



Instructions and Guidelines

Auditing and Monitoring Container and Cargo Examination Facilities (CEFs)

September 2010

**This Instruction & Guideline refers to Practice Statement No:
PS2009/22 – Inspection and Examination of Sea Cargo**

Published date:	1 March 2011
Availability:	Internal and External
Subject:	Auditing and Monitoring
Purpose:	This Guideline sets out the process for internal and external auditing and monitoring the quality management system at CEFs.
Owner:	National Director Cargo
Category:	Operational
Contact:	National ISO coordinator, Sea Cargo Improvement

The electronic version published on the intranet is the current Instruction and Guideline

Summary of main points

- Description of internal and external audit processes
- Pro Formas

This Instruction and Guideline applies to staff in:

- Container Examination Facilities in Brisbane, Fremantle, Melbourne and Sydney
- Cargo Examination Facilities in Adelaide, Darwin, Launceston, Newcastle, Townsville

The Quality Management system is applied in Cargo Examination facilities in Launceston, Newcastle, Townsville and Darwin although these sites are not required to be certified.

Introduction

This guideline should be read in conjunction with the Practice statement 2009/22. This Instruction and Guideline describes the internal and external processes for auditing the quality management system at the CEFs

Instructions and Guidelines

MANAGING AUDITS

As part of the CEF quality management system (QMS), audits are regularly conducted to ensure ongoing improvement to facility processes. Audits provide a practical means of monitoring CEF processes to ensure safe and efficient practices are being employed and to identify potential improvements to existing procedures.

A *National Audit Schedule* (NAS) has been developed to plan and document the frequency of nationally and locally conducted internal and external audit activity, as well as other significant events that relate to the QMS. The NAS can be accessed via the CEF intranet site.

Any areas of non-conformance/areas of concern and their causes identified in internal or external audits are to be documented and tabled for assessment, action and evaluation at the next scheduled Regional Management Review Meeting (RMRM).

Any areas of concern with corrective actions taken that have national application are reported to the Top Management Meeting (TMM). For further Information see I&Gs "Control and Nonconformity and Corrective/Preventative Actions".

INTERNAL AUDITS

Nationally Conducted Internal Audits (NCIAs)

NCIAs are performed biannually at each CEF site by a non-affiliated ISO Coordinator. NCIAs are intended to provide a broad audit of CEF administrative and operational functions and ensure that corrective action has been taken on any 'non-conformance/areas of concern' that have been identified through other audits. The scope of these audits is determined at ISO Coordinators' Meetings.

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The NCIA's main components are:

- addressing non-conformance/areas of concern from previous NCIA's
- reviewing/evaluating corrective/preventative actions taken
- nationally agreed scope subject
- site specific subject

NCIA's audits are to be documented in the format stipulated in *Attachment B* and the dates are recorded in the NAS.

Locally Conducted Internal Audits (LCIA's)

In addition to NCIA's, individual CEF's are responsible for conducting regular internal audits of their own processes. LCIA's are not limited to operational functions and are intended to ensure that existing CEF documentation is controlled and reviewed on ongoing basis to reflect actual processes being carried out by staff.

LCIA's are managed by the CEF ISO Coordinator and are to be carried out by an officer who has completed the Internal Auditor module of the ISO 9001:2008 training or who is under the direction of such an officer.

LCIA's are to be conducted in accordance with NAS and should focus on CEF processes identified by ISO conference based on risk assessment. The audit is to be documented in accordance with the format in *Attachment C*.

EXTERNAL AUDITS

ISO 9001:2008 Audits

As part of the CEF's ISO 9001:2008 accreditation, SAI Global carries out annual surveillance audits on CEF processes. These audits are intended to assess the continuing effectiveness of the QMS and identify practices that do not conform to the requirements of the Standard.

The dates of these audits are recorded in the NAS.

ARPANSA Compliance Audits

As part of the terms of the CEF's Australian Radiation and Nuclear Safety Agency (ARPANSA) site licence, periodic audits are conducted of each CEF site to ensure that safe work practices are constantly being employed. The Sea Cargo Improvement Section (SCI), in consultation with the CEF Manager, is responsible for the management of ARPANSA Audits.

The dates for ARPANSA audits are generally *not* recorded in the NAS.

Other External Audit Activity

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In addition to regular audit activity, the following organisations may carry out audits if a need is identified:

- Australian National Audit Office (ANAO);
- Price Waterhouse Coopers;
- Internal Audit Section of Customs and Border Protection ;
- Comcare.

Due to the unpredictable scheduling of these audits, the dates of these audits are generally *not* recorded in the NAS.

Record Management

All audit documentation to be maintained in accordance with the Instruction and Guideline “Document Control and Record Management”.

Related Policies and References

Practice Statements:

- Inspection and Examination of Sea Cargo

Other Instructions & Guidelines

- Managing the Quality Management System
- Performance Measures and Clients
- Document Control and record Management
- Control of Non Conforming Product
- Purchasing and Supplier Evaluation
- Complaints Handling Procedures

Key Roles and Responsibilities

National ISO Coordinator, Sea Cargo Improvement Section

CEF Managers

Copies of this document are controlled. Master copies of the document are on the Intranet. National ISO coordinator is responsible for version control.

Consultation

Internal

The following internal stakeholders have been consulted in the development of these Instructions and Guidelines.

- ISO Coordinators
- CEF Managers
- Sea Cargo Improvement

External

Not required

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Approval

Approved on	(date)	(signature)
By	National Director Cargo	
Review Period	This National Guideline is to be formally reviewed biennially by Sea Cargo Improvement.	

INTERNAL AUDIT REPORT
Nationally Conducted Internal Audit

Date:	
Location of CEF:	
Process/Area:	
Audit Scope:	•
Objectives:	•
Audit Team:	
Audit methodology (observed, remote, documentation)	

Previous Audit Findings

Evaluation for Implemented Actions

System Strengths

System Deficiencies

Areas of Concern

Opportunities for Improvement

Recommendations

Conclusions

Signature of Auditor	
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INTERNAL AUDIT REPORT
Locally Conducted Internal Audit

Particulars

Date:	
Location of CEF:	
Documented Procedure:	
Audit Scope/Limit:	<ul style="list-style-type: none"> • •
Audit Objectives:	<ul style="list-style-type: none"> • •
Auditor(s):	

Observations

PROCEDURE FOLLOWED?	TASK (copy/paste from relevant Associated Document)
<input type="checkbox"/>	
<input type="checkbox"/>	
<input type="checkbox"/>	
<input type="checkbox"/>	
<input type="checkbox"/>	
<input type="checkbox"/>	

Observed Deviances from Documented Procedure

ITEM	COMMENTS
1.	
2.	
3.	

Areas of Concern

-
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Recommendations

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Signature of Auditor	
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