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| CB Name and Contact Name: | Enter name of certification body and the name of the certification 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/Month/Year | Risk Assessment performed by SMS/RMS | Enter Name of SMS/RMS |

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| Assessment Start Date: | Day/Month/Year |
| Assessment End Date: | Day/Month/Year |
| CB OASIS Number | Enter OASIS Number of entity being assessed |
| Enter CB Lead Auditor Name | Enter Name |
| Enter CB Client OIN | Enter OASIS Number |
| Is this Post Audit Following a Witness Audit | Enter Yes or No if this audit was Witnessed |
| Lead Assessor Name | First Name, Last Name  Assessment Team Role, Organization's Name |
| General Conclusions, Remarks, and Recommendations: | Give a brief overview of how the assessment went |
| Opportunities for Improvements: | As applicable, identify number of OFIs; list all OFIs. |
| Non Conformance Summary: | As applicable, List NCR References and Grade |
| Submitted by: | First Name, Last Name |
| Date Submitted: | Day/Month/Year |

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| Post Audit Assessment Questions (Questions that can be answered once the audit report has been published in OASIS)  **Note**: During review of the audit report questions that cannot be completely answered can be deferred to the Post Audit Interview with the Lead Auditor and Team. |

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| **Item** | **1.1** | **Post Audit Assessment** |  | **Reference(s)** |
| Does the client’s AQMS certificate conform to established requirements? | | | | 9104-001 Para 8.2.4 |
| **Review the address, scope of certification, issue date, expiry, etc. to ensure 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** | **1.2** | **Post Audit Assessment** |  | **Reference(s)** |
| Is the primary AQMS standard in use appropriate and based on the Client’s scope of certification, as recorded within OASIS? | | | | 9104-001 Para  8.5.1.3.3 |
| **Evaluate the scope on the certificate and ensure the appropriate standard was used. For example; is their core business aftermarket repair (9110) or Design and Production (9100)? What services does the client offer on their website?** | | | |  |
| **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** | **Post Audit Assessment** |  | **Reference(s)** |
| Does the audit report data in OASIS provide evidence that the annual surveillance and recertification criteria has been met? | | | | ISO 17021-1 Para 9.1.3 |
| **Look at the audit history in OASIS and ensure the 3 year cert cycle was maintained and that annual surveillance has occurred.** | | | |  |
| **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** | **Post Audit Assessment** |  | **Reference(s)** |
| Has the auditor adequately and accurately documented the OASIS data fields, for type of audit conducted?  Are all audit reports required by 9101 table 1 completed in OASIS? | | | | 9101 Para 4.3.1 & 4.3.4 |
| **Select the published audit report from the OASIS database and evaluate to ensure all required fields have data recorded within. Note: Audit report should be available in OASIS within 90 days of the completed audit or 30 days from the certification decision.** | | | |  |
| **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** | **Post Audit Assessment** |  | **Reference(s)** |
| Is there evidence that the processes listed, within the audit plan, were assessed and recorded within the associated 9101 “Audit Report”? | | | | 9101 Para 5.2.3 |
| **Evaluate the audit plan and identify processes that were to be audited. Determine if there is sufficient recorded objective evidence in the QMS process matrix and associated PEARs that the audit plan was followed.** | | | |  |
| **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** | **Post Audit Assessment** |  | **Reference(s)** |
| Was a completed Organization Certification Analysis Process (OCAP) tool or equivalent that contains all of the required information uploaded to OASIS? | | | | 9104-001 Para 8.5.1 |
| **Evaluate a copy of the latest OCAP to ensure it was completed per 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** | **1.7** | **Post Audit Assessment** |  | **Reference(s)** |
| Has the appropriate number of auditor duration days been scheduled for this audit? Is it reflected within the audit plan? | | | | 9104-001 Para 8.5.5.6 |
| **Completed OCAP and Audit plan should be evaluated.** | | | |  |
| **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** | **1.8** | **Post Audit Assessment** |  | **Reference(s)** |
| Did the CB apply and validate the proper certification structure for the organization? | | | | 9104-001 Para 8.5.1.4 |
| **Is this a single site location, does their QMS have dependence on a Corporate location? Do they have satellite facilities in use yet not accounted for in the certificate structure?** | | | |  |
| **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** | **1.9** | **Post Audit Assessment** |  | **Reference(s)** |
| **ICT:** Where the CB uses Information and Communication Technology (ICT): - Does the audit plan identify ICT follow-up issues and was a maximum of 50% of the audit duration used for ICT? | | | | 9104-001 Para 8.5.4 |
| **Review the completed audit plan to ensure ICT is referenced, when 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** | **1.10** | **Post Audit Assessment** |  | **Reference(s)** |
| **Audit Data:** For the selected audit, is there evidence that all required 9101 data was entered in the OASIS database? | | | | 9101 Para 4.3.4 |
| **Select a completed audit report from the OASIS database and evaluate to ensure all required fields have data recorded within. Evaluate per table 1 of 9101.** | | | |  |
| **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** | **1.11** | **Post Audit Assessment** |  | **Reference(s)** |
| **Audit Summary:** Is there evidence that the audit report summary:   * high lights key concerns * Is a true and independent view of the conformity status * appropriately reflects the results of the audit, the effectiveness of the AQMS and its ability to meet customer/regulatory requirements? | | | | 9101 Para 5.4.4 |
| **Review OASIS and ensure data is clear and concise** | | | |  |
| **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** | **1.12** | **Post Audit Assessment** |  | **Reference(s)** |
| **NCR:** Is there evidence that nonconformities raised during the audit were documented; including reference to the audit processes, process documentation, and recorded on a 9101 “Nonconformity report”? | | | | 9101 Para 5.3.6.3 |
| **Review NCRs and determine if they include a clear statement of nonconformance supported with objective evidence. Verify each Nonconformity Report contains only one nonconformity.** | | | |  |
| **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** | **1.13** | **Post Audit Assessment** |  | **Reference(s)** |
| **NCR:** Is there evidence that nonconformities documented during the audit include:   * the specific requirement * categorized as major or minor * containment, if required * the organization’s responses to correction, root cause(s), corrective action(s), and supporting corrective action plan(s) * evidence that the timeframes required by 9101 table 5 have been met * evidence of verification | | | | 9101 Para 5.5.2 |
| **Evaluate all NCRs issued during the audit and determine if they contain clear and concise 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** | **1.14** | **Post Audit Assessment** |  | **Reference(s)** |
| **PEARs:** Is there evidence that the results and level of process effectiveness were recorded on a “Process Effectiveness Assessment Report” (PEAR) for each audit product realization process?  Data fields to be documented:   * Process details, process name, AQMS standard, Process Inputs, Activities, Process Outputs, and Interactions/Interfaces? * Organization’s method for determining process results and performance measures (KPI’s) * Are measures, targets and values of each KPI recorded? * The process effectiveness level and comments supporting auditor’s determination? * Do the documented performance metrics support the process effectiveness level identified? * Summary of audit trails and sources evidences? | | | | 9101 Para 5.3.8.1 |
| **Evaluate each PEAR for completeness and to determine if all criteria noted above have been addressed. When KPI targets are not met the auditor should record actions taken and provide evidence to support the PEAR rating. KPI should focus on process performance and not organizational level metrics.** | | | |  |
| **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** | **1.15** | **Post Audit Assessment** |  | **Reference(s)** |
| **PEAR Level**: Is there evidence that an NCR has been raised when the process is not realized, not fully realized or when the process is not delivering the planned results and appropriate action is not being taken? | | | | 9101 Para 5.3.8.2 & 5.3.7.2 |
| **Evaluate the information contained within each PEAR and determine if an effectiveness rating of 1 or 2 is present. If yes, ensure an associated NCR was issued.** | | | |  |
| **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** | **1.16** | **Post Audit Assessment** |  | **Reference(s)** |
| **PEARs:** Is there evidence that a PEAR was generated for each audited operational process? | | | | 9101 Para 5.3.8.1 |
| **Review the QMS Process Matrix and identify the operational processes that should have PEARs, also check the audit plan as well.** | | | |  |
| **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** | **1.17** | **Post Audit Assessment** |  | **Reference(s)** |
| **QMS Process Matrix Report:** Is there evidence that the “QMS Process Matrix Report” is completed for all processes that were audited by the audit team? Therefore, demonstrating which processes and quality management system clauses have been audited. | | | | 9101 Para 5.3.6.2 |
| **Review the complete QMS Process Matrix report for completeness and objective evidence to support the audit conclusions. Does the QMS matrix list which processes and 9100-series standard clauses have been audited, including a summary of objective evidence related to each 9100-series standards clauses.** | | | |  |
| **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** | **1.18** | **Post Audit Assessment** |  | **Reference(s)** |
| **Audit Report**: Is there evidence in the audit report that the audit team verified the effectiveness of corrective actions taken for nonconformities identified during the previous audit? | | | | 9101 Para 6.6.7 |
| **Evaluate the previous audit report to determine if NCRs were written. If applicable, ensure effectiveness was verified by the audit team.** | | | |  |
| **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** | **1.19** | **Post Audit Assessment** |  | **Reference(s)** |
| **PBS/RP:** When organizations who are approved for Performance Based Surveillance/Recertification Process (PBS/RP) are not in conformance with continuing requirements; is there evidence in the report that process adjustments were made? | | | | 9104-1 Para 8.5.3.6 |
| **Evaluate the OCAP data to determine if PBS/RP was utilized. Evaluate OCAP data and determine if adjustments to the Surveillance or Recertification audit plan should have been made. (e.g., change in audit duration, adding sites to audit, exiting the process).** | | | |  |
| **Assessment Evidence** | | | | |
| Enter the answer here | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | |

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| POST AUDIT LEAD AUDITOR QUESTIONS | | | | |
| **Item** | **3.1** | **Post Audit Assessment** |  | **Reference(s)** |
| An Audit Team Leader and Audit Team interview should be scheduled and conducted once the Post Audit Assessment above is completed.  The purpose of the interview is to:   * Follow up on any items noted during an associated witness audit * Address any incomplete audit report items noted in this Post Audit Assessment * Obtain verbal clarification * Provide constructive feedback to the audit team * Discuss any potential nonconformances and opportunities for improvement | | | | 9104-2 Para 3.9 |
| **Reach out to the Certification Body (CB) to schedule the follow up interview with the audit team. It is recommended that this be managed via the OASIS feedback function. An interview with the audit team should not be conducted without concurrence and engagement with the CB.** | | | |  |
| **Assessment Evidence** | | | | |
| Date of interview: | | | | |
| Attendance: | | | | |
| Comments: | | | | |
| Follow up actions: | | | | |

**Instructions for Completing Check Sheet:**

This check sheet shall be used for 9104-001 CB post audit 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.

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| **Document Revision History** | |
| **Revision Date** | **Description of change** |
| 18th April 2023 | New document issued |
| 3rd May 2024 | Added additional question on front page in relation to post audit / witness audit confirmation. |
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END OF DOCUMENT