



# GLOBUS CERTIFICATIONS PVT LTD

## PROCEDURE – PRE-CERTIFICATION ACTIVITIES

---

P-9.1, Issue 1, 01.01.2017

### 1. PURPOSE

To define a procedure for receipt and review of applications for certification, developing an audit programme, and determining audit time.

### 2. REFERENCES

Clause 9.1.1 to 9.1.6 of ISO/IEC 17021-1: 2015;  
G-9.1.4 Guidance on determining audit time (based on IAF MD5: 2015).

### 3. RESPONSIBILITY

Application Reviewer (9.1.1 and 9.1.2),  
Audit Programmer (9.1.3, 9.1.4, 9.1.5, 9.1.6)

### 4. PROCEDURE

#### 4.1 RECEIPT OF APPLICATION

**4.1.1** GLOBUS ensures that the applicant organization appoints an authorized representative to deal with all issues concerning the management system certification and also to liaise with GLOBUS on all related aspects. GLOBUS requires the authorized representative of the applicant organization to provide the necessary information to enable it to establish the following:

- a) The desired scope of the certification;
- b) Relevant details of the applicant organization as required by the specific certification scheme, including its name and address(es) of its site(s), its process and operations, human and technical resources, functions, relationships and any relevant legal obligations;
- c) Identification of outsourced processes used by the organization that will affect conformity to requirements;
- d) The standards or other requirements for which the applicant organization is seeking certification;
- e) Whether consultancy relating to the management system to be certified has been provided and if so, by whom.

Applicant organization provides above and other relevant information in an application form (F-9.1.1).

### 2. REVIEW OF APPLICATION

**2.1.** Before proceeding with an audit, GLOBUS conducts a review of the application and any other supplementary information needed for certification to ensure that:

- a) The information about the applicant organization and its management system is sufficient to develop an audit programme (see 4.3);
- b) Any known difference in understanding between GLOBUS and the applicant organization is resolved;



# GLOBUS CERTIFICATIONS PVT LTD

## PROCEDURE – PRE-CERTIFICATION ACTIVITIES

---

P-9.1, Issue 1, 01.01.2017

- c) GLOBUS has the competence and ability to perform the certification activity;
- d) the scope of certification sought, the site(s) of the applicant organization's operations, time required to complete audits and any other points influencing the certification activity are taken into account (language, safety conditions, threats to impartiality, etc.);

**4.2.2** Following the review of the application, GLOBUS either accepts or decline an application for certification. When GLOBUS declines an application for certification as a result of the review of application, the reasons for declining the application are documented and made clear to the client.

**4.2.3** Based on this review, GLOBUS determines the competences it needs to include in its audit team and for the certification decision.

The result of review of application is recorded in F-9.1.1.

### 3. DEVELOPING AUDIT PROGRAMME

**4.3.1** After the client application for certification has been accepted, an audit programme for full certification cycle of three years is developed to clearly identify the audit activity/activities required to demonstrate that the client's management system fulfills the requirements for certification to the selected standard(s) or other normative document(s). The audit programme for the certification cycle covers the complete management system requirements.

**4.3.2** Audit programme for initial certification includes a two-stage initial audit, surveillance audits in the first and second years following the certification decision, and a recertification audit in the third year prior to expiration of certification. The first three-year certification cycle begins with the certification decision. Subsequent cycles begin with the recertification (see 4.3 of P-9.6 Procedure for maintaining certification).

**4.3.3** Determination of the audit programme and any subsequent adjustments considers the size of the client, the scope and complexity of its management system, products and processes as well as demonstrated level of management system effectiveness and the results of any previous audits.

**Note 1** - Following list contains additional items that can be considered when developing or revisiting an audit programme, they might also need to be addressed when determining the audit scope and developing the audit plan:

- a) Complaints received by GLOBUS about the client;
- b) Combined, integrated or joint audit;
- c) Changes to the certification requirements;
- d) Changes to legal requirements;
- e) Changes to accreditation requirements;
- f) Organizational performance data (e.g. defect levels, key performance indicators data);
- g) Relevant interested parties concerns.

**Note 2** – If specified by the industry specific certification scheme, the certification cycle can be different from three years.

**4.3.4** Surveillance audits are conducted at least once a calendar year, except in recertification years. The date of the first surveillance audit following initial certification shall not be more than 12 months from the certification decision date.



# GLOBUS CERTIFICATIONS PVT LTD

## PROCEDURE – PRE-CERTIFICATION ACTIVITIES

---

P-9.1, Issue 1, 01.01.2017

**Note** – It can be necessary to adjust the frequency of surveillance audits to accommodate factors such as seasons or management system certification of a limited duration (e. g. temporary construction site).

**4.3.5** Where GLOBUS takes account of certification already granted to the client and to audits performed by another certification body, it obtains and retains sufficient evidence, such as, reports and documentation on corrective actions, to any nonconformity. The documentation shall support the fulfilling of the requirements in ISO/IEC 17021-1: 2015. GLOBUS shall, based on the information obtained, justify and record any adjustments to the existing audit programme and follow up the implementation of corrective actions concerning previous nonconformities.

**4.3.6** Where the client operates shifts, the activities that take place during shift working shall be considered when developing the audit programme and audit plan.

### 4. DETERMINING AUDIT TIME

**4.4.1** GLOBUS determines audit time for each client needed to plan and accomplish a complete and effective audit of the client's management system. In determining audit time, GLOBUS considers, among other things, the following aspects (see G-9.1.4):

- a) Requirements of the relevant management system standard;
- b) Complexity of the client and its management system;
- c) Technological and regulatory context;
- d) Any outsourcing of any activities included in the scope of management system;
- e) Results of any prior audits;
- f) Size and number of sites, their geographical locations and multi-site considerations;
- g) Risks associated with the products, processes or activities of the organization;
- h) Whether audits are combined, joint or integrated.

**Note 1** – Time spent in travelling to and from audited sites is not included in the calculation of the duration of the management system audit days.

**Note 2** – GLOBUS can use the guidelines established in ISO/IEC 17023 for determining the duration of management system audit. Assistance has been taken of IAF MD5.

Where specific criteria have been established for a specific certification scheme, e.g. ISO/TS 22003 or ISO.IEC 27006, these are applied.

**4.4.2** The duration of the management system audit and its justification is recorded.

**4.4.3** The time spent by any team member that is not assigned as an auditor (i.e. technical experts, translators, interpreters, observers and auditors-in-training) is not counted in the above established duration of the management system audit.

**Note** – The use of translators and interpreters can necessitate additional time.

### 5. MULTI-SITE SAMPLING



# GLOBUS CERTIFICATIONS PVT LTD

## PROCEDURE – PRE-CERTIFICATION ACTIVITIES

P-9.1, Issue 1, 01.01.2017

Where multi-site sampling is used for the audit of a client's management system covering the same activity in various geographical locations, GLOBUS develops a sampling programme to ensure proper audit of the management system. The rationale for the sampling is documented for each client. GLOBUS has adopted IAF MD1 for this purpose.

Sampling is not allowed for some specific certification schemes, and where specific criteria have been established for a specific certification scheme, e.g. ISO/TS 22003, are applied.

**Note** – Where there are multiple sites not covering the same activity sampling is not appropriate.

### 6. MULTIPLE MANAGEMENT SYSTEM STANDARDS

Where certification to multiple management system standards is being provided by GLOBUS, the planning of the audit shall ensure adequate on-site auditing to provide confidence in the certification.

#### Document Amendment Record

Clause No.	Changes	Date of Issue

#### Document Distribution Record

S. No.	Name of Person	Department	Controlled / Non-Controlled	Signature