1. PURPOSE

To define a procedure for carrying out initial certification audits (Stage 1 and Stage 2).

2. REFERENCE

Clause 9.3 of ISO/IEC 17021-1: 2015

3. RESPONSIBILITY

Audit Planner
Audit Team

4. PROCEDURE

4.1 The initial certification audit of a management system is conducted in two stages, Stage-1 and Stage-2.

4.2 Stage-1

4.2.1 Planning ensures that the objectives of Stage 1 are met and the client is informed of any “on site” activities during stage 1.

Note – Stage 1 does not require a formal audit plan.

4.2.2 The objectives of Stage-1 are to:

a) To review the client’s management system documented information;
b) To evaluate the client's site-specific conditions and to undertake discussions with the client's personnel to determine the preparedness for the stage 2;
c) To review the client's status and understanding regarding requirements of the standard, in particular with respect to the identification of key performance or significant aspects, processes, objectives and operation of the management system;
d) To obtain necessary information regarding the scope of the management system, including client’s site(s), processes and equipment used, levels of controls established (particularly in case of multisite clients), applicable statutory and regulatory requirements;
e) To review the allocation of resources for stage 2 audit and agree the details of the stage 2 with client;
f) To provide a focus for planning the stage 2 by gaining a sufficient understanding of the client's management system and site operations in the context of the management system standard or other normative document;
g) To evaluate if the internal audits and management review are being planned and performed, and that the level of implementation of the management system substantiates that the client is ready for the stage 2.

Note – If at least part of Stage 1 is carried out at the client’s premises, this can help to achieve the objectives stated above.

4.2.3 Documented conclusions with regard to fulfillment of Stage 1 objectives and the readiness for Stage 2 is communicated to the client, including identification of any areas of concern that could be classified as a nonconformity during Stage 2.

Note – The Stage 1 output does not need to meet the full requirements of a report (see 9.4.8 of ISO/IEC 17021-1: 2015).

4.2.4 In determining the interval between Stage 1 and Stage 2, consideration is given to the needs of the client to resolve areas of concern identified during the stage 1. GLOBUS may also need to revise its arrangements for stage-2. If any significant changes which would impact the management system occur, GLOBUS shall consider the need to repeat all or part of Stage 1. The client is informed that the results of Stage 1 may lead to postponement of cancellation of Stage 2.

4.3 Stage 2

The purpose of stage 2 is to evaluate the implementation, including effectiveness, of the client's management system. The stage 2 takes place at the site(s) of the client. It includes auditing of at least the following:

a) Information and evidence about conformity to all requirements of the applicable management system standard or other normative documents;
b) Performance monitoring, measuring, reporting and reviewing against key performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative documents);
c) The client's management system ability and its performance regarding meeting of applicable statutory, regulatory and contractual requirements;
d) Operational control of the client's processes;
e) Internal auditing and management review;
f) Management responsibility for the client's policies.

4.4 Initial certification audit conclusion

The audit team analyzes all information and audit evidence gathered during the stage 1 and stage 2 to review the audit findings and agree on the audit conclusions.

Amendment Record

Clause No.	Changes	Date of Issue

Distribution Record

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