Job Aid 1: IA Roles and Responsibilities 4-50 **Quality Manager Qualified Internal Auditor** Scheduled audit is due 1. Confirm purpose and scope 2. Identify qualified auditors 3. Select audit team** Audit preparation is performed Establish audit plan (schedule, time and duration) Audit package is received Forward audit package to each auditor on the team Understand the scope and Arrange pre-audit meeting purpose Review applicable standards Audit preparation is performed Ensure the audit covers all and documentation required areas within the allotted Audit is supervised** Prepare process model time Review previous audit results Ensure auditors remain objective 5. Prepare working checklist and unbiased, evaluating all Participate in pre-audit meeting evidence in a consistent manner Resolve conflicts in a constructive Participate in group opening manner, whether they are within Internal audit is conducted the audit team or between meeting led by team leader Conduct individual opening auditors and auditees meeting Ensure the process is conducted Partner with auditee to gather data in a professional manner with a positive overall toine Analyze data Don't allow an audit to assign blame - keep the audit focused on the system and not the individual Ensure the auditor is granted the Classify the data access to needed information Audit is reported 2. Write nonconformities deemed appropriate to the audit's 3. Prepare audit report scope and purpose Participate in closing meeting led by team leader Log NCEs Audit report is received Audit report is released Monitor and track corrective action Verify implementation Verification and Follow-up Verify effectiveness Highlight key findings of the audit report and process for management review 5. Retain records Individual audit is closed

** Collaboration with team lead if quality manager does not serve as team lead for the audit