

MODULE 5

Performing the Audit



PERFORMING AUDIT



Opening Meeting



Audit itself



Reporting



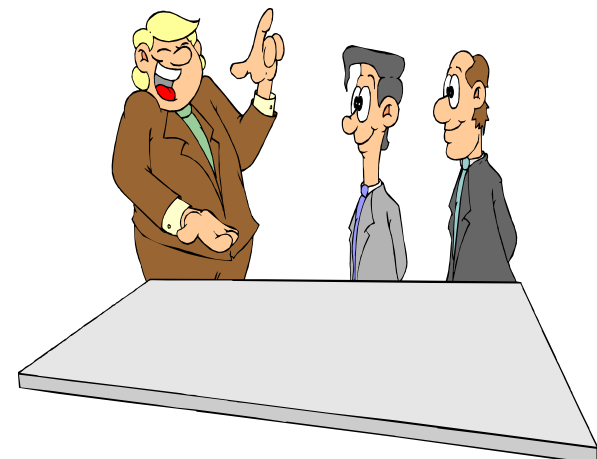
Closing Meeting



PERFORMING THE AUDIT

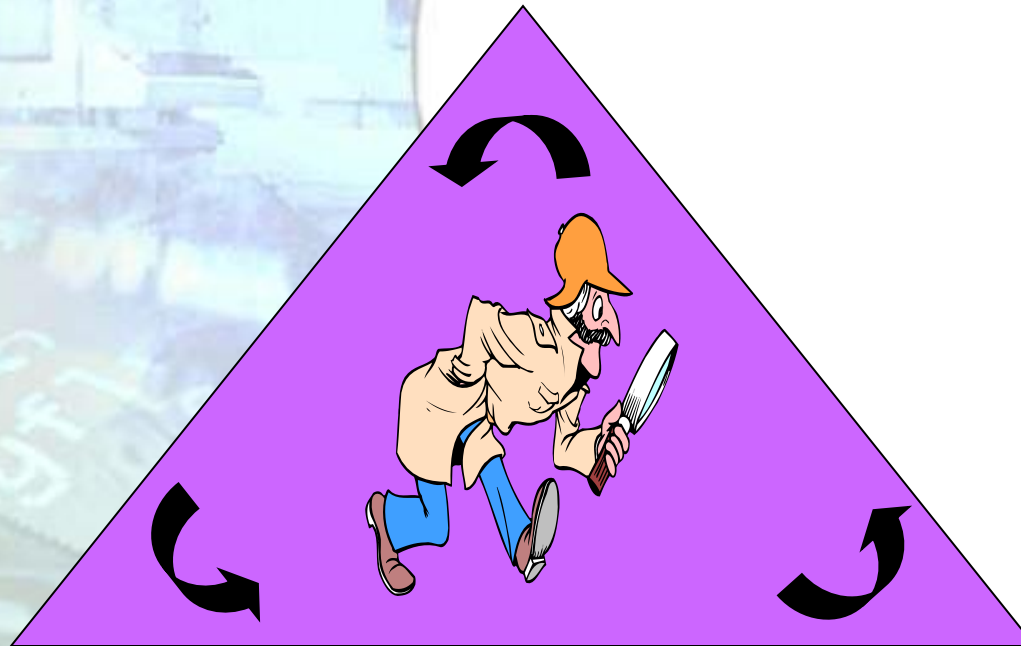
Opening Meeting:

- ❖ Introduction.
- ❖ Agree on audit scope and objective.
- ❖ Agree audit plan and time table.
- ❖ Explain the methods and procedure of conducting the audit & the method of reporting non-compliance.
- ❖ Confirm the time of the closing meeting.



How to gather informations

Interview/Question



Observe/demonstration

Examine/Check

Interview

- Main source of information gathered during the audit is by **interviewing** people.
- Interviewing people is a critical skill that all auditors must strive to master.



How to start interviews:



Start with some 'small-talk'.



Interviews can be initiated by asking the persons to describe their work.



Explain clearly the purpose of the audit.



Express your interest in his/her work.



Interview the "right" persons.



Be polite and sincere, and have empathy, i.e. to put one in another person's place, to understand the problems and pressure.

DURING INTERVIEWS...



QUESTIONS



LISTEN



OBSERVE



ANALYSE



RECORD



Listening...the most important skill!!!

Type of questions...

3 Types of Questions



- Open Ended
- Focus
- Closed Ended

Open Ended Questions

- Purpose:
 - Encourage auditee to speak.
 - To get a wide range of answer.
 - Require several sentences (or action) to reply.
- No specific answers expected.
- Need to be alert to the answer that out of context or irrelevant.



Open Ended Questions

What ?

Please explain... ?

When ?

How... ?

Who ?

Can you describe how..?

Tell me ...

Where ?

Why ?



PERFORMING THE AUDIT

OPEN-ENDED QUESTION	CLOSE-ENDED QUESTION
How do you know this is the latest revision of the document?	Is this document current?
How do you report defects when they occur?	Do you raise a non-conformance report when you detect a defect?
How do you handle a customer complaint?	Do you record customer complaints in customer complaint report?
What is the significance of the tag attached to your WIP product?	You identify your WIP with a tag, right?
How do you go about planning your internal audits?	Do you have an audit schedule/plan?
How follow-up audits are carried out?	Is follow-up audits undertaken?
How can you tell the equipment is giving you the correct results?	Is the equipment calibrated?

Open-Ended Question



Opener

Can you please tell me what do you do here?



Follow-up

What do you think can be improved?



Clarifier

When you say you can do this better, could you care to elaborate further?



Probe

What do you think are the possible responses to your proposal?

Focus Questions

- Purpose:
 - Follow up on activities highlighted during open questioning.
 - Go deeper into the understanding.
- May use auditee words as leads to focus questions.



Focus Questions

- **Focus Question**

– Example:



- You mentioned that ..., would you please explain more in detail?
- As explained earlier, how about situation like this...?

Questions to Avoid...



Vague

Provides no criteria for a satisfactory answer. E.g., What do you think about statistical techniques?



Confusing

Includes too many elements for the auditee to consider at one time. E.g., Where, why and how your quality records are maintained?



Close

Can be answered with “yes” or “no”. E.g., Do you have...?

Active Listening

- Active listening encourages auditee go deeper for further communication. Some of "door openers":
 - Interesting !
 - Tell me about it
 - Tell me more
 - Would you like to talk about it
 - Let's discuss it
 - You have something on your mind
 - Your thoughts are important to me

LISTENING

Consists of four (4) connected activities;



Sensing

*Sense the message.
Notice the emotion or the
intonation in the delivery of it.*



Interpreting

*Not only understand the
word, but also understand
the intended meaning of the
words.*

LISTENING (Cont...)



Evaluating

Evaluate the message for its importance, accuracy, factual content and applicability.



Responding

Respond with a meaningful reply.

Closes the communication loop and indicates to the auditee that the message has been received, loud and clear.

OBSERVATION



Witness the operation, control and tests or measurements.



Provides insight into level of competence of staff and manner in which the organization functions.



Keep the eyes open, look for the *unusual*.



Look for good housekeeping, 'untidiness' often indicates problem.



Check documentation issue status, authority and conditions.

RECORDS



Use to verify that working practice complies with the documentation of the quality manual, the departmental procedures and the work instructions.

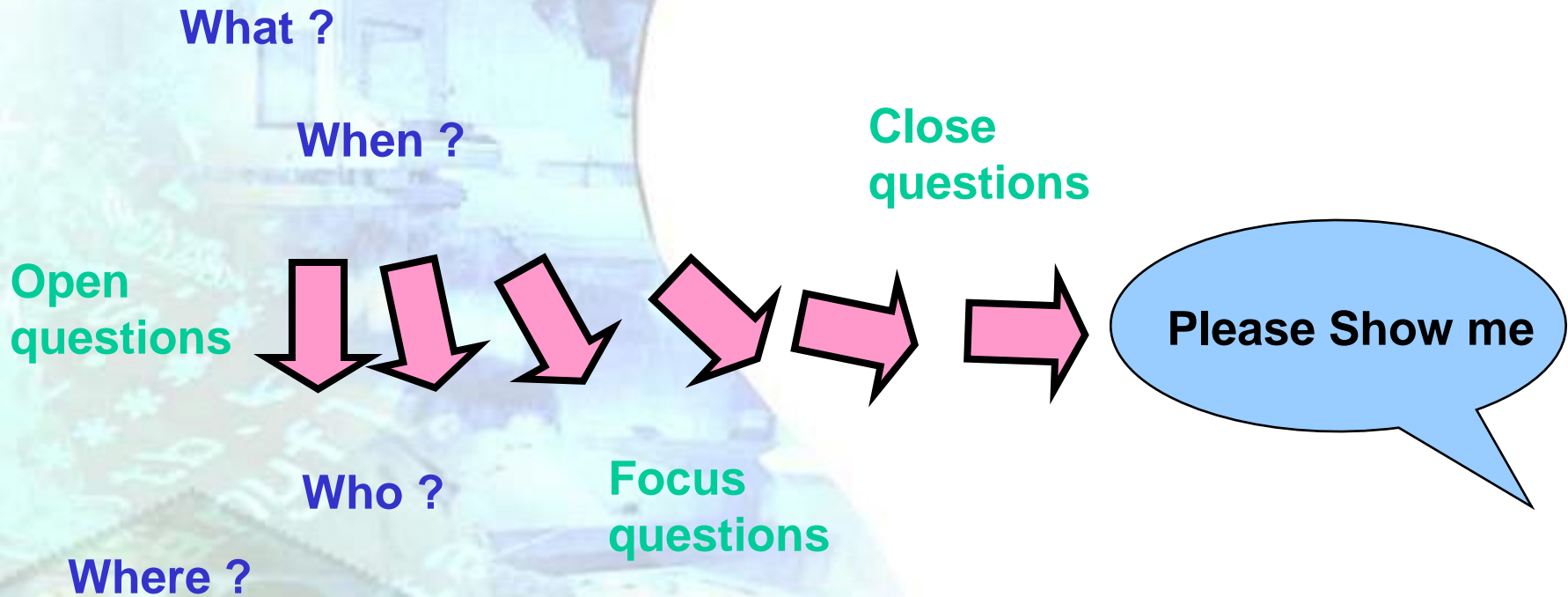


Use to confirm or deny the legitimacy of the information obtained by questioning.

AUDITOR'S BEST FRIEND



Skills of Questioning



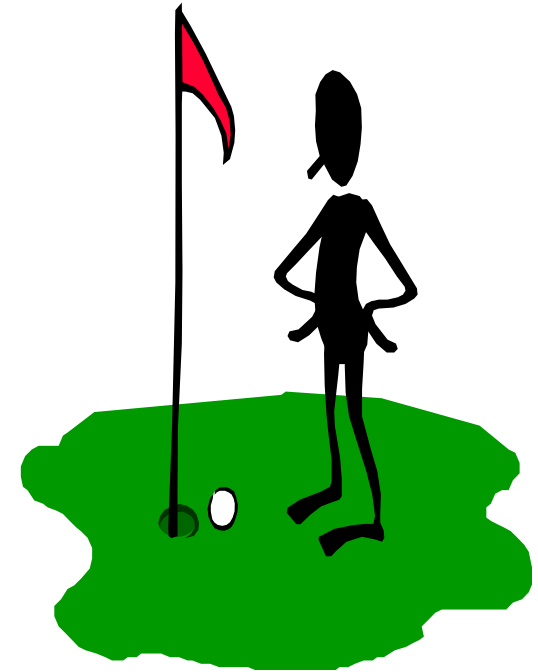
Think about this ?

- **Use correct 'Tone'.**
- **Beware of nonverbal body language;**
 - **Facial expressions.**
 - **Body positions and movement.**
- **Beware of communication barriers;**
 - **work environment.**
 - **Perceptions.**
 - **Mind set.**
 - **Culture.**



Auditor Toolkit

- **No Paper , No Pen = No Audit**
 - Clipboard
 - Audit plan
 - Audit checklists
 - Note pad
 - Audit report forms
 - Pen
 - ISO/IEC 17025:2005 standard



Audit is based on sampling

- Audit is based on sample.
- Select a sample that is:
 - Relevant.
 - Reasonable.
 - Representative.

“No NCR doesn’t mean the system is good”



Taking Notes As Reference

Please, Please, Please Take Notes !!!



For Investigation Now



For Investigation Later







For Use During Report Writing



For Use By Other Auditor



Audit Note (example)

-  Number of record
-  Statements
-  Item identifiers
-  Names
-  Locations/ Places
-  Dates
-  Positions

Do Not trust your memory!
Write down the details as you go...



Audit Notes		Page 1 of 17
Client:		Audit Date:
Dept/Auditee: Purchasing/Amde		Auditor: Bs.
Reference	Items To Be Investigated/Observation	Remarks
QPS- am	Opening Meeting by the lead Auditor.	2 marks
	Process Owner = Nurhaslinda / Intan (value)	QA
	Purchase mfr. process	2 marks
	N/Amda (Purch. Exp.)	
	Responsibilities & Authority = Job description	
	- To handle purchasing activities	
	- Not aware of responsibility described in the Job	
	Competency Requirements	
	Exp. = 4 yrs purchasing	
	Output/Inss: clear purchasing process	
✓	1. Supplies with good performance.	
✓	2. Smooth supply of the mfr.	Complete
mark	3.	1/2 mark
		1/2 mark
		1/2 mark
5.4.1	Q. Objectives / Targets.	negative
	1. Cost down 3% of worth in line of value graph	
	Sales per year. Annualised monthly	✓
	2.	

Points to Remember



Avoid following a checklist mechanically.






As the quality system evolves and changes, the audit checklist should evolve too, to reflect upgrades in operations and procedures.

AUDIT TRAILS

Definition...

A path of enquiry and discovery that an auditor follows in search of objective evidence.






How...

-  Focus on key issues.
-  May deviate to investigate the exceptions, unusual situations and support function.
-  Wherever possible, try to establish a chain reaction.



AUDIT TRAILS (Cont...)

Example...

-  **Where** the information or the product comes.
-  **What** they do next until the final stage.
-  **Where** the outputs go to.
-  **What** are the applicable documentation.
-  Along the route, ask **What if** to uncover provision for;
 - changes in the flow.
 - to prevent uncontrolled deviations.

Remember!!!!



If you cannot express the problem in the words of the procedure or standard then you do not have a non-conformance.

Closing Meeting - Purpose

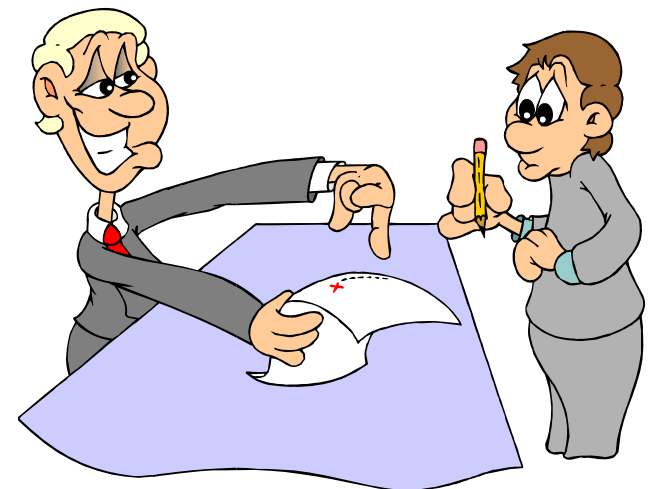
To present audit findings to the auditee in such a manner as to obtain their clear understanding and acknowledgement of the factual basis of the audit findings.

The Closing Meeting shall be chaired by the Audit Team Leader



Closing Meeting

- **Opening Remarks & thanks**
- **Attendee list - Pass around for signatures**
- **Review audit objective and scope**
- **Restrictions/ limitation**
- **Tell of GOOD things you saw**
- **Review of findings**
- **Clarification**
- **Agreement and Q & A**
- **Closing and Thank you**
- **Save audit finding as Quality Records**



END OF SESSION 5:
PERFORMING THE AUDIT

THANK YOU VERY MUCH