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1.0 Purpose:

To document, establish, implement and maintain the system for initial audit, inclusive of an audit of client's management system for Certification, as per requirements of ISO/IEC 17065, applicable scheme criteria and reference documents along-with other applicable international standards for certification bodies certifying products, processes and services.

2.0 Scope:

This procedure is applicable to all certifications performed by WOODCERT. These are generic procedural guidance. For scheme specific procedure additional reference shall be drawn from the following

- a) for RMCPCS - Section 5 **PCP-23 RMC Protocol**
- b) for VCSLSP – sections 2.3, 2.4,2.5, 2.6 **PCP-24 VCSLSP Protocol**

3.0 Responsibility:

Certification In-Charge

4.0 Procedure:

4.1 Initial certification

4.1.1 Document Review

4.1.2 The document review is conducted using the document review check list and the check list shall be used for recording conformance as well as non-conformance in documentation with respect to the requirements of the standard.

4.1.2. The nonconformities on document review shall be categorized into observation only. The client shall take the appropriate corrective action before the audit and Woodcert shall verify the same either before or during the initial audit.

4.1.3. If the corrective action is not found adequate for any of the observations raised by WOODCERT auditor shall raise a non-conformity in audit.

4.1.4.. Document review findings are recorded in Audit Report as applicable.

4.1.5. Depending on the audit findings WOODCERT shall allow sufficient time to the client to resolve document review findings and other areas of concern identified by the auditor.

4.1.6. The planning for audit including selection of audit team and issue of audit plan for audit shall be carried out as per procedure **PCP-11 Procedure for Planning and Preparation of Audit.**

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4.2. Audit

4.2.1. Lead Auditor/Evaluator initiates the opening meeting (Annexure-01 of this procedure) by introducing the audit team to client management and confirming the scope of activities. Audit plan is discussed at this time. Team leader addresses any concerns / changes requested by the client with respect to the audit plan and describe the audit and reporting methods to the client management

4.2.4 The auditor shall verify that the changes required as per the Documentation Review Report, have been incorporated in the documentation.

4.2.5. Perform the audit using the appropriate guidelines. Review of the system should involve following orders through the system, including all related processes and their interfaces. Appropriate sampling shall be used to collect information and the methods used for collective information shall include interviews, observation of activities and review of documents & records. Only information that is verifiable shall be taken as audit evidence and the same shall be recorded. The audit evidence shall be evaluated against the audit criteria to generate the audit findings. (Ref. for RMPCPS **FT-26 Audit Checklist and Report** for VCSLSP **FT-26A VCSLSP Audit Checklist and Report** and applicable scheme documents e.g. **PCP-23 RMC Protocol or PCP-24 VCSLSP Protocol**)

4.2.6. The Auditors follow the audit plan. Wherever deviations from plan becomes necessary report such deviations to team leader who records them in the audit plan, **FT-25 Audit Plan**. Team leader is responsible for approving the changes in the audit plan and rescheduling work as the assessment progresses.

4.2.7. System deficiencies found by any team member are investigated to determine the system weakness causing the problem

4.2.8. Findings of each auditor are discussed with team leader throughout the day as required. Team leader determines if additional investigation is necessary or agrees with the auditor who then completes a non-conformance report **FT-27 NCR Report**.

4.2.9. A meeting is held at the end of each day to review the auditor's/ evaluator's findings, giving the client a chance to respond, should there be some information overlooked or not provided to the auditor/evaluator which impacts the findings. The day's findings are briefed to the client.

4.3. Concluding the audit

4.3.1 The audit/ evaluation team shall analyze all information and audit evidence gathered during and audits to review the audit findings and agree on audit conclusions. Discuss the findings among themselves and summarize the reporting to the client management. (Where any part of the audit is made by electronic means or where the site to be audited is virtual,

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WOODCERT ensures that such activities are conducted by personnel with appropriate competence. The evidence obtained during such an audit shall be sufficient to enable the auditor/ evaluator to take an informed decision on the conformity of the requirement in question)

4.3.2 The team leader chairs a closing meeting with the client where the audit findings are presented. (Annexure-02 of this document)

4.3.3 Against the major/ minor nonconformity/ observation/ recommendation (as applicable to the respective certification scheme **e.g. 5.3.1 of PCP-23 RMC Protocol or 2.3.2.6.2 of PCP-24 VCSLSP Protocol**), the client shall have to provide the correction and corrective action plan within the scheme defined timeline. The corrective actions submitted by the client shall be reviewed and accepted by the team leader within the specific timeline defined by the scheme if any, otherwise ten days from the date of receipt of corrective action and WOODCERT shall confirm the acceptance/ objections to the client.

4.3.4 If one or more nonconformities are identified and the client expresses interest to continue certification process, WOODCERT shall provide information regarding additional evaluation tasks that need to be verified to ascertain that the Non-conformities have been addressed based on the specified scheme requirements.

4.3.5 Effectiveness of correction and corrective actions

WOODCERT reviews the corrections, identified causes and corrective actions submitted by the client to determine if these are acceptable. WOODCERT verifies the effectiveness of any correction and corrective actions taken and record the evidence obtained to support the resolution of non-conformities. WOODCERT informs to the client the result of the review and verification. The client will also be informed if an additional full audit, an additional limited audit, or documented evidence (to be confirmed during future audits) will be needed to verify effective correction and corrective actions.

Verification of effectiveness of correction and corrective action can be carried out based on a review of documented information provided by the client, or where necessary, through verification on-site. Usually this activity is done by a member of the audit team.

4.3.6 Additional audits

The audit team leader shall inform the client the method to be employed to verify effective correction and corrective action, based on the critical nature of the nonconformity raised. The methods employed shall be any of the following,

- a) An additional full audit at site
- b) An additional limited audit at site
- c) Documented evidence off site
- d) Documented evidence at surveillance

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The same shall be recorded in audit report

4.3.7 If the client agrees to completion of the additional above stated requirements, the required process is repeated to complete the evaluation tasks.

4.3.8 The team leader completes the Audit summary recorded in audit report and get the authorization of the client if the approval is recommended.

4.3.9 If applicable, the team leader shall obtain a formal report from the technical expert in the prescribed format (***FT-28 Technical Expert Report***) and submit the same to WOODCERT along with other audit reports

4.3.10 Root Cause Analysis: While identifying the corrective action as stated in section 4.4.6.3, care should be taken to ensure that the corrective actions identified correspond to the root cause. Identifying the root cause is important to have a corrective action which is robust and is capable to eliminate the problem. A simple method to identify the root cause is given in Annexure –04 of this document.

4.4. Audit Reports

4.4.1 The audit reports make up WOODCERT's formal documented record of Audit process, the result and the recommendation. The content of reports are as under,

Audit Report Contains following formats

- (a) Onsite Assessment Report, as applicable
- (b) Audit Plan
- (c) Attendance sheet
- (d) Non-conformance Report
- (e) Audit Summary Report, as applicable
- (f) Future surveillance audit plan, as applicable

4.4.2 The audit/ evaluation team leader shall provide at least the following information to WOODCERT for the decision on certification

- (a) Comments on non-conformities and where applicable, the correction and corrective action taken by the client.
- (b) Confirmation of the information provided by the client e.g. scope, out sourced activities etc.
- (c) A recommendation whether or not to grant certification, together with any conditions or observations.
- (d) In case of any unresolved disagreement between the organization and the audit team, the circumstances should be reported in writing by the audit team leader to WOODCERT for consideration.

4.4.3 While filling the audit reports and their submission the following shall be ensured

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- a) Attendance Sheet, Assessment Summary and NC report shall have the original signatures (if required) of the client representatives and the members of the audit team as applicable.
- b) All the reports are to be submitted in soft copy through email, it has to be ensured that scanned copies of the original are only sent for reports and the originals of these needs to be sent when requested.

4.5. Compilation of Reports

4.5.1 After the completion of audit, the team leader shall submit all documents along with a copy of non- conformity report to WOODCERT for review and approval by the certification panel. (Annexure-03 of this document)

4.5.2 The client shall immediately receive the non-conformity report (***FT-27 NCR Report***) for identifying the correction and corrective actions and also a copy of the audit summary report as applicable. Client shall sign the audit/ evaluation reports/ relevant documents as required by WOODCERT.

4.5.3 The client shall receive the audit/ evaluation report, Certificate and LOGO use guideline after approval of certification by the certification panel of WOODCERT.

4.5.4 WOODCERT shall maintain register of certified clients with their updated status (refer ***FT-24 Register of Applicants & Certified Clients***).

4.6 Observers and Guides

4.6.1. Observers

The presence and justification of observers during an audit activity shall be agreed to by WOODCERT and the client prior to conduct of the audit. The audit team shall ensure that the observers do not influence or interfere in the audit process or outcome of the audit.

4.6.2. Guides

Each auditor/ evaluator shall be accompanied by a guide, unless otherwise agreed to by the audit/ evaluation team leader and the client. Guides are assigned to the audit team to facilitate the audit. The audit/ evaluation team shall ensure that the guides do not influence or interfere in the audit process or outcome of the audit. The responsibilities of guide can include,

- a) Establishing contacts and timing for the interviews
- b) Arranging visits to the specific parts of the site or the organization

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- c) Ensuring that the rules concerning 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 the auditor
- f) Where appropriate, the auditee can also act as the guide.

5.0 Records

- (a) FT-24 Register of Applicants & Certified Clients***
- (b) FT-25 Audit Plan***
- (c) FT-26 Audit Checklist and Report***
- (d) FT-27 NCR Report***
- (e) FT-28 Technical Expert Report***

6.0 References

- (a) PCP-11 Procedure for Planning and Preparation of Audit***
- (b) PCP-23 RMC Protocol***
- (c) PCP- 24 VCSLSP Protocol***

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Elements for Opening Meeting (Annexure - 01)

The team leader shall chair the meeting and cover the elements defined below in the opening meeting and the degree of detail shall be consistent with the familiarity of the client with the audit process

- a) Introduction of participants, including an outline of their roles
- b) Confirmation of the scope of the certification
- c) Confirmation of the audit plan (including the type, scope of the 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 clients management
- d) Confirming 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 regarding confidentiality
- g) Confirmation of compliance to relevant work safety, emergency and security procedures by 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 specific to the scheme
- j) Information about the conditions under which the audit may be prematurely terminated (e.g. Criteria for assessment not completed - MRM and Internal Audit not done; non co-operation on the part of auditee to furnish required information; Objective evidence of poor implementation throughout organization, or any specific requirement of the scheme etc.)
- k) Confirmation that the audit team leader and audit team representing WOODCERT is responsible for the audit and shall be in control of executing the audit plan including audit activities and audit trials,
- 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) Confirming that during the audit the client will be kept informed of audit progress and any concerns
- p) Opportunity for the client to ask questions
- q) Any scheme specific requirements that might need to be addressed

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Elements for closing meeting (Annexure - 02)

- a) Thank the client management
- b) Re-state assessment Criteria used (ref. opening meeting).
- c) Advising the client that the audit evidence collected was based on a sample of information, thereby presence of an element of uncertainty is acknowledged
- d) The method and timeframe for reporting, including any grading of audit findings (as per identification defined in the specific scheme)
 - Description of non-conformances and observations raised
 - Areas requiring improvement.
 - Major Strength and weakness of the organization. .
- e) WOODCERT's process for handling non conformities including any consequences relating to the status of the client's certification
 - Recommendation for any additional evaluation tasks as per the specific requirements of the scheme. Agree on the mode of follow up.
 - Recommendations of provisional granting/ denying of certification subject to satisfactory/unsatisfactory identifying the correction and corrective actions for the non-conformities and observations raised and the same accepted by WOODCERT.
- f) The time frame for the client to present a plan for correction and corrective action for any non- conformities identified during the audit
 - Corrective actions shall be submitted to WOODCERT as per the scheme specific requirements or in the absence of specific requirements within 20 workings days from the last date of audit.
- g) WOODCERT's post audit activities
 - Issue of certificate only after all non-conformances is addressed as per the specific requirement of the scheme. Client shall implement the corrective action within the scheme specified time frame and submit the documentary evidence to WOODCERT for verification and their closure.
 - In case of recommendation, state the validity of certificate as per scheme; subject to successful completion of surveillance audits
- h) Information about the compliant and appeal handling processes.
- i) A statement on any diverging opinions regarding the audit findings and / or conclusions between the audit team and the auditee.
- j) Any further point or clarification the team members may wish to present
- k) Opportunity to the client to express their views

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Guidelines for reporting of non-conformities (Annexure – 03)

(a) Convey to the client the non-conformance in a clear and accurate manner so that they later can determine the nature and extent of corrective / preventive action required. Any non-conformance raised should: -

- Be concise and to the point.
- Clearly identify the non-conforming system by reference to the applicable scheme's requirement.
- Support the non-conformance by a summary of evidence gained during audit (e.g. reference to order no., drawing components, letter, specific personnel etc).
- Ensure that non-conformance is a justifiable threat to the system's capability to meet the organization's objectives or the client's requirements.
- Quantify the problem by indicating the proportion of samples found deficient.
- Ensure that the non-conformance is/are meaningful and add value to the organizations system when addressed.
- Be classified as per the scheme specific nomenclature.

(b) The action identified by the client shall include correction and corrective action based on root cause analysis. Root Cause should be attributed to some system deficiencies and should not report like over sight, mistake etc.

(c) Gradation of the non-conformities: -

Non-conformities shall be graded as per the specific nomenclature defined in the scheme

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Root cause analysis (Annexure – 04)

Whenever a problem occurs or a non conformance seen or raised you need to take corrective action to prevent its recurrence. To achieve this you need to get to the root cause of the problem and eliminate the cause which results in a corrective action. Failure to determine the root cause results in treating the symptoms of the problem instead of its cause, in which case, the problem shall return, over and over again. Hence identifying the right root cause is most important.

(1) What is Root Cause Analysis?

Root Cause Analysis is a structured and orderly approach for discovering the systemic sources of operations' problems and their solutions.

Root cause analysis of an operation's problem can best be described and defined as the lack of an adequate business process. Business processes are the designed ways within an organization through which everything gets done: formally or informally, effectively or ineffectively, safely or unsafely, efficiently or inefficiently. Business processes are the only means by which an organization can manage and focus its activities in the direction of quality and efficiency. When any unwanted event occurs, root cause analysis will identify that there were business processes missing, or ill-suited or unsupported that either generated or allowed the event to occur.

The fundamental premise of root cause analysis is that the organization can prevent recurrence of problems through the discovery and elimination of root causes. Thus, root causes are considered systemically and internally controllable. Because organizations control their operations through the application of business processes, a root cause can be viewed and defined as the lack of an adequate business process. Thus, root cause analysis can alternatively be defined as an orderly process for identifying and preventing the consequences of inadequate business processes.

The goal of a Root Cause Analysis is to find out:

- What happened?
- Why it happened?
- What can be done to prevent the problem from happening again?

(2) Methods of root cause analysis:

A straight forward individual approach to root cause analysis is known as "Five Whys". Starting with the basic question, the answer is used for the next "why question". This process is repeated at least five times (five is a good rule of thumb), in order to encourage you to dig down deeply for answers. In an organizational context, generally the root cause analysis is carried out by a team of persons related to the problem. No specialized skill is required. Also

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note that the actual number of whys is not important as long as one gets to the root cause. Although the technique is called “5 whys”, one may find that one will need to ask the question fewer or more times than five before one will find the issue related to the problem.

(3) Benefits Of The 5 Whys

- Help identify the root cause of a problem.
- Determine the relationship between different root causes of a problem.
- One of the simplest tools; easy to complete without statistical analysis.

(4) When Is 5 Whys Most Useful?

- When problems involve human factors or interactions.
- In day-to-day business life;

(5) How to Complete the 5 Whys?

- a) Write down the specific problem. Writing the issue helps to formalize the problem and describe it completely. It also helps a team to focus on the same problem.
- b) Ask WHY the problem happens and write the answer down below the problem.
- c) If the answer you just provided doesn't identify the root cause of the problem that you wrote down in step 1, ask WHY again and write that answer down.
- d) Loop back to step c until the team is in agreement that the problem's root cause is identified. Again, this may take fewer or more times than five Whys.

(6) “5 Whys” Examples

The following examples will help you to understand the method

(a) Example 1

Problem Statement: Customers are unhappy because they are being shipped products that don't meet their specifications.

- 1. Why** are customers being shipped bad products?
-Because manufacturing built the products to a specification that is different from what the customer and the sales person agreed to.
- 2. Why** did manufacturing build the products to a different specification than that of sales?
- Because the sales person expedites work on the shop floor by calling the head of manufacturing directly to begin work. An error happened when the specifications were being communicated or written down.
- 3. Why** does the sales person call the head of manufacturing directly to start work instead of following the procedure established in the company?
- Because the "start work" form requires the sales director's approval before work can

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begin and slows the manufacturing process (or stops it when the director is out of the office).

4. Why does the form contain an approval for the sales director?

- Because the sales director needs to be continually updated on sales for discussions with the CEO.

In this case only four Whys were required to find out that a non-value added signature authority is leading to cause a process break-down

Corrective Action: Come up with a system that keeps the sales director updated

(b) Example -2

Problem Statement: My car will not start

1. Why my car will not start?

- Because the battery is dead

2. Why the battery is dead?

- Because the alternator is not functioning

3. Why the alternator is not functioning?

- Because the alternator belt has broken.

4. Why the alternator belt has broken?

- Because the alternator belt was well beyond its useful service life and has never been replaced

5. Why The alternator belt was well beyond its useful service life and has never been replaced?

- Because I have not been maintaining my car according to the recommended service schedule. (The root cause)

Corrective Action: Maintain the car as per the service schedule