



Forum European Diversity Management

# Human Diversity Management Systems<sup>®</sup>

## Certification Scheme EN

### Diversity-Management Systems based on ÖNORM S 2501

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Certification

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## Forum European Diversity Management

### Preface

The Forum European Diversity Management (FEDM) was founded in 2006 with the aim of establishing quality standards for diversity management and to draft a concrete guideline or a standard for interested organisations and consultants.

This goal was achieved on 1 January 2008 with the publication of the Austrian Standard ÖNORM S 2501: Diversity Management – General guidelines on principles, systems and supporting techniques”.

In 2012, FEDM developed the certification trade mark “Human Diversity Management Systems” (HUDIMS®) and developed the current certification scheme together with the certification partner Austrian Standards plus Certification (AS+C), the certification body of Austrian Standards.

## 1 Scope

This Certification Scheme specifies the procedures for the assessment and certification of a diversity management system (DivMS).

The assessment of a diversity management system is based on the following normative document:

- ÖNORM S 2501: 2008-01-01 Diversity Management – General guidelines on principles, systems and supporting techniques

The criteria for certification of a DivMS in an organisation are specified in annex A.

Certification is based on the principles in EN ISO/IEC 17021<sup>1</sup>.

## 2 Application

2.1 The applicant shall file an application using the form provided by the certification body.

2.2 The applicant shall appoint a contact person for the certification process.

2.3 The application shall specify the desired scope of certification in terms of business sites to be covered.

2.4 Together with the application the applicant shall provide documentation on the management system to be certified. This documentation shall contain the following:

- a) the desired scope of the certification;
- b) the general features of the applicant organization, including its name and the address(es) of its physical location(s), significant aspects of its process and operations, and any relevant legal obligations;
- c) general information, relevant for the field of certification applied for, concerning the applicant organization, such as its activities, human and technical resources, functions and relationship in a larger corporation, if any;
- d) information concerning all outsourced processes used by the organization that will affect conformity to requirements;

<sup>1</sup>ISO/IEC 17021:2011 Conformity assessment - Requirements for bodies providing audit and certification of management systems



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### 3 Application review

**3.1** Before proceeding with the audit, the certification body will conduct a review of the application and supplementary documentation for certification to ensure that:

- the information about the applicant organisation is sufficient for the conduct of the audit;
- any known differences in understanding between the certification body and the applicant organisation have been resolved;
- the scope of certification sought, the location(s) of the applicant's operations, time required to complete audits and any other points influencing the certification activity have been taken into account.

**3.2** Based on this review, the certification body shall determine the competences it needs to include in its audit team and for the certification decision. The audit team shall be composed of a Lead Auditor as well as co-auditors if necessary.

### 4 Initial certification audit

The initial certification audit of a management system shall be conducted in two stages.

#### 4.1 Stage 1 audit

The audit stage 1 shall be conducted to prepare the actual certification audit (audit stage 2 in accordance with clause 4.2). The audit stage 1 may either be conducted on-site at the premises of the organisation to be certified or based on documentation filed by the organisation.

The stage 1 audit shall be performed to

- a) audit the client's management system documentation;
- b) evaluate the client's location and site-specific conditions and to undertake discussions with the client's personnel to determine the preparedness for the stage 2 audit;
- c) review the client's status and understanding regarding requirements of the standard, in particular with respect to the identification of key performance or significant aspects, processes, objectives and operation of the management system;
- d) collect necessary information regarding the scope of the management system, processes and location(s) of the client, and related statutory and regulatory aspects and compliance;
- e) review the allocation of resources for stage 2 audit and agree with the client on the details of the stage 2 audit;
- f) provide a focus for planning the stage 2 audit by gaining a sufficient understanding of the client's management system and site operations in the context of possible significant aspects;
- g) evaluate if the internal audits and management review are being planned and performed, and that the level of implementation of the management system substantiates that the client is ready for the stage 2 audit.

Stage 1 audit findings shall be documented and communicated to the client, including identification of any areas of concern that could be classified as nonconformity during the stage 2 audit.



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### 4.2 Stage 2 audit

The purpose of the stage 2 audit is to evaluate the implementation, including effectiveness, of the organisation's management system. The stage 2 audit shall take place at the site(s) of the organisation to be certified.

It shall include at least the following:

- a) information and evidence about conformity to all requirements of this certification scheme
- b) performance monitoring, measuring, reporting and reviewing against key performance objectives and targets;
- c) operational control of the organisation's processes;
- d) internal auditing and management review;
- e) management responsibility for the organisation's general policies;
- f) performance data and internal audit findings and conclusions.

## 5 Audit report for initial certification

The audit team shall analyse all information and audit evidence gathered during the stage 1 and stage 2 audits to review the audit findings and agree on the audit conclusions.

The information provided by the audit team to the certification body for the certification decision shall include, as a minimum,

- a) the audit reports,
- b) comments on the nonconformities and, where applicable, the correction and corrective actions taken by the organisation,
- c) confirmation of the information provided to the certification body used in the application review and
- d) a recommendation whether or not to grant certification, together with any conditions or observations.

## 6 Certification decision

Based on the audit conclusions and the recommendation by the lead auditor, the certification body will decide on the issue of the certificate.

The certificate has a validity of 3 years provided that the requirements to maintain the certificates are being met.

## 7 Surveillance activities

In order to maintain the certificate, surveillance audits shall be conducted on a yearly basis.

Surveillance audits are on-site audits, but are not necessarily full system audits, and shall be planned together with the other surveillance activities so that the certification body can maintain confidence that the certified management system continues to fulfil requirements between recertification audits. The surveillance audit programme shall include, at least

- a) internal audits and management review,
- b) a review of actions taken on nonconformities identified during the previous audit,
- c) effectiveness of the management system with regard to achieving the certified client's objectives,



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- d) progress of planned activities aimed at continual improvement,
- e) continuing operational control,
- f) review of any changes, and
- g) use of marks and/or any other reference to certification.

Recertification

### 7.1 Recertification audit

The recertification audit shall include an on-site audit that addresses the following:

- a) the effectiveness of the management system in its entirety in the light of internal and external changes and its continued relevance and applicability to the scope of certification;
- b) demonstrated commitment to maintain the effectiveness and improvement of the management system in order to enhance overall performance;
- c) whether the operation of the certified management system contributes to the achievement of the organization's policy and objectives.

**9.4.2.2** When, during a re-certification audit, instances of nonconformity or lack of evidence of conformity are identified, the certification body shall define time limits for correction and corrective actions to be implemented prior to the expiration of certification.

### 7.2 Audit report for recertification

The certification body will make decisions on renewing certification based on the results of the recertification audit, as well as the results of the review of the system over the period of certification.

## 8 Auditors

Audits shall be conducted at least by one Lead Auditor. Depending on the structure and size of the organisation to be certified and the complexity of the procedure, the Lead Auditor may be accompanied by one or more co-auditors.



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### Annex A Audit Criteria

**C-01:** There are procedures in place to identify, question and eliminate stereotyping and discrimination at the workplace.

**Examples:** whistle-blowing platform for discrimination and bullying, or: person(s) explicitly in charge of equal treatment and diversity.

**C-02:** The organization has a basic understanding of diversity management that goes beyond legal requirements and that makes diversity management clearly useful for the success of the organisation.

**Examples:** diversity was already a topic in the organization (in the form of seminars, workshops, further education, etc.), reflected to a degree in vision and mission

**C-03:** The organization has a clear motivation for diversity management and has developed a strategy and specific measures to reach its diversity management goals

**Examples:** diversity marketing, diversity HR policy, business case for diversity management

**C-04:** The organization lays down goals and measures within the dimension-specific fields of diversity management.

**Examples:** focus groups, mentoring, selection of management, etc.

**C-05:** There is a documented system in place ensuring that all needed processes and phases are performed for the planning, coordination and implementation of diversity management

**Examples:** management system with key performance indicators for diversity management.

**C-06:** There is a documented system in place ensuring that diversity management extends to all relevant operational and business fields of the organization: personnel development, HR management, quality and innovation management, CSR, marketing and sales, procurement, controlling, communication and PR, stakeholder dialogue and lobbying, etc.

**C-07:** The organization creates incentive systems and integrates diversity management into performance assessments.

**Examples:** definition in target agreements, respective competence models, etc.

**C-08:** The organization ensures the necessary organization-specific training and training of executives and employees for diversity management.

**C-09:** The organization collects and analyses data required for relevant organizational areas.

**C-10:** The organization is equipped with a system to evaluate the business case and return on investment of diversity management.

**Examples:** diversity index, diversity score card, etc.

**C-11:** The organization lays down specific, measurable, appropriate, realistic and timely objectives and/or indicators for diversity management.

**C-12:** The organization integrates the diversity management objectives and/or indicators into strategic controlling or financial indicator systems.

**C-13:** The organization evaluates the results of diversity management so that it is able to

- a) assess progress towards achieving objectives
- b) adjust objectives and measures for a continuous improvement process (CIP)
- c) perform cost-benefit analyses
- d) take measures to entrench diversity management as a cross-cutting issue



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**C-14:** The organization's management is committed to diversity management and actively participates in it.

**C-15:** The organization ensures that its employees are sufficiently involved in diversity management processes.

**C-16:** Procedures for internal and external communication of diversity management and for managing external enquiries and statements of external stakeholders are in place.

**Examples:** intranet, customer feedback forms, chapter in annual report about diversity management, participation in diversity prizes and awards, etc.

**C-17:** The organization allocates all needed resources (time, budget and space) to diversity management.

**C-18:** The organization has laid down tasks, responsibilities, powers and communication channels of persons in charge of diversity management.

**C-19:** The organization aims at a high degree of diversity maturity by proactively including social trends in its products and services, by taking responsibility and by creating favourable conditions for diversity and inclusion at the workplace.

**Examples:** diversity sponsoring for projects or programs of other organizations, diversity supplier chain, regional and supra-regional initiatives, etc.