



Certification Body (CB) audits by accreditation bodies are crucial for maintaining the integrity and credibility of industry standards and certifications. These audits ensure that certification bodies operate according to established guidelines, maintaining high levels of competency, impartiality, and consistency.

By fostering trust among consumers, businesses, and regulators, CB audits guarantee that certifications are reliable and prevent malpractices. Additionally, they drive continuous improvement within certification bodies by identifying areas for enhancement and encouraging the adoption of best practices.

tSTF Requirements:

The audit will cover the following elements:

- 1 Process of senior management oversight**
- 2 Quality control system**
- 3 Audit process management**
- 4 Control of communication**
- 5 Impartiality and ethical standards**
- 6 Training and skill upgradation process**
- 7 Customer management**
- 8 Appeals process**
- 9 Data and document management**

1	Process of senior management oversight
1.1	Designated senior management personnel for oversight of the trustea program with responsibility matrix
1.2	Periodicity of program review
1.3	Elements of review and actions thereof
1.4	Valid audit agency agreement with trustea and compliance to the requirements
2	Quality control policy
2.1	Quality control framework adopted by the audit firm in conducting audit
2.2	Whether the firm has implemented a system of quality control that meets program requirements
2.3	Elements relating to audit quality of companies:

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2.4	Compliance process to defined Quality Control System
2.5	Whether the policies and procedures are adequate to provide reasonable assurance of complying with technical standards.
2.6	Record of observations on of lack of compliance with technical standards
3	Audit process management
3.1	Compliance to trustee audit process
3.2	Audit plan
3.3	Audit notice
	Audit team composition
3.5	Whether the skill and competence of auditors are considered before assignment
3.6	Audit report preparation
3.7	Whether evidence based approach is followed for audit outcomes
3.8	Audit findings communication and closure verification
3.9	Audit reports and process compliance with trustee technical standards and audit protocol
4	Control of communication
4.1	Communication policy
4.2	Dissemination of information relevant to trustee program
4.3	Process to keep circulation list upto date
4.4	Review of the effectiveness
5	Impartiality and ethics policy/policies
5.1	Whether the CB has a impartiality and ethics policy
5.2	Adequacy of the policy
5.3	Training to auditors on the ethics and impartiality policy/policies
5.4	Steps to ensure impartiality of audit decisions
5.5	Mechanism to deal with feedback on ethical/impartiality violations
5.6	Whether independence and compliance to conflict of interest of the CB and their empanelled auditors is maintained in conducting audit.
6	Training and skill upgradation
6.1	Method of Skill gap analysis and training plan for auditors
6.2	Skill and competence mapping and assurance
6.3	Continuous skill upgradation plans

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6.4	Review of training effectiveness
7	Customer management
7.1	Customer engagement process
7.2	Quotation and Contracting
7.3	Audit engagement as per trustee guidelines
7.4	Transparency and completeness of pre contract information
7.5	Post contract customer management
7.6	Customer grievance handling and escalation
7.7	Customer satisfaction feedback mechanism and review of same.
8	Appeals process
8.1	Defined process of appeals for customer on audit outcome
8.2	Clear communication to customer on right to appeal
8.3	Record and disposal of appeals
8.4	Escalation matrix on appeals
9	Data and document management
9.1	Data and document management policy
9.2	Is the policy in line with trustee requirements
9.3	How is the retention and integrity of data ensured
9.4	Data privacy policy and communication of same to customer
9.5	Safeguards against breach of customer confidential data