

Automate UK Standards Audit Guidance

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Standards Audit Guidance

1. Purpose & Scope

Automate UK (AUK) – the voice of the UK automation community – uses **independent audits to certify integrators** against its **UK Robot Integrator (UK-RIS)** and **Vision Integrator (UK-VIS) Standards**.

These Integrator Standards **raise the capability and quality of integrators** within the UK manufacturing sector, helping them to demonstrate their commitment to positive project outcomes, safety, customer service, and training.

This Standards Audit Guidance document explains what to expect **before, during, and after an AUK audit**, including **timelines, roles, and outputs**. It accompanies AUK's Standards and should be **read alongside them**.

2. Who This Guidance Is For

This guidance applies to **organisations integrating equipment in industrial and manufacturing settings**, irrespective of size or product focus. It is aimed at:

- Organisations seeking AUK integrator (UK-RIS/UK-VIS) certification
- Auditors approved by AUK to assess compliance
- Buyers and stakeholders who want to understand how certification decisions are made

3. How Audits Work (At A Glance)

The main goal of an audit is to verify that an integrator's documented processes are **in place, used, and effective**. This verification is a key requirement for AUK integrator certification.

During the assessment, auditors play a **strictly impartial role** and will not under any circumstances provide consultancy.

While auditors make recommendations, final certification decisions are made by **AUK alone**.

4. Auditor Independence & Selection

Fundamental to AUK's Integrator Standards is a commitment to **fair and independent assessment**. This involves:

- Auditors having **no commercial interests** in competing integration businesses or equipment suppliers
- AUK maintaining an **approved pool** of auditors, from which it makes a selection once payment is received
- AUK **conferring final certification** based on the auditor's report



5. Before The Audit

What AUK will do:

- Assign an auditor and schedule the **Site Audit** date after payment is received
- Conduct a remote meeting to review the audit criteria and confirm the integrator's readiness

What you need to do:

- Confirm your readiness to proceed, ensure your processes meet the relevant standard, and agree a date for the Site Audit
- Ensure documents are **current, revision-controlled, and date-stamped** (consistent with AUK standards)
- Inform the auditor of site requirements e.g. PPE etc.

6. Site Audit

The purpose of the Site Audit is to **confirm that the processes described in your documentation are in use and effective.**

What AUK will do:

- Verify evidence on site conforms to the criteria laid out in the relevant standard.
- Remain impartial – the auditor may identify findings but will not advise on how to address them
- Conduct a closing meeting with your nominated management representative to provide initial feedback
- Clarify that their findings are a recommendation only; AUK makes the final certification decision
- Conduct opening in closing meeting

What you need to do:

- Make relevant personnel, records, and facilities available
- Note any findings discussed in the closing meeting and plan your responses

7. Surveillance Audit

AUK will conduct a surveillance audit one year after certification. Then in the intervening years between site audits. This will take the form of an **online meeting**, the purpose of which is to review any:

- Previous findings, together with evidence they have been addressed
- Major business changes affecting your certification



8. Written Report & Certification Decision

Within **two weeks** of the Site Audit, the auditor will submit a **written report** detailing the **audit findings** to AUK. Here is the process:

- The auditor presents the report to AUK
- AUK reviews the evidence and the recommendation
- AUK communicates the decision and next steps to you
- T&Cs are sent for signature as well as the Integrator Profile for completion

9. Non-Conformance

Findings from the Site Audit are **recorded on the AUK Non-Conformance Report**. Specifically:

- Pre-audit findings are shared before the Site Audit to allow you to take action
- Site findings are discussed at the closing meeting and included in the final report to AUK

Findings are identified as:

Opportunity for Improvement

An opportunity for improvement is not a nonconformity, but a suggestion from the auditor where the organisation could enhance its processes or controls.

Minor Non-conformance

A minor nonconformity is a single lapse or isolated deviation from a requirement that does not seriously affect the overall system's effectiveness.

Major Non-conformance

A major nonconformity is a serious failure that affects the effectiveness or integrity of the management system. It represents a systemic breakdown or a situation where the organisation fails to meet a key requirement of the AUK Integrator Standard, RIS or VIS.



10. Appeals

If you disagree with the audit outcome, you may request a **review**. Key details of the review process:

- The CEO of Automate UK will make the final assessment
- The review will be held within **four weeks** of AUK receiving your appeal request
- The review outcome is **final**

11. Recertification (Year 2)

Recertification is due **two years** after the initial certification date.

- It is the **integrator's responsibility** to contact AUK to arrange the recertification audit
- AUK will follow the **same process** as initial certification to confirm continued adherence to the standard



12. Contact & Next Steps

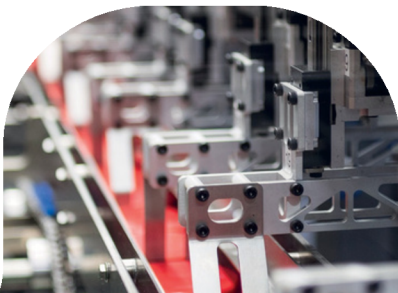
Ready for certification? Automate UK can support you with:

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