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Technical Operations Officer, NSAI Inc.

20+ Years in various quality roles

20+ Years in ISO Certification Activity

Electronics manufacturing

ISO audit management

- Training Internal auditors*
- Managing the registrar*

Chair of IPC 6012 PCB Acceptance Std

Currently active in certification industry committees

Auditing 101

Engaging a Registrar

Preparing for audits

Company Culture

Best practices and pitfalls

Discussion and Interaction Throughout



Engaging a Registrar: Why this matters

Registrar Engagement Importance

Registrars evaluate operational integrity, implementation and quality of company processes ensuring compliance.

Culture and Criteria Alignment

Certification bodies differ in approach
Adversarial vs. Partnership
Conformance vs. Effectiveness
Effective Communication

Consequences of Poor Registrar Choice

Inadequate registrar selection results in adverse experience and disappointing outcome as well as added cost

(NOTE: This applies to all standards)



Engaging a Registrar: How To

Clarify Audit Scope Early

Define systems, processes, and locations to be audited to avoid misunderstandings in advance.

Understand Audit Process

Inquire about audit stages, scheduling, audit logistics and documentation expectations for smoother coordination.

Establish Point of Contact

Designate a dedicated contact to manage communications and logistics with the registrar efficiently.

Research Potential Registrars (IAF Certsearch)

Evaluate registrars based on reputation, relevant specialization, and available feedback before engagement.



Engaging a Registrar: How To

IAF CertSearch

(<https://www.iafcertsearch.org/>)

**A centralized international database of ISO
Certified companies**

**Participation mandated by International
Accreditation Forum (IAF)**

All certificates worldwide by Oct 26, 2024



Pitfalls in Registrar Selection

Misaligned Expectations

Misaligned expectations arise when the audit scope is unclear or assumed differently by involved parties.
It can also result with a disparity of cultures

Impact of Misaligned Expectations

Having misaligned expectations can lead to delays
Higher costs

Preventative Measures

Ensure audit scope and expectations are clearly documented early
Ensure there is a single point of contact established for both parties
Arrange for regular meetings with the Registrar



Discussion – Registrar Selection

You find that your auditor is spending all his time in the conference room, reviewing procedures and records. Is this an effective audit?

Your auditor's behavior is inappropriate in some way, What are your options?

Your certification body takes months to get you your certificate after your initial/recertification audit – What now?

Your certification body does not schedule your audit in advance and the dates they picked won't work for you. Are you stuck?



Audit Preparation

Best Practices and Pitfalls



Preparing for Audits

Role of Audits

Audits formally assess adherence to standards or reveal gaps needing attention.

Strategic Readiness

Recognizing audit stakes drives prioritization and resource allocation for successful compliance.

Consequences of Poor Preparation

Inadequate audit readiness risks failed ~~compliance~~ and operational disruptions.

Nonconformities



Preparing for Audits: Best Practices

Internal Pre-Audits

Conduct internal pre-audits to identify and correct gaps before the official audit takes place.

Centralized Documentation

Store all relevant policies, procedures, and records in a single accessible repository for easy retrieval.

Staff Training

Train employees on audit roles and responsibilities to ensure confidence and clear communication during audits.

Audit Interview Simulations

Simulate auditor interviews to prepare staff for real audit scenarios and improve response clarity.



Preparing for Audits: Pitfalls

Inconsistent Records

Inconsistent/Incomplete records often indicate inadequate oversight and can trigger systemic concerns during audits.

Untrained Personnel

Untrained staff may reflect a lack of management commitment, raising red flags during audits. This should include **all** staff, not just Quality

Missing or Open Corrective Actions

Absence of corrective actions signals unresolved issues and weak internal controls in organizational processes.

Poor Change Management

Lack of proper change management may lead to audit risks as well as process inconsistencies, potentially product failures audit.



Preparing for Audits: Plan for Success

Early Preparation

Start audit preparations early to avoid mistakes caused by last-minute rushes.

Clear Communication

Maintain clear, transparent communication both internally and with registrar for alignment.

Comprehensive Documentation

Document processes and procedures thoroughly
Walk around the facility looking for uncontrolled print outs and forms.

Streamlining

The ISO structure helps with avoiding duplication and allows you to maintain organization more easily.



Discussion Audit Preparation

It's Friday and your audit is scheduled to start on Monday and you just found out that one of your key senior managers will be out next week. What do you do?

During your internal audit, you had identified a nonconformity. In preparing for the audit, you learn that the corrective action for the issue is not closed. What's next?

As you're walking the floor, you notice a number of employees have printed out "cheat sheets" and they are posted around the shop. What is the best way to handle this?



Creating the Right Culture



Creating the Right Culture

Ongoing Communication

Promote management system structure year round.
Not just a few weeks before the audit.

Encourage Employee Involvement and Feedback

Ask for input from the folks that run the processes
Act on the feedback you receive.

Audit Ready Systems

You want the management system to sustain itself
beyond the audit. You should be “audit ready” all the
time.



Creating the Right Culture

Culture of Continuous Improvement

The system will never be perfect, it should be flexible to adapt as the company adapts and grows

Promote Proactive Behavior

Identifying potential issues and address them with systemic fixes, not band aids

Top Management Buy-In

The culture has to be driven from the top down
Lead by example, involve senior managers in internal audits or Gemba walks



Creating the Right Culture

Company puts an overwhelming number of procedures in place. What are some of the risks?

If the system is cumbersome, people will avoid revisions and the system quickly becomes outdated. How can this be avoided?

You have several areas where you deal with nonconforming material. While each one is in fairly good shape in terms of product identification and status, the underlying procedure isn't being consistently applied or followed. What do you do?



Takeaways/Discussion

- *Get everyone on board*
- *Don't make the system so complicated it can't be used*
- *Be happy with your CB, make sure you're getting value or SWITCH!
(to NSAI!)*

“Fortunately, this only happens once a year.”



Aerospace Update

All AS standards being released as International Standards

AS9100 = IA 9100

AS9104 = IA 9104

AS9101 = IA 9101

Standards are being recognized by IAF

Release planned for 3/1/2026 – Transition timeline in the air

Auditors will require training

Full Revisions to AS9100/AS9110/AS9120 in the works

Probably 2026/27

Will have 3 year transition

Major Changes

Campus Structure is staying

OASIS v3 Updates

OASIS Insights Reports – Currently to clients; will be part of Level 2 Data

2026/2027 Centralizing Certificate Generation to OASIS

