

TQCSI GENERAL POLICIES FOR MANAGEMENT SYSTEM CERTIFICATION

This policy document describes policies determined by TQCSI's Certification Approval Panel in the interpretation of general issues regarding all management systems.

A fundamental IAF requirement for management system certification is that internal audits and management review be conducted annually.

Internal audits. A minor nonconformance is to be raised if all processes of the respective management system have not been internally audited in the last 12 months (ie those processes that are required by each clause of the respective standard). A major nonconformance is to be raised if an internal audit of the respective management system has not been conducted at all in the last 12 months.

Internal audits need not be an audit against the respective Standard. By virtue of TQCSI auditing against the Standard and the management system, clients satisfy ISO 9001 Clause 8.2.2 (or the respective clause for other standards) by simply auditing against their management system documentation.

There is a growing tendency to require internal audits to only be audits of operational procedures. This is wrong, internal audits must be of the management system processes themselves (ie the management system documentation addressing the required clauses of the Standard). Auditing of operational procedures (ie SOPs, work instructions, etc which facilitates ISO 9001 Clause 7.1) may be conducted simultaneously but is more often conducted at another time, providing it is scheduled and those procedures are regularly reviewed. Normally, TQCSI would require operational procedures to be reviewed at least two yearly, although reviewing processes with higher risk to the client more frequently is encouraged. Reviewing operational procedures may only require the respective procedure to be verified as being correct.

A traditional checklist approach to internal audits is acceptable providing the checklist is reviewed and updated from time to time so that it remains current.

Sufficient evidence is to be recorded to ensure the internal audit findings can be justified.

Management review. A minor nonconformance is to be raised if all required inputs of management review have not been conducted in the last 12 months. A major nonconformance is to be raised if management review has not been conducted at all in the last 12 months.

Management review may be conducted in whatever format the client chooses although most clients use a traditional meeting. If not through a meeting, then there must be reasonable evidence that the respective management team participated in some form of discussion – simply reading a report is not acceptable. All required inputs of ISO 9001 Clause 5.6.2 (or the respective clause for other standards) must be discussed and reasonable evidence of the discussion must be recorded (normally in meeting minutes). Any other agenda items required by the management system documentation must also be discussed. Any action arising from management review must be recorded and a person nominated, preferably (but not compulsorily) with a target date.

There must also be some traceability to previous management review records to ensure proposed action was achieved or is being monitored.

Management Representative. The title used by the client for management representative may be any term, it does need to specifically be called “Management Representative”. ISO requires the Management Representative to be from ‘management’ and we encourage this to be the case. However, defining management can be difficult. The underlying premise is that the Management Representative must have immediate access to ‘top management’ so that management system issues can be raised at the most senior level.

Approved:	<i>Original signed</i>	<i>Original signed</i>
	Craig Bates President, TQCSI	Lorraine Welsh Accreditation Manager, TQCSI
Date:	16/3/11	