

CERTIFICATION MANAGEMENT PROCEDURE XAIS-PTS LIMITED	ISSUE NO: 18 ISSUE DATE: 26.02.26 ISSUED BY: V Sermon
V4	Audit Plan

1. Scope

The audit plan shall demonstrate and identify all audit activities for the requirements for the full certification cycle.

2. Related Documents

BS EN ISO/IEC 17021-1:2015

BS EN ISO/IEC 17065:2012

BS EN ISO 9001:2015

BS EN ISO 14001:2015

Construction Products Regulation 2011 (retained EU law EUR 305/2011) as amended by the Construction Products (Amendment etc.) (EU Exit) Regulations 2019 and the Construction Products (Amendment etc.) (EU Exit) Regulations 2020

IAF MD 1

IAF MD 4

IAF MD 5

MCHW SHW Clause 104.15 and 104.16

MCHW SHW GC 101 Section 12 and Section13

W15 XAIS-PTS Product Acceptance Scheme (XAIS-PTSPAS)

XAIS-PTS Guidelines and Criteria documents

V5 Audit programme

W3 On Site Audit

W4 Certification

W7 Multi Site Sampling Audit

W11 UKCA Marking process

W17 Remote Assessments

3. Audit Plan

The audit plan for the certification cycle shall cover the complete management system requirements, see Figure 1 below.

For XAIS-PTSPAS, the audit plan shall follow the requirements in line with process W15 and as specified in the relevant Guidelines and Criteria documents.

For UKCA marking W11 process will be followed

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.

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XAIS-PTS shall take into account any other audits / certification already granted to the client. XAIS-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 Figure 1, below. Consideration should be given with regards 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.

4. Multi-Site Sampling Audit

See W7 Process for requirements, the additional considerations shall be given when preparing the audit plan;

- Certification scope and sub-scopes for each site
- Management system standard for each site if multiple management system standards are being considered
- Processes / activities to be audited
- Audit time for each site
- Allocated audit team

Initial Audit Stage 1

During stage 1 the audit team shall complete the information to

Confirm the audit programme

Plan stage 2 taking into account the processes / activities to be audited in each site

Confirm that the stage 2 audit team has the required competence

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Initial Audit stage 2

At the outcome of the initial audit the audit team shall document which processes were audited on each site visited. This information will be used to amend the audit programme and audit plans for subsequent surveillance audits.

5. Assessment Audit Requirement

UKCA Assessment Requirement Procedure and all other associated procedures shall be followed for the requirements in line with Construction Products Regulation 2011 (retained EU law EUR 305/2011) as amended by the Construction Products (Amendment etc.) (EU Exit) Regulations 2019 and the Construction Products (Amendment etc.) (EU Exit) Regulations 2020

W15 XAIS-PTS Product Acceptance Scheme (XAIS-PTSPAS) and other associated processes /procedures / documents shall be followed for the requirements for ongoing assessments.

6. Review

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

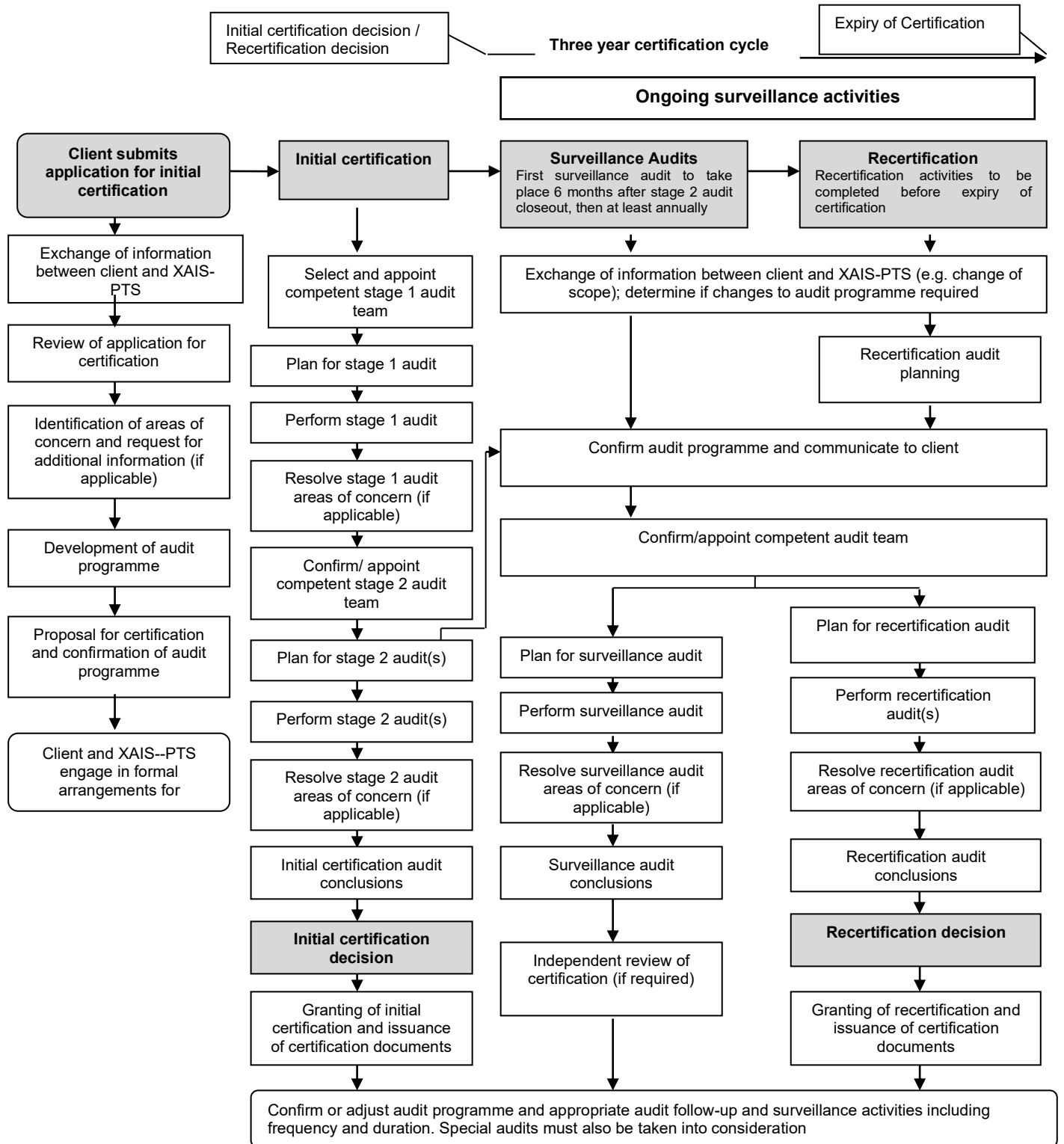


Figure 1: Three year certification cycle flowchart (V4FC)