



## Issue 16: December 2010

Supersedes previous and related Recognition Booklets, as listed on the back page of this document.  
Special Note: This document should be reviewed in its entirety as it contains important Program, Standard or Code of Practice information and obligations. Specific requirements and guidance documents are not included in this document. For more information refer to the NCS International website or as directed by your Client Manager.

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# Certification & Assessment Services Recognition Booklet

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## Includes:

1. Recognition Services: Certification and Assessment including Warranties
2. The Recognition Process
3. Certification Documents
4. Post-Certification Activities
5. Use of Certification Marks
6. Additional Obligations for Certification and Assessment Recognition
7. Trading Terms and Related Conditions including Fees and Charges

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## 1. RECOGNITION SERVICES: CERTIFICATION AND ASSESSMENT INCLUDING WARRANTIES

### General

NCS International (NCSI) is a world leading certification and assessment body which offers a range of recognition services across a variety of management systems, product standards and industry codes of practice.

Our services are based on a practical and helpful approach that supports business improvement and profitability, and provides the customers of NCS International clients, and the community in general, with increased confidence in the quality and performance of NCS International certified organisations. The extensive use of technical specialists drawn from industry, academic bodies, or regulatory bodies ensures that NCS International provides its clients with a comprehensive and relevant recognition service.

Certification by NCS International of management systems or product standards, provides national and international recognition that the system complies with the nominated standard (or code of practice). Ongoing periodic and independent review by NCS International will assist your organisation as it strives to improve business performance.

For more information regarding the full suite of programs and services including NCSI newsletters, case-studies and fact sheets please refer to our website [www.ncsi.com.au](http://www.ncsi.com.au).

### Warranties

The services provided by NCS International (and or its subsidiaries, related bodies and/or agents) are general in nature and are indicative only. Whilst conducting certification audits or assessments of products, processes or services, NCSI relies upon a sampling regime including the provision or collection of records or other evidence and it should be recognised that variations will occur from those observed, reviewed and assessed at and between audits and assessments.

The objective of NCSI certification, assessments and related services is to provide stakeholders with an indication of representative compliance only. Stakeholders are at liberty to draw their own conclusions. The extent to which NCSI services (including reports and certificates) are relied upon by stakeholders—which include but are not limited to owners, directors, management, staff, regulators, customers and other interested parties—is not the responsibility of NCS International (or its subsidiaries or agents). For further information, please contact NCSI's Chief Executive Officer.

## 2. THE RECOGNITION PROCESS

The following section outlines the steps that may apply during the NCS International recognition process and are dependant upon the standard or codes of practice selected and the certification program or assessment service pathway. For specific information refer to the publications as listed on our website [www.ncsi.com.au](http://www.ncsi.com.au) or your NCSI proposal.



NCS International reserves the right to provide its clients and those that request quotations with marketing and technical information relating to standards, training and compliance services unless an unsubscribe opt-out request is advised.

## **Initial Inquiry**

NCS International will respond to either verbal or written expressions of interest from organisations interested in one or more of our programs. If your organisation is located near one of NCS International's offices, an advisory visit may be arranged to discuss your recognition requirements and how NCS International can help your organisation achieve them.

NCS International will also, on request and receipt of a Request for Quotation, prepare a proposal tailoring our services to your organisation's needs.

## Allied Services

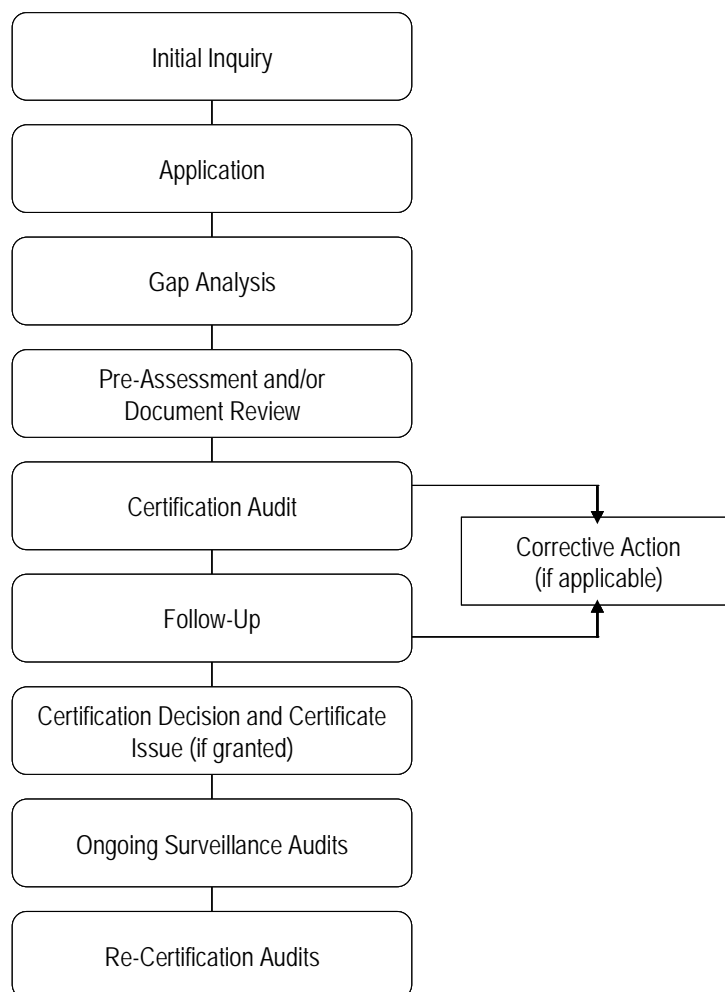
Sale of Standards  
(e.g. ISO 9001)

and

Training Services  
(e.g. Introductory,  
Internal Auditing  
and Lead Auditor  
courses for Quality,  
Safety, Environment and  
Food Management.)

## The NCSI Recognition Process\*

\* For non-certification activities, 'assessment' may substitute for 'certification.' Note that some stages are mandatory, and others are optional, subject to the requirements of accreditation, standards or the codes of practice and/or your NCSI proposal or audit regime. Contact NCSI for clarification of the requirements that are specific to your needs.



## **Application for Certification and Assessment**

Receipt of your organisation's Application form (or authorised acceptance of a valid NCSI proposal), along with the accompanying payment of the non-refundable application fee (or invoicing instructions) together with this document forms the contract between your organisation and NCSI. Your requirements will be entered into our database and a Client Manager will be appointed to look after your certification or assessment requirements. The Client Manager will be your primary point of contact with NCS International and is responsible for ensuring that our certification/assessment services are delivered to your organisation in the most effective manner possible.

## **Client Contact**

As soon as practicable after receipt of your signed application/proposal, an NCSI Client Manager (or nominated representative) will contact your organisation. The Client Manager will seek to establish a working relationship between your organisation and NCS International, and to confirm your recognition requirements in terms of the certification or assessment services, standards or codes of practice, locations, and activities and/or products to be included in the scope of certification.

The Client Manager (or nominated representative) will seek to gain an appreciation of the structure of your organisation and the activities being conducted. In particular the Client Manager will:

- (a) Seek an appreciation of the nature and scope of the organisation's activities, structure and location(s), including any activities for which confirmation is being excluded; and
- (b) Determine the status of system documentation and implementation including organisational policies, objectives and targets.

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

## **Gap Analysis**

A Gap Analysis approach often proves an invaluable tool in determining system implementation, particularly for new systems that are still in the early stages of development. This one-off assessment includes the identification of gaps against the requirement of the nominated Standard or Code of Practice. At the conclusion of the Gap Analysis you will receive a report which highlights any gaps as well as options for next steps on your path to certification. The results of a Gap Analysis are not directly linked to any subsequent Certification Audits.

## **Pre-Assessment Audit**

The purpose of this audit is to determine the status of system implementation and to identify areas of concern for rectification prior to the Certification Audit. Depending upon the standard or code of practice the Pre-Assessment Audit may be mandatory – refer to the Standard, your proposal, or support information on [www.ncsi.com.au](http://www.ncsi.com.au) for more information.

This Pre-Assessment also provides an opportunity for NCS International to verify the audit duration requirements for your organisation and if required vary the durations accordingly.

## **Documentation Review**

Prior to, or conducted as part of the Certification Audit (program dependant), NCS International undertakes a review of your organisation's system documentation, including policy manuals, procedures and other relevant supporting documentation. This review may be combined with or separate to the Pre-Assessment Audit.

This step gives your organisation the opportunity to demonstrate that all documentation required by the relevant standard or code of practice has been prepared, is controlled where necessary, and is monitored and updated as required.

A Document Review report is provided, and outlines any perceived deficiencies in documentation, relevant to the Standard or Code of Practice, as well as any opportunities for improvement. Deficiencies raised in this report must be addressed in a timely manner as advised in the report.

From your documentation, a checklist and plan for the certification audit is prepared, based on your organisation's system and documented procedures. This ensures the audit team is focused on the way your organisation operates when the Certification Audit is performed.

## **Certification Audit**

The purpose of the Certification Audit is to establish whether your organisation's management system has been implemented and complies with the relevant standard or code of practice by examining actual practices, documentation and records and comparing them against the organisation's policies and procedures. The audit process is, effectively, an undertaking to establish that your documented policies and practices are understood by your personnel and have been effectively implemented.

Audit teams will be led by appropriately qualified and experienced auditors and, where required, witness auditors, observers and/or technical specialists acting as advisers to the audit team may also be present. These specialists bring current specialised knowledge of the activities being audited to the audit team and ensure that the audit provides a relevant and practical review of aspects critical to the business. When specialists are used, care is taken to ensure that your commercial confidentiality is not jeopardised. Your organisation has the right to reject any specialist who is not acceptable to your organisation, provided that an alternative may be substituted.

If not conducted at a Pre-Assessment Audit, the Certification Audit provides an opportunity for NCS International to verify the audit durations as specified in your application/proposal and if required, vary the durations accordingly.

## **Audit Report**

At the conclusion of the audit, the audit team will prepare a written report on the audit findings and the audit team leader will present these findings to your organisation's senior management at the exit meeting. The audit findings include a summary of the overall compliance of your system with the requirements of the relevant standard(s) or codes of practice. The final report may be subsequently provided after completion of the Audit.

Specific audit findings are generally categorised as follows, although there may be variations specific to the standards in question:

- *Conditions for certification* (e.g. critical or major) will be defined in your Audit Report. In some circumstances, suspension of certification may be recommended. System deficiencies arising from the absence or total breakdown of part of the management system must be rectified in a timely manner before certification is granted. Refer to Section 6 in this document for more information. In food-related audits this may extend to notification of customers, standard owners and/or health authorities, isolation of product and/or termination of production until the instance is thoroughly investigated and rectified.
- *Minor nonconformities* will be defined in your Audit Report and require corrective action including an implementation time frame prior to certification being granted (program dependant).
- *Observations* are comments on aspects of the management system and may include praise, opportunities for improvement, or comments that may be relevant for the next audit.
- Your NCSI Client Manager will advise you of the specific time within which the Corrective Action should be closed and notified to NCSI. Times vary between programs as do the implications of inaction. Please contact your NCSI Client Manager or website for more information.

## **Certification Decision**

Following confirmation that any necessary corrective actions have been appropriately addressed, (which may involve a chargeable follow up visit by the NCS International auditor/audit team), the findings and recommendations made in the audit report are subject to an internal review process prior to certification being granted.

Once your organisation has achieved the requirements for NCS International certification for compliance with the relevant standard(s), you will be issued with the appropriate certificates and/or scopes of certification. Details of the certification may be made publicly available. Contact NCS International for more information.

## **Refusal of Certification/Recognition**

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

## **Appeals and Complaints**

Appeals against certification decisions made by NCS International, and complaints against the service provided by NCS International, may be raised with your NCSI Client Manager or the relevant Divisional Manager in the first instance.

If you remain dissatisfied, contact the NCSI Technical Manager in writing. Please refer to [www.ncsi.com.au](http://www.ncsi.com.au) for details.

## **Confidentiality**

NCS International operating procedures require that, apart from publishing details of specific certifications and their scope, all information relating to an applicant or a certified organisation be treated as privileged information by NCS International staff, subcontract auditors, technical assessors, witnesses, observers, committee members and Directors. Note however that, NCS International may be required to divulge information to NCS International's accreditation bodies, Standard Owners or approved interested parties. This may extend to customers and/or health authorities where appropriate.

NCSI as an accredited certification body has clear procedures in place, developed over twenty years, to ensure that our Certification Services are provided professionally and impartially.

One aspect of this impartiality is the provision of clear direction that staff including auditors, shall not accept inducements, material gifts, commerce or profit in any way from the audit.

This is addressed in both our internal Staff Guide and our Auditors Code of Conduct which is available publically.

### 3. CERTIFICATION DOCUMENTS

#### Certificate

When your organisation has achieved certification, NCS International will provide you with a *Certificate* as a statement that your organisation has achieved certification to the relevant standard(s) or code(s) of practice. The certificate will include important data such as your organisation's certification number, the standard for which certification has been granted, and the date of certification. The certificate should be displayed 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 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 (see 'scope' below). Incorrect use of the certificate can result in a customer being misled as to the extent of your organisation's certification. Clients are obliged to ensure that NCSI has been formally notified of the latest address, ownership, changes to key management responsibilities, major management system changes and capability information so that the certificate maintains its currency. Failure to do so may compromise your organisation's certification status.

All original certificates remain the property of NCS International Pty Limited and must be returned on request.

#### Scope of Certification

This document (program dependant) may be listed on your certificate and fully details the scope of your organisation's certification in terms of:

- Names and addresses of all locations covered by the certification;
- Achievement of certification to the relevant standard(s) or code(s) of practice;
- The capability statement (range of products, services, and activities) for each location covered by the certification; and
- Any specific exclusions from the scope of certification.

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

## 4. POST-CERTIFICATION ACTIVITIES

### Obligations of Certified Organisations

Following certification, there are a number of managerial responsibilities which your organisation will need to observe to maintain NCS International Pty Limited certification. These include:

- Continued compliance with the relevant systems standard(s) or code(s) of practice;
- Compliance with the NCS International Pty Limited conditions and obligations as specified in this document as well as other guidance documentation that may be specifically provided from time-to-time;
- Conduct of regular internal reviews of your system, with appropriate documentation of such reviews and of any subsequent corrective actions;
- Notification to NCS International of any significant changes in the structure (key responsibilities and management system), ownership and operations of your organisation to enable the impact of such changes on the certified ownership system to be evaluated; and
- Notification to NCS International of any litigation or serious events or matters that relate to the scope of your certification.

### Audit and Review Activities

After certification, NCS International will conduct periodic on site audits of your organisations certified system. The frequency of these audits may vary depending on the confidence held by NCS International in the effectiveness of the systems. An effective and well planned internal audit system, and a responsive corrective action system that targets the underlying causes of problems, are two tools that can be used by organisations to ensure that their system remains effective.

Depending upon the certification standard, audits may be supplemented by a comprehensive recertification audit (up to every three years) in which the full system is reviewed for continued compliance with the relevant standard(s) or code(s) of practice. For specific details contact your client manager or guidance listed on [www.ncsi.com.au](http://www.ncsi.com.au).

Dates, times and durations for visits will be negotiated and agreed with your organisation. When these have been agreed and confirmed, NCS International will have committed resources to conduct the audit. If circumstances arise such that your organisation feels that the audit should be postponed, these circumstances must be advised to NCS International and receipt confirmed as soon as practicable, to enable the audit to be rescheduled and the resources utilised elsewhere. NCS International reserves the right to charge clients for any costs or loss of income associated with the cancellation or postponement of an audit – refer Section 7 Trading Terms for more details. It should be noted that there may be occasions when audits cannot be postponed without impacting on your certification. This can be discussed with your NCSI Client Manager.

Any changes required to your organisation's scope of certification can be processed in conjunction with the ongoing audit program. If your organisation wants to change or add to the standards against which it already

holds certification, or wishes to add more sites into the scope of certification, simply complete the *Application for Scope of Certification Change* process as published on [www.ncsi.com.au](http://www.ncsi.com.au) or contact your NCS International Client Manager (or nominated representative).

## Role of the Authorised Representative

The Authorised Representative nominated by your organisation is the primary point of contact for NCS International for all matters concerning your NCS International certification or assessment. The person who has been nominated as the Authorised Representative does not need to have responsibility for maintenance of the management system, but must have sufficient authority to discuss and make agreements with NCS International on matters associated with the organisation's certification or assessment.

It is also important that your organisation keeps NCS International informed of any changes in Authorised Representative. This should be done using the *Change of Authorised Representative* process as published on [www.ncsi.com.au/publications](http://www.ncsi.com.au/publications)

## 5. USE OF CERTIFICATION MARKS

After an organisation is granted certification by NCS International, it may become eligible to use appropriate NCS International and other specified certification marks to promote the fact that the organisation is certified. Use of the certification marks will depend on the certification standard(s) to which certification has been granted and the nature of the business conducted by the certified organisation. For specific details contact your client manager or guidance listed on [www.ncsi.com.au/worldstar](http://www.ncsi.com.au/worldstar)

NCS International encourages its certified clients to use these marks to promote their certification, however, some controls need to be placed on the use of the mark to ensure that it is not inadvertently used in a manner that misrepresents the scope of certification.

It is in the interests of both the certified organisation and NCS International that care be exercised in applying the marks to ensure that it does not exaggerate or distort the scope of certification. For more information, including rules and download and reproduction instructions as outlined in Section 6. Note that not all NCSI clients are permitted to display the NCSI Worldstar or other marks. For specific details contact your Client Manager or guidance listed on the NCSI website.

In certain circumstances NCS International's certification programs are accredited or recognised by third parties. In these circumstances, certified organisations may be permitted to display additional marks. Refer to your Client Manager or [www.ncsi.com.au/worldstar](http://www.ncsi.com.au/worldstar) for more information.

## 6. ADDITIONAL OBLIGATIONS FOR CERTIFICATION AND ASSESSMENT RECOGNITION

The Board of Directors (the Board) of NCS International Pty Limited (NCS International) has approved the following conditions for maintenance of certification and assessment of organisations certified under its Certification/Recognition Programs.

These obligations should be viewed in the context of the entire document and include obligations required by client organisations and their representatives.

By definition, these obligations include applicants, existing and other clients that NCSI delivers services to.

- Upon granting of certification, the Board (and or its nominee) will issue the organisation with a certificate and may publish the fact along with full details of the certification. The organisation will also be provided with a copy of the scope of certification detailing the scope of activities for which certification has been granted. In some circumstances the scope may be included in the certificate.
- The certificate remains the property of NCS International and must be returned promptly to NCS International on request or termination of certification.
- The certified organisation shall not in any way use the fact that certification has been granted to provide customers with misleading information regarding applicability of the certification outside the scope for which certification has been granted.
- The certified or assessed organisation indemnifies NCS International and agrees to keep it indemnified against all costs and expenses which may be sustained and incurred by NCS International because the certified organisation uses the certification in any manner that implies or creates the impression that NCS International certifies a particular product, activity or service.
- The granting of certification or assessment and or the issue of a certificate by NCS International in no way implies that products, activities or services included in the scope of certification are endorsed or approved by NCS International or its related bodies, government agencies, regulators, accreditation bodies or other related parties.
- For continuance of certification, the Board (and or its nominee) shall be satisfied that the following conditions are met:
  - (a) Continued compliance with these conditions of certification;
  - (b) Continued compliance of the organisation's system with the relevant standard(s) or code(s) of practice against which certification is held;
  - (c) Conduct by a certified organisation shall, in the opinion of the Board (and or its nominee), be consistent with maintenance of the standing and reputation of NCS International; and
  - (d) Payment by the prescribed dates of all fees and expenses set and applied by the Board (and or its nominee) for continuance of certification.

Following certification, the certified organisation shall:

- (a) Maintain the system in accordance with the scope of certification;
- (b) Maintain a controlled copy, or provide copies on request, of relevant policy manual(s) and procedures for use by NCS International in performing ongoing audit surveillance and periodic reassessment;
- (c) Make personnel, records, and facilities available for audit by NCS International staff on the dates and at the times agreed and confirmed by NCS International;
- (d) Provide NCS International and/or NCSI's accreditation body representatives, standard owners, witnesses, observers and or technical specialists, with access to premises, facilities and records at any reasonable time for the conduct of audits and periodic reassessments; and
- (e) Maintain records of all complaints that reflect on the integrity of the certified system, including as appropriate complaints regarding product quality and safety, adverse environmental impacts, and safety issues, and consequent corrective action to the system.

Following certification, NCS International will:

- (a) Conduct audits of the certified organisation's system at periodic intervals as prescribed by Standards, Codes of Practice or NCS International via [www.ncsi.com.au](http://www.ncsi.com.au), your Client Manager or their designate.

- (b) Consider requests from the certified organisation for changes to the scope of the certification and evaluate such requests prior to audits and reassessments subject to payment of any additional costs associated with this evaluation process; notify the certified organisation in writing of any changes in the scope of certification; and
  - (c) Notify the certified organisation in writing of any audit or reassessment findings that require corrective action to maintain the certification.
- The certified organisation shall, in a time frame agreed with NCS International and or Standard Owner, rectify any deficiencies found during audits or reassessment that impact on the scope of certification or compliance of the system with the relevant standard.
  - NCS International will also investigate legitimate documented complaints, relevant to operation of the system, from customers of certified organisations. Certified organisations shall, at all reasonable times, provide representatives of NCS International with access to its premises and records for the purposes of investigating such complaints.
  - Certified organisations may use the NCS International Certification Worldstar Marks or other marks that it facilitates subject to compliance with the following conditions:
    - (a) The Worldstar Marks or other marks that it facilitates may be used on correspondence, advertising and promotional material in conjunction with the certified organisation's name or emblem, and shall not be used in connection with goods, services, activities or locations not covered by the scope of certification;
    - (b) Certification marks shall not be applied to laboratory test, calibration or inspection reports, as such reports are deemed to be products in this context;
    - (c) The Worldstar Marks or other marks that it facilitates shall only be reproduced in the approved style and colours;
    - (d) The Worldstar Marks or other marks that it facilitates shall not be used in any manner that implies approval of a product or service;
    - (e) On notification in writing, the certified organisation shall discontinue any use of the mark that is unacceptable to the Board (and or its nominee) and any form of statement used in conjunction with the mark that may be misleading. The certified organisation shall also undertake any other action requested by the Board (and or its nominee) with regard to unacceptable use of the mark; and
    - (f) Upon termination of certification, the certified organisation undertakes to immediately discontinue use of the mark/s. Use of the marks is not to be reinitiated unless certification is fully reinstated.

In the event that an applicant organisation fails to comply with the requirements of the relevant standard / audit requirements, or in the event that a certified organisation fails to comply with these conditions of certification (including prompt payment of fees) or is unable to maintain compliance with the relevant certification standard, NCS International may:

- (a) Refuse certification;
- (b) Suspend certification;
- (c) Reduce the scope of certification; and
- (d) Withdraw certification and related services.

Such decisions and the grounds for them will be communicated to the organisation in writing.

### **Suspension or Refusal of Certification**

- (a) When an organisation's certification is suspended or refused, the organisation shall, for the period of suspension or refusal:

- i. Withdraw and cease to use any advertising or promotional material that promotes or advertises the fact that the organisation is certified;
  - ii. Ensure that all copies of certificates and scopes of certification are removed from areas of public display; and
  - iii. Cease to use the certification mark on stationery and other documents including media and packaging that are circulated to existing and potential clients, or in the public domain.
- (b) The organisation shall advise NCS International in writing of action taken with respect to the requirements listed in section (a) above;
  - (c) NCS International shall advise the organisation in writing of the certification processes that will need to be completed to restore certification; and
  - (d) During the period of suspension the organisation shall continue to pay all fees levied by NCS International.

### **Reduction in Scope of Certification**

When an organisation's scope of certification is reduced, NCS International shall issue revised certificates and scopes of certification as appropriate and the certified organisation shall:

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

### **Withdrawal of Certification**

When an organisation's certification is withdrawn, the organisation shall immediately:

- (a) Cease any advertising and promotional activities that promote the fact that the organisation holds certification;
- (b) Withdraw and cease to use any advertising and promotional material that promotes the fact that the organisation holds certification;
- (c) Cease to use relevant certification marks in any way to promote the fact that the organisation holds certification; and
- (d) Return all certificates and pay outstanding fees.

### **Complaints and Appeals**

Appeals against certification decisions and / or complaints against service delivery levels may be raised with your Client Manager or relevant Divisional Manager in the first instance. If you remain dissatisfied, contact the NCSI Technical Manager in writing. Please refer to [www.ncsi.com.au](http://www.ncsi.com.au) for contact details. All complaints will be investigated and the originator of a complaint will be advised of the outcomes, as appropriate.

An organisation whose application for certification has been refused; or a certified organisation whose certification has been suspended, withdrawn, or reduced in scope, may appeal against the decision to a Review Committee constituted and operated as set out below:

- (a) The appellant shall, within 28 days of the disputed advice from NCS International, lodge a notice of appeal with an affidavit as to the grounds of appeal with the NCSI Chief Executive Office (CEO) or equivalent in writing;
- (b) The CEO or equivalent shall advise the Board within 14 days of receiving the appellant's notice;
- (c) The Board shall then establish a Review Committee upon payment of the fees set by the Board for consideration of the appeal;
- (d) 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:
  - i. One person expert in the relevant area of technology or business appointed by the Board; and
  - ii. Two persons selected by the appellant from a list of four persons nominated as eligible by the Board.
- (e) The appellant shall represent himself and no legal representation will be allowed unless approved by the Review Committee; and
- (f) 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 CEO or equivalent shall give notification of the decision to the appellant within 14 days of the Review Committee decision.

## **7. TRADING TERMS AND RELATED CONDITIONS INCLUDING FEES AND CHARGES**

Receipt by NCS International of the completed Application Form (or authorised formal proposal) and payment of the application fee signifies acceptance of NCSI's fee structure. It also signifies agreement by your organisation to comply with the requirements and obligations as prescribed in this entire document.

Unless otherwise indicated, travel-related expenses will be charged. Travel time to and from the client is charged at the current specified rate from the nearest NCSI office unless otherwise agreed. The fees quoted in any formal proposal or ongoing invoice for service submitted by NCS International (or published fee schedule) are based on a defined scope of work and are subject to change if the scope of work changes (e.g. increase/decrease in employee numbers or the scope of activities covered by the certification), or when published fees or definitions are updated from time to time. Clients should expect that quoted rates and fees will vary (usually annually) and that NCSI will send fee/rate variation notification by post and or email. Accordingly, clients should make themselves familiar with 'current' rates prior to audits – for example, familiarisation by the client should be undertaken at the time of audit confirmation if a recent (annual) notification has not been received or noted. All fees are non-refundable and timely full payment is a condition of maintenance of certification, follow-up charges, application and annual fees, travel and associated expenses. These fees and charges can not be waived unless verified by NCSI prior to delivery of a service and only on a case-by-case basis.

It is important for clients to note that partial or non-payment of fees and charges may compromise your relationship with NCSI and may lead to suspension, withdrawal or refusal of certification, assessment or service as prescribed in this document.

To protect the credibility of NCS International certifications service and assessment and, where applicable, to meet accreditation requirements, NCS International reserves the right to:

- Vary the frequency and duration of audits in line with the level of confidence that NCS International holds in the effectiveness of the certified system, and to charge additional fees accordingly;

- Suspend or withdraw certification if the requirements of NCS International Pty. Limited or its related entities are not fully complied with; and
- Make such certification decisions without liability under any contractual requirement specified elsewhere.

Periodic accounts will be forwarded for all certification, assessment, training (or related) activities and associated merchandise. Payment terms are net 7 days from the date of the invoice. Unless otherwise stated, the fees quoted do not include GST. Only one invoice will be issued per registration. Special invoicing arrangements will attract an administration charge of \$50.00 plus GST per invoice.

In the event that the client cancels, does not accept a scheduled audit/service, and/or postpones audit/service, 100% of fee/s will be charged by NCS International. These fees will be plus any additional costs (e.g. airfares, accommodation, etc.) and apply if audits/booked services are cancelled, deferred or rescheduled by you or your representatives in/without consultation with NCSI, within 12 business days of the scheduled audit date/s. Subsequent costs relating to re-scheduling and delivering the service will apply (e.g.: audit, travel etc). In addition, if client site or staff are unavailable at the time of the audit and this impacts upon the audit process, full audit fees and related expenses will apply in addition to subsequent follow-up requirements and costs.

### NCS International Fees and Charges Summary

This summary includes the types of fees and charges that may apply in the delivery of audit, assessment and related services. For clarification of the actual costs please liaise with your Client Manager, NCSI administration staff or your current fee update which may change from time-to-time. This table acts as a reference guide only and does not supersede definitions or guidance provided in the body of this document.

If in doubt about whether a service and the related fee or charge will apply to your circumstance, NCSI advises that you should seek clarification from your Client Manager or NCSI Customer Service staff prior to the service delivery (e.g.: audit). This includes requesting an estimation of all costs. This approach is preferable to questioning the applicability of fees and charges at time of invoice once the service has been delivered. Please note that failure to pay for services in a timely manner, most likely will affect your certification and/or assessment status.

Service	Applicable	Detail
Application	All programs	Applies at the commencement of the relationship .
Audit Planning	All programs	Frequency and length varies between programs. Service charged as a stand-alone service or imbedded within audit cost.
Pre-Assessment	All programs	Frequency and length varies between programs. Service may be delivered on/off site and charged as a stand-alone service or imbedded within audit cost.
Document Review	All programs	Frequency and length varies between programs. Service may be delivered on/off site and charged as a stand-alone service or imbedded within audit cost.
Gap Analysis	On request	Frequency and length varies between programs. Support service may also be provided on and/or off-site – including preparation, planning, review of documentation and report writing. These activities may or may not be individually itemised.

Service	Applicable	Detail
Certification Audit	All programs	Frequency and length varies between programs. Support service may also be provided on and/or off-site – including preparation, planning, review of documentation and report writing. These activities may or may not be individually itemized
Surveillance Audit	All programs	Frequency and length varies between programs. Support service may also be provided on and/or off-site – including preparation, planning, review of documentation and report writing. These activities may or may not be individually itemized
Re-Certification Audit	Program dependent	Frequency and length varies between programs. Support service may also be provided on and/or off-site – including preparation, planning, review of documentation and report writing. These activities may or may not be individually itemized
Follow-up Audit	Audit outcome dependent	May be applied in order to follow up issues from the previous audit, or to verify progress of corrective actions. A charge is incurred for follow-up audits
Corrective Action	Audit outcome dependent	Only applicable if corrective actions are raised as a result of the audit and may be conducted in the format of a Follow-up audit. Additional fees for the close-out of Corrective Actions may apply. Failure to close corrective actions in a timely manner and or pay related costs may compromise your certification
Travel Time	All programs	Travel charges are applied for the auditor to travel to and from (both ways) the nearest NCSI office to the audit location. Alternative arrangements may be negotiated with the Client Manager or as per tender arrangements
Travel-Related Expenses	Audit dependent	When an auditor travels to and from a location, if travel-related expenses are incurred (eg: flights, accommodation) these charges can be arranged by the client, else a 10% premium will be incurred in addition to the expenses
Report Writing	Audit dependent	This service may be provided as part of an audit or as a separate service item for example on multi-site facilities and or by special arrangement
Technical Specialist	Audit dependent	In certain circumstances audits may require the attendance of technical specialists, in addition to the NCSI assessor. In these circumstances and subject to prior approval NCSI will charge for the provision of a technical specialist.
Accreditation or Registration Fee	Program dependent	Some programs will incur specific charges relating to accreditation or registration. For specific details suggest clarification prior to audit.
Annual Fees	All programs	Applies to all programs and supports the calibration and training of audit teams, provision of a client register and certificate generation, as well as NCSI accreditations.
Cancellation/Postponement Fee	Audit dependent	Where an audit is cancelled or postponed at short notice (less than 12 days), NCSI reserves the right to charge for the service and associated expenses, in addition to the subsequent delivery of that service and associated expenses

## Resourcing

NCS International predominantly uses its own staff but may look to supplement this with subcontractors. NCS International Pty Ltd at all times remains responsible for all aspect of such engagements.

## 8. DOCUMENT CURRENCY HISTORY

Document No	Issue No	Date	Document Name	Status
G014	13	Feb-07	Management Systems Recognition Booklet	Withdrawn, Superseded by G014 Issue No 14
H001	1	Dec-05	Recognition Booklet for The British Retail Consortium Technical Standards	Withdrawn, Superseded by G014 Issue No 14
G018	2	Apr-00	Recognition of Integrated Management Systems	Withdrawn, Superseded by G014 Issue No 14
G027	3	Jul-05	Sydney Water Constructor Recognition Booklet	Withdrawn, Superseded by G014 Issue No 14
H003	4	Nov-05	Food Safety Management (HACCP) Recognition Booklet	Withdrawn, Superseded by G014 Issue No 14
T001	1	Apr-07	Chain of Custody Recognition Booklet	Current: <a href="#">Access Here</a>
P001	3	Sep-06	Plantation Timber Certification (PTC) Recognition Booklet	Withdrawn, Superseded by G014 Issue No 14
H004	3	Sep-07	Recognition Booklet SQF 1000 Code SQF 2000 Code	Withdrawn, Superseded by G014 Issue No 14
H002	1	Dec-05	Recognition Booklet for EurepGAP Fruit and Vegetable Protocol	Withdrawn, Superseded by G014 Issue No 14
A001	2	Feb-10	Australian Wood Packaging Certification Scheme (AWPCS) Recognition Booklet Addendum	Current: <a href="#">Access Here</a>
H014	14	May-06	Combined Recognition Booklet for the BRC & SQF Standards	Withdrawn, Superseded by G014 Issue No 14