

## **Audit Process**

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## **Audit Process**

### **Document Release History :**

At QMS level "QMS Changes" document will be maintained (version wise)

At the Project level the release history will be maintained within the document.

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## Audit Process

### Introduction

- Audit Process provides visibility to management whether the project or CCF is adhering to its established plans, standards and procedures
- Audit Process involves auditing the project or CCF activities to verify that they comply with the applicable procedures and standards

### Scope

- This process is applicable to all project/ CCFs and support groups such as training group
- Plan for the Audit, Provide Resources, Conduct Audit and Close Identified Non-conformance
- Work Product Audit should be performed for all work products created against Project or CCF
- Following types of Audits are conducted for projects :

Project initiating Audit  
 Process Audit  
 Work-Product Audit  
 Closure Audit  
 Configuration Management Audit

- Following types of Audits are conducted for CCF :

Work-Product Audit – this is as per CCF Audit checklist (should cover WorkProduct & CM Audit)

### Process Practitioner

- IQAT
- Facilitator – For Project

### 1 Objective

- Ensure that processes are implemented as per applicable process document
- Identifying and documenting noncompliance issues
- To provide insight to Senior Management about the compliance and implementation status of process

### 2 Entry

#### Criteria

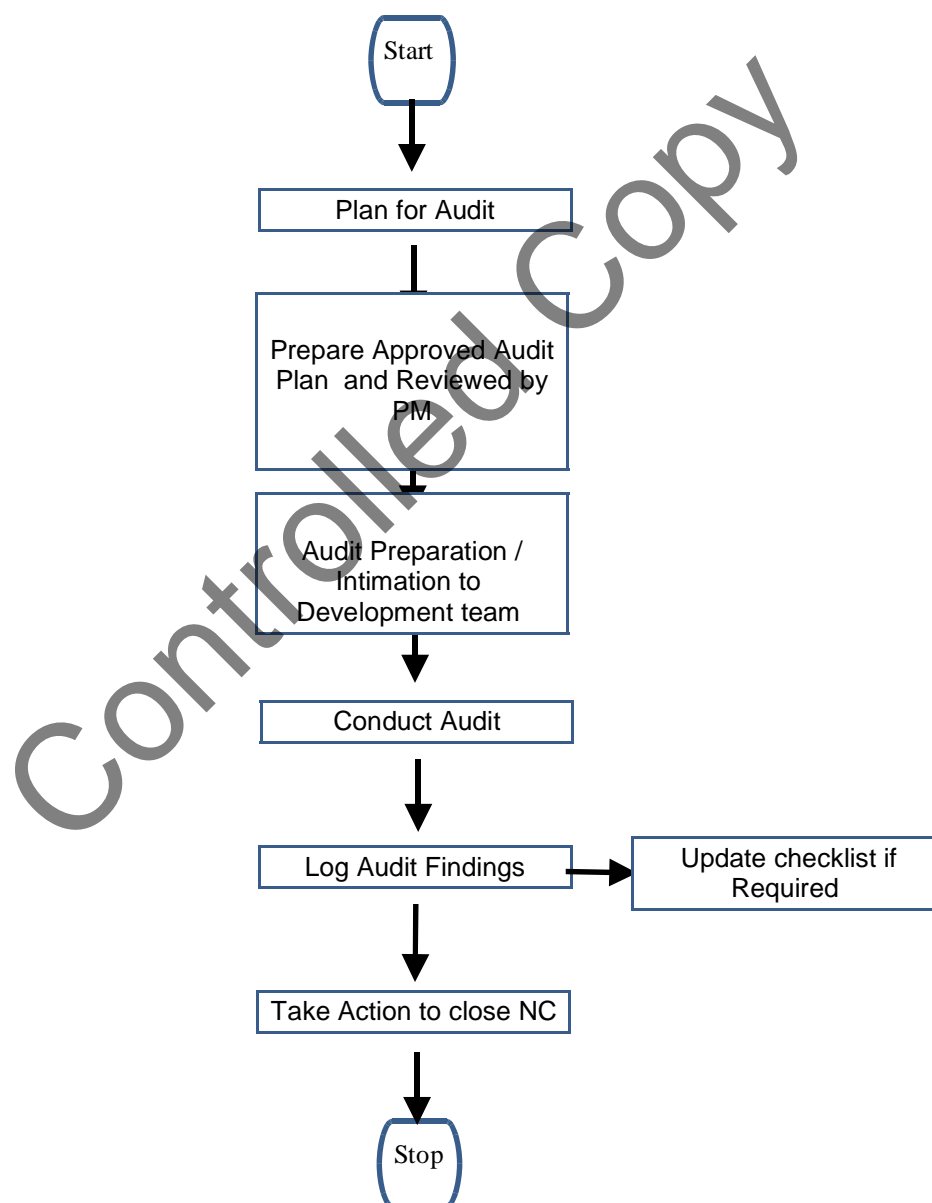
- Internal audit needs to be conducted on quarterly basis
- Process audits to be conducted on monthly basis after initiating the project
- Work Product Audit to be frequency to be determined by PM
- Closure audit during closure of the project
- Configuration Management after every fortnight after Base lining of the Work Product .
- Work Product Audit for CCF

**Audit Process**

- Fortnight/Monthly Work Product Audit for CCF

**Input**

- Any Work Product created for project or CCF
- Approved process as applicable to project or CCF
- Project Plan

**3 Work Flow**

**Audit Process****4 Tasks**

Sub Process	Input Document	Entry Criteria	Output Document	Exit Criteria	Responsibility
<b>Plan for Audit Project</b>					
1. Prepare Audit plan based on the criticality, size, type of project  Decide on the type and number of audits in each phase, focus of the audit  Prepare audit schedule base on project	Project Plan	Project plan is ready	Audit Plan	Audit Plan is prepared	Project Manager and IQAT
<b>Update the Audit plan – For Projects</b>					
1. Update the Audit plan in the project plan	Project Audit Plan, Project plan	Project Audit plan is prepared	Updated Project Plan	Project Plan Updated	PM
<b>Prepare Internal Audit Plan</b>					
1. Prepare Internal Audit Plan	Project Plans	Projects Plans are ready	Internal Audit Plan	Internal Audit plan is prepared	IQAT Member
2. Approve Internal audit plan	Project Plans	Unapproved Internal audit plan	Approved internal audit plan	Internal Audit plan is approved	IQAT head
<b>Audit Preparation</b>					
1. Refer Audit Plan for Project only or CCF Audit checklist for CCF before CCF release  2. In case of Support Groups go through process followed by support groups  3. Refer previous log and check for closure  4. Update audit checklist  5. Schedule actual audit time  6. Intimate auditee	Project Plan, Work Product or, CCF Process, Audit Checklist, CCF Audit checklist	Project plan with audit plan is ready, Work product ready, CCF Release is ready	Updated Audit Checklist Performed CCF Audit checklist	Audit Checklist Updated CCF Audit checklist updated	Auditor IQAT Member
<b>Conduct Audit and Log Audit Findings</b>					
1. Verify various documents / Process 2. Refer Audit checklist 3. Discuss audit findings with	Pre defined process description, Audit	As per the Audit plan	Audit report, Non compliance Report,	Audit is completed	Auditor

**Audit Process**

Sub Process	Input Document	Entry Criteria	Output Document	Exit Criteria	Responsibility
auditee 4. Log audit findings 5. Categorize findings as observations/NC's 6. Recommend corrective and preventive action 7. Communicate results to relevant stakeholder. (PM / Project Team / IQAT Head / BOD)	Checklist		Improvement Suggestions		
<b>Take actions to close observation/NC</b>					
1. Action to close NC	Audit Report, Noncompliance Report	Audit is completed	Updated Noncompliance Report	Action Taken regards to Noncompliance Report	Auditee
<b>Closure – For Projects</b>					
1. Ensure audit findings are closed. 2. Close the observations/NC in audit log	Audit Report, Noncompliance Report	Action Taken regards to Noncompliance Report		Audit Findings Closed	Auditor
3. Ensure that audit objectives are met	Audit Report				IQAT

**5 Guidelines****5.1 Following are guidelines for Auditors:**

- In the audit meeting, the auditor should ask questions to the development team
- Questions asked in the audit should not be close-ended questions (where the answers are just 'Yes' or 'No'). Questions should be such that the answers are descriptive. E.g. Questions starting with 'What', 'When', 'Where', 'Who', 'Why'. 'How'. Auditors should also ask for objective evidence for any answer and can trace through the documents
- Auditors should keep notes of what has been observed
- Auditor should ensure that the entire scope is covered in the agreed time frame
- Auditor should keep in mind that the audit is for the process and work product and not the individual
- Auditors should intimate Audit date and Time to development Team in Advance
- Auditor should be with the updated checklists , Last Audit report and NC Reports , also He/She must be well versed with the Audit related communications from last audit till date
- Different type of Audits to be carried out

## Audit Process

1. Project initiation Audit - This is the Audit Done to ensure trigger point of Project initiation is properly done I.e PM identification , kick off, Project code preparation and Intimation of Project start from BOD's
2. Work product Audit(For Project / CCF) - Before delivery to Client Audit done emphasizing Artifacts are properly maintained or not , Templates used are approved or not and all necessary documents are in repository .
3. Process Audit - This is the Audit done to ensure processes are followed as defined and there is no tailoring without approval. All required process areas are covered.
4. Project Closure Audit - Project Closure Audit done to ensure that all NC's are closed , Project data is submitted to SEPG , and Closure process is followed .
5. Configuration Management Audit - Audit to be done for checking the completeness of work products after baseline.

- IQAT should follow the following guidelines while respect to Audit plan

1. IQAT members (Auditors ) will prepare Audit Plan.
2. Audit Plan needs to be get approved by IQAT Head
3. Approved Audit Plan will be forwarded to
4. IQAT member will keep updating records, as and when required basis.

- Review of Audit Report with Senior Management will be held on monthly basis.

### 5.2 A Good Audit Report has to be :

- Complete: NC description should cover where the NCs are observed. The report should include all applicable document references to allow verification
- Accurate: Because inaccuracy may invalidate the NC
- Concise: Audit report should be as concise as possible but should include all relevant information
- Effective: Audit report should be written in such a way that the auditee could initiate corrective action
- Appropriate in tone: Audit report should highlight clearly the facts and avoid the finger pointing in the report

### 5.3 Definition :

#### Observation

A finding in any review or audit, which is based on a defined criteria or checklist or standard. Observation is further classified as good practices, major NC, minor NC or Need for improvement.

#### Non-Conformance

A non-conformance is an observation that indicates policy or practice contrary to the requirements of applicable standards or documented procedures.

It can also be defined in the following manner:

- A deviation/Discrepancy of any product/process from its requirements or standards



## Audit Process

- A condition of any product/process in which one or more characteristics do not conform to requirements/standards

### Major NC

A non-conformance that is of serious nature or Absence of a system/procedure or no evidence of adherence to a system/procedure:

Example:

- A long-standing minor non-conformance from previous Audit
- A collection of similar minor non-conformances indicating a wide spread problem
- Established as detrimental to quality delivered to customers

A failure or significant deficiency in a significant part of Quality System governed by applicable standards

### Minor NC

A non-conformance that is not having the severity indicated by the definition of major non-conformance but is actionable.

Examples:

- Project plan not updated

### Corrective Action

An action to be taken by an auditee to correct the deviation mentioned

### Preventive Action

Action to be taken at project-level, as well as at organization level to improve and institutionalize the process to prevent any deviation.

## 5.4 Audit Reporting

### Naming Convention

A standard naming convention for audit report files is used.

File names will be a concatenation (with underscores) of: Process Name\_ / CCF No.\_ Date (In case of Work Product Audit for CCF) And CCF\_ Period [In case of multiple (Request Ids) Work Product Audit for single CCF in period of time]

The Process Name, project Name, names can be abbreviated to avoid long file names

Auditors shall email a copy of each audit report to the associated Project Leader when the report is completed.

## 5.5 Audit will happen on PDF generated of Audit Plan and schedule in case of Project only

## 5.6 Guidelines for role and responsibility of IQAT members.

Refer 'qms/projects/BASQMS001/Working/Releases/<QMS latest version>/Org\_proj\_db/IQAT Roles Responsibilities.odt'

## 6 Checklists/Standards

Audit Checklists

In case of CCF different audit checklist will be maintained.

**Audit Process****7 Associated Templates, tools**

<b>Audit Checklists / Audit Report</b>	<b>Tools</b>
CCF Audit Checklist	
Non Compliance Report	
Audit Plan	
Internal Audit Plan	

**8 Control Mechanism**

- Internal Quality Audit is conducted on a regular basis. The non-conformance and observations raised during all these audits are closed as corrective action. Processes are also change, based on the non-conformance and observations from these audits.

**9 Verification**

<b>Item</b>	<b>Activity</b>	<b>Who</b>
Audit Plan	Review	IQAT
Internal Audit Plan	Review	IQAT

**10 Tailoring**

Refer 'qms/projects/BASQMS001/Working/Releases/<QMS latest version>/Org\_proj\_db/Tailoring Guidelines /Tailoring Guidelines.ods'

**11 Exit****Criteria**

All the observation and NC's are tracked to closure

**Output**

- Updated Audit Check Lists
- Audit Plan
- Internal Audit Plan
- Non Compliance Report
- Audit report

**12 References**

N/A

**13 Glossary**

qms/projects/BASQMS001/Working/Releases/<latest> version>/Org\_proj\_db/Glossary/'QMS Glossary Ver 1.0.xls'