R20.107 AS9100/9120 Readiness Review

IMPORTANT NOTICE: According to accreditation body requirements, failure to submit the information in a timely manner, omit materials, or provide inaccurate information, will result in a nonconformance being issued by the Lead Assessor. Information provided on this form should be compared to PRI's Auditee Information sheet, R20.62, discrepancies need to be addressed.

The organization applying for certification to AS9100/9120 shall provide PRI with the following information and documentation during an on-site, Stage 1 "Readiness Review." This form, R20.107, must be completed by the organization for each site to be registered. This information and documentation are required as indicated in AS9101 (Current Revision) for auditing management systems according to AS9100/9120. Postponement of the on-site Stage 1 review could result in delaying your Stage 2 registration audit dates. If changes occur between Stage 1 and Stage 2, the client is required to notify the PRI office in writing. Failure to do so will result in a nonconformance being issued by the Lead Assessor.

Prior to each scheduled surveillance and renewal audit event, the AS9100/9120 registered client shall provide PRI with the following information (as applicable for surveillance/renewal events) and documentation. This information and documentation are required as indicated in AS9101 for auditing management systems according to AS9100/9120. This information is required prior to the surveillance/renewal audit and must be received at PRI / submitted to the assigned Lead Assessor six (6) weeks prior to the scheduled event and ***accepted by the Lead Assessor at least four weeks prior to the scheduled event***. Failure to submit the information in a timely manner, or to omit materials, will result in **a nonconformance being issued by the Lead Assessor and will initiate the "delisting"** process. **Additional time on-site is then required to be added to the upcoming event to review the requisite materials.**

Information to be reviewed at Stage 1 (on-site), Surveillance and Renewal (off-site) events. The first four items are required at Stage 1 and Renewal events unless changes would require review at surveillance. Details for Items Requiring Audit Pre-Planning Review can be found in PRI Procedure R20.104AS16, AS9100D/AS9120B Aerospace Standard Supplement.

- Management system documentation (Level I and II - policies and required procedures) for each site to be audited.
- International Traffic in Arms Regulations (ITAR) status
- Completed QMS Process Matrix Report, (9101, Form 2), for AS9100/9120. Client to use the WORD form (or equivalent) to indicate the processes and related clauses by placing an X in the appropriate clause(s).
- Provide a description of processes showing their sequence and interactions, including the identification of any outsourced processes. NOTE: The processes can be depicted in various ways [e.g., process maps, turtle diagrams, SIPOC method (breakdown of supplier, inputs, process steps/tasks, outputs, customer,) octopus]. **Processes (maps, turtles, etc.) must be provided at Stage 1 for planning purposes.**
- Identification of Special Processes performed on-site and outsourced. Special processes are to be included in the audit plan where applicable.
- Customer Feedback Requests through OASIS
- Percentage of revenue relating to aviation, space and defense business and other industries including number of employees and shift information
- Internal audit and management review planning and results.
- Nonconformity data
- Customer Satisfaction and Customer complaint status (summary sheet of customer complaints), and any Customer Status (limited, suspension, probation, withdrawal)
- On time delivery (OTD)
- Service Provision (if applicable) – Analysis of service data, actions taken
- Responsiveness to the Customer and internal requests
- Current number of employees and shift information

For a Stage 1 event, the information must be completed and available on-site for the PRI auditor's review.

For a surveillance or renewal event, 6 weeks prior to a scheduled surveillance/renewal audit, forward the completed R20.107 form and information to our office via mail, fax, or e-mail:

PRI Certification 161 Thorn Hill Rd, Warrendale, PA 15086

• **E-mail:** to your audit operations coordinator [first initial+last name]@sriregistrar.com or first initial+last name]@p-r-i.org]

(e.g., smazur@sriregistrar.com or smazur@p-r-i.org)

Audit Planning – for all AQMS (Stage 1, Surveillance, and Renewal) events: The audit Team Lead shall use the customer feedback requests, including those received through OASIS to assist in planning the audit event. The audit activities shall be prioritized based upon performance data that can impact the customer (Customer Concerns, Customer Special Status) and on low PEAR (Process Effectiveness Assessment Report – 9101 Form 3) performance. Additionally, a list of PEARS and performance metrics (process effectiveness) must be supplied.

Completed by		**Date**	
E-mail Address		**Phone**	
Organization name			
Street Address, City, State			
Facility to be registered (if different than above)			
Remote Support, if any Location(s)/Address(es) and Processes performed			
Language of the Audit		**OASIS Administrator**	
Current Aviation, Space, Defense Customers			

***F/P/T – Full time, part time and temporary employees **E = early shift, D = day shift, L = late shift, N = night shift**

Business	**Organization Revenue**		**Personnel Numbers**		**Organization Shift Times** include E/D/L/N**	**Number of Employees per shift** include E/D/L/N**
	Revenue (optional)	**% of Total Revenue**	***F/P/T – All shifts**	**% of Total Workforce**		
Aviation, Space, & Defense			F: P: T:		E: D: L: N:	E: D: L: N:
Other:			F: P: T:		E: D: L: N:	E: D: L: N:
Remote Support Location:	n/a	n/a		n/a	Shift(s) E/D/L/N:	E/D/L/N:
Remote Support Location:	n/a	n/a		n/a	Shift(s) E/D/L/N:	E/D/L/N:
Remote Support Location:	n/a	n/a		n/a	Shift(s) E/D/L/N:	E/D/L/N:
Total Employees:						

Organization – Please provide the following information and customer feedback including any received through OASIS to assist in planning the audit event.				
Aviation, Space, Defense Customers with Highest Revenue (pages can be added if required)	**Customer Specific Requirements [Document(s) Name & Revision]**	**Trend of Quality Performance – Summary Previous 12 months**	**Trend of Delivery (OTD) Performance - Summary Previous 12 months**	**Number of Customer NCRs issued since the Last Audit**
		☐ Satisfactory ☐ Unsatisfactory Is there a scorecard or website to verify the performance? ☐ Yes ☐ No	☐ Satisfactory ☐ Unsatisfactory Is there a scorecard or website to verify the performance? ☐ Yes ☐ No	
		☐ Satisfactory ☐ Unsatisfactory Is there a scorecard or website to verify the performance? ☐ Yes ☐ No	☐ Satisfactory ☐ Unsatisfactory Is there a scorecard or website to verify the performance? ☐ Yes ☐ No	
		☐ Satisfactory ☐ Unsatisfactory Is there a scorecard or website to verify the performance? ☐ Yes ☐ No	☐ Satisfactory ☐ Unsatisfactory Is there a scorecard or website to verify the performance? ☐ Yes ☐ No	
		☐ Satisfactory ☐ Unsatisfactory Is there a scorecard or website to verify the performance? ☐ Yes ☐ No	☐ Satisfactory ☐ Unsatisfactory Is there a scorecard or website to verify the performance? ☐ Yes ☐ No	
		☐ Satisfactory ☐ Unsatisfactory Is there a scorecard or website to verify the performance? ☐ Yes ☐ No	☐ Satisfactory ☐ Unsatisfactory Is there a scorecard or website to verify the performance? ☐ Yes ☐ No	

Certificate Structure definition and information listed below. Confirm all requirements of the selected structure apply. Incorrect selection could adversely impact audit result and registration status.

Current Certification Structure ☐ Single Site, ☐ Multiple Site, ☐ Campus, ☐ Several Sites, ☐ Complex	
Justification for Structure Change from Previous Audit, if any:	

- "Single Site" - An organization that operates at one site or a grouping of sites in one geographic location and issued one certificate

with one address. Stand-alone, self-supporting organization

- No value stream dependencies from related companies or between buildings.
- Operating under the same quality management system.
- One address and/or multiple addresses with each performing the same manufacturing activity and/or different activities that do not function as a value chain (e.g., building one = wing assemblies, building two = wire harness assemblies) or all manufacturing is at one address, but supporting office functions are at a second address. *If the scope of certification for a "Single Site" certification structure contains more than one address, then all addresses must be on the certificate and the "single address" entered into OASIS would be the address on record as being contracted with PRI.*
- If a value chain relationship exists between multiple buildings (i.e., WIP is moved between buildings), see Campus below.

➢ "Multiple Sites" - An organization having an identified central function (the central office, but not necessarily the headquarters of the organization) at which certain activities are planned, controlled, or managed and a network of sites, in more than one geographic area, at which such activities are fully or partially carried out. With the exception of the central office the processes within each of the sites are substantially the same and are operated to the same methods and procedures. One certificate is issued listing the central function and all sites including sub-scopes for each. All Sites shall have a legal or contractual link with the central office;

- One quality management system with central control, management review, and internal audit.
- Central office can require other sites implement corrective action.
- Central collection and analysis of data, and with the ability to initiate organizational change.
- Complies with IAF MD 1,"Multi-site Organization" definition and eligibility requirements.
- All quality management system processes at all sites have to be substantially (i.e., 80%) the same and are operated to the same methods and procedures.
- Some sites may conduct fewer processes than others.
- One address per site.

➢ "Campus" - An organization having an identified central function (the central office, but not necessarily the headquarters of the organization) at which certain activities are planned, controlled, or managed; and that has a decentralized, sequential, linked product realization process. For the purposes of this standard, it is referred to as a value stream where the outputs from one site are an input to another site, which ultimately results in the final product or service. One certificate is issued listing one controlling address and scope. Each site within the campus will have an address and sub-scope activity that describes the manufacturing activities within each building. All sites shall have a legal or contractual link with the central office.

- One quality management system with central control, management review, and internal audit.
- Central office can require other sites implement corrective action.
- Central collection and analysis of data, and with the ability to initiate organizational change.
- The outputs from one site are an input to another site to realize the final product or service; a single value stream.
- Can be dissimilar processes at different sites or combination of sites that contribute to the same overall product or service.
- More than one product or service may be realized provided they are substantially (i.e., >80%) the same (e.g., a family of products) and realized through the same methods and procedures.
- One address per campus.

➢ "Several Sites" - An organization having an identified central function (the central office, but not necessarily the headquarters of the organization) at which certain activities are planned, controlled, or managed and a network of sites, that do not meet the criteria for either a multiple site or a campus organization. One certificate is issued listing the central function and all sites. Certificate includes an overall scope statement and sub-scope statement for each site. All sites shall have a legal or contractual link with the central office.

- One quality management system with central control, management review, and internal audit.
- Central office can require other sites implement corrective action.
- Central collection and analysis of data, with the ability to initiate organizational change.
- Processes at each of the sites are not substantially similar (i.e., 80% similar).
- Processes may be operated to the same or different methods and procedures that are controlled through one common quality management system.
- Sites realize different products or services.
- One address per site.

Certificate of Registration requested:

☐ Combined (AS91002016 / JISQ 9100:2016 / EN 9100:2018 and ISO 9001:2015 – ANSI/ISO/ASQ Q9001-2015)

☐ Separate (AS91002016 / JISQ 9100:2016 / EN 9100:2018) and separate ISO 9001:2015 – ANSI/ISO/ASQ Q9001-2015)

☐ Stand alone (AS91002016 / JISQ 9100:2016 / EN 9100:2018, with no ISO)

If you selected a Combined Certificate of Registration, the AQMS AS9100/91109120 and ISO 9001 scope are the same. There is no difference in the scope of certificate, scope statement, scope of the audit, technical or geographic subjects of certification. ☐ Yes ☐ No ☐ Not Applicable

Is your AQMS 9100 series management system combined with another management system standard (e.g., ISO 14001, ISO/IEC 27001, ISO 450001)? ☐ Yes ☐ No

Provide a description of the aerospace (aviation, space, defense) products manufactured: _____

Product design responsible (includes subcontracted design)? ☐ Yes ☐ No

Identify all product realization processes and the support processes in the System Manual, Procedures, Map(s), and/or Turtle Diagrams. The below listed processes must match the organization's System Manual, Procedures, Map(s), Turtle Diagrams, audit plan and completed 9101 Form 2: QMS Process Matrix Report & PEAR – 9101 Form 3 for AS9100/9120. Enter each below in the Process column.

The organization and PRI auditor are responsible to review the organization's System Manual, Map(s), and/or Turtle Diagrams identified process names and ensure all the audit documents and forms, the audit plan, Form 2, and any Pears are identical in identifying the process names. If the organization has not identified the Processes as Identified in the System Manual, Map(s), and/or Turtle Diagrams, the auditor must ensure the corrections are made to the R20.107, and the audit documents and forms.

Processes as Identified in the System Manual, Procedures, Map(s), Turtle Diagrams	**Objective (Specific Target Values)**	**Actual Performance – Current Measurement**
Example only: Shipping	100% on time delivery	Current 90%.

Other QMS Information:

International Traffic in Arms Regulations (ITAR) responsible ☐ Yes ☐ No

Identify any regulatory requirements (OSHA, EO, EPA, DOT, FARs, DFARs, ITAR, etc.) applicable to the AQMS: _____

Customer Special Status, explain: (limited, suspension, probation, withdrawal) _____

Changes since the last assessment:

1. QMS, equipment, # of employees, shifts, product, scope (for multi-site or campus: sub-scopes), processes, new customer(s), etc.: ☐ Yes ☐ No – if yes, explain _____
2. Legal Status: ☐ Yes ☐ No – if yes, explain _____
3. Commercial Status: ☐ Yes ☐ No – if yes, explain _____
4. Organizational Status: ☐ Yes ☐ No – if yes, explain _____
5. Ownership: ☐ Yes ☐ No – if yes, explain _____

Are you still producing product for the aerospace industry: ☐ Yes ☐ No - If no, explain: _____

Identify all Special Processes in the table below (aligns with NADCAP structure). Check here if there are no special processes ☐.

Aviation, Space, and Defense Applicable Special Processes	**Specific Activities**	**Site-Owned Process (no 3rd party accreditation)**	**Site-Owned Process (3rd party accredited / certified)**	**Outsourced Process (no 3rd party accreditation)**	**Outsourced Process (3rd party accredited / certified)**
Chemical Processing	Anodizing	☐	☐	☐	☐
	Chemical Cleaning	☐	☐	☐	☐
	Chemical Milling	☐	☐	☐	☐
	Conversion/Phosphate Coatings	☐	☐	☐	☐
	Paint/Dry Film Coatings	☐	☐	☐	☐
	Plating	☐	☐	☐	☐
	Stripping	☐	☐	☐	☐
	Surface Treatment/Passivation	☐	☐	☐	☐
	Etching	☐	☐	☐	☐
Coatings	Thermal Spray	☐	☐	☐	☐
	Diffusion Coatings	☐	☐	☐	☐
	Vapor Deposition	☐	☐	☐	☐
	Coating Evaluation Laboratory	☐	☐	☐	☐
	Stripping of Coatings	☐	☐	☐	☐
	Heat Treating of Coated Parts	☐	☐	☐	☐
	Plating of Coated Parts	☐	☐	☐	☐
Composites	Compression Molding (CMP)	☐	☐	☐	☐
	Core Processing (CP)	☐	☐	☐	☐
	Liquid Resin Processing (LRP)	☐	☐	☐	☐
	Metal Bonding (MB)	☐	☐	☐	☐
	Prepreg/Adhesive Bonding/Resin	☐	☐	☐	☐
	Film Infusion (PAR)	☐	☐	☐	☐

Aviation, Space, and Defense Applicable Special Processes	Specific Activities	Site-Owned Process (no 3rd party accreditation)	Site-Owned Process (3rd party accredited / certified)	Outsourced Process (no 3rd party accreditation)	Outsourced Process (3rd party accredited / certified)
Conventional Machining as a Special Process	Holemaking	☐	☐	☐	☐
	Broaching	☐	☐	☐	☐
	Milling	☐	☐	☐	☐
	Turning	☐	☐	☐	☐
	Grinding (including grinding of coatings or after heat treat)	☐	☐	☐	☐
	Edge Treatment (including automated, hand bench, and mass finishing)	☐	☐	☐	☐
Elastomer Seals		☐	☐	☐	☐
Electronics	Printed Boards	☐	☐	☐	☐
	Flexible and Rigid-Flexible Printed Boards	☐	☐	☐	☐
	High Density Interconnect Printed Boards	☐	☐	☐	☐
	Circuit Card Assemblies	☐	☐	☐	☐
	Printed Board Assemblies	☐	☐	☐	☐
	Printed Board Assemblies Personnel Qualification	☐	☐	☐	☐
	General Soldering of Printed Board Assemblies	☐	☐	☐	☐
	Plated Through-Hole Technology (PTH)	☐	☐	☐	☐
	Surface Mount Technology (SMT)	☐	☐	☐	☐
	Mixed Metallurgy for Ball Grid Array (BGAs)	☐	☐	☐	☐
	Lead Free Soldering	☐	☐	☐	☐
	Conformal Coating of Printed Board Assemblies	☐	☐	☐	☐
	Encapsulation	☐	☐	☐	☐
	Programming	☐	☐	☐	☐
	Final Testing	☐	☐	☐	☐
	Refinishing	☐	☐	☐	☐
	Cable and Harness	☐	☐	☐	☐
	Cable and Harness Personnel Qualification	☐	☐	☐	☐
Fluids Distribution	Couplings Fittings & Other Machined Components Hose Assembly	☐	☐	☐	☐
	Hose Manufacturing	☐	☐	☐	☐
Heat Treating	Metal Systems	☐	☐	☐	☐
	Heat Treating Processes	☐	☐	☐	☐
	Heat Treating Equipment	☐	☐	☐	☐
	Brazing	☐	☐	☐	☐

Aviation, Space, and Defense Applicable Special Processes	Specific Activities	Site-Owned Process (no 3rd party accreditation)	Site-Owned Process (3rd party accredited / certified)	Outsourced Process (no 3rd party accreditation)	Outsourced Process (3rd party accredited / certified)
	Hot Forming	☐	☐	☐	☐
Materials Testing Laboratories	Chemical Analysis	☐	☐	☐	☐
	Mechanical Testing	☐	☐	☐	☐
	Metallography (Micro & Macro)	☐	☐	☐	☐
	Micro-indentation Hardness, Vickers, Knoop	☐	☐	☐	☐
	Macro-hardness Brinell, Rockwell, Vickers	☐	☐	☐	☐
	Corrosion	☐	☐	☐	☐
	Mechanical Test Specimens Preparation	☐	☐	☐	☐
	Differential Thermal Analysis (DTA)	☐	☐	☐	☐
	Specimen Response/Capability to Heat Treat	☐	☐	☐	☐
	Fastener Testing	☐	☐	☐	☐
Measurement & Inspection	Coordinate Measuring Machine (CMM)	☐	☐	☐	☐
	Laser Trackers	☐	☐	☐	☐
	Articulating Arms	☐	☐	☐	☐
	Mass Airflow	☐	☐	☐	☐
	General Inspection	☐	☐	☐	☐
Nondestructive Testing	Liquid Penetrant Testing	☐	☐	☐	☐
	Magnetic Particle Testin	☐	☐	☐	☐
	Ultrasonic Testing	☐	☐	☐	☐
	Radiographic Testing	☐	☐	☐	☐
	Eddy Current Testing	☐	☐	☐	☐
	Digital Radiographic Testing (DDA)	☐	☐	☐	☐
Nonconventional Machining and Surface Enhancement	Nonconventional Machining	☐	☐	☐	☐
	Electrochemical Machining (ECM)	☐	☐	☐	☐
	Electrochemical Grinding (ECG)	☐	☐	☐	☐
	Electrical Discharge Machining (EDM) (Fast Hole/Sinker/Wire)	☐	☐	☐	☐
	Laser Beam Machining (LBM) (Cutting/Drilling/Marking)	☐	☐	☐	☐
	Surface Enhancement	☐	☐	☐	☐
	Shot Peening (Automated, Computer Controlled/ Flapper/Manual/ Peen Forming)	☐	☐	☐	☐

Aviation, Space, and Defense Applicable Special Processes	Specific Activities	Site-Owned Process (no 3rd party accreditation)	Site-Owned Process (3rd party accredited / certified)	Outsourced Process (no 3rd party accreditation)	Outsourced Process (3rd party accredited / certified)
Non-Metallic Materials Manufacturing	Manufacturing Resin	☐	☐	☐	☐
	Manufacturing Prepreg	☐	☐	☐	☐
	Manufacturing Adhesive Films	☐	☐	☐	☐
	Manufacturing Core	☐	☐	☐	☐
	Manufacturing Fibers (Currently Carbon Fibers Only)	☐	☐	☐	☐
Non-Metallic Materials Testing	Mechanical Testing	☐	☐	☐	☐
	Physical Testing	☐	☐	☐	☐
	Chemical Testing	☐	☐	☐	☐
	Thermal Testing	☐	☐	☐	☐
	Flammability Testing	☐	☐	☐	☐
Sealants	Adhesion Promoters Coatings & Coating Processes Peel Panels	☐	☐	☐	☐
	Shear Specimens	☐	☐	☐	☐
	Tensile Bars	☐	☐	☐	☐
	Polyurethanes Silicones & Flurosilicones	☐	☐	☐	☐
	Two Part Polysifide Sealants	☐	☐	☐	☐
Welding	Torch/Induction Brazing	☐	☐	☐	☐
	Flash Welding	☐	☐	☐	☐
	Electron Beam Welding	☐	☐	☐	☐
	Resistance Welding	☐	☐	☐	☐
	Fusion Welding	☐	☐	☐	☐
	Laser Welding	☐	☐	☐	☐
	Friction/Inertia Welding	☐	☐	☐	☐
	Diffusion Welding	☐	☐	☐	☐
	Percussion Stud Welding	☐	☐	☐	☐

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Complete and return this portion/page only to PRI. Please complete the appropriate areas below based on the type of readiness review you are performing. Information relating to the outcome of the Stage 1 readiness review.

Company name	
Location	

For a Stage 1 Event: PRI has conducted a Stage 1 audit for this site. The Stage 1 audit included a review of the management system documentation level 1 and 2 (unless the management system documentation was corporate and reviewed at a prior event) and all Readiness Materials as indicated on this form, R20.107, and AS9101 Form 1 Stage 1 Audit Report for this site. The Stage 1 event provided a focus for planning the Stage 2 audit by gaining a sufficient understanding of the:

- Client's location and site conditions
- Client's status and understanding regarding the requirements of the cited Standard
- Site specific documentation
- Employee count information, on page 2, is required to be entered into OASIS database.
- Information regarding the scope and/or sub-scopes and processes, etc.
  - **NOTE**: Scope and sub-scope requirements are linked to the certification structure. Campus requires a sub-scope by building. Multi-site requires a sub-scope by site. Site requires a scope comprising all included activities. AS scopes must be location specific for multiple site and campus. The central office scope must include quality management. Title of PEARs must be added to the scope of each location. Key mfg processes (stamping, machining, assembly) not specified within the PEAR titles will be added to the scope. The location of design and purchasing will be added to the scope of each applicable location. For single site, scope must include Key Mfg Process such as stamping, machining, assembly. It is assumed for a single site that purchasing, quality management, etc. is done on-site.
- Allocation of resources for Stage 2 or any other audit event – Contact PRI audit operations coordinator (formerly customer care) should the auditor need to add audit time for any reason such as risk, complexity, increased scope, translation, verifying corrective actions, report writing on-site, etc.
- Identification of Special Processes performed on-site and outsourced. Special processes are to be included in the audit plan where applicable.
- Verification of client and/or design subcontractors to have appropriate capability to meet clause 8.3 (Design and Development of Products and Services), including interfaces between client and subcontractor.
- Client's website visited to confirm company name, address, structure, other linkages, other support, scope and/or sub-scopes vs what is on the website, additional addresses, to ensure that misleading statements regarding certification are not being made or implied, etc.

Stage 1 Readiness Review Only - To be completed by PRI Auditor only:

Stage 1, Readiness Review, Duration and Results

Duration: Stage 1 audit scheduled mandays _____ Actual mandays conducted _____

Results:

☐ Ready - The organization has received a "ready" for Stage 2 registration activity result.

PRI Lead Auditor Signature: _____ Date: _____

☐ Not Ready - Should the organization receive a "not ready" for Stage 2 registration activity, another on-site Stage 1 event should occur. Comment is required if client is to respond to cited issues/concerns identified at Stage 1 prior to the Stage 2. Ready status is contingent upon receipt of response(es) to cited issues/concerns:

PRI Lead Auditor Signature: _____ Date: _____

Number of Additional Days of on-site Readiness Review required: When:

Client's Acknowledgment (should another on-site Stage 1 be required):

Name: _____ Date: _____

Signature: _____

For PRI Auditor Use only - PLEASE PRINT

Company name	
Location	
Surveillance/Renewal #	

Surveillance/Renewal Readiness Review - To be completed by PRI Auditor only: Return this portion/page only

- Auditor Reminder: Client's website visited to check for appropriate use of marks and to confirm company name, address, structure, other linkages, other support, scope and/or sub-scope vs what is on the website, additional addresses, to ensure that misleading statements regarding certification are not being made or implied, etc. Allocation of resources for any audit event - Contact PRI audit operations coordinator (formerly customer care) should the auditor need to add audit time for any reason such as risk, complexity, increased scope, translation, verifying corrective actions, report writing on site, etc.
- Identification of Special Processes performed on-site and outsourced. Special processes are to be included in the audit plan where applicable.

Note to auditor: If the client fails to submit the required information (see 9101) in a timely manner, omit materials, or provide inaccurate information, you shall add time to the audit to review these items prior to the opening meeting. Also, the renewal audit plan must consider the performance of the management system over the previous three-year period of certification and the review of the surveillance reports issued over the previous three-year registration period. Poor performance requires additional on-site audit time.

Results:

☐ Ready - The organization has received a "ready" to proceed with the audit event

PRI Lead Auditor Signature: _____ Date: _____

☐ Not Ready - Should the organization receive a "not ready", added on site time prior to the opening meeting must occur. An issue has been identified during the review of the readiness materials. This issue will be followed up on site at the scheduled event. The audit plan has been adjusted (time added _____) to capture and review the issues prior to the opening meeting.

Issue Description: _____

PRI Lead Auditor Signature: _____ Date: _____