NVT/QP/2/004
PROCEDURE FOR AUDIT PROCESS

1.0 OBJECTIVE : To ensure that audits are carried out as planned and in accordance with the requirements of ISO/IEC 19011, 17021, AS9101, AS9104 series, NABCB/ANAB guidance documents as applicable.

2.0 COVERAGE :
(a) Certification audits
(b) Surveillance audits
(c) Recertification audits
(d) Assumption audits
(e) Special / short notice audits

3.0 RESPONSIBILITY : GM (Operations), Lead Auditor, Auditor(s) , MR

4.0 REQUIREMENTS : ISO/IEC 19011, 17021, AS9101, AS9104 series, NABCB/ANAB guidance documents as applicable.

5.0 PROCEDURE

Sl. No.	Description	Input Requirements (Standards/Documents)	Evidence
CERTIFICATION AUDITS			
1.	**Lead Auditor** (a) Receive final contract review (FCR) form, management system manual and other related system client documents from planning. (b) Examine final contract review. Review the appropriateness of the IAF scope, the scope of certification, need for technical expert etc. If	Final contract review form. For QMS/***EMS/OH&SMS***, NVT/FORM/4/002 for Single site NVT/FORM/4/002-1 for Multi-site	-

	necessary, consult the MR of the organization. Inform discrepancies if any to Executive Planning for resolution. (c) Prepare tentative audit program in specified format and hand over to Executive Planning. (d) Decide auditor days, sites to be covered, selection of audit team members & technical expert & dates of audit. Executive planning makes travel arrangements. Prepare stage I audit time table.	For AQMS, NVT/FORM/4/022 for Single Site NVT/FORM/4/022-1 for Multi-site	Audit Time Table NVT/FORM/4/030 for AQMS NVT/FORM/4/030-1 for QMS ***NVT/FORM/4/030-2 for EMS*** ***NVT/FORM/4/030-3 for OH&SMS***
2.	Carry out stage I audit as per time table and as per NVT/QP/2/003. Finalise the audit program. Inform the areas of concern/nonconformities to the client and agree on the required follow-up actions and the tentative dates of stage 2 audit. Prepare the stage I certification audit report using applicable templates and handover to Executive, Reports section for necessary action. Assist Reports section in finalizing the audit reports and sending to client organization.	NVT/INST/3/004 – Duties and responsibilities of Lead Auditors and Auditors	Audit programme certification Stage I report template for QMS NVT/FORM/04/007-1 ***EMS NVT/FORM/04/039-1*** ***OH&SMS NVT/FORM/04/040-1*** For AQMS Form 1 of AS 9101

3.	Review of follow up reports if any from the client organization in respect of areas of concern of stage 1 audit. Decide and ensure further actions required if any.	Follow up report	
4	Where any part of the audit is made by electronic means or virtual means the persons carrying out these audits have appropriate competence.	As per ISO 17021-1	
5.	Carry out stage 2 audit as planned and as per relevant paragraphs of NVT/QP/2/003. (a) Prepare corrective action requests based on audit findings. (b) Examine and finalize containment and corrective action plans proposed by the client's representative for the nonconformities observed. Containment actions may be verified during the audit, but nonconformities shall not be closed during the audit. (c) Containment action need to be completed by client within 7 days and accepted by lead auditor/ auditor within 14 days. (d) Finalize agreements for follow up actions on the nonconformities including corrective action audit. (e) Conduct closing meeting, report the audit conclusion and the agreements. The closing meeting is conducted to include the following elements where the degree of detail shall be consistent with the familiarity of the client with the audit process. • advising the client that the audit evidence obtained was based on a sample of the information; thereby introducing an element of uncertainty	NVT/FORM/4/004 - Corrective Action Report (QMS / ***EMS / OH&SMS)*** NVT/FORM/4/004-1 – Concerns raised during Stage-1 audit NVT/FORM/4/006 – Audit Program AS 9100D NVT/FORM/4/006-1 Audit Program AS 9110C NVT/FORM/4/006-2 – Audit Program - AS 9120B NVT/FORM/4/049 – Audit Program QMS ***NVT/FORM/4/049-1 – Audit Program EMS*** ***NVT/FORM/4/049-2 – Audit Program OH&SMS***	Stage 2 Audit Report QMS NVT/FORM/04/007-2 ***EMS NVT/FORM/04/039-2*** ***OH&SMS NVT/FORM/04/040-2*** and Form NVT/FORM/004 Corrective Action Report – QMS / ***EMS / OH&SMS*** For AQMS Form 2(QMS Matrix) Form 3 (PEAR) Form 4(NCR) and Form 5 (Audit Report of AS 9101

	• the method and timeframe of reporting, including any grading of audit findings • NVT-QC's process for handling nonconformities including any consequences relating to the status of the client's certification; • the timeframe for the client to present a plan for correction and corrective action for any nonconformities identified during the audit • NVT-QC's post audit activities (f) Handover PEARs (optional), NCRs (mandatory Form 3 of the related NCR) in case of AQMS audits & CARs in case of other audits. (g) Prepare and handover stage 2 audit report to Reports section for necessary action.		
6.	Review follow up reports sent by the client organization, carry out corrective action audit as planned and prepare corrective action report. Make recommendation for certification if all non conformances are contained, corrected, root cause analysis carried out, reviewed, accepted, verified and finally settled. For AQMS audits, ensure compliance to the time frame as specified in AS 9104/1, 9101, OASIS rules and ANAB Rules/Heads Up requirements, as per respective e-mails sent to auditors for action. Handover report to Reports section for necessary action.		
7.	Assist Reports section in finalizing the audit reports and sending to client organization after approval.		For QMS ***/ EMS / OH&SMS*** send the report within 30 days. For AQMS inform client about availability of report on OASIS on 14th day of the last day of the audit.

8.	TEAM MEMBERS (a) To carry out audits assigned to them as per timetable. (b) Prepare CAR's as directed by the team leader. (c) Prepare audit reports for the processes assigned to them (d) Assist the team leader as requested.		For QMS ***/ EMS / OH&SMS*** use form … for CAR For AQMS use form 4…. for NCR
9.	TECHNICAL EXPERT (a) to accompany the auditors as per the audit time table and observe the happenings during the audit and is not required to take part in the audit process. (b) to suggest to the lead auditor/auditor any changes required in the audit time table so as to ensure better coverage of the audit scope (c) The technical expert may also offer his opinions on any of the issues arising out of the audit when requested by the lead auditor/auditor. (d) At the end of each process audit, expert shall inform to the lead auditor/auditor any specific subject, he considers not addressed by the Lead auditor/auditor.		Submit formal report on his observations.
10.	Audit team to maintain cycle time for submission of reports specified by CEO		

SURVEILLANCE AUDITS

Sl. No.	Description	Input Requirements (Standards/Documents)	Evidence
1.	**Lead Auditor** (a) Receive latest version of final contract review form, audit program, proposed timetable in the previous report, settled as well as pending CARs of previous audit and any other relevant information. For AQMS, obtain Management dynamics data received form client. (b) Examine final contract review. Inform discrepancies if any to Executive planning for resolution. (c) Carryout changes in audit program if required. (d) Assist the executive planning in selecting the sites to be audited, selection of audit team members, deciding the dates of audit, travel arrangements. (e) Prepare audit schedule and handover to executive planning. Ensure that top management audit is carried out at least once a year. For AQMS audits, ensure that purchase process and special processes are audited at least once a year.	Final contract review form. For QMS/***EMS/OH&SMS***, NVT/FORM/4/002 for Single site NVT/FORM/4/002-1 for Multi-site For AQMS, NVT/FORM/4/022 for Single Site NVT/FORM/4/022-1 for Multi-site NVT/FORM/4/004 - Corrective Action Report (QMS / ***EMS / OH&SMS)*** NVT/FORM/4/004-1 – Concerns raised during Stage-1 audit NVT/FORM/4/006 – Audit Program AS 9100D NVT/FORM/4/006-1 Audit Program AS 9110C NVT/FORM/4/006-2 – Audit Program - AS 9120B NVT/FORM/4/049 – Audit Program QMS ***NVT/FORM/4/049-1 – Audit Program EMS***	

		NVT/FORM/4/049-2 – Audit Program OH&SMS	
2.	Carryout the surveillance audits as planned. (a) Prepare corrective action requests based on audit findings. (b) Examine and finalize containment and corrective action plans proposed by the client's representatives for the non-conformances observed. (c) Finalize agreements for follow up actions on the non-conformances including corrective action audit. (d) Inform client on the likelihood of suspension of certificate (in case of major or repeated nonconformities if any or in case of failure to meet agreed timeframe). (e) Conduct opening and closing meetings, mention recommendation and conditions. (f) Handover to client PEAR and CAR's in case of QMS/***EMS/OH&SMS*** & other audits. (g) Inform time frame as specified in AS 9104/1 and OASIS rules. (h) Prepare and handover surveillance report to reports section for further action. Advise certification management regarding major or repeated nonconformities and action required.		Surveillance Audit Report. QMS NVT/FORM/04/007-3 ***EMS NVT/FORM/04/039-4*** ***OH&SMS NVT/FORM/04/040-4*** For AQMS Form 2(QMS Matrix) Form 3 (PEAR) Form 4(NCR) and Form 5 (Audit Report of AS 9101
3.	Review follow up reports sent by the client organization, carryout corrective action audit if required and prepare corrective action report. Handover report to reporting section for further action.		

4.	Assist reporting section in finalizing and sending report to client organization after approval.		
5.	**Auditors** (e) To carry out audits assigned to them as per timetable. (f) Prepare CAR's as directed by the team leader. (g) Prepare audit reports for the processes assigned to them Assist the team leader as requested.		Surveillance Audit Report. QMS NVT/FORM/04/007-3 ***EMS NVT/FORM/04/039-4*** ***OH&SMS NVT/FORM/04/040-4*** For AQMS Form 2(QMS Matrix) Form 3 (PEAR) Form 4(NCR) and Form 5 (Audit Report of AS 9101
6	Team to maintain deadlines for submission of reports		

RECERTIFICATION AUDITS

Sl. No.	Description	Input Requirements (Standards/Documents)	Evidence
1.	Same steps as in the case of surveillance audits. Recommendation for recertification, after settlement of all nonconformances, has to be made.	Final contract review form NVT/FORM/4/002-2 for QMS/***EMS/OH&SMS***/AQMS (Single site), NVT/FORM/4/002-1 (Multi site)	Recertification Audit Report. QMS NVT/FORM/04/007-5 ***EMS NVT/FORM/04/039-3*** ***OH&SMS NVT/FORM/04/040-3*** For AQMS Form 2(QMS Matrix) Form 3 (PEAR) Form 4(NCR) and Form 5 (Audit Report of AS 9101

TRANSITION AUDITS

Sl. No.	Description	Input Requirements (Standards/Documents)	Evidence
1.	Transition checklist and Audit report format includes all the check points to be verified during transition audit. Implementation of all these check points is to be verified and relevant evidences are to be mentioned. After settlement of all nonconformance, recommendation shall be given by auditor for the transition		

ASSUMPTION AUDITS

Sl. No.	Description	Input Requirements (Standards/Documents)	Evidence
1.	Same steps as for surveillance audit with additional audit of continual management dynamics for recertification audit depending on the case.		

SPECIAL AUDITS

Sl. No.	Description	Input Requirements (Standards/Documents)	Evidence
1.	Same steps as in the case of recertification audits for QMS / ***EMS / OH&SMS***. For AQMS, audit report shall be made in supplementary audit report form 6.		

SHORT NOTICE AUDITS

Sl. No.	Description	Input Requirements (Standards/Documents)	Evidence
1.	Steps depend on case to case basis. To be discussed and finalized by the MR.		