



Evaluation of Internal Quality Audit Procedures for ISO 9001:2008 Submissions at Casablanca Club

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ABSTRACT

The purpose of this study was to find out how the procedures and effectiveness of internal quality audits for submitting ISO 9001: 2008 certificates to companies. To be able to achieve the writing of this research, it cannot be denied that data and information are important factors. To obtain the data and information needed in this study, the authors collect data and information through research or research activities. The research method used is descriptive analysis method, which is a research method carried out by collecting, presenting, and analyzing company data based on existing facts with data collection techniques such as field studies, interviews, observations, and library research. Based on descriptive analysis of the research, the following results were obtained: a) Internal quality is a means to achieve a score determined by external parties, b) Internal quality audits have been carried out properly by auditing every existing department, c) Companies measure quality audit performance internally, namely by the actions taken by each personnel in their respective departments on any existing findings where after the action a management review is carried out.

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1. Introduction

The ISO 9001 quality management system standard is an international standard that is familiar to the manufacturing and service industries, then with the times and the opening of free trade, the ISO 9001 standard has become mandatory for many companies to be able to compete in the international market, by demonstrating the quality of service produced .

Indonesia is one of the countries that has fully adopted the ISO 9001 quality management system into the Indonesian National Standard 19-90000 (SNI 19-90011-2005) this is an impetus for every company in Indonesia to produce more effective and productive services. The application of the ISO 9001 quality management system standard itself can be used as evidence that the company has tried to produce products or services with good quality, in other words, ISO 9001 certification can be used as a business ticket for companies that are full of competition.

The success of a company that has obtained ISO 9001: 2008 certification indicates that the company has been assessed and the results have met the requirements in accordance with the ISO 9001: 2008 standard from the selection of quality management system requirements, documentation, management responsibility, resource management, realization product, measurement, analysis and improvement.

So important is the implementation of the ISO 9001: 2008 quality management system so that prospective workers who enter the company are also prioritized to understand the ISO 9001: 2008 standard. One company that wants to apply for an ISO 9001: 2008 certificate has previously received an ISO 9001: 2008 system certificate Quality management is Casablanca Club which is a company that operates as a provider of facilities and services in sports and health. The company always strives to achieve good quality goals and improve service quality continuously. This is to meet the demands and increasingly fierce competition in the business world, so that in the end it can have a competitive advantage in the company.

One of the requirements to obtain an ISO 9001: 2008 certificate is an internal quality audit before an external party conducts an audit. Internal quality audit in the quality management system is included in the control and supervision. Internal quality audit itself is a process that must be carried out by companies that establish a quality management system.

Considering the above, the authors are interested in analyzing the problem of quality measurement (quality measurement) that can be used by management to evaluate efforts to improve product quality. Therefore, the authors compiled this study with the title "Evaluation of Internal Quality Audit Procedures for ISO 9001:2008 Submission at Casablanca Club".

2. Literature Review

2.1 General Quality Audit

The definition of quality audit can be found in the quality management system audit guide SNI 19-19011-2002. In the guide, quality audit is defined as a systematic, independent and documented process to obtain audit evidence and evaluate it objectively to determine the extent to which the audit criteria are met (BSN, 2002). A quality system audit is usually carried out to determine the level of conformity of the organization's activities to the ISO 9001:2008 quality management system standard that has been determined and the effectiveness of the establishment of the system.

Audit results can be used for various purposes. The most central benefit of audit is as a basis for making decisions, making improvements, increasing the efficiency and effectiveness of organizational functions. With information on the results of the



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auditor's research and recommendations and submitted, it will enable the head of the operating unit to take corrective actions to improve efficiency, effectiveness and business productivity in a more focused manner.

The audit process is an invaluable medium of learning and growth for the auditors themselves. Because through the audit process, there is a process of in-depth understanding of the ins and outs of the organization's operations as well as the specific problems that exist in each function within the organization. Thus, an auditor, consciously or not, has studied the organizational management process comprehensively and functional management in an incentive.

From the definition of quality audit described above, that the purpose of quality audit is to obtain factual and significant data and information as the basis for decision making, management reversal, improvement and/or change. The audit findings are then analyzed, assessed for adequacy and conformity to the ISO 9001:2008 standard. The results of the auditor's findings will be used as the basis for decision making, management control, improvements and/or changes.

2.2 ISO Internal Audit Requirements

a. Fundamentals of auditing

The organization shall conduct internal audits on a planned basis to determine whether the management system:

- 1) Meet the requirements of international standards and management system requirements set by the organization
- 2) Effectively implemented and maintained

The audit program should be planned taking into account:

- 1) Status and importance of audited processes and areas
- 2) Good audit results

The criteria, scope and frequency and methods of audits should be established. The selection of auditors and the conduct of the audit must ensure objectivity, and impartiality of the audit process. Auditors should not audit their own work.

Management must be responsible for the area being audited, must ensure that corrective or preventive actions are taken as soon as possible to eliminate nonconformities found, as well as their causes. Follow-up activities must include verification of actions taken, and reporting of verification results.

The definition of internal audit is a systematic, independent, documented process to obtain audit evidence and evaluate it objectively to determine the level of compliance with the agreed audit criteria.

2.3 Internal Quality Audit Procedure

The definition of procedure (procedure) according to Sawyer's (2009:78,79) is a means used to carry out activities in accordance with established policies. The definition of internal quality procedures according to Djatmiko and Jumaedi (2015-51) are activities in implementing a quality management system, how related processes are implemented, controlled, and recorded.

According to the author of the above definition that the procedure is a means used for a process in implementing a quality management system, how related processes are implemented, controlled, and recorded.

Internal quality audit procedures are required to verify the activities of the quality management system are in accordance with the established rules and ensure the effectiveness of the current system.

In audit activities there are two terms that must be understood:

- a. Auditor: the person in charge of verifying the quality management system activities in accordance with the requirements.
- b. Auditee: the person or section being audited and responsible for the area being audited to ensure that the quality management system is running in accordance with the requirements.

2.4 Internal Quality Audit Relationship for ISO 9001:2008 Certification Application

One of the requirements for submitting an ISO 9001:2008 certificate is an internal quality audit procedure carried out by the entity before an external party conducts an audit. The definition of internal inspection according to Sawyer et al (2005:10) is:

A systematic and objective study conducted by internal auditors of different operations and controls within an organization to determine whether:

- a. Operational information is accurate and reliable
- b. The risks faced by the company have been identified and minimized
- c. External regulations and acceptable internal policies and procedures have been followed
- d. Satisfactory criteria have been met
- e. Resources have been used efficiently and economically
- f. Organizational objectives have been achieved effectively. All are done with the aim of consulting with management and assisting members of the organization in carrying out their responsibilities effectively.

In accordance with the above definition, internal audit according to ISO 9001:2008 is a process that aims to achieve certainty regarding:

- a. Validity of operational information
- b. Effectiveness and efficiency of company management processes in accordance with standards

In relation to ISO, internal audit has an important role to encourage the realization of a clean and transparent company business management. From an understanding of the internal quality audit function, it can be seen that one of the tasks of the internal audit is to review the existing system to determine the level of compliance with external regulations, policies, and internal procedures that have been set including the principles contained in the ISO 9001:2008 guidelines.

3. Research Methods

In carrying out this research, the writer uses descriptive analysis method. Descriptive analysis method is a research method carried out by collecting, presenting, and analyzing company data based on existing facts. The steps carried out are as follows:



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3.1 Field Research

This study is used as an attempt to compare the theory gained during lectures and what actually happens in the field. This study was conducted by coming directly to the company. There are ways of collecting data in this study, namely:

- a. Interview
The author collects data and information through questions and answers with the company's internal auditors.
- b. Questionnaire
That is in the form of a list of questions regarding internal quality audit procedures to the company's lead auditor.

3.2 Literature study

This literature study was conducted by citing materials on evaluation of quality audit procedures for submitting ISO 9001: 2008 certificates or other sources such as lecture materials and libraries. This research is a secondary data source that can support primary data.

3.3 Analysis Techniques

In this method, the authors use an internal quality audit questionnaire with two alternative answers, namely the answers "yes" and "no". The answer "yes" indicates the reliability of the internal quality audit procedures carried out by the company. The answer "no" indicates a non-compliance with the provisions of the company's internal quality audit procedures.

4. Results and Discussion

4.1 Implementation of Internal Quality Audit

The implementation of audits in quality control is carried out in a planned and systematic manner. This means that the audit is carried out based on a predetermined schedule and by team members who have been assigned and carried out at a predetermined time.

This audit is carried out in a system that has been implemented by management. The audited system is carried out in different departments so that for a certain period all systems in the department have been audited correctly according to a systematic schedule.

All activities that want to be carried out properly and directed must have goals that have been processed in such a way that they are in accordance with the situation and conditions of the company. Likewise with the audit of quality control carried out by the company so that all activities carried out in the audit are directed and based on objectives.

The goals that have been set include:

- a. To be able to ensure that the system has been carried out properly by taking into account the regulations that apply to each department, its procedures, and also various things that support the running of the system.
- b. Can ensure that all improvements or progress resulting from the quality system have been carried out and followed up properly in accordance with applicable procedures.

The last audit was conducted in March 2015.

The stages of audit implementation during the examination are:

- a. Before a calendar period ends, MR must prepare or produce an annual schedule of quality control internal audits for the next 12-month period. The schedule must include, among other things:
 - 1) Each physical area of the company to be audited at least once every six months. The frequency of audits for each area depends on what has been found in previous audits. If a slight problem is found after two audits, the frequency will be reduced to once a year.
 - 2) The name of the lead auditor who carried out the audit, when he served, in which area so that he could prepare himself as the main auditor. This schedule is signed and provided by MR or his representative.
- b. Prior to carrying out the audit, MR will identify the lead auditor to carry out his audit duties formally, with the following notes:
 - 1) Auditors may not audit their own departmental areas to avoid conflict of interest
 - 2) The approved auditor is assigned by an auditor who satisfactorily completes formal education/training in Internal Quality Audit and has been considered by the company's management to have the right abilities and personalities to audit. All memos will be sent to the auditor concerned, at least two weeks in advance, regarding the area and time for the audit. For the auditors themselves provided.
 - 1) Copies of the last two audit reports for the engagement area
 - 2) Copies of all relevant check-lists as well as references are provided.
 - 3) Report paper that must be filled in
- c. The auditor must notify the manager for the area concerned about matters such as:
 - 1) Approval of time to carry out the audit. If it is not in accordance with the schedule, it must be notified to MR for further action.
 - 2) Obtain sample copies of documentation from all representatives regarding quality control used in the department such as procedures and work instructions.
 - 3) Request the participation of all parts of the department in providing the audit area, to be a guide during the area, and also for opening and closing meetings.
- d. The auditor in question prepares for the audit, namely making a check-list as a reminder note, with sources from available document analysis, previous audit records. A copy of the check-list is sent to the MR after the examination so that it can be used as input for future check-lists.
- e. To be able to ensure that the area manager knows what will happen, the auditor conducts an open meeting (opening meeting). At that time the auditor explained:



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- 1) Purpose of assessment or examination
 - 2) Reporting method
 - 3) Help expected during the audit
 - 4) Time agreement such as lunch and closing meeting
 - 5) Answers to all questions asked by the auditor
- f. The auditor and the auditee, after completing the audit and interview, agree on the discrepancy found by the auditor. This is not done in front of the audit subject concerned because it will reduce their motivation. If the auditee cannot sign it, it must be approved by the relevant manager.
- g. The auditor must have written all the reports that will be disclosed before the closing meeting, so that it is clear what will be stated. In addition to all non-conformities, the auditor may make recommendations for improvement as appropriate in the circumstances.
- h. For the closing meeting, it should not be more than 30 minutes with the following agenda:
 - 1) Thank you for all your co-operation, highlighting the positive aspects of the department.
 - 2) Discuss audit findings, especially non-conformities.
 - 3) Approval of corrective actions and the timeframe for their implementation.
 - 4) Answering every question posed
 Any matters that cannot be resolved, can be submitted to the MR to resolve. If other special visits are needed, they must be recorded in the audit report.
- i. The auditor must agree that reasonable corrective actions have been taken and record in detail the actual report prior to submission to MR. If the auditor is unable to carry out a special visit, then MR must assign another appropriate auditor.
- j. When all corrective actions have been taken, the audit can be closed. All non-conformities that are considered less important should be followed up in future audit plans.
MR must review all new audit findings and all significant findings must be included in the "Management Review".

4.2 Internal Quality Audit Report

The role of management is to make a consistent commitment to a quality policy, namely an internationally recognized quality system. Commitment to quality policy is a question about the company's quality policy in writing, stated and approved by the company's leadership and documented in the company's quality system documentation, hereinafter referred to as commitment.

Commitment is needed to prevent the occurrence of inefficient management of the company. Therefore, the leadership must try to keep the entire quality management system of the company solid and running properly. The purpose of the quality system is that the company has an organizational structure that is clearly recognized and approved, each part of the company structure has responsibilities, procedures, sequences of activities and sources for implementing the quality management system.

The application for ISO 9001: 2008 certification by the company can be obtained if there is a commitment from the management, both top management and management representatives, and from the operational employees. The lack of commitment from the company to implement the ISO 9001: 2008 quality management system standard results in a low sense of ownership from employees to get certificates. Employees are of the opinion that ISO 9001:2008 certification is of no benefit to them.

The opinion of this employee comes to the fore because the company often ignores the records contained in the corective action request (CAR). Prevention or improvement efforts proposed by employees often do not get a response from the company. Companies often ignore the suggestions given for prevention or improvement because it involves financial matters and members who are constantly experiencing a decline.

In carrying out the audit, the auditor staff uses procedures that have been determined by management so that a systematic examination can be carried out and remains on the path desired by the company.

From the analysis and evaluation carried out by the auditor during the examination, it can be seen what was found, both discrepancies and observations. The audit report made is a document that officially communicates audit findings to management and the auditee/auditee.

Looking at the internal audit quality planning within the company, it can be said that the plan covers all existing functions within the company, so that the implementation of the internal audit can run well.

Before conducting an audit, the auditor should conduct a survey first as a general procedure to analyze the activity or process to be audited. After conducting the survey, the auditor examines and asks questions related to the section or department. After the auditor finds a non-conformity with the quality procedures, the auditor shall include in the internal quality audit report and can provide an opinion on whether the findings are:

- a. No comments (excellent)
This opinion is given if the implementation of the ISO 9001: 2008 quality management system by the auditee is in accordance with the provisions stipulated in the 9001: 2008 Quality Management System document.
- b. Minor
If the implementation of the ISO 9001: 2008 quality management system by the auditee is not in accordance with the provisions contained in the ISO 9001: 2008 quality management system document, the discrepancy can be corrected immediately.
- c. Major
If the auditee does not implement or implement the ISO 9001: 2008 quality management system as stated in the ISO 9001: 2008 quality management system document, the discrepancy raised is directly related to the process and product quality. In addition, there are two types of accompanying reports, namely:



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- a. NCR (Non Conformity Report)
NCR is a report that reports a non-conformity that occurs and requires corrective action as an immediate follow-up to be done. In other words, there is a high inefficiency in the part being audited.
- b. Observation
Observation is a report that makes events that occur and the error rate is minor. The purpose of this report is that there has been efficiency and has less effect on the unity of the quality system and product.
Follow-up is a correction for non-conformances found. It must be ascertained whether follow-up has been carried out in the area of the non-conformance. Experience shows the company is able to develop an effective self-correction system so that it can maintain conformity and refine the system applied.
Auditors do not check to find faults. If the auditor finds a discrepancy, the follow-up applied must be able to ensure that it does not happen again in the future. Inspections or audits that do not find non-conformities do not mean they have failed in their activities.
The assigned auditor must be professional, meaning that he is properly auditing based on his abilities and working according to applicable procedures. With this attitude, the auditee can view the auditor as an opportunity to learn more and improve themselves.
By carrying out an internal quality audit in accordance with predetermined procedures where each audit process and findings are immediately corrected, the application for an ISO 9001: 2008 certificate can be made before an external party conducts an audit so that an ISO 9001: 2008 certificate can be obtained and maybe even improved. to other types of quality standards.

5. Conclusion

Based on the results of the analysis and discussion in the previous chapter, the authors draw the following conclusions.

- a. Internal quality is a means to achieve a score that has been determined by an external party.
- b. Internal quality audit has been carried out properly by auditing every existing department.
- c. The company measures the performance of its internal quality audit, namely by the actions taken by each personnel in their respective departments on any findings where after the action a management review is carried out.

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