



2MP05: Internal Audits



	Document No.:	2MP05	Revision:	06
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TABLE OF CONTENTS

1.	REVISION RECORD.....	3
2.	PURPOSE	4
3.	SCOPE AND APPLICABILITY	4
4.	DEFINITIONS AND ABBREVIATIONS	4
5.	PROCEDURE	4
5.1	OVERVIEW.....	4
5.2	RESPONSIBILITIES	4
5.3	AUDIT SCHEDULE AND FREQUENCY	5
5.4	PLANNING OF AUDIT	5
5.5	PERFORMANCE OF THE AUDIT	5
5.6	REPORTING.....	6
5.7	FOLLOW-UP AUDITS.....	6
5.8	NUMBERING FINDINGS REPORTS AND INTERNAL AUDIT REPORTS	7
6.	REFERENCES.....	9
7.	RECORDS	9
8.	FLOWCHARTS.....	10
9.	APPENDICES 1: IDM INTERNAL QMS AUDITOR CRITERION.....	11


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	Subject/Title:	Internal Audits	Effective Date:	July 2012

1. REVISION RECORD

Revision Number	Date (Month Year)	Details of Revision	Revised by
01	September 2009	Aligned the whole document with ISO 9001:2008 and changed the whole document to reflect the current status of activities within the Institute.	Quality Manager
02	June 2010	4.3.1 The following statement added: "The audit programme shall indicate both internal audits and audits conducted by the certification body. The internal audits shall be conducted over a period of one or more days, depending on the size of the IDM office, covering all the functions of the respective office. Only the month for the audit will be indicated in the internal audit programme."	Quality Manager
03	January 2011	5.2.3 The competency of those that need to conduct internal audits indicated in the procedure.	Quality Manager
04	June 2011	General review of Quality Management System documents.	Executive Management
05	July 2012	Incorporated appendix on internal QMS auditor's criterion.	Executive Management

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2. PURPOSE

2.1 The purpose of this procedure is to establish a uniform and consistent method for internal auditing of the quality management system. Audits shall be performed to evaluate and verify that:

- all quality activities comply with planned arrangements;
- the quality management system is effectively implemented and maintained; and
- corrective actions have been implemented and are effective.

3. SCOPE AND APPLICABILITY

3.1 This procedure is applicable to all quality management system elements applicable to the ISO 9001:2008 quality standard and shall be audited for compliance as per this procedure.

3.2 The procedure is also applicable to all the processes as specified in the IDM Quality Management System.

4. DEFINITIONS AND ABBREVIATIONS

N/A

5. PROCEDURE

5.1 Overview

All functions are audited twice a year as a minimum. The audits are set out in an Internal Quality Audit Programme generated for implementation at the beginning of the financial year (April) and reviewed in October.

5.2 Responsibilities


5.2.1 The Quality Manager (QM)/Quality Management Representatives (QMRs) shall be responsible for planning, performing and reporting to the Management Review Meeting in respect of the audit in accordance with this procedure.

5.2.2 The QMRs shall, in consultation with the QM, ensure preparations are made for the smooth running of the internal audit.

5.2.3 The appointed auditors, who shall be competent in terms of knowledge and skills, shall conduct the audit as per the requirements of this procedure.

5.2.4 The Regional Director/Country Directors may commission office internal audits outside the corporate audit programme as they deem necessary through respective office QMRs.

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5.2.5 Internal audits commissioned at office level shall be planned and performed by the respective auditors and reported to the Regional Director/Country Directors copied to the QM. The QMs' contribution may be requested for only if the office feels it is necessary.

5.2.6 Management shall be responsible for implementing corrective actions applicable to the areas under their control.

5.3 Audit Schedule and Frequency

5.3.1 The Quality Manager (QM), in consultation with respective office Quality Management Representatives (QMRs) shall prepare annual audit programmes for each office. The audit programme shall indicate both internal audits and audits conducted by the certification body. The internal audits shall be conducted over a period of one or more days, depending on the size of the IDM office, covering all the functions of the respective office. Only the month for the audit will be indicated in the internal audit programme. The annual audit programme shall also indicate the appointed auditors to conduct the internal audit. All aspects of the QMS and activities within each IDM office shall be covered by the internal audit programme, 2MPF07. .

5.3.2 Audits should be scheduled on the basis of the status and importance of the activity. This should be done, taking previous audit findings into consideration.

5.4 Planning of Audit

5.4.1 The QM/QMR/assigned auditors shall notify auditees (Regional Office & Campus) at least two weeks in advance by raising a memo, in the form of audit plan, on the audit dates, areas to be audited, schedule for interviews, opening and closing meeting times and specific requirements of the Audit Team.


5.4.2 The QM/QMR shall ensure that all documentation such as the policies, procedures; records, specifications and previous audit results are available for review and pre-planning of the audit.

5.4.3 If required, the QM/QMR or appointed auditor shall prepare audit checklists based on the documentation to be audited.

5.4.4 The appointed auditor shall have no direct responsibility in the area or function, which is being audited.

5.5 Performance of the Audit

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	Subject/Title:	Internal Audits	Effective Date:	July 2012

- 5.5.1 The QM/QMR or appointed auditor shall explain the purpose and scope of the audit as well as the activities to be audited during a pre-audit discussion and/or opening meeting with the respective auditees.
- 5.5.2 The QM/QMR or appointed auditor shall conduct audits utilising one of the following methods:
- a) An internal audit trail, 2MPF08 recording all information gathered during the audit,
 - b) A blank audit checklist, recording all non-conformances against the relevant clause number. This is executed by examining all clauses applicable to the document being audited, and
 - c) A photocopy of the document being audited, recording the observations directly on the copy. No blank audit checklists are required in this instance.
- 5.5.3 The auditor shall note and communicate non-conformances to the auditee during the interview. All non-conformances observed shall be addressed by utilising the Findings report, 2MPF09 and submit the form to the respective auditee who shall in consultation with the supervisor determine corrective action.
- 5.5.4 All proposed corrective action shall be undertaken without undue delay, taking into consideration the severity of the finding. The QM/QMR shall prepare an age analysis of closure of findings and reported at management review meeting.
- 5.5.5 Any Non-conformances, which are considered major by the QM/QMR or appointed auditor shall be reported immediately to the respective supervisor and the required corrective action or disposition shall be agreed and implemented by all relevant parties concerned.


5.6 Reporting

- 5.6.1 The QM/QMR or appointed auditor shall prepare a summarised Internal Audit Report, 2MPF10 and distribute these to the respective auditees, explaining the audit findings.
- 5.6.2 All observations identified during the audit should be recorded in the Audit Report.
- 5.6.3 The QM/QMR or appointed auditor shall forward the Audit Report to the auditee for review and corrective action as required.
- 5.6.4 The respective auditee, in consultation with their supervisors, shall address non-conformities in accordance with the Corrective Action Procedure, 2MP06.

5.7 Follow-Up Audits

- 5.7.1 The respective supervisor and/or auditee shall respond in respect of all audit findings on the Findings report, 2MPF09, proposing corrective actions as well as target dates of implementation.

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- 5.7.2 The QM/QMR or appointed auditor shall perform the necessary review and/or follow-up visit to verify the implementation and effectiveness of the corrective actions. If this is satisfactory, then the Findings Form shall be closed.
- 5.7.3 Based on the evidence submitted by the auditee, Findings Form may be closed by QM/QMR or appointed auditor.
- 5.7.4 These may also only be closed, during the next formal audit and subject to the verification performed.

5.8 Numbering Findings Reports and Internal Audit Reports

5.8.1 These shall be numbered by following the following format/codes:

Quality Action Codes


Regional Office	QRO/Year/Month/Number starting from 001 E.g. QRO/2005/04/001
Botswana Campus	QBW/Year/Month/Number starting from 001 E.g. QBW/2005/04/001
Lesotho Campus	QLS/Year/Month/Number starting from 001 E.g. QLS/2005/04/001
Swaziland Campus	QSW/2005/04/001 E.g. QSW/2005/04/001

Customer Complaints Codes

Regional Office	ROC/Year/Month/Number starting from 001 E.g. ROC/2005/04/001
Botswana Campus	BWC/Year/Month/Number starting from 001 E.g. BWC/2005/04/001
Lesotho Campus	LSC/Year/Month/Number starting from 001 E.g. LSC/2005/04/001
Swaziland Campus	SWC/2005/04/001 E.g. SWC/2005/04/001

Control of Non-conforming Products/Service Codes

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Regional Office RON/Year/Month/Number starting from 001
E.g. RON/2005/04/001

Botswana Campus BWN/Year/Month/Number starting from 001
E.g. BWN/2005/04/001

Lesotho Campus LSN/Year/Month/Number starting from 001
E.g. LSN/2005/04/001

Swaziland Campus SWN/2005/04/001
E.g. SWN/2005/04/001

Health and Safety Codes

Regional Office ROH/Year/Month/Number starting from 001
E.g. ROH/2005/04/001

Botswana Campus BWH/Year/Month/Number starting from 001
E.g. BWH/2005/04/001

Lesotho Campus LSH/Year/Month/Number starting from 001
E.g. LSH/2005/04/001

Swaziland Campus SWH/2005/04/001
E.g. SWH/2005/04/001

Security Codes

Regional Office ROS/Year/Month/Number starting from 001
E.g. ROS/2005/04/001

Botswana Campus BWS/Year/Month/Number starting from 001
E.g. BWS/2005/04/001

Lesotho Campus LSS/Year/Month/Number starting from 001
E.g. LSS/2005/04/001

Swaziland Campus SWS/2005/04/001
E.g. SWS/2005/04/001

Internal Audit Reports Codes


Regional Office ROA/Year/Month/Number starting from 001
E.g. ROA/2005/04/001

Botswana Campus BWA/Year/Month/Number starting from 001
E.g. BWA/2005/04/001

Lesotho Campus LSA/Year/Month/Number starting from 001
E.g. LSA/2005/04/001

Swaziland Campus SWA/2005/04/001
E.g. SWA/2005/04/001

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6. REFERENCES

- a) Quality Policy Manual, 1QM01.
- b) ISO 9001: 2008 – Internal Audit - Clause 8.2.2
- c) Corrective Action Procedure, 2MP06
- d) Preventive Action Procedure, 2MP07.

7. RECORDS

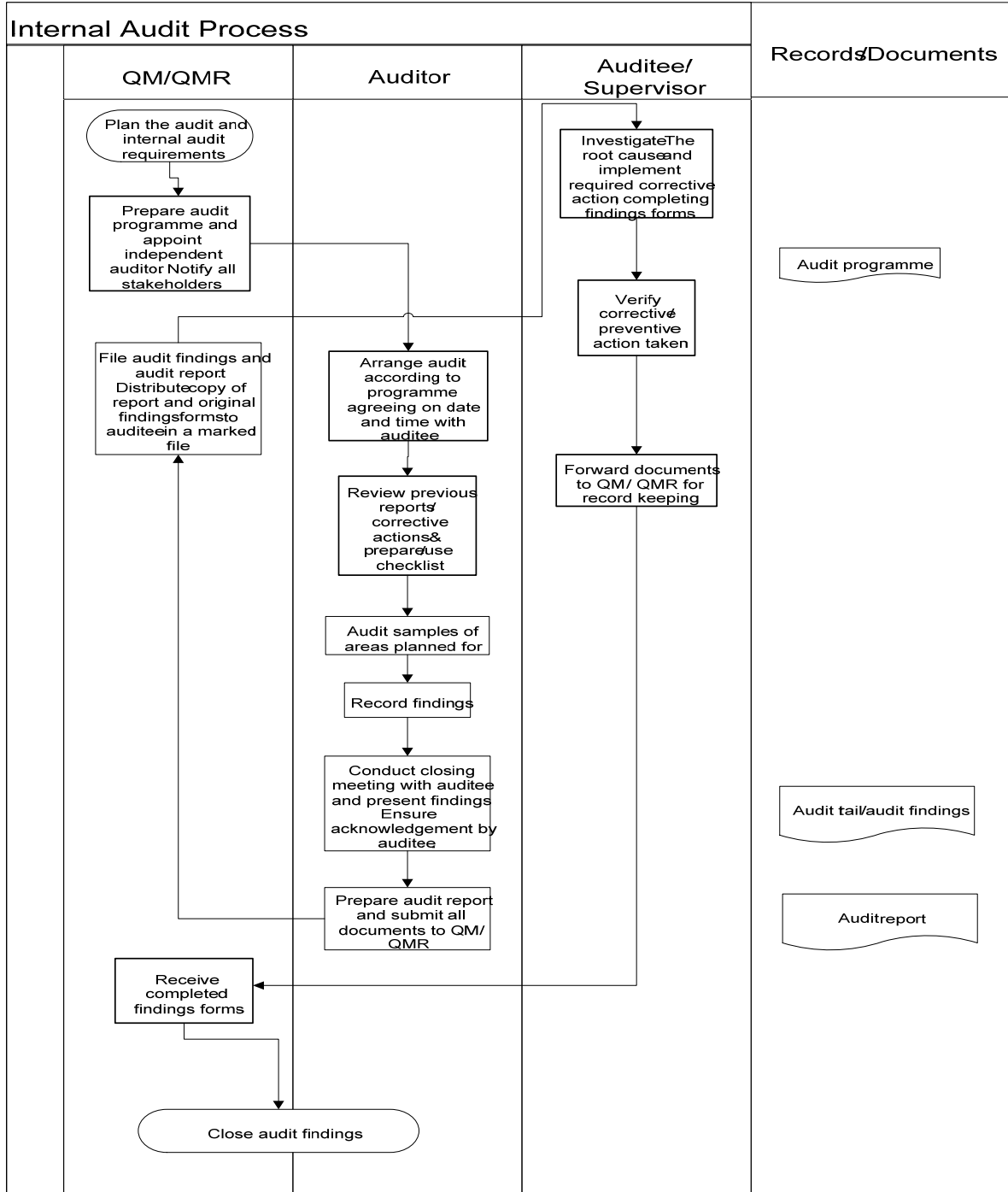
- a) All records as required by this procedure will be maintained as per the Control of Records procedure, 2MP02.doc and the Records Control Policy/Manual. The following records shall be maintained:
 - i. Internal Audit Programme, 2MPF07
 - ii. Internal Audit Trail, 2MPF08
 - iii. Findings Report, 2MPF09
 - iv. Internal Audit Report, 2MPF10

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8. FLOWCHARTS



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9. APPENDICES 1: IDM INTERNAL QMS AUDITOR CRITERION

Introduction

This criterion is designed for those who conduct internal audits of the Institute of Development Management (IDM) quality management system (QMS). It provides guidance and describes how IDM internal auditors are selected and categorized on the basis of appropriate education, auditor training, and audit experience to effectively perform audits in accordance with the ISO 9001: 2008 standard. It also emphasizes on the need to possess the key personal behaviour as outlined in the ISO 19011: 2011 standard.

Auditor Categories

The criteria described in this document are for the following categories:

- Trainee Auditor
- Internal Auditor
- Lead Auditor

Trainee Auditor

This grade recognises that a person has met the formal education and training requirements and is engaged in work that will enable the attainment of experience and auditing skills as a member of a team for advancement to Auditor. This grade also provides a platform to allow persons who are engaged in a technical expert capacity in the field of application to participate in internal audits.

Internal Auditor


This grade recognises that a person has satisfied the criteria to perform all or any part of a QMS – ISO 9001 audit as a member of a team.

Lead Auditor

This grade recognises that a person has been trained to co-ordinate all aspects of a complete QMS audit and to lead and manage an audit team.

Advancement from one category to the next shall be dependent on acquisition of relevant audit experience as guided by Table 1.

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Personal Behaviour

As with all QMS auditors, IDM internal auditors are expected to possess the following key personal attributes:

- Ethical, i.e. fair, truthful, sincere, honest and discreet;
- Open-minded, i.e. willing to consider alternative ideas or points of view;
- Diplomatic, i.e. tactful in dealing with people;
- Observant, i.e. actively observing physical surroundings and activities;
- Perceptive, i.e. is aware of and able to understand situations;
- Versatile, i.e. able to readily adapt to different situations;
- Tenacious, i.e. persistent and focussed on achieving objectives;
- Decisive, i.e. able to reach timely conclusions based on logical reasoning and analysis;
- Self-reliant, i.e. able to act and function independently while interacting effectively with others;
- Acting with fortitude, i.e. able to act responsibly and ethically, even though these actions may not always be popular and may sometimes result in disagreement or confrontation;
- Open to improvement, i.e. willing to learn from situations, and striving for better audit results;
- Culturally sensitive, i.e. observant and respectful to the culture of auditee;
- Collaborative, i.e. effectively interacting with others, including audit team members and the auditee's personnel.

Records


The Quality Manager's office shall maintain a list of all internal auditors with information relating to their qualification, training and experience. The information shall be updated from time to time.

All internal auditors shall maintain an audit log to demonstrate their auditor training and audit experience.

Any records to support the auditor logbook shall be maintained by the Quality Manager as objective evidence.

These documents shall be developed during the current financial year.

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Education, work experience, auditor training and audit experience

Table 1 defines the minimum required competencies for IDM internal auditors in all audit categories to effectively perform internal QMS audits in accordance with ISO 9001: 2008.

Category No.	Education	Work Experience	Auditor Training	Audit Experience
1. Trainee Auditor	Completed at least Secondary Education*	Completed 2 years fulltime or equivalent part-time in any industry	Received at least 40 hours of training in the following: 1. Understanding and Implementation of ISO 9001: 2008 2. ISO 9001:2008 Internal Auditing Course	None
2. Internal Auditor	Completed at least Secondary Education*	1. Five years, or 4 years with a degree or near degree 2. One year of quality work experience	Same as Trainee Auditor	1. Has participated in at least 2 internal QMS audits as an observer 2. Has participated in at least 2 complete internal QMS audits** as a trainee auditor under the direction and guidance of a qualified Lead Auditor.
3. Lead Auditor	Completed at least Secondary Education*	1. Five years, or 4 years with a degree or near degree 2. Two years of quality work experience	Same as Trainee Auditor, and has received at least 40 hours of training in the following: 1. ISO 9001:2008 Lead Auditing Course	1. Has participated in at least 2 complete internal QMS audits** as a trainee auditor under the direction and guidance of a qualified Lead Auditor. 2. Has participated in at least 2 complete internal QMS audits** during which he/she performed the roles and responsibilities of a Lead Auditor (from preparation to reporting).

*Secondary education is that part of the national educational system that comes after the primary or elementary stage, but that is completed prior to entrance to a university or similar educational institution.

**Complete internal QMS audits shall cover the entire audit process from preparation to reporting (refer to ISO 19011: 2011).

Table 1: Example of levels of education, work experience, auditor training and audit experience for IDM auditors conducting internal audits

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