

# Procedure

# MTLAS SOP 6 CBAs

2020-07-10

v01.00

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## Certification Body Assessments

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MYANMAR FOREST CERTIFICATION COMMITTEE



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# 1 Background

## 1.1 Introduction

This Myanmar Forest Certification Committee (MFCC) assessment procedure has been developed to guide monitoring processes that are carried out to ensure compliance of MTLAS Policy 2 Certification Body Requirements.

## 1.2 Scope

This procedure is applicable to MFCC employees for evaluation and monitoring purposes to the existing MFCC notified certification bodies against MTLAS Policy 2 Certification Body Requirements.

## 1.3 Normative Reference

MTLAS P 2 Certification Body Requirements

## 1.4 Definitions

<i>Corrective Action</i>	Is taken upon detection of a non-conformance to prevent it from happening again; we act to 'prevent' a repeat of a detected non-conformance.
<i>Major Non-Conformity</i>	<p>The absence of, or failure to implement and maintain, one or more requirements (of a Standard), that may result in a systemic risk to the function and effectiveness of the system and/or effects confidence in the client organisation's claims on certified raw material.</p> <p>Note: A major non-conformity may be an individual non-conformity or a number of minor but related non-conformities, that when considered in total are judged to constitute a major non-conformity.</p>
<i>MFCC</i>	Myanmar Forest Certification Committee
<i>MFCC Employees</i>	In this policy an MFCC employee can refer to full and part time employees, consultants and sub-contractors and volunteers.
<i>Minor Non-Conformity</i>	A single failure to fulfil the requirements of the Standard that may result in no systemic risk to the function and effectiveness of the system and/or effects confidence in the supplier's claims on certified raw material.
<i>MTLAS</i>	Myanmar Timber Legality Assurance System. MTLAS is contained in a range of documents including MFCC policies, Standard Operating Procedures, other supporting system documentation, and the MTLAS Timber Legality Standard.
<i>NA</i>	Not Applicable
<i>NCO</i>	Non-conformance and observations. A non-conformance is said to occur when a policy or practice is observed that goes contrary to the requirements of, in this case, MFCC (MTLAS and MFCS) documented policy and procedural requirements.
<i>Non-conformance</i>	The operator audited fails to conform with the MTLAS Standard criterion.
<i>Obs</i>	Observations

*Preventive action*

Is taken when we anticipate a potential problem and take action to eliminate the possible causes and prevent the occurrence

## 2 Procedure

### 2.1 Responsibilities

MFCC is responsible for ensuring these assessment procedures are carried out at least once a year. MFCC is also responsible for ensuring the results and findings are documented, reported and discussed at MFCC management review meetings, and making sure that the corrective and preventive actions are carried out in accordance with the MFCC procedures.

### 2.2 Methodology

The MFCC CEO and/or MFCC team will select a monitoring team and effective audit techniques to ensure usefulness, objectivity and impartiality of the monitoring process. Monitoring will comprise desktop and field evaluations.

Monitoring team members must be impartiality and not participated in certification bodies.

With the selected monitoring team MFCC will define the audit criteria, scope and methodologies.

### 2.3 Monitoring Procedure

#### 2.3.1 Monitoring Team

MFCC will arrange its own monitoring team and should include at least one team leader and one additional team member. In addition to the minimum requirements outlined in this procedure, applicable standards, and documents, monitoring team members must be inducted and familiarised with the MFCC standards and system documents (policies, procedures and SOPs). The minimum requirements of the team members are:

#### Team leader

The team leader at a minimum must:

- have a Bachelor's Degree in Forestry or relevant discipline with at least two years of experience of timber legality issues in Myanmar;
- participated in the Certification Body audit training process;

#### Team Members

- preferably have a Bachelor's Degree in Forestry or relevant discipline with experience of timber legality issues in Myanmar;
- participated in the Certification Body audit training process;

If so required MFCC can choose to have additional administrative and logistical support that requires no specific qualifications if the role has no actual auditing content.

#### 2.3.1 Monitoring Process Information

MFCC will prepare the assessment plan before carrying out the monitoring assessment.

The MFCC Monitoring Team will:

- Review the assessment and monitoring plan (Annex 1), assessment checklist (Annex 2) and finalise the scope of the audit, activities and the timing;
- Inform Certification Body and get agreement by email;
- Carry out the monitoring process;
- Grade and raise corrective action requests if there are any non-conformance/observations (NCOs);
- Agree timelines for the delivery of the final monitoring report.

### 2.3.2 Carrying out the Monitoring Process

The MFCC Monitoring Team will carry out the assessment against with the following requirements for the more effectiveness of the quality management system.

The stage must include at least the following.

- Conduct the monitoring consultation and investigation activities as planned;
- Conduct opening and closing meeting formalities (adopting CBAS CL 1 OM and CBAS CL 2 AM );
- Collect the evidence NCOs; and
- Inform the Certification Bodies of evidences and assessment findings.

### 2.3.3 Non-conformance

Before issuing an NCO, any non-conformance is classified as either major, minor or as an observation.

The monitoring team will be responsible for ensuring that the entities to be monitored are fully informed about:

- the purpose of NCOs;
- the different variety of NCOs;
- expectations with regards the corrective action process;
- the procedures and related deadlines for issuing, evaluating and closing NCOs;
- related complaints and appeals processes.

If a non-conformance and observation is raised during a monitoring process, the certification bodies must be notified during the Audit/Monitoring Closing Meeting.

### 2.3.4 Corrective Actions

For any non-conformity, there will be a proposed corrective action. All corrective actions must be cleared to the satisfaction of the Myanmar Forest Certification Committee's Monitoring Team.

The non-conformities will be numbered and listed in the monitoring report. The proposed corrective action must state:

- the proposed action to address the non-conformance;
- action deadlines(s) and responsibilities;
- root cause information to highlight how the non-conformance occurred;
- corrective action to prevent the non-conformance from re-occurring.

The certification bodies must identify the root causes of non-conformities and take action to remove them. MFCC will provide corrective action (CA) form (see Annex 8) to assist in the preparation of recording a corrective action plan. Failure to submit suitable actions and evidence to address any non-conformances within 90 days of the audit will result in suspension.

## 2.4 Reports

The MFCC Monitoring Team will provide formal reports (a completed checklist with evidence and comments as in Annex 7) to MFCC Senior Management on the monitoring process, results and findings and recommendations.

### 3 Appendices<sup>1</sup>

#### Annex 1: Assessment and Monitoring Plan

1. Name of CB		
2. Address:		
	Tel:	Fax:
	E-mail:	
3. Objectives of the monitoring		
4. Scope of monitoring		
5. Monitoring team members:	Monitoring Team Leader:	
	Team Members:	
6. Dates of monitoring		
7. Monitoring time		
8. Standards/ Policies/Procedure for Assessment	1. MTLAS Policy 2 Certification Body Requirements 2. Certification Body Assessment Checklist 3. Field Assessment	
9. Methodology of Monitoring & Assessment	1. Document Review 2. Interviews/ Consultation	
10. Monitoring & Assessment Results		
11. Conclusion and Recommendation of monitoring team		
<b>CB representative</b> <b>(sign, name and stamp)</b>	<b>Monitoring team leader</b> <b>(sign and name)</b>	

<sup>1</sup> These are examples only. Completed forms applicable to the relevant Certification Body are produced on a case by case basis.



Annex 2: Certification Body Assessment Checklist

Certification Name :	
Assessor:	
Date:	

This checklist is used on conjunction with SOP 6 Certification Body Assessment and MTLAS P 2 Certification Body Requirement.

Complete this checklist is a tick (✓) for any rating levels (compliance and non-compliance (Major, Minor, Obs and NA)).

Section 1: Auditing Team						
Reference	Requirement	Compliance	Non-compliance			
			Major	Minor	Obs	NA
2.1.2	Does the CB meet the minimum auditing team requirements?					
	Does lead auditor meet the minimum requirements?					
	Does auditor meet the minimum requirements?					
Notes/ Remarks						
Section 2: Resource Requirements						
Reference	Requirement	Compliance	Non-compliance			
			Major	Minor	Obs	NA
2.1.3	Does the CB have adequate auditing resources and plans as follows:					
	- Both financial and human audit resource planning					
	- Formal discussion and planning takes place at least once a year.					
Notes/ Remarks						

Section 3: Management Systems						
Reference	Requirement	Compliance	Non-compliance			
			Major	Minor	Obs	NA
2.1.4	Does the CB have own standard operating procedures and related management system as follows? <ul style="list-style-type: none"><li>- against MTLAS principle and ISO standard/guideline</li><li>- Key Policy (Conflict of Interest, Anti-Corruption, Impartiality, Confidentiality)</li><li>- (SOP) Complaints, Appeals and Disputes System</li><li>- corrective and Preventive Action Policies and Procedures (MFCC to CB)</li></ul>					
Notes/ Remarks						
Section 4: Audit Frequency and Type						
Reference	Requirement	Compliance	Non-compliance			
			Major	Minor	Obs	NA
2.2.1	Has all entities conducted verification process that consists of: <ul style="list-style-type: none"><li>- full assessment audits every five years</li><li>- review of progress against NCO</li><li>- annual surveillance audit</li></ul>					
Notes/ Remarks						
Section 5: Audit Process Requirements						
Reference	Requirement	Compliance	Non-compliance			
			Major	Minor	Obs	NA
2.2.2	Does the CB have the requirements for audit process? <ul style="list-style-type: none"><li>- Pre-certification activities</li><li>- Audit planning</li><li>- Initial certification</li><li>- Conducting audits</li></ul>					
Annex2	Does the audit plan reflect minimum audit time?					

Section 5: Audit Process Requirements						
Reference	Requirement	Compliance	Non-compliance			
			Major	Minor	Obs	NA
Training Manual	Does the CB follow the procedure of audit process? <ul style="list-style-type: none"><li>- Opening Meeting</li><li>- Field /Onsite Audit</li><li>- Review of Document</li><li>- Interview</li><li>- Stakeholder Consultation</li><li>- Preparing and Recording of NCO</li><li>- Categorizing of Audit Findings</li><li>- Closing Meeting</li><li>- Reporting Interview</li></ul>					
Notes/ Remarks						
Section 6: Decision Maker						
Reference	Requirement	Compliance	Non-compliance			
			Major	Minor	Obs	NA
2.2.3	Does the Certification Decision Maker meet the minimum requirements? <ul style="list-style-type: none"><li>- have at least 5years experience in FM and CoC assessments</li><li>- have demonstrated complete understanding of all key MTLAS requirements</li></ul>					
Notes/ Remarks						
Section 7: Technical Experts/Guidance						
Reference	Requirement	Compliance	Non-compliance			
			Major	Minor	Obs	NA
2.2.3	Does the technical expert meet the minimum requirements? <ul style="list-style-type: none"><li>- must be identified and agreed by the Certification Body senior management</li><li>- must induct and familiarise with the requirements of MTLAS</li></ul>					
Notes/ Remarks						

Section 8: Maintaining Certification						
Reference	Requirement	Compliance	Non-compliance			
			Major	Minor	Obs	NA
2.2.4	In addition to regular audit process results and findings, - Does the CB follow and accept the information from external parties as audit evidence?					
Notes/ Remarks						
Section 9: Surveillance						
Reference	Requirement	Compliance	Non-compliance			
			Major	Minor	Obs	NA
2.2.4.1	Does CB conduct a surveillance audit at least once a calendar year?					
	Does the surveillance audit comply with the ISO standard/Guideline requirements?					
	When there is a request or requirement, does CB conduct surveillance audit for consignment based audit for MTLAS?					
Notes/ Remarks						
Section 10: Granting Certification and Recertification						
Reference	Requirement	Compliance	Non-compliance			
			Major	Minor	Obs	NA
2.2.4.2	How does the CB recommend the NCO for the assessment?					
	When there are only minor NCO, does the CB recommend the proposed corrective actions plan and close the NCOs?					
	When there are one or more major non-conformances, does CB recommend and conduct the re-audit prior to issuing initial certification?					
	Does the CB check that the client conduct the re-audit process within 3 month in the case of major NCO?					
	Does the CB suspend the certification in the case of the major NCO(s) not be sufficiently addressed by the client?					
Notes/ Remarks						

Section 11: Certificate Suspension, Withdraw and Scope Reduction						
Reference	Requirement	Compliance	Non- compliance			
			Major	Minor	Obs	NA
2.2.4.3	Does the CB have a policy and documented procedure(s) for suspension, withdraw or reduction of the certification?					
	Does the CB suspend and/or withdraw any certificate?					
Notes/ Remarks						
Section 12: Certification Changes and Transition						
Reference	Requirement	Compliance	Non-Compliance			
			Major	Minor	Obs	NA
2.2.5	Does the CB follow the general guideline for certification changes and transitional timeframes?					
	- significant changes need 12 month transition timeframe					
	- less significant changes need 2 or 3 month period					
	Does the CB inform to the relevant partners within 5 working days when new requirements of MFCC standards and/or policies have been changed?					
Notes/ Remarks						
Section 13: Certification Complaints, Appeals and Disputes						
Reference	Requirement	Compliance	Non-compliance			
			Major	Minor	Obs	NA
2.2.6	Does the CB have its own policies and procedures for certification complaints, appeals and disputes following the ISO requirements?					
Notes/ Remarks						

Section 14: Certificates						
Reference	Requirement	Compliance	Non-compliance			
			Major	Minor	Obs	NA
2.2.7.1	Does the CB comply with the procedures for issuing the certification?					
	Does the CB include the minimum information on MTLAS certificate in issuing process?					
Notes/ Remarks						
Section 15: Records and Public Notification						
Reference	Requirement	Compliance	Non-compliance			
			Major	Minor	Obs	NA
2.2.7.2	Does the CB maintain records and ensure the public notification in compliance with ISO standard?					
	Does the CB inform MFCC within 3 working days where certificates are withdrawn or suspended?					
	Does the CB comply with the requirements in MFCC P4 Stakeholder Engagement and Public Document?					
Notes/ Remarks						
Section 16: NCO Coverage						
Reference	Requirement	Compliance	Non-compliance			
			Major	Minor	Obs	NA
2.3.1	Does the CB evaluate NCO coverage against the guidelines, MTLAS standard and MTLAS P 1 MFCC trademark usage?					
	Before issuing certificate, Does the CB classify any NCO as major, minor and observation?					
Notes/ Remarks						

Section 17: NCO Information and Notification						
Reference	Requirement	Compliance	Non-compliance			
			Major	Minor	Obs	NA
2.3.2	Does the CB inform the followings during the audit?					
	- Purpose NCO					
	- Variety of NCO					
	- CB expectation with regards Corrective action process					
	- Procedures and related deadline for issuing, evaluating and closing NCO					
	- Related complaints and appeals process					
	Does the CB notify the Non-conformance or Observation during the audit closing meeting?					
Notes/ Remarks						
Section 18: NCO Procedures						
Reference	Requirement	Compliance	Non-compliance			
			Major	Minor	Obs	NA
2.3.3	Does the CB prepare and follow its own procedures and related documents against ISO standard (ISO/IEC 17065: 2012)?					
	Does the CB prepare minimum procedures as follows to cover?					
	- Raising, evaluating and closing NCO					
	- Notifying clients' NCO					
	- Escalating NCO					
	- Specify CB authority for issuing and closing NCO					
	- Approve Corrective action and specify decision authority					
	- Reporting and recording					
Notes/ Remarks						

<b>Section 19: Obtaining and Evaluating Corrective Action</b>						
Reference	Requirement	Compliance	Non-compliance			
			Major	Minor	Obs	NA
2.3.4	Does the CB notify the clients how the corrective actions proposed by them within 25 working days have been evaluated?					
	Does CB evaluate the corrective actions according to the following guidelines?					
	- Minor/ Observation (max 1 year submission of the CA plan or at the next audit)					
	- Major Observation (at least 3 month after the corrective action)					
Notes/ Remarks						
<b>Section 20: Escalating observations &amp; Non- Conformances</b>						
Reference	Requirement	Compliance	Non-compliance			
			Major	Minor	Obs	NA
2.3.5	Does the CB escalate any NCO as follows?					
	- If the client has not submitted corrective actions within 25 days deadline;					
	- If the corrective actions have not been effectively implemented.					
Notes/ Remarks						



### *Annex 3: Opening Meeting Checklist*

- Welcome all present to the Opening meeting;
- Pass the Attendance Sheet to record names of people present;
- Start by introducing yourself Monitoring team leader and members, including an outline of their roles. – Especially the Monitoring team leader and members – to cover forestry, social or environment;
- Request for briefing from the management representative on the activities and organization and any major issues or changes in the management of the Organization in terms of legal, manpower and resource;
- Explain the objective of the monitoring
- Confirmation of the assessment plan;
- Methods and procedures to be used to conduct the audit.
  - Document – legal document, Registration form, Notification form, Service agreement.
  - Interview – Questionnaires against the checklist
- Explain the method and nature of non-compliance grading;
- Confirmation of matters relating to confidentiality – Inform them that we, the monitoring team have all signed our pledge of confidentiality and Non-Disclosure;
- Finalized Itinerary -To be finalized by the Monitoring Team (during the Opening Meeting) based on information obtained from briefings by the Client. Amend where relevant;
- Invite all certification bodies or others to attend the closing meeting;
- Remind the certification bodies on the time allocated for interviews and consultation.

## Annex 4: Attendance List

**ATTENDANCE LIST**

Name of Organization:

Type of Monitoring: Documentation Review/Compliance/Surveillance/Reassessment\*

Dates of Monitoring:

Duration of Monitoring: ..... Days

\* Strike off which is not appropriate

No.	Name	Position/Organisation	Opening Meeting	Closing Meeting

## Annex 5: Closing Meeting

- Welcome everyone to the Closing Meeting;
- Request those present to fill up names in the Attendance Sheet;
- Firstly, thank the CB and host for the warm hospitality and cooperation and support given through the course of this assessment;
- Explain the objective of assessment again;
- Methods and procedures to be used to conduct the monitoring.
  - Document – legal document, Registration form, Notification form, Service agreement, Policies, SOPs and Procedures.
  - Interview – Questionnaires against the checklist
- Explain the method and nature of non-compliance grading;
- Confirmation of matters relating to confidentiality – Inform them that we the auditors have all signed our pledge of confidentiality and Non-Disclosure;
- Presentation of Findings by team leader. By explain that, you (the team leader) have consolidated all the evidences from your team members and now you shall present the findings;
- After the presentation of findings - open for comment and question;
- After acceptance of the findings, get the Head or Representative of the monitoring team to signed on the Non-Compliance Form (if there are any);
- After signing, inform the representative that they are to submit Corrective Action Plan to the Certification Body within 3 months and you shall review whether it is adequate to close out the findings. Remind them that, the Corrective Action Plan submitted will be verified in the next audit to see that the non-compliance has or have been addressed effective. Otherwise, re-issue the same non-compliance;
- Finally, to give your recommendation for the monitoring and assessing process to the relevant CB Organization compliance with the MTLAS SOP 1 Notification of CB and MTLAS P 2 Certification Body Requirements where relevant;
- To submit complaint to the MFCC if the monitoring team is not satisfied with the monitoring process..

## Annex 6: Non-Compliance Form

Non-Compliance Form					
Name of Certification Body:			Reference No:		
Name of Assessment Team			Name of Assessor(s):		
Monitoring Date:					
Non-Compliance No.	Section No.:	Category of Compliance			
		Major	Minor	Observations (Obs)	Not Applicable (NA)
<i>Details of non-compliance:</i> <div></div>					
<i>Evidence:</i> <div></div>					
Proposed Close-out Date:			Name of CB Representative:		
Lead Assessor's Signature:			CB Representative's Signature:		

## Annex 7: Audit Report Form

### Procedures

#### 1 General

##### 1.1 Minimum Requirements

At a minimum a monitoring report must contain:

- a cover page;
- abbreviations and acronyms;
- an executive summary;
- a description of the monitoring scope;
- a reference to the normative document (e.g. MTLAS P 2 CBR, Service Agreement, MTLAS SOP 1 NCB);
- a description of the monitoring team and its competence;
- an overview of the assessment process;
- an overview of the findings;
- a summary description of any non-conforming issues;
- the limitations of the assessment;
- final conclusion with recommendations;
- appendices containing relevant associated documents and evidence.

These basic headings will also form the basic structure for monitoring reports.

##### 1.2 Formatting

The monitoring team shall use the following format for monitoring reports:

- Main Heading – Times New Roman, bold, font 14
- Sub Heading 1 - xxxxxxx
- Body Text – xxxxx, font 12

Etc

##### 1.3 Headers and footers

Monitoring reports will contain the following information in footers and headers:

Header shall write and read as (dd mm yy)

For example, Monitoring Report, MR, SM001 01 July 2018 <sup>{L}</sup><sub>{SEP}</sub>

Footers must contain the following information:

- The Monitoring team name;
- Monitoring team Information

#### 2. Cover Page

The cover page will contain:

- Myanmar Forest Certification Committee Logo;
- Report title;
- Myanmar Forest Certification Committee full name;

- Date.

### 3. Executive Summary

The executive summary will follow the following format for Monitoring Reports:

Name of Monitoring Team	
Address	
Person in-charge	
Scope of Monitoring	
Members of Monitoring team	
Date and duration of Monitoring	
Main Findings	
Prepared by	
Approved by	

The executive summary will follow the following format for Monitoring Reports for MFCC:

### 4. Main Body

The main body of the audit report will contain the following sections:

1. a description of the monitoring scope;
2. a reference to the normative document (e.g. MTLAS P 2 CBR, MTLAS SOP 1 NCB, Service Agreement.
3. a description of the monitoring team and its competence;
4. an overview of the assessment process;
5. an overview of the findings regarding all criteria;
6. the limitations of the assessment;
7. a summary description of any non-conforming issues;
8. a final conclusion with recommendations;
9. appendices containing relevant associated documents and evidence.

#### 4.2 Reference to the Normative Documents

Specification of the key monitoring requirements such as the MTLAS Policy 2 Certification Body Requirements version 2, MTLAS SOP 1 NCB and Service Agreement.

#### 4.3 Monitoring Team

This section will contain a brief summary of the relevant skills, experience and qualifications of the audit team.

The team will be presented in table format:

Name	Role	Coverage	Organization
	Team Leader		Myanmar Forest Certification Committee
	Team member		

#### 4.4 Process and Methodology

At a minimum methodology section will cover:

- a summary of the materials and assessment forms used;
- non-conformance grading system adopted;
- the key elements/documents that were audited and verified and the key stages (such as opening meeting, main audit activities and closing meeting).

#### 4.4 Evaluation of Certification Bodies Compliance

This section will contain the ratings against each of the relevant policy of the MFCC being assessed.

Myanmar Forest Certification Committee (Monitoring Team) uses the MFCC “assessment checklist” and assessment plan. These forms list the relevant procedures.

The report writer must complete the findings and compliance level rating.

#### 4.5 Overview of Findings

This section will include the completed Checklists of the Certification Body Assessment Procedure (MFCC SOP 6 CBAs).

#### 4.6 Limitations of Assessment

Specify if there are any limitations to the assessment.

#### 4.7 Summary of Non-Conformances

A summary of non-conformances and their associated ratings will be extracted from the main “Assessment Checklist”.

#### 4.8 Conclusion and Recommendations

The conclusion will summarise the main findings and recommendations.

#### 4.9 Appendices

This section will contain any relevant supporting information such as evidence (pictures for example) and CVs of the audit team.

If you have a process sequence (diagram or flow chart) illustration you could also place that in this section.

## Annex 8: Corrective Action Form

Corrective Action Plan	
Name of Certification Body	NCO Reference:
Root Cause Analysis:	
Proposed Closure Plan:	
Proposed Close-out Date:	Name of CB Representative:
Lead Assessor's Signature:	CB Representative's Signature:



## Document History

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