



TQCS INTERNATIONAL PTY LTD
ACN 100 435 916
PO Box 483 Woodville SA 5011 Australia
p: 61 8 8347 0603 f: 61 8 8445 9423 freecall: 1800 686 739
e: info@tqcsi.com www.tqcsi.com

TQCSI RULES OF CERTIFICATION

INTRODUCTION

These Rules of Certification have been developed in accordance with the policies and procedures of the Joint Accreditation System of Australia and New Zealand (JAS-ANZ), ANSI National Accreditation Board (ANAB) and the International Accreditation Forum (IAF). They apply to TQCS International Pty Ltd, its auditors, technical specialists and employees, applicants as clients, clients who have achieved certification and relevant stakeholders. TQCS International Pty Ltd is referred hereunder as 'TQCSI'.

SCOPE

TQCSI provides independent, third party auditing and certification of management systems operated by clients seeking compliance to various International and other Standards, including ISO 9001 (QMS), ISO 14001 (EMS), ISO 45001 (SMS), ISO 22000 (FSMS), FSSC 22000 (FSMS), HACCP, ISO 27001 (ISMS), ISO 55001 (AMS), ISO 13485 (QMS); AS 9100, AS 9110 & AS 9120 (AQMS); QHSE and other industry tailored Codes.

LEGAL STATUS

TQCSI, a proprietary company registered in Australia on 5 August 1994 as part of the part of Total Quality Certification Services International (Group) Pty Ltd (ACN 065 953 924). It is an independently owned and managed certification body operating throughout Asia, the Middle East, Africa, Europe and north America. TQCSI is accredited by JAS-ANZ (www.jas-anz.org) and ANAB (www.anab.org).

CONFIDENTIALITY

TQCSI is responsible for ensuring confidentiality is maintained by its employees, auditors and technical specialists relevant to any information with which they gain access as a result of their contact with clients involved in the certification process. Each employee, auditor and technical specialist is required to sign and conform to a Confidentiality Agreement which assures the confidentiality of client information at all times.

ORGANISATION STRUCTURE

A copy of the TQCSI Organisation Chart is available upon request and TQCSI procedures define responsibilities, authorities and relevant inter-relationships.

INDEPENDENCE OF OPERATIONS

TQCSI is to conduct its operations separately and at arm's length from any other company associated with management system consultancy. Separate procedures have been established to ensure there is no conflict of interest in an auditor's assessment and the certification approval process.

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GENERAL CONDITIONS

The basic conditions and requirements for obtaining and maintaining certification, which each client must agree to and comply with, are as follows:

- The client will comply with the requirements of the relevant Standard, the requirements outlined in this document and the relevant Certification Contract (Trade Mark Licence Agreement).
- TQCSI retains ownership of the content of audit reports and certificates.
- The issue of a Certificate of Registration in no way implies that the client's product or service is approved by JAS-ANZ, ANAB or any government department.
- The client is required to maintain a register of complaints which may be audited by TQCSI. Each complaint received must be investigated and corrective action taken, where considered appropriate.
- The client is expected to internally audit the management system once per calendar year and not more than 18 months following the previous internal audit. It may be conducted by a second party who is appropriately qualified and independent.
- The client is expected to conduct a review of the effectiveness of the management system by senior management once per calendar year and not more than 18 months following the previous management review.
- The client is not to use its certification in a manner likely to bring TQCSI into disrepute or make any statement regarding its certification which TQCSI may consider misleading or unauthorised.
- The client is to have procedures that ensure information supplied by TQCSI is kept up to date.
- Auditors may occasionally be accompanied by TQCSI, JAS-ANZ or ANAB witness assessors for monitoring of TQCSI processes. This will not incur any cost to the client nor impede the scheduled audit in any manner. Witness assessors also require access to facilities and associated records during the audit.
- Should JAS-ANZ or ANAB perceive TQCSI is not following correct certification processes, they may visit the client to validate the accuracy of previously conducted audits. This will only occur in exceptional circumstances and the client will not incur any fees.
- JAS-ANZ and ANAB have accredited TQCSI to certify clients to specific Standard(s) – clients may market themselves as being “certified to the respective Standard(s)” but not that they are “accredited”.

AUDITING CONDITIONS

- The client is to ensure that all necessary information is made available to TQCSI auditors to complete the certification audit.
- The frequency of all audits is to be determined by assessment of the risk and technical factors pertaining to the certification. TQCSI reserves the right to increase the frequency of auditing if the relevant management system is considered to be nonconforming such that continued certification cannot be assured.
- A surveillance audit is to be conducted within 12 months of initial certification and then at least once per calendar year or more frequently depending on the maturity of the System and size of the operation.
- A re-assessment of the client's System, known as a Triennial Audit, is to be conducted during the third year of the certification cycle and before expiry of certification. It is to follow the same format as the initial Stage 2 Audit. The validity of a certificate cannot be extended as a result of a partial re-assessment.
- TQCSI may conduct short notice or unannounced audits to investigate complaints, in response to changes or as follow up on suspended clients.

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- If TQCSI is not satisfied that all requirements for certification are being met, the client will be informed of those relevant areas requiring attention.
- TQCSI will re-assess only the necessary parts of the System in order to review corrective action taken as a result of previously identified major nonconformances.

CERTIFICATION CONDITIONS

- TQCSI may suspend certification if the client fails to take sufficient corrective action to close or downgrade a major nonconformance within three months of identification or any other period of time determined by TQCSI based on the associated risk. Certification may then be cancelled if the major nonconformance is not closed or downgraded following that period.
- Except in exceptional circumstances (eg a division of a multi-national company which operates as a complete business unit itself), the entire business of the client, including all departments and sites, are to be covered under the scope of certification.
- Certification is to apply only to the sites within the scope of certification (also known as capability description) as agreed between TQCSI and the client and as stated on the Certificate of Registration or Schedule of Registration. This capability description and any sub-scopes for other sites included in the certification is to be the subject of the Certification Contract (Trade Mark Licence Agreement) between the respective client and TQCSI.
- A request for an extension to scope of certification or an upgrade to another Standard may, at the discretion of TQCSI, require an additional review of documentation or additional audit time to assess compliance to the relevant Standard.
- TQCSI reserves the right to revise the requirements of certification within the period of validity of the certificate.
- Where interpretation of a Standard's requirements is required, it will be published under 'ISO Systems Policies' on the TQCSI website (www.tqcsi.com) and those interpretations are expected to be complied for certification to be maintained.

COMMUNICATION CONDITIONS

- The client is to inform TQCSI immediately of any changes which may affect the management system fulfilling requirements of the respective Standard, including changes in key staff and ownership, contact addresses, including any multiple or other sites, any major changes to products or manufacturing processes, or extension to the scope of its certification. TQCSI will determine the action required to maintain confidence that the management system meets the requirements of the Standard or, in the case of an extension to scope, will decide whether or not extension may be granted.
- The client is to inform TQCSI within three working days of any significant event that may affect the fulfilment of the respective management system. A significant event may include legal proceedings, a legal notice of required action from a regulatory or government authority for a breach of legislation or regulations (eg environmental breach if ISO 14001 certified, food safety breach if ISO 22000 or HACCP certified, workplace safety breach if ISO 45001 certified, etc). It may also include events which may not necessarily be a breach of legislation or regulations but are considered significant (eg a fatality or very serious incident if ISO 45001 certified or a food recall if ISO 22000 or HACCP certified). TQCSI will then investigate and take appropriate steps to ensure the integrity of certification is maintained.
- At Surveillance and Triennial Audits, the client is to inform TQCSI auditors of any significant events that may have occurred since the previous audit, including any findings by another party related to the respective management system.

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AUDIT CRITERIA

The audit criteria are the management system standard(s) applicable to the client's certification and the defined processes and documentation of the management system developed by the client.

Inability of the audit team to observe operational processes relevant to the scope of certification during an audit could result in another audit, or part thereof, being required to observe those processes.

AUDIT OBJECTIVES

The objectives of all audits are to:

- determine conformance of the management system with the respective Standard(s) and management system documentation
- evaluate the ability of the management system to ensure applicable statutory, regulatory and contractual requirements are met
- evaluate the effectiveness of the management system
- identify opportunities for improvement to the management system.

CERTIFICATION MARKS

TQCSI Certification Marks are only to be used in reference to the site for which they apply and are not to be affixed directly to the product, product packaging, including outer packaging, or be used in such a way that product certification may be implied. This applies equally to the JAS-ANZ and ANAB Accreditation Marks.

Clients may choose to use a statement on product packaging or in accompanying information to state they have a certified management system, however the statement may not imply that the product, process or service is certified. If a statement is applied it must reference the client's name, the type of management system, the applicable Standard and the Certification Body issuing the certificate. This does not apply to FSMS and HACCP.

Use of relevant TQCSI Certification Marks is encouraged on stationery, literature and publicity material. Similarly, the JAS-ANZ and ANAB Accreditation Mark may be used by clients once certified for programs for which TQCSI is accredited, but only when it is accompanied by the TQCSI Certification Mark. When more than one of these Marks is used, they are to be proportioned such that neither Mark takes precedence over the other. When using TQCSI Certification Marks on letterhead, stationery, literature or publicity material, they are to be accompanied by the Registration Number and Standard to which certification applies. TQCSI Certification Marks and JAS-ANZ/ANAB Accreditation Marks are available through the local TQCSI Office.

The TQCSI, JAS-ANZ and ANAB Marks may be reproduced in a single colour to conform to existing company stationery or newspaper and magazine article colouring, however they cannot be reproduced in a combination of colours from that specified by TQCSI. The Marks must also be reproduced clearly distinguishable and legibly, and are not to be used in any misleading manner.

Clients of TQCSI are not permitted use of the TQCSI logo (blue tick) or IAF MLA Mark.

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On achieving certification or achieving certification to a new version of a standard, clients will be issued with an individually tailored certification mark, which will have their Registration Number included. Clients are encouraged to use these marks to promote their certification, particularly on printed and marketing material, and websites. Clients may not alter these certification marks.



Certification marks may also be used without the Registration Number, particularly when the mark is too small for the Registration Number to be clearly identified.



Certification marks may also be used without the Registration Number and year of issue, particularly for large or expensive marketing material where it is impractical or unreasonable to change them when the version changes (eg signage, decals on a large number of vehicles, etc).



The following colours are to be used on certification marks:

- Blue – Pantone Reflex Blue CP
- Red – Pantone PMS 1788 C
- Green – Pantone 3275 CP
- Orange – Pantone 15-1157 TCX (Flame Orange)
- Yellow – Pantone 803 C
- Black – Pantone 20-0198 TPM (Moondrop Grapes)
- Purple – Pantone 258C.

FEES

The client is to pay all fees in accordance with the terms of payment as printed on the respective invoices within 14 days of receipt.

Cancellation or amendment to audit dates within two weeks of the scheduled date may incur a fee equivalent to 50% of the auditing cost. Cancellation or amendment to audit dates within two days of the scheduled date may incur a fee equivalent to 100% of the auditing cost. Certification may be suspended or cancelled if audits are not carried out within time frames determined by TQCSI.

SUSPENSION OF CERTIFICATION

TQCSI reserves the right to suspend a Certificate of Registration for a limited period if:

- surveillance audits have not been undertaken within three months following the anniversary of the respective certification expiry date;
- nonconformances or other identified issues have not been closed out within the designated time period;
- the Certificate of Registration, TQCSI Certification Mark or JAS-ANZ/ANAB Accreditation Marks are used in a misleading manner; or

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- there has been any other contravention of these TQCSI Rules of Certification.

TQCSI will notify the client in writing of the suspension and issue requirements to be satisfied prior to the removal of suspension. At the end of the suspension period, an investigation is to be conducted to ascertain whether requirements have been met. If they have been met, the client will be informed in writing and the suspension removed; however, if they have not been met, the Certificate of Registration may be withdrawn and certification cancelled. Any costs incurred by TQCSI in the suspension or removal of suspension are to be met by the client and the suspension may be published by TQCSI.

CANCELLATION OF CERTIFICATION

TQCSI reserves the right to cancel certification and withdraw a Certificate of Registration if:

- a surveillance audit has not been undertaken in a calendar year or the triennial audit for recertification has not been undertaken before certification expiry,
- inadequate measures are taken by the client following suspension, or
- the client fails to comply with its financial obligations in regard to its certification.

If certification is cancelled, the client shall immediately cease use of the TQCSI, JAS-ANZ and ANAB Marks on all stationery, literature and publicity material. Similarly, the Certificate of Registration is to be returned to TQCSI or destroyed within 30 days of notification.

The client is to be informed when certification is cancelled and advised of the right of appeal. No reimbursement of fees will be given and the cancellation may be published by TQCSI.

TQCSI is to cancel certification at the client's request if:

- the client does not desire to renew its certification, or
- the client goes out of business or ceases to operate within the full scope of the certification.

No reimbursement of fees will be given and the cancellation may be published by TQCSI.

COMPLAINTS

Should any client or other stakeholder have cause for complaint regarding the conduct of TQCSI auditors, technical specialists or employees, the process of certification or for any other reason, the complaint should be made in writing and addressed to:

President
TQCS International Pty Ltd
PO Box 483
WOODVILLE SA 5011 AUSTRALIA

or by email to president@tqcsi.com.

All such complaints will be recorded, investigated, acted upon, where necessary, and the client advised of the outcome in writing.

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Clients may escalate the complaint by appealing to the TQCSI Advisory Board if they are not satisfied with the complaint outcome or the complaint has not been resolved within the agreed timeframe. The complaint should be made in writing and addressed to the:

Chairman
TQCSI Advisory Board
TQCS International Pty Ltd
PO Box 483
WOODVILLE SA 5011 AUSTRALIA

or by email to chairman@tqcsi.com.

Furthermore, if the client is still not satisfied after TQCSI Advisory Board involvement, the client may refer the complaint to JAS-ANZ or ANAB, details for which are available at www.jas-anz.com.au or www.anab.org.

APPEALS

Appeals resulting from a complaint (described above) or a decision on certification must be made in writing to the:

Chairman
TQCSI Advisory Board
TQCS International Pty Ltd
PO Box 483
WOODVILLE SA 5011 AUSTRALIA

or by email to chairman@tqcsi.com.

If the appeal is in relation to a suspension or cancellation of certification, it must be made within 14 days of being advised of the respective action. The appeal must include all known and pertinent facts of the case.

The TQCSI Advisory Board, or a relevant sub-committee, will investigate the case and, if able, resolve the issue. The appellant will be informed in writing of the results of the appeal. If the appellant remains unsatisfied then a further appeal may be made directly to JAS-ANZ or ANAB (in the case of JAS-ANZ or ANAB accredited programs). The decision of JAS-ANZ or ANAB will be final and binding on, both, the client and TQCSI.

In instances where the appeal was upheld and the client is reinstated with certification, no claim may be made against TQCSI for reimbursement of costs or losses associated with the action taken.

LIST OF CERTIFIED ORGANISATIONS

TQCSI will maintain a register of all clients who have achieved certification and maintain that certification through TQCSI. This register, known as the List of Certified Organisations, will be made available to the public through the TQCSI website (www.tqcsi.com). Additionally, all clients registered with TQCSI under a program for which TQCSI is accredited will automatically be included in the JAS-ANZ Register (www.jas-anz.org) or Online Aerospace Supplier Information System (OASIS) Database (www.iaqg.org/oasis/login), QualityTrade website (www.qualitytrade.com) and IAF CertSearch (www.iafcertsearch.org), as appropriate.

PROGRAM SPECIFIC CONDITIONS

AQMS Specific

- Clients certified to AS 9100/9110/9120 (AQMS) agree to provide copies of audit reports and associated documents/records to customers and potential customers on request, unless justification can be provided (eg competitor confidentiality, conflict of interest, etc). AQMS clients are to be aware of and give their consent for AQMS Scheme owners, IAQG members and government agencies to access records and data associated with the AQMS Scheme, including the OASIS Database, for the purpose of confirming conformance with those Standards and overseeing the Scheme.
- AQMS clients are to provide access to AQMS Scheme owners, IAQG members and government agencies for the purposes of inspection of AQMS related production areas and reviewing AQMS related records.

ISO 13485 Specific

- Clients certified to ISO 13485 agree to provide copies of audit reports and associated documents/records to the respective Regulator, if requested.

DESE ISMS Specific (Australia only)

- A compliance breach under the DESE ISMS Scheme is defined as a contravention against legal requirements directly relevant to RFFR ISMS certification, including but not limited to contractual requirements under the Deed utilised by DESE that exceed minimum requirements of ISO 27001. To avoid doubt, any data breach as defined under the Notifiable Data Breaches scheme or GDPR breaches also constitute a compliance breach.
- Clients agree that, in the event of any such breach or reasonable basis to conclude such a breach had occurred, TQCSI is obligated to notify the Australian Department of Education Skills and Employment (DESE) within 24 hours, and other authorities with legislated responsibility for monitoring data breaches.
- Clients agrees to provide TQCSI with its current Service Contract with DESE, and any revisions to it within seven days of the revised contract.
- Clients agree to provide any related audit reports to DESE, if requested or otherwise obligated to do so through other legal agreements; and that in the event of refusing to do so, TQCSI reserves the right to provide all such report(s) to DESE, if the latter requests TQCSI to do so.
- Short notice audits may be undertaken if any credible DESE ISMS related concerns are raised by DESE, or other Government authorities, by end users of services; in online feedback, reviews, or commentary about the client.