

EOTA – Business Process

	<p><i>Document Title:</i></p> <p>Internal Audit Process</p>
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<p><i>Parent Document:</i> Q-001, Quality Manual</p>	<p><i>Notify of Changes:</i> EOTA Employees</p>
<p><i>Referenced Document(s):</i> F-011 Internal Audit Report, F-012 Internal Audit Preparation Worksheet, F-008 Internal Audit Notification Template, P-004 Business System Management Review, REG-003, Records Register and REG-005, EOTA Internal Audit Calendar</p>	

Revision History:

Rev.	Description of Change
A	Initial Release
08_0416	Added verbiage CAR/PAR/IO to process where necessary.
09_0910	Process no longer utilizes Q-Pulse to schedule/monitor internal audits. MS Outlook (public calendar) is now used to schedule/monitor internal audits. Removed IG Team from process.
11_0304	Modified verbiage to more accurately reflect process, added Action Items to overall process, and made minor editorial updates.

I. Purpose

To establish the process for conducting Internal Audits to determine whether the Business Management System conforms with the EOTA processes and the ISO 9001:2008 International Standard and to determine if the System is effectively implemented and maintained.

II. Scope

This process applies to all EOTA Internal Auditors and employees.

III. Responsibility

Auditee – the person being audited.

Auditor – a person qualified and competent to conduct Audits. *Note: Auditors will not audit their own work.*

Lead Auditor (LA)/Designee – Responsible for:

- Coordinating the Internal Audit planning/preparation activities, conducting the Audit and generating the Audit results.
- Working with the Management Representative to ensure the selection of Auditors and the Audit is objective and impartial.
- Following-up on previous Audit Reports and Corrective/Preventive Actions/Improvement Opportunities associated with audits, including the reporting of the verification results.
- Assembling the facts of the Internal Audit and creating the Internal Audit Report.
- Working with the Audit Team, facilitate the closing meeting with the Auditee and Management, as applicable.

Internal Auditor (IA)/Designee – Participates as a member of the Audit Team with the Lead Auditor.

Management Representative (MR)/Designee – Responsible for:

- Scheduling the Internal Audits according to the status and importance of the activities and areas to be audited as well as the results of the previous audits.
- Identifying the Audit scope.
- Generating CAR/PAR/IO and Internal Audit Calendar in MS Outlook ISO Internal Audit Calendar, as well as creating and managing audit reports.
- Ensure the Internal Audit Scope/Objective include confirmation that the Contract and/or regulatory requirements are met

Program Manager (PM1)/Designee – Is responsible for reviewing and approving the Audit report, allocating resources to Corrective Action and Preventive Actions, and ensuring action related to Corrective/Preventive Actions/Improvement Opportunities are taken.

Employee – Responsible for Corrective/Preventive Actions and improvements, as assigned. The “Person Responsible” is identified on the associated CAR/PAR/IO.

IV. Definitions

Audit – A systematic, independent and documented process for obtaining evidence to determine the extent to which audit criteria are fulfilled (applicable standards, regulatory, statutory, Customer and EOTA requirements).

Audit Scope/Objective – The extent and range of a given Audit including boundaries such as organizational units and processes to be audited. The Objective is what is to be accomplished during the audit.

Audit Criteria – Set of policies, processes, or requirements.

Audit Findings – Results of the evaluation of the collected Audit evidence against Audit criteria that may require corrective and/or preventive action.

Corrective Action – Action taken to eliminate the cause of a detected non-conformity and to prevent recurrence.

Internal Audit Report – The Report containing reference to the Scope/Objectives/Audit Criteria, Auditor(s), and Audit results including Corrective and Preventive Actions related to Internal Audits.

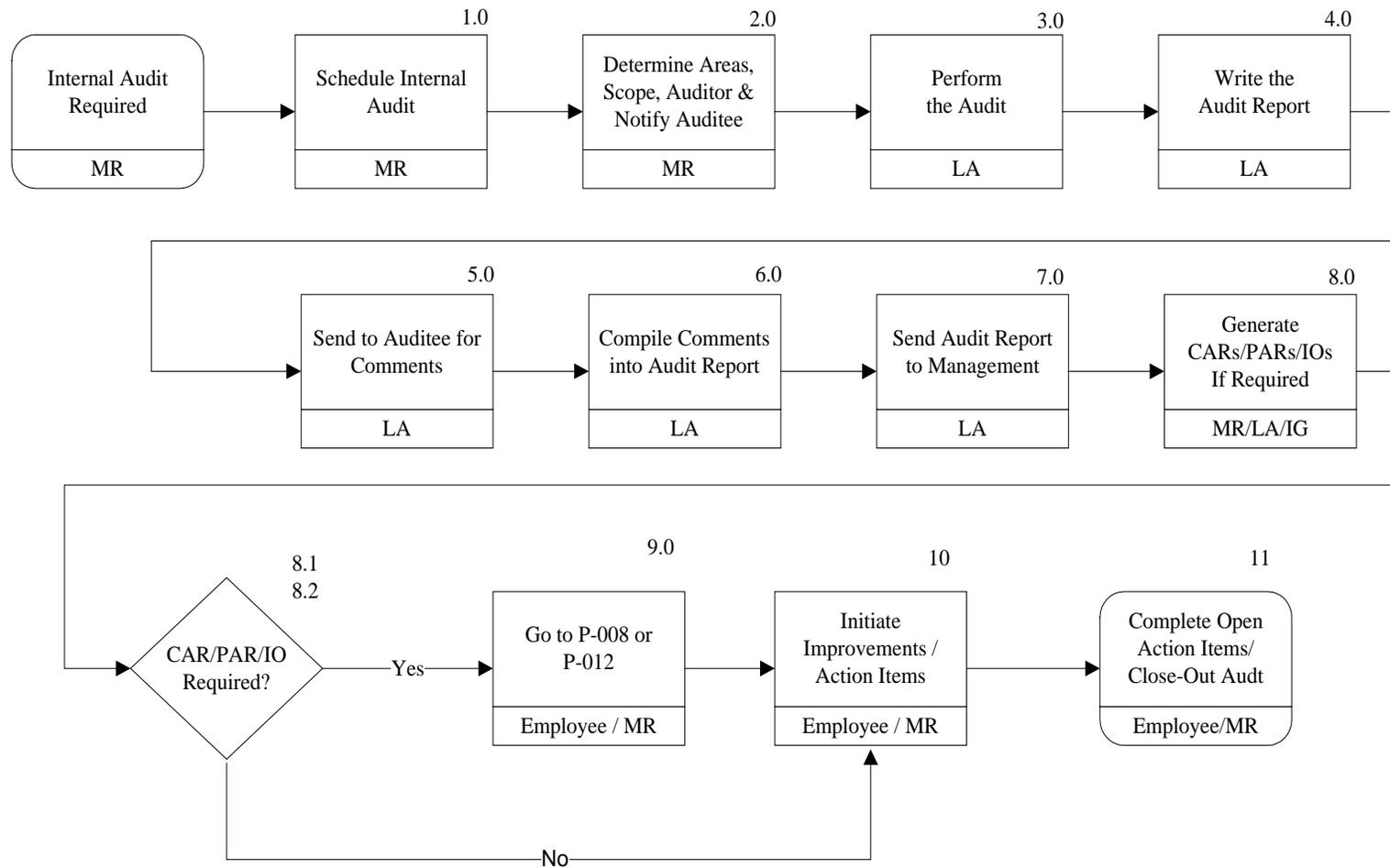
Nonconformance – An area that does not adhere to either ISO 9001:2008 Standard, Customer or regulatory requirement, or a defined internal process.

Preventive Action – Action taken to eliminate the cause of potential nonconformities to prevent their occurrence

Improvement Opportunity (IO) – Used to identify and manage improvements and employee Suggestions. Improvement Opportunities are recorded in the CAR/PAR/IO module of Q-Pulse using “Improvement/Suggestion” or “Employee Suggestion” as the source.

V.

Process



1.0 Schedule Internal Audits

The Management Representative will maintain the Internal Audit Calendar in MS Outlook ISO Internal Audit Calendar taking into consideration the results of External Audits, Customer issues, internal issues, results of previous internal audits, and the status and importance of the areas being audited. The Internal Audit Calendar is reviewed by the EOTA Internal Auditors and maintained as a record as defined on REG-003, Record Register.

2.0 Determine Areas, Scope, Auditor, and Audit Team

The MR in conjunction with the Lead Auditor/Internal Auditors will determine the audit areas, scope of the audits, taking into account the auditor's independence from the area being audited, knowledge of the activity being assessed, and the Internal Audit Calendar.

The MR, in conjunction with the Managers of the areas being audited, will generate/distribute F-008, Internal Audit Schedule Notification Template detailing the particulars of the scheduled audit. This distribution will typically occur two weeks prior to the scheduled Internal Audit.

3.0 Perform the Audit

Using F-011, Internal Audit Report form, the LA will plan the audit and enter the internal audit information. The Audit will be planned using F-012, Internal Audit Preparation Job Aid. The Lead Auditor/Audit Team will perform the audit using the following general format:

- Internal Audit Planning
- Opening Meeting (or equivalent)
- Perform the Audit
- Internal Audit Report Generation
- Closing Meeting

4.0 Write the Audit Report

Following completion of the internal audit, the Lead Auditor will gather applicable information and write the Internal Audit Report using F-011, Internal Audit Report form, completing all sections or listing "N/A" in the "not applicable" sections. Other auditees involved, if applicable, will review the Internal Audit Report prior to distribution to the Auditee for comment.

5.0 Send to Auditee for Comments

The LA will forward a copy of the draft Audit Report to the Auditee and other Auditors, if applicable, for comments. The Auditee and other Auditors, if applicable, will provide input to the Lead Auditor (typically within 3 business days).

6.0 Compile Comments into Audit Report

The LA will compile the Internal Audit Report revision(s), if any, and enter the Lead Auditor's name and date on the electronic report in the Signature/Approval section.

7.0 Send Audit Report to Management

Following LA approval, the LA will provide the Internal Audit Report to the MR for forwarding to the Program Manager (PM1) for review/approval.

8.0 Generate CARs/PARs/IOs

The MR will record the results of the audit from F-011, Internal Audit Report form and will generate CAR/PAR/IOs in accordance with P-008, Corrective/Preventive Action and P-012, Process-Continual Improvement if required. Determination of the need for CAR/PAR or IO based on audit results will be at the discretion of the MR and/or IG.

8.1 If CAR/PAR/IO is required, go to Step 9.0.

8.2 If CAR/PAR/IO is not required, go to Step 10.

9.0 Go to P-008, Corrective/Preventive Action or P-012, Process-Continual Improvement

All relevant employees will make improvements and take corrective action, as assigned.

10.0 Initiate Improvements and Action Items

All relevant employees will make improvements and take corrective action, as assigned.

11.0 Complete Open Action Items and Close-Out Audit

The MR will include the Audit results in the Business System Management Review, as defined in P-004, Business System Management Review.