



**MCA-QP8220**  
**Previously MCA-P17.1**  
**Revision H**  
**31 May 2002**

**Maintenance Center, Albany**  
**Marine Corps Logistics Base, Albany, GA 31704-0325**

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## **MCA QUALITY PROCEDURE**

**CODE 881**

# **INTERNAL AUDIT**

### **SIGNATURE/APPROVAL**

The signature and date below indicates approval of this procedure for implementation at the Maintenance Center, Albany.

\_\_\_\_\_  
(Signature on File)  
S. H. FOREMAN  
Commander, Maintenance Center, Albany

\_\_\_\_\_  
31 May 2002  
DATE

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**DOCUMENT HISTORY LOG**

<b>Status (Baseline/ Revision/ Canceled)</b>	<b>Document Revision</b>	<b>Effective Date</b>	<b>Description</b>
Baseline		07 Dec 99	
Revision	A	18 Feb 00	Major Revision/QS-99-005-02 through 07 CAR's
Revision	B	04 May 00	Major Revision/QS-99-005-09 and 12 CAR's
Revision	C	30 Jun 00	Chgs due to Management Working Group
Revision	D	28 Oct 00	Chgs due to 13-19 Sep 00 internal audit of Bus Dept to all QMS elements; add process/product audits responsibility to paragraph 4.1; add auditor certification requirements to paragraph 4.3; add preventive action to paragraphs 4.13 and 4.14; revise flow diagram to reflect chgs
Revision	E	21 Feb 01	Chgs due to ISO Qualification Audit DCMA AMC-028; paragraphs 4.4.3 and 4.9
Revision	F	21 Mar 01	Chgs due to ISO Qualification Audit DCMA AMC-027; paragraph 4.7. Remove para 4.11.9 & 10
Revision	G	26 Feb 02	Transition from ISO 9002:1994 to 9001:2000
Revision	H	31 May 02	Mgmt Rep granted sole authority to publish Audit Schedule

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## INTERNAL AUDIT

### 1. SCOPE.

1.1 Scope. This Maintenance Center, Albany (MCA) Quality Procedure (MQP) identifies the responsible entities for planning, staffing and conducting internal Quality Management System (QMS) audits, and for performing process/product audits. Internal QMS audits are performed on all activities, processes and documents, which form a part of the MCA QMS necessary to comply with the Maintenance Centers' Quality Manual (MCQM) and ISO 9001:2000 requirements. Process/product audits are performed to ensure compliance with customers' process and product requirements.

1.2 Purpose. This MQP describes the processes and procedures for organizing, conducting and responding to quality system internal audits in order to provide objective evidence that quality objectives are being met.

1.3 Applicability. This MQP applies to all MCA QMS elements as identified in the MCQM and all products processed through the MCA.

### 2. APPLICABLE DOCUMENTS.

MCQM1000	Maintenance Centers Quality Manual
ISO 10011	Guidelines for Auditing Quality Systems

See MCA ISO WEB site for applicable documents

### 3. DEFINITIONS.

See MCA-QP5500 Appendix A for definitions

### 4. PROCEDURE.

#### 4.1 General.

4.1.1 The Business Department shall perform process and product audits in accordance with MCA-QI8220-BN0020.

4.1.2 The procedure for QMS internal audits begins with the preparation of the overall Audit Schedule by the Management Representative for the upcoming calendar year. This schedule is reviewed not less than quarterly and may be revised as necessary. Results of previous internal or external audits, trending data, observed conditions and problem reports are taken into account when considering changes to the schedule. As a minimum, the entire quality system shall be audited annually.

4.2 Audit Planning. The Management Representative shall ensure that audits are planned and scheduled that effectively evaluate compliance with all requirements of the MCA's QMS.

4.3 Auditor Training. The Business Department Manager shall ensure that personnel in the Maintenance Center performing internal QMS audit functions are trained and qualified as Lead Auditors and/or Internal Auditors. Initial training and qualification shall be performed by an accredited quality auditor training organization. Training meets the requirements established within ISO 10011 (and/or the new ISO 190011) guidelines. Qualification for auditors shall also be in accordance with MCA-QI6200-BN0009. The Quality Assurance Office shall be responsible for documenting the Auditor Master List, which shall be placed and maintained on the MCA ISO Website. The MCA Training Coordinator shall be responsible for updating the training database from the Master List on the MCA ISO Website.

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4.4 Audits. The Management Representative shall report on audit status, findings and significant corrective actions in-process and taken, to the Commander not less than quarterly during Quality System Reviews.

<u>Actionee</u>	<u>Action</u>
Management Representative	<p>4.5 Determine what type of audits will be performed (by Department or QMS element (s)). Select Audit Team and prepare Audit Schedule for the entire system accordingly. The size of the organization, the element (s), the applicability to the QMS and results from previous internal and external audits shall be taken into consideration when developing the schedule. Frequency of internal audits is increased in response to trend analysis based on the available manpower to support an increased frequency.</p> <p>4.5.1 Lead Auditor and Auditors to support the audit schedule shall be selected on a rotational basis from the Lead Auditor/Auditor Master List.</p> <p>4.5.2 Publish the audit schedule and provide timely changes. Any changes in the audit schedule shall be issued as far in advance of audits as permissible.</p> <p>4.5.3 Provide checklists to support audits. Checklists shall be maintained on the MCA ISO Website.</p> <p>4.6 Post the audit schedule on the ISO web site..</p>
Lead Auditor	<p>4.7 Lead Auditors shall be ultimately responsible for all phases of their assigned audit and shall be assigned to the audit task for the duration of the audit, unless unforeseen circumstances require otherwise.</p> <p>4.7.1 Verify points of contact (POC) for processes being audited.</p> <p>4.7.2 Collaborate the scope of the audit with the POC and which quality system elements/organizational activities will be audited. Identify all resources required by the audit team to ensure an effective and efficient audit process.</p> <p>4.7.3 Review previous audit reports if necessary. Prepare draft audit plan and conduct pre-audit meeting (s) with audit team members to discuss and review scope, auditing techniques, and requirements needed to perform audit. Finalize audit plan and submit to Management representative for approval.</p>
Audit Team	<p>4.8 Prepare for audit by reviewing auditee's documents associated with the assigned elements. Review quality checklists for effectiveness based upon previous audit results. Revise them as necessary.</p>
All Departments	<p>4.9 Inform employees of objectives/scope of audit. Appoint responsible escorts to accompany members of the audit team, as required.</p>
Audit Team	<p>4.10 Conduct the Audit. Accompanied by the escorts as required and</p>

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using checklists, audit the auditee's procedures, records, and actual practices to determine compliance to the QMS. Audit observations and associated objective evidence will be documented on the checklists. Checklist shall be updated during audit with the findings. The completed checklists shall be retained as a quality record and submitted to C/DM as part of the audit package. The details of the observation and associated objective evidence will be explained to the escort at the time the observations are made. Results of this review will be documented as appropriate and addressed in the audit report. Identify any safety hazards and noncompliance requiring immediate action to the auditee immediately. Provide a written summary covering the elements that were audited. Audit report shall be completed within 30 calendar days of the audit completion, unless otherwise specified.

Lead Auditor/Audit Team	4.11	Generate Corrective Action Requests (CARs) to the auditee for all identified noncompliance in accordance with MCA-QP8520.
Lead Auditor	4.12	Prepare the audit report using the input provided by the team members. The report should contain the following items:
	4.12.1	Scope and objective of audit.
	4.12.2	Details of audit plan.
	4.12.3	Identification of audit team members.
	4.12.4	Auditee's representative.
	4.12.5	Audit dates.
	4.12.6	Identification of the specific organization audited.
	4.12.7	Identification of the reference documents against which the audit was conducted.
	4.12.8	Findings of noncompliance.
	4.12.9	The audit report distribution list.
	4.12.10	The audit report shall be signed by team members and the Lead Auditor. The completed audit report shall be forwarded to the Management Representative for review and approval.
Management Representative	4.13	Review and approve the audit report. Forward audit report to Commander, Deputy Commander and Department Managers.
All Departments	4.14	The auditee is responsible for determining and initiating corrective and preventive action needed to correct noncompliance or the cause of noncompliance. Corrective and preventive action shall be in accordance with MCA-QP8520 and MCA-QP8530 respectively.
Lead Auditor/Audit Team	4.15	A follow-up on corrective and/or preventive action shall be

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conducted for the purpose of verification of action taken and its effectiveness.

- 4.15.1 Upon notification that the auditee has completed the corrective and preventive action, the Lead Auditor shall ensure verification that the action was taken and that it was effective. Results of verification is recorded.

5. NOTES. Auditors shall be independent of the activities or quality system element being audited.

6. DATA, FORMS AND REPORTS.

Quality Form 603-2      Corrective Action Request Form

7. QUALITY RECORDS. Quality records shall be maintained in accordance with MCA-QP4240.

Corrective Action Request: Generated and maintained IAW MCA-QI8520-BN0013, previously MCA-14.1-BN0013.

Auditor Training Records: Generated and maintained IAW MCA-QI6200-BN0009, previously MCA-P18.1-BN0009.

Audit Schedule

Storage Location: C/DM, MCA ISO 9000 Web Site (current rev only)  
Indexing: IAW MCA-QI4230-BN4000  
Access: All MCA personnel  
Filing: As generated  
Storage Medium: Paper, electronic  
Maintenance: Paper copies in Binder in retriever  
Electronic on Zip Disk/Web Site  
Disposition: IAW MCA-QP4240  
Retention: 3 years

Audit Report with supporting documentation (i.e. Audit Plan, Checklist, auditor notes)

Storage Location: C/DM  
Indexing: IAW MCA-QI4230-BN4000  
Access: All Business Dept personnel & all auditors  
Filing: As generated  
Storage Medium: Paper  
Maintenance: Folder in retriever  
Disposition: IAW MCA-QP4240  
Retention: 3 years

8. FLOW DIAGRAM.

Internal Audit – Appendix A

**APPENDIX A**

