## 1. Purpose

The purpose of this procedure is to describe and define the evaluation and audit process for surveillance, re-certification and special audits of *Quality Innovation and Performance Certifications Pty Ltd* (QIP certification's) audit clients.

## 2. Scope

The scope of this procedure is the post certification process for obligatory ongoing evaluation of audit clients. The procedure is to inform all certification related staff and contractors of the details of the surveillance, recertification and special audit evaluation process.

## 3. Referenced Documents

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|---|---|
| IAF MD 1:2018 | The audit and certification of a Management System operated by a multi-site organisation. |
| IAF MD 3:2008 v2 | Advanced surveillance and recertification procedures |
| IAF MD 5:2015 | Determination of Audit Time of Quality and Environmental Management Systems |
| ISO 170121-1:2015 (E) | Conformity assessment – requirements for bodies providing audit and certification of management systems – Part 1: Requirements. |
| ISO 17065:2012 (E) | Conformity assessment – requirements for bodies certifying products, processes and services. |
| Human Services Scheme JAS-ANZ | Part 1 – Common requirements for bodies certifying Human Services |
| HSQF Scheme JAS-ANZ | Part 2 – Additional requirements for bodies certifying Human Services in Queensland |
| Notifiable Issues | https://www.communities.qld.gov.au/resources/dcdss/industry-partners/funding-grants/hsqf/audits-notifiable-issue.pdf |
| Restrictive Practices | https://www.communities.qld.gov.au/resources/dcdss/disability/service-providers/centre-excellence/faq-positive-behaviour-support-and-the-use-of-restrictive-practices.pdf |
| Statement of Standards | https://www.csyw.qld.gov.au/resources/childsafety/practice-manual/standards-care.pdf |
| P04 | Corrective Actions and Preventative Actions procedure |
| P09 | Audit Planning procedure |
| P10 | Certification procedure for audit client |
| P20 | Transfer of Certification |
| P21 | JAS-ANZ Deed Compliance procedure |
| P24 | Notifiable Issues procedure |
| P26 | Certification Changes procedure |
| P27 | Evaluation of Audit Clients |
| F34 | Audit Notification |
| F35 | Stage 1 Audit Report |
| F36 | Stage 2 and Surveillance Report |
| F47 | Questionnaire |

Table 1-Referenced Documents

## 4. Workplace Health & Safety

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|---|---|
| Contractor Risk | • All audit personnel when onsite at an audit client location, will comply with the client's workplace health and safety requirements.<br>• All audit personnel will have relevant accident insurance coverage (as per contracts). |
| Staff Risk | • All complaints management will be under the guidance of P25 Complaints management to ensure that staff all are supported through any complaints process. |

## 5. Terms and Definitions

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| AMS | Audit Management System–ISO 19011:2011. |
| ASRP | Advanced Surveillance and Recertification Programme (ISO 9001:2015 only) |
| ATL | Audit Team Leader(s). |
| Audit | Systematic, independent, and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which the audit criteria are fulfilled. |
| Auditor | Person who conducts an audit. |
| Audit client | Organisation or person who is requesting and/or commissioning an audit. |
| Audit criteria | Set of policies, procedures or scheme requirements used as a reference against which audit evidence is compared. |
| Auditee | Organisation being audited. |
| Audit day | The duration of an audit day is 8 hours and may include a 30-minute lunch break. |
| Audit evidence | Records, statements of fact or other information that is relevant to the audit criteria. |
| Audit plan | Description of the activities and arrangements for an audit |
| Audit programme | Arrangements for a set of one or more audits planned for a specific time frame and directed towards a specific purpose (audit cycle). |
| Audit scope | Extent and boundaries of the audit. |
| Audit team | One or more auditors conducting an audit, supported (if required or mandated) by a technical expert. |
| Audit time | Time needed to plan and accomplish a complete and effective audit of the client organisation management system. |
| Certification Scheme | Conformity assessment system related to management systems to which the same specified requirements, specific rules and procedures apply. |
| Certified client | Organisation where the management system is already certified. |
| Combined audit | Where two or more management systems of different schemes are audited together. |
| Competence | Ability to apply knowledge and skills to achieve intended results |
| Duration of audits | Part of *audit time* spent conducting audit activities from the opening meeting to the closing meeting, inclusive. |
| EM | Executive Manager |
| Guide | Person who is appointed by the auditee to assist the audit team. |
| HSQF Scheme JAS-ANZ Queensland Human services | Human Services Scheme Part 1–Common requirements for bodies certifying Human Services;<br>HSQF, Human Services Scheme Part 2-Additional requirements for bodies certifying Human Services in Queensland. |
| HSQF | Human Service Quality Framework |

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|---|---|
| HSQS | Human Services Quality Standards–Queensland Government. |
| Indicator | For ASRP-The characteristic to be measured |
| ISO | International Organization for Standardization. |
| Management system | System to establish policy and objectives and to achieve those objectives (can be a combination of systems for different purposes). |
| MNC | Major Non-Conformity |
| NC | Non-Conformity |
| Notifiable Issue | See Sec. 6.3.5-Table 3-Issues that meet the threshold of a Notifiable Issue |
| Observer | Person who accompanies the audit team, but does not audit. |
| Permanent site | Location (physical or virtual) where the audit client performs work or provides a service on a continuing basis |
| Restrictive Practices | Restrictive Practices legislation applies to all persons 18 years and over with a disability (including acquired brain injury) and are defined as:<br>1. Containment; 2. Seclusion; 3. Mechanical restraint; 4. Physical restraint;<br>5. Chemical restraint; 6. Restricting access to objects.<br>Details can be found here:<br>https://www.communities.qld.gov.au/resources/dcdss/disability/service-providers/centre-excellence/restrictive-practice-identification-tool.pdf |
| Stage 1 Audit | The preliminary audit, is used to gain knowledge of a company's policies, objectives, risks, and processes. This top-level review is usually done on-site and determines whether a manufacturer's quality system has met the requirements of the standard. |
| Stage 2 Audit | The certification audit It is carried out in accordance with the audit plan presented at the end of Stage 1. During the Stage 2 certification audit compliance with the relevant scheme or standard is verified by collecting objective evidence |
| Virtual site | Location where an audit client performs work or provides a service using an on-line environment allowing persons, irrespective of physical locations, to complete processes or access supports. A virtual site is considered a single site for the calculation of audit time. |
| QIP Certifications | *Quality Innovation Performance Certifications Pty Ltd* |
| QMR | Quality Management Representative |
| QMS | Quality Management System – ISO 9001:2015 |
| RA | Recertification Audit (part of a triennial cycle) |
| Risk Category | Audit risks are based on three categories: low, medium and high. E.g. High risk can include: medical, health, mental health, DFV programs, supported accommodation, child protection, early intervention, complex behaviour supports. High risk services need more time to complete an effective audit. Medium risk can include: Day programs, lifestyle supports, drop in centres and generally require the average time, while with any low risk activities services less time. |
| SA | Surveillance Audit |
| Statement of Standards | Foster and kinship carers are required to provide a level of care which is consistent with the *Standards of Care* as outlined in the *Statement of Standards* in the *Child Protection Act 1999 (the Act), section 122*. Also known as the *"Standards of Care"*. |
| Target | For ASRP – the quantitative and qualitative requirements to be consistently met |
| Technical expert | Person who provides specific knowledge or expertise to the audit team |

Table 2-Terms and Definitions

## 6. Ongoing Evaluation Planning

### 6.1. Planning Activities

The Quality Management Representative (QMR) will develop a fit for purpose client centred audit plan (see P09 Audit Planning) that:

- Allows all the necessary audit arrangements to be managed;
- Is either a generic or a bespoke plan dependent on the scheme or standard characteristics and the audit client scope;
- Is developed in consultation with the audit client to monitor and respond to scope or other changes.

In addition, the QMR will also review in full the updated client application to ensure that:

- The audit team selected and assigned to perform the evaluation meets the clients and their consumers stated needs;
- The planned audit time to consider changes in the organisation, system maturity etc;
- The documentation provided to the audit team reflects the client specifications as outlined in the application and meets the needs of the audit team members;
- The previous audit risk assessment is reviewed and updated to reflect any scope or other organisational changes including governance, management, systems and new or ceased client programs or service contracts;
- The previous audit programme is updated to reflect the type of audit if required;
- The information provided to the audit team assists them to perform all the audit activities required by the standard or scheme requirements for the type of audit including:
    - Design review;
    - Documentation review;
    - Sampling;
    - Testing;
    - Onsite inspections; and
    - The surveillance, recertification or special audit proper.
- The products and services to be audited will be evaluated against the requirements covered under the scope of certification as specified by JAS-ANZ using internal resources and any outsourced resources will be managed under the audit plan;
- Where a client has been previously undertaken certification activities prior to surveillance, recertification or special audit, the QMR will rely on this information only where evidence is available for the audit results and is assured that the external CB who performed the activities in a manner that the evidence meets those requirements as specified by JAS-ANZ. (This can include work carried out under recognition agreements between internal or external certification bodies e.g. QIP Certifications and QIP);

The QMR will record any adjustment of the audit time and the justification. The QMR will maintain full responsibility for management of each audit team led by the Audit Team Leader (ATL) who has been assessed and deemed competent.

# 7. Surveillance

## 7.1. Surveillance Activities

The QMR and ATL will programme all surveillance activities to monitor the audit client's representative areas and functions. Surveillance will be programmed and Planned to meet the requirements of the client's certification standard(s) or schemes (e.g. ISO 9001:2015 annual surveillance audit, while Human Service Quality Framework (HSQF) Scheme requires eighteen-month surveillance post initial certification).

The audit programme and plan must consider all information available that will evidence changes to the audit client management systems, governance and operations. Surveillance activities will include an on-site audit of the client's management system and its ability to meet the specific requirements of the standard or scheme to which certification has been granted.
Other surveillance activities may include:

- Enquiries by QIP Certifications employees on aspects of their certification;
- Reviewing the certified clients' website with respect to its operations;
- Request from the certified client for current (at time of surveillance) documented information (on paper or electronic mode); or
- Any other means of monitoring the certified clients' performance (e.g. ASIC, ATO or ACNC website etc.).

### 7.1.1. Surveillance Audit Time Calculation (QMS)

During the initial three-year certification cycle, audit time for surveillance audits for a given organization should be proportional to the audit time spent on the initial certification audit (Stage 1 + Stage 2), with the total amount of time spent annually on surveillance being about 1/3 of the audit time spent on the initial certification audit.

### 7.1.2. Multi-Site Organisations

Surveillance of multi-site organisations will be sampled in the following manner:

- At least 25% of the sites sampling will be selected at random;
- The remained will be selected so that the differences among the sites will over the period of the validity of the certification will be as large as possible;
- Site selection will consider the following aspects:
    - Complaints and complaints management, including any aspects of corrective or preventative actions;
    - Results of client internal audits and reviews;
    - Significant variations in the size of sites;
    - Any variations in site shift patterns and work carried out;
    - Differences in culture, language or regulatory requirements;
    - Geographical dispersion; and
    - Permanent, temporary or virtual sites.

The size of the site sample for the surveillance audit will be calculated as:

- Rounded up to the square root of the number of sites with 0.6 as a coefficient (y=0.6 √x), rounded up to the next whole number;
- The size or frequency of the sample will be increased where the QMR risk analysis of the process(es) or activities delivered by the client and covered by the certification indicates special circumstances such as:
  - The size of the sites and the number of employees;
  - The assessed complexity or risk level of the process/activities and of the management system;
  - Variations in working practices (e.g. shift working or 24-hour rosters);
  - Variations in processes/activities delivered;
  - Records of complaints and other relevant aspects of corrective or preventative action;
  - Any multinational aspects; and
  - Results of internal audits and management reviews.
- Sampling will be part of every audit programme:
  - Before planning the surveillance audit, the QMR will review the sampling projected in the original client audit programme to establish any need for adjustment; and
  - If changes are required to the sample size, these will be completed prior to planning and executing the evaluation with a view to maintaining certification.

## 7.2. Surveillance Audit

While surveillance audits are carried out on-site, as a rule, they are not necessarily full system audits. The surveillance audit plan will reflect all mandatory required audit activities dependant on the standard(s) or scheme the client has been certified against. Enough evidence and observation activity will be planned and performed to ensure confidence in the relevant management system or scheme by the audit team.

Each surveillance for the relevant management scheme will include:

- Evaluation of internal audit process and Management Review;
- A full review of actions taken on nonconformities identified during the previous audit;
- Complaints and complaints management;
- The overall effectiveness of the management system to certify that it is still achieving the audit client's objectives and the intended results of the respective management standard(s) or scheme;
- The malmanagement and progress of actions aimed at continuous improvement;
- Observation and evidence of continuing operational control;
- Documentation and review of any changes; and
- Use of marks and/or any other reference to certification.

### 7.2.1. For HSQF Scheme

Surveillance audits:

- May be known as "maintenance" audit for this scheme; and
- Will not usually exceed three years and will have at a minimum one (1) maintenance audit during the cycle (i.e. eighteen months after a HSQF certification or recertification has occurred);

- Reductions in audit duration for surveillance can be applied to consider the effectiveness of the human services organisation self-assessment process and the evidence submitted that verifies compliance with HSQF. Reduction under the rules may not be more than 2 day (16 hours);
- The size of the outlets and the combination, risk and complexity of the services provided are factors that must be considered;
- Audit duration may be reduced where other JAS-ANZ certification is held. It nm=must cover all the human services sites and / or outlets;
- Where the client has two models of service delivery within their child protection placement services, QIP Certifications shall sample each service type as separate populations and will ensure that the sample adequately represents all service models and types delivered by the client organisation.
- For human service organisations that deliver Non-Family based child protection placement services, 100% of these outlets within the scope of licensing (CoAORA) must be audited at all certification, surveillance and recertification. The QMR will use the square root calculation at maintenance audits;

If the Executive Manager (EM) or QMR have any concerns about the audit client's capacity to meet the Human Service Quality Standards (HSQS) on an ongoing basis, the EM will contact the HSQF Team at the department to discuss an increase or vary the audit frequency;
Maintenance will be planned in conjunction with any other maintenance activities to ensure that confidence continues in the ability of the certified services to full the requirements of the scheme.

Each maintenance audit will include:

- Mandatory audit of Standards 1, 3 and 4;
- Auditing at least one other standard (2, 5 or 6) chosen by the QMR and ATL according to the results of the previous audit, complaints or significant change and the QMR and / or ATL will:
    - Contact the HSQF Team at the department to discuss and reach agreement on increases or variations; and
    - Provide a justification statement in the Audit Report to support increases or variations to the standards audited.
- A review of any changes to the services, organisational structure or personnel;
- A review of the effectiveness of actions taken in response to consumer complaints;
- A review of the effectiveness of actions taken in response to concerns raised by staff;
- A review of the effectiveness of service or process controls and self-assessments;
- A review of the effectiveness of responses to nonconformities identified during self-assessments and external audit where applicable;
- A review of the client's practices to achieve the requirements of the standards within the scope of the audit;
- A review of the use of marks and/or any other reference to certification
- An interview of the responsible managers and a sample of consumers for interview and file review;

The EM and QMR may split the HSQF mid-cycle audit to align with ISO 9001:2015 certification surveillance audits if requested by the audit client. The QMR and ATL will consult with the audit client to

allocate the standards to be audited at each annual maintenance audit planned (e.g. Year 1-Stds.1 and 3; Year 2–Stds.4 and 6).
The QMR will contact the HSQF Team to notify them of the change and seek approval for the variation to the client audit programme and the audit plan. The variation notice will include:

- The proposed dates of the first and second annual audit;
- The HSQS Standards to be audited at each maintenance audit; and
- The sites/outlets to be visited on each date.

#### 7.2.1.1. After the Surveillance Audit

Following a maintenance audit, QIP Certifications will maintain certification based on demonstration that the client's policies, procedures and practices relating to its services continue to satisfy the requirements of the standards.
The decision to maintain certification will rely on a positive conclusion by the audit team leader without further independent review by the certification committee, provided that:

- For any Major Non-Conformity (MNC) or other situation that may lead to suspension or withdrawal of certification, the audit team leader will be required to report to the EM and QMR the need to initiate a review by appropriately competent personnel, different from those who carried out the audit, to determine whether certification can be maintained; and
- The QMR will monitor its surveillance activities, including monitoring the reporting by its auditors, to confirm that the certification activity is operating effectively.

## 8. Recertification

### 8.1.1. Recertification Audit Planning

The purpose of recertification audit is to confirm the continued conformity and effectiveness of the management system as a whole. It is also intended to confirm the continued relevance and applicability of the scope of the certification.
The QMR will:

- Plan and manage the recertification process to ensure that the evaluation confirms the continued fulfilment of all of the requirements of the relevant management system standard or scheme; and
- Commence the planning for each client recertification at a minimum six months prior to the expiry date of the client's certificate (e.g. certificate expiry date 2 June 2020, planning commences the first week of Jan 2020).

### 8.1.2. Recertification activity

Recertification activity will include:

- An in-depth review of the previous surveillance audit reports;
- The performance of the client's management system over the most recent certification cycle;
- Any non-conformance and opportunities for improvement; and
- Any changes to the organisation, or the context of the management system.

A Stage 1 audit may need to be held if the EM or QMR deem the changes are of significance (i.e. Public Disclosure event, legislation changes, new Board or CEO, financial impropriety, departmental request,

multiple new services opened, programmes closed down or contracts withdrawn). Changes may occur at any time during the certification cycle, this may require an on-site Special Audit that may or may not be a Stage 2 audit type.

### 8.1.3. Calculating Recertification Audit Time

The audit time for the recertification audit will be calculated on the basis of the updated audit client information acquired during the re-application process.
The audit time allocated:

- Will be calculated on the basis of any updated information from the client;
- Will usually be the same as a Stage 2 audit; and
- Is normally approximately 2/3 of the audit time that would be required for initial certification audit (Stage 1+ Stage 2);
- Will not include a review of the system performance as part of the audit time for recertification;
- Will consider the outcomes in the reports from the previous certification cycle.

For the second and subsequent certification cycles, the EM or QMR may decide to design an individualised surveillance and recertification programme (known as an ASRP) for the audit client. The EM will contact JAS-ANZ in such circumstances and provide a detailed justification statement.
Additional factors for adjustment of audit time may include:

- For an increase:
  - Complicated logistics involving more than one building or location where operations and management are conducted (e.g. a separate Drop in Centre or Counselling site must be audited);
  - Client staff speak in more than one language requiring interpreters or preventing the audit team from working independently;
  - Very large site for the number of personnel;
  - A high degree of regulation (e.g. Child Safety Placement);
  - The client system requires highly complex processes or a relatively high number of unique activities;
  - Activities that require visiting temporary sites to confirm the activities of the permanent site whose management system is subject to Certification (e.g. a government funded event or activity delivered outdoors);
  - Any outsourced activity or process (e.g. a service sub-contracting arrangement); or
  - Activities assessed as very high risk.
- For a decrease:
  - The client is not design responsible or other standard elements are not covered in the scope;
  - A very small site for the number of personnel;
  - The maturity of the management system (ISO 9001:2015 for ≤10 years);
  - Prior knowledge of the client management system (already certified to another standard or scheme by QIP Certifications or the AGPAL Group);
  - Client preparedness for the recertification (already certified or recognised by third party scheme);
  - A high level of automated systems;

- If a majority (≤80%) of the clients' employees work "off-site", and it is possible to substantially audit compliance of their activities within the system through review of records;
- Activities considered to be of "low risk" or "low complexity" (e.g. processes involving similar or repetitive activities; same activities of low complexity performed on all shifts; a significant proportion of staff perform activities of a simple function and is a repetitive process within the scope of audit–such as a call centre); or
- All attributes of the client's system, processes, services and products, functions and activities will be considered and a fair adjustment made for those factors that might justify more or less audit time for an effective audit.

Note: Subtractive factors may be used only once for each calculation for each audit client.

### 8.1.4. Sampling Single or Multi-site organisations

Surveillance of single or multi-site organisations will be sampled in the following manner:

- At least 25% of the sites sampling for multi-site organisations will be selected at random;
- The remaining sites (plus the Head Office as 1 site) will be selected so that the differences among the sites will over the period of the validity of the certification will be as large as possible;
- Site selection will consider the following aspects:
  - Complaints and complaints management, including any aspects of corrective or preventative actions;
  - Results of client internal audits and reviews;
  - Significant variations in the size of sites;
  - Any variations in site shift patterns and work carried out;
  - Differences in culture, language or regulatory requirements;
  - Geographical dispersion; and
  - Permanent, temporary or virtual sites.
- The size of the site sample for the surveillance audit will be calculated by rounding up to the square root of the number of sites(x) with 1 as a coefficient (y= 1√x), rounded up to the next whole number.

### 8.1.5. Recertification Audit

The recertification audit will be carried out on-site and planned by the QMR and the ATL to address the effectiveness of the whole extent of the management system with regard to:

- All internal and external changes;
- Its continued relevance and applicability to the audit scope;
- The organisations continued and evidenced commitment to maintain the effectiveness of the management system;
- The organisations continued and evidenced commitment to improve the management system and enhance its overall performance;
- The effectiveness of the management system to achieve the stated objectives of the certified client; and
- The ability to meet intended results of the management system.

In the case of a Non-Conformity (NC) or MNC found during a recertification audit:

- The ATL will define the time limits according to the standard or scheme to be recertified; and
- The corrective actions planned to close out the NC or MNC will be implemented and verified by an onsite visit of the ATL, prior to the expiry date of the certification(s) or within three months whichever is the shorter length of time.

#### 8.1.6. Post Recertification Activities

- The recertification report will be completed and reviewed according to P10 Certification Procedure for Audit Client and P27 Evaluation of Audit Clients;
- The recertification decision will be made in the same manner as a Stage 2 Audit (see P10 Certification Procedure for Audit client);
- Recertification changes will be managed according to Stage 2 process contained in P26 Certification Changes;
- When recertification activities are successfully completed prior to the expiry date of the existing certification, the date of the new certificate will be based on the expiry date of the previous certificate;
- The issue date will be on, or after, the recertification decision.
- If the audit client cannot evidence the necessary or agreed corrective actions to close out a major nonconformity within the proscribed timeframe, or prior to the date of the certificate expiry, the recertification will not be commenced and the validity of the certificate will not be extended;
- Where QIP Certifications has not completed the recertification audit prior to the expiry date of the previous certificate, the recertification will not be commenced and the validity of the certificate will not be extended;
- In either case, the client will be informed by the EM, both by phone call and in writing and the consequences explained (see P07 Appeals management, P10 Certification Procedure for Audit Clients and P21 JAS-ANZ Deed Compliance);
- Following the expiry of a client certificate and their certification, QIP Certifications may restore certification within six months if evidence is available to support the close out of all outstanding recertification activities including MNC's;
- If the client recertification activities are not completed and closed out within six months, at least a Stage 2 audit process will be commenced;
- The effective date on the certificate will then be on or after the recertification decision; and
- The new certificate expiry date will be based on the prior certification cycle.

## 8.2. For HSQF recertification audits

- All HSQF recertification processes including planning, sampling of sites, consumer files and interviews, HSQF Standard selection and conducting the recertification audit will replicate the entire Stage 2 audit process (P09 Audit Planning, P27 Evaluation of Audit Client);
- All HSQF certification decisions will be managed according to Sec 8.1 of this procedure and the HSQF requirements for Stage 2 audits as defined in P04 Corrective Actions and Preventative Actions and P10 Certification Procedure for Audit Clients; and

- All HSQF certification changes will be managed with reference to P26 Certification changes as they pertain to HSQF compliance.

## 9. Special Audits

### 9.1. Expanding Scope

From time to time it may be necessary for QIP Certifications to expand the audit scope at the request of an already certified client.
In this situation the QMR will:

- Review the certified client's application to expand the scope;
- Determine any audit activities necessary to decide whether or not to grant the scope expansion;
- Determine if it is possible to conduct the scope expansion determination during a surveillance (or HSQF maintenance) audit;
- Complete a written report for the EM and client with justification for the scope expansion decision within ten working days; and
- Programme the special audit and add to the audit plan.

### 9.2. Short notice audits

QIP Certifications may find it necessary to conduct an unannounced or short notice audit for the following reasons:

- To investigate complaints;
- In response to major organisational or legislative changes; or
- Follow up on suspended audit clients.

Where this situation occurs QIP Certifications EM will describe and make known in advance to the certified client (using information and documentation described in P09 Audit Planning) the conditions covering the conduct and process for the short notice audit.

The QMR will undertake a new and considered assessment of the members of the audit team to offer natural justice and a fair process to the audit client who cannot object to the members of the audit team. All manner of selection for audit team will be described in the audit report.

# 10. Advanced Surveillance and Recertification–ISO 9001:2015

## 10.1. Minimum requirements

In order to justify the application of an Advanced Surveillance and Recertification Procedure (ASRP) the certified audit client will demonstrate to the EM and QMR that:

- The certified organisations management system has been in continuous operation for a minimum of one complete cycle (≥ 5 years); and
- That there is sufficient documentary and observational evidence provided by the certified client to QIP Certifications to warrant the design of an ASRP audit programme for ISO 9001:2015.

### 10.1.1. Scope of Certification

The competence of the certified audit client to meet the minimum requirements defined above will be assessed by the EM, after which, a specific reference to the approval of an ASRP for the Quality Management System (QMS) will be included in the audit client scope statement and the revised audit programme.

### 10.1.2. Notification to JAS-ANZ

With every application for an ASRP QIP Certifications will provide to JAS-ANZ, in writing a justification statement for the decision to grant an ASRP to the certified audit client.

QIP Certifications will provide confirmation that the organisations management system has been in demonstrated conformity with the requirements of ISO 9001L2015 for a period of at least one complete certification cycle (≥ 5 years), including the successful completion of initial, surveillance and recertification audits. (The confirmation of demonstrated conformity may be based on the outcome of the audit clients first recertification audit (non-ASRP) conducted at the end of the three-year cycle if the management system).

In addition:

- All NC's and MNC's raised during the certification cycle immediately prior to the implementation of an ASRP will be fully resolved;
- QIP Certifications and the certified audit client will have agreed to suitable performance indicator and performance data benchmarks in order to measure the ongoing effectiveness of the management system and to provide verifiable evidence of meeting these targets consistently;
- For ISO 9001:2015 these performance indicators will address as a base line the certified client's ability to consistently provide products and services that meet customer and regulatory requirements;
- The organisations services or products will incorporate all requirements for the continual improvement of the effectiveness of the QMS, in particular, the organisation will:
    - Provide all client satisfaction data to QIP Certifications two months prior to each audit commencement;
    - Supply all evidence of the management of internal audits months prior to each audit commencement, including evidence of internal auditor ongoing competency and suitability;

- Provide evidence to support that it is sufficiently coordinated to provide an evaluation of the QMS as a whole, not only the conformity of its component parts.

- The certified audit client Service Agreement approved for ASRP will be provided to JAS-ANZ contain enforceable arrangements that enable QIP Certifications to increase the scope, frequency and duration of any audits if the QMS is found to deteriorate in any manner or if the organisation ceases to meet it agreed performance targets during the course of a planned audit.

**10.1.3. Additional ASRP Inclusions**

- The frequency and duration of ASRP audits will be sufficient to allow the confirmation of all ASRP criteria;
- For each application of ASRP the base level (non-ASRP) of auditor time will be calculated using P09 Audit Planning criteria;
- Where QIP Certifications plan an ASRP that reduces auditor time to less that 70% of this base level, all further reductions will be approved by the EM who will lodge of an ASRP reduction request to JAS-ANZ with a detailed justification statement;
- In addition to auditing the mandatory statistically significant number of samples of the organisations management system processes to confirm the adequacy and effectiveness of the internal audit process, the QMR will direct the ATL to continue to carry out the following activities at each onsite surveillance and recertification audit:
  - Interview top management and the QMS representative;
  - Evaluate the management review inputs and outputs, including verification of the organisations ability to meet agreed performance targets;
  - Review the internal audit process including procedures and records and the competence of each internal auditor; and
  - Review al corrective and preventative action plans, and verify their effective implementation.
- QIP Certifications will only continue an ASRP as long as all certification requirements for ISO 9001:2015 are met and QIP Certifications has met all conformity assessment requirements for ISO 17021:2015.

**10.1.4. ASRP ISO 9001:2015**

The ASRP for each approved certified client will include the following:

- The extent to which the QMR and ATL will utilise the organisation's internal audit and management review processes to complement QIP Certifications evaluation and certification activities;
- Criteria for witnessing the organisation's internal audits, including sampling of both internal auditors and processes to be audited;
- Criteria for accepting and monitoring the competence of the organisation's internal auditors and the method of reporting internal audit results;
- Criteria for ongoing adjustments to the audit program, considering the organisation's demonstrated ability over time to meet the agreed performance targets;
- The components of the management system that will necessarily be audited by the Audit Team at each surveillance and recertification audit (see P09); and

- Specific competence criteria for the ATL and audit team members and, where applicable, for technical experts.

#### 10.1.5. Certificate Management

QIP Certifications will not differentiate between ASRP and non-ASRP methodologies on the certificates it issues.

## 11. Revision History

| Revision | Effective Date | Section | Change Description |
|---|---|---|---|
| 1 | 5/02/2019 | All | New document |
| 2 | 21/06/2019 | All | Changes made to whole document to updated to ISO 17065 and 17021 parts 1 and 3 |
| 3 | 7/08/2019 | All | Additional wording added in response to JAS-ANZ Document review |