

FINDING

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CB: Aviation Suppliers Association dba
ASACB

Audit # - Finding #: ASA-ISO9001-WA-2011-2740, NCR 02

NCR Type: Minor

NCR Status: Plan Approved

Is this a Follow-Up to a Previous Finding?

If so, what is the Previous Audit # - Finding #:

Requirement Document: ISO/IEC 17021

Add Requirements Apply:

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Requirement Section: 9.1.2

Requirement:

The audit plan shall be based on documented requirements of the certification body.

Statement of Finding:

The audit plan was not established based on documented requirements of the certification body.

Audit Evidence:

The audit plan or other planned arrangements provided no ability to determine whether the requirements of the audit criteria (ISO9001:2008) are covered as required in ASACB SOP 5.1.2 Clause 7.2.2.

Plan Due Date: 9/12/2011

Evidence Implementation Due Date:

11/12/2011

Comments on Finding:

Withdrawn Justification:

Withdrawn Date:

Type Revision Justification:

Type Revision Date:

ANAB Accreditation Auditor's Sig

Date:

CB Representative's Signature:

Date:

Corrective Action Information:

Corrections

Response Date	CB Responses	Evidence	Review Date	ANAB's Responses	Reviewer	Approve
9/10/2011	See Attachment A	Attachment A for CAR-17 NCR-2 9-7-11.pdf	09/15/2011	Not identified.	Bryan Blunt	Needs More Information
9/19/2011	None required for this NCR.		09/19/2011	Not identified.	Bryan Blunt	Needs More Information
9/24/2011	9/21/11 2nd Response to ANAB: The specific ISO 9001 clauses audited are specifically itemized in the Audit report in the form of a matrix table. As such, the audit has been completed, required, there is no containment, and ISO 9001 clauses audited are specifically itemized in the Audit report and clearly understood by ASACB. Consequently, no specific correction is required for this NCR.		09/27/2011	Evidence was not provided substantiating that the extent of the nonconformity has been determined and that the nonconformity has been contained. Accordingly, additional information is needed. The due date for submitting that information is October 7, 2011.	Bryan Blunt	Needs More Information

10/7/2011	10-07-11 3rd Response to ANAB: The evidence substantiating that the extent and containment of the nonconformity has been determined and is as follows: 1) ASACB is a new ISO9001:2008 Registrar and as such has certified only one company; AIMS. Therefore this nonconformity is contained to AIMS and does not impact any other ASACB clients. 2) This nonconformity extends and is contained to all ASACB's auditors. 3) This nonconformity extends and is contained to all ASACB's staff. 4) ISO9001:2008 Compliance Matrix Checklist found in the Audit Report (AIMS-003-R), on page 9 of 14 is objective evidence of both compliance to the audit planned arrangements as well as containment. See attached.	NCR-2 Evidence sent to EQM 10-7-11.pdf	10/11/2011	The response indicates that the extent of the nonconformity is contained within this single audit/client, the ASACB staff and the existing pool of ASACB auditors.	Bryan Blunt	Fully Approved
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Root Cause

Response Date	CB Responses	Evidence	Review Date	ANAB's Responses	Reviewer	Approve
9/10/2011	See Attachment A	Attachment A for CAR-17 NCR-2 9-7-11.pdf	09/15/2011	Not completed. The response's investigation notes that ASACB SOP 5.1.2 lists items for the auditor to consider. Clause 6.2.1 of that SOP specifically states, however, that all of its sub-clauses (a-q) will in fact be covered in the audit plan. Sub-clause (b) then specifies that the audit criteria will be covered in the plan. This audit's plan stated that the audit criteria were ISO9001:2008. That plan, however, provided no ability to determine whether the provisions of that audit criteria were covered.	Bryan Blunt	Needs More Information

9/19/2011	Root Cause Investigation: As part of the investigation the following documents were reviewed: • IEC/ISO 17021:2011, Par 9.1.2 • ASACB SOP 5.1.2, par 7.2.2, page 23 of 32 • ASACB Audit Plan, 5.1.2-03 Investigation: IEC/ISO 17021, Par 9.1.2 was reviewed. This paragraph is the general paragraph of the Standard entitled, Audit Plan. ASACB SOP 5.1.2, par 7.2.2 was reviewed. This section of ASACB's Standard Operating Procedure describes how the Accreditation Manager prepares the Audit Plan. It specifically states, "The audit plan will cover, at a minimum, all required elements as listed in section 6.2.1, plus the following:...". It goes on to list bulleted items (a) through (j). Section 6.2.1 of SOP 5.1.2 lists additional bulleted items (a) through (q) for the auditor to consider. A review of the Audit Plan verified that all of the bulleted items listed in both Sections 7.2.2 and section 6.2.1 are denoted in Sections 2, 4, and 6 of the Audit Plan. Root Cause: The audit plan was	09/19/2011	Not completed. The response's investigation notes that ASACB SOP 5.1.2 lists items for the auditor to consider. Clause 6.2.1 of that SOP specifically states, however, that all of its sub-clauses (a-q) will in fact be covered in the audit plan. Sub-clause (b) then specifies that the audit criteria will be covered in the plan. This audit's plan stated that the audit criteria were ISO9001:2008. That plan, however, provided no ability to determine whether the provisions of that audit criteria were covered.	Bryan Blunt	Needs More Information
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verified to provide the ability for the auditor to determine whether the requirements of the audit criteria are covered as required in ASACB SOP 5.1.2, clause 7.2.2.

No basis was found to support this NCR. Based on this investigation it appears the ANAB Assessor misread SOP 5.1.2, par 7.2.2 to mean all the required elements of ISO 9001:2008 rather than all the required elements of Section 6.2.1.

9/24/2011	9/21/11 2nd Response to ANAB: Further review of the Audit Plan, Section 1, "Audit Criteria", brought to light that the Audit Plan does not specifically list the relevant ISO 9001 Clauses for the auditor to audit during surveillance audits. Lacking any other instructions, Section 1, "Audit Criteria" infers that all clauses of ISO 9001 shall be audited during all audits, including surveillance audits. 9/21/11 2nd Response to ANAB: Further investigation revealed a lack of detail in the Audit Plan pertaining to describing which ISO 9001 Sections are to be audited.	09/27/2011	The root cause statement appears to have adequately addressed the underlying issue.	Bryan Blunt	Fully Approved
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Corrective Actions

Response Date	CB Responses	Evidence	Review Date	ANAB's Responses	Reviewer	Approve
9/10/2011	See Attachment A	Attachment A for CAR-17 NCR-2 9-7-11.pdf	09/15/2011	Not identified.	Bryan Blunt	Needs More Information
9/19/2011	None required for this NCR.		09/19/2011	Not identified.	Bryan Blunt	Needs More Information
9/24/2011	9/21/11 2nd Response to ANAB: The Audit Plan will be revised by October 21, 2011 to list the relevant ISO 9001 Clauses for the auditor to audit. Training for all ASACB personnel and all ASACB auditors will be conducted and documented by October 21, 2011 addressing the revision to the Audit Plan		09/27/2011	The stated corrective action plan is acceptable. Evidence of implementation is due by November 12, 2011.	Bryan Blunt	Fully Approved