CERTIFICATION MANAGEMENT SYSTEM
Manual

Our Mission

The mission of CSIA is to help system integrators (SI) build successful businesses and to advance the impact system integrators have in industry.

Vision

CSIA members will lead industries in the deployment of innovative, low-risk, safe, sustainable, and successful automation technology solutions helping clients achieve operational excellence.

Principles
- Welcoming
- Collaborative
- Inclusive
- Respectful
- Stewardship
- Fun

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ADMINISTRATION

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Policy

The CSIA Certification Management System (CMS) was implemented to provide standard procedures for managing the CSIA certification process. By following the procedures described in this manual, Association Staff and external Auditors can provide consistent, reliable service to CSIA Members who are seeking certification. The objective is to assist Members in achieving their highest potential, obtain valid audit results, and elevate the credibility of CSIA certification in the marketplace.

Responsibilities, Authority

This section defines the roles, responsibilities and authorities of key personnel working for or on behalf of CSIA regarding the Certification Management System.

Responsibilities regarding the Certification Management System

Board of Directors

- Represents the Members of CSIA, is the highest authority and decision-making body of the association, and approves, modifies or rejects recommended changes to the CMS.

- Makes the final decision when the CEO recommend the addition or withdrawal of an Auditing Company from the list of approved Auditing Bodies.

Certification Manager

- Execute regular internal procedures of the CMS.
- Manage Confidentiality and Nondisclosure Agreements.
- Serve on the Certification Committee.
- Selects Auditing Company for Member's audits, if requested.

CEO

- Contracts Auditing Companies, trains Auditors and reviews performance.
- Serves as a member of the Certification Committee.
- Assists Certification Manager with evaluation of certification candidate eligibility and audit reports as needed.
- Confirms certification decisions after audits are completed.
- Oversees regular internal procedures of the CMS.
- Conducts internal CMS audits as needed.

Certification Committee

- Can recommend changes to CMS and CMS documents.
- Reviews audit reports if the CEO has concerns.
- Manages Pilot Audit programs in collaboration with the CSIA Best Practices Committee.
- Participates in withdrawal of certification proceedings as needed.
- Can recommend to the Board of Directors approval or withdrawal of an Auditing Company.
- Performs additional responsibilities as listed in the Certification Committee charter.

Best Practices Committee

- Works with the Certification Committee to review CMS Documents and audit records as needed.
- Participates in Pilot Audit programs.
- BPBM updates and subsequent Audit criteria updates.

Authority over the Certification Management System

The Board of Directors has the sole authority to make significant changes to the Certification Management System.

Confidentiality

To assure the privacy of the confidential information of Members, upon acceptance of appointment to the Certification Committee, contract agreement or prior to reviewing a Member's documentation, all CSIA staff and any other representatives of CSIA shall sign the CMS Confidentiality and Nondisclosure Agreement form. Confidentiality agreements shall be maintained permanently at the CSIA office. If requested by the Member, the CSIA shall enter into an additional Confidentiality and Nondisclosure Agreement with the Member. Failure by any Association Staff to comply with the conditions outlined in any Confidentiality and Nondisclosure Agreement may result in termination of employment.

Additionally, each Member shall, at its option, enter into a Confidentiality and Nondisclosure Agreement with its Auditing Company, Auditors or both.

Regardless of whether any formal Confidentiality and Nondisclosure Agreement has been signed, any negligent or intentional breach of the confidentiality of a Member shall, within the complete discretion of the CSIA, be grounds for immediate termination of its relationship with any Auditing Company or individual Auditor.

Terminology

The following terms will be used in regard to CSIA's certification processes:

Audit - An Audit is a systematic, independent and documented process for obtaining records, statements of fact or other information, which are relevant to the set of policies, procedures or requirements set out in the CSIA Best Practices and Benchmarks Manual and evaluating it objectively to determine the extent to which the audit criteria defined in the current CSIA Audit Report are fulfilled.

Auditing Company – A firm that is an independent contractor that CSIA retains to perform audits for CSIA certification, each consisting of one or more Auditors.

Auditor – An individual either employed or contracted by an Auditing Company to perform CSIA Audits.

Audit Report – A document that identifies the criteria, the passing requirements and the scoring approach required to become CSIA certified. This document is also used to record actual audit results.

Best Practices and Benchmarks Manual (BPBM) – A document offered as guidance to Members to assist them in optimizing their businesses. The BPBM forms the basis for the CSIA certification process.

Best Practices Committee – A group of staff and volunteers that is appointed by the Board of Directors and charged with developing and maintaining the Best Practices and Benchmarks Manual, among other things. The committee reports to the Board of Directors.

Board of Directors (BOD) – The group that manages the affairs of the CSIA as defined in the bylaws.

Branch Audit – An audit of a Branch Office of a Member.

Branch Office – A Member's location that is not a standalone business and relies on another office (typically, the Head Office) for some aspects of the business.

Branch Office Assessment – An assessment to determine whether a Branch Office should be audited fully on a standalone basis or as part of a corporate Head Office.

CEO – CSIA CEO

Certification Body – The CSIA, which is the entity that owns the CSIA certification process and decides which companies are CSIA certified.

Certification Committee – A committee consisting of the CEO, Certification Manager, an appointed liaison from the Board of Directors, and representatives from all CSIA-approved Auditing Bodies, including authorized CSIA auditors. See the Certification Committee charter for more details.

Certification Expiry Date (CED) – The date that a Certified Member's certification status expires. Generally, three years from the date the previous certification expiry date.

Certification Management System (CMS) – The system for processing the certification of Members.

Certification Master Spreadsheet – Internal document tracking all Certified Members progress through the certification/recertification process. This document is managed by the Certification Manager, accessible to CSIA CEO at all times, and available for review upon request by Auditors for their clients.

Certified Member – A CSIA Member that has met and maintained all the requirements of CSIA certification including being a Member in good standing and passing periodic Audits.

Certification Record – A spreadsheet that serves as the master record of the status of all Certified Members and those whose certification was removed.

CMS Documents – Documents, including forms and contracts, maintained by the CSIA for the purpose of managing the certification process.

CSIA –Control System Integrators Association

CSIA Staff – Refers collectively to the CSIA CEO, CSIA Certification Manager, and any other person employed by CSIA or its management company.

Head Office – Refers to an Integrator Member's location where all business functions occur. The Head Office is auditable on a fully standalone basis.

Integrator Member – A CSIA Member in good standing that has not yet met or maintained all the requirements of the CSIA Certification Program.

Level – The level in the scoring system used in an Audit is typically determined by a combination of the annual revenue and headcount of the company, including all offices. Other factors may apply, such as growth rate.

Member – A CSIA Integrator Member, a CSIA Certified Integrator Member, or a Partner Member.

Mentorship Program - Certification candidates have the opportunity to search for a currently certified member "mentor" through the CSIA website.

Multiple Location Audit – An audit of Members that have multiple office locations that share business processes. No single location is fully auditable on a standalone basis.

Partner Member - A Partner Member shall be a for-profit business entity that manufactures and markets industrial automation products, control hardware, and/or control software to multiple independent system integrators and that provides proprietary products for non-exclusive sale to the manufacturers, material processors, institutions, and utilities, both public and private. A Partner Member may also be a business that provides services to control system integrators.

Pre-Audit – A service in which an Auditor provides feedback to help the company prepare for an Audit. A pre-audit cannot result in becoming a CSIA Certified Member.

Professional Services Agreement (PSA) – A contract in which CSIA Member agrees to engage with an Auditing Company to perform a CSIA Audit.

Remote Audit – An Audit conducted from a location other than the office being audited.

System Integrator (SI) – An independent business entity that uses technical and project management activities to integrate commercially available hardware and software into a solution for a client.

Witness Audit – A CSIA Audit conducted by a prospective auditor which is simultaneously evaluated by an Auditor from a currently authorized CSIA Auditing Company. Each Auditor working for an Auditing Company applicant must successfully complete a Witness Audit in order for the Auditing Company to become CSIA authorized.

Corrective Action Requests and Continual Improvement

In an effort to review and act upon identified nonconformities and complaints regarding the CMS, CSIA will ensure that all nonconformities and complaints are addressed appropriately in a timely manner.

Anyone may propose an improvement goal or submit an identified nonconformity or complaint through CSIA Staff or a Certification Committee member.

CSIA staff will evaluate the request for its merit, required effort and effectiveness. If the request is deemed appropriate, the CSIA staff will develop a plan for implementation. If necessary, the request will be forwarded to the Certification Committee for additional review and recommendations.

Fees

CSIA will charge Member companies interested in certification or recertification a certification management fee per location to be audited. Fees are as follows and subject to change upon board approval:

- New certification candidate fee for a Head or Branch Office: $700
  - For a Head or Branch Office receiving reduced dues: $350
- Recertification candidate fee for a Head or Branch Office: $500
  - For a Head or Branch Office receiving reduced dues: $250

This fee will be due at the time of application for certification or recertification and is nonrefundable. The recertification fee will only be applicable to companies that have maintained continuous certification. If the Certified Member's certification has lapsed, they shall pay the new certification candidate fee.

CSIA's Auditing Companies will provide a proposal, known as the Auditing Company Guidelines, to CSIA at the start of each calendar year with the following content:

- Estimated fee range per audit day and half day
- Hourly rate(s) for other services (e.g., Pre-Audit consultation or remediation work)
- Names of Auditors able to conduct CSIA Audits
- Travel time and cost policy
- Living expense policy
- Audit rescheduling policy
- Terms and conditions
- Company description and marketing message

The Auditing Company Guidelines will provide Members with the information necessary to make an informed decision in choosing an Auditing Company. Members will be asked to review the guidelines and select an Auditing Company as part of the online application process. Members who do not select an Auditing Company will be assigned an Auditing Company based on the criteria listed below in the Selection of an Auditing Company section. CSIA staff will maintain Auditing Company selection in the Member's file.

CSIA inclusion in the audit process begins when the Member contacts CSIA to begin the audit process. CSIA inclusion in the audit process ends when the Member either passes or officially fails the audit (which may be after remediation efforts). CSIA will be involved with remediation for six months for a recertification and 12 months for an initial audit.

Auditing Companies will manage all billing for audit-related services directly with the company being audited.

AUDITS

How to get started

If a CSIA integrator member is starting the process of becoming CSIA certified or renewing certification they should complete the Certification Application (available for download in the Best Practices and Certification – Members Only library on the CSIA website) and submit it to CSIA staff.

Eligibility for an Audit

A Member's location to be audited must meet all of the following requirements to be eligible for an audit.

1. A minimum of six full-time equivalent employees as averaged over the last three years must be performing design, programming and/or engineering. Not to be included in the count of the number of employees performing these services are employees who are:

   a. Performing construction, wiring or assembly tasks
   b. Serving a majority of their time as staff augmentation for clients
   c. Primarily engaged in commissioning or providing field service and support

2. The company is owned by the same entity that is a dues-paying Member in good standing.

Branch Office Audits

This section describes how to determine if a Branch Office may be certified as a "standalone" office or if the branch may be included as part of another related CSIA certified entity, such as the Member's Head Office. To distinguish between a full or "standalone" audit and an audit conducted as part of another related CSIA certified entity, the former shall be referred to as an "Audit" whereas the latter shall be referred to as a "Branch Audit."

Note: Members are not required to certify their Branch Offices if their Head Office is certified; they simply may not refer to or represent the branch offices as being CSIA certified in any form of communication.

Compliance verification through an audit of the business processes at that office relative to specific CSIA Best Practices is the determinant of whether that office meets CSIA Certification requirements.

Eligibility for Branch Office Certification:

- To be considered a Branch Office, the Branch Office must be part of the same legal entity as the CSIA Certified Member office.

- The Member's office responsible for performing one or more of the functions on behalf of the Branch Office must be a CSIA certified office. For most integration companies, this would be the Head Office where all processes covered by the audit are performed. However, it may be another related CSIA certified office of the Member. Regardless, this office shall be referenced as the Head Office and shall be fully auditable on a standalone basis.

- For most Integrators, Branch Offices exist as a subset of a Head Office that is fully auditable on a standalone basis. On occasion, a situation may exist where the Member does not have a Head Office or location that is fully auditable on a standalone basis (i.e., locations are essentially

codependent; no location handles all aspects of the Best Practices audit criteria). See Multiple Locations without a Head Office section below.

- Notwithstanding other stated general requirements, a Branch Office is not eligible for certification if more than 30% of revenues are from service and support provided after system completion. Personnel who serve primarily as staff augmentation for clients are not considered in the percent determination in any way.

- If the location does not meet the requirements to be considered eligible as a Branch Office but is otherwise eligible for certification, then it must be audited to all specified audit requirements on a standalone basis.

- The initial audit for a branch office can be performed at any time during the three-year certification period of the Certified Member's Head Office. However, it should be noted that it is to the Integrator's advantage to have the Branch Audit performed as soon as practical from the date of certification of the Head Office location. Additional costs may apply if the Auditor needs to review some of the information supplied during the Head Office location audit.

- All subsequent Branch Audits must occur within 30 days of the Head Office audit.

Branch Office Assessment:

- Upon the CSIA staff confirming the Member's intent to certify, the requirements for multiple location certifications must be assessed. The CSIA staff and Auditor will review with the Member the nature of the operation of these locations to determine if an Audit or Branch Audit is required.

- If the Member and Auditing Company agree that there may be locations that qualify for the branch audit, then the CSIA staff will provide the Member with a Multiple Office Pre-Audit Checklist (MOPC) form to be completed for each Branch Office to be audited.

- This MOPC will provide the necessary information to make a final determination whether that office should receive an Audit or Branch Audit. Generally, if the responses in the MOPC indicate that some criteria are handled by an entity other than the Branch Office, then the branch will be audited as a branch. The CSIA staff and Auditor will determine the appropriate level to audit the branch. If the level is higher than the level used for the Head Office audit, then the Head Office may be required to update its certification to the new level.

- The Member's representative responsible for answering the MOPC questions must determine whether any given criteria are handled at the Branch Office or by the Head Office. If any criteria are handled outside of the branch, then a description of how those criteria are addressed and managed must be provided. It should clarify who has responsibility and how the criteria are managed to ensure compliance with the CSIA Best Practices and Benchmarks. The linkages between the Branch Office and the Head Office should be clearly described. This will allow assessment of how the process linkages between offices shall be audited and evaluated at the Branch Office.

- The Auditor will determine the criteria that must be audited on a standalone basis at the Branch Office and the criteria that will be audited as performed at the head office. It is possible that upon review, the Branch Office may be required to be audited fully on a standalone basis. This is at the Auditor's discretion. The Auditor should clarify with the Member any unclear responses on the MOPC.

Branch Audit:

- All Branch Audits may be conducted at the Branch Office or by a Remote Audit.

- Branch Office personnel must provide clear, supporting evidence to confirm the process linkages identified from the Head Office. For example, the branch may not conduct strategic planning, but how that branch and personnel are involved in the strategic plan should be evident.

- The score for the criteria that are performed by the Head Office only will be the score obtained during the Head Office audit, modified to reflect the level of compliance at the Branch Office.

- The Auditor will conduct a standard assessment of the processes and supporting evidence for those criteria that are considered to be the responsibility of the Branch Office.

- All audit criteria in the Audit Report shall be evaluated during the Branch Audit. Audit criteria that are determined to be outside of the scope of the Branch Office with no related process linkage to the Head Office shall use the score from the Head Office.

- Audit criteria for the branch office not assessed on a standalone basis will be based on the Auditor's understanding of how the Member handles the process linkages for the criteria with the head office.

Multiple Offices without a Head Office:

- This situation can occur where the Member has multiple offices but no one office is fully auditable on a standalone basis due to the nature of how processes are shared and supported across different offices. These will be referred to as codependent offices.

- In the case of codependent offices, there must be no more than two offices involved in the audit.

- If the above requirement is met and all other relevant eligibility criteria satisfied, then a MOPC must be conducted for both codependent offices.

- The audit will be conducted at the level according to that based on the combination of both codependent locations.

- In order to achieve certification, both codependent offices must conduct and pass the audit within 30 days of each other. If one does not pass, then neither is considered a pass and certification will not be achieved for either office.

Pre-Audit

A Member may choose to undergo a Pre-Audit as defined in this manual. The Member would contract with the Auditing Company directly for a Pre-Audit without the involvement of CSIA Staff.

Audit Procedure

The following describes the procedure for CSIA Members to become certified. It also applies to renewal of certification for currently Certified Members.

Note: If an Auditing Company is contacted directly by a Member regarding certification, the Auditing Company can work with the member as they wish to encourage implementation of CSIA Best Practices. The Auditing Company should also direct the Member to refer to the CMS Manual and to contact CSIA staff to begin the official certification process.

1.) Member completes Certification Application and submits it to CSIA.
2.) Certification Manager reviews submission. Upon approval of the application, Certification Manager starts an electronic file and sends certification fee invoice and Auditing Company Guidelines to the Member. *Note: If the Certification Application indicates that a Branch Office will be audited, see Branch Office Audits section.*
3.) Once all completed forms are returned, Certification Manager sends Intent to Audit document and Member's Certification Application to the Auditing Company/Auditor.
4.) After the Member and Auditing Company agree to proceed, the Auditing Company returns the signed Intent to Audit to Certification Manager and contacts the Member to schedule an audit. Auditing Company informs Certification Manager of the date the audit is scheduled/rescheduled and the name of the Auditor who will conduct the Audit. Certification Manager will update Certification Master Spreadsheet.
5.) Audit is conducted.
6.) Upon successful completion of the audit, the Auditor sends the audit report, and any additional forms to CSIA staff. The Auditor maintains all other audit details according to CSIA's document retention policy. The Auditor can review the preliminary audit results and notes from the audit with the Member. However, the Member will be notified of the final pass/fail decision by Certification Manager. Certification Manager will update Certification Master Spreadsheet. See Step 9 for failed audits.
7.) The Certification Manager reviews the audit report and decides the final pass/fail. If discussion is required, the CEO or Certification Committee will be consulted. Certification Manager will add the audit report to the member file and update the Certification Master Spreadsheet.
8.) When a Member passes, Certification Manager will notify the Member as per the notification procedure.
9.) When a Member fails the audit, the Auditor will inform CSIA of remediation plans and expected date of completion.

Selection of an Auditing Company for an Audit

The CSIA staff selects an Auditing Company based on information in the completed Certification Application form. If the Member indicates a specific Auditing Company, that Auditing Company is assigned if there is not a conflict of interest described on the form.

When selecting an Auditing Company for an audit, the following criteria will be considered:
- Member preference (Member preference will have priority)
- Audit cost
- Cost due to the distance from an Auditor to the Member
- Language
- Auditor safety
- Conflicts of interest
- Availability of Auditor

Considerations for a conflict of interest between a Member and Auditor and/or Auditing Company:
- If an Auditor is providing or has provided consulting to the Member, the Auditor may not audit the Member.
- Consulting is defined as when a person gives advice, recommends specific solutions and is involved in the implementation of such advice or specific solutions, either directly or as an overseer of the work.
- Providing advice, observations or feedback without implementation of such advice is not considered consulting.

Data Storage and Analysis after Audits

All forms and documents received from the Auditing Company and Member are stored verbatim in the Member's electronic folder. Additionally, the Audit Reports will be made anonymous and compiled with other audit results for use by the Certification Committee and the Best Practices Committee. The purpose is to identify characteristics that are used for continuous improvement of the Best Practices Manual and the audit criteria and process.

Pilot Audits

Multiple pilot audits, will be conducted when a new BPBM version is going to be released and the audit criteria have changed. CSIA will conduct pilot audits of selected currently Certified Members whose CED is within approximately the next year of the initialization of the new version. CSIA's pilot audit series initiative is managed by CSIA staff, the Certification Committee and the Best Practices Committee over approximately a 10-month time period.

Part of the purpose of the Member engaging in the pilot audit is to help the CSIA establish a normative pass/fail scoring basis for the new CSIA BPBM version. As such, a final audit score and pass/fail result will not be provided to the Members until all pilot audits are complete and all results are assessed. Participating Members agree to allow CSIA to use and provide the results of their audit for the purpose of assessing and finalizing scoring and pass/fail benchmarks. Standard certification application requirements will apply to pilot audit participants.

Initial audit results will be reviewed with the Member at the time of the audit but final results will not be available until all pilot audits are complete. Upon final scoring and determining pass/fail benchmarks from all pilot audits, the auditor will make a final assessment of the Member's audit results relative to the final benchmarks. Certified Member status of the Member shall remain in effect until final results have been obtained, providing that membership status remains in good standing. At the discretion of the auditor, the CSIA CEO, the recertification audit date may be extended to facilitate completion of the pilot audit process. Once the audit results are completed, reviewed and signed, a copy of the Audit Report will be provided to the Member and a copy will be retained by the Auditor and CSIA. If a Member does not meet the passing requirements, CSIA will provide an extension of six months as a remediation period. During this period, the Member's certified status will remain in effect, provided membership status remains in good standing. After achieving a passing audit score, the Member's next Certification Expiration Date (CED) will be set based on the expiry date of their previous certification period. A record of the status of the Certified Members participating in the pilot audits is maintained in the Certification Record document.

Candidates interested in participating in a pilot audit must complete the Certification Application including the Pilot Audit Agreement section. Each request for participation will be reviewed for suitability. Some requests may not be accepted and are at the discretion of CSIA staff and auditors.

Remote Audits

Remote audits provide an alternative to on-site audits for members seeking certification or recertification. There are advantages and disadvantages compared to an on-site audit. The effectiveness of any audit depends on several factors of which some are inherently missing when doing an audit remotely.

If all requirements stated in the application form are met and the audit is successfully passed, the certification status is extended for 3 years from CED (without extension) as is the case for on-site audits.

Requirements, Recommendations, and Information

1. All eligible CSIA members seeking certification have the option for remote audits.

2. The integrator member is required to provide all infrastructure and technology for the remote audit. The requirements are outlined in the Technology and Infrastructure Requirements table below.

3. The member is responsible to ensure infrastructure and technology is fully tested and operational ahead of the audit date.

4. It is reasonable for the member to expect to have the responsibility of compensating the auditor for costs incurred plus any additional costs related to excessively lengthy audits, delays, postponements of the audit or re-audits as a result of technical ineffectiveness or failure.

5. The member needs to provide evidence during the audit, requiring it to be in a digitized and readily available format. Evidence that is not digitized is significantly more challenging to process in a remote audit and may inhibit the effectiveness of the audit process. Inability to effectively assess audit criteria will be reflected in evaluation.

6. The Member should allow 2-3 days for the execution of a remote audit.

Preparation for the audit

The items in the Submittals table are to be submitted by the member in advance of the audit. The Member may be required to submit to the Auditor, in advance of the audit, other artifacts of relevant evidence to support review of audit criteria. Evidence required beyond that listed in the table below will be established between the Auditor and the Member prior to the audit. The Auditor has the authority to waive the requirement of the advance submittal of any item(s). This does not preclude the requirement of the Member to provide evidence as required during the audit.

Submit to	Item
Auditor	Organizational chart. Include personnel at the Branch and Head Offices.
Auditor	Names, titles, and descriptions of all personnel, by section, to be involved in the audit
Auditor	Provide a physical layout drawing of the facility that identifies departments or groups, dedicated rooms (i.e. meeting rooms), bulletin boards, displays/monitors with company information and so forth. The Auditor may request in advance the locations where the facility tour (to be conducted whenever possible) will stop and view with the camera.

Remote Audit Technology and Infrastructure Requirements *(The member may choose to copy this table into a document to use for audit preparation.)*

Item #	Requirements	This column is for member's notes	Comments
1	**System Integrator** The teleconferencing platform needs to have the ability to share the screen view and the face of all Member company personnel involved in the audit and the auditor. Member company personnel may be local or remote.		Room lighting must be considered. An example is that a window in the camera view would be a bright spot and the other areas would be dark.
2	**System Integrator** A portable camera is required for the facility tour (to be conducted whenever possible).		This camera may or may not be the same one as in item #1. A Smart Phone, Tablet or laptop with a camera could be used. Pre-recorded videos of a facility are not an acceptable substitute for the facility tour at the start of the audit.

Item #	Requirements	This column is for member's notes	Comments
4	**System Integrator** • The Member must be able to provide Auditor simultaneous and continuous viewing of: a) All Member participants presenting and/or viewing, collectively and individually, and b) Evidence being presented c) Both a) and b) must be proven to be functionally verifiable prior to the audit to the satisfaction of the Auditor		
5	**System Integrator** If any evidence will be hand-drawn during the audit, the SI or Auditor need to upload to share.		
6	**Auditor** • It is recommended that the auditor set up his/her computer well in advance. • One (or two) screens to review shared evidence and view team participants. • In addition, the auditor will need to use his/her computer or a second one for his audit related work.		

Item #	Requirements	This column is for member's notes	Comments
7	**Auditor** Camera with a view of the auditor and any other personnel.		
8	**Videoconferencing** All computers that will be used during the audit must have the videoconferencing program loaded, tested and have received an invitation to join the meeting. Examples of videoconferencing programs are Zoom, Microsoft Teams, WebEx and GoToMeeting. It is strongly recommended that the integrator have available an alternate web conferencing platform should the primary one fail.		

Item #	Requirements	This column is for member's notes	Comments
9	**Audio** Reliable, good quality, full duplex communication is required. Audio methods: Land line, VoIP phones and/or computer microphones & speakers.		Any method is acceptable. Following is a suggested order to minimize the cost. At the Branch Office, a headset is useful during the tour. 1. Landline between locations using company phone numbers 2. Videoconferencing program with computer audio (used during the tour and when additional people attending from locations other than the audit room) 3. Videoconferencing program dial-in (when #2 does not perform well due to inadequate bandwidth)
10	**Lighting** Lighting in areas with cameras must support proper brightness and contrast resulting in comfortable viewing		
11	**Audit Room** The room(s) used by the Member participants should be isolated from background noise and interference to the highest degree possible		

Extensions

Following are the Certification Expiry Date (CED) extension guidelines and criteria. A Certified Member may submit a request to the CEO for a one-time extension to their current CED. For extension guidelines for pilot audits see the Pilot Audits section.

Extension Criteria:

- Requests for extensions shall be subject to "just cause" evaluation (see below) prior to granting any request.
- Extensions shall be for six months past the original CED. Original CED will be used as the basis for setting a new CED after the audit is passed.
- A company can recertify no more than six months prior to their CED. If a company recertifies prior to their CED the new CED will be three years from the original CED (ex. A company's CED is May 2014 but they recertify in February 2014 then the new CED is May 2017).
- Extensions will not be considered if requested more than six months prior to the CED.

Just Cause for an Extension:

Generally, just cause would arise from issues beyond the control of the Certified Member but does not include the impact of the economic conditions at that time that may affect that Certified Member's business.

Some examples of a just cause would be:

- An "act of God" that affects the Certified Member's ability to complete preparations for the audit, e.g., fire, hurricane, flood
- The Certified Member has not been able to obtain a mutually agreeable audit date with the Auditing Company prior to their CED, provided that:
    - Certified Member initiated scheduling attempts with Auditor at least three months prior to their CED, a
    - Certified Member has made a reasonable effort (at least several attempts) to get an audit date set with the Auditor, and
    - The only date that works is after the certification expiration date (must be less than six months after the expiration date).
- A Certified Member not located in North America seeking to minimize audit costs may request a six-month extension so that additional audits can be arranged in their general location during the same trip by an Auditor. All audits must occur within the six-month extension period. Confirmation requires that an audit is scheduled and confirmed with an approved Auditing Company prior to the earliest CED of any Certified Member within that group. The extension, if approved, shall be for six months from the earliest CED of the Certified Member within that group.
- Within six months of CSIA formally releasing a major revision to Best Practices, the Certified Member wants extra time to prepare for the new version. However, this will still not exceed the six-month window past the original CED.
- Significant changes occurred with management personnel within six months of the CED.

- Significant changes are occurring to business management systems within six months of the CED.

Some examples that would *not* be considered a just cause:

- A company is too busy to get prepared for the audit.
- A company doesn't have enough work at the time and/or all available time is being spent on business development.
- Within three months of the CED, the Certified Member asks to defer an audit date that has already been scheduled and confirmed with an Auditing Company and a mutually agreeable audit date can no longer be obtained prior to the CED.

Extension Approval and Notification Process:

- Other than extensions related to audit scheduling or remedial action between the Certified Member and the Auditing Company, all CED extension requests must be made by the Certified Member to the CEO.
- Upon approval of the extension, the CEO will send written notice to the Certified Member's representative, the Certification Manager, and the Auditing Company stating that the extension request has been approved.
- In the case of extensions of original CED related to scheduling issues or remedial action between the Certified Member and Auditing Company, the Auditing Company will inform the Certification Manager of the extension. Approval by the CEO is not required.

Extension Denial Appeals Process:

- In the event that a Certified Member requests and is denied an extension to the CED, the Certified Member may appeal the denial by making a formal request for reconsideration to the chairman of the CSIA Board of Directors.
- The chairman will invite the Certified Member to present their argument to the Board of Directors at the next regularly scheduled meeting.
- After presenting their argument for an extension, the Board of Directors will discuss the matter and vote on the issue. A simple majority determines the result.
- The chairman of the CSIA Board of Directors will notify the Certified Member and CSIA staff as soon as possible with the decision.
- The Member's certified status will be maintained throughout an appeals process.
- If appeal results in extension of CED, the extension of certified status will be six months from the original CED.

Extension When the Certified Member Fails the Recertification Audit:

- In the event that a Certified Member does not pass the recertification Audit on the first attempt the Auditor may offer the Certified Member six months past the audit date to complete remedial actions in order to pass the audit. During this time, the Certified Member's certified status shall be maintained. The Auditor will inform CEO and Certification Manager of the extension.
- In the event that a Certified Member does not pass the recertification Audit on the first attempt during the approved six-month CED extension period, the Auditing Company cannot allow the Certified Member any additional time for remedial actions to pass the audit other than what is remaining within the six-month CED extension already granted.

- In either case, this will allow the Certified Member to retain certified status while remedial actions are being completed within the relevant time frames allowed as described above.
- Should the Certified Member pass the audit prior to the end of the six-month extension for remedial action, then the original CED shall be the basis for the Certified Member's next CED.
- Should the Certified Member not pass the audit by the end of the six-month extension for remedial action, then the Auditing Company shall immediately inform the CSIA staff that the Member has not met the audit requirements. Staff will send the Withdrawal of Certification letter.

Application of this Guideline to Certified Member Branch Offices:

- In the event that a Certified Member's certified status is revoked at the Head Office level, it is revoked at all Branch Offices that were certified under the Branch Office certification process. Any branch locations that were certified on a standalone basis shall retain their certified status.
- In the event that a Certified Member's certified status is revoked at a Branch Office the revocation will only apply to that Branch Office, provided the Member's Head Office location was certified on a standalone basis.

Early Certification

A company may choose to re-certify early but no earlier than six months prior to their existing CED unless there are extenuating circumstances. A company that would like to re-certify more than six months before their CED should contact CSIA staff.

Withdrawal of Certification

This section describes the reasons for withdrawal of a Certified Member's certified status.

- If the Certification Committee, which has sole discretion in such matters, determines that a company does not or no longer meets the eligibility criteria described in its Certification Application, then certified status may be withdrawn. CSIA staff will send the Withdrawal of Certification letter notifying the company of the Certification Committee's decision. The letter will describe the actions required of the Member.
- If the CSIA determines within its sole discretion that significant company restructuring, including but not limited to: change in ownership, merger, buyout, significant change to size of company, has resulted in a new or modified company, then CSIA staff will be instructed to send the Withdrawal of Certification letter notifying the company that it no longer has CSIA certified status.

Complaints about a CSIA Certified Integrator

CSIA may occasionally receive a complaint about the performance of a CSIA Certified Company from a client. Therefore, CSIA has developed a policy called Policy for Submission of Complaints about a CSIA Certified Integrator. The policy is available from the CSIA office.

APPENDIX A - FORMS

Audit Prep Action Items	Best Practices and Benchmarks Manual (BPBM) latest version
Audit Prep Guide	Certification Application
Audit Prep WBS	Audit Report

REVISION HISTORY

Revision No.	Description of Change	Approval Date	Reviewed and Approved By
0	Initial Release		
1	Simplification of CMS Procedures	April 2016	CSIA President, CEO & BOD
2	General Updates	April 2017	CSIA Staff
3	Inclusion of Remote Audits for Head Office and updated "Remote Audit Technology and Infrastructure Requirements" as well as elimination of President role. Fees amounts to be increased.	Dec 2022	CSIA CEO Notes: 1. CSIA BOD approved on 05/19/2020 remote audit option for recertifications. 2. Documentation for Remote Audits for Recertifications of Head Offices was generated and shared by the CEO on 05/22/2020 post Cert. Comm. input on 05/11/2020 meeting and Board 05/19/2020 meeting. 3. CSIA BOD approved on 05/05/2021 remote audit option to also include first time certifications.
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