

NATIONAL HIGHWAY AUTHORITY (NHA)
QUALITY ASSURANCE CELL
 Checklist for 5th Internal QMS Audit
 DOC#NHA/QAC/F-07 REV#00 Issued on 01 April 2022



Name of Sec/Cell/Office/Unit being audited					
Name of Internal QMS Auditor		Name of Head/Incharge of the office (Auditee)			
Audit Date	_____ Day : _____ Month : 2022	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? 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? Major NC				
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				

Signature of Auditor _____ Signature of Auditee _____

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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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Sr.#	Description	Yes	No	N/A	Remarks
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? Minor NC				
J-2	Is the rooms well lit? Minor NC				
J-3	Are the toilet bowl free of stains? Minor NC				
J-4	Are work surfaces, shelves & floor kept clean & tidy in the kitchens? Minor NC				
J-5	Are kitchen, service, & storage areas regularly checked for pest (mice, insects, etc) infestations? Minor NC				
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? Minor NC				
L-2	Do all persons entering and exiting the building go through a security check? Minor NC				
L-3	Are doors and gates in good working order? Minor NC				
L-4	If large panes of glass are installed in the building, are they laminated with a security film to prevent forced entry? Minor NC				
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? <i>Minor NC</i>				
P-2	Is the list of calibration sensitive equipment available? <i>Minor NC</i>				
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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NATIONAL HIGHWAY AUTHORITY (NHA)
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Internal Audit Report and Corrective Action Request (CAR)
DOC#NHA/QAC/F-05 REV#00 Issued on 01 April 2022



Internal QMS Audit Report (In case of NCs):

The 5th internal QMS audit of _____ was performed on _____ by _____ . During the internal QMS audit _____ major NCs and _____ minor NCs were identified, which are mentioned on the internal QMS audit checklist.

Corrective Action Request (CAR):

The auditee is requested to inquire the root causes of the detected NCs (mentioned on the checklist) and take immediate corrective actions accordingly. The conformity report must be submitted to undersigned auditor within 05 working days along with CC to Director (ISO) and Zonal/HQ ISO Coordinator.

Internal QMS Audit Report (In case of No NCs):

The 5th internal QMS audit of _____ was performed on _____ by _____ . During the internal QMS audit, no NC was identified. Hence, no corrective action is requested.

Signature of Auditor _____ Signature of Auditee _____