Certification Audit Program and Execution

Procedure Index

Confidentiality Statement

			Mr. Rohit Pandey	Mr. Alok Kumar Tiwari	Mr. Krishna Kumar Shukla
01	00	01.10.2024	**Management Representative-Technical Director**	**CEO**	**Managing Director**
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Amendment Sheet

Clause Number & Page Number	Revision Details	Reason for Revision	Control Status		
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1.0 Purpose

- The purpose of this procedure is to:
  - ❖ Define the requirements for Stage-I & Stage-II audit
  - ❖ Process steps and reporting
  - ❖ Criteria for issue of certificate of compliance and conditions
  - ❖ Maintain records

2.0 Scope

- Applicable to all the Management systems to be certified by CQI

3.0 Definitions & Abbreviations

3.1	Top Management	:	Governing body of the organization made of MD & EC
3.2	MD	:	Managing Director
3.4	CQI	:	CQI Certification Pvt. Ltd.
3.4	CAR	:	Corrective Action request.
3.5	Document Review	:	Verify adequacy of the management system documents to the relevant contractual standard including any exclusion. Document review will be conducted on site along with Stage I audit or off site
	Stage I	:	Verify the following • Clients management system documentations • Evaluate client's location and site-specific condition - Are the objectives / targets and policy of company determined? -Are the conditions of client and site-special conditions adequate for the system(s)? -List the company's legal regulations that they are obliged to abide by? - List the necessary licenses/permissions? -Verification of the shifting system including dispersion of total employee numbers per each shift provided by the application. Justification of selected shift that will be audited during Stage-2 Audit • Verify client's preparedness for Stage II audit • Review client status and understanding regarding the requirements of the standard • Collect information regarding scope, processes, statutory and regulatory requirements, exclusions claimed etc • Review the allocation of resources/logistics for stage II audit • Internal audit and Management Review are planned and performed • Identify concerns if any in the planning of management system
	Stage II	:	Verify the following: • Compliance to contractual standards, documented Systems, statutory and regulatory requirements. • Effective implementation of the planned management systems • Management commitment • Awareness of the system across the organization • Acceptance of the management system for Recommendation for issue of certificate of compliance with/without conditions or otherwise.
	Follow up Audit	:	Follow Up audit is recommended when it is considered that on site verification is required to verify the corrective actions for the non-conformances recorded during any base audit. Verify the following:

	• Effectiveness of the Corrective action taken for the non-conformances identified during the base assessment. • Revision to the system documents if any
4.0	**Reference Documents:**

	Doc. Name	Doc. No.	Rev. No.	Rev. Dt.	Retention Period
1	Auditor Selection	CQI-D-06	00	01.10.2024	Live
2	Document Review	CQI -D-10	00	01.10.2024	Live
4	Stage I Audit program & Execution	CQI D-11	00	01.10.2024	5 Years
5	Stage II Audit Program & Execution	CQI -D-12	00	01.10.2024	Live
6	Audit Report	CQI-QF-31-40	00	01.10.2024	5 Years
7	Audit Plan & Schedule – Stage-01	CQI-QF-29	00	01.10.2024	5 Years
	Audit Plan & Schedule – Stage-02	CQI-QF-30	00	01.10.2024	5 Years
8	Audit Observation Sheet	CQI-QF-41	00	01.10.2024	5 Years
9	Opening / Closing Meeting Attendance Sheet	CQI-QF-51	00	01.10.2024	5 Years
10	Non-Conformity Closure Report	CQI-QF-42	00	01.10.2024	5 Years
11	Surveillance audit & NC closure	CQI-D-13	00	01.10.2024	Live
12	Directory of Certified Clients	CQI-QF-44	00	01.10.2024	5 Years
13	Certificate Decision and handling	CQI-D-14	00	01.10.2024	Live

5. Procedure

- For every client post registration and contract review an audit program is generated by technical Manager.
- CQI follows a three years certification cycle with minimum of following assessments to be covered as a part of every audit program.
  - Adequacy review
  - Stage I Audit
  - Stage II Audit
  - 2 Surveillance Audits (Once every year)
  - Re-certification (If client is retained for next cycle)
- All Audit Plan and Schedule are approved by any member of EC or Director on sampling basis. The audit program is communicated to the audit client and consensus is taken from them regarding the program
- Depending on the scope, Objective, criteria and EA code, number of man-days is selected for the audit client. While selecting number of days IAF Mandatory Document number is considered and as per the Procedure of Audit Time Calculation
- Depending on the factors mentioned above Audit team is selected which includes Audit team leader and auditor. If required Technical Expert is also selected if the auditor is not technically competent.
- Document review is done by the Audit team leader to check the readiness of Management system and provide the clearance for audit plan. If auditor feels appropriate, he can club document review with stage 1.

- Stage-1 Executed as per plan and if required follow up audit is also considered for planning.
- Auditor initiates CAR based on findings of Stage 1 audit
- Stage-2 Executed as per plan considering following parameters: - Opening Meeting - Plant / Facility Tour - Process wise audit Closing meeting
- If the system conforms to the criteria, Auditor generates the conformance part of the report and the audit kit is sent to CQI for review.
- If there are no Major Non conformities during the audit, the following steps will be initiated:
  - Auditor to post recommendation for certification in the closing meeting and initiate CAR for all minor NC's.
  - Audit client initiates CA based on the findings and submits the CAR's along with supporting document to CQI for review
  - CQI auditor reviews the CAR and forwards to EC for certification decision
  - For Minor NC – There should be 30 Days of Time Period for Sending the CA Report.
- If there are Major Non conformities during the audit, the following steps will be initiated:
  - Recommend a follow up audit and request for CAR.
  - Audit client initiates CA based on the findings and submits the CAR's along with supporting document to CQI for review.
  - CQI auditor reviews the CAR and recommends clearance for follow up audit.
  - For Major NC-There Should be 90 Days of Time Period for Follow up Audit.
- Technical Manager to plan for follow up audit in coordination with Audit client and Auditor and the audit kit is sent to CQI for review.
- If the audit kit is complying, EC recommends for certification. Technical Manager to courier the copies of Certificate to the client.
- Technical Manager to circulate the surveillance audit plan at least seven days before the audit.
- EC/Technical Director allocates auditor as per auditor selection work instruction
- Auditor executes the audit as per audit plan and evaluates the conformance against criteria
- If the system conforms to the criteria, Auditor generates the conformance part of the report and the audit kit is sent to CQI for review.
- Technical Manager to plan for follow up audit in coordination with Audit client and Auditor and the audit kit is sent to CQI for review.
- If the audit kit is complying, EC recommends for continuation of certification.
- Client processed for Re-Certification post two Surveillance Audits
- If the major non conformity is not closed, Auditor to recommend Suspension and withdrawal process
- The Result of Non-Conformities Acceptance or Non-Acceptance shall be Communicated with Client through E-Mail.

Surveillance Activities:

CQI will monitor the Client in between the Certification cycle through the Website Verification, Logo Usage, Market Feedback, Auditor Feedback etc. once in six months.