



GLOBUS CERTIFICATIONS PVT LTD

PROCEDURE – PLANNING AUDITS

P-9.2, Issue 1, 01.11.2014

1. PURPOSE

To define procedure for planning audits after audit programme for three year certification cycle has been developed.

2. REFERENCES

Clause 9.2 of ISO/IEC 17021-1: 2015

3. RESPONSIBILITY

Audit planner

4. PROCEDURE

4.1 DETERMINING AUDIT OBJECTIVE, SCOPE AND CRITERIA

4.1.1 GLOBUS determines audit objectives. The audit scope and criteria, including any changes, is established by GLOBUS after discussion with the client.

4.1.2 Audit objectives describe what is to be accomplished by the audit and includes the following:

- a) Determination of the conformity of the client's management system, or parts of it, with audit criteria;
- b) Determination of the ability of management system to ensure that the client meets applicable statutory, regulatory and contractual requirements;
- c) Determination of the effectiveness of the management system to ensure the client can reasonably expect to achieving its specified objectives;
- d) As applicable, identification of areas for potential improvement of the management system.

4.1.3 The audit scope describes the extent and boundaries of the audit, such as sites, organizational units, activities and processes to be audited. Where the initial or re-certification process consists of more than one audit (e.g. covering different sites), the scope of an individual audit may not cover the full certification scope, but the totality of audits shall be consistent with the scope in the certification document.

4.1.4 The audit criteria is used as a reference against which conformity is determined, and includes:

- a) Requirements of a defined normative document on management systems;
- b) Defined processes and documentation of the management system developed by the client.

4.2 AUDIT TEAM SELECTION AND ASSIGNMENTS

4.2.1 Audit team is selected and appointed including the audit team leader and technical experts as necessary, taking into account the competence needed to achieve the objectives of the audit and requirements for impartiality (F-9.2.2). If there is only one auditor, then it is ensured that the auditor has the competence to perform the duties of an audit team leader applicable for that audit.

4.2.2 In deciding the size and composition of the audit team, consideration is given to the following:

- a) audit objectives, scope, criteria and estimated time of the audit;



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- b) whether the audit is a combined, joint or integrated;
- c) the overall competence of the audit team needed to achieve the objectives of the audit;
- d) certification requirements (including any applicable statutory, regulatory or contractual requirements);
- e) language and culture;

Note – The team leader of a combined or integrated audit is expected to have in-depth knowledge of at least one of the standards and an awareness of the other standards used for that particular audit.

4.2.3 The necessary knowledge and skills of the audit team leader and auditors may be supplemented by technical experts, translators and interpreters who shall operate under the direction of an auditor. Where translators or interpreters are used, they are selected such that they do not unduly influence the audit.

Note - The criteria for the selection of technical experts are determined on a case-by-case basis by the needs of the audit team and the scope of the audit.

4.2.4 Auditors-in-training may participate in the audit, provided an auditor is appointed as an evaluator. The evaluator shall be competent to take over the duties and have final responsibility for the activities and findings of the auditor-in-training.

4.2.5 Audit team leader, in consultation with the audit team assigns to each team member responsibility for auditing specific processes, functions, sites, areas or activities. Such assignments take into account the need for competence, and the effective and efficient use of the audit team, as well as different roles and responsibilities of auditors, auditors-in-training and technical experts. Changes to the work assignments may be made as the audit progresses to ensure achievement of the audit objectives.

4.3 OBSERVERS, TECHNICAL EXPERTS AND GUIDES

4.3.1 Observers

The presence and justification of observers during an audit activity is agreed to by GLOBUS and client prior to the conduct of the audit. The audit team ensures that observers do not unduly influence or interfere in the audit process or outcome of the audit. Observers can be members of the client's organization, consultants, witnessing accreditation body personnel, regulators or other justified persons.

4.3.2 Technical experts

The role of technical experts during an audit activity is agreed to by GLOBUS and client prior to the conduct of the audit. A technical expert does not act as an auditor in the audit team. The technical expert is accompanied by an auditor. The technical experts can provide advice to the audit team for the preparation, planning or audit.

4.3.3 Guides

Each auditor is accompanied by a guide, unless otherwise agreed to by the audit team leader and the client. Guide(s) are assigned to the audit team to facilitate the audit. The audit team ensures that guides do not influence or interfere in the audit process or outcome of the audit. The responsibilities of a guide can include establishing contacts and timing for interviews, arranging visits to specific parts of the site or organization, ensuring that rules concerning site safety and security procedures are known and respected by the audit team members, witnessing the audit on behalf of the client, providing clarification or information as requested by an auditor. Where appropriate, the auditee can also act as the guide.



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4.4 AUDIT PLAN

4.4.1 General

GLOBUS ensures that an audit plan is established prior to each audit identified in the audit programme to provide the basis for agreement regarding the conduct and scheduling of the audit activities.

4.4.2 Preparing the audit plan

GLOBUS ensures that audit plan is appropriate to the objectives and the scope of the audit. The audit plan at least includes or refers to the following:

- a) Audit objectives;
- b) Audit criteria;
- c) Audit scope, including identification of the organizational and functional units or processes to be audited;
- d) Dates and sites where the on-site activities will be conducted, including visits to temporary sites and remote auditing activities, where appropriate;
- e) Expected duration of on-site activities;
- f) Roles and responsibilities of the audit team members and accompanying persons, such as observers or interpreters.

4.4.3 Communication of audit team tasks

The tasks given to the audit team are defined, and require the audit team to:

- a) Examine and verify the structure, policies, processes, procedures, records and related documents of the client relevant to the management system standard;
- b) Determine that these meet all the requirements relevant to the intended scope of certification;
- c) Determine that processes and procedures are established, implemented and maintained effectively, to provide a basis for confidence in the client's management system;
- d) Communication to the client, for its action, any inconsistencies between the client's policy, objectives and targets.

4.4.4 Communication of audit plan

The audit plan is communicated and the dates of the audit are agreed upon, in advance, with the client.

4.4.5 Communication concerning audit team members

GLOBUS provides the name of and, when requested, make available background information on each member of the audit team for the client to object to the appointment of any particular audit team member and for GLOBUS to reconstitute the team in response to any valid objection.



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