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in progress



PP168

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Management Systems - Certification Guidebook

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1 Management Systems Certification Guidebook

This certification guidebook is designed to assist your organization on the requirements for certification to Management Systems Certification and specifically Quality Management Systems (ISO 9001), Environmental Management Systems (ISO 14001), Safety Management Systems (ISO 45001). This guidebook also applies to management of other accredited Management System schemes however specific scheme requirements take precedence over generic requirements of this guidebook.

2 Accreditation Status

Certification to these schemes is accredited.

BSI holds accreditation for these standards with JAS-ANZ and ANAB as per Table 1.

Table 1: Accredited Bodies by Scheme

Scheme	JAS-ANZ	ANAB
ISO 9001	Yes	Yes
ISO 14001	Yes	Yes
ISO 45001	Yes	Yes
ISO 27001	Yes	Yes
ISO 50001	No	Yes
ISO 55001	Yes	No

3 The Certification Process

The following section outlines the steps that apply during the BSI certification process for Management Systems schemes.

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

3.1 Initial Inquiry

BSI welcomes enquiries from organisations that are interested in one or more of our certification programmes. You can express your interest either verbally or in writing, and our Business

Development team will work with you to understand your certification requirements and how BSI can best support your organisation in achieving them.

Where requested, and upon receipt of a Request for Quotation, BSI will prepare a tailored proposal aligned to your organisation's specific needs. To enable us to provide an accurate and appropriate quotation, you will be asked to share some key information about your organisation as part of this process.

3.2 Application for Certification and Assessment

Formal acceptance of BSI's commercial terms and conditions, together with acceptance of this document, will constitute the contract between your organisation and BSI.

Following this, your requirements will be registered in our system, and a Client Manager and Client Services Officer will be assigned to support your certification or assessment journey.

Your Client Services Officer (CSO) will be your primary point of contact and will coordinate and ensure the effective delivery of certification and assessment services to your organisation.

3.3 The Role of the Authorized Representative

The Authorised Representative nominated by your organisation is the primary point of contact with BSI for all certification-related matters.

This person does not need to manage the system directly but must have sufficient authority to discuss and agree on certification matters.

3.4 Client Contact

As soon as practicable after receipt of your signed application or accepted proposal, a BSI Client Manager or Client Services Officer will contact your organisation.

At this stage, the Client Services Officer will work to establish a strong working relationship with your organisation and confirm your certification requirements. This will include discussing the applicable certification or assessment services, relevant standards or codes of practice, locations, and the scope of certification.

If you are working with a consultant, it is often beneficial for them to be included in these discussions to support effective communication and alignment.

3.5 Gap Analysis

A Gap Analysis is a valuable tool for assessing the current level of system implementation, particularly for organisations that are in the early stages of developing a new management system.

This one-off assessment identifies any gaps against the requirements of the relevant Standard. Following the Gap Analysis, you will receive a report outlining the identified gaps, along with recommended next steps to support your certification journey.

The outcomes of the Gap Analysis are independent and are not directly linked to any subsequent certification audits.

3.6 Preliminary Assessment Audit (Stage 1 Audit)

To achieve certification to a management system standard, your organisation is required to complete an initial (Stage 1) audit followed by a certification (Stage 2) audit. The purpose of the Stage 1 audit is to assess your organisation's readiness for certification.

The Stage 1 audit is conducted by a qualified assessor and is typically carried out at your premises. For organisations with multiple sites, it is not necessary for all locations to be included at this stage.

During the Stage 1 audit, BSI will review your management system documentation, including policies, procedures, and other relevant supporting materials. This provides your organisation with the opportunity to demonstrate that the documentation required by the applicable standard has been established, is appropriately controlled, and is being maintained and updated as required.

Following the audit, your organisation will receive a written report outlining your readiness for the Stage 2 (Certification) audit. Any areas of concern identified during the Stage 1 audit must be satisfactorily addressed prior to proceeding to the certification audit.

Based on your system and documented processes, a plan for the Stage 2 audit will then be developed to ensure the audit team can effectively assess how your organisation operates.

Where a Gap Analysis has not been conducted, the Stage 1 audit may also be used by BSI to confirm the audit duration specified in your application or proposal and, if necessary, make adjustments.

3.7 Certification Audit (Stage 2 Audit)

The purpose of the Stage 2 (Certification) Audit is to determine whether your organisation's management system has been effectively implemented and complies with the requirements of the relevant standard. This is achieved by reviewing actual practices, documentation, and records, and assessing them against your organisation's policies and procedures.

The audit process is designed to confirm that your documented systems are understood by your organization and are being consistently and effectively applied in practice.

Audit teams are led by qualified and experienced auditors (Client Managers). Where appropriate, the team may also include witness auditors, observers, and/or technical specialists who provide additional expertise in specific areas relevant to the audit. These specialists bring current, specialised knowledge to ensure the audit is practical, relevant, and aligned to your business activities.

When technical specialists are engaged, BSI ensures that your organisation's commercial confidentiality is protected at all times. Your organisation also retains the right to raise any concerns regarding the participation of a specialist, and, where reasonable, an alternative arrangement will be considered.

3.8 Certification Audit Report

At the conclusion of the audit, the audit team will prepare a written report outlining the audit findings. The audit team leader will present a summary of these findings to your organization during the exit meeting.

The audit findings will include an overall assessment of your management system's compliance with the requirements of the applicable standard(s).

The audit report will typically include:

- An executive summary outlining the overall conclusions on the effectiveness of your management system
- Details of any nonconformances, including their classification against relevant clauses of the standard(s)
- Evidence supporting conformance and non-conformance
- Opportunities for continual improvement, positive findings and areas of good practice
- Details of the audit activities, including time allocation and participants

Any nonconformances identified will be discussed with your team during the audit and formally presented at the exit meeting. These are categorised as Major, Minor, or Opportunities for Improvement.

If there is anything in the report that requires clarification, you are encouraged to contact your BSI Client Manager.

It is the responsibility of your organisation to address all identified nonconformances within the agreed timeframe. Failure to do so may result in suspension or withdrawal of certification.

3.9 Non-Conformances and Classification

All major nonconformances must be fully addressed and closed prior to the recommendation of certification.

Audit findings identified during certification activities are classified as follows:

Major Nonconformances

Major nonconformances indicate a breakdown in the effectiveness or integrity of the management system. These issues are considered significant and must be rectified. Major nonconformance needs to be closed or downgraded to a minor non-conformance before certification can be granted.

A corrective action plan (CAP), including correction, root cause analysis, and proposed long-term actions, must be submitted within two (2) weeks of identification for review and acceptance by the Client Manager. This needs to be submitted via the BSI Connect Portal.

Depending on the nature of the major nonconformance, major nonconformance closeout will be verified onsite or remotely using ICT.

Note: The BSI Client Manager may request that the corrective action plan (CAP) be submitted for review earlier than the standard two-week timeframe where certification expiry dates are approaching.

Minor Nonconformances

Minor nonconformances represent isolated instances of non-compliance that do not compromise the overall integrity of the management system or the products and services provided. A corrective action plan (CAP), including correction, root cause analysis, and proposed long-term actions, must be submitted within two (2) weeks of identification for review and acceptance by the Client Manager. This needs to be submitted via the BSI Connect Portal.

Note: The BSI Client Manager may request that the corrective action plan (CAP) be submitted for review earlier than the standard two-week timeframe where certification expiry dates are approaching.

Opportunities for Improvement

Opportunities for Improvement (OFIs) are observations that may include suggestions, areas of good practice, or considerations for future development. While formal corrective action is not required, organisations are encouraged to review and consider these as part of their ongoing continual improvement process.

3.10 Certification Decision

Once the required corrective actions have been completed (as applicable), the audit findings and recommendations will undergo an internal review process.

Certification will be granted only after this independent review has been successfully completed.

3.11 Certificates

Once your organisation has achieved certification, BSI will issue a certificate confirming that your organisation complies with the relevant standard(s). The certificate will include key details such as your certification number, the applicable standard(s), the certification date, expiry date, and the scope of certification. It is recommended that the certificate is displayed in a location visible to customers and prospective clients.

When providing copies of the certificate or referencing it in tenders or communications with existing or prospective customers, please ensure the full certificate is shared. This helps ensure that the full extent of the activities and services covered by the certification is clearly understood.

Incorrect or misleading use of the certificate may result in customers being misinformed about the extent of your organisation's certification.

To maintain the accuracy and validity of certification, organisations must promptly notify BSI of any changes, including updates to address, ownership, key management personnel, management system changes, or operational capabilities. Failure to do so may impact your certification status.

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

3.12 Scope of Certification

The scope of certification clearly defines the extent of your organisation's certified activities and includes:

- The names and addresses of all locations covered by the certification

- The relevant standard(s) to which certification has been granted

- A description of the activities, products, and services (capability statement) included within the scope at each location

- Any exclusions from the scope of certification

It is the responsibility of your organisation to notify BSI promptly of any changes that may affect the scope of certification. Notifications should not be delayed until the next scheduled audit. Failure to notify BSI in a timely manner may affect your certification status.

3.13 Refusal of Certification

If your organisation does not meet the requirements of the applicable standard, BSI may decline to grant certification. Any such decision, including the reasons for refusal, will be communicated to your organisation in writing.

3.14 Surveillance Audits

Certification is maintained through an ongoing audit cycle, typically spanning three (3) years. This cycle consists of two surveillance audits, conducted annually, followed by a recertification audit. All audits within the cycle must be completed prior to certificate expiry to enable continued certification.

To maintain certification, BSI conducts surveillance audits at a minimum of 12-month intervals. In some cases, more frequent assessments (e.g. every 4, 6, or 9 months) may be agreed based on your organisation's needs. The first surveillance audit must take place within ten (10) months of the initial certification audit.

3.15 Reassessment/Recertification Audits

Certification remains valid for a three-year period, subject to satisfactory ongoing compliance. A recertification audit must be completed within this cycle and should be scheduled at least three (3) months prior to the certificate expiry date. Extensions to certification or expiry dates are not permitted. Failure to complete the recertification audit within the required timeframe will result in certification lapsing.

3.16 Suspension or Refusal of Certification

Where certification is suspended or refused, your organisation must, for the duration of the suspension or refusal:

- Cease all advertising or promotional claims related to certification
- Remove certificates and scope documents from public display
- Stop using certification marks on stationery, communications, packaging, or other materials

Your organisation must confirm in writing to BSI that these actions have been completed.

BSI will provide written guidance on the actions required to reinstate certification. During any period of suspension, all applicable certification fees remain payable.

3.17 Cancellation of Certificate

If certification is withdrawn, your organisation must immediately:

- Cease all promotional or advertising references to certification
- Stop using certification marks in any form
- Return all certification documents to BSI and settle any outstanding fees

3.18 Variations to Certification

Your organisation must notify BSI of any significant changes that may affect certification. These may include, but are not limited to:

- Changes to the scope of products, services, or activities
- Major nonconformances
- Voluntary withdrawal from the certification scheme
- Changes to ownership or legal entity
- Changes to management, authorised representatives, or key contacts
- Changes to the organisation's name, trading name, or ABN
- Changes to site locations or addresses
- Changes in employee numbers across all sites and shifts
- Changes to billing details

BSI will assess the significance of these changes and determine whether an additional audit is required or whether the changes can be reviewed at the next scheduled audit.

3.19 Reduction in Scope of Certification

Where the scope of certification is reduced, BSI will issue updated certification documents. Your organisation is required to:

- Return/destroy all superseded certificates
- Update the use of certification marks to reflect the revised scope
- Ensure all promotional and marketing materials are aligned with the reduced scope
- Pay any applicable fees associated with the change

4 Use of the BSI Certification Mark

While your organisation maintains certification with BSI, you are entitled to use the applicable BSI Mark of Trust in accordance with BSI's guidelines.

The mark can be accessed via the BSI Connect Portal. Use of the mark must comply with the applicable conditions and usage guidelines.

5 Use of Accreditation Symbols

Where applicable, organisations may use the accreditation symbols. Use of the mark must comply with the applicable conditions and usage guidelines in the BSI Connect Portal.

6 Confidentiality

BSI will manage and protect all information in accordance with applicable privacy legislation in Australia and New Zealand.

7 Ongoing Obligations

Following certification, your organisation must continue to meet a number of obligations to maintain certification, including:

- Maintaining ongoing compliance with applicable standards
- Adhering to BSI's commercial terms and conditions
- Conducting regular internal reviews and documenting outcomes and corrective actions
- Notifying BSI of any significant changes to structure, operations, or management systems
- Informing BSI of any litigation or significant events that may affect certification
- Paying all applicable fees within the required timeframes
- Reporting serious incidents (e.g. fatalities, major injuries, regulatory action, data breaches) without delay (where applicable)
- Providing information on relevant third-party findings during surveillance or recertification audits

7.1 Customer Complaints Management

Your organisation must maintain records of all complaints and make them available to BSI upon request.

You are also required to demonstrate that complaints have been investigated and addressed, with appropriate corrective actions documented.

7.2 Certification Agreement

Your organisation must comply with BSI's Commercial Terms and Conditions, this document, and any additional guidance provided. Together, these form part of the Certification Agreement.

Compliance with certification requirements must be maintained at all times, and any updates or changes communicated by BSI must be implemented within the specified timeframe.

7.3 Assessment Scheduling

Your organisation must ensure that appropriate arrangements are in place to allow BSI to conduct audits and surveillance activities. This includes providing access to facilities, equipment, personnel, project sites and subcontractors where required.

7.4 Misleading Statements

Certification must not be used in a misleading or inappropriate manner that could bring BSI into disrepute.

This includes the use of certification marks or claims in advertising, websites, packaging, or communications. If there is any uncertainty, you should seek guidance from BSI before making such claims.

Where certification documents are provided, they must be reproduced in full to avoid any misunderstanding of the scope of certification.

7.5 Observers

BSI may, from time to time, require an observer to attend audits for training or assessment purposes. Your organization is required to allow this as part of the certification process.

Observers do not take an active role in the audit. BSI will ensure their involvement is limited, and your organization will be advised in advance.

Failure to allow observers where required may impact your certification status.

8 Feedback to BSI

For complaints or appeals, please send an email to technical.anz@bsigroup.com

8.1 Complaints

BSI takes all complaints seriously and will investigate and respond appropriately. This includes complaints related to both BSI's services and the operation of your management system.

BSI may also investigate complaints received from your customers, and your organization must provide reasonable access to relevant premises and records for this purpose.

8.2 Appeals

If you disagree with an audit outcome or certification decision (including refusal, suspension, cancellation, or scope reduction), you may lodge an appeal. Appeals will be managed in accordance with the BSI Appeals Procedure. Appeals relating to audit outcomes must be submitted within 21 days of the closing meeting.

Revision History

Rev No	Revision Date	Author	Approved by	Page No	Sec. No	Brief Description of Change
1	1 September 2014	Stephanie Vincent	Stephanie Vincent			New – Transfer of NCSI Terminology to BSI
2	13 May 2019	Durba Bhattacharya	Alison Lord			Completely rewritten
3	15 May 2026	Durba Bhattacharya				Completely rewritten

Related Documents

Document Number	Title