

D 39

QSE internal audit

Goal

1 Scope

2 Normative references

3 Definitions

4 Principles

- 4.1 Management principles
- 4.2 Audit principles
- 4.3 Performance of the IMS

5 Audit programme

- 5.1 General
- 5.2 Objectives
- 5.3 Responsibilities
- 5.4 Implementation
- 5.5 Records
- 5.6 Audit programme review

6 Auditing

- 6.1 General
- 6.2 Initiating
 - 6.2.1 Objectives, scope and criteria
 - 6.2.2 Situations and feasibility
 - 6.2.3 First contact
- 6.3 Document review
- 6.4 Preparing the audit
- 6.5 Doing the audit
 - 6.5.1 Opening
 - 6.5.2 Audit evidence
 - 6.5.3 Audit conclusions
- 6.6 Audit report

7 Auditor competences

- 7.1 General
- 7.2 Personal attributes
- 7.3 Knowledge and skills
- 7.4 Training
- 7.5 Auditor evaluation

Annexes

Goal of the module: To perform an audit according to ISO 19 011 so as to be able to:

- improve the capacity to satisfy stakeholders
- verify the conformity to practices and effectiveness of the processes
- determine the effectiveness of the QSE integrated 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*

Audits are mostly internal or external.

The internal audits, called also first party audits, are a requirement of the quality, safety and environmental (QSE) management system standards (cf. ISO 9001 subclause 8.2, OHSAS 18 001, sub-clause 4.5.4 and ISO 14 001, sub-clause 4.5.5),

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 an integrated management system (IMS). 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 QSE management system.

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

An internal audit is of (cf. figure 1-1):

- the QSE management system
- a process
- a product (service, project)

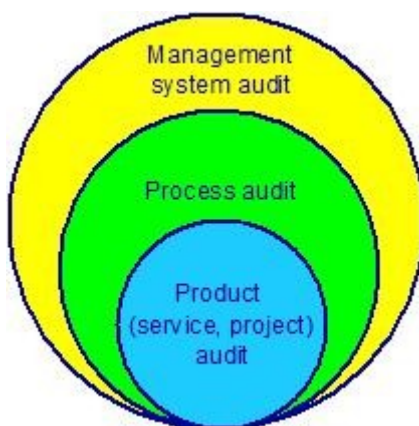


Figure 1-1. Internal audit types

Process: *activities which transform inputs into outputs*

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

No system is perfect

As shown in figure 1-2, for the audit process, top management (via the management review) is considered as a customer with needs and expectations, which are themselves related to

the processes and various requirements. At the same time top management is often the audit client.

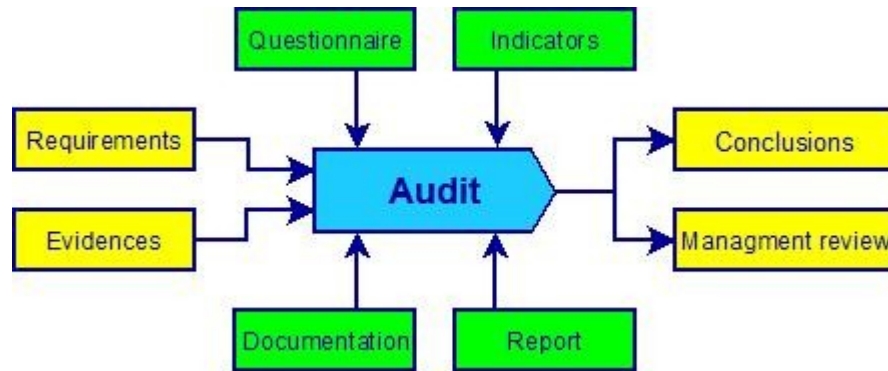


Figure 1-2. Audit process

2 Normative references

The advices given by the ISO 19 011 standard can be summarized in the following fields:

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

A good knowledge of the QSE standards is required to understand and follow this module.

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

- ISO 9001 (2008): Quality management systems. Requirements
- OHSAS 18 001 (2007): Occupational Health and Safety management systems. Requirements
- ISO 14 001 (2004): Environmental management systems. Requirements with guidance for use
- ISO 19 011 (2002): Guidelines for quality and/or environmental management systems auditing

All these standards and many others can be ordered on the [ISO](http://www.iso.org) web site, ISO store services.

3 Definitions

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

The majority of the terms and definitions of the QSE standards are identical. A small part of the terms have slightly different definitions.

Some terms specific to quality:

Customer: anyone who receives a product

Customer satisfaction: top priority objective of every quality management system related to the satisfaction of customer requirements

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

Organization: a structure that satisfies a need

Product (or service): every result of a process or activity