





PSA

**Subject: Surveillance Procedure**

**Document Title**

Surveillance Procedure

**Document NO**

QSP7.13

**Outlines the process used by PSA to develop the annual Audit plan for evaluation customer.**

Code: **QSP-PSA-7.9**

February 2019

**1 PURPOSE AND SCOPE**

1.1 This procedure outlines the process used by PSA to develop the annual Surveillance plan for certified ASO farms.

**URVEILLANCE AUDIT**

**Surveillance Planning** Surveillance audit shall be identified 3 months prior to the due date by PM, the client must be communicated about the due date and proposed date of Surveillance audit. PM shall monitor the effectiveness of Surveillance audits on monthly basis. If the client does not confirm the Surveillance Audit date latest within 7 days of due date, letter of suspension is issued to the client. After the issuance of the Suspension letter, letter of cancellation is issued to the client on the next date of due date. Any justification provided by the client for the postponement of the audit is recorded has to be approved by PM/CEO and recorded in the client file.

Surveillance audits are on-site audits, but are not necessarily full system audits. Surveillance audits planned together with the other surveillance activities so that the certification body can maintain confidence that the certified management system continues to fulfill requirements between recertification audits. The Assigned team leader is responsible for conducting and managing the assessment along with another team member, if any. The Team Leader shall be of Auditor status as a minimum. The team leader also ensures that any Technical Expert / Specialist are not allowed to function independently and are always accompanied by Auditor/ Lead Auditor.



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The surveillance audits conducted at least once a year and the date of the first surveillance audit following initial certification shall not be more than 12 months from the last day of the stage 2 audit.

The of surveillance audit is to ensure following:

1. Ensure that the client's management system which was basis of grant of certificate has been maintained on continuous basis.
2. Verify and ensure that any changes to management system which might have taken place since last audit meet the requirement of the standard/ specification and implemented effectively
3. Ensure on-site audits assessing the certified client's management system's fulfillment of specified requirements with respect to the standard to which the certification is granted.
4. Ensure that the management system continues to be appropriate to the product/ process/ service offered by client, with the capability of managing and improving performance.
5. Assess Continual Improvement is client's management system
6. Additionally, client's statements with respect to its operations (e.g. promotional material, website). Also, reviewed during each surveillance audit.
7. Enquiries from the certification body to the certified client on aspects of certification.
8. Requests to the client to provide documents and records (on paper or electronic media),
9. Other means of monitoring the certified client's performance,
10. Internal audits and management review,
11. A review of actions taken on nonconformities identified during the previous audit.
12. Actions taken on customer complaints.
13. Effectiveness. Of the management system with regard to achieving the objectives.
14. Progress of planned activities aimed at continual improvement
15. Continuing operational control
16. Review of use of PSA & ASO marks
17. Verify the CCP for the respective objectives and targets
18. Hazard CCP Identification & Assessment Controls
19. Compliance towards Legal & Other requirement including customer requirements
20. Verify the management systems at the temporary site.
21. Verify the management systems at the Multisite based on the Audit Program.



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**7.5** The team leader shall review the client file, specially the last audit report to make note of any issues to be followed up, including the non-conformities and corrective action plan. Audit plan shall be sent to clients in advance so that they can seek any changes with respect to timing etc, if found inconvenient due to administrative reasons.

**7.6** Audit should be conducted (at least annually and it shall be ensured that the date of first surveillance audit shall not be more than 12 months from the last day of stage 2 audit.) as per Surveillance audit plan given in the last audit report but if there is any change due to any justified reasons, the same should be recorded in auditor notes and surveillance audit plan shall be updated in the report.

**7.7** During opening and closing meeting, the attendance record sheet is circulated for recording name and designation of the client representative present. Either each person can record their name & designation or one person can do so for all present.

**7.8** The corrective action taken on non-conformities identified during last audit should be verified for its effectiveness. If the corrective action taken is not satisfactory/ non-taken, the severity of the minor NC shall be re-issued escalated to Major and client shall be advised accordingly.

**7.9** Non-conformity reporting, report preparation, report distribution, requirement of PSA (in case NC is raised) shall be similar to certification audit procedure

**7.10** If due to change in site address/ scope required re-issue of certificate, the “Certification Details” in the report shall be completed and client data base shall be updated.

**a)** Any significant changes like change in manpower, process necessitating change in subsequent audit duration shall be recorded and post contract review is done by PM

**b)** Other changes like change in contact number/ person etc shall also be recorded in the report for updating client data base,

**7.11** The multi-site client shall be audited the same way except that instead of auditing all sites, sampling of sites shall be followed as per the contract review.

**7.12** In case major NC is found at any site the entire certificate of all sites shall be at Risk.

**7.13** The surveillance report is submitted by the Lead Auditor in PSA, and shall be approved by the CEO/PM.

ANEXX

1.[ASC](#)

2.[MSC](#)