	BHUTAN STANDARDS BUREAU MANAGEMENT SYSTEMS CERTIFICATION SCHEME	MANAGEMENT SYSTEM PROCEDURES
	DOC: BSB MSCS-P 9.6.4-02	ISSUE: 01

PROCEDURE FOR SPECIAL AUDITS

1. PURPOSE

To cater to unforeseen situation requiring a visit to clients' premises such as serious complaint investigation and extension of scope of audit.

2. SCOPE

This covers audits, which are not programmed but need to be conducted to cater for special situations at a short notice.

3. DEFINITION

Special/short notice audits- are audits which are not planned but necessitated by unforeseen situations.


4. RESPONSIBILITY

HEAD, MSCS- Responsible for organizing such Special/short notice audits.

5. PROCEDURE


Cl. No	Task	Responsibility
5.1	Organize special audits under the following situations <ul style="list-style-type: none"> • to investigate serious complaints, • Change in the Management • Follow up on suspended clients • Change in the location of activities • Application for extension of scope of certification • follow up on suspended clients 	HEAD, MSCS
	9.5.1 Extensions to scope The certification body shall, in response to an application for extension to the scope of a certification already granted, undertake a review of the application and determine any audit activities necessary to decide whether or not the extension may be granted. This may be conducted in conjunction with a surveillance audit.	
	9.5.2 Short-notice audits It may be necessary for the certification body to conduct audits of certified clients at short notice to investigate	

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	<p>complaints (see 9.8), or in response to changes (see 8.6.3), or as follow up on suspended clients (see 9.6). In such cases</p> <p>a) the certification body shall describe and make known in advance to the certified clients (e.g. in documents as described in 8.6.1) the conditions under which these short notice visits are to be conducted, and</p> <p>b) the certification body shall exercise additional care in the assignment of the audit team because of the lack of opportunity for the client to object to audit team members.</p>	
5.3.4	Ensure that the client is compliant with the requirements of the relevant Management System before recommending continuation of certification.	HEAD, MSCS
5.3.5	Explain to audit team that the purpose of special-audit.	HEAD, MSCS
5.3.6	Ensure that the methodology is the same as that of initial audit, stage 2. Note: Only in situations where the Management System has not be maintained or repeated breakdown in the system are reported or there are a number of changes in processed or product categories, then, the audit shall be carried out in 2 stages (like Initial Audit).	Team Leader
5.3.7	Seek confirmation from the client regarding any changes in the organization structure, nature of activities/product/processes and scope as stated in 5.1 . Refer also to the previous Surveillance Audit reports.	Team Leader
5.3.8	Conduct the audits.	Team leader
5.3.9	Prepared audit report with contributions from team members, in accordance with format MSCS-F9.2-10	Team Leader
5.3.10	Decision on special audit report:	
	Take a decision whether or not to re- certify client on the basis of information gathered during the audit, recommendation of the audit team and scrutiny by a qualified lead auditor.	MSCC
5.3.11	Document decision and inform applicant of the outcome of the special audit process.	HEAD, MSCS

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5. REFERENCES

Doc: BSB MSCS-P9.7-01 Procedure for appeals handling.

Doc: BSB MSCS-P9.8-01 Procedure for complaints handling.

Doc: BSB MSCS-P9.3-02 Procedure for initial certification audits –stage 2.

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