Oxebridge Q005

Quality Management System Certification Audit Terms and Definitions

Ver. 1.0

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1.0 Purpose

This document defines the minimum evidence requirements for each clause of Oxebridge Q001.

The intent of this document is to ensure that decisions for determining if nonconformities exist, and for ranking any such nonconformities, are based on objective evidence and solid rules. This reduces the introduction of subjectivity by auditors, and therefore reduces the likelihood of soft-grading or hard-grading audit results.

2.0 References

Oxebridge Q001 – Quality Management System Requirements
Oxebridge Q002 – Quality Management System Certification Audit Minimum Evidence Requirements
Oxebridge Q003 – Quality Management System Certification Audit Requirements
Oxebridge Q004 – Quality Management System Certification Audit Scoring
Oxebridge Q006 – Quality Management System Certification Body Accreditation Requirements
Oxebridge Q007 - Quality Management System Certification Audit Minimum Audit Duration
Oxebridge Q008 – Quality Management System Certification Audit Report
Oxebridge Q009 – Post-Audit Verification Form
Oxebridge Q010 - Quality Management System Consultant & Training Body Licensing Requirements
Oxebridge Q011 - Quality Management System Auditor Training Program
Oxebridge Q012 - Acceptable Use for Q001 Certification Marks and References
Oxebridge Q013 - Quality Management System Certification Body Accreditation Contract
Oxebridge Q014 - Quality Management System Certification Body Accreditation Fees
Oxebridge Q015 - Quality Management System Certification Body Application

3.0 Terms and Definitions

3.1 Accreditation

Official recognition by Oxebridge that a Certification Body has been authorized to conduct third-party certification audits for the Q001 scheme.

3.2 Accreditation Body

The organization responsible for issuing accreditation to Certification Bodies in order to ensure their status as legitimate, trusted bodies; in the Q001 scheme, this is Oxebridge.
3.3 Artifact
A single example of evidence.

3.4 Audit
Objective assessment of the management system relying on the comparison of evidence against requirements.

3.5 Certification Body (CB)
The organization responsible for conducting management system audits, verifying conformity, and recommending certification or decertification.

3.6 Finding
The result of a comparison of evidence against a requirement; findings revealing conformity are called “strengths,” and findings revealing lack of conformity are called “nonconformities.”

3.7 Lead Auditor
The auditor assigned to manage the audit schedule and plan, to oversee the execution of the audit, and to manage the audit team members.

3.8 Major Nonconformity
A nonconformity in which the evidence proves one or more of the following conditions exists:
   a) the organization has failed to implement an entire clause (X.0 level) of the Standard;
   b) the organization has an identified nonconformity of any severity within one the Major Fallout Clauses, as defined in Q003;
   c) the organization has delivered defective products or services because of a failure to conform to any clause in the Standard.

Note: the evidence must show that defective product or services has been delivered; evidence suggesting nonconformity product “may have” been delivered is not acceptable for this definition.

Refer to Table 1 for examples.

3.9 Minor Nonconformity
A nonconformity in which the evidence proves the organization does not conform with a single requirement of the Standard. Refer to Table 1 for examples.

3.10 Nonconformity
An instance where evidence proves the organization does not conform with (a) requirement(s). Refer to Table 1 for examples.

3.11 Objective Evidence
Information which can be verified as truthful and accurate at a later date by a third party, and which provides evidence of either conformity or nonconformity of a requirement.

3.12 Opportunity for Improvement
An auditor’s suggestion on how an organization can improve; disallowed in the Q001 scheme.

3.13 Organization
The entity being audited.

3.4 Suggestion
An auditor’s opinion directed at the organization; disallowed in the Q001 scheme.

Table 1 – Examples of Nonconformities

<table>
<thead>
<tr>
<th>Finding</th>
<th>Required Nonconformity Level</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evidence proves company has not implemented clause 9.0 Performance Evaluation at all.</td>
<td>Major nonconformity; the company has not implemented a clause at the X.0 level.</td>
</tr>
<tr>
<td>Evidence finds a single instance of nonconformity in clause 10.2 Corrective Action.</td>
<td>Major nonconformity: the company failed to satisfy a Major Fallout Clause (10.2.)</td>
</tr>
<tr>
<td>Evidence finds a single instance of nonconformity in clause 8.6.1 Inspection and Testing Requirements, and defective product or services were delivered as a result.</td>
<td>Major nonconformity because it resulted in the delivery of defects.</td>
</tr>
<tr>
<td>Evidence finds a single instance of nonconformity in clause 8.6.1 Inspection and Testing Requirements, but no defective product or services were delivered as a result.</td>
<td>Minor nonconformity because this is not a Major Fallout Clause.</td>
</tr>
</tbody>
</table>