FREE PROCESS QUALITY AUDIT TEMPLATE

Process Quality Audit Checklist

Use this 60-point checklist to audit process standards, people, inputs, sequence, critical parameters, equipment, in-process controls, handoffs, deviations, corrective action, process stability, and final sign-off.

Site / process | Audit date | Auditor | Process owner

1. Process scope, objectives, risks, audit criteria, and ownership

1 Confirm the site, department, process name, process owner, audit date, auditor, shift or operating period, and boundaries included in the process audit.
PROCESS QUALITY

NAME Enter | DATE / TIME Enter | APPROVAL Sign

Execution tip: Define the process boundaries and critical controls first so the audit tests one complete workflow rather than isolated questions.

2 Verify the process has defined objectives, customer or downstream requirements, quality targets, process standards, acceptance criteria, and expected outputs.
PROCESS QUALITY

Process / Step	Current	Owner	Evidence	Action

Execution tip: Define the process boundaries and critical controls first so the audit tests one complete workflow rather than isolated questions.

3 **Identify critical process steps, high-risk handoffs, critical-to-quality parameters, failure points, control limits, and customer-impacting deviations that require deeper sampling.** CRITICAL
PROCESS QUALITY

Controlled | Partial | Not controlled | N/A

Execution tip: Define the process boundaries and critical controls first so the audit tests one complete workflow rather than isolated questions.

4 **Review previous process-audit findings, defects, customer complaints, rework, scrap, delays, service failures, incidents, deviations, and overdue corrective actions.** CRITICAL
PROCESS QUALITY

Controlled | Needs action | Critical | EVIDENCE Add

Execution tip: Define the process boundaries and critical controls first so the audit tests one complete workflow rather than isolated questions.

5 Confirm the audit method, sampling logic, evidence requirements, scoring rules, critical-failure criteria, and escalation thresholds are agreed before the audit starts.
PROCESS QUALITY

Controlled | Partial | Not controlled | N/A

Execution tip: Define the process boundaries and critical controls first so the audit tests one complete workflow rather than isolated questions.

6 Assign ownership for process controls, materials, equipment, training, records, deviations, corrective actions, verification, and final management sign-off.
PROCESS QUALITY

Process / Step	Current	Owner	Evidence	Action

Execution tip: Define the process boundaries and critical controls first so the audit tests one complete workflow rather than isolated questions.

2. Process documentation, SOP control, workflow definition, and change management

7 **Verify the latest approved process map, SOP, work instruction, specification, checklist, recipe, drawing, system workflow, or service standard is available at the point of work.** CRITICAL

PROCESS QUALITY

Process / Step	Current	Owner	Evidence	Action

Execution tip: Follow the current approved process document from input to output and look for where execution has drifted from the documented method.

8 Check process steps, responsibilities, inputs, outputs, quality gates, handoffs, approvals, and escalation points are clearly defined and understood by the team.

PROCESS QUALITY

Controlled | Partial | Not controlled | N/A

Execution tip: Follow the current approved process document from input to output and look for where execution has drifted from the documented method.

9 Confirm obsolete instructions, uncontrolled local files, outdated printouts, informal workarounds, and superseded visual references are removed from active use.

PROCESS QUALITY

Controlled | Partial | Not controlled | N/A

Execution tip: Follow the current approved process document from input to output and look for where execution has drifted from the documented method.

10 **Verify process changes are reviewed for quality impact before implementation and that affected documents, systems, training, controls, and records are updated together.** CRITICAL

PROCESS QUALITY

Controlled | Partial | Not controlled | N/A

Execution tip: Follow the current approved process document from input to output and look for where execution has drifted from the documented method.

11 **Check temporary process deviations, concessions, overrides, alternate methods, and emergency workarounds have documented authorization, expiry, scope, and recovery requirements.** CRITICAL

PROCESS QUALITY

Controlled | Partial | Not controlled | N/A

Execution tip: Follow the current approved process document from input to output and look for where execution has drifted from the documented method.

12 Record documentation gaps where unclear instructions, conflicting standards, missing approvals, or uncontrolled changes could create inconsistent process execution.

PROCESS QUALITY

Process / Step	Current	Owner	Evidence	Action

Execution tip: Follow the current approved process document from input to output and look for where execution has drifted from the documented method.

3. People competence, staffing, role clarity, and adherence to standard work

13 **Confirm employees performing quality-critical process steps have current induction, task training, competency verification, certification, or authorization required for the role.** CRITICAL

PROCESS QUALITY

Process / Step	Current	Owner	Evidence	Action

Execution tip: Observe real work across different employees or shifts where possible. Consistency is a process-quality issue, not only an individual performance issue.

14 Verify staffing and role coverage are adequate for the planned workload, quality checks, segregation, approvals, escalation, and handoff responsibilities.

PROCESS QUALITY

Controlled | Partial | Not controlled | N/A

Execution tip: Observe real work across different employees or shifts where possible. Consistency is a process-quality issue, not only an individual performance issue.

15 **Observe employees performing sampled process steps and compare actual practice with the approved standard rather than relying only on training records.** CRITICAL

PROCESS QUALITY

Controlled | Partial | Not controlled | N/A

Execution tip: Observe real work across different employees or shifts where possible. Consistency is a process-quality issue, not only an individual performance issue.

16 **Check operators understand process limits, defect criteria, stop or hold rules, escalation paths, and the actions required when output moves outside specification.** CRITICAL

PROCESS QUALITY

Controlled | Partial | Not controlled | N/A

Execution tip: Observe real work across different employees or shifts where possible. Consistency is a process-quality issue, not only an individual performance issue.

17 Confirm new employees, temporary workers, contractors, cross-trained staff, and relief operators receive the same required process controls before independent work.

PROCESS QUALITY

Controlled | Partial | Not controlled | N/A

Execution tip: Observe real work across different employees or shifts where possible. Consistency is a process-quality issue, not only an individual performance issue.

18 Review repeated operator errors, retraining needs, unclear ownership, shortcut behaviour, communication gaps, or workarounds that may indicate weak process design or training.

PROCESS QUALITY

Process / Step	Current	Owner	Evidence	Action

Execution tip: Observe real work across different employees or shifts where possible. Consistency is a process-quality issue, not only an individual performance issue.

4. Inputs, materials, information, supplier handoff, and readiness controls

19 **Verify required materials, ingredients, components, documents, data, approvals, work orders, customer inputs, or service information are available before the process begins.** CRITICAL

PROCESS QUALITY

Controlled | Needs action | Critical | EVIDENCE Add

Execution tip: Audit input readiness before the process starts. Poor inputs often create downstream defects that look like execution failures.

20 Confirm process inputs match the approved specification, revision, quantity, condition, batch, lot, order, recipe, configuration, or service requirement before use.

PROCESS QUALITY

Controlled | Partial | Not controlled | N/A

Execution tip: Audit input readiness before the process starts. Poor inputs often create downstream defects that look like execution failures.

21 **Check damaged, expired, incorrect, incomplete, unidentified, unapproved, or suspect inputs are segregated and prevented from entering the process.** CRITICAL

PROCESS QUALITY

Controlled | Partial | Not controlled | N/A

Execution tip: Audit input readiness before the process starts. Poor inputs often create downstream defects that look like execution failures.

22 Verify incoming checks, receiving verification, supplier documentation, quantity checks, certificates, data validation, or prerequisite approvals are completed where required.

PROCESS QUALITY

Controlled | Partial | Not controlled | N/A

Execution tip: Audit input readiness before the process starts. Poor inputs often create downstream defects that look like execution failures.

23 **Confirm substitutions, alternate inputs, missing information, partial deliveries, rush requests, or supplier deviations are formally reviewed before process use.** CRITICAL

PROCESS QUALITY

Controlled | Partial | Not controlled | N/A

Execution tip: Audit input readiness before the process starts. Poor inputs often create downstream defects that look like execution failures.

24 Review recurring input-quality problems, supplier failures, missing information, late inputs, or handoff errors that create process variation or downstream defects.

PROCESS QUALITY

Controlled | Needs action | Critical | EVIDENCE Add

Execution tip: Audit input readiness before the process starts. Poor inputs often create downstream defects that look like execution failures.

5. Process execution, sequence, in-process controls, and parameter management

25 **Observe the process from start to finish and verify the actual sequence, method, timing, settings, quantities, approvals, and handoffs follow the defined standard.** CRITICAL

PROCESS QUALITY

Controlled | Needs action | Critical | EVIDENCE Add

Execution tip: Spend the most time where variation can enter the process, such as settings, handoffs, timing, adjustments, approvals, and response to abnormal conditions.

26 **Confirm critical process parameters are monitored at the required frequency using defined methods, limits, control ranges, and escalation rules.** CRITICAL

PROCESS QUALITY

ACTUAL Enter | CONTROL LIMIT Enter | STATUS Record

Execution tip: Spend the most time where variation can enter the process, such as settings, handoffs, timing, adjustments, approvals, and response to abnormal conditions.

27 **Check in-process inspections, quality gates, confirmations, reconciliations, approvals, or verification steps occur at the required point rather than being completed retrospectively.** CRITICAL

PROCESS QUALITY

Controlled | Partial | Not controlled | N/A

Execution tip: Spend the most time where variation can enter the process, such as settings, handoffs, timing, adjustments, approvals, and response to abnormal conditions.

28 **Verify operators respond correctly when a parameter approaches or exceeds its control limit, including stop, hold, adjustment, escalation, or additional inspection where required.** CRITICAL

PROCESS QUALITY

ACTUAL Enter | CONTROL LIMIT Enter | STATUS Record

Execution tip: Spend the most time where variation can enter the process, such as settings, handoffs, timing, adjustments, approvals, and response to abnormal conditions.

29 **Confirm work-in-progress, batches, orders, transactions, jobs, service cases, or process stages are clearly identified so status and quality condition remain traceable.** CRITICAL

PROCESS QUALITY

Controlled | Partial | Not controlled | N/A

Execution tip: Spend the most time where variation can enter the process, such as settings, handoffs, timing, adjustments, approvals, and response to abnormal conditions.

30 Record skipped controls, wrong sequence, unstable parameters, excess variation, queue buildup, rework loops, handoff failures, or other conditions that weaken process consistency.

PROCESS QUALITY

Controlled | Needs action | Critical | EVIDENCE Add

Execution tip: Spend the most time where variation can enter the process, such as settings, handoffs, timing, adjustments, approvals, and response to abnormal conditions.

6. Equipment, tools, systems, maintenance, calibration, and process capability

31 Verify equipment, machines, tools, fixtures, gauges, software, scanners, scales, sensors, test devices, and other process resources are suitable and serviceable.

PROCESS QUALITY

Process / Step	Current	Owner	Evidence	Action

Execution tip: Trace one equipment setting or measurement through calibration, setup, actual reading, recorded result, and downstream decision to test the full control chain.

32 **Check setup, cleaning, maintenance, verification, calibration, validation, preventive servicing, and inspection requirements are current for quality-critical equipment.** CRITICAL

PROCESS QUALITY

ACTUAL Enter | CONTROL LIMIT Enter | STATUS Record

Execution tip: Trace one equipment setting or measurement through calibration, setup, actual reading, recorded result, and downstream decision to test the full control chain.

33 **Confirm expired, damaged, out-of-tolerance, unverified, or malfunctioning measurement and process equipment is prevented from unintended use.** CRITICAL

PROCESS QUALITY

Controlled | Partial | Not controlled | N/A

Execution tip: Trace one equipment setting or measurement through calibration, setup, actual reading, recorded result, and downstream decision to test the full control chain.

34 **Verify process settings, recipes, programs, machine parameters, software versions, fixtures, tooling, and device configurations match the approved standard.** CRITICAL

PROCESS QUALITY

ACTUAL Enter | CONTROL LIMIT Enter | STATUS Record

Execution tip: Trace one equipment setting or measurement through calibration, setup, actual reading, recorded result, and downstream decision to test the full control chain.

35 **Check equipment faults, alarms, drift, repeat adjustments, temporary repairs, slowdowns, or system errors are investigated for their effect on current and previously processed output.** CRITICAL

PROCESS QUALITY

Controlled | Partial | Not controlled | N/A

Execution tip: Trace one equipment setting or measurement through calibration, setup, actual reading, recorded result, and downstream decision to test the full control chain.

36 Review capability or performance data where available to identify unstable equipment, excessive variation, repeated breakdowns, overdue maintenance, or chronic process constraints.

PROCESS QUALITY

Process / Step	Current	Owner	Evidence	Action

Execution tip: Trace one equipment setting or measurement through calibration, setup, actual reading, recorded result, and downstream decision to test the full control chain.

7. In-process quality verification, sampling, defect detection, and reaction plans

37 **Verify required in-process checks are completed at the correct frequency and sample points using the approved inspection or test method.** CRITICAL

PROCESS QUALITY

Controlled | Needs action | Critical | EVIDENCE Add

Execution tip: Review both normal and failed samples. A strong reaction plan is visible in how teams respond when the process moves out of control.

38 **Check sample size, acceptance criteria, defect definitions, control limits, reaction rules, and inspection records match the process risk and approved quality plan.** CRITICAL

PROCESS QUALITY

ACTUAL Enter | CONTROL LIMIT Enter | STATUS Record

Execution tip: Review both normal and failed samples. A strong reaction plan is visible in how teams respond when the process moves out of control.

39 Confirm actual readings, observations, pass or fail decisions, defects, and exceptions are recorded at the time of inspection rather than reconstructed later.

PROCESS QUALITY

Controlled | Partial | Not controlled | N/A

Execution tip: Review both normal and failed samples. A strong reaction plan is visible in how teams respond when the process moves out of control.

40 **Verify failed samples trigger the defined reaction plan, including containment, additional sampling, process hold, adjustment, escalation, or investigation where required.** CRITICAL

PROCESS QUALITY

ACTUAL Enter | CONTROL LIMIT Enter | STATUS Record

Execution tip: Review both normal and failed samples. A strong reaction plan is visible in how teams respond when the process moves out of control.

41 **Check repeated borderline results, defect clusters, trend shifts, or process variation are recognized before they become a larger quality escape.** CRITICAL

PROCESS QUALITY

Controlled | Partial | Not controlled | N/A

Execution tip: Review both normal and failed samples. A strong reaction plan is visible in how teams respond when the process moves out of control.

42 **Confirm inspectors and operators can distinguish isolated defects from process-level failure and know when broader containment is required.** CRITICAL

PROCESS QUALITY

Controlled | Needs action | Critical | EVIDENCE Add

Execution tip: Review both normal and failed samples. A strong reaction plan is visible in how teams respond when the process moves out of control.

8. Handoffs, output control, traceability, release, and downstream protection

43 **Verify completed process output is clearly identified with status, batch, order, service case, date, location, owner, or other traceability information required downstream.** CRITICAL

PROCESS QUALITY

Controlled | Needs action | Critical | EVIDENCE Add

Execution tip: Follow one completed output into the next process step to verify release, traceability, status control, and handoff quality.

44 **Check accepted, pending, rejected, rework, hold, quarantine, incomplete, or exception status is clear and prevents unintended use or handoff.** CRITICAL

PROCESS QUALITY

Controlled | Partial | Not controlled | N/A

Execution tip: Follow one completed output into the next process step to verify release, traceability, status control, and handoff quality.

45 **Confirm process output is released to the next stage only after required checks, reconciliations, records, approvals, and quality gates are complete.** CRITICAL

PROCESS QUALITY

Controlled | Partial | Not controlled | N/A

Execution tip: Follow one completed output into the next process step to verify release, traceability, status control, and handoff quality.

46 Verify handoff information includes the details downstream teams need to continue work without assumptions, missing context, or repeated verification.

PROCESS QUALITY

Controlled | Partial | Not controlled | N/A

Execution tip: Follow one completed output into the next process step to verify release, traceability, status control, and handoff quality.

47 **Check defects discovered downstream can be traced back to the relevant process step, inputs, equipment, employee, batch, order, time period, or system record.** CRITICAL

PROCESS QUALITY

Controlled | Partial | Not controlled | N/A

Execution tip: Follow one completed output into the next process step to verify release, traceability, status control, and handoff quality.

48 Record premature release, weak status control, lost traceability, incomplete handoffs, mixed output, or downstream quality escapes requiring corrective action.

PROCESS QUALITY

Controlled | Needs action | Critical | EVIDENCE Add

Execution tip: Follow one completed output into the next process step to verify release, traceability, status control, and handoff quality.

9. Deviation, rework, root cause, corrective action, and effectiveness

49 **Verify process deviations, nonconformities, defects, rework, repeated errors, customer-impacting failures, and audit findings are formally recorded when required.** CRITICAL

PROCESS QUALITY

Controlled | Needs action | Critical | EVIDENCE Add

Execution tip: A corrective action is not complete when the fix is implemented. Verify the process remains stable and the same failure does not recur.

50 **Check immediate containment covers the full potentially affected quantity, period, batch, transaction group, location, or downstream output rather than only the first detected failure.** CRITICAL

PROCESS QUALITY

Controlled | Partial | Not controlled | N/A

Execution tip: A corrective action is not complete when the fix is implemented. Verify the process remains stable and the same failure does not recur.

51 **Confirm root-cause analysis identifies the underlying process, system, equipment, material, training, supplier, communication, or control failure rather than only restating the defect.** CRITICAL

PROCESS QUALITY

Controlled | Partial | Not controlled | N/A

Execution tip: A corrective action is not complete when the fix is implemented. Verify the process remains stable and the same failure does not recur.

52 **Verify corrective actions have a named owner, due date, priority, temporary control, expected outcome, resources, evidence requirement, and escalation route.** CRITICAL

PROCESS QUALITY

Controlled | Partial | Not controlled | N/A

Execution tip: A corrective action is not complete when the fix is implemented. Verify the process remains stable and the same failure does not recur.

53 Check rework, repair, retry, reprocessing, correction, or exception handling follows an approved method and is reverified before output returns to normal status.

PROCESS QUALITY

Controlled | Partial | Not controlled | N/A

Execution tip: A corrective action is not complete when the fix is implemented. Verify the process remains stable and the same failure does not recur.

54 **Confirm effectiveness checks demonstrate that the failure has not recurred and that corrective action has improved process control without creating new risks.** CRITICAL

PROCESS QUALITY

Controlled | Needs action | Critical | EVIDENCE Add

Execution tip: A corrective action is not complete when the fix is implemented. Verify the process remains stable and the same failure does not recur.

10. Process performance, trends, audit findings, management review, and sign-off

55 **Review process performance indicators such as defect rate, first-pass yield, rework, scrap, delays, complaints, downtime, inspection failures, cycle variation, or service errors where applicable.** CRITICAL

PROCESS QUALITY

Process / Step	Current	Owner	Evidence	Action

Execution tip: Use management review to focus on repeated variation, bottlenecks, defect trends, unstable controls, and systemic process improvement.

56 Compare performance by shift, location, line, operator group, product, supplier, batch, time period, or process stage to identify recurring or concentrated weaknesses.

PROCESS QUALITY

Controlled | Partial | Not controlled | N/A

Execution tip: Use management review to focus on repeated variation, bottlenecks, defect trends, unstable controls, and systemic process improvement.

57 **Record every audit finding with the process requirement, exact step or location, observed condition, objective evidence, risk, and immediate containment completed.** CRITICAL

PROCESS QUALITY

Controlled | Partial | Not controlled | N/A

Execution tip: Use management review to focus on repeated variation, bottlenecks, defect trends, unstable controls, and systemic process improvement.

58 **Classify findings consistently using the approved critical, major, minor, observation, or equivalent method and escalate systemic or customer-impacting failures promptly.** CRITICAL

PROCESS QUALITY

Controlled | Partial | Not controlled | N/A

Execution tip: Use management review to focus on repeated variation, bottlenecks, defect trends, unstable controls, and systemic process improvement.

59 Review unresolved findings, repeat failures, process instability, resource constraints, equipment issues, supplier problems, and opportunities for preventive improvement with responsible management.

PROCESS QUALITY

Controlled | Partial | Not controlled | N/A

Execution tip: Use management review to focus on repeated variation, bottlenecks, defect trends, unstable controls, and systemic process improvement.

60 **Record the final process-audit score, unresolved critical findings, corrective-action status, next audit date, auditor, process owner, approver, date, time, and sign-off.** CRITICAL

PROCESS QUALITY

NAME Enter | DATE / TIME Enter | APPROVAL Sign

Execution tip: Use management review to focus on repeated variation, bottlenecks, defect trends, unstable controls, and systemic process improvement.