

26th Annual ASQ Audit Conference  
Blueprint for a Successful Audit

October 9 - 11, 2017 • Pre-conference Courses  
October 12 - 13, 2017 • Conference

ASQ  
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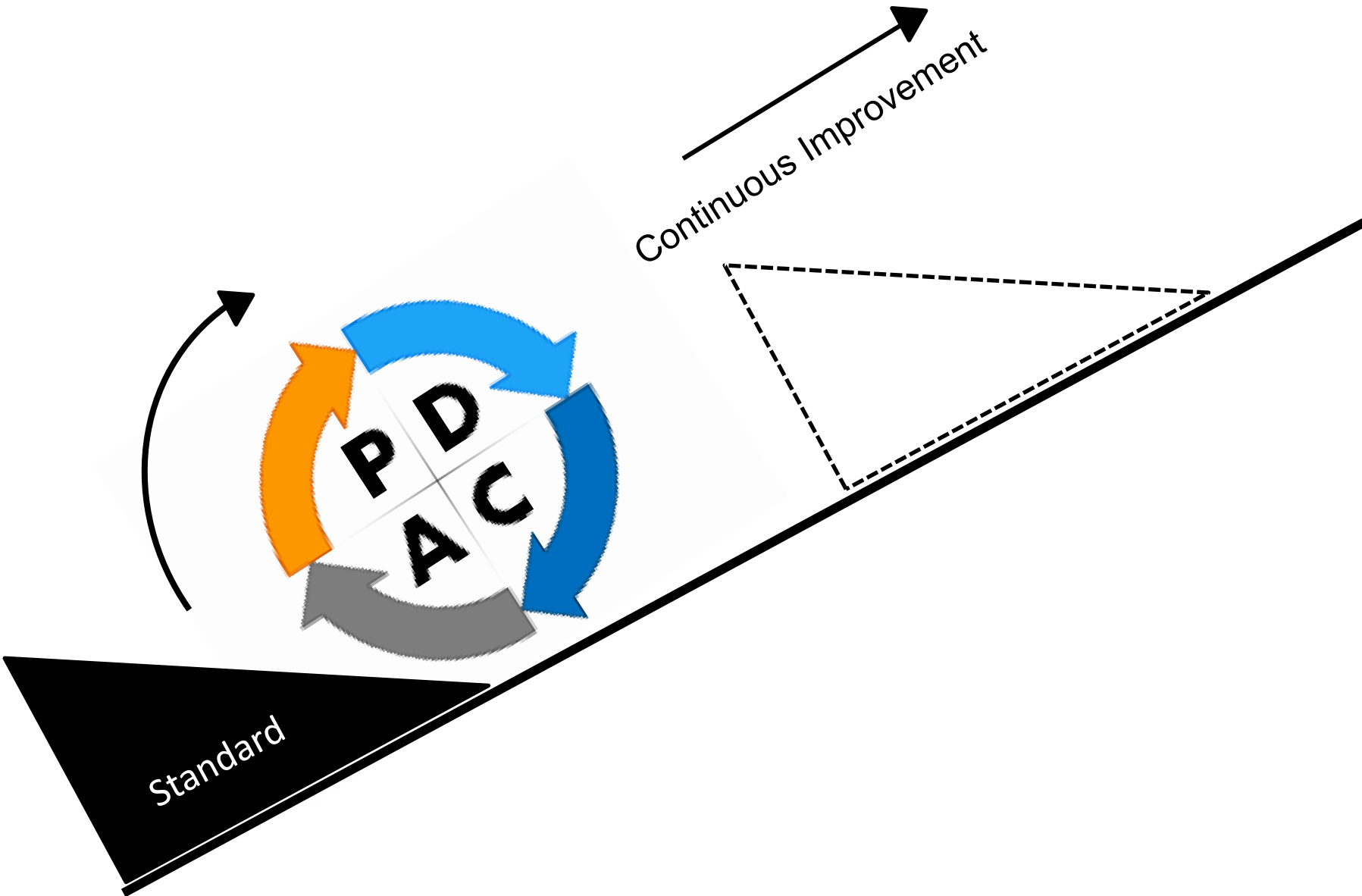
# Steps to Improve your Internal Audit Program

Karen Rust  
12 October 2017

# Objectives

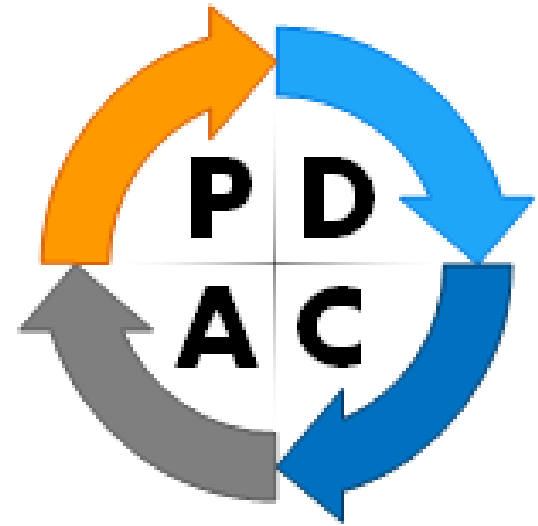
- Understand how PDCA applies to the audit program
- Understand the importance of asking the right questions
- Learn the Three Layer Lens Approach to improving your audit program
- Realize the importance of an efficient audit system & how it can benefit your company
- Examine how to prioritize concerns

# Continuous Improvement



# PDCA Cycle of the Audit Program

- Plan
  - Assign authority
  - Establish audit program
- Do
  - Implement audit program
- Check
  - Monitor & review the audit program
  - Audit the audit program
- Act
  - Improve audit program



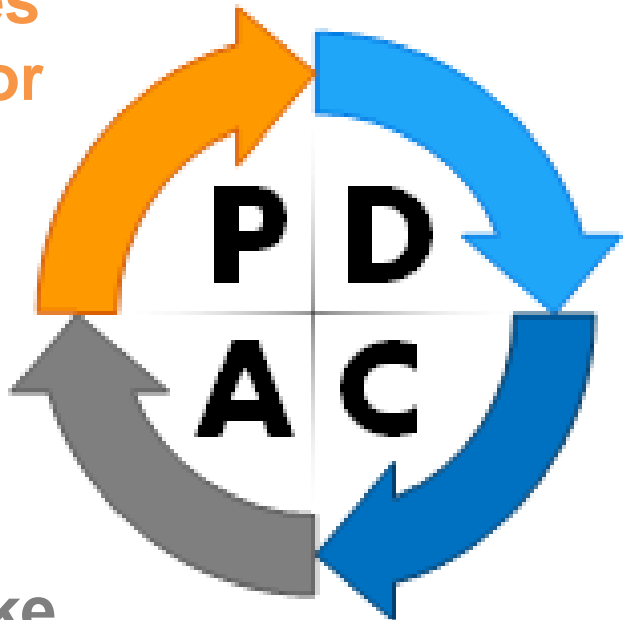
# PDCA to Improve the Audit Program

## PLAN

How will you find non-conformances & Opportunities for improvement?

## DO

Perform Audits, Reviews, Gap Analysis, Process Mapping, Situation Analysis, Risk Analysis



## ACT

Alter Process, Make Improvements

## CHECK

Verify Assumptions

# Process Approach to Thinking

**INPUTS**



**PROCESS**



**OUTPUTS**





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# Importance of Questioning

*“Successful People ask better questions, and as a result, they get better answers”*

-Tony Robbins





# Three Layer Lens



# Three Layer Lens

## 🔍 Compliance

- 🔍 Conform to the ISO9001:2015 Requirements

## 🔍 Effectiveness

- 🔍 Produce intended results
- 🔍 Follow procedures and Op. Standards

## 🔍 Efficiency

- 🔍 Minimize waste and unnecessary efforts

# Are We Compliant?

- Are we meeting the minimum standards?
  - ISO9001
  - ISO19011
- Do we have all of the required systems & procedures in place and are they compliant to regulations and standards?



# Are We Compliant?



- Gap Analysis
- Process Mapping
- Audit
- Turtle Diagram
- Situation Analysis
- Risk Analysis

# Are We Effective?

- Is the process meeting our intended results?
  - Are we following our procedures, work instructions, and guidelines?
  - Are there any unmet needs of our interested parties?
  - Objectives, vision statement, goals, roles & responsibilities

# Are We Effective

- Audit Results
- Survey Interested Parties
- Feedback
- Review Goals, Vision Statements, R&R

*Should our actions reflect our procedures or should the procedure reflect our actions*

# Are We Efficient?

*‘Achieving maximum productivity with minimum wasted effort or expense’*

- Effort/Benefit
- Eliminate or reduce redundancy between systems
- Where are we using unnecessary efforts, extra time and/or resources

# Are We Efficient?

- Observe & Ask
  - Where do we have repeat findings?
  - Where do we spend the majority of our time?
  - What are associates continually complaining about?
  - Where are we using our resources?



# Benefits of an efficient audit system

- Less time will be focused on maintaining your audit system and more time can be focused on your interested parties
- Benefits the company as a whole
- Happier Auditors

# Prioritize and Complete OFI's

## Compliance

- Major Non-conformance
- Minor Non-Conformance

## Effectiveness

- Interested Parties' Needs
- Following Op Standards, WI, Vision

## Efficiency

- Time & Resources

*What is the Current Impact?*

*What is the Urgency?*

*What is the Future Impact?*

# Summary

- PDCA applies to the audit program
- In order to identify good OFI's we need to ask good questions
- Asking questions around the three layer approach is a good way to identify OFI's
- Once we identify OFI's we can prioritize those using current impact, urgency, and future impact
- Having an efficient audit system benefits the auditors, the auditees, and the company as a whole

# Contact Information

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# *Questions?*