

 <p>EUROSIA ITC SERVICES LTD Management System Manual</p>	Document No.	EISL-QM -01
	Revision No.	1
	Issue No.	1
	Date	01-06-2020
9.0 Process requirements		Page 1 of 26

9.1 Pre-certification activities

9.1.1 Application

Eurosia ITC Services Limited identifies the authorized representative of the applicant organization to provide the necessary information to enable 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 the address(es) of its site(s), its processes 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.

9.1.2 Application review

9.1.2.1 **Eurosia ITC Services Limited** conducts a review of the application and supplementary information for certification to ensure that:

- a) the information about the applicant organization and its management system is sufficient to develop an audit program.
- b) any known difference in understanding between the **EUROSIA ITC Services Ltd** and the applicant organization is resolved.
- c) **EUROSIA ITC Services Ltd** has the competence and ability to perform the certification activity.
- d) The scope of certification is sought, the site(s) of the applicant organization's operations, time required to complete audits and any other points influencing the certification activity are considered (language, safety conditions, threats to impartiality, etc.).

9.1.2.2 After review of above points in the application, **EUROSIA ITC Services Ltd** either accept or decline an application for certification. When the **EUROSIA ITC Services Ltd** declines an

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 <p>EUROSIA ITC SERVICES LTD Management System Manual</p>	Document No.	EISL-QM -01
	Revision No.	1
	Issue No.	1
	Date	01-06-2020
9.0 Process requirements	Page 2 of 26	

application for certification as a result of the review of application, the reasons for declining an application is documented and made clear to the client.

9.1.2.3 Based on this review, **EUROSIA ITC Services Ltd** determines the competences it needs to include in its audit team and for the certification decision.

9.1.3 Audit programme

9.1.3.1 An audit programme for the full certification cycle is developed to clearly identify the audit activity required to demonstrate that the client's management system fulfils the requirements for certification to the selected standard(s) or other normative document(s). The same programme is prepared based on the size and nature of the client.

9.1.3.2 The audit programme followed by **EUROSIA ITC Services Ltd** includes a two-stage initial audit, surveillance audits in the first and second years, and a re-certification audit in the third year prior to expiration of certification. The three-year certification cycle begins with the certification or recertification decision. The determination of the audit programme and any subsequent adjustments are based on the size of the client organization, 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. During preparation of audit plan, followings may be taken in to consideration when developing or revising an audit programme, they might also need to be addressed when determining the audit scope and developing the audit plan;

- complaints received about the client.
- combined, integrated or joint audit
- changes to the certification requirements.
- changes to legal requirements.
- changes to accreditation requirements.
- organizational performance data (e.g. defect levels, key performance indicators data);
- relevant interested parties' concerns.

9.1.3.3 Surveillance audits are conducted at least once a calendar year, except in recertification years. Care is taken and ensures that the date of the first surveillance audit following initial certification should not be more than 12 months from the certification decision date.

9.1.3.4 Where the **EUROSIA ITC Services Ltd** is taking account of certification already granted to the client and to audits performed by another certification body, it obtains and retain sufficient evidence, such as reports and documentation on corrective actions, to any nonconformity. It is

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 <p>EUROSIA ITC SERVICES LTD Management System Manual</p>	Document No.	EISL-QM -01
	Revision No.	1
	Issue No.	1
	Date	01-06-2020
9.0 Process requirements		Page 3 of 26

ensured that the documentation support the fulfilling of the requirements in this part of ISO/IEC 17021-1:2015. **EUROSIA ITC Services Ltd** 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.

9.1.3.5 If the client operates in shifts, the activities that take place during shift working are also considered when developing the audit programme and audit plans.

9.1.4 Determining the audit time

9.1.4.1 **Eurosia ITC Services Ltd** has documented procedures for determining audit time. For each client the **EUROSIA ITC Services Ltd** determines the time needed to plan and accomplish a complete and effective audit of the client's management system.

9.1.4.2 In determining the audit time, the **EUROSIA ITC Services Ltd** considers, among other things, the following aspects before proceeding further:

- a) the 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 the management system.
- e) the results of any prior audits.
- f) size and number of sites, their geographical locations and multi-site considerations.
- g) the risks associated with the products, processes or activities of the organization.
- h) whether audits are combined, joint or integrated.

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

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

9.1.4.4 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 taken in to consideration, while defining the above established duration of the management system audit.

9.1.5 Multi site sampling

Where multi site sampling is used for the audit of a client's management system covering the same activity in various geographical locations, the **EUROSIA ITC Services Ltd** develops a sampling programme to ensure proper audit of the management system. The rationale for the

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	Revision No.	1
	Issue No.	1
	Date	01-06-2020
9.0 Process requirements		Page 4 of 26

sampling plan is documented for each client. Sampling is not done for some specific certification schemes, and where specific criteria have been established for a specific certification scheme, e.g. ISO/TS 22003, these are applied.

9.1.6 Multi management system standard

When certification to multiple management system standards (e.g. integrated management system for ISO 9001, ISO 14001, ISO22000 & ISO45001 etc.) is being provided, the planning for the audit ensures adequate on site auditing to provide confidence in the certification.

9.1.5.1 **EUROSIA ITC Services Ltd** has documented procedures for determining audit time. For each client the **EUROSIA ITC Services Ltd** determines the time needed to plan and accomplish a complete and effective audit of the client's management system.

9.2 Planning audits

9.2.1 Determining audit objectives, scope and criteria

9.2.1.1 The audit objectives are determined by the **EUROSIA ITC Services Ltd**. The audit scope and criteria, including any changes, are established by the **EUROSIA ITC Services Ltd** after discussion with the client.

9.2.1.2 The audit objectives describe what is to be accomplished by the audit and includes the following.

- a.) determination of the conformity of the client's management system, or parts of it, with audit criteria.
- b.) determination of the ability of the management system to ensure the client organization meets applicable statutory, regulatory and contractual requirements.
- c.) determination of the effectiveness of the management system to ensure the client can reasonably expect to achieve its specified objectives;
- d.) as applicable, identification of areas for potential improvement of the management system.

9.2.1.3 The audit scope describes the extent and boundaries of the audit, such as physical locations, organizational units, activities and processes to be audited. Where the initial or re-certification process consists of more than one audit (e.g. covering different locations), the scope of an individual audit may not cover the full certification scope, but the totality of audits is consistent with the scope in the certification document.

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 <p>EUROSIA ITC SERVICES LTD Management System Manual</p>	Document No.	EISL-QM -01
	Revision No.	1
	Issue No.	1
	Date	01-06-2020
9.0 Process requirements	Page 5 of 26	

9.2.1.4 The audit criteria used as a reference against which conformity is determined that includes followings.

- a.) the requirements of a defined normative document on management systems.
- b.) the defined processes and documentation of the management system developed by the client.

Reference →

- a) QP08 Procedure for Marketing, contract and contract review
- b) QP09 Procedure for audit – planning, audit timing, conducting and reporting
- c) QP10 Procedure for Certificate issue, suspension and withdrawal

9.2.2 Audit team selection and assignments

9.2.3.1 General

9.2.2.1.1 **Eurosia ITC Services Ltd** have a process for selecting and appointing the audit team, including the audit team leader, taking into account the competence needed to achieve the objectives of the audit. If there is only one auditor, the auditor must have the competence to perform the duties of an audit team leader applicable for that audit.

9.2.2.1.2 In deciding the size and composition of the audit team, consideration is given to the followings.

- a.) audit objectives, scope, criteria and estimated time of the audit.
- b.) whether the audit is a combined, integrated or joint audit.
- c.) the overall competence of the audit team needed to achieve the objectives of the audit.
- d.) certification requirements (including any applicable statutory, regulatory or contractual requirements);
- e.) language and culture.
- f.) whether the members of the audit team have previously audited the client's management system.

9.2.2.1.3 The necessary knowledge and skills of the audit team leader and auditors may be supplemented by technical experts, translators and interpreters who shall operate under the direction of an auditor. Where translators or interpreters are used, they are to be selected such that they do not unduly influence the audit.

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 <p>EUROSIA ITC SERVICES LTD Management System Manual</p>	Document No.	EISL-QM -01
	Revision No.	1
	Issue No.	1
	Date	01-06-2020
9.0 Process requirements		Page 6 of 26

- 9.2.2.1.4 Auditors under training may be included in the audit team as participants, provided an auditor is appointed as an evaluator. The evaluator must be competent to take over the duties and have final responsibility for the activities and findings of the auditor under training.
- 9.2.2.1.5 The audit team leader, in consultation with the audit team, assigns to each team member responsibility for auditing specific processes, functions, sites, areas or activities. Such assignments take into account the need for competence, and the effective and efficient use of the audit team, as well as different roles and responsibilities of auditors, auditors under training and technical experts. Changes to the work assignments may be made as the audit progresses to ensure achievement of the audit objectives.

Reference →

- a) QP08 Procedure for Marketing, contract and contract review
- b) QP09 Procedure for audit – planning, conducting and reporting
- c) QP10 Procedure for Certificate issue, suspension and withdrawal

9.2.3.2 Observers, technical experts and guides

9.2.2.1 Observers

The presence and justification of observers during an audit activity is agreed to by the **EUROSIA ITC Services Ltd** and client prior to the conduct of the audit. The audit team ensures that observers do not influence or interfere in the audit process or outcome of the audit.

9.2.2.2 Technical experts

The role of technical experts during an audit activity is agreed to by the **EUROSIA ITC Services Ltd** and client prior to the conduct of the audit. Care is taken to ensure that the Technical expert should not act as an auditor in the audit team. Technical experts are accompanied by an auditor.

9.2.2.3 Guides

Each auditor is accompanied by a guide, unless otherwise agreed to by the audit team leader and the client. Guide(s) are assigned to the audit team to facilitate the audit. The audit team ensures that guides do not influence or interfere in the audit process or outcome of the audit.

The responsibility of guide includes the followings.

- a.) establishing contacts and timing for interviews.

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	Revision No.	1
	Issue No.	1
	Date	01-06-2020
9.0 Process requirements		Page 7 of 26

- b.) arranging visits to specific parts of the site or organization.
- c.) ensuring that rules concerning site safety and security procedures are known and respected by the audit team members.
- d.) witnessing the audit on behalf of the client.
- e.) providing clarification or information as requested by an auditor

9.2.3 Audit plan

9.2.3.1 General

Eurosia ITC Services Ltd ensures that an audit plan is established for each audit identified in the audit programme to provide the basis for agreement regarding the conduct and scheduling of the audit activities. This audit plan is based on documented requirements of the **Eurosia ITC Services Ltd**

9.2.3.2 Preparing the audit plan

The audit plan is appropriate to the objectives and the scope of the audit. The audit plan at least includes the following.

- a.) the audit objectives.
- b.) the audit criteria.
- c.) the audit scope, including identification of the organizational and functional units or processes to be audited.
- d.) the dates and sites where the on-site audit activities are to be conducted, including visits to temporary sites, as appropriate.
- e.) the expected time and duration of on-site audit activities.
- f.) the roles and responsibilities of the audit team members and accompanying persons, such as observers or interpreters.

9.2.3.3 Communication of audit team tasks

The tasks given to the audit team is defined and made known to the client organization, and requires the audit team to;

- a.) Examine and verify the structure, policies, processes, procedures, records and related documents of the client organization relevant to the management system,
- b.) Determine that these meet all the requirements relevant to the intended scope of

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 <p>EUROSIA ITC SERVICES LTD Management System Manual</p>	Document No.	EISL-QM -01
	Revision No.	1
	Issue No.	1
	Date	01-06-2020
9.0 Process requirements	Page 8 of 26	

certification,

- c.) Determine that the processes and procedures are established, implemented and maintained effectively, to provide a basis for confidence in the client's management system, and
- d.) Communicate to the client, for its action, any inconsistencies between the client's policy, objectives and targets (consistent with the expectations in the relevant management system standard or other normative document) and the results.

9.2.3.4 Communication of audit plan

The audit plan is communicated, and the date of the audit is agreed upon, in advance, with the client organization.

9.2.3.5 Communication concerning audit team members

Eurosia ITC Services Ltd provides the name of and, when requested, makes available background information on each member of the audit team, with sufficient time for the client organization to object to the appointment of any particular auditor or technical expert and for the **Eurosia ITC Services Ltd** to reconstitute the team in response to any valid objection.

9.3 Planning audits

9.3.1 Initial certification audit

9.3.1.1 General

The initial certification audit of a management system will normally (refer to the requirements of individual standards) be conducted in two stages i.e. stage 1 and stage 2.

9.3.1.2 Stage 1

Planning ensures that the objectives of stage 1 can be met and the client is informed of any "on site" activities during stage 1.

9.3.1.2.2 The objectives of the stage 1 are:-

- a.) Review of client's management system documentation,
- b.) To evaluate the client's location and site specific conditions and to undertake discussions with the clients personnel to determine the preparedness for the stage 2 audit.

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	Revision No.	1
	Issue No.	1
	Date	01-06-2020
9.0 Process requirements		Page 9 of 26

- c.) To 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.
- d.) To collect 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.
- e.) To review the allocation of resources and competence for stage 2 audit and agreeing with the client on the details of the stage 2 audit.
- f.) To provide 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.
- g.) To evaluate 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.

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

9.3.1.2.4 During determining the interval between stage 1 and stage 2, consideration is given to the needs of the client to resolve areas of concern identified during stage 1. **EUROSIA ITC SERVICES LTD** also needs to revise its arrangements for stage 2. If any significant changes which would impact the management system occur, the **EUROSIA ITC SERVICES LTD** considers the need to repeat all or part of stage 1. The client is informed that the results of stage 1 may lead to postponement or cancellation of stage 2.

9.3.1.3 Stage 2

The purpose of the stage 2 audit is to evaluate the implementation, including effectiveness, of the client's management system. The stage 2 audit will take place at the site(s) of the client. It includes at least the followings.

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	Revision No.	1
	Issue No.	1
	Date	01-06-2020
9.0 Process requirements		Page 10 of 26

- a.) Information and evidence about conformity to all requirements of the applicable management system standard or other normative document.
- b.) Performance monitoring, measuring, reporting and reviewing against key performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document)
- c.) The client's management system ability and its performance regarding meeting of applicable statutory, regulatory and contractual requirements.
- d.) Operational control of the client's processes
- e.) Internal auditing and management review
- f.) Management responsibility for the client's policies

Links between the normative requirements, policy, performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document) any applicable legal requirements, responsibilities, competence of personnel, operations, procedures, performance data and internal audit findings and conclusions

Eurosia ITC Services Ltd normally agrees the first surveillance date during the Stage 2 Audit. This date must be within 12 months of the last day of the Stage 2 Audit.

9.3.1.4 Stage 2

The audit team will analyse all information and audit evidence gathered during the stage 1 and stage 2 audits to review the audit findings and agree on the conclusions. The audit team will produce a report for the company detailing the findings (including any non-conformances, observations summary of the audit etc.) and the conclusion reached by the audit team i.e. recommended for certification. The audit team makes clear to the organisation that the recommendation made is only a recommendation and that the audit file (including the report) will be reviewed by **Eurosia ITC Services Ltd** staff and will be submitted for a decision to the authorized certification decision maker.

9.4 Conducting audits

9.4.1 General

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		Revision No.	1
		Issue No.	1
		Date	01-06-2020
9.0 Process requirements		Page 11 of 26	

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Where any part of the audit is made by electronic means or where the site to be audited is virtual, **Eurosia ITC Services Ltd** ensures that such activities are conducted by personnel with appropriate competence. 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.

9.4.2 Conducting the opening audit

A formal opening meeting, where attendance of participants of the meeting is recorded, held with the client's management and, where appropriate, those responsible for the functions or processes to be audited. The purpose of the opening meeting, which is usually be conducted by the audit team leader, is to provide a short explanation of how the audit activities will be undertaken and must includes the following elements. The degree of detail of opening meeting shall be consistent with the familiarity of the client with the audit process.

- a.) Introduction of the participants, including an outline of their roles.
- b.) Confirmation of the scope of certification.
- c.) Confirmation of the audit plan (including type and scope of audit, objectives and criteria), any changes, and other relevant arrangements with the client, such as the date and time for the closing meeting, interim meetings between the audit team and the client's management.
- d.) Confirmation of formal communication channels between the audit team and the client.
- e.) Confirmation that the resources and facilities needed by the audit team are available.
- f.) Confirmation of matters relating to confidentiality.
- g.) Confirmation of relevant work safety, emergency and security procedures for the audit team;
- h.) Confirmation of the availability, roles and identities of any guides and observers.
- i.) The method of reporting, including any grading of audit findings.
- j.) Information about the conditions under which the audit may be prematurely terminated.
- k.) Confirmation that the audit team leader and audit team representing the certification body

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	Revision No.	1
	Issue No.	1
	Date	01-06-2020
9.0 Process requirements		Page 12 of 26

is responsible for the audit and in control of executing the audit plan including audit activities and audit trails;

- l.) Confirmation of the status of findings of the previous review or audit, if applicable;
- m.) Methods and procedures to be used to conduct the audit based on sampling;
- n.) Confirmation of the language to be used during the audit;
- o.) Confirmation that, during the audit, the client keep informed of audit progress and any concerns;
- p.) Opportunity for the client to ask questions.

9.4.3 Communication during the audit

- 9.4.3.1 During the audit, the audit team will periodically assess audit progress and exchange information. The audit team leader reassign work as needed between the audit team members and periodically communicate the progress of the audit and any concerns to the client.
- 9.4.3.2 Where the available audit evidence indicates that the audit objectives are unattainable or suggests the presence of an immediate and significant risk (e.g. safety), the audit team leader reports this to the client and, if possible, to the **Eurosia ITC Services Ltd** to determine appropriate action. Such action may include reconfirmation or modification of the audit plan, changes to the audit objectives or audit scope, or termination of the audit. The audit team leader reports the outcome of the action taken to the **Eurosia ITC Services Ltd**.

- 9.4.3.3 Audit team leader reviews with the client for any need for changes to the audit scope which becomes apparent as on-site auditing activities progress and report this to the **Eurosia ITC Services Ltd**.

9.4.4 Obtaining and verifying information

- 9.4.4.1 During the audit, information relevant to the audit objectives, scope and criteria (including information relating to interfaces between functions, activities and processes) are obtained by appropriate sampling and verified to become audit evidence.
- 9.4.4.2 Methods to collect information include followings, but are not limited to;
- a.) interviews.
 - b.) observation of processes and activities.

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 <p>EUROSIA ITC SERVICES LTD Management System Manual</p>	Document No.	EISL-QM -01
	Revision No.	1
	Issue No.	1
	Date	01-06-2020
9.0 Process requirements		Page 13 of 26

c.) review of documentation and records

9.4.5 identifying and recording audit findings

- 9.4.5.1 Audit findings summarizing conformity and detailing nonconformity identified, classified, and recorded to enable an informed certification decision to be made or the certification to be maintained.
- 9.4.5.2 Opportunities for improvement may be identified and recorded, unless prohibited by the requirements of a management system certification scheme. Audit findings, however, which are non-conformities, are recorded as opportunities for improvement.
- 9.4.5.3 A finding of nonconformity is recorded against a specific requirement of the audit criteria, contain a clear statement of the nonconformity, and identify in detail the objective evidence on which the nonconformity is based. Nonconformities are discussed with the client to ensure that the evidence is accurate and that the nonconformities are understood. The auditor however refrains from suggesting the cause of nonconformities or their solution.
- 9.4.5.4 The audit team leader attempts to resolve any diverging opinions between the audit team and the client concerning audit evidence or findings, and unresolved points are recorded.

9.4.6 Preparing audit conclusion

Under the responsibility of the audit team leader and prior to the closing meeting, the audit team:

- a.) Review the audit findings, and any other appropriate information obtained during the audit, against the audit objectives and audit criteria and classify the nonconformities.
- b.) Agrees upon the audit conclusions, taking into account the uncertainty inherent in the audit process.
- c.) Identifies any necessary follow-up actions.
- d.) Confirm the appropriateness of the audit programme or identify any modification required for future audits (e.g. scope of certification, audit time or dates, surveillance frequency, audit team competence).

9.4.7 Conducting the closing meeting

- 9.4.7.1 A formal closing meeting, where attendance of all participants is recorded and held with the client's management and, where appropriate, those responsible for the functions or processes

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 <p>EUROSIA ITC SERVICES LTD Management System Manual</p>	Document No.	EISL-QM -01
	Revision No.	1
	Issue No.	1
	Date	01-06-2020
9.0 Process requirements	Page 14 of 26	

audited. The purpose of the closing meeting, which is normally be conducted by the audit team leader, is to present the audit conclusions, including the recommendation regarding certification. Any nonconformity is presented in such a manner that they are understood, and the timeframe for responding the non-conformity is agreed between **Eurosia ITC Services Ltd** and its client.

- 9.4.7.2** The closing meeting also includes the following elements. The degree of detail is dependent upon the familiarity of the client with the audit process:
- Advising the client that the audit evidence collected was based on a sample of the information; thereby introducing an element of uncertainty.
 - The method and timeframe of reporting, including any grading of audit findings.
 - The **Eurosia ITC Services Ltd**'s process for handling nonconformities including any consequences relating to the status of the client's certification.
 - The timeframe for the client to present a plan for correction and corrective action for any nonconformities identified during the audit.
 - The **Eurosia ITC Services Ltd**'s post audit activities.
 - Information about the complaint handling and appeal processes

- 9.4.7.3** The client is given opportunity for questions. Any diverging opinions regarding the audit findings or conclusions between the audit team and the client is discussed and resolved where possible. Any diverging opinions that are not resolved are recorded and referred to the **Eurosia ITC Services Ltd**.

9.4.8 Audit report

- 9.4.8.1** The **Eurosia ITC Services Ltd** provides a written report for each audit. The audit team may identify opportunities for improvement but shall not recommend specific solutions. Ownership of the audit report is maintained by the **Eurosia ITC Services Ltd**.
- 9.4.8.2** The audit team leader ensures that the audit report is prepared and is responsible for its content. The audit report provides an accurate, concise and clear record of the audit to enable an informed certification decision to be made and includes or refer to the followings.
- Identification of the **Eurosia ITC Services Ltd**;
 - The name and address of the client and the client's representative.

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 <p>EUROSIA ITC SERVICES LTD Management System Manual</p>	Document No.	EISL-QM -01
	Revision No.	1
	Issue No.	1
	Date	01-06-2020
9.0 Process requirements		Page 15 of 26

- c.) The type of audit (e.g. initial, surveillance or recertification audit or special audits);
- d.) The audit criteria.
- e.) The audit objectives.
- f.) The audit scope, particularly identification of the organizational or functional units or processes audited and the time of the audit.
- g.) Any deviation from the audit plan and their reasons.
- h.) Any significant issues impacting on the audit programme.
- i.) Identification of the audit team leader, audit team members and any accompanying persons.
- j.) The dates and places where the audit activities (on site or offsite, permanent or temporary sites) were conducted.
- k.) Audit findings, reference to evidence and conclusions, consistent with the requirements of the type of audit.
- l.) Significant changes, if any, that affect the management system of the client since the last audit took place.
- m.) Any unresolved issues, if identified.
- n.) Where applicable, whether the audit is combined, joint or integrated.
- o.) A disclaimer statement indicating that auditing is based on a sampling process of the available information.
- p.) Recommendation from the audit team
- q.) The audited client is effectively controlling the use of the certification documents and marks, if applicable.
- r.) Verification of effectiveness of taken corrective actions regarding previously identified nonconformities, if applicable.

9.4.8.3 The audit report also contains.

- a.) A statement on the conformity and the effectiveness of the management system together with a summary of the evidence relating to:

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	EUROSIA ITC SERVICES LTD Management System Manual	Document No.	EISL-QM -01
		Revision No.	1
		Issue No.	1
		Date	01-06-2020
9.0 Process requirements		Page 16 of 26	

- The capability of the management system to meet applicable requirements and expected outcomes;
 - the internal audit and management review process;
- b.) a conclusion on the appropriateness of the certification scope;
- c.) Confirmation that the audit objectives have been fulfilled.

9.4.9 Cause analysis of non-conformities

Eurosia ITC Services Ltd requires 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.

9.4.10 Effectiveness of correction and corrective action

Eurosia ITC Services Ltd reviews the corrections, identified causes and corrective actions submitted by the client to determine if these are acceptable. **Eurosia ITC Services Ltd** verifies the effectiveness of any correction and corrective actions taken. The evidence obtained to support the resolution of nonconformities is recorded. The client is informed of the result of the review and verification. The client is informed if an additional full audit, an additional limited audit, or documented evidence (to be confirmed during future audits) is needed to verify effective correction and corrective actions.

9.5 Certification decision

9.5.1 General

9.5.1.1 Eurosia ITC Services Ltd ensure that the persons or committees that make the decisions for granting or refusing certification, expanding or reducing the scope of certification, suspending or restoring certification, withdrawing certification or renewing certification are different from those who carried out the audits. The individual(s) appointed to conduct the certification decision have appropriate competence.

9.5.1.2 The person(s) [excluding members of committees] assigned by the **Eurosia ITC Services Ltd** to make a certification decision is employed by, or under legally enforceable arrangement with either the **EUROSIA ITC SERVICES LTD** or an entity under the organizational control of the **Eurosia ITC Services Ltd**. A **Eurosia ITC Services Ltd**'s organizational control are one of the following:

- a) Whole or majority ownership of another entity by the **Eurosia ITC Services Ltd**;

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 <p>EUROSIA ITC SERVICES LTD Management System Manual</p>	Document No.	EISL-QM -01
	Revision No.	1
	Issue No.	1
	Date	01-06-2020
9.0 Process requirements		Page 17 of 26

- b) Majority participation by the **Eurosia ITC Services Ltd** on the board of directors of another entity;
 - c) A documented authority by the **Eurosia ITC Services Ltd** over another entity in A network of legal entities (in which the certification body resides), linked by ownership or board of director control.
- 9.5.1.3 The persons employed by, or under contract with, entities under organizational control fulfil the same requirements of this part of ISO/IEC 17021-1:2015 as persons employed by, or under contract with, the **Eurosia ITC Services Ltd**.
- 9.5.1.4 **Eurosia ITC Services Ltd** record each certification decision including any additional information or clarification sought from the audit team or other sources.

9.5.2 Actions prior to making a decision

Eurosia ITC Services Ltd have a process to conduct an effective review prior to making a decision for granting certification, expanding or reducing the scope of certification, renewing, suspending or restoring, or withdrawing of certification, including, that

- a.) The information provided by the audit team is sufficient with respect to the certification requirements and the scope for certification.
- b.) for any major nonconformities, it has reviewed, accepted and verified the correction and corrective actions;
- c.) for any minor nonconformities it has reviewed and accepted the client's plan for correction and corrective action.

Reference →

- a) QP08 Procedure for Marketing, contract and contract review
- b) QP09 Procedure for audit – planning, conducting and reporting
- c) QP10 Procedure for Certificate issue, suspension and withdrawal

9.5.3 Information for granting initial certification

- 9.5.3.1 The information provided by the audit team to the **Eurosia ITC Services Ltd** for the certification decision includes following, as a minimum:
- a.) the audit report;

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 <p>EUROSIA ITC SERVICES LTD Management System Manual</p>	Document No.	EISL-QM -01
	Revision No.	1
	Issue No.	1
	Date	01-06-2020
9.0 Process requirements		Page 18 of 26

- b.) comments on the nonconformities and, where applicable, the correction and corrective actions taken by the client;
- c.) Confirmation of the information provided to the **Eurosia ITC Services Ltd** used in the application review;
- d.) confirmation that the audit objectives have been achieved.
- e.) a recommendation whether or not to grant certification, together with any conditions or observations.

- 9.5.3.2 If the **Eurosia ITC Services Ltd** is not able to verify the implementation of corrections and corrective actions of any major nonconformity within 6 months after the last day of stage 2, the **Eurosia ITC Services Ltd** conduct another stage 2 prior to recommending certification.
- 9.5.3.3 When a transfer of certification is envisaged from one certification body to another, the accepting **Eurosia ITC Services Ltd** have a process for obtaining sufficient information in order to take a decision on certification. Certification schemes of **EUROSIA ITC SERVICES LTD** have specific rules regarding the transfer of certification.

9.5.4 Information for granting re-certification

Eurosia ITC Services Ltd makes 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.

9.6 Maintaining certification

9.6.1 General

Eurosia ITC Services Ltd will maintain certification based on demonstration that the client continues to satisfy the requirements of the management system standard. It may maintain a client's certification based on a positive conclusion by the audit team leader without further independent review and decision, provided that;

- a.) For any major nonconformity or other situation that may lead to suspension or withdrawal of certification, the **Eurosia ITC Services Ltd** has a system that requires the audit team leader to report to the **Eurosia ITC Services Ltd** the need to initiate a review by competent personnel, different from those who carried out the audit, to determine whether certification can be maintained;

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 <p>EUROSIA ITC SERVICES LTD Management System Manual</p>	Document No.	EISL-QM -01
	Revision No.	1
	Issue No.	1
	Date	01-06-2020
9.0 Process requirements	Page 19 of 26	

- b.) Competent personnel of the **Eurosia ITC Services Ltd** monitor its surveillance activities, including monitoring the reporting by its auditors, to confirm that the certification activity are operating effectively.

Reference →

- a) QP09 Procedure for audit – planning, conducting and reporting
- b) QP10 Procedure for Certificate issue, suspension and withdrawal

9.6.2 Surveillance activities

9.6.2.1 General

9.6.2.1.1 **Eurosia ITC Services Ltd** has developed its surveillance activities so that representative areas and functions covered by the scope of the management system are monitored on a regular basis, and take into account changes to its certified client and its management system.

9.6.2.1.2 Surveillance activities include on-site auditing of the certified client's management system's fulfillment of specified requirements with respect to the standard to which the certification is granted. Other surveillance activities may include:

- a.) Enquiries from the **Eurosia ITC Services Ltd** to the certified client on aspects of certification.
- b.) Reviewing any certified client's statements with respect to its operations (e.g. promotional material, website);
- c.) Requests to the certified client to provide documented information (on paper or electronic media);
- d.) Other means of monitoring the certified client's performance.

9.6.2.2 Surveillance audit

Surveillance audits are on site audits, but are not necessarily full systems audits, and are planned together with the other surveillance activities so that **Eurosia ITC Services Ltd** can maintain confidence that the certified management system continues to fulfil requirements between recertification audits. The surveillance audit programme for the relevant management system standard includes, at least;

- a.) Internal audits and management review
- b.) A review of actions taken on nonconformities identified during the previous audit

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	EUROSIA ITC SERVICES LTD Management System Manual	Document No.	EISL-QM -01
		Revision No.	1
		Issue No.	1
		Date	01-06-2020
9.0 Process requirements		Page 20 of 26	

- c.) Complaint 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, and
- h.) Use of marks and/or any other reference to certification

9.6.3 Re-certification (Triennial)

9.6.3.1 Recertification audit planning

9.6.3.1.1 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 (in effect all aspects of the management system will be examined as per stage 2). A recertification audit shall be planned and conducted to evaluate the continued fulfilment of all of the requirements of the relevant management system standard or other normative document. This shall be planned and conducted in due time to enable for timely renewal before the certificate expiry date.

9.6.3.1.2 The recertification activity includes the review of previous surveillance audit reports and considers the performance of the management system over the most recent certification cycle.

9.6.3.1.3 Recertification audit activities may need to have a stage 1 in situations where there have been significant changes to the management system, the organization, or the context in which the management system is operating (e.g. changes to legislation or others as identified).

9.6.3.2 Recertification audit (Triennial audit)

9.6.3.2.1 The recertification audit includes an onsite audit that addresses the following:

- a.) The 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.
- b.) Demonstrated commitment to maintain the effectiveness and improvement of the management system in order to enhance overall performance.

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 <p>EUROSIA ITC SERVICES LTD Management System Manual</p>	Document No.	EISL-QM -01
	Revision No.	1
	Issue No.	1
	Date	01-06-2020
9.0 Process requirements		Page 21 of 26

- c.) The effectiveness of the management system with regard to achieving the certified client's objectives and the intended results of the respective management system (s).
- 9.6.3.2.2 For any major nonconformity, the **Eurosia ITC Services ltd** define time limits for correction and corrective actions. These actions are implemented and verified prior to the expiration of certification.
- 9.6.3.2.3 When recertification activities are successfully completed prior to the expiry date of the existing certification, the expiry date of the new certification can be based on the expiry date of the existing certification. The issue date on a new certificate shall be on or after the recertification decision.
- 9.6.3.2.4 If the **Eurosia ITC Services ltd** has not completed the recertification audit or the **Eurosia ITC Services ltd** is unable to verify the implementation of corrections and corrective actions for any major nonconformity prior to the expiry date of the certification, then recertification shall not be recommended, and the validity of the certification shall not be extended. The client shall be informed, and the consequences shall be explained for such case.
- 9.6.3.2.5 Following expiration of certification, **Eurosia ITC Services ltd** can restore certification within 6 months provided that the outstanding recertification activities are completed, otherwise at least a stage 2 shall be conducted. The effective date on the certificate shall be on or after the recertification decision and the expiry date shall be based on prior certification cycle.

9.6.4 Special audits

9.6.4.1 Expanding scope

Eurosia ITC Services ltd will, in response to an application for expansion to scope of certificate already granted, undertake a review of the application (contract review) and determine any audit activities necessary to determine whether or not the expansion may be granted, including the requirement to conduct a visit. This may be conducted in conjunction with a surveillance visit.

The certification decision maker will be responsible for granting an extension to scope based upon the information supplied. The process is the same as for initial certification following a stage 2 audit.

9.6.4.2 Short notice audits

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 <p>EUROSIA ITC SERVICES LTD Management System Manual</p>	Document No.	EISL-QM -01
	Revision No.	1
	Issue No.	1
	Date	01-06-2020
9.0 Process requirements		Page 22 of 26

Eurosia ITC Services Ltd may, when necessary, conduct short notice audits to investigate complaints, or in response to changes, or as follow up to suspended clients. In such cases:

- a.) **Eurosia ITC Services Ltd** will describe and make known in advance to the certified clients the conditions under which these short notice visits are to be conducted, and
- b.) **Eurosia ITC Services Ltd** will exercise additional care in the assignment of the audit team because of the lack of opportunity for the client to object to team members.

The report resulting from the short notice audit will be referred to the certification decision maker / competent person for consideration.

Reference →

- a) QP08 Procedure for Marketing, contract and contract review
- b) QP09 Procedure for audit – planning, conducting and reporting
- c) QP10 Procedure for Certificate issue, suspension and withdrawal

9.6.5 Suspending, withdrawing or reducing the scope of certification

- 9.6.5.1 **Eurosia ITC Services Ltd** has a policy and procedure for suspension, withdrawal or reduction of the scope of certification, and has specified the subsequent actions to be taken.
- 9.6.5.2 **Eurosia ITC Services Ltd** suspends certification in cases when, for example:
 - The client's certified management system has persistently or seriously failed to meet the certification requirements, including requirements for the effectiveness of the management system.
 - The certified client does not allow surveillance or recertification audits to be conducted at the required frequency or has failed to pay the due fees.
 - The certified client has voluntarily requested a suspension
 - In order to comply with regulations, including regulations applicable to specific industry sectors.
- 9.6.5.3 Under suspension, the client's management system certification is temporarily invalid. **Eurosia ITC Services Ltd** has enforceable arrangements with its clients to ensure that in case of suspension the client refrains from further promotion of its certification. **Eurosia ITC Services Ltd** will make the suspended status of the certification publically accessible and shall take any

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	EUROSIA ITC SERVICES LTD Management System Manual	Document No.	EISL-QM -01
		Revision No.	1
		Issue No.	1
		Date	01-06-2020
9.0 Process requirements		Page 23 of 26	

other measures deemed necessary. In most of the cases the suspension will not normally exceed 6 months. The client will be notified in writing of the decision.

- 9.6.5.4 **Eurosia ITC Services Ltd** shall restore the suspended certification if the issue that has resulted in the suspension has been resolved. Failure to resolve the issues that have resulted in the suspension in the time established by **Eurosia ITC Services Ltd** shall result in withdrawal (deregistration) or reduction of the scope of certification.

A certification decision maker / competent person will review clients under suspension and where withdrawal or reduction in the scope of certification is being considered.

- 9.6.5.5 **Eurosia ITC Services Ltd** reduce the client's scope of certification to exclude the parts not meeting the requirements, when the client has persistently or seriously failed to meet the requirements of the standard used for certification. At the client's request or following recommendations by the auditor, the scope of certification may be reduced to reflect the change of circumstances or activities. Any such reduction shall be in line with the requirements of the standard used for certification.

9.7 Appeals

- 9.7.1 **Eurosia ITC Services Ltd** has a documented process to receive evaluates and makes decisions on appeals. The appeals handling process will be publicly available.
- 9.7.2 Appeal committee of **Eurosia ITC Services Ltd** is responsible for all decisions at all levels of the appeals handling process. The **Eurosia ITC Services Ltd** ensures that the persons engaged in the appeals handling process are different from those who carried out the audits and made the certification decisions.
- 9.7.3 **Eurosia ITC Services Ltd** ensures that any submission, investigations and decisions on appeals shall not result in any discriminatory actions against the organization or person making the appeal (appellant).
- 9.7.4 The appeals handling process includes at least the following elements and methods;
- The process for receiving, validating and investigating the appeal, and for deciding what actions are to be taken in response to it, taking into account the results of any similar appeals
 - Tracking and recording appeals, including actions undertaken to resolve them.

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 <p>EUROSIA ITC SERVICES LTD Management System Manual</p>	Document No.	EISL-QM -01
	Revision No.	1
	Issue No.	1
	Date	01-06-2020
9.0 Process requirements	Page 24 of 26	

c.) Ensuring that any appropriate correction and corrective action are taken.

- 9.7.5 **Eurosia ITC Services Ltd** is responsible for gathering and verifying all necessary information to validate the appeal.
- 9.7.6 **Eurosia ITC Services Ltd** ensures that receipt of the appeal is acknowledged and will provide the appellant with progress reports and the outcome.
- 9.7.7 The decision to be communicated to the appellant shall be made by, or reviewed and approved by, individual(s) not previously involved in the subject of the appeal.
- 9.7.8 **Eurosia ITC Services Ltd** gives formal notice to the appellant of the end of the appeals handling process.

Reference →

- a) QP07 Procedure for complaints and appeals

9.8 Complaints

- 9.8.1 **Eurosia ITC Services Ltd** ensures that the complaints handling process is publicly available and **EUROSIA ITC SERVICES LTD** is responsible for all decisions at all levels of the complaints handling process.
- 9.8.2 **Eurosia ITC Services Ltd** ensures the submission; investigation and decision on complaints should not result in any discriminatory actions against the complainant.
- .8.3 On receipt of a complaint **Eurosia ITC Services Ltd** establish and confirm whether the complaint relates to certification activities that it is responsible for and, if so, dealt with it. If the complaint relates to a certified client, then the examination of the complaint considers the effectiveness of the certified management system.
- 9.8.4 Any complaint about a certified client shall also be referred by **Eurosia ITC Services Ltd** to the certified client in question at an appropriate time.
- 9.8.5 **Eurosia ITC Services Ltd** has a documented process to receive, evaluate and make decisions on complaints. The process is subject to requirements for confidentiality, as it relates to the complainant and to the subject of the complaint.
- 9.8.6 The complaints handling process includes at least the following elements and methods:
- a.) The process for receiving, validating, investigating the complaint, and for deciding what actions are to be taken in response to it,

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 <p>EUROSIA ITC SERVICES LTD Management System Manual</p>	Document No.	EISL-QM -01
	Revision No.	1
	Issue No.	1
	Date	01-06-2020
9.0 Process requirements		Page 25 of 26

- b.) Tracking and recording complaints, including actions undertaken in response to them,
 - c.) Ensuring that any appropriate correction and corrective actions are taken,
- 9.8.7 **Eurosia ITC Services Ltd** will ensure that it gathers and verifies all necessary information to validate and process the complaint.
- 9.8.8 **Eurosia ITC Services Ltd** will wherever possible acknowledge receipt of the complaint and provides the complainant with progress reports on the outcome as a result of complain.
- 9.8.9 The decision regarding the complaint is made, reviewed, approved and communicated by individuals not previously involved in the subject of the complaint.
- 9.8.10 wherever possible, **Eurosia ITC Services Ltd** will give formal notice of the end of the complaints handling process to the complainant.
- 9.8.11 **Eurosia ITC Services Ltd** will determine, together with the client and the complainant, whether and, if so to what extent, the subject of the complaint and its resolution is made to public.

Reference →

- a) QP07 Procedure for complaints and appeals
- 9.9 **Client records**
- 9.9.1 **Eurosia ITC Services Ltd** will maintain records on the audit and other certification activities for all clients, including all organisations that submitted applications, and all organisations audited, certified or with certification suspended or withdrawn.
- 9.9.2 Records on certified clients include followings as minimum:
- a.) Application information and initial, surveillance and recertification audit reports
 - b.) Certification agreement
 - c.) Justification of the methodology used for sampling
 - d.) Justification for auditor time determination (9.1.4)
 - e.) Verification of correction and corrective actions
 - f.) Records of complaints and appeals, and any subsequent correction or corrective actions
 - g.) committee deliberations and decisions, if applicable.
 - h.) Documentation of the certification decisions
 - i.) Certification documents, including the scope of certification with respect to product, process or service, as applicable

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 EUROSIA	EUROSIA ITC SERVICES LTD Management System Manual	Document No.	EISL-QM -01
		Revision No.	1
		Issue No.	1
		Date	01-06-2020

- j.) Related records necessary to establish the credibility of the certification, such as evidence of the competence of auditors and technical experts.
 - k.) Audit programmes

9.9.3 **Eurosia ITC Services Ltd** will ensure that it keeps the records on applicants and clients secure to ensure that the information is kept confidential. Records will be transported, transmitted or transferred in a way that ensures that confidentiality is maintained.

9.9.4 **Eurosia ITC Services ltd** has established a procedure on the retention of records. Records shall be retained for the duration of the current cycle plus one full certification cycle. Retention of records will also adhere to the requirements of legislation or regulation.

Reference →

- a) QP02 Procedure for record management

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