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Audit Preparation Checklist

This checklist has been developed to help you be prepared for your upcoming audit of your certification program by CWB. By following this checklist before the audit, you will **reduce your audit time** and i**ncrease your efficiency**.

Prior to the audit, please review the document below which identifies things you can do to ensure your audit goes well and is completed in the most efficient manner. It describes the various audit elements that will be reviewed and provide suggested ways to prepare for each section. Note that this document is based on CSA Standard W47.1 but may be used for any other certification standard.

Remember, you can always contact your assigned CSR if you have any questions about the audit process.

Audit Overview

		Recommended Preparation
Location:	• Audits may be done "in-person" or "remotely" • Audits may be done at your certified shop/plant or at a field site	□ Confirm with your CSR if you want to do the audit remotely or in-person
Duration:	• On average, an audit takes 2-3 hours	□ Confirm you have sufficient time to accommodate the audit
Auditee:	• Audits may be conducted with o your qualified Welding Supervisor o your Certification Contact o or both	□ Confirm all required staff are available at the time of the audit
Audit criteria:	• The audit will be conducted against the applicable CSA standard(s) (e.g., CSA W47.1)	□ Have any applicable codes & standards available for use or review at the audit.
Opening Meeting:	• The CSR will make a quick overview of the audit approach • Typically, there is both a documentation review and a shop/fabrication review	□ Confirm all required staff are available at the time of the audit
Closing Meeting:	• The CSR will review any audit highlights, including: o Non-conformities o Opportunities for Improvement o Commendations • If non-confirmities are found, the CSR will work with you to determine next steps to resolve these • The CSR will also confirm if you wish to book the next audit date	□ Invite/prepare anybody involved or interested to be part of the closure meeting □ If possible; have a quiet location to review the Audit findings (if any) and discuss any required actions moving forward. □ Have a calendar available to book the next Audit date

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Audit Elements

Element	What will the CSR review during the audit?	Recommended Preparation
Scope, Administration, Reporting & Welding Personnel	• Validate your current scope of certification • Validate your list of designated personnel • Confirm any use of subcontractors • Validate any use of CWB Certification Mark (e.g., website, business card, etc.) • Validate your monthly welder reports (e.g., Form 108) • Validate quarterly Welding Engineer reports • Review welders and their qualifications • Review welding supervisors and their qualifications *People we may talk to:* Certification Contact, Welding Supervisor, Administrative Support	□ Have your CWB Portal open □ Have your website open □ Have your monthly welder reports up to date and available □ Have your welders' qualification documents (tickets) available □ Have your retained welding engineer reports available
Technical review and drawings	• Validate your process reviewing contracts, confirming welding requirements can be met, and follow up and modifications during the fabrication • Demonstrate how weld size, types and locations are determined and shared with the welder. *People we may talk to:* Welding Supervisor, QA/QC personnel, detailers, purchasing agents, contract administrators.	□ Show examples of contract rules, change order management processes (e.g., email, documents), agreement, addition, or deletion in the project □ Provide examples of blueprints or fabrication drawings with weld details, weld symbols chart, any welding instructions etc. □ If possible, provide drawings that support current work available for review
Identification & traceability (if applicable in contracts)	• Validate your process of how traceability is maintained insure throughout the full fabrication process *People we may talk to:* Welding Supervisor, QA/QC personnel, purchasing agents, contract administrators.	If applicable in your contracts: □ Provide/explain evidence of traceability process. □ Material orders with copies of the mill certificates, identification of base metal in the shop, how the base metal is traced from beginning to the end during the fabrication process, QA document etc.
Inspection & testing (if applicable in contracts)	• Validate your process and view evidence of inspection requirements as per the contract. *People we may talk to:* Welding Supervisor, QA/QC personnel, contract administrators.	If applicable in your contracts: □ Show evidence of inspection, which could include: ▪ Inspection reports ▪ Type of NDT done and report (inhouse or by external)
Nonconformance, Corrective action & Complaint recording	• Validate your process of managing non-conformities and complaints *People we may talk to:* Welding Supervisor, QA/QC personnel	□ Provide/explain evidence of NCR process flow. □ Provide/explain evidence of corrective action process □ Show evidence of how you manage your complaint process

Element	What will the CSR review during the audit?	Recommended Preparation
Quality records	• Validate process to ensure quality records are kept for at least 5 years *People we may talk to:* Welding Supervisor, QA/QC personnel, administrative support.	□ Show evidence of 5 years at least retention (hard copy or electronic) which may include: □ Inspection reports □ Contract signed □ Purchase order / Mill Certs □ Drawings/Prints
Welding procedure specifications & data sheets	• Validate your processes related to: • Use and availability of WPDS's /WPS's for the welders • Implementation of these documents for the production needs • How welding procedures are followed in production • Ensuring all documents are approved by CWB *People we may talk to:* Welding Supervisor	□ Be able to provide evidence on (some examples); □ Documentation availability to welders □ Welders' awareness of procedures □ Location of procedures □ Show CWB Stamped & Approved Procedure documents □ Setting control of power source vs data sheet □ Link between documents and production
General workmanship	• Review the welding activity (shop or field visit), quality control, drawing, WPDS's and any pertinent information about the product present in the shop *People we may talk to:* Welding Supervisor, QA/QC personnel	□ Be ready to tour of your fabrication shop or job site and: □ Have print related to the product □ Have approved data sheets available for the project □ Have all welder's qualifications available □ Explain how you "Maintain Control" of quality control in the shop (supervisor and or welders) □ Show how welders can refer to data sheet(s) □ Show base metal and filler metal storage □ Have access to completed on in-progress work to review visual weld quality
Equipment & consumables	• Review your process of power source maintenance • Review status of filler metals and consumable certification and storage *People we may talk to:* Welding Supervisor, purchasing agents	□ Show evidence of power source maintenance, which may include: □ In house maintenance logbook □ Identification on power source of a maintenance process □ Third party calibration □ Filler metal storage □ Electrode oven and temperature □ Clean and dry storage areas □ Gas identification