TOP TIPS FOR REMOTE INTERNAL AUDITING

Archie Gemmell

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OUR PURPOSE

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NQA specialises in certification in **high technology** and engineering sectors.

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Certification body in **Aerospace** sector

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CHINA'S NO.1
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We specialize in management systems certification for:

QUALITY

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ENVIRONMENT

ENERGY

HEALTH AND SAFETY

INFORMATION RESILIENCE

FOOD SAFETY

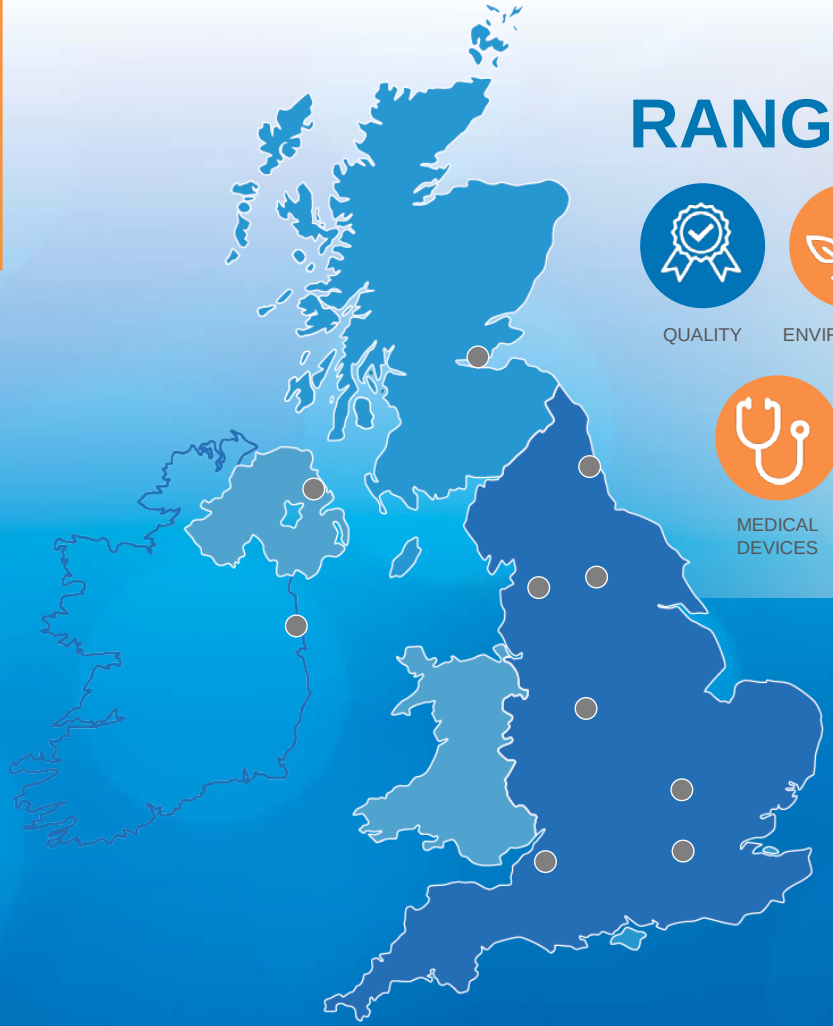
RISK MANAGEMENT

MEDICAL DEVICES

NATIONWIDE TRAINING SERVICES

ACCREDITED COURSES

- Virtual Learning
- e-Learning / Live Webinars
- In-house Training
- Public Training Nationwide Locations



RANGE OF COURSES

- QUALITY
- ENVIRONMENT
- ENERGY
- HEALTH AND SAFETY
- INFORMATION SECURITY
- MEDICAL DEVICES
- BUSINESS CONTINUITY
- AEROSPACE
- INTEGRATED MANAGEMENT

- **e-Learning** Introduction
- **1 day** Introduction Courses
- **2 day** Implementation Courses
- **2 day** Internal Auditor – NQA or IRCA
- **5 day** Lead Auditor – NQA or IRCA
- **Advanced** Training

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KEY INFO

- 45 minute webinar
- Questions asked in the chat box
- Q&A at the end
- Recording of webinar circulated shortly

YOUR PRESENTER

Archie Gemmell
NQA Regional Assessor

Archie joined NQA in November 2017 utilising his experience accrued over 22 years in the RAF to qualify initially as an ISO 9001:2015 Auditor. He used this as the foundation to qualify as an AS9100D approved Aerospace Experienced Auditor (AEA). Following this he subsequently qualified to audit against AS9120B – ASD Distributors and AS6081 – Fraudulent/Counterfeit Electronic Parts.

WHAT WILL YOU LEARN?

- How auditing changes when working remotely
- The pros and cons of remote auditing
- How to effectively plan your audits
- How to ensure everyone is ready for the audit
- Actions you can take to make your remote audit as seamless as possible
- Handy tools and resources to help

EFFECTIVE INTERNAL AUDITING

What am I auditing?

- Scope – The certification body will provide this, however the scope of the audit requires thought in terms of what you expect to see to verify conformity, for example process based, clause based, procedural adherence.

- Desktop or live – paperwork will evidence traceability and give a sense of compliance but what's really going on?

- Checklist or improvement tools – An internal audit is a great opportunity to look deeply into business process and assess areas which may benefit from improvement.

HOW HAS REMOTE AUDITING CHANGED THINGS?

Theoretically it should not change anything, in many ways it may improve your sample:

PROS	CONS
It thoroughly tests a system	Potential to hide evidence
Communication is critical	You may not speak with as many employees as you may like
More creative questions	Technology failure
You can plan more effectively	
Less stress for client	

PLANNING YOUR AUDITS

- Prepare your client or staff – what is the best method to view the information and communicate?

- Who do you need involved?
  - You will need a member of the leadership team, people from each department, and preferably the freedom to invite whoever you like within the organisation to demonstrate awareness and communication as your evidence.

- In advance of the agreed audit dates send a detailed plan for distribution.

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EXAMPLE

Member/ Role	Judith Hargreaves		
Date	**06.07.2020**		
Time	**Location/Department/Function**	**Method**	**Indicative Records Required**
09.00	Opening Meeting	Skype Zoom Or Whatsapp Facetime – Please confirm	
09.30	Local Internal and External Issues / Risks and Opportunities	Document Transmittal by email.	SWOT / PESTLE / Risk and Opportunity Analysis Internal and External Issues List Relevant Procedures Compliance Obligations Register Documented Statement of Scope Management Manual and Procedures
10.00	Interviews: Site Leader; Management legally responsible for H&S; Personnel responsible for monitoring workers health; Risk and Strategy	Interview / Discussion	None
11.00	Performance Evaluation / Improvement processes: Internal Audit, Non-Conformances,	Document Transmittal by email.	Internal Audit Plan and Records Management Review Minutes Non Conformity Records Improvements Log
12.30	Planning Processes: Objectives	Document Transmittal by email.	Risk Assessments / SSoW Management review

13.30	Lunch		
14.00	Operations – Manufacture; Goods in	Video Footage to be Provided / Streamed is possible.	Sales documentation, items required to be purchased,

EXAMPLE CONTINUED

	and out, WIP, job files completed, Sales process, purchasing.	Document Transmittal by email.	RAMS
16.00	Closing meeting	Same as opening meeting	
Completed by	Judith Hargreaves	Timings and content may be subject to change	

Member/ Role	**Judith Hargreaves**		
Date	**07.07.2020**		
Time	**Location/Department/Function**	**Method**	**Indicative Records Required**
09.00	Opening Meeting	Skype Zoom Or Whatsapp Facetime – Please confirm	
09.30	Operations; Stock – management, monitoring, purchase, sales, traceability	Document Transmittal by email.	Purchase orders Stock records
11.00	Calibration Statutory Testing	Document Transmittal by email.	Control of calibrated equipment LOLER Certs
12.30	Lunch		

13.00	Training, competence and awareness	Document Transmittal by email.	Training matrix Certificates
14.00	Supplier control	Document Transmittal by email.	Criteria
15.00	Customer feedback, complaints, improvement, monitor and measure	Document Transmittal by email. Discussion	Client testimonial
16.00	Closing meeting	Same as opening meeting	
Completed by	Judith Hargreaves	Timings and content may be subject to change	

INVITE CONFIRMATION AND PARTICIPATION

- Ensure everybody knows their role for the day and availability
- Test the communication methods ie. TEAMS, Zoom, Skype
- Make sure all required know how to use the platform **(including the internal auditor!)**

- Prepare the buy from the company, this is one of the MOST useful tools in the ISO standard, and sometimes a great tool to assess how to make peoples jobs easier!

THE AUDIT ITSELF – LET'S BREAK IT DOWN

The words/phrase "**documented information**" appears 59 times in the ISO 9001:2015 Standard and this includes the prelude.

We as auditors need to ensure that we can meet the Standard requirements by collecting and assessing this evidence – of course not everything needs to be documented.

This section of the webinar will attempt to show you a very simple method to check for compliance and verify, document your evidence to ensure you have confidence in your assessment.

Importantly, from experience; it is an exceptionally tiring day for all being kept on screen for 8 hours, and then add 4 – 5 hours on to write your report.

KEEP IT SIMPLE, EFFECTIVE, AND ENJOY IT!

CONTEXT

The only requirements for documented information within this section are ‘Scope’, that processes are supported and that confidence can be had that processes are carried out effectively.

We can assess this via:

- Quality manual (if there is one) – sent over email
- We can discuss interested parties (internal and external issues)
- We can verify via the internal audit that we have confidence – that processes are supported and carried out – this is what we are doing
- We can report on the business activities to ensure that we evidenced this – has been assessed and any changes have been integrated into the system.

LEADERSHIP

The only required piece of documented information for this section is the quality policy which can be emailed over:

- Discuss risk
- Discuss roles and responsibilities – how do we verify that people know?
- How do we verify that we do what we say we do within our policy?
- What information do we use when considering setting quality objectives?
- How do you ensure customers are the focus?
- How do we verify conformity?
- How to delegate and ensure roles are supported?

In your internal audit plan, why not do leadership first?

Your role is really to verify you are doing what you say you are and you have information to check without heaps of paperwork to review.

PLANNING

The requirement to reduce risk and increase opportunity based on the information gathered through context – issues and what the business does.

Quality objectives are the only required documented information which can be emailed over and then discussed:

- What methods are used to monitor?
- Can we verify if these are effective?
- How are these objectives, changes, plans communicated and how do we verify they are understood?

SUPPORT

We can be emailed documented information for:

- **7.1.5.1** – fitness for purpose of monitoring and measuring resources
- **7.1.5.2** – calibration equipment, control of calibration – if a matrix is in place select a sample and ask to see certificates, ask to see the item complete with ID and these an be photographed and emailed over
- **7.2** – competence, training matrixes, spreadsheets – select names of people at random and sample their file. These may be good people to interview regarding; environment, infrastructure, awareness and effective communication
- **7.5** – Documented information – we can report on version control, creation and updating, availability and review by the documents we have already sampled, and of course as we go through the operations of the business we can evidence further by writing what we have seen.

OPERATIONS

This has been the part of the Standard that has foxed people whilst auditing remotely.

Lets keep it simple! Hopefully your prior planning has paid off and we have arranged a virtual tour, ensuring the person with the mobile phone, camera or even drone is safe and social distancing can be maintained.

The level of documentation will be industry and scope dependent, and the aim is to ensure a process exists so people know what they are conforming to and standardisation can be achieved, the company determines the level of information to be documented.

Lets break it down!

OPERATIONS

- Can we demonstrate that a process is in place and users know what it is – can we see a live example?
- What is the order process which we adhere to, can we see examples of compliance at random? If the process is online, it may be best to screenshare so you can select the orders at random and document enquiry, quote, order process. Alternatively you can pick live jobs on the tour.
- We can trace purchases of materials required and review approved supplier method all over screen share. Similarly we can pick stock off the shelf and follow back.
- We can then follow this process live – if we have done the paperwork review first.
- Design processes must have documented information and these can be reviewed over screen share, email or photographs.
- Ostensibly we are expecting to see evidence of orders all of the way through with a fully traceable system and controlled process.

PERFORMANCE EVALUATION AND IMPROVEMENT

This is often the forgotten part of the Standard which can be difficult to evidence:

- Documented information is required to show the effectiveness of the QMS, what is required to be monitored and how – this can be emailed over.
- Management review is required to have documented information – this can be emailed over and reviewed during leadership in conversation.
- Internal audits need to be robust to ensure you can evidence a full system audit and contain objective evidence.
- Non-conformances can also be emailed over.

WHAT TO TAKE AWAY FROM THIS

- Make your life easier, if documents can be emailed over (we now have a quick reference with these slides), request the documents and give yourself time to review them so that you have a bank of informed questions and a basic overview of how the system SHOULD work.
- Let’s not lose the art of conversation! On review of documents we have an opportunity to engage fully with the company, we will have seen if there have been issues and how they have been dealt with, and we will have a better chance of verifying conformity and adding value through opportunities.
- **Don’t panic!** The external auditor has the responsibility of managing audit day and ensuring it goes smoothly and pleasantly on the day. The internal auditor has the opportunity to conduct the audit in a relaxed timeframe and get used to the new way of doing things.
- Be aware of secure transmittal of information, confidentiality, GDPR and permission to take screen shots if this is a method of evidence collection you wish to use.

ADVANCED TRAINING COURSES

- Leadership within ISO
- Effective management of change
- Managing your supply chain relationships
- Effective evaluation of compliance
- How to identify risks & opportunities
- Participation & consultation of workers
- Demonstrating customer satisfaction
- Managing information security remotely
- Generating an acceptable use policy
- Operational resilience planning
- Effective root cause analysis

www.nqa.com/en-gb/training/advanced

COVID-19 SUPPORTIVE TOOLS AND RESOURCES

How can we support you work/return to work safely?

PHASE 1

Free supportive tools

Return To Work Safely Guide

Remote Auditing Guide

ISO 22301 Implementation Guide

Email marketing@nqa.com to get a copy for free

PHASE 2

Low cost virtual training

NQA Risk Assessment Training Returning To Work Post COVID-19 Lockdown

NQA Remote Internal Audit Training

Book online at www.nqa.com/training or call 0800 052 2424 (option 3)

PHASE 3

Get COVID SECURE

COVID SECURE Guideline Verification

Get a quote – contact our sales team at sales@nqa.com or call 0800 052 2424 (option 2)

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THANK YOU

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