# STEP ONE: Audit Plan

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| **Process to Audit (Audit Scope):** | | | |
| **Audit Date(s):** | **Lead Auditor:** | | |
| **Audit #:** | **Auditor(s):** | | |
| **Site(s) to Audit:** | | | |
| **Applicable Clauses of [ISO 9001 or AS9100] Standard:** | | | |
|  | |  | |
| **Applicable Documents to Audit** | | | **Rev.** |
| [Quality Manual Doc Title] | | |  |
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# STEP TWO: Compare Documentation vs. Requirements

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| **Compare the [Short Client Name] documentation with the applicable clauses of [ISO 9001 or AS9100].** | | |
| **Question** | **Y/N**  **(or N/A)** | **Evidence or Notes Sheet Ref. #** |
| In general, does the [Short Client Name] documentation meet the requirements of [ISO 9001 or AS9100]? |  |  |
| Review any customer requirements that may be applicable to this process. (If there are none, enter “N/A” in the middle column.) In general, does the [Short Client Name] documentation meet these requirements? |  |  |
| Review any statutory or regulatory requirements that may be applicable to this process. (If there are none, enter “N/A” in the middle column.) In general, does the [Short Client Name] documentation meet these requirements? |  |  |
| **Indicate any suggestions for improvement related to the documentation:** | | |
|  | | |

# STEP THREE: Compare Actual Practice vs. Requirements

| **Compare the requirements of [ISO 9001 or AS9100], the [Quality Manual Doc Title] and other documentation against what employees are actually doing in everyday practice.** | | | |
| --- | --- | --- | --- |
| **Requirement**  **Reference** | **Question** | **Y/N**  **(or N/A)** | **Evidence or Notes Sheet Ref. #** |
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| **Review previous audits for this process. Review previous [CAR Form Abbreviation]s issued against this process, or as a result of previous audits for this process. Add additional checklist questions here, based on the previous audits, [CAR Form Abbreviation]s or other documents or requirements, as you see fit.** | | | |
| --- | --- | --- | --- |
| **Requirement**  **Reference** | **Question** | **Y/N**  **(or N/A)** | **Evidence or Notes Sheet Ref. #** |
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# STEP FOUR: Verify the Effectiveness of the Process

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| **Review the applicable procedure(s) for this process and answer the questions below.** | | |
| **Question** | **Y/N**  **(or N/A)** | **Evidence or Notes Sheet Ref. #** |
| Are the procedure steps accurate and complete as compared to true practice? |  |  |
| Are there sufficient check steps (inspections, tests, reviews, approvals, sign-offs, etc.) that ensure the process outputs meet requirements before passing onto the next process? |  |  |
| Does the process appear to adequately meet the requirements of [ISO 9001 or AS9100] and the [Short Client Name] documentation? |  |  |
| Does the process appear to adequately meet all customer or regulatory requirements? |  |  |
| **Indicate any problems you uncovered with the process:** | | |
| **Provide brief details on any areas that you found were well-implemented, particularly effective or worth noting as positive traits of the process.** | | |
|  | | |

# STEP FIVE: Summarize Findings for [CAR Form Abbreviation] system

Based on the findings and nonconformities you have recorded in the previous sections, summarize the necessary actions needed. For type, choose one of the following:

**C** =Corrective action needed (existing noncompliance)

**P** = Preventive action needed (potential noncompliance)

**OFI** = Opportunity for Improvement

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| --- | --- | --- | --- | --- |
| **[CAR Form Abbreviation] #** | **[ISO 9001 or AS9100] Clause** | **Describe finding as you want it to appear in the [CAR Form Abbreviation] system.** | **Type** | **Major /**  **Minor** |
|  |  | Requirement:  Evidence:  Rationale for Finding: |  |  |
|  |  | Requirement:  Evidence:  Rationale for Finding: |  |  |
|  |  | Requirement:  Evidence:  Rationale for Finding: |  |  |
|  |  | Requirement:  Evidence:  Rationale for Finding: |  |  |
|  |  | Requirement:  Evidence:  Rationale for Finding: |  |  |

# STEP SIX: Review Audit Report and Submit

All auditors on the audit team must submit their audit reports for summary and review by the Lead Auditor. Lead Auditor: review the completeness of this report prior to submitting it to the [Specific Title for ISO MR]. Be sure findings show objective evidence, that everything is written clearly, and that all checklist questions are answered.

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| --- | --- |
| Audit report reviewed and ready for submission: |  |
| Signature of Lead Auditor |
|  |
|  | Date |

# NOTES PAGE

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| --- | --- |
| **Your Note reference #** | **Notes, evidence, findings, comments, etc.** |
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