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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 (Auditee) | Enter OASIS Number |
| Lead Assessor Name | First Name, Last Name (AB Assessor if Joint, OP Assessor if not Joint)Assessment Team Role, Organization's Name |
| Other Assessor Names and Roles:  | First Name, Last NameAssessment 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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| 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)** |
| 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** | **Witness 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** | **Witness 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** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
| Is the stage 1 audit report completed per 9101 requirements? | 9101 Para 6.3 |
| **Review the Stage 1 audit report in OASIS, when witnessing an initial audit only.** |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| Witness Assessment Questions (That’s questions that you can answer during the witnessed audit) |
| **Item** | **2.1** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
| Does the certification scope statement as listed within OASIS adequately summarize the witnessed organization's products, services, and supporting activities and align with the organization’s AQMS? | 9104-001 Para 8.2.49104-001 Para 8.5.1 |
| **Based on observations during the witness event and evaluation of the products and services. Is the scope correct? For example; are they a machine parts manufacturer versus and electronics producer?** |  |
| **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** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
| Does the CB have a completed Organization Certification Analysis Process (OCAP) tool that contains all of the required information? | 9104-001 Para 8.5.1 |
| **Auditor should have a copy of the latest OCAP and refer to this during the audit.** |  |
| **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)** |
| Has the appropriate number of auditor duration days been scheduled for this audit? Is it reflected within the audit plan? | 9104-001 Para 8.5.19104-001 Para 8.5.5.6 |
| **Completed OCAP** |  |
| **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)** |
| 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** | **2.5** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
| 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** | **2.6** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
|  Where the CB uses Process Based Surveillance/Recertification Process (ASRP) audit programme: - Where the initial qualification and annual requirements satisfied? Is the audit program adjusted when performance issues indicate a need? | 9104-001 Para 8.5.3 |
|  **Completed OCAP and any additional documented information that the CB uses to evaluate PBS/RP program.**  |  |
| **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)** |
|  OASIS Data: For surveillance / recertification audits, are the OASIS database and the organization’s information correct (e.g., address, site information, non-applicable clauses, scope of certification…)?  | 9104-001 Para 12.1 |
|  **Review OASIS and ensure data is correct.** |  |
| **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)** |
| For integrated management system audits; does the CB plan and perform according to 9104-001 requirements: - Audit plan - Audit duration - Percentage of integration - Certification documents? | 9104-001 Para 8.5.2 |
| **Review the audit plan and OCAP** |  |
| **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)** |
| Is there evidence to indicate that the areas of concern identified during stage 1 were resolved prior to conducting the Stage 2 audit? | ISO 17021-1 Para 9.3.1.2.4 |
| **Review the Stage 1 audit report in OASIS, when witnessing an initial audit only. Ensure that items identified during the Stage 1 audit have been addressed by the Client and the CB Lead auditor.** |  |
| **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)** |
| Were the planning requirements of 9101 completed for this audit, and including: - customer feedback items? - Proportion of ASD for each customer? - Utilization of OASIS as an input to the surveillance / recertification audit planning process? | 9101 Para 5.2.6j  |
| **Review the completed audit plan.****During the course of the audit, was any regulatory requirements discussed are any applicable?** **Example would be FAA or EASA repair station approvals or activities or FAA Part Manufacturing Approval (PMA) markings on parts.** |  |
| **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 evidence that the Audit team leader developed an acceptable audit plan that conforms to established requirements? Was the OCAP results used to adjust the audit plan? | 9101 Para 5.2.69104-001 Para 8.5.59104-001 Para 8.5.10.4 |
| **Review the completed audit plan and compare the plan to the OCAP analysis to determine if the plan was adjusted based on Client performance.** |  |
| **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)** |
| Opening Meeting: Did the Audit team leader perform an opening meeting satisfying all requirements? | 9101 Para 5.3.2 |
| **Observe 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** | **2.13** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
|  Were shift activities planned and audited appropriately? | 9104-001 Para 8.5.5.7 |
|  **Ensure that shift coverage is discussed and accounted for during the audit.** |  |
| **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)** |
| Interviews: Did the audit team interview the responsible Process Owners and top management at the highest level within the organization? | 9101 Para 5.3.1.4.e  |
| **Review the audit plan and observe audit conduct to ensure interviews with top level process owners.** |  |
| **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)** |
| Site Tour: Was a site tour organized to address changes in scope or facilities, or to familiarize audit team members with the organization’s activities? | 9101 Para 5.3.3 |
| **Participate in the tour and observe any significant changes that may have occurred (e.g. increase in personnel, new product line, process capability, etc.) Ensure any significant changes are addressed by the audit team during the audit or planned for a future date.** |  |
| **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)** |
| Communication: Did the audit Team Leader communicate with team members and client during the audit? Did the team members demonstrate adequate knowledge and skills relative to communication during the audit? | 9101 Para 5.3 |
| **Audit observation activity during the witness 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** | **2.17** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
|  Audit Team: Is the audit team authenticated as per requirements (check with OASIS)? Did the audit team demonstrate knowledge of the AQMS standard and the industrial sector being assessed? Did the Audit team leader provide adequate guidance to the Team, as appropriate? Was the Audit team leader an AEA? | 9104-001 Para 8.5.6.1.c |
| **Review auditor credentials in OASIS. Observe the audit conduct and listen for references back to the AQMS standard during conformance discussions. Is the audit well organized, is time managed and does the team leader regularly check with team mates and adjust if needed.** |  |
| **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)** |
| Were statutory and regulatory requirements relating to the audit team (including observers) taken into consideration when planning and completing the audit? | 9101 Para 5.2.6.j  |
| **During the course of the audit, was any regulatory requirements discussed are any applicable? Example would be FAA or EASA repair station approvals or activities or FAA Part Manufacturing Approval (PMA) markings on parts.** |  |
| **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)** |
|  Obtaining and Verifying Information: Did the audit team collect and verify information to support conclusions and conformance? | 9101 Para 5.3.4 |
|  **Ensure that audit samples are reflective of the process being audited, audit team should pull multiple samples to support conclusions.** |  |
| **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)** |
|  Audit Completeness: Did the audit team use a process approach and: - assess activities and processes of the defined scope of registration as per audit plan? - assess to sufficient depth to verify client organization conformance? - assess process performance and gather enough data to support their conclusions? - assess shifts as required? | 9101 Para 5.3.4 |
|  **Audit observations. Is the audit well organized, is time managed and does the team leader regularly check with team mates and adjust if needed.** |  |
| **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)** |
|  Surveillance Audit: Did the audit team asses all of the mandatory items for surveillance audits? | ISO 17021-1 Para 9.6.2.29101 Para 4.1.1 |
| **The mandatory elements are listed in ISO 17021-1 Clause 9.6.2.2 (e.g., management review, internal audit, changes, operational control, and continual improvement).**  |  |
| **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** | **2.22** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
|  Nonconformities: Did the audit team: - record all nonconformities identified? - classify them appropriately? – Communicate them to the organization during closing meeting?PEARs: Did the audit team: - Document all the PEARs identified in the plan? - score them appropriately? – Communicate the score and reasoning to the organization during closing meeting? | 9101 Para 5.5  |
|  **Audit observation and the audit out brief information. Also, do not pre-judge the issued NCRs may change once the official report is 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** | **2.23** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
|  Closing Meeting: Did the Audit team leader prepare appropriately for closing meeting and provide a closing meeting with clear statement of conclusion? | 9101 Para 5.3.1  |
|  **Observe the closing 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** | **2.24** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
| Surveillance Audit: Did the audit team close/review remaining issues / nonconformities from the previous audit? | 9101 Para 6.5.5 |
| **Review the previous audit report in OASIS, identify past NCRs and ensure adequate follow up 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** | **2.25** | **Witness Assessment** |  |  |  |  | **Reference(s)** |
| If CB audit team uses subject matter or technical experts, are there evidences of how these experts are selected and how their technical knowledge is assured on a continuing basis? | ISO 17021-1 Para 7.2.6 |
| **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) |

**Instructions for Completing Check Sheet:**

This check sheet shall be used for 9104-001 CB witness assessment. It may also be used for CB special assessments (e.g., follow-up).

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 |
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