INTERNAL AUDIT PROCEDURE

Rev	Date	Revision Record	Updated by	Reviewed by	Approved by
00	07/07/10	1st Issue			
01	06/06/19	Updated the procedure as per the new version of the standards ISO 9001:2015, ISO 14001:2015 & ISO 45001:2018	3rd Party	RM	NY

CONTROLLED

1.0 PURPOSE

This procedure sets out a systematic approach to conduct internal audits at planned intervals to verify conformance to the planned arrangements and also to judge effective implementation and maintenance of QHSE management system.

2.0 SCOPE

This procedure covers all operations, activities and criteria of the company's QHSE Management system to be audited at least annually to verify compliance to these QHSE programs.

3.0 DEFINITIONS

Nonconformity is a non fulfilment or failure to meet a requirement.

Audit is a systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which audit criteria are fulfilled.

Auditee is an Organization / Department / Project being audited.

Auditor is a person with personal attributes and competence to conduct an audit.

4.0 RESPONSIBILITY

Management Representative, Auditors, all departments.

To ensure audit schedule is followed and audits are conducted as per audit plan. Review audit schedule based on audit reports and amend if required audit plan accordingly.

5.0 PROCEDURE

5.1 General

5.1.1 An Internal Audit shall be arranged by the Management Representative to cover all functions and all active projects within the organization.

5.1.2 Each element of SAIFCO QHSE system shall be subject to audits at regular intervals at least once a year.

5.1.3 The criteria of the internal audits shall be as per IS09001, IS014001& ISO 45001 standards, legal & other requirements as well as the company QHSEMS procedures.

5.1.4 In addition to scheduled audits, unscheduled audits may be carried out as deemed necessary based upon non-conformance reports, corrective action forms and audit reports.

5.1.5 The General Manager/Management Representative can request special audits when required.

5.1.6 The frequency of the audits may vary based on previous audit findings in particular areas as well as their importance.

5.2 Audit Team

5.2.1 The Management Representative shall maintain a "List of Qualified Auditors".

5.2.2 The minimum requirements to be an internal auditor are as follows:

- A graduate degree holder w1th at least 2 years works experience (general) or high secondary education with at least 5 years works experience.
- Must have attended the awareness or internal auditor (or equivalent) training course

5.2.3 Auditors selected for each audit shall be personnel who do not have direct responsibility, or control, of the audited areas.

5.2.4 For each scheduled audit the Audit Manager shall select auditors in coordination with the department heads.

5.3 Conduct & Reporting Of the Audit

5.3.1 Internal audits shall be conducted against the requirements of the QHSE standards as well as those of the company's management system.

5.3.2 Scheduled and unscheduled audits shall be notified by the Management Representative to the Department heads and auditors.

5.3.3 A mutually agreed date and time to conduct the audit shall be copied back to the Management Representative.

5.3.4 On audit completion, the Auditor(s) shall document the audit findings on "Internal Audit Report" **(IMS/QHSE/IA/03/02)** and raise Non Conformance Report **(IMS/QHSE/IA/03/01)** each non-compliance or deviation observed during the audit.

5.3.5 Completed audit reports & copies of the Non Conformance Report (if any) shall be submitted to the Management Representative for recording & distribution.

5.3.6 The Non Conformance Reports shall be recorded and monitored using the Non Conformance Reports Status Log **(IMS/QHSE/IA/03/03)**.

5.4 Audit Numbering

Audits will be numbered as per the following format.

Company/Year of Audit/ Audit Serial

e.g SAIFCO/2019/01; 1st Internal Audit for 2019

5.5 NCR Numbering

NCR will be numbered as per the following format.

Project or Department/ Year/Audit Number/ NCR Serial

e.g QHSE/19/01/01, S234/19/01/01

5.6 Corrective Actions

5.6.1 Suitable corrective/preventive action(s) shall be taken by the auditee on all non-conformances & observations.

5.6.2 The Corrective/Preventive Action Requests shall be reviewed, closed out, distributed and records retained as per the procedure for "Nonconformance, corrective & preventive action".

1.0 ATTACHMENTS

Type	Name	Number / Code
Form	Non Conformance Report (NCR)	IMS/QHSE/IA/03/01
Form	Internal Quality Audit Report	IMS/QHSE/IA/03/02
Form	Non Conformance Report (NCR) Status Log	IMS/QHSE/IA/03/03
Form	Audit Checklists	IMS/QHSE/IA/03/04
Form	Audit program	IMS/QHSE/IA/03/05
Form	List of Auditor	IMS/QHSE/IA/03/06

QHSE MANAGEMENT SYSTEM	SAIFCO Electromechanical Works (LLC)	
Document Name: **Non Conformance Report**	QHSE Ref. No.	IMS/QHSE/IA/03/01 Rev.00
	Date:	

Audit Ref No.		Project / Dept.	
NCR No.		Major / Minor	
Auditor(s) Name		Auditee Name	
Procedure Audited		Regulation / Standard Audited	

None Conformity Details:

Signature (Auditor)

Agreed Corrective Action:

Scheduled Date of Completion: Signature (Auditor):

Signature (Auditee):

Corrective Action Approval:

Date of Completion: Signature(Project / Dept. Manager):

Corrective Action Verified: ☐ **Closed out** ☐ **Not Closed**

Auditor Note:

None Conformity Close Out Date: Signature (Auditor):

QHSE MANAGEMENT SYSTEM	SAIFCO Electromechanical Works (LLC)	
Document Name: **Internal Audit Report**	QHSE Ref. No.	IMS/QHSE/IA/03/02 Rev.00
	Date:	

REGION:		**AUDIT No.:**
PROJECT / DEPARTMENT:		**DATE OF AUDIT:**
NO. OF MAJOR NCRs:	**NO. OF MINOR NCRs:**	**NO. OF Observations:**

No.	Areas and Objective Evidence Audited	COMPLIANCE LEVEL				COMMENTS
		Total	Satisfactory	Un-satisfactory	None	

Conclusion:

Auditor Name:	**Signature:**

QHSE MANAGEMENT SYSTEM	SAIFCO Electromechanical Works (LLC)	
Document Name: **Non Conformance Report Status Log**	QHSE Ref. No.	IMS/QHSE/IA/03/03 Rev. 00
	Date:	

Project/ Depart:_____

NCR Ref. No.	Internal NCR		Deficiency Description	Agreed Completion Date	Actual Completion Date	CA Verification Status		Verification & Close out Date	Remarks
	Audit	Other				Satisfactory	Unsatisfactory		

QHSE MANAGEMENT SYSTEM	SAIFCO Electromechanical Works (LLC)	
Document Name: **Audit Check List**	QHSE Ref. No.:	IMS/QHSE/IA/03/04 Rev.00
	Date:	

Project / Department:	**Audit Date:**
Audit No.:	**Auditor(s):**

No.	**Requirement / Question**	**Status Y / N**	**Comments**

QHSE MANAGEMENT SYSTEM	SAIFCO Electromechanical Works (LLC)
Document Name: Audit Programe	QHSE Ref: No.: IMS/QHSE/IA/03/05 Rev.00
	Date:

S/R	Project Department	Areas to be Audited	Reference Standard/ Regulation/ Procedure	Auditor	Year: 2019											
					Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec

QHSE MANAGEMENT SYSTEM	SAIFCO Electromechanical Works (LLC)	
Document Name:	QHSE Ref: No.:	IMS/QHSE/IA/03/06 Rev.00
List of Internal Auditor	Date:	

Sr. No	Name	Position	Qualification	Courses

QHSE MANAGEMENT SYSTEM	SAIFCO Electromechanical Works (LLC)	
Document Name: **Internal Audit Checklist ISO 14001**	QHSE Ref. No.	IMS/QHSE/IA/03/04 Rev.00
	Date:	

Clause #	Environmental Management System Requirements	Documented Information Reference	Explanatory Notes and Comments
4	**Context of the organization**		
4.1	Understanding the organization and its Context Have external and internal issues been identified that are relevant & that affect the ability to achieve intended outcomes?		
4.2	Understanding the needs and expectations of interested parties □ Have interested parties that are relevant been identified? □ Have their needs and expectations been determined? □ Are any of these needs & expectations compliance obligations?		
4.3	Determining the scope of the environmental management system □ Has the organization determined the scope and boundaries of the management system, considering: o The external and internal issues; o Compliance obligations; o Organizational unit(s), functions and physical boundaries; o Its activities, products and services; o Its authority & ability to exercise control & influence. □ Is the scope maintained as documented information? □ Is the scope available to interested parties?		
4.4	Environmental Management System □Have processes needed for the environmental management system been identified and their interactions defined? □Is there evidence of continual improvement?		

QHSE MANAGEMENT SYSTEM	SAIFCO Electromechanical Works (LLC)	
Document Name: **Internal Audit Checklist ISO 14001**	QHSE Ref. No.	IMS/QHSE/IA/03/04 Rev.00
	Date:	

5	Leadership		
5.1	Leadership and commitment Has top management demonstrated leadership and commitment by: □ Taking accountability for the effectiveness of the EMS? □ Establishing the policy and objectives those are compatible with the strategic direction & context of the organization? □ Ensuring integration of the EMS requirements into business processes? □ Ensuring that resources needed for the EMS are available? □ Communicating the importance of effective environmental management & of conforming to the EMS requirements? □ Ensuring that the EMS achieves its intended outcomes? □ Directing & supporting persons to contribute to the effectiveness of the EMS? □ Promoting continual improvement? □ Supporting other relevant mgt. system roles to demonstrate their leadership, as it applies to their areas of responsibility?		
5.2	Environmental Policy Has top management established an environmental policy that □ Is appropriate to the purpose and context of the organization? □ Provides a framework for setting environmental objectives? □ Includes a commitment to protection of the environment & other specific commitments relevant to context? □ Includes a commitment to fulfill its compliance obligations? □ Includes a commitment to continual improvement? □ Is maintained as documented information? □ Is communicated within the organization? □ Is available to interested parties?		

5.3	Organizational roles, responsibilities and authorities Has top management assured that responsibilities and authorities are assigned for relevant roles and communicated this within the organization? Has top management assigned the responsibility for: □ Ensuring that the EMS conforms to requirements of the ISO14001:2015 Standard? □ Reporting on the performance of the EMS, including environmental performance to top management?		
6	**Planning**		
6.1 6.1.1	Actions to address risks and opportunities General Has the organization determined potential emergency situations that could occur, within the scope of EMS? Is documented information maintained of its risks and opportunities that need to be addressed?		
6.1.2	Environmental Aspects Have environmental aspects of activities, products and services been determined? Has a life cycle perspective been considered? For environmental aspects that have been identified has change, abnormal conditions and emergency situations been taken into account? Have significant environmental aspects been identified using established criteria? Have significant environmental aspects been communicated? Is documented information retained for the environmental aspects and impacts, including those that are significant?		
6.1.3	Compliance Obligations Have compliance obligations related to environmental aspects been determined as well as access to the requirements? Is documented information retained of the compliance obligations?		

6.1.4	Planning Action Has the organization planned actions to address: □ The identified significant environmental aspects? □ Its compliance obligations? □ Its risks and opportunities identified in 6.1.1?		
6.2 6.2.1	Environmental objectives and planning to achieve them Environmental objectives Have environmental objectives been established taking into account the significant environmental aspects, compliance obligations and considered its risks and opportunities? Are the environmental objectives: □ Measurable? □ Monitored? □ Communicated? □ Updated, as appropriate? □ Is documented information maintained on the environmental objectives		
6.2.2	Planning actions to achieve environmental objectives For the identified environmental objectives has the organization determined: □ What will be done? □ What resources are required? □ Who has responsibility? □ When it will be completed? □ How results will be evaluated, including indicators for monitoring progress toward achievement? □ Has the organization considered how actions to achieve its environmental objectives can be integrated into the organizations business processes?		
7	**Support**		
7.1	Resources Has the organization determined and provided the resources needed for the establishment, implementation, maintenance and continual improvement of the EMS?		

7.2	Competence Has the organization: □ Determined the necessary competence of person doing work under its control that affects its environmental performance and ability to fulfill its compliance obligations? □ Ensured that these persons are competent on the basis of appropriate education, training or experience? □ Determined training needs associated with environmental aspects?		
7.3	Awareness Has the organization ensured awareness of persons under its control of: □ The environmental policy? □ The significant environmental aspects and potential environmental impacts of people's work? □ The benefits of enhanced environmental performance and the implications of not conforming to EMS requirements?		
7.4 7.4.1	Communication General Has the organization established, implemented and maintained the processes needed for internal and external communications, including: □ What it will communicate? □ When it will communicate? □ With whom to communicate? □ How to communicate? Has the organization taken into account its compliance obligations and that information is reliable? Has the organization responded to relevant communication? Is documented information retained as evidence of communication?		
7.4.2	Internal Communication Has the organization internally communicated information relevant to the EMS?		

	Has the organization ensured that communication process enable persons to contribute to continual improvement?		
7.4.3	External Communication Has the organization communicated information externally as defined by the organizations communication processes or as required by its compliance obligations?		
7.5 7.5.1	Documented information General Does the EMS include documented information required by this International Standard? Documented information determined by the organization to be necessary for the effectiveness of the environmental management system?		
7.5.2	Creating and updating Has the organization assured appropriate: □ Identification and description of documents? □ Format and media (e.g. paper, electronic)? □ Review and approval for suitability and adequacy?		
7.5.3	Control of documented information Is documented information controlled to ensure: □ Availability and suitability for use, where and when it is needed? □ Adequate protection? Have the following requirements been addressed? □ Distribution, access, retrieval and use? □ Storage and preservation? □ Control of changes? □ Retention and disposition? Have documents of external origin been identified and controlled?		
8	**Operation**		
8.1	Operational planning and control Have processes been established, implemented, controlled and maintained to meet EMS requirements and to implement actions identified in 6.1 and 6.2 by:		

	□ Establishing operating criteria for the processes? □ Implementing control of the processes, in accordance with operating criteria? Have planned changes been controlled and reviewed the consequences of unintended changes, taking action to mitigate any adverse effects, as necessary? Has the organization ensured that outsourced processes are controlled or influenced? Has the type and extent of control or influence been defined? Associated with a life cycle perspective, has the organization: □ Established controls to ensure that its environmental requirements are addressed in the design and development process for product or service, considering each stage of its life cycle? □ Determined its environmental requirements for the procurement of products and services, as appropriate? □ Communicated its relevant environmental requirements to external providers, including contractors? □ Considered the need to provide information about potential significant environmental impacts associated with the transportation or delivery, use, end-of-life treatment and final disposal of its products and services? Is documented information maintained to have confidence that the processes have been carried out as planned?		
8.2	Emergency preparedness and response Has the organization established, implemented and maintained the processes needed to prepare for and respond to potential emergency situations identified in 6.1.1? Has the organization: □ Prepared for response by planning actions to prevent or mitigate adverse environmental impacts from emergency situations? □ Responded to actual emergency situations? □ Taken action to prevent or mitigate the consequences of emergency situation, appropriate to		

	the magnitude of the emergency and the potential environmental impacts? □ Periodically tested planned response actions? □ Periodically reviewed and revised processes and planned response actions, in particular after the occurrence of emergency situations or tests? □ Provided relevant information and training related to emergency preparedness and response to relevant interested parties, including persons working under its control? Has the organization maintained documented information to have confidence that the processes are carried out as planned?		
9	**Performance evaluation**		
9.1 9.1.1	Monitoring, measurement, analysis and Evaluation General For environmental performance, has the organization determined: □ What needs to be monitored and measured? □ The methods for monitoring, measurement, analysis and evaluation to ensure valid results? □ The criteria against which the organization will evaluate its environmental performance, and appropriate indicators? □ When monitoring and measuring shall be performed? □ When the results form monitoring and measurement will be analyzed and evaluated? Has the organization ensured that calibrated or verified monitoring and measurement equipment is used and maintained? Has the organization evaluated its environmental performance and the effectiveness of the environmental management system? Has the organization retained appropriate documented information as evidence of the monitoring, measurement, analysis and evaluation results?		
9.1.2	Evaluation of compliance Has the organization established, implemented and maintained the processes needed to evaluate		

	fulfillment of its compliance obligations, including: □ Determining the frequency that compliance will be evaluated? □ Evaluating compliance and taking action if needed? □ Maintained knowledge and understanding of its compliance status? Has the organization retained documented information as evidence of the compliance evaluation results?		
9.2 9.2.1	Internal audit General Has the organization conducted internal audits at planned intervals to determine if the environmental management system: □ Conforms to its own requirements for environmental management? □ Conforms to requirements of this International Standard? □ Is effectively implemented and maintained?		
9.2.2	Internal audit program Has the organization established, implemented and maintained an internal audit program, including the frequency, methods, and responsibilities, planning requirements and reporting of its internal audits? Has the organization taken into consideration the environmental importance of the processes concerned, changes affecting the organization and results of previous audits? Has the organization: □ Defined the audit criteria and scope for each audit? □ Selected auditors and conducted audits to ensure objectivity and impartiality of the audit process? □ Ensured that the results of audits are reported to relevant management? Has the organization retained documented information as evidence of the implementation of the audit program and the audit results?		
9.3	Management review Has top management reviewed the organization's environmental management system at planned		

	intervals to ensure its continuing suitability, adequacy and effectiveness? Have management reviews considered: □ The status of actions from previous management reviews? □ Changes in: o External and internal issues relevant to the EMS? o The needs and expectations of interested parties, including compliance obligations? o Its significant environmental aspects? o Risks and opportunities? □ The extent to which environmental objectives have been achieved? □ Information on the organizations environmental performance, including trends in: o Nonconformities and corrective actions? o Monitoring and measurement results? o Fulfillment of its compliance obligations? o Audit results? □ Adequacy of resources? □ Relevant communications from interested parties, including complaints? □ Opportunities for continual improvement? Have the outputs of the management review process included: □ Conclusions on the continuing suitability, adequacy and effectiveness of the environmental management system? □ Decisions related to continual improvement opportunities? □ Decisions related to any need for changes to the environmental management system, including resources? □ Actions, if needed, when environmental objectives have not been achieved? □ Opportunities to improve integration of the environmental management system with other business processes, if needed? □ Any implications for the strategic direction of the organization? Has the organization retained documented information as evidence of the results of management reviews?		

QHSE MANAGEMENT SYSTEM	SAIFCO Electromechanical Works (LLC)	
Document Name: **Internal Audit Checklist ISO 14001**	QHSE Ref. No.	IMS/QHSE/IA/03/04 Rev.00
	Date:	

10	Improvement		
10.1	General Has the organization determined opportunities for improvement and implemented necessary actions to achieve the intended outcome of its environmental management system?		
10.2	Nonconformity and corrective action When a nonconformity has occurred has the organization: □ Reacted to the nonconformity and, as applicable: o Taken action to control and correct it? o Dealt with the consequences, including mitigating adverse environmental impacts? □ Evaluated the need for action to eliminate the causes of the nonconformity, in order that it does not recur or occur elsewhere, by: o Reviewing the nonconformity? o Determining the causes of the nonconformity? o Determining if similar nonconformities exist, or could potentially occur? □ Implemented any action needed? □ Reviewed the effectiveness of any corrective action taken? □ Made changes to the environmental management system, if necessary? Have corrective actions been appropriate to the significance of the effects of the nonconformities encountered, including the environmental impacts? Has documented information been retained as evidence of: □ The nature of the nonconformities and any subsequent actions taken? □ The results of any corrective actions?		
10.3	Continual improvement Has the organization continually improved the suitability, adequacy and effectiveness of the environmental management system to enhance environmental performance?		

QHSE MANAGEMENT SYSTEM	SAIFCO Electromechanical Works (LLC)	
Document Name: **Internal Quality Management System Audit Checklist (ISO9001:2015)**	QHSE Ref. No.	IMS/QHSE/IA/03/04 Rev.00
	Date:	

Internal Quality Management System Audit Checklist (ISO9001:2015)

Q#	ISO 9001:2015 Clause	Audit Question	Audit Evidence
	4 Context of the Organization		
	4.1 Understanding the organization and its context		
4.1q1	The organization shall determine external and internal issues that are relevant to its purpose and its strategic direction and that affect its ability to achieve the intended result(s) of its quality managementsystem.	How has the organization determined external and internal issues relevant to its purpose and strategic direction? How do these affect the ability to achieve the intended result of the QMS?	
4.1q2	The organization shall monitor and review the information about these external and internal issues.	How do you monitor and review information about these internal and external issues?	
	NOTE 1 Understanding the external context can be facilitated by considering issues arising from legal, technological, competitive, market, cultural, social, and economic environments, whether international, national, regional or local. NOTE 2 Understanding the internal context can be facilitated by considering issues related to values, culture knowledge and performance of the organization.		
	4.2 Understanding the needs and expectations of interested parties		
4.2q1	Due to their impact or potential impact on the organization's ability to consistently provide products and services that meet customer and applicable statutory and regulatory requirements, the organization shall determine: a) the interested parties that are relevant to the quality management system; b) the requirements of these interested parties that are relevant to the quality management system.	How have you determined what interested parties are relevant to the QMS? How have you determined what requirements those parties have that are relevant to the QMS? How has impact or potential impact been determined?	
4.2q2	The organization shall monitor and review the information about these interested parties and their relevant requirements.	How do you monitor and review the information about interested parties and their relevant requirements?	
	4.3 Determining the scope of the quality management system		
4.3q1	The organization shall determine the boundaries and applicability of the quality management system to establish its scope.	How have the boundaries and applicability of the QMS been used to establish the scope of the organization?	

Q#	ISO 9001:2015 Clause	Audit Question	Audit Evidence
4.3q2	When determining this scope, the organization shall consider: a) the external and internal issues referred to in 4.1; b) the requirements of relevant interested parties referred to in 4.2; c) the products and services of the organization.	How have: The external and internal issues; The requirements of relevant interested parties and; The products and services of the organization been considered when determining the scope of the organization?	
4.3q3	Where a requirement of this International Standard within the determined scope can be applied, then it shall be applied by the organization.	How has the application of the International Standard within the scope been determined, and how has it been applied by the organization?	
4.3q4	If any requirement(s) of this International Standard cannot be applied, this shall not affect the organization's ability or responsibility to ensure conformity of products and services.	How have any requirements of the International Standard been determined as not applicable? Show me how conformity of products and services are not affected by this.	
4.3q5	The scope shall be available and be maintained as documented information stating the: - products and services covered by the quality management system; - justification for any instance where a requirement of this International Standard cannot be applied.	Where is the scope available? Where is it maintained as **documented information?** Does it state what products and services are covered by the QMS? Does it justify how instances of requirements of the QMS cannot be applied?	**Scope required as documented information.**
	4.4 Quality management system and its processes		
4.4q1	The organization shall establish, implement, maintain and continually improve a quality management system, including the processes needed and their interactions, in accordance with the requirements of this International Standard.	How has the QMS been established? Show me how this is implemented. How is it maintained and continually improved? How have the processes been determined and how do they interact?	

Q#	ISO 9001:2015 Clause	Audit Question	Audit Evidence
4.4q2	The organization shall determine the processes needed for the quality management system and their application throughout the organization and shall determine: a) the inputs required and the outputs expected from these processes; b) the sequence and interaction of these processes; c) the criteria, methods, including measurements and related performance indicators needed to ensure the effective operation, and control of these processes; d) the resources needed and ensure their availability; e) the assignment of the responsibilities and authorities for these processes; f) the risks and opportunities in accordance with the requirements of 6.1, and plan and implement the appropriate actions to address them; g) the methods for monitoring, measuring, as appropriate, and evaluation of processes and, if needed, the changes to processes to ensure that they achieve intended results; h) opportunities for improvement of the processes and the quality management system.	How have the processes been determined for the QMS? What are the inputs and outputs for those processes? What is the sequence and interaction of the processes? What are the criteria, methods, measurement and related performance indicators needed to operate and control those processes? What resources are needed and how are these made available? How are responsibilities and authorities assigned for those processes? How are risks and opportunities considered and what plans are made to implement actions to address them? What methods are used to monitor, measure and evaluate processes and, if needed, what changes are made to achieve intended results? How are opportunities to improve the processes and the QMS determined?	
4.4q3	The organization shall maintain documented information to the extent necessary to support the operation of processes and retain documented information to the extent necessary to have confidence that the processes are being carried out as planned.	What **documented information** exists to support the operation of processes? How is this documented information retained? How is confidence that the processes are being carried out as planned determined?	**Documented information to support the operation of processes.**
	5 Leadership		
	5.1 Leadership and commitment		
	5.1.1 Leadership and commitment for the quality management system		

Q#	ISO 9001:2015 Clause	Audit Question	Audit Evidence
5.1.1q1	Top management shall demonstrate leadership and commitment with respect to the quality management system by: a) taking accountability of the effectiveness of the quality management system; b) ensuring that the quality policy and quality objectives are established for the quality management system and are compatible with the strategic direction and the context of the organization; c) ensuring that the quality policy is communicated, understood and applied within the organization; d) ensuring the integration of the quality management system requirements into the organization's business processes; e) promoting awareness of the process approach; f) ensuring that the resources needed for the quality management system are available; g) communicating the importance of effective quality management and of conforming to the quality management system requirements; h) ensuring that the quality management system achieves its intended results; i) engaging, directing and supporting persons to contribute to the effectiveness of the quality management system; j) promoting continual improvement; k) supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility.	Show me how top management demonstrates leadership and commitment w.r.t. the QMS by taking accountability of the effectiveness of the QMS. How is the quality policy and objectives established for the QMS and how are they compatible with the strategic direction and the organizational context? How is the quality policy communicated within the organization? Show me how this is understood and applied. How are the requirements of the QMS integrated into the business processes? How do you promote awareness of the process approach? How do you ensure that resources needed for the QMS area available? How do you communicate the importance of effective quality management? How do you communicate the importance of conforming to the QMS requirements? How do you ensure that the QMS achieves its intended results? How do you engage, direct and support people to contribute to the effectiveness of the QMS? How do you promote continual improvement? How do you support other relevant management roles to demonstrate leadership in their areas of responsibility?	
	NOTE Reference to "business" in this International Standard can be interpreted broadly to mean those activities that are core to the purposes of the organization's existence; whether the organization is public, private, for profit or not for profit.		

Q#	ISO 9001:2015 Clause	Audit Question	Audit Evidence
	5.1.2 Customer focus		
5.1.2q1	Top management shall demonstrate leadership and commitment with respect to customer focus by ensuring that: a) customer requirements and applicable statutory and regulatory requirements are determined and met; b) the risks and opportunities that can affect conformity of products and services and the ability to enhance customer satisfaction are determined and addressed; c) the focus on consistently providing products and services that meet customer and applicable statutory and regulatory requirements is maintained; d) the focus on enhancing customer satisfaction is maintained.	Show me how top management demonstrates leadership and commitment w.r.t. customer focus ensuring requirements and applicable statutory and regulatory requirements are determined and met. How are risks and opportunities that can affect conformity of products and services determined? How is the ability to enhance customer satisfaction determined and addressed? How is the focus on consistently providing products and services that meet customer and applicable statutory and regulatory requirements maintained? How is customer satisfaction maintained?	
	5.2 Quality policy		
	5.2.1		
5.2.1q1	Top management shall establish, review and maintain a quality policy that: a) is appropriate to the purpose and context of the organization; b) provides a framework for setting and reviewing quality objectives; c) includes a commitment to satisfy applicable requirements; d) includes a commitment to continual improvement of the quality management system.	How does top management establish, review and maintain a quality policy? How is it determined to be appropriate to the purpose and context of the organization? Does it provide a framework for setting and reviewing quality objectives? Does it contain a commitment to satisfy applicable requirements? Does it include a commitment to continual improvement of the QMS?	
	5.2.2		
5.2.2q1	The quality policy shall: a) be available as documented information; b) be communicated, understood and applied within the organization; c) be available to relevant interested parties, as appropriate.	Where is the quality policy available as **documented information?** How is it communicated? Show me how it is understood and applied within the organization. How have you made it available to relevant interested parties?	**Quality Policy as document information**
	5.3 Organizational roles, responsibility and authorities		
5.3q1	Top management shall ensure that the responsibilities and authorities for relevant roles are assigned, communicated and understood within the organization.	How does top management ensure that responsibilities and authorities for relevant roles are assigned, communicated and understood within the organization?	

Q#	ISO 9001:2015 Clause	Audit Question	Audit Evidence
5.3q2	Top management shall assign the responsibility and authority for: a) ensuring that the quality management system conforms to the requirements of this International Standard; b) ensuring that the processes are delivering their intended outputs; c) reporting on the performance of the quality management system, on opportunities for improvement and on the need for change or innovation, and especially for reporting to top management; d) ensuring the promotion of customer focus throughout the organization; e) ensuring that the integrity of the quality management system is maintained when changes to the quality management system are planned and implemented.	How does top management assign the responsibility and authority for: Ensuring that the QMS conforms to the International standard? Ensuring processes are delivering their intended outputs? How is the performance of the QMS, opportunities for improvement and the need for change or innovation reported to top management? How is customer focus promoted within the organization? How is the integrity of the QMS maintained when changes to the QMS are planned and implemented?	
	6 Planning for the quality management system		
	6.1 Actions to address risks and opportunities		
	6.1.1		
6.1.1q1	When planning for the quality management system, the organization shall consider the issues referred to in 4.1 and the requirements referred to in 4.2 and determine the risks and opportunities that need to be addressed to: a) give assurance that the quality management system can achieve its intended result(s); b) prevent, or reduce, undesired effects; c) achieve continual improvement.	How are the internal and external issues and interested parties considered when planning for the QMS? How are risks and opportunities determined and addressed so that the QMS can:: a) achieve its intended results; b) Prevent or reduce undesired effects; c) Achieve continual improvement?	
	6.1.2		
6.1.2q1	The organization shall plan: a) actions to address these risks and opportunities; b) how to: 1) integrate and implement the actions into its quality management system processes (see 4.4); 2) evaluate the effectiveness of these actions.	How are actions planned to address risks and opportunities? How are actions integrated and implemented into the QMS processes? How do you evaluate the effectiveness of the actions?	
6.1.2q2	Actions taken to address risks and opportunities shall be proportionate to the potential impact on the conformity of products and services.	How are actions taken to address risks and opportunities determined as being appropriate to the potential impact on the conformity of products and services?	
	6.2.2.1 Product design skills		
6.2.2.1q1	The organization shall ensure that personnel with product design responsibility are competent to achieve design requirements and are skilled in applicable tools and techniques. Applicable tools and techniques shall be identified by the organization.	How do you determine that personnel with product design responsibility are competent to achieve design requirements? How do you determine skills required in applicable tools and techniques? How do you identify applicable tools and techniques?	

Q#	ISO 9001:2015 Clause	Audit Question	Audit Evidence
	NOTE Options to address risks and opportunities can include: avoiding risk, taking risk in order to pursue an opportunity, eliminating the risk source, changing the likelihood or consequences, sharing the risk, or retaining risk by informed decision.		
	6.2Quality objectives and planning to achieve them		
	6.2.1		
6.2.1q1	The organization shall establish quality objectives at relevant functions, levels and processes. The quality objectives shall: a) be consistent with the quality policy, b) be measurable; c) take into account applicable requirements; d) be relevant to conformity of products and services and the enhancement of customer satisfaction; e) be monitored; f) be communicated; g) be updated as appropriate. The organization shall retain documented information on the quality objectives.	Where are the quality objectives and are these at all relevant functions, levels and processes? Are they consistent with the quality policy? Are they measureable? Do they consider applicable requirements? Are they relevant to the conformity of products and services and do they enhance customer satisfaction? Are they monitored? How? How often? How are they communicated? How are they updated? Where is the **documented information** on the quality objectives?	**Documented information on quality objectives**
	6.2.2		
6.2.2q1	When planning how to achieve its quality objectives, the organization shall determine: a) what will be done; b) what resources will be required; c) who will be responsible; d) when it will be completed; e) how the results will be evaluated.	How does the organization determine what will be done, with what resources, when completed and how will results be evaluated for quality objectives?	
	6.3 Planning of changes		
6.3q1	Where the organization determines the need for change to the quality management system (see 4.4) the change shall be carried out in a planned and systematic manner. The organization shall consider: a) the purpose of the change and any of its potential consequences; b) the integrity of the quality management system; c) the availability of resources; d) the allocation or reallocation of responsibilities and authorities.	How are changes to the QMS planned systematically? Demonstrate the purpose and potential consequences of changes; Demonstrate the integrity of the QMS; Demonstrate how resources are made available? Demonstrate how responsibility and authority is allocated or reallocated.	

Q#	ISO 9001:2015 Clause	Audit Question	Audit Evidence
	7 Support		
	7.1 Resources		
	7.1.1 General		
7.1.1q1	The organization shall determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the quality management system. The organization shall consider: a) the capabilities of, and constraints on, existing internal resources; b) what needs to be obtained from external providers.	Demonstrate how resources are determined for the establishment, implementation, maintenance and continual improvement of the QMS. Show me how the capabilities and constraints on internal resources are considered. Show me how needs from external providers are considered.	
	7.1.2 People		
7.1.2q1	To ensure that the organization can consistently meet customer and applicable statutory and regulatory requirements, the organization shall provide the persons necessary for the effective operation of the quality management system, including the processes needed.	How do you provide persons necessary to consistently meet customer, applicable statutory and regulatory requirements for the QMS including the necessary processes?	
	7.1.3 Infrastructure		
7.1.3q1	The organization shall determine, provide and maintain the infrastructure for the operation of its processes to achieve conformity of products and services.	How do you determine, provide and maintain the infrastructure for the operation of processes to achieve products and service conformity?	
	NOTE 1 Any product realization change affecting customer requirements requires notification to, and agreement from, the customer.		
	7.1.4 Environment for the operation of processes		
7.1.4q1	The organization shall determine, provide and maintain the environment necessary for the operation of its processes and to achieve conformity of products and services.	How do you determine, provide and maintain the environment for the operation of processes to achieve products and service conformity?	
	NOTE Environment for the operation of processes can include physical, social, psychological, environmental and other factors (such as temperature, humidity, ergonomics and cleanliness).		
	7.1.5 Monitoring and measuring resources		
7.1.5q1	Where monitoring or measuring is used for evidence of conformity of products and services to specified requirements the organization shall determine the resources needed to ensure valid and reliable monitoring and measuring results.	How are the resources determined for ensuring valid and reliable monitoring and measuring results, where used?	
7.1.5q2	The organization shall ensure that the resources provided: a) are suitable for the specific type of monitoring and measurement activities being undertaken; b) are maintained to ensure their continued fitness for their purpose.	How do you ensure that resources provided are suitable for the specific monitoring and measurement activities and are maintained to ensure continued fitness for purpose?	
7.1.5q3	The organization shall retain appropriate documented information as evidence of fitness for purpose of monitoring and measurement resources.	Show me the **documented information** which is evidence of fitness for purpose of monitoring and measurement resources.	**Documented information of fitness for purpose of monitoring & measurement resources.**

Q#	ISO 9001:2015 Clause	Audit Question	Audit Evidence
7.1.5q4	Where measurement traceability is: a statutory or regulatory requirement; a customer or relevant interested party expectation; or considered by the organization to be an essential part of providing confidence in the validity of measurement results; measuring instruments shall be: -verified or calibrated at specified intervals or prior to use against measurement standards traceable to international or national measurement standards. Where no such standards exist, the basis used for calibration or verification shall be retained as documented information; -identified in order to determine their calibration status; -safeguarded from adjustments, damage or deterioration that would invalidate the calibration status and subsequent measurement results.	Where applicable, show me how measurement instruments are: Verified or calibrated at specified intervals against national or international measurement standards; If there are no standards, show me the **documented information** which is used as the basis used for calibration or verification. Show me how measurement instruments are identified to determine their calibration status. Show me how they are safeguarded from adjustments. Show me how they are safeguarded from damage and deterioration.	**Documented information for the basis of calibration or verification where no standards exist.**
7.1.5q5	The organization shall determine if the validity of previous measurement results has been adversely affected when an instrument is found to be defective during its planned verification or calibration, or during its use, and take appropriate corrective action as necessary.	How do you determine the validity of previous measurements if you find an instrument to be defective during verification or calibration? What appropriate actions can you take?	
	7.1.6 Organizational knowledge		
7.1.6q1	The organization shall determine the knowledge necessary for the operation of its processes and to achieve conformity of products and services.	How do you determine necessary knowledge for the operation of processes? How do you determine necessary knowledge to achieve conformity of products and services?	
7.1.6q2	This knowledge shall be maintained, and made available to the extent necessary.	How do you maintain this knowledge and how do you make it available to the extent necessary?	
7.1.6q3	When addressing changing needs and trends, the organization shall consider its current knowledge and determine how to acquire or access the necessary additional knowledge.	How do you consider current knowledge and how do you acquire additional knowledge when addressing changing needs and trends?	
	NOTE 1 Organizational knowledge can include information such as intellectual property and lessons learned. NOTE 2 To obtain the knowledge required, the organization can consider: a) internal sources (e.g. learning from failures and successful projects, capturing undocumented knowledge and experience of topical experts within the organization); b) external sources (e.g. standards, academia, conferences, gathering knowledge with customers or providers).		

Q#	ISO 9001:2015 Clause	Audit Question	Audit Evidence
	7.2 Competence		
7..2q1	The organization shall: a) determine the necessary competence of person(s) doing work under its control that affects its quality performance; b) ensure that these persons are competent on the basis of appropriate education, training, or experience; c) where applicable, take actions to acquire the necessary competence, and evaluate the effectiveness of the actions taken; d) retain appropriate documented information as evidence of competence.	Show me how: You determine the necessary competence of people doing work under your control that affects quality performance; How do you determine competence on the basis of appropriate education, training or experience? How do you take actions to acquire necessary competence where applicable and how do you evaluate the effectiveness of those actions? Show me **documented information** where appropriate of competence.	**Documented information as evidence of competence where appropriate.**
	NOTE Applicable actions can include, for example, the provision of training to, the mentoring of, or the re-assignment of currently employed persons; or the hiring or contracting of competent persons.		
	7.3 Awareness		
7.3q1	Persons doing work under the organization's control shall be aware of: a) the quality policy; b) relevant quality objectives; c) their contribution to the effectiveness of the quality management system, including the benefits of improved quality performance; d) the implications of not conforming with the quality management system requirements.	How are people aware of: The quality policy? Relevant quality objectives? Their contribution to the effectiveness of the QMS? The benefits of improved performance? The implications of not conforming with the QMS requirements?	
	7.4 Communication		
7.4q1	The organization shall determine the internal and external communications relevant to the quality management system including: a) on what it will communicate; b) when to communicate; c) with whom to communicate; d) how to communicate.	How do you determine internal and external communications relevant to the QMS? How do you determine: What? When? With Whom? How?	
	7.5 Documented information		
	7.5.1 General		
7.5.1q1	The organization's quality management system shall include: a) documented information required by this International Standard; b) documented information determined by the organization as being necessary for the effectiveness of the quality management system.	What **documented information** do you have as required by this standard? What **documented information** do you have as being necessary for the effectiveness of your QMS?	**Documented information required by this standard.** **Documented information necessary for the effectiveness of the QMS.**
	NOTE The extent of documented information for a quality management system can differ from one organization to another due to: a) the size of organization and its type of activities, processes, products and services; b) the complexity of processes and their interactions; c) the competence of persons.		

Q#	ISO 9001:2015 Clause	Audit Question	Audit Evidence
	7.5.2 Creating and updating		
7.5.2q1	When creating and updating documented information the organization shall ensure appropriate: a) identification and description (e.g. a title, date, author, or reference number); b) format (e.g. language, software version, graphics) and media (e.g. paper, electronic); c) review and approval for suitability and adequacy.	Show me that your **documented information** contains: Identification; Description; In what media format? Show me how the documented information is reviewed and approved for suitability and adequacy.	**Documented information (in various media) needs identification, description.** Review / approval process?
	7.5.3 Control of documented information		
	7.5.3.1		
7.5.3.1q 1	Documented information required by the quality management system and by this International Standard shall be controlled to ensure: a) it is available and suitable for use, where and when it is needed; b) it is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity).	Show me how you control **documented information.** Show me how you make it available and suitable for use. How do you protect your documented information?	**Control of documented information.** Suitability and availability for use. How is it protected?
	7.5.3.2		
7.5.3.2q 1	For the control of documented information, the organization shall address the following activities, as applicable: a) distribution, access, retrieval and use; b) storage and preservation, including preservation of legibility; c) control of changes (e.g. version control); d) retention and disposition.	When controlling documented information, how do you address: Distribution; Access; Retrieval; Use; Storage and preservation; Legibility; Control of changes; Retention and disposition.	**Control of documented information.** Change control, distribution, access, retrieval, use, storage, preservation, legibility, retention and disposition.
7.5.3.2q 2	Documented information of external origin determined by the organization to be necessary for the planning and operation of the quality management system shall be identified as appropriate, and controlled.	How do you identify as appropriate and control **documented information** of external origin which you have determined as necessary for the QMS	**Control of external documented information.**
	NOTE Access can imply a decision regarding the permission to view the documented information only, or the permission and authority to view and change the documented information.		

Q#	ISO 9001:2015 Clause	Audit Question	Audit Evidence
	8 Operation		
	8.1 Operational planning and control		
8.1q1	The organization shall plan, implement and control the processes, as outlined in 4.4, needed to meet requirements for the provision of products and services and to implement the actions determined in 6.1, by: a) determining requirements for the product and services; b) establishing criteria for the processes and for the acceptance of products and services; c) determining the resources needed to achieve conformity to product and service requirements; d) implementing control of the processes in accordance with the criteria; e) retaining documented information to the extent necessary to have confidence that the processes have been carried out as planned and to demonstrate conformity of products and services to requirements.	How are processes needed to meet requirements for provision of products and services planned, implemented and controlled? How are requirements for products and services determined? How is criteria for processes and acceptance for products and services determined? How are resources determined? How is process control implemented? Show me the **documented information** that shows confidence in that the processes have been carried out as planned and can demonstrate conformity of products and services.	**Documented information to show processes have been carried out as planned and can demonstrate conformity of products and services.**
8.1q2	The output of this planning shall be suitable for the organization's operations.	How have you determined that the output from the planning process is suitable for your operations?	
8.1q3	The organization shall control planned changes and review the consequences of unintended changes, taking action to mitigate any adverse effects, as necessary.	How do you control planned changes? How do you review the consequences of unintended changes? What action is taken to mitigate any adverse effects?	
8.1q4	The organization shall ensure that outsourced processes are controlled in accordance with 8.4.	How do you control outsourced processes?	
	8.2 Determination of requirements for products and services		
	8.2.1 Customer communication		
8.2.1q1	The organization shall establish the processes for communicating with customers in relation to: a) information relating to products and services; b) enquiries, contracts or order handling, including changes; c) obtaining customer views and perceptions, including customer complaints; d) the handling or treatment of customer property, if applicable; e) specific requirements for contingency actions, when relevant.	What are your processes for communicating with customers? How do you communicate information relating to: Products; Services; Enquiries; Contracts; Order handling; Customer views, perceptions and complaints; Handling or treatment of customer property; Specific requirements for contingency actions?	

Q#	ISO 9001:2015 Clause	Audit Question	Audit Evidence
	8.2.2 Determination of requirements related to products and services		
8.2.2q1	The organization shall establish, implement and maintain a process to determine the requirements for the products and services to be offered to potential customers.	What is your process to determine the requirements for products and services to be offered to potential customers? How do you establish, implement and maintain this process?	
8.2.2q2	The organization shall ensure that: a) product and service requirements (including those considered necessary by the organization), and applicable statutory and regulatory requirements, are defined; b) it has the ability to meet the defined requirements and substantiate the claims for the products and services it offers.	How do you define product and service requirements including statutory and regulatory requirements? How do you ensure that you have the ability to meet the defined requirements and substantiate any claims for your products and services?	
	8.2.3Review of requirements related to products and services		
8.2.3q1	The organization shall review, as applicable: a) requirements specified by the customer, including the requirements for delivery and post-delivery activities; b) requirements not stated by the customer, but necessary for the customers' specified or intended use, when known; c) additional statutory and regulatory requirements applicable to the products and services; d) contract or order requirements differing from those previously expressed.	How do you review: Customer requirements for delivery and post-delivery? Requirements necessary for customers' specified or intended use, where known; Additional statutory and regulatory requirements applicable to products and services; Any other contract or order requirements.	
	NOTE Requirements can also include those arising from relevant interested parties.		
8.2.3q2	This review shall be conducted prior to the organization's commitment to supply products and services to the customer and shall ensure contract or order requirements differing from those previously defined are resolved.	Show me that the review is conducted prior to your commitment to supply products and services to your customers. How do you resolve contract or order requirements which differ from those previously defined?	
8.2.3q3	Where the customer does not provide a documented statement of their requirements, the customer requirements shall be confirmed by the organization before acceptance.	How do you confirm customer requirements where the customer does not provide a documented statement?	
8.2.3q4	Documented information describing the results of the review, including any new or changed requirements for the products and services, shall be retained.	Show me where you retain **documented information** which describes results of the review including any new or changed requirements.	**Documented information of reviews describing new or changed requirements to products and services.**
8.2.3q5	Where requirements for products and services are changed, the organization shall ensure that relevant documented information is amended and that relevant personnel are made aware of the changed requirements.	Show me the **documented information** containing changes to products and services. How do you ensure that relevant personnel are made aware of those changes?	**Documented information of amended reviews and how relevant personnel are made aware of those changes.**

Q#	ISO 9001:2015 Clause	Audit Question	Audit Evidence
	8.3 Design and development of products and services		
	8.3.1 General		
8.3.1q1	Where the detailed requirements of the organization's products and services are not already established or not defined by the customer or by other interested parties, such that they are adequate for subsequent production or service provision, the organization shall establish, implement and maintain a design and development process.	How do you establish, implement and maintain a design and development process (where detailed requirements of your products and services are not already established or defined by the customer or other parties).	
	NOTE 1 The organization can also apply the requirements given in 8.5 to the development of processes for production and services provision. NOTE 2 For services, design and development planning can address the whole service delivery process. The organization can therefore choose to consider the requirements of clauses 8.3 and 8.5 together.		
	8.3.2 Design and development planning		
8.3.2q1	In determining the stages and controls for design and development, the organization shall consider: a) the nature, duration and complexity of the design and development activities; b) requirements that specify particular process stages, including applicable design and development reviews; c) the required design and development verification and validation; d) the responsibilities and authorities involved in the design and development process; e) the need to control interfaces between individuals and parties involved in the design and development process; f) the need for involvement of customer and user groups in the design and development process; g) the necessary documented information to confirm that design and development requirements have been met.	When determining the stages and control for design and development, show me how you consider: The nature, duration and complexity of the activities; Requirements that specify particular process stages including applicable reviews; Required verification and validation; Responsibilities and authorities; How interfaces are controlled between individuals and parties; The need for involvement of customer and user groups. Show me **documented information** that confirms design and development requirements have been met.	**Documented information that confirms design & development requirements have been met.**

Q#	ISO 9001:2015 Clause	Audit Question	Audit Evidence
	8.3.3 Design and development inputs		
8.3.3q1	The organization shall determine: a) requirements essential for the specific type of products and services being designed and developed, including, as applicable, functional and performance requirements; b) applicable statutory and regulatory requirements; c) standards or codes of practice that the organization has committed to implement; d) internal and external resource needs for the design and development of products and services; e) the potential consequences of failure due to the nature of the products and services; f) the level of control expected of the design and development process by customers and other relevant interested parties.	Can you show me how you determine: Requirements essential for the type of products and services being designed and developed, including as applicable: Functional & performance requirements; Statutory and regulatory requirements; Standards or codes of practice where there is a commitment to implement; Internal and external resources needed for the design and development of products and services; Potential consequences of failure; Level of control expected of the design and development process by customers and other relevant parties.	
8.3.3q2	Inputs shall be adequate for design and development purposes, complete, and unambiguous. Conflicts among inputs shall be resolved.	How do you determine that inputs are adequate, complete and unambiguous for design and development? How do you resolve conflicts among inputs?	
	8.3.4 Design and development controls		
8.3.4q1	The controls applied to the design and development process shall ensure that: a) the results to be achieved by the design and development activities are clearly defined; b) design and development reviews are conducted as planned; c) verification is conducted to ensure that the design and development outputs have met the design and development input requirements; d) validation is conducted to ensure that the resulting products and services are capable of meeting the requirements for the specified application or intended use (when known).	How do controls that are applied to the design and development process ensure: Results achieved by design and development activities are clearly defined? Design and development reviews are conducted as planned? Outputs meet the input requirements by verification/ Validation is conducted to ensure that the resulting products and services are capable of meeting the requirements for the specified application or intended use (when known)?	
	8.3.5 Design and development outputs		
8.3.5q1	The organization shall ensure that design and development outputs: a) meet the input requirements for design and development; b) are adequate for the subsequent processes for the provision of products and services; c) include or reference monitoring and measuring requirements, and acceptance criteria, as applicable; d) ensure products to be produced, or services to be provided, are fit for intended purpose and their safe and proper use.	How do you ensure that design and development outputs: Meet the input requirements for design and development? Are adequate for the subsequent processes for the provision of products and services? Include or reference monitoring and measuring requirements, and acceptance criteria, as applicable? Ensure products to be produced, or services to be provided, are fit for intended purpose and their safe and proper use?	

Q#	ISO 9001:2015 Clause	Audit Question	Audit Evidence
8.3.5q2	The organization shall retain the documented information resulting from the design and development process.	Show me the **documented information** which results from the design and development process.	**Documented information from the design and development process.**
	8.3.6 Design and development changes		
8.3.6q1	The organization shall review, control and identify changes made to design inputs and design outputs during the design and development of products and services or subsequently, to the extent that there is no adverse impact on conformity to requirements.	How do you review, control and identify changes made to the design inputs and outputs during design and development of products and services ensuring no impact on conformity to requirements?	
8.3.6q2	Documented information on design and development changes shall be retained.	Show me the **documented information** for design and development changes.	**Documented information for design and development changes.**
	8.4 Control of externally provided products and services		
	8.4.1 General		
8.4.1q1	The organization shall ensure that externally provided processes, products, and services conform to specified requirements.	How do you ensure externally provided processes, products and services conform to specified requirements?	
8.4.1q2	The organization shall apply the specified requirements for the control of externally provided products and services when: a) products and services are provided by external providers for incorporation into the organization's own products and services; b) products and services are provided directly to the customer(s) by external providers on behalf of the organization; c) a process or part of a process is provided by an external provider as a result of a decision by the organization to outsource a process or function.	Show me how you apply specified requirements for the control of externally provided products and services when: Products and services are provided by external providers for incorporation into your own products and services; You provide products and services directly to customers by external providers on your behalf; A process or part-process is provided by an external provider as a result of a decision to outsource a process or function.	
8.4.1q3	The organization shall establish and apply criteria for the evaluation, selection, monitoring of performance and re-evaluation of external providers based on their ability to provide processes or products and services in accordance with specified requirements.	Show me how you establish and apply criteria for evaluation, selection, monitoring of performance and re-evaluation of external providers. How do you assess their ability to provide processes or products and services in accordance with specified requirements?	
8.4.1q4	The organization shall retain appropriate documented information of the results of the evaluations, monitoring of the performance and re-evaluations of the external providers.	What **documented information** do you have of the results of evaluations, monitoring of performance and re-evaluations of external providers?	**Documented information of external providers' performance.**

Q#	ISO 9001:2015 Clause	Audit Question	Audit Evidence
	8.4.2 Type and extent of control of external provision		
8.4.2q1	In determining the type and extent of controls to be applied to the external provision of processes, products and services, the organization shall take into consideration: a) the potential impact of the externally provided processes, products and services on the organization's ability to consistently meet customer and applicable statutory and regulatory requirements; b) the perceived effectiveness of the controls applied by the external provider.	How do you determine the controls applied to the external provision of processes, products and services and take into consideration: a) The potential impact of the externally provided processes, products and services on the ability to consistently meet customer and applicable statutory and regulatory requirements? b) The perceived effectiveness of the controls applied by the external provider?	
8.4.2q2	The organization shall establish and implement verification or other activities necessary to ensure the externally provided processes, products and services do not adversely affect the organization's ability to consistently deliver conforming products and services to its customers.	What verification or other activities do you have to ensure externally provided processes, products and services do not adversely affect your ability to consistently deliver conforming products and services to your customers?	
8.4.2q3	Processes or functions of the organization which have been outsourced to an external provider remain within the scope of the organization's quality management system; accordingly, the organization shall consider a) and b) above and define both the controls it intends to apply to the external provider and those it intends to apply to the resulting process output.	When processes or functions have been outsourced to external providers, how do you consider a) and b) in 8.4.1 and how do you define the controls intended to be applied to the external provider and to the resulting process output?	
	8.4.3Information for external providers		
8.4.3q1	The organization shall communicate to external providers applicable requirements for the following: a) the products and services to be provided or the processes to be performed on behalf of the organization; b) approval or release of products and services, methods, processes or equipment; c) competence of personnel, including necessary qualification; d) their interactions with the organization's quality management system; e) the control and monitoring of the external provider's performance to be applied by the organization; f) verification activities that the organization, or its customer, intends to perform at the external provider's premises.	Show me how you communicate to external providers, applicable requirements for: Products and services to be provided or the processes to be performed on behalf of the organization; Approval or release of products and services, methods, processes or equipment; Competence of personnel, including necessary qualification; Their interactions with the organization's quality management system; The control and monitoring of the external provider's performance to be applied by the organization; Verification activities that the organization, or its customer, intends to perform at the external provider's premises.	
8.4.3q2	The organization shall ensure the adequacy of specified requirements prior to their communication to the external provider.	Before you communicate with external providers, how do you ensure the adequacy of specified requirements?	

Q#	ISO 9001:2015 Clause	Audit Question	Audit Evidence
	8.5 Production and service provision		
	8.5.1 Control of production and service provision		
8.5.1q1	The organization shall implement controlled conditions for production and service provision, including delivery and post-delivery activities.	What controlled conditions do you have for production and service provision, including delivery and post-delivery activities?	
8.5.1q2	Controlled conditions shall include, as applicable: a) the availability of documented information that defines the characteristics of the products and services; b) the availability of documented information that defines the activities to be performed and the results to be achieved; c) monitoring and measurement activities at appropriate stages to verify that criteria for control of processes and process outputs, and acceptance criteria for products and services, have been met. d) the use, and control of suitable infrastructure and process environment; e) the availability and use of suitable monitoring and measuring resources; f) the competence and, where applicable, required qualification of persons; g) the validation, and periodic revalidation, of the ability to achieve planned results of any process for production and service provision where the resulting output cannot be verified by subsequent monitoring or measurement; h) the implementation of products and services release, delivery and post-delivery activities.	Can you show me controlled conditions for: a) the availability of documented information defining the characteristics of the products and services; b) the availability of **documented information**defining the activities to be performed and the results to be achieved; c) monitoring and measurement activities at appropriate stages to verify that criteria for control of processes and process outputs, and acceptance criteria for products and services, have been met. d) the use, and control of suitable infrastructure and process environment; e) the availability and use of suitable monitoring and measuring resources; f) the competence and, where applicable, required qualification of persons; g) the validation, and periodic revalidation, of the ability to achieve planned results of any process for production and service provision where the resulting output cannot be verified by subsequent monitoring or measurement; h) the implementation of products and services release, delivery and post-delivery activities.	**Documented information defining characteristics of the products and services**
	8.5.2 Identification and traceability		
8.5.2q1	Where necessary to ensure conformity of products and services, the organization shall use suitable means to identify process outputs.	What means do you use to identify process outputs to ensure conformity of products and services?	
8.5.2q2	The organization shall identify the status of process outputs with respect to monitoring and measurement requirements throughout production and service provision.	How do you identify the status of process outputs?	
8.5.2q3	Where traceability is a requirement, the organization shall control the unique identification of the process outputs, and retain any documented information necessary to maintain traceability.	How do you control the unique identification of process outputs, where applicable? What **documented information** do you retain?	**Documented information of traceability, where required.**
	NOTE Process outputs are the results of any activities which are ready for delivery to the organization's customer or to an internal customer (e.g. receiver of the inputs to the next process); they can include products, services, intermediate parts, components, etc.		

Q#	ISO 9001:2015 Clause	Audit Question	Audit Evidence
	8.5.3 Property belonging to customers or external providers		
8.5.3q1	The organization shall exercise care with property belonging to the customer or external providers while it is under the organization's control or being used by the organization. The organization shall identify, verify, protect and safeguard the customer's or external provider's property provided for use or incorporation into the products and services.	What care do you provide for customer or external provider's property while under your control? How do you identify, verify, protect and safeguard that property which is provided for use or incorporation into your products or services?	
8.5.3q2	When property of the customer or external provider is incorrectly used, lost, damaged or otherwise found to be unsuitable for use, the organization shall report this to the customer or external provider.	What means do you use to report to the customer or external provider if their property is incorrectly used, lost, damaged or found to be unsuitable for use?	
	NOTE Customer property can include material, components, tools and equipment, customer premises, intellectual property and personal data.		
	8.5.4 Preservation		
8.5.4q1	The organization shall ensure preservation of process outputs during production and service provision, to the extent necessary to maintain conformity to requirements.	How do you ensure preservation of process outputs during production and service provision to maintain conformity to product requirements?	
	NOTE Preservation can include identification, handling, packaging, storage, transmission or transportation, and protection.		
	8.5.5 Post-delivery activities		
8.5.5q1	As applicable, the organization shall meet requirements for post-delivery activities associated with the products and services.	How do you meet requirements for post-delivery activities associated with products and services?	
8.5.5q2	In determining the extent of post-delivery activities that are required, the organization shall consider: a) the risks associated with the products and services; b) the nature, use and intended lifetime of the products and services; c) customer feedback; d) statutory and regulatory requirements.	How do you determine: Risk; Nature, use and intended lifetime; Customer feedback; Statutory and Regulatory requirements, when determining the extent of post-delivery activities required with products and services?	
	NOTE Post-delivery activities can include actions under warranty provisions, contractual obligations such as maintenance services, and supplementary services such as recycling or final disposal.		
	8.5.6 Control of changes		
8.5.6q1	The organization shall review and control unplanned changes essential for production or service provision to the extent necessary to ensure continuing conformity with specified requirements.	How do you review and control unplanned changes to ensure continuing conformity with specified requirements?	
8.5.6q2	The organization shall retain documented information describing the results of the review of changes, the personnel authorizing the change, and any necessary actions.	What **documented information** can you show me which describes the results of reviews of changes, the personnel authorizing change and any necessary actions?	**Documented information describing results of review of changes, personnel and actions.**

Q#	ISO 9001:2015 Clause	Audit Question	Audit Evidence
	8.6 Release of products and services		
8.6q1	The organization shall implement the planned arrangements at appropriate stages to verify that product and service requirements have been met. Evidence of conformity with the acceptance criteria shall be retained.	Show me how planned arrangement have been implemented at appropriate stages to verify product and service requirements have been met. Show me what evidence you retain.	
8.6q2	The release of products and services to the customer shall not proceed until the planned arrangements for verification of conformity have been satisfactorily completed, unless otherwise approved by a relevant authority and, as applicable, by the customer. Documented information shall provide traceability to the person(s) authorizing release of products and services for delivery to the customer.	Show me how the release of products and services is held until planned arrangements for verification of conformity have been satisfactorily completed, unless approved by a relevant authority, or the customer if applicable. Show me **documented information** which shows traceability to the person authorizing release of products and services.	**Documented information providing traceability, authorizing release of products and services.**
	8.7 Control of non-conforming process outputs, products and services		
8.7q1	The organization shall ensure process outputs, products and services that do not conform to requirements are identified and controlled to prevent their unintended use or delivery.	How do you identify and control process outputs, products and services that do not conform to requirements and prevent their unintended use or delivery?	
8.7q2	The organization shall take appropriate corrective action based on the nature of the nonconformity and its impact on the conformity of products and services. This applies also to nonconforming products and services detected after delivery of the products or during the provision of the service.	What appropriate corrective actions are taken based on the nature of the nonconformity and its impact on the conformity of products and services? How do you apply this to nonconformity detected after delivery?	
8.7q3	As applicable, the organization shall deal with nonconforming process outputs, products and services in one or more of the following ways: a) correction; b) segregation, containment, return or suspension of provision of products and services; c) informing the customer; d) obtaining authorization for: - use "as-is'; - release, continuation or re-provision of the products and services; - acceptance under concession.	How you deal with nonconforming process outputs, products and services in terms of: Correction; Segregation, containment, return or suspension of provision of products and services? Informing the customer? Obtaining authorization for use as-is? Release, continuation or re-provision of the products and service? Acceptance under concession?	
8.7q4	Where nonconforming process outputs, products and services are corrected, conformity to the requirements shall be verified.	How do you verify conformance where process outputs, products and services are corrected following nonconformance?	
8.7q5	The organization shall retain documented information of actions taken on nonconforming process outputs, products and services, including on any concessions obtained and on the person or authority that made the decision regarding dealing with the nonconformity.	What **documented information** do you keep following actions taken to address nonconformities, including any concessions obtained and on the person or authority that made the decision regarding dealing with the nonconformance.	**Documented information for actions taken following nonconformance, including concessions and authority granted.**

Q#	ISO 9001:2015 Clause	Audit Question	Audit Evidence
	9 Performance evaluation		
	9.1 Monitoring, measurement, analysis and evaluation		
	9.1.1 General		
9.1.1q1	The organization shall determine: a) what needs to be monitored and measured; b) the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results; c) when the monitoring and measuring shall be performed; d) when the results from monitoring and measurement shall be analysed and evaluated.	Show me how you determine: What needs to be monitored and measured? Methods for monitoring, measurement, analysis and evaluation to ensure valid results? When to perform monitoring and measuring? When results shall be analysed and evaluated?	
9.1.1q2	The organization shall ensure that monitoring and measurement activities are implemented in accordance with the determined requirements and shall retain appropriate documented information as evidence of the results.	What documented information can you show me that monitoring and measurement activities have been implemented in accordance with determined requirements?	**Documented information of monitoring and measurement activities in accordance with determined requirements.**
9.1.1q3	The organization shall evaluate the quality performance and the effectiveness of the quality management system.	Show me how you evaluate the quality performance and the effectiveness of the QMS.	
	9.1.2 Customer satisfaction		
9.1.2q1	The organization shall monitor customer perceptions of the degree to which requirements have been met.	How do you monitor customer perception of the degree to which requirements have been met?	
9.1.2q2	The organization shall obtain information relating to customer views and opinions of the organization and its products and services.	How do you obtain information relating to customer views and opinions of your products and services?	
9.1.2q3	The methods for obtaining and using this information shall be determined.	What methods for obtaining and using this information do you have?	
	NOTE Information related to customer views can include customer satisfaction or opinion surveys, customer data on delivered products or services quality, market-share analysis, compliments, warranty claims and dealer reports.		
	9.1.3 Analysis and evaluation		
9.1.3q1	The organization shall analyse and evaluate appropriate data and information arising from monitoring, measurement and other sources.	So me how you analyse and evaluate data and information arising from monitoring, measurement and other sources.	

Q#	ISO 9001:2015 Clause	Audit Question	Audit Evidence
9.1.3q2	The output of analysis and evaluation shall be used to: a) demonstrate conformity of products and services to requirements; b) assess and enhance customer satisfaction; c) ensure conformity and effectiveness of the quality management system; d) demonstrate that planning has been successfully implemented; e) assess the performance of processes; f) assess the performance of external provider(s); g) determine the need or opportunities for improvements within the quality management system.	Show me how the output of analysis and evaluation is used to: Demonstrate conformity of products and services to requirements? Assess and enhance customer satisfaction? Ensure conformity and effectiveness of the QMS? Demonstrate that planning has been successfully implemented? Assess process performance? Assess performance of external providers? Determine the need or opportunities for improvements within the QMS?	
9.1.3q3	The results of analysis and evaluation shall also be used to provide inputs to management review.	Show me where the results of analysis and evaluation are used to provide inputs to management review.	
	9.2 Internal audit		
	9.2.1		
9.2.1q1	The organization shall conduct internal audits at planned intervals to provide information on whether the quality management system; a) conforms to: 1) the organization's own requirements for its quality management system; 2) the requirements of this International Standard; b) is effectively implemented and maintained.	Are internal audits being conducted at planned intervals? Do they determine whether the QMS conforms to the requirements of ISO 9001 and to the other requirements established by Organization? (Review records to demonstrate conformance) Do they determine whether the QMS is effectively implemented and maintained? (Review records)	
	9.2.2		
9.2.2q1	The organization shall: a) plan, establish, implement and maintain an audit programme(s) including the frequency, methods, responsibilities, planning requirements and reporting, which shall take into consideration the quality objectives, the importance of the processes concerned, customer feedback, changes impacting on the organization, and the results of previous audits; b) define the audit criteria and scope for each audit; c) select auditors and conduct audits to ensure objectivity and the impartiality of the audit process; d) ensure that the results of the audits are reported to relevant management; e) take necessary correction and corrective actions without undue delay; f) retain documented information as evidence of the implementation of the audit programme and the audit results.	Can you show me audit programme(s) that takes into consideration the quality objectives, importance of the processes, customer feedback, changes impacting the organization and the results of previous audits? Where are the audit criteria and scope for each audit? Can you demonstrate that selection of auditors and the conduct of audits are objective and impartial and that auditors don't audit their own work? How are audit results reported to relevant management? Can you demonstrate that necessary correction and corrective actions are taken without undue delay? Can you show me **documented information** of the audit programme and the audit results?	**Documented information of the audit programme and results**

Q#	ISO 9001:2015 Clause	Audit Question	Audit Evidence
	NOTE See ISO 19011 for guidance.		
	9.3 Management Review		
	9.3.1		
9.3.1q1	Top management shall review the organization's quality management system, at planned intervals, to ensure its continuing suitability, adequacy, and effectiveness.	What is the frequency that top management reviews the organization's QMS? How isthe QMS deemed suitable, adequate and effective?	
9.3.1q2	The management review shall be planned and carried out taking into consideration: a) the status of actions from previous management reviews; b) changes in external and internal issues that are relevant to the quality management system including its strategic direction; c) information on the quality performance, including trends and indicators for: 1) nonconformities and corrective actions; 2) monitoring and measurement results; 3) audit results; 4) customer satisfaction; 5) issues concerning external providers and other relevant interested parties; 6) adequacy of resources required for maintaining an effective quality management system; 7) process performance and conformity of products and services; d) the effectiveness of actions taken to address risks and opportunities (see clause 6.1); e) new potential opportunities for continual improvement.	What kinds of information are reviewed in management reviews? These must include: actions status of previous reviews; changes to internal/external issues relevant to the QMS; issues that affect strategy; KPIs for nonconformities and corrective actions; monitor and measurement of results; audit results; customer satisfaction; issues concerning external providers; issues concerning other relevant parties; adequacy of resources and effectiveness of QMS; process performance; conformity of products and services; actions taken to address risks and opportunities and their effectiveness; new potential opportunities for continual improvement.	
	9.3.2		
9.3.2q1	The outputs of the management review shall include decisions and actions related to: a) continual improvement opportunities; b) any need for changes to the quality management system, including resource needs.	Show me that management reviews include decisions and actions relating to: Continual improvement opportunities; The need for changes to the QMS including resource needs.	
9.3.2q2	The organization shall retain documented information as evidence of the results of management reviews.	Show me what **documented information** you have as evidence of management reviews.	**Documented information of management reviews.**
	10 Improvement		
	10.1 General		
10.1q1	The organization shall determine and select opportunities for improvement and implement necessary actions to meet customer requirements and enhance customer satisfaction.	How do you determine and select opportunities for improvement? What necessary actions have you implemented so that you have met customer requirements and enhanced customer satisfaction?	

Q#	ISO 9001:2015 Clause	Audit Question	Audit Evidence
10.1q2	This shall include, as appropriate: a) improving processes to prevent nonconformities; b) improving products and services to meet known and predicted requirements; c) improving quality management system results.	Show me how you have: Improved processes to prevent nonconformities; Improved products and services to meet known and predicted requirements; Improved QMS results.	
	NOTE Improvement can be effected reactively (e.g. corrective action), incrementally (e.g. continual improvement), by step change (e.g. breakthrough), creatively (e.g. innovation) or by re-organization (e.g. transformation).		
	10.2 Nonconformity and corrective action		
	10.2.1		
10.2.1q1	When a nonconformity occurs, including those arising from complaints, the organization shall: a) react to the nonconformity, and as applicable: 1) take action to control and correct it; 2) deal with the consequences; b) evaluate the need for action to eliminate the cause(s) of the nonconformity, in order that it does not recur or occur elsewhere, by: 1) reviewing the nonconformity; 2) determining the causes of the nonconformity; 3) determining if similar nonconformities exist, or could potentially occur; c) implement any action needed; d) review the effectiveness of any corrective action taken; e) make changes to the quality management system, if necessary.	When nonconformities occur, show me how; You react; Take action to control and correct it; Deal with the consequences; Evaluate the need for action to eliminate the cause so that it does not recur or occur elsewhere by: Reviewing the nonconformity; Determining the cause of the nonconformity; Determining if similar nonconformities exist or could potentially occur; Actions needed are implemented; Review the effectiveness of corrective actions taken, if any; Make necessary changes to the QMS.	
10.2.1q2	Corrective actions shall be appropriate to the effects of the nonconformities encountered.	Show me how correction actions were appropriate to the effects of the nonconformities encountered.	
	NOTE 1 In some instances, it can be impossible to eliminate the cause of a nonconformity. NOTE 2 Corrective action can reduce the likelihood of recurrence to an acceptable level.		
	10.2.2		
10.2.2q1	The organization shall retain documented information as evidence of: a) the nature of the nonconformities and any subsequent actions taken; b) the results of any corrective action.	What **documented information** can you show me as evidence of: The nature of the nonconformities and subsequent actions taken; The results of any corrective action.	**Documented information of the nature of nonconformities, subsequent actions and results of corrective action.**
	10.3 Continual improvement		
10.3q1	The organization shall continually improve the suitability, adequacy, and effectiveness of the quality management system.	Demonstrate that you continually improve the suitability, adequacy and effectiveness of the QMS.	
10.3q2	The organization shall consider the outputs of analysis and evaluation, and the outputs from management review, to confirm if there are areas of underperformance or opportunities that shall be addressed as part of continual improvement.	Demonstrate that outputs of analysis and evaluation and the outputs from management review are considered to confirm if there are areas of underperformance or opportunities that shall be addressed as part of continual improvement.	
10.3q3	Where applicable, the organization shall select and utilise applicable tools and methodologies for investigation of the causes of underperformance and for supporting continual improvement.	What applicable tools and methodologies for investigation of the causes of underperformance and to support continual improvement are selected?	

QHSE MANAGEMENT SYSTEM	SAIFCO Electromechanical Works (LLC)	
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	Date:	

1.1 HEALTH AND SAFETY Policy

The HEALTH AND SAFETY Policy establishes on over all sense of direction and identifies the parameters of action for the (SAIFCO) HEALTH AND SAFETY. It also forms the basis for setting the objectives and targets and provide for ongoing improvement of the HEALTH AND SAFETY Top management must define the HEALTH AND SAFETY Policy.

HEALTH AND SAFETY Policy Requirements	Met Partially	Met	Not Met
Management has a management approved HEALTH AND SAFETY Policy			
Management has ensured that the HEALTH AND SAFETY Policy is appropriate to the nature scale and HEALTH AND SAFETY impacts of the activities, products or services.			
Management has ensured that the HEALTH AND SAFETY Policy includes a commitment to continual improvement and self regulation, including reporting to government.			
Management has ensured that the HEALTH AND SAFETY Policy includes a commitment to comply with relevant environmental, health and safety legislation and regulations, and with other requirements to which they subscribe.			
Management has ensured that the HEALTH AND SAFETY Policy provides the framework for setting and reviewing HEALTH AND SAFETY objectives and targets.			
Management has ensured that the HEALTH AND SAFETY Policy is documented			
Management has ensured that the HEALTH AND SAFETY Policy is implemented			
Management has ensured that the HEALTH AND SAFETY Policy is maintained			
Management has ensured that the HEALTH AND SAFETY Policy is communicated to all employees			
Management has ensured that the HEALTH AND SAFETY Policy is available to the public.			

1.2 HEALTH AND SAFETY Aspects

The purpose of identifying the environmental, health and safety aspects is to determine which aspects have or can have significant impacts.

HEALTH AND SAFETY Policy Requirements	Met Partially	Met	Not Met
The SAIFCO has established (a) procedure(s) to identify the HEALTH AND SAFETY aspects of its activated, products or services that it can control and over which it can be expected to have an influence in order to determine those which have or can have significant HEALTH AND SAFETY risk.			
The SAIFCO maintains a procedure to identify the HEALTH AND SAFETY aspects of its activities, products or services that it can control and over which it can be expected to have an influence in order to determine those which have or can have significant HEALTH AND SAFETY risk.			
The SAIFCO has ensured that the aspects related to the significant impacts are considered in setting the HEALTH AND SAFETY objectives			
The SAIFCO has ensured that the information on its HEALTH AND SAFETY aspects and significant HEALTH AND SAFETY rises is kept up – to –date.			

1.3 Legal and Other Requirements

The HEALTH AND SAFETY Audit Team needs to have in place procedure for identifying and accessing all the Legal and Other Requirements that apply to environmental health and safety aspects of the SAIFCO'S activities.

Legal and other requirements	Met Partially	Met	Not Met
The SAIFCO has established a procedure to identify and have access to legal and other requirements to which the organisation subscribes that are applicable to the HEALTH AND SAFETY aspects of its activities, products or services.			

The SAIFCO maintains the procedure to identify and have access to legal and other requirements to which the SAIFCO subscribes that are applicable to the HEALTH AND SAFETY aspects of its activities, products or services.			

1.4 Objectives & Targets

Establishing the objectives and targets is a major step in implementing an HEALTH AND SAFETY MS. This requires the development of specific objectives and targets to address each significant aspect.

Objectives & Targets Requirements	Met Partially	Met	Not Met
The SAIFCO has established documented HEALTH AND SAFETY objectives and targets at each relevant function and level within the : SAIFCO			
The SAIFCO maintains documented HEALTH AND SAFETY objectives and targets at each relevant function and level within the : SAIFCO			
The SAIFCO has considered the legal and other requirements when establishing and reviewing its objectives.			
The SAIFCO has considered its significant environmental, health safety aspects when establishing and reviewing its objectives.			
The SAIFCO has considered its technological options when establishing and reviewing its objectives.			
The SAIFCO has considered its financial, operational and business requirements when establishing and reviewing its objectives.			
The SAIFCO has considered the views of interested parties when establishing and reviewing its objectives.			
The SAIFCO has ensured that its objectives and targets are consistent with the HEALTH AND SAFETY, including the commitment to prevention of pollution and health and safety risks.			

1.5 HEALTH AND SAFETY Management Program

The HEALTH AND SAFETY Team must develop HEALTH AND SAFETY management plans that describe how their objectives and targets will be achieved this included identifying responsibilities, procedure and timing.

HEALTH AND SAFETY Management Plan Requirements	Met Partially	Met	Not Met
The SAIFCO has established and maintained (a) program(s) for achieving its objectives and targets.			
The SAIFCO has included in the program(s) the designation of responsibility for achieving objectives and targets at each relevant function and level of the : SAIFCO			
The SAIFCO has included in the program(s) that means and timeframe by which the objectives and targets are to be achieved.			
The SAIFCO has amended the program(s) where relevant to ensure that HEALTH AND SAFETY management applies to projects relating to new developments and new or modified activities, products or services			

1.6 Implementation and Operation

1.6.1 Structure and Responsibility

The HEALTH AND SAFETY Team must define the roles, responsibility and authorities in their HEALTH AND SAFETY to ensure successful implementation of the system.

Structure and Responsibility Requirements	Met Partially	Met	Not Met
The SAIFCO has defined and documented roles, responsibility and authorities in order to facilitate effective HEALTH AND SAFETY management.			
The SAIFCO has communicated roles, responsibilities and authorities in order to facilitate effective HEALTH AND SAFETY management.			
The SAIFCO has ensured that management provides resources essential to the implementation and control of			

the HEALTH AND SAFETY, including human resources and specialised skills, technology and finical resources.			
The SAIFCO has ensured that top management appoints (a) specific management representative(s) who, irrespective of other responsibilities, have defined roles, responsibility and authorities for ensuring that HEALTH AND SAFETY requirement are established, implemented and marinated in accordance with the Emirates HEALTH AND SAFETY MS Manual.			
The SAIFCO has ensured that the specific management representative(s) appointed by top management have defined roles, responsibility and authorities for reporting o the performance of the HEALTH AND SAFETY to top management for review and as a basis for improvement of the HEALTH AND SAFETY.			

1.6.2 Document Control

1.6.3 Training and Awareness

The HEALTH AND SAFETY Team must identify their training need and ensure that all personnel whose work may have a significant HEALTH AND SAFETY risks are trained appropriately. This requires ensuring that these personnel are competent in terms of their education training and /or experience.

Training and Awareness Requirements	Met Partially	Met	Not Met
The SAIFCO has identified the training needs			
The SAIFCO has required that all personnel, whose work may create a significant impact upon the environmental and workforce, have received appropriate training.			

HEALTH AND SAFETY Documentation Requirements	Met Partially	Met	Not Met
The SAIFCO has established and maintained information, in paper or electronic form, to describe the core elements of the management system and their interaction.			
The SAIFCO has established and maintained information, in paper or electronic form, to provide direction to related information.			

The SAIFCO has established and maintained procedures to make its employees or members at each relevant function and level aware of the importance of conformance with the HEALTH AND SAFETY Policy and procedure and with the requirements of HEALTH AND SAFETY MS.			
The SAIFCO has established and maintained procedures to make its employees or members at each relevant function and level aware of the actual or potential significant HEALTH AND SAFETY impacts of their work activities and the HEALTH AND SAFETY benefits of improved personal performance.			
The SAIFCO has established and maintained procedures to make its employees or members at each relevant function and level aware of their roles and responsibility in achieving conformance with the HEALTH AND SAFETY policy and procedures and with the requirements of the HEALTH AND SAFETY management system including emergency preparedness and response requirements.			
The SAIFCO has established and maintained procedures to make its employees or members at each relevant function and level aware of the potential consequence of departure from specific operating procedures.			
The SAIFCO has ensured that personnel performing the tasks that can cause significant HEALTH AND SAFETY impacts are competent in terms of appropriate education, training and /or experience.			

1.6.4 Communication

Communication Requirements	Met Partially	Met	Not Met
With regard to its HEALTH AND SAFETY aspects, the SAIFCO has established and maintained procedures for internal communication between the various levels and functions of the SAIFCO.			
The SAIFCO has established and maintained procedures for receiving documenting and responding to relevant communication from external interested parties regarding			

its HEALTH AND SAFETY aspects.			
The SAIFCO has considered process for external communication on its significant aspects and recorded its decision.			

1.6.5 Document Control

Document Control Requirements	Met Partially	Met	Not Met
The SAIFCO has established and maintained procedures for controlling all documents required by HEALTH AND SAFETY MS to ensure that the documents can be located.			
The SAIFCO has established and maintained procedures for controlling all documents required by HEALTH AND SAFETY MS to ensure that they are periodically reviews, revised, as necessary and approved for adequacy by authorised personnel.			
The SAIFCO has established and maintained procedures for controlling all documents required by HEALTH AND SAFETY MS to ensure that the current versions of relevant documents are available at all locations where operations essential to the effective functioning of the HEALTH AND SAFETY are performed.			
The SAIFCO has established and maintained procedures for controlling all documents required by HEALTH AND SAFETY MS to ensure that obsolete documents are promptly removed from all points of use or otherwise assured against unintended use.			
The SAIFCO has established and maintained procedures for controlling all documents required by HEALTH AND SAFETY MS to ensure that obsolete documents retained for legal and/or knowledge preservation purpose are suitably identified.			
The SAIFCO has ensured that documentation is legible, dated (with dates of revision) and readily identifiable, maintained in an orderly manner and retained for a specified period.			

The SAIFCO has established and maintained procedures and responsibilities concerning the creation and modification of the various types of documents.			

1.6.6 Operational Control

Operational Control Requirements	Met Partially	Met	Not Met
The SAIFCO has identified those operations and activities that ate associated with the identified significant HEALTH AND SAFETY aspects in line with its policy, objectives and targets.			
The SAIFCO has planned the activities associated with the identified significant HEALTH AND SAFETY aspects, including maintenance, to ensure that they are carried out under specified conditions by establishing and maintaining documented procedures to cover situations where their absence could lead to deviations from the HEALTH AND SAFETY Policy and objective and targets.			
The SAIFCO has planned the activities associated with the identified significant HEALTH AND SAFETY aspects, including maintenance, to ensure that they are carried out under specified conditions by stipulating operating criteria.			
The SAIFCO has planned the activities associated with the identified significant HEALTH AND SAFETY aspects, including maintenance, to ensure that they are carried out under specified conditions by establishing and maintaining procedures related to the identifiable significant HEALTH AND SAFETY aspects of goods and service used by the SAIFCO and communicating relevant procedures are requirements to suppliers and contractors.			

1.6.7 Emergency Management Response

Emergency Management Requirements	Met Partially	Met	Not Met
The SAIFCO has established and maintained procedures to identify potential for and respond to accidents and emergency situations			

The SAIFCO has established and maintained procedures to prevent and mitigate HEALTH AND SAFETY impacts that may be associated with accidents and emergency situations.			
The SAIFCO has reviewed and revised, where necessary, its emergency preparedness and response procedures, particularly after the occurrence of accidents or emergency situations.			
The SAIFCO has periodically tested its emergency preparedness and response procedures where practicable			

1.7 Checking and Corrective Action

1.7.1 Monitoring and Measurement

The HEALTH AND SAFETY Team must develop procedures for regularly monitoring and measuring the key characteristic of their operations and activities that can result in significant HEALTH AND SAFETY risks.

This includes documenting performance tracking information, relevant operational controls and conformance with the HEALTH AND SAFETY objectives and targets. In addition, the HEALTH AND SAFETY

Team needs to documents procedures for evaluating compliance with relevant HEALTH AND SAFETY and associated laws and regulations.

Monitoring and Measurement Requirements	Met Partially	Met	Not Met
The SAIFCO has established and maintained documented procedures to monitor and measure, on a regular basis, the key characteristics of its operations and activities that can have a significant impact on the environment and the work force.			
The SAIFCO'S procedures to monitor and measure the HEALTH AND SAFETY MS include the recording of information to track performance, relevant operational			

controls and conformance with the HEALTH AND SAFETY objective and targets.			
The SAIFCO has ensured that monitoring equipment is calibrated and maintained and that records of this process are retained according to its procedures.			
The SAIFCO has established and maintained a documented procedure for periodically evaluating compliance with relevant HEALTH AND SAFETY legislation and regulations.			

1.7.2 Non-Conformance, Corrective and Preventive Action

Non-Conformance, Corrective and Preventive Action Requirements	Met Partially	Met	Not Met
The SAIFCO has established and maintained procedures for defining responsibility and authority for handling and investigating non-conformance			
The SAIFCO has established and maintained procedures for taking action to mitigate any impacts caused.			
The SAIFCO has established and maintained procedures for initiating and completing corrective and preventive action.			
The SAIFCO has ensured that any corrective or preventive action taken to eliminate the cause of actual and potential non conformance is appropriate to the magnitude of problems and commenaipe with the HEALTH AND SAFETY risk encountered.			
The SAIFCO has implemented and recorded any changes in the documented procedures resulting from corrective and preventive action.			

1.7.3 Records Management

Records Management Requirements	Met Partially	Met	Not Met
The SAIFCO has established and maintained procedures for the maintenance of HEALTH AND SAFETY records, including training records and the results of the audits and reviews.			

The SAIFCO has established and maintained procedures for the disposition of HEALTH AND SAFETY records, including training records and the results of audits and reviews			
The SAIFCO has ensured that its HEALTH AND SAFETY records are legible, identifiable and traceable to the activity, product or service involved.			
The SAIFCO has ensured that its environmental, health and safety records are stored and maintained such that they are readily retrievable and protected against damage, deterioration or loss.			
The SAIFCO has ensured that the retention times for its HEALTH AND SAFETY records are established and recorded.			
The SAIFCO has ensured that its environmental, health and safety records are maintained as appropriate to the system and to the organization, to demonstrate to the requirements of the Emirates HEALTH AND SAFETY MS Manual.			

1.7.4 HEALTH AND SAFETY Audits

HEALTH AND SAFETY Audits Requirements	Met Partially	Met	Not Met
The SAIFCO has established and maintained (a) program(s) and procedures for periodic HEALTH AND SAFETY audits to be carried out, in order to determine whether or not the HEALTH AND SAFETY conforms to planned arrangements HEALTH AND SAFETY management, and that the HEALTH AND SAFETY is properly implemented and maintained.			
The SAIFCO has established and maintained (a) program(s) and procedures for periodic HEALTH AND SAFETY audits to be carried out, in order to provide information on the results of audits to management.			
The SAIFCO has ensured that its audit program, including any schedule, is based on an HEALTH AND SAFETY risk assessment to determine the importance of the activity			

concerned and on the results of previous audits.			
The SAIFCO has ensured that, in order to be comprehensive, the audit scope, frequency and methodologies, as well as the responsibilities and requirements for conducting audits and reporting results in accordance with the HEALTH AND SAFETY legislation.			

1.7.5 Management Review and Reporting

Management Review and Reporting Requirements	Met Partially	Met	Not Met
The SAIFCO has ensured that its top management has determined the intervals at which it will review the HEALTH AND SAFETY.			
The SAIFCO has ensured that its top management has reviewed the HEALTH AND SAFETY to ensure its continuing suitability, adequacy and effectiveness.			
The SAIFCO has ensured that the management review process has collected the necessary information to allow management to carry out the evaluation.			
The SAIFCO has ensured that the management review is documented			
The SAIFCO has ensured that the management review addresses the possible need for changes to policies, objectives and other elements of the HEALTH AND SAFETY, in light of HEALTH AND SAFETY audit results, changing circumstance and the commitment to continual improvement.			
The SAIFCO has to identify key performance indicators or HEALTH AND SAFETY performance and carry out monitoring of HEALTH AND SAFETY performance.			
The SAIFCO has to report HEALTH AND SAFETY performance to Government as required by law.			