Classifying Findings — Comply / OFI / NC

Each Part A question receives one of three marks. The distinction between OFI and NC is the most consequential judgement in the process.

Comply — Evidence supports the requirement

A documented process exists AND objective evidence of its operation is available AND the evidence is current. All three must be true. Missing any one moves the finding to OFI or NC. The supporting evidence is cited in the Comments column by document reference, revision, and date.

OFI — Opportunity for Improvement

Objective evidence exists but the process or procedure needs improvement; OR a documented procedure exists but evidence of operation is thin; OR a process is in place but not yet formally documented. The QMS does broadly address the requirement — it just doesn't address it well. Not a blocker to certification but should be closed in the first full PDCA cycle.

NC — Nonconformance

No objective evidence supports the requirement, OR a documented procedure is missing, OR the process is absent entirely. NCs are blockers to certification — a CB will not award certification against a standard where material NCs against its requirements are open. Every NC becomes a priority Part B finding with a target closure date ahead of the Stage 2 audit.

SAMPLE

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The 5-State Status Model — Auto-Calculated

Status is computed automatically from Progress % (column J) and today's date vs Start and Finish (columns G and H). The 5 states drive the Gantt bar colour.

Not Started

Progress = 0
Today ≤ Start

In Progress

Progress > 0
Progress < 100

At Risk

Progress = 0
Today > Start

Complete

Progress ≥ 100

Overdue

Today > Finish
Progress < 100

The only field you edit is Progress %

Status transitions happen automatically. Update Progress weekly from 0 → 10 → 20 → … → 100 and the Status column moves the row through Not Started → In Progress → Complete on its own. If work slips, the Status column automatically escalates to At Risk (when today passes Start with no progress) or Overdue (when today passes Finish with incomplete progress) without any user intervention. This is why the weekly cadence is so lightweight — the only data entry is the Progress % column.

SAMPLE

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