
Overview

This standard is about ensuring that all the processes of your organisation comply with quality systems. It covers planning to audit quality systems, implementing this plan and providing a report on the organisation's overall compliance with its quality systems.

There are three elements

1 Plan to audit compliance with quality systems

This includes agreeing the scope and objectives of the audits with relevant people. You need to identify areas of non-compliance with quality systems and the associated risks to the organisation. You must agree a programme of audits which prioritises the areas of greatest risk, and develop people competent to carry out the audits.

2 Implement the audit plan

This includes allocating audits to the team. You need to give the team the support it needs, report on progress, and make any necessary adjustments to the audit programme.

3 Report on compliance with quality systems

This includes evaluating the results of quality audits and the corrective actions agreed. You need to report your findings and advise relevant people of the risks associated with any non-compliance found. You need to give feedback to those whose performance was audited. You need to evaluate the performance of the auditors and implement appropriate continuing development of their competence.

Performance criteria

You must be able to:

Plan to audit compliance with quality systems

- P1 identify processes in the organisation where there is a risk of non-compliance
- P2 identify the risks to the organisation of non-compliance with quality systems in each of the organisation's processes
- P3 agree the scope and objectives of the audits with relevant people
- P4 agree with relevant people a programme of audits which prioritises areas of greatest risk of non-compliance
- P5 develop a sufficient number of competent people to carry out the programme of audits
- P6 develop a programme of audits which complies with the organisation's quality policies and procedures

Implement the audit plan

You must be able to:

- P7 allocate audits to people, taking account of their expertise and experience
- P8 provide support and advice to auditors to allow them to work effectively yet autonomously
- P9 monitor the progress of audits against the plan and take appropriate corrective action in the event of variations
- P10 provide relevant people with regular reports of progress against the plan

Recommend improvements to quality assurance systems

You must be able to:

- P11 evaluate the results of quality audits against
 - P11.1 the organisation's quality objectives
 - P11.2 relevant standards
 - P11.3 legal requirements
 - P11.4 industry best practice
- P12 review the appropriateness of the corrective action agreed to deal with discrepancies found during audits
- P13 report findings of your evaluation to relevant people in accordance with organisational requirements
- P14 give feedback to those whose performance was audited which focuses on the positive aspects of their contribution
- P15 assess your auditors' performance and implement appropriate development activities
- P16 forward details of proposed change to the responsible line manager, where service delivery improvements are identified
- P17 take appropriate action to inform relevant people of actual and potential risks

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Knowledge and understanding

You need to know and understand:

- K1 how to assess the relative risks of non-compliance with quality systems
- K2 the principles and processes of effective communication
- K3 how to present progress reports
- K4 how to report your findings
- K5 how to give feedback in a way which enhances confidence and commitment
- K6 the relevant structures, responsibilities and processes within the organisation
- K7 the people within the organisation, with whom you must agree the scope, objectives and programme of audits
- K8 the organisation's quality policy and procedures
- K9 the organisation's requirements for reporting on compliance with quality systems
- K10 the principles and practice of quality auditing
- K11 how to assess which of the organisation's processes are likely not to comply with quality systems
- K12 the knowledge and skills required by those who will carry out quality audits, and how to assess and develop these skills and knowledge
- K13 how to monitor activities against plans, identify significant variations and decide on appropriate corrective action
- K14 how to evaluate the results of quality audits against:
 - K14.1 the organisation's quality objectives
 - K14.2 relevant standards
 - K14.3 statutory requirements
 - K14.4 industry best practice
- K15 how to assess the appropriateness of corrective actions agreed
- K16 how to allocate work to a team based on their expertise and experience
- K17 how to identify and provide the support, advice and development for people to work effectively

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