

Document Type:	ISO 17065 Procedure	Document Number	MBS-CID-P830
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1. PURPOSE

The procedure describes the processes involved during the surveillance audit of an organization that is certified under the MBS-CID Product certification.

2. SCOPE

This procedure applies to surveillance audits.

3. RESPONSIBILITIES

- 3.1. Director of Quality Assurance Services is responsible for implementation of this procedure.
- 3.2. Deputy Director of Quality Assurance Services is responsible for execution of plan for inspections.

4. PROCEDURE

4.1. Planning surveillance

- 4.1.1. Every certified client shall be visited onsite at least once a year for surveillance inspection (Refer to Fig.01). The surveillance shall involve drawing samples from the factory during the onsite surveillance and from the market, respectively. Frequency may be increased depending on the performance of the certified client and risk associated with the client's operation.
- 4.1.2. The first surveillance audit shall be conducted within 12 months from the day of the certification decision.
- 4.1.3. An auditor and/or audit team shall be appointed and the decision shall be based on:
 - a) Nominations made during the application review.
 - b) The required NACE codes (scope sector codes) and/or food chain categories.
 - c) The overall competence needed to achieve the objective of the audit.
 - d) Audit objectives, scope, criteria and estimated audit time.
 - e) Certification requirements, including any applicable statutory, regulatory or contractual requirements.
 - f) Language and culture.
 - g) Impartiality.
- 4.1.4. The auditor shall prepare the surveillance audit plan MBS-CID-P810-F03 and the relevant surveillance audit working documents. The audit process guideline MBS-CID-P810-GL01 shall be used for guidance.
- 4.1.5. Surveillance audits shall also be planned taking into consideration the following aspects:
 - a) Representative areas and functions covered by the scope of the client's certification.
 - b) Internal audits.

Document Type:	ISO 17065 Procedure	Document Number	MBS-CID-P830
Revision number	00	Effective date	31 st December 2024

- c) Management review.
- d) Review of actions taken on non-conformities identified during the previous audit including consumer complaints.
- e) Effectiveness of the management system with regard to conforming to the requirements for which certification was based and the intended result of the management system.
- f) Progress of planned activities aimed at continual improvement.
- g) Continuing operational control.
- h) Review of any changes to the audit client and the audit client's management system.
- i) Use of any marks and/or any other reference to certification.

4.2. Surveillance activities

4.2.1. During the visit to the factory the auditor (s) shall:

- a) Conduct an audit according to the audit plan (MBS-CID-P810-F03) and conduct the audit according to the guideline for conducting a technical audit (MBS-CID-P810-GL01).
- b) Inspect the factory thoroughly with respect to raw materials, storage, manufacturing process, the controls exercised at intermediate stages of production; and examine the results of incoming inspection and / or test certificates of raw material or bought out components or sub-assemblies.
- c) Check availability of relevant standards and examine the various test procedures that are being followed for onsite laboratory analysis to ensure conformance to any given specifications.
- d) Check records of production, laboratory testing (onsite or if outsourced), and calibration of instruments.
- e) Check if there is any change regarding the manufacturing machinery and test equipment declared earlier and whenever there is a change a fresh declaration should be made by the certified client in writing.
- f) Check whether the certified client has taken all the actions asked for during the previous inspections, if not; take appropriate action.
- g) Draw samples of the product in adequate quantity as specified in the respective product certification scheme (s) for analysis by the Testing Laboratory contracted by MBS-CID. One sample properly sealed and labelled should also be left with the certified client as counter sample.

The following shall be addressed with regarding to samples of the certified clients;

- Where the certificate covers a number of sizes, types, grades of the product every effort shall be made to cover the entire or maximum possible range during the operative period of the certificate.
- Record names and addresses of the consumers to whom the material with the Certification Mark has been recently supplied to facilitate drawing of market sample (s).

Document Type:	ISO 17065 Procedure	Document Number	MBS-CID-P830
Revision number	00	Effective date	31 st December 2024

- h) On completion of the surveillance audit, the auditor shall communicate to the client the preliminary audit outcome of the observations made during the audit. This shall be done as part of the closing meeting.

4.2.2. Auditor shall prepare and submit a surveillance audit report MBS-CID-P810-F11 to MBS-CID through the Senior Certification Officer for review on its completeness and acceptance of conclusions and recommendations. The Senior Certification Officer shall assign a reviewer independent from the audit done based on the required competences. On non-approval of the surveillance audit report, the Auditor shall apply the required corrections in order to have the report approved. On approval, the audit report shall be communicated to the client.

4.2.3. Samples shall be drawn twice in a year (from the point of production and market, respectively) for the certified products for testing against the relevant standards as part of surveillance assessments. Market samples shall be collected based on the Guidelines for purchase of market samples (MBS-CID-P830-GL01).

5. REFERENCES

No	Document / information
5.1.	ISO/IEC 17065:2012 – Conformity assessment – Requirements for bodies certifying products, processes and services
5.2	ISO/IEC 17067: 2013-Conformity assessment — Fundamentals of product certification and guidelines for product certification schemes

6. RECORDS & FORMS

No	Record & form title	Number
6.1	Format for nomination of audit team	MBS-CID-P810-F01
6.2	Intimation of the audit team and date	MBS-CID-P810-F02
6.3	Technical audit plan	MBS-CID-P810-F03
6.4	Opening and closing meeting agenda	MBS-CID-P810-F04
6.5	Opening and closing meeting attendance register	MBS-CID-P810-F05
6.6	Onsite inspection checklist (general)	MBS-CID-P810-F06
6.7	Onsite inspection checklist (food)	MBS-CID-P810-F07
6.8	Audit trail	MBS-CID-P810-F08
6.9	Audit non-conformance report	MBS-CID-P810-F09

Document Type:	ISO 17065 Procedure	Document Number	MBS-CID-P830
Revision number	00	Effective date	31 st December 2024

6.10	Auditor's audit log sheet	MBS-CID-P810-F10
6.11	Onsite audit/inspection report	MBS-CID-P810-F11

7. RELATED PROCEDURES & GUIDELINES

No	Procedure & guideline title	Number
7.1	Guideline for process audit	MBS-CID-P810-GL01
7.2	Guideline for Drawl, Coding, Sealing and Dispatch of Samples	MBS-CID-P810-GL02
7.3	Guideline for grading findings	MBS-CID-P810-GL03
7.4	Guidelines for Purchase of Market Samples	MBS-CID-P830-GL01

8. DOCUMENT HISTORY

Rev	Description of change	Effective date
0.0	New document	31/12/2024

Document Type:	ISO 17065 Procedure	Document Number	MBS-CID-P830
Revision number	00	Effective date	31 st December 2024

FIGURE1- FLOW CHART FOR FACTORY SURVEILLANCE

