notification to BSI of any litigation or serious events or matters that relate to the scope of your certification;
- Payment by the prescribed dates of all fees and expenses set and applied by the Board (and or its nominee) for continuance of certification;
- Notify BSI without delay of any significant event which includes but is not limited to fatal incidents, serious injuries, occupational disease or legal action by a regulatory authority (Safety Management Systems only);
- Notify BSI at the time of surveillance or recertification assessment of any OHS related findings by third-parties (Safety Management Systems only).

7.1 Complaints

Your organization is required to keep a record of all known complaints. These records must be made available to the audit team and BSI when requested.

Your organization is required to demonstrate that you have taken appropriate action to address these complaints through investigation and correct any deficiencies found. These actions must be documented.

7.2 Certification Agreement

Your organization is required to meet the requirements of the BSI Standard Commercial Terms and Conditions, this document any and other guidance documentation that may be specifically provided from time-to-time. These documents together form part of the Certification Agreement between your organisation and BSI.

This requires that your organization remains compliant with the scheme requirements and the conditions of certification at all times.

Your organization is required to implement appropriate changes as communicated by BSI in a time appropriate manner.

7.3 Assessment Scheduling

Your organization is required to make all necessary arrangements to allow the evaluation and surveillance activities to take place. This includes but is not limited to; Equipment, Locations, Personnel and Sub-contractors.

7.4 Misleading Statements

Your organization is not permitted to use its certification in a manner that could bring the BSI into disrepute. This includes making misleading or unauthorized statements. If you are unsure if a statement could be misleading you are advised to contact BSI prior to making the statement. Statements include

but are not limited to the use of the logo on product, advertising (including your website) and internal communication.

If your organization is required to provide copies of their certification documents these must be reproduced in its entirety. Failure to do so may be misleading to the recipient as to the scope of certification.

7.5 Observers

From time to time BSI requires an Observer to be in attendance at an audit. This may be related to training of new staff and witness assessment of existing staff. It is a requirement of certification that your organization allows these activities to occur.

Failure to allow this activity to occur may result in cancellation of your certification.

BSI will, at all times, ensure the use of observers is kept to a minimum and your organization will be advised prior to the assessment activity.

The Observer does not take an active part in an assessment.

8 Complaints and Appeals

BSI takes complaints relating to our service delivery seriously and all complaints will be investigated and the originator of a complaint will be advised of the outcomes, as appropriate.

BSI will investigate all complaints, relevant to operation of the system, from customers of your organization as well. Organizations shall, at all reasonable times, provide representatives of BSI with access to its premises and records for the purposes of investigating such complaints.

If your organisation's application for certification has been refused, or your organisation's certification has been suspended, cancelled, or reduced in scope, or your organisation formally disagrees with the audit findings, you may appeal against the decision. The appeal will be dealt with in accordance with the Global BSI Appeals Procedure.

Should your organisation wish to raise a complaint with regard to your BSI experience or in the event your organisation wishes to appeal the audit findings or audit outcome please contact:

General Manager - Technical and Operations

Email: technical.anz@bsigroup.com

Phone: 02 8877 7100

9 The Role of the Authorized Representative

The Authorized Representative nominated by your organization is the primary point of contact for BSI for all matters concerning your BSI certification or assessment. The person who has been nominated as the Authorized Representative does not need to have responsibility for maintenance of the management system, but must have sufficient authority to discuss and make agreements with BSI on matters associated with the organization's certification or assessment.

It is also important that your organization keeps BSI informed of any changes in Authorized Representative.