	<b>BHUTAN STANDARDS BUREAU</b> <b>MANAGEMENT SYSTEMS CERTIFICATION</b> <b>SCHEME</b>	<b>MANAGEMENT</b> <b>SYSTEM PROCEDURES</b>
	<b>DOC: BSB MSCS-P 7.5-01</b>	<b>ISSUE: 02</b>

## **PROCEDURE FOR SUB-CONTRACTOR AUDITOR /LEAD AUDITOR SELECTION, REGISTRATION AND CONTROL**

### **1. PURPOSE**

This procedure is to ensure uniform practice in selection, registration and monitoring of performance of subcontracted personnel for conducting Management systems audits and employed as technical experts.

### **2. SCOPE**

This procedure details the process of selection, registration, and monitoring of performance of the subcontracted personnel for Management System Audits and as technical experts.

### **3. DEFINITIONS**

**3.1 Applicant** - Any person trained in lead auditor and has sufficient experience and desirous of getting registered as auditors/lead auditors under MSCS.

**3.2. Application** - Application on prescribed form submitted by the qualified person desirous of becoming auditors/lead auditors under Management Systems Certification Scheme.

**3.3 Competence**- demonstrated ability to apply knowledge and skills


**3.4. Technical Expert** – Person who provides specific knowledge or expertise to the audit team. He/she may not necessarily be trained in management systems auditing.

**3.5 Auditor** - A person with the demonstrated personal attributes and competence and to conduct an audit

**3.6 Lead Auditor/team leader** - An auditor who is qualified as registered lead auditor and is authorized to manage a quality system audit.

**3.7 Personnel and Training Officer (PTO)** - The officer of the Management Systems Department who has been assigned the job of Personnel and Training engaged in Management Systems Certification.

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#### 4. RESPONSIBILITIES

##### 4.1 Personnel and Training Officer (PTO)

To receive and process the application, recommend, selection of personnel for conducting Management System Audits, and maintenance of records of lead auditors, auditors and technical experts.

##### 4.2 Head, Management Systems Certification (HSC)

To review applicants eligibility and their subsequent selection before submitting to Competent Authority for approval. Monitor and review the performance of lead auditors, auditors and technical experts.

##### 4.3 Director General

To decide on selection of personnel for audit


#### 5. PROCEDURE

Cl. No	Elements of selection and control	Responsibility	Related documents
5.1	Requirement of personnel		
5.1.1	Requirement of Personnel for auditing	HSC	
5.1.2	Determine requirements of personnel for auditing based on sector, technology area.	PTO	
5.2	<b>Selection of Personnel</b>		
5.2.1	Invite applications from auditors/lead auditors for selection for auditing under MSCS scheme. Preferably they should be IRCA Registered.	PTO	MSCS-F7.2-01
5.2.2	Scrutinize the application for adequacy and completeness. Method used is review of records submitted with the application(Annex A of ISO IEC 17021:2015)	PTO	MSCS-G7.2-01
5.2.3	Call applicant auditors/Lead auditors for interview if necessary.	HSC	
5.2.4	<b>Applicants meet the criteria</b>		
5.2.4.1	Prepare a list of persons who meet the eligibility criteria and put up for approval	PTO	

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<b>5.2.4.2</b>	<b>Review</b>	<b>HSC</b>	
<b>5.2.4.3</b>	Accord approval	EXD	
<b>5.2.4.4</b>	Inform selected candidate and supply them with audit log sheet with advice to send to <b>HSC</b> after (S)he has qualified to become auditor or lead auditor for annual review	PTO	
<b>5.2.4.5</b>	Enlist them as Lead auditor /auditor /provisional auditors for the purpose	PTO	MSCS-F7.2-03
	Maintain training record of personnel	PTO	MSCS-F7.2-03 MSCS-F7.2-04
<b>5.2.5</b>	<b>Applicant does not meet the criteria:</b>		
<b>5.2.4.1</b>	Communicate deficiencies	PTO	
<b>5.2.4.2</b>	Examine reply/action by the applicant	PTO	
<b>5.2.4.3</b>	Review	HSC	
<b>5.2.4.4</b>	Applicant is still deficient:		
<b>5.2.4.5</b>	i)Put up recommendations for rejection	PTO	
	ii)Review	HSC	
	iii)Decide on rejection of the application	EXD	
	iv)Communicate decision to the applicant	PTO	
<b>5.3</b>	<b>Monitoring of performance</b>		
<b>5.3.1</b>	Report on performance of auditors provided by the Team leader of the team on each audit	PTO	
<b>5.3.2</b>	Obtain the evaluation report(s) from the team leader about performance of auditor during audits	PTO	MSCS-F7.2-05
<b>5.3.3</b>	Report on performance of Team Leader provided by the lead auditor of the team on each audit	PTO	
<b>5.3.4</b>	Obtain feedback from clients on the performance of auditors periodically	PTO	MSCS-F7.2-06 A
<b>5.3.5</b>	The performance is also witnessed once a year on site	HSC/PTO	
<b>5.3.6</b>	When adverse observations made by team leader /Lead auditor		
<b>5.3.6.1</b>	Investigate and put up recommendations	<b>PTO</b>	

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5.3.6.2	Decide on action, if any		
5.3.6.3	Communicate the observations to auditor/lead auditor	PTO/HSC	
5.3.6.4	Examine the reply received and investigate, if necessary	PTO	
5.3.6.5	give recommendations to HSC	PTO	
5.3.6.6	review recommendation	PTO	
5.3.6.7	prescribe action to be taken	PTO	
5.3.6.8	Update appropriate records, if necessary	PTO	
<b>5.3.7</b>	Obtain the evaluation report(s) from the Lead Auditor about performance of Team Leader	PTO	MSCS-F7.2-06
<b>5.3.8</b>	The performance of auditors, team leaders and lead auditors is review once a year	PTO/HSC	MSCS-F7.2-07
<b>5.4</b>	<b>Technical experts</b>		
<b>5.4.1</b>	Establish competence requirement in the sector being deployed		
5.4.2	Apply prescribed competency criteria	HSC	MSCS-P7.2-01A

5.5 Notwithstanding the above procedure, in cases where there are limited or no auditors in the country qualified to be a lead auditor, BSB MSCS may contact any relevant officials outside the country without having to invite applications. The qualification criteria shall remain the same.


5.6 All external auditors/lead auditors shall be required to sign an agreement by which they commit themselves to comply with all applicable policies and implement processes as defined by the certification body, including aspects relating to confidentiality and impartiality and notify the CB of any existing or prior relationship with any organization they may be assigned to audit.

## 6. REFERENCES

Doc: MSCS-F7.2-02 Evaluation and Selection of Personnel for Auditing

Doc: MSCS-F7.2-05 Evaluation Report from Team Leader about performance of Auditor

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Doc.MSCS-F7.2-06 Evaluation report from Lead Auditor about performance of Team Leader

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