

# P12 Fit and Proper Person Procedure

## 1. Purpose

Quality Innovation Performance Certifications Pty Ltd (QIP Certifications) Fit and Proper Person procedure assists QIP Certifications to manage its workforce and staff in accordance with the PY09 Fit and Proper Person Policy. It also provides guidance to manage the potential risk when persons are not fit and proper to carry out the duties they are responsible for completing.

## 2. Scope

This procedure covers all aspects of QIP Certifications governance, operations, certification functions and activities and all persons authorised to enact those activities.

This procedure forms part of the QIP Certifications Risk Assessment Matrix and should be read in conjunction with M01 Quality Manual.

## 3. Referenced Documents

IAF MD 10:2013	IAF Mandatory Document for Assessment of Certification Body Management of Competence in Accordance with ISO/IEC 17021 as below.
HS Scheme Part 1	Annex D
ISO/IEC 17021-1:2015	Conformity assessment–Requirements for bodies providing audit and certification of management systems–Part 1: Requirements
ISO/IEC 17021–3: 2013	Conformity assessment–Requirements for bodies providing audit and certification of management systems–Part 3: Competence for auditing and certification of quality management systems
M01	Quality Manual
PY09	Fit and Proper Person Policy
P07	Appeals Management
P11	Risk Management
P19	Management of Impartiality
P22	Managing Unreasonable Conduct.
P25	Complaints Management
F25	Fit and Proper Person Declaration

Table 1-Referenced Documents

## 4. Workplace Health & Safety

No identified workplace health and safety issues have been identified.

## 5. Terms and Definitions

EM	Executive Manager
QIP Certifications	<i>Quality Innovation Performance Certifications Pty Ltd</i>
QMR	Quality Management Representative
Responsible Person	<ul style="list-style-type: none"> <li>• A responsible person is any person whose conduct is most likely to have a significant impact on QIP Certifications sound and prudent management;</li> <li>• For a certification body this may be a member of the Board, a manager, any contractor delivering evaluation or certifications services or a staff member with decision making authority or influence that impacts on the business;</li> <li>• QIP Certifications management may determine at any time any person as a responsible person at its discretion.</li> </ul>

Table 2-Terms and Definitions

## 6. Commitment

- QIP Certifications will ensure that all persons engaged within its governance and operational functions and evaluation and certification activities will be persons who are assessed as fit and responsible for their position.

## 7. Fit and Proper Persons Assessment

- Responsible persons shall be required to complete a self-assessment F25 Fit and Proper Person Declaration;
- The completed self-assessments will be reviewed by the Quality Management Representative (QMR) who will make evidenced recommendations through the Management Review process to the Executive Manager (EM) for further action;
- Completed copies shall be retained in the individual personnel files. In addition to F25 Fit and Proper Person Declaration, new appointees and contractors shall agree to hold or apply for a national police check, and where required a Working with Children Check (Blue Card);
- All responsible persons are required to inform QIP Certifications immediately if the information initially supplied on F25 Fit and Proper Person Declaration has changed;
- Where any changes affect the responsible person's ability to continue meeting the requirements of QIP Certifications, they will be required to cease any governance duties or operational evaluation or certification functions and activities;
- Where it is brought to the attention of the EM or QMR that a person(s) has become of concern in the matter of fit and proper this will be brought to the attention of the EM. The EM will review the evidence presented and address the concern in a proportionate and confidential manner;
- All investigations will be inclusive of PY09 Fit and Proper Person Policy and P07 Appeals Management, P11 Risk Assessment, P19 Impartiality and P22 Managing unreasonable conduct;

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- Responsible persons shall review their circumstances and declare annually through the F25 Fit and Proper Persons Declaration. This process will be documented and records managed by the QMR in the individual personnel file; and
- Monitoring of annual Fit and Proper Person Declarations records is the sole responsibility of the Executive Manager (EM).

## 8. Revision History

Revision	Effective Date	Section	Change Description
1	19/05/2018	All	Initial document release.
2	24/01/2019	All	Review and amend as per Management Review Action Plan Dec 2018.
3	21/06/2019	All	Changes made to whole document to updated to ISO 17065 and 17021 parts 1 and 3