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| AB Name and Contact Name: | Enter name of certification body and the name of the accreditation body scheme lead |

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| Risk assessment Outcome | Enter Risk Outcome | Oversight Assessment Activities to be completed | Enter Witness Assessment Information |
| Date of risk Assessment | Day(s)/Month/Year | Risk Assessment performed by SMS/RMS | Enter Name of SMS/RMS |

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| Assessment Start Date: | Day(s)/Month/Year |
| Assessment End Date: | Day(s)/Month/Year |
| OASIS Number | Enter OASIS Number |
| Enter AB Lead Assessor Name | Enter Name |
| Enter AB Client OIN (Assessed Org) | Enter OASIS Number |
| Other Party (OP) Assessor Names and Roles: | First Name, Last Name  Assessment Team Role, Organization's Name |
| General Conclusions, Remarks, and Recommendations: | Give a brief overview of how the assessment went |
| Non-Conformance Summary: | As applicable, List NCR References and Grade |
| Opportunities for Improvements: | As applicable, identify number of OFIs; list all OFIs. |
| Submitted by: | First Name, Last Name |
| Date Submitted: | Day/Month/Year |

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| Pre-Assessment Questions (That’s questions that you can answer prior the assessment starting) |

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| **Item** | **1.1** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
| Has the AB established and maintained (i.e., kept current) accreditation information for the CB being assessed? | | | | | | | 9104-1 Para 7.2.6 |
| **Review OASIS for accreditation information, including central office, CB contact and PBS/RP approvals.** | | | | | | |  |
| **Assessment Evidence** | | | | | | | |
| Enter the answer here | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | |

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| **Item** | **1.2** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
| Was this oversight assessment planned and scheduled with all affected parties, prior to conduct? | | | | | | | ISO 17011 Para 7.4.7 |
| **Ensure that evidence exists that this oversight was planned and scheduled with all parties. Was it was communicated in advance?** | | | | | | |  |
| **Assessment Evidence** | | | | | | | |
| Enter the answer here | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | |

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| **Item** | **1.3** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
| Is there evidence that the AB assessment plan has considered follow-up items [e.g., previous assessment reports, past nonconformity verifications]? | | | | | | | ISO 17011 Para 7.4.7 |
| **Review completed plan for content.** | | | | | | |  |
| **Assessment Evidence** | | | | | | | |
| Enter the answer here | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | |

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| **Item** | **1.4** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
| Does the AB ensure that the assessment team leader is identified, and their role is communicated to all affected parties, prior to the oversight assessment? | | | | | | | ISO 17011 7.4.2 |
| **Review AB coordination information with the CB, including the assessment plan and logistic information.** | | | | | | |  |
| **Assessment Evidence** | | | | | | | |
| Enter the answer here | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | |

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| **Item** | **1.5** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
| Did the AB identify any conflicts of interest or restrictions (e.g., export control or security clearance) for this assessment? Were any identified items resolved with all affected parties? | | | | | | | 9104-1 Para 8.2.3 |
| **Ensure these items are addressed prior to onsite activities, if applicable.** | | | | | | |  |
| **Assessment Evidence** | | | | | | | |
| Enter the answer here | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | |

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| **Item** | **1.6** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
| Is this a remote assessment of the CB? If yes, verify that the assessment plan clearly indicates a remote assessment and the AB has referenced conformance with IAF MD 4. | | | | | | | 9104-1 Para 7.3.6 & IAF MD 4 |
| **Ensure these items are addressed prior to onsite activities, if applicable.** | | | | | | |  |
| **Assessment Evidence** | | | | | | | |
| Enter the answer here | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | |

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| Assessment Questions (That’s questions that you can answer during assessment conduct) |

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| **Item** | **2.1** | **Witness Assessment** | **Y** |  |  |  | **Reference(s)** |
| Has the AB assessment team leader conducted an effective opening meeting? | | | | | | | ISO/IEC 17011 Para 7.6.2 |
| **Observe the opening meeting for introductions, assessment plan, access issues, reporting expectation and schedule.** | | | | | | |  |
| **Assessment Evidence** | | | | | | | |
| Enter the answer here | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | |

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| **Item** | **2.2** | **Office Assessment** |  |  |  |  | **Reference(s)** |
| Is there evidence that the AB assessment team is following the established assessment plan or adjusting, as deemed appropriate, during the assessment? | | | | | | | ISO/IEC 17011 Para 7.6.3 |
| **Keep a copy of the plan available during witness and ensure it is followed or adjusted based on a justified need to do so.** | | | | | | |  |
| **Assessment Evidence** | | | | | | | |
| Enter the answer here | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | |

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| **Item** | **2.3** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
| Is there evidence that the AB assessment team is conducting a sufficient number of CB client files reviews to ensure conformance with requirements? | | | | | | | 9104-1 Para 7.3.4.b |
| **Ensure the number of file reviews are conducted in accordance with 9104-1 Table 2, which is based on the total number of client certificates issued across all 91XX certificates.** | | | | | | |  |
| **Assessment Evidence** | | | | | | | |
| Enter the answer here | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | |

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| **Item** | **2.4** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
| Does the AB assessment team’s client file review process include evidence that the following requirements have been met?  - CB audit duration, including justification,  - Use of ICT or PBS/RP is documented  - certificate contents,  - completion of the Organization Certification Analysis Process (OCAP)  - any non-applicability’s are justified  - CB conformance to 17021-1 and 9104-1 requirements | | | | | | | 9104-1 Para 7.3.4.b |
| **Review the AB client file review assessment tool to ensure it captures the above elements. Refer to 9104-1 for additional criteria if elements are missing from the assessment tool.** | | | | | | |  |
| **Assessment Evidence** | | | | | | | |
| Enter the answer here | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | |

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| **Item** | **2.5** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
| Does the AB assessment team ensure that CB client files contain the required 9101 forms/records and establishes conformance to 9101 requirements?  NOTE: 9104-002 “Post Audit Assessment Check Sheet”, may be used for guidance | | | | | | | 9104-1 Para 7.3.4.b, 8.5.2.2, & 8.5.6.1 |
| **If client files are reviewed during the onsite CB assessment, observe review process and completed tools for adequacy. If done offsite prior to assessment or later, then this question should be marked NE. The AB client file review records will be reviewed during the AB office assessment.** | | | | | | |  |
| **Assessment Evidence** | | | | | | | |
| Enter the answer here | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | |

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| **Item** | **2.6** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
| Where a remote client file review has taken place prior to the assessment, how has the AB assessment team leader communicated the results of this review with the CB? | | | | | | | 9104-1 Para 7.3.4.b |
| **At a minimum the AB assessor should explain the review process and how the results will be communicated.** | | | | | | |  |
| **Assessment Evidence** | | | | | | | |
| Enter the answer here | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | |

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| **Item** | **2.7** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
| Does the assessment plan include any identified follow up assessment items where a remote review of client files has taken place prior to the assessment? | | | | | | | 9104-1 Para 7.3.4.b, 7.3.6  ISO 17011 Para 7.6.6.a) |
| **Review the plan and ensure follow up is accomplished if required. Check NE if not in the plan.** | | | | | | |  |
| **Assessment Evidence** | | | | | | | |
| Enter the answer here | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | |

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| **Item** | **2.8** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
| Has the AB assessment team gathered sufficient objective evidence to determine conformity to ICOP scheme requirements? | | | | | | | ISO 17011 Para ~~4.3.1.a~~ 7.6.4  9104-1 Para 7.3.4 |
| **The AB’s process for assessment must ensure sufficient depth of assessment to verify CB conformance prior to accreditation decisions.** | | | | | | |  |
| **Assessment Evidence** | | | | | | | |
| Enter the answer here | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | |

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| **Item** | **2.9** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
| Does the AB assessment team follow the AB documented information or procedures to accomplish the CB Office Assessment ~~utilizing AB required assessment tools~~? | | | | | | | 9104-1 Para 7.4.1  ISO/IEC 17011 Para 7.6.1 |
| **Does the AB assessment team adequately demonstrate competency in the AB process, including use of all required AB assessment tools.** | | | | | | |  |
| **Assessment Evidence** | | | | | | | |
| Enter the answer here | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | |

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| **Item** | **2.10** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
| Does the AB assessment team take appropriate action (including a recommendation of suspension or withdrawal, if appropriate) when the CB does not demonstrate conformance or appropriate competence in relation to the ICOP scheme? | | | | | | | 9104-1 Para 7.3.10  ISO/IEC 17011 Para 7.6.4, 7.6.5, 7.6.6.a), & 7.11 |
| **At the conclusion of the assessment the AB team leader must explain the results of the assessment, including any recommendations for withdrawal or suspension.** | | | | | | |  |
| **Assessment Evidence** | | | | | | | |
| Enter the answer here | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | |

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| **Item** | **2.11** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
| Is there sufficient evidence that the AB has conducted the assessment based on the assessment plan? | | | | | | | ISO 17011 Para 7..6.3 |
| **Compare assessment notes to the plan and ensure all areas and processes defined within the plan were adequately covered.** | | | | | | |  |
| **Assessment Evidence** | | | | | | | |
| Enter the answer here | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | |

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| **Item** | **2.12** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
| Does the AB assessment team conduct an effective closing meeting with the CB? | | | | | | | ISO 17011 Para 7.6.6.a) |
| **Observe the closing meeting to ensure the AB assessment team effectively communicates the results of the assessment, reporting requirements, nonconformance management, appeals, and any additional follow up items per the AB’s established processes.** | | | | | | |  |
| **Assessment Evidence** | | | | | | | |
| Enter the answer here | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | |

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| **Item** | **2.13** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
| Does the AB assessment team utilize the AB forms or systems for NCR management and were all issues identified. Also, are extent and cause expectations and due dates communicated to the CB? | | | | | | | 9104-1 Para 7.3.9  ISO/IEC 17011 Para 7.6.6.a) & 7.6.8 |
| **Has the AB used the forms and/or tools from its management system? Are any nonconformities raised clear and easy to understand? Have the extent and cause (e.g., RCCA~~)~~ expectations and due dates been communicated to the CB?** | | | | | | |  |
| **Assessment Evidence** | | | | | | | |
| Enter the answer here | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | |

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| **Item** | **2.14** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
| Has the AB appointed an assessment team that have demonstrated appropriate competence and expertise for the specific assignment? | | | | | | | 9104-1 Para 7.2.1  ISO 17011 Para 7.4.1 |
| **General observation of the assessment team and did they demonstrate a working knowledge of all ICOP scheme requirements.** | | | | | | |  |
| **Assessment Evidence** | | | | | | | |
| Enter the answer here | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | |

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| **Item** | **2.15** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
| When the AB assessment teams do not have sufficient work experience or AQMS training, are they supported by aviation, space, and defense industry technical experts that fulfil the work experience, Aerospace Quality Management System (AQMS) training, or industry specific training for the applicable standard(s)? | | | | | | | ISO 17011 Para 6.1.3.2 & 7.4.1 |
| **Only applicable if technical experts are utilized.** | | | | | | |  |
| **Assessment Evidence** | | | | | | | |
| Enter the answer here | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | |

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| **Item** | **2.16** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
| Where using technical experts, is there evidence of effective utilization of the expert during the assessment? | | | | | | | ISO 17011 Para 6.1.3.2 and 7.4.2 |
| **Only applicable if technical experts are utilized.** | | | | | | |  |
| **Assessment Evidence** | | | | | | | |
| Enter the answer here | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | |

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| **Item** | **2.17** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
| If the CB is approved to utilize Performance Based Surveillance/Recertification Process (PBS/RP), as outlined in 9104-1, where applicable, does the assessment team assess a PBS/RP client file? | | | | | | | 9104-1 Para 7.3.1, 7.3.4.c) & d) |
| **If PBS/RP is approved by the AB then the assessment plan should address conformance to this process. If no PB/SRP then this would be NA.**  **PBS/RP client file to be assessed after approval and at least once during each accreditation cycle. Look for evidence on conformance and the assessment of a client file when appropriate.** | | | | | | |  |
| **Assessment Evidence** | | | | | | | |
| Enter the answer here | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | |

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| **Item** | **2.18** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
| If the AB is utilizing Information and Communication Technology (ICT), as outlined in IAF MD 4, does the assessment team confirm that the ICT requirements are satisfied? | | | | | | | 9104-1 Para 7.3.6  IAF MD 4 |
| **If applicable, observe ICT portion of the assessment and ensure an effective assessment using the IAF MD 4 criteria is conducted. Note: There is no 50% ICT limitation for AB remote assessments.** | | | | | | |  |
| **Assessment Evidence** | | | | | | | |
| Enter the answer here | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | |

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| **Item** | **2.19** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
| Does the AB assessment team confirm that the CB conforms to IAQG Certification Oversight Team (ICOT) resolutions? | | | | | | | 9104-1 Para 8.4.b |
| **If applicable, did the auditor clearly describe the roles and responsibility of technical advisors during the opening meeting?** | | | | | | |  |
| **Assessment Evidence** | | | | | | | |
| Enter the answer here | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | |
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| **Item** | **2.20** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
| Does the AB assessment team confirm that the CB records of ICOP scheme activities are maintained for a minimum of ten years, unless otherwise specified? | | | | | | | 9104-1 Para 5.3.3 |
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| **Assessment Evidence** | | | | | | | |
| Enter the answer here | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | |

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| **Item** | **2.21** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
| Does the AB assessment team confirm that the CB ensures that a client’s (certified organization) data is not shared with their competitors, during shared oversight | | | | | | | 9104-1 Para 5.3.1.b |
| **This should be discussed up front during opening meeting and ensure that if this is a joint team assessment with another OP Assessor supporting the office assessment that data is not shared. Note: OP Assessor conducting this witness assessment cannot be a member of the Joint Assessment Team conduct the CB assessment.** | | | | | | |  |
| **Assessment Evidence** | | | | | | | |
| Enter the answer here | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | |

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| OASIS Database Questions (That’s questions that you can answer when the AB is assessing OASIS data entry and feedback processes) |

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| **Item** | **3.1** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
| Is there evidence that the AB assessment team confirmed CB conformance to OASIS database entry requirements? | | | | | | | 9104-1 Para 8.1.6 |
| **Observe the AB assessment of the CB’s OASIS data entry process to determine conformance.** | | | | | | |  |
| **Assessment Evidence** | | | | | | | |
| Enter the answer here | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | |

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| **Item** | **3.2** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
| Is there evidence that the AB assessment team has evaluated the CB’s disposition of OASIS database feedback data, complaints, and issues? | | | | | | | 9104-1 Para 8.5.12 |
| **The assessment team should review the CBs management of OASIS feedback for timely response and closure of feedback issues and any associated complaints.** | | | | | | |  |
| **Assessment Evidence** | | | | | | | |
| Enter the answer here | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | |

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| **Item** | **3.3** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
| Does the AB assessment team confirm that the CB utilizes AQMS auditors, listed in the OASIS database, that are both competent and authenticated in accordance with the requirements? | | | | | | | 9104-1 Para 8.5.6.1.c |
| **Has the AB evaluated the CBs process for ensuring AQMS auditors are listed in OASIS as authenticated to the standard they audited (9100/9110/9120)? Note: This may occur during the AB’s file review of CB’s clients.** | | | | | | |  |
| **Assessment Evidence** | | | | | | | |
| Enter the answer here | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | |

**Instructions for Completing Check Sheet:**

This check sheet shall be used for 9104-1 AB witness assessment..

It complements the oversight data input directly into OASIS and is to be entered as an attachment.

Document assessment results within the table as follows:

* **Conforming (C)** - The process records/evidence demonstrate effective implementation; process assessed and found acceptable.
* **Nonconforming (NC)** - The process records/evidence were assessed, and a nonconformity was identified.
* **Not Applicable (NA)** - The question is not applicable; record objective evidence in the “Assessment Evidence/Comments” column.
* **Not Evaluated (NE)** – The questions was not asked during the assessment.

**Assessment Evidence / Comments:**

Include appropriate detail in the “Assessment Evidence” column to support the assessment results

Additional questions may be added, as deemed appropriate.

**Nonconformity Reports**

NCRs issued during the oversight by the OP Assessor are to be directly written in OASIS and shall be followed through with OASIS unless NCR is being managed by the AB.

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| **Document Revision History** | |
| **Revision Date** | **Description of change** |
| 18th April 2023 | New document issued |
| 3rd May 2024 | Changed OPMT to ICOT |
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