

## Detailed process for conduct of audits

All initial audits for QMS and EMS are carried out in two stages.

- **Stage 1 Readiness review (on site audit):**

It covers review of

- adequacy of documentation,
- evaluation of site specific conditions,
- availability of performance data
- related statutory and regulatory requirements and
- internal audits and Management reviews.

- **Stage 2 (On site audit) :**

Verification for implementation of the requirements of the governing standard, Organizational procedures and legal compliance ( in case of EMS )and its effectiveness

Initial audits are planned and carried out as per mutually agreed schedule. Decisions are made based on the evidences gathered, reports of the audit team and upon review of the reports.

The decisions can be

- Certification can be granted
- Certification not granted
- Requires a follow up for verification of actions taken on reported NCs
- A total re-audit

Certifications are granted when all the requirements are implemented and found effective including for compliance to legal and any requirements as per the governing standard and any other normative documents as applicable.

The certificate is valid for 3 years and recertification process shall be completed before the validity expires. During the period of validity of certificate, minimum two surveillance audits would be carried out to ensure that the system continues to be effective, legal and other requirements, as applicable, are met with and continual improvements are evident.

The surveillance plan is based on the following

a. At the time of initial certification

The start date of first surveillance audit is not to exceed 12 months from the last day of initial certification (stage-2 audit)

b. Subsequent surveillance audits may be with in an interval of nine months to 13 months from the last day of first surveillance audit.

After 3 years of Initial audit, recertification audit will be conducted and validity will be extended for further 3 years. Two surveillance audits at one year interval will be continued to ensure continuing effectiveness of the certified management system.