### Audit phases:

**Audit preparation covers:**
- assessment of significant changes reported by the client since the last audit
- assessment of client related market surveillance data collected by TÜV SÜD either in public media or internal data base
- creation/updating of audit program/assessment plan, which covers the certified scope over the entire certification cycle
- scheduling and audit planning

**Stage 1 Audit**

This is an assessment of readiness for the Stage 2 Audit. This Audit is conducted by your Lead Auditor on-site, and may in exceptional cases be a mere document review and includes the following activities:
- Review the management system documentation related to compliance with audit criteria
- Review key performance or significant aspects regarding the scope and operation of the management system
- Collect and assess necessary information regarding the scope of the management system and respective statutory and regulatory requirements related to the role of the audited organization.
- Evaluation if internal audits and management review are performed and if the level of implementation substantiates the organization’s readiness for the Stage 2 Audit
- Planning of the Stage 2 Audit, including confirming the audit team authorization requirements

**Stage 2 Audit, Surveillance Audits, and Re-Certification audits are on-site assessments**

which are conducted by an audit team for the following purposes:
- Determine conformance of the management system with the audit criteria (MS-Standard and/or regulatory requirements)
- Evaluate the effectiveness of the management system in meeting its specified quality objectives
- Evaluate the capability of the management system to ensure compliance with relevant statutory, regulatory and contractual requirements
- Evaluate the effectiveness of the management system to ensure that agreed requirements for products and/or services are met
- Identify areas for potential improvement of the management system,
  unless prohibited by the requirements of a management system certification scheme.
- Evaluate the implementation and effectiveness of corrections and corrective actions related to non-conformities of previous audits (if applicable).

**Follow-up of open items includes:**
- Evaluation of the implementation and effectiveness of corrections and corrective actions related to major non-conformities and/or related to the corrective action plan for minor non-conformities of the audit conducted (if applicable).
- Preparation and completion of the audit documentation, which includes an audit submission package for the certification body as well as the audit report including attachments for the client.

**Certification decision:**
- The audit team gives a recommendation to the certification body, whether or not to grant certification, together with any conditions or observations
- The certification body is responsible for decisions relating to certification, including the granting, refusing, maintaining of certification, expanding or reducing the scope of certification, renewing, suspending or restoring following suspension, or withdrawing of certification.