

NATIONAL HIGHWAY AUTHORITY (NHA)

QUALITY ASSURANCE CELL

Checklist for 4th Internal QMS Audit

DOC#NHA/QAC/F-07 REV#03 Issued on 01 Sep 2021



Name of Sec/Cell/office/unit being audited		Name of Head/Incharge of the office (Auditee)			
Name of Internal QMS Auditor		Name of ATL			
Audit Date	Day : Month : 2021	No. of Major NC		No. of Minor NC	

PART - 1

(MANDATORY FOR ALL OFFICES)

Sr.#	Description	Yes	No	N/A	Remarks
A	Audit of Internal Audit (NHA Admn Manual Chapter 09, Clause 9.2 of ISO 9001:2015)				
A-1	Are the record of previous internal audits available? if the record not available, then <i>Major NC</i> <i>Explanation: If the office is undergoing for the first time for internal audit, then this clause is not applicable.</i>				
A-2	Are the non-conformities/observation raised (if any) during previous internal audits complied? <i>If not complied then Major NC</i>				
A-3	Are the record of corrective actions reported to the concerned? If not Minor NC				
B	Audit of Functions (NHA Admn Manual Chapter 09, Clause 4.4.1 of ISO 9001:2015)				
B-1	Is the list of functions available? <i>Major NC</i>				
B-2	Is the list of functions prepared on the ISO format? Minor NC				
B-3	Are the functions corresponds to the nature of the office? Minor NC				
B-4	Do the list have proper ISO number on it? Minor NC				
B-5	Does the relevant authority approve the list? Minor NC				

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B-6	Do the list have issue date on it				
C	Audit of Organization Chart (NHA Admn Manual Chapter 09, Clause 5.3 of ISO 9001:2015)				
C-1	Is the organization chart available? <i>If OC not available then Major NC</i>				
C-2	Is the organization chart, prepared on the ISO format? Minor NC				
C-3	Is the organization chart depicting all the posts of the office? Minor NC				
C-4	Do the organization chart have proper ISO number on it? Minor NC				
C-5	Does the relevant authority or office incharge approve the organization chart? Minor NC				
C-6	Do the organization chart have issue date on it? Minor NC				
D	Audit of Standard Operating Procedure (SOP)? (NHA Admn Manual Chapter 09, Clause 4.4.1 of ISO 9001:2015)				
D-1	Are the SOPs available? <i>If SOPs not available then Major NC</i>				
D-2	Are the SOPs prepared on the ISO format/template? Minor NC				
D-3	Are the steps of SOPs in logical sequence? Minor NC				
D-4	Do the SOPs have risks and mitigations? Minor NC				
D-5	Is the review period indicated in the SOP? Minor NC				
D-6	Do the SOP have issue date on it? Minor NC				
D-7	Are all the functions of Office/Section/Cell covered in the SOPs? Minor NC				
D-8	Do the steps of SOPs have proper timelines? Minor NC				
D-9	Does the relevant authority approve the SOPs? Minor NC				

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E	Audit of Job Description (JDs) (NHA Admn Manual Chapter 09, Clause 5.3 of ISO 9001:2015)				
E-1	Are the JDs available? <i>If JDs not available then Major NC</i>				
E-2	Are JDs, Organization chart and list of officers/officials corresponds with each other? Minor NC				
E-3	Do the JDs have KPIs? Minor NC				
E-4	Do the JDs linked with SOPs? Minor NC				
E-5	Do each statement of JD started with active verb? Minor NC				
E-6	Does the JD have proper ISO number on it? Minor NC				
E-7	Does the relevant authority approve the JDs? Minor NC				
E-8	Do the JDs have issue date on it? Minor NC				
F	Audit of SMART objectives (NHA Admn Manual Chapter 09, Clause 6.2 of ISO 9001:2015)				
F-1	Are SMART objectives available? <i>If Objective not available then Major NC</i>				
F-2	Are the objective developed according to the SMART rule?				
F-3	Do the objectives have proper ISO number on it?				
F-4	Does the relevant authority approve the objectives?				
F-5	Do the objectives have issue date on it?				
G	Audit of Quality Policy (NHA Admn Manual Chapter 09, Clause 5.2 of ISO 9001:2015)				
G-1	Is the Quality policy displayed in office at conspicuous places? <i>If QP not available then Minor NC</i>				
G-2	Are the Officers/officials and staff have adequate knowledge about the policy? Minor NC				

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H	Audit of interested parties (NHA Admn Manual Chapter 09, Clause 4.3 of ISO 9001:2015)				
H-1	Is the list of interested parties available? <i>If list not available then Major NC</i>				
H-2	Do the interested parties have proper ISO number on it? Minor NC				
H-3	Does the relevant authority approve the list of interested parties? Minor NC				
H-4	Do the list of interested parties have date on it? Minor NC				
I	Audit of identification and record (NHA Admn Manual Chapter 09, Clause 7.1.3, 7.1.4 and 7.5 of ISO 9001:2015)				
I-1	Are all the records have proper identification on them e.g. all the almirahs, cupboards etc Minor NC				
I-2	Do all the rooms (offices, kitchen, bathroom etc) have nameplates/identification on them? Minor NC				

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PART - 2

(INDEPENDENT BUILDINGS/INDEPENDENT OFFICES/MAINTENANCE UNITS/PROJECT OFFICES/ ADMN ETC)

J	Audit of housekeeping, washrooms and kitchen (NHA Admn Manual Chapter 09, Clause 7.1.4 of ISO 9001:2015)				
J-1	Is the washroom free of any unpleasant odor? <i>Minor NC</i>				
J-2	Is the rooms well lit? <i>Minor NC</i>				
J-3	Are the toilet bowl free of stains? <i>Minor NC</i>				
J-4	Are work surfaces, shelves & floor kept clean & tidy in the kitchens? <i>Minor NC</i>				
J-5	Are kitchen, service, & storage areas regularly checked for pest (mice, insects, etc) infestations? <i>Minor NC</i>				
K	Audit of vehicles and drivers (NHA Admn Manual Chapter 09, Clause 7.1.4 of ISO 9001:2015)				
K-1	Do the drivers have medical fitness certificates to drive vehicles? <i>Major NC</i>				
L	Audit of physical security? (NHA Admn Manual Chapter 09, Clause 7.1.4 of ISO 9001:2015)				
L-1	How many points of entry are there to the building? Are those entrances monitored? <i>Minor NC</i>				
L-2	Do all persons entering and exiting the building go through a security check? <i>Minor NC</i>				
L-3	Are doors and gates in good working order? <i>Minor NC</i>				
L-4	If large panes of glass are installed in the building, are they laminated with a security film to prevent forced entry? <i>Minor NC</i>				
L-5	Does the office have security guards? <i>Major NC</i>				

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L-6	Are the security guards properly trained? Minor NC				
L-7	Do the guards have weapon? Are the weapon in working condition? Minor NC				
M	Audit of CCTV? (NHA Admn Manual Chapter 09, Clause 7.1.4 of ISO 9001:2015)				
M-1	Are the perimeter of the building adequately covered by cameras? <i>If not Major NC</i>				
M-2	Are cameras able to switch automatically from daytime to night-time/low light mode? Minor NC				
M-3	Do cameras monitor the building entrances and exits? Minor NC				
N	Audit of Fire Fighting Arrangements? Clause (ii) of 26 of Regulations for Security Arrangements, Sub-Clause (iii) of "g" of 29 Regulations for Security Arrangements, Clause 6 of 28 Regulations for Security Arrangements, Clause 5 of 34 Regulations for Security Arrangements (Admn Manual-NHA)				
N-1	Are fire exits & escape routes free of obstructions? <i>If not, Major NC</i>				
N-2	Have staff been trained in use of fire extinguishers? Minor NC				
N-3	Are fire/evacuation drills carried out on quarterly basis? Minor NC				
N-4	Are the fire extinguishers adequate in type and the number? Minor NC				
N-5	Are the assembly areas marked? Minor NC				
N-6	Are the emergency evacuation maps displayed in the office building? <i>Major NC</i>				
N-7	Are the responsibilities of firefighting staff defined? Minor NC				
N-8	Are the records of maintenance of firefighting equipment available? Major NC				
O	Audit of First Aid (NHA Admn Manual Chapter 09, Clause 7.1.4 of ISO 9001:2015)				
O-1	Are first aid kits located on a prominent, accessible location and able to be retrieved promptly? <i>If first aid kit not available then Major NC</i>				
O-2	Are first aid kits maintained in proper condition and the contents are replenished as necessary? Minor NC				
O-3	Are the stretcher, wheel chair available in the office? <i>Major NC</i>				

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PART - 3

(Applicable where following present

Calibration sensitive equipment/laboratory/doctors/M&I/ETTM/PD ?)

P	Audit of equipment (Clause 7.1.5 of ISO 9001:2015)				
P-1	Is the list of equipment available? Minor NC				
P-2	Is the list of calibration sensitive equipment available? Minor NC				
P-3	Are the calibration certificates available? <i>Major NC</i>				
P-4	Does the accredited lab perform the calibration? <i>Major NC</i>				
P-5	Is calibration have national and international traceability? <i>Major NC</i>				

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