1. PURPOSE

This procedure describes a systematic and uniform approach to audit of an Applicant's Management System, to ensure continued conformance of client's management systems, continued relevance and applicability for the scope of certification and unforeseen circumstances requiring a visit to a client's premises unannounced.

2. SCOPE

The procedure applies to the SWASA certification unit.

3. ABBREVIATIONS

3.1 **CAC:** Certification Approval Committee

3.2 **ED:** Executive Director

3.3 **QAM:** Quality Assurance Manager

3.4 **QAO-DC:** Quality Assurance Officer – Documents Control

3.5 **MSCS:** Management Systems Certification Scheme

4. DEFINITIONS

4.1 Initial certification audit: Certification audit of a management system which is carried out in two stages- Stage 1 and 2.

4.2 Stage 1 audit: It is an audit conducted for determining the client's management system documentation, to evaluate the client's location and site-specific conditions and to determine the preparedness for the stage 2 audit. Part of stage 1 audit is carried out at the client's premises.

4.3 Stage 2 audit: It is an audit conducted at the site(s) of the client to evaluate the implementation, including effectiveness, of the client's management system and establish conformity to the audit criteria through documented requirements, policy, objectives and targets, applicable legal requirements and contractual requirements.

4.4 Surveillance Audit: systematic iteration of conformity assessment activities as a basis for maintaining the validity of the statement of conformity

4.5 Recertification Audit: The comprehensive systems audit carried out before the renewal of the certificate.

4.6 Special audits: are audits which are not planned but necessitated by unforeseen situations.

4.7 Nonconformity (NC): Non-fulfilment of a requirement

4.8 Major Nonconformity: A major nonconformity arises when evidence suggests failure to fulfill one or more requirements of the management system standard, or a situation that raises significant doubt about the ability of the client's management system to achieve its intended outputs calling for the early corrective actions within a time frame.

4.9 Minor Nonconformity: When evidence shows an isolated non-compliance with the requirement of the management System Standard but has negligible impact on the operation of the system and its results.

4.10 Opportunity for Improvement: Opportunities for Improvement are observations made during an audit that have a potential to be nonconformities.

4.11 Lead Auditor: A registered Lead Auditor designated to manage the audit.

5. **RESPONSIBILITIES**

5.1 QAM: Head, Management Systems Certification and Management Representative (MR) responsible for day-to-day operations of MSCS.

5.2 QAO-DC: responsible for coordinating certification activities and the adherence to MSCS audit policy and procedures by the audit team;

6. **Procedure For Stage 1 And Stage 2 Audits:**

Step	Activity	Responsibility	Document/record
1.	Appointment of audit team and informing the applicant (Stage 1 & 2)	QAM	
2.	Study scope, objectives. technology area and applicable management system standards of the applicant	QAM	
3.	Identify appropriate competence of auditors with appropriate qualification in the technology area of audit. Appoint Technical Expert with appropriate competence, if necessary	QAM	CER_PR_010 Determination of Competence criteria procedure
4.	Nominate Lead auditor and audit team and communicate to the team	QAM/QAO	
5.	Prepare audit plan for performance of the audit to the specified standard. For Stage 2 audit plan, consider the plan proposed after the stage 1 audit.	QAO-DC	CER_FO_015 Audit plan
6.	Inform the applicant of the details of the audit team and audit dates. Resolve objections if any.	QAO-DC	CER_FO_014 Audit notification
7.	Inform MR of the date, time and mode of arrival and request the presence of HOD’s in the opening meeting.	QAO-DC	CER_FO_014 Audit

			notification
8.	**Conducting audit of applicant at site (Stage 1 & 2)** 5.2.1 Conduct a briefing meeting with team and preparation checklist for use during audit. (For Stage 2, study the manual and related documents and Stage 1 audit report.)	Lead Auditor	CER_FO_ 015 Audit plan, CER_FO-019 audit trail
9.	Conduct opening meeting with company representatives preferable HOD’s. (Permit observers such as members of the client's organization, consultants, witnessing accreditation body personnel and/or regulators, only with mutual consent and ensuring that they do not influence or interfere in the audit process or outcome of the audit. Declare impartiality and conflict of interest by auditors for each assignment.	Lead Auditor	CER_FO_015 Audit plan (opening meeting agenda) CER_FO_ 038 Impartiality undertaking
10.	Quick tour of the facility (if necessary).	Audit team	
11.	Move team member/s to allocated location/s of audit if applicable.	Lead auditor	
12.	Review manual and related documents for adequacy of documentation and comments thereof.	Audit team	
13.	**Team meeting for recording audit findings**		
14.	Collate the findings of the audit team. Verify that nonconformities are recorded clearly and against a specific requirement of the audit criteria and objective evidence is identified on which the nonconformity is based.	Lead auditor	CER_FO_043 Nonconformity report form
15.	Verify that identified opportunities for improvement have been clearly recorded	Lead auditor	CER_FO_043 Nonconformity report form
16.	Agree upon the audit conclusions taking into account the uncertainty inherent in the audit process.	Audit team	
17.	**Closing meeting and presentation of findings.** Conduct a formal closing meeting with client's management and those responsible for the functions or processes audited.	Lead auditor	CER_FO_015 Audit plan (closing meeting agenda) CER_FO_ 013

	Attendance in the closing meeting is recorded.		Audit attendance register
18.	Present any concerns (Stage 1), opportunities for improvement and nonconformities in such a manner that they are understood, and timeframe for responding is agreed.	Lead auditor	CER_FO_ 046 Stage 1 certification audit report
19.	**For Stage 1**: Review with the client allocation of resources for stage 2 audit and agree with the client on the details of the stage 2 audit, including the date which must be within 6 months or the organisation would need to be re-audited to Stage 1.	Lead auditor	CER_FO_ 046 Stage 1 certification audit report
20.	**For Stage 2**: Present audit team recommendation whether or not to recommend certification, together with any conditions or observations.	Lead auditor	CER_FO_ 047 Stage 2 certification audit report
21.	**Post audit activities** The Lead Auditor submits the report to QAM upon completion of compilation after the audit.	Lead auditor	CER_FO_ 047 Stage 2 Certification Audit report
22.	Submit report to QAM and QAM will send the report to the client	Lead auditor	CER_FO_ 047 Stage 2 Certification Audit report

6.1 For Stage 1 ensure information relevant to the Stage 1 audit objectives, scope and criteria are gathered after taking appropriate sampling and verifying audit evidence on:

a) Status and understanding regarding requirements of the standard,

b) The scope of the management system, processes and location(s) of the client, levels of controls established (particularly in case of multisite) and related statutory and regulatory aspects and compliance,

c) Allocation of resources for stage 2 audit,

d) Planning the stage 2 audit by understanding of the client's management system and site operations,

e) Internal audits and management review planned and performed

6.2 For Stage 2, ensure information relevant to the Stage 2 audit objectives, scope and criteria are gathered after taking appropriate sample and verifying audit evidence on:

a) information about conformity to requirements,

b) performance monitoring, measuring, reporting and reviewing against performance objectives and targets,

c) compliance to legal requirements,

d) operational control of the client's processes,

e) internal auditing and management review,

f) links between the requirements, policy, performance objectives and targets, responsibilities, competence of personnel, operations, procedures, performance data and internal audit findings and conclusions.

g) Ensure use of appropriate methods of collection of information such as interviews, observation of processes and activities and review of documentation and records.

6.3 Follow trail and resolving any diverging opinions between the audit team and the client concerning audit evidence or findings.

6.4 Discuss nonconformities with the client to ensure that the evidence is accurate and that the nonconformities are understood. The auditor must refrain from suggesting the cause of nonconformities or their solution.

6.5 Conduct briefing meeting with the client towards the end of each day's audit

7. Surveillance audits Procedure:

Step	Activity	Responsibility	Document/record
1.	Appointment of audit team and team leader with a coordinating role and responsible for: The adherence to the MSCS audit policy and procedures by the audit team.	QAM	CER_FO_015 Audit plan
	Surveillance audit		
2.	Evaluate the client's location and site-specific condition and discuss with the clients to determine continued compliance to the applicable standard and MSCS procedures.	QAM	
3.	Surveillance audits shall be based on the audit programme for certification cycle set at initial certification	QAM/QAO-DC	CER_FO_051 Certification Clients Schedule Programme

4.	Each surveillance for the relevant management system standard shall include: a) internal audits and management review; b) a review of actions taken on nonconformities identified during the previous audit; c) complaints handling; d) effectiveness of the management system with regard to achieving the certified client's objectives and the intended results of the respective management system (s); e) progress of planned activities aimed at continual improvement; f) continuing operational control; g) review of any changes; h) use of marks and/or any other reference to certification	Audit team	CER_FO_047 Stage 2 Certification Audit report
5.	Ensure that all the system elements are verified at least once during the validity period of three years of the Certificate of Approval. Surveillance audits shall be scheduled within 12 months from the previous audits.	QAM	CER_FO_047 Stage 2 Certification Audit report
	Conduct of Audit		
6.	Conduct of audit similar to that of certification audit and includes interviews, reviewing the records, etc., with the management personnel The time allowed to implement the corrective action should be consistent with the severity of nonconformities and the risk to the assurance of the product meeting specified requirements	Audit team	CER_FO_019 Audit trail
7.	Record the following when observed, a) write nonconformity with objective evidence c) ensure its continued effectiveness.	Audit Team	CER_FO_043 Nonconformity report form
8.	Present the findings; summarize the nonconformities and any corrective actions previously agreed.	Team Leader	CER_FO_047 Stage 2 Certification Audit report
	Surveillance Audit Report		

9.	Prepare audit report with contributions from team members	Team Leader	CER_FO_047 Stage 2 Certification Audit report
10	Conduct closing meeting and report the outcome of the audit to the client	Team Leader	CER_FO_015_Audit plan/ CER_FO_047 Stage 2 Certification Audit report
11	Submit report to QAM	Team Leader	CER_FO_047 Stage 2 Certification Audit report

8. Recertification audits Procedure:

Step	Activity	Responsibility	Document/record
1.	**Recertification audit planning**		
2.	Review the performance over the period of certification based on previous surveillance audit reports.	QAO-DC	CER_FO_049 Recertification audit – Performance Assessment
3.	Prepare recertification quotation for client	QAO-DC	SWASA quotation
4.	Receive quotation acceptance form from client	QAO-DC	CER_FO_ 044 Quotation Acceptance form
5.	Consider stage 1 audit where there are significant changes to the management system, the client, or changes to legislation	QAM	CER_FO_049 Recertification audit –Performance Assessment
6.	In the case of multiple sites or certification to multiple management system standards being provided by MSCS, the planning for the audit to ensure adequate on-site audit coverage	QAM	CER_FO_015 Audit plan
7.	Preparation of onsite audit plan for recertification	QAO-DC	CER_FO_015 Audit plan
8.	Constitute team for recertification audit and notify to the client	QAO-DC	CER_FO_014 Audit notification
9.	**Recertification audit**		
10.	Shall be planned and conducted in due time to enable for timely renewal before the certificate expiry date.	QAO-DC	CER_FO_015 Audit plan

11.	Ensure effectiveness of the management system in its entirety in the light of internal and external changes and its continued relevance and applicability to the scope of certification	Team Leader	CER_FO_049 Recertification audit –Performance Assessment
12.	Establish demonstrated commitment to maintain the effectiveness and improvement of the management system in order to enhance overall performance	Team Leader	CER_FO_049 Recertification audit –Performance Assessment
13.	Ensure effectiveness of the management system with regard to achieving the certified client's objectives and the intended results of the respective management system (s).		CER_FO_049 Recertification audit –Performance Assessment
14.	Define time limits for correction and corrective actions on nonconformities identified to be implemented prior to the expiration of certification	Team Leader	CER_FO_047 Stage 2 Certification Audit report
15.	Submit recertification/renewal audit report	Team Leader	CER_FO_047 Stage 2 Certification Audit report
16.	**Granting recertification**		
17.	Process for recertification for submission to CAC	QAM & QAO-DC	
18.	Make decisions on renewing certification based on the results of the recertification audit, as well as the results of the review of the system over the period of certification and complaints received from users of certification.	CAC	CAC minutes
19.	Communicate to the client the decision on recertification	QAM	Letter for notification of certification decision.
20.	Update certification register	QAO-DC	CER_FO_022 Certificates register

9. Special audits Procedure:

Step	Activity	Responsibility	Document/record
1.	Organize special audits under the following situations • to investigate serious complaints, • in response to changes • Follow up on suspended clients • Change in the location of activities • Application for extension of scope of certification • follow up on suspended clients	QAM	
2.	Extensions to scope The certification body shall, in response to an application for extension to the scope of a certification already granted, undertake a review of the application and determine any audit activities necessary to decide whether or not the extension may be granted. This may be conducted in conjunction with a surveillance audit.	QAM	CER_GE_001 Notice of changes CER_FO_047 Stage 2 Certification Audit report CER_PR_012 Scope extension procedure
3.	Short-notice audits It may be necessary for the certification body to conduct audits of certified clients at short notice to investigate complaints (see 9.8), or in response to changes (see 8.5.3), or as follow up on suspended clients (see 9.6). In such cases a) the certification body shall describe and make known in advance to the certified clients (e.g. in documents as described in 8.5.1) the conditions under which these short notice visits are to be conducted, and b) the certification body shall exercise additional care in the assignment of the audit team because of the lack of opportunity for the client to object to audit team members.	QAM	
4.	Ensure that the client is compliant with the requirements of the relevant Management System before recommending continuation of certification.	QAM	CER_FO_047 Stage 2 Certification Audit report

5.	Explain to audit team the purpose of special-audit.	QAM	
6.	Ensure that the methodology is the same as that of initial audit, stage 2. Note: Only in situations where the Management System has not been maintained or repeated breakdown in the system are reported or there are a number of changes in processed or product categories, then, the audit shall be carried out in 2 stages (like Initial Audit).	Team Leader	CER_PR_020 Management Systems certification audits procedure
7.	Seek confirmation from the client regarding any changes in the organization structure, nature of activities/product/processes and scope as stated in 5.1. Refer also to the previous Surveillance Audit reports.	Team Leader	CER_PR_003 Audit planning procedure
8.	Conduct the audits.	Team leader	
9.	Prepare audit report with contributions from team members, in accordance with certification audit report format.	Team Leader	CER_FO_047 Stage 2 Certification Audit report
10.	Decision on special audit report:		
11.	Take a decision whether or not to re- certify client on the basis of information gathered during the audit, recommendation of the audit team and scrutiny by a qualified lead auditor.	CAC	CER_FO_024_Certification decision review checklist
12.	Document decision and inform applicant of the outcome of the special audit process.	QAM	CER_FO_047 Stage 2 Certification Audit report

10. Follow up audits' procedure:

Step	Activity	Responsibility	Document/record
1.	The client shall analyze the cause of nonconformities and describe the specific correction and corrective actions taken, or planned to be taken, to eliminate detected nonconformities, within a defined time.	Client	CER_FO_002 Corrective action and preventive action plan
2.	Review corrections, identified causes and corrective actions submitted by the client to determine if these are acceptable	Auditor/QAM	CER_FO_002 Corrective action and preventive action plan

3.	Verify the effectiveness of any correction and corrective actions taken	Auditor/QAM	CER_FO_ 037 Follow up audit report
4.	Record the evidence obtained to support the resolution of nonconformities.	Auditor/ QAM	CER_FO_ 037 Follow up audit report
5.	Inform client of the result of the review and verification.	Auditor/ QAM	CER_FO_ 037 Follow up audit report
6.	Inform client 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.	Auditor/ QAM	CER_FO_ 037 Follow up audit report