|  |  |  |
| --- | --- | --- |
| **Details of the CAB** | | |
| Name: |  | |
| Address: |  | |
| File number |  |  |
| Case number | Phase |
| Date of witness audits: | Please select | |
| Accreditation process: | Please select | |

|  |  |
| --- | --- |
| **Details of the audited organisation** | |
| Name and address of the audited organisation |  |
| Name/s of assessed auditor/s: |  |

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Details of Assessor** | | | | | | | | | | |
|  | **Lead assessor** |  | **System  assessor** (SA) | |  | **Technical**  **Assessor** (A) |  | **Technical**  **Expert** (TE) |  | **Observer** |
| Name: | | | |  | | | | | | |
| Institution: | | | |  | | | | | | |
| Phone / Fax | | | |  | | | | | | |
| E-Mail: | | | |  | | | | | | |

|  |
| --- |
| **Assessed standard / area:** |
|  |

| **Communication during the assessment** | |
| --- | --- |
| Language/s: | Name of the persons, independent of the CAB and its client, having the knowledge of the local language: |
|  |  |
| Remarks to the communication (interviews, records in the local language etc.) | |
|  | |

| **Other information about the Audit** | |
| --- | --- |
| * Time * Sequence * Parties, persons present * Others |  |

| **Preparation of the Audit** | | **Appraisal**[[1]](#endnote-1) | | | |
| --- | --- | --- | --- | --- | --- |
| **1** | **2** | **3** | **S**[[2]](#endnote-2) |
| Basis of the audit  (standard, certification programme) |  |  |  |  |  |
| Audited Scope |  |  |  |  |  |
| Audit plan  (complete and sufficient) |  |  |  |  |  |
| Case documents  (complete, available and up to date) |  |  |  |  |  |
| Standards/rules and regulations (available and up to date) |  |  |  |  |  |
| Information on the operation is available  (e.g. reports, non-conformities, conditions) |  |  |  |  |  |
| Are the auditors competent with regard to the scope and able to show evidence (e.g. Q-records, act. monitoring a.s.o.)? |  |  |  |  |  |
| Planned audit time is adequate and according to the requirements  (document check, on-site audit, reporting time, combined audits) |  |  |  |  |  |
| Others |  |  |  |  |  |

| **Performance of the audit** | | **Appraisal** | | | |
| --- | --- | --- | --- | --- | --- |
| **1** | **2** | **3** | **S** |
| Has a document audit been conducted? |  |  |  |  |  |
| Introduction with all relevant elements  (cf. ISO/IEC 19011) |  |  |  |  |  |
| Clear assignment of the responsibilities within the audit team, working atmosphere |  |  |  |  |  |
| Sufficient records with regard to the assessed evidences, documents, sequence of the audit and results are kept |  |  |  |  |  |
| Knowledge on related standards, regulations, norms, requirements  in general (for products, including related processes, legal foundations) |  |  |  |  |  |
| Observations/assessments on site |  |  |  |  |  |
| Auditing of all relevant areas/sites |  |  |  |  |  |
| abilities for communication, take up of information, authority and analytical skills |  |  |  |  |  |
| Conversation skills and questioning technique |  |  |  |  |  |
| Recognition and behaviour in critical situations |  |  |  |  |  |
| Social competence  of the auditor |  |  |  |  |  |
| Appearance? |  |  |  |  |  |
| Others |  |  |  |  |  |

| **Closing and documentation of the audit** | | **Appraisal2** | | | |
| --- | --- | --- | --- | --- | --- |
| **1** | **2** | **3** | **S3** |
| Establishing audit findings? |  |  |  |  |  |
| All relevant non-conformities recognised? |  |  |  |  |  |
| Non-conformities adequately formulated and classified? |  |  |  |  |  |
| Documentation of audit results are complete and comprehensible? |  |  |  |  |  |
| Closing meeting with all relevant elements  (compare with ISO/IEC 19011) |  |  |  |  |  |
| Non conformities sufficiently discussed with the client? |  |  |  |  |  |
| Appropriate corrective measures identified and a deadline determined? |  |  |  |  |  |
| Audit Report with all vital elements (usually submitted later) |  |  |  |  |  |
| Time schedule followed? |  |  |  |  |  |
| Necessary follow up activities implemented  (if relevant)? |  |  |  |  |  |
| Others |  |  |  |  |  |

| **Summary, remarks and improvement potential** |
| --- |
| * Suitability of the audit process according to the requirements of DIN EN ISO/IEC 17021-1 * Compliance with additional requirements (e.g. system, specification, legal aspects, etc.) * Overall impression considering special situations if any, strengths and weaknesses of the audit process as well as with regard to the principle suitability including potentials for improvements * Evaluation of the competence of the auditor and/or team * Concluding appraisal |
|  |
| Upon consultation with the assessor, the case manager may make changes or include additional information to the report |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| No. of non-conformities | Non critical: |  | To be rectified until: | Please select |
| critical: |  | Please select |

|  |
| --- |
| Reductions: |
|  |
| Focus for the following assessment based on the construction of the standard text: |
|  |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Report is prepared by the assessor:** | | | | | |
| Place: |  | Date: | Please select | Signed[[3]](#endnote-3) *Assessor Name:* |  |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Report reviewed by the case manager:** | | | | | |
| Place: |  | Date: | Please select | Signed *Case manager* |  |

Note: The report is to be sent to DAkkS as a Word file.

1. Grading:   
   **1**: Requirements met: **No** non-conformityidentified  
   **2**: Requirements partially met: **Non critical** non-conformityidentified  
   **3**: Requirements not met: **Critical** non-conformityidentified [↑](#endnote-ref-1)
2. S = Focus for the subsequent assessment visit [↑](#endnote-ref-2)
3. This report was prepared personally by on Please select and is valid without a signature. [↑](#endnote-ref-3)