The following is a checklist for process approach internal auditing conducted by Analytic Stress Relieving Inc. based on the ASRI Quality Management System in accordance with ASRI QA/NQA Manuals and is compliant to ISO 9001.

Date: **District:**

Product Realization Process– Sales and Order Processing

Ref	Requirements	Application	Auditor notes and evidence
QM-5.2, 7.1, 7.2, 7.4 QOP-72-01, 74-01	Determine HT requirements ▪ specified by the customer (including delivery and post-delivery); ▪ not stated by the customer, but necessary for specified or intended use; ▪ statutory and regulatory requirements related to the product; and ▪ any additional requirements determined by the company. Determine applicable methods, including statistical techniques, required for the measurement, analysis and improvement processes.	***1.*** *How are customer requirements determined and communicated?* ***2.*** *Establish communication matrix. Are they documented?* ***3.*** *Who processes this information and how is it done? Are there written procedures/instructions.* ***4.*** *Are there any requirements that are not stated by the customer but are necessary?* ***5.*** *Are regulatory requirements documented?* ***6.*** *Who determines, and how, what these additional requirements are?* ***7.*** *Review ASRI documentation:* *Client RFQ* *Quote* *Client Approval and Acceptance*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*
QM-4.1, 5.2, 7.1, 7.2, 7.4 QOP-72-01, 74-01	Prior to the project start, review requirements related to the HT processes to ensure that ▪ requirements are defined, ▪ any discrepancies and ambiguities are resolved, and documented ▪ company is able to meet the requirements. Maintain review records.	***1.*** *How are customer requirements reviewed, and by whom?* ***2.*** *Are Job Information Sheets and Client Approval sheets complete?* ***3.*** *Is a Project Checklist applicable?* ***4.*** *If discrepancies who is notified and how is this documented?* ***5.*** *Verify random documentation.*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*
QM-4.1, 5.2, 7.1, 7.2, 7.4 QOP-72-01, 74-01	Were Quotations and Client Approvals issued for all projects reviewed?	***1.*** *Are quotes, rate sheets or MA available and current?* ***2.*** *Are hard copies attached or referenced for finalization?* ***3.*** *Is it permissible to take and accept verbal orders? If so, are these orders confirmed? How?* ***4.*** *Review records (copies) of the confirmations, and Work Orders.* ***5.*** *Interview personnel for responsibilities and process.*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*

QM-4.1, 5.2, 7.1 QOP-72-01, 74-02, 82-03	When changing or amending orders, ensure that relevant documents are amended and that changes are communicated to relevant personnel.	***1**. How are change orders processed?* ***2.** Is there a system for amending documents?* ***3.** How is information communicated to relevant departments/personnel within the company?* ***4.** Review a sample of change orders to verify that procedures, instructions and/or training are being followed.*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*
QM-4.1, 5.2, 7.1 QOP-72-01, 74-02, 82-03	Determine and implement arrangements for ▪ communicating product information, ▪ handling enquiries, orders and change orders.	***1.** Are processes for communicating with customers adequately defined, to include policies, assignment of authorities and responsibilities, and methods (procedures, instructions, training)?* ***2.** Are these processes consistently implemented?* ***3.** Verify that component information and specifications is current and accurate.*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*

Product Realization Process – Purchasing (Measurement System)

Ref	Requirements	Application	Auditor notes and evidence
QM-7.3, 7.5, 8.1 QOP-73-01, 73-02, 73-03	Are current copies of qualified vendors and measuring equipment specifications available for review.	***1.** Verify current documentation and locations.* ***2.** Interview personnel to verify qualification process.* ***3.** Are PO's for measuring system components being noted on the PO as a vendor requirement?*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*
QM-7.3, 7.5, 8.1 QOP-73-01, 73-02, 73-03	In purchasing specifications include, where appropriate ▪ requirements for approval of product, procedures, processes and equipment; ▪ requirements for approval by receipt personnel, and ▪ quality management system requirements.	***1.** Review a sample(s) of purchase orders, especially those where the product is expected to come with certificates.* ***2.** Is there a process for non-conforming items?*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*

QM-7.3, 7.5, 8.1 QOP-73-01, 73-02, 73-03	Ensure adequacy of purchasing specifications before they are forwarded to suppliers.	***1.*** *How is adequacy of purchasing documents ensured?* ***2.*** *Are the documents reviewed and verified before release?* ***3****. Are there standard, pre-approved, specifications in the system?* ***4.*** *What other methods are used?*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*
QM-7.3, 7.5, 8.1 QOP-73-01, 73-02, 73-03	Is the internal PO system being utilized: ▪ access only to designated personnel ▪ proper approval sequence ▪ acquisition sheets utilized	***1.*** *Is the PO process understood?* ***2.*** *Is backup being reviewed by DM?* ***3.*** *Is there a formatting process for submittal to AP, and is it being properly utilized?* ***4****. Are third party charges noted in completed project files?*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*

Product Realization Process– Receiving (Measuring System)

Ref	Requirements	Application	Auditor notes and evidence
QM-7.3, 7.5, 8.1 QOP-73-01, 73-02, 73-03	Establish and implement activities for ensuring that purchased products meet specified purchase requirements.	***1.*** *What is being done to ensure purchased measuring system product conformity: certificates or inspection reports from supplier or independent labs?* ***2.*** *Select a sample(s) of purchased product categories and investigate for each what activities or arrangements are planned to ensure their conformity, how the plan is documented and communicated, and whether it is consistently implemented.*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*
QM-7.3, 7.5, 8.1 QOP-73-01, 73-02, 73-03	Are measuring system receiving logs maintained and current?	***1.*** *How are measuring system purchased products controlled?* ***2.*** *Are copies of testing or certification/conformance documentation available?* ***3.*** *Who is responsible for receipt inspection?* ***4.*** *Interview personnel responsible for receipt process.*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*

QM-8.2, 8.3 QOP-42-03, 73-01, 75-01, 82-02	Are processes available for receipt of non-conforming items?	***1.*** *Are there designated segregation areas for non-conforming items?* ***2.*** *Is there a CAR process?* ***3.*** *Are receipt personnel aware of the NC process?*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*

Product Realization Process – Measurement, Test Equipment and Components

Ref	Requirements	Application	Auditor notes and evidence
QM-5.2, 6.3, 7.4 QOP-63-01, 74-04	Protect and preserve the conformity of equipment in storage.	In warehouses, storage and staging areas: ***1.*** *Are there designated areas for storage of equipment: Check out, repair, non-conforming items?* ***2.*** *How are areas marked?* ***3.*** *Is the tagging system being utilized?* ***4.*** *Are maintenance logs being maintained?* ***5.*** *Is there a risk of cross-contamination?* ***6.*** *Who is responsible for management?*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*
QM-5.2, 6.3, 7.4 QOP-63-01, 74-04	Maintenance logs for HT Units Mobile Rigs / Generators Gas trains, blowers, hoses, vaporizers Vehicles	***1.*** *Ensure the use of suitable equipment.* ***2.*** *Is the equipment tested before it is used in production?* ***3.*** *Is tool wear monitored? How?* ***4.*** *Is proper testing resources utilized? (Power, Loads, Time & durations).* ***5.*** *Are 3rd party vendors utilized for any testing, and are these items being logged? (Calibrators, Gas Hoses, Generators……)*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*
QM-7.4, 7.5 QOP-73-03, 74-03, 75-01	Maintenance testing.	Witness testing of: ***1.*** *Time/temp recorders* ***2.*** *HT and Gas equipment.* ***3.*** *Interview personnel for process verification and record retention.*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*

QM-7.4, 7.5 QOP-73-03, 74-03, 75-01	Ensure that measuring equipment shall ▪ be calibrated or verified against traceable measurement standards, ▪ be adjusted or re-adjusted as necessary, ▪ be identified (also with calibration status), ▪ be safeguarded from improper adjustments, and ▪ be protected from damage and deterioration. Maintain calibration records.	***1.*** *Is there an inventory of measuring devices?* ***2.*** *Are all active devices calibrated?* ***3.*** *Are calibration certificates, or other records, established and maintained and to date?* ***4.*** *Is traceability to national or international standards recorded?* ***5.*** *Is calibration (adjustment) frequency defined?* ***6.*** *Are measuring devices identified (unique serial numbers)?* ***7.*** *Are measuring devices identified with calibration stickers?* ***8.*** *How are devices safeguarded from unauthorized adjustments?* ***9.*** *Are measuring devices adequately protected during handling, maintenance and storage?*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*
QM-7.5 QOP-73-03	Recorder and Potentiometer Verification	Verify multiple instruments. Review the following: • *Calibration Certification* • *Instrument Stickers* • *Technician Certification* • *Verify retained documentation*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*
QM-4.2 Qop-42-02, 74-01, 74-03	Validate computer software used in the monitoring and measurement of specified requirements: *(Kids),* and /or documentation retention and verification.	***1.*** *Is computer software used in any monitoring and measurement?* ***2.*** *Is it in-house developed software?* ***3.*** *Can the software be changed or updated?* ***4.*** *Is the software validated?* ***5****. Are validation reports available?*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*

Product Realization Process– Production & Final Assessment

Ref	Requirements	Application	Auditor notes and evidence
QM4.2, 7.1, 8.2 QOP-74-01, 74-02, 74-03, 82-03	Ensure the availability of project/work specifications. Plan and implement measurement, analysis and improvement processes to demonstrate conformity of the HT process.	***1.*** *Are adequate project requirements and specifications (drawings, parts lists, math data, standards, samples, etc.) available to field personnel?* ***2.*** *Are the specifications approved and are they current?* ***3.*** *Randomly interview available technical personnel and ask about the production process.* ***4.*** *Who decides work instructions and process?* ***5.*** *Are process parameters (temperature, pressure, speed, etc.) defined?* ***6.*** *What is the process for reporting deviations or changes in the process requirements?*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*
QM-4.1, 7.1 QFOP-63-01, 74-01	Ensure the use of suitable / adequate equipment.	***1.*** *Who selects/specifies production equipment?* ***2.*** *Is equipment/tooling tested before it is used in production?* ***3.*** *Is tool wear monitored, and how?*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*
QM-4.2, 7.1, 7.4 QOP-74-01, 74-02, 82-03	Ensure the implementation of release, pre and post project HT quality and safety documents.	***1.*** *Are there defined responsibilities for completion for the project?* ***2.*** *Are Client Approvals signed by client prior to HT process?* ***3.*** *Are DWRs completed in accordance with QTP?* ***4.*** *Are JSA's properly completed?*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*

QM-5.2, 7.1, 7.4 **QOP-72-01, 74-01, 82-03**	Validate processes where the resulting output cannot be verified by subsequent monitoring or measurement. Establish arrangements for these processes including, as applicable ▪ criteria for their review and approval, ▪ approval of equipment and qualification of personnel, ▪ use of specific methods and procedures, ▪ requirements for records, and ▪ revalidation.	***1.*** *Who is responsible for identifying processes requiring validation? (Client Designated Rep)* ***2.*** *How is it determined what controls, validations and arrangements shall be required for each such process (criteria for review and approval)? Trace from RFQ to Dispatch.* ***3.*** *Are process validation results recorded?* ***4.*** *Are processes revalidated (where appropriate)? Client Approvals / DWR's* ***5.*** *Select random sample(s) of processes that require validation and investigate how these processes were validated, and whether this complies with requirements.* ***6.*** *Are Client Approval Sheets signed prior to process?* ***7.*** *Are copies of the Furnace Chart being retained?* ***8.*** *Review as many completed project files as needed to establish compliance trending.*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*
QM-4.2, 7.1 **QOP-72-01, 74-02, 74-05, 74-04, 82-03**	Identify product and its acceptance (inspection) status throughout production. *(Furnace Applications)*	***1.*** *Establish internal WO communication. Identify responsibilities.* ***2.*** *Are furnaces and components uniquely identified while in process or in staging areas?* ***3.*** *Is the acceptance status identified? (Client Approvals signed prior to process start)* ***4.*** *Verify staging traceability of any component in the process or finalization areas.*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*
QM-5.2, 7.1, 7.4 **QOP-72-01, 74-01, 74-02, 82-03**	Maintain records of process and product conformity and the person(s) authorizing release of product. Verify completed project files for the following documentation: ▪ Quote ▪ Job Information Sheet ▪ Client Approval and Acceptance DWR ▪ Client and/or ASRI specifications or reference documentation ▪ JSA ▪ Nonconformance's or Deviations	***1.*** *Are all process monitoring activities and their results recorded?* ***2.*** *Is the identity of the inspecting/testing personnel recorded and client acceptance recorded?* ***3.*** *Review samples of completed project files and verify the integrity traceability and acceptance.* ***4.*** *Review as many completed project files as needed to establish compliance trending.* ***5.*** *Verify that rework operations do not compromise the integrity of the traceability system.*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*

QM7.1, 7.2, 8.2 QOP-42-02, 82-03	Are projects invoiced in a timely manner	***1.*** *Review receipt of completed project documentation and invoicing process.* ***2.*** *Are quotations and or contractual information available and current?* ***3.*** *Are preliminary invoices reviewed and approved for final release?* ***4.*** *Is documentation present in file for invoicing?* ***5.*** *Are invoice logs maintained?*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*
QM-5.4, 7.1, 8.5 QOP-74-03, 82-03	Continual Improvements	***1.*** *Are ASRI Continual Improvement Survey's distributed with invoicing?* ***2.*** *Is there objective proof of compliance?*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*

Measurement and Improvement Process – Control of Nonconforming Product

Ref	Requirements	Application	Auditor notes and evidence
QM-5.4, 7.2, 8.2, 8.3 QOP-74-03, 83-01, 85-02	Identify and control nonconforming processes or components to prevent its unintended use and/or delivery.	***1.*** *Is there a procedure for identifying, controlling and dealing with nonconforming product?* ***2.*** *Is the identification (labels, tags, etc.) firmly attached /affixed to the product or its container?* ***3.*** *Are nonconforming products segregated? How?* ***4.*** *Are there arrangements to identify/segregate nonconforming (purchased) product in receiving, inspection or storage areas?* ***5.*** *Are personnel trained in the uses of the procedure for identifying non-conforming items?*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*
QM-5.4, 7.2, 8.2, 8.3 QOP-74-03, 83-01, 85-02	Deal with nonconforming processes or components by ▪ eliminating the nonconformity (rework), ▪ authorize its use, release or acceptance (accept as-is under concession), or ▪ preclude its original use or application (scrap or re-grade).	***1.*** *Are responsibilities assigned for making NC disposition decisions?* ***2.*** *Are these decisions documented?* ***3.*** *How is this documentation associated with the actual product (control number, special stickers/tag, copy of the NCR report attached to the product, etc.)?* ***4.*** *When accepting NC products, how is it determined whether customer concession is required or not?* ***5.*** *Who has the authority to accept NC products under a concession?*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*

QM-5.4, 7.2, 8.2, 8.3 QOP-74-03, 83-01, 85-02	Maintain records of the nature of nonconformities and any subsequent action taken.	***1.*** *Are there records describing the nature of nonconformities and actions taken?* ***2.*** *Are they traceable to specific product batches or shipments?* ***3.*** *How long are these records retained?*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*

Measurement and Improvement Process – Corrective and Preventive Action

Ref	Requirements	Application	Auditor notes and evidence
QM-5.4, 7.2, 8.2, 8.3 QOP-74-03, 83-01, 85-02	Take actions to eliminate causes of nonconformities to prevent recurrence.	***1.*** *How many corrective actions have been initiated through the period?* ***2.*** *How many are open?* ***3.*** *How long have they been open?* ***4.*** *Are there due dates?*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*
QM-8.3, 8.5 QOP-74-02, 83-01, 85-02	Establish documented procedure for ▪ reviewing nonconformities (including customer complaints), ▪ determining causes, ▪ evaluating the need for corrective action, ▪ determining and implementing corrective actions, ▪ recording the results of actions taken, and ▪ reviewing corrective actions.	***1.*** *Is there a documented procedure for corrective actions?* ***2.*** *How are nonconformities identified and reviewed (nonconforming product/process reports, customer-returned product, product returned for servicing, customer complaints, etc.)?* ***3.*** *How are causes determined?* ***4.*** *Are they documented (CAR form?) How is the need for corrective actions determined (authorized personnel/managers issuing CARs)?* ***5.*** *How are the required actions determined and recorded (in a CAR form)?* ***6.*** *Are corrective actions followed up and are their results recorded?* ***7.*** *Are corrective actions reviewed (Management Review)?*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*

QM-8.3, 8.5 QOP-74-02, 83-01, 85-02	Take actions to eliminate causes of potential nonconformities to prevent occurrence.	***1.*** *How many preventive actions have been initiated through the period?* ***2.*** *Are they distinct from corrective actions? How?*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*
QM-8.3, 8.5 QOP-74-02, 83-01, 85-02	Establish documented procedure for ▪ determining potential nonconformities and causes, ▪ evaluating the need for preventive action, ▪ determining and implementing preventive actions, ▪ recording the results of actions taken, and ▪ reviewing preventive actions.	***1.*** *Is there a documented procedure for preventive actions?* ***2.*** *How are potential nonconformities determined (quality performance trends, customer complaints, service records, etc.)?* ***3.*** *How are causes determined?* ***4.*** *Are they documented (PAR form?)* ***5.*** *How is the need for preventive actions determined (are authorized personnel/managers issuing PARs)?* ***6.*** *How are the required actions determined and recorded (in a PAR form)?* ***7.*** *Are preventive actions followed up and are their results recorded?* ***8.*** *Are preventive actions reviewed (Management Review)?*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*

Measurement and Improvement Process– Internal QA Audits, Records and Files

Ref	Requirements	Application	Auditor notes and evidence
QM-4.4.1, 4.2, 5.4, 5.5, 7.1, 7.4, 8.2 QOP-442-01, 42-03, 72-02, 74-01, 74-03, 82-01, 85-01	Establish and maintain quality management system documentation to include: ▪ quality policy an quality objectives ▪ quality manual ▪ operational procedure ▪ specifications, drawings, work instructions ▪ records	***1.*** *Identify and verify district controlled documentation.* ***2.*** *If hard copies exists, are they current, and who is responsible for retention?* ***3.*** *Is there a quality manual, operational procedures (SOP)?* ***4.*** *How are completed files retained?* ***5.*** *Are electronic documents safeguarded?*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*

QM-4.2, 5.3 QOP-42-03, 83-01, 85-02	Establish retention and responsibilities ▪ Internal audits ▪ Nonconformance's ▪ CAR /PAR ▪ MIR	***1.*** *Identify and verify post or active documentation.* ***2.*** *Establish reporting responsibilities personnel.* ***3.*** *Establish delegation and follow up responsibilities.*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*
QM-4.2, 5.4, 7.1, 7.4, 8.5 QOP-42-01, 54-01, 72-01, 74-01, 85-01	Current ASRI standardized forms:	***1.*** *Verify district utilizing current Quality, Safety and ADM/ SOP forms* ***2.*** *Verify access to intra-net documentation and processes.*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*
QM-7.5, 8.2 QOP-63-01, 75-01	Applicable calibration policy and procedures	***1.*** *Verify district access and current issue.* ***2.*** *Verify personnel certification.* ***3.*** *Ensure district personnel who are certified for calibration maintain current QTP*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*
QM-6.2 SOP-HMRS-02	Employee/Personnel Files	***1****. Are employee files properly segregated in accordance with company SOP and HR requirements?* ***2.*** *Are all necessary acknowledgements signed and to date?* ***3.*** *Is access limited to authorized personnel?* ***4.*** *How are the files monitored for access?* ***5.*** *Are personnel approved for access?* ***6.*** *Is there objective evidence of permission issued for access?*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*

Measurement and Improvement Process – Customer Complaints & Satisfaction

Ref	Requirements	Application	Auditor notes and evidence
Q,-4.1, 5.6, 7.4, 8.5 QOP-54-01, 72-01, 72-02, 82-01, 85-01, 85-02	Determine and implement effective arrangements for communicating with customers regarding customer feedback and customer complaints.	***1.*** *Is there a system for receiving customer feedback and complaints (logs, complaint files, etc.)?* ***2.*** *Are responsibilities for handling customer complaints assigned?* ***3.*** *Is there a linkage with the corrective/preventive action system?*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*
QM-5.6, 7.1, 8.4 QOP-54-01, 82-01, 85-01, 85-02	Monitor information relating to customer satisfaction. Determine methods for obtaining and using this information on a district basis.	***1.*** *What type of information is received by the customer?* ***2.*** *How is this information obtained?* ***3.*** *How is this information processed and used for statistical analysis reported to management review?*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*

Resource Management Process – Personnel Competence and Skills

Ref	Requirements	Application	Auditor notes and evidence
QM-6.2 QOP-56-01, 62-01, 82-02, 85-01	Ensure that personnel performing work affecting product quality have appropriate education, training, skills and experience; and maintain records of their qualifications.	***1.*** *Are competence (training, skills and/or experience) records maintained for each employee?* ***2.*** *At a minimum does each district employee have Introductory certification?* ***3.*** *What is the format of these records and who maintains them?* ***4.*** *How do managers/supervisors responsible for assignment of work activities know who is competent to perform a particular job (training matrix)?*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*
QM-6.2 QOP-56-01, 62-01, 82-02, 85-01	▪ Determine the necessary competence requirements for personnel, ▪ provide training or take other actions to satisfy these needs, and ▪ evaluate the effectiveness of the training provided (or other actions taken).	***1.*** *Are there defined competence (education, training, skills and/or experience) requirements for each job/position affecting product quality?* ***2.*** *How are they documented?* ***3.*** *Are new employees formally trained for new jobs/positions? How?* ***4.*** *Is this training recorded?* ***5.*** *After completion of training, how is the effectiveness of the training evaluated?* ***6.*** *Is requalification testing utilized? (Required after 5yrs at same merit level)*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*

QM-6.2 QOP-56-01, 62-01, 82-02, 85-01	Ensure that personnel are aware of the relevance and importance of their work and how they contribute to the achievement of quality objectives. *(Annual Evaluations)*	***1.*** *Are employees aware of specific consequences of product deficiencies and failures (safety, environmental, customer dissatisfaction, etc.)?* ***2.*** *Are employees aware of the quality objectives relevant to their jobs/positions and do they know how, specifically, they can contribute to reaching these objectives?* ***3.*** *Are evaluations being conducted?* ***4.*** *Establish objective materials as proof of continuing instruction.*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*

Resource Management Process– Information, Document Control and IT

Ref	Requirements	Application	Auditor notes and evidence
QM-4.1, 4.2, 5.2, 7.1 QOP-42-02, 42-03, 82-02, 82-03	Establish and maintain records to provide evidence of conformity and effectiveness of the quality management system.	***1.*** *Are records maintained for a ten (10) year period?* ***2.*** *Are the records sufficient to demonstrate product and process conformity, and the conformity and effectiveness of the quality management system and its implementation?*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*
QM-4.2, 6.3, 7.4 QOP-42-02, 42-03, 74-05	Establish documented procedure for the identification, storage, protection, retrieval, retention time and disposition of records.	***1.*** *Do all files meet ASRI SOP requirements? Does it address the identification, storage, protection and retrieval of records?* ***2.*** *Are retention times and storage locations defined for all types of records?* ***3.*** *Are safeguards in place for electronic documentation?*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*
QM-4.2, 6.3, 7.4 QOP-42-02, 42-03, 74-05	Ensure that records remain legible, readily identifiable and retrievable.	***1.*** *Are records stored in dry, clean locations to protect them from deterioration?* ***2.*** *Are electronic records backed up?* ***3.*** *Are records readily retrievable (verify by asking for retrieval of specific records)?*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*

QM-4.2, 6.3, 7.4 QOP-42-02,42-03, 74-05	Electronically retained documentation	***1.*** *Are electronic documents accessible to management outside of the district?* ***2.*** *Is the information backed up? How?* ***3.*** *Establish responsibilities for retention.*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*

Resource Management Process– Facilities, Equipment and Work Environment (Safety)

Ref	Requirements	Application	Auditor notes and evidence
QM-6.1, 6.3, 6.4, 7.1, 8.2 QOP-54-01, 56-01, 74-04, 82-02,	Determine, provide and maintain infrastructure needed to achieve conformity to product requirements, to include: ▪ buildings, workspaces and associated utilities, ▪ process equipment, and ▪ supporting services.	***1.*** *Are buildings and facilities in good repair and properly maintained (look for leaking roofs, broken windows, contamination, infestation, etc.)?* ***2.*** *Is there sufficient space for office, production, storage, and other operations and activities (look for overcrowding, intermingling, cross-contamination, etc.)?* ***3.*** *Is organization and housekeeping of storage and work areas satisfactory?* ***4.*** *Is warehouse vehicles such as cranes and forklifts regularly maintained and serviced? (Tagged for Use)* ***5.*** *Are supporting services (communication, transportation, etc.) adequate?* ***6.*** *Verify condition of service vehicles, rigs, and generators. Ensure MSDS and applicable safety equipment is available and maintained.*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*
QM-6.3, 7.1 QOP-7404	Does the facility exhibit proper: ▪ emergency exits ▪ fire extinguisher locations ▪ safety shut offs ▪ disposable fuels storage	***1.*** *Are areas well defined and meet ASRI and regulatory requirements?* ***2.*** *Are Fire exits and extinguishers identified and maintenance?* ***3.*** *Are flammable materials contained properly identified containers or cabinets.* ***4.*** *Are disposable fluids properly disked and labeled.*	☐ *Satisfactory* ☐ *Unsatisfactory* ☐ *N/A*