



Global-Mark P/L

Management Document MSP-00

Title: **Introduction to our Management Systems**

Type of Document: **Procedure**

This document is external



Document Information and Revision History

Document Number	MSP-00
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Revision History

Revision	Date	Author(s)	Notes
1	15/1/2005	Herve Michoux	Original Release
2	3/3/2005	Herve Michoux	Changed the section of related bodies
3	18/1/2007	Herve Michoux	Upgraded to reflect ISO17021 requirements
4	18/03/08	Mark Crawford	Section 2.8 Added process for providing services in new areas to meet SQF 2000 requirements.
5	10/8/2008	Herve Michoux	Updated after JASANZ audit based on ISO17021
6	14/9/2008	Herve Michoux	Updated to reflect JASANZ added issues on ISO17021
7	9/6/2009	Herve Michoux	Updated the Board structure and Governance
8	23/6/2009	Herve Michoux	Updated to better present the Governance Structure
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1 Why do we have this document

This document describes how we have structured our management systems and how to access these.

2 Important Information about Global-Mark Pty Ltd

2.1 When did the company start?

The company was created in 02/2004 (under the name Benchmark Global Group Pty Ltd), then was renamed Global-Mark Pty Ltd in 12/2004, and started trading actively in January 2005.

2.2 Legal Status

Global-Mark Pty Ltd is a privately owner company, registered in Queensland as a Propriety Limited company.

2.3 Shareholders and related bodies

The shareholders are:

- Herve and Maria Michoux, controlling interest (via Holding Companies)
- The Friends of Global-Mark Fund: a fund created for the staff and contractors to have long term equity and profit sharing in the company. Membership to the fund is voluntary, and the fund can have up to 20% of the shares of the company (class B shares). Employees and contractors who wish to invest in the Friends of Global-Mark fund, must meet the entry criteria, and will be allocated shares in the fund, proportional to their investments. Rules are in place, and administered by external accountants for the management of the fund, purchase and sale of shares.
- Subcontractors who deliver certification services on behalf of Global-Mark: the subcontractor agreement provides a strict framework to identify and prevents instances of conflict of interest and breach of confidentiality.
- World Export Pty Ltd and National Standards (registered in Australia and New Zealand): both companies are controlled by Herve Michoux
- Industry alliance partners with which we will seek to offer innovative and tailored solutions
- Laboratories and inspection companies or personnel with which we will work in our product conformance program
- Overseas organisation with which we have a “distribution agreement” to deliver Global-Mark services (within a specified scope) in their country

Note: class B shares have no voting rights, cannot sell their shares except for Herve or Maria Michoux, and do not have any rights with regards to winding down of the company, except in case of the death of Herve and Maria Michoux.

2.3.1 Potential conflict of interests (existing before and during the delivery of certification services)

Global-Mark defines “an unacceptable threat” to its impartiality any instance where the independence of the company or individual representative the company can be compromised or seen to be compromised. This can occur before, during or after an audit/review and could be one or more individuals.

Conflict of interest may arise in the following situations or relationships (the following represents our identified instances where impartiality may be compromised together with the analysis of how these could impact):

- CM is or was the consultant, or is related to the consultant for this Client
- CM works for a consultant and that consultant was involved with a Client
- CM, PM or MD is a shareholder or has an interest in the Client
- CM, PM or MD are keen to certify Clients to make more income/profits
- CM, PM or MD are shareholders of Global-Mark (directly or indirectly) and could be keen to certify or reject a Client to make more profits
- CM, PM or MD is close to the consultant who is referring a lot of work to Global-Mark and may be pushed into making certification easier
- CM, PM or MD is close to the Client who will be referring a lot of work to Global-Mark and may be pushed into making certification easier
- Advisory, Review or Appeals Council member is involved with the Client being considered or discussed.



Note: indirectly involvement may include brother, wife, holding company etc. This is also included in the above instances.

2.4 Instances where the provision of Certification could give rise to conflict of interest

This issue was raised by JASANZ on the 12/9/2008. Such instances may arise when:

- We are certifying a company that deals with Global-Mark or the auditor personally (example: a plumbing company used by the auditor becomes a Client and the auditor is appointed to audit the firm)
- We offer Certification services to a company employing a family members, friend or business partner
- We are blackmailed into issuing certification because of a decision we made with an other company or in another situation, and we are expected to make the same decision
- Other reason's not foreseen above

2.5 Managing potential or actual conflict of interests

The following rules govern and systems control potential conflict of interests:

- All Global-Mark PM and MD are employed by Global-Mark. Their letter of employment does not allow them to provide any consulting services outside of their employment with Global-Mark
- Past employment, consulting and shareholding: no CM, PM or MD can be involved with a Client if he/she has directly or indirectly had any conflict of interest in the last 2 years. There needs to be a full 2 year separation of interests before a CM, PM or MD can be involved with the Client.
- Subcontract Agreement, as presented in the Contractor Pack is very strict and requires CM's and any other contractor to report conflict of interest situations
- Global-Mark does not contract with consultancy firms, but only with individuals (irrespective of their employment or relationships with others).
- The code of conduct G-01 establishes the conduct of GM representatives and deals with conflicts of interest.
- In the case of World Export and National Standards or other companies influenced by Herve Michoux or other Global-Mark personnel, it is required that the personnel who has the conflict of interest will not have any involvement in the review, approval of the file. This will be delegated to another Program Manager and recorded on the file
- All Council members have to sign a non-conflict of interest declaration, and would be expected to declare a conflict of interest if one arose.
- Industry alliance partners: we will ensure that the arrangements (based on the memorandum of understanding between the firms) are non exclusive, do not link advice/consulting to certification, and maintain the independence of the firms.
- Laboratories and inspection companies or personnel with which we will work in our product conformance program: we will ensure that our relationships are arms length, both firm remain independent and that reporting, when requested by Global-Mark is only presented to Global-Mark. Documented agreements will be in place stipulating these requirements.
- Overseas organisations may: deliver consultancy services, not be thorough in their assessments: the terms and conditions of the Global-Mark contract with these organisations is very strict on these issues: each office is subject to yearly audits, and each employee/contractor signs contractor agreement which is similar to that use in Australia. Each file reviewed and auditor is credentialed using the same review processes and people as a file/auditor based in Australia.
- Where a conflict of interest is created by starting the certification process; each Client Manager should report the Conflict of Interest to the Managing Director who will review the outcome and possible remedies, including allocating another Client Manager, declining to offer service, refer the decision to the Advisory Council, JASANZ or Police (in the case of fraud).

2.6 Global-Mark response to any treats to impartiality:

Global-Mark is committed to addressing seriously any treats to impartiality

Issues should be raised to:

- The Managing Director and/or
- The Advisory Council

Issues will be investigates, recorded and action taken to ensure any treat is addressed.



2.7 Global-Mark Undertakings:

Global-Mark will not:

- Offer certification when relationships that threaten impartiality cannot be eliminated or minimized.
- Certify a client when the company relationship with a management systems consultancy poses an unacceptable threat to impartiality.
- Accept to outsource reviews/audits to a management system consultancy organization.
- Undertake internal audit on behalf of or for Clients seeking certification

Global-Mark will:

- Ensure that no marketing is linked to management systems consultancy (either from Global-Mark or from the management consultancy firm).

All Client, Client Manager has the right to make representation to the Advisory Council should they have concerns on the Governance, processes of Global-Mark.

2.8 Board of Directors

- The Board of Directors consists of 1 member: Herve Michoux
- The Board meets at least once per year, to review and sign off business plan, budgets and strategies. The Board is responsible for the good and proper functioning of the company, corporate governance, and ensures that the company trades solvently.

2.9 Governance structure and processes

As a privately owned and managed organisation, Global-Mark has put in place a specific and detailed governance structure and processes as follows:

- Key governance forum: the Advisory Council. The Chair is available to receive comments, input or concerns from any staff, contractor, Client or other Stakeholders
- The Advisory Council oversees the complete operation of the organisation, from a policy and governance point of view. It is not a Board of Directors which is responsible to ensure the organisation can fulfill its responsibilities and remains solvent. However the Advisory Council has high level and significant powers and authorities on the running of the organisation
- No overrule policy: the MD/CM (Compliance Manager) cannot overrule a recommendation against certification made by an audit team or Client Manager. The MD cannot overrule the CM in the case of a recommendation against certification.
- All audit teams have the authority to terminate an audit/business review should they feel they do not have sufficient expertise.
- The Appeals Committee is involved in any Client Appeal against a decision of Global-Mark.

These processes are continually reviewed and updated to ensure these remain effective and remain up to date.

2.10 Financial Support

Financial support is provided in the following form:

- Seed funding from the shareholders (proportional to their shareholding),
- On-going support (if needed) by re-investing profits into the company, and/or providing additional equity

The company will not have any debts, leases or overdraft. It is planned that the company will have positive cash flow.

2.11 Insurance

The CSM will ensure that the company has and renews the following insurance policies:

- Directors and officers insurance
- Professional Liability
- Public Indemnity
- Workcover compensation

2.12 Controls in place to support the certification activities of the company:

The company is committed to providing sufficient resources to ensure that certification activities are well controlled and that certification decisions are sound, and can be defended. These include:



-
- Sufficient human resources, both in terms of competence, and number of resources
 - State of the art IT systems which will make access to information very quick and reliable, early identification of problems,
 - Strong culture and values, promoted at all levels of the company, and in all aspects of the company business. This starts for the MD's leadership and behaviour, but is also reflected in the type, caliber and nature of the people we recruit (as staff and contractors).
 - Where the provision of services in new areas is identified for example to operate in a dormant Food Sector Category the Advisory council or management team would seek expertise, and develop program accordingly.

2.13 Provision of consultancy or advisory services

The company does not and will not provide any form of advisory or consulting services.

2.14 Changes to Certification Standards, or Accreditation requirements

Should the standard or accreditation requirements change this are the steps to be taken:

- Advise: usually this will come from the Accreditation Body or regulator.
- The advise should be forwarded to the PM
- The PM will review the change and assess its impact (discuss at management review)
- Plan the transition: this could include:
 - Training our resources
 - Changing our management systems
 - Advising Clients
 - Developing a plan for the transition,
 - Implementing this plan

Should Global-Mark lose its accreditation, it will fully cooperate with JASANZ, including advising all client, (certified or not) that it has lost its accreditation, and providing a mailing list to JASANZ to allow it to notify clients.

2.15 Company constitution

The constitution of the company recognizes the 2 councils in place (advisory which meet at least once per year and appeals), and provides for the Board to recognize the input of these.

Also the constitution recognizes that the advisory council is responsible for ensuring that certification models, processes and decisions are independent and have appropriate integrity.

2.16 Access to technical expertise

It is important that Global-Mark have access to the necessary technical expertise for advice on matters directly relating to certification for technical areas, types of management system, product and geographic areas in we operates. Such advice may be provided externally or by certification body personnel. The Managing Director and Advisory Council ensure that this advise it available, from recognised and reputable sources.

2.17 Personnel involved in the management and delivery of certification activities

Global-Mark shall have, as part of its own organization, personnel having sufficient competence for managing the type and range of audit programs and other certification work performed. This responsibility is managed by the Managing Director with support from the Advisory Council.

Equally Global-Mark shall employ, or have access to, a sufficient number of auditors, including audit team leaders, and technical experts to cover all of its activities and to handle the volume of audit work performed.

Global-Mark shall use auditors and technical experts only for those certification activities where they have demonstrated competence.

Global-Mark shall identify training needs and shall offer or provide access to specific training to ensure its auditors, technical experts and other personnel involved in certification activities are competent for the functions they perform.

The group or individual that takes the decision on granting, maintaining, renewing, extending, reducing, suspending or withdrawing certification shall understand the applicable standard and certification requirements, and shall have demonstrated competence to evaluate the audit processes and related recommendations of the audit team.



Global-Mark will ensure the satisfactory performance of all personnel involved in the audit and certification activities. There shall be documented procedures and criteria for monitoring and measurement of the performance of all persons involved, based on the frequency of their usage and the level of risk linked to their activities. In particular, management shall review the competence of its personnel in the light of their performance in order to identify training needs.

Documented monitoring procedures for auditors include a combination of on-site observation, review of audit reports and feedback from clients or from the market and are defined in documented requirements drawn up in accordance with the relevant guidance provided in ISO 19011. This monitoring shall be designed in such a way as to minimize disturbance to the normal processes of certification, especially from the client's viewpoint.

Global-Mark periodically observes the performance of each auditor on-site. The frequency of on-site observations shall be based on need determined from all monitoring information available.

2.18 Publicly accessible information

Global-Mark maintains and make publicly accessible, or provide upon request, information describing its audit processes and certification processes for granting, maintaining, extending, renewing, reducing, suspending or withdrawing certification, and about the certification activities, types of management systems, product and geographical areas in which it operates.

Information provided by Global-Mark to any client or to the marketplace, including advertising, shall be accurate and not misleading.

The Global-Mark makes accessible information about certifications granted, suspended or withdrawn.

On request from any party, the certification body shall provide the means to confirm the validity of a given certification.

All information is on our web site (www.global-mark.com.au) or the JASANZ web site (www.jas-anz.com.au) or available from our office: customer.service@Global-Mark.com.au

3 Policy, vision, mission and values

Refer to the powepoint document called Living Policies.

Global-Mark and any of its officers, in any activity cannot and should not discriminate against any client, its people, systems or products. This applies in all aspects of our business and our behaviors.

4 Organisation structure

Refer to the power point document called Organisation Chart.

The Management Representative as defined by ISO9001 clause 2.1.4.2 is the Managing Director, who has ultimate responsibility and accountability for maintaining the management system within the company, its suitability and effectiveness in delivering to Client expectations and company objectives.

4.1 Key Authorities and Responsibilities

Authorities and Responsibilities	Who
Performance of assessment testing and certification;	CM and above
The formulation of policy matters;	MD, CSM and PM
Decisions on certification;	PM, MD, Compliance Manager
Supervision of the implementation of its policies;	MD, CSM and PM



Supervision of the finances;	MD, CSM
The delegation of authority to committees or individuals,;	MD
Who is the designate person with direct access to its highest executive level who with defined authority to ensure that the management is established, implemented and maintained in accordance with JASANZ requirements	MD
Who is the designate person with direct access to its highest executive level who with defined authority to report on the performance of the management system for review and as a basis for improvement of the system? / Management Representative as per ISO9001	MD



5 Management system structure

Refer to the document called Hierarchy of documents.

However the system has been developed using the following principle:

- Non-core technical activities (ex: document control, internal audits etc). These procedures are company wide, and apply irrespective of the program.
- Core technical activities (certification process). The process has been broken down into the following key tasks:
 - People management and competence recognition
 - Enquiry and contract
 - Document review
 - Stage 1: Pre-Certification review
 - Stage2: Certification review (including re-certifications)
 - Certification decisions (new, changes or cancelled)
 - Post Certification review

These core process activities have been written to be none-program and none-standard specific. Program specific Work Instructions have been developed to tailor the above core processes to a specific program. These include Work Instructions for:

- QMS Certification
- EMS Certification
- OHS Certification
- DES Certification
- Private Sector Quality Criteria
- RAWs
- Product Certification
- Australian Forestry Standard Certification
- Food Safety
- Others as appropriate.

5.1 Client Managers using our management system

You need to know:

- This document
- Procedure called nomenclature and definitions
- The core processes, and the work instruction for the program(s) you work with

5.2 In the documents you will see:

Sections highlighted in green: this is what you must know, and it is a very important step in the process, which is often overlooked. Be careful, this is not negotiable

Sections highlighted in blue: this are extracts of JASANZ, Standard or international requirements. In some cases we copied these, as they are important and you need to know them. This is not consistently enforced, as it would make the text difficult to read, but when it is enforced it is because it is very important and needs to be well understood.

Text in blue: (example [Agreement Form](#)) refers to a form or record that is needed to complete this task.



6 ISO9001 correlation table

ISO9001 requirements	Global-Mark System addressing this requirement
Management responsibilities	
Documentation requirements	Knowledge-Bank database, comprising Procedures, Work Instructions, Forms, Client Guides, Client Manager Guides, Polices
Records management	MSP21: Documents and record management
Management responsibilities	
Management commitment incl. customer focus	Living Policies, Client Chart
Policy, objectives and planning	Living Policies
Responsibility, authority and communication	Organisation Chart, Job Descriptions, Team meetings
Management review	MSP22: Planning and reviews
Resource management	
Provision of resources	Business planning
Human resources	MSP20: People management and competence recognition
Infrastructure	MSP27: Setting up non Aus/NZ operations
Work environment	Business planning, security, management review, OHS committee
Product realization	
Planning of product realization	Business planning
Customer-related processes	MSP08: Client enquiries and agreements
Design and/or development	For the development of new certification activities, design plans and project plans will be developed, and the guidance in ISO19011 will be considered as an input.
Purchasing	MSP08: Client enquiries and agreements MSP20: People management and competence recognition
Production and service operations	MSP's on document review, pre-certification reviews, certification and re-certification review, and reviews reporting
Control of measuring and monitoring devices	Not applicable, this is an exclusion
Measurement, analysis and improvement	
Customer satisfaction	Client Feedback System managed by the Customer Service Centre
Internal audit	MSP25: Internal audits
Measuring and monitoring of processes and products	Client Feedback System managed by the Customer Service Centre MSP22: Planning and reviews
Control of nonconforming products	MSP26: Corrections and improvements
Analysis of data	Client Feedback System managed by the Customer Service Centre MSP22: Planning and reviews
Continual improvement	Client Feedback System managed by the Customer Service Centre MSP22: Planning and reviews Business Planning
Corrective and preventive action	MSP26: Corrections and improvements

7 What documents/records are needed to implement this procedure

Nil.

End of document