

R20.11: ISO Registration Audit Procedures Flow Chart

A. Pre-Registration Audit Procedures

<p>1. OBTAINING INFORMATION, APPLICATION, SURVEY AND OTHER INITIAL DOCUMENTATION</p>	<p>Applicant requests details of registration. SRI sends an application package to the applicant, who completes and returns the <i>SRI Registration Survey</i>, R20.28, to registrar in order to obtain a cost proposal.</p>
<p>2. ESTABLISH REGISTRATION SCOPE AND COST</p>	<p>SRI receives the R20.28 survey, reviews all aspects of registration, and prepares a written cost proposal for a "site", "corporate", "progressive" and/or "sampling" approach.</p> <p>After receipt and acceptance of the proposal, the applicant;</p> <ol style="list-style-type: none"> a) notifies SRI by phone or fax, and provides whatever details are needed to best establish estimates of scheduling, b) completes the application, and returns it to SRI with: <ol style="list-style-type: none"> 1. application fee, 2. purchase order for total\$ for registration/ pre-audit, 3. A completed R20.3, <i>SRI Application and Cost Proposal Terms and Conditions</i>. <p>Upon receipt of the above three items, SRI formally reserves the slots on the audit schedule, and sends to the client additional information concerning the registration process.</p>
<p>3. AUDIT TEAM SELECTION</p>	<p>SRI determines the most appropriate lead auditor, and sends client biographies of the auditor(s) to the client for confirmation of avoidance of a conflict of interest.</p>
<p>4. PRE-ASSESSMENT</p>	<p>Over 90% of all clients request a pre-assessment of duration equal to 1/2 to 3/4 of the proposed man-days for the registration audit. A minimum of one day is suggested for the initial site.</p> <p>At the pre-assessment, the lead auditor will review the results of the quality manual review and report, sample lower level documentation and some limited implementation verification. Also, an audit plan draft is developed. All logistics are defined, and scheduling established for upcoming audit(s). If needed, revisions in documentation are requested. The registration audit is normally scheduled <u>at least 8 weeks</u> after the pre-assessment, with the timing depending on expected client readiness and lead auditor availability.</p>
<p>5. AUDIT PLAN</p>	<p>An audit plan and (if applicable) results of the pre-assessment documentation review are reported to applicant and team members before the on-site registration Stage 1 assessment.</p>

B. ON-SITE REGISTRATION – STAGE 1

<p>1. STAGE 1 AUDIT</p>	<p>The Stage 1 audit is performed to:</p> <p>Review the management system documentation and to evaluate the applicant organization's location and site-specific conditions and to undertake discussions with the organization's personnel to determine the preparedness for the Stage 2 audit.</p> <p>Review the organization's status and understanding regarding requirements of the standard, in particular with respect to the identification of key performance or significant aspects, processes, objectives and operation of the management system;</p>
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Collect necessary information regarding the scope of the management system, processes (complete the R20.44X Process Matrix) and location(s) of the client organization, and related statutory, regulatory aspects and compliance, e.g., quality, environmental, legal aspects of the organization's operation, associated risks, etc.;

Review the allocation of resources for Stage 2 and agree with the organization on the details of the Stage 2 audit;

Evaluate if the internal audits and management reviews are being planned and performed and that the level of implementation of the management system substantiates that the organization is ready for the Stage 2 audit.

Stage 1 audits are typically performed at least 8 weeks prior to the planned Stage 2 event.

Stage 1 audit results are documented and communicated to the organization including identification of any areas of concern that could be classified as a nonconformance during the Stage 2 audit.

2. AUDIT PLAN

A registration audit plan and results of the Stage 1 assessment are reported to applicant and team members before the Stage 2 registration assessment. All nonconformances related to the Stage 1 event are typically cleared before proceeding to the next step.

C. On-Site Registration – Stage 2

1. TEAM PRE-AUDIT MEETING

Audit team meets privately to start the first day.

2. PRE-AUDIT CONFERENCE

A formal opening meeting is held with applicant.

3. PHYSICAL AUDIT

Physical audit occurs over all days involving the examination of objective evidence.

4. FINAL DAY TEAM MEETING

Audit team meets privately to prepare conclusions.

5. MEETING WITH THE MANAGEMENT REP

Audit team presents summary of observations, and required corrective actions. The client has 30 days to respond with their plan of corrective action, and up to 6 months to complete approved corrective actions. If a follow-up corrective action audit is needed, an approximate schedule is defined.

6. POST-AUDIT CONFERENCE

The audit team presents the audit findings, answers any questions, and provides written results. A formal typed report is provided shortly thereafter from the SRI office.

D. Post-Audit Registration Procedures

1. REPORTING

SRI reports the audit results, and any nonconformance requiring corrective action, to the client.

2. CORRECTIVE ACTION PLANS AND EVIDENCE

Corrective action plans and improvement evidence is provided to registrar by the client, for SRI review and acceptance.

3. FOLLOW-UP AUDIT

If required by SRI, a member of the audit team conducts a continued assessment focused on corrective actions areas.

4. DECISION ON REGISTRATION	After a recommendation for registration is received from the Audit Team Leader, the audit documentation is submitted for review and approval to the SRI Registration Review Panel, RRP. After registration acceptance, SRI contacts the client with news of the registration decision.
5. APPEALS	The applicant always has the option to appeal or enter a complaint.
6. REGISTRATION	After meeting all registration requirements, signing the SRI registration agreement, and paying all outstanding fees, the client is issued a registration certificate... and becomes an SRI registrant.

E. Post-Registration Procedures

1. SURVEILLANCE	Surveillances are conducted at typical intervals of six months, but may range up to one year under specific conditions, commencing with the date of the last day of the registration audit. All other conditions of the registration must be maintained by the registrant.
2. RENEWAL SURVEILLANCE	As agreed at registration, the renewal surveillance occurs at the end of three years. Its duration is approximately 2/3 of the initial assessment, depending upon the number and severity of nonconformances observed over the previous three years.