Dear Auditors,

At our recent annual office audit by the ANAB, it was brought to our attention that formal audit plans are required for Stage One audits. To date, PRI Registrar has never required formal audit plans for this activity, but we are now tasked with implementing this requirement.

For Stage One audits beginning October 1, 2013 and beyond; auditors will be expected to submit a formal audit plan to the client for the Stage One activities. This will be a separate audit plan from the one that will be completed for the Stage Two audit. PRI Registrar will also be requiring a formal audit plan for Transfer audits with on-site activity.

In an effort to ease any additional burden with this new requirement, PRI Registrar has created two new audit plan templates; one for stage one audits, the other for transfer audits. Each template contains the typical activities expected to be covered during the audit. The two new templates are attached at the end of this advisory for your review.

*The only items that PRI Registrar expects you to complete on these new audit plans are the “Audit Start Time” and “Audit End Time” fields.* The rest of the information will be merged into the form for you.
The information below is simply a reminder of the activities intended to be performed during Stage One. ISO 17021 calls out the following:

9.2.3.1.1 The stage one audit shall be performed to:

1) audit the client’s management system documentation;

2) evaluate the client’s location and site-specific conditions and to undertake discussions with the client’s personnel to determine the preparedness for the stage two audit;

3) review the client’s status and understanding regarding requirements of the standard, in particular with respect to the identification of key performance or significant aspects, processes, objectives and operation of the management system;

4) collect necessary information regarding the scope of the management system, processes and locations of the client, and related statutory and regulatory aspects and compliance (e.g. quality, environmental, legal aspects of the client’s operation, associated risks, etc.)

5) review the allocation of resources for stage two audit and agree with the client on the details of the stage two audit.

6) provide a focus for planning the stage two audit by gaining a sufficient understanding of the client’s management system and site operations in the context of possible significant aspects.

7) evaluate if the internal audits and management review are being planned and performed, and that the level of implementation of the management system substantiates that the client is ready for the stage two audit.

For aerospace audits, AS9101D provides additional expectations as to the activities and data to be collected during stage one:

4.3.2.2 The audit team leader shall require the organization to provide the necessary information and documentation for review, including the following:

1) quality manual

2) description of processes showing their sequence and interactions, including the identification of any outsourced processes;

3) performance measures and trends for the previous 12 months;
4) evidence that the requirements of the applicable 9100-series standards are addressed by the organization’s documented procedures established for the quality management system;

5) interactions with support functions on-site or at remote locations/sites;

6) evidence of internal audits of processes/procedures, including internal and external quality management system requirements;

7) the latest management review results;

8) list of all major (e.g. top five) aviation, space, and/or defense and any other customers requiring 9100-series standard compliance, including an indication of how much business each customer represents and their customer specific quality management system requirements, if applicable; and

9) evidence of customer satisfaction and complaint summaries, including verification of customer reports, scorecards, and special status or equivalent.

AS9101D continues with additional items to be addressed, as applicable, during stage one:

4.3.2.3 Review of the Organization:

1) number of employees (i.e., full time, part time, contract, temporary) dedicated to aviation, space, and defense;

2) number of shifts and shift patterns specific to production and/or maintenance;

3) evaluation of multiple site eligibility for determination of audit time and sampling;

4) identification of high risk associated with processes and products;

5) risk management and associated tools;

6) identification of special processes performed or subcontracted;

7) regulatory requirements and authority approvals/recognitions;

8) additional requirements on configuration management;

9) project/program management;

10) continual improvement activities;
11) OTD and quality performance measures;

12) identification of special requirements/critical items, including key characteristics;

13) production process verification, as invoked in contracts;

14) prevention programs;

15) special work environments;

16) customer presence at organization;

17) customer satisfaction and complaint status, including customer reports and scorecards;

18) any customer specific organization approval statuses;

19) customer restricted areas or proprietary information/confidentiality;

20) exclusions from 9100-series standards and supporting justification;

21) export limitations/controls;

22) customer delegated verifications and Materials Review Board (MRB) authority; and

23) customer authorized direct ship/direct delivery

Likewise, PRI Registrar will require a formal audit plan for transfer audits with on-site activity. The International Accreditation Forum (IAF) has published a document (IAF MD2) which governs the activities expected during a transfer audit. Some of the common activities that auditors must perform during a transfer audit are as follows:

1) confirmation that the client holds a current / valid certification

2) review the last certification / recertification audit reports, subsequent surveillance reports and any outstanding nonconformities that may arise from them

3) complaints received and actions taken

4) confirmation of the current stage in the certification cycle
We thank you for your attention to this matter, as well as your adherence to this newly implemented requirement. Should you have any questions or concerns, please feel free to contact us.
Audit Plan

| Audit Number: | «AuditNumber» |
| Company: | «Client» |
| Company Representative: | «ContactFirstName» «ContactLastName», «ContactJobTitle» |
| Standard: | «StandardName» |
| Scope of Audit: | «Scope» |
| Audit Type: | «TypeNameBase» |
| Lead Auditor: | «LeadAuditorFirstName» «LeadAuditorLastName» |
| Team Auditor: | «AuditTeam» |
| Dates: | «AuditStartDate» |
| Audit Start Time: | |
| Audit End Time: | |

The following activities shall be performed during the Stage One audit:

- Review of management system documentation, including quality manual and procedures required by the international standard
- Evaluate location and site-specific conditions; and undertake discussions with personnel to determine preparedness for the Stage Two audit
- Review the status and understanding regarding requirements of the standard, in particular with respect to the identification of key performance or significant aspects, processes, objectives and operation of the management system
- Collect information regarding the scope of the management system, processes and location(s), and related statutory and regulatory aspects and compliance (e.g. quality, environmental, legal aspects of the operation, associated risks, etc.)
- Evaluate if internal audits and management review are being planned and performed, and that the level of implementation of the management system substantiates readiness for the Stage Two audit
- Review the allocation of resources for the Stage Two audit, and agree upon the details of the Stage Two audit

For Aerospace audits (AS9100, AS9110, AS9120), additional items shall be addressed during the Stage One audit; as identified in AS9101 4.3.2.2 and 4.3.2.3

-Exclusions (4.2.2.a) to be verified during audit-
# Audit Plan

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<tr>
<td>Name:</td>
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The following activities shall be performed during the Transfer audit:

- Confirmation of a current / valid certification
- Review of the last certification / recertification audit reports, subsequent surveillance reports and any outstanding nonconformities that may arise from them
- Review of any customer complaints received and actions taken
- Confirmation of the current stage in the certification cycle

-Exclusions (4.2.2.a) to be verified during audit-

-PROPRIETARY AND CONFIDENTIAL INFORMATION*-