gapiii containment cERTIFICATION

Audit FINDings and CORRECTIVE ACTION PLAN (CAP)

CAP for:

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | **Gap assessment** |  | **Initial audit** |  | **Periodic audit** |  | **Recertification audit** |

Organization:

Audit start date:

Audit end date:

Audit scope:

Audit location:

Finding No. 1 of NC status: open/close Recommended by: NC closure date:

| *Finding description* | | *Auditor’s initials* | *Finding category[[1]](#footnote-1)* | *Clause* | *Immediate actions required* | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | |  |  |  |  | | | | |
| **Root cause analysis (RCA)** | | **RCA by/date** | **Corrective action taken to close NC** | | | **Proposed date** | **Completion deadline** | **Person responsible** | **Completion status/date** |
|  | |  |  | | |  |  |  |  |
| **Verification of CAP & its effectiveness** | **CAP verified by** | **Date verified** | *CAP accepted on* | *NAC verification of CAP & its effectiveness* | | | *Verified*  *by* | *Auditor’s notes* | |
|  |  |  |  |  | | |  |  | |

Legend:

*Cells with title in italics*– To be completed by the NAC

**Cells with title in bold** – To be completed by the PEF

Finding No. 2 of NC status: open/close Recommended by: NC closure date:

| *Finding description* | | *Auditor’s initials* | *Finding category[[2]](#footnote-2)* | *Clause* | *Immediate actions required* | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | |  |  |  |  | | | | |
| **Root cause analysis (RCA)** | | **RCA by/date** | **Corrective action taken to close NC** | | | **Proposed date** | **Completion deadline** | **Person responsible** | **Completion status/date** |
|  | |  |  | | |  |  |  |  |
| **Verification of CAP & its effectiveness** | **CAP verified by** | **Date verified** | *CAP accepted on* | *NAC verification of CAP & its effectiveness* | | | *Verified*  *by* | *Auditor’s notes* | |
|  |  |  |  |  | | |  |  | |

Legend:

*Cells with title in italics*– To be completed by the NAC

**Cells with title in bold** – To be completed by the PEF

Finding No. 3 of NC status: open/close Recommended by: NC closure date:

| *Finding description* | | *Auditor’s initials* | *Finding category[[3]](#footnote-3)* | *Clause* | *Immediate actions required* | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | |  |  |  |  | | | | |
| **Root cause analysis (RCA)** | | **RCA by/date** | **Corrective action taken to close NC** | | | **Proposed date** | **Completion deadline** | **Person responsible** | **Completion status/date** |
|  | |  |  | | |  |  |  |  |
| **Verification of CAP & its effectiveness** | **CAP verified by** | **Date verified** | *CAP accepted on* | *NAC verification of CAP & its effectiveness* | | | *Verified*  *by* | *Auditor’s notes* | |
|  |  |  |  |  | | |  |  | |

Legend:

*Cells with title in italics* – To be completed by the NAC

**Cells with title in bold** – To be completed by the PEF

Finding No. 4 of NC status: open/close Recommended by: NC closure date:

| *Finding description* | | *Auditor’s initials* | *Finding category[[4]](#footnote-4)* | *Clause* | *Immediate actions required* | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | |  |  |  |  | | | | |
| **Root cause analysis (RCA)** | | **RCA by/date** | **Corrective action taken to close NC** | | | **Proposed date** | **Completion deadline** | **Person responsible** | **Completion status/date** |
|  | |  |  | | |  |  |  |  |
| **Verification of CAP & its effectiveness** | **CAP verified by** | **Date verified** | *CAP accepted on* | *NAC verification of CAP & its effectiveness* | | | *Verified*  *by* | *Auditor’s notes* | |
|  |  |  |  |  | | |  |  | |

Legend:

*Cells with title in italics* **–** To be completed by the NAC

**Cells with title in bold** – To be completed by the the PEF

1. Finding categories: NC1 – Major; NC2 – Minor; Obs – Observation; OFI – Opportunity For Improvement (RCA and CAP are required for NC1 and NC2, but not mandatory for Obs and OFI). [↑](#footnote-ref-1)
2. Finding categories: NC1 – Major; NC2 – Minor; Obs – Observation; OFI – Opportunity For Improvement (RCA and CAP are required for NC1 and NC2, but not mandatory for Obs and OFI). [↑](#footnote-ref-2)
3. Finding categories: NC1 – Major; NC2 – Minor; Obs – Observation; OFI – Opportunity For Improvement (RCA and CAP are required for NC1 and NC2, but not mandatory for Obs and OFI). [↑](#footnote-ref-3)
4. Finding categories: NC1 – Major; NC2 – Minor; Obs – Observation; OFI – Opportunity For Improvement (RCA and CAP are required for NC1 and NC2, but not mandatory for Obs and OFI). [↑](#footnote-ref-4)