

Getting the Most from Internal Audits – A Best Practice Guide

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ISO 9001:2000 – Clause 8

- Measurement, Analysis and Improvement Clause
- 8.2.2 Internal Audit

Audits to be conducted at planned intervals to determine:

- Conformance with planned arrangements, the Standard, QMS requirements
- Effective implementation and maintenance of the QMS

ISO 9001:2000

Audits should:

- Take account of the importance of a procedure
- Take account of results of previous audits
- Define the criteria, scope, frequency and method
- Impartial and objective

Internal Audit Procedure

- Standard also requires a documented procedure for internal audit

Cedar's Procedure:

- Defines the purpose
- Describes who can audit
- Planning and Preparation
- Conducting the audit
- Reporting and Recording
- Corrective Action
- Management Review and Control of Records

The Internal Audit Plan

- Produced annually by Lead Auditor
- Frequency – 3 times / year / service area
- Multiple Locations / Multiple Services - practicalities
- Dual Audit System
- Assigning Auditors
- Auditing outside the Audit Plan

Internal Audit Team

- ‘Volunteers’
- Trained ISO 10011 Internal Auditor Training
- Currently 10 Internal Auditors
- Complete 3 audits per year
- Meet as a team twice a year
- Effective means of identifying and transferring good practice

Audit

ISO 9001:2000 defines Audit as:

Systematic, independent and documented process for obtaining evidence and evaluating it objectively to determine the extent to which audit criteria are fulfilled.

Purpose of Audits

- Compliance Auditing –

A test of compliance to stated requirements and should test the effectiveness of the system under review.

- Auditing for Continuous Improvement –

Identifying opportunities for continuous improvement, making recommendations, sharing best practice.

Principles of Auditing

- Ethical Conduct – foundation of professionalism
- Fair Presentation – the obligation to report truthfully and accurately
- Due Professional Care – application of reasonable care in auditing
- Independence – the basis for the impartiality and objectivity of the audit conclusion
- Evidence – the rational basis for reaching audit conclusions

Auditor Attributes

- Open Minded
- Diplomatic
- Observant
- Perceptive
- Impartial
- Decisive
- Self – reliant
- Ethical
- Empathic
- Integrity

Exercise



An Audit in the Sales Department

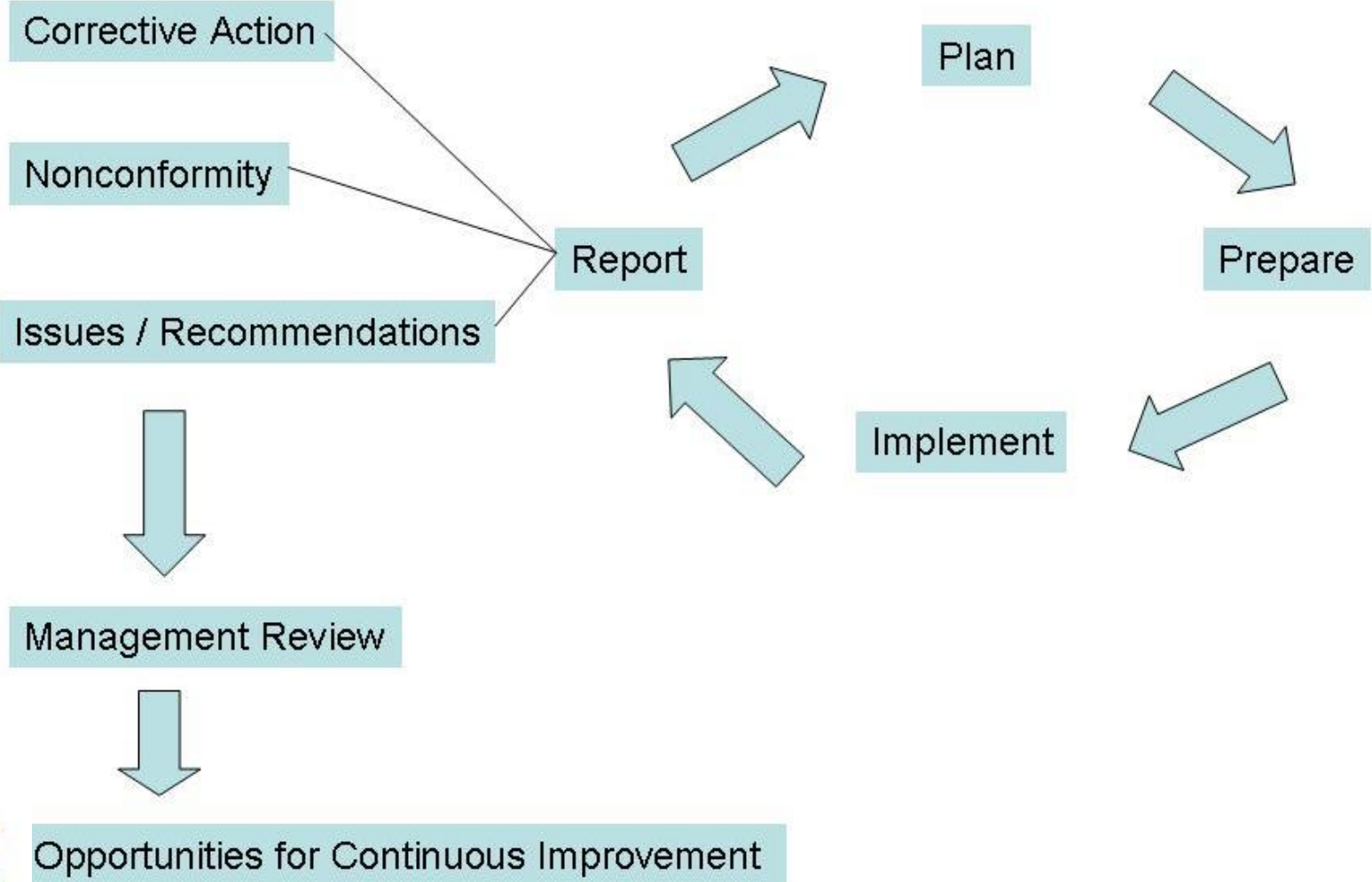
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Good Practice / Unhelpful Practice

- Prior notification
- Keep people informed
- Preparation
- Ask right person
- Ensure questions are clear and understood
- Give time to answer
- Always be polite
- Asking too many questions at once
- Saying you understand when you don't
- Arguing
- Criticising individuals

Audit Lifecycle



Audit Report

- Contains a unique reference number (from internal audit plan)
- Details of issues/observations, recommendations & non conformities
- Forwarded to the HoS, Head Auditor & Deputy Chief Executive
- HoS completes a Corrective Action Plan
- Report is presented at Management Review (quarterly)
- The Report and Corrective Action Plan are reviewed at the next Internal Audit to ensure Corrective Actions have been carried out