# STEP ONE: Audit Plan

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| **Process to Audit (Audit Scope):** | | |
| **Audit Date(s):** 14/12/19 | **Lead Auditor:** David Rodwell | |
| **Audit #:** 009 | **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?** Management Responsibility 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 004 – Management Responsibility Processes | | **001** |
| QMD 001 – Context of the Organisation | | **001** |
| QMD 002 – Control of Documents | | **001** |
| QMD 003 – Control of Records | | **001** |
| QMD 005 – Change Management | | **001** |
| QMD 006 – Risk Management | | **001** |
| QMD 007 – Management Reviews | | **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** | 009-001 |
| 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 001 | Does the company follow the procedure? | Y | 009-002 |
| QMD 002 | Does the company follow the procedure? | Y | 009-003 |
| QMD 003 | Does the company follow the procedure? | Y | 009-004 |
| QMD 005 | Does the company follow the procedure? | Y | 009-005 |
| QMD 006 | Does the company follow the procedure? | Y | 009-006 |
| QMD 007 | Does the company follow the procedure? | Y | 009-007 |
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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. #** |
| Cause 6.2 | Does the company have a procedure in place to identify quality objectives and plan to achieve them? | Y | 009-008 |
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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? | **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 |
| 14/12/19 |
|  | Date |

# NOTES PAGE

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| **Your Note reference #** | **Notes, evidence, findings, comments, etc.** |
| **009-001** | Quality manual, process definitions, procedures and records all continue to satisfy the ISO requirements. Appendix B of QMS Manual clearly identifies which clause each procedure relates. |
| **009-002** | COTO exercise tested. Working well with clear agenda item and record on each Management Review. COTO Log is up to date with clear identification of Interested Parties, Issues of Concern, Risks and Opportunities. |
| **009-003** | All documents reviewed against the Document Control Register. Correct Versions in use. Procedure determined to be working correctly. |
| **009-004** | Sample of records selected from list of Quality Records Matrix: Management Review Meeting Minutes versus Management Review Register – all records present. Employee Training Matrix – record complete and up to date. Subcontractor Questionnaires versus Approved Subcontractor Register – all records present. Procedure determined to be working correctly. |
| **009-005** | CAR 064 used as a test due to it being a change. Procedure determined to be working correctly. Change identified in MRM. CAR raised (064). CAR implemented with QMP 004 reflects and QMD 007 procedure updated. Document Control Register reflects this change. |
| **009-006** | Procedure reviewed and determined to be working well. Risks reviewed as part of MRM with COTO register updated with risks logged. Probability and consequences clearly identified and mitigated where required. |
| **009-007** | Management Review procedure seems to be working well with no issues found. MRM minutes, associated CARs are documented and addressed. |
| **009-008** | Following CARs 051, 053, 054, procedure QMD 007 reviewed to ensure clause 6.2 is met. The Management Review Meeting agenda clearly states the quality objectives and the review of against a review of the Continuous Improvement Log. The Continuous Improvement Log reviewed and deemed to be working well. |