

ENERGY SECTOR EDUCATION AND TRAINING AUTHORITY

QUALITY MANAGEMENT SYSTEM **AUDIT POLICY**

POLICY

Internal audits play a vital role in the success of a Quality Management System. They are used to assess the effectiveness of the system.

The results of these audits form an important part of the ESETA management system and together with management reviews, these audit results provide some of the necessary information to ensure that continuous improvement takes place.

The audit process examines the control of the quality management system as well as the internal administrative processes that are used to provide services to our stakeholders.

The QMS representative is responsible for managing the internal audit process.

AUDIT SCHEDULE

- The QMS representative manages the audit schedule.
- Audits are must be conducted at least once a year, but it is preferable that an informal audit is conducted at six-monthly periods.
- The schedule must be kept electronically.
- Each key area of ESETA must be audited at least once annually.

AUDITORS

ESETA may wish to use external auditors to conduct the annual audit. It is recommended that certified quality auditors are used.

If an internal auditor is used, then it is recommended that this individual is a senior staff member with a sound experience of ESETA operations.

PROCEDURE

The internal or external auditor will notify the leader of the area to be audited at least 10 working days prior to the internal audit.

The auditor will develop an audit plan, which includes the documentation to be audited, a checklist of items to review, and sample questions to ask.

The leader will be briefed prior to the audit to discuss the purpose and requirements of the audit, identify all points of contact, and discuss any other concerns.

The audit will be conducted to establish the following:

- the process is identified and appropriately defined
- responsibilities are assigned
- procedures are implemented and maintained
- the process is effective in achieving the desired results.

The schedule (Annexure A) should be used to summarise the findings.

Where necessary, supporting documents should be provided to verify that the above-mentioned issues are compliant with QMS principles. The audit will include the scheduled subject and any follow up audits required to verify corrective actions from previous audit findings. Any discrepancy relating to the quality system may be investigated.

REPORTING OF FINDINGS

All audit findings must be brought to the attention of the leader and a written report submitted to the CEO of ESETA. This report must be tabled with the ESETA QMS committee. Critical findings having a direct impact on the quality of the product must be acted upon within three working days of the report. All completion dates must be agreed to by the leader of the area audited and the auditor.

AUDIT CHECKLIST

Annexure A

Department/team _____

Date ____/____/____

Process name	Documentation exists Y/P/N	Responsibilities defined Y/P/N	Procedures followed Y/P/N	Process effectiveness Y/P/N	Findings

Signed: Auditor

Date: ____/____/____

Signed: Unit leader

Date: ____/____/____