

Process Audit Template

Risks/Opportunity:	With what resources, e.g. equipment, tools, and infrastructure, etc.? <i>Reference ISO 9001:2015 - 6.1, 6.2, 7.1.1, 7.1.3, 7.1.4, 7.1.5</i>
Non-conformity:	
	What equipment and resources are required?
	Is equipment suitable and properly maintained? Is the work environment maintained?
	Is there evidence of appropriate maintenance of all equipment?
Documents:	

With whom , who owns the process? <i>Reference ISO 9001:2015 - 5.1, 5.3, 7.1.2, 7.2, 7.3</i>	Who helps to supports the process? <i>Reference ISO 9001:2015 - 5.1, 5.3, 7.1.2</i>	Risks/Opportunity:
Process Owner(s):	Process Owner(s):	
Personnel:	Personnel:	
Skills/Training	Skills/Training	Non-conformity:
Are there job decriptions, or an organization chart? Review employee skill lists for the process. Are there lists of skills for each position?	What other processes support the process? Who supports the process? Do they have the required skills and training?	
Records:		

Risks/Opportunity:	Input - what are the inputs, e.g. customer requirements? <i>Reference ISO 9001:2015 - 4.2, 7.4, 8.2, 8.3.5, 8.4, 8.5.3</i>
Non-conformity:	
	What triggers the process?
	What inputs are required?
	Where do the inputs come from?
	Are they received in a timely manner?
	Are they fit for purpose?
Documents:	

Activities - what steps are involved, and objectives? <i>Reference ISO 9001:2015 - 8.1</i>
What steps are involved in the process? What happens at each step in the process? What documents and records are generated? Are controls applied as described? Is the process implemented in accordance with procedures?
Records:

Output - what should we deliver, were customer requirements met? <i>Reference ISO 9001:2015 - 8.5.4, 8.5.5, 8.6, 9.1.2</i>	Risks/Opportunity:
	Non-conformity:
	What is the product produced by this process?
	Are product measures in place to ensure they meet requirements?
	How are processes measured?
	Are product and process measures achieved?
	What feedback is received from customers?
Records:	

Risks/Opportunity:	How is this process controlled, e.g. work instructions, procedures, other methods? <i>Reference ISO 9001:2015 - 5.2, 5.3, 6.3, 7.1.6, 7.4, 7.5, 8.5.1, 8.5.2, 8.7, 10.2</i>
Non-conformity:	
	Review the documents that describe and control the process
	Review all the steps and activities of the process being audited
	Evaluate how effectively the process flows through the steps
	Do you see roadblocks or issues?
Documents:	

What are the measures and indicators to show process effectiveness? <i>Reference ISO 9001:2015 - 4.4.1, 7.1.5, 9.1.1, 9.1.3, 9.2, 9.3, 10.1, 10.3</i>	Risks/Opportunity:
	Non-conformity:
	Review metrics and performance with process owners and operators
	They should know how things are running, objectives, customer issues, problems.
	If they do not, the requirements were not met.
	Is there evidence that quality objectives and targets affected by this process are being achieved?
Records:	