# STEP ONE: Audit Plan

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| **Process to Audit (Audit Scope):** | | |
| **Audit Date(s):** 07/12/19 | **Lead Auditor:** David Rodwell | |
| **Audit #:** 008 | **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?** | | |
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| **Which Process(es) are to be audited?** Measurement, analysis & improvement 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 003 – Measurement, Analysis & Improvement Processes | | **001** |
| QMD 022 - Control of Nonconforming Service | | **001** |
| QMD 023 - Internal Audit | | **001** |
| QMD 024 - Corrective Preventive Action | | **001** |
| QMD 025 – Complaints | | **001** |
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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** | 008-001 |
| 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 022 | Does the company follow the procedure for Control of Nonconforming Service | N/A | 008-002 |
| QMD 023 | Does the company follow the procedure for Internal Audit | Y | 008-003 |
| QMD 024 | Does the company follow the procedure for Corrective Preventive Action | Y | 008-004 |
| QMD 025 | Does the company follow the procedure for Complaints | Y | 008-005 |
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| **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. #** |
| CAR 043 | Has this CAR now been resolved and verified? | Y | 008-006 |
| CAR 056 | Has this CAR now been resolved and verified? | Y | 008-007 |
| CAR 057 | Has this CAR now been resolved and verified? | Y | 008-008 |

# 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? | **Y** |  |
| **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.



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| Audit report reviewed and ready for submission: |  |
| Signature of Lead Auditor |
| 07/12/19 |
|  | Date |

# NOTES PAGE

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| **Your Note reference #** | **Notes, evidence, findings, comments, etc.** |
| **008-001** | Quality manual, process definitions, procedures and records all continue to satisfy the ISO requirements. |
| **008-002** | Process clearly defined but unable to audit effectiveness due to no present of a nonconforming service. |
| **008-003** | Procedure is clearly defined and seems to be followed throughout. Nonconformances (CARs 046, 047, 060 have been raised, resolved and managed through the correct procedure. Audit schedule and process cycles adheres to procedure QMD 023.  Internal Audit 005 tested – CAR 046 & 047 raised via IA. – CAR Form and Log correctly completed with all actions fully implemented |
| **008-004** | Procedure is clearly defined and seems to be followed throughout. CAR 064 tested – CAR Form and Log correctly completed with all actions fully implemented. CAR 060 tested - tested – CAR Form and Log correctly completed with all actions fully implemented |
| **008-005** | Process clearly defined but unable to audit effectiveness due to no present of a compliant. Customer feedback/satisfaction clearly raised and discussed as part of the Management Review Meetings. |
| **008-006** | Yes. CAR Form 043 reviewed. CAR closed as a pass on 10/01/18. Internal audit log reviewed and verified. |
| **008-007** | Yes. CAR Form 056 reviewed. CAR closed as a pass on 18/01/19. QMS Manual reviewed to prove the implementation. |
| **008-008** | Yes. CAR Form 057 reviewed. CAR closed as a pass on 20/01/19. Audit log reviewed to prove schedule changes. |