



NS Quality Award

On-site audit Criteria (Summary)

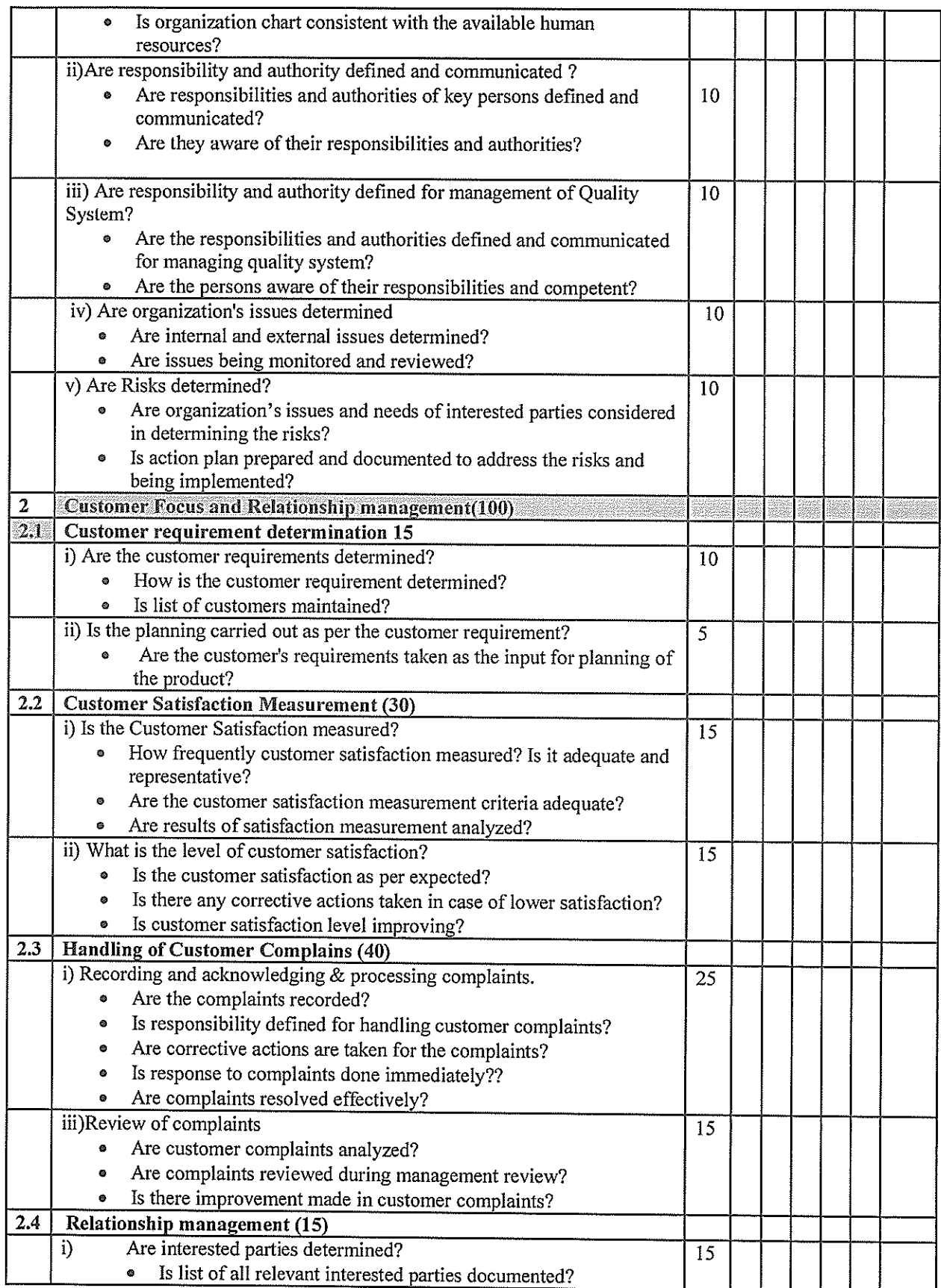
S. No.	Evaluation criteria	Points Value
1	Leadership	100
1.1	Policy and Objectives (50)	
1.2	Organization and its context(50)	
2	Customer focus and relationship management	100
2.1	Customer requirement determination(15)	
2.2	Customer Satisfaction Measurement(30)	
2.3	Handling of Customer Complains (40)	
2.4	Relationship Management (15)	
3	Process and system management	300
3.1	Process Identification (30)	
3.2	Process Control(200)	
3.3	System Documentation(40)	
3.4	Internal audit (30)	
4	Human Resource Management	100
4.1	Employee Recruitment(10)	
4.2	Training and education(20)	
4.3	Competency of Employees(20)	
4.4	Employees Involvement in Quality Improvement(20)	
4.5	Occupational Health and Safety(20)	
4.6	Employees Satisfaction(10)	
5	Information Management	50
5.1	Quality Data Generation, Analysis and Use (22.5)	
5.2	Organizational Knowledge (7.5)	
5.3	Communication/ Information dissemination System (20)	
6	Corporate Social Responsibility	100



6.1	Environmental Aspect(30)	
6.2	Legal Aspect(30)	
6.3	Social Aspect(20)	
6.4	Local resources(20)	
7	Performance and improvements	100
7.1	Identification of performance indicators(20)	
7.2	Measurement and evaluation of performance(30)	
7.3	Improvement Planning(20)	
7.4	Product development(30)	
8	Work environment, Infrastructure and Housekeeping	50
9	NS certified products, complaints and penalty	100
	Total	1000

Onsite audit detail checklist guidelines

SN	Evaluation criteria and guidelines		0	1	2	3	4	score
1	Leadership (100)							
1.1	Policy and Objectives 50							
	i) Are Policy and Objectives documented? • Is there any documented evidence of policy and objectives with respect to quality, environment and OHS?	5						
	ii) Is there dissemination of Policy? • How does top management deploy organization's policy throughout the organization? • Are the employees aware of the organization's policy?	10						
	iii) Are objectives measurable and realistic? • Are objectives consistent with Policy? • Are objectives measurable, realistic and indicators defined? • Are action plans developed to meet the objectives and monitoring mechanism developed? • Are objectives developed at relevant functions and levels?	20						
	iv) Does the top management participate in the development and review of quality management system? • How is the top management involved in planning and development of quality system? • Is review carried out at certain intervals to meet the organizational needs and records maintained? • How is top management involved in review of QMS?	15						
1.2	Organization and its context (50)							
	i) Is the organization chart available and up to date? • Is organization chart documented and approved?	10						





	<ul style="list-style-type: none"> Are their relevant needs and expectations determined? Are their needs and expectations reviewed? 								
3	Process and system management(300)								
3.1	Process Identification 20								
	i) Identification and documentation of processes of the organization <ul style="list-style-type: none"> Are all processes identified and documented applicable to the organization? Are sequence and interaction of processes documented? 	10							
	ii) Production/process flow chart available and compatible with production process <ul style="list-style-type: none"> Is production process flow chart available and known to concerned persons? Is production process flow chart compatible to the actual production scenario and cover all the products of the organizations? 	10							
3.2	Process Control(200)								
	i) Control points defined and documented. <ul style="list-style-type: none"> Are the control points for each operations of production defined and documented? Are these control points adequate? Are control points known to concerned persons? 	30							
	ii) Quality assurance of external providers for material, process and services? <ul style="list-style-type: none"> Are external providers' evaluation criteria defined and a list of approved external providers maintained? Is specification available for incoming supplies and verified after supply? Is corrective actions taken for non conforming supplies? 	30							
	iii) In process quality control <ul style="list-style-type: none"> Is the process control done as per plan? Are all the controls recorded? What is the effectiveness of the process control? Are the records of process control analyzed? 	60							
	iv) Quality assurance of final products <ul style="list-style-type: none"> Are criteria determined for the quality assurance of final product ? Are criteria implemented and the records of inspection and testing of final products maintained? Are the records of inspection and testing of final products analyzed? What is the performance of quality of final products? Are records of laboratory testing maintained? 	40							
	v) Calibration of equipment (Traceability of measurement results to SI units) <ul style="list-style-type: none"> Is a list of required monitoring and measuring equipment maintained with calibration plan? Is calibration done as per plan and records of calibration maintained? Are calibration results implemented? Is the calibration done by authorized person / body? 	25							
	vi) Control, identification, segregation and disposal of non conforming materials and process?	15							



	<ul style="list-style-type: none"> Are non conforming materials identified at each stage of processing? Are corrections or corrective actions implemented for non conforming materials/ process and records maintained? 								
3.3	System Documentation 40								
	i) Availability of Quality system documentation to support the organizational activities. <ul style="list-style-type: none"> Are the documents adequate for the organizational need and effective? Is a master list of documents maintained? 	10							
	ii) Implementation of System documents <ul style="list-style-type: none"> Are the activities carried out as specified in the documents? Are the employees aware of the concerned documents and available in work places when needed? 	10							
	iii) Control of documented information <ul style="list-style-type: none"> Are the documents approved, reviewed or revised as per the necessity and protected against loss and improper use? Is disposal system and retention period defined? 	10							
	v) Maintenance of records as required by NBSM <ul style="list-style-type: none"> Are records maintained as directed or required by NBSM? Are records up to-date? 	10							
3.4	Internal Quality Audit(40)								
	i) Conduction of internal audits <ul style="list-style-type: none"> Is periodic internal audit conducted? Are internal audits planned and scope defined? Are internal audits carried out as planned by competent persons and effective? Does internal audit cover all the processes/ requirements of the organization? 	20							
	ii) Review of results of audits <ul style="list-style-type: none"> Are corrective actions of non conformities timely taken and effective? Are the results of audits maintained? Is audit reviewed and planned as per results of previous audit? Is there any necessary action taken to improve the audit performance? 	20							
4	Human Resource Management(100)								
4.1	Employee Recruitment and labor Act (10)								
	i) Defined process for employee's recruitment. <ul style="list-style-type: none"> Are employees recruited as per the defined process? 	5							
	ii) Labor audit <ul style="list-style-type: none"> Is labor audit carried out as per prevailing Labor Act and regulations? 	5							
4.2	Training and education(20)								
	i) Identification of training needs. <ul style="list-style-type: none"> Is there any system for training need identification? Is the training plan prepared as per the needs identified? 	10							
	ii) Conduction of training programs and records of training. <ul style="list-style-type: none"> Are the trainings conducted as per the training plan? Are the trainings effective and records maintained? 	10							
4.3	Competency and availability of manpower(20)								
	i) Availability of trained and competent manpower <ul style="list-style-type: none"> Is the manpower adequate to perform the jobs? 	20							



	<ul style="list-style-type: none"> Is the available manpower competent to perform the jobs? Is the competency of employees determined? Is any action taken to acquire necessary competence? 								
4.4	Employees Involvement in Quality Improvement(20)								
	i) Extent of involvement of employees in quality improvement a) Middle level b) Operational level <ul style="list-style-type: none"> How are the middle level employees involved in quality improvement? How are the operation level employees involved in quality improvement? How frequently does the top level interact with operation level employees? Is the involvement of employees effective? 	20							
4.5	Occupational Health and Safety(20)								
	i) Identification of OHS hazards and risks <ul style="list-style-type: none"> Are OHS hazards and risks identified and are they adequate? 	5							
	ii) Plan for corrective and preventive measures and its implementation <ul style="list-style-type: none"> Is there any plan for preventing and correcting the hazards? 	5							
	iii) Records of accident and corrective actions taken <ul style="list-style-type: none"> Are the records of accidents or emergency situations maintained? Are corrective actions taken to eliminate the accidents and effective? 	10							
4.6	Employees Satisfaction(10)								
	i) Procedure for employees' satisfaction measurement? <ul style="list-style-type: none"> Is there any system for effectively measure the satisfaction of the employees? 	5							
	ii) Status of Employees satisfaction <ul style="list-style-type: none"> Are employees really satisfied? 	5							
5	Information Management(50)								
5.1	Quality Data Generation, Analysis and Use (22.5)								
	i) Adequacy and quality of data? <ul style="list-style-type: none"> Is the generated data adequate to analyze? Is the data reliable? Is the data representative? 	7.5							
	ii) Analysis of data? <ul style="list-style-type: none"> Are data analyzed? Is the analysis of data maintained properly? Is frequency of data analysis adequate? 	7.5							
	iii) Use of data for improvement? <ul style="list-style-type: none"> Are appropriate tools used to analyze the data? Are the analyzed data reviewed for improvement? Are the decisions made based on data? 	7.5							
5.2	Organizational knowledge (7.5)								
	<ul style="list-style-type: none"> Does organization maintain the Organizational knowledge? Is the knowledge maintained to the extent necessary and updated? Is the organization aware of knowledge of similar national and/or international organizations' best practices? 	7.5							
5.3	Communication/ Information dissemination System(20)								
	i) Planning of internal communication <ul style="list-style-type: none"> Is there any system for internal communication? Is responsibility defined for internal communication? 	5							



	ii) Effectiveness of internal communication <ul style="list-style-type: none"> Is the communication done as per plan? Are the records of internal communication maintained and effective? 	5							
	iii) Recording external communication? <ul style="list-style-type: none"> Is responsibility defined for external communication and records maintained? Is external communication effective? 	5							
	iv) Accessibility of data/information to the concerned persons <ul style="list-style-type: none"> Are concerned persons aware of the information/data related to their functions? Is data/information available when needed? 	5							
6	Corporate Social Responsibility(100)								
6.1	Environmental Aspect(30)								
	i) Control & preventive measures for pollution <ul style="list-style-type: none"> Is there any system for managing the environmental concerns including emergency situations? Is responsibility defined for environmental management? Is the system adequate and effective? 	15							
	iii) Environmental performance <ul style="list-style-type: none"> Is there any system for monitoring of the environmental performance? Are the records maintained? Is the performance of the environmental parameters as required? 	15							
6.2	Legal Aspect(30)								
	i) Identification of legal requirements applicable to the organization <ul style="list-style-type: none"> Are the legal requirements applicable to the organization identified? Are the identified legal requirements adequate? Are the concerned persons aware of relevant legal requirements? 	15							
	ii) Compliance to legal requirement <ul style="list-style-type: none"> Does the organization comply with legal requirements? Is there any corrective actions taken in case of non compliance? Is the corrective action effective? 	15							
6.3	Social Aspect(20)								
	i) Activities related to social responsibility <ul style="list-style-type: none"> Does the organization conduct any social activities? Are the activities adequate and effective? 	10							
	ii) Employment to marginalized group <ul style="list-style-type: none"> What is the percentage of employment of marginalized community? What is the percentage of female employment? 	10							
6.4	Local resources(20)								
	i) Use of local material resources <ul style="list-style-type: none"> Are required materials available locally? What is the percentage of use of local materials? 	10							
	ii) Use of local man power and relations <ul style="list-style-type: none"> What is the percentage of use of local manpower in the organization? 	10							



	• What is the relation with the local community?								
7	Performance and improvements(100)								
7.1	Identification of performance indicators(30)								
	i) Identification of major performance indicators of the organization <ul style="list-style-type: none"> • Is there any performance indicator related to Product Quality? • Is there any performance indicator related to Production? • Is there any performance indicator related to Customer satisfaction? • Is there any performance indicator related to Human resource development? • Is there any performance indicator related to Marketing? • Is there any performance indicator related to Purchasing? 	30							
7.2	Measurement and evaluation of performance(30)								
	i) Are the performance indicators measured and evaluated? <ul style="list-style-type: none"> • Are performance indicators measured? • Are performance indicators analyzed? • Are performance indicators evaluated? • Is action taken to improve the performance? 	20							
	iii) Status of performances indicators <ul style="list-style-type: none"> • What is the performance of the organization in relation to the above mentioned indicators? • Is the record maintained? 	10							
7.3	Improvement Planning(40)								
	i) Status of corrective actions taken for improvement <ul style="list-style-type: none"> • Are corrective actions taken when NCs are identified? • Are these actions effective? 	10							
	ii) Planning for improvement <ul style="list-style-type: none"> • How do you ensure the continual improvement of your organization? • Is there any system of planning for improvement? 	10							
	iii) Implementation of advice or suggestions given by NBSM for improvement <ul style="list-style-type: none"> • Are the suggestions given by NBSM implemented? • Are all the records maintained? 	10							
	iv) Status of improvement in comparison to last year <ul style="list-style-type: none"> • Is the organization improving as per plan? • Are the records maintained? 	10							
8	Work environment, Infrastructure and Housekeeping (50)								
	i) Work environment and infrastructure <ul style="list-style-type: none"> • Is infrastructure related to machinery and utilities adequate? • Is infrastructure related to communication adequate? • Is infrastructure related to transportation adequate? • Is infrastructure related to storage of materials and product adequate? • Is infrastructure related to work space and building adequate? • Has the organization maintained the environment(social, psychological, physical etc.) necessary for the operation of its processes and to achieve conformity of products and services. 	30							
	ii) Status of housekeeping within the Plant <ul style="list-style-type: none"> • Is there any planned arrangement for housekeeping? • Is the arrangement adequate and effective? • Is the responsibility defined? 	20							



	• What is the overall status of housekeeping?								
9	NS certified products and complaints (100)								
	i) Compliance of products to NS <ul style="list-style-type: none"> • Are the records of Non complying products to NS requirements maintained? • What is the percentage of compliance of NS certified products? 	40							
	ii) Percentage of NS certified products out of total annual production of last 2 years <ul style="list-style-type: none"> • Does the organization manufacture other like products similar to NS certified products • What is the percentage of NS certified products out of total like products production? 	30							
	iii) Complaints Related to NS certified products, organization's service and organization <ul style="list-style-type: none"> • Is the record maintained about the complaints made by any interested parties? • Are there any correction / corrective actions taken regarding the complaints? • Is the organization penalized by any legal authority? 	30							

Scoring guidelines

Scores are presented in 5 categories to provide clear definition and differentiation of performance.

Score	Results
0	No results/No progress
1	Results reported and poor performance level
2	Results reported and good performance level
3	Results reported and better performance level
4	Results reported and excellent performance level

Example of Scoring

1.1	Policy and Objectives		0	1	2	3	4	score
	i) Are Policy and Objectives documented? <ul style="list-style-type: none"> • Is there any documented evidence of policy and objectives? 	5				√		3.75

1.3	Organization and its context		0	1	2	3	4	score
	i) Is the organization chart available and up to date? <ul style="list-style-type: none"> • Is organization chart documented and approved? • Is organization chart consistent with the available human resources? 	10				√		7.5



Calculations:

- 1.1 i) Are Policy and Objectives documented? Point value= 5

Inspector assessment score = 3 (suppose)

$$\frac{3}{4} \times \text{point value} \quad \text{Real Score} = \frac{3}{4} \times 5 = 3.75$$

- 1.3 i) Is the organization chart available and up to date? Point value =10
Inspector assessment score = 3 (suppose)

$$\frac{3}{4} \times \text{point value} \quad \text{Real Score} = \frac{3}{4} \times 10 = 7.5$$