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ISO 9001 internal audit

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Annexes

Goal of the module: To realize an audit according to ISO 19011 so as to be able to:

- verify the conformity to practices and effectiveness of the processes
- determine the effectiveness of the ISO 9001 quality management system
 - help improve the ISO 9001 quality management system

1 Scope

The word audit comes from latin "audire" = to listen.

Audit: *systematic and independent survey to determine whether activities and results comply with pre-established measures and are able to achieve the objectives*

Usually audits are either internal or external.

The internal audits, called also first party audits are a requirement of the ISO 9001 standard (cf. subclause 8.2.2).

The external, customer (or supplier) and certification audits, called also of second and third parties, are not within the scope of this module.

The internal audit is the most widespread tool to check and evaluate the effectiveness of a quality management system (QMS). Its purpose is in no case to find the weak points in personnel. It has entered a company daily life as an inherent part of the quality management system.

Effectiveness: *capacity to realize planned activities with minimum efforts*

It's only through other people's eyes that one can really see one's weakness. Chinese proverb

An audit is done of:

- the quality management system
- a process
- a product
- a service
- a project

Process: *activities which transform inputs into outputs*

The effectiveness audit is a mixed audit - to check whether the quality management system and its processes are efficient.

The internal audit results are part of the inputs of the management review and allow the identification of fields in which to improve the quality management system.

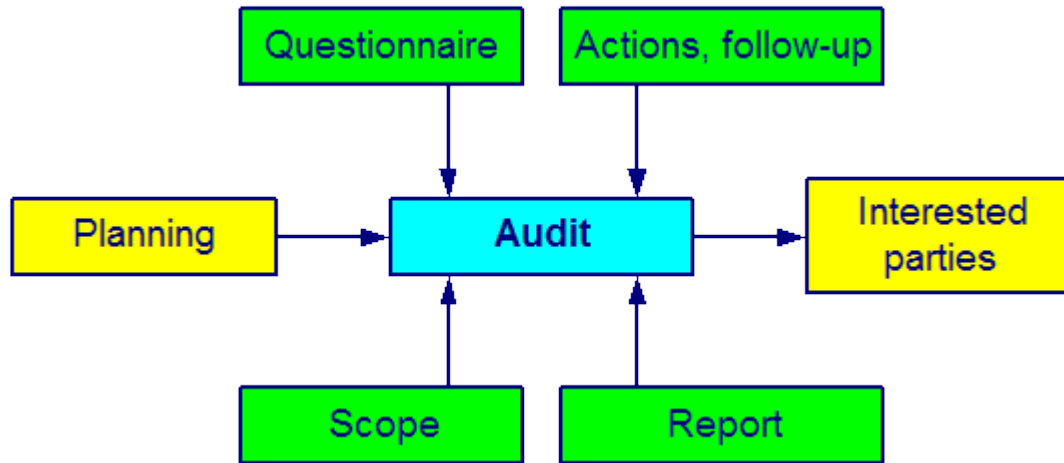


Figure 1. Internal audit process

Interested party: *person, group or company affected by the impacts from an organization*

As shown in figure 1, for the internal audit process, top management (one of the interested parties) is considered as a customer with its objectives, needs and expectations, which are themselves related to the processes, products and customers. At the same time top management is often the audit client.

2 Normative references

The advices given by the ISO 19011 standard can be summarized in the following fields:

- audit principles - clause 4
- audit programme - clause 5
- audit realization - clause 6
- auditor competences - clause 7

A good knowledge of the ISO 9001 standard is required to understand and follow this module.

This module is based on the following generic and international standards:

- ISO 19011 (2002): Guidelines for quality and/or environmental management systems auditing
- ISO 9000 (2005): Quality management systems. Fundamentals and vocabulary
- ISO 9001 (2008): Quality management systems. Requirements
- ISO 9004 (2000): Quality management systems. Guidelines for performance improvements

All these standards and many others can be ordered on the [ISO](#) web site, ISO store services.

3 Definitions

The beginning of wisdom is calling things by their right names. Confucius

Some terms and definitions currently used in this module:

Audit criteria: *everything against which audit evidence is compared*

Audit findings: *every deviation from audit criteria*

Auditee: *everyone who is audited*