**Date of Audit:** ________________
**Audit Team:** ___________________

**Criteria:** Click here to enter text.

| Details of NCR's/Observation & Clause no. | | |
|---|---|---|
| **Sl. No.** | **Critical Audit Findings** | **Non-Critical Audit Findings** |
| 1 | _____________ | |
| 2 | ____________ | |
| 3 | ____________ | |
| 4 | ____________ | |
| 5 | ____________ | |
| 6 | ____________ | |

| Functions/Requirements | Auditee | Auditor | Compliance – Y<br>Non-compliance – N<br>Improvement – O | Auditor's Comments/Observations |
|---|---|---|---|---|
| **5. General requirements** | | | | |
| 5.1 Legal and contractual matters<br>5.1.1 Legal responsibility<br>5.1.2 Certification agreement<br>5.1.3 Responsibility for certification decisions<br>5.2 Management of impartiality<br>5.3 Liability and financing | ________ | ________ | Y – ☐<br>N– ☒<br>O– ☐ | _____________ |
| **6. Structural requirements** | | | | |

| | | | | |
|---|---|---|---|---|
| 6.1 Organizational structure and top management<br>6.2 Operational control | ________ | ________ | Y – ☐<br>N– ☒<br>O– ☐ | ____________ |
| **7. Resource requirements** | | | | |
| 7.1 Competence of personnel<br>7.1.1 General considerations<br>7.1.2 Determination of competence criteria for QMS<br>7.1.3 Evaluation processes<br>7.1.4 Other considerations<br>7.2 Personnel involved in the certification activities<br>7.3 Use of individual external auditors and external technical experts<br>7.4 Personnel records<br>7.5 Outsourcing | ________ | ________ | Y – ☐<br>N– ☒<br>O– ☐ | ____________ |
| **8. Information requirements** | | | | |

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|---|---|---|---|---|
| 8.1 Public information<br>8.2 Certification documents<br>8.3 Reference to certification and use of marks<br>8.4 Confidentiality<br>8.5 Information exchange between a certification body and its clients<br>8.5.1 Information on the certification activity and requirements<br>8.5.2 Notice of changes by a certification body<br>8.5.3 Notice of changes by a certified client | | | Y – ☐<br>N– ☒<br>O– ☐ | |
| **9. Process requirements** | | | | |
| 9.1 Pre-certification activities<br>9.1.1 Application<br>9.1.2 Application review<br>9.1.3 Audit programme<br>9.1.4 Determining audit time<br>9.1.5 Multi-site sampling<br>9.1.6 Multiple management systems standards | | | Y – ☐<br>N– ☒<br>O– ☐ | |
| 9.2 Planning audits<br>9.2.1 Determining audit objectives, scope and criteria<br>9.2.2 Audit team selection and assignments | | | Y – ☐<br>N– ☒<br>O– ☐ | |

| | | | | |
|---|---|---|---|---|
| 9.2.3 Audit plan | | | | |
| 9.3 Initial certification<br>9.3.1 Initial certification audit | | | Y – ☐<br>N– ☒<br>O– ☐ | |
| 9.6 Maintaining certification<br>9.6.1 General<br>9.6.2 Surveillance activities<br>9.6.3 Recertification<br>9.6.4 Special audits<br>9.6.5 Suspending, withdrawing or reducing the scope of certification<br>9.7 Appeals<br>9.8 Complaints<br>9.9 Client records | | | Y – ☐<br>N– ☒<br>O– ☐ | |
| **10. Management system requirements for certification bodies** | | | | |
| 10.2.1 General<br>10.2.2 Management system manual<br>10.2.3 Control of documents<br>10.2.4 Control of records<br>10.2.5 Management review<br>10.2.6 Internal audits<br>10.2.7 Corrective actions | | | Y – ☐<br>N– ☒<br>O– ☐ | |

| | |
|---|---|
| Client Files Sampled | |
| Personnel files sampled | |