	<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 9.3-01</b>	<b>ISSUE: 01</b>

## PROCEDURE FOR INITIAL CERTIFICATION AUDITS (STAGE- 1)

### 1. PURPOSE

This procedure describes a systematic and uniform approach to audit of an Applicant's Management System in accordance with specified requirements.

### 2. SCOPE

It applies to stage 1 Initial certification audits conducted by MSCS excluding recertification audits.

**Note:** Areas of emphasis for Stage I audit in food safety management systems are more expressive. Therefore areas given in clause 9.2.3.1 of ISO TS 22003: 2007 have been addressed separately in procedure MSCS 9.2-04.

### 3. DEFINITIONS

**3.1 Initial certification audit:** Certification audit of a management system which is normally carried out in two stages- Stage 1 and 2.

**3.2. Stage 1 audit:** It is an audit conducted for determining the client's management system documentation, to evaluate the client's location and site-specific conditions and to determine the preparedness for the stage 2 audit. Part of stage 1 audit is carried out at the client's premises


**3.3 Stage 2 audit:** It is an audit conducted at the site(s) of the client to evaluate the implementation, including effectiveness, of the client's management system and establish conformity to the audit criteria through documented requirements, policy, objectives and targets, applicable legal requirements and contractual requirements.

**3.4. Recertification audit:** It is an audit is conducted to evaluate the continued fulfilment of the requirements of the management system standard and to confirm the continued conformity and effectiveness of the management system as a whole, and its continued relevance and applicability for the scope of certification.

**3.5 Nonconformity (NC):** Non-fulfilment of a requirement

**3.6 Major nonconformity:** A major nonconformity arises when evidence suggests failure to fulfill one or more requirements of the management system standard, or a situation that raises significant doubt about the ability of the client's management system to achieve its intended outputs calling for the early corrective actions within a time frame.

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**3.7 Minor nonconformity:** When evidence shows an isolated nonconformity with the requirement of the management system standard but has no significant impact on the operation of the system and its results.

**Note:** Multiple minor nonconformities with related impact on the operation of the system in one particular area may result in major nonconformity

**3.8. Team Leader:** A registered lead auditor/auditor designated to manage a quality audit is called a 'Team Leader'.

#### 4. RESPONSIBILITIES

**4.1. HSC:** Head, Management Systems Department and Management Representative (MR) responsible for day-to-day operations of MSCS and quality management systems implementation within GSB MSCS


**4.2 Team Leader:** responsible for coordinating and the adherence to MSCS audit policy and procedures by the audit team;

**4.3. MSCC (Management System Certification Committee):** is responsible for the formulation of policy matters relating to the operation of MSCS.


#### 5. PROCEDURE

Clause No	Task	Responsibility	Related documents
5.1	Appointment of Audit Team and intimating the applicant	Head, MSCS	
5.1.1	Study scope, objectives .technology area and applicable management system standards of the applicant	Head, MSCS	
5.1.2	Identify appropriate competence of auditors with appropriate qualification	Head, MSCS	
5.1.3	Prepare <b>audit plan</b> for performance of the stage 1 audit to the specified standard	Head, MSCS	
5.1.4	Nominate audit team Leader and audit team and communicate to the team	Head, MSCS	
5.1.5	Intimate audit team and audit dates to the applicant and get clearance. Resolve objections if any	Head, MSCS	
5.1.6	Contacting MR or any contact point and informing date, time and mode of arrival and requesting presence HOD's in the opening meeting	Head, MSCS	
5.2	Conducting Stage 1 audit of applicant at site	Audit Team	

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<b>5.2.1</b>	Study manual and related documents and document review report for adequacy of documentation and comments thereof	Team Leader	
<b>5.2.2</b>	Conduct a briefing meeting with team and preparation checklist for use during audit	Team Leader	
<b>5.2.3</b>	Conducting opening meeting with company representatives preferable HOD's	Team Leader	
<b>5.2.4</b>	Quick tour of the company	Team Leader	
<b>5.2.5</b>	Moving team members to allotted location of audit	Audit Team	
<b>5.2.6</b>	Ensure gathering information relevant to the audit objectives, scope and criteria after taking appropriate sampling and verifying audit evidence on: a) status and understanding regarding requirements of the standard, b) the scope of the management system, processes and location(s) of the client, and related statutory and regulatory aspects and compliance , c) allocation of resources for stage 2 audit, d) planning the stage 2 audit by understanding of the client's management system and site operations, e) internal audits and management review planned and performed	Audit Team	
<b>5.2.7</b>	Ensure use of appropriate methods of collection of information such as interviews, observation of processes and activities and review of documentation and records.	Audit Team	
<b>5.2.8</b>	Following trail and resolving any diverging opinions between the audit team and the client concerning audit evidence or findings	Team Leader	
	Conduction briefing meeting the client towards the end of each days audit	Team Leader	
<b>5.3</b>	Team Meeting for recording audit findings		
<b>5.3.1</b>	Collating finding of the audit team and recording areas of concern against a specific requirement of the audit criteria and identifying objective evidence on which the concern is based.	Audit Team	
<b>5.3.2</b>	Discussing areas of concern with the client to ensure that the evidence is accurate and that they are understood. The auditor must refrain from	Audit Team	
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	suggesting the cause of nonconformities or their solution		
<b>5.3.3</b>	Identifying and recording opportunities for improvement	Audit Team	
<b>5.4</b>	Closing meeting and presenting findings		
<b>5.4.1</b>	Conducting a formal closing meeting with client's management and those responsible for the functions or processes audited. Attendance in the closing meeting is recorded	Team Leader	MSCS-F9.1-03 MSCS-F9.1-02
<b>5.4.2</b>	Present any nonconformities and opportunities for improvement in such a manner that they are understood, and timeframe for responding is agreed	Team Leader	MSCS-F9.2-12
<b>5.4.3</b>	Review with the client allocation of resources for stage 2 audit and agree with the client on the details of the stage 2 Audit	Team leader	MSCS-F9.2-11
<b>5.5</b>	Post audit activities		
<b>5.5.1</b>	Determine the interval between stages 1 and stage 2 audits depending on the resolution of areas of concern identified during the stage 1 audit.	Team Leader	
<b>5.5.2</b>	Submit report to MSC and MSC will send the report to the client	HSC	MSCS-P9.2-08

## 6. REFERENCES

Doc: BSB MSCS-G9.2-03 Guidelines for selection of audit team.  
 Doc: BSB MSCS-P-7.1-01 Procedure for determination of competence criteria for personnel  
 Doc: BSB MSCS-P-7.2-01 Procedure for personnel selection, registration, and control  
 Doc: BSB MSCS-P9.1-03 Procedure for programming audits.  
 Doc: BSB MSCS-P9.2-01 Procedure for planning audits  
 Doc: BSB MSCS-F9.1-02 Attendance sheet for opening and closing meeting  
 Doc: BSB MSCS-F9.2-02 Determination of adequacy of application & conducting contract review  
 Doc: BSB MSCS-F9.2-06a Preliminary visit report of applicant premises  
 Doc: BSB MSCS-F9.2-07 Audit plan for stage 1 initial Audit.  
 Doc: BSB MSCS-F9.2-08 Stage 1 Initial audit report.  
 Doc: BSB MSCS-F9.2-09 Form for nomination of team leader/audit team.  
 Doc: BSB MSCS-F9.2-11 Audit plan for stage 2 initial audit  
 Doc: BSB MSCS-F9.2-12 Nonconformity report (NCR)

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