## Minimum Assessment Requirements

The following represents the minimum requirements for topics/areas/activities that must be assessed in each type of audit, and on an annual basis. These requirements are taken both from the relevant industry standards, as well the expectations of PRI Registrar.

### Stage 1 Audits

**ISO 17021-1:2015 (9.3.1.2.2) – All Programs**

The objectives of stage 1 are to:

a. review the client’s management system documented information;
b. evaluate the client’s site-specific conditions and to undertake discussions with the client’s personnel to determine the preparedness for stage 2;
c. 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;
d. obtain necessary information regarding the scope of the management system, including:
   - the client’s site(s);
   - processes and equipment used;
   - levels of controls established (particularly in case of multisite clients);
   - applicable statutory and regulatory requirements;
e. review the allocation of resources for stage 2 and agree the details of stage 2 with the client;
f. provide a focus for planning stage 2 by gaining a sufficient understanding of the client’s management system and site operations in the context of the management system standard or other normative document;
g. evaluate if the internal audits and management reviews are being planned and performed, and that the level of implementation of the management system substantiates that the client is ready for stage 2.

**AS9101F (4.3.2.3) – Aerospace**

During the Stage 1 audit, the audit team leader shall require the organization to provide the necessary documented information for review, including the following:

a. requirements determined as not applicable within the scope, including justification by the organization (see 9100-series standards clause 4.3);
b. QMS documented information (e.g., quality manual);
c. evidence that the requirements of the applicable 9100-series standards are addressed by the organization’s documented information established for the QMS (see 9100-series standards clause 4.4);
d. evidence of performance data for each key customer; including product or service conformity and OTD trends, plus any complaints;

**NOTE:** The data should be sufficient to allow the audit team leader to make a judgment on performance and trends.

e. export limitations/controls (if applicable) [e.g., International Traffic in Arms Regulations (ITAR), Export Administration Regulation (EAR)];
f. customer delegated inspection and/or authorized direct ship / direct delivery (if applicable);
g. evaluation of certification structure (i.e., single site, multiple site, campus, several site, complex organization) eligibility for determination of audit time and sampling (see 9104/1); and
h. level of QMS integration.

- **NOTE 1:** Integration refers to the practice of combining common requirements for multiple management systems, e.g., ISO 9001/ISO 14001 or AS9110/AS9110.
- **NOTE 2:** Level of integration refers to the degree to which common management system requirements (e.g., internal audits, management review, etc.) are combined by the organization.
- **NOTE 3:** ISO 9001/AS91XX is not considered integrated.
# Minimum Assessment Requirements

The following represents the minimum requirements for topics/areas/activities that must be assessed in each type of audit, and on an annual basis. These requirements are taken both from the relevant industry standards, as well the expectations of PRI Registrar.

## Stage 2 Audits

### ISO 17021-1:2015 (9.3.1.3) – All Programs

[The Stage 2 audit] shall include the auditing of at least the following:

- Information and evidence about conformity to all requirements of the applicable management system standard or other normative documents;
- Performance monitoring, measuring, reporting and reviewing against key performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document);
- The client's management system ability and its performance regarding meeting of applicable statutory, regulatory and contractual requirements;
- Operational control of the client’s processes;
- Internal auditing and management review;
- Management responsibility for the client's policies.

### AS9101F (4.3.3) – Aerospace

Each on-site audit, except for nonconformity follow-up (see clause 4.2.4) and special audits (see clause 4.3.6) shall include the following, as applicable:

- A review of the changes to the QMS, since the last audit (including certification structure);
- A review of requirements from new aviation, space, and defense customers, since the last audit;
- A review of customer satisfaction information and requested corrective actions and associated responses;
- An interview with top management;
- An audit of the organization's processes, including their performance and effectiveness, as identified in the audit plan (see clause 4.2.1);
- An audit of the continual improvement of the QMS;
- An audit of follow-up actions from previous audits; and
- An audit of the purchasing process (see 9104/1 clause 8.2.2.n).

## Recertification Audits

### ISO 17021-1:2015 (9.6.3.2.1) – All Programs

The recertification audit shall include an on-site audit that addresses the following:

- The effectiveness of the management system in its entirety in the light of internal and external changes and its continued relevance and applicability to the scope of certification;
- Demonstrated commitment to maintain the effectiveness and improvement of the management system in order to enhance overall performance;
- The effectiveness of the management system with regard to achieving the certified client’s objectives and the intended results of the respective management system(s).

### AS9101F – Aerospace

Each on-site audit, except for nonconformity follow-up (see clause 4.2.4) and special audits (see clause 4.3.6) shall include the following, as applicable:

- A review of the changes to the QMS, since the last audit (including certification structure);
- A review of requirements from new aviation, space, and defense customers, since the last audit;
- A review of customer satisfaction information and requested corrective actions and associated responses;
- An interview with top management;
- An audit of the organization's processes, including their performance and effectiveness, as identified in the audit plan (see clause 4.2.1);
- An audit of the continual improvement of the QMS;
- An audit of follow-up actions from previous audits; and
- An audit of the purchasing process (see 9104/1 clause 8.2.2.n).
Minimum Assessment Requirements
The following represents the minimum requirements for topics/areas/activities that must be assessed in each type of audit, and on an annual basis. These requirements are taken both from the relevant industry standards, as well the expectations of PRI Registrar.

### Surveillance Audits
*note: Requirements for surveillances are based on annual visits. If conducting semi-annual surveillances, then both surveillances conducted in a calendar should be taken together to meet requirements.*

<table>
<thead>
<tr>
<th>ISO 17021-1:2015 (9.6.2.2) – All Programs</th>
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<tbody>
<tr>
<td>Each surveillance for the relevant management system standard shall include:</td>
</tr>
<tr>
<td>a. internal audits and management review;</td>
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<tr>
<td>b. a review of actions taken on nonconformities identified during the previous audit;</td>
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<tr>
<td>c. complaints handling;</td>
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<tr>
<td>d. effectiveness of the management system with regard to achieving the certified client’s objectives and the intended results of the respective management system(s);</td>
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<tr>
<td>e. progress of planned activities aimed at continual improvement;</td>
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<td>f. continuing operational control;</td>
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<td>g. review of any changes;</td>
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<td>h. use of marks and/or any other reference to certification.</td>
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<tr>
<th>AS9101F (4.3.4) – Aerospace</th>
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<tbody>
<tr>
<td>Each on-site audit, except for nonconformity follow-up (see clause 4.2.4) and special audits (see clause 4.3.6) shall include the following, as applicable:</td>
</tr>
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<td>a. a review of the changes to the QMS, since the last audit (including certification structure);</td>
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<td>b. a review of requirements from new aviation, space, and defense customers, since the last audit;</td>
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<td>c. a review of customer satisfaction information and requested corrective actions and associated responses;</td>
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<td>d. an interview with top management;</td>
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<td>e. an audit of the organization's processes, including their performance and effectiveness, as identified in the audit plan (see clause 4.2.1);</td>
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<td>f. an audit of the continual improvement of the QMS;</td>
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<td>g. an audit of follow-up actions from previous audits; and</td>
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<td>h. an audit of the purchasing process (see 9104/1 clause 8.2.2.n).</td>
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**NOTE:** If there is more than one surveillance audit during a year (e.g., every six months), some activities (e.g., interview with top management) may be spread over these audits.

### PRI Registrar – Annual requirements

<table>
<thead>
<tr>
<th>All Programs</th>
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<tbody>
<tr>
<td>It is the expectation of PRI Registrar that the following activities/processes/areas will be assessed during each calendar year:</td>
</tr>
<tr>
<td>a. Use of Marks and Logos</td>
</tr>
<tr>
<td>b. Management Review</td>
</tr>
<tr>
<td>c. Internal Audits</td>
</tr>
<tr>
<td>d. Corrective Actions</td>
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<tr>
<td>e. Continual Improvement</td>
</tr>
</tbody>
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