

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, how well is it practised?
- 1 = Low Consistently applying documented practice, possible benchmark performer;
 - 2 = Medium Current practices conform but some outputs 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 to achieving conformity.
- 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	1. Perceived Process Ranking				2. Perceived Effects on QEH&S Ranking					3. Customer Complaints		4. Any Known Corrective Actions					5. Process Status	
		Critical 4, High 3, Medium 2, Low 1				Critical 4, High 3, Medium 2, Low 1					Actual No. of Complaints		Internal CA (Audits/N/Cs)		External CA (Audits/N/Cs)			Indicator	
		Status	Practices	Importance	Score	Quality	Environment	H&S	Score	Px	Quantity	Score	Quantity	Score	Quantity	Score	Ex		
IA001	EQMS	1	2	4	8	4	1	1	4	12	0	0	1	50	1	50	100		112
IA002	Document Control	1	1	1	1	1	1	1	1	2	0	0	0	0	1	50	50		52
IA003	Design & Development	1	1	3	3	3	3	3	27	30	0	0	1	50	0	0	50		80
IA004	Manufacturing	2	2	4	16	3	3	3	27	43	2	100	0	0	0	0	100		143
IA005	Customer Service	3	1	4	12	1	1	1	1	13	1	50	1	50	1	50	150		163
IA006	<enter process name/description>				0				0	0		0		0		0	0		0
IA007	<enter process name/description>				0				0	0		0		0		0	0		0
IA008	<enter process name/description>				0				0	0		0		0		0	0		0
IA009	<enter process name/description>				0				0	0		0		0		0	0		0
IA010	<enter process name/description>				0				0	0		0		0		0	0		0
IA011	<enter process name/description>				0				0	0		0		0		0	0		0
IA012	<enter process name/description>				0				0	0		0		0		0	0		0
IA013	<enter process name/description>				0				0	0		0		0		0	0		0
IA014	<enter process name/description>				0				0	0		0		0		0	0		0
IA015	<enter process name/description>				0				0	0		0		0		0	0		0
IA016	<enter process name/description>				0				0	0		0		0		0	0		0
IA017	<enter process name/description>				0				0	0		0		0		0	0		0
IA018	<enter process name/description>				0				0	0		0		0		0	0		0
IA019	<enter process name/description>				0				0	0		0		0		0	0		0
IA020	<enter process name/description>				0				0	0		0		0		0	0		0
IA021	<enter process name/description>				0				0	0		0		0		0	0		0
IA022	<enter process name/description>				0				0	0		0		0		0	0		0

Audit Findings Charts

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

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

