

# DOUGHERTY COUNTY SCHOOL SYSTEM QUALITY MANAGEMENT SYSTEM - CHECKLIST

Audit Date: \_\_\_\_\_

Auditor Team Members: \_\_\_\_\_

Instructions: Per the internal audit schedule, notify the department manager and arrange for the date and time of the internal audit.

Report the scheduled date and time to the Lead Auditor for tracking.

Record the date and time of the audit here: \_\_\_\_\_

Record the person you talked with to arrange the internal audit: \_\_\_\_\_

Personnel contacted upon start of the audit: \_\_\_\_\_

- DCSS is required to establish, implement and maintain a quality management system and continually improve its effectiveness in accordance with the requirements of ISO 9001: 2000. In order to ensure this is accomplished the following requirements are established. Review these requirements and determine if DCSS is in compliance.

| YES | NO | REQUIREMENT  | RESULTS - SUMMARIZE & STATE COMPLIANCE |
|-----|----|--|--|
|     |    | Has DCSS identified the processes needed for the process management system along with their application throughout the organization?       |  |
|     |    | Has DCSS determined the sequence and interaction of the processes identified above?  |  |
|     |    | Has DCSS determined the criteria and methods needed to ensure that both the operation and control of these processes are effective?        |  |
|     |    | Has DCSS ensured the availability of resources and information necessary to support DCSS and monitoring of these processes?                |  |
|     |    | Is DCSS monitoring, measuring, and analyzing these processes?  |  |
|     |    | Is DCSS implementing the actions necessary to achieve planned results and continual improvement of these processes?                        |  |
|     |    | Does DCSS outsource any process that could affect quality? If yes, have the controls been identified within the process management system? |  |

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2. The process management system at DCSS is required include the following documentation. Review each section and state clearly where the evidence is documented. If it is not documented, a corrective action is required.

| YES            | NO                              | REQUIREMENT   | RESULTS - SUMMARIZE & STATE COMPLIANCE   |                |               |                         |     |                   |  |         |          |  |       |                                 |  |       |                                 |  |       |                     |  |     |                         |  |       |                 |  |       |                          |  |     |                       |  |       |                   |  |       |                   |  |
|----------------|---------------------------------|---|--|----------------|---------------|-------------------------|-----|-------------------|--|---------|----------|--|-------|---------------------------------|--|-------|---------------------------------|--|-------|---------------------|--|-----|-------------------------|--|-------|-----------------|--|-------|--------------------------|--|-----|-----------------------|--|-------|-------------------|--|-------|-------------------|--|
|                |                                 | Does DCSS have a documented quality policy statement?   |  |                |               |                         |     |                   |  |         |          |  |       |                                 |  |       |                                 |  |       |                     |  |     |                         |  |       |                 |  |       |                          |  |     |                       |  |       |                   |  |       |                   |  |
|                |                                 | Does DCSS have documented quality objectives?   |  |                |               |                         |     |                   |  |         |          |  |       |                                 |  |       |                                 |  |       |                     |  |     |                         |  |       |                 |  |       |                          |  |     |                       |  |       |                   |  |       |                   |  |
|                |                                 | Is there a documented quality manual?   |  |                |               |                         |     |                   |  |         |          |  |       |                                 |  |       |                                 |  |       |                     |  |     |                         |  |       |                 |  |       |                          |  |     |                       |  |       |                   |  |       |                   |  |
|                |                                 | Is there a documented procedure for control of documents as required by ISO 9001, element 4.2.3?  |  |                |               |                         |     |                   |  |         |          |  |       |                                 |  |       |                                 |  |       |                     |  |     |                         |  |       |                 |  |       |                          |  |     |                       |  |       |                   |  |       |                   |  |
|                |                                 | Is there a documented procedure for control of records as required by ISO 9001, element 4.2.4?  |  |                |               |                         |     |                   |  |         |          |  |       |                                 |  |       |                                 |  |       |                     |  |     |                         |  |       |                 |  |       |                          |  |     |                       |  |       |                   |  |       |                   |  |
|                |                                 | Is there a documented procedure for internal audits as required by ISO 9001, element 8.2.2?   |  |                |               |                         |     |                   |  |         |          |  |       |                                 |  |       |                                 |  |       |                     |  |     |                         |  |       |                 |  |       |                          |  |     |                       |  |       |                   |  |       |                   |  |
|                |                                 | Is there a documented procedure for control of nonconforming product as required by ISO 9001, element 8.3?  |  |                |               |                         |     |                   |  |         |          |  |       |                                 |  |       |                                 |  |       |                     |  |     |                         |  |       |                 |  |       |                          |  |     |                       |  |       |                   |  |       |                   |  |
|                |                                 | Is there a documented procedure for corrective action as required by ISO 9001, element 8.5.2?   |  |                |               |                         |     |                   |  |         |          |  |       |                                 |  |       |                                 |  |       |                     |  |     |                         |  |       |                 |  |       |                          |  |     |                       |  |       |                   |  |       |                   |  |
|                |                                 | Is there a documented procedure for preventive action as required by ISO 9001, element 8.5.3?   |  |                |               |                         |     |                   |  |         |          |  |       |                                 |  |       |                                 |  |       |                     |  |     |                         |  |       |                 |  |       |                          |  |     |                       |  |       |                   |  |       |                   |  |
|                |                                 | Has DCSS identified other documents not necessarily required by ISO 9001 but necessary to ensure the effective planning, operation and control of DCSS processes? |  |                |               |                         |     |                   |  |         |          |  |       |                                 |  |       |                                 |  |       |                     |  |     |                         |  |       |                 |  |       |                          |  |     |                       |  |       |                   |  |       |                   |  |
|                |                                 | Has DCSS identified the records required by ISO 9001 as well as DCSS requirements?  |  |                |               |                         |     |                   |  |         |          |  |       |                                 |  |       |                                 |  |       |                     |  |     |                         |  |       |                 |  |       |                          |  |     |                       |  |       |                   |  |       |                   |  |
|                |                                 | Review the list to the right and document next to the record where the record is identified.  | <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left; width: 10%;"><u>ISO Ele</u></th> <th style="text-align: left; width: 60%;"><u>Record</u></th> <th style="text-align: left; width: 30%;"><u>Where Identified</u></th> </tr> </thead> <tbody> <tr> <td>5.6</td> <td>Management Review</td> <td></td> </tr> <tr> <td>6.2.2.e</td> <td>Training</td> <td></td> </tr> <tr> <td>7.1.d</td> <td>Planning of Product Realization</td> <td></td> </tr> <tr> <td>7.2.2</td> <td>Review of Customer Requirements</td> <td></td> </tr> <tr> <td>7.4.1</td> <td>Supplier Evaluation</td> <td></td> </tr> <tr> <td>7.6</td> <td>Calibration (Warehouse)</td> <td></td> </tr> <tr> <td>8.2.2</td> <td>Internal Audits</td> <td></td> </tr> <tr> <td>8.2.4</td> <td>Monitoring &amp; Measurement</td> <td></td> </tr> <tr> <td>8.3</td> <td>Nonconforming Product</td> <td></td> </tr> <tr> <td>8.5.2</td> <td>Corrective Action</td> <td></td> </tr> <tr> <td>8.5.3</td> <td>Preventive Action</td> <td></td> </tr> </tbody> </table> | <u>ISO Ele</u> | <u>Record</u> | <u>Where Identified</u> | 5.6 | Management Review |  | 6.2.2.e | Training |  | 7.1.d | Planning of Product Realization |  | 7.2.2 | Review of Customer Requirements |  | 7.4.1 | Supplier Evaluation |  | 7.6 | Calibration (Warehouse) |  | 8.2.2 | Internal Audits |  | 8.2.4 | Monitoring & Measurement |  | 8.3 | Nonconforming Product |  | 8.5.2 | Corrective Action |  | 8.5.3 | Preventive Action |  |
| <u>ISO Ele</u> | <u>Record</u>                   | <u>Where Identified</u>   |  |                |               |                         |     |                   |  |         |          |  |       |                                 |  |       |                                 |  |       |                     |  |     |                         |  |       |                 |  |       |                          |  |     |                       |  |       |                   |  |       |                   |  |
| 5.6            | Management Review               |   |  |                |               |                         |     |                   |  |         |          |  |       |                                 |  |       |                                 |  |       |                     |  |     |                         |  |       |                 |  |       |                          |  |     |                       |  |       |                   |  |       |                   |  |
| 6.2.2.e        | Training                        |   |  |                |               |                         |     |                   |  |         |          |  |       |                                 |  |       |                                 |  |       |                     |  |     |                         |  |       |                 |  |       |                          |  |     |                       |  |       |                   |  |       |                   |  |
| 7.1.d          | Planning of Product Realization |   |  |                |               |                         |     |                   |  |         |          |  |       |                                 |  |       |                                 |  |       |                     |  |     |                         |  |       |                 |  |       |                          |  |     |                       |  |       |                   |  |       |                   |  |
| 7.2.2          | Review of Customer Requirements |   |  |                |               |                         |     |                   |  |         |          |  |       |                                 |  |       |                                 |  |       |                     |  |     |                         |  |       |                 |  |       |                          |  |     |                       |  |       |                   |  |       |                   |  |
| 7.4.1          | Supplier Evaluation             |   |  |                |               |                         |     |                   |  |         |          |  |       |                                 |  |       |                                 |  |       |                     |  |     |                         |  |       |                 |  |       |                          |  |     |                       |  |       |                   |  |       |                   |  |
| 7.6            | Calibration (Warehouse)         |   |  |                |               |                         |     |                   |  |         |          |  |       |                                 |  |       |                                 |  |       |                     |  |     |                         |  |       |                 |  |       |                          |  |     |                       |  |       |                   |  |       |                   |  |
| 8.2.2          | Internal Audits                 |   |  |                |               |                         |     |                   |  |         |          |  |       |                                 |  |       |                                 |  |       |                     |  |     |                         |  |       |                 |  |       |                          |  |     |                       |  |       |                   |  |       |                   |  |
| 8.2.4          | Monitoring & Measurement        |   |  |                |               |                         |     |                   |  |         |          |  |       |                                 |  |       |                                 |  |       |                     |  |     |                         |  |       |                 |  |       |                          |  |     |                       |  |       |                   |  |       |                   |  |
| 8.3            | Nonconforming Product           |   |  |                |               |                         |     |                   |  |         |          |  |       |                                 |  |       |                                 |  |       |                     |  |     |                         |  |       |                 |  |       |                          |  |     |                       |  |       |                   |  |       |                   |  |
| 8.5.2          | Corrective Action               |   |  |                |               |                         |     |                   |  |         |          |  |       |                                 |  |       |                                 |  |       |                     |  |     |                         |  |       |                 |  |       |                          |  |     |                       |  |       |                   |  |       |                   |  |
| 8.5.3          | Preventive Action               |   |  |                |               |                         |     |                   |  |         |          |  |       |                                 |  |       |                                 |  |       |                     |  |     |                         |  |       |                 |  |       |                          |  |     |                       |  |       |                   |  |       |                   |  |

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3. Were there any nonconformances found in this internal audit?    No, go to #6                       Yes, go to #4

4. List the question numbers and nonconformances found below:

Q# \_\_\_\_\_ N/C Found: \_\_\_\_\_

Q# \_\_\_\_\_ N/C Found: \_\_\_\_\_

Q# \_\_\_\_\_ N/C Found: \_\_\_\_\_

Q# \_\_\_\_\_ N/C Found: \_\_\_\_\_

Q# \_\_\_\_\_ N/C Found: \_\_\_\_\_

5. What are the corrective action request control numbers? \_\_\_\_\_  
\_\_\_\_\_

6. Describe how you shared the results of the internal audit with the department management and who you talked to below.  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

7. Record the date the audit report was completed and issued to the Lead Auditor for distribution:  
\_\_\_\_\_

\_\_\_\_\_  
Auditor Name (printed)                      Auditor Name (signed)                      Date

\_\_\_\_\_  
Auditor Name (printed)                      Auditor Name (signed)                      Date

\_\_\_\_\_  
Auditor Name (printed)                      Auditor Name (signed)                      Date

Lead Auditor Reviewed & Approved: \_\_\_\_\_ Date: \_\_\_\_\_

Lead Auditor Name Printed: \_\_\_\_\_

Comments / Opportunities for improvement concerning this internal audit or "N/A": \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_