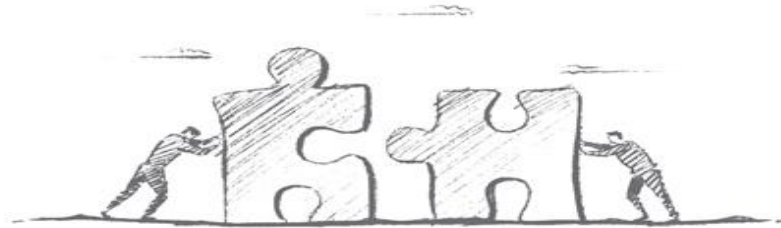




*Helping businesses to reduce risk
and increase revenue*



Information Pack for certification and assessment services

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www.jas-anz.com.au/register

Introduction

Thank you for seeking information on our services.

This Information Pack describes the certification services offered by Certex International Pty. Ltd, and should be read in conjunction with the Proposal.

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Contact Us

Please feel free to call us if you would like assistance or have any questions, on (03) 9555 3855, or email to info@certex.com.au. There is more information on our website at www.certex.com.au.

About Certex

Our Company

- Certex International is a wholly Australian owned business
- We are based in Melbourne, with auditors located around Australia
- We have been providing auditing services to businesses across Australia and New Zealand since 2004
- Certex is a niche operator that chooses to specialise in selected industries - professional services, construction and manufacturing.

Our Philosophy

- We are passionate about managing quality, safety and environmental factors in business
- Prefer to think not of "management systems" but of "systems for managing your business"
- Apply the Process Audit approach
- Approach all audits as an opportunity to grow and improve for all parties
- Ethical, transparent and professional in all behaviours
- Believe that to be certified is to be deserving of that level of recognition - it is more than just a certificate.

Benefits of working with Certex

The **right** auditor for your business

- We carefully match the skills and experience of our auditors with your business.

Understand your business

- We don't try to be all things to all people. Instead, we specialise in selected industries so we know your business, terminology, processes, issues and requirements.

Reliable business partner

- We seek to develop strong and enduring partnerships with our clients.

Accessible and approachable

- Our friendly team know all our clients - our office staff have more than 25 collective years with Certex.

Useful reports and reliable audit findings

- Audit reports are clear and relevant; decisions and non-conformances are relevant and justified, and each report goes through a two-stage checking and approval process before release.

Support and tools

- Although we can't consult and advise, we do offer you as much support as we can through online webinars, checklists, gap analysis options, newsletters and industry updates.

Easy Payment Options

- You can choose to make lump sum payments at the time of each audit, or to smooth payments out into monthly instalments.

Assessment Services

We offer three levels of assessments:

1. Business Verification Review – high level check
2. iSuite Risk Management Program – short onsite risk assessments
3. Certification Services – audits and ongoing certification program with certificates.

1 Business Compliance Review (BCR)

This is a one-hour telephone interview to check the basic requirements for an Australian business are in place, such as business registration, mandatory policies, safety practices and employee management practices. It gives an excellent indication of compliance issues that may exist in your business

2 iSuite Risk Management Program

The iSuite assessments are a 1-2 hour risk assessments against legislative requirements and industry best practice. Unlike the BCR, these assessments are conducted onsite/remote and are evidenced based, that is both documents and records of practices need to be sighted. These assessments focus on the areas where compliance is commonly problematic. They also mirror the areas in the Talent Engagement Standard, so these assessments can progress to certification. More details are on the next page.



3 Certification Services

Certex is accredited with JAS-ANZ for Quality, OHS and Environmental Management Standards. In addition, we are currently seeking accreditation in Information Security Management Systems, 27001.



Other standards

In addition, we offer certification in other standards:

- Talent Engagement Standard TES:2018
- Collaborative Business Relationship Management Systems ISO 44001
- Medical Locum Agency Services requirements set by NSW Health and HealthServices Victoria (HSV)
- Massage & Myotherapy Standard



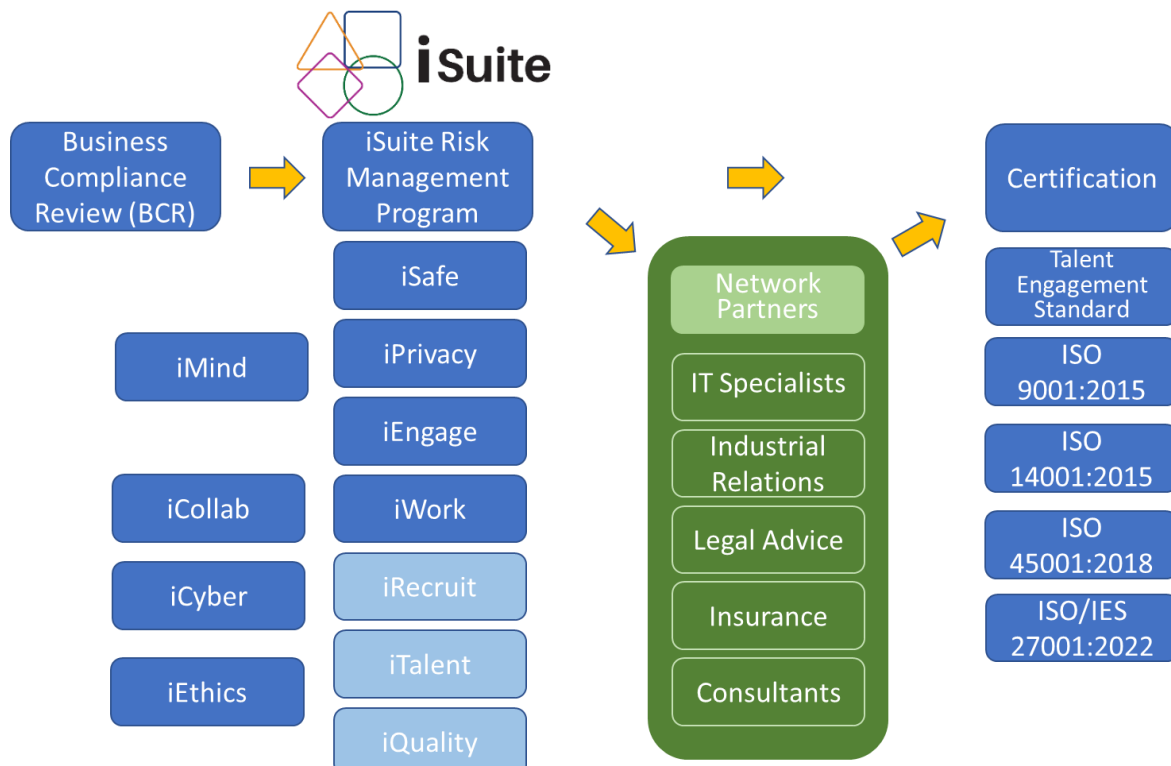
iSuite Risk Management Program

This Program addresses the key areas of risk and compliance in any business. Built to match the problem areas that are important in today’s market, the iSuite assessments will strengthen your business and can lead to certification in the Talent Engagement Standard.

The purpose of iSuite is to guide you through a series of risk assessments which identify any gaps from legislation or from Standards requirements. You can then take steps to address and close these gaps or weaknesses. Ultimately your business should be able to demonstrate best practice, and should be well prepared for certification if that is what you choose ultimately to do.

At all stages of the iSuite Program you can choose which assessment you need and when – one, two or three in one day or one every two weeks. Usually, we start with the Business Compliance Review (BCR), which can be useful to prioritise areas. Or, you can plan out your own program of what assessments and when. As areas of risk are raised then we can discuss how you can best proceed: correct them yourself; undertake training; or obtain external support. If you need we can suggest specialists from our **Network Partners** (current list available on request).

When you are ready you may choose certification in a recognised management standard so you can demonstrate to the market that you meet best practice. The duration of cost of certification in the Standards you choose may be reduced based on the findings and your responses to relevant the risk assessments you have completed.



The iSuite Risk Assessment Program takes the angst and uncertainty out of checking for compliance and seeking certification. You can choose to pick and pay as you go, or take on the entire package and make monthly prepayments. Details on each assessment are on the following pages.

iSuite Risk Assessment Areas

i Collab

Collaboration is today's buzz word. It is a path to generating an outcome that is greater than the sum of its parts, so is of growing interest to many tenderers and sectors including defence. However, partnering with competitors and with new relationships can be challenging. This assessment introduces you to the key principles and approaches of collaboration so you know how to respond when the opportunity arises.

i Cyber

We all think it won't happen to us but the reality is that It is not a matter of *if*, but *when* your data will be attacked. Before you contemplate the more comprehensive security controls such DISP, 27001, Essential 8 and others, start with a high-level picture of what you need to protect and what controls are already in place.

i Engage

A major topic today - across politics, media, trade unions, regulators and business forums – is how to best engage and work with employees and contractors. That new legislation is emerging and existing legislation is being re-interpreted doesn't help, but the fact remains there are a massive number of historical practices that are in place for convenience rather than compliance, and you could be found out. Do not risk getting this wrong.

i Ethics

Business ethics are all too often assumed, but there are many examples where the assumption was misplaced. Conflicts of interest, bribery and inappropriate influence, using unsustainable resources, sourcing through practices of modern slavery. Some of these areas fall under legislation; wise management will clarify and monitor responsibilities across all areas.

i Mind

A part of WHS responsibilities which has always been there but which only recently has been raised as a critical workplace concern - psychosocial hazards for mental health. Likely, very few workplaces have this covered, but there are practical steps you can take to mitigate this damaging and potentially long-term risk to our workers.

i Privacy

Privacy practices, security controls and responding appropriately date breaches are imperatives for all businesses that use electronic systems and retain personal data. Examples of data breaches, both intentional and simple errors, are easy to find. The consequences to both the individuals and to your business reputation can be significant.

i Quality

An effective quality management system provides clarity and controls over the main activities in any business. This assessment is invaluable as a high-level check that your business meets the main requirements for certification in the Talent Engagement Standard or ISO AS/NZS 9001:2016.



Effective recruitment practices can be the making or breaking of businesses - a bad hire can have considerable and long-term impact. Your process should be thorough, credible, non-discriminatory, and consistent right through from the initial advertisement to the onboarding.



All workers deserve a safe workplace, and making assumptions about hazards is fraught with problems. Having an effective and well documented health and safety approach can reduce the incident of injuries. Further, labour hire agencies share a duty of care with the host client, so you are required to show how you both co-operate to protect your workers at the client site.



People are the most important resource of any business. Managing and retaining workforce capabilities in an organisation is critical for success. How does your business identify your HR needs for now, for the future, and how do retain your best people across all levels in your organisation?



It is a fundamental requirement that all workers in Australia and New Zealand have the right to work. With numerous scandals hitting the news over the past few years, it's crucial that businesses ensure they can provide evidence if questioned. Anyone could lodge a "dob-in" to Migration and spot audits could be conducted at any time.

Certification Process

Initial Certification Audits

The certification audit will consist of an initial review to confirm the audit approach and identify any areas which need attention. The second stage is the observation audit after which the decision to certify your organisation is made. Regular surveillance audits will be conducted during the period of certification to ensure the management system is maintained and is effective.

Stage 1 - Scope and Readiness Review

A short assessment to check your readiness to proceed to Stage 2. If necessary, Stage 1 can be conducted more than once. The report will identify any areas which need attention. The audit will also confirm the factors on which the certification program is based, or may recommend changes to the plan for the Stage 2 audit, including whether additional sites should be visited, the number and frequency of audits, audit durations and fees.

Stage 2 - Observation Audit

In this audit we will come onsite to evaluate the implementation and effectiveness of your management system. We conduct interviews, observe your processes and review records. You receive a final report which includes our observations on the level of conformity of your system to the requirements of the standard, and any non-conformities or areas of improvement to be actioned.

Surveillance Audits

The purpose of surveillance audits is to monitor ongoing compliance against the standards. They provide an opportunity to identify any opportunities for improvement and areas where further management effort is required.

Surveillance audits are to be held at a minimum of once every 12 months. On occasions it is beneficial to conduct audits more frequently to ensure the benefits of an effective management system are fully captured and maintained. If appropriate we may discuss whether or not an additional audit is warranted. We would consider the maturity and level of effectiveness of your management system, and the incidence and severity of any non-conformances.

Re-certification Audits

At the end of each triennial (three year period), a re-certification audit is conducted to extend your certification for a further three years.

Approval

Recommendation for certification will be submitted to the Certification Manager for approval, then to the Certex Certification Panel to be ratified. Once approved your business will be registered as certified for three years, subject to satisfactory findings from surveillance audits.

Registration

Your certification will be listed on both the Certex and the JAS-ANZ websites. You will receive certificates and may display the certification logos.

Audit Program

Your audit program has been developed on certain factors. If these change your audit program may change.

Estimate of Fees

The structure and fees of your certification program are based on the type and duration of each audit. Generally, there are three types of audits - initial certification, surveillance and re-certification audits. These are described on the following pages.

The duration of the audit depends on factors such as the size and number of sites of your organisation, the level of risk and complexity of operations, number of personnel and the types of standards, as well as the level of compliance achieved. If any of these factors change at any time then the number and frequency of audits, audit durations and fees, may need to change.

Temporary Sites

If your services/products are delivered or conducted away from your office, such as at a work site, project site, construction site or client site, then we may need to include a visit to one or more of these sites. Depending on the proximity and size of the sites selected to be visited, additional audit time and fees may apply. This can be determined at the Stage 1 and subsequent audits.

Multiple Sites

If your certification scope covers more than one of your own business locations, such as offices in other regions/states, then we would need to visit at least one other site and possibly more, depending on the total number and types of these sites. This will be discussed with you during the planning of the audit and confirmed at the Stage 1 audit.

You may request separate certificates for different sites or trading names (fees apply), which can be useful if they operate under separate brands.

This proposal is submitted subject to confirmation that your organisation meets all requirements for multi-site sampling as set out in the IAF Mandatory Document. A number of requirements must be met in order for the business to be eligible for a sampling approach. Also, in some situations sampling may be suitable but the application of sampling may be restricted. This will need to be discussed with you before we can confirm the approach and fees set out above. If sampling is appropriate you will receive an audit plan prior to the assessment and subsequent surveillance audits which defines the sampling requirements. This will help you to prepare for the audits.

Effective Number of Personnel

This proposal is submitted subject to confirmation of the Effective Number of Personnel. This Number has been calculated based on the information you provided on staff numbers and their roles, and may be subject to adjustment based on findings in the stage 1 and subsequent audits.

Audits against 4801/45001 OHS

This proposal is submitted subject to confirmation of the level of complexity of OHS and the number of people included in the scope of this certification.

Audits against 14001 EMS

This proposal is submitted subject to confirmation of the level of complexity and risk of the environmental aspects of activities included in the scope of this certification.

Audits of an Integrated Management System

This proposal is submitted subject to confirmation of the level of integration of the management systems and may be subject to adjustment based on findings in the stage 1 audit and subsequent audits.

Keep us informed

Please keep us informed of any significant changes to your organisation, including change of addresses, organisation restructure and introduction of significant new activities. Failure to do so may render your certification invalid, or incur cancellation fees if the audit needs to be postponed and restructured.

Payment Options

Certex offers two different ways to pay for certification. We understand it can be an expensive process, so we can offer flexibility in payment arrangements – lump sum or monthly prepayments.

Lum Sum Payment

The deposit payable on signing up to certification services of the amount of the Stage 1 audit fee. This is non-refundable, and payable at the time of accepting this proposal. A further deposit would be payable if Stage 1 has not been booked within 12 months after the date of acceptance of this proposal.

The balance of the certification fees, that is, the License Fee and Stage 2 audit fee, is payable once each audit report has been completed.

Thereafter, audit fees for surveillance and other audits is payable once each audit report has been completed.

At any time you can convert to monthly pre-payments (See below).

Monthly Prepayments

Fees can be made in monthly installments. This makes budgeting so much easier.

The pre-payment program can be implemented at any time, and is simply the fees estimated for the next audit paid in equal installments over the months leading up to the audit.

Any fees unpaid at the time of the audit must be paid up in full before the audit can be completed or the certificate issued.

We can generate monthly invoices, or if you choose to set up a direct debit arrangement, we can issue you a statement each month.

Policies

Summarises the policies under which Certex provides and manages certification services. More detail is available through the Certex extranet on OneHub.

Impartiality Statement

Certex will not knowingly allow anyone to perform a role in its certification activities where a potential conflict of interest exists or where any circumstances exist which may impact on impartiality.

Certex has identified and analysed areas of potential conflict of interest which are monitored on all audits. Auditors attest to their status for potential conflict of interest with each and every audit, and where a relationship between a client and Certex or a client and an Auditor shows an unacceptable threat to impartiality then certification shall not proceed.

Potential threats to impartiality may be raised with the Certex Advisory Board, which will review the conflict and determine how to proceed. Refer Impartiality, Conflict of Interest Policies)

Complaints Process

Certex International is committed to improving services and welcomes any comments or complaints that our Clients may wish to offer in relation to the services we provide. Such feedback helps us to identify the things that we do well or need to improve.

We recognise that, handled well, a complaint provides us an opportunity to strengthen our relationships with our Clients. It provides us the opportunity to understand their circumstances and to explore ways to improve our service to them in the future.

Initially you may contact us by telephone, email or through the feedback section of our website with your complaint. We will respond to your concerns quickly and in accordance with the *Certex Complaints Management Procedure*. If we cannot resolve your concerns immediately we would ask you to formally lodge your complaint in writing. We will acknowledge this and keep you informed of our actions and progress. Refer Complaints and Feedback Policy.

Appeals Process

Whilst Certex strives to ensure its operations are fully transparent and certification decisions are fair and reasonable, there may nonetheless be situations where a Client wishes to appeal a decision made by Certex.

All appeals must be lodged in writing. We will respond to all requests quickly and in accordance with the *Certex Appeals Policy*. We will respond to your appeal by reviewing the decision and information on which the original decision was made. If you are still not satisfied with the result the matter will be raised with the Certex Advisory Board. You may also lodge an appeal directly with the Certex Advisory Board by emailing to this address board@certex.com.au. The Board will review the situation and decide an appropriate resolution. Refer Appeals Policy.

Suspensions and Withdrawals of Certification

There are no fees or charges imposed by Certex where a client decides to withdraw from certification with Certex.

Certex may suspend certification where the management system persistently or seriously fails to meet certification requirements, where the business does not allow audits to be conducted at the required frequencies, or if voluntarily requested. In the situation of an impending suspension Certex will issue a series of warning notices; if the suspension is not resolved then Certex may withdraw certification. Refer Suspension and Withdrawal Policy.

Travel Expenses

Travel and accommodation expenses are charged at cost to the client. We recognise many of our clients are small businesses for whom travel can be a significant cost. Accordingly, we always seek to keep travel expenses as low as possible. We will usually discuss arrangements with you prior to making any bookings.

Certex generally does not charge for auditor travel time; however there are some situations where it is appropriate to do so. Factors we consider include distance of the audit site from the CBD of the nearest capital city, travel time between sites, whether or not overnight accommodation is provided etc. Concerns for the safety of the auditor require us to check that where travel time exceeds about 4 hours in a day, that overnight accommodation is considered. Refer Travel Arrangements Policy.

Other Policies

The full versions of the above policies are available on request, and are always available through log-in to Onehub, in the **1. Certex Certification Program/Certex Policies** folder. The list of policies and documents relating to the Certex certification program available through Onehub are:

1. 02 Anti Bribery and Corruption Policy
2. 02 Appeals Policy
3. 02 Audit Cancellation Policy
4. 02 Complaints and Feedback Policy
5. 02 Confidentiality Policy
6. 02 Conflict of Interest Policy
7. 02 Impartiality Policy
8. 04 Information for Remote Audits
9. 04 Suspension and Withdrawal Policy
10. 06 EEO Anti-Discrimination Policy
11. 07 Deposit LOU Proposal Validity
12. 07 Travel Arrangements Policy
13. 10 Privacy Collection Notice
14. Certex Pack – Application Form
15. Certex Pack – Information on Certex Services (this document)
16. Certex Pack – Terms and Conditions
17. Certex Pack – Use of Certification Mark

List of Services and Fees

Certex offers the following services. Please contact us for more information.

Certification Services and Gap Analysis

Certex is accredited with JAS-ANZ to issue certificates in the following:

- Quality management system ISO 9001
- OHS management system ISO 4801, ISO 45001
- Environmental management ISO 14001

Non-JAS-ANZ certifications:

- Collaborative Business Relationship ISO 44001
- Information Security management systems ISO 27001 (JAS-ANZ accreditation pending)
- Talent Engagement Standard
- Placement of medical locums into NSW Health and Health Share Victoria
- VEDN (Victorian Electrical Distribution Networks) Civil Works

Fees for a one-day gap analysis \$2500 (*plus GST where relevant. See note below). Fees for certification services vary according to factors including the size, risk and complexity of the business, and are determined for each application. A separate proposal will be provided.

Note that due to the potential for conflict of interest some of the following services are not available to an organisation certified with Certex.

Internal Audits

Periodic internal audits against certification requirements, business processes and compliance requirements. Fees vary according to the approach and duration required.

Advisory Board

Dianne Gibert is qualified to act as the Chair or a Member of Advisory Boards – a powerful strategic improvement option. Call to discuss.

Business Compliance Review (BCR)

One hour telephone discussion on key compliance requirements. \$650

iSuite Risk Management

One to two hour risk assessments:

1. iCollab – are you ready for collaborating in business relationships? \$610
2. iCyber – high level review of IT and data security. \$610
3. iEngage – employee and/or contractor arrangements and remuneration. \$1,100
4. iEthics – modern slavery, conflict of interest and other ethical factors \$610
5. iPrivacy – management of privacy and data controls \$830
6. iQuality – high level assessment of quality management. \$830
7. iRecruit –of recruitment process against best practice. \$610
8. iSafe – management of workplace health and safety. \$610
9. iMind – psychosocial and mental health management in the workplace. \$610
10. iTalent – assessment of staff retention practices. \$610
11. iWork – check right to work management and records. \$610

Package of BCR plus 8 or more assessments selected \$6,900 + GST, or 5% discount on each when BCR plus 3 or more assessments selected.

Labour Hire License Service

Assist to prepare application for a license in Queensland, Victoria and/or the ACT.

Includes check of ASIC records, high-level review of client and worker agreements and the Business Compliance Review.

\$2200 for first application; \$300 for each subsequent application. Business Plan \$830 (optional, limited to LHA requirements).

*Fees stated above do not include GST; such tax will be applied where required..