Name of theCompany	
Address	
Temporary Site Address (If any)	
No. Of Employees andshifts.	
E mailid	
ContactPerson	
Telephone/Fax	
Scope	
Technical Area Code/Descripti	
NACECode	
Clause which is not applicable	Clause- Detailed justification for Non Applicability-
AuditTeam	Team Leader: Auditor: Technical
Date ofAudit	
Brief about the organization	

AuditObjectives	Determination of the conformity of the client's management system, or parts of it, with audit criteria;
	Evaluation of the ability of the management system to ensure the client organization meets applicable statutory, regulatory and contractual requirements though it is not a legal compliance audit;
	Evaluation of the effectiveness of the management system to ensure the client organization is continually meeting its specified objectives;
	The identification of the applicable area for potential improvements of the Management System
AuditCriteria	The Requirement of the ISO 9001:2015 and other applicable Normative documents as applicable.
	The Defined Procedure, Process and Documentation developed and Implemented by the Client in the organization

AQA/F/MKT/3 Rev.0 Date: 01.01.2024	**ACE QUALITY ASSESSORS** **STAGE -2 AUDIT REPORT**

Legal and Statutory Requirement Applicable to product and company	

SUMMARY OF AUDIT

AREA OF IMPROVEMENT	
S.NO	DESCRIPTION

NON CONFORMITIES		
No of Major Non Conformities : No of Minor Non Conformities : *Note: The detailed NC is to be submitted and accepted by the client on AQA.F02. Client has to be respond for the corrective action with root cause with in 30 days to the AQA.*		
Clause No.	NC Detail	Type of NC (Major/Minor)

Team Leader Declaration (Tick or cross Each Column as per applicability)	
	Auditing is based on a sampling process of the available information
	Audit is combined, joint or integrated;
	The effectiveness of corrective actions taken regarding previously identified
	nonconformities has verified
	outcomes are effective and complying.
	The internal audit and management review process are effective and complying with the requirements.
	The scope of certification is appropriate.
	The capability of the management system to meet applicable requirements and expected
	The audit objectives has been fulfilled and achieved.

PREPARED BY	P PRATHMESH	APPROVED BY	P RAJENDRA

Recommendation: (Tick the appropriate option as appropriate for recommendation)

	The quality system complies with the requirements of the reference standard: Congratulations, on the basis of the above summary, Team Leader is pleased to put forward a recommendation for Issuance of Certificate. The organization can use the ROHS& EIACI MarkasperlogorulesshallbeattachedwithCertificate.
	The quality system complies with the requirements of the reference standard with exception of minor NC: Congratulations, Team Leader is pleased to put forward a recommendation for Issuance of the certificate of Organization after receiving the Proposed Correctiveactionswith30days.TheclosureoftheNCwithevidencesshallbeverifiedonsitein the nextaudit. If proposed corrective actions are not submitted within time frame, a full reassessment may be required.
	Evidence of major non conformities: Organization is not recommended for Issuance of Certificate and at this time. Follow-up audit will be scheduled to allow for on-site verification andclosureofallissueswithin60daysfromthedateofStage2. Once all non-conformances are closed, the recommendation for Issuance of certification may recommended. Ifallnon-conformancesarenotclosedwithin60days, a full reassessment may be required.
	Not Recommended: Organization is not recommended for Issuance of certificate at this time. Full Stage 2 audit is required as the organisation has not implemented the system and process at pace..
	Proposed Audit Date for 1st Surveillance Audit…….(mm/dd/yy)

Sign Off : (Date)	
AQA Report Submission	Client Acceptance for Report
Name of Team Leader: Signature:	Name: Sign Designation:

AUDIT CHECKLIST

VERIFICATION OF DOCUMENTED INFORMATION & RCORDS AS PER STD REQUIREMENT (C- Conformity, NC-Non Conformity, O-Observation)		
Clause Number	C/NC/O	Document Verification detail with statement of Conformity
4.1 understanding the organization and its context (Determination of external and Internal Issues)		
4.2 Understanding the needs and expectations of interested parties (Determination, Monitor & Review of the Interested Parties)		
4.3 Determining the scope of the quality management system (Boundaries and Type of Product and Services and any requirement not applicable)		
4.4 Quality management system and its processes (Established , Implement and maintained, process and Interaction of Process)		
5.1.1 Leadership & Commitment (Statement of ensurity)		
5.1.2 Customer focus (statement of conformity)		
5.2 Quality policy (Establish, Implement, Maintain, communicated and understood)		
5.3 Organizational roles, responsibilities and authorities		
6.0 Planning		
6.1 Actions to address risks and opportunities (Risk Assessment has done with prevention of undesirable effects)		
6.2 Quality objectives and planning to achieve them (Documented, Measurable, Monitored and communicated)		
6.3 Planning of changes (As per 4.4) and Purpose, resource availability and allocation		
7.1 Resources (Need of External resources, People, Infrastructure, Environment, Calibration records, Organisational Knowledge)		
7.2 Competence (Employee records & Competence skill matrix)		

*7.3*Awareness (Quality Policy, Objectives& Effectiveness ofQMS)		
7.4 Communication (what, who, when, whom, how)		
7.5 Documented information (External Origin, Creation, Updation, Distribution, Preservation, version control, Retention and disposition)		
8.1 Operational planning and control (Plan, Implement and control of process, documented information for process carried our as planned and Conformity of product or services)		
8.2.1 Customer communication (Enquiries, Contract, order,feedback, complaints)		
8.2.2 Determining of Requirements for products and services (Objective evidence for record of contract review and approval, Record verification of Statutory & Regulatory shall be referred here, record for communication of changes, legal requirements need to be re-verified if any concerns identified in Stage 1 audit or any new product added)		
8.2.3 Review of the requirements for products and services (Documented Information for Result of review and any new requirements for product or services)		
8.2.4 Changes to requirements for products and services (the changed documents is awareand approved by relevant person)		
8.3 Design and Development (D&D)		
8.3.1 General Establish, Maintain and Implement the D&D Process		
8.3.2 D&D Planning (Record reference) *7.3.3* D&D Inputs (Record reference for the inputs) 8.3.4 D&D Controls (Record reference &Approval) 8.3.5 D&D Outputs (Record reference for outputs) 8.3.6 D&D Changes (Record reference for changes, approved, validated & verified before implementation & actions as necessary)		

8.4.1 Control of externally provided processes, products and services (documented Information for criteria for the evaluation, selection, monitoring of performance and re-evaluation	**-2**	**REPORT**
8.4.2 Type and extent ofcontrol (Control Verification)		
8.4.3 Information for external providers (Competence and qualification of external provider)		
8.5.1 Control of production and service provision (Records verified work instructions for the processing including delivery and post-delivery activities, characteristic of product, equipments use and availability for monitoring and measurement)		
8.5.2 Identification and Traceability (Records verified for identification batch no or serial no in process as well as final dispatch)		
8.5.3 Property belonging to customers or external providers (Documented Information of Lost or damaged property)		
8.5.4 Preservation of output (objective evidence for meeting the defined storage conditions for handling, packaging, storage and protection)		
8.5.5 Post-deliveryactivities (Life time, maintenance, Warranty & Guarantee, Final Disposal)		
8.5.6 Control of changes (Documented Information change review result, person who is authorized to changes		
8.6 Release of products and services (Planned Arrangement documented information for acceptance criteria and authorized person traceability)		
8.7 Control of nonconforming outputs (Documented Information for Non conformity, action taken, concession, authority deciding action)		
9.1.1 Monitoring, Measurement analysis and evaluation		
9.1.2 Customer Satisfaction (Analysis of Customer Satisfaction)		

9.1.3 Analysis andEvaluation		
9.2 InternalAudit (Frequency and Documented Information for Implementation of Audit Program and the audit result)	--2	**REPORT**
9.3 Management Review (Frequency, Input, Output, Documented Information for MRM Results)		
10.1 Improvement – General		
10.2 Nonconformity andCorrective action (Documented Information fornature of NC and result of action taken)		
10.3 Continual improvement		