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SUBJECT	<b>INTERNAL AUDIT</b>		

## 1.0 OBJECTIVE

To ensure continuous compliance to DOST Regional Office No. IX's established requirements in accordance with the ISO 9001:2015 standard, *statutory and regulatory requirements*.

## 2.0 SCOPE

This procedure covers all internal audit activities from the preparation of annual internal audit program up to conduct of audit program, monitoring and review including the risks and opportunities associated with the process

## 3.0 ACCESS

*This procedures manual is uploaded to the DOST IX Document Management System and accessible to all DOST IX personnel. The original copy of this document is managed by the DOST IX's document custodian.*

## 4.0 DEFINITIONS

**Lead Auditor** - refers to the person who has the competence to lead the Audit team. He/She is responsible in implementing the activities stated in the Audit Plan and prepares the Consolidated Audit Findings and Summary of Nonconformities after the audit.

**Observers** – *designated personnel with potential internal quality audit skills. Tapped to assist the Internal Quality Auditors in conducting internal audit.*

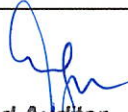
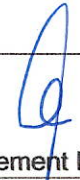
**Nonconformity and Corrective Action Report (NCAR)** – form used for the disposition of nonconformities.

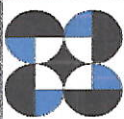
## 5.0 RECORDS

- Notice of Audit
- Audit Checklist
- Application for Internal Quality Auditor
- Internal Quality Auditor Performance Rating
- Consolidated Audit Findings
- Audit Nonconformities Summary
- Nonconformity and Corrective Action Report (NCAR)

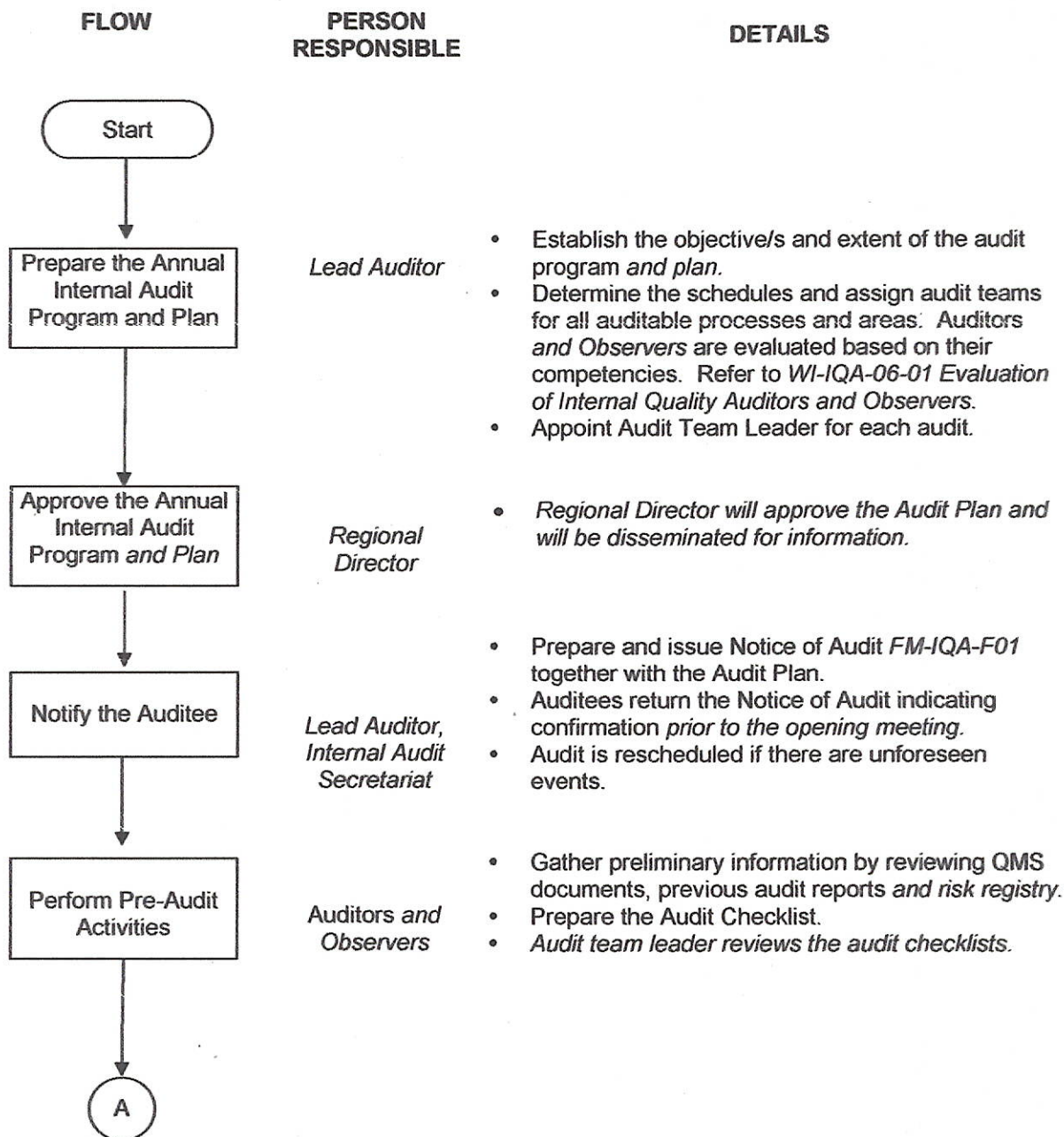
## 6.0 REFERENCE



- Annual Internal Audit Program
- Audit Plan
- *Special Order*
- *PM-IQA-06-04 Corrective Action*
- *WI-IQA- 06-01 Evaluation of Internal Quality Auditors and Observers*
- ISO 9001:2015 Standard
- ISO 19011:2002 Standard

Prepared by:  Lead Auditor	Approved by:  Quality Management Representative
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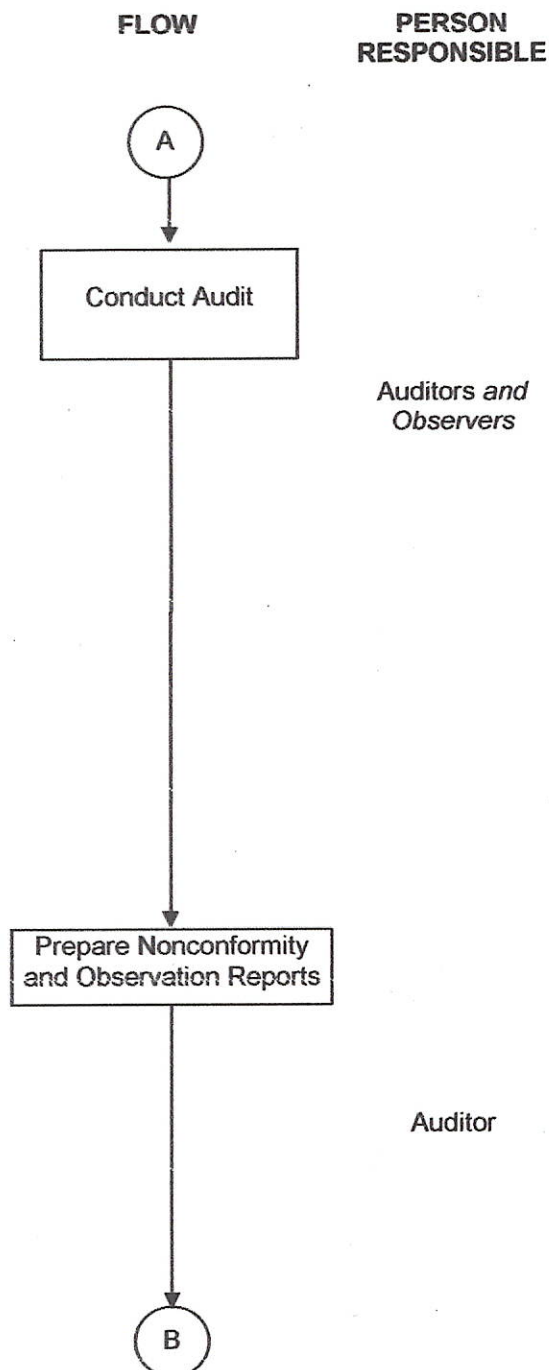
## 7.0 PROCEDURE





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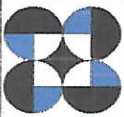


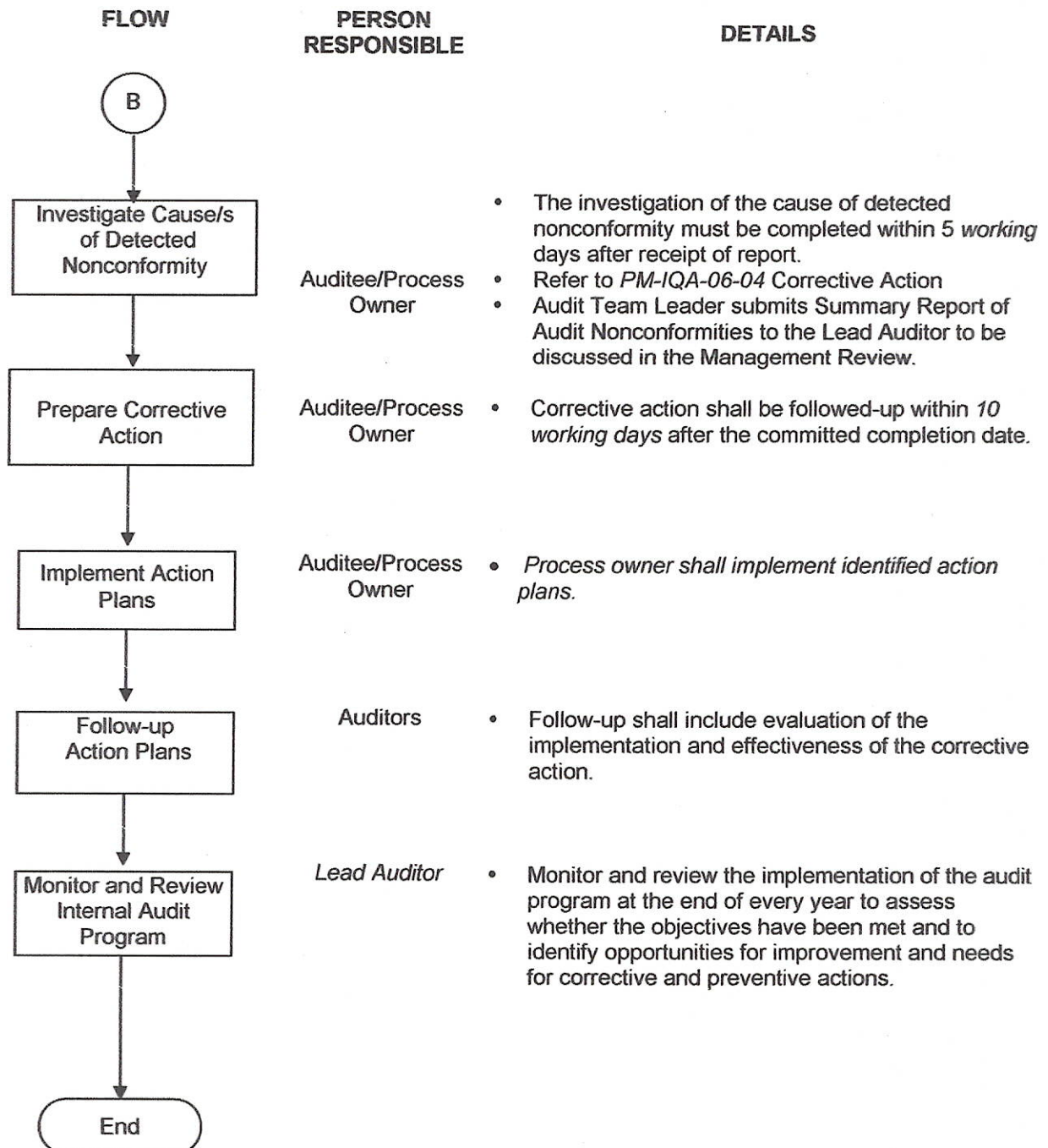
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- **Lead Auditor presides the opening meeting to provide a short summary of how the audit activities will be undertaken.**
- ***Rescheduling of Audit due to unforeseen events should be agreed upon by the Audit Team Leader assigned and Auditee.***
- **Perform audit through interviews, observations and checking of records/ documents.**
- **Evaluate/analyse findings using the following classification and categories:**
  - Categories:**
    - Conformity (C) – conforms with the procedure required by the standard and the organization.**
    - Nonconformity (NC) – lapses in the implementation of a procedure required by the standards and the organization.**
      - a) *Minor Nonconformity – happenings or actions that are not listed in the specified requirements, but it does not detrimentally affect the operation or quality control of the entire operations***
      - b) *Major Nonconformity - A major non-conformance occurred that could negatively impact intended operations and objectives.***
    - Observation for Improvement (OFI) – observations on the process that can be considered by the Process Owner for improvement.**
- **Conduct closing meeting. Submit to the Regional Director the Consolidated Audit Findings.**
- **Give feedback on:**
  - ***nonconformities***
  - ***potential problem areas***
  - ***any problem experienced***
  - ***good points or best practices***
- **Record nonconformities in the Nonconformity and Corrective Action Report FM-QMR-F03 to be submitted to process owners two (2) working days after the last day of audit.**
- **Record observations identifiable as potential non-conformities shall be addressed thru FM-IQA-F03 which shall be presented to concerned process owners for appropriate compliance within two (2) working days after the last day of the audit**
- **Disagreement on any findings will be elevated for management review.**

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