

## **AUDIT INFORMATION SHEET – MANAGEMENT SYSTEMS\***

### **OVERVIEW**

This Audit Information Sheet explains the main stages of our process for Management System Audit and Certification.

The Audit process to start with, includes two visits to your organization before GCAS would recommend for approval. These are classified as:

- Stage 1(Document Review and Planning visit)
- Stage 2 (Initial Audit).

On issuance of the relevant Certificate, GCAS shall carry out Surveillance Audits required to maintain the norms of Certification.

During each visit, you will find our auditors open, helpful, and following a practical approach. This will help add value to the audit process.

Prior to the visit GCAS and client shall discuss mutually the date of visits from commencement to finish, participating audit team members, duration of visit and the areas of your business which shall be audited.

### **STAGE 1 AUDIT- DOCUMENT REVIEW AND PLANNING VISIT**

#### **OBJECTIVES OF THE VISIT**

- To ensure that the clients Management System is sufficiently designed, documented and implemented to permit a meaningful audit to take place.
- To gather information about your company's organization, processes and activities so that we can develop a plan for the stage 2 audit.
- To confirm the scope, audit team requirements and timing for the stage2 audit.
- To satisfy client on any queries about the service being rendered.

The above objectives shall be achieved by our auditors undertaking a site tour and reviewing the key documents, including internal audit reports.

The visit shall help in identifying any weaknesses or omissions in clients system which may be needed to be aligned prior to the stage2 audit.

## STAGE 1 AUDIT METHOD

The stage 1 commences with an opening meeting, in which the auditors shall explain to the client's management team how the audit is carried out, and is introduced to the client's organization.

The auditor shall:

- Review the Design and Documentation of the system against the audit standards and the proposed audit scope.
- Conduct a site tour, if found appropriate.
- Produce a focused report which describes both positive findings and any issues requiring client's attention before the stage 2 visit takes place; for client's guidance, the report will identify the potential grading of these issues if in case outstanding issues found at the end of the stage 2 visit.
- Produce a detailed plan for the stage 2 Initial audit.

The Stage 1 Audit shall cover;

- **Policy**
- **Key roles and responsibilities**
- **Activities** – A site tour is generally conducted to verify the site plans and to confirm potential environmental aspects, identify current controls and performance. And brief familiarization for the stage 2 audit.
- **Environmental Aspects & Health Safety Risks** – A review of identified environmental aspects and their associated impacts and the determination of their significance.
- **Legal and other requirements** – An audit of access to applicable legal regulations (including licenses, consents, authorizations and permits), Agreements with authorities, any company or corporate reports.
- **Continual improvement** – Audit of objectives and targets and their consistency with policy and significant aspects; that these are established and support continual improvement; that appropriate programmes and associated plans are in place to achieve objectives.
- **Operational Arrangements** - Confirmation that procedures to manage and control the significant environmental aspects stand established
- **Monitoring and measurement** - Confirmation that an appropriate range of Measuring and Monitoring mechanisms exist to measure Management System performance. Also, a review of the management system performance including progress against objectives and targets, legal compliance, and the maintenance

and effectiveness of risk control measures. And verify that procedures are available to address the following requirements in the standard:

- **Management System documentation;**
- **Corrective and Preventive action;**
- **Internal audits** – including a review of the audit programme and reports;
- **Management review process** – including a review of records.

The visit concludes with a Closing Meeting to present the stage 1 report and agree to the next stage of the audit process.

The documentation reviewed during the stage 1 visit will be used during future visits as a baseline. However, client should continue to amend system. The documents are generated as a result of internal improvement activities. During each visit GCAS shall require to identify the number of changes between the latest issue and the baseline.

## **STAGE 2 - INITIAL AUDIT**

### **OBJECTIVES OF THE AUDIT**

During this visit the auditor will focus on how client's management system has been put into practice.

The stage 2 audit shall aim to ensure that;

- Before the commencement of Audit, an agreement on the "Scope" as required on the certificate shall be jointly finalized/approved by GCAS & Management Representative of the company. No Changes in scope outside the areas that were audited shall be permitted by GCAS, for inclusion in the certificate.
- Company policies, objectives, programs and procedures are effectively put into practice;
- There is a planned and systematic approach for improvement.
- The significant Environmental aspects , Safety Risks are being managed effectively in the management system;
- The company manages its processes effectively;
- The management system conforms to all the requirements of audit standard.

## **IMPLEMENTATION VERIFICATION**

The audit follows the stage 2 plan. Members of the audit team visit areas with client's representative who can witness the findings and help the audit. The Stage 2 audit usually includes a meeting with the top management and representative of senior management (MR) having the overall responsibility for the management system.

The audit team will report, as a minimum, any findings related to:

- Follow up of findings from the stage 1 visit.
- Activities products and services identified in the agreed scope for the audit.
- Effectiveness of the management system is at achieving the commitments of the company's policy including legal compliance, continual improvement.
- Putting into practice the arrangements needed to manage the significant environmental aspects.
- Progress to achieve objectives and targets through the management programme
- Putting in to practice the systems required by the management system and maintaining appropriate records
- Practice monitoring and measurement methodologies to assess performance of the management system and whether objectives and targets are being achieved.
- How involved in and committed to, the management system the senior Management is,
- How effective the internal audit, corrective and preventive action, and management review processes are.

The audit team will hold review meetings on each day to discuss any findings. Appropriate staff should be present to confirm that the company accepts these findings.

The visit concludes with a closing meeting to present a summary of the findings, and to agree to the next stage of the audit process. The auditor will give a complete report to the Management Representative.

## **SURVEILLANCE AUDITS**

### **OBJECTIVES OF THE VISIT**

Once GCAS has certified the clients your management system, there will begin a programme of Surveillance Visits (normally once every six months).

The surveillance visits shall aim to confirm that the approved management system continues to:

- Be maintained
- Be in operation, and
- Shall deliver continual improvements.

GCAS also considers the implications of changes to the company. Such changes may have been carried out as a result of changes in your activities, products or services.

GCAS will then review / consider whether the company continues to meet the certification requirements.

Themes for Surveillance Visits shall normally have been agreed with the company during the previous visit. GCAS shall confirm the details with the company during an opening meeting.

Themes chosen will enable us to review:

- Internal audit and management review processes.
- Corrective and Preventive action processes including customer complaints
- Changes to the system and the effectiveness of their implementation
- Continual improvement and prevention of pollution process (es) and records.
- How changes are managed relating to responsibilities and authorities of key personnel.

GCAS shall also review any outstanding findings and how the company uses GCAS and the accreditation logos.

If any Minor Nonconformities are reported during a visit while the next visit is within six months, GCAS will normally follow them up during their next visit or else GCAS will make arrangements with company for the follow up.

If GCAS reports a Major Nonconformity during a surveillance visit, a special surveillance visit shall be arranged to follow up the necessary corrective action (normally 45 days). This shall be the first phase of GCAS suspension and withdrawal of approval process.

At the closing meeting, the auditor will report on the then current visit and agree with the company theme for the next visit. If any major nonconformity has been reported, the auditor shall also agree arrangements for follow up of the actions the client shall take.



## **CERTIFICATE RENEWAL**

### **PLANNING FOR THE CERTIFICATE RENEWAL**

GCAS conducts certificate renewals on a three-yearly basis, planned at the previous surveillance visit and agreed with you.

The Certificate Renewal planning process contains three steps: Review, Preview and Planning.

### **ADDITIONAL INFORMATION**

To find out more about how GCAS can help the company's business meet industry requirements and stay competitive, please visit the corporate website [www.gcasquality.com](http://www.gcasquality.com).

*\* Includes and applicable to QMS, EMS, OHSAS, HACCP, FSMS, ISMS and En. Mgt. GCAS will audit look at specific requirements as required by the respective standard.*

