



AS/NZS ISO 9001 AUDIT REPORT



TABLE OF CONTENTS

1.0. AUDIT GUIDANCE.....	3
2.0. AUDIT SCOPE AND METHOD.....	3
3.0. AUDIT RATINGS.....	4
4.0. CONTEXT OF THE ORGANIZATION	8
5.0. LEADERSHIP	10
6.0. PLANNING FOR THE QUALITY MANAGEMENT SYSTEM.....	14
7.0. SUPPORT.....	17
8.0. OPERATION.....	25
9.0. PERFORMANCE EVALUATION	40
10.0. IMPROVEMENT	46

1.0. Audit Guidance

This audit report checklist template encompasses the requirements of AS/NZS ISO 9001 Quality Management Systems – Requirements, section 4.0 to section 10.0.

To assist with the auditing process each of the required AS/NZS ISO 9001 criteria is phrased as a question. It is highly recommended the auditor have a copy of the ISO 9001 - Quality Management Systems Standard on hand to assist with the audit process.

To ensure a sufficient response to the audit criteria, it is recommended that the audit criteria be put out as a "Audit Question Response" section and then formulated into a detailed audit criteria response when the evidence available.

2.0. Audit Scope and Method

The audit's intention is to provide assurance to senior management that risks to the organization's objectives are being adequately managed and controlled. The audit findings shall include any recommendations for corrective actions to the AS/NZS ISO 9001 system or cesses to be communicated to the relevant parties.

The audit rating system is graded from 'conformance' to 'non-conformance' and to carry a concise and clear method for scoring each audit criteria. There is also a process for the identification of 'opportunities for improvement' that contribute well to the continual improvement process of the AS/NZS ISO 9001 Quality Management System.

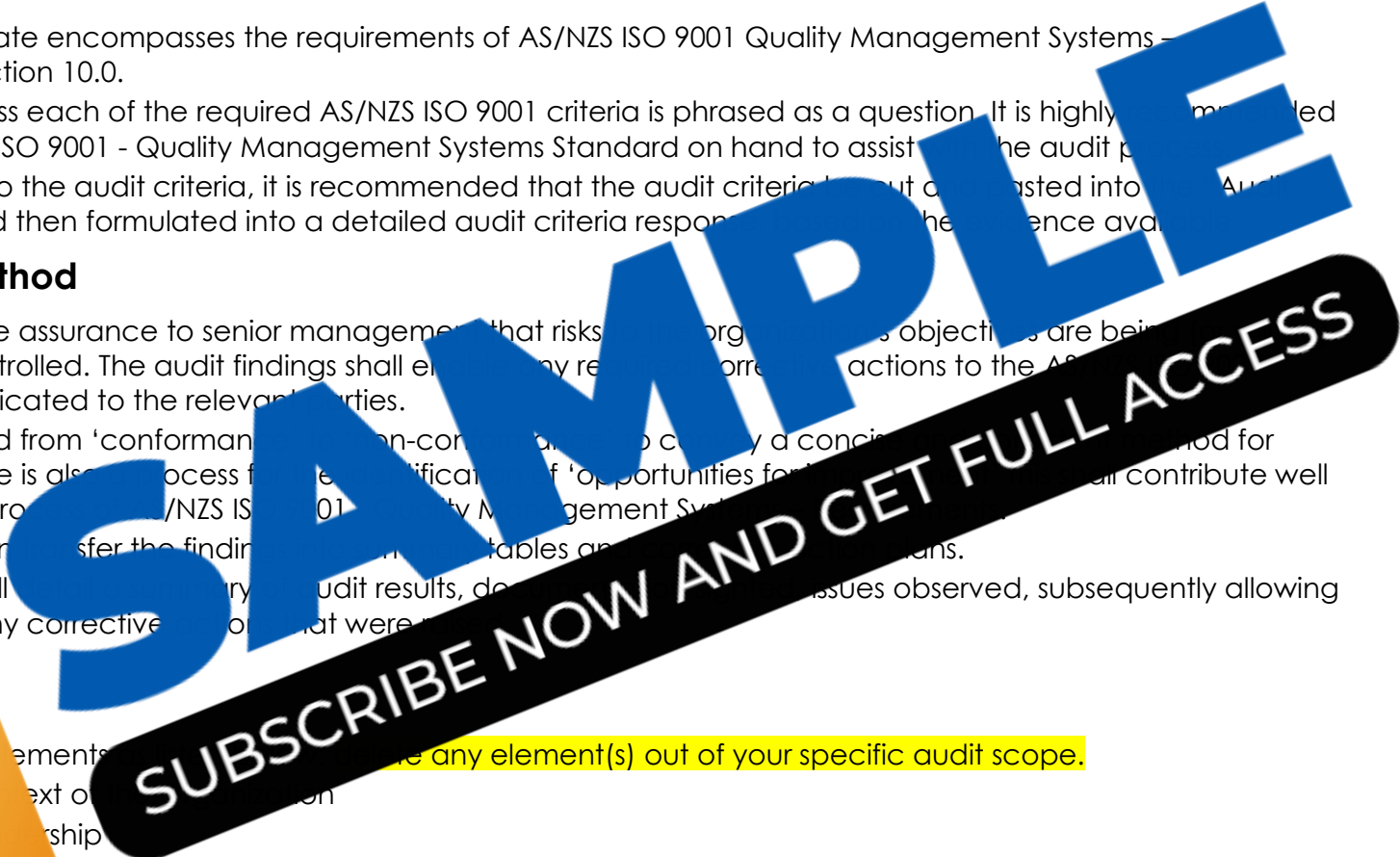
At the end of the audit, you can transfer the findings into tables and reports.

The completed audit report shall include all audit results, details of issues observed, subsequently allowing the monitoring and review of any corrective actions that were taken.

Audit Criteria

This audit checklist template covers the following elements, with the exception of any element(s) out of your specific audit scope.

- AS/NZS ISO 9001:2015 Section 4.1.1. General
- AS/NZS ISO 9001:2015 Section 4.1.2. Customer Relationship
- AS/NZS ISO 9001:2015 Section 4.2.1. Quality Management System
- AS/NZS ISO 9001:2015 Section 4.2.2. Quality Management System Processes
- AS/NZS ISO 9001:2015 Section 4.2.3. Quality Management System Operation
- AS/NZS ISO 9001:2015 Section 9. Performance Evaluation
- AS/NZS ISO 9001:2015 Section 10. Improvement



3.0. Audit Ratings

Finding	Definition/Impact	Action/Mitigation
Conformance:	Indicates that the criterion has been met.	Nil action required. Continue to monitor trends and indicators.
Non-Conformance:	Indicates that the criterion has not been met.	Investigate root cause(s) and implement corrective actions by the next reporting period or the next scheduled audit.
Not able to be verified:	Indicates that procedures are in place but, there have been no cases to test those procedures. It is expected that this classification will only be used in limited circumstances and where applied, the reasons for the finding will be explained by the auditor.	
Not applicable:	Indicates that the criterion does not apply.	
Opportunity for improvement:	Conformance has been achieved however, there is a low risk issue that offers an opportunity to improve the current process(es). Unresolved non-conformances may develop into non-conformance.	Review and improve the process(es). Monitor non-conformances to determine if they are relieved.
Other:	Can relate to a non-conformance or finding.	

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List of Personnel Reviewed

Name	Position



Summary of Findings

Outcome	Number of Criteria
Conformances	
Non-conformances	
Not able to be verified	
Not applicable	
Opportunity for improvement	
Other	

Non-Conformances

Several non-conformances were identified during the audit. They are:

Criteria	Non-conformance

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Not Able to be Verified

Several criteria were unable to be verified during the audit. They are:

Criterion	Not Able to be Verified

Not Applicable

Several criteria were Not applicable during the audit. They are:

Criterion	Not Applicable



Opportunities for Improvement

A few observations were identified during the audit. They are:

Criterion	Observation

Corrective Actions

Several corrective actions have been raised as a result of the audit findings.

Criterion	Corrective Actions



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4.0. Context of the Organization

4.1. Understanding the organization and its context

- 4.1. How has the organization determined the external and internal issues relevant to its purpose and its strategic direction?
- 4.1. How has the organization determined the external and internal issues that affect its ability to achieve the intended results of its QMS?
- 4.1. How does the organization monitor and review information about these external and internal issues?

Findings:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other
Document Evidence:		
Audit Question Response:		
Opportunity for Improvement:		
Corrective Action Required:		

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4.2. Understanding the nature and extent of risks and opportunities

- 4.2. How does the organization determine the risks and opportunities relevant to the QMS?
- 4.2. How does the organization monitor and review information about these interested parties and their relevant requirements?

Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other

Document Evidence:	
Audit Question Response:	
Opportunity for improvement:	
Corrective Action Required:	

4.3. Determining the scope of the quality management system

4.3.	How does the organization determine the boundaries and applicability of its QMS to its products and services?
4.3.	When determining this scope, has the organization considered the:
4.3.	a) external and internal issues referred to in 4.1.2
4.3.	b) the requirements of relevant interested parties referred to in 4.1.1
4.3.	c) products and services of the organization
4.3.	How has the organization applied the requirements of this International Standard to determine the scope within the determined scope of its QMS?
4.3.	How does the organization establish, control and maintain the scope of its QMS?
4.3.	How does the scope state the types of products and services? Provide justification for any requirement of this International Standard that the organization does not cover in the scope of its QMS?

Findings:	<input type="checkbox"/> Conform	<input type="checkbox"/> Not applicable
	<input type="checkbox"/> Minor nonconformity	<input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Major nonconformity	<input type="checkbox"/> Other

Document Evidence:	
Audit Question Response:	
Opportunity for improvement:	
Corrective Action Required:	

4.4. Quality management system and its processes

4.4.1.	How has the organization established, implemented, maintained and continually improved the QMS, including the processes needed and their interactions in accordance with the requirements of the International Standard?
4.4.1.	<p>How have the processes been determined for the QMS; and</p> <p>a) what are the inputs required and the outputs expected from those processes?</p> <p>b) what is the sequence and interaction of the processes?</p> <p>c) what are the criteria, methods, measurement and related performance indicators needed to operate and control these processes?</p> <p>d) has the organization determined the resources needed for the processes to ensure availability?</p> <p>e) has the organization assigned responsibilities and authorities for the processes?</p> <p>f) how has the organization addressed the risks and opportunities of determining conformance with the requirements?</p> <p>g) what methods are used to evaluate processes and, where needed, what changes are made to achieve the intended results?</p> <p>h) how does the organization improve the processes and ensure compliance with requirements?</p>
4.4.2.	<p>To the extent necessary, does the organization:</p> <p>a) maintain documented information to support the operation of its processes?</p> <p>b) retain documented information to have confidence that the processes are carried out as planned?</p>
Finding	<input type="checkbox"/> Not applicable
Finding	<input type="checkbox"/> Not applicable
Finding	<input type="checkbox"/> Not applicable
Finding	<input type="checkbox"/> Not applicable
Finding	<input type="checkbox"/> Not applicable
Finding	<input type="checkbox"/> Not applicable
Finding	<input type="checkbox"/> Not applicable

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5.0. Leadership and commitment
5.1. Leadership and commitment
5.1.1. Leadership and commitment for the quality management system

5.1.1.	<p>How does top management demonstrate leadership and commitment to the QMS by:</p> <ul style="list-style-type: none"> a) taking accountability of the effectiveness of the QMS? b) ensuring the quality policy and objectives established for the QMS are compatible with the strategic direction and the organizational context? c) ensuring the requirements of the QMS are integrated into the business processes? d) promoting the use of the process approach and risk-based thinking? e) ensuring that resources needed for the QMS are available? f) communicating the importance of effective quality management and the importance of complying to the QMS requirements? g) ensuring that the QMS achieves its intended results? h) engaging, directing and supporting people to contribute to the effectiveness of the QMS? i) promoting continual improvement? j) supporting other relevant management roles to demonstrate leadership in the QMS?
Finding	<input type="checkbox"/> Conformance <input type="checkbox"/> Non-conformance <input type="checkbox"/> Opportunity for improvement <input type="checkbox"/> Other
Document Evidence:	
Audit Question P	
Opportu	
Corre	
5.1.2. Cu	
5.1.2.	<p>How does top management demonstrate leadership and commitment to customer focus by ensuring that:</p> <ul style="list-style-type: none"> a) customer requirements and applicable statutory and regulatory requirements are determined, understood and consistently met? b) the risks and opportunities that can affect the conformity of products and services and enhance customer satisfaction are determined and addressed?

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	c) the focus on enhancing customer satisfaction maintained?		
Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable	
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified	
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other	
Document Evidence:			
Audit Question Response:			
Opportunity for improvement:			
Corrective Action Required:			

5.2. Policy

5.2.1. Establishing the quality policy

5.2.1.	How does top management ensure, review and improve a quality policy that is determined to be appropriate to the organization's context of the strategic direction?		
	b) Provides a framework for realizing quality objectives		
	c) includes a commitment to satisfy applicable requirements		
	d) includes a commitment to continual improvement		

Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable	
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified	
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other	

Document Evidence:

Audit Question Response:

Opportunity for improvement:

Corrective Action Required:

5.2.2. Communicating the quality policy



5.2.2.	Is the quality policy: a) available as documented information? b) communicated, understood and applied within the organization. c) available to relevant interested parties?	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable
Finding:		<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified
		<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other
Document Evidence:			
Audit Question Response:			
Opportunity for improvement:			
Corrective Action Required:			

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5.3. Organizational Roles, Responsibilities and Authorities			
5.3.	How does top management ensure that roles, responsibilities and authorities are assigned, communicated and understood within the organization?		
5.3.	How does top management ensure that: - roles, responsibilities and authorities are assigned, communicated and understood? - resources are provided? - competence is maintained? - opportunities for improvement and the need for change or innovation, how to be identified? - the integrity of the QMS is maintained when changes to the QMS are planned and implemented?	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable
Finding:		<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified
		<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other
Document Evidence:			

Audit Question Response:	
Opportunity for improvement:	
Corrective Action Required:	

6.0. Planning for the quality management system

6.1. Actions to address risks and opportunities

6.1.1.	<p>When planning for the QMS has the organization considered the issues identified in 4.1 and the risks referred to in 4.1 to determine the risks and opportunities to be addressed, so that the QMS:</p> <ul style="list-style-type: none"> a) achieve its intended results? b) prevent or reduce undesired effects? c) achieve continual improvement?
---------------	--

Finding:	<input type="checkbox"/> Conformant <input type="checkbox"/> Non-conformant <input type="checkbox"/> Opportunity for improvement
	<input type="checkbox"/> To be verified <input type="checkbox"/> To be implemented

Document Evidence:

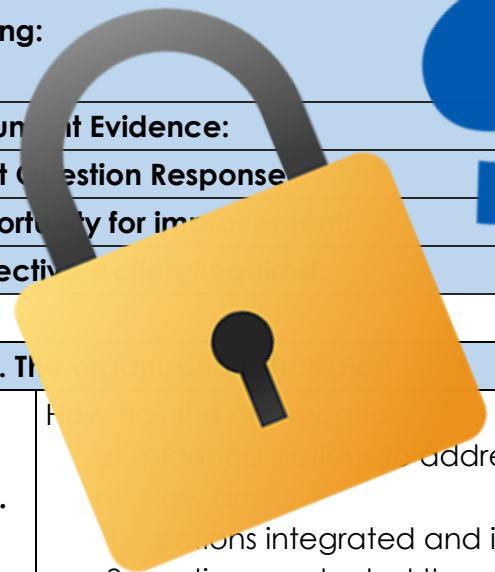
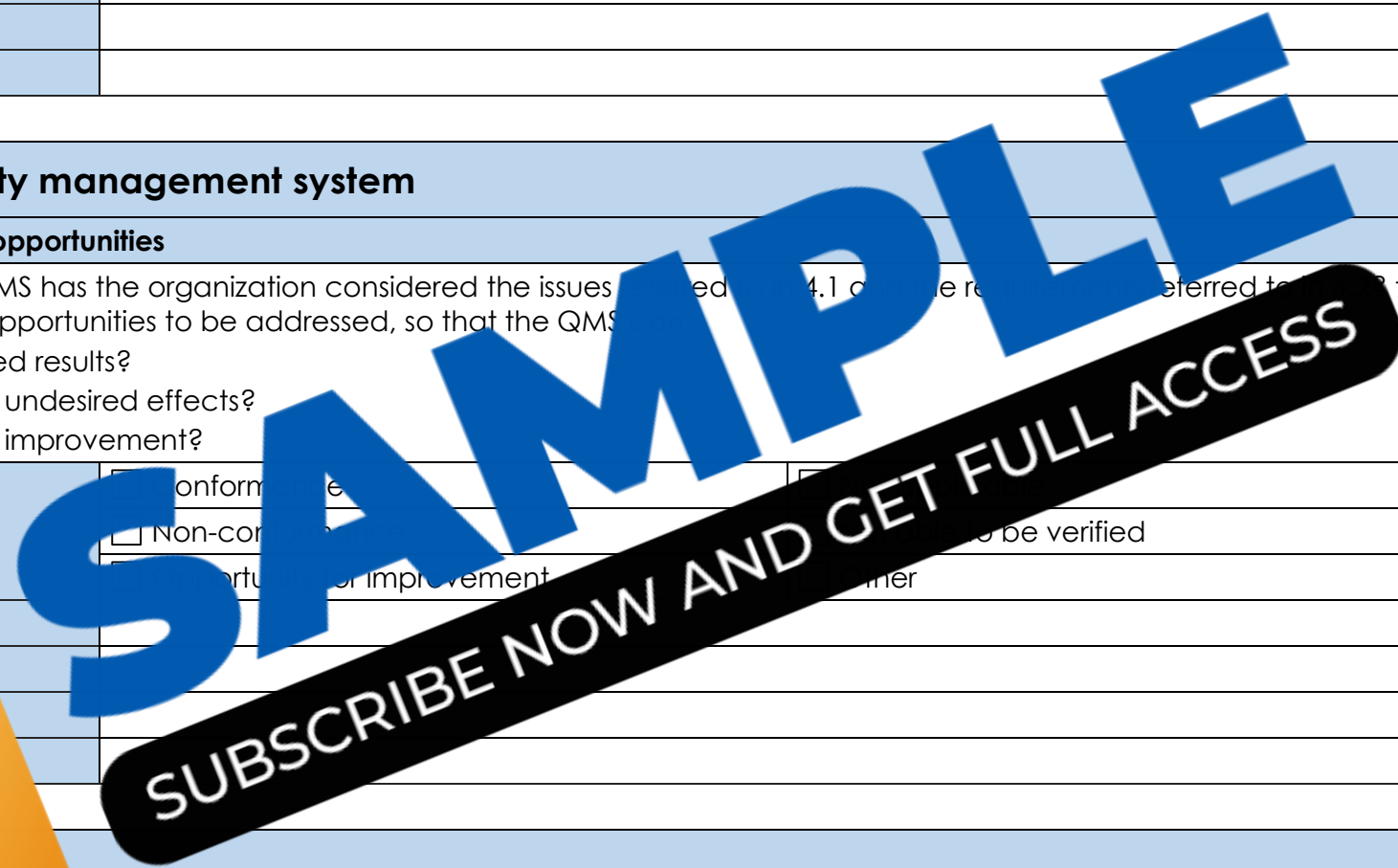
Audit Question Response:

Opportunity for improvement:

Corrective Action Required:

6.1.2. The effectiveness of the actions to address risks and opportunities

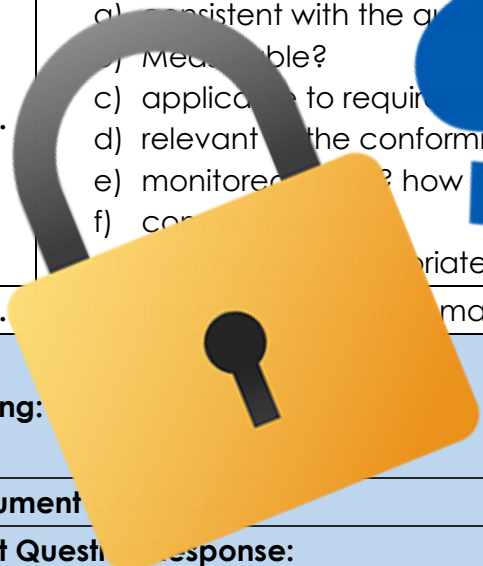
6.1.2.	<p>Have the actions to address risks and opportunities:</p> <ul style="list-style-type: none"> 1. been integrated and implemented into the QMS processes? 2. actions evaluated the effectiveness of the actions?
---------------	--



6.1.2.	How are actions taken to address risks and opportunities determined as being appropriate to the potential impact on the conformity of products and services?	
Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other
Document Evidence:		
Audit Question Response:		
Opportunity for improvement:		
Corrective Action Required:		

6.2. Quality objectives and planning to achieve them

6.2.1.	What are the quality objectives and are these relevant for the processes that determine the conformity of products and services??	
6.2.1.	Are the quality objectives: a) consistent with the organization's strategy? b) measurable? c) applicable to requirements? d) relevant to the conformity of products and services and customer satisfaction? e) monitored and controlled? f) communicated and understood? g) appropriate?	
6.2.1.	What are the main quality objectives?	
Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other
Document Evidence:		
Audit Question Response:		



Opportunity for improvement:	
Corrective Action Required:	

6.2.2.

6.2.2. Regarding the planning to achieve the quality objectives, how does the organization determine:
 a) what will be done?
 b) what resources are needed?
 c) who is responsible?
 d) when it will be completed?
 e) how will results be evaluated?

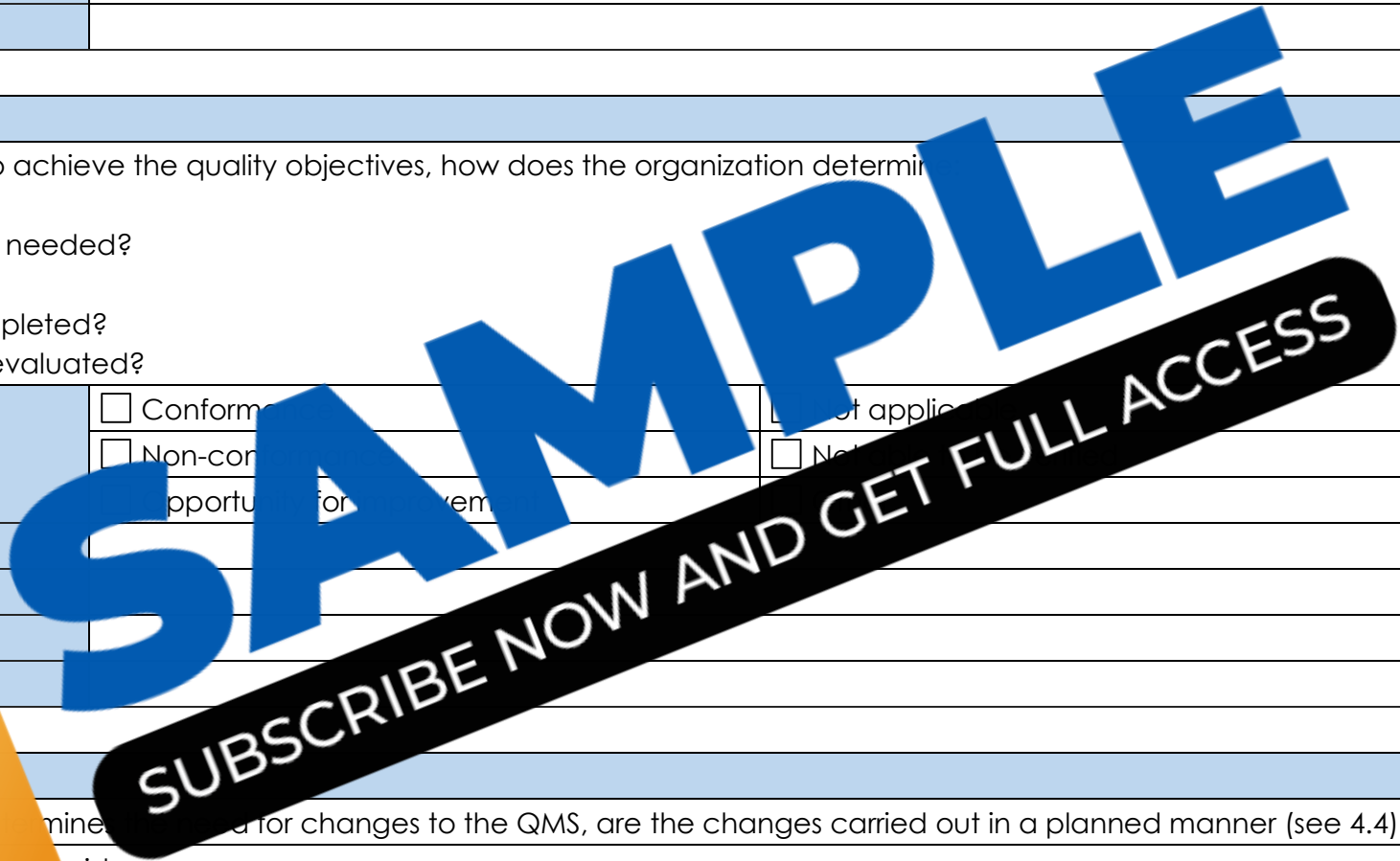
Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not applicable
	<input type="checkbox"/> Opportunity for improvement	

Document Reference:

Audit Question Response:

Opportunity for improvement:

Corrective Action Required:



6.3. Planning

6.3.1. To determine if changes to the QMS, are the changes carried out in a planned manner (see 4.4).

6.3.2. Consider:
 a) the potential consequences?
 b) the QMS?
 c) the availability of resources?
 d) the allocation or reallocation of responsibilities and authorities?

Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable
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	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other
Document Evidence:		
Audit Question Response:		
Opportunity for improvement:		
Corrective Action Required:		

7.0. Support

7.1. Resources

7.1.1. General

7.1.1 Has the organization determined and provided the resources needed for the implementation, maintenance and improvement of the QMS?

7.1.1 Has the organization considered:

- the capabilities of, and constraints on, existing infrastructure
- what new infrastructure may be needed to meet external requirements

Findings Conformance Not applicable

Non-conformance Not able to be verified

Opportunity for improvement Other

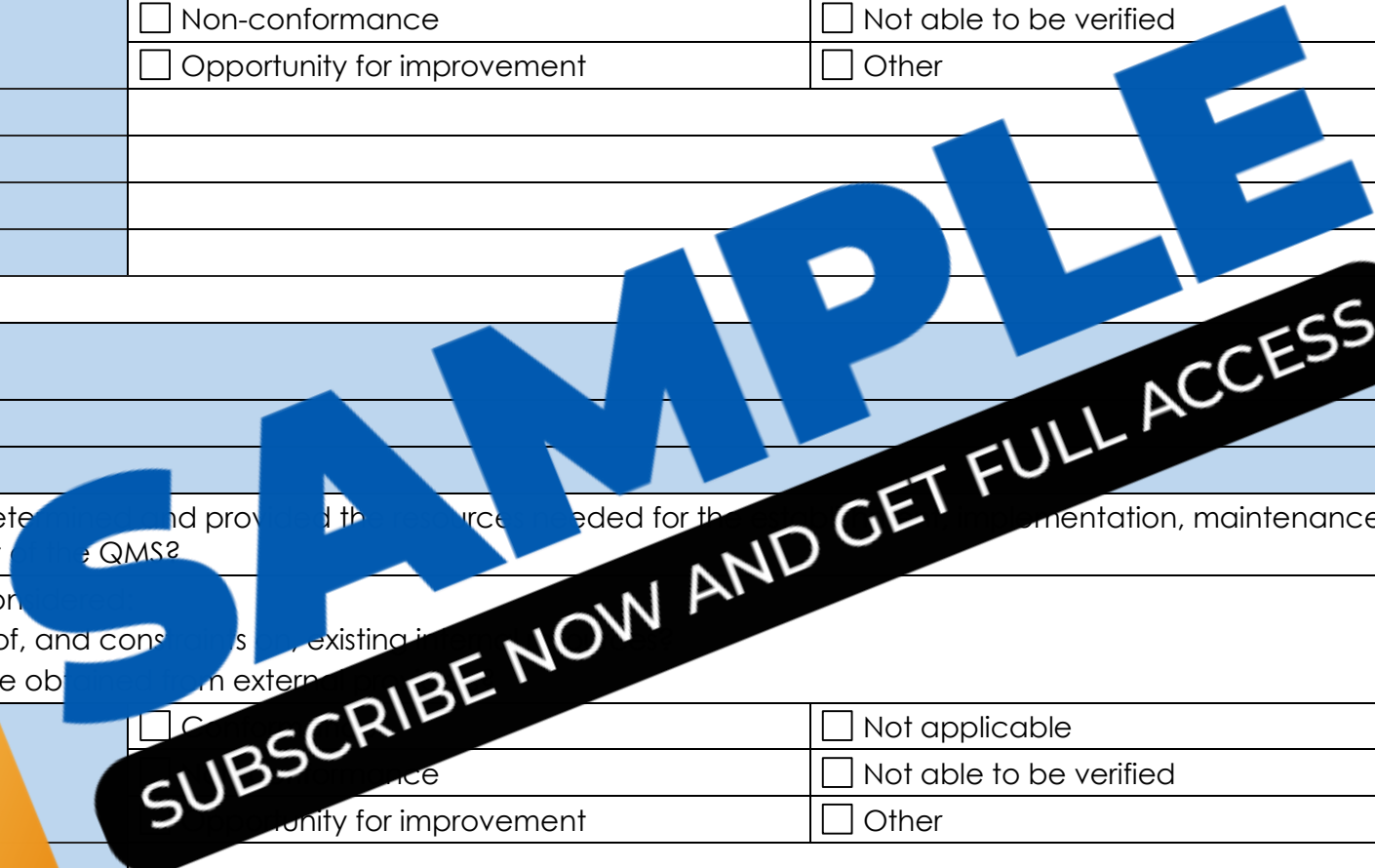
Document Evidence:

Audit Question Response:

Opportunity for improvement:

Corrective Action Required:

7.1.2. People



7.1.2.	How does the organization provide the persons necessary to consistently meet customer, applicable statutory and regulatory requirements for the QMS, including the operation of the necessary processes?		
Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable	
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified	
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other	
Document Evidence:			
Audit Question Response:			
Opportunity for improvement:			
Corrective Action Required:			

7.1.3. Infrastructure			
7.1.3.	Does the organization determine, provide and maintain the infrastructure necessary for the operation of its processes and to achieve conformity of products and services?		
Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable	
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified	
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other	
Document Evidence:			
Audit Question Response:			
Opportunity for improvement:			
Corrective Action Required:			

7.1.4. Environment for the Operation of Processes			
7.1.4.	Does the organization determine, provide and maintain the environment necessary for the operation of its processes and to achieve conformity of products and services?		
Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable	

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	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other
Document Evidence:		
Audit Question Response:		
Opportunity for improvement:		
Corrective Action Required:		

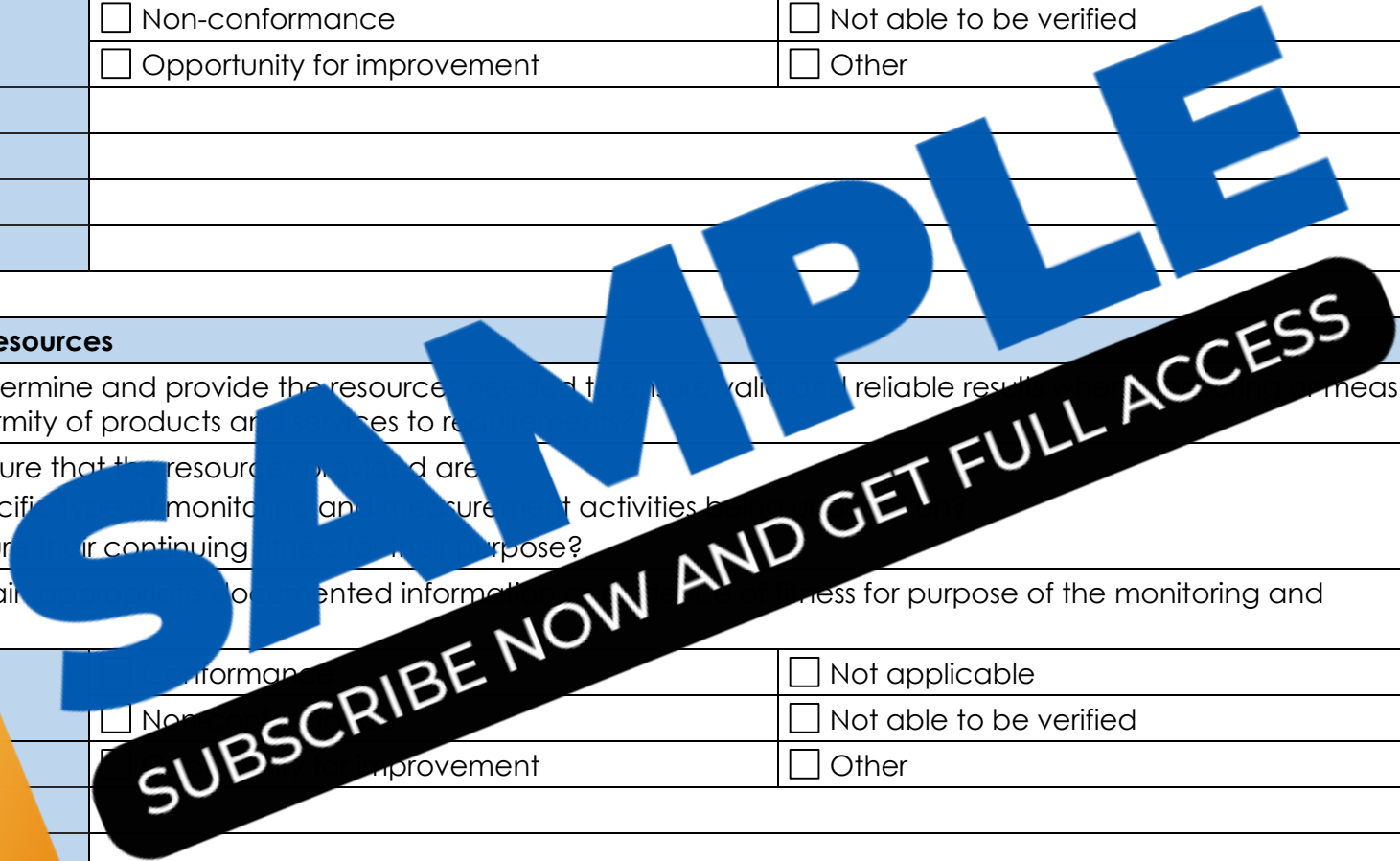
7.1.5. Monitoring and measuring resources

7.1.5.1	Does the organization determine and provide the resources needed to ensure valid and reliable results? Is the measuring equipment used to verify the conformity of products and processes to requirements calibrated and maintained?
7.1.5.1	Does the organization ensure that the resources used are: a) suitable for the specific monitoring and measuring activities? b) maintained to ensure their continuing fitness for purpose?
7.1.5.1	Does the organization retain documented information of the fitness for purpose of the monitoring and measuring resources?

Finding	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not applicable
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Not able to be verified
		<input type="checkbox"/> Other

Document Evidence:		
Audit Question Response:		
Opportunity for improvement:		
Corrective Action Required:		

7.1.5.2. Measurement traceability



7.1.5.2	<p>When measurement traceability is a requirement or is considered by the organization to be an essential part of providing confidence in the validity of measurement results, is measuring equipment:</p> <p>a) calibrated or verified, or both, at specified intervals, or before use, against measurement standards traceable to international or national measurement standards; when no such standards exist, is the basis used for calibration or verification retained as documented information?</p> <p>b) identified to determine their status?</p> <p>c) safeguarded from adjustments, damage or deterioration that would invalidate the calibration status and the subsequent measurement results?</p>
7.1.5.2	<p>When previous measurement results have been adversely affected by use of measuring equipment that may be unfit for its intended purpose, does the organization take appropriate action, as necessary?</p>
Finding:	<input type="checkbox"/> Conformance <input type="checkbox"/> Non-conformance <input type="checkbox"/> Opportunity for improvement
Document Evidence:	<input type="checkbox"/> Not applicable <input type="checkbox"/> Not able to be verified <input type="checkbox"/> Other
Audit Question Response:	
Opportunity for improvement:	
Corrective Action Required:	
7.1.6. Organization's knowledge	
7.1.6	<p>How do you determine the necessary knowledge for the operation of processes and determine the necessary knowledge for the operation of processes and determine the necessary knowledge for the operation of processes?</p>
7.1.6	<p>How do you maintain this knowledge and how do you make it available to the extent that is necessary?</p>
7.1.6	<p>How do you consider current knowledge and how do you acquire additional knowledge when addressing changing requirements?</p>
Finding:	<input type="checkbox"/> Conformance <input type="checkbox"/> Non-conformance <input type="checkbox"/> Opportunity for improvement
<input type="checkbox"/> Not applicable <input type="checkbox"/> Not able to be verified <input type="checkbox"/> Other	

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Document Evidence:	
Audit Question Response:	
Opportunity for improvement:	
Corrective Action Required:	

7.2. Competence

7.2.	<p>How does the organization:</p> <ul style="list-style-type: none"> a) determine the necessary competence of people doing the work affecting the quality of the product or service? b) determine competence on the basis of appropriate education, training or experience? c) takes action to acquire necessary competence and ensure that the competence is effective? d) retain appropriate documented information of competence?
-------------	--

Finding:	<input type="checkbox"/> Conformance <input type="checkbox"/> Non-conformance <input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Not applicable <input type="checkbox"/> Not verified
-----------------	--	--

Document Evidence:	
Audit Question Response:	
Opportunity for improvement:	
Corrective Action Required:	

7.3. Awareness

7.3.	<p>How does the organization ensure that its personnel are aware of, and understand, the QMS objectives?</p> <p>How does the organization ensure that its personnel are aware of, and understand, the contribution to the effectiveness of the QMS and the benefits of improved performance?</p> <p>How does the organization ensure that its personnel are aware of, and understand, the implications of not conforming with the QMS requirements?</p>
-------------	---

Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable
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	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other
Document Evidence:		
Audit Question Response:		
Opportunity for improvement:		
Corrective Action Required:		

7.4. Communication

7.4.	How does the organization determine the internal and external communication requirements for the QMS, including: a) what it will communicate? b) when to communicate? c) with whom to communicate to? d) how to communicate? e) who communicates?
------	--

Finding	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not applicable
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Not able to be verified
		<input type="checkbox"/> Other

Document Evidence:		
Audit Question Response:		
Opportunity for improvement:		
Corrective Action Required:		

7.5. Documented Information

7.5.1. General

7.5.1.	What documented information does the organization have:
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	a) as required by this AS/NZS ISO 9001 Standard? b) as being necessary for the effectiveness of the QMS?		
Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable	
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified	
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other	
Document Evidence:			
Audit Question Response:			
Opportunity for improvement:			
Corrective Action Required:			

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7.5.2. Creating and updating

7.5.2.	How does the organization ensure that documented information contains: a) appropriate identification and description? b) an appropriate for use? c) appropriate reviews and updates as applicable?		
Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable	
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified	
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other	
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Audit			
Oppor			
Correcti			

7.5.3. Control of documented information

7.5.3.1	Is documented information (required by the QMS and AS/NZS ISO 9001) controlled to ensure it is: a) available and suitable for use, where and when it is needed? b) adequately protected from loss of confidentiality, improper use, or loss of integrity?	
Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/>
Document Evidence:		
Audit Question Response:		
Opportunity for improvement:		
Corrective Action Required:		

7.5.3.2.	When controlling documented information, an organization shall: a) distribution, access, retrieval, use, and disposition; b) storage, preservation, and protection; c) control of changes; d) retention and disposal.	
7.5.3.2.	When controlling documented information, an organization shall identify and control documented information of external origin which the organization uses for its operation, and shall ensure that necessary for its operation.	
7.5.3.2	When controlling documented information, an organization shall identify and control documented information that is used to identify evidence of conformity from unintended sources.	
Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other
Document Evidence:		
Audit Question Response:		

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Opportunity for improvement:	
Corrective Action Required:	

8.0. Operation

8.1. Operational planning and control

8.1. How does the organization plan, implement and control the processes... 4.4... needed... meet... elements for the... vision of products and services, and to implement the actions determined in Cl... by...

a) determining the requirements for the products and... ?

b) establishing criteria for:

1. the processes?
2. the acceptance of products and services?

c) determining the resources needed to... review... product... ?

d) implementing control... the processes... with the... ?

e) determining, maintaining... documented information... necessary:

1. to have confidence that the processes have been... ?
2. to demonstrate the conformance of products... requirements?

8.1. How does the organization plan... planning process... organization's operations?

8.1. How does the organization control... and review the consequences of unintended changes, taking action to mitigate... ?

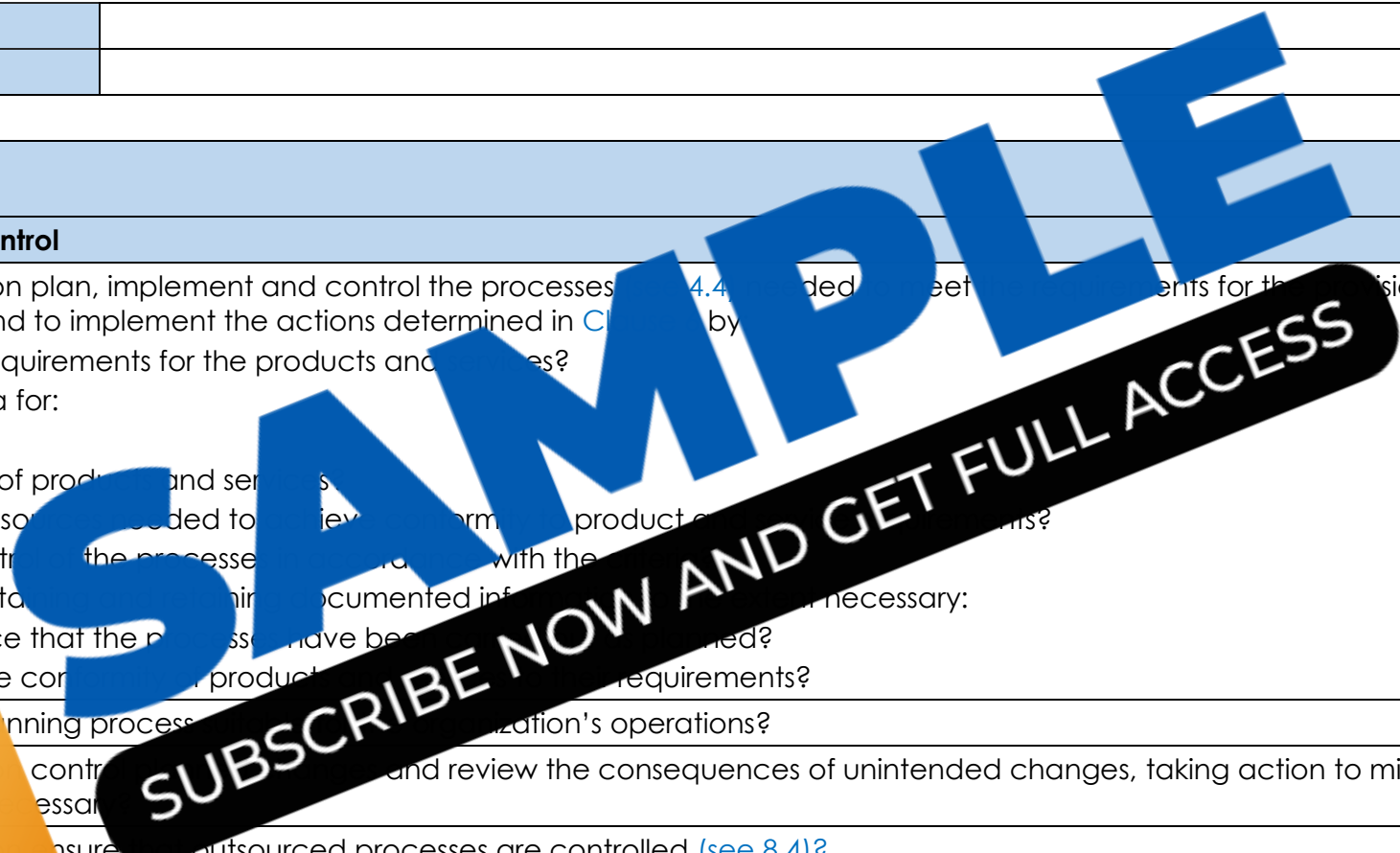
8.1. How does the organization ensure... outsourced processes are controlled (see 8.4)?

Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other

Document Evidence:

Audit Question Response:

Opportunity for improvement:



Corrective Action Required:

8.2. Determination of requirements for products and services

8.2.1. Customer communication

8.2.1. What are the organization's processes for communicating with customers with:
a) products and services?
b) enquiries, contracts and order handling?
c) customer feedback, perceptions and complaints?
d) handling or treatment of customer property?
e) specific requirements for contingency actions?

Finding: Conformance Not applicable
 Non-conformance Not applicable
 Opportunity for improvement

Document Evidence:

Audit Question Response:

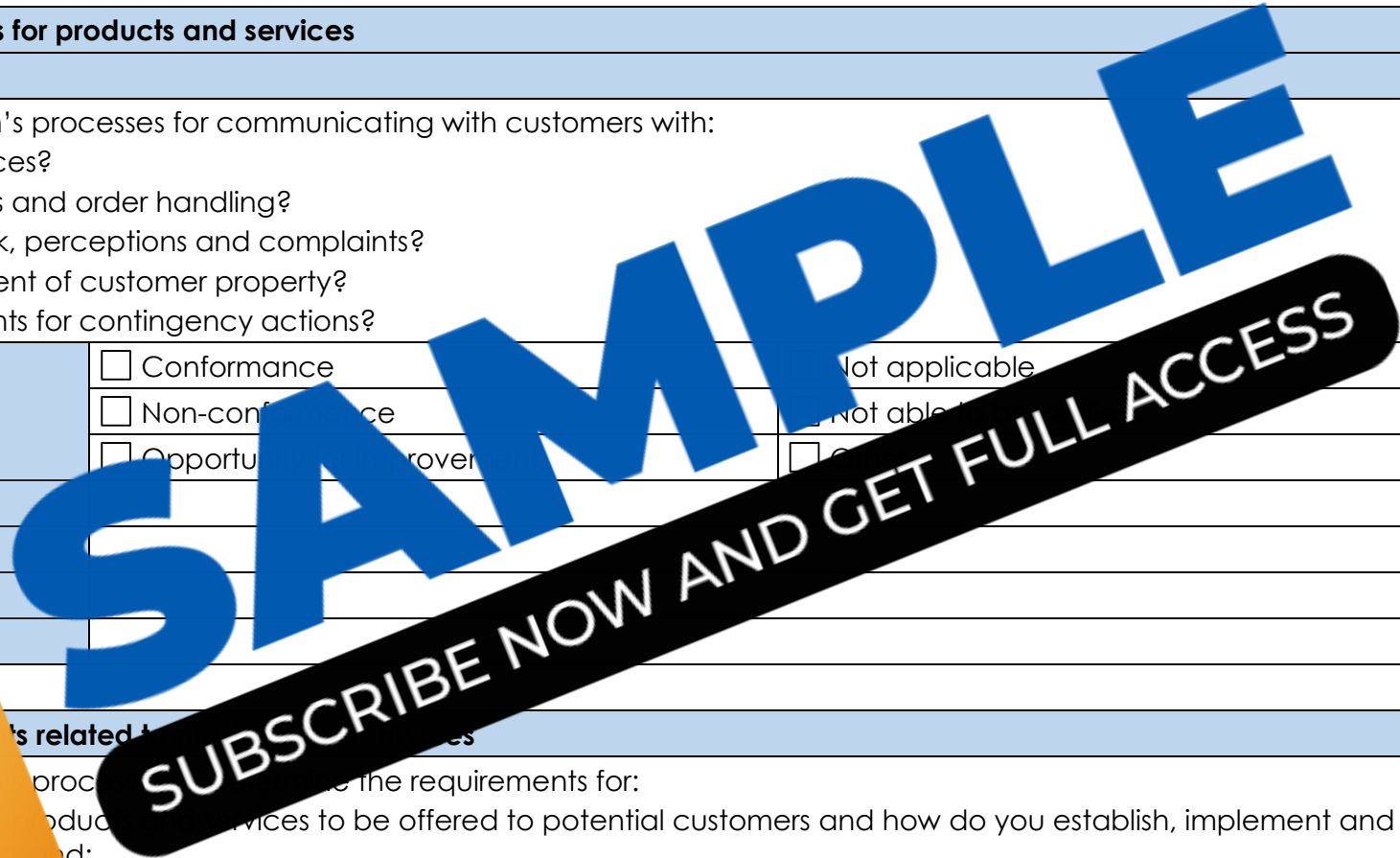
Opportunity for improvement:

Corrective Action Required:

8.2.2. Determination of requirements related to products and services

8.2.2. What processes are in place to determine the requirements for:
a) products and services to be offered to potential customers and how do you establish, implement and maintain these requirements?
b) statutory and regulatory requirements? and;
c) customer requirements considered necessary?
d) any other requirements and any claims the organization offers for its products and services?

Finding: Conformance Not applicable



	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other
Document Evidence:		
Audit Question Response:		
Opportunity for improvement:		
Corrective Action Required:		

8.2.3. Review of requirements related to products and services

8.2.3.1	How does the organization ensure that it has the ability to meet the requirements for products and services to its customers?
8.2.3.1	How does the organization conduct a review of the requirements for products and services, including:
8.2.3.1	a) requirements specified by the customer, including the requirements for delivery and service?
8.2.3.1	b) requirements not stated by the customer but associated with the specified requirements?
8.2.3.1	c) requirements specified by the organization?
8.2.3.1	d) statutory and regulatory requirements applicable to the products and services?
8.2.3.1	e) contractual order requirements different from those specified by the customer?
8.2.3.1	How does the organization ensure that contractual requirements differing from those previously defined are resolved?
8.2.3.1	How are customer requirements confirmed before acceptance, when the customer does not provide a documented agreement on requirements?

Finding:	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not applicable
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Not able to be verified
		<input type="checkbox"/> Other
Document Evidence:		
Audit Question Response:		
Opportunity for improvement:		
Corrective Action Required:		

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8.2.3.2.

8.2.3.2 How does the organization retain documented information, as applicable:
a) on the results of the review?
b) on any new requirements for the products and services?

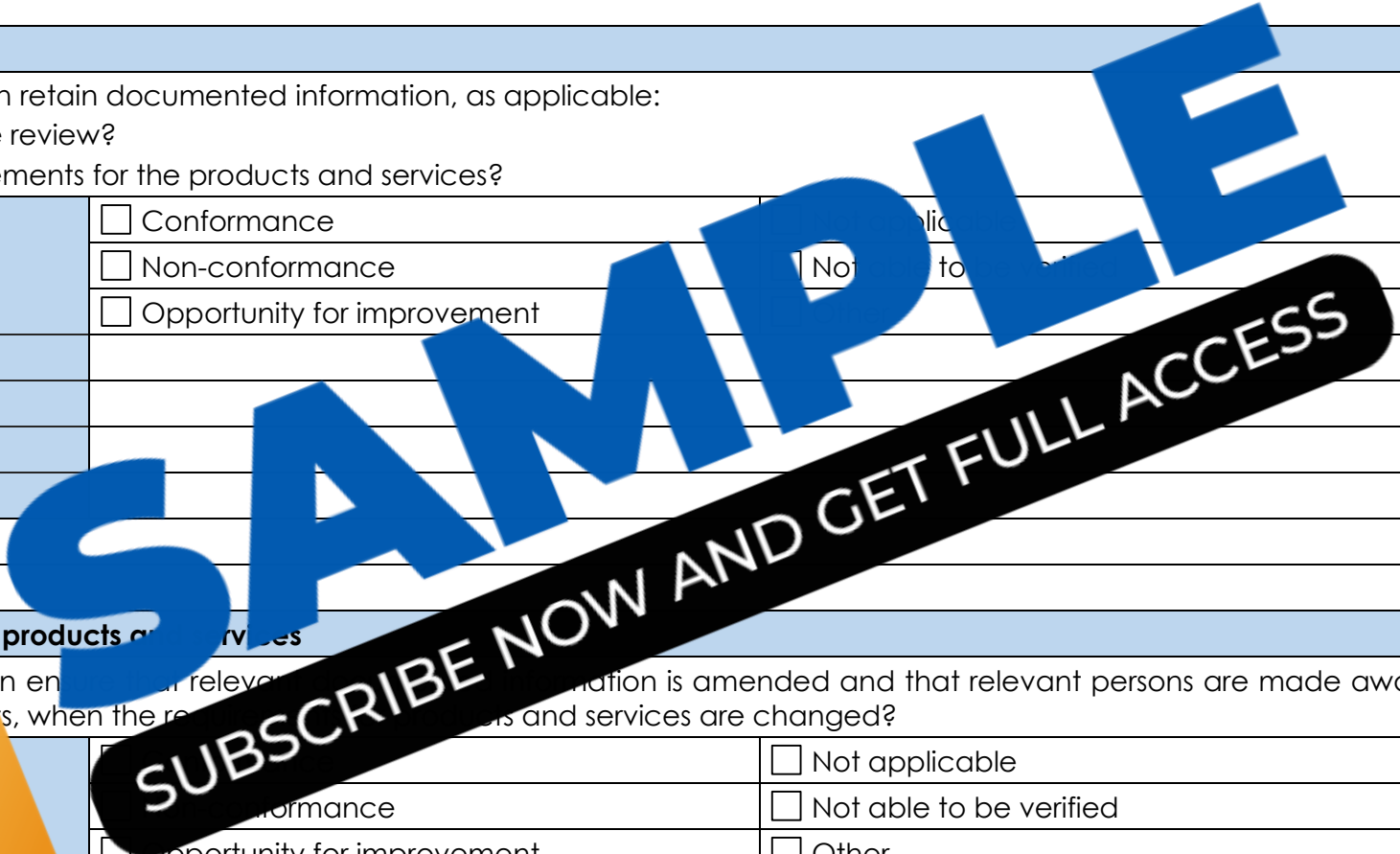
Finding: Conformance Non-conformance Opportunity for improvement

Document Evidence:

Audit Question Response:

Opportunity for improvement:

Corrective Action Required:



8.2.4. Changes to requirements to products and services

8.2.4. How does the organization ensure that relevant documented information is amended and that relevant persons are made aware of the changes to products and services, when the requirements for products and services are changed?

Finding: Conformance Not applicable
 Non-conformance Not able to be verified
 Opportunity for improvement Other

Document Evidence:

Audit Question Response:

Opportunity for improvement:

Corrective Action Required:



8.3. Design and development of products and services

8.3.1. How does the organization establish, implement and maintain a design and development process that is suitable to ensure the subsequent provision of products and services?

Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement	
Document Evidence:		
Audit Question Response:		
Opportunity for improvement:		
Corrective Action Required:		

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8.3.2. Design and development planning

When determining the stages and controls for design and development, does the organization consider:

a) the nature, complexity and interdependency of the design and development?

b) the need for design and development controls that specify particular controls, including applicable reviews?

8.3.2. How does the organization ensure that design and development requirements are controlled, if needed?

How does the organization ensure that the requirements of customer and user groups are controlled, if needed?

How does the organization ensure that design and development requirements for subsequent products and services are controlled, if needed?

How does the organization ensure that the requirements of customer and other interested parties are controlled, if needed?

How does the organization ensure that the documented information that confirms design and development requirements have been met?

Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified



	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other
Document Evidence:		
Audit Question Response:		
Opportunity for improvement:		
Corrective Action Required:		

8.3.3. Design and development inputs

8.3.3.	How does the organization determine the requirements that are essential for the products and services it develops and developed?
8.3.3.	How does the organization consider the design and development inputs of: <ul style="list-style-type: none"> a) functional and performance aspects? b) the statutory and regulatory obligations? c) the standards or codes of practice which the organization has a commitment to follow? d) internal and external customer needs and expectations for the design and development of products and services? e) potential consequences of failure?
8.3.3.	How does the organization determine that design and development inputs are complete and unambiguous for design and development?
8.3.3.	How does the organization resolve conflicting design and development inputs?
8.3.3.	How does the organization document and control design and development inputs?

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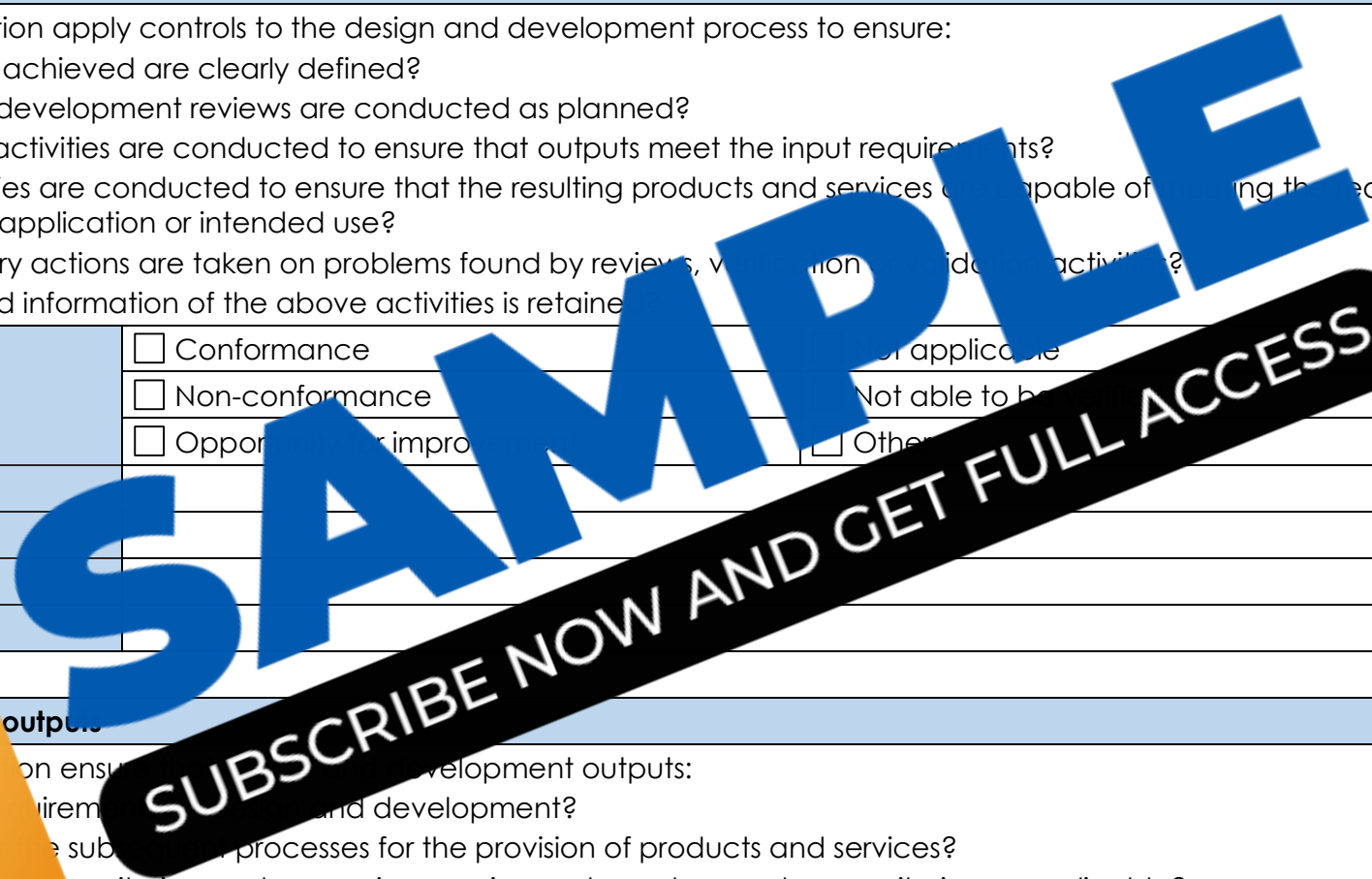
Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other
Document Evidence:		
Audit Question Response:		
Opportunity for improvement:		
Corrective Action Required:		

8.3.4. Design and development controls

8.3.4. How does the organization apply controls to the design and development process to ensure:

- a) that results to be achieved are clearly defined?
- b) that design and development reviews are conducted as planned?
- c) that verification activities are conducted to ensure that outputs meet the input requirements?
- d) validation activities are conducted to ensure that the resulting products and services are capable of meeting the requirements for the specified application or intended use?
- e) that the necessary actions are taken on problems found by reviews, verification and validation activities?
- f) that documented information of the above activities is retained?

Finding:	<input type="checkbox"/> Conformance	Not applicable
	<input type="checkbox"/> Non-conformance	Not able to be verified
	<input type="checkbox"/> Opportunity for improvement	Other
Document Evidence:		
Audit Question Response:		
Opportunity for improvement:		
Corrective Action Required:		



8.3.5. Design and development outputs

8.3.5. How does the organization ensure that design and development outputs:

- a) are in accordance with the requirements for design and development?
- b) are the subject of processes for the provision of products and services?
- c) are monitored and measuring requirements, and acceptance criteria, as applicable?
- d) are produced, or services to be provided, are fit for intended purpose and their safe and proper use?

Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified

	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other
Document Evidence:		
Audit Question Response:		
Opportunity for improvement:		
Corrective Action Required:		

8.3.6. Design and development changes

8.3.6.	How does the organization review, control and identify changes made to the design and development of products and services ensuring no impact on conformity to requirements?
8.3.6.	Does the organization retain documented information on: <ul style="list-style-type: none"> a) design and development changes? b) the results of reviews? c) the authorization of changes? What actions are taken to prevent adverse impacts?
Findings	<input type="checkbox"/> Non-conformance <input type="checkbox"/> Opportunity for improvement <input type="checkbox"/> Not applicable <input type="checkbox"/> Not able to be verified <input type="checkbox"/> Other
Document Evidence:	
Audit Question Response:	
Opportunity for improvement:	
Corrective Action Required:	

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8.4. Control of externally provided products and services

8.4.1. General

8.4.1.	How does the organization ensure externally provided processes, products and services conform to specified requirements?
---------------	--

8.4.1.	How does the organization apply specified requirements for the control of externally provided products and services when: a) products and services are provided by external providers for incorporation into the organization's own products and services? b) the organization provides products and services directly to customers by external providers on the organization's behalf? c) a process or part-process is provided by an external provider as a result of a decision to outsource a process or function?
8.4.1.	How does the organization establish and apply criteria for evaluation, selection, monitoring of performance and re-evaluation of external providers and how do you assess their ability to provide processes or products and services in accordance with specified requirements?
8.4.1.	What documented information has the organization retained on the results of evaluation, monitoring of performance and re-evaluations of external providers?
Finding:	<input type="checkbox"/> Conformance <input type="checkbox"/> Non-conformance <input type="checkbox"/> Opportunity for improvement <input type="checkbox"/> Other
Document Evidence:	
Audit Question/Response:	
Opportunity for improvement:	
Corrective Action Required:	
8.4.2. Type and extent of externally provided processes, products and services	
8.4.2.	How does the organization ensure that externally provided processes, products and services do not adversely affect the organization's ability to consistently deliver products and services to customers?
8.4.2.	<p>How does the organization ensure that externally provided processes remain within the control of the QMS?</p> <p>How does the organization ensure that it intends to apply to an external provider and those that it intends to apply to the resulting products and services?</p> <p>How does the organization assess the potential impact of the externally provided processes, products and services on the organisation ability to consistently meet customer and applicable regulatory requirements?</p>

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	2. the effectiveness of the controls of the external provider? d) determine the verification of all other activities necessary to ensure that externally provided processes, products and services meet requirements?
Finding:	<input type="checkbox"/> Conformance <input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance <input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement <input type="checkbox"/>
Document Evidence:	
Audit Question Response:	
Opportunity for improvement:	
Corrective Action Required:	

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8.4.3. Information for external providers	
8.4.3.	How does the organization determine the adequacy of performance before their use of external providers?
8.4.3.	Does the organization comply with requirements to external providers? a) products and services provided by external processes? b) the approval of: 1. products and services? 2. materials or equipment? c) the selection of personnel? d) the necessary qualification? e) the training of personnel? f) the monitoring of the external provider's performance to be applied by the organization? g) the verification of non activities that the organization, or its customer, intends to perform at the external provider's premises?
Finding:	<input type="checkbox"/> Conformance <input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance <input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement <input type="checkbox"/> Other



Document Evidence:	
Audit Question Response:	
Opportunity for improvement:	
Corrective Action Required:	

8.5. Production and service provision

8.5.1. Control of production and service provision

8.5.1. What has the organization implemented for production and service provision (including post-delivery activities?)

Can the organization provide and demonstrate controlled conditions for production and service provision (including post-delivery activities)?

a) the availability of documented information defining:

1. the characteristics of the products and services to be provided?
2. the results that are to be achieved?

b) the availability, use and suitability of resources (including measurement devices)?

c) the implementation and monitoring of measuring activities and verify criteria for control of processes and process outputs, and determine criteria for production and service provision have been met?

d) the use and control of suitable infrastructure for operational processes?

e) the control and, where applicable, identification of person(s) of persons?

f) the use of periodic re-verification of the ability to achieve planned results of any process for production and service provision, and the results are verified by subsequent monitoring or measurement?

g) the use of appropriate methods for the detection and prevention of human error?

h) the use of relevant information for production and service provision (including post-delivery activities)?

Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other

Document Evidence:

Audit Question Response:



Opportunity for improvement:	
Corrective Action Required:	

8.5.2. Identification and traceability

8.5.2.	What means does the organization use to identify process outputs to ensure conformance with product and service requirements?
8.5.2.	How does the organization identify the status of process outputs, with respect to measuring and monitoring requirements?
8.5.2.	How does the organization control the unique identification of process outputs to ensure traceability and what documented information does the organization retain to enable traceability?

Finding:	<input type="checkbox"/> Conformance <input type="checkbox"/> Not applicable <input type="checkbox"/> Non-conformance <input type="checkbox"/> Not applicable <input type="checkbox"/> Opportunity for improvement <input type="checkbox"/> Not applicable
-----------------	--

Document Evidence:	
Audit Question Response:	
Opportunity for improvement:	
Corrective Action Required:	

8.5.3. Protection of customer or external provider's property

8.5.3.	How does the organization protect and safeguard that property which is provided for use or incorporation into the organization's products or services?
8.5.3.	How does the organization identify, verify, protect and safeguard the property which is provided for use or incorporation into the organization's products or services?
8.5.3.	What means does the organization use to report to the customer or external provider if their property is incorrectly used, lost, damaged or found to be unsuitable for use?

Finding:	<input type="checkbox"/> Conformance <input type="checkbox"/> Not applicable
-----------------	--



	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other
Document Evidence:		
Audit Question Response:		
Opportunity for improvement:		
Corrective Action		

8.5.4. Preservation

8.5.4. How does the organization ensure the preservation of processes, products and services to conform to product requirements?

Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Other
	<input type="checkbox"/> Opportunity for improvement	

Document Evidence:		
Audit Question Response:		
Opportunity for improvement:		
Corrective Action		

8.5.5. Post-delivery activities

8.5.5. How does the organization ensure requirements for post-delivery activities associated with products and services?

8.5.5.	When determining the nature of post-delivery activities does the organization consider:
	a) regulatory requirements?
	b) potential undesired consequences associated with the products and services?
	c) the nature, use and intended lifetime of the products and services?



	d) customer requirements? e) customer feedback?		
Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable	
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified	
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other	
Document Evidence:			
Audit Question Response:			
Opportunity for improvement:			
Corrective Action Required:			

8.5.6. Control of changes

8.5.6. How does the organization review and control changes for products or service provision necessary to ensure continuing conformity with requirements?

8.5.6. How does the organization maintain documents describing the review of changes, the person(s) authorizing the change, and any necessary actions arising from the review?

Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable	
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified	
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other	

Document Evidence:

Audit Question Response:

Opportunity for improvement:

Corrective Action Required:

8.6. Release of products and services

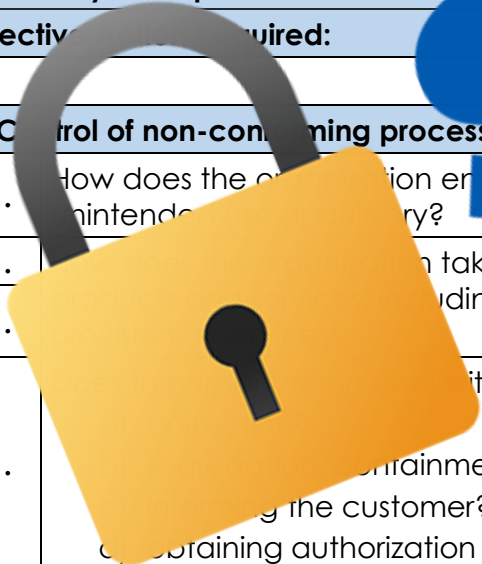
8.6. Does the organization implement planned arrangements, at appropriate stages, to verify that the product and service requirements have been met?



8.6.	Does the organization ensure that the release of products and services to the customer does not proceed until the planned arrangements have been satisfactorily completed, unless otherwise approved by a relevant authority and, as applicable, by the customer?
8.6.	Does the organization retain documented information on the release of products and services including: a) evidence of conformity with the acceptance criteria? b) traceability to the person(s) authorizing the release?
Finding:	<input type="checkbox"/> Conformance <input type="checkbox"/> Non-conformance <input type="checkbox"/> Opportunity for improvement <input type="checkbox"/> Not applicable
Document Evidence:	
Audit Question Response:	
Opportunity for improvement:	
Corrective action required:	
8.7. Control of nonconforming process outputs	
8.7.1.	How does the organization ensure that nonconforming outputs that their requirements are identified and controlled to prevent their intended use or delivery?
8.7.1.	What actions are taken based on the nature of the nonconformity and its effect on the conformity of products and services detected after delivery of products, during or after the delivery?
8.7.1.	How does the organization ensure that nonconforming outputs in one or more ways, inclusive of: a) containment, return or suspension of the provision of products and services? b) communication to the customer? c) obtaining authorization for acceptance under concession.
8.7.1.	Is conformity to the requirements verified when nonconforming outputs are corrected?
Finding:	<input type="checkbox"/> Conformance <input type="checkbox"/> Not applicable

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	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other
Document Evidence:		
Audit Question Response:		
Opportunity for improvement:		
Corrective Action Required:		

8.7.2.		
8.7.2.	How does the organization retain documented information?	
8.7.2.	a) describes the nonconformity?	
8.7.2.	b) describes the actions taken?	
8.7.2.	c) describes any concessions obtained?	
8.7.2.	d) identifies the authority of the action in respect of nonconformity?	
Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other
Document Evidence:		
Audit Question Response:		
Opportunity for improvement:		
Corrective Action Required:		

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9.0. Performance Evaluation
9.1. Monitoring, Measurement, Analysis and Evaluation
9.1.1 General Requirements

9.1.1.	Does the organization determine: a) what needs to be monitored and measured? b) The methods for monitoring, measurement, analysis and evaluation to ensure valid results? c) when to perform monitoring and measuring? d) when results shall be analyzed and evaluated?
9.1.1.	Does the organization evaluate quality performance and the effectiveness of the quality management system?
9.1.1	Does the organization retain documented information as evidence on the extent of performance and any nonconformities that have been implemented?
Finding:	<input type="checkbox"/> Conformance <input type="checkbox"/> Non-conformance <input type="checkbox"/> Opportunity for improvement
Document Evidence:	
Audit Question Response:	
Opportunity for Improvement:	
Corrective Action Required:	
9.1.2.	Customer satisfaction
9.1.2.	Does the organization monitor customer satisfaction, the degree to which requirements have been fulfilled and have the methods and review procedures been determined?
Finding:	<input type="checkbox"/> Conformance <input type="checkbox"/> Non-conformance <input type="checkbox"/> Opportunity for improvement
Document Evidence:	<input type="checkbox"/> Not applicable <input type="checkbox"/> Not able to be verified <input type="checkbox"/> Other
Audit Question Response:	
Opportunity for Improvement:	
Corrective Action Required:	

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9.1.3. Analysis and evaluation

9.1.3. Does the organization analyze and evaluate data and information arising from monitoring, measurement and resources?

9.1.3. Are the results of the analysis used to evaluate:

- a) conformity of products and services to requirements?
- b) the degree of customer satisfaction?
- c) the performance and effectiveness of the QMS?
- d) if planning has been successfully implemented?
- e) the effectiveness of actions taken to address risk and opportunity?
- f) the performance of external providers?
- g) the need for improvements within the QMS?

Finding:	<input type="checkbox"/> Conform	<input type="checkbox"/> Not appl
	<input type="checkbox"/> Non-con	<input type="checkbox"/> No
	<input type="checkbox"/> Opport	
Document Evidence:		
Audit Question Response:		
Opportunity for improvement:		
Corrective Action:		



9.2. Internal audits

9.2.1. Internal audits

9.2.1. Internal audits are conducted at planned intervals on the QMS to determine whether the QMS:

9.2.1.

- a) conforms to its own QMS?
- b) conforms to the requirements of AS/NZS ISO 9001?
- c) is effectively implemented and maintained?

Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other
Document Evidence:		
Audit Question Response:		
Opportunity for improvement:		
Corrective Action		

9.2.2.		
9.2.2.	<p>Does the organization:</p> <p>a) plan, establish, implement and maintain an audit programme, including frequency, responsibilities, planning requirements and reporting, and which considers the importance of the processes and the risks of non-conformance, taking into account the needs of various interested parties?</p> <p>b) define audit criteria and scope for each audit?</p> <p>c) select auditors and audit teams to ensure objectivity and competence of the audit process?</p> <p>d) ensure that audit results are reported at a relevant level?</p> <p>e) take the appropriate corrective actions and correct any non-conformances without undue delay?</p> <p>f) Retain audit information as evidence of the implementation of the audit programme and results?</p>	
Finding:	<input type="checkbox"/> Conformance <input type="checkbox"/> Non-conformance <input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Not applicable <input type="checkbox"/> Not able to be verified <input type="checkbox"/> Other
Document Evidence:		
Audit Question Response:		
Opportunity for improvement:		
Corrective Action Required:		

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9.3. Management Review

9.3.1. General

9.3.1. What is the frequency that top management reviews the organization's QMS and how is the QMS deemed adequate and effective, with consideration to the strategic direction and objectives of the organization?

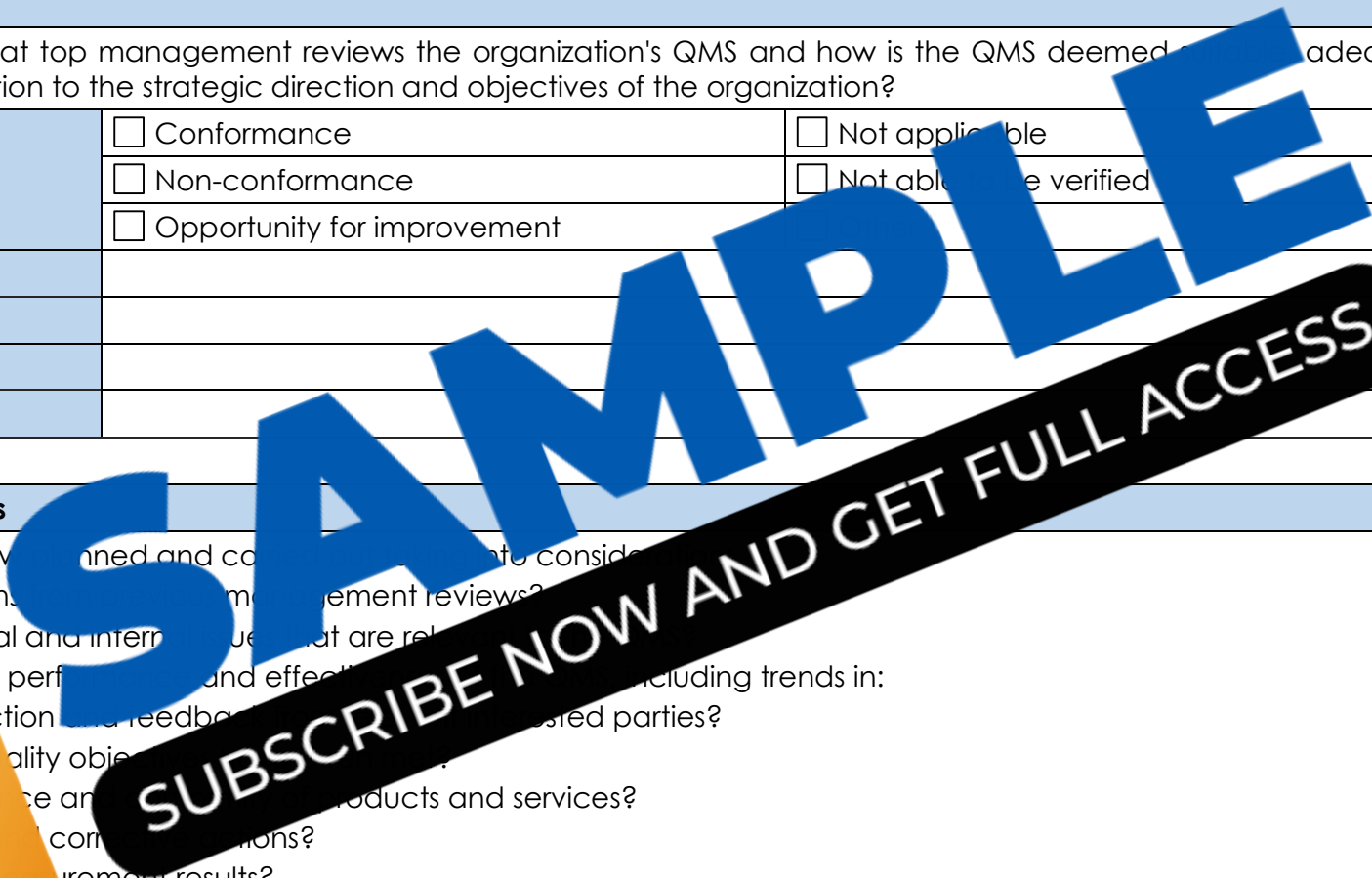
Finding	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement	

Document Evidence:

Audit Question Response:

Opportunity for improvement:

Corrective Action Required:



9.3.2. Management review inputs

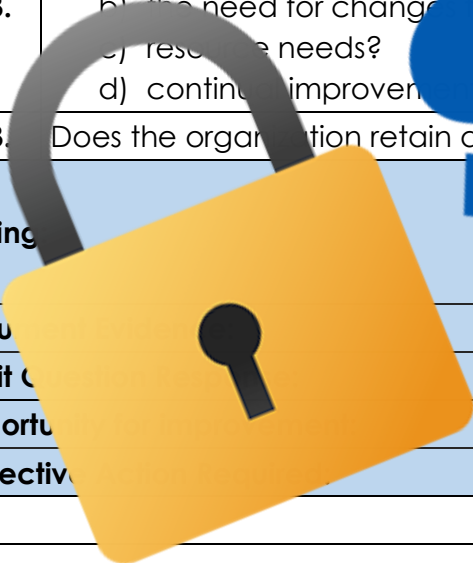
9.3.2. In management review, planned and controlled, top management considers:

- a) the status of actions from previous management reviews?
- b) changes in external and internal issues that are relevant to the organization's ability to meet the requirements of the standard and to enhance customer satisfaction?
- c) information on the performance and effectiveness of the QMS, including trends in:
 - 1. customer satisfaction and feedback from interested parties?
 - 2. conformity with product requirements and quality objectives?
 - 3. process performance and control, including products and services?
 - 4. nonconformities and corrective actions?
 - 5. audit results and performance measurement results?
- d) the effectiveness of external providers?
- e) the adequacy of resources?
- f) the effectiveness of actions taken to address risks and opportunities?
- g) opportunities for improvement?

Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other
Document Evidence:		
Audit Question Response:		
Opportunity for improvement:		
Corrective Action Required:		

9.3.3. Management review outputs		
9.3.3.	Do the outputs of management reviews include decisions related to: a) opportunities for improvement? b) the need for changes to QMS? c) resource needs? d) continual improvement activities?	
9.3.3.	Does the organization retain documented information on management reviews?	
Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other
Docu		
Audit C		
Opportu		
Correctiv		

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10.0. Improvement

10.1. General

10.1. Does the organization determine and select opportunities for improvement and implement any necessary actions to meet customer requirements and enhance customer satisfaction?

10.1. How has the organization:

- a) improved products and services to meet known and predicted requirements?
- b) corrected, prevented or reduced undesired effects?
- c) improved the performance and effectiveness of the QMS?

Finding:	<input type="checkbox"/> Conformance	Not applicable
	<input type="checkbox"/> Non-conformance	Unable to be verified
	<input type="checkbox"/> Opportunity for improvement	Other
Document Evidence:		
Audit Question Response:		
Opportunity for Improvement:		
Corrective Action Required:		

10.2. Non-Conformity and Corrective Action

10.2.1.

10.2.1. When a nonconformity occurs including a complaint does the organization:

- 1. determine the cause of the nonconformity and take action to eliminate the cause so that it does not recur or occur elsewhere by:
 - 1. determining the cause of the nonconformity?
 - 2. determining the cause of the nonconformity?
 - 3. determining if similar nonconformities exist or could potentially occur?



	<ul style="list-style-type: none"> c) implement actions needed? d) review the effectiveness of corrective actions taken? e) update the risk and opportunities determined during planning, if necessary? f) make necessary changes to the QMS, if necessary?
--	---

10.2.1. Are corrective actions taken appropriate to the effects of nonconformities encountered?

Finding:	<input type="checkbox"/> Conformance <input type="checkbox"/> Non-conformance <input type="checkbox"/> Opportunity for improvement
Document Evidence:	
Audit Question Response:	
Opportunity for improvement:	
Corrective Action Required:	

10.2.2. Non-Conformity and corrective action

Does the organization retain documented information:

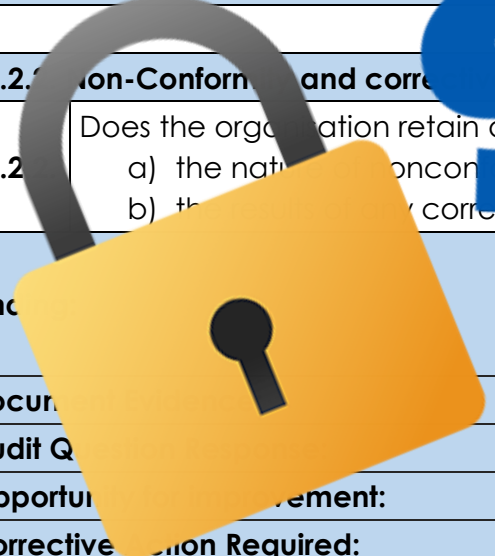
10.2.2.1

- a) the nature and consequences of nonconformities and the actions taken?
- b) the results of any corrective actions taken?

Finding:	<input type="checkbox"/> Conformance <input type="checkbox"/> Non-conformance <input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Not applicable <input type="checkbox"/> Not able to be verified <input type="checkbox"/> Other
Document Evidence:		
Audit Question Response:		
Opportunity for improvement:		
Corrective Action Required:		

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10.3. Continual improvement		
10.3.	How does the organization continually improve the suitability, adequacy and effectiveness of the QMS?	
10.3.	How does the organization consider the results of analysis and evaluation, and the outputs from management review, to determine if there are needs or opportunities that need to be addressed as part of continual improvement?	
Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not to be classified
	<input type="checkbox"/> Opportunity for improvement	
Document Evidence:		
Audit Question Response:		
Opportunity for improvement:		
Corrective Action Required:		

SAMPLE

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Acknowledgment

The Quality Assurance and Compliance Team acknowledge the assistance provided by the management and staff of ins... Thank them for their... self process.

Disclaimer: The content of this report is only to... made evident to the auditor at the time of the audit, and... considered... undertaken.

