

## **1.0 Applicable Standards**

ISO 17021

## **2.0 Purpose**

This procedure describes the approach to be used for establishment of pre-certification and surveillance/recertification activities for client and Husk Registrars, LLC.

## **3.0 Scope**

This procedure applies to the following:

- Pre-certification/Initial Audit
- Surveillance audits
- Recertification audits
- Special audits/Scope Expansion/Scope Reduction/Transfer (Non-MLA and MLA)

## **4.0 Authority and Responsibility**

The President is responsible for ensuring that that the pre-certification activities, surveillance audits, recertification audits and special audits are done according to this procedure.

## **5.0 Procedure**

## Pre-certification Activities

### 1. Client submits application for initial certification

- Exchange of information between certification body and client
- Review of application for certification
- Identification of areas of concern and request for clarification
- Acceptance or Rejection of Application
- Development of audit program
- Proposal for certification and confirmation of audit program
- Client and certification body engage in formal arrangements for certification

### 2. Initial certification planning/certification activities

- Select and appoint competent auditor/auditors
- Planning for Stage 1 Audit
- Conduct Stage 1 Audit
- Resolve Stage 1 Audit non-conformances
- Decision to proceed
- Plan for Stage 2 Audit
- Conduct Stage 2 Audit
- Resolve Stage 2 Audit non-conformances
- Initial certification audit conclusions

### 3. Initial Certification Decision

- Review of all documents
- Refer to Certification Committee
- Granting of initial certification and issue of documents
- Confirm or adjust audit program and appropriate follow up and surveillance activities including frequency and duration. Special audits taken into consideration.



## Audit Certification and Surveillance

Page: 3 of 4  
Original Issue Date:  
01.20.2019  
Revision: 2

### On-Going Surveillance/Recertification Activities

4. Surveillance audits conducted at least once per year. The date of the first surveillance audit shall not be more than 12 months after the initial certification decision date.
5. Exchange of information between client and certification body (change of scope, etc.); determine if audit program change is required.
6. Recertification audit planning
7. Confirm audit program and communicate to client
8. Confirm competent audit team
9. Plan for surveillance/re-certification audit
10. Conduct surveillance/recertification audit
11. Resolve surveillance/recertification audit areas of concern.
12. Surveillance/recertification audit conclusions
13. Independent review of audit and certification/recertification decision
14. Granting or continuation of certification
15. Confirm or adjust audit program and appropriate follow up and surveillance activities including frequency and duration. Special audits taken into consideration.

### Special Audits

16. Husk Registrars, LLC, in response to an application for expanding the scope of a certification already granted, undertakes a review of the application and determines any audit activities necessary to decide whether or not the extension may be granted. (This may be conducted in conjunction with a surveillance audit)

### 17. Short - notice audits

If it is necessary for Husk Registrars, LLC to conduct audits of certified clients at short notice or unannounced to investigate complaints or in response to changes or as follow up on suspended clients:

**Any printed or saved version of this document is uncontrolled unless printed or stamped with the word "Controlled" in red and issued by Management**



**Audit Certification and  
Surveillance**

**Page: 4 of 4**  
**Original Issue Date:**  
**01.20.2019**  
**Revision: 2**

- a) Husk Registrars, LLC will describe and make known in advance to the certified clients the conditions under which these short notice visits are to be conducted and
  
- b) Husk Registrars, LLC exercises additional care in the assignment of the audit team because of the lack of opportunity for the client to audit team members.

