



Conducting a self-audit that better your business

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Agenda

- What is an audit? / Why Audit?
- Do Auditors need to be qualified?
- Auditor Responsibilities.
- Auditor Do's and Don't's.
- Questioning Skills.
- Types of questions.
- Questioning Skills – Practice – class interview
- Audit Planning, Performance, Audit Close out and Follow up
- ASA expectations of accredited organizations to ASA-100

Why perform a self audit?

- Why would we want to audit?

Examples / Answers

- To determine **implementation effectiveness** of one's own quality system.
- To determine the conformance or non-conformance of quality system elements/processes to specified **contractual** requirements.
- To provide a **basis for improvement** of your quality system.
- To meet **regulatory requirements**.
- To satisfy **customer requirements**

Why perform a self audit?

- What is an audit?

Examples / Answers

- A systematic, independent, and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which audit criteria are fulfilled. (source AS9104/1 and AS9104/2)
- A methodical examination and review of...an organizations processes and systems. (source Merriam-Webster Dictionary)

Do Auditors need to be qualified?

- Personal interest – Desire to take on extra responsibility.
- Work ethic – Ability to achieve high quality and efficiency without direct supervision.
- Education – Demonstrated competence in clear and fluent oral communications and in written concepts and ideas.
- Experience – Three to four years full-time workplace experience. (The length of time may vary from one organization to another. The organization should be concerned with competency of the auditor)

Personal Qualities that should be sought in an auditor?

- Communication skills
- Tactfulness
- Flexibility
- Persistence
- Objectivity
- Integrity
- Open-minded and mature
- Sound judgement
- Analytical skills and tenacity
- Ability to perceive situations in a realistic way

Auditor Responsibilities?

- Notify area / area supervisor or manager of the audit
- Set the tone for the audit
- Ask questions
- Stay on track, observe, follow audit trails, and document evidence of audit
- Be honest, prepared and if part of organizations culture help to make recommendations on how to fix an issue or concern
- Close out with responsible management personnel of the area or process audited

Auditor Do's and Don'ts?

- Pair to discuss – present to class

TAKE 15 MINUTES TO DISCUSS IN GROUPS

Auditor Do's and Don'ts?

Auditor Do's

- Listen
- Be professional
- Be prepared
- Put others at ease
- Be open minded
- Be observant
- Takes good notes
- Be factual in the reporting
- Vary the types of questions

Auditor Don'ts

- Don't be sarcastic
- Don't criticize
- Don't get into personalities
- Don't argue
- Don't be late
- Don't focus on people in reports or issues
- Don't use yes/no questions

Questioning skills

- Ask open ended questions: Why? Who? What? When? How? Where?
- Don't ask all questions – also observe
- Be prepared to go beyond your prepared questions – follow your nose/gut
- Be sure to get answers from the folks doing the job/work, try to avoid the supervisor or manager from supplying the answers when appropriate.
- Tell me how....
- Show me how....
- Using silence, can be a great tool to get a person to offer up more information.
- **Be sure to share what you found with the auditee, so there are no surprises later on in the audit or debrief.**

Types of questions

- Open-ended questions – This is a good starting point for a conversation
- Closed questions – Good for getting specific responses (Yes/No or other specific answer)
- Clarifying questions – Used to summarize what the auditee has just said to verify you understood and got it right.
- Leading questions – Use this in moderation. If the auditee is confused (say about terminology used) it's sometimes ok to lead them to an answer you are looking for.

Questioning Skills

- Practice – class interview
 - With a partner (someone you do not know), uncover at least 2 interesting facts about the other person. Be prepared to report back to the class.

In this exercise, your role is to use good communication skills, be mindful of your questioning technique, don't forget about note taking.

Questioning Skills

- Debrief –
 - What did you learn about yourself?
 - What types of questions did you use?
 - Did you take notes?
 - Did you accurately report the information?
 - What techniques did you use to active listen?

Self Audit Planning

- Planning includes –
 - Pulling previous audit results (including ASA's)
 - Printing appropriate procedures or ensure on-line access is available
 - Reviewing the documentation
 - Reviewing checklist/adding questions as necessary
 - Clarifying any information prior to the audit
 - Filling out the required forms defined by your organizations self audit process
 - Contacting area manager/supervisor to confirm availability

Self Audit Performance

Hold Opening meeting –

- To define scope of the audit
- To re-confirm availability
- Determine key contacts in area
- To identify changes in the area and/or processes to be audited

Audit Execution -

- Remember questioning skills
- Be aware of obstacles
- Communicate throughout the process
- Follow plan
- Take detailed notes
- Use notes and objective evidence to determine if an error of weakness or non-conformance exist.

Self Audit Performance

Hold Closing meeting –

- Distribute required audit forms as required by organizations process/procedures
- Review results with manager/supervisor of area
- Address questions by the audited personnel
- Go over next steps and expectations.
- Turn in all audit documents to responsible person in charge of the self audit program of your organization.

Audit Follow-up

- 1. Once corrective action is complete and if required by self audit process/procedure follow-up to ensure effectiveness of corrective action implemented by the area closing the non-conformance.**
- 2. The next scheduled audit will also confirm the corrective action was implemented.**

ASA expectatons of accredited organizations to ASA-100

- Organizations –
 - Should be using their self–audit along with corrective actions to monitor the effectiveness of their implemented system processes and procedures.
 - Highly recommended to perform more than one self audit annually. This way you will get a better understanding of its effectiveness and use. Your business is ever changing due to external forces such as industry, customer and regulatory requirements. An organization should react accordingly and make the necessary changes to ensure customer requirements and needs will be addressed and met.
 - Should use the self audit to verify areas of change as they are being implemented, this way you will identify areas of weakness before they promulgate into larger issues and headaches.
 - Should be able to review the audit checklist and read a story of what was looked in determining system effectiveness or non-conformance with requirements that the auditor based his audit outcome. Do not just list the procedure number down or area of the quality manual. This is not an effective self audit.

ASA expectations of accredited organizations to ASA-100

- Continued -
 - If you get a customer complaint that is a trend, then consider using the self audit of the area as a tool to identify the root cause the goal to correct the issue.
 - Make your auditors available during an ASA-100 audit to shadow our auditors for learning purposes.
 - To regulate your pool of auditors to only management personnel, some of the best auditors we have come across come from a good cross section of the organization.
 - View self audits as a means to ensure policy and procedures are being vetted and tested. Do not view as only an annual exercise before an ASA-100 audit.



**Do You Have
Any Questions?**

