# STEP ONE: Audit Plan

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| **Process to Audit (Audit Scope):** | | |
| **Audit Date(s):** 26/07/21 | **Lead Auditor:** David Rodwell | |
| **Audit #:** 013 | **Auditor(s):** | |
| **Site(s) to Audit:** Unit 8 Easter Park, Barton Road, Middlesbrough, TS2 1RY | | |
| **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:** | |  |
| QMP 001 – Service Delivery Processes | | **002** |
| QMD 011 – Customer Enquiry / Quotation | | **003** |
| QMD 012 – Forecasting / Planning | | **003** |
| QMD 018 – Control Activities | | **003** |
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| **Procedures or other Documents Applicable to the Processes to be Audited** | |  |
| QMP 001 – Service Delivery Processes | | **002** |
| QMD 011 – Customer Enquiry / Quotation | | **003** |
| QMD 012 – Forecasting / Planning | | **003** |
| QMD 013 – Purchasing | | **002** |
| QMD 015 – Site Mobilisation | | **003** |
| QMD 016 – Service Delivery | | **003** |
| QMD 018 – Control Activities | | **003** |
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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** | 013-001 |
| 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 011 | Does the company follow the procedure for customer enquiry / quotations | Y | 013-002 |
| QMD 012 | Does the company follow the procedure to forecast / plan work to meet customer requirements? | Y | 013-003 |
| QMD 013 | Does the company follow the procedure for purchasing? | Y | 013-004 |
| QMD 015 | Does the company follow the site mobilisation procedure? | Y | 013-005 |
| QMD 016 | Does the company follow the service delivery procedure? | Y | 013-006 |
| QMD 018 | Does the company follow the control activities procedure? | Y | 013-007 |
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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.** | | | |
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| **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? | **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 |
| 26/07/21 |
|  | Date |

# NOTES PAGE

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| **Your Note reference #** | **Notes, evidence, findings, comments, etc.** |
| **013-001** | Quality manual, process definitions, procedures and records all continue to satisfy the ISO requirements. |
| **013-002** | QMD 011 – updated 12/07/21. CRN2101 – M42 project selected for test. Procedure confirmed. Quote request received. Advised that quotation request was verbal via a Teams call. Quote sent by Lee Payne. Purchase order received. |
| **013-003** | QMD 012 – CRN2101 – M42 w/c 17/05/21 selected. Procedure confirmed. Work is shown on Warboard planner.  Human resource is allocated to the work on the Warboard planner. No meeting minutes. |
| **013-004** | QMD 013 – CRN2101 – M42 selected. Procedure confirmed. Fabrication of transport feet required. PO provided using Quickbooks system by Commercial Manager to Deritend. Invoice paid 28/05/21. |
| **013-005** | QMD 015. CRN2101 – M42 w/c 17/05/21 selected. Procedure confirmed. Informed that the supervisor was Mike Arkle Ratcliff. This wasn’t clear – consider possibly recording Supervisor somewhere appropriate. RAMS document for the work present (CRN2101-2-RAMS.docx). Work instruction was received on 13/05/21 (SUB52476).  Lorry Loader Pre-use checks present for 17/5, 18/5, 19/5, 20/5 and 21/5 |
| **013-006** | QMD 016. CRN2101 – M42 w/c 17/05/21 selected. Unable to confirm procedure. |
| **013-007** | QMD 018. CRN2101 – M42 w/c 17/05/21 selected. Procedure confirmed. Site Visit Reports email sent at end of shif , with no materials shown to be defective. |
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