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| **Audit Report** |
| (AEVA) |

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| 2022-11-05 | Sónia Ferreira |

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| Management System according to ISO 9001:2015 of AEVAAudit context**Audit Type:** 1st part audit (internal audit) | **Criteria:** ISO 9001:2015**Audit Objectives:** Verify the conformity of AEVA’s Management System with the criteria of ISO9001:2015**Audit Scope:** Human Resources Process| Suppliers Processof AEVA’s Management System**Duration:**  1 day/auditor| | **Auditor Team:** Sónia Ferreira (SF)**Audit Date**: 01/11/2022**Audit Location**: UNITER – Unidade do TerciárioAudit plan

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| **Activity** | **Description (Processes, Criteria and Participants1)** | **Date and Time (auditor)** |
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| **Opening Meeting** | Kick-off meeting: Review of the audit plan. | Confirmation of the audit scopeResponsible for HR, Responsible for Suppliers, AEVA management | 01/11/20229:30-10:00 (SF) |
| **Interviews, observation of activities and document analysis, by process** | Interview with head of human resources on salaries, recruitment process, requirements of each position, performance evaluation, disciplinary procedures, schedules, training, etc.Responsible for HR, | 01/11/202210:00-12:30 (SF) |
| Lunch break | 01/11/202212:30-14:00 (SF) |
| Interview on supplier management and evaluation.Responsible for Suppliers | 01/11/202214:00-16:00 (SF) |
| **Preparation of the report** | Elaboration of audit report | 01/11/202216:00-16:30 (SF) |
| **Closing Meeting** | Closing meeting:Presentation of any findings identified during the audit and the conclusions of the auditResponsible for HR, Responsible for Suppliers, AEVA management | 01/11/202216:30-17:00 (SF) |

*1 The audited organisation may add other staff elements to the various audit moments if desired.*  *The auditor may request further interviews, with them or other employees, if they deem it necessary to achieve the audit objectives.* |

# Audit sample

During the audit several documents of Human Resources Process and Suppliers Processof AEVA’s Management System, where audit.

The audit was carried out using a sampling process, and it is therefore the organisation’s responsibility to ensure the subsequent identification of any situations similar to those described or arising from them, in order to set in motion appropriate corrective actions.

# Audit summary

The Audit Team (AT) found that the Human Resources Process and Suppliers Process are, in general, implemented in accordance with the normative reference ISO 9001:2015, requiring, however, some improvements as mentioned in this report.

As strong points, the AT underlines:

* Top management involvement;
* Technical competence and dedication
* High level of computerisation.

This audit was conducted in order to cover all requirements related to the two processes analysed.

The AT recommends that the procedures be reviewed.

The AT points out that the audit took place as planned in accordance with the methodologies for sampling activities, processes, documents and employees interviewed.

The system review was carried out on 03-09-2021, in compliance with the requirements of the ISO standard, which analysed AEVA’s processes, including the ones targeted by this audit.

It was verified by AT that the organisation monitors customer and employee satisfaction through a questionnaire.

It was also verified by AT that the organisation monitors all the suppliers that can have an impact on the organisation, foreseeing audits to the suppliers, if necessary.

The auditee organisation requests the exclusion of clause 7.6 of the standard NP EN ISO 9001 :2015, and AT agrees with the exclusion and justification presented in the Quality Manual.

# Audit results

In this internal audit 6 (six) findings were detected, of which 4 (four) were minor non-conformities and 2 (two) opportunities for improvement, with the non-conformities and opportunities for improvement are reported in point “Audit findings” of this report.

# Audit Conclusion

The processes that are audit during this internal audit are, in general, in agreement with ISO91001:2015 standard.

However, the At considers that the same should be revised in order to fulfil the requirements of EQAVET and ISO21001:2018

# Audit findings

(SP: Strong Point; OI: Opportunity for Improvement; RI: Risk; NC: Nonconformity)

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| **No.** | **Criteria** | **Type** | **Description** |
| 1 | 62 human resources | NC | The functions manual of 05.05.2021 does not describe the responsibilities and authorities of all functions actually existing in AEVA, e.g. responsible for hiring decision for all AEVA brands. |
| 2 | 62 human resources | OI | It was verified that there are 3 different databases for registration of suppliers, supplies and evaluation (in Excel format) in which there are fields that are repeated in all. Consider the integration of the database in order to facilitate the consultation of data as well as its updating. |
| 3 | 7.4 suplliers | NC | At Parque dos Talentos there was no evidence of the evaluation of the service providers, for example, magician and inflatables. |
| 4 | 8.2 monitoring | OI | include in the annex the evaluation of stakeholders' satisfaction all evaluations, not only those of pupils and parents |
| 5 | 62 human resources | NC | There are volunteers who have not yet signed the cooperation protocol and volunteer program |
| 6 | 62 human resources | NC | The Employee Handbook is outdated. The last version was updated in October 2019. |
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# Audit Evidence

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| **No.** | **Type1** | **Evidence** |
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*INT= Interview; OBS= Observation; DOC= Documented information*

# LIST OF PERSONS CONTACTED / FUNCTION

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| Name | Function/Organisation role |
| Ana Marque | Responsible for Human resources |
| Isabel Coelho | Responsible for suppliers |
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