



**Number : ICA-QP-11**  
**Title : Audit Planning and Preparation**

## Audit Planning and Preparation

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01	00	01.10.2022	Technical Manager	Director
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<b>1.0</b>	<p><b>Purpose</b></p> <ul style="list-style-type: none"> <li>• The purpose of this procedure is to: <ul style="list-style-type: none"> <li>❖ Define the requirements for planning and preparing for the entire audit cycle</li> <li>❖ Process steps and reporting at various stages of audit</li> <li>❖ Maintain records</li> </ul> </li> </ul>
<b>2.0</b>	<p><b>Scope</b></p> <ul style="list-style-type: none"> <li>• Applicable to all the Management systems to be certified by ICA</li> </ul>
<b>3.0</b>	<p><b>Definitions &amp; Abbreviations</b></p>
3.1	Top Management : Governing body of the organization {Director}
3.2	EC : Executive Committee
3.3	ICA : INTERNATIONAL CERTIFICATION AUTHORITY.
3.4	CAR : Corrective Action request.
3.5	Document Review : Verify adequacy of the management system documents to the relevant contractual standard including any exclusion. Document review will be conducted on site along with Stage I audit or off site
Stage I	<p>: Verify the following</p> <ul style="list-style-type: none"> <li>• Clients management system documentations</li> <li>• Evaluate client's location and site-specific condition <ul style="list-style-type: none"> <li>- Are the objectives / targets and policy of company determined?</li> <li>-Are the conditions of client and site-special conditions adequate for the system(s)?</li> <li>-List the company's legal regulations that they are obliged to abide by?</li> <li>-List the necessary licenses/permissions?</li> <li>-Verification of the shifting system including dispersion of total employee numbers per each shift provided by the application. Justification of selected shift that will be audited during Stage-2 Audit.</li> </ul> </li> <li>• Verify client's preparedness for Stage II audit</li> <li>• Review client status and understanding regarding the requirements of the standard</li> <li>• Collect information regarding scope, processes, statutory and regulatory requirements, exclusions claimed etc</li> <li>• Review the allocation of resources/logistics for stage II audit</li> <li>• Internal audit and Management Review are planned and performed</li> <li>• Identify concerns if any in the planning of management system</li> </ul>
Stage II	<p>: Verify the following:</p> <ul style="list-style-type: none"> <li>• Compliance to contractual standards, documented Systems, statutory and regulatory requirements.</li> <li>• Effective implementation of the planned management systems</li> <li>• Management commitment</li> <li>• Awareness of the system across the organization</li> <li>• Acceptance of the management system for Recommendation for issue of certificate of compliance with/without conditions or otherwise.</li> </ul>
Follow up Audit	<p>: Follow Up audit is recommended when it is considered that on-site verification is required to verify the corrective actions for the non-conformances recorded during any base audit. Verify the following:</p> <ul style="list-style-type: none"> <li>• Effectiveness of the Corrective action taken for the major non-conformances identified during the base assessment.</li> <li>• Revision to the system documents if any</li> </ul>

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<b>4.0 Reference Documents:</b>					
<b>Sr. No.</b>	<b>Doc Name</b>	<b>Doc No</b>	<b>Rev No</b>	<b>Rev Dt.</b>	<b>Retention Period</b>
1	Auditor Selection	ICA-D-06	00	01.10.2022	Live
2	Document Review	ICA -D-10	00	01.10.2022	Live
3	Stage I Audit program & Execution	ICA -D-11	00	01.10.2022	Live
4	Stage II Audit Program & Execution	ICA -D-12	00	01.10.2022	Live
5	Audit Plan & Schedule – Stage-01	ICA-QF-29	00	01.10.2022	5 Years
6	Audit Plan & Schedule – Stage-02	ICA-QF-30	00	01.10.2022	5 Years
7	Audit Observation Sheet	ICA-QF-41	00	01.10.2022	5 Years
8	List of Accredited Scopes	ICA-QF-49	00	01.10.2022	Live
9	Three Year Certification Cycle	ICA-QF-50	00	01.10.2022	5 Years

## 5. Procedure

- For every client post registration and contract review an audit program is generated by Technical Manager
- ICA follows a three years certification cycle with minimum of following assessments to be covered as a part of every audit program.
  - Adequacy review
  - Stage I Audit
  - Stage II Audit
  - 2 Surveillance Audits (Once every year)
  - Re-certification (If client is retained for next cycle)
- All Audit Plan and Schedule are approved by any member of EC and reviewed by EC on sampling basis. The audit program is communicated to the audit client and consensus is taken from them regarding the program.
- Technical Manager in consultation with EC initiates for the audit planning. Following are the steps involved in audit planning:
  - Audit objective for every type of audit is defined by the EC which includes the following:
    - ❖ Determination of the conformity of the client's management system, or parts of it, with audit criteria.
    - ❖ Evaluation of the ability of the management system to ensure the client meets applicable statutory, regulatory and contractual requirements.
    - ❖ Evaluation of the effectiveness of the management system to ensure the client is continually meeting its specified objectives.
    - ❖ As applicable, identification of areas for potential improvement of the management system.
  - Audit scope for every type of audit is defined by the EC which includes the following: Physical locations, Organizational units, Activities and processes to be audited.
- Audit criteria is established by EC for all audits prior to audit planning. Criteria would typically cover:
  - National/International standards against which audit has to be covered.
  - Legal and other requirements.
  - Customer specific requirements & Legal Requirements
- Once the criterion is defined, depending on the scope of the client, EA code is allocated to the client against which certification scheme will be implemented by EC.

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- Depending on the scope, Objective, criteria and EA code, number of man-days is selected for the audit client. While selecting number of days IAF Mandatory Document number is considered and as per the Procedure of Audit Time Calculation
- Depending on the factors mentioned above Audit team is selected which includes Audit team leader and auditor. If required Technical Expert is also selected if the auditor is not technically competent.
- Document review is done by the Audit team leader to check the readiness of Management system and provide the clearance for audit plan. If auditor feels appropriate, he can club document review with stage 1.
- Technical Manager generates the audit plan Stage 1 & 2 for the client which covers the following information:
  - Audit objectives
  - Audit criteria
  - Audit scope
  - Dates and sites where the on-site audit activities are to be conducted, including visits to temporary sites, as appropriate
  - Expected time and duration of on-site audit activities
  - Roles and responsibilities of the audit team members and accompanying persons.
- Based on the plan Audit team executes Stage 1 Audit and post comments to EC.
- Review is conducted to assess whether Stage 2 can be planned.
- Stage 2 is executed as per plan and if required follow up audit is also considered for planning.
- Post Certification Surveillance audits are planned by the Technical Manager. During the surveillance audit Scope may be modified.
- After one cycle of certification ends the audit planner may replan for recertification audit