Contents

Surveillance Audit Report

1. Verification of Information of the client:

Subject	Information	Verification
Client ref number		
Name		
Address		
Contact number/e mail id		
Scope		
IAF Code/NACE		
Audit Man-days		
Audit Team		
Audit Date		

Subject	Information	Verification
Audit Objective	• Ensure your Management System has continued to fulfil requirements between Audits • Ensure Internal Audits and Management Review have been performed to programme • Review actions taken on nonconformities identified during previous Audits • Evaluate your handling of any complaints • Evaluate the continued effectiveness of the management system, regarding achieving your objectives • Evaluate your legal compliance and performance • Evaluate your progress of planned activities aimed at continual improvement • Ensure continuing operational control • Review any changes to your organisation since the previous Audit • Ensure that BCI and the Accreditation Body marks are being used correctly • Identify any areas for potential Improvement of the Management System	**Yes**

Guidance Note for Opening Meeting Agenda:

Sl.	Topics	Particular	Completed
1	Thanks	Give an expression of thanks to the auditee for Choosing BCI.	
2	Attendance	Request attendees to record their attendance	
3	Introduction	Remind timeline to close opening meeting in 15-30 minutes.	
		Request to give brief introduction with brief roles (participants, observers, guides & Translators)	
4	Scope / Summery	Confirmation of the audit objectives (Assessment for QMS, EMS & OHSMS, scope and criteria;	
5	Changes	Changes in documents/Fact to the Application/Stage-2 Audit.	
6	Plan	Confirmation of the audit plan and other relevant arrangements with the auditee, such as the date and time for the closing meeting, any interim meetings between the audit team and the auditee's management, and any late changes;	
7	Method	Methods of Audit: Review of Documents & Records, Interview, Physical evidence.	
8	Sampling	Advise auditee that the audit is sample basis and findings will be based on a sample of the information selected;	
9	Communication Channel	Confirmation of formal communication channels between the audit team and the auditee; identify the facilitators.	
10	Language	Confirmation of the language to be used during the audit;	

11	Development	Confirmation that, during the audit, the auditee will be kept informed of audit progress;	
12	Resource	Confirmation that the resources and facilities needed by the audit team are available; like Guide, Interpreters, Facility etc.	
13	Confidentiality	Confirmation of matters relating to confidentiality and information security;	
14	Safeguard	Confirmation of relevant health and safety, emergency and security procedures for the audit team;	
15	Reporting of Findings	NC may be against a clause of the standard, it's not against any person or department.	
		Method of reporting audit findings & grading (Major, Minor & Observation)	
		Time-span for corrective action (Minor-15 Days, Major-60 Days)	
		Report time: Finding will be discussed at closing meeting and report will be given within 2 working days.	
16	Termination	Information about conditions under which the audit may be terminated;	
17	Audit Declaration	Verify that all members of the organization know what is happening;	
18	Union/Problem	Ascertain union relations or any potential problems;	
19	Confidentiality	Remind the auditees that the audit is confidential.	
20	Closing Meeting	Timing of closing meeting; Participation of the Top Management & where appropriate, those responsible for the functions or processes which have been audited in the closing meeting.	
21	Appeals / Complaint	Information about any system for feedback from the auditee on the findings or conclusions of the audit, including complaints or appeals	

2. Recording of Attendance:

AUDIT ATTENDANCE SHEET				**Record Attendance (by LA)**	
S. No	***Name***	**Position**	**Department**	**Opening**	**Closing**

AUDIT ATTENDANCE SHEET				Record Attendance (by LA)	
S. No	***Name***	**Position**	**Department**	**Opening**	**Closing**

Verification of the Plan and last audit

S. No	**Particular**	Remark
1	Any deviation from the audit plan & their reasons	
2	Any significant issues impacting on its audit programme	
3	Significant changes that affect the management system of the client after audit took place	
4	Any unresolved issue	

The audit Team Interview the following personnel:

Particular	**Responsible Person**	**Interview/Discussion/Responsibility understood (Yes/No)**
The management with legal responsibility for Occupational Health and Safety		
Employees' representative(s) with responsibility for Occupational Health and Safety		
Personnel responsible for monitoring employees' health, for example, doctors and nurses. • Justification in case of absence shall be recorded.		
Managers and permanent and temporary employees.		

Other Personnel that should be considered for Interview are:

Particular	**Responsible Person**	**Interview/Discussion/Responsibility understood (Yes/No)**
Managers and employees performing activities related to the prevention of Occupational Health and Safety risks		
Contractors' management and employees		

3. Context of the organization:

Clause	Subject	Reference / Evidence	Finding (C/NC/OBS)
4.1	**Understanding the organization and its context (4.1)**		
	Reference How has the organization determined external and internal issues relevant to its purpose and strategic direction and that affect its ability to achieve the intended result(s) of its Integrated Management System		
4.2	**Understanding the needs and expectations of workers and other interested parties (4.2)**		
	How the client determined interested parties in addition to workers are relevant to the QMS, EMS & OHSMS. How have client determined what requirements those parties in addition to workers have that are relevant to the QMS, EMS & OHSMS? : Do these needs and expectations become its **compliance obligation, legal requirements?** Reference how the client determined monitor and review information about these interested parties and their relevant requirements.		
4.3	**Determining the scope of the management system (4.3)**		
	Reference of the documented Scope of the IMS and How have the boundaries and applicability (external and internal issues are for your organization, compliance obligation, **planned or performed work-related activities**) of the IMS been used to establish the scope of the organization?		
4.4	**Integrated management system & process (4.4)**		
	The organization shall establish, implement, maintain and continually improve an Integrated management system, including the processes needed and their interactions, in accordance with the requirements of this document.		

4. Leadership and worker participation

Clause	Subject	Reference / Evidence	Finding (C/NC/OBS)
5.1	**Leadership and commitment (5.1)**		

Clause	Subject	Reference / Evidence	Finding (C/NC/OBS)
	Reference How has the Top Management demonstrate leadership and commitment with respect to the IMS (policies , objectives, integration of the management system, continual improvement **establishment and functioning of health and safety committees, process(es) for consultation and participation of workers and protecting workers from reprisals**)		
5.2	**Policy (5.2)**		
	Does organization establish, implement maintain an IMS policy that. within the defined scope, purpose, context of the organization and includes a commitment to the protection of the environment, provide safe and healthy working conditions , framework for setting Quality, Environment & OHS objectives ,applicable requirements and continual improvement and includes a commitment to fulfil its compliance obligations, legal requirements , eliminate hazards and reduce OH&S risks and consultation and participation of workers **AND is Document , available, communicated ,understood** within the organization and interested parties as appropriate		
5.3	**Organizational roles, responsibilities and authorities (5.3)**		
	Does the top management ensure that responsibilities and authorities for relevant roles are assigned and communicated within the organization. Reporting on the performance of the Interrogated management system.		
5.4	**Consultation and participation of workers (5.4)**		
	Reference How has the organization determined mechanism for consultation and participation for Worker representation Reference How has the organization determined mechanism for consultation and participation for Worker representation Obstacles and barriers (failure to respond to worker inputs or suggestions, language or literacy barriers, reprisals or threats of reprisals and policies or practices that discourage or penalize worker participation) , emphasize the consultation of non-managerial workers, provision of training at no cost to workers and the provision of training during working hours		

5. Planning

Clause	Subject	Reference / Evidence	Finding (C/NC/OBS)
6.1	**Actions to address risks and opportunities (6.1)**		
	Reference How has the organization established, implemented and maintained the process(es) needed as: Understanding the organization and its context, Understanding the needs and expectations of interested parties and compliance obligations and legal requirements **AND shall maintain document** for: risks and opportunities and aspect-Impact , hazards and OH&S risks and related actions, Assessment of OH&S opportunities and other opportunities for the OH&S management system		
6.2	**Objectives and planning to achieve them (6.2)**		
	Objectives are established for processes relevant to the IMS Reference of what will be done, who will do, what resources will be required, When completed and how results will be evaluated		
6.3	**Planning of Changes (6.3)**		
	Changes to the QMS should be carried out in a planned manner. The standard has evolved to enable organizations to adapt to changing environments or circumstances and consider: Purpose of the changes and their potential consequences, integrity of the QMS, availability of resources and allocation or reallocation of responsibilities and authorities.		

6. Support

Clause	Subject	Reference / Evidence	Finding (C/NC/OBS)
7.1	**Resources (7.1)**		

Clause	Subject	Reference / Evidence	Finding (C/NC/OBS)
	Reference How has the organization determine d and provide d the resources needed for the establishment, implementation, maintenance and continual improvement of the IMS Reference How has the organization determined, provided and maintained the infrastructure necessary for the operation of its processes and to achieve conformity of products and services. Infrastructure can include: a) buildings and associated utilities b) equipment, including hardware and software) transportation resources d) information and communication technology. Reference How has the organization determined provided and maintained the environment necessary for the operation of its processes and to achieve conformity of products and services. And verifications can be: combination of human and physical factors, such as social, Psychological and, physical. Reference How has the organization Determined, Planed and provided the resources which are suitable and ensure the fitness for their purpose Measuring equipments Calibration or verification, identification of status and safeguard from adjustments, damage or deterioration Verification of the maintaining of the knowledge, how to access the extra required knowledge and updates.(Organizational knowledge will consider Both internal and external knowledge)		
7.2	**Competence (7.2)**		
	Reference How the organization has determined the competency, ensure that team is competent and actions are taken to acquire competency and evaluation is done for effectiveness of the actions. Are workers competent (including the ability to identify hazards) on the basis of appropriate education, training or experience and environmental performance and its ability to fulfil its compliance obligations		
7.3	**Awareness (7.3)**		
	Verification of the awareness of policy, relevant objectives, their contribution and implications of non conformities		
7.4	**Communication (7.4)**		

Clause	Subject	Reference / Evidence	Finding (C/NC/OBS)
	Verification of the internal and external communication for the quality, Environmental & OHS matters and consider: on what, who, how, when, with are considered		
7.5	**Documented information (7.5)**		
	IMS Documentation is needed as per the standard and effectiveness and check the documentation needs as per the size, activity, processes, complexities of processes and competency of the person Appropriate identification& description, format & media, review &approval for adequacy Information is available and suitable for use, adequately protected and address the Distribution, access(relevant documented information includes access by workers, and, where they exist, workers' representatives) , retrieval & use storage and preservation, including preservation of legibility, control of changes Retention and disposition		

7. Operation

Clause	Subject	Reference / Evidence	Finding (C/NC/OBS)
8.1	**Operational planning and control (8.1)**		
	Reference How has the organization determined the requirements & establish the criteria for processes, acceptance criteria, resources needed, implementing Control on the process and have the records to have confidence that the processes have been carried out as planned and demonstrate the conformity **And outsourced processes shall be controlled** **Consistent with a life cycle perspective** **Eliminating hazards and reducing OH&S risks** **control of planned temporary and permanent changes that impact OH&S performance** **Occupational health and safety criteria for the selection of contractors in the contractual documents.** **Reference How has the organization ensured that outsourced functions and processes are controlled**		
8.2	**Requirements for products and services & Emergency preparedness and response (8.2)**		

Clause	Subject	Reference / Evidence	Finding (C/NC/OBS)
	QMS- Reference How has the organization included: providing information relating to products and services, handling enquiries, contracts or orders, including changes, obtaining complaints &feedback, handling or controlling customer property and contingency actions Applicable statutory and regulatory requirements and requires a process and is explicit with regard to substantiating claims for products and services being offered Review the followings before supply: requirements specified by the customer, including the requirements for delivery and post- delivery activities, unstated requirements, requirements specified by the organization, statutory and regulatory requirements, Contractor order requirements differing from those previously expressed. AND shall have the records of results of review and any new requirement ensure that relevant documented information is amended, and that relevant persons are made aware of the changed requirements **EMS & OHS -Emergency preparedness and response(Verify)** planning actions to prevent or mitigate adverse environmental impacts from emergency situations & including the provision of first aid, respond to actual emergency situations, take action to prevent or mitigate the consequences of emergency situations, appropriate to the magnitude of the emergency and the potential environmental impact periodically testing and exercising the planned response capability; evaluating performance and, as necessary, revising the planned response, including after testing and, in particular, after the occurrence of emergency situations; communicating and providing relevant information to all workers on their duties and responsibilities; communicating relevant information to contractors, visitors, emergency response services, government authorities and, as appropriate, the local community; taking into account the needs and capabilities of all relevant interested parties and ensuring their involvement, as appropriate, in the development of the planned response.		
8.3	**Design and development of products and services (8.3)**		

Clause	Subject	Reference / Evidence	Finding (C/NC/OBS)
	Reference How has the organization established, implemented and maintained a design and development process considered: the nature, duration and complexity, required process stages, including applicable design and development reviews, required design and development verification and validation, responsibilities and authorities, internal and external resource, control interfaces between persons, involvement of customers and users, requirements for subsequent provision of products and services, level of control expected for the design and development process by customers and other relevant interested parties AND Documented information needed to demonstrate Planning considered: functional and performance requirements, information derived from previous similar design and development activities, statutory and regulatory requirements, standards or codes of practice, potential consequences of failure, shall be adequate for design and development purposes, complete and unambiguous, Conflicting design and development inputs shall be resolved AND s retain documented information controled on D&D to ensure:the results to be achieved are defined, reviews are conducted, verification activities are conducted, validation activities are conducted, necessary actions are taken on problems determined during the reviews, or verification and validation activity AND documented information of these activities is retained Ensured that design and development outputs: meet the input requirements, are adequate for the subsequent processes, include or reference monitoring and measuring requirements, as appropriate, and acceptance criteria,) specify the characteristics of the products and services that are essential for their intended purpose and their safe and proper provision AND retain documented information identify, review and control changes made during, or subsequent to, the design and development AND document: design and development changes, results of reviews, authorization of the changes And actions taken to prevent adverse impacts		
8.4	**Control of externally provided processes, products and services (8.4)**		

Clause	Subject	Reference / Evidence	Finding (C/NC/OBS)
	Reference How has the organization determined the controls to be applied to externally provided processes, products and services when: products and services from external providers are intended for incorporation into the organization's own products and service, provided directly to the customer(s) by external providers on behalf of the organization OR process,orpartofaprocess,isprovidedbyan externalproviderasaresultofadecisionbyt he orgDetermine Control of externally provided processes, products and services **AND retain documented information .** Ensure that extern all provided processes remain within the control of its QMS,) define both the controls that it intends to apply to an external provider and those it intends to apply to the resulting output,) Consideration of: impact of the externally provided processes, products and services and effectiveness of the controls applied by the external provider. Determine the verification, or other activities, necessary to ensure that the externally provided processes, products and services meet. Ensure the adequacy of requirements prior to their communication to external provider. Shall communicate to external providers its requirements for: processes, products and services to be provided. And approval of: products and services, methods, processes and equipment, release of products and services. Competence, including any required qualification of persons, external providers' interactions with the organization, control and monitoring of the external providers' performance to be applied by the organization,verificationorvalidationactivi tiesthattheorganization,oritscustomer,int endsto perform at the external providers'		
8.5	**Production and service provision (8.5)**		

Clause	Subject	Reference / Evidence	Finding (C/NC/OBS)
	Reference How has the organization implemented production and service provision under controlled conditions. Controlled conditions shall include as applicable: availability of documented information that defines: characteristics of the products to be produced and results to be achieved-Monitoring and measurement activities will ensure the control of processes and output ,acceptance criteria for products and services are met ,the use, and control of suitable infrastructure and process environment ,suitable monitoring and measuring resources ,Requires competent persons and ensures the validation, and periodic revalidation, implementation of actions to prevent human error and implementation of release, delivery and post-delivery activities. Used suitable means to identify outputs when it is necessary to ensure the conformity of products and services Exercise care with property belonging to customers or external providers, shall identify, verify, protect and safeguard customers' or external providers' property. Property lost, damaged or otherwise found to be unsuitable for use, the organization shall report this to the customer or external provider and retain documented information on what has occurred. Preserve the outputs during production and service provision, to the extent necessary to ensure conformity to requirements (identification, handling, contamination control, packaging, storage, transmission or transportation, and protection.) Meet requirements for post-delivery activities associated with the products and services. (Warranty provisions, contractual obligations such as maintenance services, and supplementary services such as recycling or final disposal.) Retain documented information describing the results of the review of changes, the person(s) authorizing the change, and any necessary actions arising from the review.		
8.6	**Release of products and services (8.6)**		
	Reference How has the organization retained documented information on the release of products and services.The documented information shall include: evidence of conformity with the acceptance criteria and traceability to the person(s) authorizing the release		

Clause	Subject	Reference / Evidence	Finding (C/NC/OBS)
8.7	**Control of nonconforming outputs (8.7)**		
	Reference How has the organization deal with nonconforming outputs in one or more of the following ways: Correction, segregation, containment, return or suspension, informing the customer & identifies the authority deciding the action in respect of the nonconformity Describes the nonconformity, describes the actions taken, describes any concessions obtained and) identifies the authority deciding the action		

8. Performance evaluation

Clause	Subject	Reference / Evidence	Finding (C/NC/OBS)
9.1	**Monitoring, measurement, analysis and evaluation (9.1)**		
	Reference How has the organization determined: what needs to be monitored and measured, methods for monitoring, measurement, analysis and evaluation, when the monitoring and measuring shall be performed and when the results from monitoring and measurement shall be analyzed and evaluated AND shall retain records Determined the methods for obtaining, monitoring and reviewing this information. Results of analysis shall be used to evaluate: conformity of products and services, degree of customer satisfaction, performance and effectiveness of QMS, if planning has been implemented effectively, effectiveness of actions taken to address risks and opportunities, performance of external providers and need for improvements to the QMS legal requirements or other requirements (e.g. national or international standards) concerning the calibration or verification of monitoring and measuring equipment. established, implemented and maintained a process(es) for evaluating compliance with legal requirements and other requirements		
9.2	**Internal Audit (9.2)**		

Clause	Subject	Reference / Evidence	Finding (C/NC/OBS)
	conduct internal audits at planned intervals to check the conformity to: organization's own requirements for its IMS and to ensure that it is effectively implemented and maintained Including the frequency, methods, responsibilities, planning requirements and reporting, define the audit criteria and scope for each audit, select auditors and conduct audits to ensure objectivity and the impartiality of the audit process, ensure that the results of the audits are reported to relevant management, take appropriate correction and corrective actions without undue delay And retain documented information shall take into consideration the environmental importance of the processes concerned, changes affecting the organization and the results of previous audits. AND shall retain documented information		
9.3	**Management review (9.3)**		
	Review the organization's IMS, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness and consider: the status of actions from previous management reviews, Changes in: policy and the objectives, external and internal issues that are relevant to the IMS , the needs and expectations of interested parties, including compliance obligations, Legal requirement, consultation and participation of workers, incidents, its significant environmental aspects and risks and opportunities. **Outputs of the management review shall include:** conclusions on the continuing suitability, adequacy and effectiveness of the IMS, **AND keep the record of Management Review**		

9. Improvement

Clause	Subject	Reference / Evidence	Finding (C/NC/OBS)
10.1	**General (10.1)**		
	Reference How has the organization determined and selected opportunities for improvement and implement any necessary actions to achieve the intended outcomes of its Integrated management system.		
10.2	**Nonconformity and corrective action (10.2)**		

Clause	Subject	Reference / Evidence	Finding (C/NC/OBS)
	When Nonconformity occurs the organization shall: react to the nonconformity and, as applicable: take action to control and correct it &deal with the consequences. Evaluate the need for action to eliminate the cause(s)of then on conformity, in order that it does not recur or occur elsewhere, by: reviewing and analyzing the non conformity, determining the causes of the nonconformity, determining if similar nonconformities exist, or could potentially occur. implement any action needed,) review the effectiveness of any corrective action taken, update risks and opportunities determined during planning, if necessary, make changes to the quality management system, if necessary Evaluate, with the participation of workers (see 5.4) and the involvement of other relevant interested parties, the need for corrective action to eliminate the root cause(s) of the incident or nonconformity, in order that it does not recur or occur elsewhere, by: investigating the incident or reviewing the nonconformity; determining the cause(s) of the incident or nonconformity; determining if similar incidents have occurred, if nonconformities exist, or if they could potentially occur; Review existing assessments of OH&S risks and other risks, as appropriate (see 6.1); Determine and implement any action needed, including corrective action, in accordance with the hierarchy of controls (see 8.1.2) and the management of change (see 8.1.3); Assess OH&S risks that relate to new or changed hazards, prior to taking action;		
10.3	**Continual Improvement (10.3)**		
	Opportunities shall be addressed as part of continual improvement and shall consider the results of analysis and evaluation, and the outputs from management review		
*	**Temporary Site (If Any)**		
*	**Use of Logo**		

10. Employee interviews

Sl.	Name of the employee	Designation	Department	Comment

Guidance Note for Closing Meeting Agenda:

Sl.	Topics	Particular	Verified
1	Introduction	Particularly if anybody not present at the opening meeting	✓
2	Thank to company	Thanks to your Team for cooperation during the audit and arrangements for the Audit.	✓
3	Reaffirmation of Scope	Reconfirm scope of activities assessed	✓
4	Confirm confidentially	Reassure the confidentiality for any information assessed during the audit.	✓
5	Appreciation	Comment on good points within the organisation	✓
6	Disclaimer	This was audit on sample basis, and it should not mean, that other deficiencies do not exist.	✓
7	*Audit Team Comment*	*Summary of individual findings from each auditor (if audit team consist more then 1)*	✓
8	*Decision*	*Significance of categories of non-compliance and summary of findings ,* *Summary of overall findings and recommendation/Decision*	✓
9	*Acknowledgment*	*Assure that client acknowledge the NCs.*	✓
10	*Future Plan*	*If any NC is identified, Submitting plan for corrective action together with the objective evidences*	✓
11	*Follow-up action*	*Where do we go from here? emphasizing that the final decision regarding certification will be taken by BCI Certification*	✓
	Surveillance Audit	*An explanation of the continual Audit (surveillance) procedure and other future actions*	✓
12	Appeal	Explain the Appeal & Complaint option available to the client against any decision of the Audit team.	✓
13	Invite questions	Invite questions, clarification from company (But no Consultancy)	✓
14	Signature	Obtain company representative's signature on report to acknowledge receipt.	✓
15			

Non Conformities Raised
0 Minor/ 0 Major Non-conformance identified in the Surveillance audit.

Summary of the Audit Team

A. Stage of audit:

☐	STAGE 1 1
☐	Surveillance 1
☐	Surveillance 2
☐	Modification
☐	Renewal

☐	Upgrade From
☐	Other

B. Recommendation:

☐	Continuation of Certificate
☐	Refusal of the Certificate
☐	Follow Up audit
☐	modification of the current certificate (registration no. and expiration date remain unchanged)
☐	other :

C. Reason:

☐	**QMS, EMS & OHSMS complies with the requirements of the Reference Standard.** Congratulations, on the basis of the above summary, Lead Auditor is pleased to put forward a Recommendation for Continuation of Certificate.
☐	**The quality system complies with the requirements of the reference standard with exception of minor NC:** Congratulations, Lead Auditor is pleased to put forward a recommendation for Continuation upon off-site verification of closure of all issues, the NC closure need to be submitted along with the Corrective Action Plan and objective evidence with 15 days from the surveillance audit but not later than 60 days from the date of surveillance audit. If all non-conformances are not closed within 60 days, a full reassessment may be required.
☐	**Evidence of major non conformities:** Organization is not recommended for Certification. A follow-up assessment will be scheduled to allow for on-site verification and closure of all issues within 60 days from the date of surveillance audit. If all non-conformances are not closed within 60 days, a full reassessment may be required.
☐	**Not Recommended:** Organization is not recommended for certification, a surveillance audit will be required. To progress your Continuation, please respond to each non-conformances, with a plan showing proposed actions, timescales and responsibilities for resolution. The organization should consider the root cause of the non-conformance and the potential for related issues in other parts of your system.

Sign Off:	
BCI Report Submission	Client Acceptance for Report
Name of Auditor:	Name:
Signature	Signature
Date:	Date: