

STAGE -1 AUDIT REPORT

Date of Audit	
Name of the Organization	
Address	
Site Specific Conditions (If any)	
Audit duration Manday(s):	
No. of Employees	
No. Of Shift	
Contact Person with mail id	
Telephone/Fax/Mobile	
Scope of certification	
Technical Area /NACE Code	
Non Applicability of clause	Clause Detailed justification for Non Applicability
Audit Team	Team Leader: Auditor: Technical Expert: Observer/Trainee:
Audit Objective	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.
Changes since last assessment/Application	Scope: No. of Employees: No. of Shift: Any other:
Brief about the organization	

Prepared by

Approved BY

AUDIT CHECKLIST

REQUIREMENTS	COMMENTS	Status C/NC/O
Is the client has determined the internal and external issues for understanding of organization and its context ?		
Is the client has determined the need and expectation of the interested parties ?		
Is the Client Management system is based on Risk based thinking and analyzing the risk at each process after considering the Internal, external issues and need and expectation of Interested parties?		
Is scope of QMS is documented and having Boundaries?		
Are processes for QMS identified and their sequence & interaction defined?		
Any Statutory and/or regulatory requirements applicable to the product identified and complied with?		
Is there a documented statement of Quality Policy?		
Is Quality objectives identified, documented and are measurable and monitored?		
Are Internal audits conducted as planned and effective? Date of Last Internal Audit and frequency?		
Are Management reviews conducted as planned and effective?		

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Date of Last MRM and frequency?		
Are customers complaints recorded? Is there evidence of resolving the same?		
Is there any outsourced process effecting in the conformity of the product?		

Audit Summary

COMMENTS	TICK (✓ As applicable)
Client's management system documentation adequate for Stage 2 auditing	
Client understand the requirements of the relevant standards adequately for the stage 2 audit to be conducted	
Auditing is based on sampling process of available information	
Level of implementation substantiate that the client is ready for stage 2	
The audit is not combined, joint or integrated	
The effectiveness of corrective actions taken regarding previously identified nonconformities and observations has verified and found satisfactory	
The capability of the management system to meet applicable requirements and expected outcomes are effective and complying	
The internal audit and management review process are effective and complying with the requirements.	.
The Objective of the audit is achieved	

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Observations		
Non Conformities	Minor	
	Major	
Recommendation (✓ As applicable)		Recommend proceeding with Stage 2
		Recommend not proceeding to stage 2 until audit evidence has been submitted to ROHS showing that the concerns raised by the auditor (s) have been rectified. A date for stage 2 will then be agreed
		Recommend not proceeding without a further stage 1 Audit due to the severity of the concerns raised by the audit team

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