# STEP ONE: Audit Plan

|  |  |  |  |
| --- | --- | --- | --- |
| **Process to Audit (Audit Scope):** | | | |
| **Audit Date(s):** 29/03/18 | **Lead Auditor:** David Rodwell | | |
| **Audit #:** 005 | **Auditor(s):** | | |
| **Site(s) to Audit:** Unit 8 Easter Park, Middlesbrough, TS2 1RY | | | |
| **Applicable Clauses of ISO 9001 Standard:** | | | |
| 6.1 – Risks and opportunities  8.2.1 – Customer communication  8.2.2 – Determining the requirements  8.2.3 – Review of requirements | | 8.2.4 – Changes to requirements  8.4 – Control of externally provided processes, products and services  8.6 – Release of products and services | |
| **Applicable Documents to Audit** | | | **Rev.** |
| INFRATEC-UK QMS Manual | | | **002** |
| 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 | | | **001** |
| QMD 018 – Control Activities | | | **001** |
| QMD 006 – Risk Management | | | **001** |
| QMD 007 – Management Reviews | | | **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** | 005-001 |
| 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 | 005-002 |
| QMD 012 | Does the company follow the procedure to forecast / plan work to meet customer requirements? | Y | 005-003 |
| QMD 013 | Does the company follow the procedure for purchasing? | Y | 005-004 |
| QMD 015 | Does the company follow the site mobilisation procedure? | Y | 005-005 |
| QMD 016 | Does the company follow the service delivery procedure? | Y | 005-006 |
| QMD 018 | Does the company follow the control activities procedure? | Y | 005-007 |
| QMD 006 | Does the company follow the risk management procedure | Y | 005-008 |

| **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** |
| 046 | 7.1.3 | Requirement: The organisation shall determine, provide and maintain the infrastructure necessary for the operation of its processes and to achieve conformity of products and services  Evidence: MEWP Pre-use checks for safe use of MEWPS  Rationale for Finding: Following the testing of a work instruction it showed that a MEWP pre-use check was missing for one day. A MEWP pre-use check should be conducted and recorded each time a MEWP is used according to procedure QMD 015. | **C** | Minor |
| 047 | 7.2 | Requirement: The organisation shall ensure that these persons are competent on the basis of appropriate education, training, or experience  Evidence: Pre-start Briefings for site works  Rationale for Finding: Following the testing of a work instruction it was shown that pre-start briefings were not recorded as stated in the QMD 016 procedure | **C** | Minor |
|  |  | 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.

David Rodwell

|  |  |
| --- | --- |
| Audit report reviewed and ready for submission: |  |
| Signature of Lead Auditor |
| 03/04/18 |
|  | Date |

# NOTES PAGE

|  |  |
| --- | --- |
| **Your Note reference #** | **Notes, evidence, findings, comments, etc.** |
| **005-001** | Quality manual, process definitions, procedures and records all continue to satisfy the ISO requirements. |
| **005-002** | QMD 011 - Selected M60 MSM work on February 12. Procedure confirmed. Work instruction received from Brad McManus. Response by Lee Ratcliff confirming. |
| **005-003** | QMD 012 - M60 MSM w/c February 12. 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 J28-35 AMI Swap & Faults 24/01/18. Hired plant was required. Approved person sourced supplier and proved to follow the credit account procedure. |
| **005-005** | QMD 015. M60 MSM w/c February 12. Informed that the supervisors were Lee Ratcliff & Mike Arkle. This wasn’t clear – consider possibly recording Supervisor somewhere appropriate. RAMS document for the work present (LP 1709-2). Work instruction email not needed as customer provided details directly to Lee Ratcliff.  MEWP Pre-use checks – all present (except 13/2)  Lorry Loader Pre-use checks – all present. |
| **005-006** | QMD 016. M60 MSM w/c February 12. No pre-start briefing logged. Site reports stated no health & safety issues |
| **005-007** | QMD 017. M60 MSM w/c February 12. Classed as a Standard Service. Site report present for each day in [sitereports@infratec-uk.com](mailto:sitereports@infratec-uk.com) inbox with no materials shown to be defective. |
| **005-008** | QMD 006. The procedure is deemed to be followed and working with risks identified and logged on the COTO log. No risks have been deemed to warrant a risk mitigation plan. It is expected that additional risks will be identified throughout the year following Management Reviews. |