General information regarding elements of the certification process is described below. A degree of flexibility and options in the certification process are available so please feel free to contact us to discuss how we can better serve your organization.

SAI Global Full Service Team

Upon selection of SAI Global as your Registrar and submission of the signed Application for Certification, SAI Global will assign your dedicated service team.

Your service team will be selected to suit your specific industry and will consist of an Account Manager, a Regional Account Representative, a Lead Auditor and other team members as needed to support your certification. The roles of each member of your service team are as follows: your Account Manager will manage the business relationship, including contract negotiation and changes to your certification requirements; your Regional Account Representative will manage the back office processes including scheduling and customer service related to certificates and invoicing; your Lead Auditor will manage the delivery relationship. As your primary contact with SAI Global, the Lead Auditor assigned provides you with ongoing industry developments and interpretations and ensures coordination of all audit-related activities for your company. If additional audit team members are required, they are selected from our experienced auditor base. Your audits will be consistent in approach, technically sound and relevant to your business needs.

Introductory Visit – (Optional) (formally referred to as a Document Review)
An introductory visit is an on-site assessment conducted prior to the Stage 1 initial Audit. The introductory visit allows for the identification of any major system documentation issues and feedback regarding your readiness to proceed to the initial stage 1. We recommend that your introductory visit be scheduled at least 30 days prior to the Stage 1 Audit. A written report will be provided at the end of the introductory visit.

Initial Audit

The goal of the Initial audit is to assess the effective implementation of your management system to the requirements of the standard and your management system documentation. The audit is conducted in two Stages.
The Stage 1 audit is conducted on site and consists of a further documentation review and establishes the appropriateness of the management system, the audit scope, your readiness for the stage 2 and an audit plan for the stage 2.
The Stage 2 audit is conducted on site and consists of a review of the entire management system to ensure that the system has been fully implemented, effective and is in conformance to the requirements of the standard or normative document.

All audit activities are mutually planned with your assigned Auditor prior to the audit. An audit plan is provided detailing the scope and objectives of both the Stage 1 and Stage 2 audit, the audit team members, the processes to be audited and the timelines. While onsite your audit team will work to verify that the management system meets the requirements of the standard and your system documentation by assessing objective evidence. The auditor will be seeking adequate objective evidence in the form of records and sometimes actual observation of an activity to establish conformance. At the conclusion of the onsite audit, you will be immediately informed of the results. A formal audit report will be issued after the audit. The report includes information relative to positive aspects of the system, opportunities for improvement and system non-conformances. Opportunity for Improvement is a documented statement, which may identify areas for improvement however shall not make specific recommendation(s). Any major non-conformances will be documented and agreed with your management representative before the auditor leave your site.

Please note that if you request the option of having the Stage 1 and Stage 2 Audits conducted back to back a potential risk is present in that unacceptable Stage 1 audit results may require the cancellation of the Stage 2 audit with the application of cancellation fees as outlined in the terms and conditions.

Compliance Criteria For the Certification Decision

Full legal compliance is expected by stakeholders and interested parties of an organization claiming conformity with an OH&SMS standard. The perceived worth of accredited certification in this field is closely related to the achieved satisfaction of the interested parties in relation to legal compliance.

The organisation shall be able to demonstrate that it has achieved compliance with the legal OH&S requirements that are applicable to it through its own evaluation of compliance prior to the Certification decision is made.

Where the organization may not be in legal compliance, it shall be able to demonstrate it has activated an implementation plan to achieve full compliance within a declared date, supported by a documented agreement with the regulator, wherever possible for the different national conditions. The successful implementation of this plan shall be considered as a priority within the OH&SMS.

Exceptionally the Certification may still be granted but shall seek objective evidence to confirm that the organization's OH&SMS:

a. Is capable of achieving the required compliance through full implementation of the above implementation plan within the due date,
b. Has addressed all hazards and OH&S risks to workers and other exposed personnel and that there are no activities, processes or situations that can or will lead to a serious injury and/or ill-health, and
c. During the transitional period has put in place the necessary actions to ensure that the OH&S risk is reduced and controlled.

Certificate Issuance

Upon successful completion of the certification process (including resolution of non-conformances if applicable), your Team Leader compiles a Certification Package for review by our Certification Team. Upon completion of the review, the Certification Team prepares and forwards your Certificate of Registration. Your certificate will include details such as: legal company name, site address, standard, scope of certification, the initial certification date and the expiry date.

The official certificate is forwarded, along with a link to our marketing website. The Marketing tools will provide you with useful ideas on how to capitalize on your ISO certification, provide you with the official 'SAI Global registered mark' artwork and the guidelines of use. Your successful certification will also be published in our online Directory of Registered Companies, at www.saiglobal.com.

Surveillance Audits

Surveillance audits are periodic audits of your management system. The purpose of surveillance audits is to ensure the management system is being maintained during the effective period of certification. To provide you with as much flexibility as possible, SAI Global offers two surveillance frequency options: Annual and Semi-annual.

- Semi-Annual audits are conducted every six months. This option offers more frequent interaction with your audit team, to ensure your management system is working efficiently and to facilitate the rate of continuous improvement.
- Annual audits are conducted every twelve months, as a minimum.

Re-certification audit

Re-certification Audits are scheduled before 3-year mark, usually 3 months before the certificate expiry date..
The purpose is to ensure:

- The effectiveness of the management system in its entirety in the light of internal and external changes and its continued relevance and applicability to the scope of the Certification
- Client demonstrated commitment to maintain the effectiveness and improvement of the management system in order to enhance overall performance.
- Whether the operation of the certified management system contributes to the achievement of the organization’s policy and objectives
- To accommodate any time required to close any non-conformances

Special Short notice AUDIT DURATION

JAS-ANZ scheme requires SAI Global to provide provisions to complete special audits at short notice independently from the involvement of the competent regulatory authority; this special audit shall be considered necessary in the event that the SAI Global becomes aware that there has been a serious incident related to occupational health and safety within the certified organisation.

The audit shall investigate whether the management system has been compromised or did it function effectively. The special audit must be completed within two weeks of SAI Global becoming aware of the incident

A special short notice audit can be a result of a serious accident, or a serious breach of regulation. Audit documentations shall be available as evidence to demonstrate the outcome of the special audit.

The duration for this special audit shall adequate to carry out an in-depth investigation and shall not be less than 1 day.