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**REQUIREMENTS FOR BODIES UNDERTAKING ASSESSMENT AND
CERTIFICATION OF AUTOMOTIVE WORKSHOPS**

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Authority To Issue

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Chief Executive
With Authority of the Governing Board

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	REQUIREMENT FOR BODIES THAT ASSESS AND CERTIFY AUTOMOTIVE WORKSHOPS	

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Section 0: Introduction

0.1 Object and field of application

0.1.1 This document sets down the general requirements (accreditation criteria) for bodies seeking accreditation by the Board of the Joint Accreditation System of Australia and New Zealand (JAS-ANZ) to assess and certify automotive workshops which modify and inspect imported used vehicles to comply with Australian Design Rules, under the Registered Automotive Workshop (RAW) scheme administered by the Commonwealth Department of Transport and Regional Services.

0.1.2 Accreditation in compliance with these requirements acknowledges that certification bodies possess the necessary competence and reliability to operate such conformity assessment systems.

0.1.3 If the requirements of this document conflict with those in referenced normative documents, the requirements of this document will take precedence.

0.2 Background

0.2.1 ISO/IEC Guide 62:1996 is an international standard which sets out criteria for bodies operating assessment and certification of quality systems. The text of this standard has been modified to relate to the Registered Automotive Workshop scheme.

0.2.2 To facilitate the uniform interpretation and application of ISO/IEC Guide 62, the International Accreditation Forum (IAF) has produced guidance notes, which are included in this document as modified by the JAS-ANZ Registered Automotive Workshop Technical Committee. Also included are additional guidance notes that have been formulated and/or endorsed by the Committee. These are included as "JAS-ANZ Guidance".

0.2.3 For convenience, the modified text of ISO/IEC Guide 62 is first printed in **bold**; followed by modified IAF Guidance identified with the letter "G", and JAS-ANZ Guidance identified with the letter "J".

0.2.4 The term "shall" is used throughout this document to indicate those provisions which, in reflecting the requirements of ISO/IEC Guide 62 and the deliberations of the JAS-ANZ Technical Committee, are mandatory. The term "should" is used to indicate those provisions which, although they constitute guidance for the application of the requirements, are expected to be adopted by a certification body. Any variation from the guidance by a certification body shall be an exception. Such variations will only be permitted on a case by case basis after the certification body has demonstrated to JAS-ANZ that the exception meets the requirements and intent of the relevant Clause of this document in some equivalent way.

0.2.5 The arrangements for the Registered Automotive Workshop scheme will be reflected in legislation. The Commonwealth Department of Transport and Regional Services may set additional criteria which may be amended from time to time, in consultation with stakeholders. Such additional criteria will be the subject of an agreement between JAS-ANZ and the Department and will be regarded as part of these accreditation criteria. Where the additional criteria are inconsistent with this document, the requirements of the additional criteria will prevail.

0.2.6 References to ISO 9001:2000 throughout this document may be read as references to ISO 9001:1994, in accordance with the International Accreditation Forum (IAF) Communique on Transition Planning for the Year 2000 ISO 9000 Standards, dated 27 September 1999. A copy of the Communique may be obtained from the JAS-ANZ Secretariat.

Section 1: General

1.1 Scope

This document specifies requirements for a third-party body certifying automotive workshops to meet if it is to be recognized as competent and reliable.

1.2 References

1.2.1 ISO/IEC Guide 2:1996, General terms and their definitions concerning standardisation and related activities

1.2.2 ISO 9000:2000, Quality management systems — Concepts and vocabulary

1.2.3 ISO 9001:2000, Quality management systems — Requirements

1.2.4 ISO 10011-1:1990, Guidelines for auditing quality systems — Part 1: Auditing

1.2.5 ISO 10011-2:1991, Guidelines for auditing quality systems — Part 2: Qualification criteria for quality systems auditors

JAS-ANZ Guidance

J.1.2.1 ANZSIC Codes - Australian and New Zealand Standard Industries Classification

J.1.2.2 Australian Design Rules

J.1.2.3 Motor Vehicle Standards Act 1989 and subordinate legislation

J.1.2.4 Administrator's Circulars issued by the Administrator of Vehicle Standards

J.1.2.5 Customs Act 1901

J.1.2.6 Procedures for the Recall of Vehicles and Associated Products with Safety Related Defects - Endorsed by the Parliamentary Secretary to the Minister for Transport and Regional Services, Canberra 2000

J.1.2.7 Department of Transport and Regional Services - Guide to the Registered Automotive Workshop Scheme

1.3 Definitions

As a general rule, the definitions in ISO/IEC Guide 2 and ISO 9000:2000 and the following definitions apply:

Certification body: a third party that assesses and certifies automotive workshops with respect to the Guide to the Registered Automotive Workshop Scheme.

Certification document: document issued by a certification body indicating that an automotive workshop conforms to the Guide to the Registered Automotive Workshop Scheme.

Certification system: system having its own rules of procedure and management for carrying out the assessment leading to the issue of a certification document and its subsequent maintenance.

IAF Guidance (modified)

G.1.3.1 The following definitions also apply to this document:

Assessment: all activities related to the certification of an automotive workshop to determine whether the automotive workshop meets all the requirements of the Guide to the Registered Automotive Workshop Scheme, and whether they are effectively implemented; including documentation review, audit, preparation and consideration of the audit report, inspection of one or more vehicles by the Department and any other relevant activities necessary to provide sufficient information to allow a decision to be made as to whether certification shall be granted.

Logo: a symbol used by a body as a form of identification, usually stylised. A logo may also be a mark.

Mark: a legally registered trade mark or otherwise protected symbol which is issued under the rules of an accreditation body or of a certification body indicating that adequate confidence in the systems operated by an automotive workshop has been demonstrated and that the requirements of the Guide to the Registered Automotive Workshop Scheme have been complied with. The legal registration shall provide sufficient protection to enable the certification body to control the use of certificates and logos.

JAS-ANZ Guidance

J.1.3.1 The following definitions also apply to this document:

Accreditation: process by which an authoritative body (JAS-ANZ) gives formal recognition that a certification body is competent to carry out specific tasks.

Australian Design Rules (ADRs): national standards determined under Section 7 of the Motor Vehicle Standards Act 1989.

Automotive technical specialist: a person who has relevant automotive workshop experience.

Automotive workshop: a workshop which modifies and inspects imported used vehicles to comply with Australian Design Rules, under the Guide to the Registered Automotive Workshop Scheme administered by the Commonwealth Department of Transport and Regional Services.

Certification: process by which a third party certification body gives written assurance that an automotive workshop conforms to the requirements of the Guide to the Registered Automotive Workshop Scheme.

Department: Commonwealth Department of Transport and Regional Services.

Guide to the Registered Automotive Workshop Scheme: rules administered by the Department of Transport and Regional Services to control the activities of automotive workshops that modify and inspect imported used vehicles to comply with the Motor Vehicles Standards Act 1989.

Major nonconformity: the certification body is free to define different grades of deficiency and areas for improvement (eg. minor nonconformities, observations, etc.). However all nonconformities which fit the following criteria are to be regarded as major nonconformities, and shall be dealt with as laid down in Clauses J.3.3.2 b), J.3.3.4 c), J.3.3.6, G.3.5.2, J.3.6.1 and J.3.6.3:

- a) failure to implement and maintain certification to ISO 9001:2000;
- b) failure to meet a criterion for registration as specified in the Guide to the Registered Automotive Workshop Scheme without the notification and approval of the Department;
- c) failure to fit new components in accordance with the Guide to the Registered Automotive Workshop Scheme;
- d) non-compliance with the Australian Design Rules where work relating to an item has been signed off as having been completed and/or the vehicle inspection certificate has been completed (eg. incorrect component fitted);
- e) in the absence of a vehicle for inspection, a significant deviation from a quality system requirement that could lead to vehicles not complying with Australian Design Rules being fitted with compliance plates;
- f) the repetitive deviation from a quality system requirement without appropriate authorisation.

Relevant automotive workshop experience: recent experience sufficient to ensure that a person has an understanding of the Australian Design Rules. Such experience may be initially demonstrated by:

- a) employment for at least two years full-time or at least four years part-time equivalent in an automotive workshop working in a responsible technical capacity; OR
- b) at least two years full-time employment or at least four years part-time equivalent in the automotive industry working in a responsible technical design capacity for an original equipment manufacturer or a direct supplier of parts to an original equipment manufacturer; OR
- c) at least two years full-time employment or at least four years part-time equivalent in a responsible technical capacity for a regulatory body involved in the assessment of automotive workshops; OR
- d) membership of the Society of Automotive Engineers Australasia (SAE) at the grades of Fellow, Member and Associate, if the experience contributing to membership relates to the activities of automotive workshops; OR
- e) membership of the Institution of Engineers, Australia at the grades of Fellow, Member and Associate, if the experience contributing to membership relates to the activities of automotive workshops.

Section 2: Requirements for certification bodies

2.1 Certification body

2.1.1 General provisions

2.1.1.1 The policies and procedures under which the certification body operates shall be nondiscriminatory, and they shall be administered in a nondiscriminatory manner. Procedures shall not be used to impede or inhibit access by applicants other than as specified in these criteria.

2.1.1.2 The certification body shall make its services accessible to all applicants. There shall not be undue financial or other conditions. Access shall not be conditional upon the size of the automotive workshop or membership of any association or group, nor shall certification be conditional upon the number of automotive workshops already certified.

2.1.1.3 The criteria against which an applicant's management system is assessed shall be those outlined in the Guide to the Registered Automotive Workshop Scheme or other normative documents relevant to the function performed. If an explanation is required as to the application of these documents it shall be formulated by relevant and impartial committees or persons possessing the necessary technical competence, and published by the certification body.

2.1.1.4 The certification body shall confine its requirements, assessment and decision on certification to those matters specifically related to the scope of the certification being considered.

IAF Guidance (modified)

G.2.1.1 Certification of an automotive workshop shall give adequate confidence that the automotive workshop meets the requirements of the Guide to the Registered Automotive Workshop Scheme.

G.2.1.2 Certification bodies shall not practice any form of discrimination such as hidden discrimination by speeding up or delaying applications.

G.2.1.3 Clause 2.1.1.2 requires certification bodies to make their services available to all applicants. However, a certification body may, in so far as the law permits, limit its service to applicants operating in a defined geographic region.

G.2.1.4 A certification body shall only offer certification of automotive workshops appropriately linked with certification to ISO 9001:2000.

JAS-ANZ Guidance

J.2.1.1 The provisions "if an explanation is required" and "other normative documents" in Clause 2.1.1.3 shall be limited to those documents produced or officially recognised by the Department.

2.1.2 Organization

The structure of the certification body shall be such as to give confidence in its certifications. In particular, the certification body shall:

- a) be impartial;
- b) be responsible for its decisions relating to the granting, maintaining, extending, reducing, suspending and withdrawing of certification;
- c) identify the management (committee, group or person) which will have overall responsibility for all of the following:
 - 1) performance of assessment and certification as defined in these criteria;
 - 2) the formulation of policy matters relating to the operation of the certification body;
 - 3) decisions on certification;
 - 4) supervision of the implementation of its policies;
 - 5) supervision of the finances of the certification body;
 - 6) delegation of authority to committees or individuals, as required, to undertake defined activities on its behalf;
- d) have documents which demonstrate that it is a legal entity;
- e) have a documented structure which safeguards impartiality, including provisions to assure the impartiality of the operations of the certification body; this structure shall enable the participation of all parties significantly concerned in the development of policies and principles regarding the content and functioning of the certification system;
- f) ensure that each decision on certification is taken by a person or persons different from those who carried out the assessment;
- g) have rights and responsibilities relevant to its certification activities;
- h) have adequate arrangements to cover liabilities arising from its operations and/or activities;
- i) have the financial stability and resources required for the operation of a certification system;
- j) employ a sufficient number of personnel having the necessary education, training, technical knowledge and experience for performing certification functions relating to the type, range and volume of work performed, under a responsible senior executive;
- k) have a quality system, as outlined in Clause 2.1.4, giving confidence in its ability to operate a certification system for automotive workshops;
- l) have policies and procedures that distinguish between certification of automotive workshops and any other activities in which the body is engaged;
- m) together with its senior executive and staff, be free from any commercial, financial and other pressures which might influence the results of the certification process;

- n) **have formal rules and structures for the appointment and operation of any committees which are involved in the certification process; such committees shall be free from any commercial, financial and other pressure that might influence decisions (see Note 1);**
- o) **ensure that activities of related bodies do not affect the confidentiality, objectivity or impartiality of its certifications and shall not offer or provide:**
 - 1) **those services that it certifies others to perform;**
 - 2) **consulting services to obtain or maintain certification;**
 - 3) **services to design, implement or maintain management systems (see Note 2);**
- p) **have policies and procedures for the resolution of complaints, appeals and disputes received from automotive workshops or other parties about the handling of certification or any other related matters.**

NOTES

1. **A structure where members are chosen to provide a balance of interests, where no single interest predominates, will be deemed to satisfy this provision.**
2. **Other products, processes or services may be offered, directly or indirectly, provided they do not compromise confidentiality or the objectivity or impartiality of its certification process and decisions.**

IAF Guidance (modified)

G.2.1.5 Accreditation shall only be granted to a body which is a legal entity as referenced in Clause 2.1.2 d) and will be confined to declared scopes, activities and locations. If the certification activities are carried out by a legal entity which is part of a larger organisation, the links with other parts of the larger organisation shall be clearly defined and should demonstrate that no conflict of interest exists as defined in Clauses G.2.1.17 and G.2.1.18. Relevant information on activities performed by the other parts of the larger organisation shall be given by the certification body to JAS-ANZ.

G.2.1.6 Demonstration that a certification body is a legal entity, as required under Clause 2.1.2 d), means that if an applicant certification body is part of a larger legal entity, accreditation shall only be granted to the entire legal entity. In such a situation, the structure of the entire legal entity may be subject to audit by JAS-ANZ but the part of the legal entity that forms the actual certification body may trade under a distinctive name. For the purposes of Clause 2.1.2 d), certification bodies which are part of government, or are government departments, will be deemed to be legal entities on the basis of their governmental status. Such bodies' status and structure shall be formally documented and the body shall comply with all the requirements of this document.

- G.2.1.7 Impartiality and independence of the certification body should be assured at three levels:
- a) strategic and policy;
 - b) decisions on certification;
 - c) auditing.

Clause 2.1.2 is intended to provide for impartiality and independence at all three levels.

G.2.1.8 Impartiality, as required by Clause 2.1.2 a), can only be safeguarded by a structure as required by Clause 2.1.2 e), that enables “the participation of all parties significantly concerned in the development of policies and principles regarding the content and functioning of the certification system”.

G.2.1.9 The management established to meet the requirements of Clause 2.1.2 c) does not have to be the same as the structure required under Clause 2.1.2 e).

G.2.1.10 Conformance with Clause 2.1.2 e) has the effect of counteracting any tendency on the part of the owners of a certification body to allow commercial or other considerations to prevent the consistent technically objective provision of its service. This is particularly necessary when the finance to set up a certification body has been provided by a particular interest which predominates in the shareholding and/or the board of directors.

G.2.1.11 Clause 2.1.2 e) therefore requires that the documented structure of the certification body has built into it provision for the participation of all the significantly concerned parties. This should normally be through some kind of committee. The structure established should be prescribed in the certification body’s written constitution and should not be subject to change without notification to JAS-ANZ. The term “written constitution” shall mean a legal document; i.e. Articles of Association, By Laws etc.

G.2.1.12 It is always a question of judgement whether all parties significantly concerned in the system are able to participate. What is essential is that all identifiable major interests should be given the opportunity to participate, and that a balance of interests, where no single interest predominates is achieved. The certification body shall ensure that the automotive industry is adequately represented.

G.2.1.13 The management responsible for the various functions described in Clause 2.1.2 d) should provide all the necessary information, including the reasons for all significant decisions and actions, and the selection of persons responsible for particular activities, in respect of certification, to the committee or equivalent referred to in Clause 2.1.2 e), to enable it to ensure proper and impartial certification. If the advice of this committee or equivalent is not respected in any matter by the management, the committee or equivalent shall take appropriate measures, which may include informing JAS-ANZ.

G.2.1.14 If the certification body and an applicant or certified automotive workshop are both part of government, the two bodies should not directly report to a person or group having operational responsibility for both. The certification body shall, in view of the impartiality requirement, be able to demonstrate how it deals with such a case.

G.2.1.15 If the decision to issue or withdraw certification in accordance with Clause 2.1.2 n) is taken by a committee comprising, among others, representatives from one or more certified automotive workshops, the operational procedures of the certification body should ensure that these representatives do not have a significant influence on decision making. This can be assured eg. by the distribution of voting rights or some other equivalent means.

G.2.1.16 Clause 2.1.2 o) addresses two separate requirements. First, the certification body shall not under any circumstances provide the services identified in sub-paras 1), 2) and 3) of that Clause. Second, although there is no specific restriction on the services or activities a related body may provide, these shall not affect the confidentiality, objectivity or impartiality of the certification body.

G.2.1.17 Consultancy is considered to be participation in an active creative manner in the development of the management system of the automotive workshop to be assessed by, for example:

- a) preparing or producing manuals, handbooks or procedures;
- b) participating in the decision making process regarding systems to inspect and modify imported used vehicles, or management system matters;
- c) giving specific advice towards the development and implementation of systems to inspect and modify imported used vehicles or management systems for eventual certification.

Note: management systems as referred to in Clause G.2.1.17 include all aspects of such systems, including financial.

G.2.1.18 Certification bodies can carry out the following duties without their being considered as consultancy or having a potential conflict of interest:

- a) certification including information meetings, planning meetings, examination of documents, auditing (not internal auditing) and follow up of nonconformities;
- b) arranging and participating as a lecturer in training courses, provided that where these courses relate to systems to modify and inspect imported used vehicles, quality assurance, management systems or auditing they should confine themselves to the provision of generic information and advice which is freely available in the public domain, i.e. they should not provide company-specific advice which contravenes the requirements of Clause G.2.1.17 c);
- c) making available or publishing on request information on the basis for the certification body's interpretation of the requirements of the Guide to the Registered Automotive Workshop Scheme;
- d) activities prior to audit aimed solely at determining readiness for assessment; but such activities should not result in the provision of recommendations or advice that would contravene the requirements of Clause G.2.1.17 and the certification body should be able to confirm that such activities do not contravene these requirements and that they are not used to justify a reduction in the eventual assessment duration;
- e) performing second and third party audits according to other standards or regulations than those being part of the scope of accreditation;
- f) adding value during assessments and surveillance visits, eg. by identifying opportunities for improvement, as they become evident during the audit without recommending specific solutions.

G.2.1.19 Consultancy by a related body and certification should never be marketed together and nothing should be stated in marketing material or presentation, written or oral, to give the impression that the two activities are linked. It is the duty of the certification body to ensure that none of its automotive workshops is given the impression that the use of both services (certification and consultancy), would bring any business advantage to the automotive workshop so that the certification remains, and is seen to remain, impartial.

G.2.1.20 Nothing should be said by a certification body that would suggest that certification would be simpler, easier or less expensive if any specified consultancy or training services were used.

G.2.1.21 A related body, as referred to in Clause 2.1.2 o), is one which is linked to the certification body by common ownership or directors, contractual arrangement, a common name, informal understanding or other means such that the related body has a vested interest in the outcome of an assessment or has a potential ability to influence the outcome of an assessment.

G.2.1.22 The certification body should analyse and document the relationship with such related bodies to determine the possibilities for conflict of interest with provision of certification and identify those bodies and activities that could, if not subject to appropriate controls, affect confidentiality, objectivity or impartiality.

G.2.1.23 Certification bodies shall demonstrate how they manage their certification business and any other activities so as to eliminate actual conflict of interest and minimise any identified risk to impartiality. The demonstration shall cover all potential sources of conflict of interest, whether they arise from within the certification body or from the activities of related bodies. JAS-ANZ will expect certification bodies to open up these processes for audit. This may include, to the extent practicable and justified, pursuit of audit trails to review records of both the certification body and its related body for the activity under consideration. In considering the extent of such audit trails account should be taken of the certification body's history of impartial certification. If evidence of failure to maintain impartiality is found there may be a need to extend the audit trail back into the related bodies to provide assurance that control over potential conflicts of interest has been re-established.

G.2.1.24 The requirements of Clause 2.1 and Clause 2.2.3 mean that people who have provided consultancy, including those acting in a managerial capacity, should not be employed to conduct an audit as part of the certification process if they have been involved in any consultancy activities towards the automotive workshop in question, (or any company related to that automotive workshop), within the last two years. Situations such as an employer's involvement or previous involvement with the automotive workshop being assessed may present individuals involved in any part of the certification process with a conflict of interest. The certification body has a responsibility to identify and evaluate such situations and to assign responsibilities and tasks so as to ensure that impartiality is not compromised.

G.2.1.25 The senior executive, staff and/or personnel mentioned in Clause 2.1.2 need not necessarily be full-time personnel, but their other employment shall not be such as to compromise their impartiality.

G.2.1.26 The certification body should require all assessment sub-contractors or external auditors to give undertakings regarding the marketing of any consultancy services equivalent to those required by Clauses G.2.1.19 and G.2.1.20.

G.2.1.27 The certification body should be responsible for ensuring that neither related bodies, nor sub-contractors, nor external auditors operate in breach of the undertakings that they have given. It should also be responsible for implementing appropriate corrective action if such a breach is identified.

G.2.1.28 The certification body should be independent from the body or bodies (including any individuals) which provide the internal audit of the automotive workshop subject to certification.

G.2.1.29 An auditor shall explain the audit findings and/or clarify the requirements of the assessment standard during the audit and/or at the closing meeting but shall not give prescriptive advice or consultancy as part of an assessment.

G.2.1.30 The policies and procedures referred to in Clause 2.1.2 (p) should ensure that all disputes and complaints are dealt with in a constructive and timely manner. Where operation of such procedures has not resulted in the acceptable resolution of the matter or where the proposed procedure is unacceptable to the complainant or other parties involved, the certification body's procedures shall provide for an appeals process. This appeals procedure should include provision for the following:

- a) the opportunity for the appellant to formally present its case;
- b) provision of an independent element or other means to ensure the impartiality of the appeals process;
- c) provision to the appellant of a written statement of the appeal findings including the reasons for the decisions reached.

The certification body shall ensure that all interested parties are made aware, as and when appropriate, of the existence of the appeals process and the procedures to be followed.

2.1.3 Subcontracting

When a certification body decides to subcontract work related to certification (eg. audits) to an external body or person, a properly documented agreement covering the arrangements, including confidentiality and conflict of interests, shall be drawn up. The certification body shall:

- a) **take full responsibility for such subcontracted work and maintain its responsibility for granting, maintaining, extending, reducing, suspending or withdrawing certification;**
- b) **ensure that the subcontracted body or person is competent and complies with the applicable provisions of these criteria and is not involved, either directly or through its employer, with the design, implementation or maintenance of a management system in such a way that impartiality could be compromised;**

- c) **obtain the consent of the applicant or certified automotive workshop.**

NOTE 3: requirements a) and b) are also relevant, by extension, when a certification body uses, for granting its own certification, work provided by another certification body with which it has signed an agreement.

IAF Guidance (modified)

G.2.1.31 A certification body may issue certificates on the basis of an assessment carried out by another body provided that the agreement with the subcontracted body requires it to comply with all the relevant requirements of this document and, in particular, the requirements of Clause 2.2. Assessments carried out by subcontracted bodies shall give the same confidence as assessments carried out by the certification body itself. Evaluation of the audit report and the decision on certification shall be made only by the certification body itself, and not by any other certification body. Where joint assessments are undertaken, each certification body shall satisfy itself that the whole of the assessment has been satisfactorily undertaken by competent auditors.

G.2.1.32 Where a certification body issues certificates in accordance with Clause G.2.1.31 it shall have procedures that ensure conformity with all relevant Clauses of this document by subcontracted bodies.

2.1.4 Quality system

2.1.4.1 The management of the certification body with executive responsibility for quality shall define and document its policy for quality, including objectives for quality and its commitment to quality. The management shall ensure that this policy is understood, implemented and maintained at all levels of the certification body.

2.1.4.2 The certification body shall operate a quality system in accordance with the relevant elements of these criteria and appropriate to the type, range and volume of work performed. This quality system shall be documented and the documentation shall be available for use by the staff of the certification body. The certification body shall ensure effective implementation of the documented quality system procedures and instructions. The certification body shall designate a person with direct access to its highest executive level who, irrespective of other responsibilities, shall have defined authority to:

- a) **ensure that a quality system is established, implemented and maintained in accordance with these criteria;**
- b) **report on the performance of the quality system to the management of the certification body for review and as a basis for improvement of the quality system.**

2.1.4.3 The quality system shall be documented in a quality manual and associated quality procedures, and the quality manual shall contain or refer to at least the following:

- a) **a quality policy statement;**

- b) a brief description of the legal status of the certification body, including the names of its owners, if applicable, and, if different, the names of the persons who control it;
- c) the names, qualifications, experience and terms of reference of the senior executive and other certification personnel influencing the quality of the certification function;
- d) an organization chart showing lines of authority, responsibility and allocation of functions stemming from the senior executive and, in particular, the relationship between those responsible for the assessment and those taking decisions regarding certification;
- e) the policy and procedures for conducting management reviews;
- f) administrative procedures including document control;
- g) the operational and functional duties and services pertaining to quality, so that the extent and limits of each person's responsibility are known to all concerned;
- h) the policy and procedures for the recruitment and training of certification body personnel (including auditors) and monitoring their performance;
- i) a list of its subcontractors and details of the procedure for assessing, recording and monitoring their competence;
- j) its procedures for handling nonconformities and for assuring the effectiveness of any corrective actions taken;
- k) the policy and procedures for implementing the certification process, including:
 - 1) the conditions for issue, retention and withdrawal of certification documents;
 - 2) checks of the use and application of documents used in the certification of automotive workshops;
 - 3) the procedures for assessing and certifying automotive workshops;
 - 4) the procedures for surveillance and reassessment of certified automotive workshops;
- l) the policy and procedure for dealing with appeals, complaints and disputes;
- m) the procedures for conducting internal audits based on the provisions of ISO 10011-1.

2.1.5 Conditions for granting, maintaining, extending, reducing, suspending and withdrawing certification

2.1.5.1 The certification body shall specify the conditions for granting, maintaining, reducing and extending certification and the conditions under which certification may be suspended or withdrawn, partially or in total, for all or part of the automotive workshop's scope of certification. In particular, the certification body shall require the automotive workshop to notify it promptly of any intended changes which may affect conformity.

2.1.5.2 The certification body shall require the automotive workshop to have a documented management system that conforms to the Guide to the Registered Automotive Workshop Scheme.

2.1.5.3 The certification body shall have procedures to:

- a) grant, maintain, withdraw and, if applicable, suspend certification;
- b) extend or reduce the scope of certification;
- c) conduct reassessment in the event of changes significantly affecting the activity and operation of the automotive workshop (such as change of ownership, changes in key personnel or equipment), or if analysis of a complaint or any other information indicates that the certified automotive workshop no longer complies with the requirements of the certification body.

2.1.5.4 The certification body shall have documented procedures which shall be made available on request for:

- a) the initial assessment of an automotive workshop, in accordance with the provisions of ISO 10011-1 and other relevant documents;
- b) surveillance and reassessment of automotive workshops in accordance with ISO 10011-1 on a periodic basis for continuing conformity with relevant requirements and for verifying and recording that an automotive workshop takes corrective action on a timely basis to correct all nonconformities;
- c) identifying and recording nonconformities and the need for corrective action by automotive workshops on a timely basis for such items as incorrect references to the certification or misleading use of certification information.

IAF Guidance (modified)

G.2.1.34 Clause 2.1.5 does not mention a specific period in which at least one complete internal audit and one management review of the automotive workshop's management system shall take place. The certification body may specify a period. Irrespective of whether the certification body has chosen to specify a minimum frequency, measures shall be established by the certification body to ensure the effectiveness of the automotive workshop's management review and internal audit processes.

G.2.1.35 Certification shall not be granted until there is sufficient evidence to demonstrate that the arrangements for management review and internal audit have been implemented, are effective and will be maintained.

JAS-ANZ Guidance

J.2.1.2 The certification body shall require the automotive workshop to notify it promptly of any changes needed to its scope of certification or changes significantly affecting the activity and operation of the workshop. The certification body shall comply with the requirements at Clauses 2.1.5.3 b) and c) in such instances, eg. if additional model(s) for which the automotive workshop seeks approval to modify affect the automotive workshop's scope of registration under the categories defined at Clause J.3.1.2.

J.2.1.3 The certification body shall ensure that the automotive workshop complies with any requirements imposed by the Department following an application for approval to modify additional vehicle model(s); for example, if the vehicle(s) fail inspection.

2.1.6 Internal audits and management reviews

2.1.6.1 The certification body shall conduct periodic internal audits covering all procedures in a planned and systematic manner, to verify that the quality system is implemented and is effective. The certification body shall ensure that:

- a) **personnel responsible for the area audited are informed of the outcome of the audit;**
- b) **corrective action is taken in a timely and appropriate manner;**
- c) **the results of the audit are recorded.**

2.1.6.2 The certification body's management with executive responsibility shall review its quality system at defined intervals sufficient to ensure its continuing suitability and effectiveness in satisfying the requirements of these criteria and the stated quality policy and objectives. Records of such reviews shall be maintained.

IAF Guidance (modified)

G.2.1.36 Clause 2.1.6 does not mention a specific period in which at least one complete internal audit of the certification body's quality system and one management review of the certification body's quality system should take place. Complete internal audits followed by management reviews of the body's quality system should be carried out at least once each year. JAS-ANZ may specify a shorter period, depending on the degree of conformity with the requirements of this document, as found in internal audits and reviews as well as in reports to JAS-ANZ.

G.2.1.37 The records of internal audits and management reviews shall be made available to JAS-ANZ on request.

2.1.7 Documentation

2.1.7.1 The certification body shall document, update at regular intervals, and make available (through publications, electronic media or other means), on request:

- a) information about the authority under which the certification body operates;**
- b) a documented statement of its certification system including its rules and procedures for granting, maintaining, extending, reducing, suspending and withdrawing certification;**
- c) information about the assessment and certification process;**
- d) a description of the means by which the certification body obtains financial support, and general information on the fees charged to applicants and certified automotive workshops;**
- e) a description of the rights and duties of applicants and certified automotive workshops, including requirements, restrictions or limitations on the use of the certification body's logo and on the ways of referring to the certification granted;**
- f) information on procedures for handling complaints, appeals and disputes;**
- g) a directory of certified automotive workshops, including each of their locations, describing the certification granted to each.**

2.1.7.2 The certification body shall establish and maintain procedures to control all documents and data that relate to its certification functions. These documents shall be reviewed and approved for adequacy by appropriately authorized and competent personnel prior to issuing any documents following initial development or any subsequent amendment or change being made. A listing of all appropriate documents with the respective issue and/or amendment status identified shall be maintained. The distribution of all such documents shall be controlled to ensure that the appropriate documentation is made available to personnel of the certification body or automotive workshop, when required to perform any function relating to the activities of an applicant or certified automotive workshop.

IAF Guidance (modified)

G.2.1.38 The description of the means by which the certification body obtains financial support referred to in Clause 2.1.7.1.d) should be sufficient to show whether or not the certification body can retain its impartiality. The description should also demonstrate that the certification body will have sufficient resources to continue its operations at least until the next re-assessment is due.

2.1.8 Records

2.1.8.1 The certification body shall maintain a record system to suit its particular circumstances and to comply with existing regulations. The records shall demonstrate that the certification procedures have been effectively fulfilled, particularly with respect to application forms, assessment reports, and other documents relating to granting, maintaining, extending, reducing, suspending or withdrawing certification. The records shall be identified, managed and disposed of in such a way as to ensure the integrity of the process and confidentiality of the information. The records shall be kept for a period of time so that continued confidence may be demonstrated for at least one full certification cycle, or as required by law.

2.1.8.2 The certification body shall have a policy and procedures for retaining records for a period consistent with its contractual, legal or other obligations. The certification body shall have a policy and procedures concerning access to these records consistent with Clause 2.1.9.

2.1.9 Confidentiality

2.1.9.1 The certification body shall have adequate arrangements, consistent with applicable laws, to safeguard confidentiality of the information obtained in the course of its certification activities at all levels of its organization, including committees and external bodies or individuals acting on its behalf.

2.1.9.2 Except as required in these criteria, information about a particular automotive workshop shall not be disclosed to a third party without the written consent of the automotive workshop. Where the law requires information to be disclosed to a third party, the automotive workshop shall be informed of the information provided, as permitted by the law.

IAF Guidance (modified)

G.2.1.39 The requirement as to confidentiality includes anyone who might gain access to information which the certification body should keep confidential. Subcontracted personnel shall be required to keep all such information confidential, particularly from fellow employees and from their other employers.

G.2.1.40 The "written consent" mentioned in Clause 2.1.9.2 only applies to confidential information.

2.2 Certification body personnel

2.2.1 General

2.2.1.1 The personnel of the certification body involved in certification shall be competent for the functions they perform.

2.2.1.2 Information on the relevant qualifications, training and experience of each member of the personnel involved in the certification process shall be maintained by the certification body. Records of training and experience shall be kept up to date.

2.2.1.3 Clearly documented instructions shall be available to the personnel describing their duties and responsibilities. These instructions shall be maintained up to date.

IAF Guidance (modified)

G.2.2.1 Clause 2.1.2.j) means that across the whole of its accredited scope (or that part in which it operates) the certification body shall be able to conduct assessments using resources under its own control which meet the requirements of ISO 10011.

G.2.2.2 The term "resources under its own control" can include individual auditors who work for the certification body on a contract basis, or other external resources. The certification body shall be in a position to manage, control and be responsible for the performance of all its resources and maintain comprehensive records controlling the suitability of all the staff it uses in particular areas, whether they are employees, employed on contract or provided by external bodies.

G.2.2.3 The management of the certification body shall have the resources to enable it to determine whether or not, and procedures to ensure that, individual auditors are competent for the tasks they are required to perform within the scope of certification in which they are operating. The competence of auditors may be established by verified background experience, specific training or briefing. The certification body should be able to communicate effectively with all those whose services it uses.

G.2.2.4 Certification bodies shall have personnel competent to:

- a) select and verify the competence of auditors;
- b) brief auditors and arrange any necessary training;
- c) decide on the granting, maintaining, withdrawing, suspending, extending, or reducing of certifications;
- d) set up and operate an appeals, complaints and disputes procedure.

JAS-ANZ Guidance

J.2.2.1 The certification body shall involve an automotive technical specialist:

- a) in the certification decision-making process referred to in Clause 2.1.2 b);
- b) in selecting and verifying the competence of auditors;
- c) in the hearing of appeals.

2.2.2 Qualification criteria for auditors and technical experts

2.2.2.1 In order to ensure that assessments are carried out effectively and uniformly, the minimum relevant criteria for competence shall be defined by the certification body.

2.2.2.2 Auditors shall meet the requirements of the appropriate international documentation. For the assessment of a management system under the Guide to the Registered Automotive Workshop Scheme, the relevant guidelines for auditing are those defined in ISO 10011-1 and the relevant criteria for auditors are those defined in ISO 10011-2.

2.2.2.3 Technical experts are not required to comply with the requirements for auditors covered in ISO 10011-2. Guidance on their personal attributes may be obtained from ISO 10011-2:1991, Clause 7.

2.2.3 Selection procedure

2.2.3.1 Selection of auditors and technical experts, in general

The certification body shall have a procedure for:

- a) selecting auditors and, if applicable, technical experts, on the basis of their competence, training, qualifications and experience;
- b) initially assessing the conduct of auditors and technical experts during assessments, and subsequently monitoring the performance of auditors and technical experts.

IAF Guidance (modified)

G.2.2.5 Clause 2.2.3.1.b) requires the certification body to assess and monitor the conduct and performance of auditors and technical experts. Such assessment and monitoring should include witnessing the activities of the auditors and technical experts on-site.

2.2.3.2 Assignment for a specific assessment

When selecting the audit team to be appointed for a specific assessment, the certification body shall ensure that the skills brought to each assignment are appropriate. The team shall:

- a) be familiar with the applicable legal regulations, certification procedures and certification requirements;
- b) have a thorough knowledge of the relevant assessment method and assessment documents;
- c) have appropriate technical knowledge of the specific activities for which certification is sought and, where relevant, with associated procedures and their potential for failure (technical experts who are not auditors may fulfil this function);

- d) **have a degree of understanding sufficient to make a reliable assessment of the competence of the automotive workshop to provide products, processes or services in its certified scope;**
- e) **be able to communicate effectively, both in writing and orally, in the required languages;**
- f) **be free from any interest that might cause team members to act in other than an impartial or nondiscriminatory manner, for example:**
 - 1) **audit team members or their organization shall not have provided consulting services to the applicant or certified automotive workshop which compromise the certification process and decision;**
 - 2) **in accordance with the directives of the certification body, the audit team members shall inform the certification body, prior to the assessment, about any existing, former or envisaged link between themselves or their organization and the automotive workshop to be assessed.**

IAF Guidance (modified)

G.2.2.6 It is a condition of accreditation that accredited certificates are not issued until adequate resources can be deployed to conduct audits meeting the requirements of this document. The certification body's procedures shall ensure that staff employed to assess automotive workshops are competent in the field in which they are operating. Staff responsible for managing audits shall be identified and their competencies documented.

G.2.2.7 All assessment team members need a general understanding and background knowledge sufficient to ensure that they understand the requirements relating to the system they are assessing.

G.2.2.8 The above requires that the assessment team, deployed in each case by a certification body to conduct an audit of an automotive workshop, needs to know what criteria from the Guide to the Registered Automotive Workshop Scheme are relevant to the automotive workshop in question. The assessment team shall have the necessary competence to determine whether or not a particular automotive workshop complies with the criteria in a manner that gives adequate confidence that the service supplied can be assured to meet specified requirements.

G.2.2.9 In certain instances, particularly where there are critical requirements and special procedures, the background knowledge of the audit team may be supplemented by briefing, specific training or experts in attendance. The certification body may attach non-auditor experts to their assessment teams. If a certification body does use technical experts, its systems shall include details of how technical experts are selected and how their technical knowledge is assured on a continuing basis. The certification body may rely on outside help, for example, from the automotive industry or professional institutions.

G.2.2.10 The requirements of Clause 2.1 and Clause 2.2.3.2 have a bearing on the employment of people who have provided consultancy. See Clause G.2.1.24.

JAS-ANZ Guidance

J.2.2.2 The certification body shall include an automotive technical specialist on all audit teams.

J.2.2.3 The certification body shall ensure that:

- a) all team members hold the ANZSIC code(s) relevant to the automotive workshop being assessed (this requirement does not preclude the supervised attendance of observers or auditors in training);
- b) all team members have at least a general understanding of the scope of the Australian Design Rules and the content of the Guide to the Registered Automotive Workshop Scheme;
- c) at least one member of all audit teams meets the requirements for a lead auditor in ISO 10011-2 and can demonstrate experience in auditing the design elements of ISO 9001:2000.

2.2.4 Contracting of assessment personnel

The certification body shall require the personnel involved in the assessment to sign a contract or other document by which they commit themselves to comply with the rules defined by the certification body, including those relating to confidentiality and those relating to independence from commercial and other interests, and any prior and/or present link with the automotive workshops to be assessed. The certification body shall ensure that, and document how, any subcontracted assessment personnel satisfy all the requirements for assessment personnel outlined in these criteria.

2.2.5 Assessment personnel records

2.2.5.1 The certification body shall possess and maintain up-to-date records on assessment personnel, consisting of:

- a) **name and address;**
- b) **affiliation and position held in the organization;**
- c) **educational qualifications and professional status;**
- d) **experience and training in each field of competence of the certification body;**
- e) **date of most recent updating of records;**
- f) **performance appraisal.**

2.2.5.2 The certification body shall ensure, and verify, that any subcontracted body maintains records, which satisfy the requirements of these criteria, of assessment personnel who are subcontracted to the certification body.

2.2.6 Procedures for audit teams

Audit teams shall be provided with up-to-date assessment instructions and all relevant information on certification arrangements and procedures.

2.3 Changes in the certification requirements

The certification body shall give due notice of any changes it intends to make in its requirements for certification. It shall take account of views expressed by the interested parties before deciding on the precise form and effective date of the changes. Following a decision on, and publication of, the changed requirements it shall verify that each certified automotive workshop carries out any necessary adjustments to its procedures within such time as, in the opinion of the certification body, is reasonable.

2.4 Appeals, complaints and disputes

2.4.1 Appeals, complaints and disputes brought before the certification body by automotive workshops or other parties shall be subject to the procedures of the certification body.

2.4.2 The certification body shall:

- a) keep a record of all appeals, complaints and disputes, and remedial actions relative to certification;**
- b) take appropriate corrective and preventive action;**
- c) document the actions taken and assess their effectiveness.**

IAF Guidance (modified)

G.2.4.1 Complaints represent a source of information as to possible nonconformity. On receipt of a complaint the certification body shall establish, and where appropriate take action on, the cause of the nonconformity, including any predetermining (or predisposing) factors within the certification body's management system.

G.2.4.2 The certification body should use such investigation to develop remedial / corrective action, which should include measures for:

- a) restoring certification as quickly as practicable;**
- b) preventing recurrence;**
- c) assessing the effectiveness of the remedial / corrective measures adopted.**

Section 3: Requirements for certification

3.1 Application for certification

3.1.1 Information on the procedure

3.1.1.1 A detailed description of the assessment and certification procedure, the documents containing the requirements for certification, and documents describing the rights and duties of certified automotive workshops, shall be maintained up to date as specified in Clause 2.1.7.1, and shall be provided to applicants and certified automotive workshops.

3.1.1.2 The certification body shall require that an automotive workshop:

- a)** always complies with the relevant provisions of ISO 9001:2000 and the Guide to the Registered Automotive Workshop Scheme;
- b)** makes all necessary arrangements for the conduct of the assessment, including provision for examining documentation and the access to all areas, records (including internal audit reports) and personnel for the purposes of assessment, surveillance, reassessment and resolution of complaints;
- c)** only claims that it is certified with respect to those activities for which it has been granted certification;
- d)** does not use its certification in such a manner as to bring the certification body into disrepute, and does not make any statement regarding its certification which the certification body may consider misleading or unauthorised;
- e)** upon suspension or withdrawal of its certification (however determined), discontinues use of all advertising matter that contains any reference thereto and returns any certification documents as required by the certification body;
- f)** uses certification only to indicate that the system for modifying and inspecting imported used vehicles conforms with ISO 9001:2000 and the Guide to the Registered Automotive Workshop Scheme, and does not use its certification to imply that a product or service is approved by the certification body;
- g)** ensures that no certification document, mark or report, or any part thereof, is used in a misleading manner;
- h)** in making reference to its certification in communication media such as documents, brochures or advertising, complies with the requirements of the certification body.

3.1.1.3 When the desired scope of certification is related to a specific program, any necessary explanation shall be provided to the applicant.

3.1.1.4 If requested, additional application information shall be provided to the applicant.

3.1.2 The application

3.1.2.1 The certification body shall require an official application form, completed and signed by the authorized representative of the applicant, in which or attached to which:

- a) the scope of the desired certification is defined;
- b) the applicant agrees to comply with the requirements for certification and to supply any information needed for its evaluation.

3.1.2.2 At least the following information shall be provided by the applicant prior to the on-site assessment:

- a) the general features of the applicant, such as corporate entity, name, addresses, legal status and, where relevant, human and technical resources;
- b) general information concerning the automotive workshop and its activities;
- c) a description of the system to be certified;
- d) a copy of any quality manual and associated documentation.

The information gathered from the application documentation and the quality manual review may be used for the preparation of the on-site assessment and shall be treated with appropriate confidentiality.

JAS-ANZ Guidance

J.3.1.1 In the context of this program, the "quality manual and associated documentation" referred to at Clause 3.1.2.2 d) means the policies and procedures required by the Department.

J.3.1.2 The scope of certification shall be identified using four digit ANZSIC codes, and shall at least provide for certification of an automotive workshop under one of the following categories:

- a) importing and modifying motorcycles to comply with the Motor Vehicle Standards Act 1989 in accordance with the Guide to the Registered Automotive Workshop Scheme;
- b) importing and modifying right-hand drive vehicles to comply with the Motor Vehicle Standards Act 1989 in accordance with the Guide to the Registered Automotive Workshop Scheme;
- c) importing and modifying left-hand drive vehicles to comply with the Motor Vehicle Standards Act 1989 in accordance with the Guide to the Registered Automotive Workshop Scheme.

3.2 Preparation for assessment

3.2.1 Before proceeding with the assessment, the certification body shall conduct, and maintain records of, a review of the request for certification to ensure that:

- a) the requirements for certification are clearly defined, documented and understood;**
- b) any difference in understanding between the certification body and the applicant is resolved;**
- c) the certification body has the capability to perform the certification service with respect to the scope of the certification sought, the location of the applicant's operations, and any special requirements such as the language used by the applicant.**

3.2.2 The certification body shall prepare a plan for its assessment activities to allow for the necessary arrangements to be made.

3.2.3 The certification body shall nominate a qualified audit team to evaluate all material collected from the applicant and to conduct the audit on its behalf. Experts in the areas to be assessed may be attached to the certification body's team as advisers.

3.2.4 The automotive workshop shall be informed of the names of the members of the audit team who will carry out the assessment, with sufficient notice to appeal against the appointment of any particular auditors or experts.

3.2.5 The audit team shall be formally appointed and provided with the appropriate working documents. The plan for and the date of the audit shall be agreed with the automotive workshop. The mandate given to the audit team shall be clearly defined and made known to the automotive workshop, and shall require the audit team to examine the structure, policies and procedures of the automotive workshop, and confirm that these meet all the requirements relevant to the scope of certification, and that the procedures are implemented and are such as to give confidence in the products, processes or services of the automotive workshop.

3.3 Assessment

The audit team shall assess the management system of the automotive workshop covered by the defined scope against all applicable certification requirements.

IAF Guidance (modified)

G.3.3.1 Certification bodies shall allow auditors sufficient time to undertake all activities relating to an assessment or re-assessment. The time allocated should be based on such factors as the size of the automotive workshop to be certified. Annex 1 provides guidance on audit duration. The certification body shall be prepared to substantiate or justify the amount of time used in any assessment, surveillance or reassessment.

JAS-ANZ Guidance

J.3.3.1 Audit methodology

A certification body shall perform its audit of an automotive workshop's management system in at least two stages, unless the automotive workshop is already certified to ISO 9001:2000. For the purposes of this guidance, the two stages are described as audit (stage 1) and audit (stage 2). The key objectives of each, together with the minimum coverage, are described below and detailed in the Guide to the Registered Automotive Workshop Scheme.

J.3.3.2 Audit (stage 1)

- a) The objective of the audit (stage 1) is to ensure that the automotive workshop has developed and documented a system which addresses the requirements of ISO 9001:2000 and the Guide to the Registered Automotive Workshop Scheme.
- b) The audit (stage 1) comprises (but is not restricted to), the document review. In every case the document review shall be completed, and all major nonconformities as defined in Clause J.1.3.1 shall have been corrected and the correction verified, prior to the commencement of the audit (stage 2).
- c) After the audit (stage 1) is completed and any nonconformities addressed, the certification body shall advise the automotive workshop to notify the Department of the result, so that the Department can approve the import of a used vehicle for modification.

J.3.3.3 The certification body shall obtain at least the following information as part of the audit (stage 1), and shall make the automotive workshop aware that this information may be required for detailed inspection during the audit (stage 2):

- a) licence/permit requirements;
- b) records (including records of incidents, breaches of regulation or legislation and relevant correspondence with the Department) on which the automotive workshop based its assessment of compliance with regulatory requirements;
- c) records of any communications received relating to the Registered Automotive Workshop scheme and any actions taken in response to them.

J.3.3.4 Audit (stage 2)

- a) The audit (stage 2) always takes place at the premises of the automotive workshop. The audit (stage 2) shall not take place until the automotive workshop has obtained approval from the Department to import a used vehicle for modification, and that vehicle as modified is available for inspection at the premises of the automotive workshop. The modification of that vehicle must be completed before the audit (stage 2) takes place, as it will be used to demonstrate that the documented system is effectively implemented.
- b) The objective of the audit (stage 2) is to ensure that the system which addresses the requirements of ISO 9001:2000 and the Guide to the Registered Automotive Workshop Scheme is fully implemented and complied with.

- c) After the audit (stage 2) is completed and action has been taken to correct or downgrade any major nonconformities as defined in Clause J.1.3.1 and the corrective action verified, the certification body shall advise the automotive workshop to notify the Department of the result, so that the Department can inspect the modified vehicle.
- d) This satisfactorily concludes the assessment by the certification body for certification to ISO 9001:2000 for the purposes of the Registered Automotive Workshop scheme. Once the Department advises the certification body of its satisfaction with the vehicle inspection and related documentation, the certification body will issue the workshop an ISO 9001:2000 certificate which also recognises the fact that the automotive workshop meets the requirements of the Guide to the Registered Automotive Workshop Scheme.

J.3.3.5 Regulatory compliance

- a) The maintenance and evaluation of legal compliance is the responsibility of the automotive workshop. The certification body shall restrict itself to checks and samples in order to establish confidence that the management system functions in this regard.
- b) The certification body shall verify that the automotive workshop has evaluated regulatory compliance and can show that action has been taken where nonconformity with the Guide to the Registered Automotive Workshop Scheme or the legal obligations identified in Clause J.3.4.1 has been detected.

J.3.3.6 The certification body shall also have procedures to:

- a) ensure that any major nonconformity which equates to the definition at Clause J.1.3.1 is reported to the Department in writing within 3 working days (preferably by fax or email);
- b) require an adequate response from the workshop within 7 working days of the audit on:
 - 1) the cause of the nonconformity;
 - 2) the corrective action proposed, including the implementation date;
 - 3) where applicable, the identification of vehicles that have been fitted with a nonstandard plate that need to be reinspected and rectified to ensure compliance;
 - 4) the action taken, where applicable, to notify the Minister for Financial Services and Regulation on the institution of a recall under the Trade Practices Act in accordance with the Procedures for the Recall of Vehicles and Associated Products with Safety Related Defects.
- c) ensure that if an adequate response is not received within the specified period, the Department is advised in writing within 8 working days of the audit;
- d) forward any response from the automotive workshop to the Department on receipt;

- e) cooperate with the Department in the resolution of the major nonconformity in relation to suspension or withdrawal of certification to the Guide to the Registered Automotive Workshop Scheme, where the major nonconformity is not resolved to the satisfaction of the Department.

It is important that the automotive workshop is advised of these procedures in advance. See Clause 2.1.7.1.

J.3.3.7 It is acceptable for the automotive workshop to combine the documentation for its management system which ensures compliance with the Guide to the Registered Automotive Workshop Scheme with the documentation for other management systems (such as for environment), as long as the management system which ensures compliance with the Guide to the Registered Automotive Workshop Scheme can be clearly identified together with the appropriate interfaces to the other systems.

J.3.3.8 The audit of the management system which ensures compliance with the Guide to the Registered Automotive Workshop Scheme can be combined with audits of other management systems, provided the audit satisfies all requirements for certification of the automotive workshop under the Guide to the Registered Automotive Workshop Scheme. All the elements important to the Guide to the Registered Automotive Workshop Scheme shall appear clearly, and be readily identifiable, in the audit reports. The quality of the audit shall not be adversely affected by the combination of the audits.

3.4 Assessment report

3.4.1 The certification body may adopt reporting procedures that suit its needs but, as a minimum, these procedures shall ensure that:

- a) **a meeting takes place between the audit team and the automotive workshop's management prior to leaving the premises, at which the audit team provides a written indication regarding the conformity of the automotive workshop with the particular certification requirements and provides an opportunity for staff of the automotive workshop to ask questions about the findings and their basis;**
- b) **the audit team provides the certification body with a report of its findings as to the conformity of the automotive workshop with all of the certification requirements;**
- c) **a report on the outcome of the assessment is brought to the automotive workshop's attention by the certification body promptly and within a defined time frame, identifying any nonconformity to be discharged in order to comply with all of the certification requirements;**

- d) **the certification body shall invite the management of the automotive workshop to comment on the report and to describe the specific actions taken, or planned to be taken within a defined time, to remedy any nonconformity with the certification requirements identified during the assessment, and shall inform the management of the need for full or partial reassessment or whether a written declaration to be confirmed during surveillance will be considered adequate;**
- e) **the report shall contain as a minimum:**
 - 1) **the date(s) of the audit(s);**
 - 2) **the names of the person(s) in the audit team and the person(s) responsible for the report;**
 - 3) **the name and address of the automotive workshop;**
 - 4) **the assessed scope of certification or reference thereto, including reference to ISO 9001:2000 and the Guide to the Registered Automotive Workshop Scheme;**
 - 5) **comments on the conformity of the automotive workshop's management system with ISO 9001:2000 and the Guide to the Registered Automotive Workshop Scheme, with a clear statement of nonconformity and, where applicable, any useful comparison with the results of previous assessments of the automotive workshop;**
 - 6) **an explanation of any differences from the information presented to the automotive workshop at the closing meeting.**

3.4.2 If the report authorized by the certification body differs from the written indication referred to in Clause 3.4.1 a) or the report referred to in Clauses 3.4.1 c) and e), it shall be submitted to the automotive workshop with an explanation of the differences from the previous written indication or report. The report shall take into consideration:

- a) **the qualification, experience and authority of the staff encountered;**
- b) **the adequacy of the internal organization and procedures adopted by the applicant body to give confidence in the management system;**
- c) **the actions taken to correct identified nonconformities including, where applicable, those identified at previous assessments.**

JAS-ANZ Guidance

J.3.4.1 Each audit report issued by the certification body must specifically include a statement that the automotive workshop's management system addresses compliance (or otherwise) with applicable legal obligations including but not limited to:

- a) **Council requirements for appropriate zoning of the workshop premises;**
- b) **State/Territory requirements for a motor vehicle dealer's licence;**
- c) **State/Territory requirements for roadworthiness of vehicles produced;**
- d) **Occupational health & safety requirements;**
- e) **Australian Customs Service import requirements for used motor vehicles.**

3.5 Decision on certification

3.5.1 The decision whether or not to certify an automotive workshop shall be taken by the certification body on the basis of the information gathered during the certification process and any other relevant information. Those who make the certification decision shall not have participated in the audit.

3.5.2 The certification body shall not delegate authority for granting, maintaining, extending, reducing, suspending or withdrawing certification to an outside person or body.

3.5.3 The certification body shall provide to each of its automotive workshops that is certified, certification documents such as a letter or a certificate signed by an officer who has been assigned such responsibility. These documents shall identify, for the automotive workshop covered by the certification:

- a) the name and address;
- b) that the certification has been granted as an automotive workshop that meets the requirements of ISO 9001:2000 and the Guide to the Registered Automotive Workshop Scheme, together with a description of the category of the automotive workshop (the "scope");
- c) the effective date of certification and the term for which the certification is valid.

3.5.4 Any application for amendment to the scope of a certification that has already been granted shall be processed by the certification body. The certification body shall decide what, if any, assessment procedure is appropriate to determine whether or not the amendment should be granted and shall act accordingly.

IAF Guidance (modified)

G.3.5.1 The information gathered during the certification process should be sufficient:

- a) for the certification body to be able to take an informed decision on certification;
- b) for traceability to be available in the event, for example, of an appeal or for planning for the next audit (possibly by a different team);
- c) to ensure continuity.

In addition to the requirements for reporting at Clause 3.4.1 e), this information should cover:

- d) the degree of reliance that can be placed on the internal audit;
- e) a summary of the most important observations, positive as well as negative, regarding the compliance of the automotive workshop;
- f) the conclusions reached by the audit team.

G.3.5.2 Certification shall not be granted until all major nonconformities as defined in Clause J.1.3.1 have been corrected and the correction verified.

G.3.5.3 Clause 3.5.3 c) requires that a certification document shall include a statement of the term of validity. The term of validity of a certification should be compatible with the arrangements for re-assessment (i.e. 3 years).

JAS-ANZ Guidance

J.3.5.1 The scope of the certification granted shall be described on the certification documents according to at least one of the categories defined by the Department at Clause J.3.1.2.

J.3.5.2 The requirements at Clause J.3.3.4 d) shall apply.

J.3.5.3 The certification body shall not issue a certificate to ISO 9001:2000 until it is satisfied that the automotive workshop's management system addresses compliance with applicable legal obligations. Refer to Clause J.3.4.1.

J.3.5.4 The certification body shall not renew or continue the certification of the automotive workshop beyond three years without obtaining the approval of the Department. The Department may require a successful inspection of one or more vehicles prior to approving continuation of certification and registration.

3.6 Surveillance and reassessment procedures

3.6.1 The certification body shall carry out periodic surveillance and reassessment at sufficiently close intervals to verify that its automotive workshops continue to comply with the certification requirements.

IAF Guidance (modified)

G.3.6.1 Surveillance undertaken by the certification body shall give assurance that its certified automotive workshops continue to comply with the requirements of the standard to which they are certified. The certification body should have the facilities and procedures to enable it to achieve this.

JAS-ANZ Guidance

J.3.6.1 Surveillance of workshops shall be undertaken every 6 months. In the absence of any major nonconformity in two consecutive audits (excluding audits prior to certification but including surveillance and reassessment audits), the frequency of surveillance may be reduced to annual.

J.3.6.2 Reassessment of automotive workshops shall be undertaken every three years.

J.3.6.3 The certification body is required to report any major nonconformity detected at surveillance or reassessment which equates to the definition at Clause J.1.3.1 to the Department, in accordance with Clause J.3.3.6, and the Department may subsequently issue such instructions as it sees fit to the automotive workshop to deal with the major nonconformity. If a major nonconformity is identified, the certification body shall reinstate 6 monthly surveillance visits.

3.6.2 Surveillance and reassessment procedures shall be consistent with those concerning the assessment of the automotive workshop as described in these criteria.

IAF Guidance (modified)

G.3.6.2 Surveillance programs shall normally include or pay attention to:

- a) an interview with responsible management;
- b) the effectiveness of the management system with regard to achieving its objectives;
- c) changes to the system;
- d) the system maintenance elements, which are internal audit, management review and preventive and corrective action;
- e) the functioning of procedures for receiving, documenting and responding to customer complaints and communications from the Department;
- f) the functioning of procedures for the periodic evaluation and review of compliance with relevant legislation and regulations;
- g) progress of planned activities aimed at continual improvement of management system performance;
- h) action taken on nonconformities identified during the last audit;
- i) use of marks and logos;
- j) selected elements from ISO 9001:2000 and criteria from the Guide to the Registered Automotive Workshop Scheme.

G.3.6.3 The surveillance activities shall be subject to special provision if a certified automotive workshop makes major modifications to its system or if other changes take place which could affect the basis of its certification.

G.3.6.4 During surveillance audits certification bodies should check the records of appeals, complaints and disputes brought before the certification body, and where any nonconformity or failure to meet the requirements of certification by the automotive workshop to be audited is revealed, that the automotive workshop has investigated its own systems and procedures and taken appropriate corrective action.

G.3.6.5 A surveillance report should contain, in addition to the information required by Clause G.3.5.1, a report on the clearing of each nonconformity revealed previously.

G.3.6.6 The certification body should adapt its surveillance program to the issues related to the automotive workshop and justify this program to JAS-ANZ.

G.3.6.7 The surveillance program of the certification body should be determined by the certification body taking into account the automotive workshop's internal audit program and the reliability that can be attributed to it.

G.3.6.8 Surveillance audits may be combined with audits of other management systems. The reporting should then clearly indicate the aspects relevant for each management system.

G.3.6.9 The purpose of re-assessment is to verify overall continuing effectiveness of the automotive workshop's management system in its entirety. The re-assessment should provide for a review of past performance of the system over the period of certification. The re-assessment program should take into consideration the results of the above review and should at least ensure:

- a) the effective inter-action between all elements of the system;
- b) the overall effectiveness of the system in its entirety in the light of changes in operations;
- c) demonstrated commitment to maintain the effectiveness of the system.

3.7 Use of certificates and logos

3.7.1 The certification body shall exercise proper control over ownership, use and display of its certification mark and logos.

3.7.2 If the certification body confers the right to use a symbol or logo to indicate certification of an automotive workshop, the automotive workshop may use the specified symbol or logo only as authorized in writing by the certification body. This symbol or logo shall not be used on a product, or in a way that may be interpreted as denoting product conformity.

3.7.3 The certification body shall take suitable action to deal with incorrect references to the certification system or misleading use of certificates and logos found in advertisements, brochures, websites, etc.

NOTE 4: such action could include corrective action, withdrawal of certificate, publication of the transgression and, if necessary, other legal action.

IAF Guidance (modified)

G.3.7.1 An accredited certificate shall state the name of the certification body that issued it. It should be made clear that the certificate is issued within the accredited scope of the certification body.

G.3.7.2 All certificates issued under the Registered Automotive Workshops scheme shall bear the JAS-ANZ mark.

G.3.7.3 The certification body should have documented procedures for the use of its mark, and for the procedures it is to follow in case of misuse, including false claims as to certification and false use of certification body marks.

G.3.7.4 If a certification body incorrectly claims accredited status for certificates issued before appropriate accreditation has been granted, JAS-ANZ may require it subsequently to withdraw them. Where, for reasons that should be stated to the certification body, JAS-ANZ restricts the scope of its accreditation to part only of one of the standard scope headings, this fact may be made public by JAS-ANZ.

G.3.7.5 The provisions in Clause 3.7.1 referring to “certification mark and logos” and that in Clause 3.7.2 referring to a “symbol or logo” are both applicable to marks, logos and symbols.

G.3.7.6 The certification body should allow neither the accreditation mark nor the certification mark to be used on vehicles.

G.3.7.7 A certification body should have procedures to ensure that certified automotive workshops do not allow its marks to be used in a way which may be likely to confuse purchasers.

3.8 Access to records of communications with external interested parties

The certification body shall require each certified automotive workshop to make available to the certification body, when requested, the records of all communications including complaints and action taken in accordance with the requirements of the Registered Automotive Workshop scheme.

IAF Guidance (modified)

G.3.8.1 Clause 3.8 deals only with communications including complaints received by the certificate holder (automotive workshop), not by the certification body.

G.3.8.2 Complaints represent a source of information as to possible nonconformity. On receipt of a complaint the certified automotive workshop should establish, and where appropriate report on, the cause of the nonconformity, including any predetermining (or predisposing) factors within the automotive workshop’s management system.

G.3.8.3 During surveillance audits certification bodies should check where any such nonconformity or failure to meet the requirements of the Guide to the Registered Automotive Workshop Scheme is revealed, that the automotive workshop has investigated its own systems and procedures and taken appropriate corrective action.

G.3.8.4 The certification body should satisfy itself that the automotive workshop is using such investigations to develop remedial / corrective action, which should include measures for:

- a) notifying appropriate authorities if required by regulation;
- b) restoring conformity as quickly as practicable;
- c) preventing recurrence;
- d) evaluating and mitigating any adverse impacts;
- e) ensuring satisfactory interaction with other components of the automotive workshop's management system;
- f) assessing the effectiveness of the remedial / corrective measures adopted.

G.3.8.5 The implementation of the remedial / corrective action should not be deemed to have been completed until its effectiveness has been demonstrated and the necessary changes made in the procedures, documentation and records.

JAS-ANZ Guidance

J.3.8.1 "Communications" includes "complaints".

ANNEX 1 – ASSESSMENT TIMES

The table below provides guidance on the amount of time required by the certification body for the assessment of automotive workshops of various sizes. It does this by indicating the number of auditor-days required to be spent by the certification body on each automotive workshop on initial assessment, annual surveillance and reassessment every third year.

The certification body should have a procedure for determining the amount of time necessary, which should allow flexibility in the light of what is found during an assessment. Where less time than that proposed below is used then the justification shall be recorded on each occasion.

It is clearly understood that some automotive workshops of a particular size will need more time and some less. Factors influencing the amount of time may include:

- a) whether the automotive workshop is at the top or bottom end of the size range;
- b) the state and maturity of its management system and what is known on its own internal audit procedures;
- c) whether the management system is stable or developing;
- d) whether the automotive workshop is registered for conversion of left-hand drive vehicles (this will require additional time).

In the table below the auditor days shown in the “Total” columns are meant to cover all necessary activities including document review, team briefing, planning, audit and final reporting connected with assessment and surveillance against ISO 9001:2000 and the requirements of the Guide to the Registered Automotive Workshop Scheme, but it excludes travelling time, pre-assessment and preliminary evaluations. The auditor days shown in the "On-site min." columns are based on an 8 hour working day including 1 hour for lunch, and exclude all activities other than auditing. If report writing is done on site, the time allowed shall be additional to the 8 hour day.

Number of employees	Initial assessment (Auditor Days)		Annual surveillance (Auditor Days)		Re-assessment (Auditor Days)	
	Total	On-site min.	Total	On-site min.	Total	On-site min.
less than 5	2.0	1.0	1.5	1.0	1.5	1.0
5 - 9	3.0	2.0	1.5	1.0	1.5	1.0
10 - 19	3.0	2.0	1.5	1.0	2.5	2.0

This table should be read in conjunction with Clauses 3.3 and 3.6 of this document.