



<b>SOP TITLE</b>	<b>TNI Internal Audits</b>
<b>SOP NO.</b>	<b>1-124</b>
<b>REVISION NO.</b>	<b>0</b>
<b>PROGRAM</b>	<b>Administration</b>

### SOP Approval Dates

	<b>Initial Approval</b>	<b>Last Revision Date</b>	<b>Last Review Date</b>
<b>Committee: Policy</b>	11-02-18		
<b>Program</b>	NA	NA	
<b>Policy Committee Review</b>	NA	NA	
<b>TNI Board of Directors Endorsement</b>	11-14-18		
<b>Effective Date</b>	01-01-19		

## 1.0 Purpose and Applicability

This Standard Operating Procedure (SOP) describes The NELAC Institute's (TNI) process for developing internal audit checklists, scheduling and performing internal audits of TNI committee operations and reporting of internal audit results as required by the TNI Quality Management Plan. This SOP applies to all TNI committees except for the Finance Committee. The Finance Committee operations are overseen and monitored by the TNI Board of Directors.

## 2.0 Summary

This SOP describes the processes related to the TNI Internal Audit program. Internal audit checklists are prepared and approved by the Policy Committee (Section 5). These checklists are then used to perform internal audits using the TNI Internal Audit Database (Section 6). Nonconformities are corrected using corrective action procedures (Section 7). A summary of the internal audit results is presented at the TNI winter meeting and subsequently recorded in the meeting minutes of the TNI Board of Directors. Appendix A contains instructions for using the TNI Internal Audit Database.

## 3.0 Related Documents

TNI Quality Management Plan  
SOP 1-104: Control of TNI Documents

## 4.0 Definitions

<b>Self Audit</b>	Self-audits are based on the TNI Internal Audit Database checklists and are conducted by a committee's Program Administrator, a committee's Chair, or both.
<b>Five Year Audit</b>	An independent committee audit conducted at least every five years by a TNI Program Administrator, Chair, or both, that has no conflict of interest with the mission of the committee to be reviewed. These audits are based on the TNI Internal Audit Database checklist.
<b>TNI Internal Audit Database</b>	A database that contains the TNI Internal Audit Checklists and is used to document TNI Internal Audits.

## 5.0 Internal Audit Checklists

5.1 Each TNI committee develops an internal audit checklist that contains auditable items.

5.1.1 Each checklist is prepared from a template that can be obtained from the Policy Committee. There are two templates: CSDP Committees and Other Committees.

5.1.2 The checklist is completed by the Program Administrator and Chair for the committee. In some cases, a TNI Staff person may prepare a first DRAFT for the committee to review and finalize.

5.1.3 The checklist templates are divided into two portions.

- 5.1.3.1** The upper portion of the checklist contains requirements that apply to all relevant committees. This portion is prepared and approved by the Policy Committee.
- 5.1.3.2** The lower portion of the checklist contains requirements specific to a particular committee. The requirements included in this section are pulled from the committee's SOPs and policies.
- 5.1.3.3** All items included in the checklist take into account the requirements that must be audited for compliance because there is a risk to TNI's reputation or contractual requirements if not met.
- 5.1.4** Each audit checklist item must reference the section of the TNI document from which it was taken. All documents referenced in the checklist must also be included in the "SOPs/Policies Referenced" summary located at the top of the checklist. This summary must include the revision number of the document.
- 5.1.5** Checklist items will be audited annually and/or every five (5) years. The frequency of assessment for each checklist item needs to take into consideration the legal, financial, recognition (by external organizations) and reputation risks incurred by TNI from committee activities.  
NOTE: A committee can choose to audit an item less frequently than annually and more frequently than every 5 years.

- 5.2** The checklists are updated as referenced TNI documents are updated or removed, or as new relevant documents are developed.
  - 5.2.1** The committee will update its internal audit checklist as committee procedures referenced in the lower portion of checklist are updated.
    - 5.2.1.1** The committee's internal audit checklist must be current prior to the start of the internal audit.
    - 5.2.1.2** All changes to committee internal audit checklists are due no later than September 1.
  - 5.2.2** The Policy Committee will update the upper portion of the checklist templates as procedures referenced in the upper portion of the checklist are updated or as new documents are developed that are relevant to a particular template.
    - 5.2.2.1** These updates may be made by TNI staff or members of the Policy Committee.
    - 5.2.2.2** The CSDP template may be updated by the CSDP Executive Committee.
- 5.3** All new and updated checklists must be approved by the Policy Committee before they can be used. All approved checklists must be sent by Policy Committee to the TNI Webmaster to update the TNI Internal Audit Database by September 30. The new checklists will be posted by October 15.

## **6.0 Committee Internal Audit**

- 6.1** Internal audits are performed at the frequency stated in the internal audit checklist.
  - 6.1.1** Self-audits are performed annually by the committee's Program Administrator, a committee's Chair, or both.
  - 6.1.2** The five (5) year audits are performed by a TNI Program Administrator or a TNI committee Chair external to the committee and that has no conflict of interest with the committee's mission.
    - 6.1.2.1** The audit performed by the American National Standards Institute (ANSI) is considered sufficient to qualify as the five year independent audit of the CSDP Executive Committee and CSDP Expert Committees. ANSI follows their own auditing procedures during their audits. TNI will keep copies of all records received and provided to ANSI and keep corrective action records related to the ANSI audit following the procedures outlined in SOP 1-104 (Control of TNI

Documents). Any five year internal audit checklist items that are not covered by the ANSI audit must be added to the self audit performed that year.

- 6.1.3** Committees may have checklist items that are checked at a frequency greater than annually but at least every five years. These checklist items are considered part of the self-audits and are audited at the appropriate time frame.
- 6.1.4** The internal audits are scheduled by the committee and can be performed at one time or over time. All internal audits must be completed by December 15<sup>th</sup> each year.
- 6.2** The internal audits are documented electronically using the TNI Internal Audit Database. Instructions for using the database can be found in Appendix 1.
- 6.3** The nonconformities of the internal audit will be shared with the committee and briefly summarized in the committee minutes.
  - 6.3.1** The committee meeting minute summary will include at a minimum, the date the internal audit was completed, the number of auditable items and the number of nonconformities with a brief summary of each.
  - 6.3.2** TNI members may request a copy of the completed checklist after corrective action (see Section 7) is completed. These requests should be submitted to the committee's Program Administrator in writing.
- 6.4** The data compiled from the internal audits will be summarized and additionally a short summary is to be presented at the TNI winter meeting.
  - 6.4.1** *Placeholder for how the data will be compiled and who will present it.*

## **7.0 Corrective Action**

- 7.1** Each committee must address the nonconformities found in its internal audit by preparing a corrective action response/plan.
  - 7.1.1** Corrective action process is coordinated by the Program Administrator and committee Chair.
  - 7.1.2** A written response to each nonconformity with proof of correction or a plan for correction with a due date must be submitted to the next level of organizational management within TNI (*i.e.*, an Executive Committee or TNI Board of Directors) by May 31<sup>st</sup> each year.
    - 7.1.2.1** Corrective action plans are tracked by each committee using its procedure for tracking action items.
    - 7.1.2.2** A copy of the finalized written response is included as an attachment to the committee minutes.
  - 7.1.3** When a Corrective Action is completed and accepted by the next level of organizational management, a note is placed by the Program Administrator or Chair into the Comment section of the internal audit checklist in the database: Corrective Action Completed xx/xx/20xx. This date is the date of the committee meeting where the corrective action was finalized so a record can be found in the committee meeting minutes.
- 7.2** Corrective action documentation will be maintained by the Program Administrator following SOP 1-104 (Control of TNI Documents).
  - 7.2.1** The corrective action responses/plans are considered Class III documents.

**9.0 SOP Approved Changes**

Revision No.	Effective Date	Description of Change
0		New SOP

## APPENDIX A

### Instructions for Use of TNI Internal Audit Database

To access the Internal Audits database, visit the following URL:

<http://apps.nelac-institute.org/audit>

Home Page:

Internal Audit Database Home Register Log in

## TNI Internal Audit Database

### Getting started

To use this website, you must first create an account by clicking the Register link at top-right. The system will then send you an e-mail with a link you must click to confirm your account. Once your account has been activated, you will be able to log in and use the "Start" link to create/edit audit checklists.

### About TNI

The NELAC Institute (TNI) is a 501(c)(3) non-profit organization whose mission is to foster the generation of environmental data of known and documented quality.

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If this is the first time you are logging into the database, click on REGISTER in the upper right corner.

## Register.

Create a new account

Full Name	<input type="text"/>
Email	<input type="text"/>
Organization	<input type="text"/>
Password	<input type="password"/>
Confirm password	<input type="password"/>
	<input type="button" value="Register"/>

Complete the registration information and click on the REGISTER box. A message will flash at the top of the screen: *An email has been sent to your account. Please view the email and confirm your account to complete the registration process.* Confirm your account by clicking on the link in your email.

When you have an account set-up, click on “LOG IN” in the upper right corner of the home page and log in with the credentials you created – your email address and password.

Once you have logged in and are ready to document your audit, click on START. The database is very intuitive and simple to use.



A My Checklists box will be displayed containing all the internal audits you are working on. It will be empty until you start your first new checklist.

### My Checklists

Audit #	By	Committee Name	Date	Complete?	
1	Ilona Taunton	Admin and Support	6/20/2018	<input type="checkbox"/>	<a href="#">Chg Name</a>
3	Ilona Taunton / Paul Junio	Quality Systems	10/15/2018	<input checked="" type="checkbox"/>	<a href="#">Chg Name</a>

**Start New Checklist**

**Continue Checklist**

**Remove Checklist**

You have a choice to **START NEW CHECKLIST**, **CONTINUE CHECKLIST** or **REMOVE CHECKLIST**.

- To start a new checklist (**START NEW CHECKLIST**), use the down arrow in the Audit Checklist line to find which committee audit you want to start. All the available checklists are in the list.

A screenshot of a software interface showing a dropdown menu for 'Audit Checklist'. The menu is open, displaying a list of audit categories. The 'Quality Systems' option is highlighted in green. To the right of the dropdown is a 'Save and Continue' button.

Audit Checklist:	Quality Systems
Audit Performed By:	Admin and Support
Audit Date:	Advocacy
	Asbestos
	Chemistry
	CSDP Executive Committee
	Field Activities
	Information Technology
	Laboratory Accreditation Body
	Microbiology
	NEFAP Executive Committee
	NELAP Accreditation Council
	Policy
	PT Expert
	PTP Executive Committee
	Quality Systems
	Radiochemistry
	Stationary Source Audit Sample
	WETT

- Type in the name of the person(s) performing the audit and the audit date.

A screenshot of a software form for creating a new audit checklist. The 'Audit Checklist' dropdown is set to 'Quality Systems'. The 'Audit Performed By' text box contains 'Ilona Taunton / Paul Junio'. The 'Audit Date' text box contains '10/15/18' and has a calendar icon to its right. At the bottom of the form are 'Cancel' and 'Save and Continue' buttons.

Audit Checklist:	Quality Systems
Audit Performed By:	Ilona Taunton / Paul Junio
Audit Date:	10/15/18



- Then click Save and Continue.
- The checklist will pop up and then you can click in the Yes, No or N/A box to respond to the questions. You can click in a box to place a check mark in it. You can remove the checkmark by clicking on it again.

#	Item	Ref	Freq	Yes	No	N/A	Comments
1	All Committee Members and Associate Committee Members have individual TNI membership, or are Affiliates as defined in the Policies Governing Standards Development, Section 1.3.1 (SOP 2-100).	SOP 2-101: 2.3.2	Self - Annual External - 5 Years	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2	For purposes of determining balanced representation, the default stakeholders are ABs, laboratories and other organizations directly involved in providing sampling and environmental measurement, and all others. (The Board of Directors must approve the use of any other stakeholder groups.)	Bylaws: Article XI, Section 4	Self - Annual External - 5 Years	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

- The comments box can be used to add additional notes or provide detail requested in a box. You can see more than two lines of notes in the box by clicking on the triangle in the bottom right corner of the box.
- Once you have made your additions to the checklist, you can choose to SAVE it or COMPLETE it. You can also CANCEL the work you have done. These choices are at the bottom of the page.

93	All records, including those relating to the approval, revision, or reaffirmation of a standard are retained for a minimum of five (5) years or one complete standards cycle, whichever is longer. All records related to the withdrawal of a standard are retained for five years from the date of withdrawal. (Sect 10)	SOP 2-100: 10	Self - Annual External - 5 Years	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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- o If you choose to SAVE it, you will find it in your My Checklists box and it can be opened to continue the next time you are ready to work on it. Highlight the checklist by clicking on the line of the checklist and then click **CONTINUE CHECKLIST**.

**My Checklists**

Audit #	By	Committee Name	Date	Complete?	
1	Ilona Taunton	Admin and Support	6/20/2018	<input type="checkbox"/>	Chg Name
3	Ilona Taunton / Paul Junio	Quality Systems	10/15/2018	<input checked="" type="checkbox"/>	Chg Name

**Start New Checklist**

**Continue Checklist**

**Remove Checklist**

- If you chose to mark it COMPLETE, it will also show up in your My Checklists box. You will see a check mark in the Complete column. You can still modify the checklist by clicking on the line of the checklist and then click **CONTINUE CHECKLIST**. (Note: The date of the internal audit remains the same. To change the date after you re-SAVE or re-COMplete the checklist, click on CHG NAME and you can change the date and/or change the name(s) of the internal auditor(s). The Date is the last date the checklist was saved or completed.)

**My Checklists**

Audit #	By	Committee Name	Date	Complete?	
1	Ilona Taunton	Admin and Support	6/20/2018	<input type="checkbox"/>	Chg Name
3	Ilona Taunton / Paul Junio	Quality Systems	10/15/2018	<input checked="" type="checkbox"/>	Chg Name

- A checklist can be removed from your list and permanently deleted by clicking on the line of the checklist and then click **REMOVE CHECKLIST**. This only deletes the checklist you worked on and not the template from the Start menu.

The screenshot shows the 'My Checklists' interface with a table containing two rows. Row 2 is highlighted in green. A modal dialog box is open over the table, displaying a warning message: 'WARNING: You are about to delete the selected checklist. This action cannot be undone. To confirm the deletion, type "delete" (without the quotes) into the box below and click the DELETE button:'. Below the text is a yellow input field containing 'DELETE|', a 'Cancel' button, and a 'DELETE' button. The background interface shows the table with columns 'Audit #', 'By', 'Committee Name', 'Date', 'Complete?', and 'Chg Name'. Below the table are buttons for 'Start New Checklist' and 'Continue Checklist'. At the bottom left, there is a copyright notice: '© 2018 - The NELAC Institute (TNI)'.

- When you are finished with your work – click on Log off in the upper right corner.

