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| **Process Plan** | | | |
| **Process Name** | Human Resources/Recruiting | **Process Owner** | VP, Human Resources |
| **Associated Process Documents & Records** | Quality Manual, QMS plan, HR Policies, Employee Manual | **Quality Objectives Supported** | * Time to fill open positions - Less than 33 days * Employee turnover - Less than 12% * Customer Satisfaction - Zero complaints |
| **Key Resources** | HR staff, Zendesk, Microsoft Outlook, Phone System, Recruiting systems and vendors | **ISO 9001:2015 Clauses** | 4.4, 5.2, 6.1, 6.2, 7.1, 7.2, 7.3, 7.5, 8.4, 8.7, 9.1.1, 10.1, 10.2, 10.3 |
| **Outsourced Processes and Controls** | Benefits Administration, Background investigations | **Risks or Opportunities to consider** | Listed, progress tracked and reviewed as necessary in QMS Plan document |

**Process Diagram**

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| Internal: Management, Employees, Operational staff  External: Candidates, Recruiting vendors,  Customer requirements  Upstream Process = Business Development | Open requirements | 1. Review open requirements 2. Identify candidates that meet required skills and requirements 3. Interview candidates 4. Make selection – submit to customer if required 5. Hire approved candidate 6. Hire approved candidate | New Hires,  Contract performance initiation | Operations  Management  Employees  Customers  Downstream Process = Program Management Process | Background checks, Customer approvals (if required),  Management Review |

Instructions: For this section, the Process Owner and Auditor(s) will fill this in together and note any actions needed.

**Process Review**

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| **Process Owner:** | Deanna Eaton | **Associated CA’s or NC’s reviewed:** |  |
| **Auditor(s):** | Brenda Walguanery | **Documents and Records Reviewed (including previous audits):** |  |
| **Date Reviewed:** |  | **Date of Next Review:** |  |

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| **Process Owner Questions** | **Yes** | **No** | **Notes/Action Needed** |
| 1. Is the Process Plan and Diagram (from pages 1-2) still current? (4.4.1) |  |  | If no, list actions being taken: |
| 1. Have there been any major changes since the last review? (4.4.1) |  |  | If yes, list actions being taken: |
| 1. Are the process measures still valid? (4.4.1, 7.1.5.1) |  |  | If no, list actions being taken: |
| 1. Are measure targets being met? (4.4.1, 7.1.5.1) |  |  | If no, list actions being taken: |
| 1. Are resources still adequate for the process? (7.1) |  |  | If no, list actions being taken: |
| 1. Are there any new risks in the process to consider? (6.1) |  |  | If yes, list actions being taken: |
| 1. Are any resources used for monitoring and measurement of the process fit for their purpose? (7.1.5.1) |  |  | If no, list actions being taken: |
| 1. Is there any key knowledge about the process to capture? (7.1.6) |  |  | If yes, list actions being taken: |
| 1. Are there any process improvements needed or opportunities to take advantage of? (4.4.1, 6.1, 10.3) |  |  | If yes, list actions being taken: |
| 1. **List any additional actions items such as:** documents or records to update; training or communication to be done. |  |  |  |

**Process Audit**

Instructions: For this section, the Auditor(s) will complete as they conduct the audit. Evidence listed should be specific and detailed. Each question should note either “OK” if all requirements were found to be compliant or “NC” if there was a nonconformity.

Process Documentation

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| **ISO clause** | **Auditor Question** | **Evidence** | **OK or NC** |
| 4.4.2a  7.5.2  7.5.3 | 1. Specific to the HR/Recruiting process - what controlled documents are in use?  Check for appropriate:   * identification and format * review and approvals * availability and suitability * protection and access * storage and retention * change control   **Look for:** Look at several documents. List names of specific documents reviewed and their revisions in use. Check for all of the bulleted requirements above. |  |  |
| 4.4.2b  7.5.2  7.5.3 | 2. Specific to the HR/Recruiting process - what records are kept?  Check for appropriate:   * identification and format * review and approvals * availability and suitability * protection and access * storage and retention * change control   **Look for:** Look at several records. List names, dates and other identifiers of specific records reviewed that are in use. Check for all of the bulleted requirements above. |  |  |

Competence, Awareness and Communication

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| --- | --- | --- | --- |
| **ISO clause** | **Auditor Question** | **Evidence** | **OK or NC** |
| 5.2.2b  7.3 | 3. Are employees (working in the HR/Recruiting process) aware of:   * The quality policy * Relevant quality objectives * Their contribution to the QMS * The benefits of improved performance * The negative effects of not conforming to QMS requirements?   **Look for:** Type the responses from one or two auditees regarding their awareness of the above. |  |  |

Process Conformity

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| **ISO clause** | **Auditor Question** | **Evidence** | **OK or NC** |
| 7.1.1, 7.1.2, 7.2  7.1.6 | 4. Is the HR/Recruiting process being followed as defined in the Quality Manual and related documents?  **Look for:** Read the appropriate Quality Manual sections shown under “ISO clause” (to the left) before completing these questions. List the Quality Manual Revision. |  |  |
| 7.1.1  7.1.2 | 5. How are needed resources determined?  **Look for:** Job/hiring requirements defined in requests for quote or proposals. Management Review meeting minutes regarding resource discussions. |  |  |
| 7.2 | 6. How does the organization define the required competence for personnel (education, training, skills, and experience)?  **Look for:** Job descriptions, job postings, evidence of certifications or training, etc. |  |  |
| 7.2 | 7. What evidence shows that competence was verified against defined criteria for their position?  **Look for:** Select a recently hired individual or two and check that their education, training, skills, and experience match the hiring criteria (compare resume to job description or job posting.) If no recent hires, type “NA”, but still verify that the criteria exists. |  |  |
| 7.2 | 8. What actions are taken to acquire necessary competence (where applicable) and evaluate the effectiveness of actions taken?  **Look for:** Training records, manager sign-offs, mentoring processes, reassignment of personnel, etc. |  |  |
| 7.1.6 | 9. What plans are in place to determine and maintain organizational knowledge for the operation of key processes? How is new knowledge acquired for changing needs and trends?  **Look for:** Discussions in Management Review, cross-training plans, lessons learned, external sources to gather knowledge. |  |  |
| 8.4 | 10. Are there any outsourced processes (by external providers) for the HR/Recruiting process? If yes, how are they controlled?  **Look for:** Verify that any outside suppliers used during the process were properly selected, controlled and evaluated. Ensure they are listed above in the Process Plan on Page 1. |  |  |
| 8.7  10.2 | 11. Have any Corrective Actions or Nonconformances been generated that are related to this process?  **Look for:** Ensure that CA’s and NC’s are being recorded for issues that exist. Note any that are recent or in process. |  |  |

Process Evaluation

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| **ISO clause** | **Auditor Question** | **Evidence** | **OK or NC** |
| 4.4.1  6.2  9.1.1 | 12. Have all Measurement Plans for this process been reviewed as required? | See Quality Management Audit Plan – all key measures are defined in Quality Manual, tracked in Key Measurement Worksheet, and a topic in each Management Review minutes. |  |
| 10.1  10.3 | 13. Are there any suggested process improvements?  **Look for:** Type in suggestions for improvement from the auditee(s) or from the auditor or type “No suggestions for improvement at this time.” |  |  |

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| **Audit findings summary** |  | | |
| **Corrective Actions Issued** |  | | |
| **Auditor Name**  **(Sign-off)** |  | **Date** |  |
| **Process Owner Name**  **(Sign-off)** |  | **Date** |  |