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CERTIFICATIONS

# **KMC-PTP-03**

## **Procedure of Auditing and pre audit requirements to the certifying organization**

### **1.0 PURPOSE**

Purpose of the process is to provide information to clients about KMC policy and process behind auditing

### **2.0 SCOPE**

Process is applicable to HR administration (Back office) – Operations and to all the clients who are planning to go for certification with KMC

### **3.0 RESPONSIBILITY**

MD, and staff are mainly responsible from KMC end. The clients are required to adhere with the set procedures and company policies.

### **4.0 INPUTS**

- Audit Plan
- Profile of the auditors
- Audit reports
- CAR forms

### **5.0 OUTPUT**

- Planned audits
- Completed CAR forms and requested rest documents from the client end.

### **6.0 PROCESS**

## **APPLICATION**

Enquiries may be received in several forms, by telephone, letter, e-mail or facsimile.  
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## **SIGNING OF AGREEMENT**

On acceptance of the quotation, KMC and applicant company shall sign the agreement which consist the terms and conditions of the certification.



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### **APPOINTMENT OF AUDIT TEAM**

After receiving the signed copy of the agreement KMC will select the audit team as per the scope/industry and communicate to client company as well as auditor and obtain

the consent with no conflict of interest and execution of the audit on mutually agreed date. KMC will ensure 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.

The audit plan will be appropriate to the objectives and the scope of the audit. The audit plan will at least include or refer to the: audit objectives; audit criteria; audit scope, including identification of the organizational and functional units or processes to be audited; the dates and sites where the on-site audit activities will be conducted, including visits to temporary sites and remote auditing activities, where appropriate; expected duration of on-site audit activities; the roles and responsibilities of the audit team members and accompanying persons, such as observers or interpreters.

### **AUDIT PLAN**

Audit plan will be shared with the client before the audits with the profile of the auditor(s).

### **INITIAL CERTIFICATION AUDIT**

The initial certification audit of a management system will be conducted in two stages: stage 1 and stage 2.



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### **Stage 1**

Planning will ensure that the objectives of stage 1 can be met and the client will be informed of any “on site” activities during stage 1.

The objectives of stage 1 are to: review the client’s management system documented information; evaluate the client’s site-specific conditions and to undertake discussions with the client’s personnel to determine the preparedness for stage 2; review the client’s status and understanding regarding requirements of the standard, in particular with respect to the identification of key performance or significant aspects, processes, objectives and operation of the management system; obtain necessary information regarding the scope of the management system, (including: the client’s site(s); processes and equipment used; levels of controls established (particularly in case of multisite clients); applicable statutory and regulatory requirements); review the allocation of resources for stage 2 and agree the details of stage 2 with the client; provide a focus for planning stage 2 by gaining a sufficient understanding of the client’s management system and site operations in the context of the management system standard or other normative document; evaluate if the internal audits and management reviews are being planned and performed, and that the level of implementation of the management system substantiates that the client is ready for stage 2.

Documented conclusions with regard to fulfilment of the stage 1 objectives and the readiness for stage 2 will be communicated to the client, including identification of any areas of concern that could be classified as a nonconformity during stage 2.

In determining the interval between stage 1 and stage 2, consideration will be given to the needs of the client to resolve areas of concern identified during stage 1. KMC also need to revise its arrangements for stage 2. If any significant changes which would impact the management system occur, kmc will consider the need to repeat all or part of stage 1. The client will be informed that the results of stage 1 may lead to postponement or cancellation of stage 2.



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### **Stage 2**

The purpose of stage 2 is to evaluate the implementation, including effectiveness, of the client's management system. The stage 2 will take place at the site(s) of the client. It will include the auditing of at least the: information and evidence about conformity to all requirements of the applicable management system standard or other normative documents; performance monitoring, measuring, reporting and reviewing against key performance objectives and targets; the client's management system ability and its performance regarding meeting of applicable statutory, regulatory and contractual requirements; operational control of the client's processes; internal auditing and management review; management responsibility for the client's policies.

### **Initial certification audit conclusions**

The audit team will analyse all information and audit evidence gathered during stage 1 and stage 2 to review the audit findings and agree on the audit conclusions.

### **CONDUCTING AUDITS**

KMC has implemented a process for conducting on-site audits. This process includes an opening meeting at the start of the audit and a closing meeting at the conclusion of the audit. Where any part of the audit is made by electronic means or where the site to be audited is virtual, KMC will ensure that such activities are conducted by personnel with appropriate competence. KMC will make sure that the evidence obtained during such an audit is sufficient to enable the auditor to take an informed decision on the conformity of the requirement in question. Following sub processes will be carried out at the client site on site or remote basis to complete the assessment.



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- a. Conducting the opening meeting
- b. Communication during the audits
- c. Obtaining and verification of information during the audits
- d. Identifying and recording audit finding
- e. Audit conclusion during the closing meeting
- f. Audit report generation and CAR form

a-F areas are described under Clause 7 of KMC- QMS.

### **CAUSE ANALYSIS OF NONCONFORMITIES**

KMC will require the client to analyze the cause and describe the specific correction and corrective actions taken, or planned to be taken, to eliminate detected nonconformities, within a defined time.

### **EFFECTIVENESS OF CORRECTIONS AND CORRECTIVE ACTIONS**

KMC will review the corrections, identified causes and corrective actions submitted by the client to determine if these are acceptable. The certification body will verify the effectiveness of any correction and corrective actions taken. The evidence obtained to support the resolution of nonconformities are recorded. The client will be informed of the result of the review and verification. The client also be informed if an additional full audit, an additional limited audit, or documented evidence will be needed to verify effective correction and corrective actions.



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### **SURVEILLANCE ACTIVITIES**

Surveillance audits are on-site audits, but are not necessarily full system audits, and will be planned together with the other surveillance activities so that KMC can maintain confidence that the client's certified management system continues to fulfill requirements between recertification audits. Each surveillance for the relevant management system standard will include: internal audits and management review; a review of actions taken on nonconformities identified during the previous audit; complaints handling; effectiveness of the management system with regard to achieving the certified client's objectives and the intended results of the respective management systems; progress of planned activities aimed at continual improvement; continuing operational control; review of any changes; use of marks and/or any other reference to certification.

### **RECERTIFICATION AUDIT PLANNING**

The purpose of the recertification audit is to confirm the continued conformity and effectiveness of the management system as a whole, and its continued relevance and applicability for the scope of certification. A recertification audit will be planned and conducted to evaluate the continued fulfillment of all of the requirements of the relevant management system standard or other normative document. This will be planned and conducted in due time (at least 2 months prior to expiration of the current certificate) to enable for timely renewal before the certificate expiry date. The recertification activity includes the review of previous surveillance audit reports and consideration is given to the performance of the management system over the most recent certification cycle.

A stage I audit will be conducted for recertification audit in situations where there have been significant changes to the management system, the organization, or the context in which the management system is operating.



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### **CERTIFICATION DECISION**

KMC shall make the certification decision on the basis of the Audit Report, Audit Report Reviewer Report, Comments on Non conformities, recommendation whether or not to grant the certification.

### **CERTIFICATION ISSUE**

Once the report has been reviewed by KMC, the certificate will be issued within 15 working days of completion of the audit. Soft copy certificate will be shared with the client, while the client will receive the hard copy certificate through registered post within 7 business days from the soft copy certificate issuance.