SAI GLOBAL

# Quality Manual

# SAI Global Assurance

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# 1    General Requirements

## 1.1    SAI Global Corporate Requirements

The SAI Global Assurance business forms part of the SAI Global group of companies.

SAI Global Assurance is required to comply with SAI Global Corporate Policies, including policies related to code of conduct, anti-bribery and corruption, privacy, information security, employee safety and whistleblowing.

SAI Global Group Policies are located on the Policies section of the Intranet.

## 1.2    Legal and contractual matters

SAI Global is comprised of a number of legal entities that are controlled by SAI Global Pty Limited (SAI Global).
- Organisational Chart of Legal Entities

The legal entities responsible for certification activities within the SAI Global group are provided at:
- Accreditation Agreements
- Accreditation Certificates
- Assurance Legal Entity Matrix

SAI Global Assurance has identified and documented the Accreditation Bodies and Scheme Owners with which it currently holds accreditation and agreements, together with the relevant SAI Global legal entity.  Further to this SAI Global Assurance has identified certification authorisations that must be in place to ensure that correct signatory appears on accredited certificates. This information can be found at the following.
- Accreditation and Scheme Register

**Note:   When there are changes to the signatory on accredited certificates or changes to management structure, the Accreditation and Scheme register must be consulted to ensure that the all accreditation and scheme requirements are met.**

SAI Global Assurance shall maintain legally enforceable agreements with our clients, offices, branches and agents. The process for managing inter-office agreements can be found at the following:
- Manage Office Agreements
- Office Agreements and Declarations

The processes for managing agencies can be found at the following:
- Agency Management Processes

Client records are stored in GBP, Compass, Sice, Navision and some offices store client records on network drives.

## 1.3    Responsibility for certification decisions

SAI Global Assurance has defined, documented and communicated roles and responsibilities regarding the making of certification decisions. These are contained within certification authority representation letters retained on GBP, and in approval forms retained in personnel files.
- Certification Delegates
- Our Capabilities

Competency criteria and training requirements to become a certification delegate are contained within the training manual.

- [SAI Global Training Manual](#)

SAI Global Assurance defines critical locations as fixed office locations responsible for performing and/or managing key activities or from where remote personnel performing key activities are managed. Key activities include:

- Policy formulation;
- Process and/or procedure development;
- Initial approval of auditing personnel, or control of their training;
- On-going monitoring of auditing personnel;
- Application review;
- Assignment of auditing personnel;
- Control of surveillance or recertification audits;
- Final report review or certification decision or approval.

The global list of critical locations can be found at the following.

- [Critical Locations by Accreditation Body](#)

The process for identifying critical locations and expanding or reducing the scope of accreditation including adding new countries or agencies; adding or removing offices can be found at the following.

- [Expanding or Reducing Scope of Accreditation](#)

## 1.4 Management of Impartiality

SAI Global Assurance top management is committed to impartiality, managing conflict of interest and ensuring objectivity in conformity assessment activities, as set out in our Impartiality Policy.

The policy and processes related to impartiality can be found at the following.

- [Impartiality Policy](#)
- [Identifying Potential Threats to Impartiality for Service Delivery](#)
- [Impartiality Committee Process](#)
- [Impartiality Committee Terms of Reference](#)
- [Impartiality Induction Module](#)

SAI Global Assurance considers the risks associated with accreditation and impartiality utilising an Enterprise Risk Management Framework comprising of the following.

- [SAI Global Risk Management Policy](#)
- [Assurance Risk Management Procedure](#)
- [Assurance Risk Assessment Criteria](#)
- [Risk Register Template](#)
- [Risk Management Induction Module](#)

The outputs of risk assessments can be found at the following.

- [Risk Assessment Outputs](#)
- [Compliance 360 Enterprise Risk Manager](#)

Residual risks are discussed on a regular basis at leadership meetings as well as management review meetings.

Each employee or sub-contractor signs a Statement of Confidentiality and Code of Ethics, this document covers the majority of requirements for management of impartiality. These documents, along with the process for managing bribery incidents can be found at the following.

- [Anti-Bribery and Corruption Policies](#)

- Statement of Confidentiality, Code of Ethics and Impartiality
- Bribery Incident Management

Non-discriminatory behaviour is embedded into the SAI Global corporate culture and Code of Business Conduct which is reflected in SAI Global's certification process. Information related to certification processes and application procedures are publicly available and freely accessible to all applicants on the SAI Global website:
- Auditing & Certification Webpage
- External Contact Us Form

## 1.5 Liability and financing

SAI Global has evaluated the risks arising from its conformity assessment activities and has arrangements (e.g. insurance or reserves) to cover liabilities arising from its operations in each of its fields of activities and the geographic areas in which it operates. Annual audited Financial Statements are submitted to the Australian Securities and Investment Commission and these provide details of the financial status and performance of SAI Global Pty Limited.

SAI Global has a global insurance program that includes policies for Professional Indemnity and Public Liability. SAI Global works with our insurance brokers and insurers to ensure that these policies are suitable for the risk profile of the business.

Insurance policies for workers compensation (also referred to as employer's liability) are managed by each region/country and must meet local legislative requirements.

Certificate of Insurance for Professional Indemnity, Public Liability and workers compensation, can be found at the following:
- Insurance Documents

If a Certificate of Insurance is not available at the above location, contact:
- The Group Treasurer for certificates related to Professional Indemnity or Public Liability
- The country or regional finance team for workers' compensation.

Agents are also required to carry professional indemnity and public liability insurance, and these requirements are determined when entering into the Agency Agreement and monitored through the Agency Management Process referenced in section 1.1.

## 2 Structural Requirements

## 2.1 Organisational structure

Responsibilities and duties are defined in position descriptions. These are held with Human Resources within various regions and countries.

The organisational chart for Top Management is provided at SAI Global Organisational Chart. Organisational charts are also held locally by each office.

| Activity | Responsibility and Ownership |
|---|---|
| Development and establishment of policies and process relating to operations | SAI Global Assurance CEO and Senior Leadership Team |
| Supervision of the implementation of the policies, processes and procedures | SAI Global Assurance CEO and Senior Leadership Team |
| Ensuring impartiality | Global Head of Technical Services Global Head of Accreditation |

| Activity | Responsibility and Ownership |
|---|---|
| | SAI Global Assurance CEO and Senior Leadership Team |
| Supervision of finances | SAI Global Assurance Finance Director Chief Financial Officer, SAI Global |
| Development of management system certification services and schemes | Global Head of Technical Services Global Head of Accreditation |
| Performance of audits and certification, and responsiveness to complaints/appeals | SAI Global Assurance CEO General Managers for each area |
| Decisions on certifications | Global Head of Technical Services |
| Delegation of authority to committees or individuals, as required, to undertake defined activities | SAI Global Assurance CEO and Senior Leadership Team Global Head of Technical Services |
| Contractual Arrangements | SAI Global Assurance Sales and Marketing Director SAI Global Assurance CEO |
| Provision of adequate resources, competency and training for certification activities | General Managers for each area |

## 2.2 Operational Control

SAI Global implements a number of processes to identify risks and monitor implementation of control of certification activities at offices, partnerships, joint ventures and agents. They include but are not limited to the following.

- SAI Global Promapp
- Internal Audits
- Risk Assessments
- SAI Global Training Manual

## 3 Resource Requirements

## 3.1 Provision of resources

The process related to the provision of resources and resource approval can be found at the following.

- SAI Global Training Manual

Training records of personnel are generally maintained at the following.

- Auditor Training Records

## 3.2 Outsourcing

If SAI Global does not have enough resources to deliver certification services that it is accredited for, it may engage the services of another organisation with access to such resources. The following process covers the arrangements of how this may take place.

- Identify Need for Agency Assistance
- Formalise Agency Agreement
- Oversight Agency or Joint Venture Performance

The process by which SAI Global manages subcontracted auditors can be found at the following.

- Subcontractor Management

## 4    Information Requirements

### 4.1    Public Information

Information regarding audit and certification processes, programs and schemes are made publicly available on the SAI Global website. Clients are able to provide feedback including complaints and appeal via the SAI Global website.

- Auditing & Certification
- Feedback
- Certification Mark Rules of Use
- Corporate Governance
- Scheme Notices & Documents

### 4.2    Certification Documents

Information regarding certification documents can be found at the following.

- Certificate Content and Requirements

### 4.3    Reference to certification and use of marks

The requirements for the use of StandardsMark are detailed in the following.

- Certification Mark Rules of Use
- Assurance Terms & Conditions

### 4.4    Confidentiality

Clients are informed of SAI Global's intention to make publicly available information regarding their certification status. Clients agree to do this upon acceptance and signing of proposal document. SAI Global requires all employees (including contractors) to sign a statement of Confidentiality and Code of Ethics.

In the case that SAI Global is required by law or authorised by contractual arrangements (such as with an Accreditation Body) to release confidential information, SAI Global will inform the client or individual concerned, unless prohibited by law, of the information provided.

### 4.5    Information Exchange

Any changes in certification requirements will be communicated to clients prior to date of implementation. This process will be coordinated by Global Scheme Owners and Subject Matter Experts.

The SAI Global Terms and Conditions outline notification requirements for clients regarding changes that impact upon their status of certification.

## 5    Process Requirements

### 5.1    Application and application review

The processes related to application and application review can be found at the following.

- Qualify Lead
- Obtain Technical Information
- Perform Contract Review
- Prepare Proposal
- Conclude Proposal Outcome

## 5.2 Audit programme

The audit programme is developed and recorded on the Audit Programme Table.

Additional items to consider include but are not limited to:
- Complaints received by the certification body about the client
- Combined, integrated or joint audit
- Changes to certification
- Changes to legal requirements
- Changes to accreditation requirements
- Organisational performance data
- Relevant interested parties' concerns

If the client has shifts and unique activities occur on night shift for example, these need to be audited at during the stage 2 audit, at once during the audit certification cycle and at recertification audit.

## 5.3 Determining audit time

Below are the major tools used for determining audit durations. Additional tools can be located in the Global Business Portal document centre using search terms *Duration*, *Guideline* or *Contract Review*.
- Audit Duration Guidelines
- Duration Calculation Tools
- Contract Review Tools

## 5.4 Audit planning

The processes related to scheduling audits are detailed in the following.
- Schedule and Confirm Services

When planning audits refer to scheme specific plans found in the following.
- Audit Plan Documents

## 5.5 Audit team

The selection and assignment of audit team members including technical experts as necessary is managed through the various SAI Global information systems (e.g. Compass, Navision). The output of the contract review is used to determine client and auditor competencies required. These are cross referenced with the SAI Global auditor pool to ensure only competent auditors are selected to perform the service delivery. Some systems have a built-in failsafe.

The processes for managing auditor training and competency are outlined in the SAI Global Training Manual and the QGR06 series of documents. The audit team must have the totality of the competencies required to audit the client.

Technical experts shall not act as an auditor and shall be accompanied by the auditor at all times. Observers and guides shall not interfere or influence the audit process.

## 5.6 Certification process

The certification process is outlined in the Certification Roadmap.

The guidelines related to conducting audits and managing non-conformances can be found at the following.
- Guidance for Audits
- Guidance on Resolution of Non-conformances

The guidelines certification decisions, certificate issuance including certificate changes can be found at the following.

- Guidance on Certification

The process related to providing certification decision can be found at the following.

- Provide certification decision

### 5.6.1  Extensions to scope

If an extension to scope is being carried out during the normal certification cycle, the audit duration should be recalculated based on the potential increase in staff numbers / processes and risk ratings as applicable.

If an extension to scope is being carried out outside the normal certification cycle, the audit duration will normally be half day per process.

### 5.6.2  Change of address

For clients with low risk NACE code or low risk rating, no site visit is required. For clients with medium or high risk NACE codes or risk ratings, an onsite visit is recommended. Refer to Technical Services for further guidance.

### 5.6.3  Short notice audits

If a short notice or unannounced audit is required, SAI Global will exercise additional care in selection of audit team due to lack of opportunity for client to object to audit team.

### 5.6.4  Refusing, suspending, withdrawing, reducing and restoring the scope of certification

The processes related to refusing, suspending, withdrawing, reducing and restoring the scope of certification can be found at the following.

- Certification & Certificate Maintenance
- Guidance on Certification

## 5.7  Complaints

The process for managing complaints can be found at the following

- Complaints Management

## 5.8  Appeals

The process for appeals can be found at the following

- Appeals Management

## 5.9  Client records

The process for managing and retaining client records is outlined in section 6.2.2 Records Management. SAI Global securely keeps records on applicants and clients to ensure confidentiality is upheld. This includes when records are transported, transmitted or transferred.

## 6  SAI Global Quality Management System

## 6.1  General requirements

The SAI Global Assurance business has established, documented, implemented and maintains the quality management system relating to its responsibilities and authorities. The Global Head of Accreditation has the final responsibility of the SAI Global Assurance

Quality Management System, and is responsible for reporting to Top Management on the performance of the system.

The implemented management system is in accordance with
- ISO/IEC 17021:2015 section 10.2 Option A: General management systems requirements
- ISO/IEC 17065:2012 section 8.2 Option A: General management systems requirements
- ISO/IEC 17000: Conformity assessment – Vocabulary and general principles

The following classification of documents provides flowcharts and / or descriptive material in support of the definition of process flow and interrelationships.
- IT user manuals as applicable
- Program Operations Manuals – Promapp
- Management System Procedures

## 6.2 Documentation requirements

### 6.2.1 Document Management

The procedure for managing and controlling documents are outlined in the following.
- [Document Management](Document Management)

### 6.2.2 Records Management

Records are established and maintained to provide evidence of conformity to requirements and of the effective operation of the quality management system. Records shall remain legible, readily identifiable and retrievable.

a)   A documented procedure is established and defines the controls needed for the identification, storage, protection, retrieval, retention time and disposition of records. The procedure applies to the SAI Global Assurance business and its Service Partners.

b)   Records are maintained for, but not restricted to:
- Management review,
- Contract review (Application Review),
- Design planning and verification activities,
- Subcontractor Auditors/Technical Specialists/Agencies,
- Conformity assessment activities,
- Education & training activities
- Corrective actions following an identified failure,
- Customer complaints and actions taken,
- Internal Audits,
- Staff training/development records,
- Statements of Confidentiality,
- Qualifications of Auditors and Technical Experts,
- Records of Appeals,
- Financial Records.

c)   If the retention period of any record listed above is not mandatory by law, they shall be retained for at least two certification cycles. For program specific requirements on record retention, refer to the applicable program guideline.

d)   All electronic records are backed up by Corporate IT.

### 6.3 Management commitment

Top management of SAI Global provide evidence of its commitment to the development and implementation of the quality management system and continually improving its effectiveness. The process for conducting management review can be found at the following.

- Conduct Management Review

### 6.4 Internal audits

The process for conducting internal audits can be found at the following.

- Schedule Internal Audit
- Conduct Internal Audit

### 6.5 Corrective actions

The process for management of nonconformities arising from internal and external audits is contained at the following.

- Managing Non-conformances Raised from Internal Audits, Other Inputs and by AB's

### 6.6 Preventive actions

The process for identify preventive actions and the method for evaluating and determining the actions required are conducted through a risk assessment. Outputs are captured in Compliance 360 (C360) Enterprise Risk Manager module.

Other methods to identify potential non-conformities include:
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- Conflicts of interest and impartiality
- Outputs from management review
- Internal audits
- Complaints and appeals management
- Operational performance monitoring

### 6.7 Managing Extraordinary Circumstances

SAI Global recognises that there may be circumstances which impact on an organisation's ability to operate and therefore participate in an onsite audit. In accordance with IAF ID3 Management of Extraordinary Events or Circumstances Affecting ABs, CABs and Certified Organisations SAI Global has developed Guidelines for managing such events. To facilitate the implementation of the guidelines SAI Global has also implemented a process for managing remote audits in accordance with IAF MD4 The Use of Information and Communication Technology (ICT) for Auditing Purpose/Assessment Purposes where necessary.

SAI Global have demonstrated the processes of managing an extraordinary circumstance by developing a Response Plan, an example of this is outlined in the following:

- SAI Global Assurance COVID-19 Response Plan