

File Home Insert Page Layout Formulas Data Review View Add-ins

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B10 Assess the criteria for ranking how well the process is performed.

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, include any process with a 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 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, until the process is stable.

Audit Ref.	Process/Activity Name	Perceived Process Ranking				Perceived Effects on QEH&S Ranking				Customer Complaints		Any Known Corrective Actions				Process Status Indicator	
		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	Score	Quality	Environment	H&S	Score	Quantity	Score	Quantity	Score	Quantity	Score		
IA001	EQMS	2	1	3	6	3	1	1	5	0	0	0	0	0	0	0	
IA002	Document Control	1	1	2	2	2	1	1	4	0	0	0	0	0	0	0	
IA003	Design & Development	3	2	3	18	3	2	2	7	0	0	1	4	0	0	0	
IA004	Manufacturing	1	2	3	6	3	2	2	7	0	0	2	8	0	0	0	
IA005	Customer Service	1	2	2	4	2	1	1	4	2	6	0	0	1	8	8	
IA006	<enter process name>				0				0		0		0		0	0	

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From Access From Web From Text From Other Sources Existing Connections Refresh All Properties Edit Links Connections

Sort Filter Reapply Advanced

Text to Columns Remove Duplicates Data Validation Consolidate What-If Analysis

Show Detail Hide Detail Outline

Audit Findings Tracker

Step 7 From the EQMS Internal Audit Checklist.docx, 'copy' and 'paste' the **adverse** audit findings into the corresponding, grey coloured cells below.

Please note that Rows '10' & '12' will automatically populate with information from the 'Process Assessment' worksheet.

Clause	Question	Audit Ref. IA001			DO NOT ENTER DATA INTO THE YELLOW CELLS	Audit Ref. IA002			DO NOT ENTER DATA INTO THE YELLOW CELLS	Audit Ref. IA003			DO NOT ENTER DATA INTO THE YELLOW CELLS	Audit Ref. IA004			DO NOT ENTER DATA INTO THE YELLOW CELLS	Audit Ref. IA005			DO NOT ENTER DATA INTO THE YELLOW CELLS
		Process/Activity Name	OFI	Minor N/C		Major N/C	Process/Activity Name	OFI		Minor N/C	Major N/C	Process/Activity Name		OFI	Minor N/C	Major N/C		Process/Activity Name	OFI	Minor N/C	
		EQMS			These cells will populate automatically!	Document Control			These cells will populate automatically!	Design & Development			These cells will populate automatically!	Manufacturing			These cells will populate automatically!	Customer Service			These cells will populate automatically!
		OFI	Minor N/C	Major N/C		OFI	Minor N/C	Major N/C		OFI	Minor N/C	Major N/C		OFI	Minor N/C	Major N/C		OFI	Minor N/C	Major N/C	
4.1	1																				
4.1	2				0	0	0														
4.2	3		1							1											
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4.2	5		1		0	2	0			1	1	0									
4.3	6																				
4.3	7								1												
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4.3	14			1	1	0	1				0	2	1								
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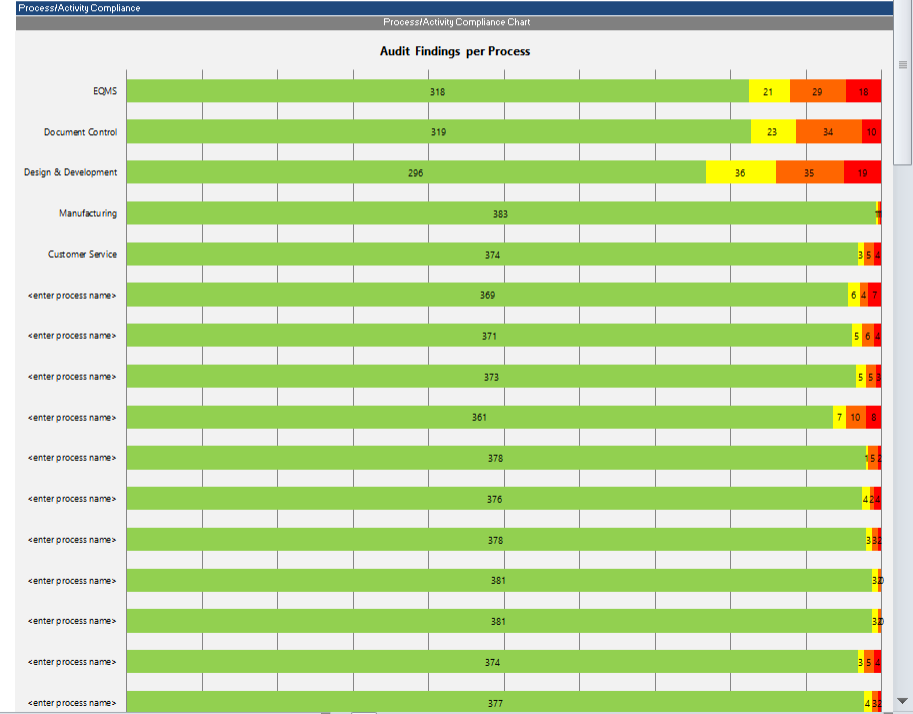
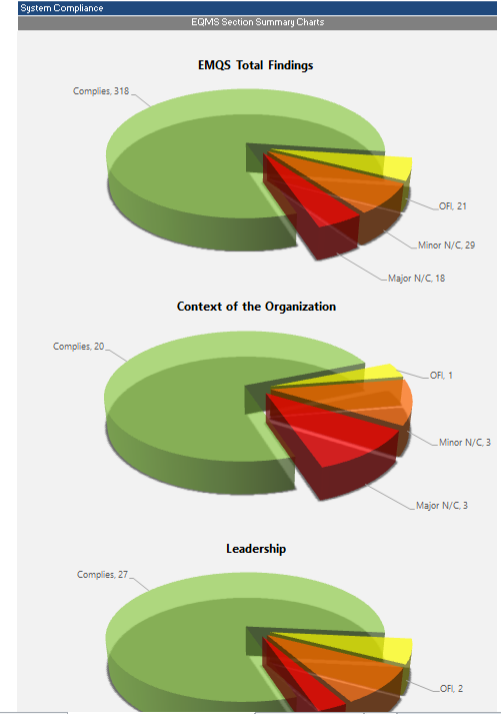
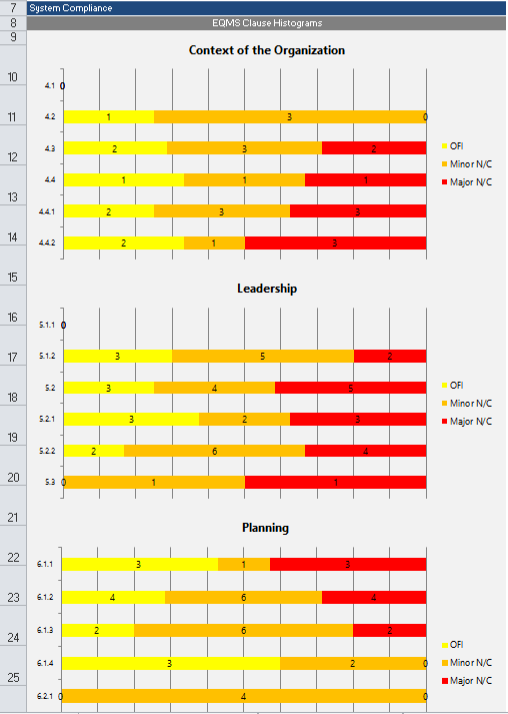
Step 8 Copy and paste the charts into your internal audit reports or management review reports.

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

System Compliance EQMS Clause Histograms

System Compliance EQMS Section Summary Charts

Process/Activity Compliance Process/Activity Compliance Chart



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Non-conformity & Corrective Action Log

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/Activity Name	CAR Type	How was it identified?	Description of the CAR	Non-conformance Report Ref. (if applicable)	Root Cause	Description of Corrective Action
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
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 error
CAR003							
CAR004							
CAR005							
CAR006							
CAR007							
CAR008							
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