WHY ARE AUDITS SO IMPORTANT?

Regular audits are key to improving business performance in all industries and can facilitate the achievement of many other goals that a particular organization may have in their sights. One of the main reasons that audits should be carried out on a regular basis is to ensure that corporate quality management systems are ISO 9001 compliant. In fact, the audits themselves are a requirement of this international QMS standard, which means external audits must be carried out annually. It is a good idea to hold internal audits on a more frequent basis, to make sure that standards are maintained in between the external audits.

The Four Phases of an Internal Audit

There are four main phases to an internal audit: Preparation, Performance, Reporting, and Follow Up. The first two of these phases can be broken down into a series of smaller steps.

PHASE 1 – PREPARATION

Preparing for an audit involves six key steps:

1. NOTIFICATION
   Notifying the auditee and discussing the scope, objectives, criteria, and methods of the impending audit.

PHASE 2 – PERFORMANCE

For the performance of the audit, there are four steps that need to be taken – including an opening meeting, conducting audit, an audit team meeting and ending in a closing meeting.

1. AN OPENING MEETING
   Before the audit starts in earnest, the team should be introduced to the lead auditor, primary objectives discussed, and overall expectations agreed upon.

2. CONDUCTING AN AUDIT
   Findings are evaluated during this meeting, all relevant concerns discussed, solutions to any problems proposed, and any departure from approved procedure documented. Audit findings will also cover determined controls, documented requirements, and achievements of required outputs for the customers of the process.

3. AUDIT TEAM MEETING
   An attendance list is created, after which key topics and questions relating to the audit are discussed. Finally, a summary of the audit is presented and the auditor is thanked for their cooperation and assistance.

PHASE 3 – AUDIT REPORTING

Several days after the audit completion, a report is finalized, signed by the auditor, and presented to the auditee. The report will include a summary sheet with the audit number, objectives, name of auditor, list of nonconformities and any relevant observations.

PHASE 4 – FOLLOW UP

Follow up audits are required to ascertain whether the auditee has taken appropriate action to rectify any nonconformities that were identified during the main audit. These follow-up audits should be carried out, performed, and reported using the same lines as the original audit, to ensure their effectiveness.