Dear Auditors,

**Completing the Audit Program**

A year ago, PRI Registrar sent out Advisory #102, informing all auditors that we had received an NCR during our ANAB office audit regarding the completion (or lack thereof) of the 3-year audit program. In preparation for this year’s office audit, we went back to verify effectiveness of our corrective action – and couldn’t. In the sample we reviewed, fully half of the audit programs were not completed. We managed to avoid a major ANAB NCR only because we identified this and wrote the issue up as a major internal CAR.

We must once again emphasize that **the audit program must be completed for the full three years at the time of the Stage 2 or recertification audit.** If that audit has already passed and the program is not completed, then it **must** be completed at the next audit event. In the meantime, the REG-FRM 76 (Registration Decision Checklist) forms have been updated to include an item for Expert Reviewers to ensure the audit program is completed before completing a client’s registration decision. The reviewer will reject any audit where the audit program is not complete.

Since this is related to a major internal CAR, this advisory has been deemed to be “critical training.” Failure to acknowledge critical training by the designated date will result in the auditor’s internal risk status being changed to “high” until such time as the training is completed. Please see the auditor report card for details.

**Audit Processes**

In related news: during our office audit, ANAB issued a new NCR regarding the assessment of all activities listed in the scope of certification.

It is a requirement that any activity listed in the scope of certification must be assessed at least once within the certification cycle; however, since many scopes include reference to activities that are a smaller part of a larger process (e.g., CNC machining, heat treating, FAA repair station), we must take additional action to ensure that there is evidence that they have been assessed. Therefore, in response to this NCR, **PRI Registrar is requiring that any activity listed in the scope of certification must be listed on the audit program as a “process,” and must be planned for assessment at the Stage 2 or recertification audit and at least once during the three year cycle.**

- If the activity is part of a larger process, then its review may be documented as part of the documentation of that process and it must be specifically identified.
- If the activities are not included as one the client’s defined processes, then either an NCR must be issued, or the activities must be removed from the scope of certification.
- If the activity makes up the whole of a process, then no additional action is required.

**Instructions**

- **Aerospace:**

- The audit program is documented on the REG-FRM 117 Audit Program Detail Form. This form is available for download at the start of each audit on the Audit Plan page in RMS. This link will provide the most recently-updated version of the REG-FRM 117.

- The audit program plan is located on the last page of the REG-FRM 117. This page should list all client processes (as defined by their interaction of processes diagram), broken out by site. This is also where scope activities will be listed.

- The plan shall be completed for the three-year period at the time of the Stage 2 or recertification audit. It may be updated to reflect reality based on circumstance during surveillance audits, but a plan must exist at the start of the cycle.

- All processes must be assessed at the full system audit (Stage 2 / recertification) and must also be assessed in full at least once during the surveillance audits. Processes may be split across surveillances, if appropriate. The following processes must be assessed at least annually:
  - Purchasing
- ISO 9001 / ISO 14001 / ISO 45001

Any process dealing with the management systems (e.g., internal audit, management review, corrective action, etc.)
The audit program is documented in RMS on the Site Audit Program page. This page can be accessed through the RMS audit by clicking on the “Site Audit Program” link at the top left of the page.

- Each site will have its own Site Audit Program page.

- This page should list all client processes (as defined by their interaction of processes diagram). This is also where scope activities will be listed.

- The plan shall be completed for the three-year period at the time of the Stage 2 or recertification audit. It may be updated to reflect reality based on circumstance during surveillance audits, but a plan must exist at the start of the cycle.

- All processes must be assessed at the full system audit (Stage 2 / recertification) and must also be assessed in full at least once during the surveillance audits. Processes may be split across surveillances, if appropriate. The following processes must be assessed at least annually:

  - Any process dealing with the management systems (e.g., internal audit, management review, corrective action, etc.)