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Welcome

Welcome and thank you for your time and dedication in making the Clarksville-Montgomery County School System (CMCSS) a better place.

The information you are about to receive is based on years of careful study and experience gained during actual audits at the CMCSS and other school districts.

This course guide is intended to help you develop a basic understanding of the CMCSS Process Management System (PRM) internal audit system and basic auditing techniques which will assist you in developing your auditing skills.

You are encouraged to ask questions and join in open discussions.

Message from the Director



In 2002, CMCSS made a commitment to improved efficiency by adopting the International Organization for Standardization (ISO) requirements for a quality management system. In 2003 the district received its first certification to the standards of ISO 9001:2000. We have continued our certification and recently were recertified in June 2009, complying with the requirements of ISO 9001:2008. ISO is making a positive difference in the way we do business as an efficient, effective organization.

One of the requirements of ISO 9001:2008 is conducting Internal Audits. Our Senior Leadership Team supports an internal audit process to assess the strengths and weaknesses of the quality management system. The internal audit processes keeps all our departments of the school system focused on quality processes and procedures. We are strongly committed as a district to taking the steps necessary to constantly make our processes better, and these audits are an important tool in that work.

Audits are about people communicating and interacting with other people. The successful implementation of internal audits is therefore largely dependent on the auditor's credibility, authority, and ability to influence change. The term "professional" is often used to describe effective auditors and you have all been chosen because of your professionalism. The term professionalism is one word that summarizes a range of attributes and abilities and is the greatest accolade that can be given to an auditor. These attributes include honesty, objectivity, tenacity, hard work, diplomacy, fair-mindedness, and integrity.

Our quality management system can only be as effective as our internal audit system. My thanks to all staff members who have agreed to participate as internal auditors and to their supervisors who recommended them for this position. I look forward to another year of successful and value added internal audits.

Michael T. Harris
Director of Schools

Eight Quality Principles

A quality management principle is a comprehensive and fundamental rule/belief for leading and operating an organization, aimed at continually improving performance over the long term by focusing on customers while addressing the needs of all other stakeholders. Below we have provided the eight quality principles and examples of their application.

Principle 1 - Customer-Focused Organization: Organizations depend on their customers and, therefore, should understand current and future customer needs, meet customer requirements, and strive to exceed customer expectations.

Steps in the application of this principle are:

1. Understand customer needs and expectations.
2. Ensure a balanced approach among customers' and other stakeholders' (owners, people, suppliers, local communities, and society at large) needs and expectations.
3. Communicate these needs and expectations throughout the organization.
4. Measure customer satisfaction and act on results.
5. Manage customer relationships.

Principle 1 Notes:

Principle 2 - Leadership: Leaders establish unity of purpose and direction of the organization. They should create and maintain the internal environment in which people can become fully involved in achieving the organization's objectives.

Steps in the application of this principle are:

1. Be proactive and lead by example.
2. Understand and respond to changes in the environment.
3. Consider the needs of all stakeholders including customers, owners, people, suppliers, local communities, and society at large.
4. Establish a clear vision of the organization's future.
5. Establish shared values and ethical role models at all levels of the organization.
6. Build trust and eliminate fear.

7. Provide people with the required resources and freedom to act with responsibility and accountability.
8. Inspire, encourage, and recognize people's contributions.
9. Promote open and honest communication.
10. Educate, train, and coach people.
11. Set challenging goals and targets.
12. Implement a strategy to achieve these goals and targets.

Principle 2 Notes:

Principle 3 - Involvement of People: People at all levels are the essence of an organization and their full involvement enables their abilities to be used for the organization's benefit.

Steps in the application of this principle are:

1. Accept ownership and responsibility to solve problems.
2. Actively seek opportunities to make improvements and enhance competencies, knowledge, and experience.
3. Freely share knowledge and experience in teams.
4. Focus on the creation of value for customers.
5. Be innovative in furthering the organization's objectives.
6. Improve the way of representing the organization to customers, local communities, and society at large.
7. Help people derive satisfaction from their work.
8. Make people enthusiastic and proud to be part of the organization.

Principle – 3 Notes:

Principle 4 - Process Approach: “A desired result is achieved more efficiently when related resources and activities are managed as a process.”

Steps in the application of this principle are:

1. Define the process to achieve the desired result.
2. Identify and measure the inputs and outputs of the process.
3. Identify the interfaces of the process with the functions of the organization.
4. Evaluate possible risks, consequences, and impacts of processes on customers, suppliers, and other stakeholders of the process.
5. Establish clear responsibility, authority, and accountability for managing the process.
6. Identify internal and external customers, suppliers, and other stakeholders of the process.
7. When designing processes, consider process steps, activities, flows, control measures, training needs, equipment, methods, information, materials, and other resources to achieve the desired result.

Principle 4 Notes:

Principle 5 - System Approach to Management: Identifying, understanding, and managing a system of interrelated processes for a given objective improves the organization’s effectiveness and efficiency.

Steps in the application of this principle are:

1. Define the system by identifying or developing the processes that affect a given objective.
2. Structure the system to achieve the objective in the most efficient way.
3. Understand the interdependencies among the processes of the system.
4. Continually improve the system through measurement and evaluation.
5. Estimate the resource requirements and establish resource constraints prior to action.

Principle -5 Notes:

Principle 6 - Continual Improvement: Continual improvement should be a permanent objective of the organization.

Steps in the application of this principle are:

1. Make continual improvement of products, processes, and systems an objective for every individual in the organization.
2. Apply the basic improvement concepts of continual improvement.
3. Use periodic assessments against established criteria of excellence to identify areas for potential improvement.
4. Continually improve the efficiency and effectiveness of all processes.
5. Promote prevention-based activities.
6. Provide every member of the organization with appropriate education and training on the methods and tools of continual improvement, such as the Plan-Do-Check-Act cycle.
7. Establish measures and goals to guide and track improvements.
8. Recognize improvements.

Principle – 6 Notes:

Principle 7 - Factual Approach to Decision Making: Effective decisions are based on the analysis of data and information.

Steps in the application of this principle are:

1. Take measurements and collect data and information relevant to the objective.
2. Ensure that the data and information are sufficiently accurate, reliable and accessible.
3. Analyze the data and information using valid methods.
4. Understand the value of appropriate statistical techniques.
5. Make decisions and take action based on the results of logical analysis balanced with experience and intuition.

Principle – 7 Notes:

Principle 8 - Mutually Beneficial Supplier Relationships: An organization and its suppliers are interdependent, and a mutually beneficial relationship enhances the ability of both to create value.

Steps in the application of this principle are:

1. Identify and select key suppliers.
2. Establish supplier relationships that balance short-term gains with long-term considerations for the organization and society at large.
3. Create clear and open communications.
4. Initiate joint development and improvement of products and processes.
5. Jointly establish a clear understanding of customers' needs.
6. Share information and future plans.
7. Recognize supplier improvements and achievements.

Principle – 8 Notes:

What am I looking for?

- You are looking for evidence that implementation of the 8 quality principles is being applied.

Notes:

How do I find it?

- You will discover this through the interviewing process, general observation, and the gathering of evidence while visiting the department and those who work within it.

Notes:

ISO 9001 QUALITY MANAGEMENT SYSTEM

ISO 9001:2008 is an internationally recognized standard for a quality management system that:

- Consistently meets customer and regulatory requirements, and
- Continuously improves operations and activities to enhance customer satisfaction

ISO 9001:2008 sets out how a company can establish an effective quality management system to meet its stakeholders' needs

Public/Community Feedback Indicates the:

- Need to provide better service to schools/customers
- Need to spend every tax dollar wisely

Benefits Include:

- Effective Management of Resources
- Increased Public Confidence
- Improved Communications
- State and National Recognition
- Say What You Do (Document business/operations procedures)
- Do What You Say (Consistently follow procedures)
- Continuously Improve (Seek customer feedback to insure process meets their needs)

Includes all documents and planned activities an organization uses to ensure quality products and services. These include:

- Documented Processes
- Forms and Templates
- Work Instructions
- Guidance, Training and Competencies
- Tools and Equipment, Including Computer Systems and Software
- CMCSS uses a three letter acronym (for the most part) followed by A- Administrative Policy, P-Procedure, W-Work Instructions, F-Form, M-Manual, etc.
- Documentation is accessible at <http://www.cmcoss.net/iso/main.asp>

CMCSS Quality Management System:

- System's focus is to improve services provided by Communications, Finance, Human Resources, Instruction, Technology, and Operations in support of the system's schools
- Extends outside organization to include customers/stakeholders
- Continuous, two-way flow of information between organization and customers/stakeholders regarding requirements, expectations and satisfaction
- Creates confidence in capability of processes and reliability of products
- Provides a basis for continual improvement
- Leads to increased customer satisfaction and to the success of both the organization and its customers

Management Responsibility:

- Senior Leadership sets and communicates commitment to district objectives.
- Management Review Team routinely reviews the system to determine its effectiveness and ensure continuous improvement.

Corrective & Preventive Action System:

- Customers identify actual or potential problems through a process that insures their consideration of their suggestions.
- Management reviews responses to identify trends that may indicate system-wide problems which need attention.

Internal Quality Audits:

- Groups of employees trained to conduct internal audits of district departments to confirm:
- The accuracy of the written procedures,
- That the procedures are consistently being followed, and
- That the process is effective in meeting customer expectations.

External Audit: –

- Conducted by an independent registrar to recommend certification that the process management system meets the requirements of the international standard.

Quality Policy:

- To provide Communications, Finance, Human Resources, Instruction, Technology, and Operations support for our schools in achieving our mission which is:

“To Educate and Empower Our Students to Reach Their Potential.”

ISO 9000: Series of Standards

ISO 9000 - Fundamentals and Vocabulary

- Quality Management Systems (QMS) fundamentals and vocabulary (**Terms**)

ISO 9001 - Requirements

- Specifies requirements for a QMS where capability to provide product that meets customer and regulatory requirements needs to be demonstrated (**Shall**)

ISO 9004 - Guidelines for Performance Improvement

- Provides QMS guidance that contributes to the satisfaction of customers and other interested parties (**Should**)

Auditor Tool Box

The primary references you will use to conduct an audit are the

- Eight Quality Principles
- CMCSS Process Management Manual ([PRM-M001](#))
- ISO 9001:2008 Standard
- ISO 9004:2000 Guidelines for Performance Improvement
- Internal Audit Notification ([PRM-F100](#))
- Audit Preparation List ([PRM-F101](#))
- Internal Audit Checklist ([PRM-F102](#))
- Internal Auditor Schedule ([PRM-F103](#))
- Audit Opening Meeting Checklist ([PRM-F104](#))
- Internal Audit Sign-In Sheet ([PRM-F105](#))
- Internal Audit Feedback ([PRM-F106](#))
- Audit Closing Meeting Checklist ([PRM-F107](#))
- Internal Audit Report ([PRM-F108](#))
- CMCSS Internal Audit Correction Report ([PRM-F109](#))
- Procedural Audit Interview Checklist ([PRM-F110](#))
- Internal Audit Procedure ([PRM-P001](#))
- Internal Audit Work Instructions ([PRM-W001](#) & [W002](#))

You are encouraged to review all publications and refer to them when a question of conformance arises.

Principles of Auditing

- Ethical conduct: The foundation of professionalism
- Fair presentation: The obligation to report truthfully and accurately
- Due professional care: The application of diligence and judgment in auditing
- Independence: The basis for impartiality of the audit and objectivity of the audit conclusions
- Evidence-based approach: The rational method for reaching reliable and reproducible audit conclusions in a system audit process

Notes:

The Role of the Auditor

- Catalyst
- Management Instrument
- Interface with suppliers, customers and colleagues
- Consultant
- Please reference Job Descriptions included in packet

Notes:

Auditor Qualifications/Characteristics

- Audit training

- Personal attributes:
 - Tact
 - Flexibility
 - Persistence
 - Objectivity
 - Integrity

- Ability to conduct audit activities independently and/or in a team:
 - Planning
 - Interviewing
 - Analytical
 - Reporting
 - Good communication skills
 - Oral
 - Written

- Please reference Job Descriptions included in packet

Notes:

Responsibilities of Audit Team Member

Pre-Audit Duties:

Receives audit notification, assignment and meeting date from Team Leader

Collects data and documents needed for audit preparation

Attends meeting and completes checklist

Audit Duties:

Attends opening meeting

Interviews employees and verifies documentation

Meets with team leader during audit as necessary

Attends closing meeting and reports nonconformances

Post Audit Duties:

Completes internal audit report form and forwards to team leader

Writes nonconformance and forwards to team leader

May elect to follow up on nonconformance they have written (discuss with team leader)

Notes:

Responsibilities of Team Lead

Pre-Audit Duties:

- Receives audit notification from process management coordinator
- Makes initial contact with department head for any concerns or requests
- Sends audit notification to appropriate party(ies)
- Makes audit assignments
- Organizes audit team and calls pre-audit team meeting
- Develops audit time schedule
- Reviews audit checklist(s)
- Sends matrix and audit time schedule to department head

Audit Duties:

- Conducts opening meeting
- Assists auditors throughout audit process
- Conducts closing meeting

Post Audit Duties:

- Writes internal audit report
- Meets with PRM Coordinator
- Follow up on nonconformance(s)

Notes:

PLAN THE AUDIT

Using the Checklists

- Checklists are a **VERY** important part of preparing for the audit. Checklists
 - Are an audit guide
 - List areas to investigate
 - List questions to ask
 - Show evidence of planning
 - Keep you focused
 - Maintain pace and direction
 - Minimize bias
 - Reduce work during the audit

Notes:

Internal Audit Checklist

- The information in section I of the **Internal Audit Checklist** (PRM-F102) will assist the auditor in developing the audit plan.
- This area provides 11 steps which must be followed in order to properly plan for the audit.

Step -1 Scheduling

Step – 1 Upon receiving the audit assignment from the Process Management Coordinator:

- Process team lead contacts team members and then contacts the assigned department representative to schedule audit time(s) to meet with the department leadership.
- Procedural auditor schedules audit with department.
- In the space provided below record the information.

Department Contact Information	Name _____ Title _____				
Meeting information	Date	Time	Location	Bldg.	Room #

Notes:

Step -2 Organizational Chart and Measurable Objectives

- When scheduling the audit time with the department representative, request a copy of the department’s organizational chart and measurable objectives (Attachment B of PRM-M001).

Notes:

Step -3 Choosing Procedures to Examine

Prior to performing the audit, locate the department's documented procedures, forms, policies, procedure manual, etc. pertaining to the scope of audit located on the CMCSS website.
<http://www.cmcss.net/iso/main.asp>

- Choose which document(s) you plan on auditing and record the document number, title, and date in the space provided below.

Document Number:	Document Title:	Document Date:	Revision:

- During the audit, review the chosen procedures/documents with the appropriate staff member. Have that person walk you through the procedure/process. Record staff member's name(s) in section 3, page 9 of 12, of the Internal Audit Checklist (PRM-F102).

Notes:

Step -4 Review Measurable Objectives

- Review the measurable objectives. (Refer to section 2, question 3, page 3 of 12 of the Internal Audit Checklist, PRM- F102)

Notes:

Step – 5 Choosing areas to examine

- Review the organizational chart and define the area(s) of Leadership, Management/ Supervisor, and Staff within the scope of audit that you would like to examine. Record the names of the leadership under Step 8, page 2 of 12, and record the names of the management under Step 9, page 2 of 12. During the course of the audit, randomly select three staff members, record their names in Section 3, page 10 of 12, and ask each staff member questions 21.1 through 21.5.

Notes:

Step – 6 Review Previous Audits

Review the department’s previous audits, both internal and external. (Files are available in the PRM Coordinator’s office)

- Were there any prior opportunities for improvement or nonconformances found?
 - Yes No
- If yes, during the audit, verify if there is evidence the department has taken action to correct the opportunity for improvement (OFI) and/or non-conformance (N-C)?
 - Response and objective evidence:
 - Yes No (issue a corrective action request) Opportunity for Improvement

Notes:

Step -7 Areas to be examined

There are three areas in the organization that must be examined, Leadership (L1), Management/Supervisor (M2), and Staff (S3).

Leadership- L1

- Leadership is the department head who is also a member of the Senior Leadership Team (SLT).
- These candidates will be required to answer all 21 question provided in PRM-F102. If you have questions as to where you should start, contact the PRM Coordinator/team lead.

Management- M2

- In most cases, the employees in area of middle management/supervision are directed to report to leadership and have the responsibility of overseeing the specific areas which you have chosen to examine.
- These individuals will be required to answer questions 1 through 5 and additional questions you would like to ask of the remaining 15 questions (not all 21 questions are required).
- The purpose here is to check for evidence of leadership’s implementation and communication through the different layers of the organization. If you have questions as to where you should start, contact the PRM Coordinator/team lead.

Staff- S3

- As the audit progresses, you will discover the audit trail leading towards the outer-reaching areas of the department where staff members are located and most likely have a direct interface with the department’s customer.

- Section 3 of PRM-F102 provides a series of questions which will be asked of department staff members within the scope of the audit.
- Keep in mind that the staff members who are interviewed must be within the scope of the audit and should not be brand new to the department.
- Record the names of the staff members you interviewed and record their answers in the provided areas.
- The purpose is to check for evidence of leadership's and management's implementation and communication efforts throughout the different layers of the organization.
- If you have questions as to where you should start, contact the lead PRM Coordinator/team lead.

Notes:

Step – 8 Interviewing Leadership

All 21 questions provided in this checklist must be asked of the Leadership (L1). Record name(s) of the leadership representative you spoke with in the space provided.

Leadership Name:	Title:
Leadership Name:	Title:

NOTE: Inform the leadership representative of the area(s) you plan on visiting during the audit and request to meet with the appropriate manager/supervisor(s).

Notes:

Step – 9 Interviewing Management/Supervision and Staff

Step – 9 Management/Supervisor (M2) must be asked questions 1 through 5. In addition you may select any of the remaining questions in this checklist. Ensure there is sufficient evidence of communication and information flow among Leadership (L1) and Management/Supervisor (M2).

Management/Supervisor Name:	Title:
Management/Supervisor Name:	Title:

NOTE: Inform the manager/supervisor of the areas you plan on visiting during the audit and request to meet with the appropriate staff member(s) who can walk you through the procedures you have chosen to audit. Record staff names and their responses on page 9 of 12.

Notes:

Step -10 Closing the Audit

Upon completion of the audit, if you have not completed the Audit Summary, Team Lead informs L1 representative that the audit summary will be provided within 2 to 3 business days. In addition, conduct a closing meeting with leadership and provide feedback concerning the audit.

Notes:

Step -11 Audit Summary Report

Upon completion of the audit summary, Team Lead provides the original to the Process Management Coordinator and a copy to the department leadership.

Opening Meeting/Starting the Audit

- Confirm the audit schedule
- Provide a short summary of how audit activities will be performed
- Confirm communication channels
- Provide an opportunity for the auditee to ask questions
- Opening meeting should be chaired by the Audit Team Lead and attended by audit team members and auditee management (and others if appropriate)

Notes:

Gathering Evidence

- Use your checklist.
- Decide how to handle potential audit trails.
 - Disregard
 - Note for later
 - Follow-up at the time
 - If unsure, call Audit Team Lead, Process Management Coordinator, or Management Representative
- Be sure evidence is objective – hearsay is not acceptable for identifying non-conformities.
- Talk with the right people.
- Ask the right questions.
- Stay focused.
- Maintain direction and control.
- Establish and agree on the facts.
- Verify your understanding.
 - Restate it
 - Check multiple sources (individuals, documents)
 - Be observant
 - What is the extent of the problem

Notes:

Interviewing

- Ask open-ended questions.
- Use silence.
- Let them explain.
- Be like an investigative reporter.
- Auditor's demeanor:
 - Professional and efficient
 - Use conversational tone
 - Practice good listening skills
 - Maintain same eye level
 - Develop rapport

Notes:

Interviewing in Teams

- One auditor takes the lead "speaking" role
- The other auditor
 - Watches, listens, takes notes
 - Keeps to the schedule
 - Corroborates findings
 - Offers expertise
 - Is impartial
 - Can ask follow-up or clarifying questions

Notes:

Interviewing and Taking Notes

- Notes should identify
 - Admissible statements
 - Document identifiers
 - Positions and names of interviewees
- What
 - Recording findings of nonconformities
 - Evidence of those nonconformities
- How
 - Do not appear to ignore the interviewee
 - Refer to what you are investigating now and later
 - Consider using a system of marking
 - Make notes legible and complete

Notes:

Auditee Reactions

- Try to enlist your help
 - Use your judgment whether to assist or tactfully decline
- Challenge your findings
 - Cite the facts
 - Acknowledge your mistake, if applicable
- Volunteer information
 - Use judgment to decide if it is worth investigating
 - Try to distinguish between a “cry for help” and a distraction
- Diversionary tactics
 - Maintain your control
 - Keep the audit on schedule
- Conflict
 - Assure the auditee that no blame is sought
 - Reinforce the benefits of the audit process
- Perceived authority
 - Be diplomatic and patient
 - Respect their own authority

Notes:

Identifying Nonconformities

- What constitutes nonconformity?
 - Does not comply with the standard, PRM Manual or regulatory requirement
 - Implemented process/procedure/work instruction is not effective and/or not being followed
- Establish the facts to decide if nonconformity exists:
 - Observation of the facts
 - Why the facts constitute a nonconformity
 - Who provided the information
 - Where the nonconformity was found
 - Get help from the auditee
 - Discuss concerns
 - Verify
 - Collect all the evidence
 - Exact observation
 - State why nonconformity
 - State who (if relevant) (don't focus on the individual)
 - State where
 - Verify the accuracy of the information
- Identify Seriousness of the Nonconformity
- What is the likelihood of such a thing going wrong again?
- What could go wrong if the nonconformity remains uncorrected?
- What impact will the nonconformity have on:
 - Customers
 - Products
 - Business reputation
 - Costs
 - Safety
- Classes of Nonconformities
 - Minor
 - Major
 - Opportunity for Improvement (OFI) also known as Observation

- Minor:
 - An isolated, witnessed incident of failure to comply with a procedure or quality management system requirement
 - A minor problem that warrants attention
- Major:
 - A significant nonconformity with the requirements of the Standard
 - A failure of a complete system or the lack of a quality management system requirement
 - A significant quantity of minor failures to meet quality management systems requirements
- Opportunity for Improvement (OFI) also known as observation:
 - A statement of fact made during the audit and substantiated by objective evidence and the nonconformity is categorized of very low significance. Where many observations are recorded, the cumulative effect may result in a nonconformity.

Notes:

21 Questions on the Internal Audit Checklist

Now that a plan has been developed between all concerned parties, it is time to actually **DO** the audit as planned.

- The following questions have been derived from three years of previous external and internal audits and are based on the requirements of ISO 9001:2008 and the guidelines provided in ISO 9004:2000.
- Each question is titled with the areas under examination and the requirements from which it was derived.
- This list of questions is not an exhaustive list that could be asked. The questions presented here cover major areas of the requirements and have been found relevant starting places by which further discovery can be made.
- The questions provide basic components of organizational management which are required to show evidence of implementation of the requirements and the continual improvement efforts of the department.

Follow the Yellow Brick Road

- Before you begin asking questions from the audit checklist you need to be aware of the pattern as to which the questions are asked.
- Not all questions are asked of everyone.
- The model below states which questions should be asked to whom.
- The organizational model shows the pattern that should be followed (**Figure B**). By examining and using the organizational chart as a roadmap, you can ensure a broad spectrum of the department is examined.
- You are not only asking questions to receive a “yes” or “no” answer; you are seeking evidence that those answers are validated with some form of proof.
- You are also checking to see if the eight quality principles are being applied.

Notes:

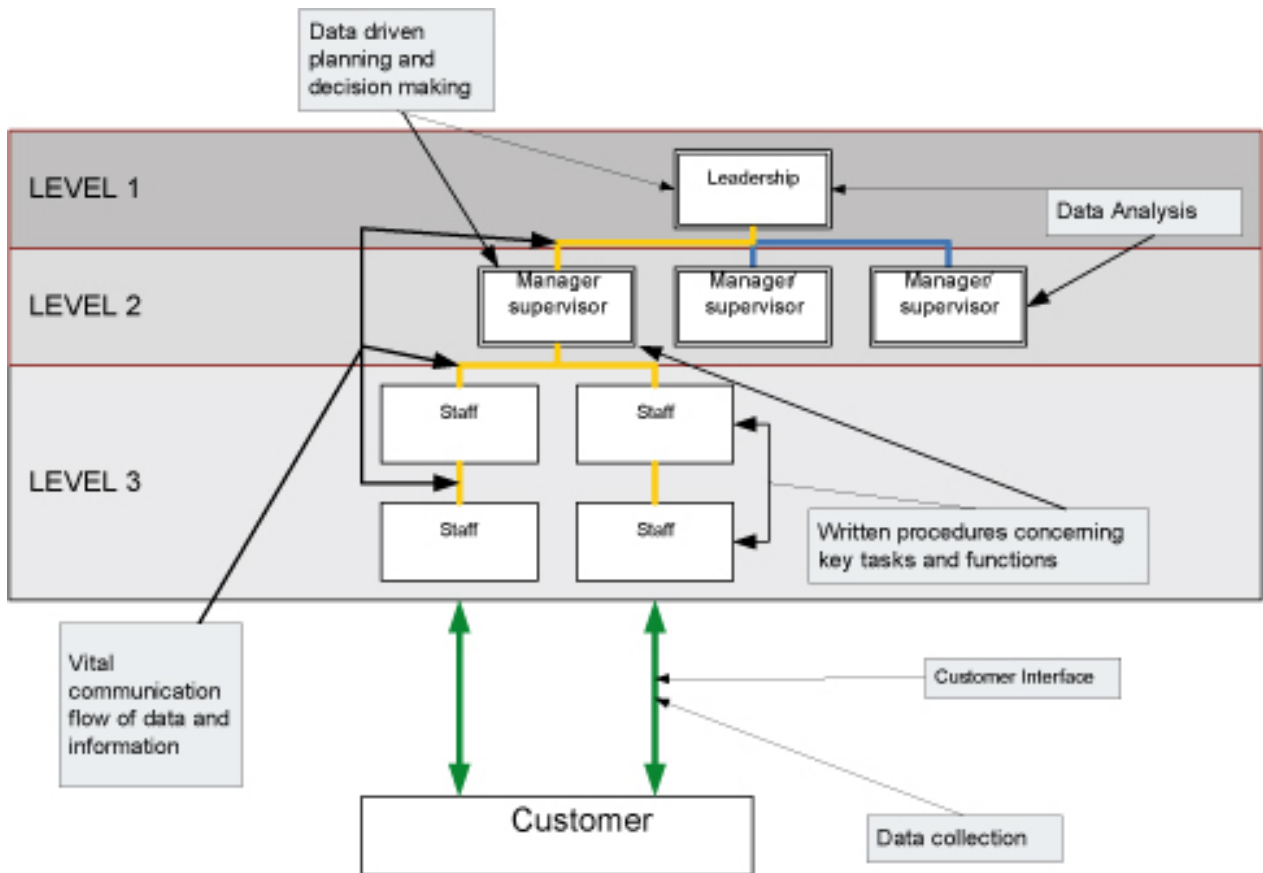


Figure B

Notes:

21 Questions

1. Organizational Chart (ISO 5.5.1)

Notes:

2. Mission Statement (ISO 5.3)

Notes:

3. Measurable Objectives (ISO 5.4.1)

Notes:

4. Meeting Minutes (ISO 5.1)

Notes:

5. Employee Feedback and Suggestions (ISO 5.5.3)

Notes:

6. Continual Improvement/Corrective/Preventive Action (ISO 8.1)

Notes:

7. New Employee Department Orientation (ISO 6.2)

Notes:

8. Department Procedures (ISO 4.2)

Notes:

9. Training (ISO 6.2.2)

Notes:

10. Data Disaster Response Plan (ISO 6.4)

Notes:

11. Use of Machines, Tools or Computers (ISO 7.6)

Notes:

12. Document Control Information (ISO 4.2)

Notes:

13. Customer Feedback/Satisfaction (ISO 8.2.1)

Notes:

14. Analysis of Data (ISO 8.4)

Notes:

15. Infrastructure/Work Environment (ISO 6.3, 6.4)

Notes:

16. Resource Needs (ISO 6.1)

Notes:

17. Cost Saving, or Cost Avoidance (ISO 6.4)

Notes:

18. Employee Retention Report (ISO 6.2.1)

Notes:

19. Best Practices and Comparisons (ISO 6.1)

Notes:

20. Supplier Review (ISO 7.4.1)

Notes:

21. Service (Product Realization (ISO 7.0))

Notes:

Interviewing Staff Members

Section three of the process audit checklist contains questions to help guide the auditor in verifying evidence that implementation and communication of the process management system is being conducted.

Verifying and testing staff members' knowledge of written procedures.

Notes:

Verifying and testing staff members' knowledge of the Process Management System.

Notes:

Recording Non-conformances

If non-conformances are found, they must be listed in step 23 of the Internal Audit Checklist

Notes:

Reporting Corrective Action Information

Writing Nonconformity Statements/Compile the Evidence

The 5-C's:

- **Clear** – Use familiar terminology
- **Correct (accurate)** – Identify retrievable information
- **Complete** – Specify all of the factual details, provide enough information so others can locate the problem
- **Concise** – Make it short and to the point
- **Check** – Review all information before presenting to the auditee

Nonconformity Statement – Basic Elements

- **Source of requirement** (e.g., procedure reference, quality manual reference, clause of standard, position of person responsible who has made an oral statement of requirements, etc.)
- **Requirement** (e.g., relevant excerpt of procedure, quality manual, clause of standard, content of oral statement, etc.)
- **Source of the evidence** which conflicts with the requirement (e.g., identity of record(s), process identity, position of person responsible providing an oral statement of nonconformities, etc.)
- **Actual evidence** which conflicts with the requirements (e.g., relevant excerpt of record(s), examples of process, content of oral statement(s), etc.)

Nonconformity Writing Process

- Nonconformity records the objective evidence of a condition adverse to quality whether the failure or violation is a complete or partial failure of the system.
- Auditor makes auditee aware when auditor considers facts are sufficient to warrant a nonconformity. *Don't hide concerns of a potential nonconformity until the end of the audit.*

Completing the Internal Audit Checklist

Upon completing the internal audit checklist, ensure that all areas of the checklist have been addressed. **Do not leave any portion unanswered.**

Notes:

Reporting Audit Results/Internal Audit Summary Report

- The audit report is the formal record of the audit
- Useful reference for all users
- Should provide enough detail so that the findings can be validated against observed facts
- Balanced
 - Positive comments with nonconformities and opportunities for improvement

Notes:

Closing Meeting

- Be Prepared
- Remain Objective
- Remain Focused
- Be Firm, Direct and Polite

Summary Statements

- Total number of nonconformities
- Where the nonconformities were found
- Areas/functions where no nonconformities were found
- Observations of areas of concern (OFI's)
- Management system requirements most often not met
- Recommendations, if appropriate

Important Points to Remember

- List of attendees at the closing meeting is required
- Recap who was interviewed and the evidence reviewed as they relate to the objectives/scope of the audit.
- There should be NO SURPRISES at the closing meeting. All issues should have been discussed with the auditee during the course of the audit.

Notes:

Concluding the Audit

- Complete the summary report, if not done for the closing meeting
- Make sure auditee gets a copy of summary report
- Close out the audit by turning in to the Lead Auditor:
 - Checklist
 - Summary report
 - Printouts of CAs, if applicable
- If needed, do any additional work based upon the Lead Auditor's review of the audit.

Notes:

Closing Remarks

Notes:

Below are numbers and information that will assist you with any questions or comments.

Management Representative: Ken Thompson - 920-7850

Process Management Coordinator: Margie Austin - 920-7849

Further information can be found at www.CMCSS.net

Notes