Chair’s Message

A lot has happened since my last Chair’s Message. In New England we have finally broken free of the long, arduous winter and are enjoying the warm, bright sunshine. Unfortunately, I realize this is not the case for many of our members and their families. Some areas of the country have been devastated by tornados, fires, and torrential floods—all of which have caused epic amounts of damage and hardship. If you, your family, or friends, have been affected by Mother Nature’s fury, we are thinking of you and truly wish you well.

The Audit Division has been very busy. We want to thank everyone for the great turnout at the World Conference on Quality and Improvement in May in Dallas, TX. We saw many of you at our Audit Division booth, where you got a chance to meet with members of the division Management Committee to tell us what you thought about the division and give us some ideas on how we can make it more value added for our membership.

On that note, we held a strategic planning meeting at WCQI—which some members attended—to review what we have done and what we should do next. A notable item includes the progress we are making toward translating our Certified Quality Auditor (CQA) preparation class into Spanish. The PowerPoint presentation has been translated and our team member from Mexico is now translating the accompanying work materials. After that we hope to translate The ASQ Auditing Handbook into Spanish for use in the preparation class and to use as a reference while taking the CQA exam. We already have two Spanish-speaking instructors ready to take the train-the-trainer class and evaluation so they can teach the class when it is ready! We recognize that it is so much easier to prepare for and take the exam in your native language. This initiative was actually a suggestion from one of our members. Once we heard how important it was, we had to allocate the funds to make it a reality. See: We do listen!

One thing I am personally excited about is our new webinar program, led by new webinar chair Angelo Scangas. We have joined with five other divisions to share the annual cost of a WebEx account. We will soon be developing and presenting 30- to 45-minute webinars that are free not only to our membership, but also to anyone who may be interested in the topics offered. Look for a survey from our voice of the customer chair, Susanne Burke. This will be your opportunity to tell us what webinar topics you would like to see!

Don’t forget to attend the Fall Technical Communities Conference in Orlando, FL, October 30 – 31, which includes more than 10 divisions partnering to offer a unique experience for all attendees. Members of multiple divisions will now have the opportunity to attend sessions from all of their divisions in one place.

In 2015 the Audit Division will be going back to one of our favorite conference venues—the Peppermill Resort Hotel in Reno, NV. For those of you who have attended past audit conferences at this location, you know the accommodations are always fabulous and include great amenities at a reasonable price, and the conference space and atmosphere is conducive to learning! Management and staff at the Peppermill love to host our conferences, and they always treat us right. You will be hearing more about this conference soon from John Mascaro, conference chair and Lance Coleman, program chair.

We can’t wait to see you all at the Fall Technical Communities Conference in Orlando or at one of our Certified Quality Auditor preparation classes, which are now delivered all over the world. In the meantime if you have any questions, suggestions, or just want to connect with someone, you can contact any of our division leaders, visit our website, or follow us on LinkedIn or Twitter.

Have a great fall season!

Nancy Boudreau
2014–2015 Audit Division Chair
Letter From the Editor

Wow! That’s what I have to say about the most recent World Conference on Quality and Improvement that took place in Dallas, TX. As usual, there were fantastic learning and networking opportunities for all attendees. There were numerous preconference workshops available as well as special training and events for ASQ member leaders. I had the amazing experience of presenting a session based on my upcoming book on the Kano model only to discover that Dr. Kano himself was in the audience! Needless to say I was alternatively panic stricken and then relieved when he got up to speak afterward and gave me positive feedback. Only at WCQI could this type of thing happen! The Audit Division was also privileged to have retired Dallas Cowboy Preston Pearson visit our exhibit booth to greet visitors, take photos, and sign autographs. How cool is that! And of course, the division hospitality suites offered further opportunities for socializing and networking.

In this issue, our featured article is “‘Audit’ Is Not a Four-Letter Word …” by Mary Chris Easterly. We will also have Part 2 of last issue’s feature, “The History of Auditing,” by Dennis Arter. In this issue’s “Tips From the Trenches,” we will look at the skills needed by the 21st century auditor to be successful. First-time author Shawn Rogers also presents “When Change Is Worth the Effort.” Also, you will see photos and read about WCQI in the recap section as well as learn what is new and exciting in the division in our “News Bytes” section.

Now with WCQI behind us, we are preparing to support the Fall Technical Communities Conference in Orlando, FL, October 30 – 31. Also, we have started planning for our revamped Audit Division Conference in Reno, NV, in 2015; look for preliminary information on the conference in this issue with more information to follow in later issues.

As always, thanks to all of you for taking the time to read our newsletter. Please continue to let us know how we are doing, what you like, and what we can do better. Until next quarter, take care.

Kind regards and safe travels,

Lance B. Coleman
Newsletter Editor
lance@fullmoonconsulting.net

Audit Division Vision
To be the pre-eminent body for providing expertise on auditing and defining expectations for the audit profession.

Audit Division Mission
To develop the expectations of the audit profession and auditors. To promote to stakeholders auditing as a management tool to achieve continuous improvement and to increase customer satisfaction.

The Audit Report is published three times a year as a chief information resource for members and friends of ASQ’s Audit Division. Information about the ASQ Audit Division may also be found at asq.org/audit.

Reminder: All ASQ Audit Division endorsed communication and/or use of the Audit Division’s logo must be approved by the Audit Division chair.

Volunteers Wanted!
Help shape The Audit Report by joining our Newsletter Committee. We are looking for two more volunteers to participate in our Newsletter Committee. Please email your resume to lance@fullmoonconsulting.net if you are interested and want more information. For other volunteer opportunities within the Audit Division, contact Lawrence Mossman at mossman@netins.net.

Newsletter Publishing Guidelines

Authors Wanted!
The Audit Report is looking for authors. Share your expertise with other audit professionals while adding to your own credentials. Writing for the newsletter also earns CEUs to submit with your certification journal. If interested, please email submittals to lance@fullmoonconsulting.net.

Main Factors
1. Technical Merit
   • Includes correct facts
   • Relevant to our mission
2. No selling of services
3. Nothing offensive
4. Original content only. Nothing previously published or presented, without prior approval by audit committee.

Additional Factors
1. Not too similar to something recently done
2. Desired subject matter – how timely is material?
3. Well written (not requiring extensive editing)
4. Needed length

Categories
Newsletter submittals should fit into one of the following categories:
• Tips From the Trenches: tools, tips, and techniques for auditors
• Faces in Auditing: new up-and-coming professionals of note in the field of auditing
• Articles, case studies, or book reviews
• News Bytes: event coverage, announcements, and other audit-related news

Length
Desired length for tips, book reviews, articles, and case studies is 400–800 words. Tips and book reviews would be in the 400–600 range, articles anywhere from 400–800 words, and case studies 500+. If a submittal goes beyond 800 words then we may look at breaking it into more than one part.

Review and Selection Process
All submitted works will be reviewed by at least two members of the Review Committee, which consists of the newsletter editor and four other members. The subject for a book review should be approved in advance by either two members of the Review Committee or by the newsletter editor. The newsletter editor will determine when accepted articles will be published. Submittal of an article does not guarantee publication.

Other
All articles containing photos should be submitted with the photo(s) as a separate jpeg attachment.

Calendar/Main Theme(s)
Submit content by
February Issue: Submit content by
March 1 – Theme open
April Issue: Submit content by
May 1 – Theme open
June Issue: Submit content by
July 1 – Theme open
July Issue: Submit content by
August 1 – Theme open
August Issue: Submit content by
September 1 – Theme open
October Issue: Submit content by
October 1 – Theme open
November Issue: Submit content by
November 1 – Theme open
December Issue: Submit content by
December 1 – Theme open
“Audit” Is Not a Four-Letter Word …
… no matter how you may have heard it articulated!

by Mary Chris Easterly

If you are an internal auditor, have you ever walked down a hallway and heard someone say, “Here comes [insert your name here]. Get rid of your expired reagents.”?

If you are an auditor, have you ever had an auditee push back on nearly every question you ask, even if you work for the same company?

If you are an auditor, do operators scatter during the walk through the facility so that they can’t be caught doing something wrong?

If you are an auditor, has an auditee ever asked you, “Where in the [regulations, standard, procedure] does it say I have to do that?”?

If you are an auditor, have you ever seen someone’s hand tremble as they handed you a document to review? Do auditees sometimes have trouble making eye contact with you as they answer questions, or do they stumble over their answers?

Where do auditees get the impression that “audit” is a four-letter word? Perhaps from news articles with headlines like these:

► “Candidate Calls for Audit of House Race Results”
► “NSA Broke Privacy Rules Thousands of Times per Year, Audit Finds”
► “15 Ways to Invite an IRS Audit”
► “Federal Audit Calls New School Lunch Rules a Failure”
► “VA Officials Promise Ongoing Audits”

Or perhaps they have encountered auditors who had unreasonable expectations, did not understand the product or service being audited, were difficult to work with, or wrote observations based on their personal opinions (not in relation to requirements).

Frequently auditees perceive audits as adding work to their already full workloads. They not only need to prepare for and host the audit, but they will have to take action to address any gaps in compliance identified by the auditor. The auditee is busy getting the product out the door or providing services to meet customer demand, make a profit, and achieve the organization’s goals and metrics. Hosting and responding to audits takes time away from those activities. Additionally, implementing corrective and preventive actions to address concerns raised in the audit may require significant financial investment.

It’s no wonder that auditees dread the arrival of auditors.

I would like to propose that “audit” is not a four-letter word, and that auditors should be welcomed with open arms, because:

• We provide an objective perspective on the organization’s operations effectiveness and compliance.
• We have experience auditing other parts of the organization or similar external organizations.

Ideally, an organization always operates in a state of control and compliance with requirements. If there is a lapse in control or compliance, the organization’s systems should be able to quickly detect the exception and address it to prevent impact on a customer and to prevent recurrence. Audits should be valued, because an audit is an opportunity to find any missing links or potential issues.

I used to think that once an organization had several years’ worth of internal and external audits, there would be fewer and fewer gaps in compliance to be detected as corrective and preventive actions are implemented. However, no organization remains exactly the same over time, with the identical systems, products, personnel, organizational structure, regulatory environment, parent company, economic environment, and so on. Changes, even if they are improvements, may cause a gap to occur in an unintended area, and an impartial auditor can identify those gaps.

What can an auditor do to improve the perception of an audit? Alert auditors should be aware of the potential for negative attitudes and address them when they appear. The auditor can:

• Prepare well for the audit: Research the organization or department, its products and services, the processes and procedures, and previous audit results.
• Start and end the audit as scheduled.
• Maintain a positive relationship with the auditee, not an adversarial one, by treating the auditee with respect in all stages of the audit process.
• Communicate in a manner that shows respect for the auditee’s knowledge and experience.
• If the auditee appears to misunderstand a question, calmly find another way to ask the question, or use an analogy to facilitate comprehension.
• Acknowledge the systems and processes that are observed to be in control; commend best practices.
• Recognize when personnel answering questions are nervous or timid.
• Write clear, concise audit reports that are not inflammatory or accusatory.

Clearly describe each gap in compliance so that the auditee understands the concern and wants to correct the gap.

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- Categorize gaps in compliance appropriately. Put more emphasis on addressing high-risk gaps, and spend less time focusing on low-risk gaps.
- If the auditee is not aware of or knowledgeable about requirements, use the audit as an opportunity to teach the auditee.
- During the closing meeting, give the auditee the opportunity to clarify understanding or provide additional information that may address a perceived gap in compliance.
- Refrain from requiring a specific corrective action in response to a gap. Be open to the creative corrective and preventive actions that an auditee proposes to address a gap in compliance. The auditee may arrive at a unique but compliant solution. If the auditee devises the solution, they will have ownership and will be committed to its success.

Over time, conducting audits in this manner will result in a change in the perception of audits and auditors, so that … "audit" will no longer be considered a four-letter word.

About the author: Mary Chris Easterly, ASQ CQA and CQM/OE, conducts audits for Merck manufacturing sites, contractors, and suppliers. Easterly teaches a two-day tutorial on Writing Exceptional Audit Reports and CQA exam preparation courses. She is treasurer of the Audit Division, a reviewer for Quality Progress manuscript proposals, and past chair of the Raleigh, NC section. She wrote questions for the CPGP exam and chapters for the CPGP handbook, reviewed the fourth edition of The ASQ Auditing Handbook and second edition of The Biomedical Quality Auditor Handbook, and assisted with updating the CMQ/OE and CPGP question banks. Easterly has a BS in industrial engineering and operations research from Virginia Tech, and an MS in quality assurance from California State University at Dominguez Hills.

The History of Auditing, Part 2

(continued from the May 2014 issue)

Management Audits

A new kind of audit arose during the transition from the control era to the assurance era of management. First called "quality audits," they were used to monitor U.S. and then NATO military contractors in the 1950s. The nuclear power generation industry picked them up in the 1970s. Business process auditing and conformity assessment came along in the 1980s. Unfortunately, they were not all called management audits. They were called quality audits, safety audits, environmental audits, security audits, ISO audits, and more. The poor first- and second-line managers were being audited two to three times a week!

- First-party audits are done by employees of the firm, each in their own specialty area.
- Second-party audits are done by customers on their suppliers.
- Third-party audits are conducted by regulators and registrars using compliance audit principles.

These audit reports generally go to director-level management and below. They focus on various aspects of running the organization, be it business or government. We have lots of overlap and variation. It is all very confusing, as we use the same term—audit—for very different purposes. With few exceptions, these management audits resemble their corporate cousins. So I have taken the liberty of calling them both “operational audits.”

General Audit Model

All audits follow the same monitoring and analysis model. The things that we actually really do are evaluated against the things we are supposed to do. Auditors match the two. Well, you might say, “That’s inspection!” Yes, indeed. All audits start with conforming and nonconforming data. Products, processes, and systems either meet requirements or they do not.

Auditors then analyze those data for patterns. These patterns become findings. Auditors further analyze all the findings to draw conclusions. The summary, findings, and conclusions are presented in the report.

So auditors take objective facts and turn them into subjective opinions. That’s one of the many things that distinguish auditors from inspectors. Auditors are required to form opinions, whereas inspectors report just the facts, not opinions.

FIGURE 1 General Model for Auditing

The Four Questions

There are certain basic questions we expect auditors to address throughout the planning, performance, and reporting phases of an audit assignment.

1. Have local controls, all the way down to the worker level, been defined?

Continued on page 5
2. Are the defined controls actually applied by everyone?
3. Do controls really work? Ease of use, clarity, and results matter.
4. Will controls last after the auditors leave?

**Figure 2 The Four Questions**

1. Are controls defined?
2. Are controls applied?
3. Do controls really work?
4. Will controls last?

Remember that the whole reason for controls is to reduce (treat or mitigate) risk.

Compliance auditors address the first two questions.
- Financial auditors verify the truthfulness and accuracy of accounting data.
- Procurement auditors verify compliance with the contract.
- Safety auditors verify rules are being followed.
- Government auditors see if regulations are obeyed.
- Conformity assessment (registration) auditors certify the application of national and international standards.

Operational auditors address all four questions.
- Corporate internal auditors examine management practices to achieve business objectives. They focus on governance, risk, and legal compliance.
- Government internal auditors examine the agency’s performance in achieving its mandate, as well as the absence of waste, fraud, and abuse.
- Management systems auditors evaluate the reduction of risk through the application of controls in the areas of quality, safety, environment, security, business continuity, sustainability, etc.
  They can audit internal or supplier operations.

**Conclusion**

Compliance audits are a product of the first and second eras of management: control and assurance. Operational audits are a product of the third era of management, when the power of systems thinking arose. Both types of audit combat risk. The proper mix will provide value to all aspects of an organization and ultimately to society.

*About the author: Dennis Arter* is an international author, consultant, and trainer from Kennewick, WA. He received his bachelor’s degree in chemistry from the University of Illinois and became a nuclear submarine officer. After military service, he joined the ASQC and the Quality Audit Technical Committee. He published the first newsletter of the committee and then division. Arter wrote *Quality Audits for Improved Performance*, a best seller published by ASQ Quality Press. He teaches and publishes on auditing, management systems, and risk. More than 10,000 people have learned to audit from his teachings. Arter is an ASQ Fellow, Certified Quality Auditor (CQA), and former member of the board of directors. He was awarded the ASQ Distinguished Service Medal in 2014. Arter plans to fully retire from professional life at the end of this year.

*When Change Is Worth the Effort: Updating a Quality Audit Program*

_by Shawn Rogers_

“How change the quality audits? If it’s not broken, why fix it?” asked a quality director in my company. And she was right. The company had been certified to ISO 9001 since the mid-1990s, and had subsequently updated to ISO 9001:2008 and ISO/TS 16949:2009. During this time, the approach and structure of the internal audit program had not changed even though new businesses and factories were added, merged, or shut down.

And why change? All the organization’s entities were third-party certified without any major nonconformities and year-on-year declining numbers of minor nonconformities. On the surface, the quality audit program looked like an effective process. Yet, the audit program had not changed as the company had changed. The processes changed and became streamlined, while the audit program hadn’t. Any change was viewed as a significant waste of time and money, and it took the Great Recession to overcome the inertia.

To better reflect the realities of today’s business environment, a three-step plan was proposed and initiated to reduce the audit footprint to a leaner and more focused effort in support of business quality.

The first step was truly consolidating the quality audits around a corporate scheme. Though the company had optimized functions such as management, human resources, order entry, procurement, and supplier management at the corporate level, numerous local sites were audited as if they were stand-alone entities.

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TIPS FROM THE TRENCHES:

Needed Skills for the 21st Century Auditor – Part 2

by Lance Coleman

Having just recently gone through the CQA Exam Refresher course as part of the process to become an instructor for that course, I started thinking about the skills we must cultivate to be the best possible auditors we can be and bring the most value to our organizations through our service. When we are trained as certified auditors, we are taught that the purpose of the audit program is threefold: to help ensure compliance, drive improvement, and manage risk. The most recent CQA Body of Knowledge (BoK) places a much greater emphasis on lean and Six Sigma improvement methodologies, risk management, and other changes. So what are some of the skills that will allow us to become “all that we can be” as auditors?

General auditing skills. The first key to a successful auditor, of course, is having a solid foundation of education and experience. Auditors must know how to properly prepare for, conduct, document, and report an audit. Time management skills, attention to detail, and accurate follow-up are also important. Equally important is the ability to interact respectfully with others and conduct the audit in a fair, unbiased, and ethical manner.

Metrology. You don’t have to be a metrologist but you should know good inspection technique when you see it. You should recognize good test practices, whether for in-process testing, validation reports, or gage repeatability and reproducibility studies. An auditor should also realize what a truncated graph implies or what truncated data may hide.

Lean and Six Sigma. There are many methods used to pursue continuous improvement within an organization, but lean and Six Sigma training provide an integrated system with a proven track record for identifying opportunities and implementing continuous improvement initiatives.

Risk management. Risk elimination. Risk management. Risk mitigation. This is the language of upper management we as auditors from any industry must learn if we want to protect the public and our company as well as effect positive change throughout our environment.

Root cause analysis. Whether your tool of choice is 5 Whys, fishbone diagram, fault tree analysis, or something else, knowing how to determine root cause is essential to the auditor. How else can they determine the appropriateness of a corrective action response?

Good documentation practices. An auditor doesn’t have to be a “poet laureate” to recognize vague, contradictory, or unnecessarily strict statements. (I tend to probe deeper whenever I see “always” or “never” in a document to see if that is actually the case.) Know the rules for completing forms and making corrections to records.

The economy’s recovery is still slower than some would like, and many companies continue to hold onto money that would have previously been spent on training. So now that you have identified your own training needs, where and how do you acquire the skills you are lacking?

Attend conferences. You can volunteer, or if you are more experienced, present or review session proposals to be given a free conference registration. This can cut event costs in half (or more if local) for your employer.

ASQ. Sections and divisions routinely provide members free or minimally priced webinars and training during meetings.

Volunteer for assignments outside your primary job description where you can learn or expand on desired skills. Also, look for different leadership opportunities within ASQ. This is a great way to learn from leaders in your field. Find a mentor. A mentor can steer you to training sources, answer questions, and be a resource and advocate.

Take college courses. You don’t have to pursue a degree. You can take specialized courses or seek professional certificates like the Six Sigma Black Belt.

Certification. Studying for and taking various certification exams greatly broadens your knowledge base. Certification may also have an immediate positive impact on your career. Seek employer-supported training. Communicate with your employer to see what formal training they provide and what types of training opportunities they are most likely to support. Most employers will support your efforts to expand your skill set. Make it as easy as possible for them to say yes.

This is not meant to be a comprehensive list, but merely the start of a conversation. I am sure that you can come up with more, whether you are a company employee or a consultant. The possibilities for progress are many, varied, and only as limited as your drive and imagination. After all, that’s what looking forward toward the future is all about, isn’t it?

About the Author: Lance Coleman is a quality engineer and lean leader who manages the internal audit program for The Tech Group in Tempe, AZ. He has worked in the medical device, aerospace, and other regulated industries for more than 15 years. Coleman has a degree in electrical engineering technology from the Southern Polytechnical University in Marietta, GA. He is an ASQ Senior member as well as Certified Quality Engineer (CQE), Quality Auditor (CQA), Biomedical Auditor (CBA), and Six Sigma Green Belt (CSSGB). Coleman is also an RABQSA QMS Provisional Auditor. He is an instructor for the ASQ CQA Exam Refresher course. His first book, The Customer Driven Organization: Using the Kano Model, from Productivity Press, is due for release November 2015. Contact Coleman with comments or questions at lance@fullmoonconsulting.net.
NEWS BYTES

2014 TCC: The program for the Fall Technical Communities Conference (TCC) is now set. The Audit Division will be partnering with 10 other divisions in this first-of-its-kind event where ASQ divisions determine both the conference theme and all of its content. The conference will take place in Orlando, FL, October 30 – 31. For more information go to asqtcconference.com.

CQA Exam Refresher Course: Another successful CQA Exam Refresher course was taught to 26 students from the United States and Canada at a WCQI preconference workshop. We are very pleased that this course has a 95 percent pass rate for students who complete the course and then take the CQA exam. The next public offering of the refresher will take place October 27 – 29 in Orlando, FL, prior to the Fall TCC. For more information on taking the course or having it taught at your organization, contact Kevin Posey, education/training chair via email at kevin.posey@yahoo.com.

2015 Audit Division Conference: Planning for the 2015 Audit Division Conference is underway. We hope that you will join us for a successful relaunch of our conference after a one-year hiatus for planning and improvement. The next conference will once again be held in scenic Reno, NV, at the Peppermill Resort. Expect the return of past favorites, plus the introduction of new and exciting presenters.

Membership Update: We have started and are maintaining a volunteer database to reference when volunteers are needed. If you haven’t had the opportunity to volunteer for a divisional activity or event, please do so. (You can gain RUs for your recertification for the involvement!) The networking opportunities during the involvement time are tremendous. As stated during our DMC meeting, Audit Division membership is a very important asset of the division makeup, with lots of leadership opportunities. Get involved and see how your talents can be utilized!

Student Outreach Update: The Arizona State University has completed the organizational formation of its ASQ Student Branch. (This effort started after the 2013 AD Conference with Audit Division staff assisting in this effort.) Some of the students were able to attend WCQI in Dallas, TX. They were overjoyed and elated by the generosity of the Audit Division in making them a part of the event. They were able to observe quality from a different perspective—giving them an improved understanding of the concepts. Below are some of their comments:

“On behalf of everyone who attended the ASQ World Conference on Quality and Improvement in Dallas, I would like to thank you for giving us the opportunity to attend the conference and also helping in networking with a lot of stalwarts in the field of quality and many more. It was the best thing I have ever done so far. It could not have been better. We should now start on working on our student group and bring direction to what we are going to achieve through this and look forward to do something at the conference next year in Nashville.”

“I second the motion. ... Thanks again for the opportunity of a lifetime with a crew like no other. You guys and gals are like no other.”

“Thank you so much for helping make all of this possible!”

As you see, these leaders of tomorrow were impressed and very thankful for the opportunity we provided. This student outreach should be a priority and part of our strategic plan as a division.

Regional Counselors: The Audit Division regional counselors (RCs) are continuing to address the needs of the division as they reach out to the membership during monthly section meetings and training sessions. Opportunities to join this exciting group exist, so feel free to contact a DMC member to get the entry process started. (The Audit Division is one of the few divisions that has this type of representation [RCs] to assist the division and overall membership). The latest activity some of the RCs are involved in is the development of student branches at local colleges and universities in their individual regions. Join the group—it’s exciting!

Lawrence Mossman
ASQ Audit Division
Membership Chair
When Change Is Worth the Effort (Continued from page 5)

Consolidating these into a corporate audit required writing or adapting specifications, and while being met with some resistance to change, yielded a measurable reduction of audit time for each site. Once the overall time saving was recognized, the resistance to changing the audit program dropped away.

The second step evolved after comparing our quality audits scheme with those of our suppliers and other large corporations. Over time, there were several processes defined to simplify the audit rather than reflect what was going on in the company. For example, documents and records control was defined as a process, yet it was really a function under the quality systems process. When the processes were redefined to mirror what the operations were, including redefining some supporting functions or subprocesses, it streamlined the quality audit agenda, saving more time while still addressing all of the auditor’s questions.

Lastly, we combined audits where it made sense. When we moved management review to the corporate level, we still had individual businesses with marketing and product-development functions that wanted to be treated separately. Consolidating them into a single-site audit where possible, but allowing them to be treated separately, saved audit time and showed the various business units that their processes were more alike than they had thought.

Still, some things did not work. At the suggestion of a third-party auditor, we considered changing the definition of a manufacturing shift (from four shifts to two shifts with two teams) but rejected the idea because it was not aligned with the way the factories defined their process. It also did not “feel” right.

When some functions were moved to the corporate level, they did not have supporting evidence of compliance to a requirement that only existed at the local level. For example, training was managed with tool support at the corporate level but evidence of training was kept at the local level. Thus, time had to be maintained at each site to verify this requirement.

The result of the three-year effort has yielded a quality audit program that has experienced a 30 percent reduction in audit days, is better aligned with the way the company functions today, and fully meets the requirements for third-party certification.

So why change what wasn’t broken? When the benefits of an improved quality audit program significantly outweighed the time and money spent to make that change, then it was worth the effort.

About the author: Shawn Rogers is a Certified Quality Management Lead Auditor with more than 30 years’ experience in high-technology manufacturing and product development. He has extensive experience in technology startups, engineering, and business management and quality systems development in both small and large organizations. He has worked in all areas of the electronics industry, including: semiconductor wafer fabrication, semiconductor assembly operations, printed circuit board (PCB) manufacturing, and multifactory manufacturing logistics. In the last five years he has conducted over 200 quality audits in all areas of the electronics industry. He has degrees in electrical engineering and business administration.

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World Conference on Quality and Improvement (WCQI) Recap

Those who were able to attend all benefitted from another great WCQI this May in Dallas, TX, where there were:

- 2,198 attendees representing 46 countries
- 88 concurrent plus five After 5 sessions
- 12 conference and six preconference workshops
- 335 exhibitors
- 23 certification exams given
- 23 applicants took the CQA exam

The Audit Division (AD) Management Committee vigorously supported the conference programming by conducting the CQA Exam Refresher course as one of the preconference workshops and conducting three concurrent sessions. The CQA Exam Refresher was well attended, with 26 students from the United States and Canada. Friday evening we had a reception for the students in the AD hospitality suite.

The PowerPoint presentations for conference sessions can be downloaded from the conference website by conference attendees by clicking the “2014 Program” button and inputting the code provided during WCQI. Recorded sessions are available for purchase by attendees and non-attendees alike by going to the conference website.

On Monday evening, May 6, we reviewed the division strategic plan during our business meeting. During that meeting John Mascaro received a meritorious service award. For more information on the strategic plan contact division chair Nancy Boudreau at nancy.boudreau@tlnch.com.

We sponsored seven students at the conference by reimbursing their expenses to attend WCQI as part of ASQ’s effort to increase student involvement in our organization. We also enjoyed engaging discussion with a group of ASU students who stopped by our booth. While at the booth, we scanned the badges of more than 500 attendees who came through the exhibit hall, and signed up 31 new members while doing so. Thanks to the following member leaders for helping out at the booth:

- Cindy Bonafede
- Nancy Boudreau
- George Callendar
- Lance Coleman
- Mary Chris Easterly
- John Mascaro
- Angelo Scangas
- Christina Welch
- Dennis Welch
- Glenda West
- Quitman White

Hotel grounds
Nancy Boudreau excited to teach the CQA Exam Refresher

Excited students

Only at WCQI—Lance Coleman and Dr. Noriaki Kano after Coleman’s presentation on the Kano model

Our booth saw a lot of traffic!

A celebrity guest—retired Dallas Cowboy Preston Pearson

Nancy Boudreau leading a business meeting

John Mascaro receiving award from Nancy Boudreau
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