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Revision: 00
Date: 20 October 2015

Republic of the Philippines
SOUTHERN LEYTE STATE UNIVERSITY
Sogod, Southern Leyte

ANNUAL INTERNAL AUDIT PLAN

Year: _____ Prepared by: _____ Approved by: _____
Lead IQA **UQMR**

#	Process	Elements to be Audited (ISO Clauses)		Schedule				Remarks
				Quarter 1 (March)	Quarter 2 (June)	Quarter 3 (Sept)	Quarter 4 (Dec)	
			Target					
			Actual					
			Target					
			Actual					
			Target					
			Actual					
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			Actual					
			Target					
			Actual					
			Target					
			Actual					

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Republic of the Philippines
SOUTHERN LEYTE STATE UNIVERSITY
Sogod, Southern Leyte

INTERNAL QUALITY AUDIT PROGRAM

Objective: To evaluate the QMS of Southern Leyte State University, to determine if properly implemented and maintained as per ISO 9001:2008 requirements and QMS effectiveness in achieving the goals of the institution.

FUNCTIONS TO BE AUDITED	AUDITEE	AUDITORS	DATE	TIME	PROCEDURES/REFERENCE DOCUMENTS	REMARKS

Prepared by: _____
Internal Lead Auditor

Endorsed by: _____
UQMR

Approved by: _____
University President

Republic of the Philippines
SOUTHERN LEYTE STATE UNIVERSITY
Sogod, Southern Leyte

AUDITOR'S CHECKLIST

Clause No.				
4	**Quality Management System**	**Y**	**N**	**Ref No.**
4.1	Does the organization establish, document, implement, maintain and continually improve a Quality Management System (QMS) in accordance with ISO 9001 : 2008 with due consideration given to: a) identification of processes needed for the QMS and their application throughout the system; b) determination of sequence and interaction of these processes c) determination of criteria and methods required to ensure effective operation and control of these processes; d) availability of resources and information required to support the operation and monitoring of processes; e) measurement, monitoring and analysis of the processes; f) implementation of action to achieve planned results and continual improvement. Has the organization established a system to control outsourced processes that can affect product conformity?			
4.2	**Documentation requirements**			
4.2.1	**General Requirements**			
	a) Is there a documented quality policy and documented quality objectives? b) Is there a documented quality manual? c) Has the organization established documented procedures for: • Control of documents; • Control of quality records; • Internal Audit; • Control of non-conformity; • Corrective action; • Preventive action. d) Has the organization established some type of documentation and controls for: • A QMS • Documents required to ensure the effective operation and control of its processes. • The output of planning • The quality policy • The quality manual • Planning of the realization process • Inputs relating to product requirements • Outputs of the design and/or development process • Design or development changes • Results of review of changes and subsequent follow up actions • Purchasing documents • Legal and regulatory requirements, existing and new e) Has the organization established a system for quality records			
4.2.2	**Quality Manual**			
	Has a Quality Manual been established and maintained? Does the Quality Manual include: a) scope of QMS; aa) details of exclusion to any section with justification; b) documented procedures or reference to them; c) description of the sequence and interaction of the processes included in the QMS relevant to the organization activities.			

4.2.3	**Control of Documents**			
	Has a documented procedure been established to control all documents (including documents defined as Quality Records) required for the QMS?			
	Does the procedure include controls for: a) approval of documents for adequacy prior to issue; b) review, update, as necessary and re-approve documents; c) to identify changes and the current revision status of documents; d) to ensure that relevant versions of applicable documents are available at points of use; e) to ensure that documents remain legible, readily identifiable and retrievable; f) to ensure that documents of external origin are identified and their updating and distribution controlled; g) to prevent the unintended use of obsolete documents, and to apply suitable identification to them if they are retained for any purpose.			
4.2.4	**Control of Records**			
	Has a documented procedure been established for the identification, storage, retrieval, protection, retention time and disposition of quality records?			
	Are quality records subjected to control?			
	Has the organization identified quality records to the extent required to provide evidence of conformance to requirements and of effective operation of the QMS?			
	Check control of records for the following:			
	• Results of management review • Records of education, experience, training and qualification Results of review of product requirements and subsequent follow-up actions • Results of design and/or development review and subsequent follow-up actions • Results of design and/or development verification and subsequent follow-up actions • Results of design and/or development validation and subsequent follow-up actions • Results of design and/or development changes and subsequent follow-up actions • Results of supplier evaluations and follow-up actions • Unique identification of the product, when traceability is a requirement • Unique identification of customer property • Results of calibration for measurement and monitoring devices • Authority responsible for release of the product			
	Are there recorded evidences of compliance for the following, as applicable:			
	• Customer property that is lost, damaged or otherwise unsuitable for use reported to the customer; • Process validation records; • Basis of calibration in the absence of traceable national or international standards; • Recording audit results • Follow-up audit actions including reporting of verification results • Proposed release of nonconforming product to customer if required • Results of corrective action taken; • Results of preventive action taken.			
5	**Management Responsibility**			
5.1	**Management Commitment**			
	Is there evidence of involvement by top management towards development and improvement of the QMS through the following:			
5.2	**Customer focus**			

	Does top management have methodologies to ensure that customer needs and expectations are determined through their QMS, and these are converted into requirements and fulfilled with the aim of achieving customer satisfaction?			
	Are obligations related to product, including legal and regulatory requirements identified and measures established to fulfill the same?			
5.3	Quality Policy			
	Has top management established a Quality Policy?			
	Is the Quality Policy signed by top management?			
	a. is the Quality Policy appropriate to the purpose of the organization? b. does the Quality Policy include a statement of commitment to meeting requirements, customer satisfaction and to continual improvement of the QMS? c. does the Quality Policy provide a framework for establishing and reviewing quality objectives? d. is the Quality Policy communicated and understood at appropriate levels in the organization? e. are mechanisms established for review by top management of the continuing suitability of the Quality Policy? f. is the Quality Policy controlled?			
5.4	**Planning**			
5.4.1	Quality objectives			
	Are quality objectives established by top management at relevant functions and levels within the organization?			
	Do the objectives include relevant objectives to meet product requirements?			
	Are the objectives measurable to ensure efficiency and effectiveness of the organization?			
	Are the objectives consistent with the Quality Policy including commitment to continual improvement?			
5.4.2	Quality Management System planning			
	Is the output of quality planning documented?			
	Does quality planning include:			
	I. the processes related to the QMS as detailed in Sections 4.1 and 4.2.2a II. assessment of resources needed; III. continual improvement of the QMS. Are changes to quality plans and planning methodology controlled?			
	When changes are initiated, is the integrity of the QMS maintained during the change process?			
5.5	**Responsibility, authority, and communication**			
5.5.1	**Responsibility and authority**			
	Has top management identified functions and interrelationships to facilitate effective quality management?			
	Has top management defined and communicated to the organization the responsibilities and authorities of those involved in the effective operation of the QMS?			
5.5.2	**Management representative**			
	Has top management appointed a member(s) as "Management Representative(s)" with responsibility and authority to:			
	a. ensure that the processes of the QMS are established, implemented and maintained. b. report to management on the performance of the QMS, including needs for improvement. c. promote awareness of customer requirements throughout the organization.			

5.5.3	**Internal communication**			
	Does the organization ensure communication at various levels and functions regarding the processes of the QMS and their effectiveness?			
5.6	**Management Review**			
5.6.1	**General**			
	Does top management review the QMS to ensure its continuing suitability, adequacy and effectiveness?			
	Are the review intervals planned?			
	Do reviews include assessing opportunities for improvement?			
	Do reviews include the need for changes to the QMS, quality policy, and/or quality objectives?			
5.6.2	**Review input**			
	Does review input include current performance and improvement opportunities related to:			
	a) results of audits; b) customer feedback; c) process performance and product conformance; d) status of corrective and preventive actions; e) follow-up action from earlier management reviews; f) changes that could affect the QMS, including the quality policy and quality objectives; g) recommendations for improvement			
5.6.3	**Review output**			
	Does output from management review include actions related to:			
	a) improvement of the QMS and its processes; b) improvement of product related to customer requirements; c) resource needs.			
	Are results of the management review recorded			
6	**Resource Management**			
6.1	**Provision of resources**			
	Does the organization have methods to determine and provide resources needed to:			
	a) implement and improve the processes of the QMS and b) address customer satisfaction by meeting requirements.			
	Are the resources allocated on time?			
6.2	**Human resources**			
6.2.1	**General**			
	Are personnel assigned with responsibilities that are defined in the QMS competent on the basis of:			
	• applicable education; • training; • skills; • experience.			
6.2.2	**Competence, awareness, and training**			
	Are competency needs identified for personnel performing activities affecting product quality?			
	Is training provided to satisfy the competency needs?			
	Are the effectiveness of the training evaluated and follow-up action initiated?			
	Does the organization ensure that its employees are aware of the relevance and importance of their activities and how they contribute to the achievement of quality objectives?			

	Are records of education, experience, training and qualifications maintained?			
6.3	**Infrastructure**			
	Have the facilities needed to achieve the conformity of product been identified and provided including:			
	a) work space and associated facilities; b) equipment, hardware and software; c) supporting services.			
	Are the facilities maintained to achieve conformity of product?			
6.4	**Work environment**			
	Has the work environment suitable for process operations and product conformity been identified?			
	Does the organization manage human and physical factors of the work environment needed to achieve conformity of product?			
	Are records documenting management of the work environment maintained?			
7	**Product Realization**			
7.1	**Planning of product realization**			
	Has the organization determined the following, as appropriate, in planning the processes for realization of product:			
	a) quality objectives for the product, project or contract;			
	b) the need to establish processes and documentation and			
	provide resources and facilities specific to the product;			
	c) verification and validation activities and the criteria for			
	acceptability;			
	d) the records that are necessary to provide confidence of conformity of the processes and resulting product.			
	Is the planning of the realization processes consistent with other planning requirements of the organization's QMS and documented?			
	Are there any exclusions on the requirements in section 7.0 and are they defined in the Quality Manual (**4.2.2**) with justification?			
7.2	**Customer related processes**			
7.2.1	**Determination of requirements related to the product**			
	Are processes established to determine requirements for the product including:			
	a) customer requirements, including availability, delivery and support; b) requirements not specified by the customer but necessary for intended or specified use; c) regulatory and legal requirements related to the product; d) additional requirements determined by the organization.			
7.2.2	**Review of requirements related to the product**			
	Does the organization review customer requirements and organizational requirements prior to commitment to supply a product?			
	Are stages of review (submission of a tender, acceptance of contract or order) established?			
	Does the review process ensure that:			
	a. product functional and performance requirements are defined; b. contract or order requirements differing from those previously expressed are resolved; c. the organization has the ability to meet defined requirements.			
	Where no documented statement of requirements is provided, are requirements confirmed before acceptance;			
	Does the review process ensure that changes to product requirements are communicated to relevant staff in the organization?			

	When changes are accepted, are amendments made to relevant documentation?			
	Are the results of review and subsequent follow-up actions recorded?			
7.2.3	**Customer communication**			
	Are arrangements for communication identified and implemented relating to:			
	a. product information; b. inquiries, contract or order handling, including amendments; c. customer feedback, including customer complaints.			
7.3	**Design and development**			
7.3.1	**Design and development planning**			
	Does the organization plan and control design and/or development of the product?			
	Does the design and/or development planning determine:			
	a. Stages of design and/or development; b. Review, verification and validation activities appropriate to each design and/or development stage; c. Responsibilities and authorities for design and/or development activities.			
	Does the organization manage interfaces between different groups involved in design and/or development to ensure effective communication and clarity of responsibilities?			
	Are the design and/or development planning output updated, as appropriate, as the design and/or development progresses?			
7.3.2	**Design and development inputs**			
	Are inputs relating to product requirements defined, documented and reviewed for adequacy?			
	Does the design and/or development input include:			
	a) functional and performance requirements b) applicable regulatory and legal requirements; c) applicable information derived from similar design and/or development; d) any other requirements essential for design.			
	Are all incomplete, ambiguous or conflicting requirements identified during review and resolved?			
7.3.3	**Design and development outputs**			
	Does the organization document design output in a manner that enables verification against the design and/or development inputs?			
	Does the design and/or development output:			
	a) meet the design input requirements; b) provide appropriate information for production and service operations; c) contain or reference product acceptance criteria; d) define the characteristics of the product that are essential to its safe and proper use.			
	Are all design and/or development output approved prior to release?			
7.3.4	**Design and development review**			
	Does the organization identify suitable stages for systematic reviews of design and/or development to:			
	a) evaluate the ability to fulfill requirements; b) identify problems and propose follow-up actions.			
	Do representatives of functions affected by, or involved in, the design and/or development stage(s) participate in reviews?			
	Are the results of review and subsequent follow-up actions recorded?			
7.3.5	**Design and development verification**			

	Are design and/or development verification performed to ensure the output meets the design and/or development inputs?			
	Are the results of verification and subsequent follow-up actions recorded?			
7.3.6	**Design and development validation**			
	Is the design and/or development validation performed to confirm that resulting product is capable of meeting the requirements of intended use?			
	Where it is impractical to perform full validation prior to delivery or implementation, does the organization perform partial validation to the extent applicable?			
	Are results of validation and subsequent follow-up actions recorded?			
7.3.7	**Control of design and development changes**			
	Are processes established to identify, document and control design changes?			
	Is the affect of changes evaluated on constituent parts and delivered products?			
	Are all design and/or development changes verified and validated, as appropriate, and approved before implementation?			
	Are the results of review of changes and subsequent follow-up actions documented?			
7.4	**Purchasing**			
7.4.1	**Purchasing process**			
	Does the organization control its purchasing processes to ensure purchased product conforms to requirements?			
	Does the type and extent of control exercised by the organization depend upon the effect on subsequent realization processes and their output?			
	Does the organization evaluate and select suppliers based on their ability to supply product in accordance with the organization requirements?			
	Are criteria for selection and periodic evaluation of suppliers defined?			
	Are the results of evaluation and subsequent follow-up actions recorded?			
7.4.2	**Purchasing information**			
	Has the organization defined what constitutes a purchasing document?			
	Do purchasing documents contain information describing the product to be purchased, including, where appropriate,:			

	a) requirements for approval of: ı Product ı Processes ı Procedures ı Equipment b) requirements for qualification of personnel c) QMS requirements			
	Do the purchasing processes ensure the adequacy of specified requirements in the purchasing documents prior to their release to the supplier?			
7.4.3	**Verification of purchased product**			
	Has the organization identified and implemented the activities necessary for verification of purchased product?			
	Does the organization specify the intended verification arrangements and method of product release, as part of the purchasing information?			
7.5	**Production and service provision**			
7.5.1	**Control of production and service provision**			
	Does the organization control production and service operation through:			
	a) the availability of information that specifies the characteristics of the product; b) where necessary, the availability of work instructions; c) the use and maintenance of suitable equipment; d) the availability and use of measuring and monitoring devices; e) the implementation of monitoring and measurement activities; f) the implementation of defined processes for release, delivery and applicable post-delivery activities.			
7.5.2	**Validation of processes for production and service provision**			
	Has the organization identified production and service processes that require validation?			
	Are the processes validated to demonstrate their ability to achieve planned results? Are the validation criteria defined and include, as applicable:			
	a) review and approval of processes; b) review/qualification of equipment and personnel; c) use of defined methods and procedures; d) requirements for records; e) revalidation.			
7.5.3	**Identification and traceability**			
	Where appropriate, does the organization identify the product throughout production and service operations?			
	Is the status of the product identified with respect to measurement and monitoring?			

	Where traceability is a requirement, is the unique identification of the product controlled and recorded?			
7.5.4	**7.5.4 Customer property**			
	Are processes established to exercise care with customer property while it is under the organization's control or being used by the organization?			
	Do the control processes include controls for intellectual property?			
	Does the process address the following: ı Verification ı Protection ı Maintenance			
	Does the process ensure that occurrence of any customer property that is lost, damaged or otherwise found to be unsuitable for use are recorded and reported to the customer?			
7.5.5	**Preservation of product**			
	Are methods and controls established to preserve conformity of product with customer requirements during internal processing and delivery to intended destination?			
	Do the methods and controls include: ı Identification ı Handling ı Packaging ı Storage ı Protection			
	Are the controls extended to constituent parts of a product?			
7.6	**Control of monitoring and measuring devices**			
	Has the organization identified the measurements to be made and the measuring and monitoring devices required to ensure conformity of product to specified requirement?			
	Are the measuring and monitoring devices used and controlled to ensure that measurement capability is consistent with the measurement requirements?			
	Where applicable, are the measuring and monitoring devices:			
	a) calibrated or verified at specified intervals or prior to use, against measurement standards traceable to international or national standards; aa) calibrated or verified where, if calibration standards do not exist, the basis for calibration or verification is recorded (**4.2.4**); b) adjusted or readjusted as necessary; c) identified to enable calibration status to be determined; d) safeguarded from adjustments that would invalidate the calibration; e) protected from damage and deterioration during handling, maintenance, and storage?			
	Are records of the results of calibration and verification maintained (**4.2.4**)?			

	When equipment does not conform to requirements, have the validity of previous results been re-assessed and recorded?			
	For equipment out of calibration was corrective action taken on the equipment and affected product?			
	Was software used for measuring and monitoring of specified requirements validated prior to use?			
	Is software used for measuring and monitoring of specified requirements re-validated periodically?			
8	**Measurement, Analysis, and Improvement**			
8.1	**General**			
	Has the organization established plans to implement the monitoring, measurement, analysis, and improvement processes needed to: a) demonstrate conformity of product; b) ensure conformity of the QMS c) continually improve the effectiveness of the QMS			
	Has the organization determined the need for, and use of, applicable methodologies including statistical techniques?			
8.2	**Monitoring and measurement**			
8.2.1	**Customer satisfaction**			
	Has the organization determined methodologies for obtaining information on customer satisfaction and/or dissatisfaction?			
	Are the methodologies sufficient to measure performance of the QMS?			
8.2.2	**Internal audit**			
	Has a documented procedure been established that includes: ı responsibilities of the parties; ı requirements for planning the audit; ı requirements for conducting the audit; ı definition of audit criteria, scope, frequency and methods; ı selection of auditors ensuring audit independence; ı recording results of the audit (audit evidence); ı analyzing audit evidence against audit criteria (audit Observations). I reporting results to management (audit conclusions).			
	Are audits planned in the form of an audit program, taking into consideration: ı status and importance of the processes and areas to be audited; ı results of previous audits.			
	Is the internal audit process adequate to determine whether the QMS: ı Conforms to the requirements of this international standard; ı Conforms to the QMS requirements established by the organization; ı Has been effectively implemented and maintained.			
	Have audits been planned and conducted according to the procedure?			
	Does management take timely corrective action on deficiencies found during the audit?			

	Are follow-up actions part of the audit process? Do follow-up actions include: ı verification of the implementation of corrective action; ı reporting of verification results.			
8.2.3	**Monitoring and measurement of processes**			
	Are suitable methods established for measurement and monitoring of those realization processes necessary to meet customer requirements?			
	Do the methods confirm the continuing ability of each process to satisfy intended purpose?			
	When planned results are not achieved, is corrective action taken?			
8.2.4	**Monitoring and measurement of product**			
	Has the organization established appropriate stages to measure and monitor product characteristics?			
	Is there evidence to confirm that product characteristics meet the requirements for the product?			
	Is the evidence of conformity with the acceptance criteria documented?			
	Do the measurement and monitoring records indicate the authority responsible for release of the product? (**4.2.4**)			
	Are product/service delivery effected after all the specified activities have been satisfactorily completed, unless otherwise approved by a relevant authority and/or the customer.			
8.3	**Control of non-conforming product**			
	Has a documented procedure been established to define the processes involved in control of nonconformity?			
	Do the processes ensure that product that does not conform to requirements is identified and controlled to prevent unintended use or delivery?			
	Do the processes identify responsibilities and authorities for dealing with non-conformities?			
	Do the processes identify the methods for: a) eliminating the non-conformity; b) authorizing the non-conformity's use, release or acceptance; c) precluding the non-conformity's original intended use or application.			
	Is corrected nonconforming product subject to re-verification to demonstrate conformity to the requirements?			
	Do the processes ensure that appropriate corrective action is initiated when non-conforming product is detected after delivery or use has started?			
	Does the organization report concessions obtained from the customer, the end user, regulatory body or other body regarding the proposed correction of non-conforming product?			

8.4	**Analysis of data**			
	Does the organization determine, collect and analyze appropriate data to determine the suitability and effectiveness of the QMS and to identify improvements that can be made?			
	Does the data include those generated by measuring and monitoring activities and other relevant sources?			
	Does the data used for analysis provide information on:			
	a) customer satisfaction and/or dissatisfaction; b) conformance to customer requirements; c) characteristics of process, product and their trends; cc) opportunities for preventive action; d) suppliers.			
8.5	**Improvement**			
8.5.1	**Continual improvement**			
	Does the organization plan and manage processes necessary for the continual improvement of the QMS.			
	Does the organization use the following information to facilitate continual improvement of the QMS: ı Quality Policy ı Quality Objectives ı Audit Results ı Analysis of Data ı Corrective and Preventive Action ı Management Review			
	Are there objective evidences of continual improvement with involvement of top management?			
8.5.2	**Corrective action**			
	Has the organization established a documented procedure for corrective action with defined requirements for:			
	a) reviewing non-conformities (including customer complaints); b) determining the causes of non-conformity; c) evaluating the actions needed to ensure that nonconformities do not recur; d) determining and implementing the corrective action needed; e) recording results of action taken; f) reviewing of corrective action taken.			
	Are corrective actions taken to eliminate causes of nonconformities effective in preventing recurrences?			
8.5.3	**Preventive action**			
	Has the organization established a documented procedure for preventive action with defined requirements for: a) identifying potential non-conformities and their causes; b) evaluating the need for action to prevent occurrence; c) determining and implementing preventive action needed; d) recording results of action taken; e) reviewing preventive action taken			
	Are preventive action taken to eliminate causes of potential nonconformities effective in preventing occurrences?			

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Sogod, Southern Leyte

AUDITOR ASSESSMENT LOG

Name of Auditor: _____

DATE	AREAS AUDITED	CONFIRMATION

Doc. Code: F-MA05
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Date: 20 October 2015

Republic of the Philippines
SOUTHERN LEYTE STATE UNIVERSITY
Sogod, Southern Leyte

NON CONFORMANCE REPORT

Area Audited	**Auditee:**	**IQA NCR No.:**
Date:	**Auditor/s:**	**ISO 9001 Clause No:**

Description of Non Conformance: ____Major ____Minor/ Problem Description /Opportunity for Improvement

Reported By: _____ Reviewed by: _____ Accepted by: _____
Auditor QMR/ILA Auditee

Cause/s of Non Conformance and Root Cause Analysis:

Correction:

Corrective Actions:

	Target Date	Person Responsible

Prepared By: _____ Reviewed by: _____ Accepted by: _____
Auditee Auditor QMR/ILA

FOLLOW-UP COMMENT & VERIFICATION OF EFFECTIVENESS OF CA:

Date	Results of Verification/Remarks	Verified by

Validated by	Date:
Final Status: ___ Closed ____Failed (for reissuance) ___ Open	Approved by: _____ Date:_____ QMR

Republic of the Philippines
SOUTHERN LEYTE STATE UNIVERSITY
Sogod, Southern Leyte

INTERNAL QUALITY AUDIT SUMMARY REPORT

Date of Audit			
IQA Team Leader			
Total Non-conformances	Area/Function	IQA-NCR #	ISO Clause No.
Total observations			

Conclusion/Remarks

IQA Team Leader: _____ Date: _____

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GENERAL OBSERVATIONS AND RECOMMENDATIONS LIST

Audit No.	Audit Date:	Audited Area/Department:

Doc. Code	**General Observations and Opportunities for Improvement**	**PLANNED ACTIONS**			Status
		Action Items	Target Date	Person Responsible	

Auditor: _____

Doc. Code: F-MA08
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Corrective and Preventive Action Monitoring and Tracking

Year: _____

#	NCR Number	Subject	Issued to	Issue Date	Target Date (Planned Action)	Actual Date (Action Implementation)	Closure Date	Status