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Process Assessment

Step 1 Enter the process name(s) in cells 'B27' to 'B48'. Once you have entered the process name(s), they will copy through to the relevant sections of the remaining worksheets.

Step 2 Assess the criteria for ranking the status of processes.

| | |
|--------------|---|
| 1 = Low | All performance indicators, metrics, objectives, audit results, etc. show stability and consistently achieve targets; |
| 2 = Medium | Minor problems exist, minor process or product changes planned; |
| 3 = High | Poor performance/adverse trends, expected results not achieved; |
| 4 = Critical | Metrics are non-conforming. Any process with major audit finding in past 12 months. |

Step 3 Assess the criteria for ranking how well the process is performed.

| | |
|--------------|--|
| 1 = Low | Consistently applying documented practice, possible benchmark performer; |
| 2 = Medium | Current practices conform but are not documented; |
| 3 = High | Practices are applied inconsistently; |
| 4 = Critical | Practices are non-conforming. |

Step 4 Assess the criteria for ranking the importance of processes.

| | |
|--------------|--|
| 1 = Low | Little to no risk of adversely affecting the environment, reputation, delivery, or profitability; |
| 2 = Medium | Minor adverse effect on the environment, reputation, delivery, or profitability; |
| 3 = High | Likely have a significant adverse effect on the environment, reputation, delivery, or profitability; |
| 4 = Critical | Likely to cause serious environmental issues or regulatory/compliance breach. |

Step 5 Audit frequency indicators will transfer to the 'Audit Programme' and the 'Audit Findings Tracker' for reference.

| | |
|---|---|
| ✔ | An audit should be scheduled at least once per year unless otherwise justified; |
| ⚠ | An audit should be scheduled within 12 weeks and an additional audit within 6 months; |
| ✘ | An audit should be scheduled within 4 weeks with an additional audit after 12 weeks and then reoccurring quarterly. |

| Audit Ref. | Process Name | Perceived Process Ranking | | | Perceived Effects on Ranking | | | Complaints | Any Known Corrective | |
|------------|----------------------------------|-------------------------------------|-----------|------------|-------------------------------------|-------------|-----|--------------------------|---------------------------|-----|
| | | Critical 4, High 3, Medium 2, Low 1 | | | Critical 4, High 3, Medium 2, Low 1 | | | Actual No. of Complaints | Internal CA (Audits/N/Cs) | Ext |
| | | Status | Practices | Importance | Quality | Environment | H&S | Quantity | Quantity | |
| IA001 | Environmental Management System | 2 | 1 | 3 | 1 | 4 | 1 | 0 | 0 | |
| IA002 | Document Control | 1 | 1 | 2 | 2 | 1 | 1 | 0 | 0 | |
| IA003 | Evaluation of Aspects & Impacts | 2 | 2 | 2 | 1 | 3 | 1 | 0 | 0 | |
| IA004 | Manufacturing | 1 | 2 | 3 | 3 | 2 | 2 | 0 | 2 | |
| IA005 | Customer Service | 1 | 2 | 2 | 2 | 1 | 1 | 1 | 0 | |
| IA006 | <enter process name/description> | | | | | | | | | |
| IA007 | <enter process name/description> | | | | | | | | | |

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|----|----|----|----|
| 1 | A | B | C | D | E | F | G | H | I | J | K | L | M | N | O | P | Q | R | S | T | U | V | W | X | Y | Z | AA | AB | AC | AD |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|----|----|----|----|

Audit Findings Tracker

Step 7 Using the 'Findings Summary' section from the Internal Audit Checklist.docx, copy and paste grey the coloured cells into the corresponding cells below.

Please note that Columns 'A', 'B' & 'C' will automatically populate with information from the 'Process Assessment' worksheet.

| | | | | Context of the Organization | | | | | | | | | | | | | | Section 4.0 | Leadership | | | | | | | | | | |
|------------|----------------------------------|-----------|----------------|-----------------------------|---|-----|---|-----|---|---|---|---|----|-----|----|----|----|-------------|------------|----|----|----|----|----|----|----|----|----|----|
| Audit Ref. | Process Name | Indicator | Clause ▶ | 4.1 | | 4.2 | | 4.3 | | | | | | 4.4 | | | | | 5.1 | | | | | | | | | | |
| | | | Question No. ▶ | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | | 15 | 16 | 17 | 18 | 19 | 20 | 21 | 22 | 23 | 24 | 25 |
| Criteria ▼ | | | | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 | 17 | 18 | 19 | 20 | 21 | 22 | 23 | 24 | 25 | |
| IA001 | Environmental Management System | ✘ | OFI | 1 | 1 | | | | | 1 | | | | | | 1 | 1 | 5 | 1 | | | 1 | | | | | | | 1 |
| | | | Minor N/C | | 1 | | 1 | | | 1 | | | 1 | | | | | 4 | | | | | 1 | | | | | | |
| | | | Major N/C | | | | | 1 | | | | | | | | | 1 | 2 | | | 1 | | 1 | | | | | | |
| IA002 | Document Control | ✔ | OFI | | | | | | | | | | | | | | | 0 | | | | | | | | | | | |
| | | | Minor N/C | | | | | | | | | | | | | | | 0 | | | | | | | | | | | |
| | | | Major N/C | | | | | | | | | | | | | | | 0 | | | | | | | | | | | |
| IA003 | Evaluation of Aspects & Impacts | ⚠ | OFI | | | | | | | | | | | | | | | 0 | | | | | | | | | | | |
| | | | Minor N/C | | | | | | | | | | | | | | | 0 | | | | | | | | | | | |
| | | | Major N/C | | | | | | | | | | | | | | | 0 | | | | | | | | | | | |
| IA004 | Manufacturing | ✘ | OFI | | | | | | | | | | | | | | | 0 | | | | | | | | | | | |
| | | | Minor N/C | | | | | | | | | | | | | | | 0 | | | | | | | | | | | |
| | | | Major N/C | | | | | | | | | | | | | | | 0 | | | | | | | | | | | |
| IA005 | Customer Service | ✘ | OFI | | | | | | | | | | | | | | | 0 | | | | | | | | | | | |
| | | | Minor N/C | | | | | | | | | | | | | | | 0 | | | | | | | | | | | |
| | | | Major N/C | | | | | | | | | | | | | | | 0 | | | | | | | | | | | |
| IA006 | <enter process name/description> | ✔ | OFI | | | | | | | | | | | | | | | 0 | | | | | | | | | | | |
| | | | Minor N/C | | | | | | | | | | | | | | | 0 | | | | | | | | | | | |
| | | | Major N/C | | | | | | | | | | | | | | | 0 | | | | | | | | | | | |

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Audit Findings Charts

Step 8 Copy and paste the charts into your internal audit report or management review report.

Please note that the grey coloured columns will automatically populate with data from the 'Audit Findings Tracker' worksheet.

Environmental Management System Compliance

| Clause | OFI | Minor N/C | Major N/C | Quality Management System Compliance Charts |
|------------------------------------|-----|-----------|-----------|---|
| Context of the Organization | | | | |
| 4.1 | 1 | 2 | 0 | |
| 4.2 | 1 | 1 | 1 | |
| 4.3 | 1 | 2 | 0 | |
| 4.4 | 2 | 0 | 1 | |
| Leadership | | | | |
| 5.1 | 2 | 1 | 2 | |
| 5.2 | 1 | 1 | 1 | |
| 5.3 | 1 | 1 | 1 | |
| Planning | | | | |
| 6.1.1 | 1 | 1 | 1 | |

Processes Compliance

| Audit Ref. | Process Name | Total OFI | Total Minor N/C | Total Major N/C |
|------------|----------------------------------|-----------|-----------------|-----------------|
| IA001 | Environmental Management System | 31 | 28 | |
| IA002 | Document Control | 0 | 0 | |
| IA003 | Evaluation of Aspects & Impacts | 0 | 0 | |
| IA004 | Manufacturing | 0 | 0 | |
| IA005 | Customer Service | 0 | 0 | |
| IA006 | <enter process name/description> | 0 | 0 | |
| IA007 | <enter process name/description> | 0 | 0 | |
| IA008 | <enter process name/description> | 0 | 0 | |

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| | | | | | |
|---|---|---|---|---|---|
| A | B | C | D | E | F |
|---|---|---|---|---|---|

1 Non-conformity & Corrective Action Tracker

3 **Step 9** Issue corrective action reports to process owners to initiate the close-out of any non-conformances. Monitor progress and verify close-out.

5 Please note: the drop down box menu in Column 'B' is based on the processes that you entered in the 'Process Assessment' worksheet.

| CAR Ref | Process Name | CAR Type | How was it identified? | Description of the CAR | Non-conformance Report Ref. (If applicable) | |
|-----------|-----------------------------|-----------|------------------------|---|---|---------------|
| 8 CAR001 | Design & development | Minor N/C | Audit - Internal | Incorrect revision of environmental review minutes distributed to Design Team | Not applicable | Version contr |
| 9 CAR002 | Manufacturing & warehousing | Major N/C | Feedback - Customer | Incorrectly shipped item | NCR001 | Item was mis |
| 10 CAR003 | | | | | | |
| 11 CAR004 | | | | | | |
| 12 CAR005 | | | | | | |
| 13 CAR006 | | | | | | |
| 14 CAR007 | | | | | | |
| 15 CAR008 | | | | | | |
| 16 CAR009 | | | | | | |
| 17 CAR010 | | | | | | |
| 18 CAR011 | | | | | | |
| 19 CAR012 | | | | | | |
| 20 CAR013 | | | | | | |
| 21 CAR014 | | | | | | |
| 22 CAR015 | | | | | | |
| 23 CAR016 | | | | | | |
| 24 CAR017 | | | | | | |
| 25 CAR018 | | | | | | |
| 26 CAR019 | | | | | | |
| 27 CAR020 | | | | | | |
| 28 CAR021 | | | | | | |
| 29 CAR022 | | | | | | |
| 30 CAR023 | | | | | | |
| 31 CAR024 | | | | | | |
| 32 CAR025 | | | | | | |