QMS ISO 9001:2015 STAGE-2 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	
Brief about the organization	
Stage of Audit and Date	

Audit Guidance

The purpose of the stage two 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. Audit evidence is documents and records that you have seen, staff/employees that you have spoken to, part numbers or project numbers that you looked at, equipment serial numbers, activities that you observed, or any other evidence that you verify during the audit.

a) Information and evidence about conformity to all requirements of the applicable management system standard or other normative document;
b) Performance monitoring, measuring, reporting and reviewing against key performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document);
c) The client's management system and performance as regards legal compliance;
d) operational control of the client's processes;
e) Internal auditing and management review;
f) management responsibility for the client's policies;
g) Links between the normative requirements, policy, performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document), any applicable legal requirements, responsibilities, competence of personnel, operations, procedures, performance data and internal audit findings and conclusions.
h) Leadership and involvement in the management system Implementation
i) Risk-based thinking
j) Ensure the reflection of the needs of all relevant interested parties
k) Opportunities for improvements
l) For each process audited the notes under the diagram must show that you took a process approach to the audit.

S. No.	Observations

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	• 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 45001), 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	• NC may be against a clause of the standard i.e. ISO 45001, 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

Verification of the Plan and last audit

S. No.	**Particular**	Remark
1	Any deviation from the audit plan & their reasons	
2	Any significant issues impacting on its audit programme	
3	Significant changes that affect the management system of the client after audit took place	
4	Any unresolved issue	

VERIFICATION OF RECORDS AS PER STD REQUIREMENT
(C- Conformity, NC-Non Conformity, O-Observation)

Cl. No.	Requirements	Reference	C/O /NC	Records &Evidences
4	**Context of the organization**			
4.1	**Understanding the organization and its context**	Reference How has the organization determined external and internal issues relevant to its purpose and strategic direction and that affect its ability to achieve the intended result(s) of its quality management system. How do they monitor and review information about these internal and external issues?		

Cl. No.	Requirements	Reference	C/O /NC	Records &Evidences
4.2	**Understanding the needs and expectations of interested parties**	Monitor and review information about these interested parties and their relevant requirements. Does the organisation consider issues arising from legal, technological, competitive, market, cultural, social, and economic environments, whether international, national, regional or local while understanding the external context? How the client determined interested parties are relevant to the QMS How have client determined what requirements those parties have that are relevant to the QMS? How has impact or potential impact been determined? Does the organisation consider issues arising from values, culture, Customs, social knowledge and performance of the organization while deciding internal Context?		
4.3	**Determining the scope of the quality management system**	Reference of the documented Scope of the QMS and How have the boundaries and applicability of the QMS been used to establish the scope of the organization?		
4.4	**Quality Management system and processes**			
4.4.1	**Quality Management system improvement**	Improvement of the QMS		
4.4.2	**Maintenance of the documented information**	Process control Records		
5				
5.1	**Leadership and commitment**			

Cl. No.	Requirements	Reference	C/O /NC	Records &Evidences
5.1.1	**General**	Involvement in the implementation during the promotion of the quality with risk based thinking		
5.1.2	**Customer Focus**	Statutory and regulatory requirements, Opportunities and customer satisfaction		
5.2	**Policy**			
5.2.1	**Establishing the Quality Policy**	Refers the purpose and context, framework for setting quality objectives; applicable requirements and continual improvement		
5.2.2	**Communicating the quality policy**	Documented, available, communicated, understood within the organization and interested parties as appropriate		
5.3	**Organizational roles, responsibilities and authorities**	Explicit requirement for relevant roles to be assigned, communicated and understood **No requirement for a specific management representative and the responsibility now resides with top management to assign and manage** Requirement for defining responsibility and authority for ensuring processes are delivering their intended outputs		
6	**Planning**			
6.1.1	**Actions to address risks and opportunities**	Considering the issues raised and relevant interested parties' requirements identified (4.1 and 4.2), this clause requires the determination of risks and opportunities which need to be addressed, actions to be taken and evaluation of the effectiveness of these actions		
6.1.2	**Organizational planning**	Actions to integrate the risk &opportunities in QMS and evaluate the effectiveness		
6.2	**Quality objectives and planning to achieve them**			

Cl. No.	Requirements	Reference	C/O /NC	Records &Evidences
6.2.1	**Establishment of quality Objectives**	Objectives are established for processes relevant to the QMS -in line with customer requirements -in line with products and services conformity -monitored, communicated & updated		
6.2.2	**Achievement of objectives**	Reference of what will be done, who will do, what resources will be required, When completed and how results will be evaluated		
6.3.3	**Planning of changes**	Changes to the QMS should be carried out in a planned manner. The standard has evolved to enable organizations to adapt to changing environments or circumstances and consider: Purpose of the changes and their potential consequences, integrity of the quality management system, availability of resources and allocation or reallocation of responsibilities and authorities.		
7	**Support**			
7.1	**General**			
7.1.1	**Resource determination**	Consider: the capabilities of, and constraints on, existing internal resources and what needs to be obtained from external providers.		
7.1.2	**People**	Shall determine and provide the persons necessary for the effective implementation of its quality management system and for the operation and control of its processes.		

Cl. No.	Requirements	Reference	C/O /NC	Records &Evidences
7.1.3	**Infrastructure**	Organization shall determine, provide and maintain the infrastructure necessary for the operation of its processes and to achieve conformity of products and services. Infrastructure can include: a) buildings and associated utilities b) equipment, including hardware and software) transportation resources d) information and communication technology.		
7.1.4	**Environment for the operation of processes**	Shall determine, provideand maintain the environment necessary for the operation of its processes and to achieve conformity of products and services. And verifications can be: combination of human and physical factors, such as social, Psychological and, physical.		
7.1.5	**Monitoring and measuring resources**			
7.1.5 .1	**General**	Determine, Plan and provide the resources which are suitable and ensure the fitness for their purpose		
7.5.1 .2	**Measurement traceability**	Measuring equipments should be calibrated as per the requirements of measurement traceability or Organizational decision for confidence in measurement and verifications are: Calibration or verification, identification of status and safeguard from adjustments, damage or deterioration		
7.1.6	**Organizational knowledge**	Verification of the maintaining of the knowledge, how to access the extra required knowledge and updates. Organizational knowledge will consider Both internal and external knowledge		

Cl. No.	Requirements	Reference	C/O /NC	Records &Evidences
7.2	**Competency**	Determine the competency, ensure that team is competent and actions are taken to acquire competency and evaluation is done for effectiveness of the actions. **Records verification for competence**		
7.3	**Awareness**	Verification of the awareness of policy, relevant objectives, their contribution and implications of non conformities		
7.4	**Communication**	Verification of the internal and external communication for the quality matters and consider: on what, who, how, when, with are considered		
7.5	**Documented information**			
7.5,1	**General**	Documentation is needed as per the standard and effectiveness and check the documentation needs as per the size, activity, processes, complexities of processes and competency of the person		
7.5.2	**Creating and updating**	Appropriate identification& description, format &media, review &approval for adequacy		
7.5.3	**Control of documented information**			
7.5.3 .1	**Documented information shall be controlled**	Information is available and suitable for use, adequately protected		
7.5.3 .2	**Activities for control**	Distribution, access, retrieval &use storageand preservation, including preservation of legibility, control of changes Retention and disposition.		
8	**Operation**			

Cl. No.	Requirements	Reference	C/O /NC	Records &Evidences
8.1	**Operational planning and control**	Determining the requirements & establish the criteria for processes, acceptance criteria, resources needed, implementing Control on the process and have the records to haveconfidence that the processes have been carried out as planned and demonstrate the conformity **And outsourced processes shall be controlled**		
8.2	**Requirements for products and services**			
8.2.1	**Customer communication**	Shall include: providing information relating to products and services, handling enquiries, contracts or orders, including changes, obtaining complaints &feedback, handling or controlling customer property and contingency actions		
8.2.2	**Determining the requirements for products and services**	Applicable statutory and regulatory requirements and requires a process and is explicit with regard to substantiating claims for products and services being offered		
8.2.3 .1	**Review of the requirements for products and services**	Review the followings before supply: requirements specified by the customer, including the requirements for delivery and post- delivery activities, unstated requirements, requirements specified by the organization, statutory and regulatory requirements, Contractor order requirements differing from those previously expressed.		
8.2.3 .2.	**shall retain documented information**	**AND shall have the records of results of review and any new requirement**		

Cl. No.	Requirements	Reference	C/O /NC	Records &Evidences
8.2.4	**Changes to requirements for products and services**	Shall ensure that relevant documented information is amended, and that relevant persons are made aware of the changed requirements		
8.3.	**Design and development of products and services**			
8.3.1	**G**eneral	Shall establish,implementand maintain a design and development process		
8.3.2	**Design and development planning**	Shall consider: the nature, duration and complexity, required process stages, including applicable design and development reviews, required design and development verification and validation, responsibilities and authorities, internal and external resource, control interfaces between persons, involvement of customers and users, requirements for subsequent provision of products and services, levelofcontrolexpectedforthedesignanddevelopmentprocessbycustomersandother relevant interested parties **AND Documented information needed to demonstrate Planning**		

Cl. No.	Requirements	Reference	C/O /NC	Records &Evidences
8.3.3	**Design and development inputs**	shall consider: functional and performance requirements, information derived from previous similar design and development activities, statutory and regulatory requirements, standards or codes of practice, potential consequences of failure, shall be adequate for design and development purposes, complete and unambiguous, Conflicting design and development inputs shall be resolved **AND shall retain documented information**		
8.3.4	**Design and development controls**	Apply controls on D&D to ensure: the results to be achieved are defined, reviews are conducted, verification activities are conducted, validation activities are conducted, necessary actions are taken on problems determined during the reviews, or verification and validation activity **AND documented information of these activities is retained**		
8.3.5	**Design and development outputs**	shall ensure that design and development outputs: meet the input requirements, are adequate for the subsequent processes,includeorreferencemonitoringandmeasuringrequirements,asappropriate,andacceptance criteria,) specifythecharacteristicsoftheproductsandservicesthatareessentialfortheirintendedpurpose and their safe and proper provision **AND shall retain documented information**		

Cl. No.	Requirements	Reference	C/O /NC	Records &Evidences
8.3.6	**Design and development changes**	Shall identify, review and control changes made during, or subsequent to, the design and development AND document: design and development changes, results of reviews, authorization of the changes Andactions taken to prevent adverse impacts		
8.4	**Control of externally provided processes, products and services**			
8.4.1	**General**	Shall determine the controls to be applied to externally provided processes, products and services when: products and services from external providers are intended for incorporation into the organization's own products and service, provided directly to the customer(s) by external providers on behalf of the organization OR process, or part of a processis provided by an external provider as a result of a decision by the organisation, Determine Control of externally provided processes, products and services **AND shall retain documented information .**		

Cl. No.	Requirements	Reference	C/O /NC	Records &Evidences
8.4.2	**Type and extent of control**	The organization shall: Ensure that externally provided processes remain within the control of its QMS, define both the controls that it intends to apply to an external provider and those it intends to apply to the resulting output, Consideration of: impact of the externally provided processes, products and services and effectiveness of the controls applied by the external provider. Determine the verification, or other activities, necessary to ensure that the externally provided processes, products and services meet.		
8.4.3	**Information for external providers**	The organization shall ensure the adequacy of requirements prior to their communication to external provider. Shall communicate to external providers its requirements for: processes, productsand services to be provided. And approval of: products and services, methods, processes and equipment, release of products and services. Competence, including any required qualification of persons, external providers' interactions with the organization,controland monitoring of the external providers' performance to be applied by the organization, verification or validation activities that the organization, or its customer, intends to perform at the external providers		
8.5	**Production and service provision**			

Cl. No.	Requirements	Reference	C/O /NC	Records &Evidences
8.5.1	**Control of production and service provision**	Shall implement production and service provision under controlled conditions. Controlled conditions shall include as applicable: availability of documented information that defines: characteristics of the products to be produced and results to be achieved-Monitoring and measurement activities will ensure the control of processes and output ,acceptance criteria for products and services are met ,the use, and control of suitable infrastructure and process environment, suitable monitoring and measuring resources, Requires competent persons and ensures the validation, and periodic revalidation, implementation of actions to prevent human error and implementation of release, delivery and post-delivery activities.		
8.5.2	**Identification and traceability**	Shall use suitable means to identify outputs when it is necessary to ensure the conformity of products and services, Identify the status of outputs with respect to monitoring and m easurement requirements throughout production and service provision, shall control the unique identification of the outputs when traceability is a requirement **AND shall retain the documented information**		

Cl. No.	Requirements	Reference	C/O /NC	Records &Evidences
8.5.3	**Property belonging to customers or external providers**	Shall exercise care with property belonging to customers or external providers, shallidentify, verify, protect and safeguard customersorexternal provider's property. Property lost, damagedor otherwise found to be unsuitable for use, the organization shall report this to the customer or external provider and retain documented information on what has occurred.		
8.5.4	**Preservation**	Shall preserve the outputs during production and service provision, to the extent necessary to ensure conformity to requirements		
8.5.5	**Post-delivery activities**	In determining the extent of post-delivery activities that are required, the organization shall consider: statutory and regulatory requirements, nature, use and intended lifetime, customer requirements and customer feedback		
8.5.6	**Control of changes**	Shall review and control changes for production or service provision, to the extent necessary to ensure continuing conformity with requirements **AND shall retain documented information describing the results**		
8.6	**Release of products and services**	Shall retain documented information on the release of products and services. The documented information shall include:evidence of conformity with the acceptance criteria and traceability to the person(s) authorizing the release		
8.7	**Control of nonconforming outputs**			

Cl. No.	Requirements	Reference	C/O /NC	Records &Evidences
8.7.1	**shall ensure that outputs that do not conform to their requirement are identified and controlled**	Shall deal with nonconforming outputs in one or more of the following ways: Correction, segregation, containment, return or suspension, informing the customer & identifies the authority deciding the action in respect of the nonconformity		
8.7.2	**shall retain documented information that**	Describes the nonconformity, describes the actions taken, describes any concessions obtained and)identifies the authority deciding the action		
9	**Performance evaluation**			
9.1	**Monitoring, measurement, analysis and evaluation**			
9.1.1	**General**	Shall determine: what needs to be monitored and measured, methods for monitoring, measurement, analysis and evaluation, when the monitoring and measuring shall be performed and when the results from monitoring and measurement shall be analyzed and evaluated **AND shall retain records**		
9.1.2	**Customer satisfaction**	Shall determine the methods for obtaining, monitoringand reviewing this information.		
9.1.3	**Analysis and evaluation**	Results of analysis shall be used to evaluate: conformity of products and services, degree of customer satisfaction, performance and effectiveness of QMS, if planning has been implemented effectively, effectiveness of actions taken to address risks and opportunities, performance of external providers and need for improvements to the QMS		
9.2	**Internal Audit**			

Cl. No.	Requirements	Reference	C/O /NC	Records &Evidences
9.2.1	**Provide information on whether the QMS Conforms**	Shall conduct internal audits at planned intervals to check the conformity to: organization's own requirements for its QMS and requirements of 9001-2015		
9.2.2	**Plan, establish, implementand maintain an audit programme**	Including the frequency, methods, responsibilities, planning requirements and reporting, define the audit criteria and scope for each audit, select auditors and conduct audits to ensure objectivity and the impartiality of the audit process, ensure that the results of the audits are reported to relevant management, take appropriate correction and corrective actions without undue delay**andretain documented information**		
9.3	**Management review**			
9.3.1	**General**	Shall review the organization's QMS at planned intervals, to ensure its continuing suitability, adequacy, effectiveness,and alignment with the strategic direction of the organization.		

Cl. No.	Requirements	Reference	C/O /NC	Records &Evidences
9.3.2	**Management review inputs**	Shall have the inputs as: status of actions from previous management reviews ,changes in external and internal issues that are relevant to the QMS, information on the performance and effectiveness of the QMS including **trends in-** customer satisfaction and feedback from relevant interested parties, extent to which quality objectives have been met, process performance and conformity of products and services, nonconformities and corrective actions, monitoring and measurement results, audit results & the performance of external providers. Adequacy of resources, effectiveness of actions taken to address risks and opportunities and opportunities for improvement		
9.3.3	**Management review outputs**	Shall include decisions and actions related to: Opportunities for improvement, need for changes to the QMS and Resources needed **AND keep the record**		
10	**Improvement**			
10.1	General	Shall determine and select opportunities for improvement These shall include: improving products and services to meet requirements as well as to address future needs and expectations, correcting, preventing or reducing undesired effects and improving the performance and effectiveness of the QMS		

Cl. No.	Requirements	Reference	C/O /NC	Records &Evidences
10.2.1	**Nonconformity and corrective action**	When Nonconformity occurs the organization shall: react to the nonconformity and, as applicable: take action to control and correct it &deal with the consequences. Evaluate the need for action to eliminate the cause(s) of the non conformity, in order that it does not recur or occur elsewhere, by: reviewing and analyzing the nonconformity, determining the causes of the nonconformity, determining if similar nonconformities exist, or could potentially occur. implement any action needed, review the effectiveness of any corrective action taken, update risks and opportunities determined during planning, if necessary, make changes to the quality management system, if necessary		
10.2.2	**shall retain documented information as evidence of**	Nature of the nonconformities and any subsequent actions taken and results of any corrective action-**Records Needed**		
10.3	**Continual improvement**	**Opportunities shall be addressed as part of continual improvement and shallconsider the results of analysis and evaluation, and the outputs from management review**		
*	**Temporary site visited (If Any)**			

Non Conformities Raised
_____ Minor/_____Major Nonconformance identified in the 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 confidentially	Reassure the confidentiality for any information assessed during the audit.	
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	*Audit Team Comment*	*Summary of individual findings from each auditor (if audit team consist more then 1)*	
8	*Decision*	• *Significance of categories of non-compliance and summary of findings ,* • *Summary of overall findings and recommendation/Decision*	
9	*Acknowledgment*	*Assure that client acknowledge the NCs.*	
10	*Future Plan*	*If any NC is identified, Submitting plan for corrective action together with the objective evidences*	
11	*Follow-up action*	*Where do we go from here? emphasizing that the final decision regarding certification will be taken by BCI*	
	Surveillance Audit	*An explanation of the continual Audit (surveillance) procedure and other future actions*	
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.	

Summary of the Audit Team

A. Stage of audit:

☐	Initial Certification
☐	Follow Up Audit
☐	Surveillance Cum Transfer
☐	Modification
☐	Renewal
☐	Upgrade From
☐	Other

B. Recommendation:

☐	Issuance of Certificate
☐	Refusal of the Certificate
☐	Follow Up audit
☐	modification of the current certificate (registration no. and expiration date remain unchanged)
☐	other :

C. Reason:

☐	**The quality system complies with the requirements of the reference standard:** Congratulations, on the basis of the above summary, Lead Auditor is pleased to put forward a recommendation for issuance of certificate.
☐	**The quality system complies with the requirements of the reference standard with exception of minor NC:** Congratulations, Lead Auditor is pleased to put forward a recommendation forCertificationupon off-site verification of closure of all issues, the NC closure need to be submitted along with the Corrective Action Plan and objective evidence with 15 days from the stage 2 audit but not later than60 days from the date of Stage 2 audit. If all non-conformances are not closed within 60 days, a full reassessment may be required.
☐	**Evidence of major non conformities:** Organization is not recommended for Certification. A follow-up assessment will be scheduled to allow for on-site verification and closure of all issues within 60 days from the date of Stage 2 audit. If all non-conformances are not closed within 60 days, a full reassessment may be required.
☐	**Not Recommended:** Organization is not recommended for certification, a Stage 2 audit will be requiredTo progress your application for registration, please respond to each non-conformances, with a plan showing proposed actions, timescales and responsibilities for resolution. The organization should consider the root cause of the non-conformance and the potential for related issues in other parts of your system.
	Proposed Audit Date for Surveillance Audit (dd/mm/yyyy)

D. Condition of the Audit report:

Sl.	Condition of the Audit report
A	This is to state that this audit report or any information in this report is based on a sampling process of the available information to the certification body. Further to advice that audit recommendations are subject to an independent review prior to a decision concerning the awarding or renewal of certification.
B	This is to state that the audited organization is effectively controlling the use of the certification documents and marks if applicable.
C	This report itself does not allow the client / applicants to use logo of the certification body or accreditation board, use of logo govern as per certification body rule. Please refer the terms of use of logo as available on the website of the certification body.

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