PURPOSE

The purpose of this process is to ensure that the Quality Management System (QMS) is audited on an ongoing basis to ensure it is effectively implemented, maintained and improved.

PROCEDURE

The Office of the President recognises the importance of quality audits in our effort to continually improve our QMS. In addition to the procedure outlined below, the Office of the President staff also participates in the ‘QMS Auditing Process for UL Support Divisions’.

Audit Schedule

It is the responsibility of Quality Officer to create an annual audit schedule for the Office of the President. Each documented process of the QMS is audited once a year. Where possible, auditors should not audit their own processes. The audit schedule is presented to the management team for approval at the annual review of the QMS.

The Audit Team

Staff from across the three units of the Office of the President are trained as QMS auditors. Where possible, the team is rotated every three years. The audit team is published as part of the Audit Schedule on the Office of the President website.

Conducting the Audits

It is the responsibility of the auditor to check the audit schedule and arrange with the auditee a suitable time/location for the audit within the month defined. Prior to the audit, the auditor must read the previous audit report, and check the status of any audit recommendations. The auditor will use the documented procedure to develop a checklist of questions for use during the audit. A standard template for the audit checklist is available on SharePoint.

The following should be discussed during every audit, in addition to the prepared questions:

- Has any risk been identified with this process?
- Is the procedure effective?
- Can anything be done to improve the procedure?

After the Audit

On completion of the audit, the auditor must complete the Audit Report. The audit report should include objective evidence for any of the recommendations made. A standard template for the audit report is available on SharePoint. Complete audit reports are filed on SharePoint in addition to the completed checklist. A copy of the audit report is sent electronically to the auditee and the Executive Administrator, Quality Support Unit. The Executive Administrator will load all reports onto SharePoint and record each recommendation in the quality improvement plan (QIP). Progress on the completion of audit actions is monitored by the Quality Team.
QMS Audit / Self-Assessment Process

RECORDS

All records of audits (reports and checklists) are stored on SharePoint for a period of 3 years. The Office of the President operates in accordance with the University’s Records Management and Retention Policy.

PROCESS VERIFICATION

Evaluation of process effectiveness is carried out using a combination of QMS audits / self-assessments and inter-department audits.

<table>
<thead>
<tr>
<th>Revision No.</th>
<th>Date</th>
<th>Approved by:</th>
<th>Details of Change</th>
<th>Process Owner</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Nov '15</td>
<td>Director of Quality</td>
<td>Initial Release</td>
<td>Quality Officer</td>
</tr>
<tr>
<td>2</td>
<td>Dec '15</td>
<td>Director of Quality</td>
<td>Minor process updates following QMS audit.</td>
<td>Quality Officer</td>
</tr>
<tr>
<td>3</td>
<td>Apr '16</td>
<td>Director of Quality</td>
<td>Process updated following QMS audit.</td>
<td>Quality Officer</td>
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<tr>
<td>4</td>
<td>July '16</td>
<td>Director of Quality</td>
<td>Changed title to QMS Audit / Self-Assessment Process for consistency.</td>
<td>Quality Officer</td>
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<tr>
<td>5</td>
<td>Mar '18</td>
<td>Director of Quality</td>
<td>Updated paragraph on quality team. Introduced ‘risk-based’ thinking into the audit process. Responsibility for uploading audit reports and recording recommendations now lies with the Executive Administrator QSU.</td>
<td>Quality Officer</td>
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