Dear Auditors,
During a recent oversight audit to AS9110, several findings have led PRI Registrar to recognize that the Auditor Procedure and Expectation Guidelines were lacking in several areas of clarification.

The changes to the Guidelines, listed below, are effective immediately.

7.7 “The audit plan shall be designed to guide the audit team to verify the effective implementation of processes listed in the scope of registration and:

a. examine and verify the structure, policies, process, records, and related documents such that each non-excluded area of the applicable standard is validated for existence and effectiveness within the client organization management system,

b. to determine that each item in the scope meets all of the requirements of the applicable standards and company procedures

c. to determine that the processes and procedures are established, implemented and maintained effectively, and to provide a basis for confidence in the client’s management systems”

5.1.3 In circumstances when there is more than one auditor on the audit team, the Lead Auditor is responsible to guide any audit team members via assignments clearly stated in the audit plan.

5.1.4 If the audit is an oversight body witness audit for the addition of a new standard to the registrar capability, it is imperative that the auditor qualified in the new standard perform all auditing to assure that the audit is done through qualified eyes.

5.2.4 It is the expectation of PRI Registrar that the lead auditor will immediately contact the PRI Registrar client manager should any situation arise that has added a complication to the audit, or if client behaviors are suspected in reducing the quality and effectiveness of the audit.

10.4 The purpose of the Stage 2 audit is to evaluate the implementation, including effectiveness, of the client’s management system. The Stage 2 audit shall take place at the site(s) of the client and shall include at least the following:

17. It is the expectation of PRI Registrar that auditors will perform complete analyses of the processes surrounding standard elements. For instance, in the auditing of the corrective action process, the auditor shall not limit the audit to the internal process corrective actions alone. It is expected that the auditor will expand the examination to the process that exists to claim customer complaints, internal audits, nonconforming material, the required corrective action procedure, the timely response to findings and the overall effectiveness of the process.