Objective Evidence

July 18-19, 2013

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9101 Revision Team
Objective Evidence Workshop Session Agenda

- What is it?
- Why?
- Expectations of recording
- Changes to Rev E.
- Relationship between Matrix/PEAR/Audit Report
- Good, Bad and Ugly
- Breakout session: Find the Objective Evidence
- Team report out
- Group input
- Q&A
- Forms Location
Objective Evidence—What is it?

ISO 9000 3.8.1 Objective Evidence: data supporting the existence or verity of something

• It supports the audit findings, both positive and negative.

• It identifies audit trails by documenting sources of information reviewed during the audit.

• It may consist of purchase order numbers, router/traveler numbers, contracts, etc.
Objective Evidence - Why?

• Supports the audit conclusions
• Makes the audit **Objective** and not **Subjective**
• Builds the foundation for audit process credibility
  - Allows for confidence in the process
  - Creates the basis for continual improvement
Objective Evidence-Why?

- Provides enough detail to create a clear link from the audit report to a specific issue.

- Provides stakeholder (i.e. OEM’s recognizing ICOP certificates, CB certification decision makers and future auditors) insight of information that was presented during the audit.

- Aids and supports the composition of key issues/concerns, strengths/good practices, OFI summarizes in the audit report.
Changes to 9101 Rev E.

- Principle of recording objective evidence remains

- Objective Evidence Record (OER) has been replaced, and objective evidence will now be captured in the updated PEAR (for 9100 series standards clause 7), QMS Matrix (for other than clause 7) and Audit report summary

- (The CB may use additional audit tools, such as check-lists or questionnaires, to help auditors in the collection of objective evidence during the audit process)
Changes to Rev E.

- Objective evidence will be summarized in Box 14 for Clauses 4, 5, 6 and 8.

- Since this space is allocated by top level Clause, the auditor will need to be clear as to the association of their statements and their observations within the Clause.
### Changes to 9101 Rev E.

- **Objective evidence will be summarized in Box 18 for Clause 7.**
- **If the source of objective evidence is from multiple locations, the objective evidence should be traceable to that location.**

| 18 | Summarise the relevant audit trails and audit evidence (i.e., statements of fact or information that are relevant to the audit and verifiable) in relation to the process audited, including statements of conformity and nonconformity. In the event the source of objective evidence is from multiple locations, the objective evidence should be traceable to that location. |
Relationship between Matrix/PEAR/Audit Report

Details here

Will aid in your report summaries here
## Objective Evidence: The Good, Bad and Ugly...

| Reviewed internal audit results from 2013 | Reviewed internal audit results from 2013, including audits of Purchasing, Human Resources, Management and Production. 8 internal NC’s (1 Major, 7 minors) documented to date and on track for C/A per procedure CA001. Major NC found in Purchasing and audit frequency has been increased to 3 times a year for balance of 2013 | Reviewed internal audit results of several audits |
### Objective Evidence: The Good, Bad and Ugly...

<table>
<thead>
<tr>
<th>Good</th>
<th>Bad</th>
<th>Ugly</th>
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<tbody>
<tr>
<td>Reviewed purchase orders X1234, Y2345, Z3456 and A5678; all met requirements of the purchasing procedure and the standard. Client will be switching over to new procurement system “iBuy Me” 4Q2013. New procedures are in draft form and scheduled for release when new system is implemented.</td>
<td>Reviewed several purchase orders</td>
<td>Reviewed purchase orders X1234, Y2345, Z3456f and A5678</td>
</tr>
</tbody>
</table>
## Objective Evidence: The Good, Bad and Ugly...

<table>
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<tr>
<th>Reviewed multiple traveler for shop orders</th>
<th>Reviewed travelers for Shop Orders 123, xyz, 4556 and abc.</th>
<th>Reviewed travelers for Shop Orders 123, 123-A xyz, 4556 and abc; all actions were signed off and QC stamps were used where required. Observed travelers 123 and abc had ME redlines. Review of ME002 confirmed authorized redlining done per procedure.</th>
</tr>
</thead>
</table>

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## Objective Evidence: The Good, Bad and Ugly…

| Verified several FAIs | Verified FAI for P/Ns 123, 456, 789; all were complete and met customer requirements of AS9102. P/N 123-A review indicated a change to hole diameter and location. 3 production lots of 10 each have been produced and delivered to the customer. Organization could produce the FAI for the original configuration but not for the delta changes. Reference NC001 | Verified FAI for P/Ns 123, 123-A, 456, 789 |
## Objective Evidence: The Good, Bad and Ugly...

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<td>Verified records for management review 1Q13, 2Q13 and 3Q13; all met requirements including required inputs and outputs. Set agenda includes review internal KPI’s, Customer Satisfaction and risk management identification and actions. Internal audit results are reported and status. Non responsive/ineffective C/A elevation evaluated and C/A responsibility is reassigned from the process owner to the functional leader reference MR001.</td>
<td>Verified records for management review 1Q13, 2Q13 and 3Q13</td>
<td>Verified records for management review</td>
</tr>
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The Good, Bad and Ugly...What’s Worse than Ugly?

Copying and pasting the same objective evidence from one client to the next!
Breakout Session: Find the Objective Evidence

Individually read the case study. Based on the information provided keep note of applicable objective evidence reviewed as well as information provided that might not be considered objective evidence throughout this case study as well as any potential non-conformances you may have noted. Keep your eyes open for strengths, weaknesses, opportunities and threats.
Breakout Session: Report out

Record on the flipchart:

• Statement of objective evidence (s)

• List aspects of the case study that you wouldn’t consider objective evidence. Be prepared to explain why.

• Brief description of potential nonconformities.

• List key issues/concerns, strengths/good practices, OFI that you would include in the audit report.

Select a spokesperson to report out to the group.

45 minutes to complete
Registration Management Committee

Wrap Up

- Group input / Q&A – Open Discussion
- Forms location

http://www.sae.org/iaqg/