



Tutorial 16 implementing an audit program



Understanding

Auditing Auditing - working with ISO 19011 (<https://www.nen.nl/en/uit-2-2020-nl-7595947>)

“Auditing is , probably, one of the most powerful management tools to use.

It is also one of the most underestimated tools and only used because of chapter 9.2 of your ISO requirements”

In this tutorial, we will help you to lift your audit program to a higher level.



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Understanding

Auditing

Auditing - working with ISO 19011

Before starting

- define audit scope (ISO, but also finance, ICT, Suppliers..)
- difference between audit program and audit plan.
- assign and train your audit program managers.
- assign and train your auditors
- order *“working with ISO 19011”** and read chapter 1.4 page 22.

* (<https://www.nen.nl/en/uit-2-2020-nl-7595947>)



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Understanding

Audit program



- **create overall audit program matrix.**
- **assign goals audit program.**
 - from strategic perspective
 - from management perspective
 - from compliance perspective
 - from third parties (suppliers or dealer) perspective

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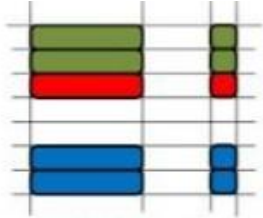


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Understanding

Determine scope audit program



- Determine scope
- Determine frequency and number of audits, based on available resources.
- Determine which standards are leading.
- Determine resources (people, time & cost).
- Determine risks audit program.

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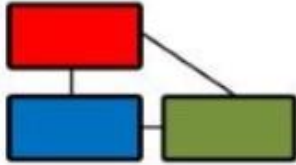


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Understanding

Audit resources



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- **quantitative resources.**
 - expected time required by auditors, audit program managers and auditees.
 - additional expected cost auditing.
- **qualitative resources.**
 - create audit procedure (extra slide later on).
 - determine audit methods to use.
 - determine use of documents and records..
- **Competence auditoren.**
 - determine required knowledge and experiences.
 - train audit team.

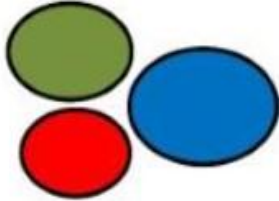


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Understanding

Audit planning and executing



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- **communication.**
 - periodically with your internal stakeholders
 - about the audit program and progress.
- **plan and execute individual audits.**
 - based on the audit planning.
 - based on a trained and competence audit team



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Understanding

Follow up & records



- **follow up audits.**
 - check results and usability audit findings
 - check follow-up activities (with in 90 days!?)
 - inform management team about progress

- **records**
 - audit program
 - audit planning
 - audit agenda, report & follow up
 - competence audit team

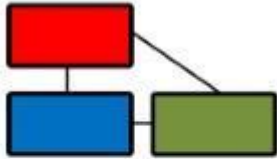
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Understanding



PROCEDURES /
INSTRUCTIONS

Create auditing procedure.

- Chooses standard procedure template.
- Describe activity steps and used documents
- Save procedure in ISO procedures in tdkmoms folder.
- Connect the procedure to your log file (index).



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Understanding



Add monitoring audit program & audit planning in your ISO plan & planning

PLANNING



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Understanding

managing of product audits

“A product audit is a periodic (daily) sample check on finished products "with the eyes of the customer".

Product audits are carried out by qualified employees, usually belonging to a main quality assurance department and reporting directly to the management team of the production unit.

With this type of audits you focus on the process and not the product.



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Understanding

managing of external audits*

***“In order to have maximum effort and minimal damage of expected external audits from third parties (check your requirements and stakeholders), you better check the expected date and contents of the audit and take appropriate actions for unannounced audits. the second step is to integrate these audits in your regular audit program.
Finally ensure that your organisation is ready for the audit”.***

With this type of audits you focus on the expected requirements.

* note the difference of process and product audits



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Understanding

managing of product approval audits*

“product approval audits (or inspections) are a periodic sample check on finished product, components, processes and documents, based on specifications and product review by certifying body (Dekra, UL, NSF ...) Take appropriate actions for these unannounced audits, findings can have direct impact on your sales and can lead to recall. ensure that your organisation, product and processes is ready for the audit” the second step is to integrate these audits in your regular audit program.

With this type of audits you focus on external requirements (standards and guidelines).

* note internal product approval and managing CE declaration based on standards and guidelines are out of scope



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Understanding

Finally Remember:

- it is about functioning and improving processes and not about assessing employees.
- Follow-up is NOT the task of the auditor.
- Results of external audits, especially product approvals, are crucial for your company. Be aware and prepared.
- Make sure that you have management control over your audit program.

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