GETTING READY FOR INTERNAL AUDIT

(Part 1)

OUM Seminar Series: 3 March 2011: Theatrette, OUM
Introduction

OBJECTIVES:

• To brief on OUM Internal Audit Procedures

• To brief on audit schedule for faculty/CGS/SONAHS

• To brief on what, how and why auditing – Pn Ruzita
Structure of OUM Internal Auditors Group

Chief Internal Auditor
(Pn Ruzita Ramly)

Lead Auditors
Total = 15

Internal Auditors
(Total = 67)

Yearly Audit Plan/Schedule
Pengurusan Audit Dalaman Kualiti

• Code = MGT-822-01

• [http://iqri.oum.edu.my/](http://iqri.oum.edu.my/)

• Objective of the procedure:
  - to ensure systematic approach is used during the conduct of internal audit on the Quality Management System (QMS)
Scope of the procedure

• Covers all activities related to QMS ISO 9001:2008.

• Involve all OUM staff who responsible for planning, development, application and maintenance of QMS at OUM.

• Thise procedure to fulfill clause 8.2.2 of MS ISO 9001:2008 requirements.
Who behind the audit activity?

- **Auditee** – Head of department, process owner, staff at faculty, centre, department, section or unit at OUM to be audited.

- **Internal Auditor** – staff who has been appointed by the President/Vice Chancellor and responsible to conduct and audit.

- **Chief Internal Auditor (CIA)** – staff who has been appointed by the President/Vice Chancellor and responsible to lead OUM group of internal auditors.

- Quality Research and Innovation Committee (QRIC) – report the audit findings
How audit is initiated?

Audit can be held by:

• Top management directive – due to some issues/problems or complaints

• Request from the department or process owner – volunteer for continuous improvement
OUM INTERNAL AUDIT PROCESS
Audit Notice

• Notice
  – at least 14 days prior to the audit exercise
  – first announcement - end of Nov 2010
  – 2\textsuperscript{nd} notice to all deans/head – 28 Feb 2011

• Audit Schedule / Plan
  – Proposed schedule
  – List of Auditors
  – List of SOP (scope of audit)
  – List of Auditee
Actual Audit

• Opening Meeting
  - audit schedule including date/time, auditee, auditor and location
  - audit scope
Actual Audit

• Audit Investigation
  - Issue Non-Conformity or
  - Observation (for improvement)
  - Report writing
Actual Audit

• Closing/Exit Meeting
  - Internal Corrective Action Request (ICAR) for any non-conformance
  - list of observation
AUDIT PLAN AND SCHEDULE
# Schedule

<table>
<thead>
<tr>
<th>Date</th>
<th>Faculty/ Centre</th>
<th>Meeting</th>
<th>Auditors</th>
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<tbody>
<tr>
<td>7 - 9 Mar</td>
<td>FBM</td>
<td>Date: 7 Mar Time: 9.00 am Venue: Bilik Persidangan</td>
<td>1. Pn Hajjah Kamariah Mohd Noor (Leader) 2. AP Ir Dr Kanesan Muthusamy 3. Pn Harvinder Kaur</td>
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<td>Date: 9 Mar Time: 4.30 pm Venue: Bilik Persidangan</td>
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<tr>
<td>8 – 9 Mar</td>
<td>FITMC</td>
<td>Date: 8 Mar Time: 9.00 am Venue: Bilik Persidangan</td>
<td>1. Pn Ruzita Ramly (Leader) 2. Prof Dr Ghazali Muhayidin 3. Dr Tina Lim</td>
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<tr>
<td></td>
<td></td>
<td>Date: 9 Mar Time: 3.00 pm Venue: Theatrette</td>
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<tr>
<td>7 - 10 Mar</td>
<td>FST (actual</td>
<td>Date: ?? Mar Time: 9.00 am Venue: ??</td>
<td>1. Pn Noorma Sidek (Leader) 2. AP Loo Sin Chun 3. AP Mohd Ramli Buyong Kahar</td>
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<tr>
<td>(tentative)</td>
<td>date to be</td>
<td>Date: ?? Mar Time: 4.30 pm Venue: ???</td>
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<td>confirmed)</td>
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### Schedule (cont....)

<table>
<thead>
<tr>
<th>Proposed date</th>
<th>Faculty/Centre</th>
<th>Auditors</th>
</tr>
</thead>
</table>
| 28 Mar – 1 Apr | SONAHS        | 1. AP Ir Dr Kanesan Muthusamy  
2. Pn Noorma Sidek  
3. Prof Dr Ghazali Mohayidin |
|                | FASS (29 – 31 Mar) | 1. Prof Dr Shaari Abd Hamid  
2. Dr Thirumeni Subramaniam  
3. Pn Ruzita Ramly |
|                | CGS            | 1. Pn Hajjah Kamariah Mohd Noor  
2. AP Mohd Ramli Buyong Kahar  
3. Pn Harvinder Kaur |
| 4 – 8 Apr      | FEL            | 1. Prof Dr Shaari Abd Hamid  
2. Pn Hajjah Kamariah Mohd Noor  
3. AP Loo Sin Chun  
4. Datin Halimatolhanin |
SOPs and COPIA:

- 12 Faculty SOPs
- COPIA 2, 3 and 7
Thank you!