



EQMS

Procedure

Control of Internal Audits



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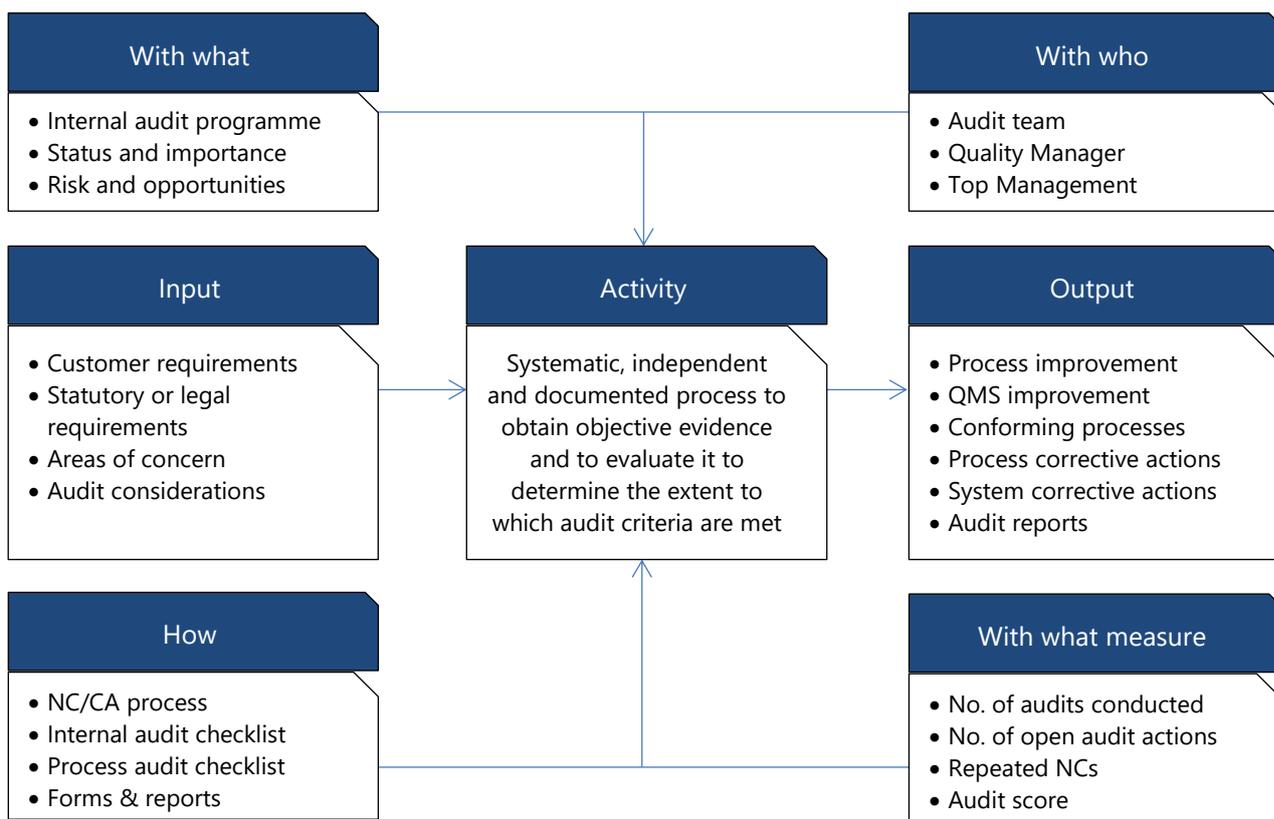
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1 Control of Internal Audits

1.1 Introduction & Purpose

The purpose of this procedure is to define *your organization's* process for undertaking EQMS audits, process audits, and supplier and legislation audits in order to assess the effectiveness of the application of our environmental quality management system and its compliance to ISO 9001:2015 and ISO 14001:2015. This procedure also defines the responsibilities for planning and conducting audits, reporting results and retaining associated records.

1.1.1 Process Activity Map



1.1.2 References

Standard	Title	Description
BS EN ISO 9000:2015	Quality management systems	Fundamentals and vocabulary
BS EN ISO 9001:2015	Quality management systems	Requirements
BS EN ISO 9004:2000	Quality management systems	Guidelines for performance improvements
BS EN ISO 19011:2011	Auditing management systems	Guidelines for auditing

1.1.3 Terms & Definitions

Term	Definition
Audit	A documented process for obtaining and evaluating evidence
Conformity	Fulfilment of a requirement (3.6.4)
Corrective action	Action to eliminate the cause of a non-conformity (3.6.9) and to prevent recurrence

1.2 Application & Scope

The scope of this procedure is focused on assessing the effectiveness of [your organization's](#) quality management system. Where such processes are found to be deficient, the audit will lead to improvement in those processes. By applying the principles of auditing, outlined by ISO 19011:2011, [your organization](#) ensures that all internal audits are conducted with due professional care, integrity and independence. All conclusions derived from the audit are based upon objective and traceable evidence.

1.3 Responsibilities

It is the responsibility of the Quality Manager [<amend as appropriate>](#) to coordinate the whole internal audit programme. The Quality Manager [<amend as appropriate>](#) is required to:

- Determine the root causes of non-conformities;
- Maintain a system for reporting audit results;
- Determine conformity to planned arrangements;
- Determine proper implementation and maintenance;
- Provide the results of audits to top management;
- Review the effectiveness of corrective actions taken.

1.4 Controlling Internal Audits

1.4.1 Selecting Internal Auditors

To ensure impartiality and objectivity, the audit team will include personnel from departments not directly associated with the area, process or department being audited. The Internal Auditors are selected on the basis of their:

- Education: secondary or higher;
- Work Experience: more than 5 years;
- Relevant Training: provided in-house or externally;
- Audit Experience: demonstrable knowledge/skills.

1.4.2 Audit Programme

The Quality Manager [<amend as appropriate>](#) is required to:

- Determine the status and importance of each process;
- Establish audit frequency based on the status and importance of each process;
- Develop and communicate the audit schedule;
- Appoint audit team leader where required;
- Select audit team;
- Assign audit duties to the auditor team.

1.4.3 Preparing for the Audit

The Internal Auditors [<amend as appropriate>](#) are required to:

- Review relevant management system documents and records;
- Determine their adequacy with respect to the audit criteria and with ISO 9001;
- Review and prepare the internal audit checklist;

1.5 Conducting Audits

1.5.1 System Audits

The Quality Manager [<amend as appropriate>](#) prepares the Audit Programme using the Internal Audit Tracker each year in consultation with Top management. The frequency of audits depends on the perceived need for audit, but all processes and areas are audited at least once per year. The frequency is determined using the Process Assessment worksheet in the Internal Audit Tracker. All internal and external non-conformances that are attributable to systems or process failures may result in the audit programme being updated to include additional audits in the area concerned.

Auditors audit areas other than their own but with which they will have some familiarity. Their responsibility for auditing areas rotated from year to year. The Internal Audit Programme is available on the network drive so that time can be scheduled in advance. The internal audit is conducted using the ISO 9001-2015 Internal Audit Checklist.

Before each audit activity the Quality Manager [<amend as appropriate>](#) makes arrangements for those concerned to be notified in advance of the time of the audit by email. The audit team then reviews the process inputs and outputs using the Turtle Diagram at the front of this procedure in order to:

1. Identify the purpose of the process under investigation and determine what should be accomplished;
2. What are the Inputs into the process;
3. What are the expected outputs from the process;
4. What are the product and or services provided to the customer;
5. What are risks to the customer;
6. Identify the owner of the process;
7. Determine the objectives of the process;
8. What are the key performance indicators associated with the process;
9. Are there any customer specific requirements;
10. Determine how to obtain information which provides an indication of process performance.

The audit is documented using the Internal Audit Report which documents the performance of the process/procedure and the section of the QMS being audited, identifying all documentation used, and key indicators associated with the process. On completion of the audit the audit team enters the results of the internal audit into the Internal Audit Tracker.

1.5.2 Process Audits

Standard operating process audits of the manufacturing and product realization activities are planned by the Quality Manager [<amend as appropriate>](#) on an annual basis in conjunction with the Manufacturing and Production Managers [<amend as appropriate>](#).

The audit team then reviews the process inputs and outputs using the Turtle Diagram at the front of this procedure. The audit is conducted using the ISO 9001-2015 Process Audit Checklist. Audits are conducted on a monthly/six-weekly/bi-annual basis [<amend as appropriate>](#) and cover all manufacturing areas over the year. Any non-conformity found during the audit is agreed with the Manufacturing and Production Managers [<amend as appropriate>](#) and resolution or containments actions agree.

1.5.3 Supplier Audits

