Supply Chain Audits – Frequently Asked Questions

- **Why are we being audited?**
  AWE has a supplier audit programme which is dependent upon quality control (QC) grade, environmental, safety and health (ESH) grade and/or value, complexity or risk (VCR). Either there has been a request to add your organisation to the AWE approved suppliers list (ASL), there has been a request to increase your organisation's grade to a higher level, or as an existing QC1, QC2, QC3 VCR, ESH A, or ESH B supplier on the AWE ASL the renewal period is now due.
- **What will the audit consist of?**
  It is dependent upon the product and services you provide to AWE. The audit is intended to gauge an organisation's compliance against some or all of the following: O1AAJH-2034476337-104, AQAP 2110, AQAP 2210, ISO 9001, ISO 14001, ISO 45001, CFSI, contract requirements and any subsequent risk that may exist.
- **How long will the audit take?**
  This is very much dependent upon the product and services you provide to AWE and the type of audit being carried out e.g. quality, environmental, health and safety or a combination. Generally, if your organisation holds ISO 9001 or AS9100 certification issued by UKAS or another IAF member, a QC1 or 2 quality audit will take 1 auditor 2 days and a QC3 VCR audit 1 day. However, this does depend upon the level of services your organisation provides to AWE and if you have returned answers to the question set along with the key processes requested. If the services include design, manufacture and software, this will be 3 days. For organisations holding ISO 14001 or ISO 45001, environmental management and health and safety audits will take an additional one day each dependent upon how many auditors are sent.
  If your organisation is not yet on the AWE ASL and either does not hold ISO 9001, AS9100, ISO 14001 or ISO 45001 certifications, or the certification is not issued by UKAS or another IAF member, this will increase to the equivalent of 6 days, i.e. 2 auditors for 3 days for quality. Environmental, health and safety and VCR audits will each take a minimum of 1-day dependent upon the management system in place.
- **How often are these audits?**
  This very much depends upon quality control (QC) grade, environmental, safety and health (ESH) grade, value, complexity or risk (VCR) as well as the results of previous audits or supplier performance.
- **Who needs to be involved in the audit?**
  We generally expect the QESH Manager, or person responsible for the Management System to be the primary host. Other auditees will depend upon the services provided, but normally include engineering, software, production, inspection, environmental, health and safety, audit and supply chain leads. If we have indicated it will be a full Management System audit, then in addition to the above, we also require members of Senior Management to be interviewed.
- **How many auditors can I expect to host?**
  Where possible, there will be only 1 auditor; exceptions to this will be if there are multiple locations to be audited, the audit includes ISO 14001 or ISO 45001, or your organisation does not hold certification issued by UKAS or an IAF member and we have indicated that we will be carrying out a full Management System Audit. This will be discussed at the planning stage and prior to any audit taking place.

Supply Chain Audits – Frequently Asked Questions

- **What will the auditor be looking at?**
  The auditor is gauging an organisation's compliance against some or all of the following: O1AAJH-2034476337-104, AQAP 2110, ISO 9001, CFSI, ISO 14001, ISO 45001, contract requirements and any subsequent risk that may exist. The focus will be on the associated processes including any mandatory documented information.

- **How should I prepare for the audit?**
  In our experience, the audits are most likely to be successful and completed in the shortest possible time if the organisation returns:
  a. The completed question set sent out by AWE, at least 2 weeks prior to audit commencement
  b. The list of key processes and procedures requested, at least 2 weeks prior to audit commencement.
- **If the auditor raises any issues during the audit, how long will I have to address them?**
  This depends upon the type of finding:
  a. In the first instance, the organisation is required to submit an Action Plan within 15 working days of receipt of the Audit Report.
  b. For a major non-conformity, it may require 48-hour containment to prevent non-conforming product being released from the organisation. The corrective action due completion date will be discussed during the closing meeting.
  c. For a minor non-conformity, the normal timeframe for closure is 2 months; if this needs to differ from this, it will be discussed during the closing meeting.
  d. If an opportunity for improvement (OFI) is raised, normally these are optional and will not be given a target completion date. If agreement has been reached to not raise a non-conformity but action is expected to address the OFI, it will be discussed during the closing meeting.
- **Will there be a follow-up visit after the audit?**
  In most cases, any non-conformities raised can be closed by the auditor remotely, after receipt of suitable evidence. In a minority of cases, dependent upon the non-conformity, the auditor may require to be physically present at a location to witness a process or product. Where possible this will be discussed during the closing meeting; if it becomes apparent after the audit and on receipt of the organisation's Action Plan, it will be discussed then.
- **We have been informed that we are a QC1, QC2, QC3 VCR, ESH A or ESH B Grade supplier, what does this mean?**
  AWE Grading is based upon the 'consequence of failure' of the product or service to be provided, and if it were to subsequently fail, the potential risk it poses to AWE. The QC Grades for systems, structures and components (SSC) range from QC1 to QC4; QC1 being the highest risk and QC4 the lowest, and ESH A to ESH D; ESH A being the highest risk and ESH D the lowest.
  In order to mitigate risk, one of the activities AWE carries out, is to audit its QC1, QC2, QC3 VCR, ESH A and ESH B suppliers against the quality, environmental, health and safety and contractual requirements.

Supply Chain Audits – Frequently Asked Questions

- **What is the O1AAJH-2034476337-104 document I have been sent?**
  O1AAJH-2034476337-104 Quality Requirements for Suppliers is a document that AWE wrote in conjunction with other defence organisations for their supply chains. AWE invokes this set of requirements for its QC1 and QC2 work; it includes all of AQAP 2110 as well as some customer specific requirements and is to be utilised in conjunction with ISO 9001 Quality Management Systems Requirements when called out by contract.

- **What is AQAP 2110 and AQAP 2210?**
  AQAP 2110 'Quality Assurance Requirements for Design, Development and Production' and AQAP 2210 'Supplementary Software Quality Assurance Requirements to AQAP 2110' are NATO documents AWE contracts its QC1 and QC2 suppliers to comply with via the O1AAJH-2034476337 – 104 Quality Requirements for Suppliers document.
  AQAP 2110 includes all the content of ISO 9001 plus additional requirements. AQAP 2210 is applicable to all suppliers providing AWE with QC1 and QC2 software.

- **What is CFSI?**
  CFSI stands for Counterfeit, Fraudulent and Suspect Items. AWE expects their suppliers to take a proactive approach to the detection and prevention of CFSI entering AWE systems, structures and components (SSC). These items may be forgeries, imitations of something more valuable or whose provenance cannot be proven by certification. Defence Standard 05-135 'Avoidance of Counterfeit Materiel' refers.

Please forward any questions to SupplyChainQuality@awe.co.uk