# STEP ONE: Audit Plan

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| **Process to Audit (Audit Scope):** | | |
| **Audit Date(s):** 31/01/19 | **Lead Auditor:** David Rodwell | |
| **Audit #:** 006 | **Auditor(s):** | |
| **Site(s) to Audit:** Unit 8 Easter Park, Barton Road, Middlesbrough, TS2 1RY | | |
| **Is this 1st Audit of the year?** YES | | |
| **If yes, which procedures have had their revision changed in the last 12 months?** | | |
| None | | |
| **Which Process(es) are to be audited?** Resource Management 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:** | | |
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| **Procedures or other Documents Applicable to the Processes to be Audited** | | |
| QMP 002 – Resource Management Processes | | **001** |
| QMD 008 – Training | | **001** |
| QMD 009 – Preventive Maintenance | | **001** |
| QMD 010 – Calibration | | **002** |
| QMD 014 – Health & Safety | | **002** |
| QMD 017 – Subcontractor Management | | **001** |
| QMD 019 – Outsourced Processes | | **001** |
| QMD 021 – Control of Third Party Property | | **001** |
| QMD 004 – Organisational Chart | | **004** |
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# STEP TWO: Compare Documentation vs. Requirements

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| **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** | 006-001 |
| 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:** | | |
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# 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.** | | | |
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| **Requirement**  **Reference** | **Question** | **Y/N**  **(or N/A)** | **Evidence or Notes Sheet Ref. #** |
| QMD 008 | Has this procedure been followed? | Y | 006-002 |
| QMD 009 | Has this procedure been followed? | Y | 006-003 |
| QMD 010 | Has this procedure been followed? | Y | 006-004 |
| QMD 014 | Has this procedure been followed? | Y | 006-005 |
| QMD 017 | Has this procedure been followed? | Y | 006-006 |
| QMD 019 | Has this procedure been followed? | Y | 006-007 |
| QMD 021 | Has this procedure been followed? | Y | 006-008 |
| QMD 004 | Is this organisational chart correct? | Y | 006-009 |

| **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. #** |
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# STEP FOUR: Verify the Effectiveness of the Process

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| **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? | **N/A** |  |
| **Indicate any problems you uncovered with the process:** | | |
| **Provide brief details on any areas that you found were well-implemented, particularly effective or worth noting as positive traits of the process.** | | |
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# 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

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| **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: |  |  |
|  |  | 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

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| Audit report reviewed and ready for submission: |  |
| Signature of Lead Auditor |
| 04/02/19 |
|  | Date |

# NOTES PAGE

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| **Your Note reference #** | **Notes, evidence, findings, comments, etc.** |
| **006-001** | Quality manual, process definitions, procedures and records all continue to satisfy the ISO requirements. |
| **006-002** | Job description present for Transport Manager. There does seem that some job descriptions are not created. Action required to create one for each position.  Induction agenda seen for new employees which shows ISO is covered and logged on the Employee Training Matrix.  Employee Training Matrix is clear and up to date |
| **006-003** | Lorry Mounted HIAB’s c/w Cranes are identified as the only key process equipment.  Preventive maintenance records are held as per the procedure. |
| **006-004** | The calibration procedure seems to be followed with the Calibration Log kept up to date. |
| **006-005** | Risk Assessment and Method Statements were present for all projects checked. |
| **006-006** | Procedure is followed. Subcontractor Questionnaire present for all subcontractors along with a record on the Approved Subcontractor Register |
| **006-007** | Process followed as stated. |
| **006-008** | No third party property present. Aspects of the process assessed and confirmed. |
| **006-009** | Organisational chart confirmed |