

N/C's Justification Exercise 06

*The following objective evidence statements have been used to justify Non Conformities (findings). You are requested to grade them as **Acceptable** or **Not Acceptable** and be ready to substantiate your decision.*

Objective Evidence	Acceptable or Not Acceptable	Justification
The audit team failed to cover statutory requirements thoroughly.		
The audit did not cover the management commitment to implementing the policy for assigning roles and responsibilities (document issue) and allocating resources.		
The audit did not insist on keeping HACCP records.		
The contract with supplier and/ or the organisation's document "..." does not cover the satisfaction of the requirement of clause 3.1.(2) of the Accreditation Regulation (AR).		
ISO 9001 and ISO 14001 technical experts N. and K. have not signed the Code of Conduct or a Confidentiality Agreements.		
The organisation's auditor records are not complete. Documents included in other records are missing, something that was not detected during the last audit.		
Section 5.7, clause 12 and section 5.8, clause 4 of the organisation's document "..." states that the organisation awards certification, even if some non conformities have not been closed out (irrespective of their grading)		
The list of approved auditors includes Mr. N.P. as an ISO 22000 auditor, although he is not certified to conduct ISO 22000 audits.		
The assessment team for confectionery raw materials (...) is not competent as to the auditors (mechanical engineer and chemical engineer) or the technical expert (vet).		
Accreditation Body has not been notified of a significant change to the structure of the CB.		
Deficient control and distribution of internal and external documents.		
The criteria/ substantiating reasons for reducing audit days, including the cases of combined audits, are not documented.		

There is no updated organisational flowchart and no delegates are assigned		
An internal audit of the QMS was not conducted by a person other than the Quality Manager.		
Deficiencies in audit reports and closing of non conformities on the basis of insufficient evidence have been detected.		
There is no provision for managing customer complaints from companies undergoing certification		
Deficiencies in employee files have been detected.		
A certificate has been maintained for almost a year, despite 9 open non conformities		
There are deficiencies in the documentation for the suitability of welders in a customer file.		
The requirements for assessing and monitoring subcontractors are not implemented.		
The audit and decision making are based on rigorous principles, which however are not properly documented as criteria.		
The Impartiality Committee is not completely impartial (a member of the ... Board of Directors is also the Chairman of the Impartiality Committee). Also, parties with critical interests, such as doctors, nurses, etc., are not represented in it. Furthermore, it does not carry out the required control (e.g. applications, financial issues).		
There is no list for competence scopes for which the auditors have been assessed.		
7 relatively important non conformities have been issued, as opposed to 3 from the previous audit, which in addition had not been satisfactorily closed. Questions arise as to whether the mandate given to the audit teams is stable and adequate.		
A member of the Impartiality Committee has not signed a confidentiality agreement.		
There are gaps in the documentation in reviewing applications.		
The audit notes, on which the report is based, are missing.		
Auditors have not signed confidentiality agreements when auditing customers.		
Procedure CP-08 does not determine criteria for the appointment of a Lead Auditor or the process for appointing them.		
Form E-CP-05.02, which is included in the human		

resources management procedure CP-05, is not filled in completely. Delegates have not signed it and there is no information of the assessment of training effectiveness.		
The data on the financial stability, the resources and the social security insurance from the certification body are not available.		
There are inconsistencies and gaps in relation to the certification body's top management (organisational flowchart, signatures on the policy and the management review records).		
During the on-site audit of ABC Inc., the external consultants played a decisive part in the audit, superseding the company representatives.		
The organisation's confidentiality agreement and code of conduct forms do not clearly mention the case where the auditor is a former employee of the company to be audited.		
The certification body has issued a compliance certificate against ISO 9001, bearing the Accreditation logo to the company "CERAMICS S.A." which falls within a scope, which is not included in the existing accreditation scope of the certification body.		
The internal audit procedure QP-ADM-16 is not clear on the recording of non conformities and has not been revised since 20/6/2000.		
There is no documented procedure on managing complaints from third parties.		
No risk analysis has been conducted for the impartiality of participating members.		