‘Sample Internal Audit Report’ for QMS

AGAINST

ISO 9001:2015

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SAMPLE "Internal Audit Report" for Quality Management Systems

1. Report Preparation and Approval

	Name	Designation	Signature
Prepared By			
Reviewed by			
Approved by			

2. Audit Information

Management Systems	Quality Management Systems
Audit Criteria	ISO 9001:2015, Industry Best Practices
Audit Type	Internal
Audit Date	14-15 July, 2022
Report Distribution	▪ Management Representative, ▪ Head of departments/ Process owners ▪ Top management ▪ Auditor(s)
Audit Team	
Audit duration	02 Auditor Days

3. Audit Objectives and Criteria

The objectives and criterial of the audit are

- Determination of extent of conformity of organization's documented quality management systems against ISO 9001:2015; applicable legal requirements and industry best practices,
- Evaluation of efficiency and effectiveness of aforesaid quality management systems in meeting its specified objectives, and
- Identification of areas for improvement in order to add value to these systems.

4. Audit plan

Sr #	Process	Time
Day 1		
1.	Opening Meeting	9:00
2.	Top management	9:30 AM - 1030 AM
3.	HR	1030 AM - 0100 PM
Lunch & Prayer Break		
4.	QC	2:00 PM – 3.00 PM
5.	Sales & Marketing	3:00 PM – 4:40 PM
Day 2		
6.	Work Shop	9:30 AM – 10:15 AM
7.	Stores	10:15 AM – 11:15 AM
8.	Operations	11:30 AM – 12:30 PM
Lunch & Prayer Break		
9.	Purchase	12:30 PM – 1:00 PM
10.	operations	1:00 PM – 2:00 PM
11.	Closing Meeting	3:00 PM

5. Methodology and Scope of the Audit

The scope of 'Audit' is all the departments, facilities, and employees.

The methodology is as under:

1. Review of documents and records,
2. Interviews and discussions with Management and selected staff, and
3. A sample based inspection of equipment; operations; activities; facilities and locations throughout the premises.

6. Limitations of Audit and Confidentiality of the Information

4. This 'Audit' is based on sampling and therefore, nonconformities may still exist; and
5. This report and its contents should be treated as "Confidential" except with the prior written consent of the top management of the company.

7. Non Conformity Criteria

Major Non-conformance

- Non-compliance to any legal requirement;
- The absence or total breakdown of a system to meet the requirements;
- Repeated minor non-conformances in the same area;
- Any non-conformance that relates to a high risk activity; and
- Non-implementation of agreed 'Action Plan' to address a minor non-conformance.

Minor Non-conformance

- Partial implementation of the system; and
- Partial non-fulfilment of any documentation requirement.

Observation

An observation describes the situation wherein there is a potential of deviating from the System

Suggestion

It's a recommendation with regards to the best practices

Note: The process owner is recommended to do the "Cost & Benefits" analysis for an Observation and Suggestion; so, if the benefits overweigh, the Corrective Action should be taken and vice versa.

8. Audit Report Summary

A detailed onsite audit was conducted with the audit findings detailed below against each of the clauses of ISO 9001:2015. The non-conformances are categorized as major, minor, observation and suggestion.

Sample based documents and records reviewed and verified.

There is a quality documentation established and documented against the latest version of ISO 9001:2015.

The MR, department Heads and other management and staff are in general are competent, courteous, committed, willing to listen to the alternate opinion, and passionate for learning.

The GM is committed to allocate necessary resources for effective documentation, implementation, maintenance and continual improvement of the Quality Management Systems in order for total compliance with statutory, regulatory requirements, and Industry Best Practices.

It is recommended that GM should continue its support in the same spirit through personal involvement e.g. participation in Management Review Meetings, QMS Committee Meetings, and through communicating the importance of compliance with the quality policy.

The following are the areas where the Management need to focus through department Heads:

1) It is recommended to review further and hence revise process flow diagrams (PFD) e.g. process owners & pertinent records and monitoring i.e. quality control checks (QC) requirements;
2) It is recommended to reconsider RACI matrix for operations department.
3) Organizational chart should be controlled and available in all the departments
4) More risks and opportunities should be included to the existing ones and the actions to address them, determined accordingly
5) The Review of objectives and targets should be documented
6) It is recommended to upgrade welfare facilities e.g. washrooms, rest rooms for drivers and dining facilities etc.
7) It's recommended to control documentation with regards to preparation, review & approval authorities
8) Its recommended to identify the performance parameters, monitored & measured (data collection), analyzed (e.g. putting in graphical form) for trends, evaluated against the previous data or bench marks
9) The SoPs at the department level should be controlled and approved by the relevant authorities
10) It is recommended to document the Escalation Matrix/Plan (suggestion, not heard by, not agreeing on performance appraisal outcome, any dispute etc.) that includes authorities and response time, at minimum.
11) There are 2 supplier lists, these should be consolidated in one and controlled e.g. approval of

the relevant authority

12) It is recommended to conduct management review meeting more frequently; however with shorter agenda so that the full agenda is covered during the year (as explained to MR)

9. Positive Points

These include, but not limited to the following:

1) The top management is committed & willing to allocate resources of all kinds
2) Friendly work environment
3) The Management Representative and other Managers and Staff are courteous, well mannered, polite, competent, open minded, co-operative and willing to learn and improve
4) 01 window operation with staff and management in the open plan office, with waiting areas, to enhance Customer Satisfaction, Communication & Coordination for HR activities (in process).
5) Effective standard operating procedures
6) JD include HSE responsibilities, separately

10. Evidence of compliance and/or non compliance

clause #	QMS Requirements	Auditee(s)	Reference[1]	Remarks
4.4	*Quality Management System and its processes*			
4.4	Have the processes of the organization been identified? • Inputs and Outputs • Sequence and interaction • Criteria, method and performance indicators • Resources needed • Defined responsibility and authority for all personnel. • Risks and Opportunities • Method for monitoring and change to ensure intended results • Opportunities for improvement of the processes	▪ MR ▪ QC ▪ Sales & Marketing ▪ HR ▪ Workshop ▪ Purchase ▪ Operations	☐ The following have been identified as the key processes: • Human Resources • Quality Control • Sales & Marketing • Workshop • Operations • Purchase • Health & Safety and Environment ☐ Process Flow Diagrams (PFDs) developed for the aforementioned processes, ref. doc # ABC-QMS-P.15, heading 9, Related documents ☐ RACI Matrix developed for the mentioned processes, doc # ABC-QMS-P.15, heading 9, related documents, page 2 ☐ Criteria, methodology, monitoring requirement are defined in the relevant policies, procedures and associated documents specific to each department separately with controlled access to ensure confidentiality and protection ☐ Risks and opportunities and the actions to address these have been identified for the processes referred to above	It is recommended to add more information in PFD e.g. process owner & pertinent records and monitoring (QC) requirements [Sug.]
4.4	Has the organization defined • Needed documented information to support the operation of its processes? • Documented information to be retained as evidence that the processes are being carried out as planned?	MR, QC, Sale & Marketing, HR, Workshop, Purchase, Operations	Defined in the relevant policies, procedures and associated documents, for each department separately with controlled access to ensure confidentiality and protection	
5	*Leadership*			

[1] To internal documentation including manual, policies, system element procedures, standard operating procedures & associated templates for records, minutes of discussion with management; interviewing of staff and observation of facilities

clause #	QMS Requirements	Auditee(s)	Reference[1]	Remarks
5.1.1	Has GM demonstrated leadership by • Taking accountability of the process? • Establishing the Quality Policy and Objectives? • Communicating the Policy? • Ensuring QMS Requirements are integrated into the processes? • Making available adequate resources? • Communicating QMS effectiveness? • Ensuring achievement of results? • Engaging/directing/supporting process effectiveness? • Promoting continual improvement? • Supporting other management roles within the organization to do the same?	GM and MR	☐ Quality policy sent through email to participants in group (05/07/2022) ☐ Quality objectives (minimum 1 for each department) is set on yearly basis, with quarterly review, approved by GM ☐ For each objective, Action Plan is documented	
5.1.1	Can GM demonstrate evidence of commitment to the development, implementation and improvement of the effectiveness of the quality management system by: • Communicating to the organization the importance of meeting customer requirements? • Establishing the quality policy? • Ensuring that quality objectives are established? • Conducting management reviews? • Ensuring the availability of resources?	MR	Yes; Sales and operations departments collect data on customer satisfaction	
5.1.2	*Customer Focus*			
5.1.2	Has GM demonstrated leadership by • Identifying customer requirements? • Identifying regulatory requirements? • Identifying statutory requirements? • Risks and Opportunities determined and	MR	Yes, the evidence to be provided in the following sections of this report	

clause #	QMS Requirements	Auditee(s)	Reference[1]	Remarks
	addressed? • Focus to consistently provide products/services that meet customer requirements? • Enhancing customer satisfaction?			
5.2	*Quality Policy*			
5.2.1	Has GM established a quality policy that • Is appropriate to the organization? • Allows for review of process indicators and objectives? • Includes a commitment to satisfy applicable requirements? • Includes a commitment to continual improvement? • Is communicated and understood throughout the organization • Is reviewed for continuing suitability?	GM and MR	Yes, refer to Quality Manual, doc # ABC-QMS-QM-01, Section C4, Rev # 01, page # 24	
5.2.1	Are the quality objectives measurable and consistent with the quality policy?	GM and MR	Yes	
5.2.2	Is the quality policy • Documented? • Communicated and understood? • Available to relevant interested parties?	GM and MR	Yes, refer to Quality Manual, doc # ABC-QMS-QM-01, Section C4, Rev # 01, page # 24, Signed by GM and displayed on Notice boards	
5.3	*Organizational roles, responsibilities and authorities*			

clause #	QMS Requirements	Auditee(s)	Reference[1]	Remarks
5.3	Has GM defined • Responsibility and authority for all personnel affecting quality? • Ensuring that the processes are effective and delivering their intended results? • Reporting on the performance of the QMS and opportunities? • Ensuring Customer Focus throughout the organization? • Maintaining the integrity of QMS when changes are implemented?	HR, QC, Stores	☐ RACI Matrix developed process wise with PFDs, ref. doc # ABC-QMS-P.15, heading # 9, related document ☐ Job descriptions [JDs] reviewed for the following ▪ QC Assistant & QC Inspector ▪ For all the positions on the organogram in HR, etc. ▪ Sr. Executive - Client relationship	☐ JDs for head of department QC, QC Supervisor should be developed [Obs.] ☐ Organizational Chart (Doc # is missing) ☐ Organizational chart should be available to all [Obs.]
6	*Planning for the Quality Management System*			
6.1.1	Has the organization considered risks and opportunities noted in 4.1 and 4.2 and have assurances that QMS • Can achieve its intended results? • Mitigate Risk by prevention or reduction of undesired effects? • Enhance desirable effects? • Achieve improvements?	GM, MR, HR, HSE, QC, W/shop, Sales, Stores, Purchase	Risks & opportunities register documented, department wise, doc # ABC-QMS-P.15, Rev # 01, and associated record	☐ Risk register is not accessible for HR which an issue in regards to the control of document distribution [Obs.] ☐ Identify more risks & opportunities for all the processes [Sug.]
6.1.2	Does the organization plan • Actions needed to address risks and opportunities. • Integrate actions into its QMS processes? • Evaluate the effectiveness of actions?	MR, HR, HSE, QC, W/shop, Sales, Stores, Operations and Purchase	Action plan, as of June for Operations: outcome is 77.1%	☐ The review of objectives and targets is not documented in purchase [Obs.]
6.2.1	Has the organization established Quality objectives that are: • Consistent with the Quality Policy? • Are measurable? • Considered applicable requirements? • Relevant?	MR, HR, HSE, QC, W/shop, Sales, Stores, Purchase	☐ 100 % compliance of quality objectives with regulatory & requirement, Action plan, reviewed for QC Division ☐ A total of 9 quality objective set by Sales and Marketing, ☐ Quality Objectives for HR in the following categories reviewed: 1) Training,	☐ The review should be documented [Obs.]

clause #	QMS Requirements	Auditee(s)	Reference[1]	Remarks
	• Monitored? • Communicated? • Updated?		2) Timeline, reporting & analytics, 3) Cost Saving, 4) Recruitment, 5) Compensation/Rewards & recognition, 6) Performance appraisal, improvement plan and organization structure 7) Total 20 objectives are set. ☐ 01 Quality Objective developed [Air changing pit] for 2018, reviewed quarterly ☐ 01 objective by store division for year 2018, action plan reviewed ☐ 01 objective is set by purchase division for year 2018, action plan reviewed.	
6.2.2	Has the organization planned how to achieve its quality objectives by • Identifying what has to be done? • Identifying the needed resources? • Identifying the responsibility for achievement? • Due date for achievement? • Evaluation of the results?	MR, HR, HSE, QC, W/shop, Sales, Stores, Operations, Purchase	Yes, Action pan to achieve the targets and objective is developed	
6.3	For changes to the QMS, has the organization proceeded in a planned and systemic manner by • Identifying the changes and their consequence? • The integrity of the QMS? • Availability of resources? • Allocation or reallocation of responsibilities and authorities?	MR	Yes, through third party (mention the name)	
7	*Support*			

clause #	QMS Requirements	Auditee(s)	Reference[1]	Remarks
7.1.1	Has the organization determined the needed resources while considering • Limitations of internal resources? • What has to be obtained from external providers?	GM & MR	Yes	
7.1.2	*People*			
7.1.2	Are adequate human resources in place to ensure compliance with the customer and applicable regulatory and statutory requirements?		Yes, reviewed as follows ☐ Enough internal resources e.g. in QC, there are 8 Inspectors with 2 in backup and 5 cleaners, ☐ For store: 1 Supervisor, 01 store keeper, Assistant store keeper, working in shift (24/7) ☐ 12 people in Operations	
7.1.3	*Infrastructure*			
7.1.3	Has the organization identified the infrastructure needed for effective operation of the QMS, , including • Maintenance of equipment? • Buildings and associated utilities? • Transportation? • Information and Communication Technology?	GM and MR		It is recommended to upgrade welfare facilities e.g. Washrooms, rest rooms and dining facilities [Sug.]
7.1.4	*Environment for the operation of processes*			
7.1.4	How will it be demonstrated that the organization determines and manages the work environment needed to achieve conformity to product and service requirements?	HR, HSE, QC, W/shop, Sales, Stores, Operations, Purchase		
7.1.5	*Monitoring and measuring resources*			
7.1.5	Has the organization determined the monitoring and measurement to be undertaken, and the monitoring and measurement resources needed to provide evidence of conformity to determined requirements?		Yes	

clause #	QMS Requirements	Auditee(s)	Reference[1]	Remarks
7.1.5	Are suitable monitoring and measuring resources available to ensure valid and reliable results, including • Ensuring suitable resources? • Resources are maintained to ensure their continued fitness for their purpose? • Maintaining documented information as evidence of fitness of the monitoring and measuring resources? • Determining suitability of the specific type of monitoring and measurement activities?		☐ Monitoring and measuring resources are enough; 07 QC inspectors with Tablet and Cameras. ☐ The QC report goes online every 48 hours	
7.1.5	Have all monitoring and measuring activities determined?			
7.1.5	Are monitoring and measuring resources suitability maintained? What documented information is maintained as evidence of fitness for the monitoring and measurement resources? • Is measuring equipment calibrated or verified, or both, at specified intervals or prior to use against traceable international or national measurement standards? (If international or national measurement standards are not available, the basis for calibration or verification shall be defined) • Identified in order to determine its calibration status? • Safeguarded from adjustments that would invalidate the measurement result? • Protected from damage and deterioration during handling, maintenance and storage?			
7.1.5	How will it be demonstrated that: • The validity of previous measuring results are assessed by the organization when equipment is found not to conform to requirements?			

clause #	QMS Requirements	Auditee(s)	Reference[1]	Remarks
	• Appropriate action is taken on the equipment and any affected product?			
7.1.6	*Organizational Knowledge*			
7.1.6	What evidence is available to ensure that the Organization has determined the knowledge necessary for effective operation of its processes?	MR, HR, HSE, QC, W/shop, Sales & marketing, Stores, Operations, Purchase	☐ All the relevant information is documented and controlled that includes, but not limited to the following ▪ Process flow diagrams [PFD's] ▪ Risks & opportunities register, ▪ Standard operating procedures and policies ▪ Corrective action plans and associated records ▪ Workshop SOP; doc # FOD-FMS-SOP-"D" services, Test, trail, experiment & research proposal.	
7.1.6	Is the knowledge necessary for the operation of the various processes determined, maintained, and made available, if needed?	MR, HR, HSE, QC, W/shop, Sales, Stores, Operations, Purchase	☐ The necessary knowledge for the operation of the various processes determined, maintained, and made available. ☐ For marketing, this includes the following ▪ Data Base ▪ Ongoing tenders and follow up clients ▪ Contract expiry, renewal details ▪ Potential clients, not approved yet ▪ Policies, Procedures, associated documents and records ▪ Historical data e.g. objectives and targets ▪ Corrective actions taken ▪ Reports for lost contracts ☐ Store Standard policies & procedure, ref # G2I/HM/12/M-16, approved by senior vice president.	
7.2	*Competence*			
7.2	Has the necessary competence for personnel performing work affecting conformity to product requirements been	HR, Sale and Marketing	☐ reviewed for Senior Executive - Client relationship, Rev # 01	☐ Organogram not controlled for workshop [Obs.]

clause #	QMS Requirements	Auditee(s)	Reference[1]	Remarks
	determined? Appropriate documented information for education, training, skills and experience are maintained.		☐ Upon Appraisal, if expected outcome is less than, explanation can be called; the other things include improvement plan and warning letter as a last resort ☐ Minimum competencies are in documented but in HR department	☐ JD for meter section in charge not available [Obs.] ☐ JDs for assistant store keeper, not approved & controlled [Obs.] ☐ Annual performance evaluation Form should be synchronized with minimum competencies ☐ It is recommended to document the escalation matrix plan (e.g. suggestion, not heard, disagreement, on outcome of appraisal, dispute etc.) with the timeline [Sug].
7.2	Where applicable, is the Training provided or other actions taken evaluated for effectiveness in meeting the necessary competence?	HR	Outcome of performance appraisal become the input of training need analysis (TNA)	
7.2	Are Personnel aware of the relevance and importance of their activities and how they contribute to the achievement of the quality objectives?	HR	Yes, interviewing of staff	
7.2	Are documented information maintained to demonstrate competency achievements through education, training, skills and experience?	HR	Performance appraisal on annual basis, the overall score, strengths and weaknesses are communicated with the employees; signed by Employee & the Appraiser	
7.3	*Awareness*			
7.3	Are methods in place to ensure understanding of the following by all affected personnel: • The quality policy? • Relevant Quality Objectives? • Contributions to the effectiveness of the quality	MR	Yes; Internally by MR and externally by consultant e.g. awareness training, etc.	

clause #	QMS Requirements	Auditee(s)	Reference[1]	Remarks
	management system? • Benefits of improved quality performance? • Implications of not conforming to the quality management system requirements?			
7.4	*Communication*			
7.4	Have the following been addressed for all internal and external communication channels? • Subject of Communication? • When to communicate? • With whom? • How? • Who?	MR	Yes, Communication plan is in place, doc # ABC-QMS-P.05-F.01	
7.4	Is Leadership able to demonstrate how they ensure that appropriate communication processes are established within the organization and that communication takes place regarding the effectiveness of the quality management system?	MR	Yes, these include distributing ☐ Internal audit report to all department heads, ☐ discussing outstanding issues with regards to setting and achieving quality objectives ☐ management review meeting minutes, ☐ training and awareness sessions with regards to quality ☐ display of quality policy	
7.5	*Documented Information*			
7.5.1	Does the organization's quality management system include ▪ Documented information required by ISO 9001:2015? ▪ Documented information determined by the organization to be necessary for the effectiveness of the quality management system?	MR, HR, HSE, QC, W/shop, Sales, Stores, operations, Purchase	☐ Departmental procedures and other associated documents (Level 3) are sent to departmental heads through email ☐ The documents are controlled online, with access to Document Controller for contracts, these can be retrieved through making search for "name", "date range", "doc #", "client name" etc.	☐ It is recommended to control distribution concerning preparation, review & approval authority [Sug.] ☐ Master List of documents & master list of files for operations not available

clause #	QMS Requirements	Auditee(s)	Reference[1]	Remarks
				[Obs]
7.5.2	Are all documented information • Properly identified (e.g. title, date, author or reference)? • In defined format – language, software version, graphics, and media. • Reviewed and approved for adequacy?	MR, HR, HSE, QC, W/shop, Sales, Stores, Operations, Purchase	☐ Mater list of documents for HR, doc # ABC-HR/QP 001, issue 1, include policies, procedures and associated records, are viewable by all in HR ☐ Documents in soft & hard copy, put in folder (different categories),	
7.5.3.1	Are all documented information controlled to ensure • Its suitability and availability? • Adequately protected from use or improper use?	MR, HR, HSE, QC, W/shop, Sales, Stores, Operations, Purchase	☐ Only the latest version of all documents is made available. ☐ The obsolete ones are retrieved and placed in the ARCHIVED folder.	
7.5.3.2	Have the following issues addressed for control of Documented Information; • Distribution, control, access, retrieval and use? • Storage and preservation, including legibility? • Control of changes (version control)? • Retention and disposition? • Identification and control of documents of external origin?	MR, HR, HSE, QC, W/shop, Sales, Stores, Operations, Purchase	☐ All document include title, doc #, revision status ☐ The retention period is 3 years, unless otherwise stated.	
8	*Operation*			
8.1	Are adequate actions in place to ensure effective planning, implementation and control of the processes, including, the methods needed to ensure • Adequate identification of requirements for products and services? • Establishment of criteria for products and services? • Determination of needed resources? • Implementation of the processes in accordance	MR, HR, HSE, QC, W/shop, Sales, Stores, Operations, Purchase	Plan for target customers through: ☐ SWOT Analysis, ☐ PEST analysis, ☐ Competitive Landscape, ☐ Market shares, and ☐ Seasonality (Market), etc.	

clause #	QMS Requirements	Auditee(s)	Reference[1]	Remarks
	with the noted criteria? • Retention of documented information to show process effectiveness, and to demonstrate conformity of products and services to requirements?			
8.1	How are the consequences of unintended changes controlled, and how are actions take to mitigate their adverse effects?	MR		
8.2	*Determination of requirements for products and services*			
8.2.1	Is there a process in place for communicating with customers in relation to: • Information related to products and services? • Handling of enquiries, contracts, including changes? • Obtaining customer views and perceptions, including customer complaints? • Handling customer supplied property? • Requirements of actions for contingencies?	Sales	<u>The process is as follows</u> ☐ Through phone/email, arranging a meeting (if required): ☐ If by phone, write the requirements including details & request to send an email, ☐ Understand the requirement, ☐ If it's tender, call for a meeting between Sales, Finance, HSE, Operations, and Training & HR department heads, ☐ Sales receive price from Procurement, ☐ Information & additional statement & other by sales (if needed), ☐ Send to Finance for costing & rates, Schedules of rate by Finance and final quotation send by Sales, ☐ Head of Sale department will sign the quotation and send to client by Sale Executive ☐ Follow up through Email/Phone after 2 or 3 days, ☐ L.P.O, ☐ Follow up with operations for status of delivery of vehicles, ☐ Mobilization from operations, and ☐ Agreement (upon mobilization).	

clause #	QMS Requirements	Auditee(s)	Reference[1]	Remarks
8.2.2	Have the processes been implemented for • Identification of product requirements, including applicable statutory and regulatory requirements? • Ability to meet the defined requirements and substantiate the claims for the products or services?	Sales	Driver report to concern department/section, upon work order the vehicle is sent to workshop where the Foreman confirm the problem, write down the problem via vehicle checklist, job card # 11654, the technician complete the job and foreman test the vehicle finally.	
8.2.3	How are the following requirements determined? • Customer specified requirements including delivery and post-delivery. • Requirements not stated by the customer but necessary for specified or intended use when known. • Statutory and regulatory requirements applicable to the product. • Any additional requirements considered necessary by the organization.	Sales		
8.2.3	Is there a process in place to • Review requirements specified by the customer? • Consider requirements not stated by the customer, but necessary? • Identify the applicable statutory and regulatory requirements for the products or services? • Handle order changes? • Review of customer orders prior to order acceptance? Also, are documented information maintained as a result of the review and handling of change orders.	Sales	Refer to 8.2.1	
	Are Requirements related to the product reviewed prior to the commitment to supply a product to the	Sales, Purchase	Refer to 8.2.1	

clause #	QMS Requirements	Auditee(s)	Reference[1]	Remarks
8.2.3	customer?			
8.2.3	Does the review activity ensure: • Product requirements are defined? • Contract or order requirements differing from those previously expressed are resolved? • The organization's ability to meet defined requirements?	Sales	Refer to 8.2.1	
8.2.3	How will it be demonstrated that the organization confirms customer requirements when no documented statement of requirement is provided by the customer?	Sales	Through Email always	
8.2.4	How will the relevant documented information amended, and persons made aware of the changes, when the requirements are changed?	Sales		
8.3	*Design and development of products and services*			
8.3.2	Is evidence available that the organization plans and controls the design and development of products and services, considering the nature, duration and complexity of the design activities?	N/A		
8.3.2	Is the following determined during design and development planning? • The design and development stages • The review, verification and validation appropriate to each design and development stage. • The responsibilities and authorities for design and development.	N/A		
8.3.2	Are the interfaces between different groups involved in design and development managed to ensure effective communication and clear assignment of responsibility, including involvement of customer and/or user groups?	N/A		

clause #	QMS Requirements	Auditee(s)	Reference[1]	Remarks
8.3.2	Are documented information maintained to demonstrate that the design and development requirements have been met?	N/A		
8.3.3	Are inputs relating to product requirements determined and documented information maintained relating to: • Functional and performance requirements? • Applicable statutory and regulatory requirements? • Applicable information from previous similar designs? • Other requirements essential for design and development? • Level of control by customers and other relevant interested parties.	N/A		
8.3.3	What evidence is available to indicate that • Design and development inputs are reviewed for adequacy? • Requirements are complete, unambiguous and not in conflict with each other?	N/A		
8.3.4	*Design and development controls*			
8.3.4	Are controls in place to ensure • The results to be achieved are clearly defined? • Design and Development reviews are planned and conducted? • Verification activities are conducted to ensure all inputs are met? • Validation is conducted to ensure suitability for the intended use?	N/A		
8.3.4	Is verification performed to ensure that design and development outputs have satisfied the design and development input requirements?	N/A		

clause #	QMS Requirements	Auditee(s)	Reference[1]	Remarks
8.3.4	Is design and development validation conducted to ensure that the resulting product is capable of fulfilling the requirements for the specified or known intended use or application?	N/A		
8.3.5	Are controls in place to ensure • Input requirements have been met? • Outputs are adequate for the subsequent processes of the provision of products and services? • Identification of monitoring and measuring requirements, and the acceptance criteria? • Designed products are fit for intended purpose and their safe and proper use?	N/A		
8.3.5	Are documented information maintained for the design and development activities?	N/A		
8.3.6				
8.3.6	Are design and development changes: • Controlled during, and after, the design and development process? • Identified? • Reviewed? • Verified and validated as appropriate? • Evaluated for effect on constituent parts and delivered products? • Approved before implementation? • Considered to have no adverse impact on conformity to requirements	N/A		
	Are documented information on results of changes and any necessary actions maintained?	N/A		

clause #	QMS Requirements	Auditee(s)	Reference[1]	Remarks
8.3.6				
8.4	*Purchasing*			
8.4.1	What processes exist to ensure that externally provided processes, products and services conform to specified purchase requirements?	Purchase	Verification and confirmation of Deliverables with regards to quality and quantity as per the Agreement by the End User	
8.4.1	Are the requirements in 8.4.2 applied to all suppliers who • Provide products for incorporation in the products • Provide products directly to the customers • Provide full or partial outsourced process to the organization.	Purchase	There are no such products or services procured	
8.4.1	Are external providers evaluated and selected, monitored for performance and re-evaluated based upon their ability to supply product in accordance with the organization requirements?	Purchase	Prequalification record for Delta Digital System, reviewed	
8.4.1	Are documented information of the results of supplier evaluations and any necessary actions arising from evaluations maintained?	Purchase		☐ List of suppliers should be controlled with regards to approval & its identification [Obs.] ☐ There are 2 suppliers lists, these should be consolidated into one [Obs.]
8.4.2	*Type and extent of control*			
8.4.2	Does the external provider monitoring process take into consideration: • The type and extent of controls to be applied? • The potential impact of the externally provided processes, products and services on the ability to meet applicable statutory and regulatory requirements?	Purchase	yes	

clause #	QMS Requirements	Auditee(s)	Reference[1]	Remarks
	• The perceived effectiveness of the controls applied by the external provider?			
8.4.2	Have necessary verification processes been implemented to ensure the externally provided processes, products and services do not adversely affect the organization's ability to meet customer requirements?	Purchase	Yes	
8.4.2	Are controls of outsourced processes and functions remain within the scope of the organization's quality management system?	Purchase	Yes	
8.4.2	Are documented information maintained as a result of evaluation, monitoring and re-evaluation of external providers?	Purchase	Yes	
8.4.2	Have inspection or other activities necessary for ensuring that purchased product meets specified purchase requirements been established and implemented?	Purchase	Yes, in the scope of work in the inquiry, LPO etc.	
8.4.3	*Information for external providers*			
8.4.3	Does the organization ensure communication to external providers concerning: • Products and services to be provided or provided on behalf of organization? • Approval of products and services, methods, processes or equipment? • Competence of personnel, including needed qualification? • Interactions with the organization's quality management system? • Control and monitoring of the external provider's performance?	Purchase	These are specified and verified at the prequalification stage	

clause #	QMS Requirements	Auditee(s)	Reference[1]	Remarks
	• Notification of verification activities to be conducted by the organization at the external provider's premises?			
8.4.3	Is the adequacy of specified purchase requirements ensured prior to their communication to the supplier?	Purchase	Yes, signed by purchasing officer	
8.5	*Production and Service provision*			
8.5.1	*Control of production and service provision*			
8.5.1	Are production and service operations carried out under controlled conditions?	W/shop, Mass Transit, Taxi & Limousine	☐ Yes, the PFDs have been developed for the key processes ☐ The policies, SoPs and associated documents are approved by GM	
8.5.1	What evidence is available to demonstrate that controlled conditions include the following, as applicable? • The availability of information that describes the characteristics of the product. • The availability of the required documented information. • The use of suitable equipment. • The availability and use of monitoring and measurement resources. • The implementation of monitoring and measurement. • The implementation of release, delivery and post-delivery activities. • The competency requirements or qualification of	• QC • W/shop, • operations	☐ Procedure for QC is documented, doc # ABC-QMS-OCP.09, Rev # 01 ☐ The preventative maintenance is with the reference to operational & maintenance manuals, using the checklist (Vehicle inspection) ☐ Monitoring is based on judgment (normally), through unique # (job card) ☐ Characteristics of services are outlined in scope of work in the agreement	There is lack in control of services in operations department as many drivers were seen, for their issues/concerns, and not being attended properly [Minor NC]

clause #	QMS Requirements	Auditee(s)	Reference[1]	Remarks
	personnel. • The implementation of products and services release, delivery and post-delivery activities.			
8.5.1	Can it be demonstrated that measurement and monitoring of the product is carried out at various stages of the product realization process in accordance with planned arrangements?	W/shop, operations	through customer complaint and satisfaction	
8.5.1	Are production and service processes validated, and periodically revalidated, where the resulting output cannot be verified by subsequent monitoring or measurement?	W/shop, operations		
8.5.2	*Identification and traceability*			
8.5.2	Are process outputs identified, as appropriate, by suitable means throughout the product/service realization process?	Purchase W/shop, operations	☐ The software makes sure the unique # ing of transactions ☐ Though unique order #	
8.5.2	Is product status identified with respect to measuring and monitoring requirements throughout product realization?	Purchase W/shop, Mass Transit, Taxi & Limousine	Yes, the incoming product is identified by order #	
8.5.2	Is traceability a specified requirement? If so, is unique identification of the product outputs controlled and documented information maintained to ensure adequate traceability?	W/shop, Mass Transit, Taxi & Limousine	Yes, the incoming product have order #, so it can traced back to the supplier &/manufacturer	
8.5.3	*Property belonging to customers or external providers*			
8.5.3	Is customer property provided for the use or incorporation into the product under the control or use of the organization? If so, does a process exist which ensures that care is provided for customer or external provider property?	W/shop, Operations	The process is as follows: ☐ If lost some valuable, make a call to the regulatory body, the concerned company to ask the driver, if found, handover to customer and get signed	

clause #	QMS Requirements	Auditee(s)	Reference[1]	Remarks
8.5.3	Is the organization reporting to the customer or external provider, when their property is incorrectly used, lost, damaged or otherwise found to be unsuitable for use?	W/shop, Operations	☐ If not complained but found, take photo & upload completed form and send to regulatory body. ☐ If driver finds, but lies, cross checking by regulatory body is possible	
8.5.3	How will it be demonstrated that customer property is: Identified? Verified? Protected? Safeguarded?	W/shop, Operations		
8.5.3	Is lost, damaged, or unsuitable product reported to the customer?	W/shop, Operations		
8.5.4	*Preservation*			
8.5.4	How will it be demonstrated that product, and constituent parts of the product, are preserved during internal processing and delivery to the intended destination in order to maintain conformity to requirements?	Stores	Online inventory management system ☐ Enough storage arrangements ☐ Re order process (for minimum inventory]	
8.5.4	As applicable, are product preservation methods established, as appropriate, for: • Identification? • Handling? • Packaging? • Storage? • Protection?	Stores		
8.5.5	*Post-delivery activities*			
8.5.5	Is the organization meeting requirements for post-delivery activities?		The maintenance & inspection with reference to agreement	
8.5.5	With respect to post-delivery activities, are the following considered? • The risks associated • The nature, use and intended lifetime of the products and services			

clause #	QMS Requirements	Auditee(s)	Reference[1]	Remarks
	• Customer feedback • Statutory and regulatory requirements			
8.5.6	*Control of changes*			
8.5.6	Are documented information maintained describing the results of the review of the changes, the personnel authorizing the change, and the necessary actions?	MR	Control of change procedure and associated records	
8.6	*Release of products and services*			
8.6	Are planned arrangements in place to ensure achievement of the product and service requirements?	MR, Purchase	Yes	
8.6	Are documented information maintained as evidence of conformity with the acceptance criteria?	MR, Purchase	Yes	
8.6	Are controls in place to ensure that release of product and delivery of service to the customer do not proceed until all planned arrangements are satisfactorily completed? Do documented information identify the person authorizing the release?	MR, Purchase	Yes	
8.7	*Control of nonconforming outputs*			
8.7	Are products and services that do not conform to the requirements, identified and controlled to prevent their unintended use or delivery?	QC	☐ The meter will be frozen and identification of driver/car is noted ☐ Any non-conforming product/service is reported, and corrective action request is generated ☐ The non-conforming vehicle is sent to workshop & driver is asked to do needful	
8.7	Do the dispositions include any of the following? • Correction • Segregation, containment • Informing the customer • Obtaining authorization for use "as-is", continuation or acceptance under concession.	QC		
8.7	Are documented information maintained as evidence of	QC		

clause #	QMS Requirements	Auditee(s)	Reference[1]	Remarks
	conformity with the acceptance criteria?			
8.7	Are corrected nonconforming products and services verified for compliance after rework?	QC		
9	*Performance Evaluation*			
9.1.1	Has the organization identified • What has to be monitored • The methods for monitoring, measurement, analysis, evaluation • When the monitoring to be performed • When the results to be analyzed.	MR	Yes; Monitoring includes; ☐ Objectives & targets ☐ Customer satisfaction, ☐ Department wise KPIs, ☐ Customer complaints, and ☐ # of accidents	
9.1.1	Is documented information maintained to ensure that the monitoring and measurement activities are implemented in accordance with the above requirements?	MR	Yes	
9.1.1	Does this evaluation include review of the quality performance data to ensure effectiveness of the quality management system?	MR	Yes	
9.1.2	*Customer Satisfaction*			
9.1.2	Is information relating to customer perception to whether the organization has fulfilled customer requirements monitored?	MR	Yes	It is recommended to use date to calculate overall satisfaction & for a particular period of time & than analyses & evaluate [Sug.]
9.1.2	Is information obtained related to customer views and opinions of the organization and its products and services?	MR	Yes	
9.1.2	Is the method for obtaining and using the customer satisfaction information determined?	MR	Yes, through third party survey	
9.1.3	*Analysis and evaluation*			

clause #	QMS Requirements	Auditee(s)	Reference[1]	Remarks
9.1.3	Does the organization analyze and evaluate the data arising from monitoring and measurement activities?	MR, Purchase	Yes	☐ The analysis & evaluation on the performance of external suppliers should be conducted [Obs.]
9.1.3	Is the organization using the sources of data to • Demonstrate conformity of products and services to requirements? • Assess and enhance customer satisfaction? • Ensure conformity of effectiveness of the quality management system? • Demonstrate that planning has been successfully implemented? • Assess the performance of processes? • Assess the performance of external providers? • Determine the need or opportunities for improvement within the quality management system?	MR, HR, HSE, QC, W/shop, Sales, Stores, Operations and Purchase	☐ Lost and found, # of complaints, cases open, customer follow ups, handover to person, handover to police, handover to charity, disposed by stores ☐ Vehicles washed for a specified period ☐ Vehicle inspected ☐ regulatory violation (total fine, company fine, driver fine, company black points, driver black points) ☐ # of accidents, Evaluation by HSE	☐ W/shop performance parameter should identified, data collected (monitored) & analyzed [Obs.] ☐ Recommended to identify performance indicator data collected (monitoring) & analyzed and evaluated [Sug.] ☐ Recommended to analyze the data that is gathered over time and evaluated [Sug.]
9.1.3	Are the results of the above analysis provided as input to management review?	MR	Yes	
9.2	*Internal Audits*			
9.2.1	Does the internal quality audit activity determine whether the quality management system: • Conforms to planned arrangements? • Conforms to ISO 9001:2015? • Conforms to quality management system requirements established by the organization? • Is effectively implemented and maintained?	MR	Yes, In the procedure, doc # ABC-QMS-P.02, Rev # 01, Internal audit by 3rd Party	

clause #	QMS Requirements	Auditee(s)	Reference[1]	Remarks
9.2.2	Is evidence available to confirm that internal audits are conducted at planned intervals based upon: • The status and importance of the processes and areas to be audited? • The results of previous audits? • Customer feedback? • Changes impacting the organization?	MR	Yes, these are as follows; ☐ Criteria: 9001:2015 ☐ Scope: MR, Purchase, HR, Sales & Marketing, Operations, Store, Workshop ☐ Frequency: Annual ☐ Method: review of documents and records, discussion with top & middle management, interviewing of staff, observation of practices ☐ Audit conducted on 14 & 15 July 2022 with 03 major NCs and 15 minor NCs	
9.2.2	Have audit criteria, scope, frequency and methods been defined?	MR		
9.2.2	Is evidence available to confirm that internal auditors do not audit their own work, and are objective and impartial of the audit process?	MR	The audit has been conducted by the third party Auditor,	
9.2.2	Does the management responsible for the area being audited ensure that any necessary corrections and corrective actions are taken without undue delay to eliminate detected Nonconformities and their causes?	MR	Yes, it's the department Heads who take the corrective action with support from the GM, if needed	
9.2.2	Are documented information maintained as evidence of the implementation of the audit program and the audit results?	MR	The Audit Plan and Audit Report are available	
9.3	*Management Review*			
9.3.1	Does GM review the quality management system at planned intervals to ensure its continuing suitability, adequacy and effectiveness?	MR	The management review meeting to be conducted after the internal audit	It is recommended to conduct MRM on monthly basis; however with shorter agenda (as explained to MR) [Sug.]
9.3.1	Does management review evaluate the need for changes to the quality management system, including the quality policy and quality objectives?	MR	The quality objectives are set at department level by the department Heads in liaison with the other management & staff and reviewed & approved by the GM	
9.3.1	Is documented information maintained as the result of	MR	The minutes of last year dated august 03/08/2017, reviewed	

clause #	QMS Requirements	Auditee(s)	Reference[1]	Remarks
	management reviews?			
9.3.2	Do the inputs to management review include information on the following (including quality indicators (if any): • Results of audits • Customer Satisfaction • Nonconformities and Corrective Actions • Monitoring and measurement results • Issues concerning external providers and other relevant interested parties • Adequacy of resources • Process performance and conformity of products and services • Effectiveness of actions taken to address risks and opportunities. • Performance of external suppliers.	MR	yes	
9.3.3	Do the outputs from management review include decisions and actions related to: • Improvement of the effectiveness of the quality management system and its processes? • Improvement of product related to customer requirements. • Resource needs.	MR	yes	
9.3.3	Are documented information maintained as evidence of management reviews?	MR	yes	
9.3.3	Does management review evaluate the need for changes to the quality management system, including the quality policy and quality objectives?	MR	yes	
10.1	*Improvement*			
	Is the organization selecting opportunities for	MR, HR, HSE, QC, W/shop,	☐ The organization trying to bring about improvement	

clause #	QMS Requirements	Auditee(s)	Reference[1]	Remarks
10.1	improvement and implementing necessary actions to meet customer requirements?	Sales, Stores, Operations and Purchase	through setting and achieving qualify objectives, setting and monitoring KPIs, effectively managing internal & external audits, effectively conducting management review meetings, through analysis and evaluation of data, benchmarking and effective corrective action etc.	
10.1	Is the organization taking actions to prevent nonconformities, improve products and services, and improve the overall quality management system results?	MR	☐ Meeting with Client by sales and operations & listening to their concerns ☐ Training Programme for drivers ☐ Driver performance monitoring through the in-house software	
10.2	*Nonconformity and corrective action*			
10.2	In the presence of a nonconformity, does the organization • React to the nonconformity by taking actions to control and correct it, and dealing with its consequences? • Evaluate the need for action to eliminate the cause? • Implement any action needed? • Review the effective of any corrective action? • Make change to the quality management system?	MR, HR, QC, W/shop, Sales, Stores, Mass Transit, Taxi & Limousine, Purchase	☐ Yes, upon detection of a nonconformity e.g through internal audit, external audit, customer complaint, regulatory concern, decided by GM, or D/Head, an effective corrective action process is initiated till the closeout of it through verifying it effectively. ☐ Ref: ABC-QMS-P.03, Rev # 01, nonconformance and corrective action and associated forms	
10.2	In the presence of a nonconformity, does the organization react to the nonconformity by taking actions to control and correct it, and dealing with its consequences?	MR, HR, QC, W/shop, Sales, Stores, Operations, Purchase	yes	
10.2	Are actions taken appropriate to the effects, or potential effects of the nonconformity?	MR, HR, QC, W/shop, Sales, Stores, Operations, Purchase	yes	
10.2	Is action taken to eliminate the causes of	MR, HR, QC, W/shop, Sales,	yes	

clause #	QMS Requirements	Auditee(s)	Reference[1]	Remarks
	nonconformities in order to prevent recurrence?	Stores, Operations, Purchase		
10.2	Is documented information maintained to show the nature of the nonconformity and any subsequent actions taken, and the results of any corrective action taken?	MR, HR, QC, W/shop, Sales, Stores, Operations, Purchase	Yes	
10.3	Continual Improvement			
10.3	Is the organization continually improving the suitability, adequacy and effectiveness of the quality management system?	MR, HR, QC, W/shop, Sales, Stores, Operations, Purchase	Refer 10.1	
10.3	Are the outputs of analysis and evaluation, and the outputs from the management review process used to identify the areas of underperformances?	MR, HR, QC, W/shop, Sales, Stores, Operations, Purchase		
	Are specialized tools and methodologies used for investigation of the causes of underperformance?	MR, HR, QC, W/shop, Sales, Stores, Operations, Purchase		
	How is it demonstrated that the effectiveness of the quality management system is being continually improved?	MR, HR, QC, W/shop, Sales, Stores, Operations, Purchase		