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Our Ref: OM-QESA/090

7 January 2020

MEMORANDUM

To: Members of Staff

From: Choong Choon Guan

ISO 9001 & ISO 14001 CERTIFICATION SCHEME
ISO RENEWAL AUDIT

Please be advised that the ISO Renewal Audit for ISO 9001 and ISO 14001 is scheduled for **13 and 14 January 2020**. All staff are reminded to avoid taking leave on these dates.

The management would also like to take this opportunity to remind all PMs and APMs to ensure all projects under their charge comply with ISO procedures.

Please find attached Socotec Certification Singapore Pte Ltd's programme for the audit.

Detailed programme and personnel involved to attend will be announced later.

CHOONG CHOON GUAN

cc LFY/GSH
cc Notice Board
cc ISO File

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BCA ISO 14000
BCA ISO 9000
ACCREDITED CERTIFICATION BODY SAC Cert No: QS-1987-02
Member of the IAF MLA for QMS

Alpha
Consulting Engineers Pte Ltd

AUDIT PROGRAMME

TIME	PROGRAMME	PERSONNEL TO ATTEND	SOCOTEC AUDITOR
DAY 1	**MONDAY, 13 JANUARY 2020**		
9.15 am to 9.30 am	**Opening Meeting at Head Office (IMS)** • Introduction of audit team and purpose of audit	LFY/GSH/YYF/JI	Yip/Bee Whatt
9.30 am to 10.00 am	**Update & Verification (IMS)** • Review of report from previous certification body	LFY/GSH/YYF/JI	Yip (QMS)/ Bee Whatt (EMS)
10.00 am to 12.30pm	**Leadership & Performance Evaluation (IMS)** • Context of Organisation	LFY/GSH/YYF/JI	Yip
	• Understanding the Needs & Expectation of Interested Parties		
	• Leadership		
	• Planning		
	• Support		
	• Training (S11)	HJM	
	Operation Planning & Control (EMS)	LFY/GSH/YYF/JI	Bee Whatt
12.30 pm to 1.30 pm	**Lunch Break**		
2.00 pm to 5.00 pm	**Requirements for Products & Services (QMS)** <u>6228 Redevelopment of Afro Asia Building</u> • Preparation of Consultancy Offer (M1)	CLM/GA	Yip/Bee Whatt
	• Project Commissioning & Service agreement (M2)		
	• Design and Planning Development (M3)	CLM/TTT/LQF	
	• Design Change Control (M4)		
	• Tender Process and Evaluation (M5)		
5.00 pm to 5.30 pm	**Audit Debrief/Closing Meeting**	LFY/GSH/YYF/JI	Yip/Bee Whatt

AUDIT PROGRAMME (Cont'd)

TIME	PROGRAMME	PERSONNEL TO ATTEND	SOCOTEC AUDITOR
DAY 2	**TUESDAY, 14 JANUARY 2020**		
9.15 am to 12.00 pm	**Operation & Planning (QMS & EMS)** Site Visit to Redevelopment of Afro Asia Building • Construction Process Control (M7)	CLM/TTT/LQF	Yip/Bee Whatt
	• Testing & Commissioning (M8)		
	• Drawing Control (S7)		
	• Aspect/Impact Identification, Risk Assessment &		
	• Risk Control (E1)		
	• Identifying Legal & Other Requirements (E2)		
	• Objectives, targets & Programmes (E3)		
	• Communication (E4)		
	• Emergency Preparedness & Response (E5)		
	• Monitoring & Measurement (E6)		
	• Control of Air & Noise Pollution (E7)		
	• Management of Wastes (E8)		
12.30 pm to 1.30 pm	**Lunch Break**		
2.00 pm to 3.00 pm	**Audit Debrief/Closing Meeting**	LFY/CCG/GSH/ YYF/JI	Yip/Bee Whatt

Note:

(a) The above programme serves only as a guide and may be adjusted where appropriate.
(b) The company shall assign guide(s) to facilitate the audit.

Socotec Certification Singapore Pte Ltd Audit Team
– Mr Yip Keng Meng (Yip) and Mr Ho Bee Whatt (Bee Whatt)

Certification	Agenda *(refer to Agenda Matrix)* Lunch Time: 1300-1400	Dept / Site Name / Audit Functions *Specific Process Description: A breakdown of each process contained within the area audited	Auditee(s)	Audit Timing			
Scheme				**Yip**	**Bee Whatt**	**Yip**	**Bee Whatt**
				Day 1 13 January 2020		Day 2 14 January 2020	
IMS	Opening Meeting	Head Office	Top Management & Functional Managers / relevant staff	0915-0930	0915-0930		
IMS	Update & Verification **- Review of report from previous certification body**	Head Office	Functional Managers / relevant staff	0930-1000 (QMS)	0930-1000 (EMS)		
IMS	Leadership & Performance Evaluation Support & Resources	Head Office	Top Management & Functional Managers / relevant staff	1000-1300			
QMS	Requirements for Products & Services Design and Planning development	Head Office	Functional Managers / relevant staff	1400-1800			
EMS	Operation Planning & Control	Office & system including design activities	Functional Managers / relevant staff		1000-1300		
QMS	Purchasing – External Provider Post Delivery	Head Office	Functional Managers / relevant staff		1400-1800		
QMS	Operation Planning & Control	Site Visit	Functional Managers / relevant staff			0915-1300	
EMS	Operation Planning & Control	Site Visit	Functional Managers / relevant staff				0915-1300
QMS	Operation Planning & Control	Review past project documentation **Mechanical and electrical consultancy services.**	Functional Managers / relevant staff			1400-1800	
EMS	Operation Planning & Control	Store & facilities activities	Functional Managers / relevant staff				1400-1800
IMS	Audit Debrief / Closing Meeting	Head Office	Top Management & Functional Managers / relevant staff	1800-1815	1800-1815	1800-1815	1800-1815

NOTES:

1. Times given above depend on availability of company staff, documents, records, etc.
2. Full day audit must be at least 8 hours & half day audit must be at least 4 hours excluding lunch.
3. We reserve the right to modify the programme during the course of the audit if so required to obtain the evidence needed, but would endeavour to keep company informed in such circumstances.
4. Audit plan provided above serves as guidance only as it is subjected to change if it deems necessary by the auditors during audit.
5. Auditors will aim to speak to management and staff at, or near to, their workplace, where practicable.
6. Please provide a guide for each auditor during the visit to accompany him/her on the premises and observe the proceedings.
7. Company management and staff are welcome to attend opening meeting, review meetings and closing meeting.
8. **Although the audit plan identifies the related clauses of the Standard/s under each function / area (especially IMS audit), audit must be carried out based on risk-based & process-based audit approach.**
9. As per SAC requirement; from September 2019 BS OHSAS 18001:2007 or SS506 part 1 audit will include an overall review of ISO 45001:2018 requirements.
10. For OHSMS audits: the following personnel are obliged to be present at the closing meeting -
    - ✓ Management legally responsible for occupational health & safety
    - ✓ Personnel responsible for monitoring employee's health
    - ✓ Employees representatives with responsibility for occupational health and safety)

    Justification in case of absence shall be recorded in the attendance list.
11. **Please inform Auditor of OHS Risk(s) / PPE required / Special circumstances applicable to Auditor (Safety Induction, where applicable)**

Agenda Matrix reference to ISO 9001: 2015

Functions	Processes / Details	Remarks
Update & Verification	Update on scope of QMS (4.3) Review of changes to QMS, organization structure, business activity, etc. Verification of any previous audit findings Correct use of CI Certification Mark & relevant Accreditation Mark	Opening Meeting
Leadership & Performance Evaluation **(Top Management Functions)**	**<u>Leadership / Management</u>** • Interview Top Management & relevant managers / staffs • Organization & its context (4.1) • Interested parties & requirements (4.2) • Risks & opportunities & actions addressing them & evaluation (6.1) • Quality Policy, Objectives & action plans (5.2 & 6.2) • Leadership & Commitment (5.1) • Customer focus (5.1.2) • Customer satisfaction (9.1.2) • - Organizational knowledge (7.1.6)	Top Management & Functional Managers / relevant staff
	<u>Management / Assigned Staff</u> • Quality Policy, Objectives & action plans (5.2 & 6.2) • Organizational Roles, Responsibilities & Authorities (5.3) • Communication (7.4) • Documented information (7.5) • Internal Audit (9.2) • Management Review (9.3) • Analysis & evaluation (9.1.3) • Continual improvement (10.3)	Top Management & Functional Managers / relevant staff
Support & Resources **(HR / Admin)**	**<u>Human Resources</u>** Interview relevant managers / staff Risks & opportunities & actions addressing them & evaluation (6.1) • Planning & control activities (8.1) • Objectives & action plans (5.2 & 6.2) • Resource support & people (7.1.1/2) • Competence & awareness (7.2 & 7.3) • Organizational knowledge (7.1.6)	Functional Managers / relevant staff
	<u>Engineering / Facility / Maintenance</u> Interview relevant managers / staffs Risks & opportunities & actions addressing them & evaluation (6.1) • Planning & control activities (8.1) • Objectives & action plans (5.2 & 6.2) • Infrastructure (7.1.3) • Environment for the operation of processes (7.1.4) • Monitoring and measuring resources (7.1.5)	Functional Managers / relevant staff
Requirements for Products & Services **(Sales Functions)**	Interview relevant managers / staffs Risks & opportunities & actions addressing them & evaluation (6.1) - Communication (7.4) - Documented information (7.5) - Competence & awareness (7.2 & 7.3) - Monitoring & measurement (9.1.1) - Planning & control activities (8.1) - Objectives & action plans (5.2 & 6.2) - Requirements for Products & Services (8.2) • Customer communication (8.2.1) • Determining requirements for products & services (8.2.2) • Review of requirements for products & services (8.2.3) • Changes to requirements for products & services (8.2.4)	Functional Managers / relevant staff

Functions	Processes / Details	Remarks
Purchasing – External Provider	Interview relevant managers staffs Risks & opportunities & actions addressing them & evaluation (6.1) • Communication (7.4) • Documented information (7.5) • Competence & awareness (7.2 & 7.3) • Monitoring & measurement (9.1.1) • Planning & control activities (8.1) • Objectives & action plans (5.2 & 6.2) • Control of externally provided processes, products & services (8.4) • Type & extent of control (8.4.2), information of external providers (8.4.3)	Functional Managers / relevant staff
Design & Development Planning	Interview relevant managers / staff. Risks & opportunities & actions addressing them & evaluation (6.1) • Planning & control activities (8.1) • Objectives & action plans (5.2 & 6.2) • Design & Development Inputs • Design & Development Controls • Design & Development Outputs • Design & Development Changes • Communication (7.4) • Documented information (7.5) • Monitoring & measurement (9.1.1)	Functional Managers / relevant staff
Operation Planning & Control	Interview relevant managers / staffs Risks & opportunities & actions addressing them & evaluation (6.1) - Objectives & action plans (5.2 & 6.2) - Operational planning & control (8.1) - Production & service provision (8.5) • Control of production & service provision (8.5.1) • Identification & traceability (8.5.2) • Property belonging to customers or external providers (8.5.3) • Preservation (8.5.4) • Post-delivery activities (8.5.5) (if applicable) - Communication (7.4) - Documented information (7.5) - Competence & awareness (7.2 & 7.3) - Infrastructure & environment for operation of processes (7.1.3/4) - Organizational knowledge (7.1.6) - Performance evaluation (9.0) - Monitoring & measurement (9.1.1) - Monitoring & measuring resources (7.1.5) - Release of products & services (8.6) - Control of non-conforming outputs (8.7) - Non-conformity & corrective action (10.2)	Functional Managers / relevant staff Site Visit, Workshop, Factory Facilities, Warehouse, etc
Post Delivery	Customer Feedbacks / Complaints / Warranty / After Sales Service	
Store Activities	Interview relevant managers / staffs Risks & opportunities & actions addressing them & evaluation (6.1) • Planning & control activities (8.1) • Objectives & action plans (5.2 & 6.2) • Preservation (8.5.4.) • Release of products and services (8.6) • Control of non-conforming outputs (8.7) • Non-conformity & corrective action (10.2)	Functional Managers / relevant staff
Audit debrief	Preparation for debrief Conduct audit debrief	Applicable for audit > 1 day
Closing Meeting	Feedback audit findings & opportunities for improvement	

Agenda Matrix reference to ISO 14001: 2015

Functions	Processes / Activities	Remarks
Update & Verification	Update on Scope (4.3) Review of changes to EMS, organization structure, business activity, etc. Verification of any previous audit findings Declaration of environmental accident & incident statistics Correct use of CI Certification Mark & relevant Accreditation Mark	Opening Meeting
Leadership & Performance Evaluation **(Top Management Functions)**	**<u>Leadership / Management</u>** Interview Top Management & relevant managers / staffs - Organization & its context (4.1) - Needs and expectation of Interested parties (4.2) - Leadership & commitment (5.1) - Environmental Policy (5.2) - Organizational roles, responsibilities & authorities (5.3) - Risks & opportunities determination (6.1.1) based on 4.1/2 - Compliance obligation (6.1.3) & evaluation of compliance (9.1.2) - Actions to address 6.1.1 & evaluation of their effectiveness (6.1.4) - Environmental objectives & action plans (6.2.1 & 6.2.2) - Communication (7.4) - Documented information (7.5) - Internal audit (9.2) - Management review (9.3) - Monitoring, measurement, analysis and evaluation (9.1) - Non-conformity & corrective action (10.2) - Continual improvement (10.3)	Top Management & Functional Managers / relevant staff
Support & Resources (HR / Admin)	Interview relevant managers / staffs Risks & opportunities & actions addressing them & evaluation (6.1) - Objectives & action plans (5.2 & 6.2) - Resource (7.1) - Competence (7.2) - Awareness (7.3) - Communication (7.4) - Documented information (7.5)	Functional Managers / relevant staff
Operation Planning & Control **(Implementation & Operation)**	Interview relevant managers / staffs Requirements for EHS Stakeholders Risks & opportunities & actions addressing them & evaluation (6.1) - Environmental aspect & impact assessment (6.1.2) - Compliance obligations (6.1.3) & evaluation of compliance (9.1.2) - Planning action to significant aspect and impact (6.1.4) - Environmental objectives & action plans (6.2.1 & 6.2.2) - Competence & awareness (7.2 & 7.3) - Communication (7.4) - Documented information (7.5) - Operational planning & control (8.1) - Emergency preparedness & response (8.2) - Monitoring, measurement, analysis and evaluation (9.1) - Non-conformity & corrective action (10.2)	Functional Managers / relevant staff Office & System, Site Visit, Workshop, Factory Facilities, Store, etc
Audit debrief	Preparation of Audit Debrief Conduct of Audit Debrief	Applicable for audit > 1 day
Closing Meeting	Feedback audit findings & opportunities for improvement	