

D2 - Annex 1

Malys Angkor management system .
Audit checklist

5/4/2016

Component #2: Development and promotion of Cambodian Rice quality and labels

Request for proposals No.: CKH . 1077 - C#2 . C . 15 . 01

Section	Requirement	What to Look For	Auditor's Notes / Objective Evidence	Evaluation Result
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4 Organization

4.1 General Requirements

4.1.1	Has the organization established, documented, implemented, maintained and continually improved its management system according to the requirements of the CRB Management System Guideline?	<ul style="list-style-type: none"> • Documented CRB Manual or its equivalent; 		
4.1.2	Has the organization identified the external issues that are relevant to the purpose, direction and intended results of its management system?	<ul style="list-style-type: none"> • Existing national regulation for rice products; • Available technological advancements in the market; • Competition within the industry and globally • Market share • Cultural issues • Social issues • Economic environments • Whether international, national, regional or local 		
4.1.3	Has the organization identified the internal issues that are relevant to the purpose, direction and intended results of its management system?	<ul style="list-style-type: none"> • Values of the members of the organization; • Culture • Knowledge of the employees • Performance 		
4.1.4	Has the organization identified who are the interested parties to whom the organization interacts and deals with all throughout the implementation of its management system?	<ul style="list-style-type: none"> • Customers • Government • Shareholders • Community • Industry • Suppliers • Others 		
4.1.5	Has the organization identified the requirements from the interested parties necessary to the effective implementation of its management system?	<ul style="list-style-type: none"> • List of applicable legal and other requirements; • Matrix 		

4.2 Scope of the CRB Management System

4.2.1	Has the organization identified the products and services which will be covered by the implementation of the CRB Management System?	<ul style="list-style-type: none"> • Documented CRB Manual or its equivalent; 		
4.2.2	Has the organization identified the processes which will be covered by the implementation of the CRB Management System?	<ul style="list-style-type: none"> • Documented CRB Manual or its equivalent; 		
4.2.3	Has the organization identified the sites and organizations which will be covered by the implementation of the CRB Management System?	<ul style="list-style-type: none"> • Documented CRB Manual or its equivalent; 		

5 Leadership

5.1 Policy

Section	Requirement	What to Look For	Auditor's Notes / Objective Evidence	Evaluation Result
5.1.1	Has the top management of the organization established, document, implement and maintain its Policy related to CRB Management System?	<ul style="list-style-type: none"> Documented Policy statement 		
5.1.2	Has the top management communciated the Policy among the members of the organization?	<ul style="list-style-type: none"> Documented Policy statement with appropriate evidence of approval from top management 		
5.1.3	Has the Policy defined the top management's commitment to quality, food safety, environmental, occupational health and safety and social acocuntability?	<ul style="list-style-type: none"> Documented Policy statement must mention clear commitment of top management on quality, food safety, environmental, occupational health and safety and social acocuntability 		
5.1.4	Has the Policy sufficiently defined the the purpose and scope of its CRB Management System?	<ul style="list-style-type: none"> Documented Policy statement must describe the purpose and scope of the CRB Management System 		
5.2 Organizational Roles, Responsibility, Authority and Accountability				
5.2.1	Are the responsibilities, authorities and accountabilities for relevant roles in the implementation of the CRB Management System defined, documented, assigned, communicated and understood within the organization?	<ul style="list-style-type: none"> Organizational Chart Job description; Responsibilities Matrices; Appointment Letters Procedures, Accountabilities documents. 		
5.3 CRB Management System Implementation Team				
5.3.1	Has the organization formulated a team responsible for ensuring effective implementation, performance monitoring and initiating activities that promotes improvement of the established CRB Management System?	<ul style="list-style-type: none"> Project Team Structure Organizational Chart Appointment or Letter of Designation 		
5.3.2	<p>Has the top management appointed a team leader who shall have the following responsibilities:</p> <p>a. Manage the team, assign tasks and monitor status of activities of its members;</p> <p>b. Ensure that the members of the team are provided with the required training for them to effectively carry out the assigned tasks;</p> <p>c. Ensure that the CRB Management System has been implemented, maintained and improved;</p> <p>d. Reports on the performance of the management system to the top management.</p>	<ul style="list-style-type: none"> Project Team Structure Organizational Chart Job description Responsibilities Matrices Appointment Letters Procedures 		

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6 Planning				
6.1 Risk Management				
6.1.1	Has the organization established, documented and implemented processes to determine the hazards relevant to CRB Management System taking into account quality, environmental, occupational safety and health and social accountability?	<ul style="list-style-type: none"> • HACCP documents • Environmental risk documents • Job Hazard Analysis • Social accountability hazards identification documents 		
6.1.2	Has the organization established, documented and implemented processes to evaluate the risks from the identified hazards relevant to CRB Management System taking into account quality, environmental, occupational safety and health and social accountability?	<ul style="list-style-type: none"> • HACCP • CCP • HIRAC • Environmental Aspect and Impact Evaluation Record • Social Accountability Risk Evaluation document 		
6.1.3	Has the organization planned and implemented actions to address the hazards and risks?	<ul style="list-style-type: none"> • Records of activities / actions arising from the identified risks 		
6.1.4	Is there a documented procedure established by the organization to define the method, criteria of assessing significance of the risks?	<ul style="list-style-type: none"> • Documented procedures; • Defined policies • Guidelines and criteria on risk assessment • Records of communication of the criteria among the members of the organization 		
6.1.5	Are there records established and retained to provide evidence of the hazard identification and risk assessment?	<ul style="list-style-type: none"> • Records of communication of the criteria • Records of hazards identification • Records of risk assessment • Records of action arising from the assessed risks 		
6.1.6	Has the organization successfully implemented and has been certified to relevant version of HACCP?	<ul style="list-style-type: none"> • HACCP certificate issued by the CB; • Audit report from previous audit issued by the CB; • Records of action done for nonconformity detected by the CB 		
6.2 Legal and Other Requirements				
6.2.1	Has the organization established, documented, implemented and maintained process/es for determining legal and other requirements applicable to its CRB Management System?	<ul style="list-style-type: none"> • Documented procedure on how legal and other requirements are identified, accessed and complied; • List of identified applicable legal and other requirements • Compilation of the national regulations and international laws and agreement. • Competency of 		

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		personnel in-charge of maintaining compliance to the identified legal and other requirements		
6.2.2	Were the identified legal and other requirements covered those applicable to quality, food safety, occupational safety and health and social accountability?	<ul style="list-style-type: none"> List of identified legal and other requirements related to quality operations, food safety, occupational health and safety, social accountability 		
6.3 Objectives				
6.3.1	Has the top management ensured that there are established, documented, implemented and maintained objectives taking into account those that are relevant to quality, food safety, occupational health and safety and social accountability?	<ul style="list-style-type: none"> List of identified legal and other requirements related to quality operations, food safety, occupational health and safety, social accountability 		
6.3.2	Were there objectives established at relevant functions, levels and processes within the organization?	<ul style="list-style-type: none"> Documented objectives with target and action plan available at every department or function of the organization 		
6.3.3	Were there evidences retained that the objectives have been communicated within the organization?	<ul style="list-style-type: none"> Minutes of the meeting Attendance List Feedback and actions from highlighted objectives 		
6.3.4	Was the objective consistent with the established Policy?	<ul style="list-style-type: none"> Objectives set are aligned with the commitments mentioned on the Policy 		
6.3.5	Were the set objectives measurable, where applicable?	<ul style="list-style-type: none"> Quantifiable target set to achieve the objective 		
6.3.6	Were the objectives monitored and updated?	<ul style="list-style-type: none"> Minutes of the meeting Attendance List 		
6.3.7	Has the organization determined and implemented actions to achieve the set objectives?	<ul style="list-style-type: none"> Feedback and actions from highlighted objectives 		
7 Support				
7.1 Human Resources				
7.1.1	Has the organization identified the personnel whose work affect conformity to CRB Management System	<ul style="list-style-type: none"> Organizational Chart Responsibility Matrix 		
7.1.2	Has the competency requirement for the personnel to effectively implement CRB Management System Guideline requirements been determined?	<ul style="list-style-type: none"> Competency Matrix Job Description 		
7.1.3	Has the organization provided trainings or other actions to acquire the necessary competence?	<ul style="list-style-type: none"> Training Plan Training Calendar 		
7.1.4	Has the organization evaluated the effectiveness of the provided training	<ul style="list-style-type: none"> Training Effectiveness Report 		

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	or other actions taken?	<ul style="list-style-type: none"> • Performance Evaluation • Incident Reports 		
7.1.5	Has the organization complied with the applicable local, national or international regulations on labor?	<ul style="list-style-type: none"> • List of identified labor law / regulation • Evidences to comply the requirements defined • Company Policy Handbook • Personal Files • Policy against Child Labor, Forced Labor, Discrimination • Policy on Freedom on Association 		
7.2 Infrastructure				
7.2.1	Has the organization determined and provided the necessary infrastructure to achieve conformity to CRB Management System requirements?	<ul style="list-style-type: none"> • List of machines, equipment, facilities, support services used in the operations 		
7.2.2	Has the organization performed appropriate maintenance over the identified infrastructure?	<ul style="list-style-type: none"> • Records of maintenance (checklist, machine repair history, service reports, etc.) 		
7.3 Communication				
7.3.1	Has the organization established, documented, implemented and maintained processes for internal communication on matters relevant to its CRB Management System, including but not limited to: <ol style="list-style-type: none"> What to communicate? When to communicate? With whom to communicate? How to communicate? 	<ul style="list-style-type: none"> • Communication links; • Emails; • Memo; • Display boards • Meeting minutes 		
7.3.2	Has the organization established, documented, implemented and maintained processes for external communication on matters relevant to its CRB Management System, including but not limited to: <ol style="list-style-type: none"> What to communicate? When to communicate? With whom to communicate? How to communicate? 	<ul style="list-style-type: none"> • Communication links; • Emails; • Memo; • Meeting minutes 		
7.4 Documentation				
7.4.1 CRB Management System Manual				
7.4.1.1	Has the organization established and documented a Manual that includes: <ol style="list-style-type: none"> Scope of the CRB Management System; 	<ul style="list-style-type: none"> • Documented CRB Manual or its equivalent; 		
7.4.1.2	Has the organization established and documented a Manual that includes:	<ul style="list-style-type: none"> • Documented CRB Manual or its equivalent; 		

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	b. Description of how it intends to fulfill the requirements of the CRB Management System Guideline;			
7.4.1.3	Has the organization established and documented a Manual that includes: c. Documented procedures required or reference them.	<ul style="list-style-type: none"> Documented CRB Manual or its equivalent; 		
7.4.2 Control of Documents				
7.4.2.1	Has the organization established a documented procedure to define the following controls: a. Ensuring documents are approved; b. Ensuring revision of document is properly identified; c. Ensuring timely distribution of documents.	<ul style="list-style-type: none"> Document approval authority. Document approval records. Availability of documents in various locations. Knowledge of documents location. Document accessibility. Process for notification/distribution of documents from internal and external origins. Review and approval of revised documents. 		
7.4.3 Control of Records				
7.4.3.1	Has the organization established a documented procedure to define the following controls: a. Ensuring records needed as evidence of conformity to CRB Management System are identified; b. Ensuring that records are properly stored and protected; c. Ensuring that the stored records are retrievable; d. Ensuring that retention period is defined; e. Ensuring that the disposition is defined.	<ul style="list-style-type: none"> CRB management system records. Records maintenance system, including disposal of records. CRB management system records legibility. Identification of CRB management system records. 		
8 Operations				
8.1 Operational Planning and Control				
8.1.1	Has the organization planned, implemented and controlled the processes needed for the provision of products that meet the requirements?	<ul style="list-style-type: none"> Quality Planning process Project Planning process 		
8.1.2	Was the output of this planning made suitable for the organization's operations while ensuring that the requirements and intent of Clause 6.0 have been met?	<ul style="list-style-type: none"> Quality plans; Work instructions; Specification Sheet 		
8.1.3	Has the organization controlled the planned changes and reviewed the consequences of unintended changes, taking action to mitigate	<ul style="list-style-type: none"> Meeting minutes; 		

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	any adverse effects, as necessary?			
8.1.4	Has the organization ensured that outsourced processes are controlled (see 8.3).	<ul style="list-style-type: none"> List of qualified external provider Selection criteria Evaluation method Records of conducted evaluation 		
8.2 Control of Externally Provided Processes, Products and Services				
8.2.1 General				
8.2.1.1	Has the organization identified the processes, product or services that are provided by external party?	<ul style="list-style-type: none"> List of qualified external provider; List of products or service provided by external provider; 		
8.2.1.2	Has the organization determined and applied the criteria for evaluation, selection, monitoring of performance, and re-evaluation of external providers?	<ul style="list-style-type: none"> Procedure for external provider selection and evaluation; Procedure for external provider re-evaluation and; 		
8.2.1.3	Has the organization retained records of the said activities and actions resulting from the evaluation?	<ul style="list-style-type: none"> Records providing evidence of evaluation conducted for the external provider 		
8.3 Production and Service Provision				
8.3.1 Control of Production And Service Provision				
8.3.1.1	<p>Has the organization implemented production / operations / service operations under controlled conditions that includes:</p> <p>a) the availability of documented information that defines the characteristics of the products to be produced, the services to be provided, or the activities to be performed</p> <p>b) the establishing and implementation of HACCP Plan;</p> <p>c) implementation of operational control procedures to minimize potential effect of the operations to the environment, occupational health and safety as well as to social accountability;</p>	<ul style="list-style-type: none"> Product Specification Operations instructions CCP PRPs Operational controls related to environment and health and safety 		
8.3.2 Identification and Traceability				
8.3.2.1	Has the organization established and applied suitable traceability system that will enable easy identification of product?	<ul style="list-style-type: none"> Batch number 		
8.3.2.2	Has the organization identified the status of the output or product after every monitoring and measurement activity conducted?			
8.3.2.3	Has the organization retained traceability records?	Record of sourcing (Paddy)		
8.3.2.4	Has the organization ensured that the traceability records are available			

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	and retrievable when needed?			
8.3.3 Preservation				
8.3.3.1	Has the organization applied appropriate control during operations and service provisions to ensure that the conformity of the outputs are preserved	<ul style="list-style-type: none"> Storage area mapping Storage of product specifications; Inspection records; Evidence of FIFO; Control of rejected, out of specification or nonconforming product 		
8.3.4 Control of Changes				
8.3.4.1	Has the organization reviewed and controlled changes to the operations of the organization to the extent necessary to ensure continuing conformity with requirements?	<ul style="list-style-type: none"> Change management process Change records; Inspection / validation test reports or records; 		
8.3.4.2	Has the organization retained documented information describing the results of the review of changes, the person(s) authorizing the change, and any necessary actions arising from the review?	<ul style="list-style-type: none"> Change management process Change records; Inspection / validation test reports or records; 		
8.4 Release of Products and Services				
8.4.1	Has the organization implemented planned arrangements, at appropriate stages, to verify that the product and service requirements have been met?	<ul style="list-style-type: none"> Control plans. Inspection instructions. Records Inspection / validation test reports or records; 		
8.4.2	Has the release of products and services to the customer did not proceed until the planned arrangements have been satisfactorily completed, unless otherwise approved by a relevant authority and, as applicable, by the customer?	<ul style="list-style-type: none"> Records Inspection records that indicate the person(s) authorizing release of product. 		
8.4.3	Has the organization retained documented information on the release of products and services? The documented information shall include: a) evidence of conformity with the acceptance criteria; b) traceability to the person(s) authorizing the release?	<ul style="list-style-type: none"> Inspection records that include acceptance criteria, inspector performing the test, test status and, testing date Inspection records that indicate the person(s) authorizing release of product. 		
8.5 Control of Nonconforming Outputs				
8.5.1	Has the organization ensured that outputs that do not conform to their requirements are identified and controlled to prevent their unintended use or delivery?	<ul style="list-style-type: none"> Follow one or more non-conforming case and verify the flow (identification, segregation, etc.) Reject, out of specification products 		
8.5.2	Has the organization took action based on the nature of the nonconformity and its effect on the conformity of products and services?	<ul style="list-style-type: none"> Follow one or more non-conforming case and verify the flow (identification, segregation, etc.) 		

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8.5.3	Was it also applied to nonconforming products and services detected after delivery of products, during or after the provision of services?	<ul style="list-style-type: none"> Follow one or more nonconforming case and verify the flow (identification, segregation, etc.) 		
8.5.4	Has the organization dealt with nonconforming outputs in one or more of the following ways: <ol style="list-style-type: none"> correction; segregation, containment, return or suspension of provision of products and services; informing the customer? 	<ul style="list-style-type: none"> Follow one or more nonconforming case and verify the flow (identification, segregation, etc.) 		
8.5.5	Has the organization verified the conformity to the requirements when nonconforming outputs are corrected?	<ul style="list-style-type: none"> Instruction for re-qualifying corrected nonconforming product. 		
8.5.6	Has the organization shall establish documented information on how these controls are to be implemented?	<ul style="list-style-type: none"> Documented procedure Work Instructions 		
8.5.7	Has the organization retained records as evidence of the nature of the nonconformities and subsequent actions taken including the results of any corrective action.	<ul style="list-style-type: none"> Check records of previous incident of nonconforming output; Verify if controlled as records of the CRB Management System 		
8.6 Emergency Preparedness and Response				
8.6.1	Has the organization established, documented, implemented and maintained process/es to determine, prepare and respond to potential emergency situations relevant to its CRB Management System?	<ul style="list-style-type: none"> Documented procedure Response plans 		
8.6.2	Has the organization prepared to respond by planning actions to prevent or mitigate adverse outcome from emergency situations?	<ul style="list-style-type: none"> Documented procedure Response plans 		
8.6.3	Has the organization responded to actual emergency situations?	<ul style="list-style-type: none"> Records of previous emergency situation attended to by the organization; 		
8.6.4	Has the organization took action to prevent or mitigate consequences of emergency situation?	<ul style="list-style-type: none"> Records of previous emergency situation attended to by the organization; Reports, incident investigations; 		
8.6.5	Has the organization periodically tested the planned response, when applicable?	<ul style="list-style-type: none"> Activity schedule Drill reports 		
8.6.6	Has the organization reviewed and revised the process/es and planned response actions after occurrence of emergency situation or test?	<ul style="list-style-type: none"> Records of previous emergency situation attended to by the organization; 		

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		<ul style="list-style-type: none"> • Reports, incident investigations; 		
8.6.7	Has the organization provided information and training related to emergency preparedness and response?	<ul style="list-style-type: none"> • Training Certificates • Training Attendance List • Pictures taken during training / workshops 		
9 Performance Evaluation				
9.1 Monitoring, Measurement, Analysis and Evaluation				
9.1.1	Has the organization monitored, measured, analyzed and evaluated the performance of its CRB Management System?			
9.1.2	Has the organization determined: <ol style="list-style-type: none"> what needs to be monitored and measured; the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results; the criteria against which the organization will evaluate its performance and appropriate indicators; when the monitoring and measuring shall be performed; when the results from monitoring and measurement shall be analysed and evaluated? 			
9.1.3	Has the organization analyzed and evaluated data and information arising from the monitoring and measurement?			
9.1.4	Has the organization monitored customers' perception of the degree to which their needs and expectations have been fulfilled?			
9.1.5	Has the organization determined the methods for obtaining, monitoring and reviewing information about customer perception?			
9.2 Evaluation of Compliance to Legal and Other Requirements				
9.2.1	Has the organization established, documented, implemented and maintained process to evaluate fulfillment of its compliance to legal and other requirements applicable to quality, food safety, environmental, occupational health and safety and social accountability?	<ul style="list-style-type: none"> • Documented procedure • Process flow chart 		
9.2.2	Has the organization determined the frequency that the compliance will be evaluated?	<ul style="list-style-type: none"> • Records of 		
9.2.3	Has the organization taken the			

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	action needed resulting from the evaluation?			
9.2.4	Has the organization provided information on the status of its compliance to legal and other requirements?			
9.2.5	Were records established to provide evidence of the result of the evaluation of compliance?			
9.3 Internal Audit				
9.3.1 General				
9.3.1.1	Has the organization conducted internal audits at planned interval to determine if it a. conforms to the organization's own requirements for its CRB Management System and the requirements of this Guidelines; b. is effectively implemented and maintained?	<ul style="list-style-type: none"> Internal audit schedule Records of performed audits Audit reports 		
9.3.2 Internal Audit Programme				
9.3.2.1	Has the organization planned, established, documented, implemented and maintained an audit programme?	<ul style="list-style-type: none"> Internal audit schedule Documented procedure Internal audit process stated in CRB manual 		
9.3.2.2	Has the organization considered the importance of the processes concerned, changes to the organization and the results of the previous audits in establishing the audit programme?	<ul style="list-style-type: none"> Internal audit schedule Prioritization of audit activity 		
9.3.2.3	Were the auditors selected objectively?	<ul style="list-style-type: none"> Organization charts Auditors only conduct audits in areas that are independent of the their job functions. 		
9.3.2.4	Were the auditors provided with the needed competency to perform objective internal audits?	<ul style="list-style-type: none"> Training records Records of experience or education 		
9.4 Management Review				
9.4.1 General				
9.4.1.1	Has the top management planned and carried out management review meeting at planned interval?	<ul style="list-style-type: none"> Review of all the elements of the CRB management system to ensure its continuing suitability and effectiveness Management review meeting minutes; Attendance and adequate frequency. Action plans and follow-up. 		

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9.4.1.2	Were records as evidence of the result of the management review maintained?	<ul style="list-style-type: none"> • Management review meeting minutes; • Attendance and adequate frequency; • Retention of the records must be defined. 		
9.4.2 Management Review Inputs				
9.4.2.1	<p>Were the following inputs considered / discussed during the management review:</p> <p>a. the status of actions from previous management reviews;</p> <p>b. changes in</p> <p style="padding-left: 20px;">i. CRB Management System;</p> <p style="padding-left: 20px;">ii. changes in the needs and expectations of interested parties, including compliance to legal and other requirements</p> <p style="padding-left: 20px;">iii. risk management;</p> <p>c. the extent to which objectives have been achieved;</p> <p>d. information on the performance and effectiveness including trends in:</p> <p style="padding-left: 20px;">i. customer satisfaction and feedback from relevant interested parties;</p> <p style="padding-left: 20px;">ii. nonconformities and corrective actions;</p> <p style="padding-left: 20px;">iii. monitoring and measurement results of the CRB management system performance indicators;</p> <p style="padding-left: 20px;">iv. audit results;</p> <p style="padding-left: 20px;">v. the performance of external providers</p> <p>e. adequacy of resources;</p> <p>f. relevant communication(s) from interested parties, including complaints; opportunities for continual improvement;</p> <p>g. opportunities for improvement.</p>	<ul style="list-style-type: none"> • Reports prepared from previous management reviews. • Management review meeting minutes. • Action plans and follow-up. • Content of management review meeting agenda • Trends in metrics (business, customer satisfaction, customer complaint, regulatory compliance) • Product results against Policy goals and customer specified requirements, regulations. 		
9.4.3 Management Review Inputs				
9.4.3.1	Has the output of management review provided conclusion on the continuing suitability, adequacy and effectiveness of the CRB Management System	<ul style="list-style-type: none"> • Examples of continuous improvement projects initiated from management reviews. • Examples of product improvements initiated from management reviews. 		
10 Improvement				
10.1 General				
10.1.1	Has the organization determined	<ul style="list-style-type: none"> • Examples of continuous 		

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	opportunities for improvement and implemented actions to the implemented CRB Management System?	<p>projects initiated from any of the following:</p> <ul style="list-style-type: none"> - Policy, - Objectives, - Audit results, - Analysis and evaluation of data, - Corrective and preventive actions, - Management review 		
10.2 Nonconformity and Corrective Action				
10.2.1	<p>When nonconformity occurs, has the organization:</p> <ol style="list-style-type: none"> a. reacted to the nonconformity; b. evaluated the need for action to eliminate the cause of nonconformity so it will not recur; c. implemented the needed action; d. determined if the action is effective; e. made changes to the Management System, when necessary. 	<ul style="list-style-type: none"> • 		
10.2.2	Has the organization retained records as evidence of nature of nonconformity and actions taken.			
10.3 Continual Improvement				
10.3.1	Has the organization continually improved the performance of its CRB Management System?	<ul style="list-style-type: none"> • Examples of continuous projects initiated from any of the following: <ul style="list-style-type: none"> - Policy, - Objectives, - Audit results, - Analysis and evaluation of data, - Corrective and preventive actions, - Management review 		