

# Great Western Registrar LLC



## **AS&D Client Program and Audit Manual**

Based on ISO 17021, AS9104, Associated ANAB  
Accreditation Rules & ICOP Resolutions

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# **Section 1**

## **Application Review & Quote Process:**

Potential Client submits application for initial certification or transfer of current certification.

Application review is conducted including determination of audit time (see below). Criteria for acceptance of application is found on the application review form.

- a. If transfer, the review is to include contacting current CB for certificate information and conduct desk review.
- b. Review of OASIS database to determine current certification status.
- c. Determine the time needed to conduct an on-site visit of the client site.

A Client workbook is created according to work instruction found in the work book.

## **Process for Determination of client audit time:**

GWR will conduct an initial review of a potential client application and provide a baseline of audit time. This baseline will be used for quoting purposes only, and may be revised during subsequent scheduling activities, should GWR receive a contract from the client.

GWR will determine the time needed to plan and accomplish a complete and effective audit of a client's management system.

### **GWR will consider the following, at a minimum, when determining audit time.**

- What standard the client has implemented.
- Complexity of the client and its management system.
- Language used by the client.
- Regulatory or Technology context.
- If the client outsources any activities included in the client scope of management system.
- Results of any prior audits.
- Size of site/s and number of sites (Must have a multi-site form completed).
- Geographical locations and logistics complexity.
- The risks associated with products, processes, services or other activities of the organization.
- Combined or integration of systems (Must have an integration form completed).
- Length of time the client has been in business.

Additional factors may be used in calculation of audit time based on application and CIU review. (see scheduling of audits in subsequent sections of this manual).

The starting point for determining audit time shall be found in AS9104.

Audit duration may be increased appropriately, based on risk analysis. The base audit time found in AS9104 will not be decreased.

Each client file will be assigned a workbook that contains all of the calculations for determining audit time and will be kept current throughout the life of the contract with GWR.

A copy of the agreement and applicable workbook pages are sent to the potential client.

During the application review (or CIU review), if it is determined that the scope of the client QMS includes more than one site, GWR will determine the structure of the organization utilizing the definitions provided in AS9104.

Total audit time will be calculated based on structure and time requirements given in AS9104. If it is determined that the client has a multi-site structure the following will apply:

Annual Surveillance – Years 1 and 2

Year 1 – Central function and approximately 50% of sites. Year 2 – Central function and remaining sites not audited in Year 1.

Recertification – Year 3

Central function and all sites.

### **Legally Enforceable Agreements:**

Great Western will have, on file, legally enforceable agreements with each client. This agreement outlines the responsibilities for GWR and its certification activities and the client responsibilities for maintaining a quality managements system that meets the requirements of GWR and the standards for which they are seeking certification.

### **Process for Transfer of a Certification:**

Receive signed contract and update the client workbook with appropriate information.

GWR management conducts a desk review and completes a Transfer Review report. This review is to include a review of the client OASIS information. If management agrees that certificate can be transferred, the appropriate scheduling manager is informed to schedule an on-site visit (special audit) by a competent auditor. Should the auditor provide appropriate information to determine that the certification can be accepted and transferred to GWR, the client and the previous CB are notified.

GWR personnel create a certificate and send to the new client.  
OASIS database is updated to move the client certification to GWR.

The appropriate audit is then scheduled according to certification program.

Should the auditor provide justification that the certification cannot be accepted and transferred to GWR, the President of GWR is notified and it is the responsibility of the President to contact the client.

## **Section 2**

### **Scheduling:**

#### **Initial Certification Process:**

Receive signed contract and update the client workbook with appropriate information.

Send CIU (client information update) form to client and request any updates to client information or implemented QMS

GWR OASIS administrator or designee logs into OASIS and requests an OIN for the new client. GWR OASIS administrator or designee sends client an e-mail through OASIS requesting a supplier admin be assigned.

Receive completed CIU from client and update their workbook with current information.

Determine if calculated audit time is correct in the client workbook. Make changes, if necessary. Identify by initialing and date of the changes.

Inform AS&D scheduling personnel that the client is ready to have an audit scheduled.

Scheduling personnel selects a competent audit team and communicates to the auditors regarding anticipated audit timeframes. Once a date is agreed upon by the auditor and client, scheduling personnel creates an NOA (Notification of Audit) and sends to client for formal acceptance. This is considered the binding agreement for audit.

Once client accepts the audit, the scheduling personnel creates an NOA (Notification of Assignment) and sends to auditor/s. Once the assigned auditor signs the NOA, it is a binding agreement. Scheduling personnel also sends the client certification program document to the Lead Auditor during this activity.

- a. If any auditor identifies a conflict of interest, the auditor is expected to contact GWR immediately so other auditor arrangements can be made. GWR cannot certify clients where in which consulting activities have taken place within 2 years.
- b. It is acceptable for the Stage 1 and Stage 2 audits to be scheduled during this activity, however, these audits cannot be scheduled on back to back days.
- c. GWR personnel are required to inform the client of the potential risks associated with scheduling the Stage 1 and Stage 2 audits in conjunction with each other.

Once the audit team has been assigned, the identified Lead auditor is to create and send the Stage 1 audit plan to the client no less than 2 weeks prior to the scheduled audit.

Audit team conducts the Stage 1 audit, according to the GWR Process Manual for Conducting Audits and Maintaining Competencies and sends reports to GWR.

Client resolves areas of concern (if applicable).

Lead Auditor and client confirm dates for the Stage 2 audit. This confirmation is to include the confirmation of audit team if it will differ from the Stage 1 audit team.

Lead Auditor creates Stage 2 audit plan utilizing the client certification program and sends to the client no less than 2 weeks prior to the scheduled audit.

Audit team conducts Stage 2 audit according to Process Manual for Conducting Audits and Maintaining Competencies and utilizing the required and appropriate AS9101 forms and sends reports to GWR.

Client resolves any NCR activity and Lead Auditor verifies implementation of corrective action.

GWR personnel conduct a pre-review of the audit records to ensure required reports are available for certification decision makers.

If there are missing records, pre-review personnel are to contact the Lead auditor for the appropriate records.

Pre-Review personnel then sends reports to a competent certification decision maker (Review Board Members) to conduct a final review for certification decision.

If the review board member concludes that certification be granted, a certificate of registration is created and issued to the client.

The required audit reports and certificate/s are uploaded to OASIS.

Audit program document and workbooks are updated appropriately.

If the review board member concludes that certification cannot be granted, the member informs the President of Great Western Registrar. The President is to conduct an additional investigation as to the reasons why the certificate cannot be granted. It is the responsibility of the President to inform the client that certification cannot be granted.

### **Surveillance Process:**

GWR scheduling personnel are to determine client on-site audit cycle as appropriate.

- a. The 1<sup>st</sup> surveillance of client certified management system is to be conducted prior to the 1-year date of initial certification decision.
- b. All other surveillance activity is to be conducted at least once per year except in re-certification years.

Scheduling personnel sends CIU (client information update) form to client and request any updates to client information or implemented QMS.

GWR receives completed CIU from client and updates the client workbook with current information.

Determine if calculated audit time is correct in the client workbook. Make changes, if necessary. Identify review by initialing and date of the changes.

Inform AS&D scheduling personnel that the client is ready to have an audit scheduled.

Scheduling personnel selects a competent audit team and communicates to the auditors regarding anticipated audit timeframes.

Scheduling personnel creates an NOA (Notification Audit) and sends to client for acceptance.

Once client accepts the audit, the scheduling personnel creates an NOA (Notification of Assignment) and sends to auditor/s. Scheduling personnel also sends the client certification program document. If the auditor identifies a conflict of interest, the auditor is expected to contact GWR immediately so other auditor arrangements can be made.

Lead Auditor creates the surveillance audit plan using client audit program and sends to client no less than 2 weeks prior to the scheduled audit.

Audit team conducts the surveillance audit and sends audit reports to GWR.

Client resolves any NCR activity and Lead Auditor verifies implementation of corrective action or accepts corrective action plan.

GWR personnel conduct a pre-review of the audit records to ensure required reports are available for certification decision makers.

If there are missing records, pre-review personnel contact the Lead auditor for the appropriate records. Pre-Review personnel sends audit reports/records to competent certification decision makers (Review Board Members) to conduct a final review.

No Certification decision is made during this type of review, however, the review is conducted to identify changes to client program. This review also provides record of evaluation of auditor performance and provides a review of the work of the audit team.

Once the review member completes the review, they inform GWR personnel that the audit reports are ready to be uploaded into OASIS.

### **Re-Certification Process:**

The same process for Surveillance activities is to be followed with the exception of the following:

1. Lead auditor is to verify the implementation of any corrective action identified as Major NCR.
2. Review Board members are to make a certification decision.

If the review board member concludes that certification be re-issued, a certificate of registration is created and sent to the client utilizing the existing certification cycle.

The reports and new certificate is then uploaded into the OASIS data base.