Audits

Running Self-Audits

TDW-12: 23-27th April 2018, Noumea, New Caledonia

Overview

- This presentation introduces the concept of checking data outside the database
- We introduce the concept of Self Audits, how they can be run and why they are useful
- We will explain why self-auditing is useful and how it compliments database quality checking
- We would also like to gauge participants views on auditing through a small survey at the end

Audits

Improvements through auditing

- How confident are you that your data is correct?
- How many times this year have you been asked to provide better data?
- Were you concerned about your data before coming to TDW?

→ RUNNING an AUDIT can help improve your data

Audits

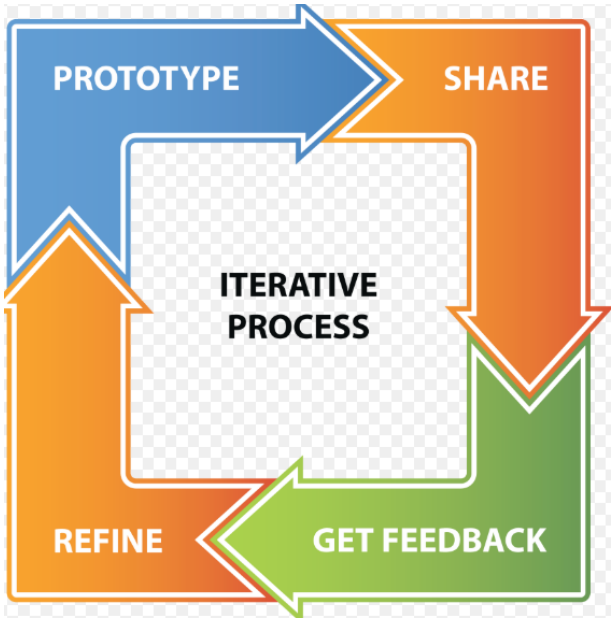
What are Audits?

- Compulsory financial audits are the most common type of audits
- Non-financial, non-regulatory ‘operational audits’ are increasingly common in industry
- Operational audits are carried out internally and focus on continuous improvement
- Self Audits of tuna data systems are the equivalent of operational audits.
- These systems are never static!

Audits

Auditing is best as an iterative process

- “A process that you do again and again to get closer to the desired result”
- For instance to run a ‘tuna data system’ audit you would document the system, check it, identify any required changes, update the documentation, implement the system, and then at some agreed point check the system again etc



Audits

Self Audits

- Are basically a check list of things to look at
- 'Internal Independent Audits' or Self Audits would be run by national staff
- Self Audits are helpful to run before regulatory audits (compulsory audits to check alignment with statutory rules)
- Examples of external regulatory audits in tuna fisheries are WCPFC obs prog audit, EU, MSC
- Self Audits empower you to improve your systems…better tuna data, better annual reports!

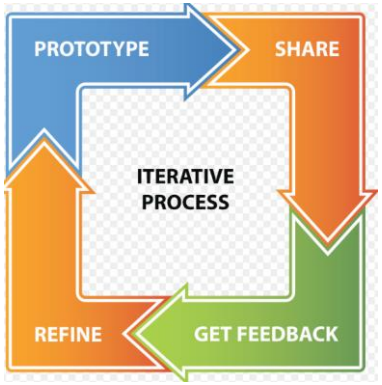
Self Audits

What do they look like

Basically a check list

Self Audits

Self Audits for Science Data

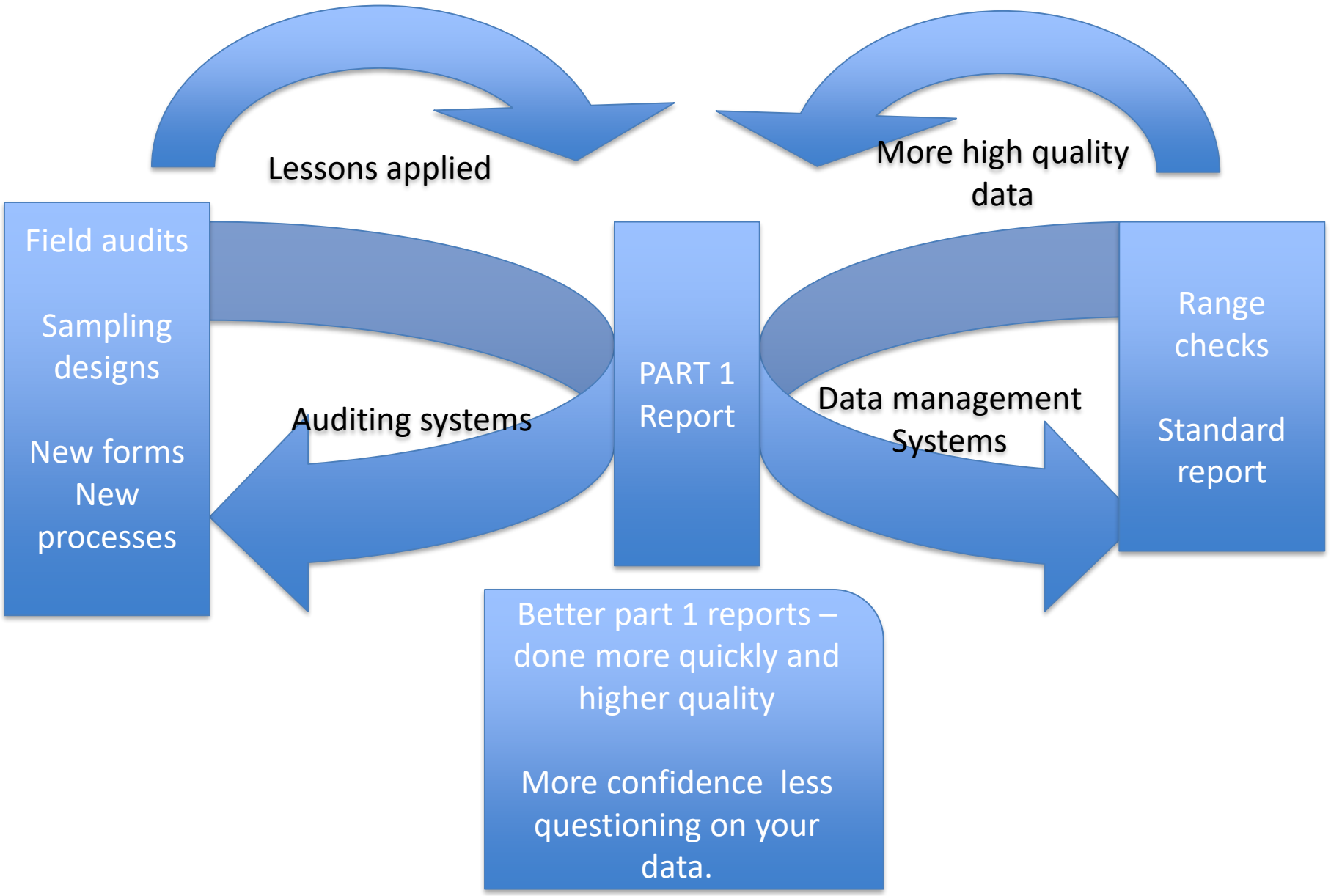


- What are you auditing against?
- Start with scientific sampling design
- Current sampling designs contained in data forms, manuals, procedures document, SC papers
- Specific sampling designs required, and to be better documented, also new designs – e.g. Port PS bycatch
- This is iterative – sampling designs change over time, e.g., as we get new science we have to revisit and refine, and also with new tools like EM new designs are required.

Self Audits

How they work with the database

- Self audits recognise the data quality checking in T2
- Self audits start with a review of the data in the dbase.
- Self audit can add new dbase Q. checks
- Self Audits can help to
  - Identify missing types of data
  - Verify the protocol
  - Verify species, Calibrate instruments
  - Physically cross -check the data.
- Trapped in metadata database


Lessons applied
More high quality data
Field audits
Sampling designs
New forms
New processes
Auditing systems
PART 1 Report
Data management Systems
Range checks
Standard report
Better part 1 reports – done more quickly and higher quality
More confidence less questioning on your data.

Self Audits

Available

Many of the self-audits are already available

We wanted to gauge your thoughts around this before moving to the next stage.

Now move to an e-survey

Thank You

Any questions while we set up the survey?