

TREES Finding Document

The following table shall be used to issue findings during TREES Validation, a TREES Verification, or a combined TREES Validation and Verification. A Validation and Verification Body (VVB) may use their own form if it includes the same information. The content of this document will likely be updated many times throughout the audit process. This document shall be included in the Validation or Verification Report.

The table may be duplicated as many times as needed and may be added to if multiple rounds are required to close an individual finding. In this instance, the VVB shall add to the header to ensure each round is clearly labeled. The date in the footer provides document control and should be removed when the form is used. VVBs should contact the ART Secretariat for a Word version.

Finding Number and Type
The VVB shall identify the finding number and the type of finding (Major Nonconformance, Minor Nonconformance, Clarification Request or Observation).
Relevant Section of TREES
The VVB shall cite the relevant section of TREES applicable to the finding. Each finding should relate to a single requirement of TREES. For safeguards, each finding should relate to a single indicator (either structure, process, or outcome indicator).
Evidence Reviewed for this Requirement
The VVB shall provide a list of the evidence reviewed (documents, interviews, etc).
Summary of Evidence Leading to the Finding
The VVB shall provide a brief, objective summary of the information gathered to date during the audit regarding this requirement and identify what has led to the finding.
Finding
The VVB shall outline each finding relative to the cited requirement of TREES. Findings may be grouped only if they relate to the same requirement.
Participant Response
The Participant shall respond to each finding providing additional narrative explanation, links to documents or other evidence, and providing updated TREES Documents as appropriate.
VVB Review of the Response
The VVB shall review the Participant's response and document its decision on how to proceed with the finding. In this section the VVB either provides a 2 nd /3 rd round finding or they explain that the finding is closed or in the case of a Minor NC where a plan to address it has been approved, that the Minor NC remains open to be resolved in the next verification.