

10 Steps to Pass an ISO/AS Audit

Tested methods that have led to millions of dollars of savings and new business opportunities for companies

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Agenda

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|----------|--|---------------------------------------|
| Say It |  | 1. Gap Analysis |
| | | 2. Define your team |
| | | 3. Policy |
| | | 4. Documentation |
| | | 5. Objectives |
| Do It |  | 6. Train |
| | | 7. Trust but Verify |
| | | 8. Internal Audits |
| Prove It |  | 9. Management Review |
| | | 10. Audit Preparedness session |

1. Gap Analysis

- Shall Method
 - Must comply with all the shalls in the standard.
 - Checklist of shalls (questions based on shalls)
 - Use IAQG for interpretation help
 - Fun fact: there are over 100 shalls in the standard.
 - An even more fun fact: nobody cares how many shalls there are in the standard.

Check for Effectiveness 1

- Directions:
 - Read the page from the standard in front of you and identify all the shalls.
 - Read the company procedure provided and identify the gaps.
 - PRIZES FOR RIGHT ANSWERS

1. Gap Analysis

- PEAR Method
 - Define:
 - Processes
 - Inputs
 - Outputs
 - Process Interfaces
 - Process Metrics
 - Questions are more customized to your business.
 - More pros to using the PEAR method for a gap analysis
 - But.. just use the shall method because it's way easier.

2. Establish your team

- Get Buy In from Everyone
- Assign Roles
- Assign Responsibility
- Hold People Accountable
 - Deadlines
 - Metrics
- **Must be a team effort for**
campaign to be successful!

Check for Effectiveness 2

- Directions:
 - List all the processes within your company
 - Identify how each process contributes to the campaign
 - PRIZES FOR ANSWERS

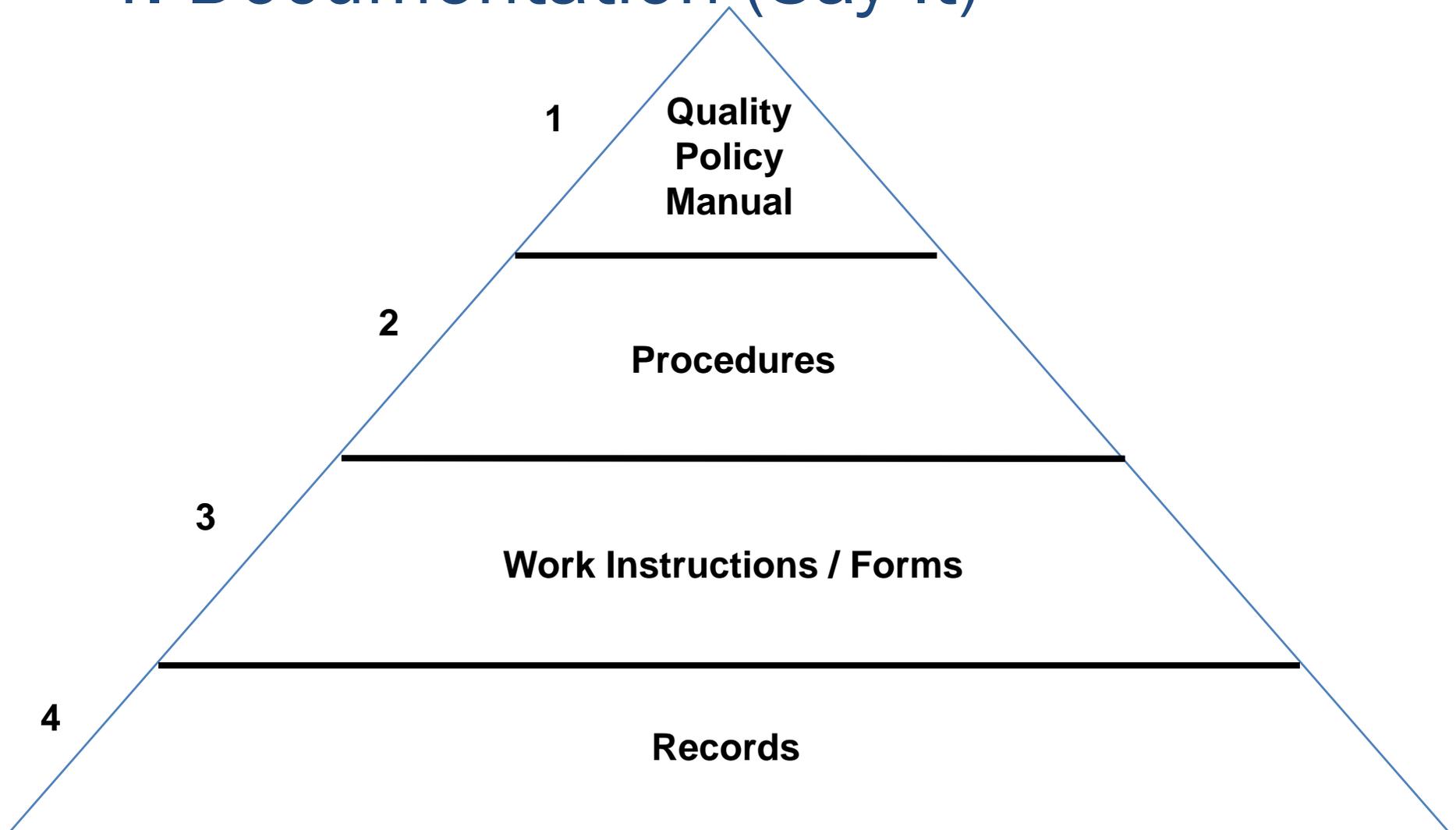
3. Policy (Say It)

- Quality Policy
 - Meeting requirements
 - Continuous improvement
 - Effectiveness of QMS
- Campaign for ISO/AS
- Awareness:
 - Posters, Badges, Meetings, Trainings, Company Website, E-mail Signatures, pens, desktop backgrounds, floor, ceiling, chairs, etc..

Check for Effectiveness 3

- Directions:
 - Write your company quality policy.
 - Together we will test and see how effective it is.
 - PRIZES FOR ANSWERS

4. Documentation (Say It)



Check for Effectiveness 4

- Directions:
 - Read paragraph of work instructions,
 - Identify the transfers of responsibility.
 - Then identify potential failures during transfer.
 - PRIZES FOR ANSWERS

5. Objectives (Say It)

- S – SPECIFIC
- M – MEASUREABLE
- A – ACHIEVABLE
- R – REALISTIC
- T – TIMELY
- E – EMPOWERED
- R – RECORDED

Check for Effectiveness 5

- Directions:
 - Write down 2 objectives for your process.
 - PRIZES FOR ANSWERS

6. Train (Do It)

- Training Program
 - Quality Policy Manual
 - Processes
 - Procedures
 - Work Instructions/Forms
 - Equipment
- **CHECK FOR EFFECTIVENESS!!**
- Document and Record Training
- Continual Awareness

Check for Effectiveness 6

- Directions:
 - Read the excerpt provided.
 - Create a training program that will be effective for sample company.
 - Jot down five types of trainings they will need.
 - What kind of procedures, work instructions, etc.?
 - Write down how often they should be trained on the certain topic.
 - Write down who will perform the training.
 - Write down whether it is an on the job or classroom training. Be prepared to explain your choice.
 - PRIZES FOR ANSWERS

7. Trust but Verify (Do It)

- Implement by delegating accordingly... but then go verify.
 - Spot Checks
 - Push System
 - Strong Internal Audit program
- Collect data on objectives
 - Schedule
 - Management Review Meetings

8. Internal Audits (Prove It)

- Review the following related to the process being audited:
 - ISO/AS Standard section
 - Procedures
 - Work instructions and forms
 - Previous findings
- Develop Questions
- Go in with a continual improvement mindset, and make auditee at ease by emphasizing improvement

Check for Effectiveness 7

- Directions:
 - Read the excerpt.
 - Come up with 3 internal audit questions.
 - PRIZES FOR ANSWERS

9. Management Review (Prove It)

- SPACER
- Agenda items must include all ISO/AS clause 5.6 requirements.
- Must have notes that show those items were discussed.
- Action items.
- Parking Lot.
- Schedule is customizable.

Check for Effectiveness 8

- Directions:
 - Read the excerpt.
 - Write down five things that make the management review described effective.
 - PRIZES FOR ANSWERS

10. Audit Preparedness (Prove It)

- Awareness Campaign
 - Quality Policy
 - ISO/AS Sections
 - Procedures
 - Do's vs. Don'ts for external audit
 - Explain what will happen in the external audit
 - Explain auditor is looking for objective evidence not stories.

Summary

- 1) SAY IT
- 2) DO IT
- 3) PROVE IT
- 4) IMPROVE IT