Internal Audit Check List

(As Per ISO 9001:2008)

Internal Auditor: **Date:**

Exclusions:

Place:

Clauses	Quality Management System	Findings	
4.2.1	a) Quality Manual	☐ Yes	☐ No
	b) Quality Policy	☐ Yes	☐ No
	c) Quality Objectives	☐ Yes	☐ No
4.2.2	**Quality Manual**		
	a) Scope	☐ Yes	☐ No
	b) Description of Process	☐ Yes	☐ No
	c) Document Procedures	☐ Yes	☐ No
4.2.3	**Control of Document**		
	a) Approval Document	☐ Yes	☐ No
	b) Review	☐ Yes	☐ No
	c) Current Version	☐ Yes	☐ No
	d) Document legible & identification	☐ Yes	☐ No
	e) External Document origin & description controlled	☐ Yes	☐ No
	f) Obsolete Document (not in use)	☐ Yes	☐ No
4.2.4	**Control of Record**		
	a) Identification	☐ Yes	☐ No
	b) Storage	☐ Yes	☐ No
	c) Retrieval	☐ Yes	☐ No
	d) Retention Time	☐ Yes	☐ No
	e) Disposition of Records	☐ Yes	☐ No

5.1	**Management Responsibility**			
	a) Commitment	☐ Yes	☐ No	
	b) Communication of Importance of Statutory & Reference Requirement	☐ Yes	☐ No	
	c) Quality Policy	☐ Yes	☐ No	
	d) Quality Objective	☐ Yes	☐ No	
	e) Management Review	☐ Yes	☐ No	
5.2	a) Customer Focus	☐ Yes	☐ No	
	b) Customer Satisfaction	☐ Yes	☐ No	
5.3	**Quality Policy**			
	a) Purpose	☐ Yes	☐ No	
	b) Continually improve	☐ Yes	☐ No	
	c) Reviewing Quality Objective	☐ Yes	☐ No	
	d) Well Communicated	☐ Yes	☐ No	
5.5.1	**Responsibility & Authority**			
	a) Well Defined	☐ Yes	☐ No	
	b) Communicated Organization	☐ Yes	☐ No	
5.5.2	**Management Rep**			
	a) Processed as per Quality Management System	☐ Yes	☐ No	
	b) QMS Improvement			
	c) Promotion of Awareness	☐ Yes	☐ No	
		☐ Yes	☐ No	
5.5.3	**Internal Communication**			
	a) Records	☐ Yes	☐ No	
5.6	**Management Review**			
5.6.1	a) Records	☐ Yes	☐ No	
5.6.2	**Review Input**			
	a) Result of Audits	☐ Yes	☐ No	
	b) Customer Feed Back	☐ Yes	☐ No	
	c) Process Performance	☐ Yes	☐ No	
	d) Product Conformity	☐ Yes	☐ No	
	e) Status of Corrective Actions	☐ Yes	☐ No	
	f) Status of Preventive Actions	☐ Yes	☐ No	
	g) Follows up of Prev.Mangement Review	☐ Yes	☐ No	
	h) Any Change in QMS & recommendations	☐ Yes	☐ No	

5.6.3	**Review Output** a) Improvement of Effectiveness b) Improvement of Product related to Customers c) Resources Needs	☐ Yes ☐ No ☐ Yes ☐ No ☐ Yes ☐ No	
6.1	**Provision of Resources**	☐ Yes ☐ No	
6.2.1	**Human Resources** a) Education b) Training c) Skills d) Experience	☐ Yes ☐ No ☐ Yes ☐ No ☐ Yes ☐ No ☐ Yes ☐ No	
6.2.2	**Competence, Awareness, Training** a) Determine the necessary Competence b) Provide Training c) Evaluate the Effectiveness d) Ensure awareness the importance of their activity and their quality objectives e) Maintain records	☐ Yes ☐ No ☐ Yes ☐ No ☐ Yes ☐ No ☐ Yes ☐ No ☐ Yes ☐ No	
6.3	**Infrastructure** a) Buildilings (loose wirings. Cowwebs) b) Work space c) Utilities d) Process Equipment e) Support Service	☐ Yes ☐ No ☐ Yes ☐ No ☐ Yes ☐ No ☐ Yes ☐ No ☐ Yes ☐ No	
6.4	**Work Environment (As per Product Requirement)**	☐ Yes ☐ No	
7.1	**Planning of Product Realization** a) Quality objective of Product Requirement b) Establishment of Product Processes c) Establishment of Documents d) Provide Resources e) Required Verification, Validation, Monitoring, Inspection and Test activity f) Criteria of Product Acceptance g) Records Required of Product realization	☐ Yes ☐ No ☐ Yes ☐ No ☐ Yes ☐ No ☐ Yes ☐ No ☐ Yes ☐ No ☐ Yes ☐ No ☐ Yes ☐ No	
7.2 **7.2.1**	**Customer Related process** Determination of Requirement a) Any requirement specified by customer b) Requirement not given but stated by customer for intended use c) Statuary and regulatory requirement d) Any additional requirement	☐ Yes ☐ No ☐ Yes ☐ No ☐ Yes ☐ No ☐ Yes ☐ No	

7.2.2	**Review of Requirement related to product**		
	a) Defined Product Requirement b) Contact or order requirement c) Organization ability to meet defined requirement	☐ Yes ☐ Yes ☐ Yes	☐ No ☐ No ☐ No
7.2.3	**Customer Communication**		
	a) Product Information b) Order Handling, Contacts or Customer Enquires c) Customer Feed back & Customer Complaints	☐ Yes ☐ Yes ☐ Yes	☐ No ☐ No ☐ No
7.3	**Design and Development**		
7.3.1	**Design and Development Planning**	☐ Yes	☐ No
7.3.2	**Design and Development Inputs**	☐ Yes	☐ No
7.3.3	**Design and Developments outputs**	☐ Yes	☐ No
7.3.4	**Design and Development Review**	☐ Yes	☐ No
7.3.5	**Design and Development Verification**	☐ Yes	☐ No
7.3.6	**Design and Developments Validation**	☐ Yes	☐ No
7.3.7	**Control and Design and Developments changes**	☐ Yes	☐ No
7.4	**Purchasing**		
7.4.1	Purchase Process a) Purchase Requirement b) Control applied on supplier c) Product realization on final product	 ☐ Yes ☐ Yes ☐ Yes	 ☐ No ☐ No ☐ No
7.4.2	**Purchasing Information**		
	a) Requirements for approval of Product, Procedures, Processes and Equipment b) Requirement of Qualification of Personnel c) QMS Requirement	☐ Yes ☐ Yes ☐ Yes	☐ No ☐ No ☐ No
7.4.3	**Verification of Purchased Product** a) Establish and implement the inspection necessary for ensure the product meets specified requirement	☐ Yes	☐ No
7.5	**Production and Service Provision**		
7.5.1	Control of Production and service Provision		

	a) Availability of information of the characteristics of product	☐ Yes	☐ No
	b) Work instruction	☐ Yes	☐ No
	c) Suitable equipment	☐ Yes	☐ No
	d) Monitoring and measurement devices	☐ Yes	☐ No
	e) Implementation of monitoring and measurement devices	☐ Yes	☐ No
	f) Implementation of release and post delivery activities	☐ Yes	☐ No
7.5.2	**Validation of Process for Product**		
	a) Define criteria for review	☐ Yes	☐ No
	b) Approval of equipment and approval of processes	☐ Yes	☐ No
	c) Use of specific methods of and procedures	☐ Yes	☐ No
	d) Requirement of Records	☐ Yes	☐ No
	e) Revalidation	☐ Yes	☐ No
7.5.3	**Identification and Trace ability**	☐ Yes	☐ No
7.5.4	**Customer Property** Safe guard of Customer Property (lost , damaged, unsuitable for use) even intellectual property	☐ Yes	☐ No
7.5.5	**Preservation of Product**		
	a) Identification	☐ Yes	☐ No
	b) Packaging	☐ Yes	☐ No
	c) Storage	☐ Yes	☐ No
	d) Delivery	☐ Yes	☐ No
	e) Protection	☐ Yes	☐ No
	f) Constituent Parts of Products	☐ Yes	☐ No
7.6	**Control of Monitoring and Measuring Devices**		
	a) Calibrated and specified in different intervals	☐ Yes	☐ No
	b) Adjusted and readjusted	☐ Yes	☐ No
	c) Identified to enable the calibration status	☐ Yes	☐ No
	d) Safeguarded from adjustments	☐ Yes	☐ No
	e) Protected from damages and deterioration	☐ Yes	☐ No
	f) Records of Calibration and Verification	☐ Yes	☐ No
8.0	**Measurement, Analysis and Improvement**		
8.1	General		
	a) Demonstrate conformity of the Product	☐ Yes	☐ No
	b) Ensure Conformity of the QMS	☐ Yes	☐ No
	c) Continually improve the effectiveness as per QMS	☐ Yes	☐ No
8.2	**Monitoring and Measurement**		
8.2.1	Customer Satisfaction		

	a) Meet Customer Requirement	☐ Yes	☐ No
	b) Methods of obtaining Customer Requirements	☐ Yes	☐ No
	c) Using this Information	☐ Yes	☐ No
8.2.2	**Internal audit**		
	a) Confirms the Planned arrangements	☐ Yes	☐ No
	b) Effectively implemented and maintained	☐ Yes	☐ No
8.2.3	**Monitoring and Measurement of Processes**	☐ Yes	☐ No
8.2.4	**Monitoring and Measurement of Product**	☐ Yes	☐ No
8.3	**Control of Non Conforming Product**		
	a) Taking Action to control the detected Non Conformity	☐ Yes	☐ No
	b) Authorizing its use, release or acceptance under by a authority and applicable	☐ Yes	☐ No
	c) Taking action to preclude its original use of application	☐ Yes	☐ No
	d) Records of Non Conformity and action taken	☐ Yes	☐ No
8.4	**Analysis Of Data**		
	a) Collect and analyze the data of Customer Satisfaction	☐ Yes	☐ No
	b) Conformity of Product requirements	☐ Yes	☐ No
	c) Characteristics and trends of Processes and Products including Preventive actions	☐ Yes	☐ No
	d) Suppliers	☐ Yes	☐ No
8.5	**Improvement**		
8.5.1	Continual Improvement	☐ Yes	☐ No
8.5.2	**Corrective action**	☐ Yes	☐ No
8.5.3	**Preventive action**		
	a) Cause of Potential Non conformity and their causes	☐ Yes	☐ No
	b) Preventive Action taken to the effects of potential Problems	☐ Yes	☐ No
	c) Evaluating need for action to prevent their causes	☐ Yes	☐ No
	d) Records and results of action taken	☐ Yes	☐ No
	e) Reviewing action Taken	☐ Yes	☐ No

INTERNAL AUDIT REPORT

Date:

Location Audited:

System Standard: ISO 9001:2008

SUMMARY OF INTERNAL AUDIT

- ❖ This report details the internal audit for quality management system.
- ❖ The audit was carried out at the Head Office.
- ❖ An assessment plan identifying the clauses of the ISO-9001:2008 QMS standards.
- ❖ Top Management commitment for the improvement was clearly visible.
- ❖ Top Management demonstrated commitment for the improvement and desire to adopt system more rigorously during discussion.

FINDINGS:

1. QUALITY MANAGEMENT SYSTEM

- ❖ The general requirements of the system have been established through Quality System Manual and Procedures.
- ❖ The organization has clearly identified the processes and the sequence and interaction of those processes.
1. Quality Manual is available.
2. Scope is included.
3. Exclusions are written & justified.
- ❖ Quality Policy & Objectives were defined and incorporated in the Quality Management System Documents.
- ❖ Six procedures identified.
- ❖ Records are defined in list of Records.
- ❖ A detailed organization chart is made for clarifying the responsibility and authority of various individuals at various levels.
- ❖ List of Documents is Available in the Master list of Documents and approved before issue.
- ❖ Revision status is mentioned on every document & included in master list.
- ❖ A record of issue of documents is available.
- ❖ Obsolete documents are marked as obsolete in red colour.
- ❖ List of records with retained period is available.
- ❖ Provision for record room is available.
- ❖ Retention Time is three year.

2. MANAGEMENT RESPONSIBILITY

❖ The Policy Statement, management meetings, internal communications demonstrated management commitment; the importance of meeting customer as well as statutory requirements has been communicated to ground level employees.   Quality policy statement was displayed prominent places.
❖ Management demonstrated customer focused approach.
❖ The organization was found to be customer-focused and customer requirements are clearly determined by management.
❖ Customer feedback is collected through interacting with Customers.
❖ Customer requirements are reviewed and if required changes are done. Management demonstrated Customer focus approach by discussion.
❖ Quality Policy was found appropriate to the company and the activities of the company.
❖ Awareness among the employees was found satisfactory.
❖ The Quality Policy statement is considered appropriate for the company.
❖ For effective communication it was displayed at appropriate places in office.
❖ Quality objectives are set.

3. RESPONSIBILITIES, AUTHORITY AND COMMUNICATION

❖ Responsibilities and/ or authorities are clearly defined in the individual job descriptions & also mentioned in Quality Manual.
❖ S. K. Jindal, the Management Representative.
❖ MR functions are performed satisfactorily. Management has system of conducting a meeting daily where in progress and plans are discussed

4. MANAGEMENT REVIEW

❖ Management Reviews are undertaken once in six months

5. RESOURCE MANAGEMENT

❖ Appropriate resources are provided Company is maintaining the records indicating education, experience, training and skill of the personnel performing work affecting product quality.
❖ Company maintains a manpower competency matrix to provide detail of the competence required at the different level. Company has system of providing training to all the personnel, & it is recorded in the approved format. Infrastructure required for Operations are provided.
❖ Building and space found satisfactory. Equipments are well maintained. Maintenance registers. Verified Work Environment was found to be appropriate. Safety equipments are in place such as fire-fighting equipments are there. Safe drinking is provided. Toilets are clean.

6. PRODUCT REALISATION

- ❖ The organization has developed & establishes the process & objectives to fulfill the product realization.
- ❖ Required work instructions are in place.
- ❖ Quality plan is made available with the MR.
- ❖ List of machine and equipment is available.
- ❖ System is in place & records are available.

7. CUSTOMER RELATED PROCESS

- ❖ Customer requirements are received verbally in mostly cases.
- ❖ Top management carry out review of customer requirements.
- ❖ Customers feed back registers are maintained at offices.
- ❖ All the requirements of the customers & activities have been mentioned on the work plan.
- ❖ Customer communication was demonstrated to be satisfactory as top management of the organization remain in touch with the customer.
- ❖ The record of the complaint is available in complaint register.
- ❖ The complaint is available in the complaint register. The root cause has been analyzed for the same.

8.DESIGN & DEVLOPMENT

Excluded,
Design & Development is excluded

9.PURCHASING

- ❖ Company has system of placing the purchase order to the suppliers.
- ❖ The vendor registration form is available to register new vendors.
- ❖ The Purchase orders has been issued & also the detail is entered in the Purchase Order register for Monitoring.
- ❖ Approved Vendor List is available
- ❖ Incoming material verified by the Store in- charge & recorded at the Challan.

10. PRODUCT & SERVICE PROVISION

- ❖ Planning is done on daily basis. & communicated verbally.
- ❖ Work instructions of the process are available.
- ❖ Quality plan is made and is referred for the planning & and realization.
- ❖ Storage of material at the designated area.

11. MEASUREMENTS, ANALYSIS AND IMPROVEMENT

- ❖ Processes are defined.
- ❖ Organization has identified the means of continually monitoring its performance by carrying out customer surveys and customer contact after an event.
- ❖ Feedback forms verified.
- ❖ Organization maintains In-process inspection register' Data on customer satisfaction is collected.
- ❖ Corrective and Preventive actions are taken.