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| AAB Name and Contact Name: | Enter name of certification body and the name of the auditor authentication bodies scheme lead |

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| Risk assessment Outcome | Enter Risk Outcome | Oversight Assessment Activities to be completed | Enter Office Assessment type |
| Date of risk Assessment | Day(s)/Month/Year | Risk Assessment performed by RMS | Enter Name of RMS |

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| Assessment Start Date: | Day(s)/Month/Year |
| Assessment End Date: | Day(s)/Month/Year |
| OASIS Number | Enter OASIS Number |
| Other Assessor Names and Roles:  | First Name, Last NameAssessment Team Role, Organization's Name |
| General Conclusions, Remarks, and Recommendations: | Give a brief overview of how the assessment went |
| Opportunities for Improvements: | As applicable, identify number of OFIs; list all OFIs. |
| Non-Conformance Summary: | As applicable, List NCR References and Grade |
| Submitted by: | First Name, Last Name |
| Date Submitted: | Day/Month/Year |

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| Pre-Assessment Questions (That’s questions that you can answer prior the assessment starting) |

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| **Item** | **1.1** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **Auditor File Review** | **Y** | **Reference(s)** |
| Information to gather before the Oversight assessment.* What is the Identity / address / of the AAB recorded in OASIS
* What is the Accreditation status within OASIS
* Who is the AAB contact
 | 9104-003 Para 10.1.19104-001 Para 10.2 |
| **Check that the data is correct within OASIS** |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **1.2** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **Auditor File Review** | **Y** | **Reference(s)** |
| Using the data within OASIS – See what you can find out. Review the previous head office / activity report. What is the data telling you? | 9104-001 Para 10.2 |
| **Use the data in OASIS to guide you to select your sample review.** |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| Assessment Questions (That’s questions that you can only answer when you are carrying out the assessment) |

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| **Item** | **2.1** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **Auditor File Review** | **Y** | **Reference(s)** |
| How does the AAB establish the responsibility of granting, maintaining, suspending, extending and withdrawing auditor approval including appeals and feedback? | 9104-003 Para 9.2.1, 9.3.1, 9.3.2, 9.3.3, 9.3.4, 9.3.5, 9.3.6, 9.3.7 |
| **You would expect to see that the TPAB has documented information on how the TPAB manages the overall scheme?****Read through the documentation confirm that its up to date.** |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.2** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **Auditor File Review** | **Y** | **Reference(s)** |
| Does the AAB have a communication process to share auditors performance information with relating parties, either OP assessor or SMS/RMS? | 9104-003 Para 9.1.2, 9.2.1 |
| **You would expect to see that the AAB has documented information to share the auditors' performance information with applicable IAQG sectors for assuring the continued performance of AQMS auditors****Potential responses include evidence of periodic reporting to the SMS/RMS (emails, presentations, etc.), OASIS feedback entries.** |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.3** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **Auditor File Review** | **Y** | **Reference(s)** |
| How does the AAB meet the record retention scheme requirements? | 9104-003 Para 9.1.3 |
| **The AAB should manage and retain documented information to the applicable ICOP scheme requirements for a minimum retention period of 10 years.****There should be a defined retention period within documented information to support authentication decisions of all types as well as relevant communications (reporting/communication with relevant entities), and applicant records (audit logs, training certifications, evidence of knowledge demonstration, etc.).** |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.4** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **Auditor File Review** | **Y** | **Reference(s)** |
| Are personnel involved in auditors evaluation and approval approved by the SMS?Confirm that they have sufficient ASD industry knowledge | 9104-003 Para 9.1.4 |
| **You should confirm that the personnel involved in auditors evaluation and approval have demonstrated ASD industry knowledge of sufficient depth, and are approved by the SMS.** |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.5** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **Auditor File Review** | **Y** | **Reference(s)** |
| Does the AAB subcontract and/or license another organization to undertake auditor authentication on its behalf? | 9104-003 Para 9.1.5 |
| **You may see reference to this requirement in a AAB procedure (but not specifically required).** **You would capture evidence of non-conformance if it is determined that the AAB is subcontracting or licensing another organization.** |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.6** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **Auditor File Review** | **Y** | **Reference(s)** |
| How does the AAB maintain documented information to control at a minimum, the following?a. application review;b. decisions, including notification of results;c. performance investigations;d. granting, maintaining, suspending, and withdrawing authentication;e. retained documented information;f. complaints and appeals;g. confidentiality;h. impartiality, including the decision-making process;i. maintenance of OASIS database records and information;j. internal performance evaluation, including process effectiveness measures;k. right of access to periodic oversight by relevant interested parties; andl. management review. | 9104-003 Para 9.2.2, 9.3.1 |
| **During your assessment you should check for evidence of the following documented information.****a. application review;****b. decisions, including notification of results;****c. performance investigations;****d. granting, maintaining, suspending, and withdrawing authentication;****e. retained documented information;****f. complaints and appeals;****g. confidentiality;****h. impartiality, including the decision-making process;****i. maintenance of OASIS database records and information;****j. internal performance evaluation, including process effectiveness measures;****k. right of access to periodic oversight by relevant interested parties; and****l. management review.****Expect to see tools such as checklist or system tools that include all elements required by the standard for each type of authentication activity (requirements for each standard as well as the advancement process).** |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.7** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **Auditor File Review** | **Y** | **Reference(s)** |
| Sample a number of auditor authentication decisions. Is the decision to grant or reject authentication, re-authentication, or transfer and to suspend or withdraw authentication, made by the AAB on the basis of information and objective evidence? Has this documented evidence support the decisions?If the supplied objective evidence does not satisfy the requirements, does the AAB (as applicable):a. request further objective evidence from the applicant?b. request further information from the applicants employer(s)? and/orc. interview the applicant to seek clarification and evidence to substantiate?Has the AAB advise the applicant of the authentication decision and update the auditor’s OASIS database record within five working days of the authentication decision?Does the AAB ensure that auditor authentication is only awarded through one AAB, at any time, for all applicable AQMS standards?Does auditor authentication cover a period of three years? | 9104-003 Para 9.3.2, 9.3.3, 9.3.4, 9.3.5, 9.3.6, 9.3.7 |
| **You would expect to see files containing objective evidence to support the decisions made.****Data from the AAB should match data within OASIS.** |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.8** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **Auditor File Review** | **Y** | **Reference(s)** |
| Does the AAB have document information on how to receive, review, communicate, and determine actions to be taken in response to identified auditor performance issues? | 9104-003 Para 9.4.1 |
| **You would expect to see that the AAB has documented information to receive, review, communicate, and determine actions to be taken in response to identified auditor performance issues.****Objective evidence of managing feedback/complaints received.** |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.9** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **Auditor File Review** | **Y** | **Reference(s)** |
| Does the AAB notify the SMS(s) upon notification of an identified auditor performance issue in writing within five working days? | 9104-003 Para 9.4.2 |
| **You would expect to see that the AAB has documented information to receive, review, communicate, and determine actions to be taken in response to identified auditor performance issues.****Review of objective evidence of the performance issue confirmation (the date confirmed) compared to the written notification date.** |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.10** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **Auditor File Review** | **Y** | **Reference(s)** |
| Does the AAB engage with the relevant parties and the auditor to complete the performance review investigation within 20 working days? | 9104-003 Para 9.4.3 |
| **You would expect to see that the AAB has documented information to receive, review, communicate, and determine actions to be taken in response to identified auditor performance issues.****Objective evidence of actions taken to complete the performance review within the 20 day timeframe. The results will vary based upon the individual performance issue (not all elements are necessary in all cases).** |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.11** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **Auditor File Review** | **Y** | **Reference(s)** |
| Following a performance review, does the AAB decide upon the course of action?a. continued auditor authentication;b. suspension of the auditor’s authentication; orc. withdrawal of the auditor’s authentication. | 9104-003 Para 9.4.4 |
| **You would expect to see that the AAB has documented information to receive, review, communicate, and determine actions to be taken in response to identified auditor performance issues.****Evidence to support the conclusion reached and the actions taken by the AAB to ensure that they are aligned with the results of the performance review and the objective performance evidence provided.** |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.12** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **Auditor File Review** | **Y** | **Reference(s)** |
| Does the AAB notify the auditor, employing CB(s), and SMS(s) of its decision in writing within five working days? | 9104-003 Para 9.4.5 |
| **You would expect to see that the AAB has documented information to receive, review, communicate, and determine actions to be taken in response to identified auditor performance issues.****Objective evidence of the notification within five days of the decision date.** |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.13** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **Auditor File Review** | **Y** | **Reference(s)** |
| Has the AAB suspended or withdraw any auditors since the last assessment? | 9104-003 Para 9.5.1 |
| **You would expect to see that the AAB has the suspension or withdrawal decision, or the removal of auditor approval process or procedure or document.****Evidence to support the conclusion reached and the actions taken by the AAB to ensure that they are aligned with the results of the performance review and the objective performance evidence provided.** |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.14** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **Auditor File Review** | **Y** | **Reference(s)** |
| (If applicable) - Following the suspension or withdrawal decision, does the AAB within five working days:a. notify the auditor in writing of the following?• justification for the decision;• instruction to cease all 3rd party AQMS audit activities; and• the right to appeal the decision.b. inform the respective SMS(s) and CB(s) in writing? andc. update the auditor authentication information in the OASIS database? | 9104-003 Para 9.5.2 |
| **You would expect to see that the AAB has the suspension or withdrawal decision, or the removal of auditor approval documented with justifications.****Objective evidence of the notification should be within five days of the decision date.** |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.15** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **Auditor File Review** | **Y** | **Reference(s)** |
| How does the AAB establish the responsibility of granting, maintaining, suspending, extending and withdrawing auditor approval including appeals and feedback? | 9104-003 Para 9.2.1, 9.3.1, 9.3.2, 9.3.3, 9.3.4, 9.3.5, 9.3.6, 9.3.7 |
| **You would expect to see that the TPAB has documented information on how the TPAB manages the overall scheme?****Read through the documentation confirm that its up to date.** |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.16** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **Auditor File Review** | **Y** | **Reference(s)** |
| (If applicable) - Does re-instatement of the authentication(s) granted by the AAB, following successful resolution of either a suspension or an appeal, in accordance with the AABs defined process? | 9104-003 Para 9.5.3 |
| **You would expect to see that the AAB has the suspension or withdrawal decision, or the removal of auditor approval documented with justifications.****Evidence of re-instatement and a review of the rationale for re-instatement (was it appropriate).** |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.17** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **Auditor File Review** | **Y** | **Reference(s)** |
| (If applicable) - In the event of a decision to suspend the authentication(s) of an auditor, does the AAB:a. require the auditor to address the issues identified? andb. verify that the corrective action undertaken has been effective? | 9104-003 Para 9.5.4 |
| **You would expect to see objective evidence of any action plans, witness assessments, etc. that are deemed necessary by the AAB.** |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.18** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **Auditor File Review** | **Y** | **Reference(s)** |
| (If applicable) - In the event of a decision to withdraw the authentication(s) of an auditor, does the AAB impose a mandatory period of withdrawal of not less than 12 months duration, from the date of the decision to withdraw? | 9104-003 Para 9.5.5 |
| **You would expect to see objective evidence that any withdrawals are at least 12 months in duration.** |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.19** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **Auditor File Review** | **Y** | **Reference(s)** |
| (If applicable) - If an auditor has had authentication withdrawn, any subsequent application is treated as an initial application?Does the AAB have documented information to cover this scheme requirement? | 9104-003 Para 9.5.6 |
| **You would expect to see If an auditor has had authentication withdrawn, any subsequent application is treated as an initial application.** |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.20** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **Auditor File Review** | **Y** | **Reference(s)** |
| (If applicable) - Does the AAB have documented information on how an auditor moves their authentication(s) to another AAB to continue their existing auditor authentication? | 9104-003 Para 9.6.1 |
| **(If applicable) - Sample check. Where an auditor authenticated with one AAB applies to moves their authentication(s) to another AAB to continue their existing auditor authentication(s), does the new AAB:****• request and the existing AAB shall provide, the auditor authentication records from all previous authentication decisions?****• ensure the authenticated auditor’s OASIS database record reflects current validity (i.e., not suspended, withdrawn, or expired) for both the AQMS standard and the grade (i.e., AA or AEA) of authentication for each authentication?****• verify with the existing AAB that the auditor is not subject to an ongoing performance issue? and****• ensure that all requirements for re-authentication(s) are fulfilled?** |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.21** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **Auditor File Review** | **Y** | **Reference(s)** |
| (If applicable) - Upon successful transfer, does the new AAB update the OASIS database of the authentication decision and inform the previous AAB in writing, within five working days? | 9104-003 Para 9.6.2 |
| **(If applicable) - You should expect to see the authentication decision within five days.** |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.22** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **Auditor File Review** | **Y** | **Reference(s)** |
| (If applicable) - Upon notification from the new AAB, does the previous AAB ensure the OASIS database is updated to withdraw the previous applicable authentication(s)? | 9104-003 Para 9.6.3 |
| **(If applicable) - You should expect to see OASIS database correctly updated.** |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.23** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **Auditor File Review** | **Y** | **Reference(s)** |
| (If applicable) - Where the application is determined to be unsuccessful, does the new AAB advise both the auditor and their existing AAB in writing that they have been rejected and provide the reason(s) for the rejection? | 9104-003 Para 9.6.4 |
| **(If applicable) - You should expect to see documented information providing reasons for rejection.** |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.24** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **Auditor File Review** | **Y** | **Reference(s)** |
| (If applicable) - In the event of withdrawal of an AAB by an SMS, an auditor’s existing authentication remains eligible for transfer to another approved AAB for a maximum of six months after the withdrawal of the AAB or until the auditor authentication expiration, whichever is less? | 9104-003 Para 9.7.1 |
| **(If applicable) - You should expect to see documented information providing an auditor’s existing authentication remains eligible for transfer to another approved AAB for a maximum of six months after the withdrawal of the AAB or until the auditor authentication expiration, whichever is less?** |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.25** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **Auditor File Review** | **Y** | **Reference(s)** |
| (If applicable) - If an auditor transfer to another approved AAB in the event of withdrawal of an AAB by an SMS, does the new AABa. request all auditor records (i.e., two auditor authentication cycles, as applicable) from the previous AAB?b. validate the existing auditor authentication(s) and update the OASIS database accordingly within five working days of the validation decision with no change in expiration dates from current authentication(s)? andc. advise the relevant SMS and IAQG in the event where the applicable records are not available from the withdrawn AAB? | 9104-003 Para 9.7.2 |
| **(If applicable) - You should expect to see documented information of the transfer between the AAB, new AAB and SMS.** |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.26** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **Auditor File Review** | **Y** | **Reference(s)** |
| (If applicable) - The new AAB confirms all auditor authentication(s) made by the previous AAB shall be withdrawn in the OASIS database? | 9104-003 Para 9.7.3 |
| **(If applicable) - You should expect to see OASIS database correctly updated** |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.27** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **Auditor File Review** | **Y** | **Reference(s)** |
| (If applicable) - If the AAB chooses to use the IAQG mark or logo, does the AAB obtain written authorization from the IAQG? | 9104-003 Para 13.1 |
| **You would expect to see documented evidence of approval of the logo used by the applicable entity.** |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

**Instructions for Completing Check Sheet:**

This check sheet shall be used for 9104-001 AAB office assessment, activity reviews, and Auditor File Review. It may also be used for AAB special office assessments (e.g., follow-up).

It complements the oversight data input directly into OASIS and is to be entered as an attachment.

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 Applicable (NA)** - The question is not applicable; record objective evidence in the “Assessment Evidence/Comments” column.
* **Not Evaluated (NE)** – The questions was not asked during the assessment.

**Assessment Evidence / Comments:**

Include appropriate detail in the “Assessment Evidence” column to support the assessment results

Additional questions may be added, as deemed appropriate.

**Nonconformity Reports**

NCRs issued during the oversight by the OP Assessor are to be directly written in OASIS and shall be followed through with OASIS.

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| **Document Revision History** |
| **Revision Date** | **Description of change** |
| 18th April 2023 | New document issued |
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