



Audit Plan

Doc.ID:FM-184
Revision: 5.0
Effective Date: 09/15/2016

Original Issue Date:	9/10/2019	Plan Revisions & Dates	Rev 0 – 9/10/2019	
Facility ID:	14246	Facility Name:	TechWest Inc.	
Facility Contact Details:	Dale Karg dkarg@techwesttools.com			
Audit ID:	83021			
Audit Location(s):	Bay A 5516 - 40 St. S.E. - Calgary, AB T2C 2A1			
Audit Dates:	Start: Tuesday, October 8, 2019 End: Friday, October 11, 2019			
Auditor(s) / Team Member(s):	CARLOS LECOMPTE			
Other Team Members: <i>(e.g., Observers, Interpreters, SMEs, etc.)</i>	N / A			
Audit Criteria and Reference Documents: <i>(Check all that apply)</i>	Management Systems	<input checked="" type="checkbox"/> ISO 9001 <input checked="" type="checkbox"/> API Spec Q1 <input type="checkbox"/> API Spec Q2 <input type="checkbox"/> EMS 14001 <input type="checkbox"/> OHSAS 18001		
	<u>API Product Specifications</u> <i>(list all applicable)</i>	<u>Edition / Revision</u>	<u>Errata & Addenda</u> <i>(if applicable)</i>	
	11D1	3rd Edition	Apr 2015	
	Other applicable criteria / reference documents:			
Audit Scope: <i>(Processes / activities / products/services covered under the scope of the license(s) and/or registration)</i>	API-11D1 11D1-0124 Suspended 2019-08-17 Packers - V6, V5, V4, V3 Bridge Plugs - V6, V5, V4, V3 Exclusions: None			
	API Spec Q1 Q1-2959 Suspended 2019-08-17 Scope: Design, Manufacture and Sale of Down Hole Tools for the Oil and Gas Industry Exclusions: None			
	ISO 9001:2015 ISO-2995 Suspended 2019-08-17 Scope: Design, Manufacture and Sale of Down Hole Tools for the Oil and Gas Industry Exclusions: None			
Work Shifts:	<i>(Check all shifts to be audited)</i>	Number of People*	Operational days of the Week	Start – Stop Times
	<input checked="" type="checkbox"/> Shift 1	25	M to F	8:00 to 17:00
	<input type="checkbox"/> Shift 2			
	<input type="checkbox"/> Shift 3			

<p>* <i>Number of People</i> must include all personnel working for functions that support the management system, e.g., maintenance, purchasing, human resources, warehousing, engineering, sales, etc. It is NOT limited to personnel involved in manufacturing the product or provision of service.</p>	
<p>Document justification for any Shift not planned to be audited</p>	
<p>Audit Type/Objectives: <i>(Please check all that apply)</i></p>	<p><input type="checkbox"/> Initial Stage 1 Audit – Evaluate MS implementation and readiness for stage 2 initial audit</p> <p><input type="checkbox"/> Initial/Stage 2 Audit – Evaluate MS conformance to the applicable standard(s)/specification(s) and implementation to meet requirements</p> <p><input type="checkbox"/> Surveillance/Annual – Evaluate continuing MS conformance to requirements and the effective implementation of the MS to achieve continual improvement</p> <p><input type="checkbox"/> Recertification/Renewal – Confirm the continued conformity and effectiveness of the MS as a whole and continued relevance and applicability for the scope of registration</p> <p><input checked="" type="checkbox"/> Re-Audit – Verify the implementation of corrective actions or the effective implementation of the MS</p> <p><input type="checkbox"/> Other – Evaluate conformance to the licensing and registration requirements as indicated in audit report</p>
<p>Language:</p>	<p>ENGLISH</p>
<p>Prepared by:</p>	<p>CARLOS LECOMPTE</p>

Notes / other comments:

- All information related to this audit is confidential and subject to the confidentiality agreement between the Audit Team/Auditor(s) and API and between API and the client organization.
- The audit plan is subject to change as deemed necessary during the audit
- Process / Activities highlighted in denotes additional screening for previous audit findings
- Safety regulations: Shop Floor – Safety glasses and shoes, Yard – Hard hat, safety glasses and safety shoes.

AUDIT SCHEDULE

Tuesday, October 08, 2019			
Time	Process/Activity	Auditor	Facility Function
8:15 – 8:45	Opening Meeting - Verification of Scope of Registration / Monogram License(s) and Exclusions, QMS Requirements, Audit Conditions and Planning	CL	Top Management
8:45 – 9:30	Plant Tour	CL	QAQC Manager
9:30 - 10:30	Communication Processes, Management Responsibility, Organizational Capability	CL	QAQC Manager
10:30 - 11:30	Documents, Control of Records	CL	QAQC Manager
11:30 – 12:30	Working lunch	CL	QAQC Manager
12:30 - 14:00	QMS Monitoring, Measurement, Process Evaluation,	CL	QAQC Manager
14:00 - 15:00	Analysis of Data, Customer Satisfaction	CL	QAQC Manager
15:00 - 16:00		CL	QAQC Manager
16:00 - 16:15	Summary of the day	CL	Top Management

Wednesday, October 09, 2019			
Time	Process/Activity	Auditor	Facility Function
8:00 - 9:00	Improvement Processes –	CL	QAQC Manager
9:00 - 10:00	Risk Assessment & Management, Contingency Planning, Management of Change	CL	QAQC Manager
10:00 - 12:00	Contract Review and Customer Related Processes	CL	Sales and QAQC Manager
12:00 – 13:00	Working lunch	CL	QAQC Manager
13:00 - 14:00	Product Quality Plan, Organizational Capability – Work Environment	CL	QAQC Manager
14:00 - 16:00	and Receiving Evaluation of Suppliers. Outsourcing	CL	Purchasing and QAQC Manager
16:00 - 16:15	Summary of the day.	CL	QAQC Manager

Thursday, October 10, 2019			
Time	Process/Activity	Auditor	Facility Function
8:00 – 10:00		CL	Production and QAQC Manager
10:00 – 11:00		CL	Production and QAQC Manager
11:00 – 12:00	Product Inspection / Test Status, Inspection and Testing, Identification and Traceability	CL	Production and QAQC Manager
12:00 - 13:00	Working lunch	CL	QAQC Manager
13:00 - 14:00	Preventive Maintenance, Customer-supplied Property,	CL	Production and QAQC Manager
14:00 - 16:30	Design and Development API 11D1- Input / Output, Verification, Validation and Approval	CL	Engineering and QAQC Manager
16:30 - 16:45	Summary of the day.	CL	QAQC Manager

Friday, October 11, 2019			
Time	Process/Activity	Auditor	Facility Function
8:00 - 9:00		CL	QAQC Manager
9:00 - 10:30	. Human Resources /	CL	HR and QAQC Manager
10:30 - 11:30	Supplemental Audit Information	CL	QAQC Manager
11:30 - 12:00	Closing Meeting	CL	Top Management

Note: Safety regulations: Shop Floor – Safety glasses and shoes, Yard – Hard hat (as required), safety glasses and safety shoes.