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A1 Introduction

Introduction

Process Assessment

The process assessment is not a strict requirement in ISO 9001:2015 but it will help to substantiate your audit programme and to introduce risk based thinking into your audit process.

Step 1 **Enter the process name(s) in cells 'B27' to 'B48'.**

Once you have entered the process name(s), they will copy through to the relevant sections of the remaining worksheets.

Step 2 **Assess the criteria for ranking the status of processes.**

1= Low	All performance indicators, metrics, objectives, audit results, etc. show stability and consistently achieve targets;
2 = Medium	Minor problems exist, minor process or product changes planned;
3 = High	Poor performance/adverse trends, expected results not achieved;
4 = Critical	Metrics are non-conforming. Any process with major audit finding in past 12 months.

Step 3 **Assess the criteria for ranking how well the process is performed.**

1= Low	Consistently applying documented practice, possible benchmark performer;
2 = Medium	Current practices conform but are not documented;
3 = High	Practices are applied inconsistently;
4 = Critical	Practices are non-conforming.

Step 4 **Assess the criteria for ranking the importance of processes.**

1= Low	Little to no risk of adversely affecting customer satisfaction, product quality, delivery, or profitability;
2 = Medium	Adverse effect on customer satisfaction, product quality, delivery, or profitability;
3 = High	Likely have a significant adverse effect on customer satisfaction, product quality, delivery, or profitability;
4 = Critical	Likely cause safety or regulatory compliance issues.

Step 5 **The audit frequency indicators will transfer to the other work sheets within this workbook for future reference during the next steps.**

- An audit should be scheduled **at least once per year** unless otherwise justified;
- An audit should be scheduled **within 12 weeks** and an additional audit within 6 months;
- An audit should be scheduled **within 4 weeks** with an additional audit **after 12 weeks** and then reoccurring quarterly.

R16

Process Assessment

Step 1	Enter the process name(s) in cells 'B27' to 'B48'.		Once you have entered the process name(s), they will copy through to the relevant sections of the remaining worksheets.
Step 2	Assess the criteria for ranking the status of processes.	1= Low	All performance indicators, metrics, objectives, audit results, etc. show stability and consistently achieve targets;
		2 = Medium	Minor problems exist, minor process or product changes planned;
		3 = High	Poor performance/adverse trends, expected results not achieved;
		4 = Critical	Metrics are non-conforming. Any process with major audit finding in past 12 months.
Step 3	Assess the criteria for ranking how well the process is performed.	1= Low	Consistently applying documented practice, possible benchmark performer;
		2 = Medium	Current practices conform but are not documented;
		3 = High	Practices are applied inconsistently;
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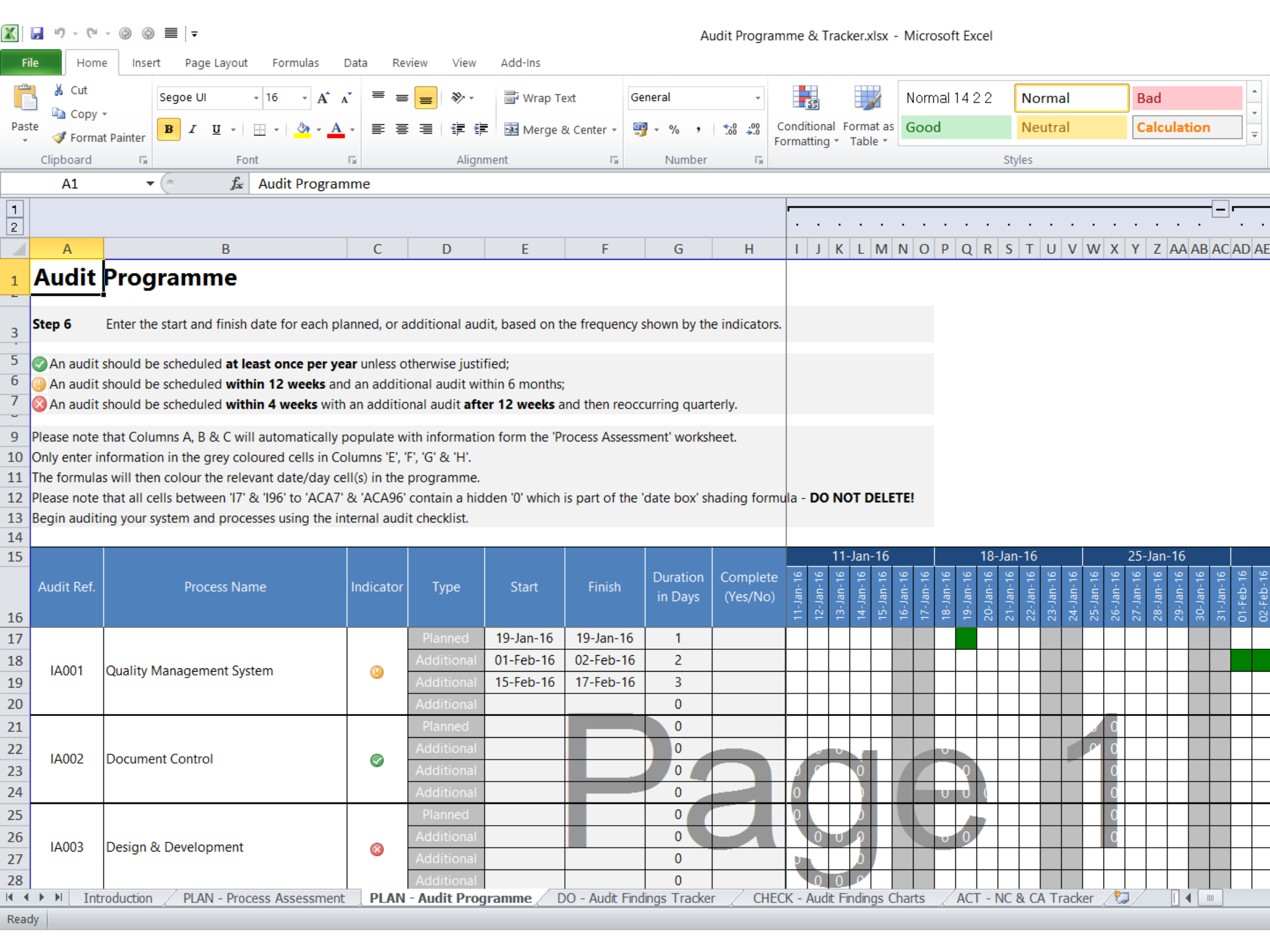
Step 4	Assess the criteria for ranking the importance of processes.	1= Low	Little to no risk of adversely affecting customer satisfaction, product quality, delivery, or profitability;
		2 = Medium	Minor adverse effect on customer satisfaction, product quality, delivery, or profitability;
		3 = High	Likely have a significant adverse effect on customer satisfaction, product quality, delivery, or profitability;
		4 = Critical	Likely cause safety or regulatory compliance issues.
Step 5	Audit frequency indicators will transfer to the 'Audit Programme' and the 'Audit Findings Tracker' for reference.	✓	An audit should be scheduled **at least once per year** unless otherwise justified;
		!	An audit should be scheduled **within 12 weeks** and an additional audit within 6 months;
		✗	An audit should be scheduled **within 4 weeks** with an additional audit **after 12 weeks** and then reoccurring quarterly.

Audit Ref.	Process Name	Perceived Process Ranking (Critical 4, High 3, Medium 2, Low 1)			Perceived Effects on QEH&S Ranking (Critical 4, High 3, Medium 2, Low 1)			Customer Complaints	Any Known Corrective A	
		Status	Practices	Importance	Quality	Environment	H&S	Actual No. of Complaints	Internal CA (Audits/N/Cs)	Externa
								Quantity	Quantity	
IA001	Quality Management System	2	1	3	3	1	1	0	0	
IA002	Document Control	1	1	2	2	1	1	0	0	
IA003	Design & Development	3	2	3	3	2	2	0	1	
IA004	Manufacturing	1	2	3	3	2	2	0	2	
IA005	Customer Service	1	2	2	2	1	1	2	0	
IA006	<enter process name/description>									
IA007	<enter process name/description>									


Audit Programme & Tracker.xlsx - Microsoft Excel
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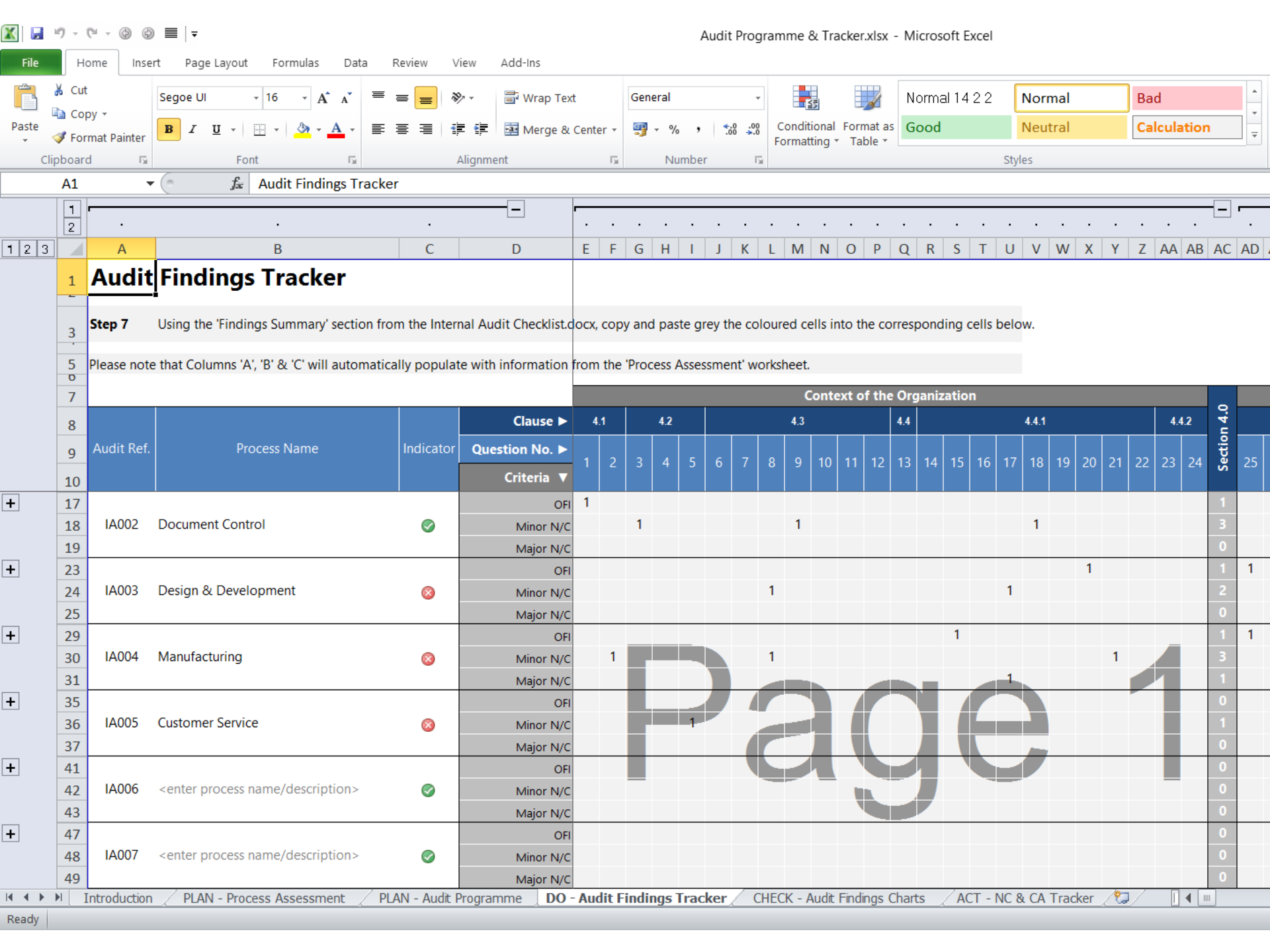
A1
Audit Programme
Audit Programme
Step 6
Enter the start and finish date for each planned, or additional audit, based on the frequency shown by the indicators.
An audit should be scheduled at least once per year unless otherwise justified;
An audit should be scheduled within 12 weeks and an additional audit within 6 months;
An audit should be scheduled within 4 weeks with an additional audit after 12 weeks and then reoccurring quarterly.
Please note that Columns A, B & C will automatically populate with information form the 'Process Assessment' worksheet.
Only enter information in the grey coloured cells in Columns 'E', 'F', 'G' & 'H'.
The formulas will then colour the relevant date/day cell(s) in the programme.
Please note that all cells between 'I7' & 'I96' to 'ACA7' & 'ACA96' contain a hidden '0' which is part of the 'date box' shading formula - DO NOT DELETE!
Begin auditing your system and processes using the internal audit checklist.
11-Jan-16
18-Jan-16
25-Jan-16
Audit Ref.
Process Name
Indicator
Type
Start
Finish
Duration in Days
Complete (Yes/No)
IA001
Quality Management System
IA002
Document Control
IA003
Design & Development
Planned
Additional
19-Jan-16
01-Feb-16
02-Feb-16
15-Feb-16
17-Feb-16
Page 1
Introduction
PLAN - Process Assessment
PLAN - Audit Programme
DO - Audit Findings Tracker
CHECK - Audit Findings Charts
ACT - NC & CA Tracker
Ready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Audit Findings Tracker
Audit Findings Tracker
Step 7 Using the 'Findings Summary' section from the Internal Audit Checklist.docx, copy and paste grey the coloured cells into the corresponding cells below.
Please note that Columns 'A', 'B' & 'C' will automatically populate with information from the 'Process Assessment' worksheet.
Context of the Organization
Clause ▶
Question No. ▶
Criteria ▼
Audit Ref.
Process Name
Indicator
Section 4.0
IA002 Document Control
IA003 Design & Development
IA004 Manufacturing
IA005 Customer Service
IA006 <enter process name/description>
IA007 <enter process name/description>
OFI
Minor N/C
Major N/C
Page 1
Introduction
PLAN - Process Assessment
PLAN - Audit Programme
DO - Audit Findings Tracker
CHECK - Audit Findings Charts
ACT - NC & CA Tracker
Ready

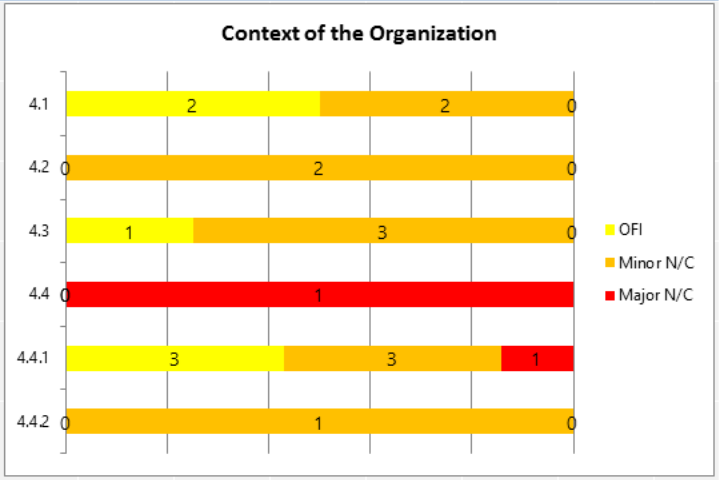
Audit Findings Charts

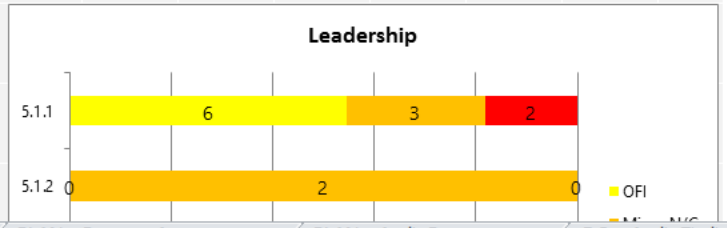
Step 8 Copy and paste the charts into your internal audit report or management review report.

Please note that the grey coloured columns will automatically populate with data from the 'Audit Findings Tracker' worksheet.

Quality Management System Compliance

Clause	OFI	Minor N/C	Major N/C	Quality Management System Compliance Charts
4.1	2	2	0	
4.2	0	2	0	
4.3	1	3	0	
4.4	0	0	1	
4.4.1	3	3	1	
4.4.2	0	1	0	
5.1.1	6	3	2	
5.1.2	0	2	0	
5.2.1	0	0	0	





Processes Compliance

Audit Ref.	Process Name	Total OFI	Total Minor N/C	Total Major N/C	Total Audit Findings
IA001	Quality Management System	22	11	13	46
IA002	Document Control	2	5	0	7
IA003	Design & Development	2	4	0	6
IA004	Manufacturing	2	4	2	8
IA005	Customer Service	2	2	1	5
IA006	<enter process name/description>	0	0	0	0
IA007	<enter process name/description>	0	0	0	0
IA008	<enter process name/description>	0	0	0	0
IA009	<enter process name/description>	0	0	0	0

Non-conformity & Corrective Action Tracker

Step 9 Issue corrective action reports to process owners to initiate the close-out of any non-conformances. Monitor progress and verify close-out.

Please note: the drop down box menu in Column 'B' is based on the processes that you entered in the 'Process Assessment' worksheet.

CAR Ref	Process Name	CAR Type	How was it identified?	Description of the CAR	Non-conformance Report Ref. (If applicable)	Root Cause
CAR001	Design & development	Minor N/C	Audit - Internal	Design review minutes not authorized prior to release to client	Not applicable	Version control - using supers
CAR002	Manufacturing & warehousing	Major N/C	Feedback - Customer	Incorrectly shipped item	NCR001	Item was mis-identified prior
CAR003						
CAR004						
CAR005						
CAR006						
CAR007						
CAR008						
CAR009						
CAR010						
CAR011						
CAR012						
CAR013						
CAR014						
CAR015						
CAR016						
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CAR018						
CAR019						
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CAR025						