

## Audit Preparation List

The Clarksville-Montgomery County School System Process Management system is based on eight quality principles:

*Customer focus*  
*Leadership*

*Involvement of people*  
*Process approach*

*Systems approach to management*  
*Continual improvement*

*Factual approach to decision-making*  
*Mutually beneficial supplier relationship*

Information found in parenthesis indicates ISO 9001:2000 requirements.

**"Evidence" is defined as hard copy, electronic, video, etc. depicting the information you are providing to the auditor.**

### QUALITY PRINCIPLES: CUSTOMER FOCUS, LEADERSHIP, and INVOLVEMENT OF PEOPLE

#### 1. Organizational chart (ISO 5.5.1)

- Ensure the department's organizational chart is up to date.
- Ensure all staff members can locate and have access to the organizational chart.

#### 2. Mission statement (ISO 5.3)

- What role does your department fulfill in carrying out the district's mission?
- Ensure staff members can locate and articulate the mission of the district and department, and how the job they perform assists the district's mission of student achievement.

#### 3. Measurable objectives (ISO 5.4.1)

- Provide evidence that the department has established and is tracking measurable objectives.
- Action Plan – How do you plan to achieve the measurable objectives?
  - Is data current; provide evidence depicting where are you at presently (baseline); where do you want to be (percentage of increase); are you meeting your objectives (demonstrate); if not, describe why, and your plan to change the results.
- How do you communicate measurable objectives of the department to all staff members?
- Ensure staff members are able to locate department measurable objectives and articulate their part in accomplishing those objectives.

#### 4. Meeting minutes (ISO 5.1)

- Provide evidence staff meetings are held and meeting minutes are maintained, included should be evidence of employee suggestions, preventive actions, and continual improvement objectives.
- Provide documented evidence of ways in which your department has improved to better serve internal and external customers.

#### 5. Employee feedback/suggestion (ISO 5.5.3)

- How do you obtain employee feedback/suggestions?
- Provide evidence you are documenting and tracking employee feedback/suggestions.
- What actions have you taken to address employee feedback/suggestions?

#### 6. Corrective and preventive action (ISO 8.1)

- Are employees aware of the Corrective Action process?
- Provide evidence that corrective and preventive actions are encouraged, tracked, acted upon, and documented.

#### 7. New employee department orientation (ISO 6.2.)

- Provide evidence that a department orientation is being conducted for new employees.

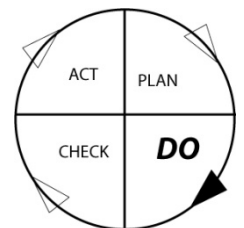
### QUALITY PRINCIPLES: PROCESS APPROACH and SYSTEM'S APPROACH TO MANAGEMENT

#### 8. Department procedures/processes (ISO 4.2)

- Ensure department procedures and work instructions are documented and contain the elements as prescribed by the CMCSS Process Management System.
- Ensure staff members are using the most current documented procedures.
- Do staff positions have appropriate documented procedures and/or work instructions?
  - Document those procedures/work instructions which meet one or more of the following criteria: (required to be performed with a high level of consistency; predictable outcome needed; used to collect vital data; involves a high level of customer interface).

#### 9. Competency, Awareness, Training and Recognition (ISO 6.2.1, 6.2.2)

- Provide evidence that employee training is effective.
- Provide evidence of employee training records.
- Is everyone in the department/division trained in Process Management?
- Does each staff position have a written job description on file?
- Are evaluations conducted within the guidelines of CMCSS policies and regulations?
- Does your department have an employee recognition program?



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### 10. Data disaster response plan (ISO 6.4)

- Provide evidence your department has a documented plan to prevent and minimize the loss of data.
- Provide evidence your department has a documented data disaster recovery plan.
- Ensure both plans have been disseminated to appropriate personnel.

### 11. Use of machines, tools or computers (ISO 7.6)

- Ensure documented procedures are in place for testing, monitoring and/or maintaining equipment (Calibration records).

### 12. Document control information (ISO 4.2)

- Ensure internal and external department documentation is controlled.
- Ensure record retention is maintained in accordance with CMCSS policies and regulations.
- Ensure time is allotted for document liaison to review and revise department procedures and documentation.

**QUALITY PRINCIPLES: CONTINUAL IMPROVEMENT, FACTUAL APPROACH TO DECISION-MAKING and MUTUALLY BENEFICIAL SUPPLIER**

### 13. Internal/External customer feedback/satisfaction (ISO 8.2.1)

- How do you obtain customer feedback/satisfaction?
- Provide evidence you are tracking customer feedback/satisfaction.
- What actions have been taken to address customer feedback/satisfaction?
- How do you respond to customer satisfaction and complaints?



### 14. Analysis of data (ISO 8.4)

- Can you show the process of how data is gathered and analyzed?
- Normalization of data should be performed after data is gathered.
- Can you articulate data spikes both negative and positive?

### 15. Infrastructure/Work Environment (ISO 6.3, 6.4)

- Ensure proper infrastructure (building, workspace, associated utilities, and equipment) is available.
- Ensure the work environment is clean and organized.
- Provide documented evidence of what your department has done to manage and minimize risk concerning safety loss (safety, emergency planning, OSHA, etc.)

### 16. Resource needs (ISO 6.1)

- Be able to articulate resources needed by the department to accomplish the department's mission.

### 17. Cost saving or cost avoidance (ISO 8.4)

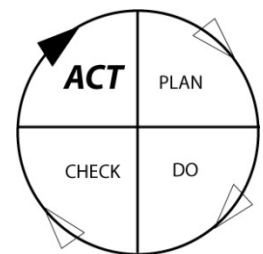
- Provide evidence of efforts in the area of cost saving or cost avoidance.

### 18. Employee retention report (ISO 6.2.1)

- If tracking this information, please provide a summary report and/or graph(s) concerning department employee retention.

The report and/or graph(s) should address:

- How many employees have left within the last 12 months? Why are they leaving?  
Where are they going? What action have you taken to retain employees?



### 19. Best practices and comparisons (ISO 6.1)

- Do you compare your department to other districts or businesses engaged in comparable activities? If yes,
- Provide statistics, graphs and reports showing comparisons to other districts or similar industries.
- Provide evidence articulating what other districts or similar industries are doing which can assist in improving your department/division.

### 20. Supplier Review (ISO 7.4.1)

- Who are your suppliers (internal and external)?
- How do you communicate your requirements to your suppliers both internal and external?
- How do you address issues concerning nonconforming products or services?

### 21. Planning of Service Realization/Design and Development (ISO 7.1, 7.3)

- When developing new services are the following project management items considered (provide evidence): customer requirements, input/output, documented processes, document control, risk management, corrective and preventive actions, opportunities for improvement, conformation that products and services are meeting customer requirements?
- Provide evidence of documented time lines (example: Gantt charts, project management software, etc.)

If you have any questions or comments regarding this Audit Preparation List, please call the PRM Office at 920-7849 or 920-7871.