



Western Macedonia University of  
Applied Sciences, Kozani, Greece  
Faculty of Agriculture Technology,  
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Department of Agricultural Technology

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# Postgraduate Course MSFP101

## SYSTEMS FOR FOOD RISK MANAGEMENT

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# Chapter 4

## AUDIT OF MANAGEMENT SYSTEMS





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## Content

- 4.1. Introduction to the Audit Management Systems. Principles of Auditing. Audit Types**
- 4.2. Management of Audit Program**
- 4.3. The Audit Leadership**
- 4.4. Audit Approach. Psychology of the Audit Communications**
- 4.5. Competence and Evaluation of the Auditors**
- 4.6. The Audits Conducting**
- 4.7. Reporting during the Audit. Preparation and Presentation of the Audit Report**
- 4.8. Report for Nonconformities and Corrective Actions**





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## 4.1. Introduction of the Audit Management Systems.

### Principles of Auditing. Types of Audit



## 4.1.1. GENERAL INTRODUCTION

- ❖ Audit provides information on the state and adequacy of Management systems;



- ❖ It creates trust with respect to food safety;

## 4.1.1. GENERAL INTRODUCTION

- ❖ Definition of the concept of "Audit" are:

### **ISO 22000:2005**

defines the "Audit" as: a systematic examination to determine whether activities of FSMS or HACCP systems and related to them results comply with planned measures, whether these measures are implemented effectively and are suitable to achieve the objectives of the organization.

### **ISO 9001:2015**

**and**

### **ISO 19011:2004**

define the "Audit" as a systematic, independent and documented process for obtaining evidence and evaluating it objectively to determine the extent to which they are satisfied with the audit criteria .



# 4.1.1. GENERAL INTRODUCTION

## ❖ When can be held "Audit"?:

- 1) Upon the occurrence of a new customer;
- 2) When conducting periodic inspections of clients (oversight audits);
- 3) When the requirements set in clauses of trade and other agreements;
- 4) In case of the system changes;
- 5) If the volume of orders increases;
- 6) When establishing the problems;



## 4.1.1. GENERAL INTRODUCTION

### ❖ What are the benefits of an audit?;

- 1) It creates trust management;
- 2) It creates confidence in consumers;
- 3) The current problems can be controlled;
- 4) The opportunities for improvement provide;
- 5) It ensures a feedback for determining the corrective and preventive actions.



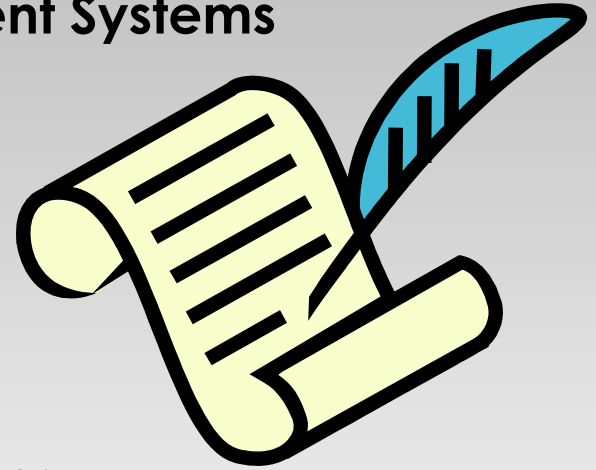


## 4.1.1. GENERAL INTRODUCTION

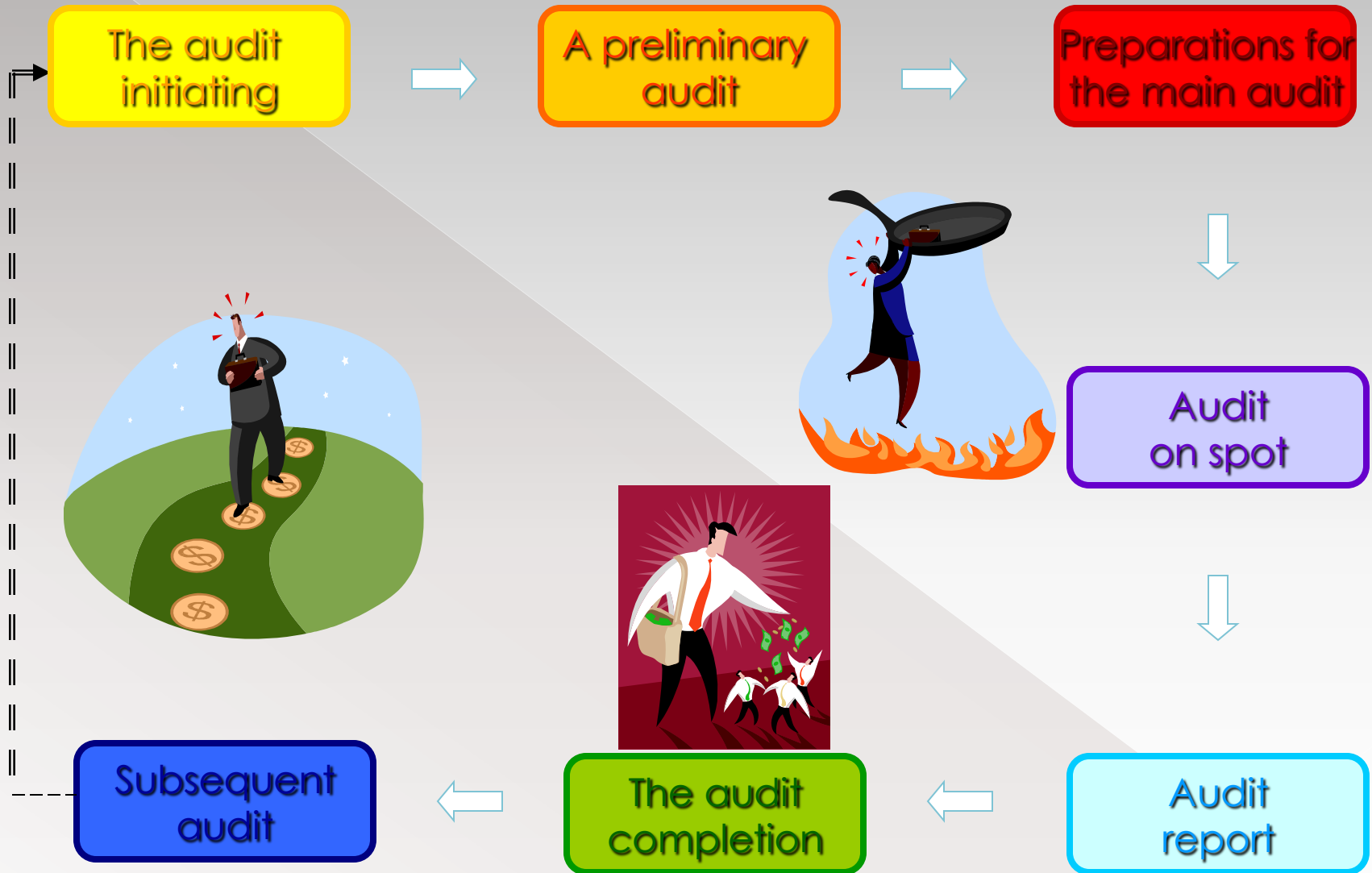
### ❖ Content of ISO 19011: 2004

#### Guidelines for Auditing the Management Systems

- 1) Subject and Scope;
- 2) Reference;
- 3) The Terms and Definitions;
- 4) Basis of Audit;
- 5) Management of the Audit Program;
- 6) Activities Related to Audit;
- 7) Competence and Evaluation of Auditors.



## 4.1.1. GENERAL INTRODUCTION



## 4.1.2. PRINCIPLES FOR AUDIT PERFORMING

### **The ethical behavior**

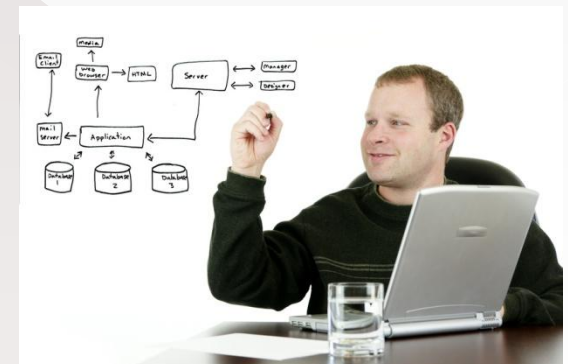
It is the foundation for professionalism

### **Impartially presenting**

It obliged that the outcomes to be true and accurate reported

### **Professional integrity**

Hardworking, diligence and correct decisions during the audit



## 4.1.2. PRINCIPLES FOR AUDIT PERFORMING

### **Independence**

It basis of the impartiality  
and objectivity  
audit findings



### **Approach based on proofs/ evidences**

A rational method to achieve  
reliable and reproducible  
audit conclusions

## 4.1.3. TYPES OF AUDITS



**INTERNAL AUDITS**

**EXTERNAL AUDITS**

### **AUDIT OF FIRST PARTY**

The organization audits its own system using the internal auditors

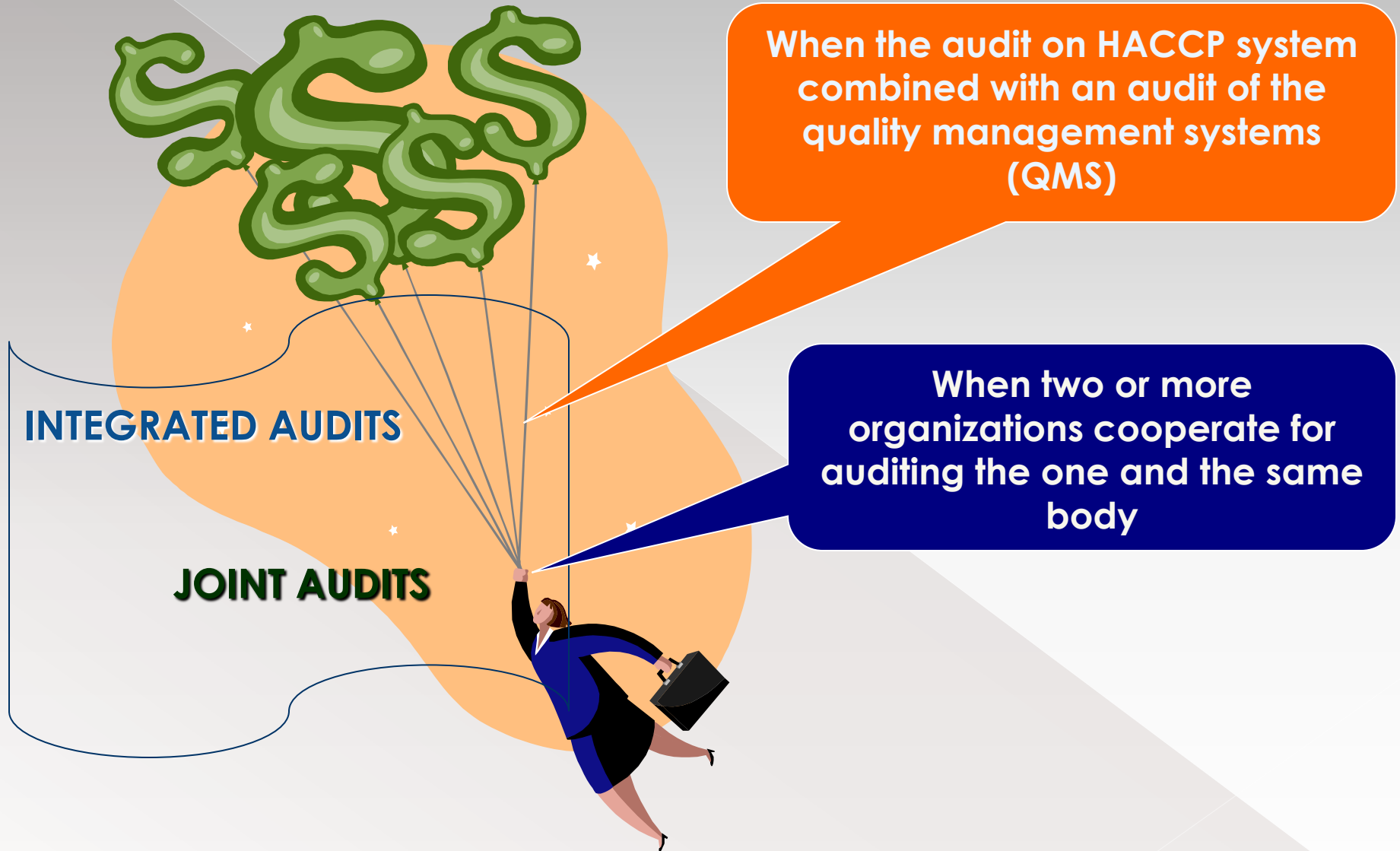
### **SECOND PARTY AUDIT**

The system of organization is audited by external auditors to stakeholders

### **THIRD-PARTY AUDIT**

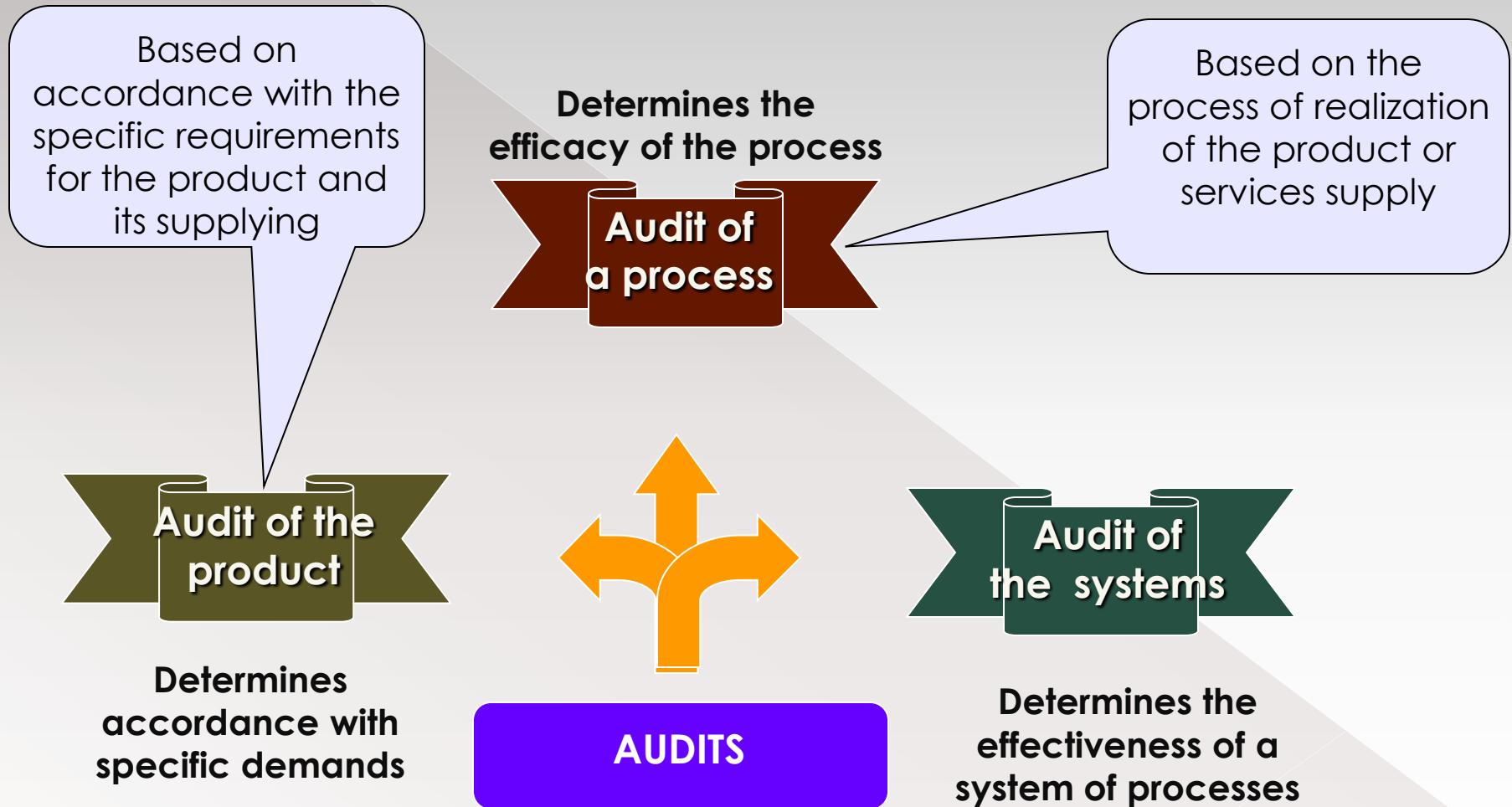
The system of organization is audited by independent external auditors for instance a certification audit

## 4.1.3. TYPES OF AUDITS



## 4.1.3. TYPES OF AUDITS

Depending on the scope and the depth audits are classified into:





## 4.1.3. TYPES OF AUDITS

**A certification audit**

**A supervisory audit**

**A re-certification audit**





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## 4.2. Management of the Audit Program



## 4.2.1. INTRODUCTION

- ❖ The audit program may include one or more audits;
- ❖ These audits may have a variety of purposes;
- ❖ These audits may include joint or combined audits.
- ❖ Audit program includes all activities necessary for planning and organizing the types and number of audits and providing resources to effectively carry out the prescribed period.
- ❖ The organization may establish more than one audit program.

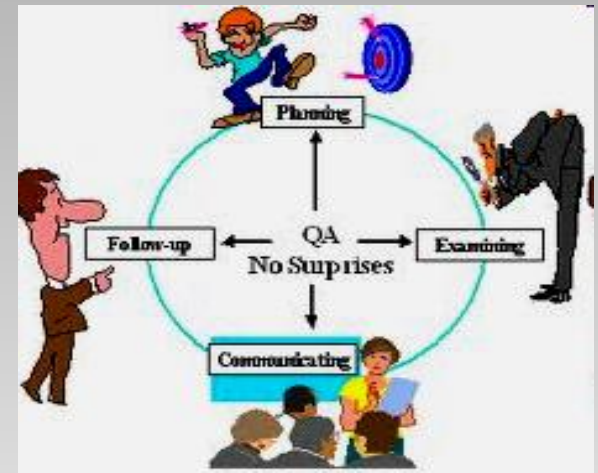
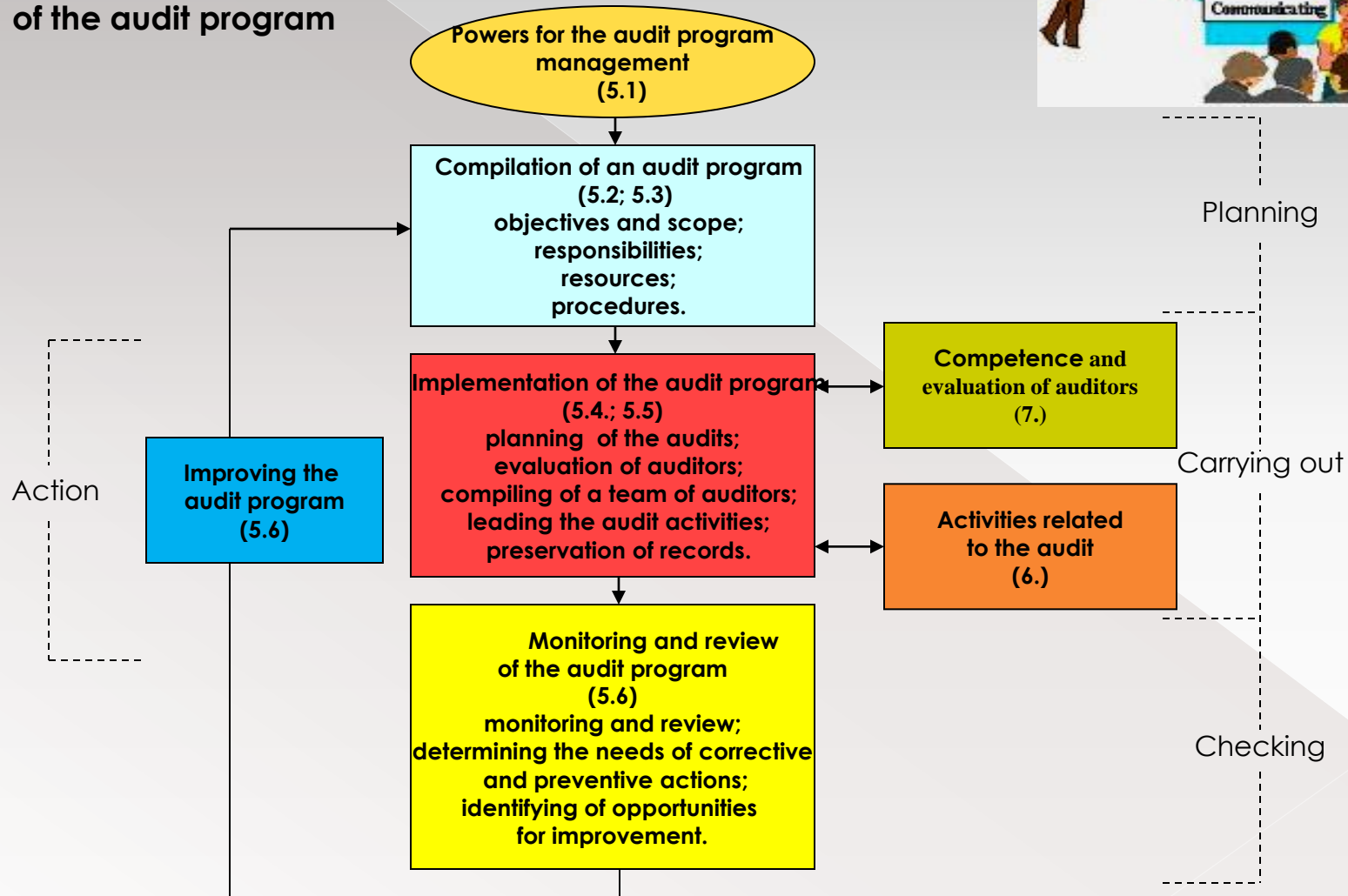


## **4.2.1. INTRODUCTION**

- ❖ **The top management needs to empower for management of audit program.**
- ❖ **Persons who have been given responsibility for managing the audit program should:**
  - 1) to formulate, implement, monitor, review and improve the audit program;**
  - 2) to identify necessary resources and ensure their provision.**

## 4.2.1. INTRODUCTION

Figure 1. Illustration of management process of the audit program



## **4.2.2. OBJECTIVES AND SCOPE OF THE AUDIT PROGRAMME**

### **4.2.2.1. Objectives of the audit program**

- ❖ We need to identify objectives of the audit program to direct the planning and conduct of audits.
- ❖ These objectives can be based on consideration of:
  - 1) the priorities of management;
  - 2) the trade policy;
  - 3) the requirements of the management system;
  - 4) the statutory, regulatory and contractual requirements;
  - 5) the needs for assessment of suppliers;
  - 6) the customer requirements;
  - 7) the needs of other stakeholders and
  - 8) the risks to the organization.

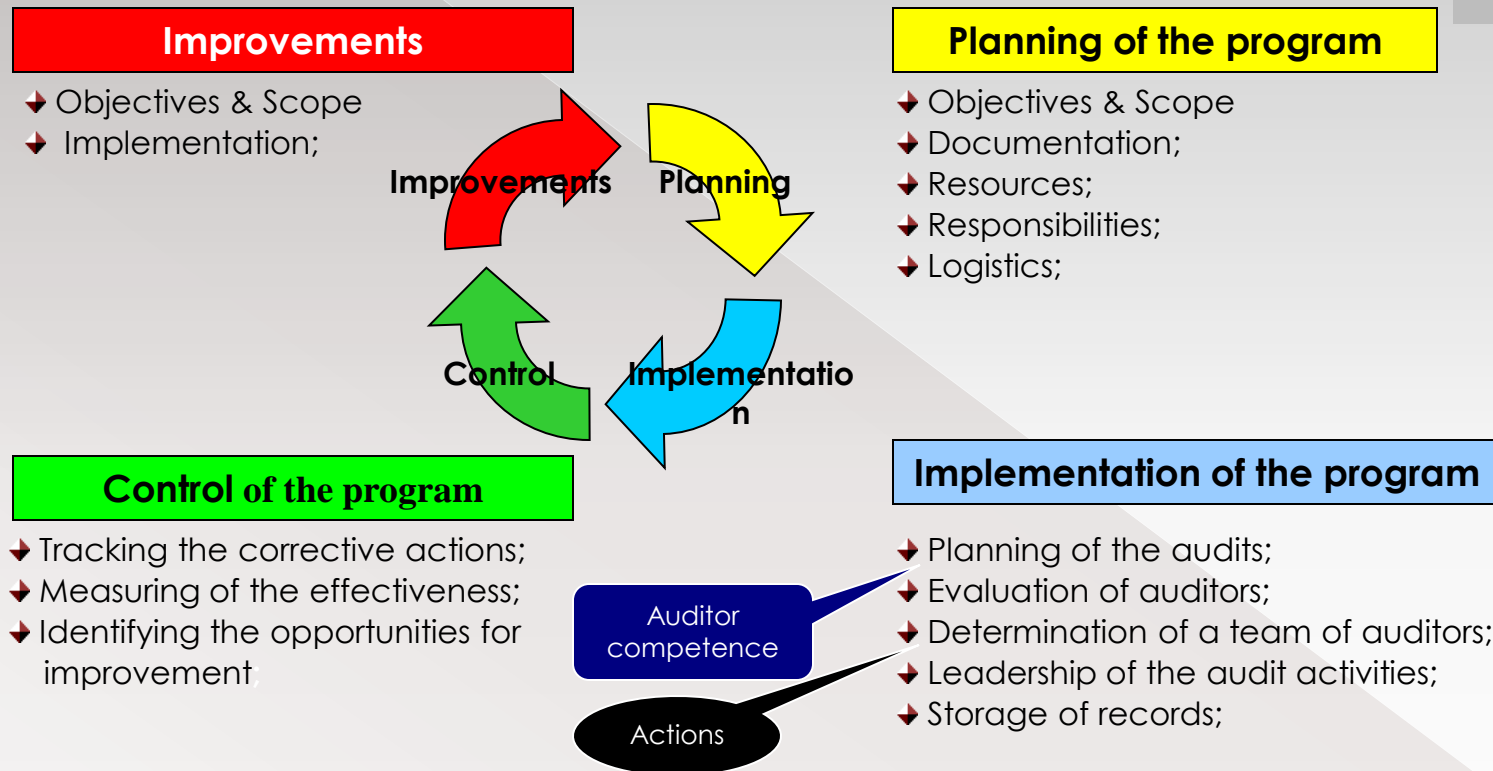
## **4.2.2. OBJECTIVES AND SCOPE OF THE AUDIT PROGRAMME**

### **4.2.2.2. Scope of the audit program**

- ❖ The scope of the audit program depends on the size, nature and complexity of the audited entity, as well as:
  - 1) object, purpose and duration of each audit to be carried out;
  - 2) the frequency of audits;
  - 3) the number, importance, complexity, similarity and locations of activities to be audited;
  - 4) the standards, laws, regulatory requirements and contractual requirements and other audit criteria;
  - 5) the need for accreditation or registration / certification;
  - 6) the conclusions of previous audits or results of previous review the audit program;
  - 7) any cultural, linguistic and social issues;
  - 8) the concerns of interested parties;
  - 9) the importance of the changes in an organization or its functions.



## 4.2.3. CYCLICITY OF THE AUDIT PROGRAMME



## **4.2.4. RESPONSIBILITIES, RESOURCES AND PROCEDURES OF THE AUDIT PROGRAM**

### **4.2.4.1. Responsibilities**

- ❖ Responsibility for managing the audit program should be assigned to persons with good knowledge of the principles of the audit of the competence of auditors and the application of audit methods.
- ❖ Those who have been given responsibility for managing the audit program should:
  - 1) to determine the objectives and scope of the audit program;
  - 2) to define the responsibilities and procedures and to ensure the availability of resources;
  - 3) to ensure the implementation of the audit program;
  - 4) to ensure the preservation of relevant records from the audit program and
  - 5) To monitor, review and improve the audit program.

## **4.2.4. RESPONSIBILITIES, RESOURCES AND PROCEDURES OF THE AUDIT PROGRAM**



### **4.2.4.2. Resources of the audit program**

❖ When determining the necessary resources for the audit program should be addressed to:

- 1) the financial resources necessary for the development, deployment, management and improvement the activities related to the audit;
- 2) the methods of the audit;
- 3) the processes to achieve and maintain the auditors competence and improve the auditors performance;
- 4) the availability of auditors and technical experts with competence appropriate to the specific objectives of the audit program;
- 5) the scope of the audit program and
- 6) the time for travel, accommodation and other needs on the audit.

## **4.2.4. RESPONSIBILITIES, RESOURCES AND PROCEDURES OF THE AUDIT PROGRAM**



### **4.2.4.3. Procedures of the audit program**

❖ Procedures of the audit program should include:

- 1) the audits planning and scheduling;
- 2) ensuring the competence of auditors and team leading auditors ;
- 3) Selection of the appropriate audit teams and allocating roles and responsibilities of every one auditor;
- 4) carrying out the audits;
- 5) performance the audit follow-up;
- 6) preservation of records of the audit program;
- 7) monitor the implementation and effectiveness of the audit program;
- 8) reporting to senior management on the results of the audit program.

❖ For smaller organizations the above activities can be covered in one procedure.

## **4.2.5. IMPLEMENTATION OF THE AUDIT PROGRAM**



❖ For the implementation of an audit program is necessary:

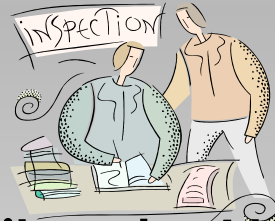
- 1) bringing to the attention of the countries of the audit program;
- 2) coordinating and scheduling audits and other activities relating to the audit program;
- 3) establishing and maintaining a process for evaluating auditors and their continuing professional development in accordance with points 7.6 and 7.5 of the ISO 19011:2004;
- 4) ensuring the drafting of the audit team;
- 5) providing the necessary resources to the audit team;
- 6) providing the audit in accordance with the audit program;
- 7) providing records for management activities related to the audit;
- 8) ensuring the review and approval of the reports and audits;
- 9) ensuring their distribution to the audit client and other stakeholders;
- 10) ensuring the audit follow-up if necessary.

## **4.2.6. RECORDS RELATED OF THE AUDIT PROGRAM**



- ❖ Records must be kept to show the performance of the audit program
- ❖ These records should include:
  - 1) records related to the individual audits, such as:
    - plans to the audits;
    - audit reports;
    - reports of nonconformities;
    - reports on corrective and preventive actions;and
    - reports for audit follow-up, if applicable;
  - 2) the results of the review of the audit program;
  - 3) the records relating to personnel involved in the audit and covering the questions such as:
    - Assessing the competence of the auditor and their achievements;
    - Preparation of the audit team and
    - Maintenance and improvement of competence.
- ❖ These records must be stored and adequately protected.

## **4.2.7. MONITORING AND REVIEW OF THE AUDIT PROGRAM**



- ❖ Implementation of the audit program should be monitored. At appropriate intervals should be reviewed to assess whether its objectives have been achieved and to identify opportunities for improvement. The results should be reported to the top management.
- ❖ They should use performance indicators for to follow such as:
  - The ability of the team of auditors to perform the audit plan;
  - The compliance the audit program and implementation schedule;
  - Feedback from the audit clients, audited organizations and auditors.
- ❖ The review of the audit program must consider:
  - 1) monitoring results and trends that stand out;
  - 2) compliance with procedures;
  - 3) assessing the needs and expectations of stakeholders;
  - 4) records of the audits;
  - 5) different or new audit practices ;
  - 6) similarity in the work of different teams of auditors resembling their situations.





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## 4.3. The Audit Leadership



## 4.3.1. INTRODUCTION



- ✚ Audits are expensive activity;
- ✚ Audits must be properly managed;
- ✚ Audits should not be surprising conducted ;
- ✚ Always consult each relevant dates;

## 4.3.2. RESPONSIBILITIES OF THE LEAD AUDITOR DURING THE AUDIT CYCLE

Collection of information

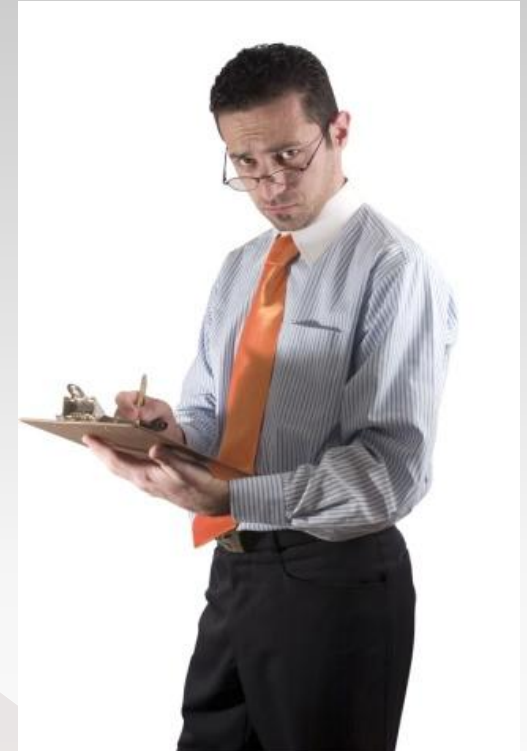
Planning and preparation

Directing a opening meeting

Managing the audit

Directing a closed meeting

Preparing the subsequent audit



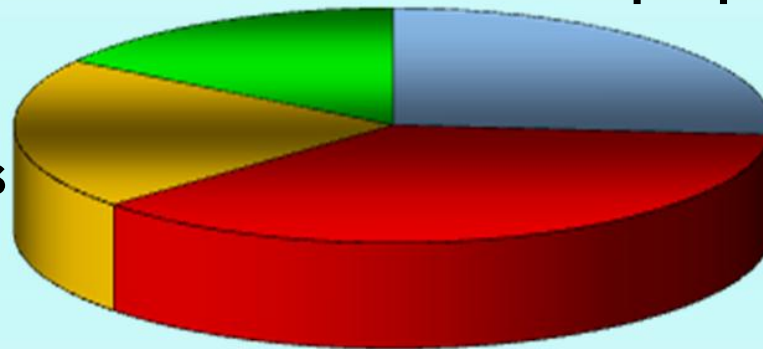
### 4.3.3. PHASES OF THE AUDIT CYCLE

Four phases for leading of audit



The audit  
control

The audit  
preparation

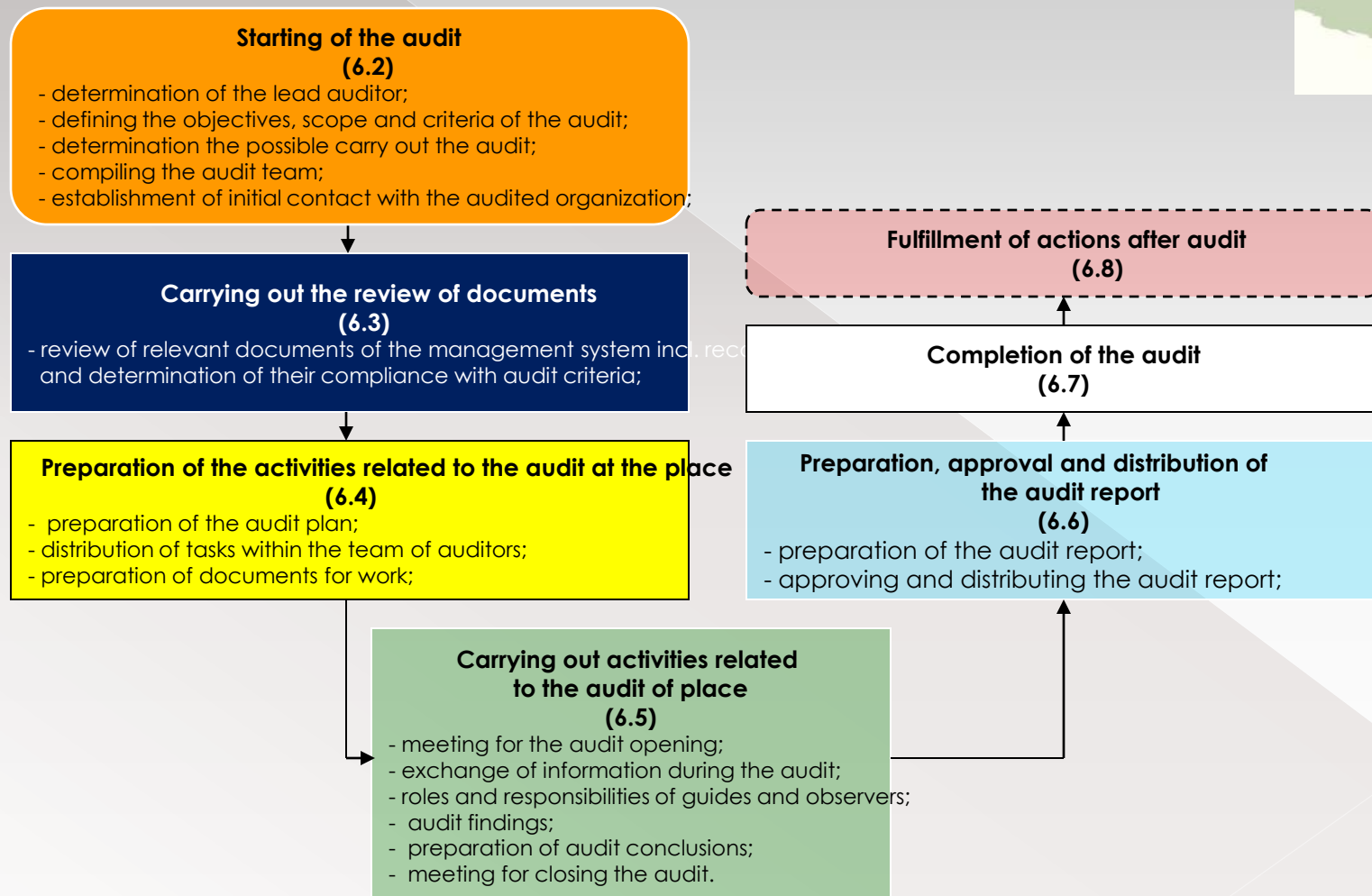


Reporting on  
the audit results

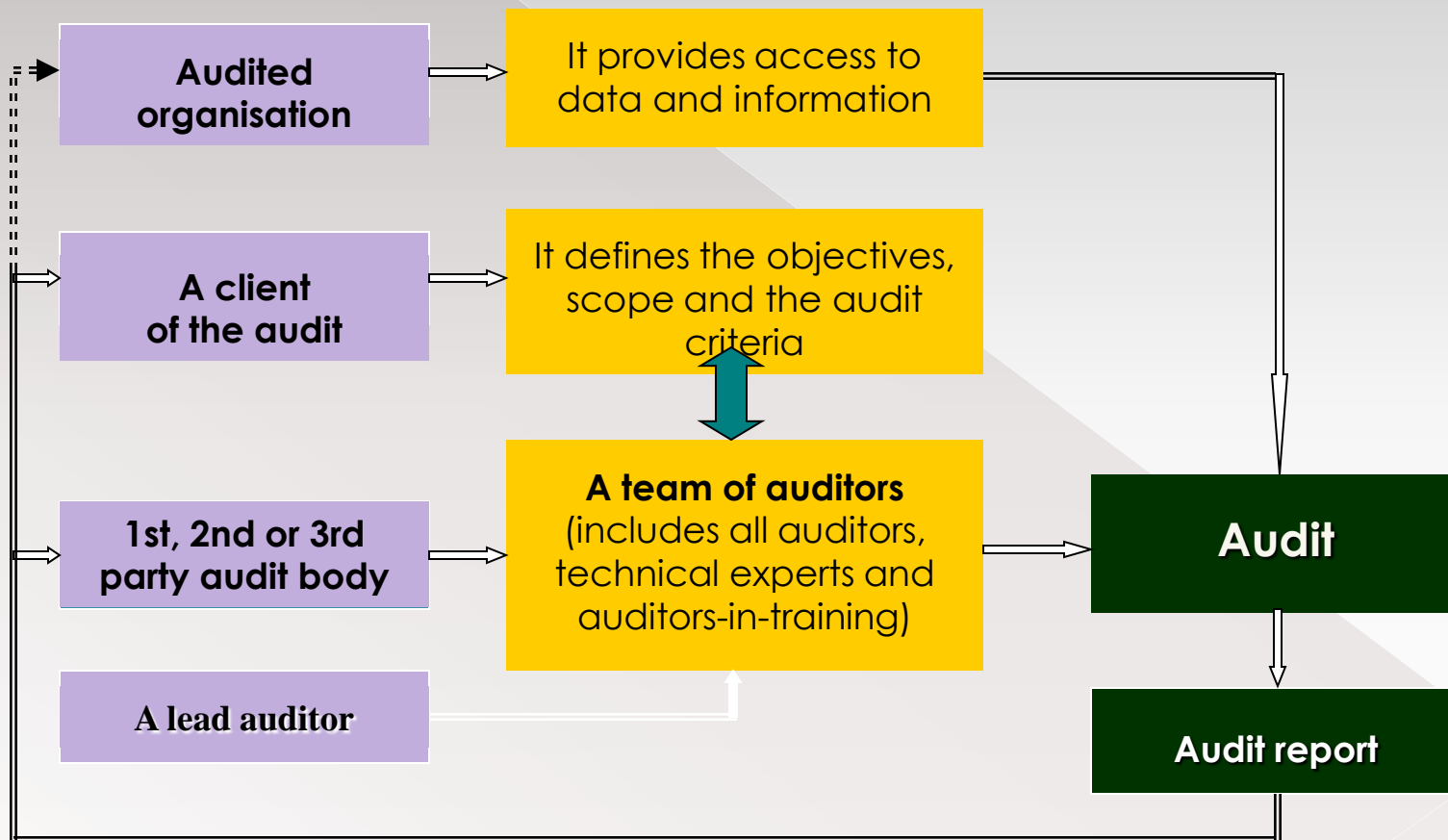
The audit  
carrying out

## 4.3.4. STEPS OF THE AUDIT PROCESS ACCORDING ISO 19011:2011

Figure 2. General presentation of the characteristic activities during an audit

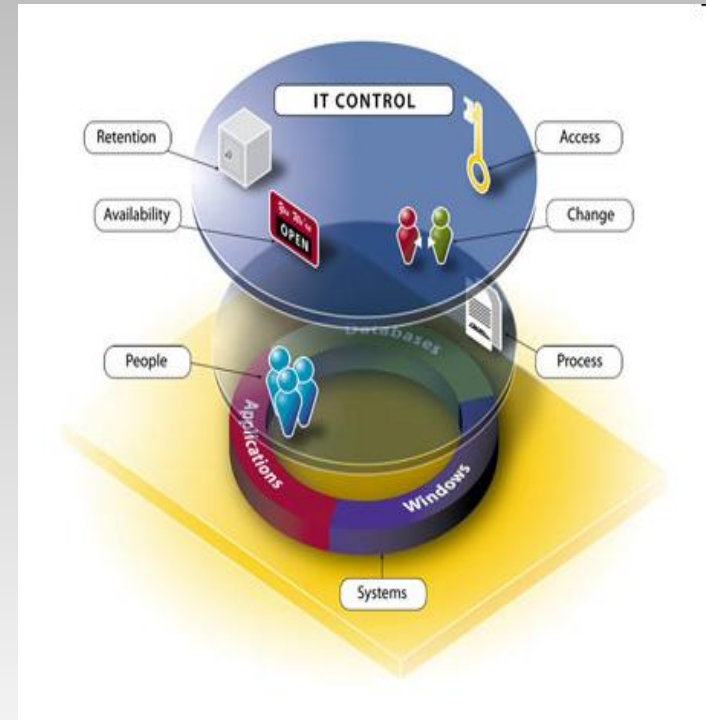


## 4.3.5. INTERACTIONS BETWEEN PARTICIPANTS IN THE AUDIT PROCESS



## 4.3.6. RESPONSIBILITIES OF THE LEAD AUDITOR

- ✚ Connects to organization which will be audited;
- ✚ Specifies the scope of the audit;
- ✚ Clarifies the reasons for the audit;
- ✚ Defines the criteria for audit;
- ✚ Decide on the dates, duration and team (in case of an audit by a third party)





## 4.3.7. ACTIVITIES THAT PERFORM THE LEAD AUDITOR

The lead auditor defines the:



✚ The boundaries of the audit:

- Whether you are audited throughout the object and its location?
- Whether you are audited a parts of the organization?
- Which products will be audited?

✚ The scope of the audit may not include all activities and products;

## 4.3.7. ACTIVITIES THAT PERFORM THE LEAD AUDITOR

**The lead auditor defines the:**

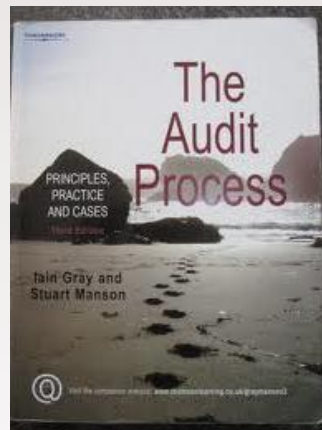
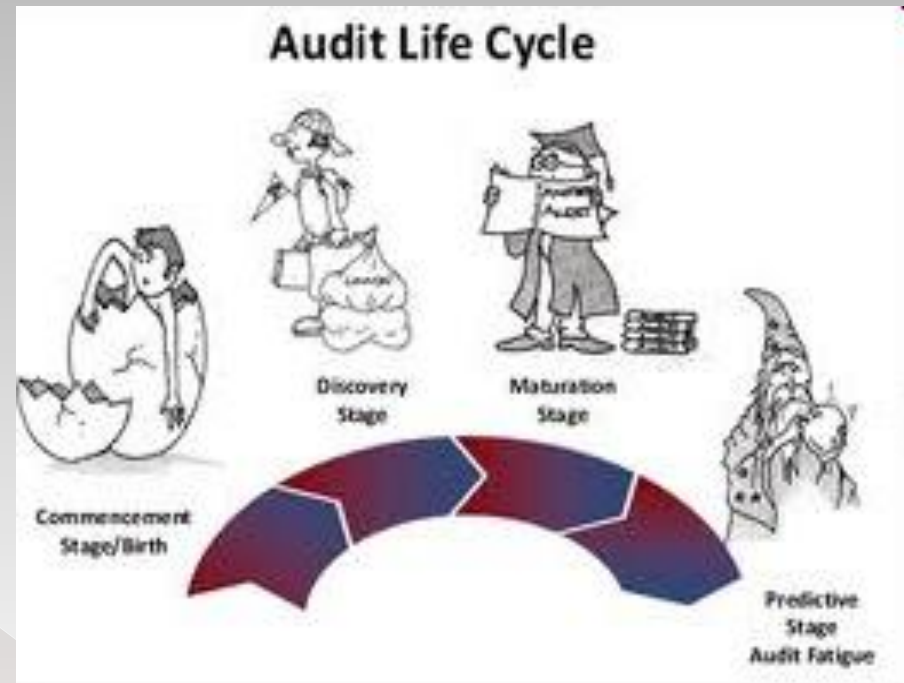
- + Standard against which to be audited;
- + Conditions of the contract;
- + The documentation;
- + The plans;
- + Others.



## 4.3.7. ACTIVITIES THAT PERFORM THE LEAD AUDITOR

The lead auditor determines:

- + What they do?
- + The sizes of the audit;
- + The complexity of the processes;
- + The degree of readiness of the system for audit;



## 4.3.7. ACTIVITIES THAT PERFORM THE LEAD AUDITOR

**The lead auditor accomplishes and checks:**

- + Preliminary contact;
- + Review of documentation;
- + Promotional literature;
- + The inquiries;
- + The preliminary visit;
- + The review of the contract in case of certification;



## 4.3.7. ACTIVITIES THAT PERFORM THE LEAD AUDITOR

### The lead auditor:

- + Collects information;
- + Establishes personal contact;
- + Creates a favorable atmosphere;
- + Clarifies the scope, objectives and methods;
- + Prevents problems.



## 4.3.7. ACTIVITIES THAT PERFORM THE LEAD AUDITOR

### The lead auditor:

- + Determines the amount of work;
- + Determine the number of person days used (according to the Guidelines of IFA);
- + Makes a selection of auditors;
- + Prepares working papers;
- + Informs the audited body,
- + Coordinates the dates and times appropriate for conducting the audit;
- + He is responsible for the logistics;



## 4.3.7. ACTIVITIES THAT PERFORM THE LEAD AUDITOR



The Guidelines of IFA (EA-7/01 – 1-st Edition, February 1998)

Number of employees	Person days for conducting the certification audit		Person days for conducting the supervisory audit		Person days for conducting the re-certification audit	
	Total	Places	Total	Places	Total	Places
< 5	2	1	1	0,5	1,5	1
5 – 9	2,5	1,5	1	0,5	1,5	1
10 – 19	3	2	1	1	2	1
20 – 29	4	2,5	1,5	1	3	2
30 – 59	6	4,5	2	1	4	2,5
60 – 99	7	5	2	1,5	4	3
100 – 249	8	6	2,5	2	5	3
250 – 499	10	7	3	2	6	4,5
500 – 999	12	9	4	3	8	5,5
1000 – 1999	15	12	5	4	10	6,5
2000 - 3999	18	14	6	5	12	8
3000 - 8000	21	17	7	5	14	9



## 4.3.7. ACTIVITIES THAT PERFORM THE LEAD AUDITOR

**The lead auditor must possess:**

- ✚ Impartiality;
- ✚ Professional habits;
- ✚ Skills for the selection of auditors;
- ✚ Knowledge for the preparation of working papers;

**The lead auditor should:**

- ✚ To develop your career;
- ✚ To be acceptable to the audited organization;
- ✚ To be able to participate in the audit;
- ✚ To know a foreign language;





## 4.3.7. ACTIVITIES THAT PERFORM THE LEAD AUDITOR

The lead auditor is involved in:

+ Drawing up a scheme of the system:

- Processes;
- Input and output data;
- Management;
- Sequence;
- Interaction;

+ Preparation of the plan;



# 4.3.7. ACTIVITIES THAT PERFORM THE LEAD AUDITOR



An example of a matrix of audit plan

Vertical against horizontal audit planning

Vertical against horizontal audit planning	Department X		Department Y			Department Z	
	Processes						
Requirements for the HACCP system according to EN ISO 22000 & 2006	A	B	C	D	E	F	G
4. The food safety management system	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.2. Requirements for documentation	√	<input type="checkbox"/>	√	√	√	√	√
4.2.2. Document management	<input type="checkbox"/>	√	√	√	√	√	√
4.2.3. Records management	√	<input type="checkbox"/>	√	√	√	√	√
5. The top management responsibility	√	<input type="checkbox"/>	√	√	√	√	√
5.1. The top management commitment	<input type="checkbox"/>	√	√	√	√	√	√
5.2. Policy on food safety	<input type="checkbox"/>	√	√	√	√	√	√
5.3. Planning of the food safety management system	<input type="checkbox"/>	√					
5.4. Responsibility and authority	<input type="checkbox"/>	√	√	√		√	√
5.5. Leader of the food safety team							
5.6. Communications	<input type="checkbox"/>	<input type="checkbox"/>					
5.7. Emergency preparedness and response capability	<input type="checkbox"/>						
5.8. The review by the top management	<input type="checkbox"/>	√	√	√	√	√	√

Audit of process principle


Audit of clause principle

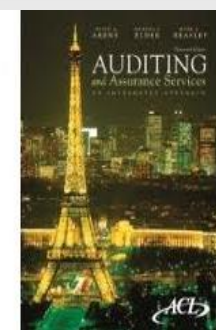
☐ Direct responsibilities    √ Responsibilities and relationship with other clauses / processes

# 4.3.7. ACTIVITIES THAT PERFORM THE LEAD AUDITOR

## First example of an audit plan




		<h1>FSMS Audit Plan</h1>		A dossier № AU-01-NE-128 by 21.07.2016	
				Page 1/2	
The reason for the audit: * Preliminary				The audit will be conducted in English	
<b>ORGANISATION:</b> "TEHRA" Ltd. <b>LOCATION:</b> 1164 Sofia, str. "Sinchets" № 5 <b>AUDIT CRITERIA:</b> HACCP (Codex Alimentarius) <b>AUDIT SCOPE:</b> Production of cereals; mixes and prepared flour mixes; enhancers and correctors; Integral flour; oil emulsion "Volyo"			<b>AUDITOR'S TEAM:</b>  Lead Auditor: Prof. Stefan Dragoev DSc. Supervisory lead auditor: Eng. Antoaneta Lazarova Auditor-in-training: Eng.-Chem. Georgi Arnaudov Sector-expert: Eng.-Technol. Dimitar Pavlov		
Date	beginning - ending	FSMS processes that are audited	Persons with whom contacted name - position		Auditors
07.11.2016	09 <sup>00</sup> -09 <sup>30</sup> 09 <sup>30</sup> -11 <sup>30</sup>  11 <sup>30</sup> -12 <sup>00</sup>  12 <sup>00</sup> -13 <sup>00</sup>    13 <sup>00</sup> -14 <sup>00</sup> 14 <sup>00</sup> -17 <sup>00</sup>	<b>Opening meeting</b> 1. Available technological documentation. 2. The availability of regulatory documents and maintain their actuality. 3. Availability of a system for incoming inspection of raw and auxiliary materials. 4. Assurance of the technological process: - documents defining the manufacturing process and service; - appropriate equipment and working environment complying with the relevant regulations; - availability of appropriate monitoring, measurement and testing and their metrological (cards, file, annual timetables for inspection, storage); - staff with the necessary qualifications and experience; - operational control and examination; - analysis and control of the final product; - availability of the analytical documents (records, protocols, journals and other similar). <b>Break</b> 5. Ensuring the appropriate identification of documents and records during all stages of production and delivery. 6. Operating environment. Availability of the workplaces of the labor protection instructions. 7. Conditions for storage and delivery of finished product. 8. Procedure for registration and settlement of claims.			A team of auditors A team of auditors A team of auditors



# 4.3.7. ACTIVITIES THAT PERFORM THE LEAD AUDITOR

## Second example of an audit plan



 <b>ISO 9001:2015 AUDIT PROGRAMME</b>			
Lead Auditor : <u>VANYA PETKOVA(VPP)</u> Team Member: <u>STEFAN DRAGOEV(SGD)</u> Type of audit : <u>SURVEILLANCE AUDIT No 1</u> Job Number : <u>SOF/06/276</u>			
BVQI Ref : <u>894BUL</u> Organization: <u>EUROGREEN LTD.</u> Audit Date : <u>19.07.2016</u>			
Time	Auditor and area	Time	Auditor and area
SMT	VANYA PETKOVA (VPP)		STEFAN DRAGOEV (SGD)
09:30	Arrival / Sign on	09:30	Arrival / Sign on
09:35	Schedules and plans update	09:35	Schedules and plans update
09:45	Opening Meeting	09:45	Opening Meeting
10:00	Quality Management Processes	10:00	Control of production, Control of nonconforming product
11:00	Internal audits, Customer satisfaction, Continual improvement, Document control	12:00	Control of mechanization, ID of customer/review of product reg.
12:00	Control of measuring devices		
13:30	Wash up meeting	13:30	Wash up meeting
14:00	Closing Meeting	14:00	Closing Meeting
14:30	Departure / Sign off	14:300	Departure / Sign off
-	Reporting		Reporting
Prepared by: / Vanya Petkova / The purpose of this programme is to enable you to ensure that the appropriate Personnel are available for the Opening Meeting and during the Audit. The plan has been devised in -line with the requirements of ISO 9001 and ISO 19011, and is intended to help the Lead Auditor make the most efficient use of the time available. The Lead Auditor may prepare a programme based upon your Departmental structure or amend this plan to better reflect your organisational needs. <b><u>BVQI Lead Auditor:</u></b> Amendments to this plan or other plans created must form part of the final documentation pack for certification purposes. <b><u>Organization Information:</u></b> Please inform BVQI if there is any objection or conflict of interest related to any of the above team members. SMT is an abbreviation of Sofia Mean Time.			



## 4.3.7. ACTIVITIES THAT PERFORM THE LEAD AUDITOR

The lead auditor have to prepare and examine:

- ✚ Check lists;
- ✚ Application forms;
- ✚ Standards;
- ✚ Regulations;



## 4.3.7. ACTIVITIES THAT PERFORM THE LEAD AUDITOR



The lead auditor is directly responsible for:

DISPATCH:

- ✓ Audit plan;
- ✓ Schedule;
- ✓ Check list (optional);





## 4.3.7. ACTIVITIES THAT PERFORM THE LEAD AUDITOR



The lead auditor is directly responsible for:

- + Dates and duration;
- + Matrix the processes;
- + A plan;
- + Individual tasks;
- + Report from the preliminary audit;
- + Other specific requirements;



## 4.3.7. ACTIVITIES THAT PERFORM THE LEAD AUDITOR

The lead auditor is directly responsible for:

- ✚ Travel and accommodation;
- ✚ Workplace;
- ✚ Translator;





## 4.3.8. ACTIONS THAT CARRIED OUT THE LEAD AUDITOR

**The lead auditor manages:**

- + Opening meeting;
- + Closed meeting;
- + Periodical meetings with the top management;
- + Meetings with auditors.



## 4.3.8. ACTIONS THAT CARRIED OUT THE LEAD AUDITOR

The lead auditor have to:

- ✚ To be prepared and do not late;
- ✚ To prepare a timetable for the day;
- ✚ To register participants;
- ✚ To participate in the audit together to the whole team of auditors;
- ✚ To take into account the presence of the management of the audited entity (or at least a representative of management);
- ✚ To manage meetings;



***Manage the time!***

## 4.3.8. ACTIONS THAT CARRIED OUT THE LEAD AUDITOR



**The lead auditor have to:**

- ✚ To present the team auditors;
- ✚ To explain the causes, scope and criteria led to the audit;
- ✚ To review the plan and audit method;
- ✚ To explain the sampling nature of the audit;
- ✚ To declare its confidentiality;
- ✚ To clarify the methods of reporting;
- ✚ To classify the nonconformities;
- ✚ To confirm the readiness of the staff of the company for the audit;
- ✚ To confirm the logistics;
- ✚ To confirm the accompanying persons;
- ✚ To confirm the safety requirements;
- ✚ To give an opportunity to ask questions;



## 4.3.8. ACTIONS THAT CARRIED OUT THE LEAD AUDITOR

**The lead auditor have to:**

- ✚ To confirm the effective planning and conducting of the audit;
- ✚ To confirm the performance and scope of the audit;
- ✚ To summarize the results obtained;
- ✚ To analyze the nonconformities;



## 4.3.8. ACTIONS THAT CARRIED OUT THE LEAD AUDITOR

### Conduct the meetings and conversations:

- ✓ with representatives of the top management and other managers;
- ✓ for an overview of audit results;
- ✓ for discussion of the nonconformities;
- ✓ for coordination of the corrective actions;



## 4.3.8. ACTIONS THAT CARRIED OUT THE LEAD AUDITOR

The lead auditor have to:

- ✓ The preparation of the closing meeting;
- ✓ The analysis and summarization of results;
- ✓ The discussion of observations;
- ✓ The preparation of the final report;





## 4.3.9. WHAT SHOULD BE THE BEHAVIOR OF THE LEAD AUDITOR DURING THE AUDIT?

**The lead auditor have to:**

- ✓ To thank the audited organization;
- ✓ To summarize the reason, field and criterion of the audit;
- ✓ To review the program and methods of the audit;
- ✓ To communicate the results, positive and negative;
- ✓ To announce rights of the organization;
- ✓ To summarize the conclusions of the audit;
- ✓ To enable the questions and answers;
- ✓ To communicate the corrective actions and timetable for their performance;
- ✓ To make recommendations;
- ✓ To present opportunities for improvement;
- ✓ To plan the follow-up audit;



## 4.3.9. WHAT SHOULD BE THE BEHAVIOR OF THE LEAD AUDITOR DURING THE AUDIT?

**The lead auditor have to:**

- ✚ To confirm the scope of certification;
- ✚ To confirm the duration and the certificate;
- ✚ To plan the supervisory audits;
- ✚ To plan the re-certification audits;
- ✚ To explain how to use the signs and logos of the certification body by the audited organization;





## 4.3.9. WHAT SHOULD BE THE BEHAVIOR OF THE LEAD AUDITOR DURING THE AUDIT?

The lead auditor have to manage the audit:

- ✓ with no surprises;
- ✓ do not delay discussions on corrective action to closing meeting;
- ✓ be diplomatic;
- ✓ report the results;



## 4.3.9. WHAT SHOULD BE THE BEHAVIOR OF THE LEAD AUDITOR DURING THE AUDIT?

**The lead auditor have to:**

- ✓ Finish the audit at the agreed time;
- ✓ Exchange the contact details for a correspondence;
- ✓ Analyze documentary evidence;
- ✓ Repeat your actions if necessary;
- ✓ Consider only corrective action;
- ✓ Do not start all over again!



## 4.3.9. WHAT SHOULD BE THE BEHAVIOR OF THE LEAD AUDITOR DURING THE AUDIT?

The lead auditor have to:

- ✓To keep records;
- ✓To possess certificates of training;
- ✓Do not make changes to the procedures during the audit;
- ✓To take pictures;
- ✓To make videos;



## 4.3.9. WHAT SHOULD BE THE BEHAVIOR OF THE LEAD AUDITOR DURING THE AUDIT?

What to do if your hosts late?



*Give them the opportunity  
for more time!*