

NUCLEAR SAFETY DIRECTORATE - BUSINESS MANAGEMENT SYSTEM		
Directorate Business Procedure <b>AUDIT</b>		<b>DBP 004</b>
		ISSUE 001
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## 1. Purpose & Scope

1.1 This procedure establishes the basic principles, criteria and practices for auditing the Business Management System (BMS).

## 2. Policy

2.1 Comprehensive, periodic audits shall be performed in accordance with a documented audit plan.

2.2 The results of audits shall be brought to the attention of those staff who are responsible for the work undertaken within the field of the audit. Any corrective actions required (and the timescales to implement them) shall be agreed during the audit.

2.3 Audits shall be performed by staff who have received appropriate auditor training and whose day to day responsibilities are independent from the area of work being audited.

## 3. Responsibilities

3.1 The Business System Manager is responsible for managing the audit system and delivering audit within time limits specified in the audit programme.

3.2 The BSM in liaison with the SMG, is responsible for scheduling and implementing the annual audit plan. He also maintains the audit records and log of non-compliances.

3.3 The Training Manager in liaison with the BSM, is responsible for ensuring that the appropriate personnel are qualified to undertake the audits. This includes arrangement of training and the maintenance of an up-to-date list of qualified auditors.

3.4 Heads of Divisions and Units responsible for ensuring that corrective actions are taken to an agreed timetable following the

discovery of any non compliances within their area of responsibility.

3.5 The BSM ensures that audits are conducted in accordance with the audit plan, at the appropriate frequency. The frequency is based on the importance of the activity/area being audited.

3.6 The BSM arranges for the appropriate resources to be made available to conduct the audits. This includes liaising with Heads of Divisions and Units to ensure that staff are released from their normal duties to carry out auditing activities.

3.7 The Training Manager arranges appropriate training for staff undertaking auditing duties. He maintains an up-to-date list of qualified auditors.

3.8 Unit Heads and Division Heads co-operate fully with the auditors and comply with this procedure.

#### **4. Definitions**

4.1 Auditing is deemed to have the meaning of planning, performing and documenting audits for one or more of the following purposes:

- to ascertain that the BMS is fully implemented and that it continues to meet specified objectives,
- to allow continuous improvement of the BMS, and
- to evaluate NSD's system against a quality system standard.

#### **5. Procedure**

5.1 In liaison with the SMG, the BSM shall produce an audit plan for each financial year. The plan schedules will take into account the importance of the activity being audited. This will require consideration of such factors as areas of concern, areas of suspected weaknesses/poor performance, time period that has lapsed since previous audit, and results of management monitoring.

5.2 For each audit the BSM shall write a scoping statement and nominate a lead auditor, from the list of staff that have received auditor training.

5.3 The lead auditor shall review the scope of the audit, and request

the assistance of additional auditors if he feels that the scope or depth of audit demands this further resource.

5.4 A pre-audit meeting shall be convened, to enable the auditors to discuss the scope and terms of the audit with the appropriate Division/ Unit Heads.

5.5 The audit will involve the critical examination of some or all of the following within the area to be audited (this is not intended to be an exhaustive list);

- task associated documentation (procedures, policies etc)
- observation of activities, and discussions with staff,
- examination of equipment,
- examination of records and results of previous monitoring,
- examination of previous audit reports to ensure that corrective actions have been effected and are sufficient.

5.6 At the end of the audit a closing meeting shall take place during which the lead auditor shall summarise his findings. The Lead Auditor shall produce a list of non-conformities identified during the audit.

5.7 Directorate Business Procedure DBP 006 - details how corrective and preventive actions shall be effected.

## **6. Associated Document**

**DBP 005** Auditor Training

**DBP 006** Corrective and Preventive Actions