



**Malaysian Higher Education Institutions
Quality Assurance Network**



**UNIVERSITI
TEKNOLOGI
PETRONAS**

**MANAGING & CONDUCTING INTEGRATED INTERNAL QUALITY AUDIT
MALAYSIAN QUALIFICATIONS AGENCY (MQA)**

21 / 09 / 2016 (Wednesday)

Learning Outcome

What is QMS, QA & QC

What is Integrated QMS

What is Integrated Internal Quality Audit

Why Integrated Internal Quality Audit is Important

How to Manage & Conduct Integrated Internal Quality Audit



Learning Outcomes



- Able to Learn The Techniques to Effectively Manage and Conduct Internal Quality Audit that Integrate ISO 9001, Institutional Audit Based on Code Of Practice For Institutional Audit (COPIA), and Any Other Programme Accreditation Standard Issued by Accreditation Body such as Code of Practice for Programme Accreditation (COPPA) by Malaysian Qualifications Agency, Engineering Accreditation Manual by Engineering Accreditation Council and any other Accreditation Bodies.

What is QMS, QA & QC

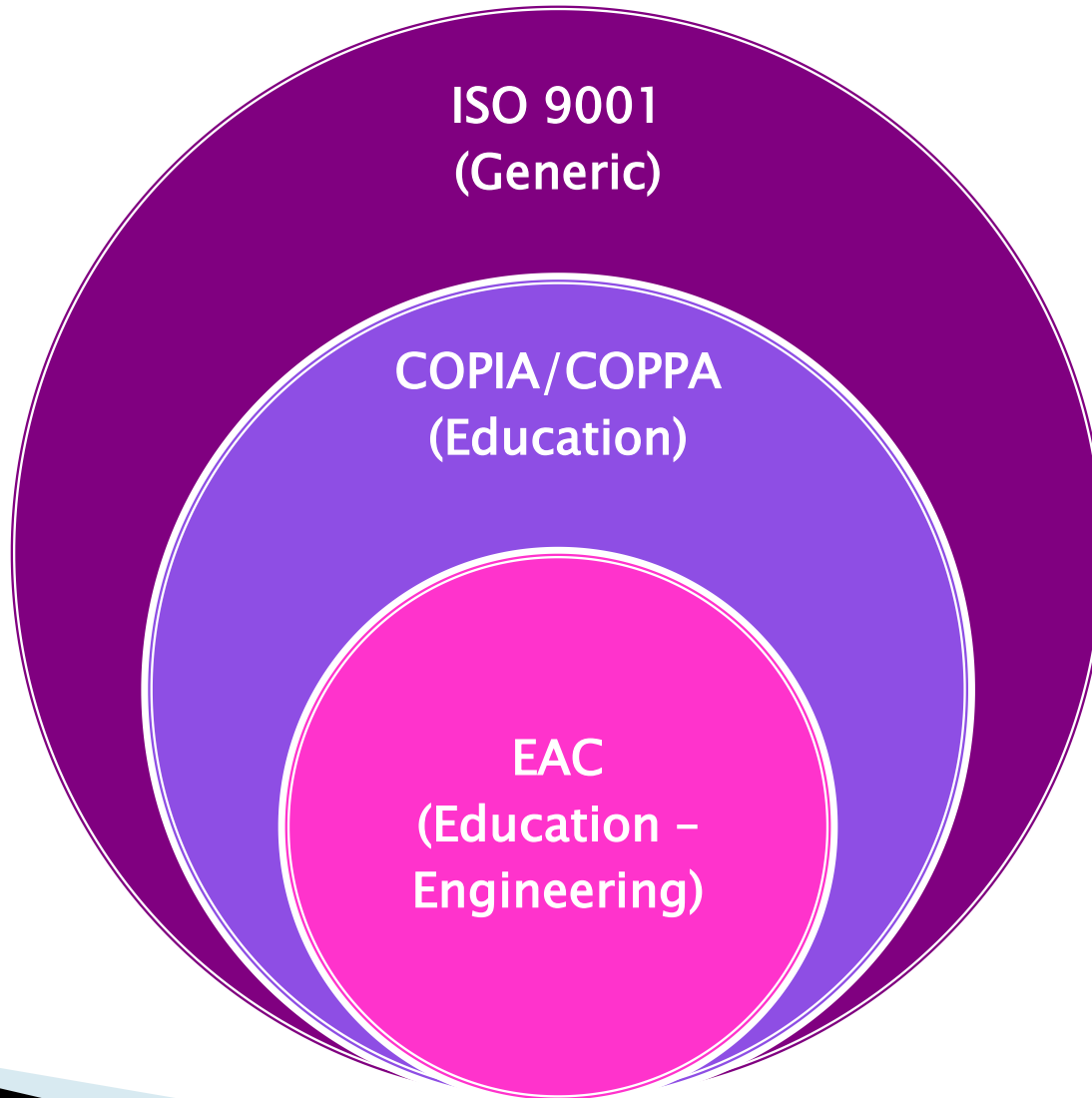


QMS	QA	QC
<ul style="list-style-type: none"> • A set of interrelated or interacting processes that organisations implement to achieve quality objectives. • Focuses on consistently meeting customer requirements and enhancing their satisfaction. • It is expressed as the <u>organizational structure, policies, procedures, processes and resources</u> needed to implement quality management. 	<ul style="list-style-type: none"> • Preventing mistakes or defects. • Avoiding problems when delivering solutions or services to customers. • ISO 9001- “ Part of quality management focused on providing confidence that quality requirements will be fulfilled”. • Differs subtly from defect detection and rejection in quality control. • Focuses on quality earlier in the process. 	<ul style="list-style-type: none"> • Emphasizes testing of products to uncover defects and reporting to management who make the decision to allow or deny product release. whereas quality assurance attempts to improve and stabilize production (and <u>associated processes</u>) to avoid, or at least minimize, issues which led to the defect(s) in the first place



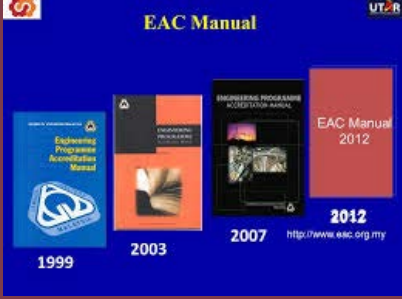
What is QMS, QA & QC



What is Integrated QMS



What is Integrated QMS ~ Mapping of ISO 9001, COPPA & EAC Accreditation Manual

 <p>International Organization for Standardization ISO 9001</p>	<p>KEHENDAK MQF ...</p>  <p>The Code of Practice for Programme Accreditation (COPPA)</p> <p>guide for providers of higher education, quality assurance assessors, officers of the MQA, policy makers, professional bodies and other stakeholders engaged in higher education</p>	 <p>EAC Manual</p> <p>1999 2003 2007 2012</p> <p>http://www.eac.org.my</p>



Why an Integrated QMS is Important



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What is Integrated Internal Quality Audit



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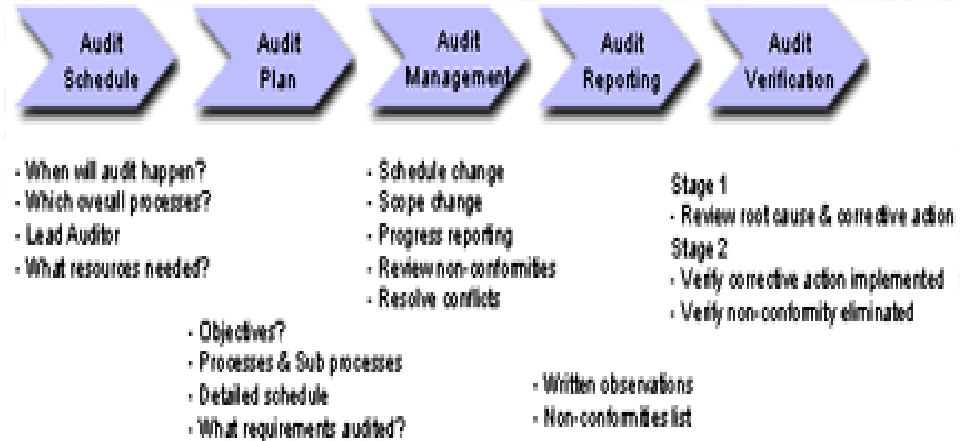
Why Integrated Internal Quality Audit is Important



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How to Manage & Conduct Integrated Internal Quality Audit

How an audit is conducted




Other Best Practices

- Clearly defined processes and metrics, so internal audit can discover unambiguous non-performance
- Audit process must incorporate the results of previous audits to track progress against previous nonconformities
- There is a well defined process for root cause analysis and corrective actions
- Corrective and Preventive Actions are reported formally to all stakeholders

Figure 2: Best practices in supplier audit

How to Manage & Conduct Integrated Internal Quality Audit



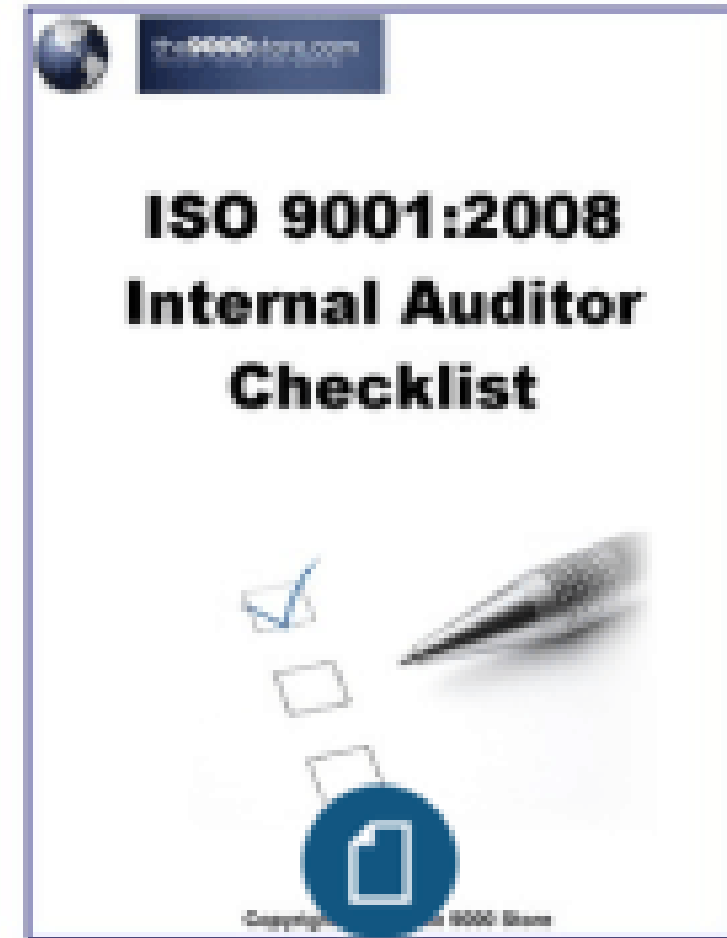
Process Flow for Management of an Audit Program



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How to Manage & Conduct Integrated Internal Quality Audit



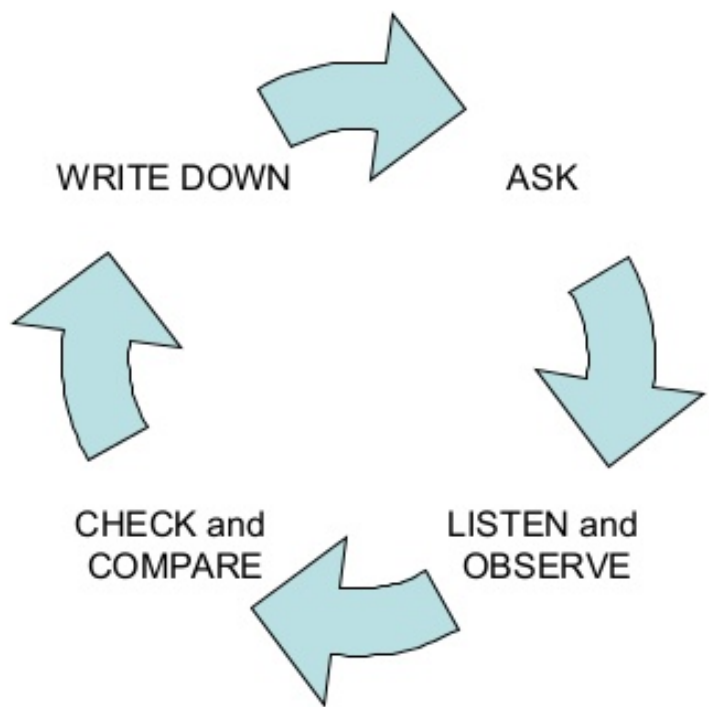
How to Manage & Conduct Integrated Internal Quality Audit ~ Audit Checklist

Requirement (ISO/COPIA/EAC)	Question	Observation/Note	Conclusion (C/NC/OFI)

Legend: C – Conformance
 NC – Nonconformance
 OFI – Opportunity for Improvement

How to Manage & Conduct Integrated Internal Quality Audit ~ Audit Techniques

AUDIT



APPLY OPEN-ENDED QUESTIONS

How to Manage & Conduct Integrated Internal Quality Audit ~ Audit Findings & Mapping

ISO 9001	COPPA	EAC
<p><u>Compliance:</u> Meet the ISO 9001 Standard, Policy, Procedure, Guideline, Work Instruction, and etc.</p>	<p><u>Commendation:</u> Aspects of the provision of the programme that are considered worthy of praise.</p> <p><u>Affirmation:</u> Proposed improvements by the department to aspects of the programme which the panel believes significant and welcomes.</p>	<p><u>Strength:</u> Anything with a ‘wow factor’ of ‘very outstanding nature’ far beyond just satisfying the minimum requirements with regard to the respective criteria of Programme Objectives, Programme Outcomes, Academic Curriculum, Student, Academic and Support Staff, Facilities and Quality Management System.</p>

How to Manage & Conduct Integrated Internal Quality Audit ~ Audit Findings & Mapping

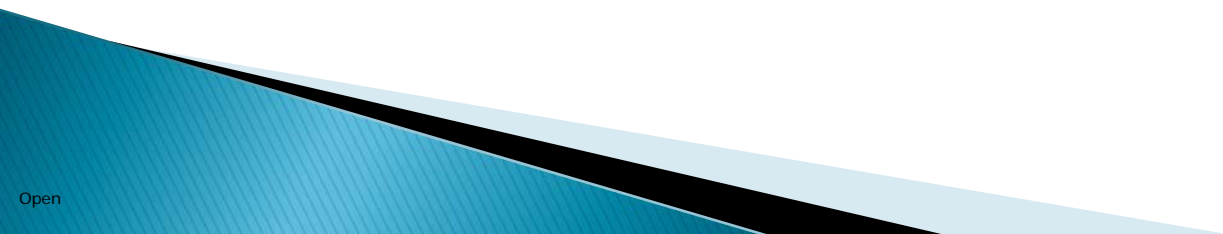
ISO 9001	COPPA	EAC
<p><u>Noncompliance</u> Doesn't meet the ISO 9001 Standard, Policy, Procedure, Guideline, Work Instruction, and etc.</p>	<p><u>Area of Concern:</u> Mandatory requirement, which the programme must comply with.</p>	<p><u>Weakness:</u> Clear transgression against the requirements of the Manual. Failed to fulfil any of the Eight (8) Qualifying Requirements of the EAC Manual or transgressed any of the Five (5) Criteria to the point of TOTAL COLLAPSE.</p> <p><u>Area of Concern:</u> Any shortfall/shortcoming or transgression, but not amounting to a 'total collapse', of any of the accreditation criteria under the Manual.</p>

How to Manage & Conduct Integrated Internal Quality Audit ~ Audit Findings & Mapping

ISO 9001	COPPA	EAC
<p><u>Opportunity for Improvement (OFI)</u> Area that is recommended for improvement which may become noncompliance in the future if no action is taken.</p>	<p><u>Recommendation:</u> Proposals by the panel of assessors for improvement of the programme.</p>	<p><u>Opportunity for Improvement (OFI):</u> Refer to further improvement that an IHL could consider despite already having the necessary strength or having already satisfied the minimum requirements of the EAC Manual. OFI are ‘good to have’ or ‘desirables’ recommendations made by the EP for programme Continual Quality Improvement (CQI).</p>

How to Manage & Conduct Integrated Internal Quality Audit ~ Audit Findings & Mapping

Situation	ISO 9001	COPPA	EAC
<p>1. The panel of assessors during a programme accreditation visit noticed that the processes of managing assessment for postgraduate programme by research leading to high graduating on time, which includes proposal defence, progress monitoring in every semester, pre-viva and viva voce. This good practice is beyond the expectation of programme accreditation.</p>			
<p>2. An assessor during a programme accreditation visit found that there were lack of constructive alignment in curriculum delivery and assessment in order to correctly assess the attainment of programme outcomes and course outcomes (particularly non- core courses).</p>			



How to Manage & Conduct Integrated Internal Quality Audit ~ Audit Findings & Mapping

Situation	ISO 9001	COPPA	EAC
<p>3. During a programme accreditation visit, the panel of assessors found and concluded that the review of the alignment between assessment and learning outcome undertaken every 2–5 years in order to continually update the course assessment strategies, is most welcomed.</p>			
<p>4. During a programme accreditation visit, the panel of assessors concluded that it is advisable for the programme outcomes (PO) attainment produced by the outcome-based education (OBE) system is made accessible to students in order for them to take control of their learning.</p>			

How to Manage & Conduct Integrated Internal Quality Audit ~ Audit Findings & Mapping

Situation	ISO 9001	COPPA	EAC
<p>5. During a programme accreditation visit, the panel of assessors noticed there was no systematic review mechanism, which incorporates determination of minor or major curriculum changes that may include incremental changes. i.e. more/less than 30%.</p>			
<p>6. During a programme accreditation visit, the panel of assessors observed the programme did not demonstrate the direct and explicit measurement for PO8 (Ethics) and hence the CQI for PO8 is not visible in the programme.</p>			

How to Manage & Conduct Integrated Internal Quality Audit ~ Writing Non-conformance Report

Acronym	Word	Situation	
L	Location	During a programme accreditation visit, the panel of assessors observed the programme did not demonstrate the direct and explicit measurement for PO8 (Ethics) and hence the CQI for PO8 is not visible in the programme	Civil Engineering Department.
E	Evidence		Bachelor of Engineering (Hons) Civil Engineering.
R	Requirement		<p>Programme Outcomes are statements that describe what students are expected to know and be able to perform or attain by the time of graduation. These relate to the skills, knowledge, and behaviour that students acquire through the programme.</p> <p>Students of an engineering programme are expected to attain the following:</p> <p>(viii) Ethics - Apply ethical principles and commit to professional ethics and responsibilities and norms of engineering practice;</p> <p>4.0 Programme Outcomes – EAC</p> <p>1.2.1(iv) & 1.2.3 Learning Outcomes - COPPA</p> <p>5.4.1 Quality Objectives & 8.2.4 Monitoring & Measurement of Product</p>
N	Nature		Did not demonstrate the direct and explicit measurement for PO8 (Ethics) and hence the CQI for PO8 is not visible in the programme.

How to Manage & Conduct Integrated Internal Quality Audit ~ Writing Non-conformance Report

It is observed during the audit at Civil Engineering Department for Bachelor of Engineering (Hons) Civil Engineering that the programme did not demonstrate the direct and explicit measurement for PO8 (Ethics) and hence the CQI for PO8 is not visible in the programme. This is non-compliance to Criterion 4.0 Programme Outcomes of EAC Accreditation Manual, and Clause 5.4.1 Quality Objectives & 8.2.4 Monitoring & Measurement of Product of QMS ISO 9001:2015 Standard.

How to Manage & Conduct Integrated Internal Quality Audit ~ Non-conformance Report Form



		NONCONFORMANCE REPORT (NCR)		NCR NO. :	
				Date :	
AUDITOR	DEPARTMENT AUDITED :				
	REFERENCE DOCUMENT :				
	AUDITOR :		AUDITEE:		ISO 9001 CLAUSE :
	NON-CONFORMANCE				
	Nature of Nonconformance				
		* SIGNED/NAME _____ (Auditee/Department Representative) <small>* Signature Indicates understanding not consensus</small>		SIGNED/NAME _____ (Auditor)	
CUSTODIAN	IMMEDIATE ACTION OF CORRECTION				
	Proposed Immediate Action of Correction(s) :				
	DATE IMMEDIATE ACTION OF CORRECTION TO BE COMPLETED :				
	CORRECTIVE ACTION				
	Root Cause(s) of Non-conformance :				
	Proposed Corrective Action(s) :				
	DATE CORRECTIVE ACTION TO BE COMPLETED :				
SIGNED/NAME _____ (Auditee/Department Representative)			DATE : _____		
AUDITOR/QMR	FOLLOW - UP AND CLOSE OUT				
	Proposed Follow - up Date :				
	Follow - up Details &Comments :				
	NCR STATUS : Satisfy / Not Satisfy DATE NCR CLOSE OUT :			SIGNED _____ (Auditor /QMR)	

Circle whichever applicable
UTP/QMU-005/01, Rev 01.



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