**THIS CHECKLIST IS TO BE UPLOADED AS AN ATTACHMENT TO THE ASSOCIATED  
OVERSIGHT ASSESSMENT EVENT RECORDED IN OASIS.**

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| --- | --- |
| **AB Name and Contact Name:** |  |
| **Witnessed CB Name and Address:** |  |
| **Witnessed CB AQMS Accreditation  Scope (Standards):** |  |
| **Assessment Date(s):** | Day(s)/Month/Year |
| **OP Assessor Names and Roles:** | First Name, Last Name  Assessment Team Role, Organization's Name |
| **Conclusions, Remarks, OFIs, Recommendations, and Number of NCRs**  **NOTE:** A nonconformity cannot be  documented as an OFI (reference  9104-002, definition section). | As applicable, identify number of OFIs; list all OFIs. |
| **Submitted by:** | First Name, Last Name |
| **Date Submitted:** | Day/Month/Year |

**Instructions for Completing Check Sheet:**

This check sheet shall be used when conducting AB witness assessments.

**Status Assessment Results:**

Document assessment results within the table as follows:

* **Conforming (C)** - The process records/evidence demonstrate effective implementation; process assessed and found acceptable.
* **Nonconforming (NC)** - The process records/evidence were assessed, and a nonconformity was identified.
* **Not Evaluated (NE)** - The question was not evaluated; include justification in the “Assessment Evidence/Comments” column (e.g., outside assessment scope).
* **Not Applicable (NA)** - The question is not applicable; record objective evidence in the “Assessment Evidence/Comments” column.

**Assessment Evidence / Comments:**

Include appropriate detail in the “Assessment Evidence/Comments” column to support the assessment results (e.g., information associated to the process assessed and records reviewed, NCR number, OFI).

Additional questions may be added, as deemed appropriate.

NOTE: 9104-002 check sheets are available on the International Aerospace Quality Group (IAQG) website.

| **Item** | **Question** | **Reference(s)**  (Standard and Clause Number) | **Assessment Results**  (C, NC, NE, NA) | **Assessment Evidence / Comments** |
| --- | --- | --- | --- | --- |
| **Pre-Audit** | | | | |
|  | Is there evidence that AB oversight assessment activities are planned and scheduled with all affected parties, prior to conduct? | 9104-002: 7.4.1 |  |  |
|  | Is there evidence that the AB has prepared and made available to the CB and assessment team members an effective assessment plan, prior to conduct? | 9104-002: 7.5.2 |  |  |
|  | Is there evidence that the AB assessment plan has considered follow-up items [e.g., previous assessment reports, past nonconformity verifications, Certification Structure Oversight Committee (CSOC) requirements]? | 9104-002: 7.5.2 |  |  |
|  | Does the AB ensure that the assessment team leader is identified, and their role is communicated to all affected parties, prior to the oversight assessment? | 9104-002: 7.5.1 |  |  |
|  | Does the AB ensure, prior to oversight activity, consideration is given to any conflict of interest that may exist and resolve the conflict with all affected parties? | 9104-002: 7.5.3 |  |  |
|  | Does the AB ensure, prior to oversight activity, consideration is given to any restrictions arising from export control or security clearance with all affected parties? | 9104-002: 7.5.3 |  |  |
| **Audit Execution** | | | | |
|  | Has the AB assessment team leader conducted an effective opening meeting? | ISO/IEC 17011: 7.6.2 |  |  |
|  | Is there evidence that the AB assessment team is following the established assessment plan or adjusting, as deemed appropriate, during the assessment? | ISO/IEC 17011: 7.6.3 |  |  |
|  | Is there evidence that the AB assessment team is conducting CB client files reviews to ensure conformance with requirements? | 9104-001: 5.3.3.a  ISO/IEC 17021-1: 9.9.2 |  |  |
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|  | Does the AB assessment team’s client file review process include evidence that the following requirements have been met?  - CB audit duration, including justification,  - certification structure,  - certificate contents,  = any non-applicabilities are justified, and  - Online Aerospace Supplier Information System (OASIS) database | 9104-001: 5.3.3 |  |  |
|  | Does the AB assessment team ensure that CB client files contain the required 9101 forms/records?  NOTE: 9104-002 Form N, “9101 Audit Report Review Assessment Check Sheet”, may be used for guidance. | 9104-001: 5.3.3 |  |  |
|  | Where a remote client file review has taken place prior to the assessment, how has the AB assessment team leader communicated the results of this review with the CB? | 9104-001: 5.3.3.c; |  |  |
|  | Does the assessment plan include any identified follow up assessment items where a remote review of client files has taken place prior to the assessment? | 9104-001: 5.3.3.c; |  |  |
|  | Where remote client file review has taken place prior to the assessment, is there evidence that a minimum of two client files are reviewed during the on-site assessment? | 9104-001: 5.3.3.c |  |  |
|  | Has the AB assessment team gathered sufficient objective evidence to determine conformity to ICOP scheme requirements and therefore the competence of the CB? ? | ISO/IEC 17011: 7.6.4  9104-001: 5.3.a |  |  |
|  | Does the AB assessment team accomplish the CB Office Assessment utilizing AB approved assessment tools? | 9104-001: 5.3.a |  |  |
|  | Does the AB assessment team take appropriate action (including a recommendation of suspension or withdrawal, if appropriate) when the CB does not demonstrate conformance or appropriate competence in relation to the ICOP scheme? | 9104-001: 5.3.a |  |  |
|  | For office assessments of the CB, is there sufficient evidence that the AB has conducted the assessment based on the assessment plan? | ISO/IEC 17011: 7.6.3 |  |  |
|  | Does the AB assessment team conduct an effective closing meeting with the CB? | ISO/IEC 17011: 7.6.3.a |  |  |
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| **Post Audit** | | | | |
|  | Does the AB ensure that any nonconformities identified, during the assessment, are recorded and classified on an Oversight Nonconformity Report (see 9104-002 Form D) or equivalent? | ISO/IEC 17011: 7.6.6.a  9104-002: 7.12 |  |  |
|  | Is there evidence that the AB assessment team leader has prepared an effective assessment report that includes required items and conforms to requirements? | ISO/IEC 17011: 7.6.6.b and c |  |  |
| **Accreditation Body Personnel** | | | | |
|  | Has the AB appointed an assessment team with appropriate competence and expertise for the specific assignment? | ISO/IEC 17011: 7.4.1 |  |  |
|  | When the AB assessment teams do not have sufficient work experience or AQMS training, are they supported by aviation, space, and defense industry experts that fulfil the work experience, Aerospace Quality Management System (AQMS) training, or industry specific training for the applicable standard(s)? | 9104-001: 5.4.1.d |  |  |
|  | Where using technical experts, is there evidence of effective utilization of the expert during the assessment? | 9104-001: 5.4.1.d |  |  |
| **Online Aerospace Supplier Information System (OASIS) Database** | | | | |
|  | Is there evidence that the AB assessment team confirmed CB conformance to OASIS database entry requirements? | 9104-001: 12.5 |  |  |
|  | Is there evidence that the AB assessment team has evaluated the CB’s disposition of OASIS database feedback data, complaints, and issues? | 9104-001: 6.7.j  9104-001: 14.3 |  |  |
|  | Does the AB assessment team confirm that the CB ensures that required data is entered into the OASIS database, within the required timeframes? | 9104-001: 8.5.c  9104-001: 8.7  9104-001: Appendix C |  |  |
|  | Does the AB assessment team confirm that the CB utilizes AQMS auditors, listed in the OASIS database, that are both competent and authenticated in accordance with the requirements? | 9104-001: 6.7.c  ISO/IEC 17021-1: 7.2.4, 7.2.5 and 7.2.6 |  |  |
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| **Miscellaneous Processes** | | | | |
|  | If the CB is approved to utilize Advanced Surveillance and Recertification Procedures (ASRP), as outlined in IAF MD 3 and 9104-001, does the assessment team confirm that the ASRP requirements are satisfied? | 9104-001: 6.9  9104-001: 8.9.c  IAF MD 3 |  |  |
|  | If the CB is utilizing Information and Communication Technology (ICT), as outlined in IAF MD 4, does the assessment team confirm that the IC requirements are satisfied? | 9104-001: 6.10  9104-001: 8.10  IAF MD 4 |  |  |
|  | Does the AB assessment team confirm that the CB conforms to IAQG OPMT resolutions? | 9104-001: 6.7.e |  |  |
|  | Does the AB assessment team confirm that the CB records of ICOP scheme activities are maintained for a minimum of six years, unless otherwise specified? | 9104-001: 17.1 |  |  |
|  | Does the assessment team confirm that the CB ensures that a client’s (certified organization) data is not shared with their competitors, during shared oversight? | 9104-001: 19.2 |  |  |
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