

GENERAL SUMMARY

EFFECTIVENESS OF THE QUALITY MANAGEMENT SYSTEM

The following sections must be completed at the end of the audit process. The auditor is required to provide comments on the overall implementation of the QMS, as well as provide additional insight into the operation of the QMS as elicited through the following questions. All responses should be justified with audit evidence gathered during the audit. It is acceptable to reference previously documented audit evidence (either as positive or negative findings). However, reference to this evidence should not be considered an adequate substitute alone for the additional comments required. Please be comprehensive in your responses and use additional pages if required.

<p>General Requirements (4.1)</p> <p>Provide a summary of the extent to which the organization has established and maintained a quality management system, according to the requirements of which are described in ISO 9001 and/or API Spec Q1/TS29001.</p> <p>Comment on how the processes needed for the QMS have been identified and implemented and applied throughout the organization. In particular, identify apparent deficiencies. (4.1.a/1.2/1.2.1)</p> <p>How effectively has the organization determined the sequence of the processes? (4.1.b/4.2.2.c)</p> <p>How effectively has the organization determined the criteria and methods needed to ensure that both the operation and control of the organization's processes are effective? (4.1.c/8.1)</p> <p>How effectively has the organization ensured the availability of resources and information necessary to support the operation and monitoring of its processes? (4.1.d/6.1/8.1)</p> <p>How effectively does the organization monitor, measure where applicable, and analyze its processes? (4.1.e/8.1)</p> <p>How effectively has the organization implemented actions necessary to achieve planned results and continually improve its processes? (4.1.f/7.1/8.5.1)</p>	<p>Hooks Industrial started the QMS process on 4/17/13. They have come a long ways since then.</p> <p>Processes have been identified and documented very well.</p> <p>No apparent deficiencies</p> <p>Very effectively</p> <p>Very effectively. The president is very committed to the QMS process and has and will provide any necessary resources.</p> <p>Very effectively</p> <p>Effectively</p>
<p>Additional comments / audit evidence regarding positive / negative aspects of the QMS (including opportunities for improvement, etc.):</p> <p>No additional comments</p>	

AUDIT NONCONFORMITY/CONCERN SUMMARY SHEET

CAR #	PG #	CLASSIFICATION				SUMMARY (AREA)
		N/C	Concern	QMS Ref	Spec Ref	
RK-13-01	8		OBSERVATION	P-423	4.2.3.1	The Procedure Log shows procedure P-423 twice, but does not show procedure P-424. This appears to just be a mistype.
RK-13-02	10	X		P-424	4.2.4	The Quality Records Table list all of the “controlled” Forms that are used to create records, but does not contain other records such as Calibration records, Resumes, job applications, certificates of conformance, etc.
RK-13-03	17	X		P-853	8.5.3	The way PARs # 01 & 02 are written, they should be CARs instead of PARs.
RK-13-04	18	X		P-720	7.2.2.1	The Contract Review form for PO # 120083 from Sherwin Alumina is filled out but does not indicate that it was reviewed or accepted. The Contract Review form for PO# 172887 and PO# 172903 does not indicate that they were accepted, and neither one indicated if there were special processes involved.
RK-13-05	24	X		P-740	7.4.2.1	PO # 17001 to Stainless Steel Products does not clearly specify what is being purchased.
RK-13-06	29		CONCERN	Quality Manual 7.5.2	7.5.2	Welding is being outsourced. The first outsourced welding job is in process, but at the time of this audit, the outsourced company has not furnished any welding procedures, personnel qualifications or calibration records.
RK-13-07	29	X		Quality Manual 7.5.2	7.5.2	There is a heat treat oven that is occasionally used, but it has not been validated to prove out that it is capable of producing the desired results.

RK-13-08	27	X		P-760	7.6	There was a 6” caliper and a 12” rule that were not calibrated and not part of the calibration system.
RK-13-09	27	X		P-760	7.6	There was a depth mic identified with two different identification numbers – DM-1 and TR-24.
RK-13-10	27	X		P-760	7.6	The heat Treat Oven is not part of the calibration system.
RK-13-11	27		CONCERN	P-760	7.6	There is a welding machine in a production area that is not part of the calibration system. The auditor was informed that this welding machine is not used for production. It needs to be marked something like “NOT FOR PRODUCTION USE” to clarify that it is not part of the production system.
RK-13-12	32	X		P-755	7.5.5.2	Hooks Industrial has a form designed to assess stock at specified intervals, but it was used to take an inventory and did not record if items were damaged or deteriorated.
RK-13-13	36		CONCERN	P-622	6.2.2.c.	The way procedure P-622 in step 5.7.4 describes how training effectiveness is determined and documented is very vague and could be improved upon.



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AUDIT DATE(s): August 6-8, 2013

AUDIT SUMMARY

FINAL AUDITOR/AUDIT TEAM REMARKS:

Hooks Industrial has started the process 4 months ago and has progressed very well.

COMMENTS BY ORGANIZATION'S REPRESENTATIVE:

I (we) attest that the foregoing information is accurate and has been collected by the audit team during the performance of an audit that was assigned to me (us) by **TIEC, Inc.**

Audit Team Leader

Roger W. Koeppe

Date

8/8/13

Audit Team Member

Date

Audit Team Member

Date

By signing this document, it is not an admission of the acceptance of any nonconformities/concerns identified by the audit team. The signature only confirms that the audit was performed and that a copy of the audit report was left with the facility. **TIEC** reserves the right to have final determination of the level of nonconformity identified in this audit report.

Management Representative of Audited Organization

Date

END OF REPORT

Reminder: Shaded areas must be completed for organizations with or seeking Monogram licensing and/or API Spec Q1/TS 29001 Registrations.