

Attachment C—  
Your Guide to Your Third-Party Audit



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For ANSI/AGSC/AGRSS™ 004-2018 –  
Automotive Glass Replacement Safety Standard (AGRSS™)

### Description and Registered Member Company Participation Requirements

**Purpose:** To provide AGSC Registered Member Companies the means to validate their compliance to the current AGRSS Standard through independent third-party assessment. This essential process both permits and encourages AGSC Registered Member Companies to differentiate themselves from those auto glass installation companies claiming compliance with the AGRSS Standard but who fail to undertake the installation procedures or use the proper products that, in turn, create conditions for unsafe auto glass replacements. AGSC Member Registration and the use of the third-party audit of that compliance is the benchmark of competence for those rendering auto glass replacement services.

**To Become an AGSC Registered Member Company:** The process of registration requires applicants to download the *Application, Attachment A, Attachment B*, and this *Attachment C*. All can be found on the AGSC website at [www.agsc.org](http://www.agsc.org). The *Application* and *Attachment B* (self-assessment document with 8 deliverables) need to be completed and returned to our office, while *Attachment A* (the current AGRSS Standard) and this *Attachment C* should be retained as important references. A similar, though slightly simplified process applies for renewals.

**Terms:** The term of this registration is three years, with one-third the fee due each year by the end of the quarter marking the original date of application. AGSC will send invoices for one-third payment annually. Please note that audit cycles vary from 36-48 months. During that time your company generally will be audited at least once.

**Fees:** The cost of registration or renewal is \$600 per company per year for a total of \$1800 for the three-year period. This fee includes your membership dues, services and certifications for up to three technicians. The registration fee for each additional technician is based on a graduated scale (4-49 technicians at \$35 each, 50-99 technicians at \$30 each and 100+ technicians at \$25 each). A monthly payment plan is available to shops that wish to have their credit card charged on the same day each month. Please inquire for details.

**Technicians:** All technicians who engage in auto glass replacement (install a minimum of one auto glass part per year) must be reported on your application to become an AGSC Registered Member Company and that includes mobile technicians. It is very important to note that all technicians employed or assigned at the location that have been selected for audit must be physically present on the assigned day of the third-party audit.

**Locations:** As an AGSC Registered Member Company, you are able to have all of your shop locations listed on the AGSC website and its consumer counterpart, [www.safewindshields.org](http://www.safewindshields.org), at no additional charge. The application indicates what information is necessary to submit in order to have these locations listed on the websites.

**AGSC Membership:** The many additional benefits of AGSC membership can be found on the AGSC website at [www.agsc.org](http://www.agsc.org).

**Normal Process:** For new applicant companies, two registration options are available to become an AGSC Registered Member Company. The first option is the most common and the one under which AGSC will proceed unless notified otherwise.

Through this process, the applicant completes the registration packet and submits it, along with standard registration fees, to the AGSC administrator for processing and approval. If approved, the applicant will be registered with AGSC as a member in good standing, pending the results of their audit.

**Fast Track Option:** This option allows the applicant to seek registration and undergo the audit almost immediately. Assuming the company successfully completes its audit, the Fast Track Option allows for the designation as a validated AGSC Registered Member Company along with its available features and benefits. The Fast Track Option requires the applicant to apply for and pay all related expenses of an immediate audit conducted by our third-party audit firm. The auditors will consult with the applicant company to determine the timing and cost of completing this audit, but a general ballpark would be \$1500-\$2000 per location. The standard fees associated with AGSC registration will still apply. Fast-track fees are one time only. Upon successful completion of such audit and a rating of full compliance, the applicant will be a fully validated AGSC Registered Member Company. If you are interested in the Fast Track option, please contact AGSC at the number above.

**What to Expect During an Audit:** The auditors come to your shop. They will utilize an interview process that provides highly accurate statistical evidence of a registered member company's compliance. Almost every shop owner who has gone through the audit has reported it a valuable experience and one that verified their processes and/or located some deficiencies

they were able to correct. A full 97% say they would go through the process willingly again.

The following are the components of the audit process:

AGSC's "Random Clustering Sample" (ARCS) program allows AGSC to map its Registered Member Company locations and organize them into fairly compact geographical groups, referred to as "clusters". Each cluster will average 10 stores per cluster to facilitate a reasonable number of audits that can be conducted within a given week by one auditor. AGSC has found this approach is the most cost effective method for the third-party audit.

All companies with one location will be audited once during their first three years of registration and periodically thereafter. All companies with more than one location will have at least one location audited during their first three years of registration and periodically thereafter. A company also may be audited twice during an audit cycle, though this is rare.

Generally, the auditors will audit the number of AGSC certified technicians equal to the square root of the total number of certified technicians. So if you have two AGSC certified technicians, they will audit one; if you have one hundred AGSC certified technicians, they will audit ten. The auditors will also audit all technicians you employ who are not currently AGSC certified.

**To Achieve Compliance:** Each technician selected for audit must be interviewed. All auto glass replacement technicians that are selected for audit, whether in-shop or mobile, must be present with an AGSC-applicable windshield replacement job to complete during their assigned date and time of interview. AGSC-applicable windshield installations are those, which fall within the description of vehicles regulated by FMVSS 212/208, i.e. a passenger automobile weighing 10,000 pounds or less. In addition, the vehicle must be licensed for highway use and not be a restoration, classic or antique mode. In order to maximize interview efficiency, it is best for each technician to work either in-shop or nearby on the given date.

**Notification of Audit:** The process generally allows for a 60-day notice prior to having the third-party audit conducted. A notification letter, as well as a notification email, will be sent by AGSC to the parent company location (name and address of company submitted on the *Application*) and the additional location selected for the audit, if applicable. The letter will notify you as to at which shop location the audit will occur. The letter provides a listing of documents and topics that need to be reviewed and for which responses are required. Most responses can be sent to AGSC or the third-party auditor in advance of the store visit. A copy of the current AGRSS Standard and a copy of the third-party audit document, which will be used to record the outcome of the audit, will be provided for reference.

Communication will be made by the third-party auditor following receipt of the mailed responses in order to confirm all final details, including which technician(s) have been selected for the audit, and to lock in a time and date for the audit.

**Store preparation:** The AGSC Registered Member Company's management must have all technicians selected for audit at the shop location ready for the audit. Management should work with the auditors by following the agreed dates and time. The auditors will be on a tight schedule each week to oversee multiple audits and there will be very little flexibility on their part to adjust dates and times. Your highest attention to this and your cooperation is important and most appreciated.

The records and documents identified by the auditors during your notification phone call, as well as all technicians selected for audit must be on site and ready for audit review or interview at the time and date scheduled by the auditor. The only excusable absence for any technician will be for medical reasons and will require written proof by a physician. Again, this rule must be followed to protect the integrity of our audit model.

**The interview process:** Our third-party auditors are well trained in the process of a glass shop audit. Their intention is to rate each company on an objective and credible basis with an accurate and detailed reporting system of what is observed. The audit process will include the review of the location's administrative process (that it supports compliance with the AGRSS Standard) and one-on-one interviews with the technicians.

The auditor will conduct discussions with each technician selected for audit while observing an installation of a windshield. The technician is expected to follow the guidelines of the AGRSS Standard and the comprehensive written instructions of the manufacturer of the adhesive he/she is using. What is observed will take precedence over what is said during the course of the audit.

**The Management Conference:** At the conclusion of the audit, the completed report will be reviewed with the senior manager at the store location. At that time, the auditor's findings will be classified as one of the following:

- \* *Compliant:* The store administration and technicians selected for audit were found to be in compliance with the AGRSS Standard in all respects. The company will be entitled to all the rights and privileges afforded to validated companies (see below).
- \* *Compliant Pending Correction of Deficiencies:* This designation is provided to companies that will be deemed compliant if they correct one or more instances of non-compliance as found by the auditor and show convincing evidence of such correction during the re-audit (see re-audit below).

An immediate verbal notification of each instance of non-compliance will be provided to each technician who is being audited. It will then be the responsibility of the technician to decide how to proceed with the remainder of the installation.

- \* *Non-Complaint:* Companies that do not permit an audit to be conducted properly or completed in a reasonable time frame will be determined non-compliant. Their AGSC registration and membership will be immediately cancelled and a notice thereof will be placed on the AGSC and [www.safewindshields.org](http://www.safewindshields.org) websites and provided to their adhesive supplier as well. Should this company re-apply to become an AGSC Registered Member Company, it will only be permitted to join under the Fast Track Option (see above).

**The Re-Audit:** If the company was deemed "*compliant pending correction of deficiencies*", the company will have a specified length of time, not less than six weeks, to correct the non-compliances. The auditor will then return to the shop to verify that all non-compliances have been corrected. If so, the company's status will change to "*validated as compliant,*" and the company will be entitled to all the rights and privileges afforded to validated companies (see below).

If the company has not corrected the deficiencies then its status changes to "*determined non-complaint*". Its AGSC registration and membership will be immediately cancelled and a notice

thereof will be placed on the AGSC and [www.safewindshields.org](http://www.safewindshields.org) websites and provided to their adhesive supplier as well. Should this company re-apply to become an AGSC Registered Member Company, it will only be permitted to join under the Fast Track Option (see above).

**Appeals Process:** Any company that receives a non-compliance, at the conclusion of the initial audit or at the conclusion of the re-audit and that believes that the non-compliance is not warranted, may appeal the non-compliance according to the guidelines below.

**Appeal after initial audit:** Any company deemed “*non-compliant*” after the initial audit may, within two weeks of the date of its initial audit, file an appeal with the Audit Review Board. AGSC has established an Audit Review Board (ARB) to review all appeals of written corrective action submittals. The following information should be provided to the ARB:

1. Name of the shop and the date of audit;
2. Items requiring corrective action (i.e. instances of non-compliance); and
3. Reasons for the appeal.

Notice of such appeal must arrive at the AGSC office above no later than two weeks after the date the initial audit was completed. The ARB will respond in writing within four weeks after the date of notification of the company’s audit non-compliance status.

**Appeal after re-audit:** Any company deemed “*non-compliant*” after the re-audit may, within 30 days of the date of its re-audit, file an appeal with the Audit Review Board. AGSC has established an Audit Review Board (ARB) to review all appeals of written corrective action submittals. The following information should be provided to the ARB:

1. Name of the shop and the date of audit;
2. Items requiring corrective action (i.e. instances of non-compliance); and
3. Reasons for the appeal.

Notice of such appeal must arrive at the AGSC office above no later than 30 days after the date the audit was completed. The ARB will respond in writing within 90 days after the date of notification of the company’s audit non-compliance status.

**Optional Marketing Review:** AGSC also provides a checklist designed to help senior management review how the company’s status as an AGSC Registered Member company can help them positively market their company. This review is optional and no information about it is retained by the auditors nor is it a factor in the audit itself. It is designed to provide some helpful hints that other AGSC Registered Member Companies have found beneficial. This review is solely at management’s option.

**Rights and Privileges of an “Audited” Member:** Congratulations. A company that has been audited and determined to be “*compliant*” has achieved significant and valuable status. AGSC will send press releases and notifications to any media you request including local newspapers, radio stations, etc. It will also provide a special designation for your shop and will include your company in the AGSC Membership Directory used by insurers and consumers alike.

**Questions?:** Please first check the frequently asked questions (FAQ) on the AGSC website at [www.agsc.org](http://www.agsc.org). If you have further questions, please contact the program administrator, Kathy Bimber, at [kbimber@agsc.org](mailto:kbimber@agsc.org).

**Thank you:** By becoming an AGSC Registered Member Company, you have shown your commitment to proper auto glass installation and to the safety of your customers. Thank you for working to achieve it.