SECTION S14 - QUALITY & ENVIRONMENTAL MANAGEMENT SYSTEM AUDIT

OBJECTIVE

To ensure the authorised Quality and Environmental Management System Procedures are understood, being implemented correctly and are effective.

The scope shall cover internal audits of the Quality and Environmental Management Systems.

RESPONSIBILITIES

The QE Manager shall maintain a programme of internal audits, nominate auditors, review the results, ensure follow-up on non-compliance and reporting to the Managing Director on the state of the Quality and Environmental Management Systems.

The Auditor(s) shall ensure that non-compliance to the Quality and Environmental Management System Procedures are corrected.

The QE Manager shall authorise the internal audits and nominate the internal auditors.

PROCEDURES

1. Audit Programme

The QE Manager shall prepare an annual audit programme, which indicates the schedule of the audit and the month in which each element of the Quality and Environmental Management Systems is forecasted to be investigated.

The audit shall cover surveillance of all authorised Quality and Environmental Management System Procedures.

At the QE Manager discretion, supplementary audits may be called for in areas of demonstrated problems.

The Quality and Environmental Management System Procedures and audit programme are themselves subject to periodic audits by external auditors.

Internal audits shall cover sites.

2. Audit Procedures

The audit procedure shall be as follows:

(a) The QE Manager shall notify the Project Director, Project Managers and internal auditors indicating the details of the audit, i.e., scope and time-scale of audit. The notice shall be issued not less than 3 days.

(b) Interviews with project staff at their work place and examination of documentation based on Internal Audit Questionnaire prepared by the auditor.

(c) Audit findings shall be recorded on the Internal Audit Questionnaire and Notice(s) of Non-Compliance raised for each non-compliance.

(d) Each Notice of Non-Compliance is to carry a confirmation signature from the auditee.

The auditor and auditee shall propose an action required to provide a solution to the Non-Compliance.

(e) At the end of the audit, the auditor shall give a verbal summary of the findings.

(f) The audit report shall be in the form of an Internal Memorandum with the relevant Questionnaire marked up by the auditor, accompanied by the relevant Notices of Non-Compliance. This memo shall briefly state:

(i) Date of audit and auditor
(ii) Reference number
(iii) Project title
(iv) Location and scope of audit
(v) Number of Notice of Non-Compliance raised
(vi) Brief outline of any significant deficiencies, with any observation and comments, not just to repeat details already included in the questionnaire or the Notice of Non-Compliance
(vii) Proposed date of the next programmed audit or any follow-up audit.

The audit report shall be signed by the auditor and reviewed by the QE Manager and then circulated to:

- Directors
- Project Team Members

(g) The auditor shall discuss the non-compliance with the relevant personnel concerned and decide upon the corrective action and recorded in Section 2 of the Notice of Non-Compliance together with a completion date.

(h) The auditor shall ensure that the corrective action is completed within the required time stated.

(i) The auditor shall advise the QE Manager that the corrective action has been satisfactorily completed by returning a copy of the Notice of Non-Compliance, carrying the confirmation signature of the Project Director or report if the corrective action has not been completed.

(j) Any unresolved difficulties shall be referred to the QE Manager.

(k) At the end of an audit, the QE Manager shall consolidate all the non-conformances found. The summary of all the non-conformances shall then be distributed to all the Project Directors for their action or information.

(l) The QE Manager shall report on any outstanding matters to the Managing Director at the Management Review Meeting.

(m) The QE Manager shall be responsible for maintaining a register of internal audits.

3. Records

The QE Manager shall maintain the following records:-

(a) Audit Programme

(b) Audit Reports

REFERENCE

Form S14.A - Internal Audit

Form S14.B - Internal Audit Questionnaire

Form S14.C - Notice of Non-Compliance

Form S14.D - Internal Audit Report Memorandum

Form S14.E - Register of Internal Audit