



# **Guide to Standards - Good Management Practice**

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**Your snapshot of Australian Standards®  
and Certification**

**Table of Contents**

- Introduction..... 4**
- Management Certification..... 4**
- Risk Management ..... 4**
  - Principles and Guidelines ..... 5
  - Risk Assessment ..... 5
- Quality Management ..... 7**
  - Customer Satisfaction..... 7
  - Process-based Management ..... 8
- Strategic Management ..... 8**
  - Business Continuity Management ..... 8
  - Business Excellence and Six Sigma..... 9
  - Knowledge Management ..... 10
  - Project Management..... 10
  - Human Resource Management ..... 11
  - Financial Planning ..... 11
  - Records Management..... 11
  - Case Management ..... 12
- Integrated Management ..... 12**
- Corporate Governance..... 13**
  - Information Technology ..... 13
  - General Business Principles..... 14
- Social Responsibility ..... 14**
  - Corporate Governance and Social Responsibility..... 14
  - Business Ethics ..... 15
- Auditing ..... 15**
- Accreditation (Conformity Assessment)..... 15**
  - Management and Product Certification Schemes..... 15
  - Laboratory Certification Schemes..... 16
- Information Technology..... 17**
  - Information Security ..... 17
  - Information Security Management Guidelines ..... 18
  - Information Security Techniques ..... 18
  - IT Service Management..... 19
  - Corporate Governance and IT ..... 19
- Occupational Health and Safety (OHS) Management ..... 19**
- Environmental Management..... 20**
  - Climate Change and Greenhouse Gas Emissions..... 21
  - Environmental Labelling and Packaging..... 22
  - Recycled and Biodegradable Plastics..... 23
- Forestry Management ..... 24**
- Food Safety ..... 24**
  - Food Safety Management..... 25
  - Organic Products (Foods)..... 25
- Market, Opinion and Social Research ..... 26**
- Aviation, Space and Defence ..... 26**
- Automotive Industry..... 26**
- Medical Devices..... 27**
- SAI Global Management Certification Schemes ..... 28**

---

Online Resources ..... 30  
Customer Service Contacts..... 31

## Introduction

This guide provides information on Standards and other industry specific information that may be of interest to anyone involved with different types of Management and Governance, including managers, owners, directors, board members, senior executives and similar.

**Disclaimer:** The information contained in these pages is provided by way of indicative guidance only and SAI Global Limited does not represent that it is accurate or complete or suitable for any particular specific purposes. The onus remains with users to satisfy themselves of their requirements and needs for their own particular circumstances.



Some invaluable resources that can be used by organizations following principles of good management practice are:

- **AS 3806-2006, Compliance programs**
- **AS 4608-2004, Dispute management systems**
- **GB 014, Business improvement Series**
- **AS/NZS 31000:2009, Risk management – Principles and guidelines**
- **AS/NZS 5050:2010, Business continuity – Managing disruption-related risk**

## Management Certification

Information for organizations investigating, implementing, arranging certification or maintaining certification to management systems is included in:

- **AS ISO 10002-2006, Customer satisfaction – Guidelines for complaints handling in organizations (ISO 10002:2004, MOD)**
- **AS 3806-2006, Compliance programs**
- **AS 4608-2004, Dispute management systems**
- **GB 014, Business Improvement Series**

Organizations can also use integrated approaches to certify separate types of management systems to relevant certification Standards. Information on this is included in the [Integrated Management](#) section of this guide.



Please contact SAI Global **Training and Improvement Solutions Group** to obtain information on the different types of Public Courses available on management systems. Contact details can be found in the [Customer Service Contacts](#) section of this guide.

## Risk Management

It is important for organizations to adopt suitable practices that can be used to implement, monitor, evaluate and treat all foreseeable risks they may encounter. Risk management practices are generally covered by **AS/NZS ISO 31000:2009, Risk management - Principles and guidelines**.

**HB 327-2010, Communicating and consulting about risk (Companion to AS/NZS ISO 31000:2009)** provides a flowchart summarizing critical factors influencing risk management communication and consultative processes.

Definitions for terms used in risk management are included in **ISO Guide 73:2009, Risk management – Vocabulary**.



The SAI Global [GRC Platform: software to manage governance, risk and compliance](#) provides interactive solutions for organizations that are required to implement different types of compliance and risk management programs. Please contact SAI Global **Compliance Division** if you require further information on this product. Contact details can be found in the [Customer Service Contacts](#) section of this guide.

## Principles and Guidelines

**AS/NZS ISO 31000:2009, Risk management – Principles and guidelines** has a number of Handbooks relating to industry specific principles:

- **HB 246-2010, Guidelines for managing risk in sport and recreation organizations** provides information on techniques that can be used by organizations in sporting and recreation sectors to manage different types of risks.
- Not for profit organizations required to manage different types of risks can follow the techniques described in **HB 266:2010, Guide for managing risks in not-for profit organizations**.
- **HB 158-2010, Delivering assurance based on ISO 31000:2009 – Risk management – Principles and guidelines** provides detailed information on steps that can be used by internal auditors and other types of assurance providers to develop assurance risk management strategies for organizations.

Although **AS/NZS 4360:2004, Risk management** has been superseded by **AS/NZS ISO 31000:2009**, there are a number of Handbooks related to this Standard:

- **HB 436:2004 (Guidelines to AS/NZS 4360:2004), Risk Management Guidelines Companion to AS/NZS 4360:2004** includes detailed information on methods used to describe consequences and matrices for the types of risks described in **AS/NZS 4360:2004**.
- **HB 141-2004, Risk financing guidelines** provides an extensive framework for organizations and personnel that are required to manage different types of financial risk and includes information on methods used to identify, analyse, evaluate, monitor and treat financial risks is included in this publication.
- **HB 167-2006, Security risk management** describes how risk management techniques can be used to develop and enhance security programs implemented by organizations.
- **HB 203-2006, Environmental risk management – Principles and practices** introduces key concepts of environmental risk.
- **HB 254-2005, Governance, risk management and control assurance** summarizes strategies used by organizations to implement different types of control plans designed to align risk management principles with principles of good governance. It also draws on principles that are described in **AS 8000-2003, Corporate governance – Good governance principles**.

## Risk Assessment

**ISO/IEC 31010:2009, Risk management – Risk assessment techniques** includes detailed information on different types of risk assessment techniques. This Standard also lists different types of risk assessment tools as well as a table providing information on risk management consequence and probability matrices.

Detailed information on common risk assessment techniques used to evaluate technological systems is included in **AS/NZS 3931:1998, Risk analysis of technological systems – Application Guide**.

**AS/NZS 3931:1998, Risk analysis of technological systems - Application guide** is based on risk systems covered by Fault Modes and Effects Analysis (FMEA), Hazard and Operability Studies (HAZOP) and Fault Tree techniques. Failure Modes and Effects Analysis (FMEA) and Hazard and

Operability Studies (HAZOP) techniques are commonly used to complete risk assessments on machinery.

Detailed information on these types of risk assessment techniques is included in:

- **AS IEC 60812-2008, Analysis techniques for system reliability – Procedure for failure mode and effects analysis (FMEA)**
- **AS IEC 61025-2008, Fault tree analysis (FTA)**

Information on methods used to undertake risk assessments for machinery is also included in the **AS 4024, Safety of machinery Series**.

### **HAZOP (Hazard Operability Studies)**

Hazard Operability Studies (HAZOP) can be used to describe different types of qualitative methods used to identify risks that may be encountered by personnel. These types of risk assessment techniques are primarily used to analyse risks that may be present when personnel are operating machinery. Detailed information on these types of techniques is included in **AS IEC 61882-2003, Hazard and operability studies (HAZOP) studies – Application guide** and **AS 4024, Safety of machinery Series**.

### **Failure Mode Effects Analysis (FMEA)**

Potential failures in systems can be assessed by completing failure mode effect analysis risk assessment techniques which are described in **AS IEC 60812-2008, Analysis techniques for system reliability - Procedure for failure mode and effects analysis (FMEA)**.

Persons using Failure Mode Effects Analysis should also be familiar with the principles and practices described in:

- **AS IEC 60300.1-2004, Dependability management - Dependability management systems**
- **AS IEC 60300.2-2005, Dependability management - Guidance for dependability programme management**
- **AS IEC 60300.3.1-2003, Dependability management - Application guide - Analysis techniques for dependability - Guide on methodology**
- **AS IEC 60300.3.3-2005, Dependability management – Application guide – Life cycle costing**
- **AS IEC 60300.3.10-2004, Dependability management – Application guide – Maintainability**
- **AS IEC 60300.3.11-2004, Dependability management – Application guide – Reliability centred maintenance**
- **AS IEC 60300.3.12-2004, Dependability management – Application guide – Integrated logistic support**
- **AS IEC 60300.3.14-2005, Dependability management – Application guide – Maintenance and maintenance support**
- **AS IEC 62308-2008, Equipment reliability – Reliability assessment methods**

These Standards are also available as **AS IEC 60300 (Set)-2005, Dependability Management Set**.

Information on failure mode analysis systems that can be used to assess risks associated with gas, liquid and petroleum pipeline systems is included in **AS 2885.1-2007, Pipelines – Gas and liquid petroleum – Design and construction**.

## Fault Tree Analysis

Fault tree analytical techniques utilize Boolean logic to determine the probability of safety hazards occurring within systems. Detailed information on these types of systems is included in **AS IEC 61025-2008, Fault tree analysis (FTA)**.

## Value Management

**AS 4183-2007, Value management** is a generic management system that can be applied to different types of management systems (including risk management). It establishes essential elements of value management, clarifies roles and responsibilities and provides guidelines for application to products, processes, services, organizations and systems.



Please contact SAI Global **Training and Improvement Solutions Group** to obtain information on the different types of Risk Management and Compliance Training available. Contact details can be found in the [Customer Service Contacts](#) section of this guide.

## Quality Management

The main quality management Standard is **AS/NZS ISO 9001:2008, Quality management systems – Requirements**. This Standard reflects an integrated approach to management system Standards. The **HB 90 Series** are excellent companion guides to **AS/NZS ISO 9001:2000**. There are also a number of other publications relating to **quality management** on the SAI Global Infostore.

Small and medium-sized enterprises will benefit from the comprehensive information that is included in the International Organization for Standardization (ISO) and International Trade Centre (ITC) publication '*ISO 9001 for Small Business: What to Do*'. Please contact our International Services Team on [internationalservices@saiglobal.com](mailto:internationalservices@saiglobal.com) if you would like to order this publication.

For more information on Certification to quality management please see the [SAI Global Management Certification Schemes](#) section of this guide



Please contact SAI Global **Training and Improvement Solutions Group** to obtain information on the different types of [Quality Management Systems Training](#) available. Contact details can be found in the [Customer Service Contacts](#) section of this guide.

**AS/NZS ISO 9000:2006, Quality management systems – Fundamentals and vocabulary** includes details for terms that are defined under quality management Standards.

**AS/NZS ISO 9004:2000, Quality management systems – Guidelines for performance improvements** includes detailed information on strategies that can be used by organizations to improve the efficiency and effectiveness of quality management systems.

## Customer Satisfaction

**AS ISO 10002-2006, Customer satisfaction – Guidelines for complaints handling in organizations (ISO 10002:2004, MOD)** includes information on strategies that can be followed by organizations to operate, maintain and improve the complaints handling processes. This Standard also includes copies of samples of recommended complaints handling forms as well as an example of a flowchart that can be used to summarize resolutions and strategies used to manage complaints.

The International Standards listed below are ideal companions to **AS ISO 10002-2006**:

- **ISO 10001:2007, Quality management – Customer satisfaction – Guidelines for codes of conduct for organizations**

- ISO 10003-2007, Quality management – Customer satisfaction – Guidelines for dispute resolution external to organizations
- ISO/TS 10004:2010, Quality management – Customer satisfaction – Guidelines for monitoring and measuring

## Process-based Management

**AS ISO 10006-2003, Quality management systems – Guidelines for quality management in projects** provides information on strategies that can be used by organizations to manage projects of varying complexities. The information contained in the Standard places particular emphasis on adopting a process-based approach to managing projects. Detailed information on this type of strategy is also included in **AS/NZS ISO 9004:2000**.

Organizations arranging audits and maintaining management systems certified to **AS/NZS ISO 9001:2008** can use statistical process control and sampling techniques to monitor, measure, analyse and improve the types of products and services they provide to clients. These types of techniques can also be used to demonstrate conformity to manufacturing processes and specific types of product Standards. These types of techniques should follow the recommendations covered in **AS 1199, Sampling procedures for inspection by attributes Series**.

Organizations adopting a process-based approach to quality management may also be able to increase efficiencies and reduce their operating costs by following the strategies recommended in **AS 2561-2010, Guide to the determination and the use of quality costs**.

## Strategic Management

### Business Continuity Management

Standards related to business continuity management broadly cover these areas:

- Crisis Management and Disaster Recovery
- Emergency Management
- Incident Management
- Disruption Management
- Societal Security
- Business Resumption Planning and Resilience
- Mailroom Security

The term 'disaster recovery' can also be used to describe process and techniques covering business continuity management.



Please contact SAI Global [Training and Improvement Solutions Group](#) to obtain information on the different types of [Business Improvement Training](#) available. Contact details can be found in the [Customer Service Contacts](#) section of this guide.

**AS/NZS 5050:2010, Business continuity – Managing disruption-related risk** describes how the principles outlined in **AS/NZS ISO 31000:2009, Risk management – Principles and guidelines** can be used by organizations to maintain business continuity and minimize disruptions.

All buildings (with the exception of residential buildings classified as class 1A buildings by the Building Code of Australia) should be evacuated by following the procedures described in **AS 3745-2010**,



**Planning for emergencies in facilities.** This Standard also includes copies of emergency evacuation diagrams.

**HB 221-2004, Business Continuity Management** covers essential areas that should be addressed by organizations applying Business Continuity Management strategies. One of the key principles described in this Standard is the clear relationship between business continuity and risk management. The [DRI – the Institute for Continuity Management](#) recommends that this Standard is an essential tool to assist organizations on all critical areas relating to business planning and continuity management.

**HB 292-2006, A practitioner's guide to business continuity management** includes information on methods to define, communicate and analyse different types of business continuity risks. Detailed information on the nine steps that can be used to prepare, implement, maintain and operate business continuity systems is included in **HB 293-2006, Executive guide to business continuity management**. Both these Standards are available as **HB 292-2006, Business Continuity Management Handbooks Set**.

The handbook **HB 328-2009, Mailbox security** provides organizations and individuals with information on threats that may affect mailing processes.

Organizations applying the principles described in **AS/NZS ISO 31000:2009** may also be interested in:

- **ISO/PAS 22399:2007, Societal security – Guideline for incident preparedness and operational continuity management** which provides information on techniques that are used for incident preparedness and operational business continuity management (IPOCM) as well as flowcharts illustrating these techniques.
- **BS 25999-1:2006, Business continuity management. Code of practice** summarizes key strategies used to reduce the likelihood and potential effects of hazardous events and includes information on methods used to prepare, maintain, operate and review business continuity systems.
- **BS 25999-2:2007, Business continuity management. Specification** includes information on Plan-Do-Check-Act strategies used to implement, operate, monitor and improve business continuity management systems.
- **NFPA 1600:2010, Disaster/emergency Management and Business Continuity Programs** establishes a common set of criteria for disaster/emergency management and business continuity programs.

## Business Excellence and Six Sigma

Six Sigma and the Business Excellence Framework are business improvement approaches which enable an organization to achieve a range of key objectives, including better business performance, improved quality and consistency, higher customer satisfaction and improved risk management and compliance.

**GB 002-2007, Business excellence framework** outlines an integrated leadership and management system that describes the elements essential to sustainable organizational excellence. This Standard can be used to assess and improve any aspect of an organization, including leadership, customer focus, strategy and planning, people, information and knowledge, process management and bottom-line results.

**GB 014.19-2005, Business Improvement Series – Six Sigma** includes information on how Six Sigma and Business Excellence tools can be used to improve processes within organizations as well as strategies that can be used to improve leadership and management capabilities.

Organizations requiring a practical guide to the principles and practices covering business excellence should follow the requirements outlined in **GB 014.1-2007, Business Improvement Series – The Business Excellence Framework**.

A summary of self-assessment procedures and examples for public organizations using the Business Excellence Framework is included in **GB 014.2-2008, Business Improvement Series – The Excellence Framework for Public Organisations**.

A detailed set of examples that can be used by health organizations implementing the Australian Business Excellence Framework is included in **GB 014.25-2007, Business Improvement Series – The Excellence Framework for Health Care Organisations**.

**ASQ H1080-2001, Customer Centred Six Sigma: Linking Customers, Process Improvement, and Financial Results** is ideal for those requiring a high-level review of Six Sigma tools.



Please contact SAI Global **Training and Improvement Solutions Group** to obtain information on the different types of Business Improvement Training and Six Sigma courses available. Contact details can be found in the [Customer Service Contacts](#) section of this guide.

## Knowledge Management

One of the key aims of knowledge management is to stimulate and enhance collective organizational skills and management. It is a key strategic management tool used by organizations to adopt flexible business practices.

**AS 5037-2005, Knowledge management – a Guide** provides guidance on what knowledge management is and how it may be implemented using a flexible framework. A comprehensive list of resources relating to this topic is included in **HB 189-2004, Knowledge Management Terminology and Readings – An Australian Guide**.

## Project Management

**CB 025-2008, A Guide to the Project Management Body of Knowledge (PMBOK Guide) – 4<sup>th</sup> Edition** provides a comprehensive overview of all critical areas relating to project management including:

- Project Life Cycles
- Project Management Processes
- Knowledge Management and Project Management
- Project Integration Management
- Project Cost Management
- Quality Control and Project Management
- Project Management and Human Resource Management
- Communications Management
- Project Management and Risk Management
- Project Procurement Management

Project managers required to manage different types of contracts can prepare and execute contracts by following the details that are included in **AS 4915-2002, Project management – General conditions**. This Standard is available in Hard Copy, Watermarked PDF and Reusable (Editable) PDF formats. An Instrument of agreement that can be used with this contract is **AS 4950-2006, Form of formal instrument of agreement** which also is available in Hard Copy, Watermarked PDF and Reusable (Editable) PDF editions.

Other Standards related to project management which may also be of interest to organizations are:

- **AS ISO 10006-2003, Quality management systems – Guidelines for quality management in projects**
- **AS 4817-2006, Project performance measurement using Earned Value**

## Human Resource Management

A comprehensive outline of different types of employment screening methods as well as a flowchart describing these processes is included in **AS 4811-2006, Employment screening**. The companion Handbook for this Standard is **HB 323-2007, Employment screening handbook**. Both these Standards are available as **HB 323 Set-2007**.

**AS/NZS 4308:2008, Procedures for specimen collection and the detection of quantification of drugs of abuse in urine** establishes procedures used to measure the presence of prohibited drugs in the human body by using urine samples.

Information on methods used to measure the presence of drugs in the human body through the use of saliva tests is included in **AS 4760-2006, Procedures for specimen collection and the detection and quantitation of drugs in oral fluid**.

**HB 185-2004, Human Resources – Guidelines on Emerging Good Practices** adopts an organized approach to critical issues relating to human resource management. This Standard also includes a comprehensive outline of electronic and print resources on human resource management.

## Financial Planning

**ISO 22222:2005, Personal financial planning – Requirements for personal financial planners** includes detailed information on processes and competencies that should be followed by persons providing financial advice.

**HB 141-2004, Risk financing guidelines** provides an extensive framework for organizations and personnel that are required to manage different types of financial risks using methods which identify, analyse, evaluate, monitor and treat financial risks. It also includes tables listing quantitative and qualitative risk assessment measures used to assess the consequences of financial risks. This Handbook is based on the framework outlined in both **AS/NZS 4360:2004, Risk management** and **HB 436-2004 (Guidelines to AS/NZS 4360:2004), Risk Management Guidelines Companion to AS/NZS 4360:2004**.

## Records Management

**AS ISO 15489.1-2002, Records management – General** provides information on techniques that can be used to manage records presented in electronic and printed formats. Information on strategies that can be used to implement the principles described in this Standard is included in **AS ISO 15489.2-2002, Records management – Guidelines**. The **AS ISO 15489 Series** are also available as **AS ISO 15489 (Set)-2004, Records Management Set**.

Information on methods used to access, retrieve, store, preserve and dispose of records in different formats is included in **HB 278-2009, Recordkeeping compliance**. This Standard also includes sample questions and answers on areas relating to records management and is based on the types of recordkeeping practices that are described in the **AS ISO 15489 Series**.

Information on methods used to classify records in electronic and printed formats and recommended models and hierarchies for different types of records is included in **HB 5031-2011, Records classification**.

Both **HB 278** and **HB 5031** are ideal companions to the **AS ISO 15489 Series**.

## Case Management

National Standards of practice for case management are included in **CM 001-2008, National Standards of Practice for Case Management**.

## Integrated Management

Integrated management systems are commonly used to integrate different types of management certification Standards. Organizations cannot be certified under one integrated management system Standard, however separate licenses for each site that has been certified under an appropriate management system can be obtained.

For more information on the individual schemes available, please refer to the [SAI Global Management Certification Schemes](#) section of this guide.



Please contact SAI Global **Training and Improvement Solutions Group** to obtain information on the different types of Integrated Management Systems training courses available. Contact details can be found in the [Customer Service Contacts](#) section of this guide.

Organizations may have a number of distinct systems and processes that are required to manage. Information on critical management systems are included in:

- **AS/NZS ISO 9001: 2008, Quality management systems - Requirements**
- **AS/NZS 14001:2004, Environmental management systems - Requirements with guidance for use**
- **AS/NZS 4801:2001, Occupational health and safety management systems - Specification with guidance for use**

There are number of similarities between the Standards listed above:

- A table listing similarities between **AS/NZS ISO 9001:2008** and **AS/NZS 14001:2004** is included **AS/NZS ISO 9001:2008**.
- **AS/NZS 4801:2004** compares clauses in **AS/NZS ISO 14001:1996** and **AS/NZS ISO 9001:2000**.
- A table comparing clauses in **ISO 14001:2004** and **ISO 9001:2000** is included in **OHSAS 18001:2007**.

These Standards are based on continuous process improvement programs. These types of programs are commonly linked to techniques described in risk management and corporate governance Standards. For more information on these topics please refer to the [Risk Management](#) and [Corporate Governance](#) sections of this guide.

Organizations requiring comprehensive details on different types of integrated management systems can follow the information in **GB 013, Integrated Management Systems (IMS) Series** and **GB 040, The Management Systems Series**. A detailed outline of elements that should be included in manuals covering integrated management systems is included in **GB 013.3-2004, Integrated Management Systems (IMS) – Creating a Manual**.

The International Organization for Standardization (ISO) has published a book and CD called '*The Integrated Use of Management System Standards*'. Please contact our International Services Team on [internationalservices@saiglobal.com](mailto:internationalservices@saiglobal.com) if you would like to order this publication.

## Corporate Governance

Organizations that are developing, implementing, maintaining and operating effective corporate governance strategies should follow the recommendations that are included in **AS 3806-2006, Compliance programs**. This Standard defines 12 principles that can be used by organizations to define operational risks, to help conform to compliance programs required by clients.

Information on different types of practices related to corporate governance is included in:

- **AS 8000-2003, Corporate governance - Good governance principles** provides a framework that can be used by organizations across all sectors to develop, implement and maintain effective corporate governance processes.
- **AS 8001-2008, Fraud and corruption control** outlines different approaches for controlling fraud and corruption through the use of effective corporate governance and risk assessment practices
- **AS 8002-2003, Corporate governance - Organizational codes of conduct** can be used by organizations to define essential steps to prepare, operate and maintain effective codes of conduct.
- **AS 8003-2003, Corporate Governance - Corporate social responsibility** provides detailed information on procedures that can be followed by organizations to prepare, implement and maintain good corporate responsibility practices.
- **AS 8004-2003, Corporate Governance - Whistleblower protection programs for entities** includes information on essential steps that should be included in whistleblower programs. This Standard also defines responsibilities for Whistleblower Protection Officers and Whistleblower Investigation Officers.
- **HB 400-2004, Introduction to Corporate Governance** provides information that will assist the industry in applying Corporate Governance in the context of the Corporations Act and the broader corporate governance landscape in Australia.
- **HB 401-2004, Applications of Corporate Governance** explores how Corporate Governance may be applied in a variety of industry contexts, including education, healthcare and in the not-for-profit sector. It also describes fraud and corruption control as it relates to corporate governance.

A number of the Standards listed above are available in the following Sets:

- **AS 8000 Premium (Set)-2004, Premium Corporate Governance Set**
- **AS 8000-2003 (Set Includes 8000, 8001, 8002, 8003, 8004), Corporate governance standards Set**
- **HB 400 (Set)-2004, Corporate Governance Set**



The SAI Global [GRC Platform: software to manage governance, risk and compliance](#) provides interactive solutions for organizations that are required to implement different types of compliance and governance programs. Please contact SAI Global **Compliance Division** if you require further information on this product. Contact details can be found in the [Customer Service Contacts](#) section of this guide.

## Information Technology

**AS/NZS ISO/IEC 38500:2010, Corporate governance of information technology** supersedes **AS 8015-2005** and outlines concepts and practices for organizations that are developing, implementing, operating and maintaining information security management systems.

The certification Standard for information security management systems is **AS/NZS ISO/IEC 27001:2006, Information technology – Security techniques – Information security management systems – Requirements**. Guidelines used to implement procedures and systems conforming to this Standard are included in **AS/NZS ISO/IEC 27002:2006, Information technology – Security techniques – Code of practice for information security management**.

**AS/NZS 8016 (Int):2010, Corporate governance of projects involving information technology investments** provides information on principles and practices that should be followed by senior management of organizations on governance projects involving IT investments. This Standard draws on good governance practices that are described in **AS/NZS ISO/IEC 38500:2010**.

For more information on different types of IT management Standards please refer to the [Information Technology](#) section of this guide.

## General Business Principles

Other publications which may also be of use to businesses regarding corporate governance is included in:

- **HB 402-2004, Business Planning** summarizes essential areas that should be covered in business plans as well as a list of resources that can be used to prepare business plans.
- **HB 403-2004, Best Practice Board Reporting** includes information that can be presented in board reports.
- **HB 405-2004, Disclosure and Transparency Frameworks** can assist entities following good governance principles by adopting relevant transparency and disclosure practices.
- **HB 407-2006, Corporate governance for small business** includes information on good corporate governance practices and different types of performance measures to improve good business practices.
- **HB 408-2006, Corporate governance culture** describes techniques used by small to medium enterprises to adopt good corporate practices as well as information on methods used to manage potential breaches of good governance principles.

## Social Responsibility

ISO 26000:2010, Guidance on social responsibility provides guidance on social responsibility for all types of organizations regardless of their size or location. It establishes a framework for understanding social responsibilities, history and characteristics and relationships between responsibility and sustainable development.

## Corporate Governance and Social Responsibility

**GB 008.1-2005, Implementing Effective Corporate Social Responsibility and Corporate Governance – A Framework** provides a framework to organizations for establishing, maintaining, improving and documenting their Corporate Social Responsibility and Corporate Governance management system. The Standard is identical to **BIP 2041:2004**.

Organizations requiring further information on social responsibility and corporate government systems should follow **ISO 26000:2010, Guidance on social responsibility**.

**GB 008.2-2005, Implementing Effective Corporate Social Responsibility and Corporate Governance - A Guide** provides more in-depth information on applications of the framework that is described in **GB 008.1-2005**. This Standard is identical to **BIP 2042:2004**.

## Business Ethics

**GB 026-2006 Business Ethics and the 21<sup>st</sup> Century Organisation** is a 'must read' for anyone dealing with ethics at work and provides comprehensive information covering business ethics for management students.

A collection of essays and case studies on business ethics is included in **PE 007-2004, Case Studies in Business Ethics, 5e**.

## Auditing

**AS/NZS ISO 19011:2003, Guidelines for quality and or/environmental management systems auditing** includes information on techniques that can be used to undertake internal and external audits to different types of management system Standards.

**CB 029-2003, Audit Skills Handbook** provides detailed information on practices that should be followed by persons required to undertake internal and external audits.



Please contact SAI Global [Training and Improvement Solutions Group](#) to obtain information on the different types of [Auditing Training](#) available.

## Accreditation (Conformity Assessment)

Any organization accredited, or applying for accreditation to the Joint Accreditation System of Australia and New Zealand (JAS-ANZ), as well as testing facilities accredited, or applying for accreditation to [NATA](#) or [International Accreditation New Zealand](#) should consider the publications listed throughout this section of the guide.

Persons involved with activities relating to accreditation and conformity assessment can follow the information included in these management system certification Standards:

- **AS/NZS ISO 9001:2008, Quality management systems – Requirements**
- **AS/NZS ISO 14001:2004, Environmental management systems – Requirements with guidance for use**
- **AS ISO 22000-2005, Food safety management systems – Requirements for any organization in the food chain**
- **AS/NZS ISO/IEC 27001:2006, Information technology – Security techniques – Information security management systems – Requirements**
- **AS ISO/IEC 17000-2005, Conformity assessment - Vocabulary and general principles**
- **AS ISO/IEC 17021-2006, Conformity assessment – Requirement for bodies providing audit and certification of management systems**

If you would like to know the differences between accreditation and certification, as well as other information on this topic you can refer to the [JAS-ANZ](#) website.

## Management and Product Certification Schemes

- **HB 18.16-1991, Guidelines on third-party certification and accreditation – Guide 16 – Code of principles on third-party certification systems and related Standards**
- **HB 18.22:2003, Guidelines on third-party certification and accreditation – General criteria for supplier's declaration of conformity**

- **HB 18.23-1991, Guidelines for third-party certification and accreditation – Guide 23 – Methods of indicating conformity with Standards for third-party certification systems**
- **HB 18.28-2005, Conformity assessment – Guidance on a third-party certification system for products**
- **HB 18.42-1991, Guidelines for third-party certification and accreditation - Guide 42 - Guidelines for a step-by-step approach to an international certification system**
- **HB 18.44-1991, Guidelines for third-party certification and accreditation - Guide 44 - General rules for ISO or IEC international third-party certification schemes for products**
- **HB 18.53-2005, Conformity assessment - Guidance on the use of an organizations quality management system in product certification**
- **HB 18.56-1991, Guidelines for third-party certification and accreditation - Guide 56 - An approach to the review by a certification body of its own internal quality system**
- **HB 18.60-2005, Conformity assessment – Code of good practice**
- **HB 18.61:1996, Guidelines for third-party certification and accreditation - Guide 61 - General requirements for assessment and accreditation of certification/registration bodies**
- **HB 18.67-2005, Conformity assessment – Fundamentals of product certification**
- **HB 18.68-2004, Guidelines for third-party certification and accreditation - - Guide 68 – Arrangements for the recognition and acceptance of conformity assessment results**

### Laboratory Certification Schemes

- **AS ISO/IEC 17025-2005, General requirements for the competence of testing and calibration laboratories**
- **HB 18.43.1:1998, Guidelines for third-party certification and accreditation - Guide 43 - Proficiency testing by interlaboratory comparisons - Part 1: Development and operation of proficiency testing schemes**
- **HB 18.43.2:1998, Guidelines for third-party certification and accreditation - Guide 43 - Proficiency testing by interlaboratory comparisons - Part 2: Selection and use of proficiency testing schemes by laboratory accreditation bodies**

Other Standards related to conformity assessment which may also be of interest to organizations are:

- **ISO/PAS 17001:2005, Conformity assessment – Impartiality – Principles and requirements**
- **ISO/PAS 17002:2004, Conformity assessment – Confidentiality – Principles and requirements**
- **ISO/PAS 17003:2004, Conformity assessment – Complaints and appeals – Principles and requirements**
- **ISO/PAS 17004:2005, Conformity assessment – Disclosure of information – Principles and requirements**
- **ISO/PAS 17005:2008, Conformity assessment – Use of management systems – Principles and requirements**
- **ISO/IEC 17007:2009, Conformity assessment – Guidance for drafting normative documents suitable for use for conformity assessment**
- **ISO/IEC 17011:2004, Conformity assessment – General requirements for accreditation bodies accrediting conformity assessment bodies**
- **ISO/IEC 17025:2005, General requirements for the competence of testing and calibration laboratories**
- **ISO/IEC 17030:2003, Conformity assessment – General requirements for third-party marks of conformity**



- **ISO/IEC 17040:2005, Conformity assessment – General requirements for peer assessment of conformity assessment bodies and accreditation bodies**
- **ISO/IEC 17043:2010, Conformity assessment – General requirements for proficiency testing**
- **ISO/IEC 17050-1:2004, Conformity assessment – Supplier’s declaration of conformity – Part 1: General requirements**
- **ISO/IEC 17050-2:2004, Conformity assessment – Supplier’s declaration of conformity – Part 2: Supporting documentation**

## Information Technology

Organizations managing computer systems should follow the recommendations described in:

- **AS 4590-2006, Interchange of client information**
- **AS/NZS ISO/IEC 38500:2010, Corporate governance of information technology**
- **ISO/IEC 27005:2008, Information technology – Security techniques – Information security risk management**
- **HB 231-2004, Information security risk management guidelines**
- **HB 280-2006, Case Studies – How Boards and Senior Management Have Governed ICT Projects to Succeed (or Fail)**

**HB 280-2006** indicates how board members and senior management can manage Information Communication Technology (ICT) projects successfully by following corporate governance principles produced by the [Australian Securities Exchange \(ASX\)](#). This Handbook also draws on principles and practices described in **AS 8000-2003, Corporate governance – Good governance principles** and **AS 8015-2005, Corporate governance of information and communication technology**.

## Information Security

The Standard for Information Security Management (ISM) certification is **AS/NZS ISO/IEC 27001:2006, Information technology – Security techniques – Information security management systems - requirements**. This Standard defines a process-based approach to establishing, implementing, operating, reviewing and improving an organization’s ISM system.

A commentary to the eleven key control security clauses included in **AS/NZS ISO/IEC 27001:2006** is covered by **AS/NZS ISO/IEC 27002:2006, Information technology – Security techniques – Code of practice for information security management**.

Both these Standards are available as **AS/NZS ISO/IEC 27001 Set:2006, Information technology – Basic set**.

For more information on information security certification, please refer to the [SAI Global Management Certification Schemes](#) section of this guide.



Please contact SAI Global **Training and Improvement Solutions Group** to obtain information on the different types of **IT Governance Training** courses available. Contact details can be found in the [Customer Service Contacts](#) section of this guide.

Other Standards related to Information Security Management Systems (ISMS) which may also be of interest to organizations are:

- **ISO/IEC 27000:2009, Information technology - Security techniques – Information security management systems – Overview and vocabulary** provides definitions for terms that are included in Standards covering ISMS.
- **ISO/IEC 27003:2010, Information technology – Security techniques – Information security management system implementation guidance** focuses on the critical aspects needed to successfully design and implement an ISMS in accordance with the requirements defined in **AS/NZS ISO/IEC 27001:2006**.
- **ISO/IEC 27004:2009, Information technology – Security techniques – Information security management - Measurement** includes information on methods that can be used to measure the effectiveness of an ISMS which meets the requirements in [AS/NZS ISO/IEC 27001:2006](#).
- **ISO/IEC 27005:2008, Information technology – Security techniques – Information security risk management** provides detailed information on risk management strategies that can be used when implementing an ISMS system conforming to the requirements described in **AS/NZS ISO/IEC 27001:2006**.
- **ISO/IEC 27006:2007, Information technology - Security techniques - Requirements for bodies providing audit and certification of information security management systems** specifies requirements and provides guidance for bodies providing audit and certification of an ISMS system.

## Information Security Management Guidelines

**HB 231:2004, Information security risk management guidelines** draws on principles covered by **AS 13335, Information technology - Guidelines for management of IT Security Series** which are used to manage IT security issues encountered by organizations and **AS/NZS 4360:2004, Risk management**.

The **AS 13335, Series** are available as **AS 13335 (Set)-2003, Information technology – Guidelines for the management of IT Security** and includes:

- **AS 13335.1-2003, Information technology - Guidelines for the management of IT Security - Concepts and models for IT Security**
- **AS 13335.2-2003, Information technology - Guidelines for the management of IT Security - Managing and planning IT Security**
- **AS 13335.3-2003, Information technology - Guidelines for the management of IT Security - Techniques for the management of IT Security**
- **AS 13335.4-2003, Information technology - Guidelines for the management of IT Security - Selection of safeguards**
- **AS 13335.5-2003, Information technology - Guidelines for the management of IT Security - Management guidance on network security**

## Information Security Techniques

The **AS ISO/IEC 15408 Series** provides details on criteria to be used as a basis for evaluating security properties of IT products and systems. The Standards included in this series are:

- **AS ISO/IEC 15408.1-2004, Information technology - Security techniques - Evaluation criteria for IT security - Introduction and general model**
- **AS ISO/IEC 15408.2-2004, Information technology - Security techniques - Evaluation criteria for IT security - Security functional requirements**
- **AS ISO/IEC 15408.3-2004, Information technology - Security techniques - Evaluation criteria for IT security - Security assurance requirements**

**ISO/IEC TR 19791:2010, Information technology – Security techniques – Security assessment of operational systems** expands on principles outlined in the **AS ISO/IEC 15408 Series** to enable organizations to assess ISMS systems.

The **AS ISO/IEC 18028 Series** provides information on techniques that can be used by organizations to manage and implement security aspects of different types of information systems. The Standards included in this series are:

- **AS/NZS ISO/IEC 18028.1:2008, Information technology - Security techniques - IT network security - Network security management**
- **AS/NZS ISO/IEC 18028.2:2006, Information technology - Security techniques - IT network security - Network security architecture**
- **AS/NZS ISO/IEC 18028.3:2006, Information technology - Security techniques - IT network security - Securing communications between networks using security gateways**
- **AS/NZS ISO/IEC 18028.4:2006, Information technology - Security techniques - IT network security - Securing remote access**
- **AS/NZS ISO/IEC 18028.5:2008, Information technology - Security techniques - IT network security - Securing communications across networks using virtual private networks**

## IT Service Management

Information on IT service management is covered by **AS ISO/IEC 20000 Set-2007, Information technology – Service Set** and includes:

- **AS ISO/IEC 20000.1:2007, Information technology – Service Management – Specification** which defines critical IT Service Management processes based on Plan-Do-Check techniques that should be followed by organizations delivering products and services to clients
- **AS ISO/IEC 20000.2:2007, Information technology – Service management – Code of practice** is the companion publication to **AS ISO/IEC 20000.1:2007**

## Corporate Governance and IT

**AS/NZS ISO/IEC 38500:2010, Corporate governance of information technology** provides guiding principles for owners of organizations (including directors, board members, partners, senior executives or similar) on the effective, efficient, and acceptable use of IT within their organization. It also includes six IT related corporate governance principles as well as a flowchart illustrating a corporate governance model for IT.

**AS/NZS 8016 (Int):2010, Corporate governance of projects involving information technology investments** aligns with the principles that are described in **AS/NZS ISO/IEC 38500:2010** and includes a flowchart illustrating an IT investment model that can be used to manage corporate governance IT projects.

## Occupational Health and Safety (OHS) Management

Occupational Health and Safety (OHS) management Standards can be used to enable organizations to formulate policies and objectives, taking into account legislative requirements and processes used to manage different types of health and safety risks.

The Standard for OHS Management Systems is **AS/NZS 4801:2001, Occupational health and safety management systems – Specification with guidance for use**.

This Standard assists organizations in achieving the objectives described below:

- Seek clarification and registration of an OHS Management System by contacting an accredited certification body
- Implement, maintain and improve OHS Management System
- Assure itself of its conformance with its stated OHS policy
- Demonstrate compliance to regulators and clients

Information on procedures that can be followed to develop, manage and implement an OHS Management system to **AS/NZS 4801:2001** is included in **AS/NZS 4804:2001, Occupational health and safety management systems – General guidelines on principles, systems and supporting techniques**.

Organizations requiring a step-by-step guide to developing, modifying, implementing and reviewing OHS Management systems can follow the information in **HB 211-2001, Occupational health and safety management systems – A guide to AS 4801 for small business**.

The International OHS certification Standard is **SR OHSAS 18001:2007, Occupational Health and Safety Management Systems – Requirements**. The commentary to this Standard is **SR OHSAS 18002:2008, Occupational Health and Safety Management Systems – Guidelines for the Implementation of Ohsas 18001:2007**.

For information on Certification to this Standard please refer to the [SAI Global Management Certification Schemes](#) section of this guide.

The SAI Global **Training and Improvement Solutions Group** also offers different types of **Occupational Health & Safety Training**.



If you require guidance on meeting outcomes and performance objectives in Victorian legislation for OHS, you can refer to our [OHS in Practice](#) Anstat Legislation Service. Contact details can be found in the [Customer Service Contacts](#) section of this guide.

## Environmental Management

Organizations required to report on environmental issues to interested parties should follow the guidelines prescribed in **I.S. EN ISO 14063:2010, Environmental Management – Environmental Communication – Guidelines and Examples**. A detailed flowchart summarizing strategies that can be used by organizations to communicate with interested parties on environmental matters is included in the Standard.

Case studies indicating how organizations can implement and manage risk and environmental issues are included in **HB 203:2006, Environmental risk management – Principles and practices**. This Standard draws on principles that are included in **AS/NZS 4360:2004, Risk management**.

Organizations requiring comprehensive information on environmental management should follow the requirements outlined in **AS/NZS 14000 Set (CD):2005, Environmental Management Standards Set on CD**. This set provides a powerful set of tools to help establish a successful Environmental Management System and it includes:

- **AS/NZS ISO 14001:2004, Environmental management systems – Requirements with guidance for use** specifies requirements for an Environmental Management System (EMS) to enable an organization to develop and implement objectives which take into account requirements about significant environmental aspects

- **AS/NZS ISO 14004:2004, Environmental management systems – General guidelines on principles systems and support techniques** provides guidelines and a commentary to the principles outlined in AS/NZS ISO 14001:2004 as well as a table which summarizes the potential environmental impacts of products and services provided by organizations in different types of industries
- **AS/NZS ISO 14015:2003, Environmental management – Environmental assessment of sites and organizations (EASO)** summarizes responsibilities for all parties undertaking environmental assessments as well as diagrams outlining recommended environmental assessment procedures
- **AS/NZS ISO 14021:2000, Environmental labels and declarations – Self-declared environmental claims (Type II environmental labelling)** specifies requirements applying to the development of environmental claims, expressed in either words or symbols, about products and services
- **AS/NZS ISO 14031:2000, Environmental management – Environmental performance evaluation – Guidelines** includes a summary of key indicators used by organizations to assess their environmental performance as well as detailed information on risk assessment and life cycle assessment processes used by organizations to assess their environmental performance
- **AS/NZS ISO 14040:1998, Environmental management – Life cycle assessment – Principles and Framework** includes detailed descriptions on life cycle assessment processes undertaken by organizations completing environmental assessments
- **AS/NZS ISO 14041:1999, Environmental management – Life cycle assessment – Goal and scope definition and inventory analysis** expands on the principles described in **ISO 14040:2006** and **ISO 14044:2006**
- **AS/NZS ISO 14042:2001, Environmental management – Life cycle assessment – Life cycle impact assessment** includes detailed information on impact categories, category indicators and their effects on life cycle assessment systems
- **AS/NZS ISO 14043:2001, Environmental Management – Life cycle assessment - Life cycle interpretation** is a companion to **AS/NZS ISO 14040:1998**, **AS/NZS ISO 14041:1999** and **AS/NZS ISO 14042:2001**
- **AS ISO 14050-1999, Environmental Management – Vocabulary**
- **AS/NZS 19011:2003, Guidelines for quality and/or environmental management systems auditing**

**AS/NZS ISO 14000 Basic Set: 2007** provides organizations with a systematic way of looking at their environmental performance with a view to both reducing negative impacts and operating the business on a more economical basis. This set includes:

- **AS/NZS ISO 14001:2004**
- **AS/NZS ISO 14004:2004**



Please contact SAI Global **Training and Improvement Solutions Group** to obtain information on the different types of Environmental Management Systems Training available. Contact details can be found in the [Customer Service Contacts](#) section of this guide.

For more information on Certification to Environmental Management, see the [SAI Global Management Certification Schemes](#) section of this guide.

## Climate Change and Greenhouse Gas Emissions

The [Intergovernmental Panel on Climate Change \(IPCC\)](#) has produced significant research documenting the effects emissions from solid and liquid biofuels have on the environment. The

European Committee for Standardization (CEN) have an active committee producing Standards on biofuels. Organizations concerned with the potential environmental effects of biofuels should follow the types of management practices that are described in:

- **AS ISO 14064.1-2006, Greenhouse gases - Specification with guidance at the organization level for quantification and reporting of greenhouse gas emissions and removals** focuses on methods used to assert, verify and report on emission levels from physical units, or processes releasing greenhouse gas emissions into the atmosphere
- **AS ISO 14064.2-2006, Greenhouse gases - Specification with guidance at the project level for quantification and reporting of greenhouse gas emission reductions and removal enhancements (ISO 14062-2:2006, MOD)** describes guidelines to plan, monitor and report on greenhouse gas emissions
- **AS ISO 14064.3-2006, Greenhouse gases - Specification with guidance for the validation and verification of greenhouse gas assertions** describes how organizations can validate and verify reports and statements on greenhouse gas emissions
- **AS ISO 14065-2009, Greenhouse gases - Requirements for greenhouse gas validation and verification bodies for use in accreditation or other forms of recognition** defines requirements for bodies validating and verifying claims asserting levels of greenhouse gas emissions
- **AS 4978.1-2006, Quantification, monitoring and reporting of greenhouse gases in forest projects - Afforestation and reforestation** includes information on how organizations in the forestry sector and related industries can quantify, report and monitor greenhouse gas emissions. This information can be also used to certify organizations under the [Australian Forest Certification Scheme](#) using **AS 4708-2007, Forest management – Economic, social, environmental and cultural criteria and requirements for wood production** (known as the Australian Forestry Standard)

The **AS ISO 14064 Series** are available as **AS ISO 14064 Set-2008, Greenhouse gases Set**.

## Environmental Labelling and Packaging

Organizations making environmental claims concerning the types of products and services they provide should make their claims by following the recommendations described in **ISO 14020-2000, Environmental labels and declarations – General principles**. This Standard is identical to **I.S. EN ISO 14020:2002**.

Organizations asserting environmental claims on products and services should also follow relevant life cycle assessment methods. Detailed information on life cycle assessment principles and practices is described in **ISO 14040:2006** and **ISO 14044:2006**.

Generally, there are three methods that are used by organizations asserting environmental claims on the products and services they provide to clients:

- **Assessment by 3rd Parties**  
Organizations using the services of 3rd parties to independently validate and verify environmental labelling practices should follow the methods prescribed in **ISO 14024-1999, Environmental labels and declarations – Type I environmental labelling – Principles and procedures**
- **Self-Declaration**  
Organizations using this type of method should follow the principles described in **AS/NZS 14021:2000, Environmental labels and declarations – Self-declared environmental claims (Type II environmental labelling)**
- **Environmental Declarations Using Predetermined Parameters**  
Organizations using this type of method should follow the practices described in **ISO 14025-2006, Environmental labels and declarations – Type III environmental declarations – Principles and procedures**.

The International Recycling Symbol (also known as the Mobius loop) can be used by manufacturers, importers, distributors, suppliers and retailers to make an environmental stance about the types of products and services they provide to clients. A copy of the International Recycling Symbol is included in **AS/NZS ISO 14021:2000**.

Organizations using recycled packaging can use the information provided in:

- **ASTM D5663-97 (2003), Standard Guide for Validating Recycled Content in Packaging Paper and Paperboard**
- **DIN EN 13440 (2004-04), Packaging – Rate of recycling – Definition and method of calculation**
- **I.S. EN 13430:2004, Packaging – Requirements for Packaging Recoverable By Material Recycling**
- **DIN EN 13437 (2004-04), Packaging and material recycling – Criteria for recycling methods – Description of recycling processes and flow chart**

## Recycled and Biodegradable Plastics

General information on marking requirements for plastics is included in **ISO 11469:2000, Plastics – Generic identification and marking of plastic products**. Labelling requirements for different types of plastics is also available from the [Plastics and Chemicals Industries Association \(PACIA\)](#).

Organizations wishing to find out information on biodegradable, degradability and compostability of plastics can follow the information outlined in this section.

### Biodegradability of Plastics

- **AS 4736-2006, Biodegradable plastics - Biodegradable plastics suitable for composting and other microbial treatment** describes methods used to complete aerobic and anaerobic degradation tests on plastics.
- **AS 5810-2010, Biodegradable plastics – Biodegradable plastics suitable for home composting** applies the principles that are included in **AS 4736-2006** to determine suitability requirements for plastics that can be used for home composting.
- **AS ISO 14852-2005, Plastics materials – Determination of the ultimate aerobic biodegradability in a aqueous medium – Method of analysis of evolved carbon dioxide** includes information on methods used to measure the maximum amount of carbon evolved for determining aerobic biodegradability levels for plastics.
- **AS ISO 14855-2005, Plastic materials – Determination of the ultimate aerobic biodegradability and disintegration under controlled composting conditions – Method by analysis of evolved carbon dioxide** includes information on methods used to determine biodegradability levels of plastics by using an intensive aerobic composting process.
- **ISO 14853-2005, Plastics – Determination of the ultimate biodegradability of plastic materials in an aqueous system – Method by measurement of biogas production** provides information on methods used to determine levels for biogas emitted into the atmosphere in cases where plastic products are biodegraded under anaerobic conditions.
- **ISO 15985-2004, Plastics – Determination of the ultimate biodegradation and disintegration under high-solids anaerobic-digestion conditions – Method by analysis of released biogas** describes a method that can be used to determine biodegradability and disintegration levels for plastics and wastes by using an intensive anaerobic digestion process.
- **I.S. EN 13432:2001, Packaging – Requirements For Packaging Recoverable Through Compositing and Biodegradation – Test Scheme And Evaluation Criteria For The Final Acceptance Of Packaging** includes information on packaging requirements for recoverable plastics.

- **I.S. EN 14047:2002, Determination Of The Ultimate Aerobic Biodegradability Of Packaging Materials In An Aqueous Medium - Method By Analysis Of Evolved Carbon Dioxide** specifies a method to evaluate the ultimate biodegradability of packaging materials and its constituents by measurement of CO<sub>2</sub> evolution.

### Degradability

- **AS 4828.1-2009, Degradability of plastics – Methods of test – Determination of level of prodegradant ions** provides information on atomic absorption spectrometric methods used to measure the presence of prodegradants in plastics.
- **AS 4828.2-2008, Degradability of plastics - Methods of test – Determination of brittle point in plastic film using a tensile elongation test** provides information on elongation tests used to measure the strength of plastic film.
- **AS 4828.4-2008, Degradability of plastics – Methods of test – Test method for heat ageing of degradable plastics** includes information on heat tests used to measure ageing and durability requirements for plastics.

### Compostability

- **AS ISO 16929-2008, Plastics – Determination of the degree of disintegration of plastic materials under defined composting conditions in a pilot-scale test (ISO 16929:2002, MOD)** describes a pilot test that can be used to determine disintegration requirements for plastics.
- **ISO 17088:2008, Specifications for compostable plastics** specifies procedures and requirements for the identification and labelling of plastics, and products made from plastics, that are suitable for recovery through aerobic composting.
- **I.S. EN 14995:2006, Plastics – Evaluation of Compostability – Test Scheme and Specifications** provides a framework that can be used by organizations asserting compostability claims for plastics that are considered to be organically recoverable.

## Forestry Management

Forest Managers and Timber Processing companies requiring auditing under the Forest Stewardship Council (FSC) can be certified to:

- **AS 4707-2006, Chain of custody for certified wood and forest products**
- **AS 4708-2007, Forest management – Economic, social, environmental and cultural criteria and requirements for wood production (known as The Australian Forestry Standard)**

For more information on Certification to these Standards, refer to the [SAI Global Management Certification Schemes](#) section of this guide.

## Food Safety

Food safety management Standards, also known as Hazard Analysis Critical Control Points (HACCP) describe processes and practices used by organizations to manage critical control points in food processes. These food safety management Standards were originally derived from publications that were produced by [Codex Alimentarius Commission](#) under the United Nation's FAO/WHO Food Standards Programme. A list of Codex publications is included in **AS ISO 22000-2005, Food safety management systems - Requirements for any organization in the food chain** and **AS ISO 22004 (Int)-2006, Food safety management systems - Guidance on the application of AS ISO 22000-2005**.



For more information on Certification schemes related to this topic, please refer to the [SAI Global Management Certification Schemes](#) section of this guide.

Organizations designing, constructing or renovation new or old food premises (including cafes, take away stores and restaurants) should follow the principles and practices described in **AS 4674-2004, Construction and fit-out of food premises**.

Information on food safety for specific types of industries is covered in:

- **AS 4464-2007, Hygienic production of wild game meat for human consumption**
- **AS 4465-2006, Construction of premises and hygienic production of poultry meat for human consumption**
- **AS 4466-1998, Hygienic production of rabbit meat for human consumption**
- **AS 4467-1998, Hygienic production of crocodile meat for human consumption**
- **AS 4696-2007, Hygienic production and transportation of meat and meat products for human consumption**
- **AS 5010-2001, Hygienic production of ratite (emu/ostrich) meat for human consumption**
- **AS 6000-2009, Organic and biodynamic products**

Plant and equipment used in the food industry should be cleaned and sanitized by following the information that is included in **AS 4709-2001, Guide to cleaning and sanitizing of plant and equipment in the food industry**.

Specific information covering cleaning requirements for equipment in used in dairies and milk processing plants is included in:

- **AS 1162-2000, Cleaning and sanitizing dairy factory equipment**
- **AS 1536-2000, Cleaning and sanitizing milking equipment**

Stainless steel tubes used in the food industry should be designed and manufactured to the requirements covered in the **AS 1528, Tubes (stainless steel) and tube fittings for the food industry Series**.

## Food Safety Management

The Standard for food safety management certification is **AS ISO 22000-2005, Food safety management systems – Requirements for any organization in the food safety chain** which defines critical control points that are used to improve hygiene and safety practices in food and related industries. Key elements that should be included in food safety management systems as well as a flowchart defining critical communication channels in food chains is also included in this Standard.

**AS ISO 22004 (Int)-2006, Food safety management systems – Guidance on the application of AS ISO 22000-2005** provides a commentary and guidelines that can be undertaken to manage and implement the types of control measures that are included in **AS ISO 22000-2005**.

Both these Standards are available as **AS ISO 22000 Set-2006, Food Safety Management Set**.

## Organic Products (Foods)

Labelling requirements for organic products classified as organic, biodynamic or inconversion, or a combination of any of these methods is included in **AS 6000-2009, Organic and biodynamic products**. Requirements for organizations claiming certification to this Standard are included in **MP 100-2009, Procedures for certification of organic and biodynamic products**. Both these publications are available as **Organic and Biodynamic Products Set-2009, Organic and biodynamic products Set**.

For more information on certification to food safety, refer to the [SAI Global Management Certification Schemes](#) section of this guide.

## Market, Opinion and Social Research

The Australian certification Standard for organizations providing market, opinion and social research is **AS ISO 20252-2007, Market, opinion and social research – Vocabulary and service requirements (ISO 20252:2006, MOD)**.

An informative guide to this Standard is **HB 345.1-2009, Business improvement tools – Market research**.

Please refer to the section **SAI Global Management Certification Schemes - Quality Management Systems** for more information on certification to market research.

## Aviation, Space and Defence

Organizations, companies and those providing services to aviation, space, defence and related industries can follow the requirements outlined in:

- **SAE AS 9100-2009, Quality Management Systems – Requirements for Aviation, Space and Defense Organizations**
- **SAE AS 9120:2009, Quality Management Systems – Requirements for Aviation, Space and Defense Distributors**

Please refer to the [SAI Global Management Certification Schemes](#) section of this guide for more information on certification to aerospace quality management system Standards.

## Automotive Industry

Organizations providing products and services to the automotive industry can follow the requirements outlined in **ISO/TR 16949:2009, Quality management systems – Particular requirements for the application of ISO 9001:2008 for automotive production and relevant service part organizations**.

There a number of guides to **ISO/TR 16949:2009** which will also assist those working in this industry:

- **AIAG D 10:1998, Applicability Of Step To Automotive Design And Manufacturing**
- **AIAG E 11:2000, T.120 - Automotive Data Conferencing Architecture**
- **AIAG E 17:2007, Joint Automotive Industry Forum (jaif) China B2b**
- **AIAG E 18:2007, Automotive History Of Edi**
- **AIAG M 12:2007, Business Continuity Planning For The Automotive Supply Chain**
- **AIAG PM 1:1997, Automotive Project Management Guide**
- **AIAG TC 6:2007, Supply Chain Security Toolkit For The Automotive Industries**
- **AIAG B 20:2010, Automotive History Of Data Identifiers**
- **AIAG TS ACS3:2008, Iso/Ts 16949:2002 Automotive Certification Scheme - Rules For Achieving latf Recognition**
- **AIAG B 16:2010, Global Transport Label Standard For The Automotive Industry**

Please refer to the [SAI Global Management Certification Schemes](#) section of this guide for more information on certification to automotive Standards.

## Medical Devices

Manufacturers and suppliers of medical devices can follow the requirements outlined in **AS ISO 13485-2003, Medical devices – Quality management systems – Requirements for regulatory purposes**.

Other Standards related to medical devices which may also be of interest to organizations are:

- **AS 10993, Biological evaluation of medical devices Series**
- **I.S. EN ISO 14971:2009, Medical Devices – Application of Risk Management to Medical Devices**
- **I.S. EN 1041:2008, Information Supplied by the Manufacturer of Medical Devices**
- **I.S. EN 980:2008, Symbols for use in the Labelling of Medical Devices**

Please refer to the [SAI Global Management Certification Schemes - Quality Management Systems](#) section of this guide for more information on certification to health Standards.

## SAI Global Management Certification Schemes

SAI Global Limited is the largest provider of third party product certification services in Asia Pacific. We are accredited against a broad range of Australian and International Standards, via its wholly owned subsidiary SAI Global Certification Services Pty Limited.

The [Assurance Services Group](#) offers a wide range of certification schemes tailored for good management practice.

### Quality Management Systems

The StandardsMark™ is a mark of quality licensed to companies that have met the rigorous requirements of the ISO 9001, Quality Management Standard. It's a proven and instant way for consumers to recognise that your company is committed to meeting and maintaining world Standards for quality, continuous improvement, and customer satisfaction.

Find a Quality Management System for your business:

- ISO 9001:2008 Quality Management Systems
- LAW 9000, Legal Best Practice
- Quality in Financial planning
- Health 9000 – Excellence in Health
- ISO 20252 Market Research

### Occupational Health and Safety (OH&S) Management Systems

The management of Occupational Health and Safety (OHS) risks is a minimum requirement in every workplace. An effective OHS Management System can help to establish the framework of compliance with the two fundamental elements of most OHS legislation:

- That employers provide and maintain a working environment that is safe and without risk
- That employees take reasonable care for the health and safety of themselves and others

### Food Safety Management Systems - HACCP, BRC, ISO 22000, Organic Certification and more

These days management systems need to take into account not only basic food regulations and acceptable workplace practices, but also include contingency plans for potential crises such as product recall.

Some Food Safety Management programs that SAI Global can audit and verify include:

- HACCP (Hazard Analysis of Critical Control Points)
- ISO 22000 Food Safety Management Program
- BRC
- SQF
- Retailer programs like Coles and Woolworths
- Southern Rocklobster Seafood
- 2nd Party Audits against your own Standards
- National Heart Foundation - Australia
- Supply Chain Verification
- Certified Organic

### ISO 14001 Environmental Management

An Environmental Management System is a framework, which can be integrated with existing business processes to effectively identify, measure, manage and control environmental impacts and hence environmental risks. An Environmental Management System also establishes the means for improving performance and moving towards environmental sustainability through best practice such as ISO 14001.

### Forestry Management

SAI Global expert auditors and accredited certification processes provide Forestry Managers with the ability to declare that their forests meet recognized standards of best practice.

In addition, the certification scheme is mutually recognized by the Programme for the Endorsement of Forest Certification Schemes (PEFC). This provides SAI Global certified clients with international recognition of their sustainable practices forestry management practices.

### Information Communication Technology and Security Programs

Certification of your management system helps to demonstrate that your system has been independently assessed by experts, and publicly shows your commitment to IT Security and ICT Governance.

Standards such as ISO/IEC 27001 along with other frameworks and management system standards like COBIT, ISO 9001, ITIL and ISO/IEC 20000, can assist organizations in the development of appropriate governance.

### Aerospace Quality Management System Standards - AS 9100, AS 9110 & AS 9120

Success in the increasingly competitive Aerospace Industry depends largely on an organization's ability to provide quality products and services which consistently meet customer expectations.

The Aerospace Quality Management System Standards, AS 9100, AS 9110, AS 9120, specific to the industry provide:

- Internationally recognised frameworks for best practices
- Addressing the unique needs of manufacturers, maintenance and repair operations and distributors
- Providing multiple benefits to companies who chose to adopt the standards' requirements.

### Automotive Quality Management

The Automotive industry OEM's have recognized the growing need for an independent Quality System Registration Scheme and the accompanying efficiencies and value that could be realized in the supply chain by standardising system requirements.

ISO/TS 16949:2009 specifies the quality system requirements for the design and development, production, installation and servicing of automotive related products. There are also customer specific requirements that are required by individual subscribing vehicle manufacturers.

In conjunction with ISO 9001:2008, ISO/TS 16949:2009 is an ISO Technical Specification, which aligns existing American, German (VDA6.1), French (EAQF) and Italian (AVSQ) automotive quality systems standards within the global automotive industry, with the aim of eliminating the need for multiple certifications to satisfy multiple customer requirements.

## Online Resources

Do you need online access to the Building Code of Australia and all the Australian Standards® referenced within it? [www.saiglobal.com/BCA](http://www.saiglobal.com/BCA)

Do you need guidance on which Australian Standards® or parts thereof are referred to in legislation? [www.saiglobal.com/Newsletters](http://www.saiglobal.com/Newsletters)

Would you like to be notified when Standards relevant to you are updated, amended or newly released? [www.saiglobal.com/SW](http://www.saiglobal.com/SW)

Do you need online access to the full text of your own customized selection of Australian Standards® as well as optional access to international Standards? [www.saiglobal.com/Select](http://www.saiglobal.com/Select)

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