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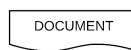
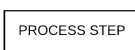
Kalos Procedure-05

Planning & Conducting AS9100 Audits

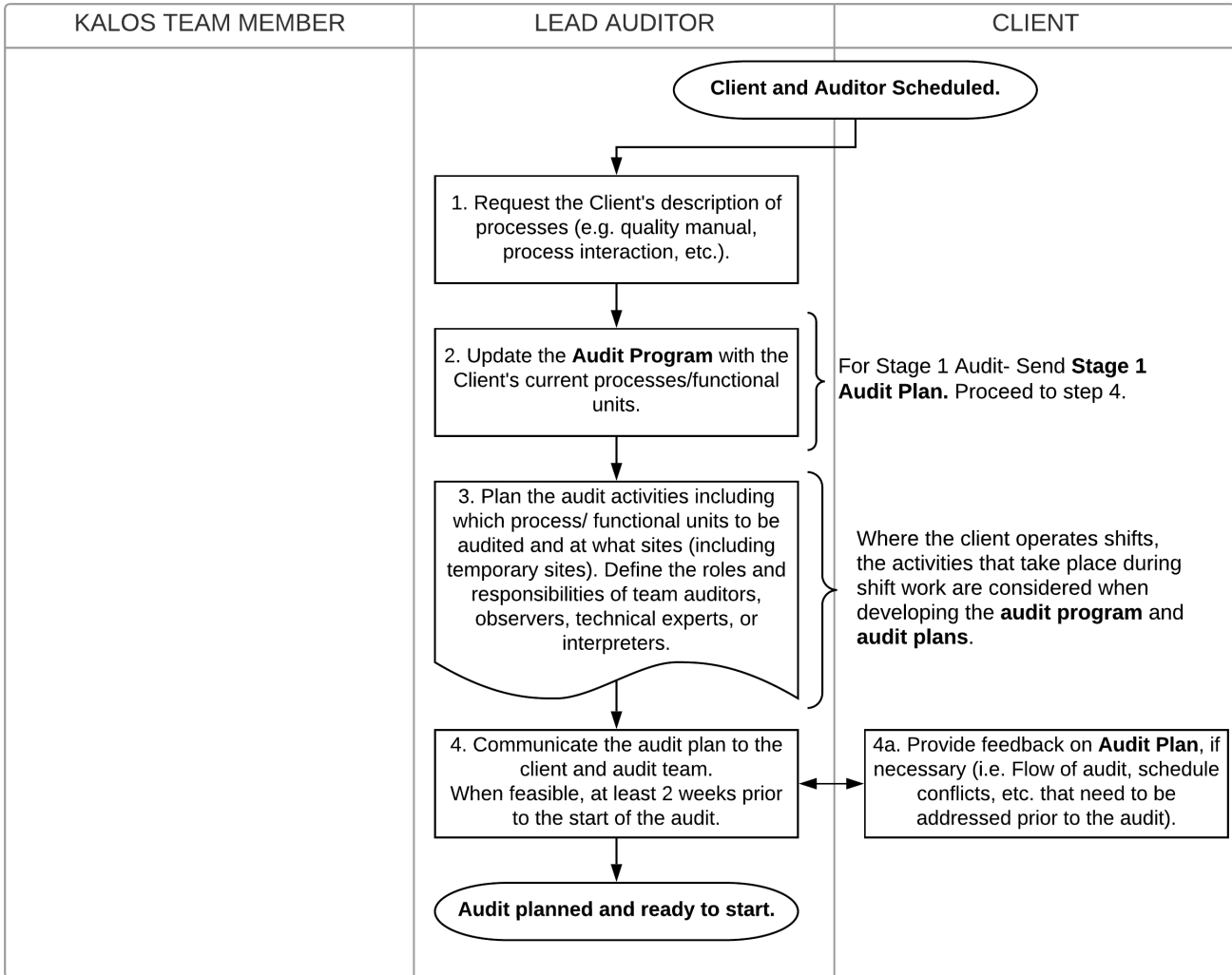
Table of Contents

1. Audit Program & Planning.....	3
2. Conducting the Audit	5
3. Appeals.....	6

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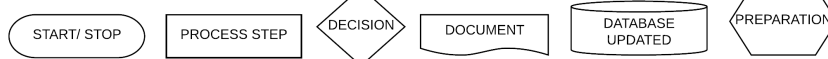
1. Audit Program & Planning



1.1 AQMS Audit Teams

- *The Team Leader, in consultation with Kalos Scheduler, plans the audit considering auditor competence, background knowledge in Standards and technological/industrial sectors.*
- *The audit plan demonstrates that the lead auditor has assigned auditors to effectively audit the client sites.*
- *Audit team leader must ensure that an AEA is on-site and actively involved at each site during the entire audit.*
- *The background knowledge of the audit team may be supplemented by an organization briefing, specific training, or the assignment of experts (e.g., subject matter or technical experts from industry or professional institutions).*

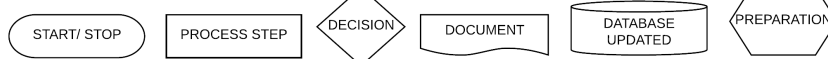
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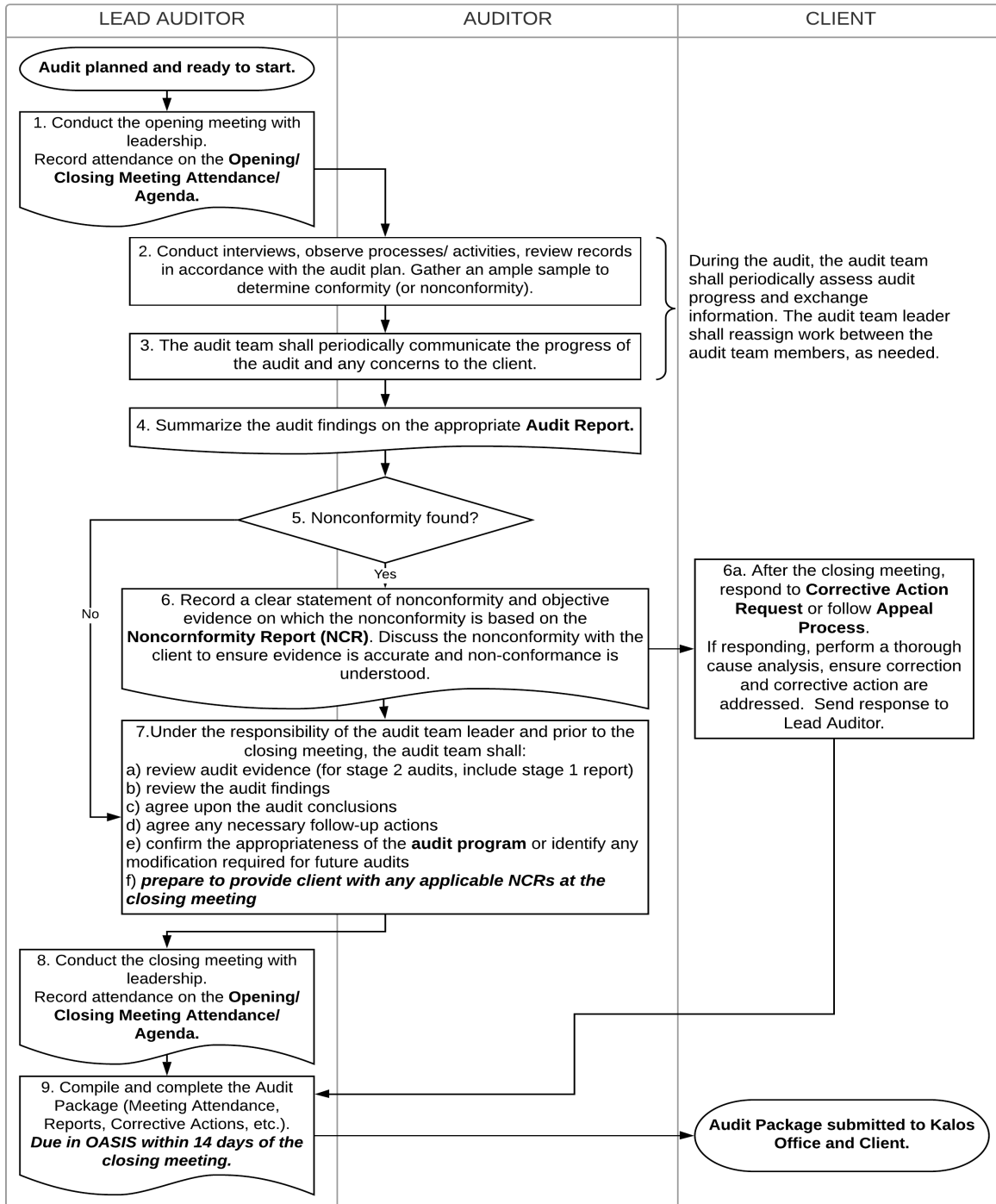
1.2 Table 1:

The following table explains the reports required for each type of audit conducted.					Stage 1	Stage 2	Surveillance	Recertification	Transfer @ Surveillance	Transfer @ Recertification	Corrective Action Revisit	Special
Legend	Required	If Applicable	Optional	Not Required								
FM-03-01 Opening- Closing Meeting Agenda and Attendance	X				X	X	X	X	X	X	X	X
FM-03-02 Stage 1 Audit Plan	X				X					X		
FM-03-04 Audit Program and Plan o If possible, please send a draft to the client prior to Stage 1 audit.	X	X	X	X	X	X	X	X	X	X	X	X
AS9101 Form 1 Stage 1 Report	X				X		X			X ₁		
AS9101 Form 2 QMS Matrix		X	X	X		X	X					
AS9101 Form 3 Process Effectiveness Assessment Report (PEAR)		X	X	X		X	X					
AS9101 Form 4 Nonconformity Report o Surveillance Audit – Acceptable plan submitted within 30 days, correction verified at current audit, corrective action verified at next audit. o Recertification Audit – Acceptable plan submitted within 30 days, corrective action implemented and verified within 60 days or prior to expiry date.		X	X	X		X	X	X	X	X		X
AS9101 Form 5 Audit Report		X	X	X		X	X	X	X	X	X	X
AS9101 Form 6 Supplemental Audit Report											X	X
FM-03-10 Pre-transfer Visit Plan									X	X		
FM-03-11 Pre-Transfer Review									X	X		
1. Transfer audits conducted within 12 months of the client’s expiration require: <ol style="list-style-type: none"> A stage 1 on-site audit which includes validation of the adequacy and validity of the existing certification as described in ISO/IEC 17021 and ISO 17021-1 which allows the new CB to gain an understanding of the transferring client’s management system and site operations. A special on-site audit described in 9104-001 clause 8.8.c) as a ‘stage 2 audit’ which is used to validate the implementation, including effectiveness, of the management system including the items listed in 9101 clause 4.2.1 as well as any areas of concern highlighted the pre-transfer review and the on-site stage 1 audit. 												

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2. Conducting the Audit



2.1 In the event an audit is unable to be completed or audit objectives are not met, the lead auditor is to communicate this with the client and contact the Kalos office immediately. The office will determine the appropriate action to be taken on a case by case basis (e.g. rescheduling, adding time to subsequent surveillance, exchanging an auditor, etc.)

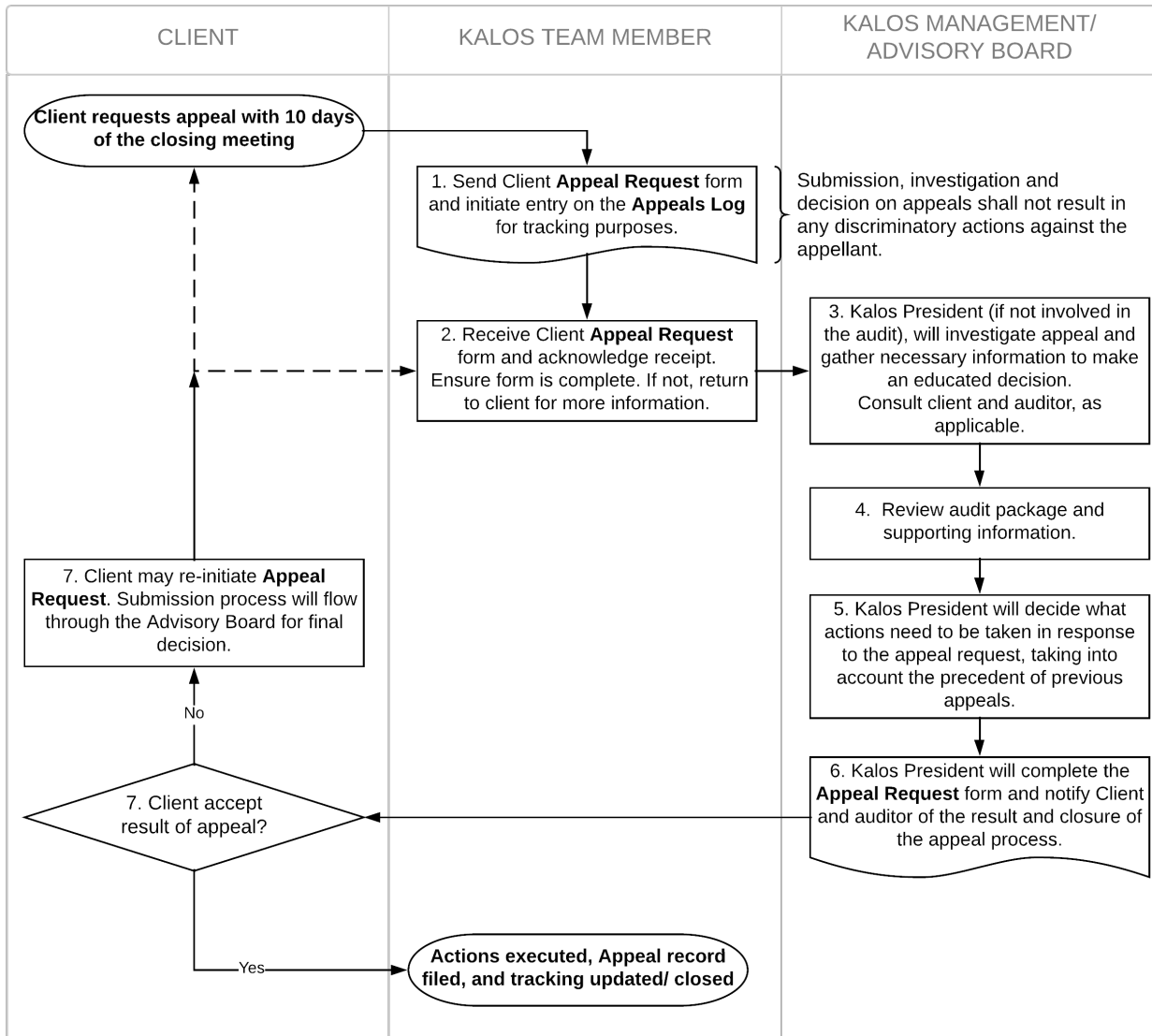


2.2 Nonconformity Management

- *Kalos initiates the client certification suspension process (KP-02), when an organization fails to demonstrate that conformance to the applicable standard has been re-established within 60 days from the issuance of a Nonconformity Report (NCR).*

2.3 AQMS Clients must provide copies of the audit report and associated documents/records to their customers and potential customers, upon request, unless justification can be provided (e.g., competitor confidentiality, conflict of interest). Client may provide access to this data through the OASIS database or by providing the audit report directly to the customer.

3. Appeals



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4. OASIS Data Management

4.1 Client and audit data are managed in OASIS in accordance with AS9104 and AS9101.

Description	Owner	Timeline	Cert Decision
AS9104 Appendix C required data	CB	30 days after cert issue	Yes
AS9104 Appendix C required data	CB	90 days after closing meeting	No
<ul style="list-style-type: none"> ○ organization name, address, and locations included on the certification (approval by the CB is required prior to revising this data); ○ the name(s) and e-mail address(es) of the organization’s OASIS database administrator(s); and ○ the organization’s contact person, phone, fax, e-mail address, and website, as applicable. 	Client OASIS Administrator	Initial, on Going	Either

Revision History	Approved By	Date
DRAFT	Michaela Scarla	9/1/2020
RELEASE – <i>successful ANAB document review completed 10/8/2020</i>	Michaela Scarla	11/10/2020
Update Audit Form matrix based to clarify transfer audit forms required.	Michaela Scarla	7/30/2021

