

ISO 55001 Asset Management Client Handbook

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Welcome

Thank you for choosing BSI as your Asset Management Certification Body, and welcome to the start of your certification journey. We will support you at every stage of your Asset Management certification.

1 Introduction

This client handbook is designed to assist your facility on the requirements for certification to the Asset Management ISO 55001:2014 and outlines the process that you will be following. This document also includes information on your obligations as a BSI client certified to Asset Management ISO 55001:2014.

This document forms part of your BSI contract.

2 Accreditation Status

BSI has applied for accreditation for this standard with JAS-ANZ.

BSI holds global accreditation for this standard with UKAS.

3 The BSI Asset Management ISO 55001:2014 Assessment Process

The following section outlines the steps that apply during the BSI certification process for the Asset Management ISO 55001:2014 certification.

BSI reserves the right to provide its clients and those that request proposals with marketing and technical information relating to standards, training and compliance services.

3.1 Initial Inquiry

BSI will respond to expressions of interest from facilities interested in one or more of our programs. If your facility is located near one of BSI's offices, an advisory visit may be arranged to discuss your certification requirements and how BSI can help your facility achieve them.

Your initial inquiry will be handled by our sales team who will spend time with you to understand your requirements. From this information the salesperson will prepare a proposal that includes the details of the assessment duration, expected costs and the BSI Standard Terms and Conditions of Contract.

The proposal contains a section for you to sign and return to BSI.

3.2 Application for Certification and Assessment

Once we have received the signed proposal and the application fee your details and requirements will be entered into our database and a BSI Client Services Officer (CSO) will be appointed to look after you.

Your CSO will be your primary point of contact with BSI and they are responsible for ensuring that our services are delivered to your facility in the most effective manner possible.

The timing of the audit will consider the best demonstration of the full scope of the client activities, associated asset base and operational environment.

3.3 Client Contact

As soon as practicable after receipt of your signed proposal, a BSI Client Services Officer (CSO) will contact you. The CSO will seek to establish a working relationship between your organization and BSI, and they will confirm your certification requirements.

If you are working with a consultant it is often useful for that person to be party to the communication process.

3.4 Gap Analysis (optional)

While you prepare for certification, BSI can carry out an **optional** Gap Analysis. During this assessment, the existing processes and procedures within your facility are compared with the requirements of the standard. This identifies any potential oversights or weaknesses so that you can take immediate action, ahead of the audit process.

You will receive a report which highlights any gaps in your documentation which will need to be addressed prior to your certification audit. The results of a Gap Analysis are not directly linked to or have any impact on subsequent audits.

3.5 Initial Audit (Stage 1 Audit)

This is a mandatory stage between application and initial assessment Stage 2 to ensure that your organisation is ready for the Stage 2 audit and that this audit is planned effectively. During the Stage 1 Assessment, your auditor will review the structure of your Asset Management ISO 55001:2014 system and your readiness for full assessment at Stage 2. All findings will be discussed and summarized in an audit report to ensure that you will be prepared for Stage 2.

This audit covers the documentation related to the management system. Your facility will be required to provide the following information to the auditor for review;

- Any documented information for review;
- A copy of your Strategic Asset Management Plan (SAMP) one month prior to the audit.
- Organization chart

Non-conformities are not raised at your Stage 1 assessment however; a list of the findings will be provided that need to be addressed before the Stage 2 assessment.

You will receive a written report which outlines the readiness for the Certification Audit.

3.6 Certification Audit (Stage 2 Audit)

During the Stage 2 Assessment, your auditor will review the management system of your facility against the requirements of the standard. This Assessment will confirm if your Asset Management System conforms to the standard.

The Stage 2 audit needs to be conducted within six (6) months of the Stage 1 audit. If the Stage 2 audit is not conducted within this time the Stage 1 audit may need to be repeated.

3.7 Site Sampling

If the scope of certification covers multiple assets of the same type then sampling may be used. Similarly, if multiple sites contain assets of the same type sampling may be used.

Sampling is allowed based on the requirements of IAF MD 1:2018 Clause: 5 which in summary is:

- 1) The organization shall have a single management system.
- 2) The organization shall identify its central function. The central function is part of the organization and shall not be subcontracted to an external organization.
- 3) The central function shall have organizational authority to define, establish and maintain the single management system.
- 4) The organization's single management system shall be subject to a centralized management review.
- 5) All sites shall be subject to the organization's internal audit programme.
- 6) The central function shall be responsible for ensuring that data is collected and analysed from all sites and shall be able to demonstrate its authority and ability to initiate organizational change as required in regard, but not limited, to:
 - system documentation and system changes;
 - management review;
 - complaints;
 - evaluation of corrective actions;
 - internal audit planning and evaluation of the results; and
 - statutory and regulatory requirements pertaining to the applicable standard(s)

3.8 Certification Audit Report

At the conclusion of the Stage 2 audit, your auditor will prepare a written report and will present any findings to you at the closing meeting based on the guidance stipulated by JAS-ANZ. You may access this guidance in Section 11 at the end of this document.

The audit findings will be provided to you following each audit. Non-conformities will be discussed with your team during the auditor's visit and outlined at the exit meeting. If you are unclear regarding the meaning of anything in your report, please contact your BSI auditor.

3.9 Non-Conformities at Certification Audit

All major non-conformities must be closed and all minor non-conformities have an acceptable action plan prior to the awarding of certification to the facility.

It is your responsibility to respond to the non-conformities detailed in the audit report by the designated time frame. Failure to do so may result in starting the certification process all over again.

Specific audit findings are categorized as follows and are applicable during the certification and verification audit activities – Major and Minor non-conformities.

3.9.1 Major Non-Conformities

This is non-fulfilment of a requirement that does affect the capability of the management system to achieve intended results.

- If there is a significant doubt that effective process control is in place, or that products or services will meet specified requirements.
- A number of minor non-conformities associated with the same requirement or issue could demonstrate a systematic failure and thus constitute a major non-conformity.

Major Non-conformances are audit findings that reveal that the integrity of the Asset Management System has been compromised and must be rectified before certification is granted. Agreed proposed corrective action plans (detailing correction, cause identification and long term fix) must be received within two (2) weeks of the nonconformity being identified. A close out of a major non-conformity will be required within 30 days as an on-site visit to your facility.

3.9.2 Minor Non-Conformities

This is a non-fulfilment of a requirement that does not affect the capability of the management system to achieve the intended results.

Minor Non-conformities are audit findings that reveal an isolated incident of non-conformity that has no direct impact on the integrity of the Asset Management System. Agreed proposed corrective action plans (detailing correction, cause identification and long term fix) must be received within two (2) weeks of the nonconformity being identified.

Generally three or more minor non-conformities will result in a major non-conformity being raised (situation will be assessed on a case by case basis by the BSI Compliance and Risk team with the auditor).

3.10 Certification Decision

After confirmation that any necessary corrective actions have been taken, which may involve a follow up visit by the BSI auditor, the findings and recommendations made in the audit report are subject to an internal review process prior to certification being granted.

Following certification, BSI will then conduct verification audits of the certified facility management system at intervals in line with your audit plan.

3.11 Certificates

When your facility has achieved certification, BSI will provide you with a Certificate as a statement that you have achieved certification for your Asset Management System. The certificate will include important information such as names and addresses of all locations covered by the certification, your facilities' certification number, and the date of certification. The certificate should be displayed in entirety where it will be seen by customers and potential customers.

When copies or elements of the certificate are used in tenders or offered to potential or existing customers, the certificate should be provided in entirety and accompanied by the scope of certification document (if issued separately) as it is important for them to understand the scope of activities for which certification has been granted.

Incorrect use of the certificate can result in a customer being misled as to the extent of your facilities' certification.

All original certificates remain the property of BSI Group ANZ Pty Ltd and must be returned on request.

The BSI reassessment cycle for Asset Management System program is 3 yearly.

Your facilities' scope of activities, detailed on your certificate must be clear, unambiguous and free of marketing jargon.

3.12 Scope of Certification

The scope of certification fully details the scope of your facilities' certification in terms of:

Names and addresses of all locations covered by the certification;

- Achievement of certification to the relevant standard(s) and
- The capability statement (range of assets, products, services, and activities) for each location covered by the certification;

You are obliged to ensure that BSI has been formally briefed in a timely manner when any variations occur. You should not wait until the next scheduled assessment to notify BSI. Failure to do so may compromise the facility's certification status.

3.13 Refusal to Grant Certification/Recognition

In the event that your facility is unable to comply with the requirements of the relevant standard, BSI may refuse to grant certification. The decision to refuse certification, and the grounds for that decision, will be communicated to you in writing.

4 Post-Certification Activities

4.1 Surveillance/Verification Audits

Surveillance audits are typically conducted within ten months from the certification date and there-after every twelve months. The frequency of the assessments need to kept in line with the expiry date.

4.2 Re-certification Audits

The re-certification audit must take place prior to the expiry date. Extensions on the re-certification dates are not permitted.

4.3 Temporary Refusal of Continued Certification/Re-certification

If continued certification/re-certification is refused you shall, for the period of refusal:

- Withdraw and cease to use any advertising or promotional material that promotes or advertises the fact that the facility is certified;
- Ensure that all copies of certificates and scopes of certification are removed from areas of public display; and

You are required to advise BSI in writing of action taken with respect to the requirements listed above.

4.4 Variations to Certification

You are required to ensure that BSI has been formally notified of any significant changes (as mentioned below) to the certified facility or the product so that the certificate maintains current.

You are obliged to ensure that BSI has been formally briefed in a timely manner. You should not wait until the next scheduled assessment to notify BSI.

Failure to comply with the requirements listed above may compromise your facilities' certification status.

Variations to certification may originate from:

- Variations to the scope of certified product/ Change of certification scope
- Voluntary withdrawals
- Changes in Business activity/ies, scope of certification (Assets, Products and Processes)
- System Management Number of significant assets
- Change of ownership
- Change of key management responsibilities
- Major management system changes and capability information
- Change of company name (Business name (Legal entity) and Trading Name (where applicable))
- Change of address (refer to Section 4.4.1)
- Change of ABN
- Change of Billing Details
- Change of Contact Details

If you require a change to the scope of certification, you are required to notify BSI.

An audit will be required to re-certify the facility.

4.4.1 Facility Relocation Requirements

In the event that your facility moves you are required to;

- Advise BSI prior to the relocation
- BSI will determine if additional audits are required at the new site

4.4.2 Reduction in Scope of Certification

When a facilities' scope of certification is reduced, BSI will issue revised certificates and scopes of certification as appropriate and the certified facility shall:

- Return all superseded certificates;
- Ensure that use of the certification mark is adjusted to reflect the reduced scope of certification;
- Ensure that all advertising and promotional activities and materials are adjusted to reflect the reduced scope of certification; and
- Pay any fees that are applicable for the facilitation of this activity.

4.5 Obligations of Certified Facilities

Following certification, there are a number of managerial responsibilities, which you will need to observe to maintain ISO 55001 Asset Management System certification. These include:

- Compliance with the certification agreement i.e. BSI Standard Commercial Terms and Conditions and obligations as specified in this document, as well as other guidance documentation that may be specifically provided from time-to-time
- Ensuring that your facility and products remain compliant with the scheme requirements at and the conditions of certification at all times
- Notification to BSI of any alterations, amendments, or corrections to the Management System or Strategic Asset Management Plan (SAMP) that may affect compliance with the requirements of ISO 55001 Asset Management System certification. These shall be submitted in writing to BSI
- Complying with all relevant legislation, standard, safety codes or licensing applicable to the State or Territory in which the ISO 55001 Asset Management System certification is being established
- Conduct of regular internal reviews of your system, with appropriate documentation of such reviews and of any subsequent corrective actions
- Identifying and providing appropriate employees to assist the BSI during audits

- Notification to BSI of any significant changes in the structure (key responsibilities and management system), ownership and operations of your facility to enable the impact of such changes on the certified ownership system to be evaluated
- Notification to BSI of any litigation or serious events or matters that relate to the scope of your certification
- Implement appropriate changes as communicated by BSI in a time appropriate manner

4.6 Ongoing Audit and Review Activities

If your facility is already certified and the audit outcome indicates that your facility is unable to comply with the requirements of the ISO 55001 Asset Management System certification or a major non-conformity is detected your certification may be suspended.

The actions following the identification of Major non-conformities the actions that will occur include;

- An agreed proposed corrective action plans (detailing correction, cause identification and long term fix) must be received within two (2) weeks of the nonconformity being identified.
- A close out of a major non-conformity will be required within 30 days as an on-site visit to your facility.

At the discretion of the auditor, there is a possibility of revoking your organisation's certification immediately

4.7 Cancellation or Revocation of Certificate

When a facility's certification is revoked, you shall immediately:

- Cease all use of the BSI and JAS-ANZ certification marks
- Cease any advertising and promotional activities that promote the fact that the facility holds certification
- Withdraw and cease to use any advertising and promotional material that promotes the fact that the facility holds certification
- Cease to use relevant certification marks in any way to promote the fact that the facility holds certification; and
- Return all certificates and pay outstanding fees

5 Use of the BSI Certification Mark

You are entitled to use the appropriate BSI 'kitemark' and the JAS-ANZ logo whilst you maintain certification to this program with BSI. For a copy of the logo, visit our website at <https://www.bsigroup.com/en-AU/Our-services/BSI-Assurance-Mark-Logos/>

Use of the logo is subject to Condition and rules of its application.

6 Use of the JAS-ANZ Accreditation Symbol

Facilities that have been granted certification with JAS-ANZ accreditation are entitled to use the JAS-ANZ Accreditation Symbol. The rules for the use of this mark are governed by JAS-ANZ. The JAS-ANZ Accreditation Symbol may be used in conjunction with BSI Accreditation marks.

The specifications and use of the JAS-ANZ Accreditation Symbol is described in the following hyperlink <https://www.bsigroup.com/LocalFiles/EN-AU/JAS-ANZ%20Mark%20Use%20Guidelines.pdf>

7 Confidentiality

BSI will treat all information in accordance with the Privacy Amendment (Enhancing Privacy Protection) Act 2012

8 Other Additional Obligations

8.1 Strategic Asset Management Plan (SAMP) and Asset Policy

You are required to notify BSI at least one month prior to each scheduled audit of any significant changes to the Asset Policy and/or the Strategic Asset Management Plan (SAMP) to enable appropriate planning for the pending audit.

8.2 Assessment Scheduling

You are required to make all necessary arrangements to allow the evaluation and surveillance activities to take place. This includes but is not limited to; Equipment, Product, Locations, Personnel and Sub-contractors.

8.3 Misleading Statements

You are not permitted to use certification in a manner that could bring the BSI into disrepute. This includes making misleading or unauthorized statements. If you are unsure if a statement could be misleading you are advised to contact BSI prior to making the statement. Statements include but are not limited to the use of the logo on non-certified facility, advertising (including your website) and internal communication.

If you are required to provide copies of certification documents these must be reproduced in its entirety. Failure to do so may be misleading to the recipient as to the scope of certification.

8.4 Observers

From time to time BSI requires an Observer to be in attendance at an audit. This may be related to training of new staff and witness assessment of existing staff. It is a requirement of certification that you allow these activities to occur.

Failure to allow this activity to occur may result in cancellation of your certification.

BSI will, at all times, ensure that the use of observers is kept to a minimum and you will be advised prior to the assessment activity.

The Observer does not take an active part in an assessment.

9 Complaints and Appeals against BSI

Appeals against certification decisions and / or complaints against service delivery levels may be raised with your auditor. If you remain dissatisfied, contact the GM Technical & Operations ANZ in writing.

All complaints will be investigated and the originator of a complaint will be advised of the outcomes, as appropriate.

If your application for certification has been refused; or your certified facility's certification has been withdrawn, or reduced in scope, you may appeal against the decision to a Review Committee constituted and operated as set out below:

The appellant shall, within 28 days of the disputed advice from BSI, lodge a notice of appeal with an affidavit as to the grounds of appeal with the BSI Group ANZ Pty Ltd.'s Managing Director in writing.

The CEO or equivalent shall advise the BSI Group Regional APAC Executive within 14 days of receiving the appellant's notice.

The Executive shall then establish a Review Committee upon payment of the fees set by the Executive for consideration of the appeal.

The Review Committee shall consist of three persons considered as experts in the area of technology or business relevant to the appeal. The Review Committee shall be constituted as follows:

- The appellant shall represent him/herself
- One person expert in the relevant area of technology or business appointed by the Board; and
- Two persons selected by the appellant from a list of four persons nominated as eligible by the Board

No legal representation will be allowed unless approved by the Review Committee.

The Review Committee will carry out investigations as are required, including assessment of information supplied by the appellant and, within a reasonable time, decide by majority vote whether or not to reverse the original decision. The Managing Director or equivalent shall give notification of the decision to the appellant within 14 days of the Review Committee decision.

To raise a complaint or appeal against the service delivery by BSI or audit outcome please notify;

GM Technical & Operations ANZ
Email: technical.anz@bsigroup.com
Phone: 02 8877 7100

10 Normative Reference

10.1 Clarification of requirements for the application of ISO 55001

The normative requirements provided in this section refers to specific clauses, or parts of clauses of ISO 55002 and ISO 55000 which are indispensable for the consistent application of ISO 55001.

The term “should” is used in this section to indicate that your organisation shall fully consider the potential application of these clauses and demonstrate to BSI that this section has been fully considered for adoption, where considered applicable.

10.2 Table 1 - Clarification of requirements for the application of ISO 55001

Clauses of ISO 55001	Clauses of ISO 55002	Clauses, or parts of clauses of ISO 55000 and ISO 55002 included as normative requirements for the application of ISO 55001
4.1	4.1.1.1	The links between the organizational plan and the SAMP should be two-way, and should be developed through an iterative process. For example, the organizational objectives should not be developed in isolation from the organization’s asset management activities. Asset capability and performance, as well as the outputs from asset management activities (e.g. the asset management plan(s)), are key inputs into establishing realistic and achievable organizational objectives.
	4.1.2.2	To evaluate the organization’s external context, the evaluation should include, but not be limited to issues such as 4.1.2.2, a) to c).
	4.1.2.3	To evaluate the organization’s internal context, the evaluation should include, but not be limited to issues such as 4.1.2.3, a) to o).
4.2	4.2.2	In determining the internal stakeholders that are relevant to the asset management system, the organization should consider the relevance of 4.2.2, a) to c).
	4.2.3	In determining the external stakeholders that are relevant to the asset management system, the organization should consider the relevance of 4.2.3, a) to h).
6.1	6.1	The organization should be able to demonstrate how it has evaluated the effectiveness of the actions that it has taken to manage the risks identified in relation to the organizational objectives and decision- making criteria. Of particular importance are asset-related incidents or emergency situations, for which emergency response planning and business continuity planning for identified risks should be addressed by the asset management system. (ISO 55000, 2.5.3.8)

Clauses of ISO 55001	Clauses of ISO 55002	Clauses, or parts of clauses of ISO 55000 and ISO 55002 included as normative requirements for the application of ISO 55001
6.2.2	6.2.2.2	When developing or reviewing asset management plan(s), the organization should consider 6.2.2.2, a) to g).
7.1	7.1	When determining the resources needed to establish, implement, maintain and continually improve the asset management plan, the organization should consider 7.1, the entire clause.
7.2	7.2.1 7.2.2	When determining the necessary competence of persons, the organization should consider 7.2.1 and 7.2.2, the entire clauses.
8.1	8.1.4	Implementation should involve an iterative process to achieve a balance between cost, risk and performance, to resolve conflicts between what is planned and what can be achieved, while taking into account the constraints faced by the organization.
8.2	8.2.1 8.2.2	The management of the risks associated with changes should include a review of the consequences associated with both planned and unplanned changes and include taking the necessary actions to mitigate any foreseen adverse effects. Changes that should be considered include 8.2.2, a) to h).
9.1	9.1.2.1	The organization should conduct evaluations of its assets and asset management activity in order to ensure their continuing suitability, adequacy and effectiveness.
9.3	9.3.1	Top management should review the organization's assets, asset management system and asset management activity, as well as the operation of its policy, objectives and plans, at planned intervals, to ensure their suitability, adequacy and effectiveness.
10.1	10.1.2	The organization should establish, implement and maintain processes (and their associated procedures) for the investigation of asset-related nonconformities and incidents. In doing so the organization should consider clause 10.1.2.
	10.1.3	The organization should establish, implement and maintain processes for implementing corrective actions. In doing so the organization should consider clause 10.1.3.
10.3	10.3.1	In considering opportunities for improvement, the organization should consider clause 10.3.1.

11 Asset Management Assessment Report Content

Executive Summary

The Executive Summary should be no more than 2-3 pages in length. It should be balanced in providing commentary on exceptionally good processes and practices as much as on non-compliances and the need for improvement.

Key items that should be addressed are noted below, but this list should not be considered exhaustive. A key function of the audit is to provide assurance to Top Management (both those who provide 'governance' or oversight, as well as those who provide explicit direction and control at the highest level) that the Asset Management System, being in conformance with the Strategic Asset Management Plan and the requirements of ISO 55001.

The items identified below are fundamental to Top Management being adequately informed in their leadership, decision making and performance management as part of the asset management system:

- System performance
- Information management
- Decision making and deviation of value
- Top management's fulfilment of specified requirements and effectiveness of meeting obligations
- Strengths of the system
- Situations with negative impact
- Any other significant findings that are relevant to the audit conclusion – positive or negative
- Recommendation/formal audit conclusion

Audit Findings

The audit findings will be documented in the eReport under the relevant process headings, as determined by the auditor. The audit findings must take into consideration the following elements of the Asset Management System under the relevant process headings:

- Changes since the last audit
- Adequacy of the scope
- Stakeholder engagement methodology and effectiveness, including complaints handling
- Risk management methodology, integrity, reliability and reporting result to top management
- Assessment of compliance with legal, statutory, regulatory and other requirements, and communication of these requirements throughout the organisation
- Asset related incidents or potential situations for emergency response planning or business continuity planning
- Internal audits & Management review
- Opportunities for continual improvement
- Use of the BSI logo and trademarks and Sampling