

Audit Report

|  |  |
| --- | --- |
| Organization Legal Name |  |
| Address |  |
| City |  | State, Zip |  |
| Telephone |  | Email |  |
| Contact Person/Title |  |

|  |  |
| --- | --- |
| Auditor |  |
| Telephone |  | Email |  |

|  |  |
| --- | --- |
| Audit Date |  |
| Audit Duration |  |

Audited for:

|  |  |
| --- | --- |
| Seed Health Testing  |  |
| Phytosanitary Field Inspection |  |
| Seed Sampling  |  |
| Visual Inspection of Seed for Phytosanitary Certification |  |

Submit report and audit checklists to:

NSHS Accreditation Coordinator

Kelly Iverson

kiverson@iastate.edu

515-294-6493

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| **Finding** | **Definition/Impact** | **Action/Mitigation** |
| Compliant | Audit finding indicate that program requirements are being met, processes are implemented and documented and records exist to support this.  | No action required. |
| Minor non-compliance | An audit finding that reveals a non-conformance that does not immediately and/ or significantly affect the integrity of the program. * Any amendment to procedural details that is not documented
* An incomplete inspection, testing, or audit record, such as:
	+ No recording of critical test steps
	+ No signing of records and recording of dates
	+ Improper grower identification
	+ Improper sample identification
	+ Incomplete inspection and testing facilities or equipment
	+ Any other deviations from the Entity’s Quality Manual
 | Corrective actions must be undertaken no later than the next audit, or within a time-frame agreed to by the Auditor and Entity. |
| Major non-compliance | An audit finding that reveals an isolated incident(s) that results in decreased confidence of the AE’s inspection, sampling, or testing results; however, it does not have a direct impact on the integrity of the program. Examples include but are not limited to:* A significant difference between the Auditor’s and AE’s inspection and/ or test findings
* The AE fails to identify, classify, or record problems correctly
* Lack of inspection facilities and/or equipment
* Internal audits are not conducted or properly documented
* Actions taken following audits are not recorded
* Documentation is unavailable for auditors
* Corrective action for a Minor Non-Compliance(s) is not implemented within the agreed time-frame
* Three or more Minor Non-Compliance incidents result from any one audit
 | Corrective action is required immediately so that implementation is in place to retain confidence that the conditions of the Standard are being fulfilled. |
| Critical non-compliance | An audit finding that reveals that the integrity of the program is jeopardized. The result of this finding indicates the tests or inspection findings could not be utilized as supporting documentation for the issuance of the phytosanitary certificate.Examples include but are not limited to:* No inspection or test conducted
* Failure to follow inspection/testing methods in accordance with this standard
* A deliberate attempt to provide incorrect results of an inspection or testing
* Three or more Major Non-Compliance items detected in any one audit
* Any reoccurrence of the same Major Non-Compliance detected in the two previous consecutive audits
 | The AE is removed from the approved list until: An agreed corrective strategy has been identified by the AU, the AM, and the AE; and an audit is completed of all areas found not to be in compliance, if designated as required by the corrective strategy.  |

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|  **Minor NC** |  **Major NC** |  **Critical NC** | **List any Non-Conformities and timelines set for corrective action:** |
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Other comments:

Administrative Unit Recommendation:

Auditor Signature/Date:

Auditor Signature/Date:

Administrative Unit Signature/Date: