INTERNAL QUALITY AUDIT PLAN

1.0 General Information

1.1 Objective

The purpose of this internal audit is to achieve the following:

- Determine extent of conformity of the elements of the QMS affecting the area with audit criteria.
- Evaluate the effectiveness of the system in achieving specified objectives or other results to be achieved.

1.2 Scope and Criteria

It shall be audited against the requirements of the ISO 9001:2015 standard. A matrix will be provided for the specific requirements of the standard.

1.3 System Overview

QMS is established since 2003 which covers assembly of ATM Components. Now each department functions simultaneously to deliver the required quantity and quality of assembled ATM units satisfying its customers demand. Each department standard shall be audited against the purpose indicated in sec 1.1 using the approach indicated in sections 2.1 and 3.1 of this audit plan.

1.4 Acronyms and Abbreviations

N/A

1.5 Terms and Definitions

1. **Adequacy-** Requirements of the standard are translated into applicable work instructions, procedures, and other QMS Documents.
2. **Compliance-** Requirements of the standard are being followed and understood.
3. **Effectiveness-** *(a)* is how objectives are being met. *(b)* is when planned results are met in accordance to planned arrangements.
4. **Major Finding –** A systemic breakdown of the Quality Management System that impacts ability to produce a product or service or impacts quality management system processes
5. **Minor Finding –** A non-systemic breakdown that can have an indirect, lower order, adverse impact on the quality of a product or service. Absence of a record required by the QMS is considered a minor nonconformity.

6. **Observation** – A finding that may lead to a nonconformance. Observation is a recommendation for improvement. Based on an analysis of the IQA Head, related observations may be elevated to a nonconformance.

1.6 Points of Contact

1.6.1 Initial Contact

The audit team shall notify the area managers and key personnel about the audit plan.

1.6.2 Information

All Supervisors and Managers will receive email about the specifics of the audit. Like contents of audit plan and its appendices. It will be sent prior to the initial contact

1.6.3 Coordination

It is important for each section to coordinate with their respective document controllers to check the existence of their documents. A common document shall be known by each concerned individual. Each leader or supervisor shall ensure awareness among their subordinates.

2.0 Audit Process

2.1 Type of Audit

Compliance auditing will be used. Auditors will check whether the area has complied with the applicable requirements of the new standard.

2.2 Internal Quality Audit Subject

Internal audit will be conducted to Administrative Division – Information System Section.

2.3 Roles and Responsibilities

Each section shall

– Provide evidences of documentation and records required by the MQP.

– Provide evidences of system for planning, quality control, quality assurance, and continual improvement.

– Provided evidences of system for employee competence, training and awareness.

– Demonstrate effectiveness of processes and QMS

– Provide evidences of Monitoring and Measurement

– Provide evidences of data analysis and improvement

2.4 Internal Quality Audit Process

2.4.1 Preparation & submission of audit itinerary to area Managers/Heads prior to scheduled on-site audit.

2.4.2 Actual on-site audit & discussion with management & key personnel on audit findings (non-conformances/non-compliances & observations/opportunities for improvement).

2.4.3 Preparation & submission of audit report to Management after the actual audit.

2.5 On-site Audit

2.5.1 Opening Meeting

2.5.1.1 Audit objectives, scope, and criteria.

2.5.1.2 General proceedings based on previously prepared & submitted audit itinerary.

2.5.1.3 Audit method. Verification of objective evidences.

2.5.1.4 Definition of Major and Minor findings against observations/opportunities for improvement.

2.5.1.5 The importance of discussion with management on audit findings during progress of audit and on the Closing Meeting.

2.5.2 Actual Audit

Sampling & verification of objective evidences on:

People - awareness, level of understanding, & commitment to quality management system, customer focus, etc.

Practice- observation of actual operational activities

Paper - review of documentation and records

2.5.3 Closing Meeting

2.5.3.1 Presentation of noncompliances/ nonconformances & observations/ opportunities for improvement to the management.

2.6 Schedule

2.6.1 Initial meeting with area managers for notification of audit plan will be on August 25, 2023.

2.6.2 Document review will be conducted from August 29, 2023 until September 26, 2023.

2.6.2.1 Review of QCP/QSP/PFC/& SWI

2.6.3 On-site Internal Quality Audit will be conducted on September 27, 2023. Itinerary of activities is appended in this Audit Plan. See Appendix C.

3.0 Evaluation

3.1 Strategy

Each auditor shall provide a checklist with applicable questions and hints on how to establish the check item and this will be used all throughout the audit. After evaluating the MQP, areas and opportunities for improvement will be raised. This will add value to this activity.

4.0 Appendices

Appendix A– Audit Matrix
Appendix B – Audit Itinerary
Appendix C – Opening and Closing Meeting

5.0 References

ISO 9001:2015 Standard
Manufacturing Quality Plan
QSP COM 10- Internal Auditing

6.0 Authority

Prepared by:

08/25/23
Regan Elca – IQA Asst. Manager

Reviewed by:

08/25/23
Kazuya Okamura – Asst. Vice President

Approved by:

08/25/23
Kunpei Yamamoto – Vice President / QMS Project Leader

Appendix A
Audit Matrix

ISO 9001:2015 Requirements	Applicable QMS Documents	Department / Section / Location Mfg. information Systems
4 Context of Organization		
4.1 Understanding the organization and its context	QSP COM Series, QSP MIS Series, SWI MIS Series, PFC MIS Series	●
4.2 Understanding the needs and expectations of interested parties	QSP COM Series, QSP MIS Series, SWI MIS Series, PFC MIS Series	●
4.3 Determining the scope of the quality management system		
4.4 Quality management and its processes		
4.4.1	QSP COM Series, QSP MIS Series, SWI MIS Series, PFC MIS Series	●
4.4.2	QSP COM Series, QSP MIS Series, SWI MIS Series, PFC MIS Series	●
5 Leadership		
5.1 Leadership and commitment		
5.1.1 General		
5.1.2 Costumer focus		
5.2 Policy		
5.2.1 Establishing quality policy		
5.2.2 Communicating the quality policy		
5.3 Organizational roles, responsibilities and authorities		
6 Planning		
6.1 Actions to address risks and opportunities		
6.1.1	QSP COM Series, QSP MIS Series, SWI MIS Series, PFC MIS Series	●
6.1.2	QSP COM Series, QSP MIS Series, SWI MIS Series, PFC MIS Series	●
6.2 Quality objectives and planning to achieve them		
6.2.1	QSP COM Series, QSP MIS Series, SWI MIS Series, PFC MIS Series	●
6.2.2	QSP COM Series, QSP MIS Series, SWI MIS Series, PFC MIS Series	●
6.3 Planning of changes		
7 Support		
7.1 Resources		
7.1.1 General		
7.1.2 People		
7.1.3 Infrastructure	QSP COM Series, QSP MIS Series, SWI MIS Series, PFC MIS Series	●
7.1.4 Environment for the operation of processes	QSP COM Series, QSP MIS Series, SWI MIS Series, PFC MIS Series	●
7.1.5 Monitoring and measuring resources		
7.1.6 Organizational knowledge	QSP COM Series, QSP MIS Series, SWI MIS Series, PFC MIS Series	●
7.2 Competence	QSP COM Series, QSP MIS Series, SWI MIS Series, PFC MIS Series	●
7.3 Awareness	QSP COM Series, QSP MIS Series, SWI MIS	●

ISO 9001:2015 Requirements	Applicable QMS Documents	Department / Section / Location Mfg. information Systems
	Series, PFC MIS Series	
7.4 Communication	QSP COM Series, QSP MIS Series, SWI MIS Series, PFC MIS Series	●
7.5 Documented information		
7.5.1 General		
7.5.2 Creating and updating	QSP COM Series, QSP MIS Series, SWI MIS Series, PFC MIS Series	●
7.5.3 Control of documented information	QSP COM Series, QSP MIS Series, SWI MIS Series, PFC MIS Series	●
8 Operation		
8.1 Operational planning and control		
8.2 Requirements for products and services		
8.3 Design and development of product and services		
8.4 Control of externally provided processes, product and services		
8.5 Production and services provision		
8.5.1 Control of production and services provision		
8.5.2 Identification and traceability		
8.5.3 Property belonging to customers or external providers		
8.5.4 Preservation		
8.5.5 Post - delivery activities		
8.5.6 Control of changes		
8.6 Release of products and services		
8.7 Control of nonconforming outputs		
9 Performance evaluation		
9.1 Monitoring , measurement, analysis and evaluation		
9.1.1 General	QSP COM Series, QSP MIS Series, SWI MIS Series, PFC MIS Series	●
9.1.2 Customer satisfaction		
9.1.3 Analysis and evaluation	QSP COM Series, QSP MIS Series, SWI MIS Series, PFC MIS Series	●
9.2 Internal audit		
9.3 Management review		
10 Improvement		
10.1 General	QSP COM Series, QSP MIS Series, SWI MIS Series, PFC MIS Series	●
10.2 Nonconformity and corrective action	QSP COM Series, QSP MIS Series, SWI MIS Series, PFC MIS Series	●
10.3 Continual improvement	QSP COM Series, QSP MIS Series, SWI MIS Series, PFC MIS Series	●

Appendix B
Audit Itinerary

Auditors:

1. Armelle Joyce Carlos
2. Catherine Maligaya
3. Joan Sta. Ana
4. Cherry Liza Dorepes
5. Ana Teresa Fumar

Itinerary

Audit Area	Date	Start	Finish	Auditee	Auditors	ISO 9001:2015 Requirements and QMS Documents	Sign
Opening meeting	09/27/2023	9:00AM	9:15AM	All	All	----------	----------
Information Systems	09/27/2023	9:16AM	5:00PM	Ms. Dela Cruz / IS Section Leaders / IS Staff	All	4.1 4.2 4.4.1 4.4.2 6.1.1 6.1.2 6.2.1 6.2.2 7.1.3 7.1.4 7.1.6 7.2 7.3 7.4 7.5.2 7.5.3.1 7.5.3.2 9.1.1 9.1.3 10.1 10.2 10.3 QSP COM Series, QSP MIS Series, SWI MIS Series, PFC MIS Series	FDTP D., DELA CRUZ MIS 2023-8-18
Report Preparation	09/29/2023	---	---	---	All	Audit Report Preparation	----------
Audit Reporting	09/29/2023	3:45PM	4:30PM	All	All	Presentation of audit reports and findings	----------

Please read notes below:

Note 1: *The Supervisors and Managers shall agree on the proposed date and time for the audit itinerary. The final agreement will be followed-up after 1 week upon issuance of this audit plan. The concerned Supervisor or Manager shall sign on the space provided.*

Note 2: *Any changes on the committed schedule after the agreement shall be taken on the account of the signatory. Changes with the schedule shall be dealt with the QMS Project Leader.*

Note 3: *The time allotted for the audit is only estimated. Auditors may adjust the duration of audit as the need arises in order to satisfy the audit objective. Auditors and area supervisor may set additional schedule if they agree to do so.*

Appendix C

Opening and Closing Meeting Attendance

When:

Where:

Name	Position	Opening Meeting	Closing Meeting