# GETTING READY FOR INTERNAL AUDIT (Part 2)

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

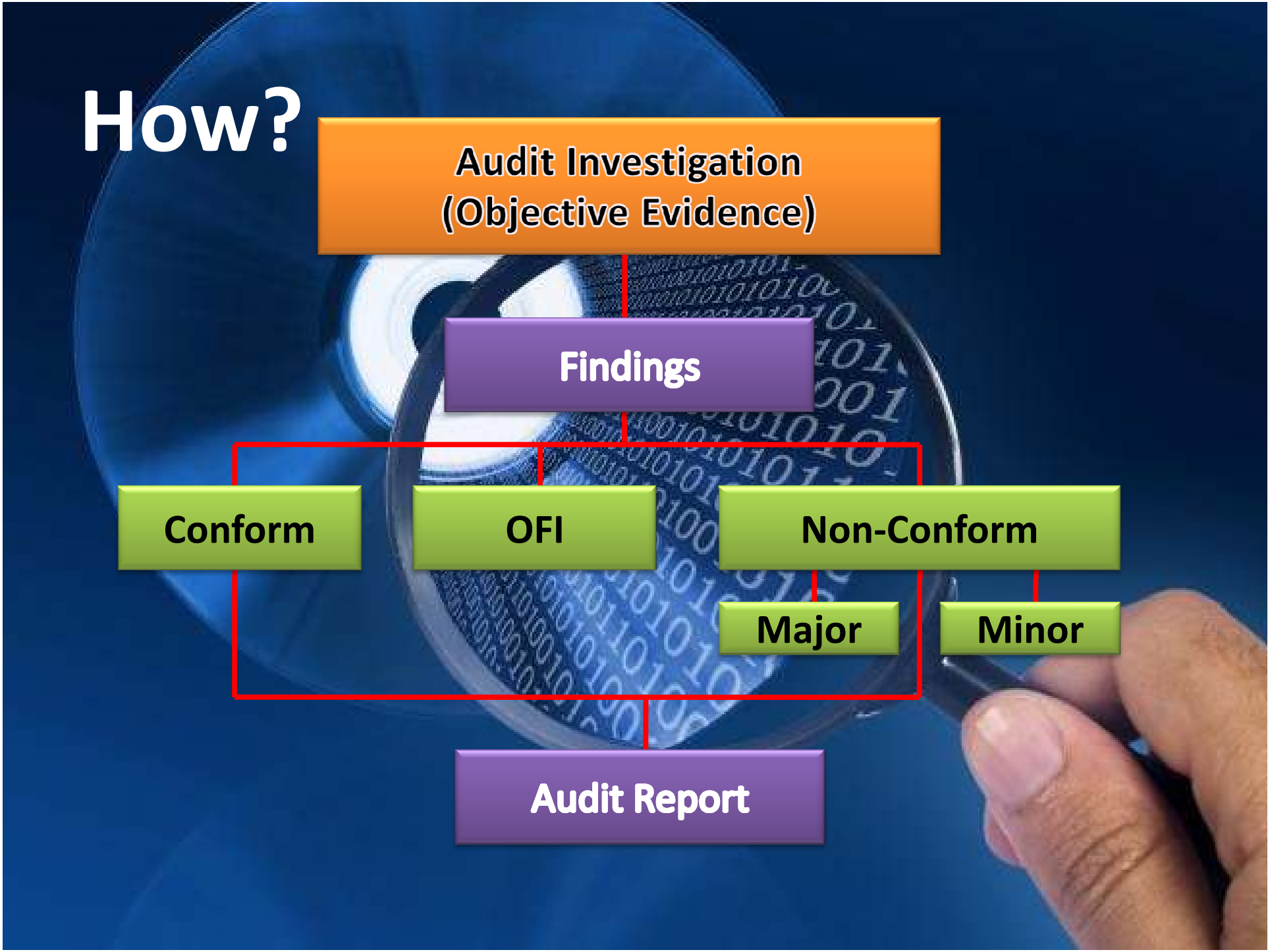
# What is Quality Audit?

- The process of systematic examination of a quality system (ISO 9001:2008).
- Performed to verify conformance to standards through review of objective evidence. A system of quality audits may verify the effectiveness of a quality management system.

# Why Audit?

- Essential to verify the existence of objective evidence showing conformance to required processes:
  - to assess how successfully processes have been implemented,
  - for judging the effectiveness of achieving any defined target levels,
  - providing evidence concerning reduction and elimination of problem areas and;
  - a hands-on management tool for achieving continual improvement in an organization.

# How?


Audit Investigation
(Objective Evidence)
Findings
Conform
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Non-Conform
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# WHAT DO WE AUDIT AGAINST?

# COPIA

- Area 2 – Curriculum Design & Delivery
- Area 3 – Assessment of Students
- Area 7 – Programme Monitoring & Review

# FACULTY SOP

- FAC-750-01 - Management of Course Offering
- FAC-750-02 - Management of Credit Transfer
- FAC-750-03 - Management of Change of Programme
- FAC-750-04 - Management of Add/Drop
- FAC-750-05 - Management of Online Course Withdrawal
- FAC-750-06 - Preparation of Graduating Student List
- FAC-750-07 - Appointment of SME
- FAC-750-08 - Module Moderation
- FAC-750-12 - Appointment of Examiner
- FAC-750-13 - Development & Moderation of Assessment (Final Examination)
- FAC-750-14 - Development & Moderation of Assessment (Assignment & Mid-term)
- FAC-750-16 - Management of Practicals

# ISO 9001:2008
# Clause 4: Quality Management System

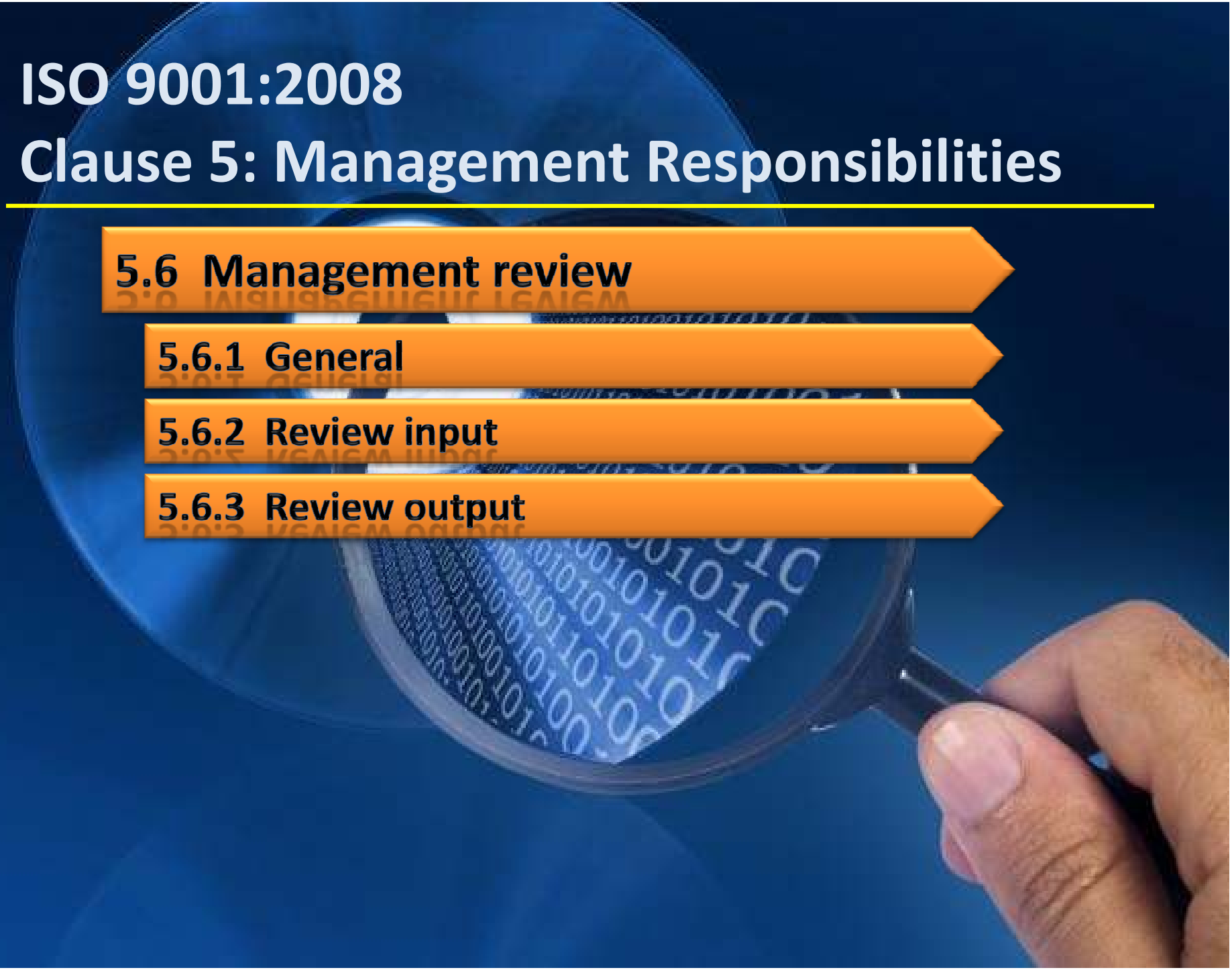
- 4.1 General requirements
- 4.2 Documentation requirements
  - 4.2.1 General
  - 4.2.2 Quality manual
  - 4.2.3 Control of documents
  - 4.2.4 Control of records

# ISO 9001:2008
# Clause 5: Management Responsibilities

- 5.1 Management commitment
- 5.2 Customer focus
- 5.3 Quality policy
- 5.4 Planning
  - 5.4.1 Quality objectives
- 5.5 Responsibility, authority and communication
  - 5.5.2 Management representative
  - 5.5.3 Internal communication

# ISO 9001:2008
# Clause 5: Management Responsibilities

- **5.6 Management review**
  - **5.6.1 General**
  - **5.6.2 Review input**
  - **5.6.3 Review output**



# ISO 9001:2008
# Clause 6: Resource Management

- 6.1 Provision of resources
- 6.2 Human resources
  - 6.2.2 Competence, training and awareness
- 6.3 Infrastructure
- 6.4 Work environment

# ISO 9001:2008
# Clause 7: Product Realization

- 7.1 Planning of product
- 7.2 Customer-related resources
  - 7.2.1 Determination of requirements related to product
  - 7.2.2 Review of requirements related to product
  - 7.2.3 Customer communication

# ISO 9001:2008
# Clause 7: Product Realization

## 7.3 Design and development

- 7.3.1 Design and development planning
- 7.3.2 Design and development inputs
- 7.3.3 Design and development outputs
- 7.3.4 Design and development review
- 7.3.5 Design and development verification
- 7.3.6 Design and development validation
- 7.3.7 Control of design and development changes

# ISO 9001:2008
# Clause 7: Product Realization

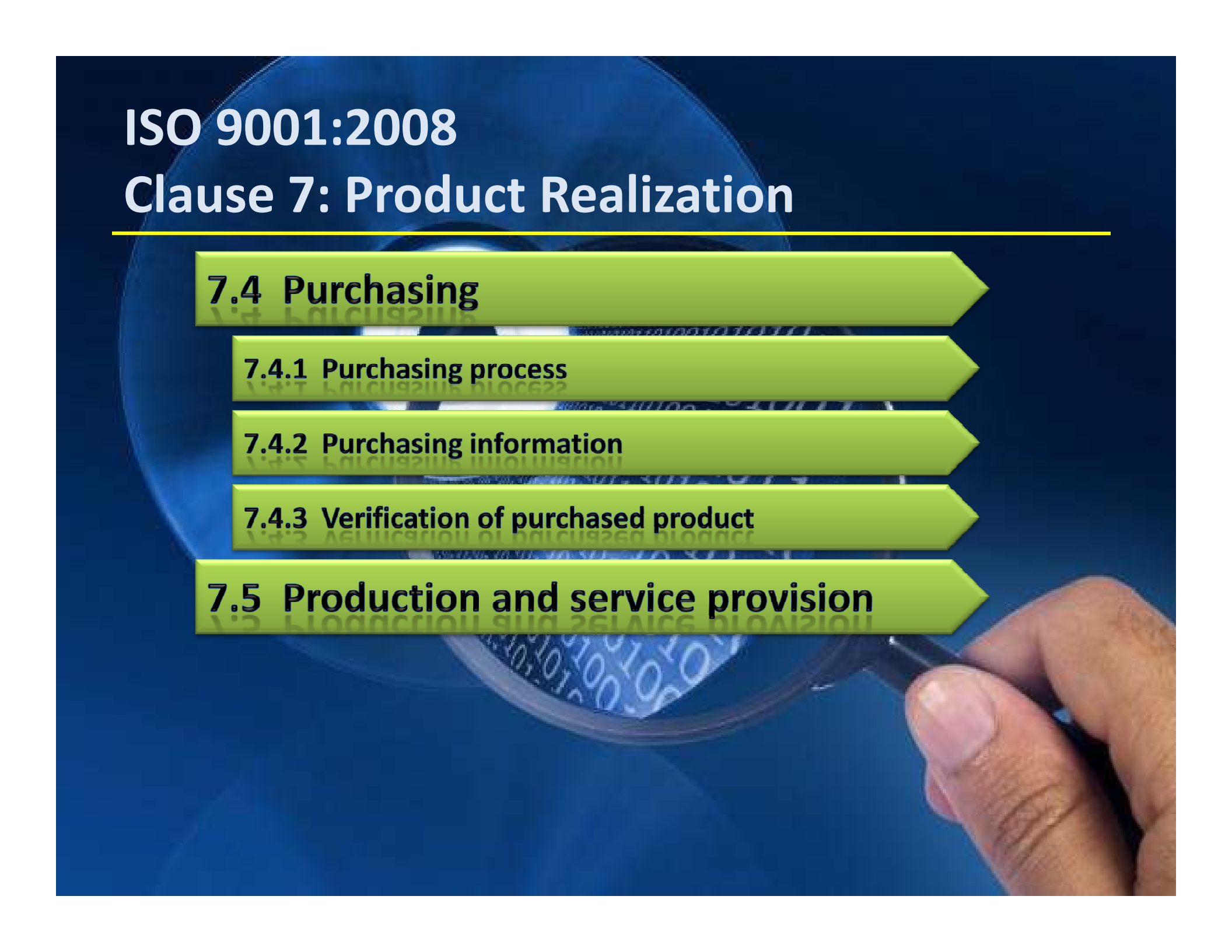
## 7.4 Purchasing

### 7.4.1 Purchasing process

### 7.4.2 Purchasing information

### 7.4.3 Verification of purchased product

## 7.5 Production and service provision

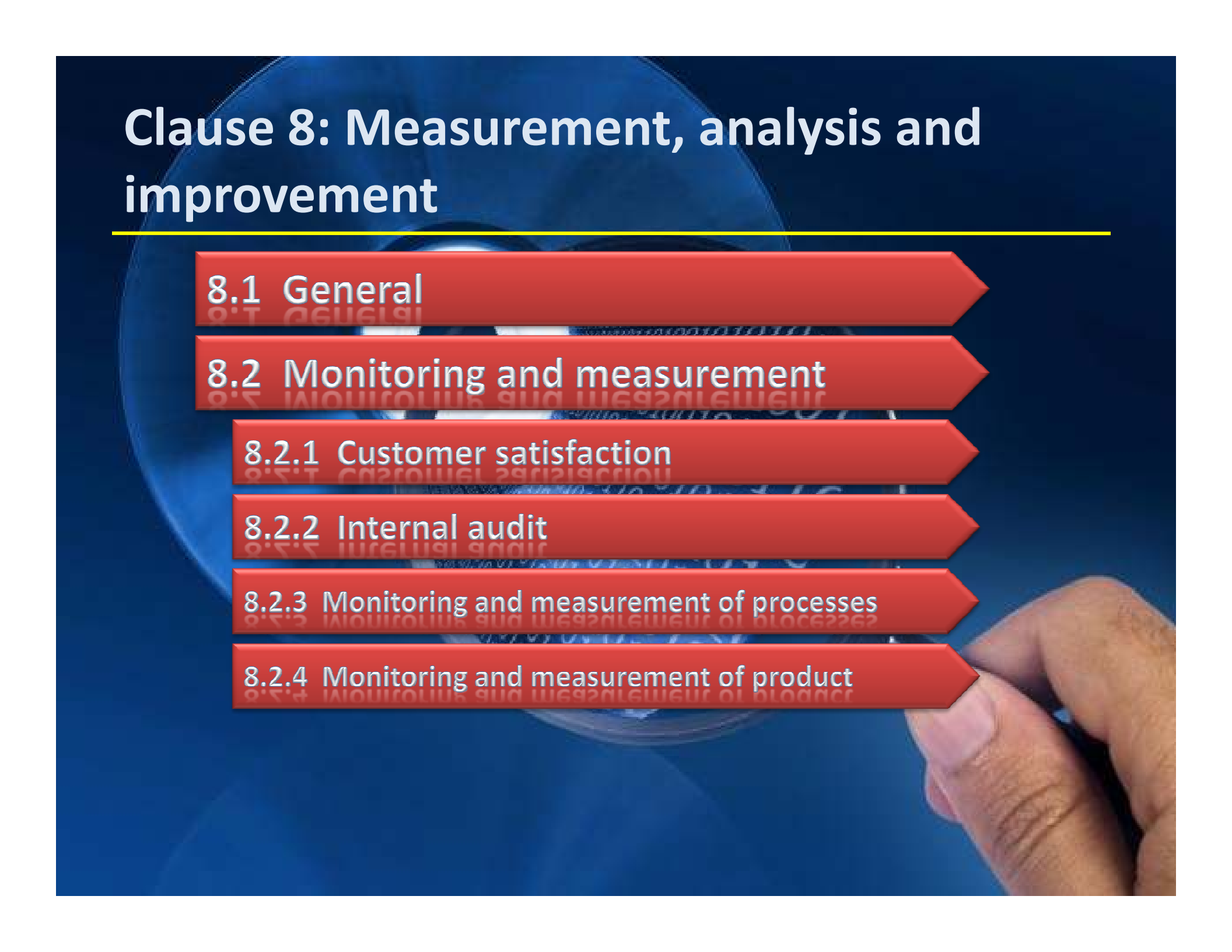


# ISO 9001:2008
# Clause 7: Product Realization

- **7.5 Production and service provision**
  - 7.5.1 Control of production and service provision
  - 7.5.2 Validation of processes
  - 7.5.3 Identification and traceability
  - 7.5.4 Customer property
  - 7.5.5 Preservation of product
- **7.6 Control of monitoring and measuring equipment**

# Clause 8: Measurement, analysis and improvement

- 8.1 General
- 8.2 Monitoring and measurement
  - 8.2.1 Customer satisfaction
  - 8.2.2 Internal audit
  - 8.2.3 Monitoring and measurement of processes
  - 8.2.4 Monitoring and measurement of product



# Clause 8: Measurement, analysis and improvement

- 8.3 Control of nonconforming product
- 8.4 Analysis of data
- 8.5 Improvement
  - 8.5.1 Continual improvement
  - 8.5.2 Corrective action
  - 8.5.3 Preventive action

# HOW FAR DO WE GO?

# HOW DO WE AUDIT?

# WE’RE ON THE SAME TEAM!

Interview

## Observing activities

Reviewing documents and records

# What would we report?

- Non-conformances
- Opportunity for improvement
- Commendable - Areas of good practice and evidence of conformance
- Corrective actions / Preventive actions

# WHAT SHOULD YOU DO?


COFFEE
PENDING

**WRITE WHAT YOU DO.**
**DO WHAT YOU WRITE.**

# Preparing for Audit

- Update your policies and procedures and make sure they have been distributed to the staff.
- Ensure all documents/records mentioned in the SOPs/COPIA areas are in place and updated.

  (If you don't have documentation regarding a policy or procedure, you have nothing. For example: You may have a policy or procedure that says that all changes to a server must be documented in a change control log. If you can't produce the log or no one has been keeping the log up to date, it's akin to having done nothing at all. Telling the auditor that staffers inform each other of the changes made is pretty much a waste of breath - if it's not in writing, it didn't happen)

# Preparing for Audit

- Documentation can consist of phone logs, e-mails, faxes, letters, memos, voicemail, system logs, and so on. If it can be shown that an e-mail was sent out to all concerning the server changes each time a change was made, this can serve as proof that the procedure was followed.

# Preparing for Audit

- Understand what separation of duties means.
- Understand what kind of audit your unit will be undergoing.
- Find that “lost” document/equipment.
- Be able to show how things work.

# WHAT IF YOU FAIL YOUR AUDIT?

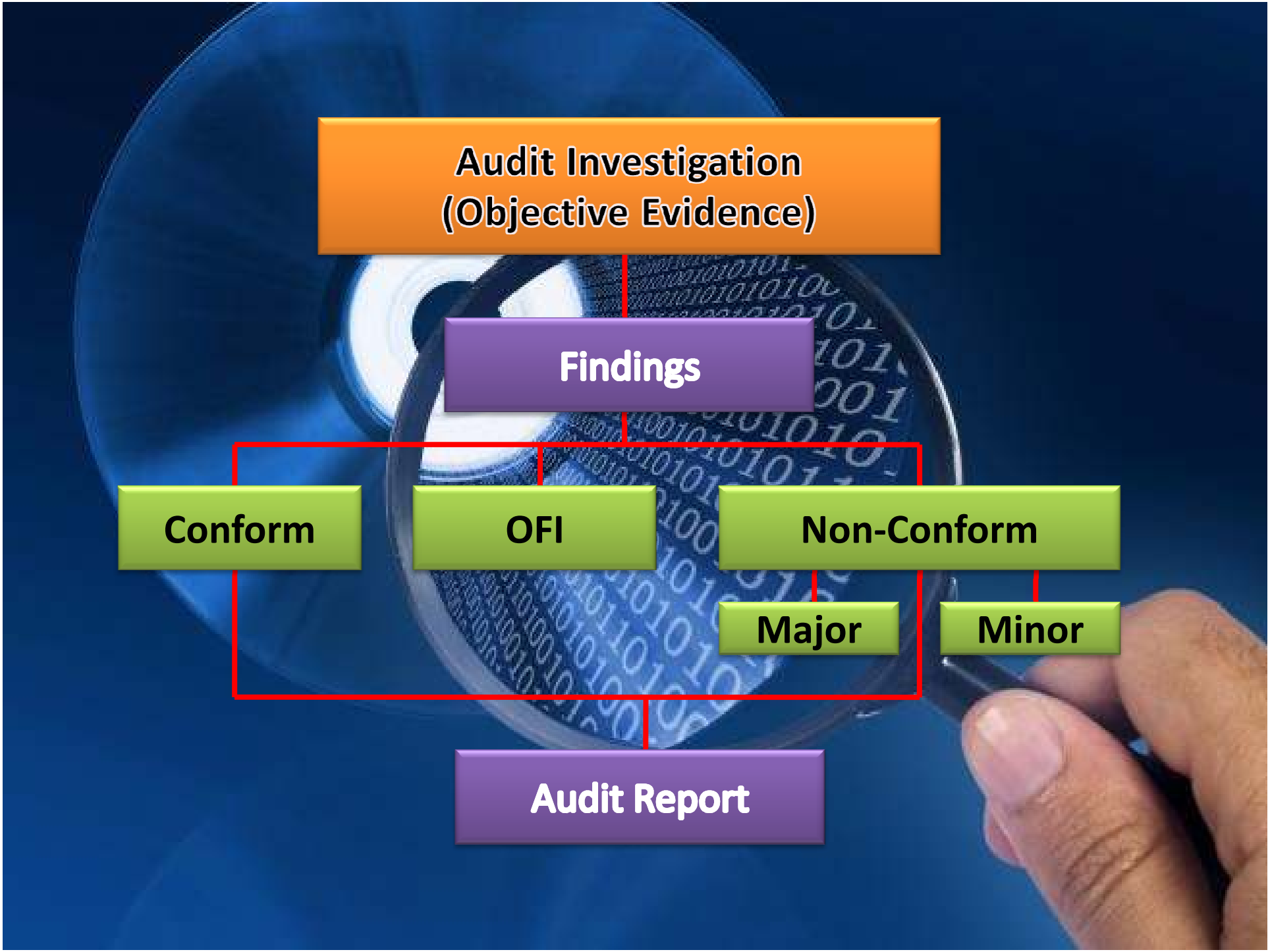
## NON-CONFORMITIES

Failure to conform to accepted standards

## OPPORTUNITY FOR IMPROVEMENT

Opportunities to improve

- help reduce your operating costs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Thank you!