

Document No.	:	NVT/QP/2/004
PAGE	:	Page 1 of 7
ISSUE:REV	:	05:01
DATE	:	15.09.2017

NVT/QP/2/004: PROCEDURE FOR CARRYING OUT AUDITS

- 1.0 OBJECTIVE : To ensure that audits are carried out as planned and in accordance with the requirements of ISO/IEC 17021/AS9101/AS9104 series/NABCB/ANAB guidance documents as applicable.
- 2.0 SCOPE : The procedure covers:
- (a) Certification audits
 - (b) Surveillance audits
 - (c) Renewal audits
 - (d) Assumption audits
 - (e) Special / short notice audits
- 3.0 RESPONSIBILITY : GM PLANNING, AUDIT TEAM LEADERS, AUDIT TEAM MEMBERS.
- 4.0 DETAILED PROCEDURE:

Sl. No.	ACTIVITY	REF. DOCS.	OUTPUT
CERTIFICATION AUDITS			
1.	<p>TEAM LEADERS</p> <p>(a) Receive final contract review, management system manual and other related system client documents from planning.</p> <p>(b) Examine final contract review. Review the appropriateness of the IAF scope, the scope of certification, need for technical expert etc. If necessary, consult the MR of the organization. Inform discrepancies if any to Executive Planning for resolution.</p> <p>(c) Prepare tentative audit program in specified format and hand over to Executive Planning.</p> <p>(d) Decide auditor days, sites to be covered, selection of audit team members & technical expert & dates of audit. Executive planning makes travel arrangements. Prepare phase I audit time table.</p>	<p>NVT/INST/3/004 NVT/INST/3/005</p> <p>Final contract review form NVT/FORM/4/024-1 for QMS, NVT/FORM/4/024-2 for AS</p>	<p>-</p> <p>Audit programme certification Phase I report template for QMS NVT/FORM/04/00 7-1</p>

Document No.	:	NVT/QP/2/004
PAGE	:	Page 2 of 7
ISSUE:REV	:	05:01
DATE	:	15.09.2017

2.	Carry out phase I audit as per time table and as per NVT/QP/2003. Finalise the audit program. Inform the areas of concern/nonconformities to the client and agree on the required follow-up actions and the tentative dates of phase 2 audit. Prepare the phase I certification audit report using applicable templates and handover to Executive, Reports section for necessary action. Assist Reports section in finalizing the audit reports and sending to client organization.	NVT/INST/3/004, NVT/INST/3/005 Opening, closing meeting agenda Audit schedule	Phase I audit report in the applicable template for the standard.
3.	Review of follow up reports if any from the client organization in respect of areas of concern of phase 1 audit. Decide and ensure further actions required if any.	Follow up report	
4	Where any part of the audit is made by electronic means or virtual means the persons carrying out these audits have appropriate competence.	As per ISO 17021-1:2015	
5.	Carry out phase 2 audit as planned and as per relevant paragraphs of NVT/QP/2/003. (a) Prepare corrective action requests based on audit findings. (b) Examine and finalize containment and corrective action plans proposed by the client's representative for the nonconformities observed. Containment actions may be verified during the audit, but nonconformities shall not be closed during the audit . (c) Containment action need to be completed by client within 7 days and accepted by lead auditor/ auditor within 14 days. (d) Finalize agreements for follow up actions on the nonconformities including corrective action audit. (e) Conduct closing meeting, report the audit conclusion and the agreements. (f) Handover PEARs (optional) , CARs and FORM5 in case of AQMS audits & CARs in case of other audits.	NVT/INST/3/004, NVT/INST/3/005	

Document No.	:	NVT/QP/2/004
PAGE	:	Page 3 of 7
ISSUE:REV	:	05:01
DATE	:	15.09.2017

	(g) Prepare and handover phase 2 audit report to Reports section for necessary action.		
6.	Review follow up reports sent by the client organization, carry out corrective action audit as planned and prepare corrective action report. Make recommendation for certification if all non conformances are contained, corrected, root cause analysis carried out, reviewed, accepted, verified and finally settled. For AQMS audits, ensure compliance to the time frame as specified in AS 9104/1, 9101E and OASIS rules. Handover report to Reports section for necessary action.		
7.	Assist Reports section in finalizing the audit reports and sending to client organization after approval		
8.	TEAM MEMBERS (a) To carry out audits assigned to them as per timetable. (b) Prepare CAR's as directed by the team leader. (c) Prepare audit reports for the processes assigned to them (d) Assist the team leader as requested.		
9.	TECHNICAL EXPERT (a) to accompany the auditors as per the audit time table and observe the happenings during the audit and is not required to take part in the audit process. (b) to suggest to the lead auditor/auditor any changes required in the audit time table so as to ensure better coverage of the audit scope (c) The technical expert may also offer his opinions on any of the issues arising out of the audit when requested by the lead auditor/auditor. (d) At the end of each process audit, expert shall inform to the lead		

Document No.	:	NVT/QP/2/004
PAGE	:	Page 4 of 7
ISSUE:REV	:	05:01
DATE	:	15.09.2017

	auditor/auditor any specific subject, he considers not addressed by the Lead auditor/auditor.		
10.	Audit team to maintain cycle time for submission of reports specified by CEO		

SURVEILLANCE AUDITS

Sl. No.	ACTIVITY	REF. DOCS.	OUTPUT
1.	<p>TEAM LEADER</p> <p>(a) Receive latest version of final contract review form, audit program, proposed timetable in the previous report, settled as well as pending CARs of previous audit and any other relevant information. For AQMS, obtain Management dynamics data received form client.</p> <p>(b) Examine final contract review. Inform discrepancies if any to Executive planning for resolution.</p> <p>(c) Carryout changes in audit program if required.</p> <p>(d) Assist the executive planning in selecting the sites to be audited, selection of audit team members, deciding the dates of audit, travel arrangements.</p> <p>(e) Prepare audit schedule and handover to executive planning. Ensure that top management audit is carried out at least once a year. For AQMS audits, ensure that purchase process and special processes are audited at least once a year.</p>		
2.	<p>Carryout the surveillance audits as planned and as per paragraph NVT/QP/02/003.</p> <p>(a) Prepare corrective action</p>		

Document No.	:	NVT/QP/2/004
PAGE	:	Page 5 of 7
ISSUE:REV	:	05:01
DATE	:	15.09.2017

	<p>requests based on audit findings.</p> <p>(b) Examine and finalise containment and corrective action plans proposed by the client's representatives for the non-conformances observed.</p> <p>(c) Finalize agreements for follow up actions on the non-conformances including corrective action audit.</p> <p>(d) Inform client on the likelihood of suspension of certificate (in case of major or repeated nonconformities if any or in case of failure to meet agreed timeframe).</p> <p>(e) Conduct opening and closing meetings, mention recommendation and conditions.</p> <p>(f) Handover to client PEAR and CAR's in case of QMS & other audits.</p> <p>(g) Inform time frame as specified in AS 9104/1 and OASIS rules.</p> <p>(h) Prepare and handover surveillance report to reports section for further action. Advise certification management regarding major or repeated nonconformities and action required.</p>		
3.	Review follow up reports sent by the client organization, carryout corrective action audit if required and prepare corrective action report. Handover report to reporting section for further action.		
4.	Assist reporting section in finalizing and sending report to client organization after approval.		
5.	TEAM MEMBERS As in step 7 of certification audit	NVT/INST/3/004	
6	Team to maintain deadlines for submission of reports		

Document No.	:	NVT/QP/2/004
PAGE	:	Page 6 of 7
ISSUE:REV	:	05:01
DATE	:	15.09.2017

RENEWAL AUDITS

Sl. No.	ACTIVITY	REF. DOCS.	OUTPUT
1.	Same steps as in the case of surveillance audits. Recommendation for renewal, after settlement of all nonconformances, has to be made.		

TRANSITION AUDITS

Sl. No.	ACTIVITY	REF. DOCS.	OUTPUT
1.	Transition checklist and Audit report format includes all the check points to be verified during transition audit. Implementation of all these check points is to be verified and relevant evidences are to be mentioned. After settlement of all nonconformance, recommendation shall be given by auditor for the transition		

ASSUMPTION AUDITS

Sl. No.	ACTIVITY	REF. DOCS.	OUTPUT
1.	Same steps as for surveillance audit with additional audit of continual management dynamics for renewal audit depending on the case.		

SPECIAL AUDITS

Sl. No.	ACTIVITY	REF. DOCS.	OUTPUT
1.	Same steps as in the case of renewal audits.		

SHORT NOTICE AUDITS

Sl. No.	ACTIVITY	REF. DOCS.	OUTPUT
1.	Steps depend case to case basis. To		

Document No.	:	NVT/QP/2/004
PAGE	:	Page 7 of 7
ISSUE:REV	:	05:01
DATE	:	15.09.2017

	be discussed and finalized by the MR		
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