# 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 Standard:** | | | |
|  | |  | |
| **Applicable Documents to Audit** | | | **Rev.** |
| Management System Manual | | |  |
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# STEP TWO: Compare Documentation vs. Requirements

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| **Compare the Retirement Capital documentation with the applicable clauses of ISO 9001.** | | |
| **Question** | **Y/N**  **(or N/A)** | **Evidence or Notes Sheet Ref. #** |
| In general, does the Retirement Capital documentation meet the requirements of ISO 9001? |  |  |
| 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 Retirement Capital 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 Retirement Capital documentation meet these requirements? |  |  |
| **Indicate any suggestions for improvement related to the documentation:** | | |
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# STEP THREE: Compare Actual Practice vs. Requirements

| **Compare the requirements of ISO 9001, the Management System Manual and other documentation against what employees are actually doing in everyday practice.** | | | |
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| **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 CARs issued against this process, or as a result of previous audits for this process. Add additional checklist questions here, based on the previous audits, CARs or other documents or requirements, as you see fit.** | | | |
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| **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 and the Retirement Capital 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.** | | |
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# STEP FIVE: Summarize Findings for CAR 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 #** | **ISO 9001 Clause** | **Describe finding as you want it to appear in the CAR 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 Management Representative. 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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