

INTERNAL AUDITING for Continual Improvement

7 FOLLOW UP ON AUDIT

- Address immediate threats to quality
- Connect the dots – look for trends among findings
- Submit audit findings to management review

6 REPORT FINDINGS

- Positive aspects
- Opportunities for improvement
- Discrepancies between actual and planned process
- Ways the process does not meet the chosen standard
- Areas where the process is not effective

5 CONDUCT AUDIT

- Interview individuals doing the work
- Observe the process
- Review documents
- Identify problems and risks
- Follow up on audit trails

1 CREATE THE CONDITIONS

- Communicate the intent – to find gaps, vulnerabilities, and opportunities
- Document key processes

2 SELECT AUDITORS

- Ask for volunteers
- Choose individuals qualified for specific processes
- Create a schedule

3 CREATE INITIAL PLAN

- Study the process
- Study the relevant standard
- Determine the focus of the audit

4 CREATE FINAL PLAN

- Learn about past issues
- Request and review documents
- Finalize plan

Common Myths about Internal Audits

MYTH	REALITY
<p>Auditors are out to find fault with individuals or departments</p> 	<p>Auditors are out to identify process issues and possible improvements</p> 
<p>An audit is based on a checklist</p> 	<p>An audit is based on the process, the customer, and applicable requirements</p> 
<p>The key step is effective interviewing</p> 	<p>The key step is preparation for interviews</p> 

Interested in learning more about internal auditing? The CAP's QMED online course, Internal Auditing, provides a methodology and detailed case example, along with tools and templates. Earn three CE credits with the completion of this course. For more information, visit cap.org and search QMED.

