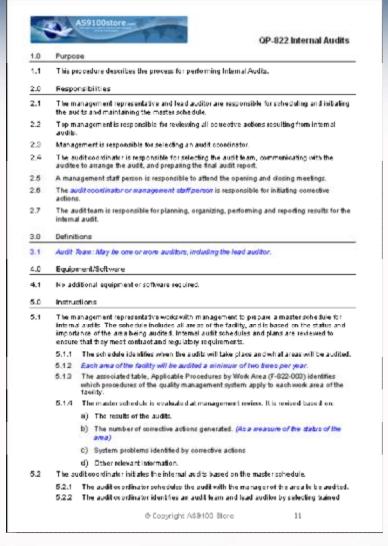
Steps of an AS9120 Rev A Internal Audit

OK STOCK DISTRIBUTORS

Internal Audit Procedure



Basic Steps for an Audit

- Scheduling the audit
- Planning the audit
- Opening meeting
- Audit the areas
- Auditors document findings
- Final audit report
- Closing meeting
- Creating the audit file

Sample Audit Plan

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The Final Report

- The Lead Auditor prepared the final report
- The report summarizes:
 - Nonconformances
 - Any changes to the scope of that audit
 - The affectivity of implementing and maintaining the quality management system

Examples of Nonconformances: 4.0 Quality Management System

- Applicable statutory and regulatory requirements are not addressed in the quality system.
- The date for procedure P-422 does not match the date on the master list.
- Procedure P-500 has no signature to indicate approval as required by the procedure.
- Obsolete document distributed .. procedure P-740 is out-dated, master list shows later date.
- Revisions to procedures are not recorded.
- No record of approval on the Quality Manual.
- Does not address documents of external origin.
- Stored electronic records are not backed up.
- A retention period for records is not specified.



A Guide to Internal Auditing

AS9120



- The internal audit program is the most powerful tool available for building, maintaining and improving your quality system.
- You can be a part of it

Types of Audits

There are three kinds of audits that can be conducted in your organization:

- 1. First party audit or an Internal audit that is the topic of this presentation.
- 2. Second party audit, carried out by a customer or a customer's representative, usually to ensure that you comply with contractual requirements.
- 3. Third party audit, carried out by a Registrar, usually to certify that your quality management system is in compliance to the AS9120 standard.

Who Can Audit?

- •Auditors typically represent the people employed by the organization and must be objective and dedicated to this important task.
- •AS9120 Par. 8.2.2 requires that "selection of auditors shall ensure objectivity and impartiality of the audit process" ~or~ Auditors cannot audit their own work.
- •There are important techniques that they must be aware of when they prepare for and perform the audits.
- •Internal auditors must become familiar with the auditing process.

Internal Audits: Conclusion

The Internal Audit process is one of the most important in AS9120 or any ISO based standard.

Conduct internal audits to determine if the QMS:

- Conforms to planned arrangements for quality management .. this includes both the requirements of the AS standard and your own operational requirements,
- Has been properly implemented and is maintained
- Provide information on results of audits to the management group.