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Conformity assessment -- Requirements and recommendations for content of a third-party audit report on management systems

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Foreword

This standard was drafted in accordance with the rules given in GB/T 1.1-2009.

This standard uses the translation method identical with ISO /IEC TS17022.2012 "conformity assessment management system third-party audit report content

Requirements and Recommendations "(in English).

The documents of our country that are consistent with the corresponding international documents that are normative references in this standard are as follows.

--- GB/T 27000-2006 Conformity assessment vocabulary and common principles (ISO /IEC 17000.2004, IDT)

This standard is proposed and managed by the National Certification and Accreditation Technical Committee (SAC/TC261).

This standard drafting unit. China Metrology University, Zhejiang Institute of Standardization, Hangzhou Institute of Standardization, Zhejiang Province Quality and Technical Review

Evaluation Center, China Certification and Accreditation Association, China National Institute of Standardization, Shanghai Institute of Quality Control Science and Technology, Qingdao Haier limited quality test set

Mission, Beijing Chuangyuan Pa Hsin-cheng Management System Certification Co., Ltd., China National Accreditation Service for Conformity Assessment, Shanghai Tobacco (Group) Company, China Construction

Material Testing and Certification Center.

Introduction

This standard includes third-party management system certification audit report content requirements and recommendations to meet the various stakeholders (audit commission,

Certification bodies, accreditation bodies and other potential users) requirements and expectations.

The development of this standard in order to achieve the third-party management system certification audit report content in the content and information consistency of the basic requirements to

Increase the credibility of the audit team's work and certification process.

Although the audit commission and the certification body are the main users of the audit report, the content of the audit report is also required to satisfy other interests

Stakeholder needs. The following are examples of possible users or stakeholders of the information in the audit report.

--- Accreditation body;

---Regulatory Authority;

--- program owner.

The information provided in the audit report mainly meets the needs of various stakeholders. At this point, stakeholders may need to know

Next message

a) whether the management system meets the required requirements;

b) any unqualified and concerned aspects;

c) any opportunities for improvement;

d) Any strengths and weaknesses;

e) review the planned information in the future;

f) aspects that require follow-up verification;

g) Other information required by the certification decision.

In this standard, the following auxiliary verbs are used.

--- "shal" for requirements;

--- "?" (advised) means advice;

--- "may" means permission;

--- "can" means the possibility or ability.

More detailed description can be found in part 2 of the ISO /IEC Directives.

Conformity Assessment Management System Third Party Audit Report

Content requirements and recommendations

1 Scope

This standard is based on ISO /IEC 17021 related requirements, given the third-party management system certification audit report requirements and recommendations.

2 Normative references

The following documents for the application of this document is essential. For dated references, only the dated version applies to this article

Pieces. For undated references, the latest edition (including all amendments) applies to this document.

ISO /IEC 17000 Conformity Assessment Vocabulary and General Principles (Conformityassessment-Vocabulary and general

principles

ISO /IEC 17021.2011 conformity assessment management system audit certification body requirements (Conformityassessment-Re-

quirementsforbodiesprovidingauditandrtificationofmanagementsystems)

3 Terms and definitions

ISO /IEC 17000 and ISO /IEC 17021 define the following terms and definitions apply to this document.

3.1

Unconformity nonconformity

Unmet requirements.

[ISO 9000.2005, definition 3.6.2]

4.1 ISO /IEC 17021 requirements

9.1.10.2 of ISO /IEC 17021.2011 states that the audit team leader should ensure that the audit report is prepared and that the audit report should be reviewed

Be responsible for. The audit report should provide accurate, concise and clear audit

records in order to provide sufficient information for the certification decision and should include or quote

Use the following content.

a) indicate the certification body;

b) the name and address of the auditee and its manager's representative;

c) Type of audit (eg initial, supervisory or recertification audit) (see 4.2.2);

d) audit criteria (see 4.2.3);

e) the purpose of the audit;

f) the scope of the audit, in particular identifying the organizational unit or functional unit or process to be audited, and the timing of the audit (see 4.2.4);

g) indicate the audit leader, audit team members and any counterparts audit team (see 4.2.5);

h) (on site or offsite) the date and place of implementation of the audit activity (see 4.2.6);

i) audit findings consistent with the type of audit, audit evidence and audit findings (see 4.2.7);