

SADCAS Ref. No:							
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## ISO/IEC 17021-1:2015 - Vertical Assessment

Date :										
Assessor:										
Organization :										
Area/Field of Operation:	QMS		EMS		Other?	HACCP/BRC/OHSMS				
Organization's Representative:										
<p><b>REQUIREMENTS AND COMMENTS</b></p> <p>NB: Indicate <b>WHAT</b> has been checked and <b>HOW</b> requirements have been implemented. The order of assessment need not follow the order of the completion of this form. Assessors are expected to know &amp; have the standard, this form is designed as guidance to prompt detailed recording of the process. <i>Refer to the relevant IAF mandatory document for detail and for clarification notes.</i></p>										
<p><b>9.1.10 Audit Report sampled</b></p> <p>Please use one (1) form for each file assessed. Record at least the NACE Code, date, auditor detail and the accredited parameters as on the Accreditation Schedule.</p>										
<b>Name and Address of Client</b>										
<b>Location of Sites Audited</b>										
<b>Management Representative of the Client</b>										
<b>Type of audit:</b>	Stage 1		Stage 2		Surveillance		Re-assessment		Other?	
<b>Certification date</b>					<b>1<sup>st</sup> Surveillance date</b>					
<b>2<sup>nd</sup> Surveillance date</b>					<b>Re-certification date</b>					
<b>Audit date</b>										
<b>Description of Economic Sector/Activity</b>										
<b>IAF CODE/NACE CODE/EAC Code/Other:</b>										

<b>Number of clients for the Code</b>	
<b>Name of audit team leader responsible for report</b>	
<b>Audit team members, Observers and Guides</b>	
<b>Audit findings, evidence and conclusions, consistent with the type of audit</b>	
<b>Unresolved issues</b>	
<b>Application for Certification</b>	<b>9.1.1</b>
<p>Does the application cover the following:</p> <ul style="list-style-type: none"> <li>a) Scope of certification?</li> <li>b) General features: i.e. legal status and obligations, name, address, physical</li> <li>c) Locations, significant aspects?</li> <li>d) General information for the field of certification, activities, human and technical resources, functions and relationship in a larger cooperation if any?</li> <li>e) Outsourced processes?</li> <li>f) Standard or other requirements for which standard is sought?</li> <li>g) Consultancy used?</li> </ul>	

<b>Application Review</b>	<b>9.1.2</b>
<p>Application Reviewer: Skills and knowledge</p> <p>CB review to ensure:</p> <ul style="list-style-type: none"> <li>a) Information sufficient for Certification?</li> <li>b) CB's requirements for Certification defined, documented and provided?</li> <li>c) Differences resolved?</li> <li>d) CB's competence and ability to perform the certification activity confirmed?</li> <li>e) Scope, locations, time required confirmed and influences?</li> </ul> <p>Documented procedure for audit time? Aspects a) to f) taken into consideration</p> <ul style="list-style-type: none"> <li>• QMS: Auditor time based on IAF MD 5?</li> <li>• EMS: Auditor time based on IAF MD 5</li> <li>• Other: Auditor time based on standard requirements?</li> </ul>	<p>9.1.2.1</p> <p><b>9.1.4</b></p>
<b>Multisite sampling</b>	<b>9.1.5</b>
<p>Multi-site sampling plan in place as per IAF MD 1?</p> <p>Rationale for sampling plan documented?</p> <p>Does the CB have a sampling programme?</p> <p>Are specific certification schemes requirements for sampling followed?</p>	
<b>Multiple Management System standards</b>	<b>9.1.6</b>
<p>Where the CB provides certification to multiple management system standards, is planning of the audit done in a manner to ensure adequate on site auditing</p>	

<b>Audit plan</b>	<b>9.2.3</b>
Does the CB establish an audit plan prior to audit?	9.2.3.1
Is the audit plan appropriate to the objectives and scope of the audit? Does it cover items a) to f)?	9.2.3.2
Are tasks given to the audit team defined? Are items a) to d) covered?	9.2.3.3
Does the CB communicate the audit plan and agree in advance the audit dates with the client?	9.2.3.4
Does the CB provide the name of, and when required make available the background information on each member of the audit team with sufficient time for the client to object?	9.2.3.5
<b>Initial Certification Audit</b>	<b>9.3.1</b>
<b>Stage 1 Audit</b>	9.3.1.2
Stage 1 Audit activities. Were the following covered during Stage 1 audit?	9.3.1.2.2
a) Audit client's management system documentation;	
b) Evaluate the client's location and site-specific conditions and to determine the	
c) preparedness for the stage 2 audit;	
d) Review the client's understanding of requirements;	
e) Collect necessary information regarding the scope, processes, applicable statutory and regulatory requirements and location(s) of the client and related;	
f) Review the allocation of resources for stage 2;	
g) Provide a focus for planning the stage 2;	
h) Evaluate the internal audits and management review, planned and performed the	
i) implementation of the management system and readiness for the stage 2 audit.	
Documented conclusions, audit findings and evidence of communication to client including areas of concern?	9.3.1.2.3
Determination of interval between Stage 1 and Stage 2? Customer needs to resolve areas of concern given consideration?	9.2.3.1.3

<p><b>Stage 2 Audit</b>          Does the CB carry out stage 2 at the client's site?          Were the following covered during Stage 2 audit?</p> <ul style="list-style-type: none"> <li>a) Information and evidence on conformity to all requirements, management system standard and other normative document?</li> <li>b) Performance monitoring, measuring, reporting and reviewing against key performance objectives and targets?</li> <li>c) The client's management system and performance as regard legal compliance?</li> <li>d) Operational control?</li> <li>e) Internal auditing and management review?</li> <li>f) Management responsibility for the client's policies?</li> </ul>	<p>9.3.1.3</p>

<p><b>Initial Certification Audit Conclusions</b> Evidence that the audit team analyzed all information: Stage 1 and Stage 2; and agreed on the audit conclusion?</p>	<p><b>9.3.1.4</b></p>
<p><b>Information for Granting Initial Certification</b></p>	<p><b>9.5.3</b></p>
<p>Minimum information provided by the audit team:</p> <ul style="list-style-type: none"> <li>a) The audit reports</li> <li>b) Comments on the non-conformities correction and corrective actions taken</li> <li>c) Confirmation of the information provided to the CB used in the application review (see 9.1.2);</li> <li>d) Confirmation that audit objectives have been achieved; and</li> <li>e) A recommendation whether or not to grant certification, along with any conditions or observations</li> </ul>	<p>9.5.3.1</p>
<p>Does the CB carry out another stage 2 audit if major nonconformities have not been closed?</p>	<p>9.5.3.2</p>
<p>Does the CB have a process for obtaining sufficient information in order to take a decision on certification when dealing with a transfer of certification from another CB?</p>	<p>9.5.3.3</p>

<b>Surveillance Activities</b>	<b>9.6.2</b>
<p><b>General</b> Surveillance activities planned to cover the scope over the cycle taking changes into account Do surveillance activities include on-site audits activities? Other surveillance activities may include:</p> <ul style="list-style-type: none"> <li>a) Enquiries from the CB to the certified client on aspects of certification;</li> <li>b) Reviewing any client’s statements with respect to its operations (e.g. promotional material, website);</li> <li>c) Requests to the client to provide documents and records (on paper or electronic media); and</li> <li>d) Other means of monitoring the certified client’s performance</li> </ul>	<b>9.6.2.1.2</b>
<b>Surveillance audit</b>	<b>9.6.2.2</b>
<p>Are surveillance audits on-site audits? Does the surveillance audit include at least:</p> <ul style="list-style-type: none"> <li>a) Internal audits and management review;</li> <li>b) A review of actions taken on non-conformities identified during the previous audit;</li> <li>c) Treatment of complaints;</li> <li>d) Effectiveness of the management system with regard to achieving the certified customer’s objectives;</li> <li>e) Progress of planned activities aimed at continual improvement;</li> <li>f) Continuing operational control;</li> <li>g) Review of any changes; and</li> <li>h) Use of marks and/or any other reference to certification</li> </ul>	9.6.2.2

<p>Are surveillance audits conducted at least once a year? The date of the first surveillance audit following the initial certification shall not be more than 12 months from the last day of the Stage 2 audit.</p>	<p>9.1.3.3</p>
<p><b>Maintaining Certification</b></p>	<p><b>9.6</b></p>
<p>How does the CB maintain certification? Does the CB base certification on a positive conclusion by the audit team without further independent review, provided that:</p> <ul style="list-style-type: none"> <li>a) For any major non-conformity or other situation that may lead to suspension or withdrawal of certification, the CB has a system that requires the audit team leader to report to the CB the need to initiate a review by appropriately competent personnel (see 7.2.9) different from those who carried out the audit to determine whether certification can be maintained, and</li> <li>b) Competent personnel of the CB monitor its surveillance activities including monitoring the reporting by its auditors, to confirm that the certification activity is operating effectively.</li> </ul>	
<p><b>Re-certification</b></p>	<p><b>9.6.3</b></p>
<p><b>Re-certification Audit Planning</b> Are re-certification audits planned and conducted to evaluate the continued fulfilment of all of the requirements? Does re-certification audit consider the performance of the system over the period of certification and include the review of previous surveillance audit reports? Does the re-certification need to have a Stage 1 audit due to significant changes to the management system?</p>	<p><b>9.6.3.1</b> 9.6.3.1.1 9.6.3.1.2 9.6.3.1.3</p>



<b>Re-certification Audit</b>	<b>9.6.3.2</b>
<p>Does the re-certification audit include an on-site audit that addresses the following:</p> <ul style="list-style-type: none"> <li>a) The effectiveness on the management system in its entirety?</li> <li>b) Demonstrated commitment to maintain the effectiveness and improvement of the management system?</li> <li>c) Does the management system contribute to the achievement of the certified client's objectives?</li> </ul> <p>When major non-conformities are identified, does the CB define time limits for correction and corrective actions to be implemented and verified prior to the expiration of certification?</p> <p>When recertification activities are successfully completed prior to expiry of certification, does the CB issue a new certificate on or after the recertification decision?</p> <p>Does the CB explain to the client of the consequences if certification has not been completed prior to expiry of the existing certification?</p> <p>For certification restored within 6 months following expiry, does the CB ensure that the expiry of the certification is based on the prior certification cycle?</p> <p>Where certification has not been restored within 6 months, does the CB require at least a stage 2 audit to be done?</p>	<p>9.6.3.2.1</p> <p>9.6.3.2.2</p> <p>9.6.3.2.3</p> <p>9.6.3.2.4</p> <p>9.6.3.2.5</p>

<p><b>Special audits</b></p>	<p><b>9.6.4</b></p>
<p><b>Expanding Scope</b> Does the CB review applications for extension to the scope of a certification already granted and determine any audit activities necessary to decide whether or not the extension may be granted? Is this conducted in conjunction with a surveillance audit?</p>	<p><b>9.6.4.1</b></p>
<p><b>Short notice Audits</b> Any short notice audits to investigate complaints or in response to changes or as follow up on suspended clients? In such cases does the CB:</p> <ul style="list-style-type: none"> <li>a) Make known to the certified clients the conditions under which these short notice visits are to be conducted? and</li> <li>b) Exercise additional care in the assignment of the audit team because of the lack of opportunity or the customer to object to audit team members?</li> </ul>	<p><b>9.6.4.2</b></p>

<i>Additional / General comments - This space may also be used to expand on comments in specific sections</i>		
<b>Signed :</b> <b>Technical Assessor</b>		<b>Date:</b>
<b>Signed:</b> <b>Team Leader:</b>		<b>Date:</b>