



GLOBUS CERTIFICATIONS PVT LTD

PROCEDURE – CONDUCTING AUDITS

P-9.4, Issue 1, Date 01.11.2014

1. PURPOSE

To define a procedure for conducting onsite audits.

2. REFERENCE

Clause 9.4 of ISO/IEC 17021-1: 2015

3. RESPONSIBILITY

Audit planner
Audit Team

4. PROCEDURE

4.1 General

GLOBUS process for conducting on-site audits include an opening meeting at the start of the audit and a closing meeting at the conclusion of the audit.

Where any part of the audit is made with electronic means or where the site to be audited is virtual, GLOBUS shall ensure that such activities are conducted by personnel with appropriate competence. The evidence obtained during such an audit shall be sufficient to enable the auditor to take an informed decision on the conformity of the requirement in question.

Note – “On-site” audits can include remote access to electronic site(s) that contain(s) information that is relevant to the audit of the management system. Consideration can also be given to the use of electronic means for conducting audits.

4.2 Conducting the opening meeting

A formal opening meeting is held with the client's management and, where appropriate, those responsible for the functions or processes to be audited. The purpose of the opening meeting, usually conducted by the audit team leader, is to provide a short explanation of how the audit activities will be undertaken. The degree of detail shall be consistent with the familiarity of the client with the audit process and shall consider 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 (including type and scope of audit, objectives and criteria), any changes, and other relevant arrangements with the client, such as the date and time for the closing meeting, interim meetings between the audit team and the client's management;
- 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 relevant work safety, emergency and security procedures for the audit team;
- 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 leader and audit team representing GLOBUS is responsible for the audit and shall be in control of executing the audit plan including audit activities and audit trails;
- l) Confirmation of the status of findings of the previous review or audit, if 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,



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4.3 Communication during the audit

4.3.1 During the audit, the audit team shall periodically assess audit progress and exchange information. The audit team leader shall reassign work as needed between the audit team members and periodically communicate the progress of the audit and any concerns to the client.

4.3.2 Where the available audit evidence indicates that the audit objectives are unattainable or suggests the presence of an immediate and significant risk (e.g. safety), the audit team leader shall report this to the client and, if possible, to GLOBUS to determine appropriate action. Such action may include reconfirmation or modification of the audit plan, changes to the audit objectives or audit scope, or termination of the audit. The audit team leader shall report the outcome of the action taken to GLOBUS.

4.3.3 The audit team leader shall review with the client any need for changes to the audit scope which becomes apparent as on-site auditing activities progress and report this to GLOBUS.

4.4 Obtaining and verifying information

4.4.1 During the audit, information relevant to the audit objectives, scope and criteria (including information relating to interfaces between functions, activities and processes) shall be obtained by appropriate sampling and verified to become audit evidence.

4.4.2 Methods to obtain information shall include, but are not limited to:

- a) Interviews;
- b) Observation of processes and activities;
- c) Review of documentation and records.

5. Identifying and recording audit findings

4.5.1 Audit findings summarizing conformity and detailing nonconformity shall be identified, classified and recorded to enable an informed certification decision to be made or the certification to be maintained.

4.5.2 Opportunities for improvement may be identified and recorded, unless prohibited by the requirements of a management system certification scheme. Audit findings, however, which are nonconformities, shall not be recorded as opportunities for improvement.

4.5.3 A finding of nonconformity shall be recorded against a specific requirement, and shall contain a clear statement of the nonconformity, identifying in detail the objective evidence on which the nonconformity is based. Nonconformities shall be discussed with the client to ensure that the evidence is accurate and that the nonconformities are understood. The auditor however shall refrain from suggesting the cause of nonconformities or their solution.

4.5.4 The audit team leader shall attempt to resolve any diverging opinions between the audit team and the client concerning audit evidence or findings, and unresolved points shall be recorded.

6. Preparing audit conclusions

Under the responsibility of the audit team leader and prior to the closing meeting, the audit team shall:

- a) Review the audit findings, and any other appropriate information obtained during the audit, against the audit objectives and audit criteria and classify the nonconformities;
- b) Agree upon the audit conclusions, taking into account the uncertainty inherent in the audit process;
- c) Agree any necessary follow-up actions;
- d) Confirm the appropriateness of the audit programme or identify any modification required (e.g. Scope of certification, audit time or dates, surveillance frequency, audit team competence).



GLOBUS CERTIFICATIONS PVT LTD

PROCEDURE – CONDUCTING AUDITS

P-9.4, Issue 1, Date 01.11.2014

4.7 Conducting the closing meeting

4.7.1 A formal closing meeting, where attendance shall be recorded, shall be held with the client's management and, where appropriate, those responsible for the functions or processes audited. The purpose of the closing meeting, usually conducted by the audit team leader, is to present the audit conclusions, including the recommendation regarding certification. Any nonconformity shall be presented in such a manner that they are understood, and the timeframe for responding shall be agreed.

NOTE - "Understood" does not necessarily mean that the nonconformities have been accepted by the client.

4.7.2 The closing meeting shall also include the following elements where the degree of detail shall be consistent with the familiarity of the client with the audit process:

- a) Advising the client that the audit evidence obtained was based on a sample of the information; thereby introducing an element of uncertainty;
- b) Method and timeframe of reporting, including any grading of audit findings;
- c) GLOBUS process for handling nonconformities including any consequences relating to the status of the client's certification;
- d) Timeframe for the client to present a plan for correction and corrective action for any nonconformity identified during the audit;
- e) GLOBUS's post audit activities;
- f) Information about the complaint and appeal handling process.

4.7.3 The client is given opportunity for questions. Any diverging opinions regarding the audit findings or conclusions between the audit team and the client shall be discussed and resolved where possible. Any diverging opinions that are not resolved will be recorded and referred to GLOBUS.

4.8 Audit report

4.8.1 GLOBUS provides a written report for each audit. The audit team may identify opportunities for improvement but shall not recommend specific solutions. Ownership of the audit report is maintained by GLOBUS.

4.8.2 The audit team leader ensures that the audit report is prepared and is responsible for its contents. The audit report provides an accurate, concise and clear record of the audit to enable an informed certification decision to be made and includes or refer to the following:

- a) Identification of the certification body (GLOBUS)
- b) Name and address of the client and the client's representative;
- c) Type of audit (e.g. initial, surveillance or recertification audit or special audits);
- d) Audit criteria;
- e) Audit objectives;
- f) Audit scope, particularly identification of the organizational or functional units or processes audited and the time of the audit;
- g) Any deviation from the audit plan and their reasons;
- h) Any significant issues impacting on the audit programme;
- i) Identification of the audit team leader, audit team members and any accompanying persons;
- j) Dates and places where the audit activities (on site or offsite, permanent or temporary sites) were conducted;
- k) Audit findings (see 9.4.5), reference to evidence and conclusions, consistent with the requirements of the type of audit;
- l) Significant changes, if any, that affect the management system of the client since the last audit took place;
- m) any unresolved issues, if identified;
- n) Where applicable, whether the audit is combined, joint or integrated;
- o) A disclaimer statement indicating that auditing is based on a sampling process of the available information;



GLOBUS CERTIFICATIONS PVT LTD PROCEDURE – CONDUCTING AUDITS

P-9.4, Issue 1, Date 01.11.2014

- p) Recommendation from the audit team;
- q) The audited client is effectively controlling the use of certification documents and marks, if applicable;
- r) Verification of effectiveness of taken corrective actions regarding previously identified nonconformities, if applicable.

4.8.3 The report contains:

- a) A statement on the conformity and the effectiveness of the management system together with a summary of the evidence relating to:
 - i) the capability of the management system to meet applicable requirements and expected outcomes;
 - ii) Internal audit and management review processes'
- b) A conclusion on the appropriateness of the certification scope;
- c) Confirmation that the audit objectives have been fulfilled.

4.9 Cause analysis of nonconformities

GLOBUS requires the client to analyze the cause and describe the specific correction and corrective actions taken, or planned to be taken, to eliminate detected nonconformities, within a defined time.

4.10 Effectiveness of corrections and corrective actions

GLOBUS reviews the corrections, identified causes and corrective actions submitted by the client to determine if these are acceptable. GLOBUS verifies the effectiveness of any correction and corrective actions taken. The evidence obtained to support resolution of nonconformities is recorded. The client is informed of the result of the review and verification. The client is informed if an additional full audit, an additional limited audit, or documented evidence (to be confirmed during future audits) will be needed to verify effective correction and corrective actions.

Note: Verification of effectiveness of correction and corrective actions can be carried out based on a review of documented information provided by the client, or where necessary, through verification on-site. Usually this activity is done by a member of the audit team.

Document Amendment Record

Clause No.	Changes	Date of Issue

Document Distribution Record

S. No.	Name of Person	Department	Controlled / Non-Controlled	Signature



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