



World Sailing

In-House Certification -Audit Plan-

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ABBREVIATIONS

WS	World Sailing
ERS	Equipment Rules of Sailing
RRS	Racing Rules of Sailing
CS	Certification System
AA	Authorising Authority
MNA	World Sailing Member National Authority

Audit Plan

A.1 Introduction

Accountability is the main element of control within the WS In-house Certification Programme and accountability is achieved primarily through a regime of audits, formal and routine. This paper sets out an overview of a formal audit plan typically implemented by an IHC licensed manufacturer to measure their accountability. Within the Programme other, less formal or routine audits will be necessary. Details of these will be included in the appropriate documentation.

A.2 Audit outline Plan

Time plan	Type	Authority	Objective
Set by the Manufacturer	CS Internal	Manufacturer	To establish the viability of their intended CS
At the time requested by the Manufacturer	CS External	AA	To establish the viability of the intended CS (pre-audit)
Not before 1 month after pre-audit	CS External	AA	To approve the viability of the intended CS and issue license (final audit)

Issue of IHC License

Time plan	Type	Authority	Objective
1 month after achieving License	Surveillance Internal	Manufacturer	To check CS is achieving objectives
3 months after achieving License	Surveillance Internal	Manufacturer	To check CS is achieving objectives
6 months after achieving License	Surveillance External	AA	To check CS is achieving objectives
Every 3 months	Surveillance Internal	Manufacturer	To check CS is achieving objectives
Every 12 months	Surveillance External	AA	To check CS is achieving objectives
Every 3 years	CS External	AA	To establish the continued viability of the CS

In Case of Non-Conformity

Time plan	Type	Authority	Objective
After change of CS	Non-conformity Internal	Manufacturer	To check corrective actions achieving objective
After change of CS	Non-conformity External	AA	To check corrective actions achieving objective
1 month after change of CS	Non-conformity External	AA	To check corrective actions achieving objective

A.2.1 CS Management

The CS (Certification System) audits will thoroughly ascertain that the system that the manufacturer has set up ensures control of the procedure leading to equipment certification and avoids the certification of non-conformities.

During a Surveillance audit, the auditor will sample the system's documentation to ensure that this confirms the compliance of certificated equipment and demonstrates adequate traceability.

A non-conformity audit is to ascertain that changes to a CS made subsequent to detection of non-conforming certificated equipment ensure that such certification does not re-occur.

A.3 Minimum Criteria for Auditors

A WS IHC auditor shall, as a minimum:

A.3.1 Have updated knowledge of:

- a) The WS IHC Programme, it's purpose and documents
- b) Relevant applicable ISO 9001:2015 chapters according to the records listed in Appendix 1, to be kept by the Manufacturer

A.3.2 Be independent and have no vested interest and have declared such with an AA.

A.3.3 Be able to demonstrate at least 1 year of previous auditing activity.

An auditor with ISO 9001:2015 standard knowledge and certified by an internationally accreditation Certification Body would be suitable for appointment.

Appendix 1

Cross reference of ISO 9001 sections to sections in the WS IHC Minimum Certification System Criteria (MCSC)

ISO 9001*	Description	MCSC
7.2,7.3,7.4	Competence, awareness and communication	1,2
5.3	Organizational roles, responsibilities and authorities	1,2
7.5.3	Control of documented information	3
7.5	Documented information	3
8.4	Control of Externally provided processes, Products and Services	4,5
8.5	Control of production and service provision	7,10
8.5.2	Identification and traceability	6,7,11
8.5.4	Preservation	8
8.5	Production and Service provision	9
8.6	Release of products and services	10,11
8.7	Control of Non-Conforming Outputs	12
10.2	Nonconformity and corrective action	13,14

* Where applicable according to the MCSC