Agenda

- Overview of ISO management systems

- Understanding what is internal auditing

- Benefits of internal auditing from a compliance perspective

- Q&A

Dr Charles Beacroft
NQA Training Manager

Your Presenter

- Completed 1 year as the Training Manager for NQA Certification Ltd

  - Responsible for growth in the NQA Training Business Unit

  - Managing the delivery of training courses for all NQA customers

- Lead Auditor in ISO 9001 and ISO 27001, Internal Auditor in ISO 14001 and ISO 45001

- Completed a PhD at the University East Anglia (UEA), with significant university lecturing and teaching experience at University College London, the London School of Economics, and UEA

- 4 years at Pearson Education, delivering postgraduate online distance learning for thousands of students at seven UK universities

OVERVIEW TO ISO MANAGEMENT SYSTEMS

PROCESS MODEL APPROACH

- Determine the processes within the management system
- Identify inputs and expected outputs
- Determine their sequence and interactions
- Ensure effective controls
- Address risks and opportunities

INPUT → **ACTIVITY** → **OUTPUT**

PLAN-DO-CHECK-ACT
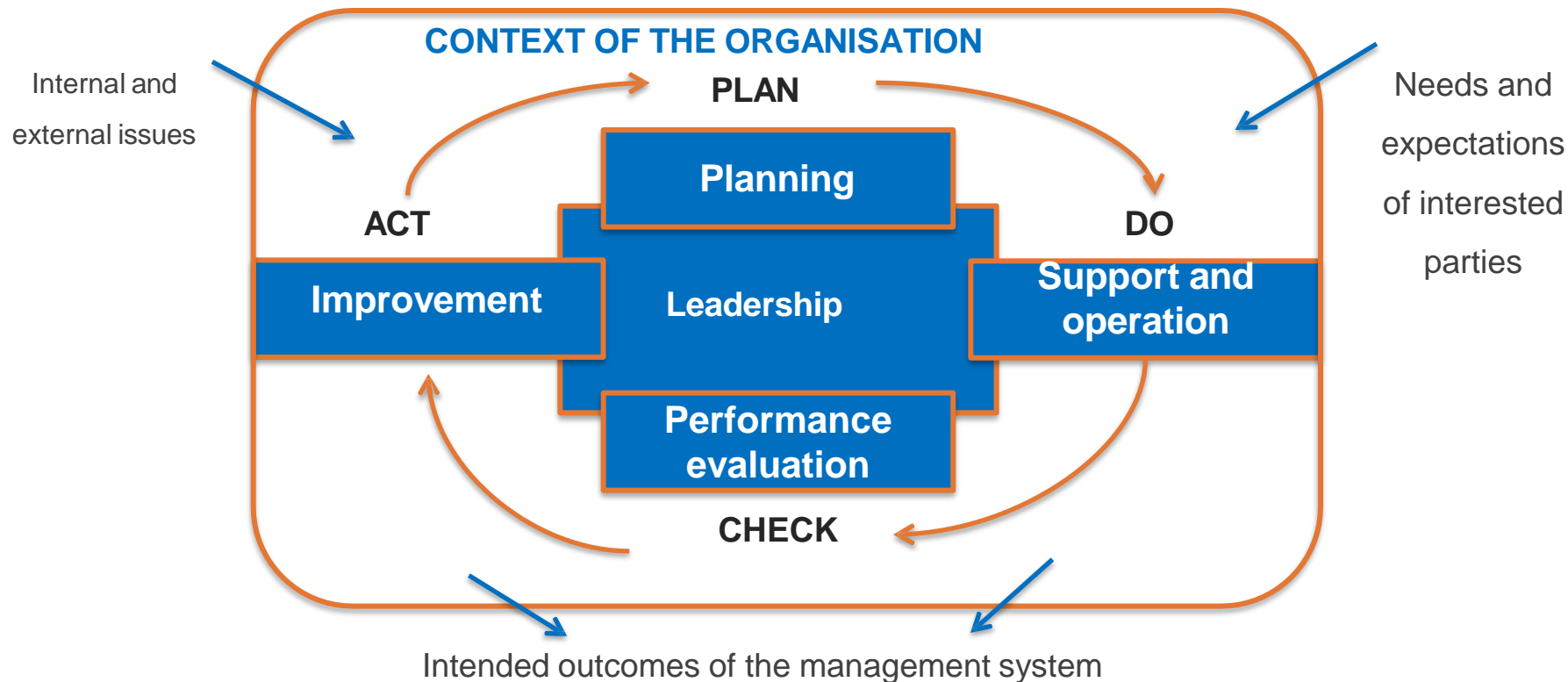
ANNEX SL HIGH-LEVEL STRUCTURE

1. Scope
2. Normative References
3. Terms and Definitions
4. Context of the Organization

Establishes the basis for the management system

5. Leadership
6. Planning
7. Support
8. Operation
9. Performance Evaluation
10. Improvement

Aligned to nearly all ISO management system structures

CLAUSE 9 & 10 OF THE ISO STANDARD

Clause 9 – Performance Evaluation

- 9.1 Monitoring, measurement, analysis and evaluation
- 9.2 Internal audit
- 9.3 Management review

Check

Clause 10 – Improvement

- 10.1 General
- 10.2 Nonconformity and corrective actions
- 10.3 Continual improvement

Act

- A key part of a management system is the emphasis on the use of processes, including organisational, supporting, and operational processes

- All such processes are part of the documented information, which allows for the management system to be monitored

- This fits the requirements set out in Clause 7.5 These documents are essential for conducting internal audits

UNDERSTANDING WHAT IS INTERNAL AUDITING

AUDIT

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

(ISO 14001:2015)

TYPES OF AUDIT

1st party – internal audits

- Audits carried out by an organisation on their own systems.

2nd party – supplier/vendor audits

- Audits carried out by an organisation on their suppliers / sub-contractors.

3rd party – external audits

- Audits performed by an independent body, usually for certification purposes.

INTERNAL AUDIT OBJECTIVES

Audit objectives include:

- Conformance to the standard

- Conformance with their own management system

- Conformance to contract requirements

- Conformance to certification body requirements

- Conformance with compliance obligations

AUDIT PREPARATION – INPUTS
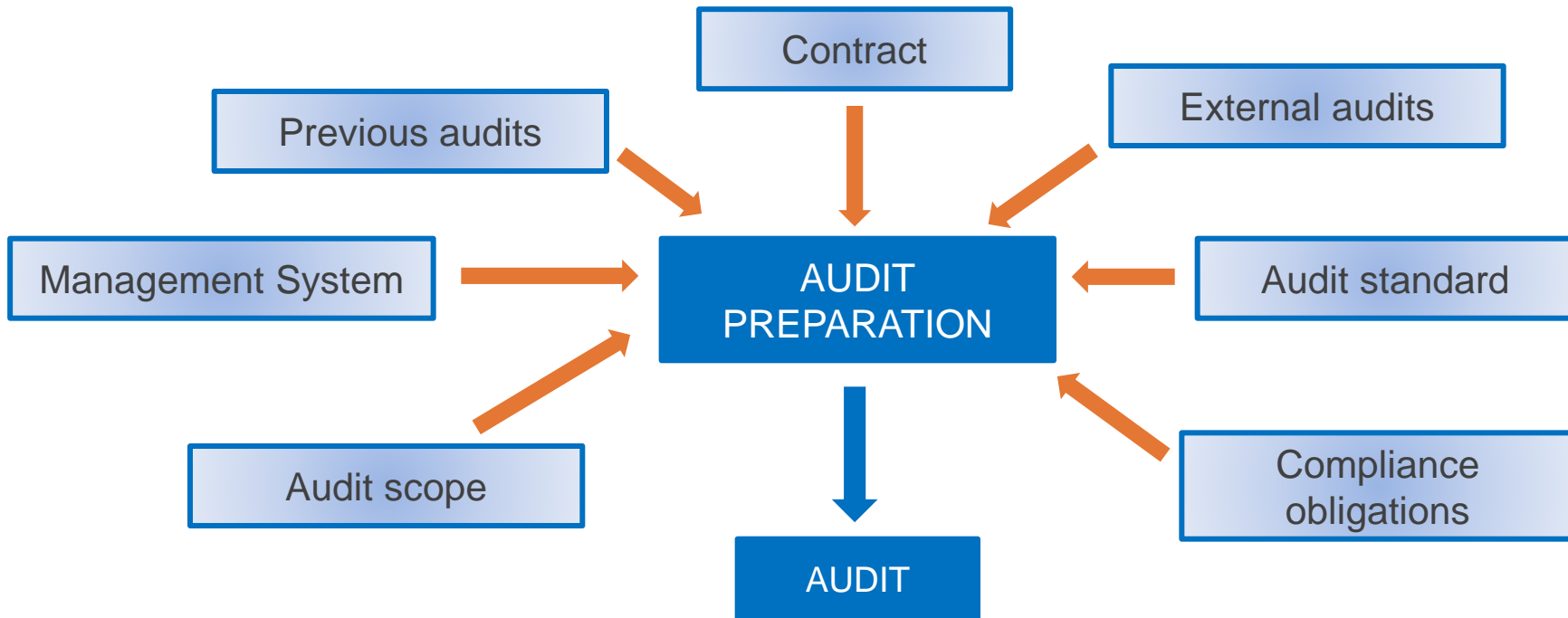
AUDITOR ACTIVITIES

- Conducting an opening meeting

- Following the audit plan

- Asking questions and recording answers

- Collecting evidence

- Assessing evidence against criteria

- Taking notes

- Conducting a closing meeting

AUDIT CHECKLIST

Sheet   of

Area/Procedure(s) audited …………………….   Auditor …………………..   Date …………….

Question/Topic	Ref	Response	Evidence

AUDIT CHECKLIST (CONT.)

Question/topic	Ref	Response	Evidence
Overview of waste processing	-		
Review process	14001 8.1		
Method of receipt and storage			
Stored so as to prevent pollution, litter, spills?	14001 6.1.2		
Tour all waste storage areas and check			
Documentation –	14001 6.1.3		
Evidence of haz/non hazardous			
Detailed descriptions, SIC, EWC codes clear?			
Statutory and regulatory requirements			
Method of disposal clear/specified?	14001 6.2		
Any evidence of recycling in line with obj?			
Identification of waste	14001 6.1.2		
Communication to other departments			
Identified – who and how?			
Communication	14001 7.4		
Who? How? Evidence?			
Handling, storage, identification of waste	14001 8.1		
Competence and training of staff	14001 7.2		
Competence of contractor	14001 7.3		
Waste carrier and disposal permit	14001 6.1.3		
Process in event of loss of control of waste?			

Area/processes audited: Waste Management

Auditor: C. Moore

Date: 17 July

Question/topic	Ref	Response	Evidence
Overview of waste processing	-	Toured the waste storage areas and discussed with Waste Manager.	Generally good housekeeping - Minor littering and oil spills. Observed areas for wood, plastic, oil and chemicals, etc.

Review process
  Method of receipt and storage
  Stored so as to prevent pollution, litter, spills?
  Tour all waste storage areas and check
Documentation –
  Evidence of haz/non hazardous
  Detailed descriptions, SIC, EWC codes clear?
  Statutory and regulatory requirements
  Method of disposal clear/specified?
  Any evidence of recycling in line with obj?
Identification of waste
  Communication to other departments
  Identified – who and how?
Communication
  Who? How? Evidence?
  Handling, storage, identification of waste
	14001 8.1
	
	14001 6.1.2
	
	14001 6.1.3
	
	14001 6.2
	14001 6.1.2
	
	14001 7.4
	
	14001 8.1
		Production deliver waste to relevant areas Segregate to mixed general, haz, liquid, etc. Some minor spills observed in oil storage!
		
		Clear segregation in place in most areas Procedure makes these clear as does signage, i.e., for oil, wood, plastic, etc. Waste matrix provides waste routes Ongoing segregation and recycling figures available for 2015/16.
		
		Emails, posters, memos in place to production displayed to notice board. Toolbox talk on waste delivered February
		
		Training is given at induction, in regular toolbox talks and following incidents, such
			See photos. Some minor spills of oil not cleaned up! Some uncovered skips, i.e., plastic! Chemical and oil waste separated General mixed recyclables skip Wood skip Plastic skips All segregated waste is recycled. Monthly figures seen for 2015/16
			
			Email seen re: oil spills from WM to Production Manager. Topic segregation of waste - 7 pax Incl. D Wood, S Holmes, D Watson. TBT talk register seen for spills

Competence and training of staff Competence of contractor Waste carrier and disposal permit Process in event of loss of control of waste?	14001 7.2 14001 7.3 14001 6.1.3	as spills. Reviewed waste Carriers Permit for Skipitrite Ltd - WCL CB/578543 expires 2018	March - 8 personnel in attendance. Last collection April note number 15879 EWC and SIC clear - OK

REASONS TO RAISE NON-CONFORMITIES

'Non-fulfilment of a requirement'

Ref: ISO 9000:2015

- The audit criteria are not being met e.g.

  - System does not comply with the standard

  - Practice does not comply with their own management system

  - A specific customer contractual requirement is not being complied with

  - Regulatory requirements not being met

CONTENTS OF A NON-CONFORMITY REPORT

Appendix 1: Nonconformity Report

Auditor(s):	C Moore	**Report No:**	ABC17/8/1	**Sheet No** 1 **of** 2	

Department: Stores Keeper   **Auditee manager:** S

Date of audit: 15 August 8.5.2   **Standard ref:** ISO 14001

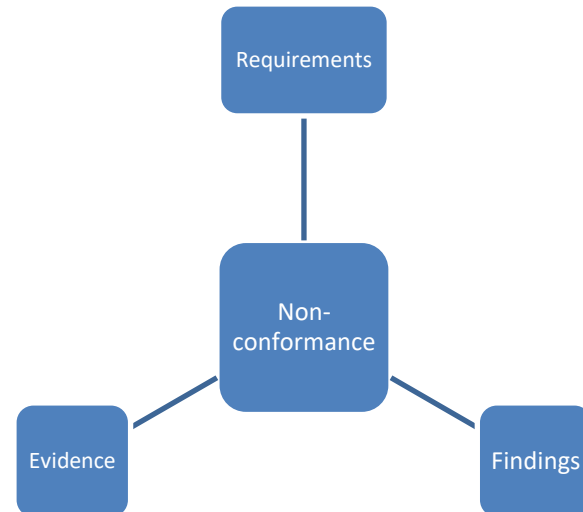**Category**   ~~MAJOR~~ MINOR (Delete one)

NONCONFORMITY/~~OFI~~ (Delete one) – To be completed by the auditor

Not all waste held in stores is clearly identified

e.g.   Oil waste in Area C
Chemical Waste in Area B

Signed (For department): S Keeper   **Signed (Auditor):** C Moore

CORRECTIVE ACTION

Action taken to eliminate the cause of a nonconformity and

to prevent recurrence.

(ISO 9000:2015)

ROOT CAUSE ANALYSIS

- Eliminate the cause of the problem

- Prevent problems from recurring

- Address causes – not symptoms
  - e.g. Re-train workers ➡️ Mistake-proof the process

CORRECTIVE ACTION (To be completed by auditee and to include root cause analysis where applicable)

Identify all waste as required.

Review waste labelling system to establish reason for errors and amend as required.

Signed (For department): **S Keeper**

Signed (Auditor): C Moore

To be completed by: (Date): end of August

Follow-up date: end of Sept

VERIFICATION OF CORRECTIVE ACTION

VERIFICATION (To be performed by auditor, giving details of checks made)

Bar code labelling now introduced and procedure amended to reflect new system.

Operators have been given a toolbox talk on the need for and regulatory requirements related to waste and the importance of storing correctly and clearly identifying such.

All waste checked and found OK, for example batches 1379, 1568 and 1782

Corrective action complete and satisfactory: C Moore   **Date:** 30 Sept

INTERNAL AUDITS – COMPLIANCE BENEFITS FOR YOUR ORGANISATION

BENEFITS OF INTERNAL AUDITS

Health Check

- Effective means of conducting a 'health check' on your organisation

- If done correctly, they are an objective, evidence-based review of your organisation's adherence to the relevant ISO standard and the compliance obligations
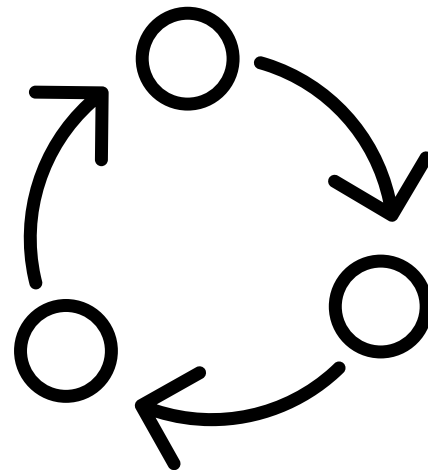
Compliance

- Ensures that the system complies with both the requirements of the organisation, the ISO standard, and other relevant regulations

- If internal audits are not completed to the required standard, the organisation may lose its ISO standard certification which would be a significant risk to the organisation's model and aims

Continual Improvement

- Internal audits help organisations create a culture of continual improvement through reviewing processes, assessing nonconformance and suggesting improvements to the performance of the management system

BENEFITS OF INTERNAL AUDITS

Change Management

- Internal audits allow for positive, productive change to occur with an organisation, especially if it is needed to improve a process to meet compliance requirements

Risk Management

- Internal audits ensure that organisations are recording, assessing, and sufficiently mitigating risks within an organisation, with effective risk management essential for the success of an organisation's management system

Process vs. Individuals

- ISO requirements focus on processes over individuals, with internal audits focusing on the establishment of robust processes which remove single points of failure within an organisation

BENEFITS OF INTERNAL AUDITS

Internal vs. External

- Internal audits are usually completed annually (dependent on the risk level), as opposed to once every two to three years for external audits

- Internal audits provide a more accurate account of an organisation's compliance to the standard and its own processes, delving in more deeply than an external audit

- Effective means of improving the management system, with the results of internal audits essential for pushing the business forward on a regular basis

ORGANISATIONAL REQUIREMENTS FOR THE EFFECTIVE USE OF INTERNAL AUDITORS

- To ensure that internal auditors can bring the most value to an organisation, it is essential that the following steps are taken by organisation to ensure they have the most impact.

Formal training of Internal Auditors	Experienced and Knowledgeable Internal Auditors
Supported by Top Management	Collaboration with all Employees of an Organisation

CONCLUSION

CERTIFICATION AND TRAINING SERVICES

We specialize in management systems certification for:

QUALITY

AEROSPACE
(QUALITY)

AUTOMOTIVE
(QUALITY)

SUSTAINABILITY

ENERGY

HEALTH AND
SAFETY

INFORMATION
RESILIENCE

FOOD SAFETY

RISK
MANAGEMENT

MEDICAL
DEVICES

NQA INTERNAL AUDITOR TRAINING

CQI and IRCA ISO 9001 Internal Auditor Training (A17931)

Virtual - Tutor Led (Quality)

🕓 2 Days   ⚊ Level 2 – Intermediate

NQA ISO 14001 Internal Auditor Training

Virtual - Tutor Led (Environmental)

🕓 1 Day   ⚊ Level 2 – Intermediate

CQI and IRCA ISO 27001 Internal Auditor Training (A2574)

Virtual - Tutor Led (Information Security)

🕓 2 Days   ⚊ Level 2 – Intermediate

FURTHER SUPPORT

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