Part 2 Process Audit

Prepare for the Audit

Use the agreed Audit Plan to identify the objectives, scope, criteria, people and locations. Select relevant questions before the audit. The clause numbers refer to ISO 9001:2026; Q numbers identify checklist questions, not lettered paragraphs of the standard. Check the company's adopted manual and other requirements as well.

In the process sheet's Audit Plan column, note the checks or samples planned for each relevant clause. S1 to S6 are the process-summary questions.

Conduct the Audit

Ask people to explain the work, observe it and examine suitable examples. Follow a job, order or service through the process, including relevant handovers. The questions are prompts, not a script that must be read aloud. Bring urgent problems to the responsible manager's attention immediately so that action can be taken. Do not wait for the closing meeting or written report.

Choose Useful Samples

Start with examples that reflect the work: different products or services, people, shifts, locations or time periods where relevant. Include recent changes, known problems and important handovers. Choose more examples where failures would have greater consequences or previous results give cause for concern.

There is no fixed sample percentage for every internal audit. Take enough examples to support a reasonable conclusion about the audited work. If a problem appears, extend the sample or follow the issue until its nature and likely extent are clear. Identify the samples you checked. Explain what you could not check and why, for example, because records were unavailable or an activity was not taking place.

Where a particular statistical sampling plan is required by a customer, regulation or the company, check that the relevant work follows it. Do not treat a few passing examples as proof that every item conforms.

Audited Process	
Process Definition / Reference	
Department / Location	

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10.2 Nonconformity and Corrective Action

Clause / Item	Question	Audit Findings	Evidence / Ref.	Result / Ref.

10.2.1 Q1	When a nonconformity occurs, including any arising from complaints, does the organization:
	• react to the nonconformity and, as applicable,
	  • take action to control and correct it?
	  • deal with the consequences?
	• evaluate the need for action to eliminate the cause(s) of the nonconformity, in order that it does not recur or occur elsewhere, by:
	  • reviewing the nonconformity?
	  • determining the causes of the nonconformity?
	  • determining if similar nonconformities exist, or could potentially occur?
	• implement any action needed?
	• review the effectiveness of any corrective action taken?
	• update risks and opportunities determined during planning, if necessary?
	• make changes to the quality management system, if necessary?
	Distinguish correction of the immediate problem from action needed to prevent recurrence.			

10.2.1 Q2	How do you make sure that corrective actions are appropriate to the effects of the nonconformities encountered? Any follow-up done to check whether the corrective actions were effective?			
10.2.2 Q3	What documented information does the organization retain as evidence of: • the nature of the nonconformities and any subsequent actions taken? • the results of any corrective action?			

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