

Contents	Page
European foreword.....	3
Rationale.....	4
Foreword	4
0 Introduction	5
0.1 General.....	5
0.2 Auditing approach	5
0.3 Audit records and reports.....	5
1 Scope	6
1.1 General.....	6
1.2 Application	6
2 Normative references	6
3 Terms and definitions	7
4 Auditing and reporting.....	9
4.1 General.....	9
4.1.1 Audit process	9
4.1.2 Reporting	10
4.2 Common audit activities	10
4.2.1 Audit planning.....	11
4.2.2 Conducting on-site audits.....	12
4.2.3 Audit report.....	16
4.2.4 Nonconformity management.....	17
4.3 Audit phase specific requirements.....	18
4.3.1 Pre-audit activities	18
4.3.2 Stage 1 audit.....	19
4.3.3 Stage 2 audit.....	21
4.3.4 Surveillance audit	22
4.3.5 Recertification audit	22
4.3.6 Special audit.....	23
Annex A (informative) Acronym log.....	24
Annex B (informative) Forms	25
B.1 EN 9101 Form 1: Stage 1 Audit Report	25
B.2 EN 9101 Form 2: QMS Process Matrix Report.....	27
B.3 EN 9101 Form 3: Process Effectiveness Assessment Report.....	28
B.4 EN 9101 Form 4: Nonconformity Report (NCR)	28
B.5 EN 9101 Form 5: Audit Report	29
B.6 EN 9101 Form 6: Supplemental Audit Report.....	30
Tables	
Table 1 — Audit reporting matrix.....	10
Table 2 — Relationship between common activities and audit phases	11
Table 3 — Process evaluation matrix	16