How to Create a Remote Internal Audit Schedule

Craig Thornton, Mango Andrew Thornhill, IRM Systems



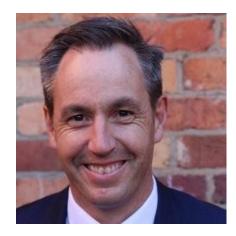


Presenters

Craig Thornton, Mango



Andrew Thornhill, IRM Systems – <u>www.irmsystems.com.au</u>



More Information



Remote Audits:<u>https://www.irmsystems.com.au/post/how-to-</u>

conduct-remote-internal-audits

 Audit Scheduling: <u>https://www.irmsystems.com.au/post/how-to-</u> <u>develop-an-internal-audit-schedule</u>

> SIMPLIFY YOUR HSEQ COMPLIANCE A Knowledge Base for HSEQ Compliance Rockstars





Refresher - Conducting Remote Audits

Evidence Source	Primary	Backup
Records/ documents	MS Teams – screen share	Email
Interview (primary, backup)	Office – MS Teams Field - Facetime	Google Meet
Observation	Facetime	WhatsApp

Refresher – Conducting Remote Audits



People

Planning/Logistics/ Communication

	20)20	2021											
Area for audit	Sep-20 Vug-20 Vrea for audit		Oct-20	Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21
IMS Procedures														
IMS 01 - Hazard/ Risk Identification														
IMS 02 - Legal Requirements														
IMS 03 - Induction and Competency														
IMS 04 - Management of Change														
IMS 05 - Document Management														
IMS 06 - IMS Monitoring and Measurement														
IMS 07 - Internal Audit														
IMS 08 - Customer Service Logbook														



Refresher - Audit Scheduling

- Objectives and Scope of Audit Program
- Risk
- 'Problem' areas data sources?
- Timing –
- Shift patterns
- Seasonal patterns (vintage)
- Projects discrete phases (design, construct, operate)
- Irregular tasks (bulk chemical delivery)
- When does the activity occur?

Scheduling Remote Audits – Opportunities?



- Continue audit program Covid 19
- Audit more sites within your audit \$\$

	20	20		2021										
Area for audit	Aug-20	Sep-20	Oct-20	Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21
Environmental Work Instruction												_		
EWI 01 - Waste Management														
EWI 02 - Spill Response														
Safe Operating Procedures													_	
SOP 01 - Chemical Storage														
SOP 02 - Working at Heights														
SOP 03 - Lock Out Tag Out														

Scheduling Remote Audits – Opportunities?



	20	20	2021											
Area for audit		Sep-20	Oct-20	Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21
Environmental Work Instruction														
EWI 01 - Waste Management			Site 1		Site 2		Site 3		Site 4		Site 5		Site 6	
EWI 02 - Spill Response	Depot		She I		Site 2		She S		Site 1		She S		Site 0	
Safe Operating Procedures	Safe Operating Procedures													
SOP 01 - Chemical Storage			Site 1		Site 2		Site 3	3	Site 4					
SOP 02 - Working at Heights	Depot										Site 5		Site 6	
SOP 03 - Lock Out Tag Out														

Scheduling Remote Audits – Considerations?

- Auditee Availability, Physical Location?
- Auditor Training
- Audit Procedure
- Information Security
- Audit Checklist
- Sample Size?
- Audit Program Effectiveness

Scheduling Remote Audits – Considerations?

- Planning and Communication
- Confirmation (Time and Alternate, Methods)
- Tools (Test, Backup, Phone Contact)
- Audit Plan and Required Sources Of Evidence
- Audit Viable?

		9am - 10am	Auditor 1	6.2.2	AMPs/ engineering strategies: CCTV	IT Manager, Security Manager
		10am - 12pm	Auditor 1	7.5, 7.6, 8.1, 8.5,	Documented information, operational planning and control. Production and service provision, release of products and	Program Manager, Project Engineer
		100m 12pm		8.6, 8.7	services, control of nonconforming outputs	
Wednesday	22/8/20	1pm - 1.15pm	Auditor 1	6.1	Legislative requirements and evaluation	HSEQ Manager
		1.15pm - 2.30pm	Auditor 1	7.5, 7.6, 8.1	Documented information, operational planning and control	Team Manager 1
		3pm - 4.30pm	Auditor 1	7.5, 7.6, 8.1	Documented information, operational planning and control	Team Manager 2

