

	Department of Science and Technology Regional Office No. IX Quality Management System	Document Code IA-F02
		Revision No. 6
		Page No. 1 of 21
		Effectivity Date 26 November, 2021

Audit Area		Audit Objectives	Auditees:
Date & Time			Audit Team
			Audit Team Leader: Members :

Legend: C - Conformity; Minor NC - does not detrimentally affect the operation or quality control of the entire department; Major NC - procedure-altering violation that entirely prevents the department from operating at QMS standards; OFI - Opportunities for Improvement

CLAUSE	CRITERIA / REQUIREMENT	FINDINGS				REFERENCE TO DOCUMENT/ RECORD	REMARKS
		C	MINOR NC	MAJOR NC	OFI		
4.1	Understanding the organization and its context						
4.2	Needs and Expectations of the Interested Parties						
	a. determine interested parties that are relevant to the quality management system						
	b. determine requirements of these interested parties that are relevant to the quality management system						
4.3	Determining the scope of the quality management system						
	a. External and Internal Issues						
	b. requirements relevant to relevant parties						
	c. products and services of the organization						
4.4	Quality Management System and its processes						
4.4.1	a. determine Inputs required and outputs expected from the process						
	b. determine sequence and interaction of the process						
	c. determine and apply the criteria and methods needed to effective operation and control						
	d. determine the resources needed and ensure availability						
	e. assign responsibilities and authorities						
	f. address risk and opportunities determined						
	g. evaluate process and implement changes to achieve intended results						
	h. improve the process and QMS						
4.4.2	a. maintain documented information to support the operation						
	b. retain documented information as evidence that process is being carried out as planned						
5.1	Leadership and commitment						
5.1.1	a) taking accountability of the effectiveness of the quality management system;						
	b) ensuring that the quality policy and quality objectives are established for the quality management system and are compatible with the strategic direction and the context of the organization;						

	Department of Science and Technology Regional Office No. IX Quality Management System	Document Code Revision No. Page No. Effectivity Date	IA-F02 6 2 of 21 26 November, 2021
Audit Area Date & Time	AUDIT CHECKLIST		

Audit Area Date & Time	Audit Objectives	Auditees:
	1. Determine the extent of conformity within the defined criteria 2. Evaluate the established QMS to comply with legal requirements 3. Assess the readiness of the office/department for 3rd party audits	Audit Team Audit Team Leader: Members :

Legend: C - Conformity; Minor NC - does not detrimentally affect the operation or quality control of the entire department; Major NC - procedure-altering violation that entirely prevents the department from operating at QMS standards; OFI - Opportunities for Improvement

CLAUSE	CRITERIA / REQUIREMENT	FINDINGS				REFERENCE TO DOCUMENT/ RECORD	REMARKS
		C	MINOR NC	MAJOR NC	OFI		
	c) ensuring the integration of the quality management system requirements into the organization's business processes;						
	d) promoting awareness of the process approach;						
	e) ensuring that the resources needed for the quality management system are available;						
	f) communicating the importance of effective quality management and of conforming to the quality management system requirements;						
	g) ensuring that the quality management system achieves its intended results;						
	h) engaging, directing and supporting persons to contribute to the effectiveness of the quality management system;						
	i) promoting continual improvement;						
	j) supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility.						
5.1.2	Customer Focus						
	a) customer requirements and applicable statutory and regulatory requirements are determined and met;						
	b) the risks and opportunities that can affect conformity of products and services and the ability to enhance customer satisfaction are determined and addressed;						
	c) the focus on enhancing customer satisfaction is maintained.						
5.2	Quality Policy						
5.2.1	Establishing the Quality Policy						
	a) is appropriate to the purpose and context of the organization;						
	b) provides a framework for setting and reviewing quality objectives;						
	c) includes a commitment to satisfy applicable requirements;						
	d) includes a commitment to continual improvement of the quality management system.						
5.2.2	Communicating the Quality Policy						

	Department of Science and Technology Regional Office No. IX Quality Management System	Document Code Revision No.	IA-F02 6
	AUDIT CHECKLIST	Page No.	3 of 21
		Effectivity Date	26 November, 2021

Audit Area		Auditees:
Date & Time		
Audit Objectives		Audit Team
1. Determine the extent of conformity within the defined criteria 2. Evaluate the established QMS to comply with legal requirements 3. Assess the readiness of the office/department for 3rd party audits		Audit Team Leader: Members :

Legend: C - Conformity; Minor NC - does not detrimentally affect the operation or quality control of the entire department; Major NC - procedure-altering violation that entirely prevents the department from operating at QMS standards; OFI - Opportunities for Improvement

CLAUSE	CRITERIA / REQUIREMENT	FINDINGS				REFERENCE TO DOCUMENT/ RECORD	REMARKS
		C	MINOR NC	MAJOR NC	OFI		
	a) be available as documented information;						
	b) be communicated, understood and applied within the organization;						
	c) be available to relevant interested parties, as appropriate.						
5.3	Organizational roles, responsibilities and authorities Responsibilities and authorities for relevant roles are assigned, communicated and understood within the organization.						
	a) ensuring that the quality management system conforms to the requirements of this International Standard;						
	b) ensuring that the processes are delivering their intended outputs;						
	c) reporting on the performance of the quality management system, on opportunities for improvement and on the need for change or innovation, and especially for reporting to top management;						
	d) ensuring the promotion of customer focus throughout the organization;						
	e) ensuring that the integrity of the quality management system is maintained when changes to the quality management system are planned and implemented.						
6.1	Actions to address risks and opportunities						
6.1.1	When planning for the QMS, the organization shall consider the issues referred to in 4.1 and the requirements referred to in 4.2 and determine the risks and opportunities that need to be addressed to: a) give assurance that the quality management system can achieve its intended result(s); b) enhance desirable effects; b) prevent, or reduce, undesired effects;						
6.1.2	a) actions to address these risks and opportunities; b1) how to integrate and implement the actions into its quality management system processes (see 4.4)						

	Department of Science and Technology	Document Code	IA-F02
	Regional Office No. IX	Revision No.	6
	Quality Management System	Page No.	4 of 21
	AUDIT CHECKLIST	Effectivity Date	26 November, 2021

Audit Area		Auditees:
Date & Time		
Audit Objectives		Audit Team Audit Team Leader: Members :
1. Determine the extent of conformity within the defined criteria 2. Evaluate the established QMS to comply with legal requirements 3. Assess the readiness of the office/department for 3rd party audits		

Legend: C - Conformity; Minor NC - does not detrimentally affect the operation or quality control of the entire department; Major NC - procedure-altering violation that entirely prevents the department from operating at QMS standards; OFI - Opportunities for Improvement

CLAUSE	CRITERIA / REQUIREMENT	FINDINGS				REFERENCE TO DOCUMENT/ RECORD	REMARKS
		C	MINOR NC	MAJOR NC	OFI		
	b2) how to evaluate the effectiveness of these actions						
	Actions taken to address risks and opportunities shall be proportionate to the potential impact on the conformity of products and services.						
6.2	Quality objectives and planning to achieve them						
6.2.1	The organization shall establish quality objectives at relevant functions, levels and processes. The quality objectives shall: a) be consistent with the quality policy, b) be measurable; c) take into account applicable requirements; d) be relevant to conformity of products and services and the enhancement of customer satisfaction; e) be monitored; f) be communicated; g) be updated as appropriate.						
	The organization shall retain documented information on the quality objectives.						
6.2.2	When planning how to achieve its quality objectives, the organization shall determine: a) what will be done; b) what resources will be required; c) who will be responsible; d) when it will be completed; e) how the results will be evaluated.						
6.3	Planning of changes Where the organization determines the need for change to the quality management system (see 4.4) the change shall be carried out in a planned and systematic manner. a) the purpose of the change and any of its potential consequences; b) the integrity of the quality management system;						

	Department of Science and Technology Regional Office No. IX Quality Management System	Document Code IA-F02
		Revision No. 6
		Page No. 5 of 21
		Effectivity Date 26 November, 2021

Audit Area		Audit Objectives	Auditees:
Date & Time			Audit Team
			Audit Team Leader: Members :

1. Determine the extent of conformity within the defined criteria
2. Evaluate the established QMS to comply with legal requirements
3. Assess the readiness of the office/department for 3rd party audits

Legend: C - Conformity; Minor NC - does not detrimentally affect the operation or quality control of the entire department; Major NC - procedure-altering violation that entirely prevents the department from operating at QMS standards; OFI - Opportunities for Improvement

CLAUSE	CRITERIA / REQUIREMENT	FINDINGS				REFERENCE TO DOCUMENT/ RECORD	REMARKS
		C	MINOR NC	MAJOR NC	OFI		
	c) the availability of resources;						
	d) the allocation or reallocation of responsibilities and authorities						
7	Support						
7.1	Resources						
7.1.1	The organization shall determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the quality management system. The organization shall consider:						
	a) the capabilities of, and constraints on, existing internal resources;						
	b) what needs to be obtained from external providers.						
7.1.2	People The organization shall determine and provide the persons necessary for the effective implementation of its quality management system and for the operation and control of its processes						
7.1.3	Infrastructure Determine, provide and maintain the infrastructure necessary for the operation of its processes and to achieve conformity of products and services						
	a) buildings and associated utilities						
	b) equipment, including hardware and software						
	c) transportation resources						
	d) information and communication technology						
7.1.4	Environment for the operation of processes						
	Determine, provide and maintain the environment necessary for the operation of its processes and to achieve conformity of products and services						
	a) social (e.g. non-discriminatory, calm, non-confrontational)						
	b) psychological (e.g. stress-reducing, burnout prevention, emotionally protective)						
	b) physical (e.g. temperature, heat, humidity, light, airflow, hygiene, noise)						
7.1.5	Monitoring and Measuring						

	Department of Science and Technology Regional Office No. IX Quality Management System	Document Code IA-F02
		Revision No. 6
		Page No. 6 of 21
		Effectivity Date 26 November, 2021

Audit Area		Audit Objectives	Auditees:
Date & Time			Audit Team
			Audit Team Leader: Members :

1. Determine the extent of conformity within the defined criteria
 2. Evaluate the established QMS to comply with legal requirements
 3. Assess the readiness of the office/department for 3rd party audits

Legend: C - Conformity; Minor NC - does not detrimentally affect the operation or quality control of the entire department; Major NC - procedure-altering violation that entirely prevents the department from operating at QMS standards; OFI - Opportunities for Improvement

CLAUSE	CRITERIA / REQUIREMENT	FINDINGS				REFERENCE TO DOCUMENT/ RECORD	REMARKS
		C	MINOR NC	MAJOR NC	OFI		
7.1.5.1	Determine and provide the resources needed to ensure valid and reliable results when monitoring or measuring is used to verify the conformity of products and services to requirements						
	a) The organization shall ensure that the resources provided are suitable for the specific type of monitoring and measurement activities being undertaken;						
	b) The organization shall ensure that the resources provided are maintained to ensure their continued fitness for their purpose.						
	The organization shall retain appropriate documented information as evidence of fitness for purpose of monitoring and measurement resources.						
7.1.5.2	Measurement traceability						
	a) Measuring equipment shall be calibrated or verified, or both, at specified intervals, or prior to use, against measurement standards traceable to international or national measurement standards; when no such standards exist, the basis used for calibration or verification shall be retained as documented information						
	b) identified in order to determine their status						
	c) safeguarded from adjustments, damage or deterioration that would invalidate the calibration status and subsequent measurement results						
	The organization shall determine if the validity of previous measurement results has been adversely affected when measuring equipment is found to be unfit for its intended purpose, and shall take appropriate actions as necessary						
7.1.6	Organizational Knowledge						
	When addressing changing needs and trends, the organization shall consider its current knowledge and determine how to acquire or access any necessary additional knowledge and required updates						
7.2	Competence						

	Department of Science and Technology Regional Office No. IX Quality Management System	Document Code IA-F02
	AUDIT CHECKLIST	Revision No. 6
		Page No. 7 of 21
		Effectivity Date 26 November, 2021

Audit Area		Audit Team Audit Team Leader: Members :	Auditees:
Date & Time			
Audit Objectives			
1. Determine the extent of conformity within the defined criteria 2. Evaluate the established QMS to comply with legal requirements 3. Assess the readiness of the office/department for 3rd party audits			

Legend: C - Conformity; Minor NC - does not detrimentally affect the operation or quality control of the entire department; Major NC - procedure-altering violation that entirely prevents the department from operating at QMS standards; OFI - Opportunities for Improvement

CLAUSE	CRITERIA / REQUIREMENT	FINDINGS				REFERENCE TO DOCUMENT/ RECORD	REMARKS
		C	MINOR NC	MAJOR NC	OFI		
	a) The organization shall determine the necessary competence of person(s) doing work under its control that affects its quality performance;						
	b) ensure that these persons are competent on the basis of appropriate education, training, or experience;						
	c) where applicable, take actions to acquire the necessary competence, and evaluate the effectiveness of the actions taken;						
	d) retain appropriate documented information as evidence of competence.						
7.3	Awareness						
	a) Persons doing work under the organization's control shall be aware of the quality policy;						
	b) Persons doing work under the organization's control shall be aware of relevant quality objectives;						
	c) Persons doing work under the organization's control shall be aware of their contribution to the effectiveness of the quality management system, including the benefits of improved quality performance;						
	d) Persons doing work under the organization's control shall be aware of the implications of not conforming with the quality management system requirements.						
7.4	Communication						
	The organization shall determine the internal and external communications relevant to the quality management system including:						
	a) on what it will communicate;						
	b) when to communicate;						
	c) with whom to communicate;						
	d) how to communicate;						
	e) who communicates;						
7.5	Documented Information						

	Department of Science and Technology Regional Office No. IX Quality Management System	Document Code Revision No. Page No. Effectivity Date	IA-F02 6 8 of 21 26 November, 2021
AUDIT CHECKLIST			

Audit Area		Audit Team Audit Team Leader: Members :	Auditees:
Date & Time			
Audit Objectives			
1. Determine the extent of conformity within the defined criteria 2. Evaluate the established QMS to comply with legal requirements 3. Assess the readiness of the office/department for 3rd party audits			

Legend: C - Conformity; Minor NC - does not detrimentally affect the operation or quality control of the entire department; Major NC - procedure-altering violation that entirely prevents the department from operating at QMS standards; OFI - Opportunities for Improvement

CLAUSE	CRITERIA / REQUIREMENT	FINDINGS				REFERENCE TO DOCUMENT/ RECORD	REMARKS
		C	MINOR NC	MAJOR NC	OFI		
7.5.1	a) The organization's quality management system shall include documented information required by this International Standard; b) The organization's quality management system shall include documented information determined by the organization as being necessary for the effectiveness of the quality management system.						
7.5.2	Creating and updating						
	a) When creating and updating documented information the organization shall ensure appropriate identification and description (e.g. a title, date, author, or reference number); b) When creating and updating documented information the organization shall ensure appropriate format (e.g. language, software version, graphics) and media (e.g. paper, electronic); c) When creating and updating documented information the organization shall ensure appropriate review and approval for suitability and adequacy.						
7.5.3	Control of documented Information						
7.5.3.1	Documented information required by the quality management system and by this International Standard shall be controlled to ensure: a) it is available and suitable for use, where and when it is needed; b) it is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity).						
7.5.3.2	For the control of documented information, the organization shall address the following activities, as applicable: a) distribution, access, retrieval and use; b) storage and preservation, including preservation of legibility; c) control of changes (e.g. version control); d) retention and disposition.						
8	Operation						

	Department of Science and Technology Regional Office No. IX Quality Management System	Document Code Revision No. Page No. Effectivity Date	IA-F02 6 9 of 21 26 November, 2021
AUDIT CHECKLIST			

Audit Area		Audit Team Audit Team Leader: Members :	Auditees:	
Date & Time				
Audit Objectives				
1. Determine the extent of conformity within the defined criteria 2. Evaluate the established QMS to comply with legal requirements 3. Assess the readiness of the office/department for 3rd party audits				

Legend: C - Conformity; Minor NC - does not detrimentally affect the operation or quality control of the entire department; Major NC - procedure-altering violation that entirely prevents the department from operating at QMS standards; OFI - Opportunities for Improvement

CLAUSE	CRITERIA / REQUIREMENT	FINDINGS				REFERENCE TO DOCUMENT/ RECORD	REMARKS
		C	MINOR NC	MAJOR NC	OFI		
8.1	Operational planning and control						
	a) determining requirements for the product and services;						
	b) establishing criteria for the processes and for the acceptance of products and services;						
	c) determining the resources needed to achieve conformity to product and service requirements;						
	d) implementing control of the processes in accordance with the criteria;						
	e) retaining documented information to the extent necessary to have confidence that the processes have been carried out as planned and to demonstrate conformity of products and services to requirements.						
8.2	Requirements for the products and services						
8.2.1	Customer communication						
	a) Communication with customers shall include providing information relating to products and services;						
	b) handling enquiries, contracts or order, including changes;						
	c) obtaining customer feedback relating to products and services, including customer complaints;						
	d) handling or treatment of customer property;						
	e) establishing specific requirements for contingency actions, when relevant.						
8.2.2	Determining the requirements for products and services						
	The organization shall ensure that:						
	a) product and service requirements (including those considered necessary by the organization), and applicable statutory and regulatory requirements, are defined;						
	b) it has the ability to meet the defined requirements and substantiate the claims for the products and services it offers.						
8.2.3	Review of requirements related to products and services						

	Department of Science and Technology Regional Office No. IX Quality Management System	Document Code Revision No. Page No. Effectivity Date	IA-F02 6 10 of 21 26 November, 2021
	AUDIT CHECKLIST		

Audit Area	Audit Objectives	Auditees:
Date & Time		Audit Team
		Audit Team Leader: Members :

1. Determine the extent of conformity within the defined criteria
 2. Evaluate the established QMS to comply with legal requirements
 3. Assess the readiness of the office/department for 3rd party audits

Legend: C - Conformity; Minor NC - does not detrimentally affect the operation or quality control of the entire department; Major NC - procedure-altering violation that entirely prevents the department from operating at QMS standards; OFI - Opportunities for Improvement

CLAUSE	CRITERIA / REQUIREMENT	FINDINGS				REFERENCE TO DOCUMENT/ RECORD	REMARKS
		C	MINOR NC	MAJOR NC	OFI		
8.2.3.1	The organization shall review, as applicable:						
	a) requirements specified by the customer, including the requirements for delivery and post- delivery activities;						
	b) requirements not stated by the customer, but necessary for the customers' specified or intended use, when known;						
	c) requirements specified by the organization						
	d) additional statutory and regulatory requirements applicable to the products and services;						
	e) contract or order requirements differing from those previously expressed.						
8.2.3.2	Organization shall retain documented information						
	a. on the results of the review						
	b. on any new requirement for the products and services						
8.2.4	Changes to requirements for products and services						
	The organization shall ensure that relevant documented information is amended, and that relevant persons are made aware of the changed requirements, when the requirements for products and services are changed						
8.3	Design and Development						
8.3.1	General						
8.3.2	Design and development planning						
	In determining the stages and controls for design and development, the organization shall consider:						
	a) the nature, duration and complexity of the design and development activities;						
	b) required process stages, including applicable design and development reviews;						
	c) the required design and development verification and validation;						
	d) the responsibilities and authorities involved in the design and development process;						

	Department of Science and Technology Regional Office No. IX Quality Management System	Document Code Revision No.	IA-F02 6
	AUDIT CHECKLIST	Page No.	11 of 21
		Effectivity Date	26 November, 2021

Audit Area	Audit Objectives	Auditees:
Date & Time		Audit Team
		Audit Team Leader: Members :

1. Determine the extent of conformity within the defined criteria
2. Evaluate the established QMS to comply with legal requirements
3. Assess the readiness of the office/department for 3rd party audits

Legend: C - Conformity; Minor NC - does not detrimentally affect the operation or quality control of the entire department; Major NC - procedure-altering violation that entirely prevents the department from operating at QMS standards; OFI - Opportunities for Improvement

CLAUSE	CRITERIA / REQUIREMENT	FINDINGS				REFERENCE TO DOCUMENT/ RECORD	REMARKS
		C	MINOR NC	MAJOR NC	OFI		
	e) internal and external resourced needs for the design and development of products and services						
	f) the need to control interfaces between individuals and parties involved in the design and development process;						
	g) the need for involvement of customer and user groups in the design and development process;						
	h) the requirements for subsequent provision of products and services;						
	i) the level of control expected for the design and development process by the customers and other relevant interested parties;						
	j) the documented information to demonstrate that design and development requirements have been met.						
8.3.3	Design and development inputs The organization shall consider: a) functional and performance requirements; b) information derived from previous similar design and development activities; c) applicable statutory and regulatory requirements; d) standards or codes of practice that the organization has committed to implement; e) the potential consequences of failure due to the nature of the products and services; Inputs shall be adequate for design and development purposes, complete, and unambiguous. Conflicts among inputs shall be resolved.						
8.3.4	Design and development controls. The controls applied to the design and development process shall ensure that: a) the results to be achieved are clearly defined; b) reviews are conducted to evaluate ability to meet requirements						

	Department of Science and Technology Regional Office No. IX Quality Management System	Document Code Revision No.	IA-F02 6
	AUDIT CHECKLIST	Page No.	12 of 21
		Effectivity Date	26 November, 2021

Audit Area	Audit Objectives	1. Determine the extent of conformity within the defined criteria 2. Evaluate the established QMS to comply with legal requirements 3. Assess the readiness of the office/department for 3rd party audits	Auditees:
Date & Time			Audit Team
			Audit Team Leader: Members :

Legend: C - Conformity; Minor NC - does not detrimentally affect the operation or quality control of the entire department; Major NC - procedure-altering violation that entirely prevents the department from operating at QMS standards; OFI - Opportunities for Improvement

CLAUSE	CRITERIA / REQUIREMENT	FINDINGS				REFERENCE TO DOCUMENT/ RECORD	REMARKS
		C	MINOR NC	MAJOR NC	OFI		
	c) verification is conducted to ensure that the design and development outputs have met the design and development input requirements;						
	d) validation is conducted to ensure that the resulting products and services are capable of meeting the requirements for the specified application or intended use (when known).						
	e) any necessary actions are taken on problems determined during the reviews, or verification and validation activities						
	f) documented information of these activities are retained						
8.3.5	Design and development Outputs The organization shall ensure that design and development outputs:						
	a) meet the input requirements;						
	b) are adequate for the subsequent processes for the provision of products and services;						
	c) include or reference monitoring and measuring requirements, and acceptance criteria, as applicable;						
	d) specify the characteristics of the products and services that are essential for their intended purpose and their safe and proper provision.						
	The organization shall retain the documented information resulting from the design and development process.						
8.3.6	Design and development changes The organization shall review, control and identify changes made to design inputs and design outputs during the design and development of products and services or subsequently, to the extent that there is no adverse impact on conformity to requirements.						
	Retain documented information on						
	a) design and development changes;						
	b) the results of reviews;						
	c) the authorization of the changes						
	d) the actions taken to prevent adverse impacts						

	Department of Science and Technology Regional Office No. IX Quality Management System	Document Code IA-F02
		Revision No. 6
		Page No. 13 of 21
		Effectivity Date 26 November, 2021

Audit Area		Audit Objectives	Auditees:
Date & Time			Audit Team
			Audit Team Leader: Members :
			1. Determine the extent of conformity within the defined criteria 2. Evaluate the established QMS to comply with legal requirements 3. Assess the readiness of the office/department for 3rd party audits

Legend: C - Conformity; Minor NC - does not detrimentally affect the operation or quality control of the entire department; Major NC - procedure-altering violation that entirely prevents the department from operating at QMS standards; OFI - Opportunities for Improvement

CLAUSE	CRITERIA / REQUIREMENT	FINDINGS				REFERENCE TO DOCUMENT/ RECORD	REMARKS
		C	MINOR NC	MAJOR NC	OFI		
8.4	Control of externally provided products and services						
8.4.1	The organization shall ensure that externally provided processes, products, and services conform to specified requirements.						
	The organization shall apply the specified requirements for the control of externally provided products and services when:						
	a) products and services are provided by external providers for incorporation into the organization's own products and services;						
	b) products and services are provided directly to the customer(s) by external providers on behalf of the organization;						
	c) a process or part of a process is provided by an external provider as a result of a decision by the organization to outsource a process or function.						
8.4.2	Type and extent of control						
	Organization shall ensure that externally provided processes, products and services do not adversely affect the organization's ability to consistently deliver conforming products and services to its customer. Organization shall:						
	a) ensure externally provided processes, remain within the control of its QMS						
	b) define both the controls that it intends to apply to an external provider and those it intends to apply to the resulting output;						
	c1) Take into consideration the potential impact of the externally provided processes, products and services on the organization's ability to consistently meet customer and applicable statutory and regulatory requirements.						
	c2) Effectiveness of the controls applied by the external provider.						
	d) determine the verification, or other activities, necessary to ensure that the externally provided processes, products and services meet requirements.						
8.4.3	Information for external providers						

	Department of Science and Technology Regional Office No. IX Quality Management System	Document Code IA-F02
		Revision No. 6
		Page No. 14 of 21
		Effectivity Date 26 November, 2021

Audit Area		Audit Objectives	Auditees:
Date & Time			Audit Team
			Audit Team Leader: Members :

1. Determine the extent of conformity within the defined criteria
 2. Evaluate the established QMS to comply with legal requirements
 3. Assess the readiness of the office/department for 3rd party audits

Legend: C - Conformity; Minor NC - does not detrimentally affect the operation or quality control of the entire department; Major NC - procedure-altering violation that entirely prevents the department from operating at QMS standards; OFI - Opportunities for Improvement

CLAUSE	CRITERIA / REQUIREMENT	FINDINGS				REFERENCE TO DOCUMENT/ RECORD	REMARKS
		C	MINOR NC	MAJOR NC	OFI		
	The organization shall communicate to external providers applicable requirements for the following:						
	a) the products and services to be provided or the processes to be performed on behalf of the organization;						
	b) approval or release of products and services, methods, processes or equipment;						
	c) competence of personnel, including necessary qualification;						
	d) their interactions with the organization's quality management system;						
	e) the control and monitoring of the external provider's performance to be applied by the organization;						
	f) verification activities that the organization, or its customer, intends to perform at the external provider's premises.						
	The organization shall ensure the adequacy of specified requirements prior to their communication to the external provider.						
8.5	Production and service provision						
8.5.1	Control of production and Service						
	Controlled conditions shall include, as applicable:						
	a) the availability of documented information that defines the characteristics of the products and services;						
	b) the availability of documented information that defines the activities to be performed and the results to be achieved;						
	c) monitoring and measurement activities at appropriate stages to verify that criteria for control of processes and process outputs, and acceptance criteria for products and services, have been met.						
	d) the use, and control of suitable infrastructure and process environment;						
	e) the availability and use of suitable monitoring and measuring resources;						
	f) the competence and, where applicable, required qualification of persons;						

	Department of Science and Technology Regional Office No. IX Quality Management System	Document Code Revision No. Page No. Effectivity Date	IA-F02 6 15 of 21 26 November, 2021
	AUDIT CHECKLIST		

Audit Area		Audit Objectives	Auditees:
Date & Time			Audit Team
			Audit Team Leader: Members :

1. Determine the extent of conformity within the defined criteria
 2. Evaluate the established QMS to comply with legal requirements
 3. Assess the readiness of the office/department for 3rd party audits

Legend: C - Conformity; Minor NC - does not detrimentally affect the operation or quality control of the entire department; Major NC - procedure-altering violation that entirely prevents the department from operating at QMS standards; OFI - Opportunities for Improvement

CLAUSE	CRITERIA / REQUIREMENT	FINDINGS				REFERENCE TO DOCUMENT/ RECORD	REMARKS
		C	MINOR NC	MAJOR NC	OFI		
8.5.2	g) the validation, and periodic revalidation, of the ability to achieve planned results of any process for production and service provision where the resulting output cannot be verified by subsequent monitoring or measurement;						
	h) the implementation of products and services release, delivery and post-delivery activities.						
8.5.2	Identification and traceability Where necessary to ensure conformity of products and services, the organization shall use suitable means to identify process outputs.						
	The organization shall identify the status of process outputs with respect to monitoring and measurement requirements throughout production and service provision.						
	Where traceability is a requirement, the organization shall control the unique identification of the process outputs, and retain any documented information necessary to maintain traceability.						
8.5.3	Property belonging to customers or external providers The organization shall exercise care with property belonging to the customer or external providers while it is under the organization's control or being used by the organization.						
	The organization shall identify, verify, protect and safeguard the customer's or external provider's property provided for use or incorporation into the products and services.						
	When property of the customer or external provider is incorrectly used, lost, damaged or otherwise found to be unsuitable for use, the organization shall report this to the customer or external provider.						
	Preservation The organization shall ensure preservation of process outputs during production and service provision, to the extent necessary to maintain conformity to requirements.						
8.5.5	Post-delivery activities						

	Department of Science and Technology Regional Office No. IX Quality Management System	AUDIT CHECKLIST	Document Code Revision No. Page No. Effectivity Date	IA-F02 6 16 of 21 26 November, 2021
--	---	-----------------	---	--

Audit Area		Audit Objectives	Auditees:
Date & Time			Audit Team
			Audit Team Leader: Members :

1. Determine the extent of conformity within the defined criteria
 2. Evaluate the established QMS to comply with legal requirements
 3. Assess the readiness of the office/department for 3rd party audits

Legend: C - Conformity; Minor NC - does not detrimentally affect the operation or quality control of the entire department; Major NC - procedure-altering violation that entirely prevents the department from operating at QMS standards; OFI - Opportunities for Improvement

CLAUSE	CRITERIA / REQUIREMENT	FINDINGS				REFERENCE TO DOCUMENT/ RECORD	REMARKS
		C	MINOR NC	MAJOR NC	OFI		
	As applicable, the organization shall meet requirements for post-delivery activities associated with the products and services.						
	In determining the extent of post-delivery activities that are required, the organization shall consider:						
	a) statutory and regulatory requirements;						
	b) the potential undesired consequences associated with its products and services						
	c) the nature, use and intended lifetime of the products and services;						
	d) customer requirements;						
	e) customer feedback;						
8.5.6	Control of changes						
	The organization shall review and control unplanned changes essential for production or service provision to the extent necessary to ensure continuing conformity with specified requirements.						
	The organization shall retain documented information describing the results of the review of changes, the personnel authorizing the change, and any necessary actions.						
8.6	Release of products and services						
	The organization shall implement the planned arrangements at appropriate stages to verify that product and service requirements have been met. Evidence of conformity with the acceptance criteria shall be retained.						
	The release of products and services to the customer shall not proceed until the planned arrangements for verification of conformity have been satisfactorily completed, unless otherwise approved by a relevant authority and, as applicable, by the customer.						
	Documented information on the release of products and services. Shall also include						
	a) evidence of conformity with the acceptance criteria;						
	b) traceability to the person(s) authoring the release						
8.7	Control of nonconforming products						

	Department of Science and Technology Regional Office No. IX Quality Management System	Document Code IA-F02
		Revision No. 6
		Page No. 17 of 21
		Effectivity Date 26 November, 2021

Audit Area		Audit Team Audit Team Leader: Members :	Auditees:
Date & Time			
Audit Objectives			
1. Determine the extent of conformity within the defined criteria 2. Evaluate the established QMS to comply with legal requirements 3. Assess the readiness of the office/department for 3rd party audits			

Legend: C - Conformity; Minor NC - does not detrimentally affect the operation or quality control of the entire department; Major NC - procedure-altering violation that entirely prevents the department from operating at QMS standards; OFI - Opportunities for Improvement

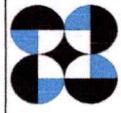
CLAUSE	CRITERIA / REQUIREMENT	FINDINGS				REFERENCE TO DOCUMENT/ RECORD	REMARKS
		C	MINOR NC	MAJOR NC	OFI		
8.7.1	The organization shall ensure process outputs, products and services that do not conform to requirements are identified and controlled to prevent their unintended use or delivery.						
	The organization shall take appropriate corrective action based on the nature of the nonconformity and its impact on the conformity of products and services. This applies also to nonconforming products and services detected after delivery of the products or during the provision of the service.						
	organization shall deal with nonconforming outputs in one or more of the following ways:						
	a) correction						
	b) segregation, containment, return or suspension of provision of products and services;						
	c) informing the customer						
	d) obtaining authorization for acceptance under concession						
8.7.2	The organization shall retain documented information that:						
	a) describes the nonconformity;						
	b) describe the actions taken;						
	c) describes any concessions obtained;						
	d) identifies the authority deciding the action in respect of the nonconformity						
9	Performance Evaluation						
9.1.1	Monitoring, measurement, analysis and evaluation						
	Organization shall determine						
	a) what needs to be monitored and measured;						
	b) the methods for monitoring, measurement, analysis and evaluation needed to ensure valid results;						
	c) when the monitoring and measuring shall be performed;						
	d) when the results from monitoring and measurement shall be analyzed and evaluated						

	Department of Science and Technology Regional Office No. IX Quality Management System				Document Code	IA-F02
	AUDIT CHECKLIST				Revision No.	6
					Page No.	18 of 21
					Effectivity Date	26 November, 2021

Audit Area		Audit Objectives	Auditees:		
Date & Time			Audit Team		
Audit Objectives			Audit Team Leader:		
1. Determine the extent of conformity within the defined criteria 2. Evaluate the established QMS to comply with legal requirements 3. Assess the readiness of the office/department for 3rd party audits			Members :		

Legend: C - Conformity; Minor NC - does not detrimentally affect the operation or quality control of the entire department; Major NC - procedure-altering violation that entirely prevents the department from operating at QMS standards; OFI - Opportunities for Improvement

CLAUSE	CRITERIA / REQUIREMENT	FINDINGS			REFERENCE TO DOCUMENT/ RECORD	REMARKS
		C	MINOR NC	MAJOR NC	OFI	
	The organization shall ensure that monitoring and measurement activities are implemented in accordance with the determined requirements and shall retain appropriate documented information as evidence of the results.					
9.1.2	Customer Satisfaction					
	The organization shall monitor customer perceptions of the degree to which requirements have been met.					
	The organization shall obtain information relating to customer views and opinions of the organization and its products and services.					
	The methods for obtaining and using this information shall be determined.					
9.1.3	Analysis and evaluation					
	The organization shall analyse and evaluate appropriate data and information arising from monitoring, measurement and other sources.					
	The output of analysis and evaluation shall be used to:					
	a) demonstrate conformity of products and services to requirements;					
	b) assess and enhance customer satisfaction;					
	c) ensure conformity and effectiveness of the quality management system;					
	d) demonstrate that planning has been successfully implemented;					
	e) assess the performance of processes;					
	f) assess the performance of external provider(s);					
	g) determine the need or opportunities for improvements within the quality management system.					
9.2	Internal Audits					
9.2.1	The organization shall conduct internal audits at planned intervals to provide information on whether the quality management system;					
	a) conforms to:					
	1) the organization's own requirements for its quality management system;					

	Department of Science and Technology Regional Office No. IX Quality Management System	Document Code Revision No. Page No. Effectivity Date	IA-F02 6 19 of 21 26 November, 2021
AUDIT CHECKLIST			

Audit Area		Auditees: Audit Team Audit Team Leader: Members :	
Date & Time			
Audit Objectives			
1. Determine the extent of conformity within the defined criteria 2. Evaluate the established QMS to comply with legal requirements 3. Assess the readiness of the office/department for 3rd party audits			

Legend: C - Conformity; Minor NC - does not detrimentally affect the operation or quality control of the entire department; Major NC - procedure-altering violation that entirely prevents the department from operating at QMS standards; OFI - Opportunities for Improvement

CLAUSE	CRITERIA / REQUIREMENT	FINDINGS				REFERENCE TO DOCUMENT/ RECORD	REMARKS
		C	MINOR NC	MAJOR NC	OFI		
	2) the requirements of this International Standard; b) is effectively implemented and maintained.						
9.2.2	a) Organization shall plan, establish, implement and maintain an audit programme(s) including the frequency, methods, responsibilities, planning requirements and reporting, which shall take into consideration the quality objectives, the importance of the processes concerned, customer feedback, changes affecting the organization, and the results of previous audits; b) define the audit criteria and scope for each audit; c) select auditors and conduct audits to ensure objectivity and the impartiality of the audit process; d) ensure that the results of the audits are reported to relevant management; e) take necessary correction and corrective actions without undue delay; f) retain documented information as evidence of the implementation of the audit programme and the audit results.						
9.3	Management Review						
9.3.1	Top management shall review the organization's quality management system, at planned intervals, to ensure its continuing suitability, adequacy, and effectiveness.						
9.3.2	Management Review Inputs The management review shall be planned and carried out taking into consideration: a) the status of actions from previous management reviews; b) changes in external and internal issues that are relevant to the quality management system including its strategic direction; c1) information on the quality performance, including trends and indicators for customer satisfaction and feedback from relevant interested parties;						

	Department of Science and Technology Regional Office No. IX Quality Management System	Document Code Revision No. Page No. Effectivity Date	IA-F02 6 20 of 21 26 November, 2021
	AUDIT CHECKLIST		

Audit Area		Audit Objectives	Auditees:
Date & Time			Audit Team
			Audit Team Leader: Members :

1. Determine the extent of conformity within the defined criteria
 2. Evaluate the established QMS to comply with legal requirements
 3. Assess the readiness of the office/department for 3rd party audits

Legend: C - Conformity; Minor NC - does not detrimentally affect the operation or quality control of the entire department; Major NC - procedure-altering violation that entirely prevents the department from operating at QMS standards; OFI - Opportunities for Improvement

CLAUSE	CRITERIA / REQUIREMENT	FINDINGS				REFERENCE TO DOCUMENT/ RECORD	REMARKS
		C	MINOR NC	MAJOR NC	OFI		
	c2) extent to which quality objectives have been met;						
	c3) process performance and conformity of products and services;						
	c4) nonconformities and corrective actions;						
	c5) monitoring and measurement results;						
	c6) audit results;						
	c7) performance of external providers;						
	d) the adequacy of resources;						
	e) the effectiveness of actions taken to address risks and opportunities						
	f) opportunities for improvement						
9.3.3	Management review outputs outputs of the management review shall include decisions and actions related to: a) opportunities for improvement; b) any need for changes to the quality management system; c) resource needs						
10.1	Improvement – General The organization shall determine and select opportunities for improvement and implement necessary actions to meet customer requirements and enhance customer satisfaction. This shall include, as appropriate: a) improving processes to prevent nonconformities; b) improving products and services to meet known and predicted requirements; c) improving quality management system results.						
10.2	Nonconformity/Corrective Action When a nonconformity occurs, including those arising from complaints, the organization shall: a) react to the nonconformity, and as applicable: 1) take action to control and correct it; 2) deal with the consequences; b) evaluate the need for action to eliminate the cause(s) of the nonconformity, in order that it does not recur or occur elsewhere, by:						

	Department of Science and Technology Regional Office No. IX Quality Management System	Document Code Revision No.	IA-F02 6
	AUDIT CHECKLIST	Page No.	21 of 21
		Effectivity Date	26 November, 2021

Audit Area		Audit Objectives	Auditees:
Date & Time			Audit Team
			Audit Team Leader: Members :

1. Determine the extent of conformity within the defined criteria
 2. Evaluate the established QMS to comply with legal requirements
 3. Assess the readiness of the office/department for 3rd party audits

Legend: C - Conformity; Minor NC - does not detrimentally affect the operation or quality control of the entire department; Major NC - procedure-altering violation that entirely prevents the department from operating at QMS standards; OFI - Opportunities for Improvement

CLAUSE	CRITERIA / REQUIREMENT	FINDINGS				REFERENCE TO DOCUMENT/ RECORD	REMARKS
		C	MINOR NC	MAJOR NC	OFI		
	b1) reviewing and analyzing the nonconformity; b2) determining the causes of the nonconformity; b3) determining if similar nonconformities exist, or could potentially occur; c) implement any action needed; d) review the effectiveness of any corrective action taken; e) update risks and opportunities determined during planning, if necessary; f) make changes to the quality management system, if necessary.						
10.2.2	Retain documented information as evidence of: a) the nature of the nonconformities and any subsequent actions taken; b) the results of any corrective action.						
10.3	Continual improvement						
	Where applicable, the organization shall select and utilise applicable tools and methodologies for investigation of the causes of underperformance and for supporting continual improvement.						

Prepared by: _____
Auditor