

Istat Auditing and self-assessment

The procedure

EU Twinning Project JO/13/ENP/ST/23

23 -27 November 2014

Component 3: Quality and metadata

Activity 3.9: Quality Audit – I

Mrs Giovanna Brancato, Senior Researcher,

Head of Unit “Quality, Auditing and Harmonization”

Department for Integration, Quality, Research and Production Networks Development, ISTAT

Mrs Orietta Luzi, Chief of Research,

Head of Unit “Methods and Techniques supporting the Statistical Production”

Department for National Accounts and Business Statistics”, ISTAT

The procedure in short

	Audit	Self-assessment
Who	Team of 3/4 experts (auditors)	Survey manager
How	<ul style="list-style-type: none"> - Study of preliminary docs (quality reports: process and products; both compiled using the data and metadata stored in the SIDI/Siqua system) - Auditors interview the survey manager using the audit questionnaire 	<ul style="list-style-type: none"> - The survey manager fills-in the self-assessment questionnaire
Output	<p>Final report (3-5 pages):</p> <p><u>Part 1 & 2</u>: Results of the audit (team of auditors)</p> <p><u>Part 3 & 4</u>: Improvement actions and good practices (survey manager)</p>	<p>Final report (3-5 pages):</p> <p><u>Part 1 & 2</u>: Results of the self-assessment (survey manager)</p> <p><u>Part 3 & 4</u>: Improvement actions and good practice (survey manager)</p> <p>revised by 1 reviewer</p>
Result implementation	Improvement actions are included in the Annual Plan of Activities	Improvement actions are included in the Annual Plan of Activities

Step 1: Auditors pool and Processes selection

Every beginning of the year, within the Quality committee

Request to the production, methodological and IT units of staff to be included in the auditors and reviewers pool

- Auditors/reviewers are in charge for two years (but can be confirmed)
- Auditors/reviewers are not allowed to carry out more than an audit per year

Request to the production units of processes to undergo:

- auditing → a subset will be audited also for IT elements
- self-assessment

Activities done during the Quality Committee meeting

- Matches selected process with teams of auditors or reviewers (self-assessment)
- Appoint a member of the Quality Committee as supporting the reviewers

Step 2: Communication and training

Members of the Unit on Auditing, Quality and Harmonisation (SQC/B):

- Meet the survey managers of the selected processes separately (auditing and self-assessment)
- Provide to the survey managers all the relevant material
- Supply one-day course for the auditors and one-day course for the reviewers involved in self-assessment (auditing and self-assessment procedure)

Step 3: Kick off

Survey managers:

- Analyse the material: guidelines, questionnaires, templates, procedure
- Set up the documentation supporting the evaluation activity of the auditors: process report, product report (auditing only)
- Fill in the self-assessment questionnaire (self-assessment only)

Step 4: Auditing Interview

Auditing teams:

- Study the supporting documentation: process report, product report
- Interview the survey managers (and collaborators)
- Draw an Final Evaluation Report with strengths and weaknesses

Step 5: Improvement actions and best practices

Survey managers:

- Draw a Final Evaluation Report with strengths and weaknesses and with improvement actions and good practices (self-assessment only)
- Complete the Final Evaluation Report with improvement actions and good practices (auditing only)

Reviewers and auditors:

- Check coherence in the Final Evaluation Reports btw strength and weaknesses on the one side and good practices and improvement actions on the other side

Step 6: Hierarchical approval

Central Directors:

- Receive the Final Evaluation Reports of the surveys of his/her directorate and approve improvement actions

Quality Committee:

- Discusses the Final Evaluation Reports and approve/not approve the improvement actions
- Analyses the good practices

Step 7: Improvement actions & communication

Survey managers:

- Decide the improvement actions to be included in the next operational annual plan and communicate to the (SQC/B) those that are postponed

Quality Committee:

- Develops a summary report on the Auditing and Self-assessment procedure, with the improvement actions and presents it to the members of the Innovation and Research Committee (chaired by Istat President and the members are Istat Directors)

Step 8: Follow up and dissemination

Quality Committee:

- Through-out its members, discusses proposals to face cross-sectional issues (e.g. needs for training, support in the centralised dissemination phase, ...)

Members of the Unit on Auditing, Quality and Harmonisation (SQC/B):

- Update the Websites for transparency
- Check the implementation status of the improvement actions in the monitoring system of the annual plan

Scheduling of the activities: timetable

Activity	Description	Timetable (2014)	Duration (months)
Step 1	Auditors pool and Processes selection	January 10 - February 15	1,5
Step 2	Communication and training	February 15 - March 15	1
Step 3	Kick off	March 15 – April 15	1
Step 4	Auditing Interview	April 15 – May 15	1
Step 5	Improvement actions and best practices	May 15 – May 31 (audit) April 15 – May 15 (self-ass)	0,5
Step 6	Hierarchical approval (subject matter directors)	May 31 – June 15 (audit) May 15 – May 31 (self-ass)	0,5
	Hierarchical approval (Quality Committee)	September 1 - 30	1
Step 7	Improvement actions & communication	September 1 - 30	
Step 8	Follow up and dissemination	Beginning next year	

6,5