Audit Steps Card

Evidence - Identify source: **If Person** ✱ Name and Title, Area and Manager
If Document ✱ Document Name Rev-date / **If Record** ✱ Identify Record - date

How / What / Explain / Show
Start words for open-ended questions

Audit Assignment
Collect Documents

1

1. Audit Assignment
2. ISO Requirements for This Process
3. Documents that describe process(es) to be audited
4. Previous Audit Report
5. CPARs closed since last audit that relate to the assignment
6. Legal/ regulatory doc.s that apply
7. ISO 9001:2008 Standard
8. Audit Checklist
9. Universal Items Checklists
10. Manager Interview Form and Audit Results Memo
11. CPAR forms
12. Audit Report form

Review Documents and Plan the Audit

2 Document Review

- Review documents that relate to the assignment. In documents, identify who does what and highlight or underline the key points of the process.
- Use the printout of the "ISO Requirements for This Process" to determine which ISO requirements apply to each assigned process. Identify the questions on the Universal Items Checklist that apply.

On the Audit Plan Form

- List documents and records that relate to the process
- Identify the activities you intend to review
- Identify other documents you will review
- When the process relates to an ISO Clause, does the method used include ISO requirements?
- Review the prior Audit Report and closed CPARs
- Pepare a Universal Items Checklist for each person you will interview about what they do.

Confirm Audit Plan

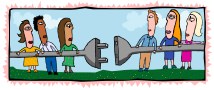
3

- Send the Audit Plan Form to the Area Manager
- Manager identifies who performs activities, where records and reference documents are located and any associated documents not listed on the Audit Plan Form
- Manager identifies any area safety rules
- Manager returns the form to the Auditor
- A Pre-Audit Meeting is held if identified on the Audit Plan Form

Interview Area Manager

4

- Use the Manger Interview Form
- What is the status of any open corrective actions?
- Are there quality objectives for this area?
  If so, what are they?
  To whom do they apply?
- Confirm the location of records.



Review Documented Processes

5 Floor Audit *(give source & evidence)*

Collect objective evidence of conformance or nonconformance to requirements.

- Follow your plan for the audit.
- Interview people who perform process activities.
- Compare the person's verbal description of how to perform the activity to the documented procedure. These should match.
- Use the Universal Items Checklist. Determine if the ISO requirements that apply to the process are being followed.
- Determine if CPARs closed since last audit remain effective
- Review records related to the activities audited

➔ Get a copy of any document with a nonconformity (when possible).
➔ Have all nonconformities confirmed by another person.

Review an Undocumented Process

6 Floor Audit *(give source & evidence)*

Note: A process should be documented when its absence would adversely affect customer satisfaction.

- Use the Universal Items Checklist to interview the person.
- Have the person describe the process steps.
- Does the process get the materials and information needed to do the work?
- Is interaction with other processes effective?
- What are the requirements for each process output?
- Improvement / preventive action opportunities?
- Observe the process in action to ensure steps match the verbal description.
- Review records with an ***emphasis*** on ensuring all output goals are met.
- Is appropriate action taken if output goals are not met?

➔ Get a copy of any document with a nonconformity (when possible).
➔ Have all nonconformities confirmed by another person.

Summarize Results with Manager

7

- A nonconformity must be confirmed by the person interviewed or observed, a supervisor, manager, or someone else. This prevents later issues.
- Summarize audit results with the area Manager before leaving area. If Manager is not present, send a memo or email to the Manager with results, and attach a copy to your Audit Report.
- Thank area manager.

Write CPARs and Audit Report

8

- Complete a Corrective Preventive Action Request (CPAR) form for any nonconformities found.
- The Audit Report Form is used to write the Audit Report.
- Review findings with the Audit Team Leader when when there is a team.
- Obtain CPAR numbers for the CPAR forms.
- All findings must be accompanied by evidence; otherwise, if findings are challenged, they are just opinions.

Submit Report / Verification Follow-up

9

- Submit Audit Report, CPARs, evidence of nonconformities, Checklists, and all notes.
- Audit Report is distributed to the Mgt. Rep., members of Top Management and Managers of the areas audited.
- An auditor (or other appropriate person) is assigned to verify the effectiveness of completed corrective actions. Verification results are recorded on the original CPAR form.

- Audit results are reviewed by members of Top Management.

Back side of card has questions that apply to every process.

CPAR Form = Corrective Preventive Action Request Form
The Auditor Manual has a written description for each entry on this chart.

Click Browser Back Button (in top left corner) to Return

Directory: Audit Forms
file: audit steps card for color printer Rev 2-20-09a4.pdf
http://www.iso9000checklist.com