

How to Fill the Application for Certification Correctly

A Training Document for Clients of TNV Certification Pvt. Ltd.

Introduction

This document is intended to provide guidance and awareness to the clients of TNV Certification Pvt. Ltd. who are applying for certification of their organisation's management system. The document explains the importance of disclosing the correct number of employees in the application, and how it affects the calculation of the man-days and the outcome of the auditing process. The document also provides some examples and tips on how to fill the application correctly and avoid any delays or complications in the certification process.

This document is issued by Pragyesh Singh, Managing Director of TNV Certification Pvt. Ltd., and dated 11th March 2024. The document is based on the latest standards and requirements of the certification bodies and accreditation bodies. The document is not a substitute for the official application form and the certification contract, which should be read and understood carefully before signing and submitting.

What is a Man-day?

A man-day is a unit of measurement that represents the amount of work performed by one person in one day. It is used by the certification bodies to estimate the time and resources needed to conduct the audit of the organisation's management system. The man-day calculation depends on various factors, such as the scope and complexity of the management system, the size and location of the organisation, the number and type of employees, the number and nature of processes, the level of risk and maturity of the management system, and the applicable standards and regulations.

The certification bodies use different methods and formulas to calculate the man-days, but they all follow the general principles and guidelines of the accreditation bodies, including the requirements and guidance of the International Accreditation Forum (IAF) (if any). The certification bodies also have the discretion to adjust the man-days based on their professional judgment and experience, and the specific circumstances of each audit.

Why is the Number of Employees Important?

The number of employees is one of the most important factors that affects the man-day calculation. The number of employees reflects the size and scale of the organisation, and the potential impact of the management system on the quality, safety, environment, and other aspects of the organisation's performance. The more employees the organisation has, the more time and effort the auditors need to

spend to verify the implementation and effectiveness of the management system, and to ensure that it meets the requirements of the standards and the expectations of the stakeholders.

Therefore, it is essential that the clients disclose the correct number of employees in their application for certification, and update the certification body if there are any significant changes in the number of employees during the certification cycle. The number of employees should include all the personnel who are involved in or affected by the management system, regardless of their employment status, contract type, or working hours. This means that the number of employees should consider not only the full-time permanent staff, but also the part-time, temporary, casual, seasonal, contract, outsourced, and apprentice workers, as well as the volunteers, interns, consultants, and any other people who work for or on behalf of the organisation.

What are the Consequences of Under-reporting or Over-reporting the Number of Employees?

If the clients under-report or over-report the number of employees in their application, they may face several consequences that can affect the quality, credibility, and validity of the certification process. Some of the possible consequences are:

- Under-reporting the number of employees may result in insufficient man-days for the audit, which may compromise the depth and coverage of the audit, and lead to missed or overlooked nonconformities, risks, or opportunities for improvement. This may also affect the confidence and trust of the customers, regulators, and other interested parties in the organisation's management system and certification.
- Under-reporting the number of employees may also result in a follow-up of the stage-1 audit, which is a preliminary audit that assesses the readiness of the organisation for the stage-2 audit, which is the main audit that evaluates the conformity and effectiveness of the management system. The follow-up of the stage-1 audit may cause delays and additional costs for the client, and may affect the planned schedule and budget of the certification process.
- Over-reporting the number of employees may result in excessive man-days for the audit, which may increase the time and expense of the audit, and create unnecessary burden and disruption for the organisation and the auditors. This may also affect the efficiency and value of the audit, and reduce the return on investment of the certification.
- Over-reporting the number of employees may also result in a reduction of the man-days for the stage-2 audit, which may compromise the depth and coverage of the audit, and lead to missed or overlooked nonconformities, risks, or opportunities for improvement. This may also affect the confidence and trust of the customers, regulators, and other interested parties in the organisation's management system and certification.

How to Fill the Application Correctly?

To avoid the consequences of under-reporting or over-reporting the number of employees, the clients should fill the application correctly and accurately, and provide the certification body with the relevant and reliable information and evidence to support their claims. The clients should follow these steps to fill the application correctly:

- Read and understand the application form and the certification contract carefully, and ask the certification body for any clarification or assistance if needed.
- Define the scope and boundaries of the management system, and identify the processes, activities, functions, and locations that are included or excluded from the management system.
- Determine the number of employees who are involved in or affected by the management system, and classify them according to their employment status, contract type, and working hours. The clients should use the following definitions and criteria to classify the employees:
- Full-time employee: An employee who works for the organisation for at least 35 hours per week, on a permanent or fixed-term basis.
- Part-time employee: An employee who works for the organisation for less than 35 hours per week, on a permanent or fixed-term basis.
- Temporary employee: An employee who works for the organisation for a limited period of time, usually less than six months, on a contractual or casual basis.
- Seasonal employee: An employee who works for the organisation for a specific season or peak period, usually less than three months, on a contractual or casual basis.
- Contract employee: An employee who works for the organisation under a specific contract or agreement, usually for a specific project or task, on a fixed-price or hourly-rate basis.
- Outsourced employee: An employee who works for the organisation under a subcontract or outsourcing arrangement, usually for a specific process or function, on a service-level or performance-based basis.
- Apprentice employee: An employee who works for the organisation under a formal apprenticeship or traineeship program, usually for a specific qualification or skill, on a subsidized or reduced-rate basis.
- Volunteer employee: An employee who works for the organisation without receiving any monetary compensation, usually for a social or charitable cause, on a voluntary or altruistic basis.
- Intern employee: An employee who works for the organisation without receiving any monetary compensation, usually for a professional or academic purpose, on a learning or experiential basis.
- Consultant employee: An employee who works for the organisation as an external expert or adviser, usually for a specific problem or issue, on a fee-for-service or retainer basis.
- Calculate the total number of employees by adding the number of full-time employees and the equivalent number of part-time employees. The equivalent number of part-time employees is

calculated by dividing the total number of hours worked by part-time employees by the standard number of hours worked by full-time employees. For example, if the organisation has 100 full-time employees who work 40 hours per week, and 50 part-time employees who work 20 hours per week, the total number of employees is $100 + (50 \times 20 / 40) = 125$.

- Report the total number of employees and the breakdown by employment status, contract type, and working hours in the application form, and provide the certification body with the supporting documents and records, such as payroll, contracts, timesheets, rosters, attendance, and performance reports.
- Update the certification body if there are any significant changes in the number of employees during the certification cycle, and provide the certification body with the supporting documents and records, such as payroll, contracts, timesheets, rosters, attendance, and performance reports.

Conclusion

This document has explained the importance of disclosing the correct number of employees in the application for certification, and how it affects the calculation of the man-days and the outcome of the auditing process. The document has also provided some examples and tips on how to fill the application correctly and avoid any delays or complications in the certification process. The clients are advised to follow the guidance and instructions in this document, and to contact the certification body for any further information or assistance. The clients are also reminded to read and understand the application form and the certification contract carefully, and to sign and submit them only after they are satisfied with the terms and conditions. The clients are also encouraged to provide the certification body with any feedback or suggestions on how to improve the quality and value of the certification service.