

Logo	ABC Limited
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1.0 Purpose

- 1.1 To define the process of internal auditing for the purpose of determining whether the quality management system
 - 1.1.1 conforms to the planned arrangements, and
 - 1.1.2 is effectively implemented and maintained.

2.0 Scope of application

- 2.1 All elements of the quality management system as defined in the Quality Manual.

3.0 References

- 3.1 Clause 8.2.2, ISO 9001:2008 Quality Management Systems– Requirements
- 3.2 ISO 9000:2005 Quality Management Systems - Fundamentals and vocabulary
- 3.3 ISO 19011:2002 Guidelines for quality and/or environmental management systems auditing
- 3.4 Clause 8.2.2, Quality Management System Manual

4.0 Terms and definitions

- 4.1 Audit: Systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which audit criteria are fulfilled
- 4.2 Audit programme: Set of one or more audits planned for a specific time frame and directed towards a specific purpose NOTE An audit programme includes all activities necessary for planning, organizing and conducting the audits.

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- 4.3 Audit criteria: Set of policies, procedures or requirements
- 4.4 Audit evidence: Records , statements of fact or other information which are relevant to the audit criteria and verifiable
- 4.5 Audit findings: Results of the evaluation of the collected audit evidence against audit criteria
- 4.6 Audit conclusion: Outcome of an audit provided by the audit team after consideration of the audit objectives and all audit findings
- 4.7 Auditor: Person with the demonstrated personal attributes and competence to conduct an audit
- 4.8 Audit team: One or more auditors conducting an audit, supported if needed by technical experts
- 4.9 Auditee: Persons representing the process area being audited
- 4.10 Technical expert: Person who provides specific knowledge or expertise to the audit team
- 4.11 Audit plan: Description of the activities and arrangements for an audit
- 4.12 Audit scope: Extent and boundaries of an audit

5.0 Responsibilities

- 5.1 Management Representative
 - 5.1.1 Establish the Internal Audit Programme
 - 5.1.2 Establish the Audit Plan
 - 5.1.3 Communicate the Audit Plan with the relevant Quality Representative/s
 - 5.1.4 Review and approve the Audit Checklist
 - 5.1.5 Maintain the Registry of Nonconformities
 - 5.1.6 Facilitate the implementation of all Corrective Action Request

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- 5.1.7 Confirm all meeting minutes
- 5.1.8 Prepare the Audit Report
- 5.1.9 Present the Audit Reports during the Management Review
- 5.2 Quality Representatives
 - 5.2.1 Communicate the Audit Plan with their respective departments and process areas
 - 5.2.2 Assist the Management Representative in implementing the Internal Audit Programme
 - 5.2.3 Assist the Lead Auditor in implementing the Audit Plan
 - 5.2.4 Plan and implement all corrections of detected nonconformities
 - 5.2.5 Plan and implement all corrective actions
- 5.3 Lead Auditor
 - 5.3.1 Lead the audit team in implementing the Audit Plan
 - 5.3.2 Prepare the Audit Checklist
 - 5.3.3 Chair the Opening and Closing Meeting
 - 5.3.4 Record all meeting minutes.
 - 5.3.5 Compile all Auditor's Notes
 - 5.3.6 Prepare the Audit Findings Report
 - 5.3.7 Present the audit findings during the Closing Meeting
 - 5.3.8 Verify the effectiveness of all corrections and corrective actions taken.
- 5.4 Auditor
 - 5.4.1 Assist the Lead Auditor in the implementation of the Audit Plan.

6.0 Records

- 6.1 The following records shall be maintained:

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- 6.1.1 Internal Audit Programme
- 6.1.2 Audit Plan
- 6.1.3 Audit Checklist
- 6.1.4 Auditor's Notes
- 6.1.5 Audit Findings Report
- 6.1.6 Corrective Action Request
- 6.1.7 Registry of Nonconformities
- 6.1.8 Audit Report
- 6.1.9 Opening Meeting Minutes
- 6.1.10 Closing Meeting Minutes

7.0 Auditors Appointment

- 7.1 The Management Representative shall assign suitable and qualified auditors for the execution of all Audit Plans.
- 7.2 The Management Representative shall plan the assignment of auditors in the Internal Audit Programme.

8.0 Auditors' competence

- 8.1 Lead Auditor
 - 8.1.1 Successfully completed the Internal Auditing training program
 - 8.1.2 Successfully completed the ISO 9001 Lead Assessor training program
 - 8.1.3 Has participated in at least of five Audit Plans as an auditor
- 8.2 Auditor
 - 8.2.1 Successfully completed the Internal Auditing training program
 - 8.2.2 Has been an auditor-in-training for at least three Audit Plans.

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9.0 Audit impartiality and methodologies

9.1 Auditors shall be objective, impartial and independent of the area being audited.

9.2 Auditors shall employ the following methodologies during the audit:

9.2.1 Interviews with relevant personnel

9.2.2 Inspection s of relevant documents and records

9.2.3 Observations of on-going processes

10.0 Audit Findings

10.1 Audit findings are categorized into the following:

10.1.1 Positive findings

10.1.1.1 These are findings that demonstrate full compliance to the audit criteria.

10.1.2 Observations

10.1.2.1 These are findings that lack the strength in meeting requirements but do not result in a non-compliance to the audit criteria.

10.1.3 Minor nonconformities

10.1.3.1 These are findings that demonstrate non-compliance to the audit criteria but do not cause the quality management system to be inadequate and ineffective.

10.1.4 Major nonconformities

10.1.4.1 These are findings that demonstrate non-compliance to the audit criteria and they cause the quality management system to be inadequate and ineffective.

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10.2 In classifying the audit findings, auditors shall gather and document sufficient audit evidences in order to arrive to the correct audit conclusions.

11.0 Pre-Audit

11.1 Internal Audit Programme

11.1.1 An annual Internal Audit Programme shall be established based on the status and importance of the processes and areas to be audited, and results of previous audits.

11.2 Audit Plan

11.2.1 For every planned audit, an Audit Plan shall be established to define the parameters of the audit;

11.2.2 The Audit Plan shall be communicated to the relevant Quality Representatives at least 14 days before the audit takes place.

11.3 Audit Checklist

11.3.1 Prior to the audit, the Lead Auditor shall

11.3.1.1 prepare an Audit Checklist that is relevant to the Audit Plan with the assistance of his auditors, and

11.3.1.2 it shall be reviewed and approved.

11.4 Communication

11.4.1 The Audit Programme and Audit Plans shall be communicated among all Quality Representatives to ensure effective coordination of planning and implementation efforts.

12.0 Audit

12.1 Opening Meeting

12.1.1 The Lead Auditor shall chair the Opening Meeting in order to

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12.1.1.1 introduce the auditors, and

12.1.1.2 communicate and clarify the Audit Plan with the relevant Quality Representatives and Auditees.

12.1.2 The Opening Meeting shall be attended by

12.1.2.1 Management Representative

12.1.2.2 Relevant Quality Representatives

12.1.2.3 Relevant Auditees

12.1.3 The meeting minutes shall be recorded.

12.2 Auditor's Notes

12.2.1 The auditors shall conduct the audit as per the Audit Plan and record all findings in the Auditor's Notes.

12.2.2 All detected nonconformities shall be recorded and if immediate corrections are possible, the auditors shall instruct the Auditees to do so.

13.0 Post-Audit

13.1 Audit Findings Report

13.1.1 The Audit Summary shall be prepared by the Lead Auditor after reviewing the findings with the Audit Team.

13.2 Closing meeting

13.2.1 The Lead Auditor shall chair the Closing Meeting in order to

13.2.1.1 present the Audit Findings Report,

13.2.1.2 answer all queries regarding the findings;

13.2.1.3 initiate the Corrective Action Request.

13.2.2 The Closing meeting shall be attended by

13.2.2.1 Management Representative

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13.2.2.2 Relevant Quality Representatives

13.2.2.3 Relevant Auditees

13.2.3 The meeting minutes shall be recorded.

13.3 Corrective Action Request

13.3.1 The Lead Auditor and the Auditees shall seek an agreeable time frame to answer and complete the Corrective Action Request forms.

13.3.2 Specific dates shall be determined for the verification audits.

13.3.3 The Corrective Action Request shall be recorded in the Registry of Nonconformities.

13.3.4 All corrections and corrective actions taken shall be verified in terms of its effectiveness in preventing recurrences.

13.3.5 If the corrections and/or corrective actions taken are deemed to be ineffective and not acceptable, a new Corrective Action Request form shall be issued to the Auditees.

13.3.6 Once the corrections and corrective actions taken are deemed to be effective and acceptable, the Corrective Action Request form shall be closed out and the Registry of Nonconformities shall be updated.

13.4 The Audit Report shall then be prepared.

13.4.1 The Audit Report shall contain the following agenda:

13.4.1.1 Executive Summary

13.4.1.2 Comments

13.4.1.3 Attachments of the following copies of audit records:

13.4.1.4 Internal Audit Programme

13.4.1.5 Audit Plan

13.4.1.6 Audit Checklist

13.4.1.7 Auditor's Notes

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13.4.1.8 Audit Findings Report

13.4.1.9 Corrective Action Request

13.4.1.10 Opening Meeting Minutes

13.4.1.11 Closing Meeting Minutes

13.5 The Audit Report may be distributed as a controlled copy to the relevant Quality Representatives for reference purposes.

13.6 The Audit Report shall be presented to top management during the next Management Review meeting.