TABLE OF CONTENTS

• Scheduling/Accepting an Audit – Slides 3-6
• Audit Preparation – Slides 7-11
• Non-Conformances (NCRs) – Slides 12-17
• Scheduling the Next Audit – Slide 18-19
• After the Audit – Slides 20-24
• Audit Access – Slides 25-27
• Password Help – Slides 28-30
• RMS Support – Slide 31-32
SCHEDULING / ACCEPTING AN AUDIT
SCHEDULING AN AUDIT

Once your quote is accepted by you in RMS, Scheduling will contact you to schedule your audit(s). Once date(s) are agreed on between you and the auditor, you will receive a notification from RMS via email and on your dashboard. You can click on the link in the RMS email or the task on your dashboard to complete the task.
ACCEPTING AN AUDIT

Clicking on the link in the RMS email or dashboard task will bring you directly to the audit. You can either accept or decline the date(s). You can also add a note for the office or auditor. Once you click accept/decline, click on the Submit button.

By clicking on the auditor’s name, you can view their contact details. (Ex: email and phone number)
ACCEPTING AN AUDIT

• If you have multiple sites, an audit may need to be accepted at each site. RMS will generate a task/notification for each audit that will need to be accepted. Please refer to your dashboard to make sure all audits are accepted.

• All additional sites can be found under the Program Schedule on the Master Audit Program (MAP) page and in the profile under the Locations and Certifications tab.
AUDIT PREPARATION
Once your audit is scheduled, you will receive a notification from RMS to complete the QMS/EMS/OHS Matrix (RF129).

It is crucial to complete the Matrix and submitted to your auditor 45-60 days prior to your audit. If the audit is scheduled within 60 days of the audit start date, please submit the form quickly so the auditor can prepare the audit plan.

Your auditor will use the information to plan your audit and may contact you with any questions.

If you need assistance completing the form or have any questions, please contact your Account Specialist.
QMS/EMS Matrix

- Click Download Template to download the current QMS/EMS Matrix (RF129).
- Once completed electronically, please click Upload to upload to the Stage 1 and Stage 2 audits.
- Once uploaded, click Submit so your auditor is notified to start reviewing the QMS Matrix and begin planning your audit.

Note: Until the audit closes, all forms can be updated by clicking blue pencil icon.
AUDIT PLAN

• Approximately 30 days prior to the start of the audits, you will receive a notification from RMS informing you that your audit plan has been uploaded.

• If you have any questions about the proposed plan or need to make any adjustments, contact your assigned lead auditor.
Click the blue download arrow to download the audit plan to review prior to your audit.
NON-CONFORMANCES (NCRS)
Once your auditor has SUBMITTED an NCR in RMS, you will receive an email and a task will appear on your dashboard. You can access the NCR by clicking on the link in the email or the task on your dashboard.

Initial responses are due 30 days after the audit end date.
There are 3 sections, within each NCR, that you will need to complete in RMS. Each section will need to be saved/submitted separately.

Once you have completed a section, you can either click Save and complete the section at a later time or you can click Submit for the auditor to review your response. Each section must be submitted for the auditor to respond.

To access the full list of NCRs, click here.

You can click on the + or - sign to expand or collapse each section.
RESPONDING TO NCRS

Once all sections are submitted, your auditor will be notified via RMS and will either accept or reject the responses.

If a section of the NCR is rejected, you will receive an email and a task on your dashboard. Once you enter your new response or upload evidence, click the submit button for the auditor to review your new submissions.
## NCR STATUS

<table>
<thead>
<tr>
<th>NCR Status</th>
<th>Who Can Access</th>
<th>Section Status</th>
</tr>
</thead>
</table>
| Open               | Auditor – Write  
                  Client – Read Only |                                            |
| Submitted          | Client - Write                      |                                            |
| - Correction       | Client – Write  
                  Response Due                      |                                            |
| - Corrective Action | Client – Write  
                  Response Due                      |                                            |
| - Containment      | Client - Write                      |                                            |
| - Root Cause       | Client - Write                      |                                            |
| Response in Progress |                                            | The overall status of the NCR changes as soon as one of the sections of one of the NCRs is submitted by the client |
| - Response Due     | Client – Write  
                  Auditor – Read Only                      |                                            |
| - Response Submitted | Auditor – Write  
                  Client – Read Only                      |                                            |
| - Response Rejected | Client – Write  
                  Auditor – Read Only                      |                                            |
| - Response Accepted | Auditor – Read Only  
                  Client – Read Only                      | THE NCR is LOCKED for the audit and status will change to PENDING VERIFICATION in the next audit for the client and Auditor to upload evidence and verify. |
| - Request for Evidence | Auditor - Write  
                  Client – Only Upload Evidence          |                                            |
| - Response Verified | Locked (Read Only)                   |                                            |
| Response Accepted  | Auditor – Write  
                  Client – Read Only                      |                                            |
| Closed             | Locked (Read Only)                   |                                            |

While you are responding to your NCRs, there are a few status’s the NCR will go through and you will only have access in certain status’s
For additional assistance in responding to NCR’s, please review our NCR Guidance document.
SCHEDULING THE NEXT AUDIT
SCHEDULING THE NEXT AUDIT

• Prior to your auditor leaving your facility, an audit date for the following year should be determined.
  • If the next audit is a recertification (recert) audit, Scheduling will contact you 6-9 months prior to your certificate expiration date to set up dates.

• The audit duration is available in RMS and should be referenced when selecting dates. Dates should be chosen based on target dates:
  • +/- 60 days from the certificate expiration date

• The auditor will enter the dates on the Audit Report tab in RMS and Scheduling will use these dates to schedule your next audit
AFTER THE AUDIT
While you are waiting for your audit to close, there are a few status’s your audit will go through in RMS.

<table>
<thead>
<tr>
<th>Status</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Initialized</td>
<td>The audit is not scheduled</td>
</tr>
<tr>
<td>Request to Schedule</td>
<td>The audit needs accepted by client/auditor</td>
</tr>
<tr>
<td>Scheduled</td>
<td>The audit has been scheduled</td>
</tr>
<tr>
<td>Planning</td>
<td>PDR/Matrix Document is Submitted by Client to auditor.</td>
</tr>
<tr>
<td>Audit Plan Submitted</td>
<td>The audit plan has been submitted by the auditor for the client’s review.</td>
</tr>
<tr>
<td>Report Submitted</td>
<td>The audit report has been submitted to the office for review</td>
</tr>
<tr>
<td>NCR Pending</td>
<td>The NCRs are in process</td>
</tr>
<tr>
<td>Report Rejected</td>
<td>The audit report has been rejected by office and back to the auditor</td>
</tr>
<tr>
<td>Registration Review Pending</td>
<td>The audit report has been forwarded to Expert (Registration) Reviewer for review</td>
</tr>
<tr>
<td>Registration Review Rejected</td>
<td>The Audit report has been rejected by Expert (Registration) Reviewer and back to the auditor</td>
</tr>
<tr>
<td>Expert Review Pending</td>
<td>The audit report has been forwarded to Expert Reviewer for review</td>
</tr>
<tr>
<td>Expert Review Rejected</td>
<td>The Audit report has been rejected by Expert Reviewer and back to the auditor</td>
</tr>
<tr>
<td>Internal Review Pending</td>
<td>The audit report has been forwarded to Internal Reviewer for review</td>
</tr>
<tr>
<td>Closed</td>
<td>The audit is closed</td>
</tr>
</tbody>
</table>
Once you have completed your audit, your certificate will be available for download directly on your Master Audit Program (MAP) page. Issue/Expiration Dates that are listed on your cert are also listed in RMS. To review your completed audit and upcoming audits, click on your company name under Program Schedule. This brings you to the Site Audit Program (SAP) page.
Your completed audits will now be shown as closed. You can click on the name of the audit to review the audit details.
Once the audit is complete you will be able to review the following sections:

- **Audit Report** – Completed by your auditor and includes all your site-specific details. This page can be printed by clicking the Print button.
- **NCR** – You can download the final versions.
- **Audit Program** – Process and Activities that were audited and will be audited in the current certification cycle.
- **Documents** – Includes the sign-in sheet and the QMS/EMS Process Audit Form.
AUDIT ACCESS
• If you hold multiple certifications with PRI Registrar or you have been with PRI Registrar for multiple certification cycles, all of your audit documents are held within RMS and can be accessed on the Certifications tab in your profile.

You can access your profile from the dashboard or by clicking on the company name on the top left-hand corner of any page within RMS.
Click on the Certifications tab to view all your current or previous audit cycles.

Click on the standard you would like to review.

Click on the 5 digit Certification number to access the MAP page.
PASSWORD HELP
LOGIN AND PASSWORD RESET

RMS Login Page
Click on the link to go to the RMS Login Page
https://rms.pri registrar.org

Forgot Password
Click on the Forgot Password link.
*If you have previously completed an application as a Guest, click here to set up a password.
Retrieve Password

Enter your email Address, your last name, and click on the Retrieve Password button.

A link will be sent to your email to reset your RMS password.
RMS SUPPORT

• For technical support or questions about RMS
  • Contact the support helpdesk
  • Hours: 8:00 AM – 5:00 PM ET M-F
  • Calls / emails returned within 4 business hours

rmssupport@p-r-i.org
724-772-8679