Introduction

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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.

Audit Programme

Step 6 **Enter the start and finish date for each planned, or additional audit, based on the frequency shown by the indicators.**

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 required for the 'date cell' shading formula - **DO NOT DELETE!**
Begin auditing your system and processes, using the internal audit checklist.

Audit Findings Tracker

Step 7 **From the 'Findings Summary' of the Audit Checklist, copy and paste the grey coloured cells into the corresponding cells in the tracker.**

Please note that Columns 'A', 'B' & 'C' will automatically populate with information from the 'Process Assessment' worksheet.
Remember that when pasting data from the internal audit checklist into the tracker to select 'paste without formatting' from paste options menu.

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.

Non-conformity & Corrective Action Tracker

Step 9 **Issue corrective actions to process owners. 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.

Process Assessment

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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			Perceived Effects on QEH&S Ranking			Customer Complaints	Any Known Corrective Actions		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)	
		Status	Practices	Importance	Quality	Environment	H&S	Quantity	Quantity	Quantity	Indicator
IA001	Quality Management System	2	1	3	3	1	1	0	0	0	!
IA002	Document Control	1	1	2	2	1	1	0	0	0	✓
IA003	Design & Development	3	2	3	3	2	2	0	1	0	✗
IA004	Manufacturing	1	2	3	3	2	2	0	2	0	✗
IA005	Customer Service	1	2	2	2	1	1	2	0	1	✗
IA006	<enter process name/description>										✓
IA007	<enter process name/description>										✓
IA008	<enter process name/description>										✓
IA009	<enter process name/description>										✓
IA010	<enter process name/description>										✓
IA011	<enter process name/description>										✓
IA012	<enter process name/description>										✓
IA013	<enter process name/description>										✓
IA014	<enter process name/description>										✓
IA015	<enter process name/description>										✓
IA016	<enter process name/description>										✓
IA017	<enter process name/description>										✓
IA018	<enter process name/description>										✓
IA019	<enter process name/description>										✓
IA020	<enter process name/description>										✓
IA021	<enter process name/description>										✓
IA022	<enter process name/description>										✓

Audit Programme

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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.

Audit Ref.	Process Name	Indicator	Type	Start	Finish	Duration	Complete (Yes/No)	11-Jan-16	12-Jan-16	13-Jan-16	14-Jan-16	15-Jan-16	16-Jan-16	17-Jan-16	18-Jan-16	19-Jan-16	20-Jan-16	21-Jan-16	22-Jan-16	23-Jan-16	24-Jan-16	25-Jan-16	26-Jan-16	27-Jan-16	28-Jan-16	29-Jan-16	30-Jan-16	31-Jan-16	01-Feb-16	02-Feb-16	03-Feb-16	04-Feb-16	05-Feb-16	06-Feb-16	07-Feb-16	08-Feb-16	09-Feb-16	10-Feb-16	11-Feb-16	12-Feb-16	13-Feb-16	14-Feb-16	15-Feb-16	16-Feb-16	17-Feb-16	18-Feb-16	19-Feb-16
								11-Jan-16							18-Jan-16							25-Jan-16							01-Feb-16							08-Feb-16							15-Feb-16				
IA001	Quality Management System	!	Planned	19-Jan-16	20-Jan-16	1 day																																								
			Additional	03-Feb-16	05-Feb-16	2 Day																																								
			Additional	15-Feb-16	17-Feb-16	3 Day																																								
			Additional																																											
IA002	Document Control	✓	Planned																																											
			Additional																																											
			Additional																																											
			Additional																																											
IA003	Design & Development	✗	Planned																																										
			Additional																																											
			Additional																																											
			Additional																																											
IA004	Manufacturing	✗	Planned																																											
			Additional																																											
			Additional																																											
			Additional																																											
IA005	Customer Service	✗	Planned																																										
			Additional																																											
			Additional																																											
			Additional																																											
IA006	<enter process name/description>	✓	Planned																																											
			Additional																																											
			Additional																																											
			Additional																																											
IA007	<enter process name/description>	✓	Planned																																											
			Additional																																											
			Additional																																											
			Additional																																											
IA008	<enter process name/description>	✓	Planned																																											
			Additional																																											
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Audit Findings Tracker

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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																								Section 4.0	Leadership																	
			Clause ▶	4.1		4.2			4.3							4.4	4.4.1									4.4.2			5.1.1										5.1.2			5.2.1				
Audit Ref.	Process Name	Indicator	Question No. ▶	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24		25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	41	42
			Criteria ▼																																											
IA001	Quality Management System		OFI	1							1											1						3	1			1														
			Minor N/C		1																						1	2																		
			Major N/C													1												1			1															
IA002	Document Control		OFI	1																								1								1										
			Minor N/C			1						1									1							3			1									1						
			Major N/C																									0																		
IA003	Design & Development		OFI																				1					1	1																	
			Minor N/C								1									1								2					1						1							
			Major N/C																									0																		
IA004	Manufacturing		OFI															1										1	1																	
			Minor N/C		1						1													1				3									1									
			Major N/C																	1								1		1																
IA005	Customer Service		OFI																									0				1														
			Minor N/C					1																				1																		
			Major N/C																									0																		
IA006	<enter process name/description>		OFI																									0																		
			Minor N/C																									0																		
			Major N/C																									0																		
IA007	<enter process name/description>		OFI																									0																		
			Minor N/C																									0																		
			Major N/C																									0																		
IA008	<enter process name/description>		OFI																									0																		
			Minor N/C																									0																		
			Major N/C																									0																		
IA009	<enter process name/description>		OFI																									0																		
			Minor N/C																									0																		
			Major N/C																									0																		
IA010	<enter process name/description>		OFI																									0																		
			Minor N/C																									0																		
			Major N/C																									0																		
IA011	<enter process name/description>		OFI																									0																		
			Minor N/C																									0																		
			Major N/C																									0																		
IA012	<enter process name/description>		OFI																									0																		
			Minor N/C																									0																		
			Major N/C																									0																		
IA013	<enter process name/description>		OFI																									0																		
			Minor N/C																									0																		

Audit Findings Charts

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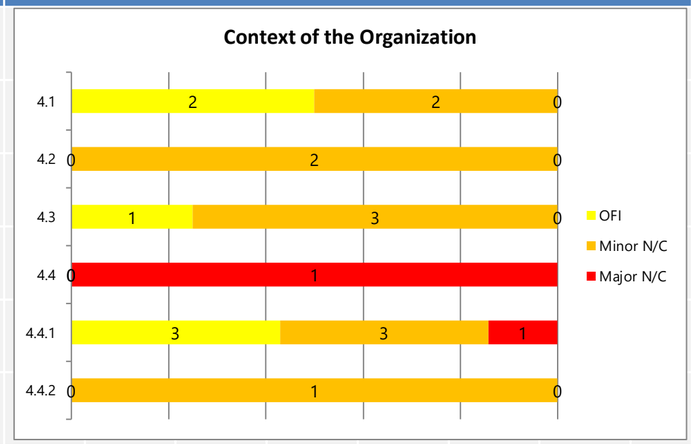
Step 8 Copy and paste the charts into your internal audit report or management review report.

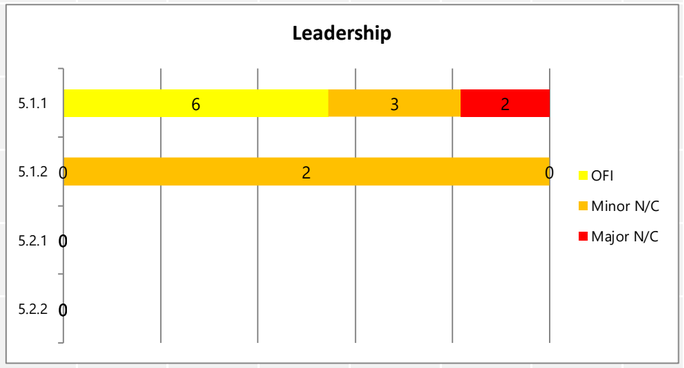
Please note that the grey coloured columns will automatically populate with data from the 'Audit Findings Tracker' worksheet.

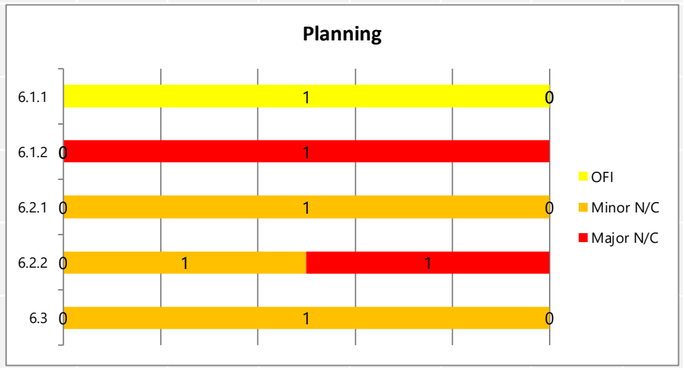
Quality Management System Compliance

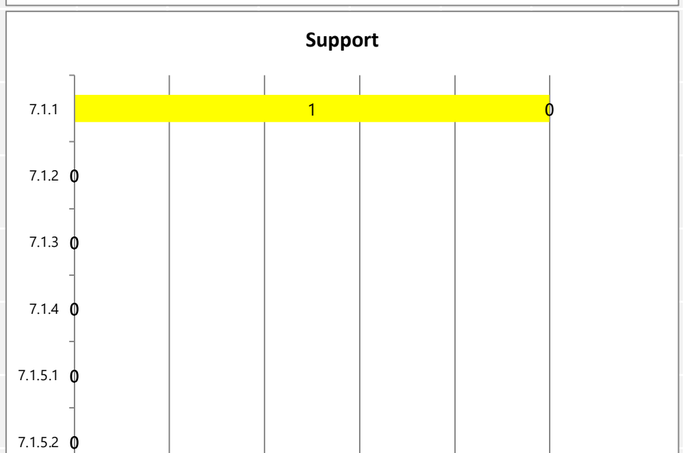
Clause	OFI	Minor N/C	Major N/C
4.1	2	2	0
4.2	0	2	0
4.3	1	3	0
4.4	0	0	1
4.4.1	3	3	1
4.4.2	0	1	0
5.1.1	6	3	2
5.1.2	0	2	0
5.2.1	0	0	0
5.2.2	0	0	0
5.3	1	0	1
6.1.1	1	0	0
6.1.2	0	0	1
6.2.1	0	1	0
6.2.2	0	1	1
6.3	0	1	0
7.1.1	1	0	0
7.1.2	0	0	0
7.1.3	0	0	0
7.1.4	0	0	0
7.1.5.1	0	0	0
7.1.5.2	0	0	0

Quality Management System Compliance Charts





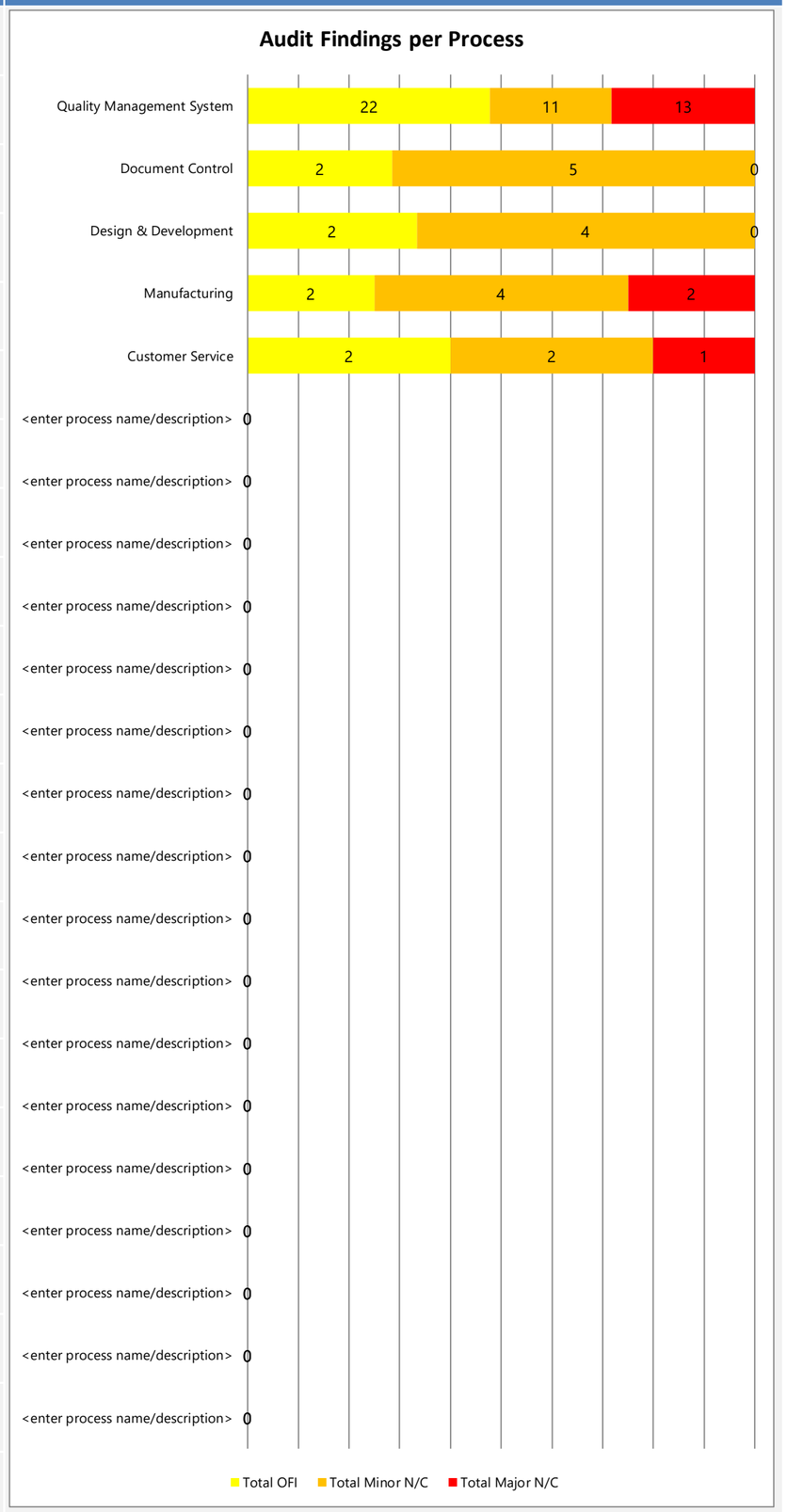




Processes Compliance

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
IA010	<enter process name/description>	0	0	0	0
IA011	<enter process name/description>	0	0	0	0
IA012	<enter process name/description>	0	0	0	0
IA013	<enter process name/description>	0	0	0	0
IA014	<enter process name/description>	0	0	0	0
IA015	<enter process name/description>	0	0	0	0
IA016	<enter process name/description>	0	0	0	0
IA017	<enter process name/description>	0	0	0	0
IA018	<enter process name/description>	0	0	0	0
IA019	<enter process name/description>	0	0	0	0
IA020	<enter process name/description>	0	0	0	0
IA021	<enter process name/description>	0	0	0	0
IA022	<enter process name/description>	0	0	0	0

Process Compliance Chart



Non-conformity & Corrective Action Tracker

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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	Description of Corrective Action	Date Assigned	Assigned to	Target Completion	Closed-out (Yes/No)	How was Close-out Verified?	Date Close-out Verified
CAR001	Design & development	Minor N/C	Audit - Internal	Design review minutes not authorized prior to release to client	Not applicable	Version control - using superseded template	Department to ensure templates are updated	01-Jan-16	Jane Doe	20-Jan-16	Yes	Visually confirmed that the correct template is available and is being used	30-Jan-16
CAR002	Manufacturing & warehousing	Major N/C	Feedback - Customer	Incorrectly shipped item	NCR001	Item was mis-identified prior to storage	Warehousing to investigate and correct labelling errors	20-Feb-16	John Doe	07-Mar-16	No		
CAR003													
CAR004													
CAR005													
CAR006													
CAR007													
CAR008													
CAR009													
CAR010													
CAR011													
CAR012													
CAR013													
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