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SCHEDULING / ACCEPTING AN AUDIT
Once a contract is accepted by a client in RMS, Scheduling will contact you to schedule the audit(s).

Once date(s) are agreed on between you and the client, 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.
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 client. Once you click Accept or Decline and check the box acknowledging you have no conflict auditing this client, click on the Submit button.
If you are auditing multiple sites within the same program, an audit may need to be accepted for each site. RMS will generate a task/notification for each audit to be accepted. Please refer to your dashboard to make sure all audits have been 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 PLAN
For Initial ISO 9001 / ISO 14001/ ISO 45001 audits, the client will be notified to download and complete the relevant QMS, EMS or OHS Matrix (RF129) and upload it to RMS about 45-60 days prior to the audit, depending on when the audit is scheduled. Please contact the client and applicable Account Specialist if the Matrix has not been provided.

For Surveillance audits, the client will be asked to update the QMS/EMS/OHS Matrix as needed and upload it in RMS.

You will use the information to plan the audit. Please contact the client with any questions.
AUDIT PREP

• Approximately 30 days prior to the start of the audit, you are required to upload the completed Audit Plan (RF12) in RMS on the Plan Tab.

• Once you upload the completed Audit Plan and click **Submit**, the client will receive a notification from RMS informing them that their audit plan has been uploaded.

• The client may contact you with any questions regarding the audit plan.

• If there are any changes made either before or during the audit that will effect the information on the Audit Plan, you will need to revise and re-upload the revision into RMS.
To view the document uploaded by the client, click on the blue arrow. You can upload any updates by clicking on the blue pencil if needed.

Click Download Template to create the audit plan. Once completed, click Upload to upload the audit plan. Click Submit once the plan is uploaded to alert the client the audit plan is ready for review.

Click Download Template to obtain the attendance sheet. Once completed, click upload.

**Note:** If you upload this document on the Documents tab, it will automatically populate on the Plan tab.
AUDIT REPORT
Audit Report

- Scope: Verify the scope with the client. If it has changed, click Yes and enter the new scope.
- List the clause, including clause number, and justification for all non-applicable clauses.
- Employee Count: Verify the current employee count with the client. If it has changed, click Yes and enter the new employee count. Also contact the Sales Specialist in case the audit duration has increased or decreased.
- Narrative Summary: Enter your Narrative Summary.
Audit Report

- Complete each required question on the Audit Report Tab
- Site Details: Verify all the current site details in RMS with the client while on-site. If anything needs updated please indicate it on this tab.
- ITAR – please pay attention that the ITAR designation (yes or no) has been properly identified. If the client say yes to ITAR, a contact must be provided.
Scheduling

- Additional NCR Time: Please indicate if additional NCR time is needed for the current or future audits. Sales and Scheduling will review this section prior to issuing an addendum or scheduling the next audit.
- Special surveillance: If you need to line up a special audit, please be sure to indicate the required audit duration and the dates you and the client have agreed to.
- Set-up dates for the next audit prior to the end of this audit.

Click Save and Continue to move to the next tab. You can also click Save if you would like to save your entries without moving to the next tab.
SCHEDULING THE NEXT AUDIT

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

• The first surveillance following the Stage 2 audit must be within 12 months of the Registration Decision (Cert Issuance Date).

• Ensure that at least one audit is conducted each calendar year.

• The selected audit date(s) must be entered onto the RMS Audit Report tab in the Scheduling section. Scheduling will use these dates to schedule the next audit.
SCHEDULING FOR A RECERT AUDIT

• Unless you have been told otherwise, you should set up dates with the client for the recertification audit for the following year.
  • If you are unsure of the audit duration, please contact the applicable Business Development Specialist.

• Scheduling will confirm these dates in RMS once the new contract is in RMS which will typically be 6-9 months from the certificate expiration date.
NON-CONFORMANCES (NCRS)
To enter a NCR in RMS, click on the NCRs tab, within the Report Section, and then click Add NCR.

**Note:** All NCRs must be entered into RMS before the closing meeting. If unable to do this, please record the NCRs on the NCR Report (RF130) to have available at the closing meeting and leave with the client. This can be downloaded from the Auditor Help Section.
ENTERING AN NCR

- Select the relevant Process for the NCR to be written against.
- Enter the applicable Clause
- Select the Classification
- Enter the Statement of nonconformance
- Enter the objective evidence

Once all the NCR information is entered, you can click Save to work on the NCR at a later time or click Submit so the client is notified they have an NCR to respond to.
ENTERING AN NCR

- Once you click Submit, you will be brought to this screen. If needed, you can edit the NCR by clicking on the blue pencils.
- You are able to withdraw the NCR if needed.
- When the client has responded to each section of the NCR, and clicked Submit, the green wording of each section will change to Auditor.
  - Be sure to point out the due date to the client so NCRs are responded to in a timely manner. Initial responses are due 30 days after the audit end date.
When the client has submitted a response for a 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.
RESPONDING TO NCRS

There are 3 sections, within each NCR, that you will need to close/reject. Each section must be saved/submitted separately.

To access the full list of NCRs, click here.

You can click on the + or - sign to expand or collapse each section.
• Within each section of the NCR, there will be a string of history to show the steps that have been taken by the client and auditor to resolve the NCR.
• The client will upload objective evidence into the applicable section for the auditor to review.

If the client’s response to the NCR is acceptable but you need objective evidence to close the NCR, click Reject For Evidence.
RESPONDING TO NCRS

Closed vs Accepted
• If the NCR can be verifiably closed, click Close to then enter the verification statement.
• To accept the Corrective Action for an NCR, click Accept so it can be verified at the next audit.
  • At the next audit, the NCR should be verified and closed by clicking Close, then a verification statement box will appear for you to complete, hit Close at the bottom of the page.
• Refer to the next slide for NCR closure/acceptance information.
# GENERAL NCR GUIDANCE

<table>
<thead>
<tr>
<th>ISO 9001 / ISO 14001 / ISO 45001</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Initial / Recertification Audits</strong></td>
<td>All <strong>major</strong> NCRs must be verifiable closed; all <strong>minor</strong> NCRs must be at least accepted</td>
</tr>
<tr>
<td><strong>Transfer Audits</strong></td>
<td><strong>All</strong> NCRs must be verifiably closed</td>
</tr>
<tr>
<td><strong>Surveillance Audits</strong></td>
<td><strong>All</strong> NCRs must be at least accepted; all <strong>major</strong> NCRs must be reviewed by a competent Registration Decision Maker</td>
</tr>
</tbody>
</table>
While you are working through the NCRs, there are a few statuses the NCR will go through and the auditor will only have access in certain statuses.

The client will have access to their part of the NCR in certain status as well.
The status of all NCRs can be viewed on the NCR tab within the audit.

Click the blue pencil at any time to review your NCR or to make any modifications.

When a NCR is created, a download button will appear on the NCR tab. This is not to be used to respond to NCRs. Once the NCR is closed, all fields will be populated.
NCR MANAGEMENT

• Please refer to the NCR Management Guide for the requirements for NCR management.

• An interactive NCR Due Date worksheet is available for ISO/EMS/OHS standards on the Auditor Help page, accessible through RMS at this link
  • Or via RMS -> Help -> Auditor Help -> Auditor Reference Materials
  • Auditors are encouraged to provide a copy of this worksheet to clients, or to copy the information into the audit report.
AUDIT PROGRAM
AUDIT PROGRAM

Processes/Activities
Click Add New Process/Activity

If you click yes, you will be required to enter all the activities. Click No, if there are not activities.
AUDIT PROGRAM

Processes/Activities

- Enter the name of Process/Activity
- Select the audits when the Process/Activity will be audited
  - Each process/activity must be audited at least twice (i.e., the full-system audit, and at least one surveillance audit)
- Click Submit
AUDIT PROGRAM

*The audit program has been reviewed for continued appropriateness, and any necessary changes have been identified. This review was conducted prior to the closing meeting, and the appropriateness of the program and any changes were communicated to the client as part of the closing meeting.

To edit a process/activity, click on the blue pencil.

You can change when a process/activity is audited, Delete and Obsolete a process/activity.

Note: No process/activity can be deleted if it has history linked to it. If there is history, to remove a process/activity from the list, you must click Obsolete. Once obsoleted, the process/activity will appear in any previous audits but will not appear for future audits.
All Processes and Activities will appear on the Site Audit Program (SAP) page once created and saved in an open audit. If any changes are made, be sure to click the Save button so the changes are reflected in the audit.
AUDIT DOCUMENTATION
• Upload the Attendance Sheet (RF20) under the Plan or Document tab
  • Note: Attendance Sheet only needs to be uploaded on one tab - it will automatically populate on other tab.
• Process Audit Form: Download the template on this tab. Once completed, click upload under the Process Audit Form section. Repeat this process until all forms are uploaded.
• If you have any other documentation, upload them under Other Documents
• Click Submit for the Account Specialist to review once you have completed everything required
  • You can click Save if you would like to save your comments in the Comments box until you are ready to submit.
When uploading the Process Audit Forms, be sure to click “Add More Files” to upload additional forms. Click Save once all forms are uploaded.
AFTER THE AUDIT
Once you have submitted the audit in RMS, the applicable Account Specialist will be notified.

Your audit documentation will be reviewed and if any corrections/edits are needed, you will receive a notification from RMS with notes on what needs to be corrected.

For Initial and Recertification audits: When all the NCRs are closed/accepted, your audit will also be reviewed by an Expert Reviewer so we can make the official registration decision. Audits with scope changes and major NCRs will also be sent for registration decision.
OFFICE REVIEW

• If the Expert Reviewer requests any corrections/edits, you will receive a notification from RMS with notes on what needs to be corrected.

• If you have any questions on what the Expert Reviewer is looking for, please contact the applicable Account Specialist.
OFFICE REVIEW

• You can review the status of the audit at any time. There is a history kept within the audit that is visible on the Report Tab.

• Once the audit is closed, the Account Specialist will send the client their certificate or confirmation of continued certification for Surveillances.
EXPENSE REPORTS
EXPENSE REPORTS

• The day after the audit end date, you will receive an email from RMS to submit your expenses. There will also be a task generated on your dashboard.

• The expense report can be accessed at any time during the audit process directly in the audit, in the top left-hand corner. You can add expenses as you go and save.
SUBMITTING EXPENSES

- Enter an amount for each line item that is applicable.
  - Please refer to the PRI Registrar Auditor Travel Guidelines for how to manage your expenses.
- All receipts should be uploaded into RMS.
- Please enter any additional comments if needed.
- You have the option to Save the expense report and Submit later if needed. Your expense report must be submitted to be reviewed and processed by the Process Coordinator.
- Once your report is submitted, you can print it by clicking the print icon at the top of the page.
- Your expense report will be reviewed, and it will either be accepted or rejected with additional comments.
- As per the PRI Registrar Auditor Agreement, payment will be remitted within 30 days of Expense Report submission, but typically payment is made within two weeks of receipt.
PASSWORD HELP
LOGIN AND PASSWORD RESET

RMS Login Page
Click on the link to go to the RMS Login Page
https://rms.priregistrar.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