



## PLANNING PROCESS

| INPUTS   | ACTIVITIES   |
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| Sales File   | Open client account on JDE and insert the routing form in File   |
| Completed Application for MS Certification Form 21SF-001 Part B Auditor Profiles   | Identify a Team Leader and competent auditor(s), using EA Codes. Complete 21SF 001 Part B and agreement if Sales did not before Stage 1. |
| Identified Audit Team  | Where change in team is required at any stage in the audit cycle, repeat step P1 with justification of selection.                        |
| Identified audit Team Leader<br>Completed Application for MS Certification Form 21SF-001<br>Accepted Quotation Letter 21SF-003<br>Certification Agreement 21SF-004 | Update Database, prepare schedule.   |
| Allocated Team and Team Leader<br>Scheduled audit date   | Forward the Stage 1 Audit Notification & Plan to client and copy audit team.   |
| Scheduled audit Notified client<br>Notified team<br>Audit Program 21PF-001   | Conduct the Stage 1 audit in accordance with Audit Process. Develop Audit program. Hand File to Manager for Application review Part C.   |
| Audit Pack and Sales File  | Review application Part C of application form after stage1 and Hand file to Lead Auditor.  |
| Stage 1 audit findings   | Resolve areas of concern raised during Stage 1 audit (If applicable).  |

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| Audit program 21PF-001<br>Stage 1 Audit Report<br>Scheduled audit date  | Forward the Audit Notification & Schedule to client and copy audit team.  |
| Scheduled audit<br>Notified client<br>Notified team<br>Audit Program 21PF-001   | Conduct the Stage 2 audit in accordance with Audit Process<br>Update 3-Year Audit Plan.   |
| Non-conformity Report 21AF--007   | Plan for clearance of non-conformities on-site if required.<br>Schedule date(s)<br>Make travel arrangements as per Travel Process<br>Conduct the clearance of non-conformity visit<br>Complete the Non-Conformity Report and COF. |
| Document Checklist 21SF-002   | Prepare Approvals Board pack  |
| Approvals Board Pack  | Approval Board Process .  |
| Decision from Approval Board  | Notify Client of decision.  |
| Notified client   | Arrange for Certificate and flag(s) and conduct handover process.   |
| Agreed dates for Surveillance Audits<br>(1 <sup>st</sup> Surveillance to be within 12 months of last day of Stage 2 audit | Update Database, white board & / or hard copy, Planning Schedule and for surveillance.  |
| Customer list<br>Greeny details   | Do yearly plan and verify against required Auditor day.<br>Verify that all companies/sites have been scheduled.<br>Reconcile any missed or postponed audits and reschedule.   |
| Allocated Team and Team Leader<br>Scheduled audit date  | Notify client and team in accordance  |
| Scheduled audit<br>Notified client<br>Notified team   | Conduct the surveillance audit in year 1 or 2.  |
| Completed Audit Report<br>Completed Clearance of non-conformities(s)  | Issue to client report and COF letter if applicable   |

| INPUTS  | ACTIVITIES  |
|---|---|
| Expiry date of certification.   | Re-quote based on changes and escalation, if required (refer Sales Process Arrange for re-certification audit.  |
| Accepted Quotation (if required).<br>Certification Agreement (if changed)<br>Audit Program        | Obtain Audit Team allocation<br>Update Database, white board & / or hard copy, and prepare schedule.  |
| Customer complaints<br>Surveillance audit reports   | Conduct re-certification audit planning   |
| Allocated Team and Team Leader<br>Scheduled audit date  | Notify client and team.   |
| Scheduled recertification audit<br>Notified client<br>Notified team                               | Conduct the recertification audit.  |
| Completed Audit Report<br>Invoice.  | Issue report to client  |
| Non-conformity Report   | Plan for clearance of non-conformities on-site if required.<br>Schedule date(s).<br>Conduct the clearance of non-conformity visit<br>Complete the Non-Conformity Report and letter. |
| Document Checklist  | Prepare Approvals Board pack  |
| Approvals Board Pack  | Approval Board Process.   |
| Decision from Approval Board  | Notify Client of decision & re-issue new certificates.  |
| Agreed dates for Surveillance Audits (to be within 12 months of last day of recertification audit | Update Database, white board & / or hard copy, Planning Schedule and 21PF- 001.Repeat cycle process.  |