1.0  **PURPOSE :**

To define the responsibilities and requirements for planning and conducting audits, and for reporting results and maintaining records shall be defined in a documented procedure.

2.0  **SCOPE :**

Applicable to all aspects of the established quality system of EMCO.

3.0  **REFERENCES :**

IA00 - 401 Format - "Internal Quality Audit Plan"
IA00 - 402 Format - "Audit Schedule"
IA00 - 403 Format - "Internal Quality Audit Report" (IQA - Report)
IA00 - 404 Format - "Internal Quality Audit - Corrective Action Report" (IQA - CAR)
IA00 - 501 List - "Internal Quality Auditors"

4.0  **ANNEXURES :**

Annexure A - Process Maps & Flow-Charts
Annexure B - Records Table
### Annexure A - PROCESS MAPS & FLOW-CHARTS

<table>
<thead>
<tr>
<th>Process Owner</th>
<th>Process Controls</th>
<th>Process Goals (Targets)</th>
</tr>
</thead>
<tbody>
<tr>
<td>MR</td>
<td>---</td>
<td>At least 1 opportunity for improvement per audit</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Process Inputs</th>
<th>Process Name</th>
<th>Process Outputs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Previous IQA results</td>
<td>Internal Quality Audit</td>
<td>IQA Report, IQA Corrective Action Report, Audit result analysis</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Process Verification</th>
<th>Process Resources (Means)</th>
<th>Process Measures (Metrics)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Through Auditing and Process Performance Measures</td>
<td>Qualified Trained Auditors</td>
<td>No. of opportunities for improvement per audit</td>
</tr>
</tbody>
</table>
Internal Quality Audits are conducted by suitably qualified / trained Auditors listed in Internal Quality Auditors. Auditors are selected from amongst the organization's Personnel.

Internal Quality Audit Plan is prepared annually, (typically at least 3 internal audits per annum) considering the following:
- Audit Results of previous years
- Organizational changes
- Management Review decisions
- Adequate coverage of all processes & QMS requirement

Audit Schedule is prepared, based on the Audit Plan, (as also for meeting any specific need of the organization / depts., for conducting audits), at least one week ahead of proposed / scheduled audit dates. It is ensured that Audit Schedule defines / covers:
- Audit Criteria and Scope (QMS elements / areas / processes to be audited)
- Audit Date / Time
- Auditee (Dept. / Funct. Head, responsible for the area)
- Auditor / Audit Team (not having direct responsibility for that area)
Based on the Schedule for Internal Quality Audit, following preparation is carried out:

- Procedures and related documents, for the area/process to be audited, are carefully studied
- Previous Internal Quality Audit Reports are studied

Audit is conducted as per the Audit Schedule, ensuring that:

- defined audit criteria and scope are covered
- objectivity and impartiality is maintained
- any changes in the 'Audit Schedule' are mutually agreed with auditee
- audit observations and findings are recorded

On conclusion of the audit:

- Internal Quality Audit Report is prepared, giving summary of Audit findings (conformities & nonconformities - NC) and observations (improvement opportunities, not amounting to a nonconformity)
- For each detected NC, an Internal Quality Audit Corrective Action Report (IQA-CAR) is prepared by the auditee for taking the necessary correction and/or corrective action.
- the IQA-CAR are retained by the auditee to ensure timely & effective implementation of corrective actions & handed over to the MR along with the IQA report after closing of the audit NC.
Corrective actions, as recorded in the IQA-CAR, are verified to confirm:
- satisfactory implementation
- effectiveness of the corrective actions, i.e. there is no evidence of recurrence of the same nonconformity.

**Yes**
- IQA-CARs are closed
- Audit results are compiled and analyzed
- Audit Results and analysis are discussed in following Management Review for improvement actions

**No**
Auditor / Auditee
- IQA-CAR is updated for:
  - further / additional actions, required or recommended to be taken

**Auditor**
- Corrective actions satisfactory and effective?
<table>
<thead>
<tr>
<th>Sr. No.</th>
<th>RECORD REFERENCE</th>
<th>RECORD DESCRIPTION</th>
<th>RECORD LOCATION</th>
<th>MAINTAINED BY</th>
<th>RETENTION PERIOD</th>
</tr>
</thead>
</table>
| 1.      | IA00-801         | - Internal Quality Audit File containing :-
|         |                  | - Internal Quality Audit Plan (IA00-401) |
|         |                  | - Audit Schedule (IA00-402) |
|         |                  | - IQA Report (IA00-403) |
|         |                  | - IQA - CAR (IA00-404) |
|         |                  | - Analysis of Audits |
|         |                  | MR's Office          | MR            | 1 Year         | 1 Year          |
|         |                  | MR's Office          | MR            | 1 Year         | 1 Year          |
|         |                  | MR's Office          | MR            | 3 Years       | 3 Years         |
|         |                  | MR's Office          | MR            | 3 Years       | 3 Years         |