

QMS ISO 9001:2015 STAGE-1 AUDIT REPORT	
Client Ref. No.	
Organization Name	
Address	
Site Address (If any)	
No. of Employees	
E mail id	
Contact Person	
Telephone/Fax	
Scope	
NACE Code	
Audit Team	
Audit Man-days	
Stage of Audit and date	
Brief about the organization	
Audit Guidance	To evaluate the client's documented system, location & site-specific conditions and gather other details through discussions with the client's personnel to determine the organization's readiness for the Stage 2 Audit for Certification.
Audit Objective	<p>The purpose of the Stage 1 audit is to evaluate the effective implementation of the client's management system. As a minimum you must audit the following and your report must show clear audit evidence against these requirements.</p> <ul style="list-style-type: none"> to audit the client's management system documentation and some management processes; to evaluate the client's location and site-specific conditions and to undertake discussions with the client's personnel to determine the preparedness for the stage 2 audit; to review the client's status and understanding regarding requirements of the standard, in particular with respect to the identification of key performance or significant aspects, processes, objectives and operation of the management system; to collect necessary information regarding the scope of the management system, processes and any statutory regulations; to review the allocation of resources for stage 2 audit and agree with the client on the details of the stage 2 audit; to evaluate if the internal audits and management review are being planned and performed, and that the level of implementation of the management system substantiates that the client is ready for the stage 2 audit; to verify all information previously supplied is still correct and relevant and any changes required to the number of days for stage 2 must be agreed before the audit report is completed;

AREA OF CONCERN WHICH MAY BE IDENTIFIED AS NON CONFORMITIES DURING STAGE 2 AUDIT

Guidance Note for Opening Meeting Agenda:

Sl.	Topics	Particular	Completed	
1	Thanks	Give an expression of thanks to the auditee for Choosing BCI.		
2	Attendance	Request attendees to record their attendance		
3	Introduction	<ul style="list-style-type: none"> Remind timeline to close opening meeting in 15-30 minutes. Request to give brief introduction with brief roles (participants, observers, guides & Translators) 		
4		Scope / Summery	Confirmation of the audit objectives (Assessment for ISO 9001), scope and criteria;	
5	Changes	Changes in documents/Fact to the Application/Stage-1 Audit.		
6	Plan	Confirmation of the audit plan and other relevant arrangements with the auditee, such as the date and time for the closing meeting, any interim meetings between the audit team and the auditee's management, and any late changes;		
7	Method	Methods of Audit: Review of Documents & Records, Interview, Physical evidence...		
8	Sampling	Advise auditee that the audit is sample basis and findings will be based on a sample of the information selected;		
9	Communication Channel	Confirmation of formal communication channels between the audit team and the auditee; identify the facilitators.		
10	Language	Confirmation of the language to be used during the audit;		
11	Development	Confirmation that, during the audit, the auditee will be kept informed of audit progress;		
12	Resource	Confirmation that the resources and facilities needed by the audit team are available; like Guide, Interpreters, Facility etc..		
13	Confidentiality	Confirmation of matters relating to confidentiality and information security;		
14	Safeguard	Confirmation of relevant health and safety, emergency and security procedures for the audit team;		
15	Reporting of Findings	<ul style="list-style-type: none"> NC may be against a clause of the standard i.e. ISO 9001, it's not against any person or department. Method of reporting audit findings & grading (Major, Minor & Observation) Time-span for corrective action (Minor-15 Days, Major-60 Days) Report time: Finding will be discussed at closing meeting and report will be given within 2 working days. 		
16		Termination	Information about conditions under which the audit may be terminated;	
17		Audit Declaration	verify that all members of the organization know what is happening;	
18		Union/Problem	Ascertain union relations or any potential problems;	
19	Confidentiality	Remind the auditee that the audit is confidential.		
20	Closing Meeting	Timing of closing meeting; Participation of the Top Management & where appropriate, those responsible for the functions or processes which have been audited in the closing meeting.		
21	Appeals / Complaint	information about any system for feedback from the auditee on the findings or conclusions of the audit, including complaints or appeals		

Recording of Attendance

AUDIT ATTENDANCE SHEET				Record Attendance (by LA)	
S. No	Name	Position	Department	Opening	Closing

Sl.	Requirement	Comment	Status* C/N/O/ NA
1	Does the Quality Management system address the key areas of client’s business? Quality Manual Reference If any and process description. Context of organization has been understood and addressed by determining external and internal issues. Monitoring and review system and records reference available? Needs and expectations of interested parties understood? Risk based approach adopted? Opportunities identification approach?		
2	Are processes for QMS identified and their sequence & interaction defined?		
3	Is scope of QMS Included in Manual or defined otherwise? Shall determine the boundaries and applicability of the quality management system to establish its scope. Does the Scope is appropriate to the organizational activities?		
4	Do manual or Other documents include Details of exclusions with justifications?		
5	Are all 7(4, 5, 6,7,8,9 and 10) elements of QMS addressed in Quality Manual or addressed in other organizational documents? (Context of organization, leadership, Planning, Support, Operation, Performance Evaluation, Improvement)		

Sl.	Requirement	Comment	Status* C/N/O/ NA
6	Does the organization have site-specific activities – top level process review		
7	Does organization have identified and complied with the appropriate regulatory and legal requirements; applicable to the product / Services?		
8	Is there a documented statement of Quality Policy? And is appropriate to the purpose and context of the organization and supports its strategic direction Andbe available to relevant interested parties, as appropriate.		
9	Have Quality objectives been established at relevant functions, levels and processes needed for the quality management system. And objectives shall be: Consistent with Quality Policy, measurable, monitored, communicated and updated as appropriate And records reference of the achievements provided?		
10	Are the 7 mandatory documented clauses and related records references available? (Any other organizational document/ procedure need to be referred?)		
11	Are Internal audits conducted as planned?		
12	Date of Last Internal Audit?		
13	Are Management reviews conducted as planned?		
14	Date of Last MRM?		
15	Are customers complaints recorded? Is there evidence of resolving the same?		
*	Is there any requirement of visit the temporary site(s) in stage-2 audit?		

Guidance Note for Closing Meeting Agenda:

Sl.	Topics	Particular	Verified
1	Introduction	Particularly if anybody not present at the opening meeting	
2	Thank to company	Thanks to your Team for cooperation during the audit and arrangements for the Audit.	
3	Reaffirmation of Scope	Reconfirm scope of activities assessed	
4	Confirm	Reassure the confidentiality for any information assessed during the audit.	

	confidentially		
5	Appreciation	Comment on good points within the organisation	
6	Disclaimer	This was audit on sample basis, and it should not mean, that other deficiencies do not exist.	
7	<i>Audit Team Comment</i>	<i>Summary of individual findings from each auditor (if audit team consist more then 1)</i>	
8	<i>Decision</i>	<ul style="list-style-type: none"> • <i>Significance of categories of non-compliance and summary of findings ,</i> • <i>Summary of overall findings and recommendation/Decision</i> 	
9	<i>Acknowledgment</i>	<i>Assure that client acknowledge the NCs.</i>	
10	<i>Future Plan</i>	<i>If any NC is identified, Submitting plan for corrective action together with the objective evidences</i>	
11	<i>Follow-up action</i>	<i>Where do we go from here? emphasizing that the final decision regarding certification will be taken by BCI</i>	
	<i>Surveillance Audit</i>	<i>An explanation of the continual Audit (surveillance) procedure and other future actions</i>	
12	Appeal	Explain the Appeal & Complaint option available to the client against any decision of the Audit team.	
13	Invite questions	Invite questions, clarification from company (But no Consultancy)	
14	Signature	Obtain company representative's signature on report to acknowledge receipt.	

Recommendation for Stage-2 Audit: I have checked, examined and discussed and confirm the following: Mark “X” where applicable.

Sl.	Validation of Critical Points	Yes/No/NA	Comment of the Auditor
1	Relevance of the QMS documentation with activities of the client		
2	Scope applied are justified with the present activities of the Clients		
	Any Change in scope needed?		
3	Are temporary sites (i.e installation sites, project locations etc.) available?		
4	Which sites needed to be visited?		
5	will it requires Considerable Travel Time to visit site		
6	is there any Seasonality Factor		
7	Suitability of Audit Timing (Activities at Site)		
8	Process and element of the ISO 9001 in Stage-1 audit addresses?		

Audit Duration for Stage 2	
Are quoted man-days adequate?	
Any change in employee detail?	
Any Change in Scope?	
Any Additional information?	
Is there any requirement of verifying the night shift	

in stage-2 audit?	
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Audit Summary (Including General Observations/Comments)

RECOMMENDATION	
	Recommended for Proceeding to Stage 2
	Not Recommend proceeding to stage 2 until objective evidence has been submitted to BCI showing that the concerns raised by the auditor (s) have been rectified. A date for stage 2 will then be agreed. (within 60 days from this audit date)
	Not Recommend proceeding without a further stage 1 Audit due to the severity of the concerns raised by the audit team

Signature		Signature	
Name of the Auditor		Name of the Representative	
Date		Date	