



# TQ SERVICES

TQ SERVICES PROCEDURE

SURVEILLANCE AUDITS

PROCEDURE NO. : **CBP- 06**

REV.NO. 07

DATE:01.04.2023

PAGE 1 OF 6

## PROCEDURE FOR SURVEILLANCE AUDITS

REV. NO.	DATE	BRIEF RECORD OF REVISIONS
07	01.04.2023	Name of Prepared by and Approved by Changed
06	28.02.2020	Clause 4.1.4 revised
05	15.12.2018	Clause 4.1.4 revised
04	23.07.2016	Surveillance audit planning changed for first year.
03	27.02.2016	Designation of AGM-QA to AGM QA, TQ Services changed to TQS
02	27.03.2015	Designation of Head-QA changed to Senior Manager-QA
01	18-12-2012	Added directory of clients in cl 4.1.3
00	03.01.2011	First issue

PREPARED BY : Head - QA

SIGNATURE :

NAME : Bhagya Sree

APPROVED BY : Chief of Certification

SIGNATURE :

NAME : Krishna datta

## 1.0 OBJECTIVE

To conduct surveillance audit of QMS / EMS of clients in order to ensure that the certified Management system, continues to fulfill the requirements with respect to standard between recertification audits.

To carry out other surveillance activities where required.

## 2.0 SCOPE

Applicable to all audit personnel engaged in surveillance audits of QMS / EMS certified clients by TQS.

## 3.0 RESPONSIBILITY

Head-QA is responsible and has the authority for scheduling of audits, liaison with clients, selection of the team and for allocation and communication to the team and client for carrying out

- Surveillance audits,
- Surveillance activities as required
- Follow up activities when required .

## 4.0 PROCEDURE

### 4.1 Surveillance Audit

**4.1.1** TQS carries out the surveillance audits of all QMS / EMS clients as per the surveillance audit plan. The surveillance audits are planed in such a way that the representative's areas and functions covered by the scope of management system or monitor on a regular basis and take into account changes to its management system.

#### 4.1.1.1 Surveillance audit planning

Surveillance audits are not necessarily full system audits, which are required to be carried out as per surveillance plan made during initial certification and subsequent recertifications.

The surveillance audits are carried out on-site, at least once a year unless other wise agreed with the Client. The follow up mechanism will be through the client directory. It is intended that the entire client's areas and functions within the certified scope, are reassessed at least once (during certification cycle) through surveillance audits over the period of three years to ensure that certified Management system continues to fulfill requirements between recertification's.

The surveillance plan is based on the following:

- a. At the time of initial certification:  
The start date of first surveillance audit is not to exceed 12 months from the Certification decision date.
- b. Subsequent surveillance audits may be with in an interval of nine months to 13 months from the day of Certification Decision date.

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

#### 4.1.1.2 Other surveillance activities may include

- Enquiries from TQS to the certified client on aspects of certification.
- Reviewing any client's statements with respect to its operations Eg. Promotional material, websites etc
- Any request to the clients to provide documents and records (on paper or electronic media)
- Any other means of monitoring the performance of the certified client.

#### 4.1.1.3 Criteria for team selection

The team consists of qualified auditors and technical / legal experts either from internal or external sources, as per the need.

Criteria requirements for selection of team and the same is specified in CBP – 03

#### 4.1.2 The detailed audit procedure is as given in procedure ref. no. CBP- 05.

#### 4.1.3 TQS can plan and combine QMS and EMS surveillance audits when requested by the certified client. In such cases, the Audit Team Leader appointed by Head-QA along with experts if required shall have the required competence for auditing the scope of QMS and EMS of the particular client with the requirements of the QMS and EMS of the organization.

If required, the auditor or technical / legal expert is subcontracted as detailed in the procedure ref. no. CBP-02.

#### 4.1.4 Surveillance audits are on site audits. The audit team ensures the following for QMS / EMS as a minimum.

Verifying that internal audits are planned and performed and where deficiencies are identified, they are effectively resolved.

- Management reviews are performed (at least once a year). The evidence for effective implementation of those actions arising from the minutes of management review meeting.
- Verifying the effectiveness of corrective actions taken on the previous non-conformities. When effective, the Audit Team Leader signs off Corrective Actions of the previous visit as closed if not closed earlier. .
- response to handling of complaints
- compliance to legal and any regulatory requirements
- effectiveness of management system with regard to achievement of clients objectives
- Progress of planned activities aimed at continual improvements
- Continuing operational control
- Use of logo , registration and other marks and any other references to certification
- Verify that the existing scope of certification reflects all the activities / business operations of the organizations.
- Review of any changes Ex. Changes in Client or to management systems, number of employees, any change in the management personnel.
- Follow-up for any complaints registered against the certified client with TQS.
- Positive and negative points regarding the implementation and effectiveness of QMS / EMS, which the Audit Team Leader can use to conclude the recommendation with regard to continuation of certification.
- Verifying the effectiveness of corrective actions taken on Observations/Area of Concern raised during previous audit

4.2 Upon completion of audit , the Team Leader records the clauses of standard audited during the visit and presents the reports as specified in form CBF -40.

4.3 The Audit Team Leader prepares report on surveillance audit findings and nonconformities for corrective by certified clients. Procedure CBP 08 refers.

4.3.1 Resolution of Non Conformities

- a. For major NC reported, if time frame and responsibilities are specified and actions are initiated, and the same is acceptable to the Team leader it may be down graded to minor.
- b. In all cases corrective actions are required to be completed within 90 days and NCs may be closed based on objective evidence provided by the client or can be verified during subsequent surveillance audits or by a follow up as decided by the team leader.

4.3.2 In case of Major NC or other situations that may lead to suspension or withdrawal of the certificate, the team leader shall contact Head-QA immediately. The recommendation is reviewed by independent personnel who is not involved in

audit for the correctness of the decision for maintenance of certification or for any review of the decision. The client and team leader are informed of the decision as required.

4.4 A follow up site visit may be recommended under any or more of the following situations

- a major NC is reported
- a number of minor NCs reported for which follow up decision was made by the team leader

4.5 In the event of the organizations change of premises, change of key personnel, an extension to the scope of its certification or on receipt of a serious complaint, the team leader may refer to Head-QA for necessary actions.

4.6 The designated time for full day visit is 8 hours including ½ hour for Lunch. To check some of the actual operations the agreed time can be 0600 to 1400 or 1300 to 2100 hrs.

4.7 In case of any Exceptional circumstances the Audit Team Leader reviews the matter with Management representative and takes requisite action.

**4.8 Submission of Surveillance Audit Report (QMS/EMS)**

The Audit Team Leader prepares the surveillance audit report (QMS / EMS) as per form CBF -21 and as detailed in procedure ref no. CBP-08 and submits to Head-QA within a weeks time.

4.9 Upon receipt of reports at HO, these are reviewed for adequacy by independent and competent personnel to monitor

- Surveillance activities
- Reporting by the team leader
- Effective operation of certification activities.

**5.0 REFERENCES**

Procedure for Outsourcing	---	CBP-02
Procedure for competence, evaluation and monitoring of CB personnel	---	CBP-03
Procedure for Initial Audit	---	CBP-05
Procedure for Audit Reporting	---	CBP-08
Procedure for extending, reducing, Suspending and withdrawing certification	---	CBP-09
Procedure for safeguarding confidentiality of information	---	CBP-12



TATA PROJECTS  
QUALITY SERVICES

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### SURVEILLANCE AUDITS

PAGE 6 OF 6

Procedure for Documents Control

--- CBP-14

Procedure for Records Control

--- CBP-15

## 6.0 RECORDS

The following records are maintained by Head-QA

1. Client's Surveillance Audit Plan : CBF-26
2. Audit Schedule and reports : CBF-20 and CBF -40