

Types of audits

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Component 3: Quality and metadata
Activity 3.9: Quality Audit – I

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Definition of audit

An audit is a systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which the audit criteria are fulfilled

from “ISO 19011: 2011 – Guidelines for auditing management systems”

Such an activity can assume different features (objectives, internal vs external auditors, ...)

Common trait of the different types of auditing is the purpose of check and review in order to improve

The results include a summary of the objectives, reason for conducting review, individuals involved (including external advice), list of recommendations, list of areas and proposals for improvement (with priorities where possible)

Some types of audit

Statistical processes and products audits

- Statistical processes

- Quality dimensions

- Methodologies

- Oriented to identify «best practices»

IT audits

Other types of audits

- Iso norms audits

- EFQM/TQM audits

- Financial audits

Statistical processes audit: main features

The focus is on the key processes and their compliance towards the organization's standards.

It requires the identification of the responsible of the process or of the sub-processes. Representatives of the main users/stakeholders can be consulted.

Frequency and details of the analyses may depend on how important the process is.

Quality dimensions audit: main features

The focus is on the products/outputs and the quality components

- Relevance
- Accuracy
- Timeliness and Punctuality
- Accessibility and Clarity
- Coherence and comparability

System of standard quality measures and internal or external quality targets (e.g. from regulations)

Methodological audit: main features

The focus is on the methodologies and the generalised software implementing them (see IT audit)

Difficult to extend to whole statistical process, thus it is generally related to single phases or aspects of the production process, e.g. sampling, editing and imputation, estimation, ...

Methodological standards are required (very demanding)

Oriented to identify «best practices»

The attention is toward the identification of best practices as opposed to the identification of improvement areas in the audited process

The “best practices” are spread and shared within the organization with the aim of extend their application

Applicability is ensured to small/short processes as this type of audit implies a high level of staff involvement.

IT Audit

Two different approaches

- Oriented to centralized services: evaluation of the quality of the IT (information technology) processes relied on the internal clients for their opinion
- Oriented to evaluate compliance towards production IT standards in the decentralised production processes

Audit based ISO norms

ISO 19011:2011

This International Standard provides guidance on auditing management systems, including the principles of auditing, managing an audit programme and conducting management system audits, as well as guidance on the evaluation of competence of individuals involved in the audit process, including the person managing the audit programme, auditors and audit teams..

Audit based ISO norms

ISO 19011:2011

These audits can be conducted either internally or externally:

- The internal audits are conducted with the purpose of reviewing the quality system and internal objectives, and are led by a team of internal quality auditors;
- The external audits are conducted either by stakeholders or other parts that have interest in the organisation, or by an external and independent auditing organisation that certifies that the quality and/or environmental systems are according to the prerequisites of the ISO 9001 and ISO 14001, respectively (in this last case it might mean that the organization is applying for a quality certification according to the ISO standards).

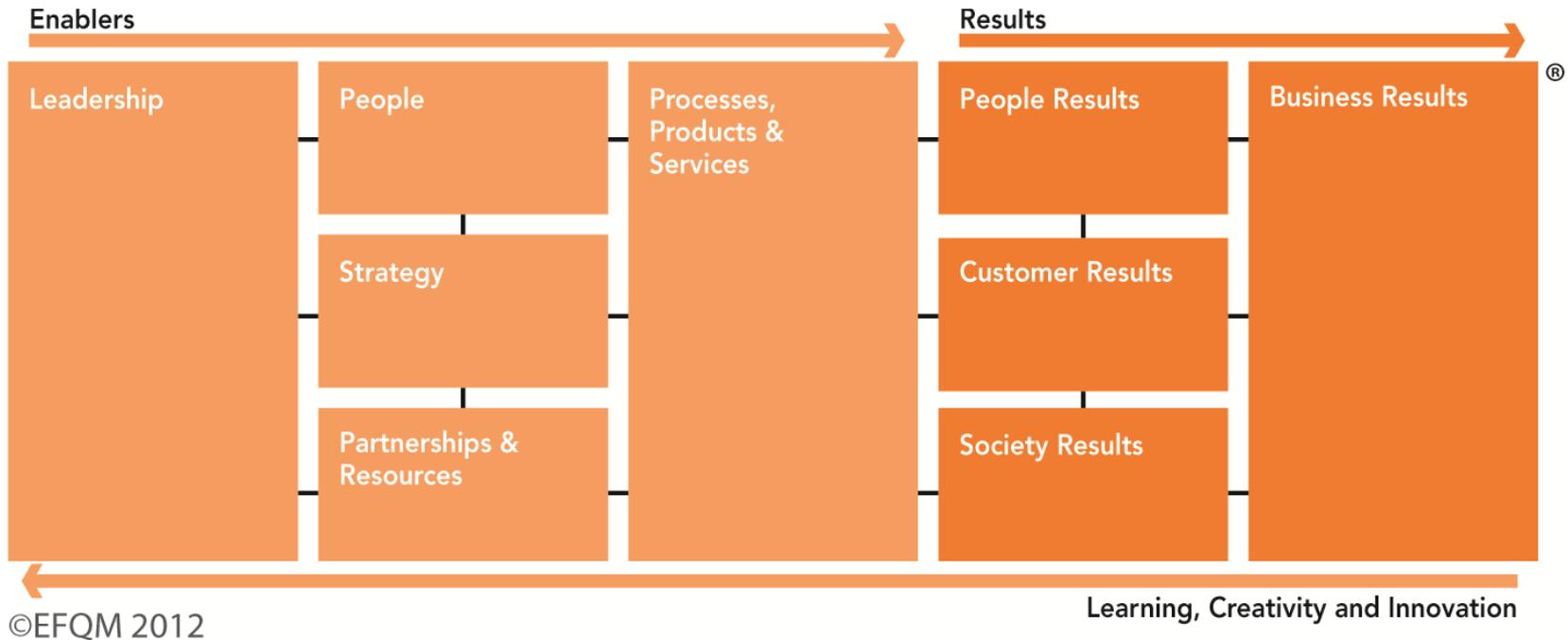
European Foundation for Quality Management (EFQM) audit

A system for the evaluation of the quality of the organisation according to the EFQM Excellence Model (European Foundation for Quality Management). On the basis of these audits improvements of the process and the results can be proposed.

The EFQM model may be applied by an organization as an exercise of self-assessment, made by an internal team; or in case the organization wants to apply to the European Excellence Award. It can be applied to the whole organization, or to a small part like a single Department.

European Foundation for Quality Management (EFQM) audit

EFQM excellence model



EFQM audit Common Assessment Framework (CAF)

Result of the co-operation among the EU Ministers responsible for Public Administration (last edition 2013)

Free tool, inspired by TQM and EFQM excellence model, aimed at supporting European public-sector organisations in using quality management techniques to improve their performance.

The model is based on the premise that excellent results in organisational performance, citizens/customers, people and society are achieved through leadership driving strategy and planning, people, partnerships, resources and processes.

It represents a **holistic approach** to organisation performance analysis.



EFQM audit

Some Quality management models: **Common Assessment Framework (CAF)**

Main objectives

1. To introduce public administrations into the culture of excellence and the principles of TQM;
2. To guide them progressively to a mature PDCA (PLAN, DO, CHECK, ACT) cycle;
3. To facilitate the self-assessment of a public organisation in order to obtain a diagnosis and a definition of improvement actions;
4. To act as a bridge across the various models used in quality management, both in public and private sectors;
5. To facilitate bench learning between public sector organisations.

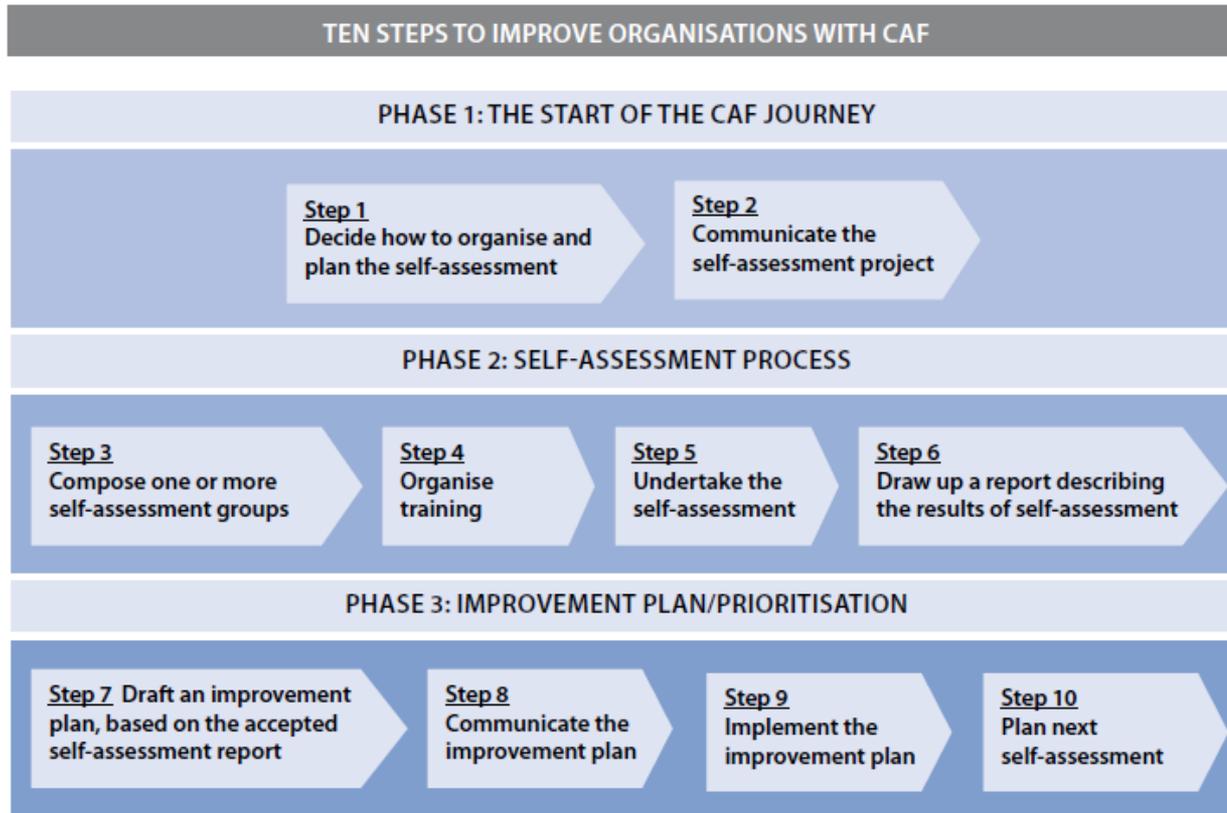
Main results

1. Identification of strength and weaknesses and of improvement areas and relative improvement actions
2. Objective evaluation throughout scoring systems

EFQM audit Common Assessment Framework (CAF)

The CAF journey

A 10-step implementation plan has been developed to help organisations use it the CAF in the most efficient and effective way



Financial audits

Out of the scope of statistical assessment

Suggestions for process audit

Scopes should be clearly identified and the related issues are to be addressed

A review should be transparent and all information concerning the methods used should be available. The review process should include representatives from producers, users and stakeholders.

Outputs/results should include a summary of the scope and objectives, reason for conducting review, individuals involved (including external advice). List of recommendations, list of areas and proposals for improvement, prioritized where possible.