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| CB Name and Contact Name: | Enter name of certification body and the name of the contact |

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| Assessment Start Date: | Day(s)/Month/Year |
| Assessment End Date: | Day(s)/Month/Year |
| OASIS Number - CB | Day(s)/Month/Year |
| Enter CB Lead Auditor Name | Enter the CB Lead Auditor Name |
| Enter Client OIN (Assessed Org) | Enter OASIS Number |
| Other Party (OP) Assessor Names and Roles:  | First Name, Last NameAssessment Team Role, Organization's Name |
| General Conclusions, Remarks, and Recommendations: | Give a brief overview of how the assessment went |
| Non Conformance Summary: | As applicable, List NCR References and Grade |
| Opportunities for Improvements: | As applicable, identify number of OFIs; list all OFIs. |
| Submitted by: | First Name, Last Name |
| Date Submitted: | Day/Month/Year |

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| **NOTE - IMPORTANT**It should be noted that this is not an audit of the Client (Organization), it is a top level evaluation of AQMS implementation to determine the effectiveness of the CBs certification process. All 9100/9110/9120 references are for linkage to the standard only and should not be used to support any CB nonconformance issues. CB issues must be linked to 9104/1, 9101, ISO 17021-1 & any associated International Accreditation Forum (IAF) mandatory documents. Client issues should be communicated to the CB for awareness and follow up action. The Client should be encouraged to document any identified non-conformances and initiate internal corrective action. |

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| Assessment Questions (That’s questions that you can answer Pre assessment) |

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| **Item** | **1.1** | **Market Surveillance** |  | **Reference(s)** |
| Are OASIS entries regarding scope of accreditation of the CB, assigned auditor, and relevant information on the activity compliant as well as of the certified entity? | 9104-001 Para 8.1.6 |
| Verify in OASIS- The CB accreditation- The AEA/AA authentication- the AQMS certificate (Is all information on the certificate correct (Name, address, scope statement)?- is there a declared OASIS admin- are there any exclusions and if so do they reflect the work the supplier is performing?- Scope: Validate actual supplier processes and/or services match the current issued certificate scope statement. |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **1.2** | **Market Surveillance** |  | **Reference(s)** |
| Is the audit duration calculated appropriately in accordance to relevant information at the time the audit was performed? | 9104-1 Para 8.5.1.6.3ISO/IEC 17021-1 clause 9.1.4 |
| Review the structure, number of employees, sites, applicable reductions and check against 9104-1 table 2 if the assigned audit duration was meeting the requirements. Review the ADC/OCAP uploaded to OASIS to confirm. Is the audit plan in alignment with the calculated audit duration?  |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **1.3** | **Market Surveillance** |  | **Reference(s)** |
| Has the audit duration within the current certification cycle been used to cover all of the defined scope and criteria in terms of coverage of sites, processes, shifts, clauses, etc.? NOTE: It may not be possible to review this item if the audit was in the first certification cycle. | 9104-1 Para 8.5.1.4 |
| Review in the plan for the 3 years certification cycle. |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |
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| Assessment Questions (That’s questions that you can answer during assessment conduct).  |
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| **Item** | **2.1** | **Market Surveillance** |  | **Reference(s)** |
|  Was the audit plan been performed as defined? | 9101 Para 5.2ISO/IEC 17021-1 clause 9.2 |
| Ask the organization if the CB auditor performed the audit as defined in the audit plan in accordance to the beginning, pause, and end. Consider as well time in shop floor. So whenever there are operations, has this been audited in the shop floor? Were any variations recorded in the audit report? |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.2** | **Market Surveillance** |  | **Reference(s)** |
| Does the scope listed on the organization’s certificate accurately describe its activities, is not misleading, and not vague? | 9104-1 Para 8.2.4ISO/IEC 17021-1 clause 8.2.2 |
| Review any scope translation to ensure its matching. Exchange with the organization on the activities being covered in the AQMS certificate against as well the audit plan. |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.3** | **Market Surveillance** |  | **Reference(s)** |
| Where there was an audit team, was it clear who the audit lead was and how the organization between the audit team and the auditees took place? | 9104-1 Para 8.5.4 & IAF MD 4ISO/IEC 17021-1 clause 9.2.2.1 and 9.2.3 |
| Ask the organization who the lead auditor was (verify in OASIS if matching) and exchange on how the audit team were organized and conducted the audit in conjunction with the audit lead. |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.4** | **Market Surveillance** |  | **Reference(s)** |
| Did the audit team demonstrate to the client that they had sufficient knowledge on the process and scope being audited to and the ability to conduct an effective audit? | 9104-1 Para 8.5.1.4ISO/IEC 17021-1 clause 9.2 |
| Ask the organization on the depth of the questions regarding the activity of the organization and the knowledge seen by the AEA/AA. Pertinent questions. Check in the audit plan and the evidences observed the areas audited, samples taken. |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.5** | **Market Surveillance** |  | **Reference(s)** |
| Are the non-applicable 9100 series clauses applicable to the concerned activity for all relevant site(s) and in accordance to the audit plan as well the scope of the certificate? | 9100/9110/9120 Para 4.19101 Para 5.4.3ISO/IEC 17021-1 clause 9.2.2.1 |
| Review the scope of certification for any non-applicable clauses. Review the organization’s quality manual to determine if the items are addressed. Discuss activities with the client and their justification for considering the non-applicable clauses. Ensure customer requirements can be met. |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.6** | **Market Surveillance** |  | **Reference(s)** |
|  There is evidence of top management’s involvement with and commitment to the implementation of (9100, or 9120 or 9110)? | 9100/9110/9120 Para 5.1.1ISO/IEC 17021-1 clause 9.3.1.3 / 9.6.2.2 / 9.6.3.2.1 |
| Review the management to employee communication processes. Does communication occur on a regular basis? Does management support an organizational culture of conformance and continual improvement? |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.7** | **Market Surveillance** |  | **Reference(s)** |
|  Internal communication is good, and employees are aware of their roles in the QMS |  9100/9110/9120 Para 5.3ISO/IEC 17021-1 clause 9.3.1.3 / 9.6.2.2 / 9.6.3.2.1 |
| Review the management to employee communication processes. Does communication occur on a regular basis? |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.8** | **Market Surveillance** |  | **Reference(s)** |
| The “process approach” is clearly understood and implemented throughout the organizationThe organization is managing its QMS processes using a “Plan-Do-Check-Act” –type approach (9100, Clause 0.3.2) | 9100/9110/9120 Para 0.3.2ISO/IEC 17021-1 clause 9.3.1.3 / 9.6.2.2 / 9.6.3.2.1 |
| Discuss “process approach” during interviews with process owners. Determine if they have a general understanding.  |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.9** | **Market Surveillance** |  | **Reference(s)** |
| The quality policy is appropriate for the organization’s situation and culture |  9100/9110/9120 Para 5.2ISO/IEC 17021-1 clause 9.3.1.3 / 9.6.2.2 / 9.6.3.2.1 |
| Review the quality policy for adequacy.  |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.10** | **Market Surveillance** |  | **Reference(s)** |
|  The organization has established and deployed meaningful objectives at relevant functions and levels? | 9100/9110/9120 Para 4.4 & 9.1ISO/IEC 17021-1 clause 9.3.1.3 / 9.6.2.2 / 9.6.3.2.1 |
| Discuss and review organizational metric. This should include top level organization metrics and process level metrics that contribute to the organizations goals.  |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.11** | **Market Surveillance** |  | **Reference(s)** |
|  Documented information is being used and is properly controlled? | 9100/9110/9120 Para 7.5.3ISO/IEC 17021-1 clause 9.3.1.3 / 9.6.2.2 / 9.6.3.2.1 |
| Discuss and review the process for controlling documented information.  |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.12** | **Market Surveillance** |  | **Reference(s)** |
| The organization has adequate resources (competent personnel, equipment etc.) to support its system | 9100/9110/9120 Para 7.1 & 9.3.3ISO/IEC 17021-1 clause 9.3.1.3 / 9.6.2.2 / 9.6.3.2.1 |
| During the review and discussion linked to the management review process, ensure resource evaluation is included in the management review process.  |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.13** | **Market Surveillance** |  | **Reference(s)** |
| The work environment is appropriate |  9100/9110/9120 Para 7.1.4ISO/IEC 17021-1 clause 9.3.1.3 / 9.6.2.2 / 9.6.3.2.1 |
| Observe the working environment during the shop tour. Are there issues or concerns with product flow, facilities, work space or temperature?  |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE – ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.14** | **Market Surveillance** |  | **Reference(s)** |
| Key design and development processes are identified and managed | 9100/9110/9120 Para 4.1 & 8.3ISO/IEC 17021-1 clause 9.3.1.3 / 9.6.2.2 / 9.6.3.2.1  |
| Is design within the scope of the QMS? If yes, does the organization have documented information that details this process? |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.15** | **Market Surveillance** |  | **Reference(s)** |
| Processes are being adequately monitored and measured? | 9100/9110/9120 Para 4.4 & 9.1ISO/IEC 17021-1 clause 9.3.1.3 / 9.6.2.2 / 9.6.3.2.1 |
| Review the PEARs and determine if they reflect what was observed on the shop floor, including any associated performance visibility boards.  |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.16** | **Market Surveillance** |  | **Reference(s)** |
| Product nonconformities are identified and dealt with according to documented procedures? | 9100/9110/9120 Para 8.7 & 10.2ISO/IEC 17021-1 clause 9.3.1.3 / 9.6.2.2 / 9.6.3.2.1 |
| Question the organization on how they deal with nonconformities, do they have MRB authority, do they have a process for identification, segregation and disposition of nonconforming product. Do they notify their customers when required?  |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.17** | **Market Surveillance** |  | **Reference(s)** |
| There is a focus on identifying the CAUSE of process, product and system nonconformities, and on implementing effective corrective action | 9100/9110/9120 Para 10.2ISO/IEC 17021-1 clause 9.3.1.3 / 9.6.2.2 / 9.6.3.2.1 |
| Discus the corrective action process with the organization.  |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.18** | **Market Surveillance** |  | **Reference(s)** |
| Internal audits are being carried out according to plan, and are effective | 9100/9110/9120 Para 9.2ISO/IEC 17021-1 clause 9.3.1.3 / 9.6.2.2 / 9.6.3.2.1 |
| Ensure the audit schedule is based on status and importance of the organization's processes?a) Are internal audit schedules prepared and maintained to planned intervals? (E.g. yearly scheduling, etc.)b)Is priority given to apparent quality management system problems identified through customer feedback (formal and informal), nonconformance data, corrective action results, management review results and other appropriate sources?c) Do internal audits also meet contract and/or regulatory requirements? |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.19** | **Market Surveillance** |  | **Reference(s)** |
| Management reviews are being carried out according to plan, and are effective |  9100/9110/9120 Para 9.3ISO/IEC 17021-1 clause 9.3.1.3 / 9.6.2.2 / 9.6.3.2.1 |
| Review the latest management review minutes to ensure an effective process is in place. Does the organization develop a list of actions from the management review? Are actions assigned and followed up on to completion? |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.20** | **Market Surveillance** |  | **Reference(s)** |
| The organization processes includes determination of Risk, Mitigation, and preventing nonconformities. | 9100/9110/9120 Para 6.1 & 8.1.1ISO/IEC 17021-1 clause 9.3.1.3 / 9.6.2.2 / 9.6.3.2.1 |
| Does the organization evaluate risk at both the organization level and operational risk? Do they identify improvement opportunities and take action to mitigate risk and prevent nonconforming conditions?  |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.21** | **Market Surveillance** |  | **Reference(s)** |
| Customer feedback and customer complaints handling mechanisms are appropriate | 9100/9110/9120 Para 8.2.1 & 9.1.2ISO/IEC 17021-1 clause 9.3.1.3 / 9.6.2.2 / 9.6.3.2.1 |
| Discuss the process of interfacing with the customer and determine if customer complaints are logged, managed and addressed.  |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.22** | **Market Surveillance** |  | **Reference(s)** |
| The QMS is providing confidence in the organization’s ability to “ meet applicable statutory, regulatory and contractual requirements” | 9100/9110/9120 Para 4.4.1ISO/IEC 17021-1 clause 9.3.1.3 / 9.6.2.2 / 9.6.3.2.1 |
| Discuss with client and ask that they provide evidence of the management team’s commitment to the development and implementation of the quality management system and continually improving its effectiveness by:a)Taking accountability b) Establishing the quality policy and quality objectives c) Promoting the use of the process approach and risk-based thinkinge) Ensuring that the resources needed for the quality management system are availablef) Communicating the importance of effective quality management and of conforming to the quality management system requirements |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |
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| **Item** | **2.23** | **Market Surveillance** |  | **Reference(s)** |
| The organization has a culture of continual improvement of the effectiveness of its QMS | 9100/9110/9120 Para 10.1 / 10.3ISO/IEC 17021-1 clause 9.3.1.3 / 9.6.2.2 / 9.6.3.2.1  |
| Determine if the organization has a structured approach to continual improvement. Are improvement projects identified, objectives defined, documented and managed to completion? |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.24** | **Market Surveillance** |  | **Reference(s)** |
| The certification process has been conducted effectively by the certification body | 9104-1 & ISO 17021-1 clause 9.1.3.2 |
| This is an overall opinion of the OP Assessor. Based on the results of the market surveillance assessment, do you believe there was sufficient objective evidence provided that the CB has an effective certification process for this selected client? |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.25** | **Market Surveillance** |  | **Reference(s)** |
| Overall confidence in this organization’s implementation of 9100 / 9110 / 9120 was observed |  9100/9110/9120  |
| This is an overall opinion of the OP Assessor. Based on the results of the market surveillance assessment, do you believe there was sufficient objective evidence to have confidence that this organization has an effective QMS? |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.26** | **Market Surveillance** |  | **Reference(s)** |
| Review the latest CB audit report and review the following for conformance to 9101:PEARSQMS Process MatrixManagement of NCRs | 9101-2016: 4.2.2.5.1;9101: Form 3 |
| **PEARs:** 1.) Is there evidence that the results and level of process effectiveness were recorded on a “Process Effectiveness Assessment Report” (PEAR) for each audit product realization process? 2.) PEAR Level: Is there evidence that an NCR has been raised when the process is not delivering the planned results and appropriate action is not being taken?3.) Did the associated PEARs contain sufficient information related to the process control methods, performance measures, and subsequent process effectiveness results?**QMS** **Process Matrix**1.) Determine if Matrix aligns with supplier’s QMS process description.2.) Is there evidence that the use of “Not Evaluated” (N/E) was not used in the case of an initial or recertification audit? NOTE: “Not Applicable” N/A should be used for organization for which the requirements would not be applicable to the scope of the AQMS.3. Is there evidence that the “QMS Matrix Report” is completed for all processes that were audited by the audit team? **Non-Conformance Records**1.) Is the objective evidence for that identified nonconformities recorded in accordance with 9101 requirements?2.) Is there evidence that all associated 9101 Nonconformity Reports were completed per the defined requirements and associated form instructions? NOTE: This includes the completion of all sections on the associated Nonconformity Reports: sections 1, 2 and 3.4.) Major-Minor: Is there evidence that the nonconformities are identified as “major” or “minor” according to the definitions provided in 9101?5.) Containment: Is there evidence that the need for containment action was identified in the Nonconformity Report?6.) Evaluate all issued NCRs for adequate Corrective Action implementation. |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

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| **Item** | **2.27** | **Market Surveillance** |  | **Reference(s)** |
| Verify the Client has an assigned OASIS Administrator and they are managing any request for Tier 2 audit results data.  | 9104-1 Para 9.1.6 |
| Discuss with the organization and ensure an OASIS administrator has been assigned and they are an active employee of the organization.  |  |
| **Assessment Evidence** |
| Enter the answer here |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation |
| Assessment Result: (describe the NCR, OFI and / or Observation) |

**Instructions for Completing Check Sheet:**

This check sheet shall be used for 9104-001 market surveillance assessment.

It complements the oversight data input directly into OASIS and is to be entered as an attachment.

Document assessment results within the table as follows:

* **Conforming (C)** - The process records/evidence demonstrate effective implementation; process assessed and found acceptable.
* **Nonconforming (NC)** - The process records/evidence were assessed, and a nonconformity was identified.
* **Not Applicable (NA)** - The question is not applicable; record objective evidence in the “Assessment Evidence/Comments” column.
* **Not Evaluated (NE)** – The questions was not asked during the assessment.

**Assessment Evidence / Comments:**

Include appropriate detail in the “Assessment Evidence” column to support the assessment results

Additional questions may be added, as deemed appropriate.

**Nonconformity Reports**

NCRs issued during the oversight by the OP Assessor are to be directly written in OASIS and shall be followed through with OASIS

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| **Document Revision History** |
| **Revision Date** | **Description of change** |
| 18th April 2023 | New document issued |
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