



Heads Up

Issue: 33

Date: 2004/09/20

To: ANSI-RAB NAP Accredited Certification Bodies (CBs) and Accreditation Auditors

From: Randy Dougherty, Director of Registrar Accreditation

Re: Pilot of Revised Witness Audit Assessment Checklist

In March 2004, the AAQG RMC approved a revision of procedure 102.

During April and May, Tim Lee, the leader of the Oversight Team, conducted teleconference training for OEM oversight auditors and accreditation auditors.

One outcome from the training was a proposed revision to the witness audit checklist (Appendix 4) to a version that may be more "auditor friendly."

At the AAQG RMC meeting in June 2004, it was decided to pilot use of the new form. So until notified otherwise, both copies of the form should be completed, with a note on each form about which copy the witnessing auditor prefers.

The revised forms are attached to this issue, and electronic copies will be included with the email notification.

Note: Form in March 2004 Approved Procedure 102

Appendix 4 Witness Audit Assessment Checklist

CRB:
CRB Contact:
Phone:
Address:
Email:

Oversight Representative(s):

CRB Lead Auditor:
Credentials:

CRB Audit Team Members:

Assessment Date(s):

CRB Client Name:
Address:

Behavior	Results	Objective Evidence and Comments
State the expected behavior	A-Accept X-Issue Identified NA-Not Applicable	Note observations, including strengths and issues identified during the assessment. Ensure supporting documentation exists for all identified issues.
Auditor preparation		
Auditor knowledge of Standard being assessed (AS9100, AS9003, AS9120)		
Auditor Technique: <ul style="list-style-type: none">• Did the auditor go to sufficient depth in order to draw assessment conclusions?• Did the auditor evaluate all areas of the facilities as required to properly assess conformance to the standard?• Did the auditor examine the system documentation?• Did the auditor examine the system effectiveness?• Was the audit conducted on the floor and in the offices where activities were being performed?• Did the auditor use good interview and open ended questioning techniques?• Did the auditor review changes in the documented system since the last visit?		

<ul style="list-style-type: none"> • Did the auditor review the client corrective action process? • Were the appropriate audit tools effectively utilized? (i.e., AQMS Checklists, Standards, etc.) • Did the auditor take enough time during the audit to fully explore conformance to the requirements? 		
<p>Auditor demonstration of competence based on the following:</p> <ul style="list-style-type: none"> • Opening meeting • Daily briefings • Data collection/conclusions • Closing meeting • Understanding of findings by the client • Communication skills • Conducting a process based audit 		
<p>Did the CRB serve the needs of the client in the areas of:</p> <ul style="list-style-type: none"> • Schedule • Communication • Coordination 		

General Comments:

Note: Proposed Revised Form Being Piloted

Appendix 4 Witness Audit Assessment Checklist

CRB:

CRB Contact:

Phone:

Address:

Email:

Oversight Representative(s):

CRB Lead Auditor:

Credentials:

CRB Audit Team Members:

Assessment Date(s):

CRB Client Name:

Address:

Question	Results	Objective Evidence and Comments
State the question or information needed, and include a reference to the requirement, if applicable	A-Accept X-Issue Identified NA-Not Applicable	Note observations, including strengths and issues identified during the assessment. Ensure supporting documentation exists for all identified issues.
Audit Team Planning & Preparation		
Was a document review conducted for this audit? (ISO 19011 paragraph 6.3)		
Does the audit plan reflect the scope and complexity of the audit? (ISO 19011 paragraph 6.4.1)		
Did the audit team leader/audit plan define the roles of consultants or other observers during the audit? (ISO 19011 paragraph 6.4.1)		
Has the appropriate number of auditor days been quoted and used for this audit? (AIR5359 paragraph 8.2.1 and IAF Guidance-Guide 62 Annex 2)		
Auditor Knowledge and Qualifications		
Does the audit team demonstrate knowledge of the standard (AS9100, AS9003, AS9120) and process/commodity being assessed? (ISO/IEC Guide 62 paragraph 2.2.3.2)		
In addition to the aerospace sector specific training and qualifications, does a member of the audit team have sufficient knowledge of the commodity (products or services) to give confidence in the outcome of the audit? (IAF Guidance-Guide 62 paragraphs G.2.2.6, G.2.2.8, G.2.2.9 and G.2.2.10)		
Does the audit team assigned to this audit have the necessary qualifications? (AIR5359 paragraph 8.1)		
For audit teams of more than one auditor, did the AEA provide adequate guidance to the audit team throughout the assessment? AIR5359 paragraph 8.1.1		

Audit Execution		
Did the audit team leader perform an acceptable opening meeting? (ISO 19011 paragraph 6.5.1 and "Practical Help")		
Did the did the audit team confer at appropriate times and often enough to maintain control of the audit? (ISO 19011 paragraph 6.5.2)		
Did the audit team communicate progress and concerns to the auditee at appropriate intervals? (ISO 19011 paragraph 6.5.2)		
Did the audit team collect <u>and verify</u> information relative to the interfaces between functions, activities and processes by using appropriate sampling? (ISO 19011 paragraph 6.5.4)		
Did the audit team go to sufficient depth in order to draw conclusions? (ISO 19011 paragraph 6.5.4 and Figure 3)		
Did the audit team assess all activities and processes of the defined scope of registration and as defined by the audit plan? (ISO/IEC Guide 62 paragraph 3.3)		
Did the audit team document the audit results on the appropriate checklist? (AIR5359 paragraph 8.4.1)		
Did the audit team demonstrate adequate knowledge and skills relative to audit management and communication? (ISO 19011 paragraph 7.3.1)		
Did the audit team close/review any remaining document review issues and/or nonconformances from the previous audit? (ISO19011 paragraph 6.3 and IAF Guidance-Guide 62 paragraph G.3.6.4 b)		
If the previous audit was a registration audit, were the nonconformances closed and verified <u>prior</u> to issuance of a certificate? (AIR5359 paragraph 6.3.h)		
Did the audit team record all nonconformances identified and classify them correctly? (AIR5359 paragraphs 3.12, 3.13, 8.3)		
Did the audit team assess all of the mandatory items for surveillance audits? (IAF Guidance-Guide 62, paragraph G.3.6.4 and G.3.6.5)		
Did the audit team prepare appropriately for a closing meeting and arrive at a conclusion using appropriate guidelines for audit teams? (ISO 19011 paragraph 6.5.6)		
Did the audit team leader provide an acceptable closing meeting and a clear statement of conclusion? (ISO 19011 paragraph 6.5.7, ISO/IEC Guide 62 paragraph 3.4 and IAF Guidance-Guide 62 paragraphs G.3.4.5)		
If the client organization is an OEM, did the audit team review and approve the auditor training program of the OEM during the audit? (AIR5493 paragraph 4.4.3)		
For upgrade audits from ISO 9001 to AS9100 where AEAs were not used in the previous ISO 9001 assessment, was a full assessment conducted of all AQMS requirements using the complete checklist? (AIR5359 paragraph 8.2.2)		
Does the client's certificate meet all requirements of Guide 62 and AIR5359? (Guide 62 paragraph 3.5.3, AIR5359 paragraph 8.6.3, 8.6.5, 8.6.6)		
Did the audit team and the CRB in general serve the needs of the client in the areas of: Schedule; Communication; Coordination		
