



Extraordinary Circumstances Response Plan

Training, Testing and Certification Centre

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Summary

In response to the COVID-19 pandemic, this plan was prepared to enable support and continuing certification of Simtars' clients.

Since the COVID-19 pandemic, this document has been expanded to include the management of any extraordinary circumstances or events affecting the continuation of Simtars' certification services.

Circumstances with significant risk limiting travel may include, but not limited to:

- Advice from DFAT not to travel.
- Disease such as Covid19.
- Political instability.
- Crime, strikes, riots, terrorism and war.
- Natural disasters including flooding, earthquake.

1.0 References

IAF ID 3, IAF Informative Document for Management of Extraordinary Events or Circumstances Affecting ABs, CABs and Certified Organizations

IAF MD 4, IAF Mandatory Document for the Use of Information and Communication Technology (ICT) for Auditing/Assessment Purposes.

IECEX OD 060 - IECEX Guide for Business Continuity – Management of Extraordinary Circumstances or Events Affecting IECEX Certification Schemes and Activities

2.0 Certification

Simtars clients hold certificates issued in the following schemes:

- IECEX Certification Scheme - Equipment Manufacture
- IECEX Certification Scheme - Service Facilities
- ANZEx Certification Scheme - Equipment Manufacture
- ANZEx Certification Scheme - Recognised Service Facilities
- Simtars Certification - Quality Management Systems

3.0 Audit Planning

For IECEX certification, the operation document IECEX OD 060 provides guidance for audit planning and remote auditing.

For ANZEx certification, a similar approach to the IECEX has been advised.

For QMS certification, Simtars has in its scope IAF MD 4 allowing for the Use of Information and Communication Technology (ICT) for remote auditing/assessment purposes.

It is Simtars desire to maintain auditing throughout any Extraordinary Circumstances that may arise to ensure integrity and continuation of clients' certification.

All audits are to continue to be conducted in accordance with Simtars Manuals:

- EM0001 - Certification Manual – Product Certification
- EM0002 - Certification Manual – Management Systems Certification

Both manuals have been updated and should be referred to in conjunction with this document.

A remote audit may only proceed once a fully documented plan is established and sufficient documentation and client personnel are available to ensure an acceptable outcome of a full and complete audit.

The following guidelines have been put into place for maintaining certifications:

3.1. Initial Audits

It is preferred that initial audits should be conducted onsite and deferred until onsite audits are once again possible.

3.2. Re-assessment and Re-certification Audits

A recertification audit will where possible and practical include an assigned auditor who has in the past audited the client and remains conversant with the client, their facilities and quality systems.

3.3. Surveillance Audits

Surveillance audits may be conducted using remote audit techniques.

4.0 Audits

All audits will be conducted as follows:

4.1. Pre-Audit

A pre-audit will be conducted by the auditor prior to conducting the audit.

- A pre-audit plan will be provided detailing:
 - The audit approach to be applied
 - Documentation required for review, including how the documentation is to be uploaded and a due date upon which the documents need to be provided.
- Upon successful completion of the pre-audit document review, the results of the document review will be provided.
- A date for the audit and methods (e.g. video conferencing) will be agreed and a formal audit notification issued.

4.2. Audit

- An audit plan will be provided detailing:
 - The audit approach to be applied
 - Additional documentation required based on the findings in the pre-audit.
- A full audit report will then be prepared and maintenance continued upon completion of any non-conformances raised.

5.0 Certification Review

Certification shall proceed as normal, except where the closure of non-conformances may need to be completed using alternate techniques e.g. witnessing via video conference.

Where an audit is not possible, consideration to deferring the audit may be appropriate providing that the relevant scheme rules are complied with and there are no outstanding non-conformances or no known complaints/concerns. If there are, suspension may be required.

Where an audit cannot be completed, consideration to deferring the audit may be appropriate providing that there are no outstanding or known non-conformances or complaints/concerns. If there are, suspension may be required.

6.0 Records

In addition to maintaining the normal records and registers, all audits conducted in accordance with this document will be identified in the register.