STEP ONE: Audit Plan

Process to Audit (Audit Scope):	
Audit Date(s): 25/03/19	**Lead Auditor: David Rodwell**
Audit #: 007	**Auditor(s):**
Site(s) to Audit: Unit 8 Easter Park, Barton Road, Middlesbrough, TS2 1RY	
Is this 1st Audit of the year? No	
If yes, which procedures have had their revision changed in the last 12 months?	
Which Process(es) are to be audited? Service Delivery Processes	
See Appendices A & B of the QMS Manual for the Applicable Clauses of ISO 9001 Standard:	

Applicable Documents to Audit	Rev.
Procedures that have been revised:	
Procedures or other Documents Applicable to the Processes to be Audited	
QMP 001 – Service Delivery Processes	001
QMD 011 – Customer Enquiry / Quotation	001
QMD 012 – Forecasting / Planning	001
QMD 013 – Purchasing	001
QMD 015 – Site Mobilisation	002
QMD 016 – Service Delivery	002
QMD 018 – Control Activities	001

STEP TWO: Compare Documentation vs. Requirements

Compare the INFRATEC documentation with the applicable clauses of ISO 9001.		
Question	**Y/N (or N/A)**	**Evidence or Notes Sheet Ref. #**
In general, does the INFRATEC documentation meet the requirements of ISO 9001?	**Y**	007-001
Review any customer requirements that may be applicable to this process. (If there are none, enter "N/A" in the middle column.) In general, does the INFRATEC documentation meet these requirements?	**N/A**	
Review any statutory or regulatory requirements that may be applicable to this process. (If there are none, enter "N/A" in the middle column.) In general, does the INFRATEC documentation meet these requirements?	**N/A**	
Indicate any suggestions for improvement related to the documentation:		

STEP THREE: Compare Actual Practice vs. Requirements

Compare the requirements of ISO 9001, the INFRATEC-UK Quality Manual and other documentation against what employees are actually doing in everyday practice.			
Requirement Reference	**Question**	**Y/N (or N/A)**	**Evidence or Notes Sheet Ref. #**
QMD 011	Does the company follow the procedure for customer enquiry / quotations	Y	007-002
QMD 012	Does the company follow the procedure to forecast / plan work to meet customer requirements?	Y	007-003
QMD 013	Does the company follow the procedure for purchasing?	Y	007-004
QMD 015	Does the company follow the site mobilisation procedure?	Y	007-005
QMD 016	Does the company follow the service delivery procedure?	Y	007-006
QMD 018	Does the company follow the control activities procedure?	Y	007-007

Review previous audits for this process. Review previous CARs issued against this process, or as a result of previous audits for this process. Add additional checklist questions here, based on the previous audits, CARs or other documents or requirements, as you see fit.			
Requirement Reference	**Question**	**Y/N (or N/A)**	**Evidence or Notes Sheet Ref. #**

STEP FOUR: Verify the Effectiveness of the Process

Review the applicable procedure(s) for this process and answer the questions below.		
Question	**Y/N (or N/A)**	**Evidence or Notes Sheet Ref. #**
Are the procedure steps accurate and complete as compared to true practice?	Y	
Are there sufficient check steps (inspections, tests, reviews, approvals, sign-offs, etc.) that ensure the process outputs meet requirements before passing onto the next process?	Y	
Does the process appear to adequately meet the requirements of ISO 9001 and the INFRATEC documentation?	Y	
Does the process appear to adequately meet all customer or regulatory requirements?	Y	
Indicate any problems you uncovered with the process: QMD 015 – Ensure all Pre-use MEWP checks are conducted and recorded. QMD 016 – Ensure all Pre-Start Briefings are conducted and recorded.		
Provide brief details on any areas that you found were well-implemented, particularly effective or worth noting as positive traits of the process.		

STEP FIVE: Summarise Findings for CAR system

Based on the findings and nonconformities you have recorded in the previous sections, summarize the necessary actions needed. For type, choose one of the following:

C =Corrective action needed (existing noncompliance)
P = Preventive action needed (potential noncompliance)
OFI = Opportunity for Improvement

CAR #	ISO 9001 Clause	Describe finding as you want it to appear in the CAR system.	Type	Major / Minor
		Requirement: Evidence: Rationale for Finding:		
		Requirement: Evidence: Rationale for Finding:		
		Requirement: Evidence: Rationale for Finding:		
		Requirement: Evidence: Rationale for Finding:		

STEP SIX: Review Audit Report and Submit

All auditors on the audit team must submit their audit reports for summary and review by the Lead Auditor. Lead Auditor: review the completeness of this report prior to submitting it to the Commercial Manager. Be sure findings show objective evidence, that everything is written clearly, and that all checklist questions are answered.

Audit report reviewed and ready for submission:

David Rodwell

Signature of Lead Auditor

26/03/19

Date

NOTES PAGE

Your Note reference #	Notes, evidence, findings, comments, etc.
007-001	Quality manual, process definitions, procedures and records all continue to satisfy the ISO requirements.
007-002	QMD 011 – Less services now offered using a Standard Service List. Selected M1 J16-19 works w/c March 11. Procedure confirmed. Work instruction received from John McDonagh (12/12/18). Response by Lee Payne (13/12/18) confirming.
007-003	QMD 012 – M1 J16-19 works w/c March 11. Work is shown on Warboard planner. Human resource is allocated to the work on the Warboard planner. No meeting minutes.
005-004	QMD 013 – M1 J16-19 works w/c March 11. Hired plant was required. Approved person sourced supplier and proved to follow the credit account procedure.
005-005	QMD 015. M1 J16-19 works w/c March 11. Informed that the supervisor was Mike Arkle. This wasn't clear – consider possibly recording Supervisor somewhere appropriate. RAMS document for the work present (MS1901-01). Work instruction was received verbally from Lee Ratcliff to Mike Arkle. MEWP Pre-use checks – all present Lorry Loader Pre-use checks – not required as subcontracted.
005-006	QMD 016. M1 J16-19 works w/c March 11. No pre-start briefing logged.
005-007	QMD 018. M1 J16-19 works w/c March 11. Classed as a Standard Service. Email sent to sitereports@infratec-uk.com inbox and client, with no materials shown to be defective.