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|  | BHUTAN STANDARDS BUREAU MANAGEMENT SYSTEMS CERTIFICATION SCHEME | MANAGEMENT SYSTEM PROCEDURES |
| | DOC: BSB MSCS-P 9.3-02 | ISSUE: 01 |

PROCEDURE FOR INITIAL CERTIFICATION AUDITS (STAGE- 2)

1. PURPOSE

This procedure describes a systematic and uniform approach to Stage-2 audit of an Applicant's Management System in accordance with a specified standard.

2. SCOPE

It applies to stage 2 Initial certification audits conducted by MSCS including recertification audits.

NB: Stage 2 audit in food safety management systems have been addressed separately in procedure MSCS-P9.2-04.

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 non-compliance with the requirement of the management System Standard but has negligible impact on the operation of the system and its results.

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

4. RESPONSIBILITIES


4.1. HEAD, MSCS is responsible for day-to-day operations of MSCS and quality management systems implementation within BSB MSCS.

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

5. PROCEDURE


| Clause No. | Task | Responsibility |
|-------------------|---|-----------------------|
| 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/DCO |
| 5.1.2 | Review of stage 1 audit report and recommendation thereof | HEAD, MSCS/DCO |
| 5.1.3 | Identify appropriate competence of auditors with appropriate qualification in the technology area of audit. | HEAD, MSCS/DCO |
| 5.1.4 | Appoint Technical Expert with appropriate competence | HEAD, MSCS/DCO |
| 5.1.5 | Prepare audit plan for performance of the stage 2 audit to the specified standard on the basis of stage 2 audit plan proposed in stage 1 audit report | HEAD, MSCS/DCO |
| 5.1.6 | Nominate audit team Leader and audit team and communicate to the team | HEAD, MSCS/DCO |
| 5.1.7 | Intimate audit team and audit dates to the applicant and get clearance. Resolve objections of auditee if any | HEAD, MSCS/DCO |
| 5.1.8 | 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 2 audit of applicant at site | Audit Team |
| 5.2.1 | Study manual and related documents and stage 1 audit report | Team Leader |

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| 5.2.2 | Conduct a briefing meeting with team and preparation checklist for use during audit | Team Leader |
| 5.2.3 | Conducting opening meeting with company representatives preferable HOD's | Team Leader |
| 5.2.4 | Quick tour of the company | Team Leader |
| 5.2.5 | Moving team members to allotted location of audit in accordance with audit plan | Audit Team |
| 5.2.6 | Permitting observers such as members of the client's organization, consultants, witnessing accreditation body personnel, regulators with mutual consent and ensuring that they do not influence or interfere in the audit process or outcome of the audit. | Team Leader |
| 5.2.7 | Ensuring effectiveness of action taken on nonconformities / Areas of concern raised during stage 1 audit | Audit Team |
| 5.2.8 | Ensure gathering information relevant to the audit objectives, scope and criteria after taking appropriate sampling and verifying audit evidence on: a) information about conformity to requirements b) performance monitoring, measuring, reporting and reviewing against performance objectives and targets, c) compliance to legal requirements, d) operational control of the client's processes, e) internal auditing and management review, f) links between the requirements, policy, performance objectives and targets, responsibilities, competence of personnel, operations, procedures, performance data and internal audit findings and conclusions. | Audit Team |
| 5.2.9 | 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 |
| 5.2.10 | Following trail and resolving any diverging opinions between the audit team and the client concerning audit evidence or findings | Team Leader |
| 5.2.11 | Conduction briefing meeting the client towards the end of each days audit | Team Leader |
| 5.3 | Team Meeting for recording audit findings | |
| 5.3.1 | Collating finding of the audit team and recording nonconformity against a specific requirement of the audit criteria and identifying objective evidence on which the nonconformity is based. | Audit Team |
| 5.3.2 | Discussing nonconformities with the client to ensure that the evidence is accurate and that the nonconformities are understood. The auditor must | Audit Team |

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| | refrain from suggesting the cause of nonconformities or their solution | |
| 5.3.3 | Identifying and recording opportunities for improvement | Audit Team |
| 5.4 | Closing meeting and presenting findings | |
| 5.4.1 | 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 |
| 5.4.2 | Present any nonconformities and opportunities for improvement in such a manner that they are understood, and timeframe for responding is agreed | Team Leader |
| 5.4.3 | Present audit team recommendation whether or not to grant certification, together with any conditions or observations. | Team leader |
| 5.5 | Post audit activities | |
| 5.5.1 | Prepare audit report | Audit team |
| 5.5.2 | Submit the audit report to the client | Team leader |
| 5.5.3 | Follow and closure of NCs if any | Audit Team |

6. REFERENCES

- 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: BSBMSCS-P9.4-01 Procedure for conducting onsite audit
 Doc: BSB MSCS-F9.2-11 Audit plan for stage 2 initial audits
 Doc: BSB MSCS-F9.2-12 Nonconformity report (NCR)

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