Date of the Audit / type of Audit	28th June 2023
Name of the Organization	Areeva Solutions, LLC
Client Location/Site Address	25932 Donovan Dr, Chantilly, VA 20152, USA
Audit Criteria and Objective	ISO 9001:2015
Scope of Certification	Consulting & solutions for Program and Project Management, software development, Peer review support, Cyber security, Business Intelligence & Analytics and Staff Augmentation. Product Strategy, Marketing, Pricing, and Solution Development Consulting and IV&V Services for Financial Controls and Software Development Oversight.
Applicable statutory & regulatory requirements and other requirements.	Loudoun Business License
Applicability of Clauses & justification	All clause of ISO 9001:2015
Previous Audit Status	NA
Previous Audit NCR status	NA
Any Difference between certification audit agreement/Plan and Stage-2 certification audit finding (Related to Scope of certification or any other relevant matters)	No

Stage -2 Audit Summary Report		**C/ NC**
Review of Internal and External Issues	Compliance to the requirements of clause 4 of ISO 9001 was found to be satisfactory. The context was correctly identified. Issues related to the strategic direction; purpose & environment have been identified by top management. Mission & Vision was communicated to employees. All the documents as required by the standard were available and controlled. No non-conformances were reported	C
Identification of Interested Parties and their Needs and Expectations	All interested party requirements relevant to QMS have been documented in E/SYS/02 - Interested Parties concern.	C
Applicability of scope of the organization and Exclusions	Scope of the systems is maintained as documented information. Physical & Logical boundaries were correctly identified.	C
Quality management system and its processes	Process Interaction, Process Flows, Procedures, Resources, Method of evaluation, Manual, Roles & Responsibilities, etc. which are required for effective implementations of QMS have been determined.	C
Established Quality Policy and Objectives, Quality Manual and Documented Procedures & Roles, Responsibilities and Authorities of Employees	Quality Manual - QM-01 dated 1st April 2023, Approved by CEO. Quality Policy sign by CEO and documented in Quality Manual, chapter 5.	C
Leadership and Commitment	Compliance to the requirements of clause 5 of ISO 9001 was found to be satisfactory. Risk based approach is promoted by carrying out a risk analyses for each process. Objectives,	C

	Policy, Procedures, etc. were defined. Compliance with applicable requirements was regularly monitored by the management. Policies were regularly reviewed. All the documents as required by the standard were available and controlled. No non-conformances were reported.	
Customer Focus	Management commitment towards the management systems were found to be excellent. Required Resources were provided by the management.	C
Establishing the Quality Policy, Communicating the Quality Policy	Quality policy is prepared & documented in Quality Manual, Chapter 5. Approved by CEO. The awareness related to the policy and objectives was evident among the employees. Policy was maintained as documented information and it communicated to all interested parties.	C
Roles, Responsibilities and Authorities of Employees	F/TRG/04 - Job description is prepared & available in HR for all position. Also, the same is communicated to all employees.	C
Actions taken to address risks and opportunities (Establishment of operational control over the context (Risk and Objectives to achieve them and change in planning	Compliance to the requirements of clause 6 of ISO 9001 was found to be satisfactory. Procedure for risk analyses, change management, objectives, etc. were identified. Risk analyses - E/SYS/01 was evident for each process. Mitigation plan was defined for high-risk activities. No non-conformances were reported.	C
Quality Objectives and planning to Achieve them	Objectives were identified for each department and for the organization as whole. Objective achievement planning as per the requirements was available. Business Growth, customer satisfaction & employee retention ration related objectives are identified & monitored.	C
Planning of Changes	All changes were planned and controlled. All the documents as required by the standard were available and controlled. F/SYS/02 - Change control system in place & implemented where any changes require.	C
Availability of Resources (People, Infrastructure , Environment and other necessary resources)	Procedures were available for Control & Distribution of Documented Information, Communication, Competence Analyses, Resource Identification, Maintenance, etc. Competency was identified for all relevant roles. Induction training was given to all new employees. No non-conformances were reported.	C
People	List of employee with require competency is documented in F/TRG/02 - employee competency sheet.	C
Infrastructure	All required resources such as machinery, infrastructure, work environment, raw material, manpower, etc. were determined and provided by the top management.	C
Environment for the operation of processes		C
Monitoring and measuring resources **General** **Measurement traceability**	License base software is used by organization & Software validation is performed by IT team before use of software in organization.	C
Knowledge and Documentation of Operational Processes and Established Control Over them and records of Process Change (If any)	Document No. - E/SYS/03 - Organizational Knowledge verified & available in organization.	C
Competence Criterion of Critical Process of Organization, Competency Records and Training Plan , Related Training	Competence criteria is defined in multi skill requirement document. Skill matrix against defined requirement is carried out & recorded in skill matrix sheet.	C

Records along with Effectiveness Records		
Communication	Communication matrix are verified. Document No. - E/SYS/04 - communication matrix available in organization.	C
Documented information General	PRO/SYS/01 - procedure for document & data control is defined & documented in organization.	C
Creating and updating , Control of documented information	PRO/SYS/01 - procedure for document & data control is defined & documented in organization. F/SYS/01 - master list of document & F/SYS/02 - Change control system is verified.	C
Operational Planning of the Processes and the Control established over the Processes	Compliance to the requirements of clause 8 of ISO 9001 was found to be satisfactory. Operational Control were defined. Operation Planning was evident. Process Flow was available for Marketing, Purchase, control & Non-Conforming Outputs. All the customer requirements were correctly identified and reviewed. Operation planning to execution tracking monitored. customer requirements noted and reviewed before confirming. All necessary resources were available. No non-conformances were evident.	C
Requirements for products and services Customer Communication	BEA Program Project verified. BEA Program Task Description for the month of May is reviewed & verified.	C
Determining the requirements for products and services	Software development related cycle & system are verified. PMS tools & ZIRA tools are used in organization for tracking the project.	C
Review of the requirements for products and services	Verified requirement document for Contract – Grants Program Solutions and Information Technology Support Services.	C
Design & Development	Software development related cycle & system are defined & maintained in organization by developers. Related MOM and project URS / SRS are available with project manager.	C
Control of externally provided processes, products and services General	Supplier registration & approval process is defined in purchase process flow chart. Approval criteria is defined.	C
Type and extent of control	Verified & found Complied.	C
Information for external providers	List of approved supplier is prepared & available with admin. Verified the Approved vendor list.	C
Production and service provision **Control of production and service provision**	Software development related cycle & system are defined & maintained in organization by developers. Control of production and service provision is managed by MOM, monthly & weekly project review and project URS / SRS by project manager. Also, PMS tools & ZIRA tools are used in organization for tracking the project.	C
Identification and traceability	Unique identification is provided to each system with User Name. Admin team is maintain the same in system.	C
Customer Property	Customer property such as customer data, customer product development code etc. is defined in Quality Manual and the control over the customer property is defined in document.	C
Preservation of Finished Product, Semi-Finished Product & Raw Product	Complied	C
Post Delivery activities and	Managed by PMS tools.	C

Control over any type of changes in processes and Product.		
Records of Product Release (Pre-dispatch Inspection Report or Final Report) and Dispatch Records	Software installation report and data is verified.	C
Control of Non - Conforming Output	ZIRA tools are used in organization for tracking the internal and external bugs. Details of Bugs & its current status shown in ZIRA.	C
Analysis of Data (General, Customer Satisfaction, Objectives, Internal and External Rejections etc...)	Compliance to the requirements of clause 9 of ISO 9001 was found to be satisfactory. All the compliance obligations were fulfilled and monitored. All the documents as required by the standard were available and controlled. No non-conformances were evident.	C
Customer satisfaction	Actions were evident for rejections, feedbacks & complaints. Data from analyses of objectives were used as baseline for improvement.	C
Analysis and evaluation	Process was established for Monitoring, Measuring, Analyses & Evaluation. Analyses & Evaluation was carried out for Objectives, Rejections, Feedback, Complaints, Compliance Obligations, etc. Monitoring & Evaluation was carried out as per defined procedures.	C
Internal audit	Process was established for Internal Audit. The Internal Audits were carried out as planned.	C
Management Review Meeting	Process was established for Management Review. The Management Review Meeting (MRM) were carried out as planned. All Inputs as required by the standards were discussed during MRMs.	C
Improvement General	Compliance to the requirements of clause 10 of ISO 9001 was found to be satisfactory.	C
Non Conformity and Related Corrective action	Procedure for control of non-conforming outputs, customer complaints, corrective action, etc. was available.	C
Continual Improvements	Top management focus towards continual improvement was evident. Results of objectives was considered as base line for continual improvement.	C
Opportunity for Improvement	Plan training in advance according to training need identification and prepare training calender for the year.	
Diverging opinions and unresolved points between audit team member and client organization (If Any)	No	
Non conformity found during the Stage-2 Audit	No	

Conclusion and Recommendation:

1. Has Internal Audit and MRM is effective: Yes

2. Scope Verification and its appropriateness: Yes, Recommended

3. Fulfilment of Audit Objectives:Yes

4.Issuance of Certification: Yes, Recommended

(**NOTE** - send the corrective action of above NC'S to Lead Auditor within time (as detailed below). If the corrective action is found to be accepted, the recommendation of certification shall be made. After the certification decision, the certification shall be granted. If the corrective action submitted is not found to be accepted by Lead Auditor, the certificate shall not be granted.)

Time Duration for submission of Corrective action by Client

The time allowed to response of corrective action to QFS shall be consistent with the severity of the nonconformity, are as follow

Minor NC – 60 Days (Maximum)

Major NC – 15 days (Maximum)

Where nonconformity poses an immediate threat to Management System , the QFS shall require an appropriate and immediate response (e.g. Suspension of the audit)

In such cases the time allowed shall be promptly and independently reviewed by the QFS, with consultation with Audit team Leader.

Confidentiality Statement

This Audit report and the relevant contents will be maintained confidential not revealed to any third party, without the consent of Auditee organization. But, in case of required by Law or court , QFS shall notify the Auditee organization in advance and Audit report shall be produced to court with due consent of Auditee organization.

Sampling method used for Audit

This audit was carried according to random sampling method, there may be change of non conformity in other parts, Process, activities, department or fields is possible.

Ownership

The ownership of this Audit report lies with QFS and the Audit Team Leader (Lead Auditor) is responsible for Audit report contents.

Name of Lead Auditor	**Raj Kumar**
Signature of Lead Auditor	
Audit Team Member	**NA**
Date of Audit Report Submission	30th June 2023