Internal Audits
Procedure
1.0 PURPOSE AND SCOPE

1.1 Purpose
1.1.1 The purpose of this document is to provide the Quality Assurance staff with instructions for the planning, performance, and reporting of audit results. This document establishes the requirements for the performance of Internal Audits performed to ensure the requirements of ISO 9001, and any other applicable documents are met.

1.2 Scope
1.2.1 The scope of this procedure is applicable to the Quality System implemented at our Company.

2.0 APPLICABLE DOCUMENTS
The following documents of the latest issue are applicable to the extent specified herein:

Industry/Commercial/Government Documents
ISO 9001:2008 Quality Management System Requirements

Internal Document(s)
ATS-DCP-1001 Document Control
ATS-HRP-1001 Training and Certification
ATS-QAP-1004 Quality Records
ATS-QAP-1005 Nonconforming Material System
ATS-QAP-1006 Corrective Action(s) System
ATS-QAP-1009 Management Review

Form(s)
FORM 0090-1 Quality Assurance Audit Summary Record (*1)
FORM 0090-2 Internal Audit Checklist (*1)

Note(s):
(*1) The ISO/QS 9000 QDS Plus software - Quality module; Internal Audit sub-module standard reports are used to support this process.
3.0 RESPONSIBILITIES

3.1 General

3.1.1 Quality Assurance - is responsible for preparing and maintaining this document. In addition, shall ensure Internal Audits are scheduled and conducted as specified by this document. This includes scheduling the audits, assigning personnel to perform the audits, assigning corrective action as a result of the audit findings, and maintaining records of the systems audit results.

3.1.1.1 Quality Assurance is responsible for training and approving Auditors to the extent necessary to conduct effected audits defined in this document. Auditor may be Quality Assurance, other functional department(s) or subcontractor personnel.

3.1.2 Auditor(s) - are responsible for performing the scheduled audits in a professional, impartial, objective and accurate manner in accordance with this procedure.

4.0 GENERAL

4.1 Audit Prerequisites

4.1.1 Internal audits are conducted at planned intervals to determine whether the quality management system:
   a) conforms to the planned arrangements, to the requirements of the ISO 9001 standard and to the quality management system requirements established by the organization, and
   b) is effectively implemented and maintained

4.1.2 Audits are planned, taking into consideration the status and importance of the processes and areas to be audited, as well as the results of previous audits. The audit criteria, scope, frequency and methods are defined. The selection of auditors and conduct of audits are designed to ensure objectivity and impartiality of the audit process. Auditors are not authorized to audit their own work.

4.1.3 Prior to performing an Internal Audit, the Auditor shall review the previous Internal Audit Checklists results and corrective actions (when applicable) to ensure corrective actions have been implemented effectively and are sufficient to correct the cited deficiencies. See Corrective Actions Logbook, COR-1001 for stored corrective action information.
4.1.3.1 After the review of previous audit checklists results and corrective actions (when applicable) is completed, check (√) "YES" on the Quality Assurance Audit Summary Record - "Examined prior audit records and corrective actions? ___ YES or ___ No" block.

4.2 Coordination of Audits with Area Supervisors/Managers
4.2.1 In advance, the Auditor shall notify the supervisor/manager of the area that the audit is scheduled. This may be accomplished verbally and/or in writing as deemed necessary by the Auditor.

4.2.2 All audit results recorded on the Quality Assurance Audit Summary Record and Internal Audit Checklist(s) forms shall be discussed with, and verified by the responsible area supervisor/manager prior to becoming part of the official audit report. Once this information is communicated, the area supervisor/manager shall initial the Quality Assurance Audit Summary Record - "Area Supervisor Acknowledgement" block.

4.2.3 The area supervisor/manager responsible for the area being audited will ensure that actions are taken without undue delay to eliminate detected nonconformities and their causes per ATS-QAP-1006, Corrective Action(s) System. Auditor follow-up activities include the verification of the actions taken and the reporting of verification results using the Quality Assurance Audit Summary Record form (FORM 0090-1).

4.3 Audit Deficiencies
4.3.1 All audit deficiencies shall be documented using the Quality Assurance Audit Summary Record and Internal Audit Checklist forms. When product/material non-conformances are detected during the Internal Audit, the product/material non-conformances shall also be documented against the product/material to prevent unauthorized use in accordance with ATS-QAP-1005, Nonconforming Material System.

4.3.2 Corrective Action shall be assigned as described in paragraph 8.0 herein.

4.4 Training
4.4.1 Auditors shall receive basic training in accordance with ATS-QAP-1008, Internal Audits. In addition, a minimum of four (4) hours of auditor skills/ISO 9001 requirements training, or previous auditing experience/training as determined by Quality Assurance management is required prior to performing internal audits.

4.4.2 Auditor training and approval records are documented and retained in accordance with ATS-HRP-1001, Training and Certification.
5.0 PROCEDURE

5.1 General Requirements

5.1.1 Internal Audits are comprised of the following Audit Types:

A. Process
B. Product
C. Special

5.1.2 An annual Internal Audit Schedule shall be prepared and approved by Quality Assurance management prior to performing audit activities. When deemed necessary by Quality Assurance management, the Internal Audit Scheduled is submitted to executive management for review and approval. All elements of the ISO 9001 standard shall be audited once per year. The ISO/QS 9000 QDS Plus Software - Quality Assurance; Internal Audits submodule - Scheduling screen is used for preparing, maintaining and printing the Internal Audit Schedule.

5.1.3 Each Internal Audit shall be conducted in accordance with the approved Internal Audit Schedule and the results recorded using the Quality Assurance Audit Summary Record and Internal Audit Checklist forms. The audit results shall be reviewed with the area supervisor/manager prior to the Auditor initials/signing the Quality Assurance Audit Summary Record form - "Auditor Performing Audit Approval" block.

5.1.4 The audit schedule shall cover each element and sub-element that affects the ISO 9001 Quality System as determined by Quality Assurance. The depth, magnitude and selection of processes audited each year are scheduled and performed based on complexity, seriousness and risk to the business, and past experiences. When our Company has more than one facility location or work shift, the audit schedule incorporates audits for each facility location and work shifts.

5.1.5 Prior to conducting the audit, the Auditor shall prepare an Internal Audit Checklist using the Internal Audit Checklist form. Formal or informal Internal Audit Checklists may be used to perform Internal Audits. It is not necessary to type Internal Audit Checklists when the manual form is used.

5.1.5.1 Informal Checklists - An informal Internal Audit Checklist is hand written using the blank Internal Audit Checklist form. The hand written Internal Audit Checklist is reviewed by the Auditor and attached to the Quality Assurance Audit Summary Record as a continuation sheet. No separate approval is required. Informal audit checklists are not copied and used on subsequent audits since they are not assigned
5.1.5.2 **Formal Checklists** - A formal Internal Audit Checklist may be prepared by entering the checklist information into the ISO/QS 9000 QDS plus software, Quality module; Internal Audits submodule - Internal Audit Checklist screen. Each formal Internal Audit Checklist (IACL) is assigned a document number (i.e. IACL-QAP-1503 when preparing a checklist for ATS-PGP-3001, etc.), sequential revision letter starting with "A" and a printed copy is reviewed and approved by the Auditor prior to use each time. The Auditor approval (initials/signature) is recorded on the printed Internal Audit Checklist near the Auditor Approval block. Prior to approving, the Auditor shall examine the printed checklist each time before use to ensure the information is accurate and was developed using the latest revision document/specification/drawing. If not, the Auditor shall update the formal Internal Audit Checklist.

5.1.6 When a document/specification/drawing is being audited, every paragraph and every detail of the document/specification/drawing does not be to examined. The Auditor shall randomly select requirements cited for auditing purposes unless otherwise specified by QA management.

5.1.7 When conducting audits, it is not necessary to examine every process output 100% to verify compliance to an audit requirement. Typically, the Auditor selects a random sample (i.e. three to four samples) of process outputs and verifies the outputs against the audit requirement. When a document/specification/drawing cites another document/specification/drawing that is already covered by the audit schedule, the Auditor shall not include auditing additional cited document/specification/drawing requirements as part of the audit being performed.

5.1.8 The audit observations, notes and comments are handwritten in the respective Auditor Observations block on the Internal Audit Checklist form. In order to give validity to the audit report, it is important for the auditor record information in this block citing what was examined and quantity, and other comments as necessary. In addition, the Auditor shall check (✓) the respective "Compliant? ___ Yes or ___ No" and "Recurring Problem? ___ Yes or ___ No" blocks on the Internal Audit Checklist form. The only time the "Recurring Problem? No" block is selected is when prior audits have detected the same concern or process non-compliance.

5.1.8.1 It is acceptable to attach support documentation that was examined during the audit to the back of the Internal Audit Checklist.
5.1.8.2 The Auditor shall conduct the scheduled audit in a professional, impartial, objective and accurate manner. Auditors shall not audit their own work.

5.1.9 After conducting the audit, the Auditor shall check (√) the "__ YES, or __ NO" questions in the Auditor Observation(s) block on the Quality Assurance Audit Summary Record form:
   a) Process/System is effectively implemented?
   b) Process/System is properly maintained?

5.1.9.1 A "NO" response to either of these questions requires corrective action.

5.2 Internal Audits
   5.2.1 Internal Audits shall be conducted to verify compliance with approved manuals, procedures, instructions or forms to verify that it is accomplishing the intended purpose and is effective. Internal Audits shall incorporate all elements of the ISO 9001 Quality Management System implemented at our Company.

5.3 Product/Special Audits
   5.3.1 Any other audits deemed necessary by Quality Assurance management are conducted as required to verify compliance with drawings/parts list, or specifications. These Product/Special Audits shall be documented when performed.

5.4 Executive Management Involvement
   5.4.1 Quality Assurance reviews the results of Internal Audits and Corrective Actions with the Quality Council as scheduled per ATS-QAP-1009, Management Review.

6.0 ACCEPTANCE

6.1 Closing Audits
   6.1.1 Internal Audits shall be considered closed only after all corrective actions have been completed, and follow-up has been done to verify the effectiveness of the corrective action.

   6.1.1.1 The Auditor shall initial/sign and date the "Audit Report Close Out" block on the Quality Assurance Audit Summary Record form to indicate closure of the audit.

   6.1.2 Formal Corrective Action is handled in accordance with ATS-QAP-1006, Corrective Action(s) System.
7.0 **REJECTION**

7.1 **Corrective Action**

7.1.1 Internal Audit non-conformances which violated Customer order or ISO 9001 Quality System requirements shall have formal corrective action initiated in accordance with ATS-QAP-1006, Corrective Action(s) System. Typically, corrective action is documented using the methods defined on the Quality Assurance Audit Summary Record form in the "Corrective Action Required? ___ Yes or ___ No" block by the Auditor or Quality Assurance.

7.1.2 When follow-up is required to ensure the corrective action taken is properly implemented and effective, the Auditor/Quality Assurance shall check (✓) the "Audit Follow-up Required? Yes" block on the Quality Assurance Audit Summary Record form and defined when the follow-up should be performed.

7.1.2.1 The Follow-up does not need to performed by a specific dated when cited, but should be examined at least by the next scheduled audit date for the same process previously checked.

8.0 **RECORDS**

8.1 **General**

8.1.1 Audit records shall be retained for a minimum of three years from the completion of the audit activity. This includes completed Quality Assurance Audit Summary Records and Internal Audit Checklists forms and applicable corrective action documentation. See ATS-QAP-1004, Quality Records.