NVT/QP/2/004
PROCEDURE FOR AUDIT PROCESS

1.0 OBJECTIVE : To ensure that audits are carried out as planned and in accordance with the requirements of ISO/IEC 19011, 17021, AS9101, AS9104 series, NABCB/ANAB guidance documents as applicable.

2.0 COVERAGE :
(a) Certification audits
(b) Surveillance audits
(c) Recertification audits
(d) Special / short notice audits

3.0 RESPONSIBILITY : GM (Operations), Lead Auditor, Auditor(s) , MR

4.0 REQUIREMENTS : ISO/IEC 19011, 17021, AS9101, AS9104 series, NABCB/ANAB guidance documents as applicable.

5.0 PROCEDURE

Sl. No.	Description	Input Requirements (Standards/Documents)	Evidence
CERTIFICATION AUDITS			

1.	**Lead Auditor** (a) Receive final contract review (FCR) form, management system manual and other related system client documents from planning. (b) Examine final contract review. Review the appropriateness of the IAF scope, the scope of certification, need for technical expert etc. If necessary, consult MR of the organization. Inform discrepancies if any to Executive Planning for resolution. (c) Prepare audit program and audit plan in specified format. (d) Decide auditor days, sites to be covered, review selection of audit team members & technical expert & dates of audit. Auditors to make logistic arrangements. ***Prepare audit plan and forward to the client, with copy to Certification Management . Ensure that all audit plan (time table) clearly identify Witness Assessors, Monitoring Auditors, Trainee Auditors, or any other accompanying persons participating in the audit as observers. Certification Management to verify the same while receiving the Audit Plan from Auditors***	Final contract review form. For QMS/***EMS/OH&SMS***, NVT/FORM/4/002 for Single site NVT/FORM/4/002-1 for Multi-site For AQMS, NVT/FORM/4/022 for Single Site NVT/FORM/4/022-1 for Multi-site	- Audit Time Table NVT/FORM/4/030 for AQMS NVT/FORM/4/030-1 for QMS ***NVT/FORM/4/030-2 for EMS*** ***NVT/FORM/4/030-3 for OH&SMS***

2.	Carry out stage I audit as per audit plan and as per NVT/QP/2/003. Finalize the audit program. Inform the areas of concern to the client and agree on the required follow-up actions and the tentative dates of stage 2 audit. Prepare the stage I certification audit report using applicable templates and inform Certification Management.	NVT/INST/3/004 – Duties and responsibilities of Lead Auditors and Auditors	Audit programme certification Stage I report template for QMS NVT/FORM/04/007-1 ***EMS NVT/FORM/04/039-1 OH&SMS NVT/FORM/04/040-1*** For AQMS Form 1 of AS 9101
3.	Follow up with the client organization in respect of areas of concern of stage 1 audit, if any and verify for closure of areas of concerns.	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	
5.	Carry out stage 2 audit as planned and as per NVT/QP/2/003 (Opening meeting, audit of planned processes, closing meeting) (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	NVT/FORM/4/004 - Corrective Action Report (QMS / ***EMS / OH&SMS)*** NVT/FORM/4/004-1 – Concerns raised during Stage-1 audit NVT/FORM/4/006 – Audit Program AS 9100D NVT/FORM/4/006-1 Audit Program AS 9110C	Stage 2 Audit Report QMS NVT/FORM/04/007-2 ***EMS NVT/FORM/04/039-2 OH&SMS NVT/FORM/04/040-2*** and Form NVT/FORM/004 Corrective Action Report – QMS / ***EMS / OH&SMS*** For AQMS Form 2(QMS Matrix) Form 3 (PEAR) Form 4(NCR) and

	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 actions. (e) Report the audit conclusion and the agreements.	NVT/FORM/4/006-2 – Audit Program - AS 9120B NVT/FORM/4/049 – Audit Program QMS	Form 5 (Audit Report of AS 9101

	(f) Handover PEARs (optional), NCRs (mandatory) in case of AQMS audits & CARs in case of other audits. (g) In case of AQMS, complete the report in OASIS within 14 days from the last day of the audit and inform the client of the availability of the report in OASIS. (h) In case of other standards, forward stage 2 audit report to certification management section for necessary action.	***NVT/FORM/4/049-1 – Audit Program EMS*** ***NVT/FORM/4/049-2 – Audit Program OH&SMS***	
6.	Follow up with client organization for correction and corrective actions for the nonconformities observed and verify for satisfactory closure. 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, 9101, OASIS rules and ANAB Rules/Heads Up requirements, as per respective e-mails sent to auditors for action. Inform to certification management for necessary action.		
7.	Certification management to ensure review and certification decision.		For QMS ***/ EMS / OH&SMS*** send the report within 30 days. For AQMS inform client about availability of report on OASIS on 14th day of the last day of the audit.
8.	TEAM MEMBERS (a) To carry out audits assigned to them as per timetable.		For QMS ***/ EMS / OH&SMS*** use form … for CAR For AQMS use form 4…. for NCR

	(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 auditor/auditor any specific subject, he considers not addressed by the Lead Auditor/auditor.		Submit formal report on his observations.
10.	Audit team to maintain cycle time for submission of reports specified by CEO		

SURVEILLANCE AUDITS

Sl. No.	Description	Input Requirements (Standards/Documents)	Evidence
1.	**Lead Auditor** (a) Receive latest version of final contract review form, audit program, proposed timetable in the previous report, settled as well as effective	Final contract review form. For QMS/***EMS/OH&SMS***,	

		NVT/FORM/4/002 for Single site NVT/FORM/4/002-1 for Multi-site	

	verification of actions taken on nonconformities of previous audit and any other relevant information. For AQMS, obtain Management dynamics data received form client. (b) Examine final contract review. Inform discrepancies if any to Executive planning for resolution. (c) Carryout changes in audit program if required. (d) Assist the executive planning in selecting the sites to be audited, selection of audit team members, deciding the dates of audit, logistic arrangements. (e) Prepare audit plan and handover to certification management. ***Ensure that all audit plan (time table) clearly identify Witness Assessors, Monitoring Auditors, Trainee Auditors, or any other accompanying persons participating in the audit as observers. Certification Management to verify the same while receiving the Audit Plan from Auditors*** Ensure that top management audit is audited in every audit. For AQMS audits, ensure that purchase process and special processes are audited in every audit.	For AQMS, NVT/FORM/4/022 for Single Site NVT/FORM/4/022-1 for Multi-site NVT/FORM/4/004 - Corrective Action Report (QMS / ***EMS / OH&SMS)*** NVT/FORM/4/004-1 – Concerns raised during Stage-1 audit NVT/FORM/4/006 – Audit Program AS 9100D NVT/FORM/4/006-1 Audit Program AS 9110C NVT/FORM/4/006-2 – Audit Program - AS 9120B NVT/FORM/4/049 – Audit Program QMS ***NVT/FORM/4/049-1 – Audit Program EMS*** ***NVT/FORM/4/049-2 – Audit Program OH&SMS***	
2.	Carryout the surveillance audits as planned. (a) Prepare corrective action requests based on audit findings.		Surveillance Audit Report. QMS NVT/FORM/04/007-3 ***EMS NVT/FORM/04/039-4***

	(b) Examine and finalize containment and corrective action plans proposed by the client's representatives for the non-conformances observed. (c) Finalize agreements for follow up actions on the non-conformances including corrective action audit. (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 time frame). (e) Conduct opening and closing meetings, mention recommendation and conditions. (f) Handover to client, CAR's in case of QMS/***EMS/OH&SMS*** & other audits. For AQMS, complete the nonconformity report in OASIS duly accepted by the client. (g) Inform time frame as specified in AS 9104/1 and OASIS rules. (h) Complete surveillance report and submit to certification management for further action. Advise certification management regarding major or repeated nonconformities and action required.		***OH&SMS NVT/FORM/04/040-4*** For AQMS Form 2(QMS Matrix) Form 3 (PEAR) Form 4(NCR) and Form 5 (Audit Report of AS 9101
3.	Follow up with client organization for actions on nonconformities and verify closure.		
4.	Certification management finalizes the report and sends report to client organization after approval.		
5.	**Auditors** (e) To carry out audits assigned to them as per audit plan. (f) Prepare CAR's as directed by the team leader. (g) Prepare audit reports for the processes		Surveillance Audit Report. QMS NVT/FORM/04/007-3 ***EMS NVT/FORM/04/039-4*** ***OH&SMS NVT/FORM/04/040-4***

	assigned to them		

	Assist the team leader as requested.		For AQMS Form 2(QMS Matrix) Form 3 (PEAR) Form 4(NCR) and Form 5 (Audit Report of AS 9101
6	Team to maintain deadlines for submission of reports		

RECERTIFICATION AUDITS

Sl. No.	Description	Input Requirements (Standards/Documents)	Evidence
1.	Same steps as in the case of surveillance audits. Ensure all processes including Top Management is considered for the audit . Recommendation for recertification, after settlement of all nonconformances, has to be made.	Final contract review form NVT/FORM/4/002-2 for QMS/***EMS/OH&SMS***/AQMS (Single site), NVT/FORM/4/002-1 (Multi site)	Recertification Audit Report. QMS NVT/FORM/04/007-5 ***EMS NVT/FORM/04/039-3*** ***OH&SMS NVT/FORM/04/040-3*** For AQMS Form 2(QMS Matrix) Form 3 (PEAR) Form 4(NCR) and Form 5 (Audit Report of AS 9101

TRANSFER AUDITS

Sl. No.	Description	Input Requirements (Standards/Documents)	Evidence

1.	For transfer audits, companies certified by other certification bodies which are transferred to NVT QC within 12 months of validity of certificate, Stage1 & Stage 2 has to be carried out separately. Within 12 months of validity, the total man-days will be renewal man-days It is permitted that Stage 2 audit can proceed immediately after Stage 1 audit, however, Stage 2 can only proceed on satisfactory completion of Stage 1 and after making recommendation for carrying out Stage 2 audit by the lead auditor		

SPECIAL AUDITS

Sl. No.	Description	Input Requirements (Standards/Documents)	Evidence
1.	Same steps as in the case of recertification audits for QMS / ***EMS / OH&SMS***. For AQMS, details of the special audit shall be available in the audit summary		

SHORT NOTICE AUDITS

Sl. No.	Description	Input Requirements (Standards/Documents)	Evidence
1.	Steps depend on case to case basis. To be discussed and finalized by the MR.		