INTERNAL QUALITY AUDITS PROCEDURE

Contents:

7 PROCEDURES 2

7.1 INTERNAL QUALITY AUDIT TEAM 2
7.2 FREQUENCY AND COVERAGE OF AUDITS 3
7.3 INTERNAL QUALITY AUDITORS MEETINGS 3
7.4 AUDIT FUNCTION 3
7.5 FOLLOW-UP AUDITS 4
7.6 UNSCHEDULED INTERNAL AUDITS 4
7.7 REPORTING 4

This document must not be passed or copied to other Companies or persons without the written authority of the Board of the Institute for Supply Chain Excellence.

Description :	New Issue
Issued by:	Quality Co-ordinator
Approved by:	Quality Co-ordinator

1 **Subject** Internal Quality Audits Procedure

2 **Purpose** To define procedures relevant to the Internal Auditing of the Institute for Supply Chain Excellence - Quality Management System.

3 **Scope** All parts and sections of the Institutes Quality Assurance System

4 **References** Quality Assurance Guidelines and Criteria for Provider Access to Initial Validation of Programmes for Higher Education and Training Leading to QQI Awards, [2013]
HET Core Validation Policy and Criteria [2013].
Quality Manual, section 4.17
Procedures Manual ref:
MS/412.02 Internal Audits Documentation
MS/410.01 Corrective and Preventive Action

5 **Documentation**

5.1	Audit Plan ref:	Form No: MS/411.01 - 7.2.1
5.2	Internal Audits Register ref:	Form No: MS/411.01 - 7.2.3
5.3	Internal Audits Checklist ref:	Form No: MS/411.01 - 7.4.6
5.4	Audit Report Form ref:	Form No: MS/411.01 - 7.4.7
5.5	Follow-up Audit Report ref:	Form No: MS/411.01 - 7.5.2

6 **Definitions**

6.1 The term **'non-conformance'** shall refer to an action or activity detailed in a procedure that does not comply with the specified requirements,

7 **PROCEDURES**

7.1 **Internal Quality Audit Team**

7.1.1 The Quality Co-ordinator shall be responsible for implementing the Internal Quality Audits Procedures.

7.1.2 The Finance and Administration Committee shall appoint on the recommendation of the Quality Co-ordinator a panel of Internal Quality Auditors from members of the Institutes staff who shall be independent of the areas under review.

7.1.3 The Quality Co-ordinator may act as an Internal Quality Auditor.

7.1.4 The Quality Co-ordinator shall ensure that all members of the Internal Quality Audit Team have been properly trained and that records of this training are maintained and filed as per the Training Procedures ref: SA/412.01.

7.2 Frequency and Coverage of Audits

7.2.1 The Quality Co-ordinator shall prepare, at the beginning of each academic year, an Audit Plan for the coming year. (see attachment 5.1).

7.2.2 Audits shall be programmed so that the whole of the Quality Management System is audited during the course of the year.

7.2.3 All audits shall be logged in the Internal Audits Register. (see attachment 5.2).

7.3 Internal Quality Auditors Meetings

7.3.1 The Quality Co-ordinator shall meet with the Audit Team to:

- Assign audits to an audit team or individual auditors in line with the Audit Plan.
- Evaluate the outcome of audits carried out in the current year.
- Assess the performance of the Internal Quality Auditing team and identify their further training needs.

7.4 Audit Function

7.4.1 On receiving an assignment, the auditor shall review the records of previous audits carried out in their assigned area.

7.4.2 The auditors shall give consideration to any non-conformances identified, the action taken and the results of the "review for effectiveness" made in the follow up audit.

7.4.3 The Quality Co-ordinator shall on request make available to the Audit Team all records and data relating to procedures carried out in the Institute.

7.4.4 The auditor shall contact the person responsible for the area selected for auditing to agree a suitable time and date for the audit.

7.4.5 The person responsible for the area being audited shall make themselves available to the Auditor and shall fully participate in the audit.

7.4.6 The Auditor shall conduct the audit, using the ‘Internal Audit Checklist Form’, (see attachment 5.3).

7.4.7 On completion of the audit, the auditor shall prepare a report of the audit using Audit Report Form (see attachment 5.4).

7.4.8 As soon as possible after the audit the Auditor shall meet with the Quality Co-ordinator to discuss findings and hand over the Audit Report Form, together with completed Corrective Action Requests Forms produced as a result of the audit.

7.4.9 On receipt of the completed audit report the Quality Co-ordinator shall make relevant entries in the Internal Audits Register and shall file the Internal Audit Report Form as part of the quality records system.

7.4.10 The Quality Co-ordinator shall process all Corrective Action Requests arising as a result of the audit, as specified in the procedures detailed in Corrective and Preventative Action Procedures ref: MS/410.01.

7.4.11 The Quality Co-ordinator shall issue a copy of the Audit Report and copies of Corrective Action Requests to those listed as being responsible for implementing the relevant procedures. The Quality Co-ordinator shall record the issuing of these documents in the Internal Audit Register.

7.5 Follow-up Audits

7.5.1 If in the course of an audit a non-conforming service has been identified and Corrective Action has been implemented, the Quality Co-ordinator shall arrange for a follow-up audit to be carried out - (within 30-day period)

7.5.2 On completion of this audit, the Auditor shall enter his findings on a Follow-up Audit Report (see attachment 5.5) and return same to the Quality Co-ordinator who shall make the appropriate entries in the Internal Audits Register.

7.6 Unscheduled Internal Audits

7.6.1 In addition to planned audits, the Quality Co-ordinator shall authorise and arrange a series of unscheduled internal audits on a random selection basis.

7.6.2 The purpose of the unscheduled audits is to cross check and verify that the Quality Management System is being properly implemented.

7.6.3 Unscheduled audits shall be carried out as specified in 7.4 above (but, to increase the effectiveness of this type of audit staff of the section shall not receive prior warning).

7.7 Reporting

7.7.1 The Quality Co-ordinator shall provide the Dean of Graduate Studies with a monthly update of audits.

7.7.2 The Quality Co-ordinator shall produce and present to the Finance and Administration Committee, at the next meeting Quality System Review meeting, a comprehensive report on all Internal Audits carried out.

SAMPLE Attachment 5.1

AUDIT PLAN: Form ref: MS/411.01 - 7.2.1

Date: .....

Page ..... of.....

Audit No:	Planned Date:	Scope:	Location:	Date Completed:

SAMPLE Attachment 5.2

INTERNAL AUDITS REGISTER Form ref: MS/411.01 - 7.2.3

Page: ….. of .....

Audit No:	Date Started:	Scope of Audit:	Auditor	Corrective Action Requests Issued:	Reports Received Date:	Follow-up Audit Date:

SAMPLE Attachment 5.3

INTERNAL AUDIT CHECK LIST Form ref: MS/411.01 - 7.4.6

Location: .....

Audit No: ..... Date: ..... Page: ..... of .....

Item No	Procedure Ref:	Requirement Reference	Compliance Yes / No ?	Comments

Manager: .....

Auditor: .....

SAMPLE Attachment 5.4

AUDIT REPORT FORM: Form ref: MS/411.01 - 7.4.7

Audit No: ..... Date of Audit: ..... Date of Report: ….....

Scope:

.....
.....
.....
.....
.....
.....

Reference Numbers of Corrective Action Requests Form issued:

....
....
....

Notes:

.....
.....
.....
.....
.....
.....
.....
.....
.....
.....
.....
.....
.....
.....
.....
.....
.....
.....
.....
.....
.....
.....
.....

Signed: ..... (Auditor)

Date: .....

SAMPLE Attachment 5.5

FOLLOW-UP AUDIT REPORT: Form ref: MS/411.01 - 7.5.2

Audit No: ..... Date of Follow Up Audit: ..... Date of Report:.....

Corrective Action Request Form No:	Completed	Not Completed	Comments

Notes:

Signed: ..... (Auditor)