

FINDINGS CLOSURE PROCESS 审核发现关闭过程

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Page 1 of 6

Document Owner: G. Marchitelli

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Purpose / 目的

The process used for reviewing and verifying the effectiveness of correction and corrective actions taken by the client and closing finding reports.

该过程用以评审和验证客户采取的纠正和纠正措施有效性以及完成关闭发现项报告。

Scope / 范围

Applies to all findings for any audit activity, except pre-assessments or Gap analysis as those audits are not binding

适用于除审核结论不具约束力的预审核或差异分析外的任何审核活动中的所有发现项

Responsibility / 职责

Lead Auditors/Auditors assigned to verify the effectiveness of correction and corrective actions are responsible for the:

审核组组长或组员在验证不符合项纠正和纠正措施应

- Evaluation of client's corrective action plan, including root cause analysis, corrections, corrective actions and verification of effectiveness.
评估客户纠正措施计划，包括根本原因分析，纠正，纠正措施，以及验证有效性
- Verification that necessary corrections have been made, corrective actions have been implemented and verified for effectiveness
验证相关纠正、纠正措施已经实施以及实施的有效性
- Closure of finding reports.
不符合项关闭报告

Note: The lead auditor or the auditor who issued the finding report should evaluate the proposed corrective action plan and effectiveness of correction and corrective actions. However, for practical reasons, this task may be performed by another competent auditor.

注：开具不符合项的审核组长或者组员应评估拟纠正计划和验证纠正和纠正措施的有效性。然后，从实操角度来说，这项工作可能由其他有能力的审核员完成。

Input / 输入

Corrective Action Plan provided by the client

客户提供的纠正措施计划

Output / 输出

Closed nonconformity by responsible auditor

审核组关闭的不符合项报告





FINDINGS CLOSURE PROCESS 审核发现关闭过程

Document #: GOP103-3

Release Date: 28-APR-2017

Page 2 of 6

Document Owner: G. Marchitelli

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KPI / 关键绩效指标

The time between the corrective action plan provided by the client and reviewed by the Lead Auditor (5 working days)

客户提供纠正措施计划和审核组长评审的时间段 (5 个工作日)

Definitions / 定义:

- Corrective Action Plan, including:
纠正措施计划, 包含
 - correction of the nonconformity with a plan for correction or the actual evidence of correction
不符合项纠正, 包括纠正计划或纠正客观证据
 - analysis of root cause
根本原因分析
 - the proposed corrective action shall eliminate the cause of the nonconformity
拟纠正措施应包含根除造成不符合项的原因
 - the means for verifying the effectiveness of the proposed corrective action
验证拟纠正措施有效性的方法
 - the timeline for implementation and verification of effectiveness
实施和验证有效性的时间线
- Correction: Action to eliminate a detected nonconformity.
纠正: 消除已发现不符合项所采取的措施
- Corrective action: Action to eliminate the root cause of a detected nonconformity.
纠正措施: 根除已发现不符合项根本原因所采取的措施

1. Evaluation and Acceptance of Corrective Action Plan / 评估和接受纠正措施计划

Note: Evaluation of the client's corrective action plan to findings shall not be performed on-site during the course of the activity during the same activity the related finding reports were issued.

注: 评估客户纠正措施计划不应在开具该不符合项的审核中同时进行。

1.1. Evaluation of corrective action plan / 评估纠正措施计划

When received the corrective action plan completed by the client, the Lead Auditor/auditor shall evaluate the plan and ensure the followings are satisfied:

在收到客户填写完成的纠正计划时, 审核组长应评估计划以确认以下各项满足要求:

- The corrective action plan is received before the agreed target date;
纠正措施计划在商定的日期内完成



FINDINGS CLOSURE PROCESS 审核发现关闭过程

Document #: GOP103-3

Release Date: 28-APR-2017

Page 3 of 6

Document Owner: G. Marchitelli

Approver: G. Marchitelli

- Proper correction is planned to be taken or evidence of it being completed by client
计划采取的适当的纠正或由客户实施的已完成的证据
- Specific cause of nonconformity has been determined,
不符合项发生的原因应确认
- Statement and descriptions of actions planned are clear, thorough and reference specific documents;
措施计划的定义和描述应清晰、完整，并包含所涉及的文件
- The dates of completion of correction, corrective actions and verification have been defined to be closed within the 90 day time allotted. For cert expiry the 90 day of course may be shorter so always check certificate expiry
纠正、纠正措施以及验证的时间被定义为 90 天内分配并予以关闭。对于证书在 90 天内到期的审核，相关措施应在认证到期前得到实施和验证。

1.2. Record of evaluation and feedback to the client / 评估记录及对客户的反馈

After the evaluation, auditor shall decide whether the established corrective action plan can be accepted. The client shall be notified of the results of the evaluation of the corrective action plan via iEnable notification.
在评估完成后，审核组应确定已制定的纠正措施计划是否可以接受。应通过 iEnable 通知客户纠正措施计划的评价结果。

Note: the timeframe for the submission and implementation of corrective action plan is defined in GOP103, Audit Execution Process.

注：提交和实施纠正措施计划的时间框架已在 GOP103 审核实施过程中明确。

2. Closing Nonconformities / 关闭不符合项

2.1. Process / 过程

To close the nonconformities, the auditor shall review and verify the implementation and effectiveness of correction and corrective actions

为关闭不符合项，审核组应评审和验证纠正和纠正措施实施的有效性

- 2.1.1. The auditor needs to ensure that there is objective evidence (including supporting documentation) to demonstrate that the correction and corrective actions have been fully implemented as per the agreed timeframe and are effective in preventing the nonconformity from re-occurring. Objective evidence for the implementation of correction and corrective actions could be the documents/ records/ photographic.

审核组需确认有客观证据表明纠正和纠正措施（包括支持性文件）已在商定的时间框架内实施，且能有效防止不符合项的再次发生。纠正和纠正措施实施的证据可以形成文件、记录或电子化。

- 2.1.2. The details of the documentation or objective evidence examined during the review and verification of effectiveness of correction and corrective actions shall be recorded in the finding



FINDINGS CLOSURE PROCESS 审核发现关闭过程

Document #: GOP103-3

Release Date: 28-APR-2017

Page 4 of 6

Document Owner: G. Marchitelli

Approver: G. Marchitelli

details report. Documentation can be attached as evidence, or lists the samples and documentary evidence examined during the verification process. Stating “acceptable” by auditor, is not acceptable.

在审阅和验证纠正和纠正措施的有效性的过程中产生的文件或证据的细节应记录在审核发现报告中。文件可作为证据附上，或罗列在验证流程中检验的案例和文件证据。审核组仅标注‘接受’是不充分的。

- 2.1.3. The auditor also needs to perform his/her own verification of effectiveness of the corrective action

审核员也需要对纠正措施的有效性进行验证。

- 2.1.4. Only once the situation above is satisfactory, should the nonconformity be closed-off.

只有在上述情况满足条件的情况下，不符合项才予以关闭。

- 2.1.5. In case there is no effective response or evidence supporting the acceptance of corrective action plan, or the closure of the nonconformities within the agreed timeframe, it will lead to the issue of a non-conformity against the Corrective Action requirement of the audit criteria and potentially lead to the suspension of the certification (Ref: GOP209). When such a situation occurs, the auditor shall contact the Intertek office for further instruction.

一旦未接受到有效回复或无相关证据表明对纠正措施计划可接受，或不符合项未在商定的时间内关闭，将导致对审核准则纠正措施要求开具不符合同时可能导致证书的暂停（见 GOP209），若此情况发生，审核组应联系 ITS 办公室咨询相关意见。

- 2.1.5.1. In case of stage 2 if not able to verify the implementation of corrections and corrective actions of any major nonconformity within 6 months after the last day of stage 2, another stage 2 prior to recommending certification shall be conducted.

第二阶段出现这种情况时，若无法在第二阶段审核最后一天往后的 6 个月内验证严重不符合纠正和纠正措施的实施，则必须在推荐认证前再进行一次第二阶段审核。

- 2.1.5.2. In the case of other audit activities, it could lead to the suspension of the certification (Ref: GOP209).

其他审核阶段出现这种情况时，可能导致证书的暂停（见 GOP209）。

2.2. Specific Requirements / 具体要求

- 2.2.1. Minor Nonconformities / 轻微不符合项

In order to the minor nonconformities, the auditor shall review and verify the implementation and effectiveness of correction and corrective actions taken by the client during the client's next visit (first visit subsequent to the audit during which the finding report got issued)

对于轻微不符合项，审核组应在下一次审核中评估和验证客户采取纠正和纠正措施的有效性（在当此审核发现开具的审核之后的第一次审核）

- 2.2.2. Major non-conformities / 严重不符合项



FINDINGS CLOSURE PROCESS 审核发现关闭过程

Document #: GOP103-3

Release Date: 28-APR-2017

Page 5 of 6

Document Owner: G. Marchitelli

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Unless otherwise approved, an on-site follow up visit is to be performed within 90 days from the last day of audit activity to review and verify the implementation and effectiveness of correction and corrective actions taken by the client and close the major nonconformities

除非另行批准，应在审核活动完成后的 90 天内进行现场跟进审核，以评估和验证客户采取纠正和纠正措施的有效性并关闭验证不符合项。

Note: Prior to the technical/certification authority review, auditor needs to accept the corrective action plan for minor nonconformities, and to close the major nonconformities.

注：在技术评审、认证决定前，审核组需接受轻微不符合项的纠正措施计划，关闭严重不符合项。

3. Activity-specific issues / 审核具体问题：

3.1. Findings issued during Stage 1

第一阶段中开具的发现项

- Only Areas of Concern are being issued during Stage I activities
一阶段审核中只开具关注点
- All Major Areas of Concern shall be addressed by the client before Stage 2.
所有严重关注点应在二阶段审核前由客户解决
- All Areas of Concern shall be addressed by the client before the end of the audit.
所有关注点应在审核结束前由客户解决
- If not properly addressed, Areas of Concern should be re-issued as minor or major nonconformities.
如果没有妥善解决，关注点应被重新开具为轻微或严重不符合项。

3.2. Findings issued during a recertification audit / 再认证审核中开具的发现项

Implementation of corrections and corrective actions for any major nonconformity shall be verified prior to the expiry date of the certification before a recommendation for recertification could be issued. If the verification cannot be completed before the expiry of the certification, recommendation cannot be made and the validity of the certification cannot be extended

任何针对严重不符合所实施的纠正和纠正措施应在认证到期前被验证以此可开具再认证推荐意见。若针对不符合的验证无法在认证到期前完成，则不能形成推荐意见且认证的效力不能延长。

3.3. Findings issued during an integrated management system activity / 一体化管理体系审核中开具的发现项

All findings related to a given audit criteria shall be supported with an accepted corrective action plan (minor nonconformities) and closed (major nonconformities) before a recommendation for certification can be made for this specific audit criteria.

所有关于指定审核准则的发现项应在做出针对具体审核标准的推荐意见前被已接受的纠正措施计划（轻微不符合）或确认关闭的不符合报告（严重不符合）所支持。



FINDINGS CLOSURE PROCESS 审核发现关闭过程

Document #: GOP103-3

Release Date: 28-APR-2017

Page 6 of 6

Document Owner: G. Marchitelli

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3.4. Findings issued during a multi-site activity / 多场所审核中开具的发现项

Although nonconformities may have been observed at one site only, there is a potential for the same nonconformity to also apply to all sites of a multi-site organization where the same activities and/or processes take place. Therefore, the corrective action plan of the client, in addition to the other requirements of the corrective action process, shall address the following:

当每个场所进行相同活动和/或流程时，虽然不符合可能在某一场所被观察，同样的不符合也可能潜在的存在于多场所组织的所有场所。因此，除了纠正措施流程的其他要求外，客户的纠正措施计划还应：

- Provision of objective evidence of the evaluation of the nonconforming situation at all sites;
提供对所有场所不符合情形评估的客观证据；
- Identification of the sites where the nonconforming situation exists;
当存在不符合情形时，识别出相关场所；
- Objective evidence of implementation and verification of effectiveness of corrective action at all sites.
提供对所有场所实施和验证纠正措施有效性的客观证据。

The auditor can verify implementation and effectiveness of the corrective actions at any of the sites where the corrective actions have been implemented, not necessarily at the site where the original nonconformity has been observed.

当纠正措施已实施后，审核员可在任何场所验证纠正措施的实施和有效性，而不一定是在观察到初始不符合的场所。

REVISION LOG

Revision #	Description of Change	Release Date
3	Para 2.1.5.1 amended to require a second Stage 2. Addition of new para 3.2 and re-numbering of subsequent paragraphs.	03-JUN-2016
5	Clarified correction as either to be a plan for correction or objective evidence by client. Both are acceptable	28-APR-2017