

## **CERTIFICATE CONTROL AND ISSUE PROCEDURE**

Version 10

Effective: 2019 January

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### **Purpose**

The purpose of this internal procedure is to ensure that all Certificates are authorised, prepared, controlled and issued, and that relevant information regarding Organisations certified by ICG are up-to-date and available at the relevant points.

### **Scope**

This procedure is applicable to all our client organisations that are issued a valid “Certificate of Approval” from ICG for their Management System.

ICG retains all responsibility and authority for processes of the certification decisions undertaken within this Procedure and do not outsource any of them.

### **Definitions**

ICG = ICG Compliance Pty Ltd

ANZSIC = Australia New Zealand Standard Industry Code

IMS = Integrated Management System of which ICG is only issuing JAS-ANZ accredited certification for QMS (ISO9001). The other two certificates are not JAS-ANZ accredited.

Outsourcing = which is subcontracting to another organization to provide part of the certification activities on behalf of ICG

### **Procedure**

- 1.0 When the Audit Report is received it shall be forwarded to an appropriate Assessment Supervisor for review. These Assessment Supervisors are skilled/competent people who have had no prior contact with the client with regard the Client’s management system. This process will not be assigned to anyone outside of ICG.
- 2.0 The Assessment Supervisor shall begin the review by checking that all necessary items are available via the Audit Review (Form 14) as per the applicable Criteria Procedure and the Initial Office Assessment.
  - 2.1 If there are any issues, the Lead Auditor shall be contacted immediately to clarify the situation after which the Supervisor shall continue the review. This may include a review of the wording or grading of any NCR’s raised as a result of the Audit. Any changes which affect the initial outcome of the Audit visit will be notified to the General Manager, applicable Technical Manager and the Client.
  - 2.2 If there is a reason to withhold certification at this stage, the Assessment Supervisor shall detail the reason/s on Audit Review and inform the Lead Auditor of the details and, as soon as possible, contact the Client to explain the outcome in more detail and to arrange a Corrective Action Visit.

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- 3.0 The Assessment Supervisor shall make their certification decision on the basis of the evaluation of the audit findings and conclusions provided to them. They shall also include in their decision any other relevant information available to them which may include publicly available information, such as complaints and comments made of the Client in public and social media. The review shall also take into account the performance of the management system over the certification (triennial) period.
- 3.1 When a successful review has been completed and the Assessment Supervisor has approved the outcome of the Audit, they shall sign the Audit Review to endorse Report. The Audit Review will then pass on to the Office Manager who shall ensure that the Certificate details are entered into the database, and that the next visit has been planned by the Lead Auditor.
- 3.2 For re-certifications clients, as well as all the processes for reviewing the certification based on the results of the certification audit, the results of the system over the period of certification and any complaints received from users of certification.
- 4.0 Certificates shall be prepared and the information on it shall include the ICG Client Number (this Number is unique to each Client and is used to specifically identify each individual Client), Address/es and Locations, Assessment Criteria, Scope, Date of First Approval and Expiry Date. On all certificates, the JAS-ANZ symbol and ICGC logo must be positioned next to each other on the certificate.
- 4.1 When certificates are issued following audits of IMS, ICG shall issue a separate certificate for each individual management system standard which has been successful.
- 4.2 The Approval Date on the Certificate is the date that the decision of certification was made. For certificates issued following successful IMS audits where individual management system standards have been previously certified the new certificates will have the Approval Date noted as the date the decision for each individual new certification was made.
- 4.2.1 The “Expiry Date” of the certificate shall be deemed to be the date the re-certification date and is three (3) years from the Approval Date.
- 4.2.2 The date following the “Certificate Issued” identifier on the Certificate is the date on which the Certificate was created and will always be the date associated with the physical creation of any Certificate.
- 4.3 All certificates issued by ICG will contain a view of the certification mark for the management system standard covered, the ICG name and the address of ICG.
- 4.4 Should there be are requirement for other standards and/or normative documents to be used during the certification audit process then those used shall be noted on the certificate issued.
- 4.5 Should the Client have claimed exclusions, which have been verified by the Audit Team, a statement regarding these exclusions will be included on the Certificate.

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- 5.0 Copies of the certificate to be issued shall be prepared to satisfy the Client's request as determined by the Lead Auditor at the Stage 2 Certification, Re-certification, Special Audits or Transfer Audit. \* The default number of certificates to be prepared will be one electronic version.
- 5.1 Electronic copies of the certificate are emailed to the client via the email address maintained in their Client Data or hard copy is posted to their noted mailing address.
- 6.0 The Office Manager can sign or will arrange the signing of the certificate/s as required. An electronic copy of the certificate will be maintained on file.
- 6.1 As the electronic Certificates are sent out in "pdf" format, the security options for the document will be activated to only allow the opening of the electronic file and the printing of the document.
- 6.2 ICG is aware that there are many ways to circumvent the security on these "pdf" format documents but will always endeavour to maintain a minimum level of security which tries to prevent the unintentional and fraudulent use of the documents issued by ICG Compliance.
- 7.0 A database contains information regarding clients management systems shall be maintained by the Office Manager with regard to the applicable code or competencies, auditor/s assigned to the audit, changes, if any, to the scope of certification, date of the certification audit, outcome of the audit, issue of any certificate, proposed date of the next audit visit. Information available on the JAS-ANZ register shall be the only data available to the general public. A link appears on the ICG Website to direct users to the JAS-ANZ Site to allow the Register to be seen.
- 8.0 The Office Manager shall be responsible for the communication of the applicable data to JAS-ANZ.
- 9.0 Should there be a need to re-issue any certification document a notation in the form "(reissue n)" where "n" is the number beginning at 1 (one), will appear after the Certificate Issue Date.
- 9.1 The date of the creation of the reissue will become the date entered in the "Certificate Issued" area on the Certificate.
- 10.0 The designation of Assessment Supervisors shall responsibility of the Technical Manager responsible for the Scheme. The current Technical Managers are listed below.
- 10.1 Technical Manager List:
- |      |  |
|------|--|
| EMS  | Mr. Leon Gardiner (non JAS-ANZ)          |
| Food | Mr Paul Hand, Mr Check Tan (non JAS-ANZ) |
| OH&S | Mr Paul Hand (non JAS-ANZ)               |

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Privacy	Mr Check Tan (non JAS-ANZ)
QMS	Mr Paul Hand

### Surveillance Audit and Other Reports

- 11.0 At conclusion of surveillance and other audits the Lead Auditor will submit a copy of the Audit Report to ICG for review.
- 12.0 The Assessment Supervisor shall begin the review by checking that all necessary items are available via the Audit Review (Form 14) as per the applicable Criteria Procedure.
- 12.1 If there are any administrative issues, the Lead Auditor shall be contacted immediately to clarify the situation after which the Supervisor shall continue the review. This may include a review of the wording or grading of any NCR's raised as a result of the Audit. Any changes which affect the stated outcome of the Audit visit will be notified to the General Manager, applicable Technical Manager and the Client.
- 12.2 If there is now a reason to suspend certification, the Assessment Supervisor shall detail the reason/s on Review Checklist and inform the Lead Auditor of the details and, as soon as possible, contact the Client to explain the outcome in more detail, the Lead Auditor will arrange a Special Visit if required.
- 13.0 The Assessment Supervisor shall make their certification decision on the basis of the evaluation of the audit findings and conclusions provided to them. They shall also include in their decision any other relevant information available to them which may include publicly available information, comments on the audit by the Client etc.
- 13.1 When a successful review has been completed and the Assessment Supervisor has approved the outcome of the Audit, they shall sign the Audit Review to endorse Report. The Checklist will then pass on to the Office Manager who shall ensure that the details are entered into the database, and that the next visit has been planned by the Lead Auditor.
- 13.2 If the Lead Auditor has recommended that the client be suspended or the scope of certification be modified then requirements of Procedure INT13 will be followed and the Technical Manager and Office Manger notified.
- 13.3 If a Certificate is to be reissued then the actions shall be as Section 9.0 above.

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### Certificates Issued for Transfer Clients

14.0 Certificates issued to Transfer Clients will, where possible to determine, have the “Original Issued:” date included as found on previous Certificates of other evidence.

\*

14.1 The “Approval” and “Certificate Issued” dates will be determined as stated in the process above.

**End of This Document**

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