

1. Audit Plan

The audit plan for the certification cycle shall cover the complete management system requirements

The audit plan shall include a two-stage initial audit, surveillance audits in the first and second years, and a recertification audit in the third year prior to expiration of certification.

The three-year certification cycle shall begin with the certification or recertification decision.

Surveillance audits shall be conducted at least annually. 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 audit plan shall take into consideration the size / scope of the client organisation, its complexity of its management system, products and processes as well as demonstrated level of management system effectiveness and results of any previous audits as per V5 Audit Programme. PTS shall take into account any other audits / certification already granted to the client. PTS shall collect sufficient verifiable information to justify and record any adjustments to the audit plan.

The audit plan shall follow the flowchart as per page 2. Consideration should be given with regard to the client, its organisation, processes, and management system and if they require any accreditation and/or certification changes and the risk and complexity this may have with may have legal implications and the client and their customers' requirements and expectations.

Due regard should be given to the competence of each member of the audit team and if the need to audit any temporary sites has to be considered.

Results of stage 1 audit or any other previous audits and other surveillance activities and information gained during previous audits along with any complaints that may have been received about the client

Additional considerations when developing or revising the audit plan or scope should include –

- i. Products and processes including services
- ii. Site(s) to be audited
- iii. Requirements of Sector or regulatory schemes
- iv. Audit time required for each audit activity
- v. Eligibility for sampling
- vi. Shift timings
- vii. Etc, etc

Audits may include remote auditing techniques such as interactive web-based collaboration, web meetings, teleconferences and/or electronic verification of the client's processes. If remote auditing activities are utilised, the requirements of IAF MD4 shall be applied. Details of activities shall be identified in the audit plan and time spent on these activities shall contribute to the total duration of the management system audits.

2. Assessment Audit Requirement

T2 Assessment Requirement Procedure and all other associated procedures shall be followed for the requirements in line with CPR (EU) No 305/2011

PTS Product Acceptance Scheme (PTSPAS) in accordance with MCHW SHW Volume 1 Clause 104.15 and 104.16 and other associated processes / procedures / documents shall be followed for the requirements for ongoing site assessments and review period in line with BS EN ISO 13108-21

3. Review

Monitoring and measurement of the audits form part of the Annual Management Review agenda.

