	BHUTAN STANDARDS BUREAU MANAGEMENT SYSTEMS CERTIFICATION SCHEME	MANAGEMENT SYSTEM PROCEDUREs
DOC: BSB MSCS-P 9.4-01	**ISSUE: 01**	**01 November 2016**

PROCEDURE FOR CONDUCTING ON-SITE AUDITS

1. PURPOSE

This procedure is to ensure a systematic conduct of audits of management systems onsite and providing guidance on various aspects to the audit team

2. SCOPE

The procedure applies to onsite initial audits, surveillance audit, recertification audit and any special audits.

3. DEFINITIONS

3.1 Nonconformity- Non fulfilment of a requirement.

3.2. Audit- A systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which audit criteria are fulfilled

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

3.4 Audit programme- A set of one or more audits planned for a specific time frame and directed towards a specific purpose. An audit programme includes all activities necessary for planning, organizing and conducting the audits.

3.5 Audit plan- Description of the activities and arrangements for an audit.

3.6 Audit team- One or more auditors conducting an audit, supported if needed by technical experts**.** One auditor of the audit team is appointed as the audit team leader.

3.8 Technical expert- A person who provides specific knowledge or expertise to the audit team such as **s**pecific knowledge or expertise relates to the organization, the process or activity to be audited, or language or culture.

4. RESPONSIBILITIES

4.1. Head MSCS- also as MR and is responsible for programming of audits.

4.2 Team leader/Lead auditor- is responsible for planning individual audits.

4.3 DCO- Document Control Officer is responsible for maintaining proper records.

5. PROCEDURE

Clause No	Task	Responsibility
5.1	Audit process at site	
5.1.1	Team appointed reaches the site on time	Team Leader
5.1.2	Team briefing	Team Leader
5.1.3	Conduct opening meeting to provide a short explanation of how the audit activities will be undertaken	Team Leader
5.1.4	Give brief on the following:	
	a) introduction of the participants, including an outline of their roles; b) confirmation of the scope of certification; c) confirmation of the audit plan d) confirmation of formal communication channels between the audit team and the client; e) confirmation that the resources and facilities needed by the audit team are available; f) confirmation of matters relating to confidentiality; g) confirmation of work safety, emergency and security h) confirmation of the availability, roles and identities of any guides and observers; i) the method of reporting, including any grading of audit findings; j) information about the conditions under which the audit may be prematurely terminated; k) confirmation that the audit team is responsible for the audit and execution of the audit plan l) confirmation of the status of findings of the previous review or audit, when applicable; m) methods and procedures to be used to conduct the audit based on sampling; n) confirmation of the language to be used during the audit; o) confirmation that, during the audit, the client will be kept informed of audit progress and any concerns; p) opportunity for the client to ask questions.	Team Leader
5.1.5	Record attendance during the meeting	Audit team
5.2	Communication during the audit : • With the team on progress of audit • With the client on fulfillment of audit objectives and scope	Team Leader
5.3	**Observers, auditor- in- training, experts and guides**	

5.3.1	Allow presence observers during audit and ensure they do not influence or interfere in the audit process or outcome of the audit.	Team Leader
5.3.2	Auditors-in-training may be included in the team but it is endured that they do not participate in audit process and do not influence or interfere in the audit findings or outcome of the audit.	Team Leader
5.3.3	Technical experts supplement necessary knowledge and skills to the audit team leader and auditors who shall operate under the direction of the team leader .and give technical view required on technical issues.	Team Leader
5.3.4	Provision of guides with each auditor to facilitate the audit but ensuring that guides do not influence or interfere in the audit process or outcome of the audit	Team Leader
5.4	**Collecting and verifying information**	
5.4.1	Ensure gathering information relevant to the audit objectives, scope and criteria after taking appropriate sampling and verifying audit evidence.	Team Leader
5.4.2	Ensure use of appropriate methods of collection of information such as interviews, observation of processes and activities and review of documentation and records.	Team Leader
5.5	**Identifying and recording audit findings**	
5.5.1	Audit findings summarizing conformity and detailing nonconformity and its supporting audit evidence	Audit team
5.5.2	Opportunities for improvement may be identified and recorded.	Audit team
5.5.3	Nonconformity is recorded against a specific requirement of the audit criteria and identifying objective evidence on which the nonconformity is based.	Audit team
5.5.4	Nonconformities shall be discussed with the client to ensure that the evidence is accurate and that the nonconformities are understood.	Team Leader
5.5.5	The auditor however shall refrain from suggesting the cause of nonconformities or their solution	Auditors
5.5.6	The team leader to resolve any diverging opinions between the audit team and the client concerning audit evidence or findings, and unresolved points shall be recorded.	Team Leader
5.6	**Preparing audit conclusions**	

5.6.1	Prior to the closing meeting, the audit team: a) reviews the audit findings, and information collected , against the audit objectives; b) agrees on audit conclusions; c) identifies any necessary follow-up actions;	Audit team
5.6.2	confirms appropriateness of audit programme or identify any modification required (e.g. scope, audit time or dates, surveillance frequency, competence)	Audit Team
5.7	**Conducting the closing meeting**	
5.7.1	The purpose of the closing meeting is to present the audit conclusions, including the recommendation regarding certification	
5.7.2	conduct 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
5.7.3	Present any nonconformities in such a manner that they are understood, and timeframe for responding is agreed	Team Leader
5.7.4	Include following elements in closing meeting agenda consistent with the familiarity of the client with the audit process: a) advising the client that the audit evidence collected was based on a sample of the information, b) the method and timeframe of reporting, including any grading of audit findings; c) MSCS process for handling nonconformities , d) seeking timeframe for correction and corrective action on nonconformities identified, e) post audit activities required such as follow up audit; f) Explaining complaint handling and appeal processes.	Team Leader
5.7.5	Give opportunity for questions on diverging opinions on findings or conclusions. Any diverging opinions that are not resolved are recorded and reported	Team Leader

6. REFERENCES

DOC: BSB MSCS-F9.3-05 List of audit participants
DOC: BSB MSCS-P9.1-03 Procedure for audit programming
DOC: BSB MSCS-P9.2 Procedure for audit planning
DOC: BSB MSCS-P9.2-03 Procedure for initial certification audit- stage 1
DOC: BSB MSCS-P9.2-04 Procedure for initial certification audit- stage 2
DOC: BSB MSCS-F9.2-12 Nonconformity report (NCR)
DOC: BSB BMSCS-F9.2-13 Intimation to the applicant of the audit team and audit dates.
DOC: BSB MSCS-F9.2-14 Audit plan for stage 2 Initial audit