	<b>BHUTAN STANDARDS BUREAU MANAGEMENT SYSTEMS CERTIFICATION SCHEME</b>	<b>MANAGEMENT SYSTEM PROCEDURES</b>
<b>DOC: BSB MSCS-P 9.6-02</b>	<b>ISSUE: 02</b>	<b>31 July 2017</b>

## PROCEDURE FOR SURVEILLANCE AUDITS

### 1. PURPOSE

It is to ensure that certified client's QMS/EMS/FSMS continues to be conforming to the applicable standards and other normative documents during the period of validity.

### 2. SCOPE

It applies to surveillance audits conducted during the tenure of certification.

### 3. DEFINITIONS

**3.1 Surveillance:** systematic iteration of conformity assessment activities as a basis for maintaining the validity of the statement of conformity

**3.2 Certified client:** organization whose management system has been certified

**3.3 Surveillance activity.** On-site audit assessing the certified client's management system's fulfilment of specified requirements with respect to the standard to which the certification is granted.

**3.4 Nonconformity (NC) –** Non-fulfilment of a requirement

**3.5 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.

**3.6 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 NCs with related impact on the operation of the system in one particular area may result in major NC

### 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:** A registered lead auditor/auditor designated to manage a quality audit.


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## 5. PROCEDURE


Clause No.	Task	Responsibility
<b>5.1</b>	Appointment of audit team	
<b>5.1.1</b>	Appoint Team Leader with a coordinating role and responsible for:	<b>HEAD, MSCS</b>
<b>5.1.2</b>	The adherence to the MSCS audit policy and procedures by the audit team.	<b>Team Leader</b>
<b>5.2.</b>	<b>surveillance audit</b>	
<b>5.2.1</b>	Evaluate the client's location and site specific condition and discuss with the clients to determine continued compliance to the applicable standard and MSCS procedures.	<b>Audit team leader</b>
<b>5.2.2</b>	Surveillance audits shall be based on surveillance plan recommended by the team leader of the team who has initially carried out certification audit.	<b>Audit team leader</b>
<b>5.2.3</b>	<p>The surveillance shall be planned together with the other surveillance activities to ensure the certification body can maintain confidence that the client's certified management system continues to fulfill requirements between recertification audits. The surveillance for the relevant management system standard shall include:</p> <ul style="list-style-type: none"> <li>a) internal audits and management review;</li> <li>b) a review of actions taken on nonconformities identified during the previous audit;</li> <li>c) complaints handling;</li> <li>d) effectiveness of the management system with regard to achieving the certified client's objectives and the intended results of the respective management system (s);</li> <li>e) progress of planned activities aimed at continual improvement;</li> <li>f) continuing operational control;</li> <li>g) review of any changes;</li> </ul>	<b>Audit team leader</b>

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	h) Use of marks and/or any other reference to certification.  First surveillance shall be within 12 months from the date of award of certification.	
<b>5.2.4</b>	On receipt of request for surveillance audit, liaise with the company and finalise the programme. On receipt of confirmation, recommend a team leader and team members. Review the allocation of resources for audit and agree with the client on the details of the Audit.	<b>HEAD, MSCS</b>
<b>5.3</b>	<b>Conduct of Audit</b>	
<b>5.3.1</b>	Conduct of audit similar to that of certification audit and includes interviews, reviewing the records, etc., with the management personnel  The time allowed to implement the corrective action should be consistent with the severity of nonconformities and the risk to the assurance of the product meeting specified requirements	<b>Audit team</b>
<b>5.3.2</b>	Record the following when observed, a) write nonconformity with objective evidence c) ensure its continued effectiveness.	<b>Audit Team</b>
<b>5.3.3</b>	Present the findings; summarize the nonconformities and any corrective actions previously agreed.	<b>Team Leader</b>
<b>5.3.4</b>	a) enquire on aspects of certification;  b) reviewing the certified client's statements with respect to its operations (e.g. promotional material, website);  c) request certified client to provide documented information (on paper or electronic media);  d) Other means of monitoring the certified client's performance.	<b>Team Leader</b>
<b>5.4</b>	<b>Surveillance Audit Report</b>	
<b>5.4.1</b>	Prepared audit report with contributions from team members	<b>Team Leader</b>

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<b>5.4.2</b>	Conduct closing meeting and report the outcome of the audit to the client	<b>Team Leader</b>
<b>5.4.3</b>	Submit report to HEAD, MSCS	<b>Team Leader</b>

## 6. REFERENCES

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

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