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4.4. Audit Approach.

Psychology of the Audit Communications



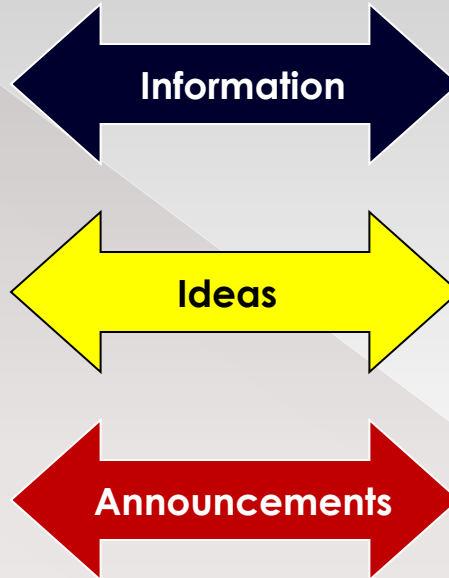
4.4.1. Introduction

The relationship between the auditor and audited party are essential for the successful conducting of the audit!

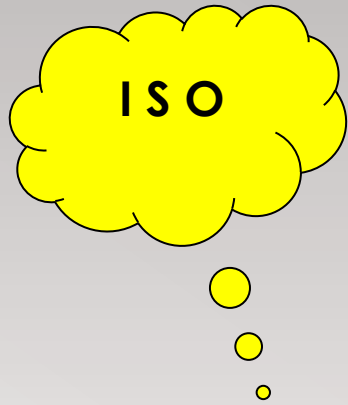


4.4.1. Introduction

During the audit shall be exchanged usually:



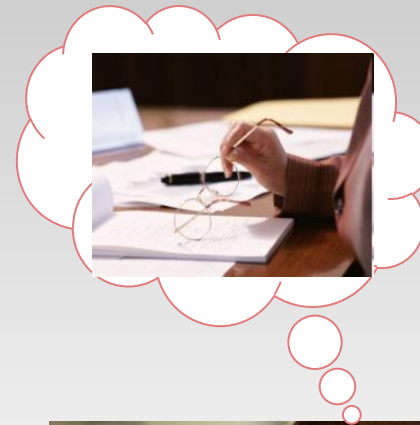
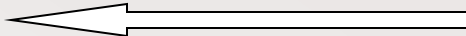
4.4.1. Introduction



Message



Feedback



?



The sender encodes
the information

Recipient deciphers and
interprets this information

4.4.2. Audit approaches

Contacts during the audit



Physical

Intellectual

Psychological



4.4.2. Audit approaches

Factors that affect the successful implementation of the audit:

Physical factors :

- + hunger
- + thirst
- + tiredness
- + ache

Setting:

- + ventilation
- + lighting
- + temperature
- + printing quality



4.4.2. Audit approaches

Factors that affect the successful implementation of the audit:



Perception:

- + concepts
- + terminology
- + language
- + culture

Notification:

- + meaning
- + example
- + reason
- + sequence
- + significance



4.4.2. Audit approaches

Factors that affect the successful implementation of the audit:

Emotional comfort:

- + self-respect
- + safety
- + confidence
- + fear
- + embarrassment



4.4.3. Psychology of the Audit Communications

Creating an atmosphere of communication:

- + place (*Where You audited?*)
- + time (*What time of day You audited?*)
- + visual contact (*How long?*)
- + body language (*Monitoring and control!*)
- + features of culture (*It have to be study if necessary?*)



4.4.3. Psychology of the Audit Communications



During the audit the auditor have to:

- + make right choices;
- + plan the location;
- + minimize the distractions;
- + know that the table between the people can be a barrier!
- + know that the auditor and the audited have to be a team!



4.4.3. Psychology of the Audit Communications



- ✚ Let the organization to start "Their day" before you arrive.
- ✚ You arrival never to be before the time agreed, except if that is not coordinated.
- ✚ Consider:
 - appropriate times;
 - food;
 - breaks;
 - the time of completion of the working day.





4.4.3. Psychology of the Audit Communications

Are you needed visual contact?

How long should it be?



- ✚ European culture of communication requires the frequent eye contact!
- ✚ Lack of eye contact does not necessarily mean an attempt to hide information!
- ✚ In many countries eye contact may be considered as a disrespect!

4.4.3. Psychology of the Audit Communications



The auditor should carefully consider and observe his:

- ✦ Poses, gestures, facial expressions;
- ✦ Communication of large volumes of information;
- ✦ Inconsiderate messages can disturb or confuse the audited;
- ✦ The sending of simple meanings;
- ✦ The cultural differences.



4.4.3. Psychology of the Audit Communications



- ✚ The audits are often conducted in a multinational environment;
- ✚ Stay informed about cultural differences and particularities;
- ✚ Research specific issues;
- ✚ Find out how to find a spirit of understanding with participants;



4.4.3. Psychology of the Audit Communications



Should I shake hands with everyone?



What is your personal space?



Remember differences in understanding the gestures!



4.4.3. Psychology of the Audit Communications

Creating an atmosphere of communication:

- + allow other participants to feel comfortable;
- + remove the tension;
- + explain the purpose;
- + explain the role of records that you make;
- + inform audited for his observations;



Our aim is to provide excellent services and support for all of our clients.



4.4.3. Psychology of the Audit Communications



- + Remove distractions.
- + Listen to the content.
- + Do not make hasty conclusions!
- + Use free time for analysis.
- + Determine the main topics.
- + Aim for a clarity.



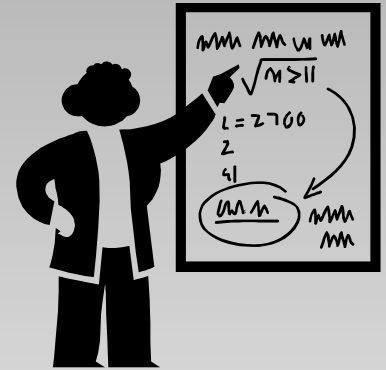
4.4.3. Psychology of the Audit Communications

It is not recommended the auditor to:

- ✚ manifest an absentmindedness;
- ✚ interrupt his interlocutor;
- ✚ listen without looking at the interlocutor eyes;
- ✚ listen to not only what he wants to hear;
- ✚ consider the next question!



4.4.3. Psychology of the Audit Communications



The questions have to:

- ✚ communicate relevant information;
- ✚ do not include the alleged response;
- ✚ do not contain emotionally embellished phrases or riddles;



4.4.3. Psychology of the Audit Communications

- ✚ Ask your questions in a conversational style
- ✚ Intertwining issues in general conversation
- ✚ Do not make conversation in cross-examination
- ✚ Avoid the exercise: Questions / Answers



4.4.3. Psychology of the Audit Communications

Ask:

- + open issues;
- + closed or direct questions;
- + questions for clarification;

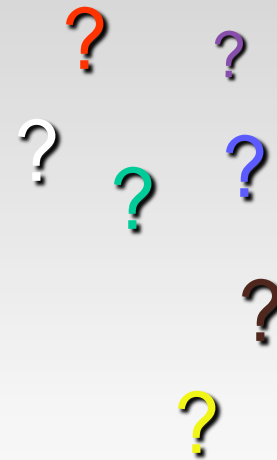


4.4.3. Psychology of the Audit Communications

What? Why? Who? When? How?



- ✓ Give a clear answer informative
- ✓ Are limited - can divert the conversation
- ✓ The only way to avoid unnecessary talks



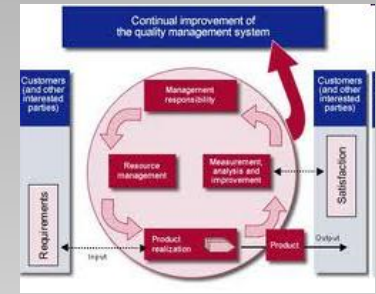
Show me!

Would you be pleased to present ...?

4.4.3. Psychology of the Audit Communications

Closed questions

- ✚ Closed questions >> answer: Yes / No
- ✚ Direct questions >> answer: a few words
- ✚ Designed to give very specific information
- ✚ Disadvantages:
 - do not carry a lot of information;
 - if used too often give the impression of cross-examination.

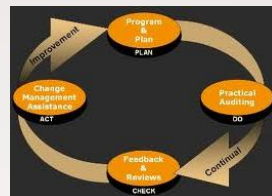


4.4.3. Psychology of the Audit Communications



Open questions

- ✚ They are designed to obtain complete and accurate information and remove misunderstandings.
- ✚ Allow you to get a comprehensive picture.
- ✚ **Disadvantages:**
 - if used too often give the impression that you are not listening to your interlocutor;
 - take some time;
 - If you are not ready to listen to his interlocutor, do not ask him!



4.4.3. Psychology of the Audit Communications

- ✚ Create an adequate atmosphere
- ✚ Remove the tension
- ✚ Formulate your questions properly
- ✚ Use open questions and skimp closed questions
- ✚ Ask clarifying questions
- ✚ Avoid leading questions
- ✚ Do not ask controversial issues
- ✚ Be diplomatic and friendly



4.4.3. Psychology of the Audit Communications



Conclusion

Team spirit and cooperation = successful audit



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4.5. Competence and Evaluation of the Auditors



4.5.1. An idea of competence



Competence

Quality

Specific knowledge
and skills for quality
(7.3.3)

Food Safety

Specific knowledge
and skills for food safety
(7.3.4)

General
knowledge
and skills

Education

Professional
experience

Training
of auditors

Experience
from audits

(7.4)

Personal attributes
(7.2)

4.5.2. Main tasks and responsibilities of the auditor

- ✚ The main task of the auditor is to provide the customer with reliable information on the extent to fulfill the criteria of audits;
- ✚ All findings of the auditor have to be based on objective evidences.
- ✚ Overall responsibility for the audit is assigned to the lead auditor.



4.5.3. Qualities of the auditor



4.5.3.1. Positive personal qualities of the auditor

- | | |
|---------------|---------------------------|
| + honest; | + with a broad worldview; |
| + loyal; | + obstinate; |
| + truthful; | + insistent; |
| + sincerer; | + decisive; |
| + honourable; | + confident in myself; |
| + discreet; | + courteous; |
| + open; | + friendly tuned; |
| + diplomatic; | + ready to help; |
| + tactful; | + consider: |
| + observant; | + constructive; |
| + receptive; | + informed; |
| + scalene; | + modest; |



4.5.3. Qualities of the auditor

4.5.3.2. Negative personal qualities of the auditor



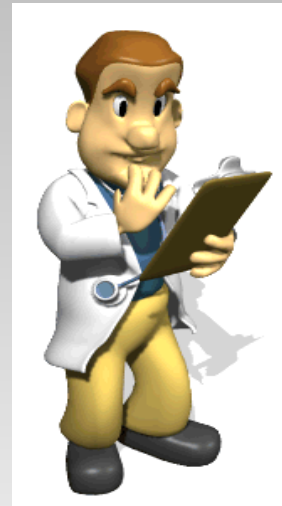
- + critical;
- + inclined to disputes;
- + overconfident;
- + hasty in their conclusions;
- + aggressive;
- + inattentive;
- + inconsistent;
- + inflexible;
- + lazy;
- + dishonest;
- + labile;
- + shrewish;
- + "knowledgeable everything";
- + indecisive.



4.5.4. Basic knowledge of the auditors

The auditor should be able to:

- to apply the principles, procedures and methods of the audit;
- to plan and organize work effectively;
- to conduct the audit within the timetable;
- to establish priorities and concentrate on the important issues;
- to collect information;
- to understand the relevance and implications of sampling in auditing;
- to verify the accuracy of the information collected;
- to confirm the sufficiency and appropriateness of the evidences;
- to assess the factors that may affect the credibility of the findings and audit conclusions;
- to use work documents to record audit activities;
- to prepare audit reports;
- to observe professional secrecy and to ensure for information;
- to communicate effectively both through personal linguistic skills and with the help of an interpreter;
- to be careful;
- to communicate and clarify the requirements of the audit;
- to co-operate and assist the lead auditor.



4.5.4. Basic knowledge of the auditors

Knowledge and skills management system and documents to which reference is made should include:

- implementation of management systems of organizations;
- interaction between the elements of a management system;
- standards for quality management system or food safety management system;
- applicable procedures or other documented management system used as audit criteria;
- valuation differences and priorities of the documents on which invoked;
- implementation of documents to which reference is made in different;
- other situations;
- information systems and technologies enabling approval;
- security, distribution and management of documents, data and records.



4.5.4. Basic knowledge of the auditors

To enable the auditor to understand the environment in which the organization operates, he should be able know following:

- size of the organization, its structure, functions and links;
- normal commercial processes and related terminology;
- cultural and social customs of the audited organization.



The auditor must have knowledge and skills on the legislation:

- local, regional and national codes;
- laws, regulations and other legislative acts of the national and international legislation;
- contracts and agreements;
- international agreements and conventions;
- directives and regulations of the European Union;
- other requirements applicable to the organization.



4.5.5. Main capabilities of the auditor



The auditor must have the following abilities:

- quickly to grasp the essence of the problem, without jumping to conclusions;
- to overcome the difficulties encountered by adhering to the intended purpose, ignoring obstructions;
- to look from different countries and to adapt to changing circumstances;
- to approach a problem logically and systematically;
- to determine the limits of its responsibility;
- to communicate and work with people from different levels and backgrounds;
- to express clearly their thoughts, ideas and assumptions in both oral or in writing;
- to establish and verify the correlation in various fields.



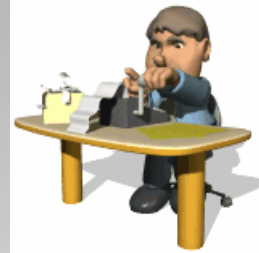
4.5.6. Basic knowledge of the lead auditor

Leading auditor should be able:

- to plan the audit and efficiently to use resources during the audit;
- to represent the auditors' team during communications with the audit client or audited organization;
- to organize and direct the members of the audit team;
- to guide and advise the auditors-in-training;
- to lead the audit team to reach the audit conclusions;
- to prevent conflicts and to find solutions for them;
- to prepare and complete the audit report.

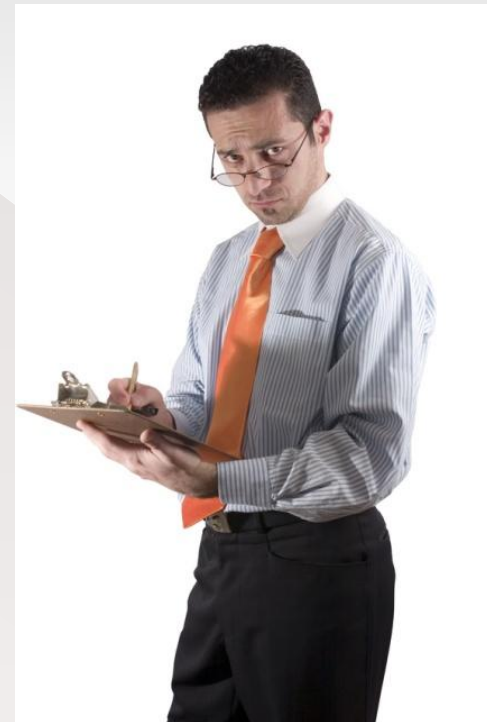


4.5.7. Main capabilities of the lead auditor



The leading auditors should have abilities that enable them to:

- collect all the information needed for planning the audit;
- draw up a common audit plan;
- present the audit team;
- identify individual tasks of each team member;
- guide the opening and closing meetings of the audit;
- ensure the planned carrying out of the audit;
- ensure that the audit results are reported clearly, convincingly and without delay.



4.5.8. Distinction between internal and external auditors



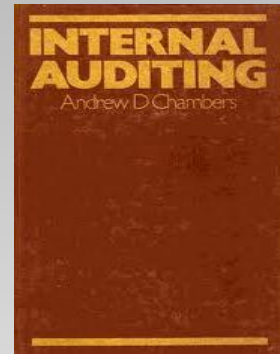
**INTERNAL
AUDITORS:**

- have limited power, depending on the top management;
- an insufficient commitment of management reduces the efficiency of their work;
- know his interlocutors, which can help of the communication;
- accompany the external auditors;



**EXTERNAL
AUDITORS:**

- they have great power. **Do not misuse it!**
- can recommend audited. **Make sure your recommendations are given reasonable!**
- give an external look and help to detect problems;
- assist in internal audits;
- transmit knowledge.



4.5.9. Education, professional experience and training of auditors



The auditors shall have:

- 1) Education, enough to acquire the knowledge and abilities.
- 2) Professional experience that contributes to the development of knowledge and skills. Part of professional experience should be in a position that allows the development of knowledge and skills in:
 - the field of quality management systems as an auditor of quality management;
 - the field of food safety management for auditors of food safety management systems.
- 3) They have to be trained auditors for the development of knowledge and skills. This training can be provided by the organization in which they work, or by an external organization.
- 4) Experience of previous audits of the activities.

This experience should be gained under the supervision and with the guidance of an auditor who is competent as lead auditor in the same discipline..



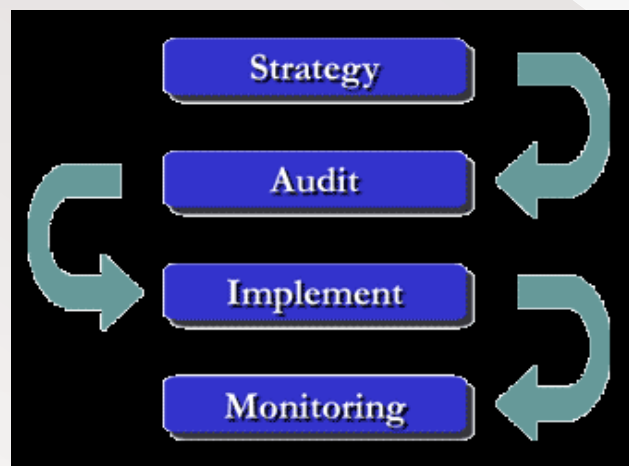


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4.6. The Audit Conducting



4.6.1. General states

+ Explain to the audited the need for record keeping!

+ Keep your notes:

- detailed;
- exactly;
- precise;
- legible.



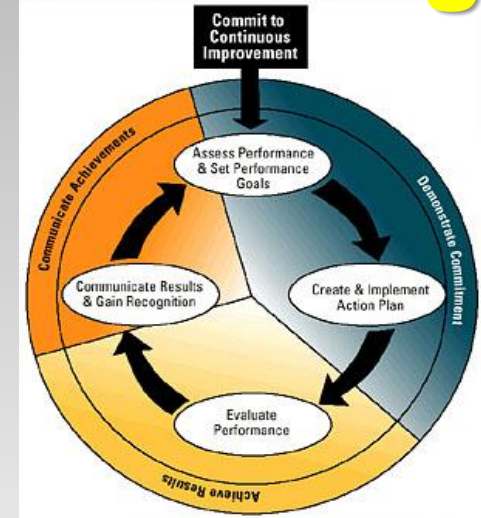
4.6.1. General states

- ✚ Time is never enough!
- ✚ Plan the audit carefully!
- ✚ Do not allow the audit to deviate from the objective!
- ✚ Do not dig deeper too much!
- ✚ Do not focus on minor things!
- ✚ Determine the sample size and adhere to it!



4.6.2. Methods for the audit conducting

✚ Interview;



✚ Overview of documents;



✚ Surveillance;



4.6.3. Review of documents and records during the audit

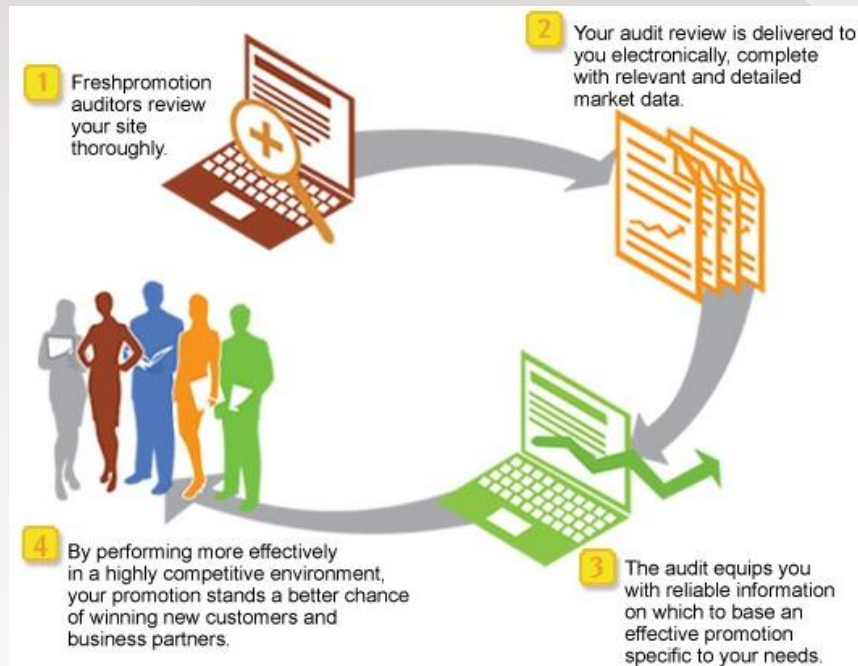
- ✚ The system manual;
- ✚ OPR from HACCP or PRP from GMPs;
- ✚ Operating procedures;
- ✚ Working instructions;
- ✚ Operative documents for Records;



4.6.3. Review of documents and records during the audit



- + No time to check everything;
- + Take a representative samples;
- + There are no established criteria how many to be the number of verified records;
- + It is not certain percentage;
- + They should cover all activities;
- + They have to cover a period of time relating to management;



4.6.4. Surveillance and collecting of objective evidences during the audit

Observe the physical evidence:

- ❖ Products;
- ❖ Technological equipment;
- ❖ Instruments;
- ❖ Conditions;
- ❖ Processes;



4.6.4. Surveillance and collecting of objective evidences during the audit

- ✚ Intended use?
- ✚ Is it necessary calibration?
- ✚ Was it calibrated?
- ✚ Are there records?
- ✚ What is reported?
- ✚ The reported it fulfills the norms?



4.6.4. Surveillance and collecting of objective evidences during the audit

- ✚ Identification?
- ✚ Status reflective results of the measurements?
- ✚ Place and conditions of storage?



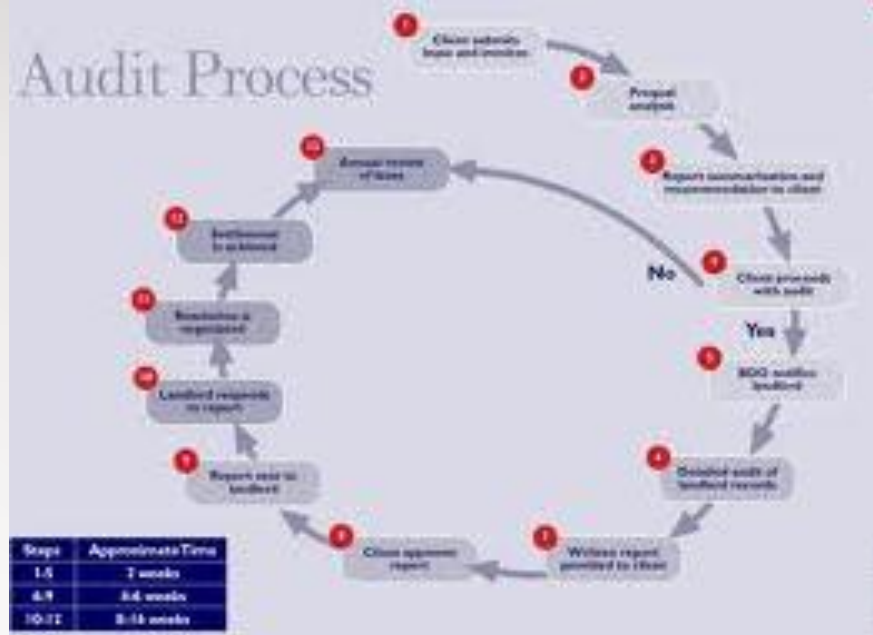
4.6.4. Surveillance and collecting of objective evidences during the audit

- ✚ Select a process / provision of standard;
- ✚ Follow it;
- ✚ Choose appropriate records;
- ✚ Do they perform all activities?
- ✚ Do they perform procedures or plans?
- ✚ Is it the control effective?



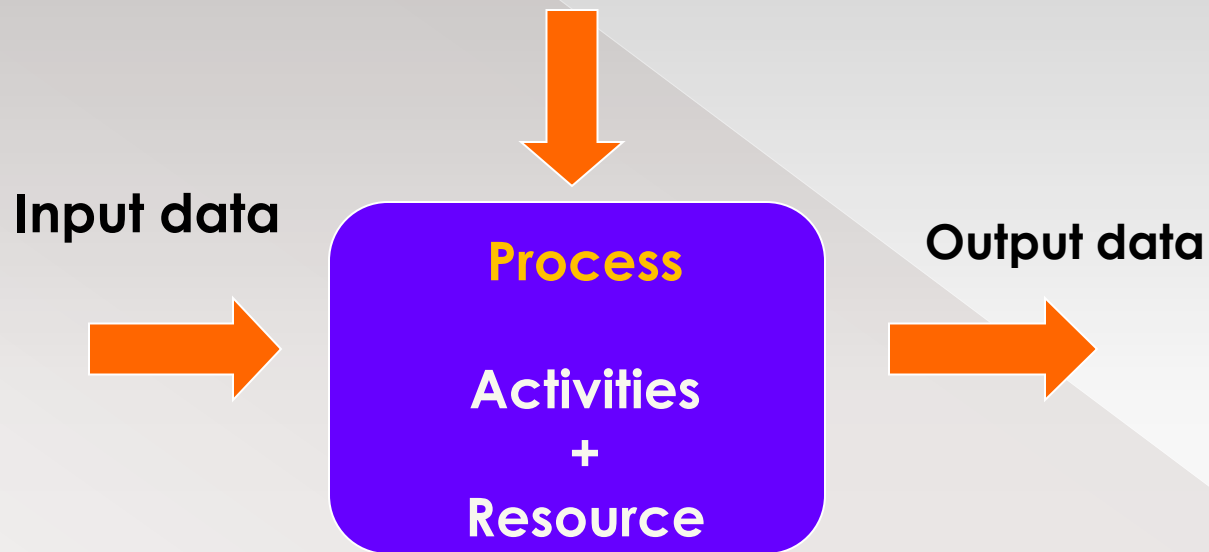
4.6.4. Surveillance and collecting of objective evidences during the audit

Identification and management of the processes, their sequence and interaction is crucial for the efficient management of the auditing!

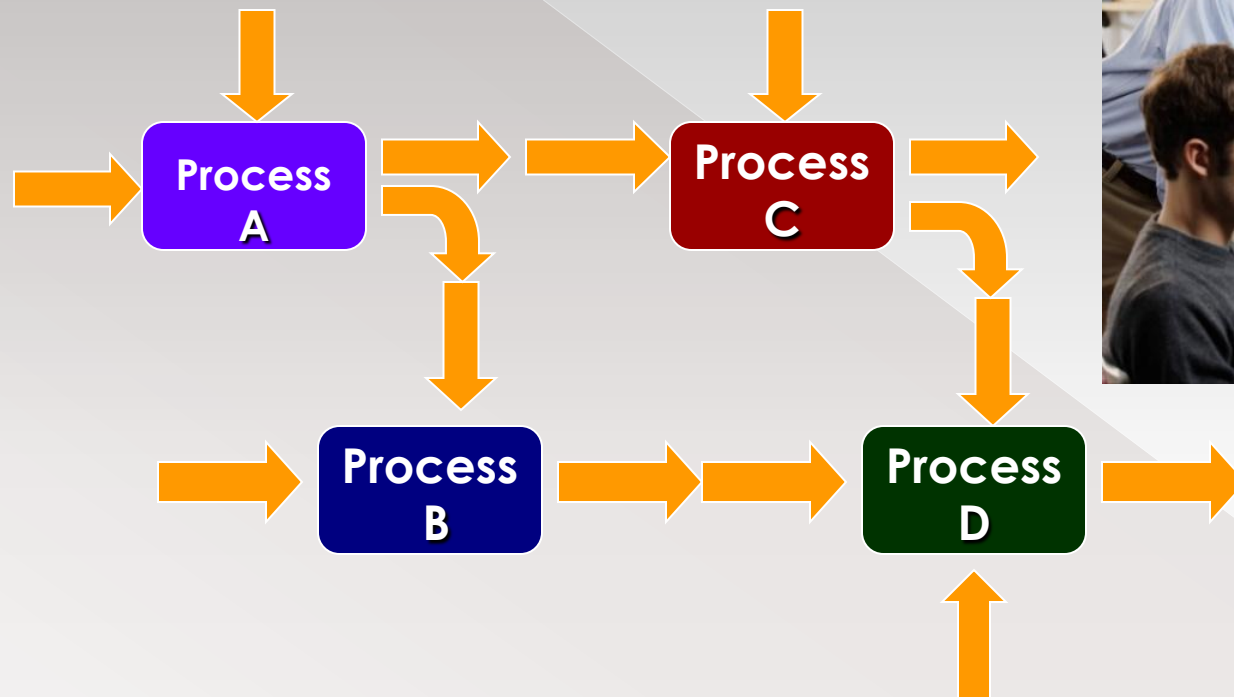


4.6.4. Surveillance and collecting of objective evidences during the audit

Management
(for example procedures)



4.6.4. Surveillance and collecting of objective evidences during the audit



Input data
Output data
Management (for example procedures)



4.6.4. Surveillance and collecting of objective evidences during the audit

- ✚ Determine the the target!
- ✚ Set flow processes!
- ✚ Determine the input data!
- ✚ Identify the planned output data!
- ✚ What resources are needed?
- ✚ What is controlled?
- ✚ What are the measures for surveillance?



4.6.4. Surveillance and collecting of objective evidences during the audit

- ✚ Are the planned output data received?
- ✚ Are they identified?
- ✚ What is the status of monitoring and measurement?
- ✚ What are the place and conditions of storage?



4.6.5. Obtaining of evidences of the leadership and commitment of the top management

- Watch participation and interest in opening and closing meeting and in the intermediate meetings;
- **Review of the documents:**
 - politics
 - objectives;
 - records from the management review.
- **Interview with members of the top management:**
 - they know "their" system?
 - do they monitor and analyze the data? Do they make conclusions, do they take actions and do they take decisions ?
- **Interview with staff from other levels;**
 - do they know what processes for information exchange is determined the top management?
 - do they realize their role in ensuring the food safety?





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4.7. Reporting during the Audit.

The Audit Report Preparation and Presentation



4.7.1. General states



The reporting during the audit, the audit report preparation and presentation.

- + Not limited to the drafting of the final report;
- + The process of notification of audit results;
- + Continuous oral and written reports;
- + Reporting results of the audit, not just inconsistencies;
- + The report should add value;
- + Reporting according to the procedures of the customer;



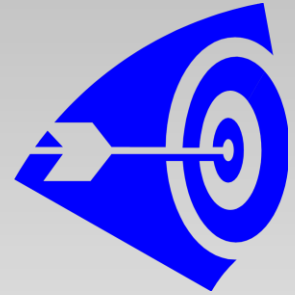
4.7.2. Questions that need to answer during the preparation and presentation of the audit report

- + What are the characteristics defining quality of the report?
- + Who are the recipients of the report?
- + What are their needs?
- + How to meet these needs?



4.7.3. Addressees of the audit report

Who are the addressees of the audit report?



- The audited organization;
- Management representative or coordinator of the HACCP team;
- The heads of departments;
- The top management of the audited organization;



4.7.3. Addressees of the audit report

- + Immediately audited;
- + The management of audited organization;
- + Internal auditors;
- + The management of the organization conducting the audit;
- + The audit client;
- + The members of the audit team;
- + The Accreditation body;



4.7.4. The audit report preparation

Content:

- ✚ awareness
- ✚ Justification The
- ✚ density
- ✚ accuracy
- ✚ precision

Form:

- ✚ brevity
- ✚ readability
- ✚ transparency
- ✚ clarity



4.7.4. The audit report preparation



A written report

- + Handwriting
- + Font size
- + Line spacing
- + Distance between phrases
- + Separation of the paragraphs

An oral report:

- + Distinctly pronunciation
- + Pauses between words
- + Long pauses between sentences
- + Still more long pauses between topics



4.7.5. The audit report presentation

- ✚ Use the simple words;
- ✚ Precise formulations;
- ✚ Avoid passive voice;
- ✚ Use indirect speech;
- ✚ Avoid abbreviations;
- ✚ Avoid acronyms;



4.7.5. The audit report presentation

- ✚ Report without delay;
- ✚ Do not delay the report drafting;
- ✚ Remember - Time is never enough!
- ✚ Compose reports on nonconformities on the spot!
- ✚ Reporting on time gives additional value to the audit;



4.7.5. The audit report presentation

- + Announce the scope, objectives and criteria of the audit;
- + Introduce the audit plan;
- + Provide information about the auditors and audited;
- + Present the audit findings incl. nonconformities;
- + Allow the team of auditors to express their opinion as to whether the management system complies of the audit criteria;
- + Make a onclusion on ability of the system to achieve the set objectives;
- + Summarize the conclusions of the audit and any difficulties encountered;
- + Sign and provide the Privacy declaration;
- + Sign the distribution list;



4.7.5. The audit report presentation

You have to prepare:

- + General report;
- + Completed checklists (if required);
- + Notes of the auditors (if required);
- + Reports for nonconformities;
- + Matrix analysis;



4.7.5. The audit report presentation

An example for a matrix analysis



John Travolta - Actor, OT BL currently on his False Purpose Randon counseling.

AUDIT SUMMARY REPORT FOR HACCP SYSTEM

Company / Site:				Processes										
“DELTA BULGARIA” AD - VARNA				A	B	C	D	E	F	G	H	I		
Auditor:				Manager & HACCP team	HACP plan	GMP-s & GHP-s	Administration/Defence of Working Environment	Dept. of Production	Dept.of Technical Assistance	Dept. of Purchising	Sell's regional Manager	Dept. of Quality Management	T	
Stefan Georgiev Dragoev /SGD/													O	
Exclusions / Justifications:													T	
													A	
													L	
Shifts Audited: Check all that apply													S	
First		Second											Third	
√														
	Dates: 22 nd and 23 rd August 2005			22/08	22/08	22/08	22/08	22/08	23/08	23/08	23/08	22 /08		
	Period (A.M. / P.M.)			AM	PM	AM/PM	PM	PM	AM	AM	AM	AM/PM		
4.1	Management Responsibility			/	/	/	/	/	/					
4.1.1.	Food safety policy			/	/	/		/						
4.1.2	Organization			/										
4.1.2.1.	Responsibility and authority			/	/	/	/	/	/	/	/	/		
4.1.2.2.	Haccp team leder			/	/							/		
4.1.2.3.	HACCP team			/	/	/	/	/	/	/	/	/		
4.1.2.4.	Completeness, training and food safety awareness			/	/	/		/	/			/		
4.1.3	Management review			/										



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4.8. Report for Nonconformities and Corrective Actions



4.8.1. What is this nonconformity?

NONCONFORMITY:

❖ “Failure to requirements”

ISO 22000: 2005;

ISO 9001: 2015;

HACCP,

GMP-s,

IFS,

BRS,

QTM,

others.



4.8.2. How nonconformities are found?

The conclusions on the existence of nonconformity are made:

- ❖ On the basis of the impact on the management system
- ❖ They do not consider the impact of the product
- ❖ They do not take account the financial indicators



4.8.3. Substantial (major) and non essential (minor) nonconformities

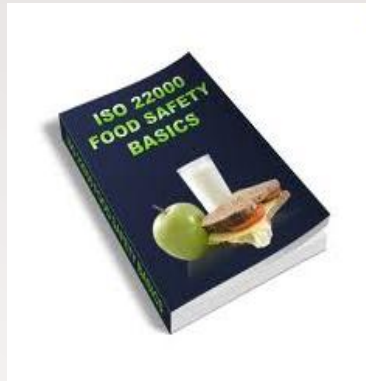
- ❖ Factual proof of differences between Manual the management system and procedures;
- ❖ Factual proof of differences between the procedures and their daily application;
- ❖ Lack of evidence confirming the implementation of certain sections and requirements of the standard;
- ❖ Lack of evidence confirming the continued implementation of all parts of the system;



4.8.3. Substantial (major) and non essential (minor) nonconformities

Substantial (major) nonconformity

- ❖ Failure of any of requirement of the standard or any of the element of the audit criteria.
- ❖ Systematic failure to requirements.



4.8.3. Substantial (major) and non essential (minor) nonconformities

Non essential (minor) nonconformities


- ❖ Single failure to requirement
- ❖ Non essential (minor) nonconformity could has adverse consequence on the product or the financial indicators!



4.8.4. Report on nonconformity

An exemplary form of REPORT FOR NONCONFORMITY



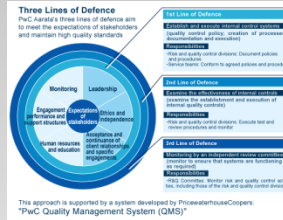
	AUDIT OF MANAGEMENT SYSTEMS		DOSSIER:	AU-01-SI-15 date 18.03.2008
	REPORT ON NONCONFORMITY No 1		Page	1/1
	Applied standard: ISO 22000: 2005		Clause of the standard: 5.6.	
Audited organization: Department: Responsible person:				
AUDITOR	Auditor: Signature Date:			
	Major nonconformity	Minor nonconformity	Application	Documentation
	Formulation:			
AUDITED ORGANIZATION	The reason for the nonconformity:			
	Responsible person for correction / corrective action: Signature Date:			
	Actions taken 1. <i>Correction:</i> 2. <i>Corrective action:</i> Спок:			
LEAD AUDITOR	The check will be carried out:		In documents	On site
	Съгласува:		Date:	
VERIFIED	Checked by:		Signature	Date:
			

4.8.4. Report on nonconformity



The report on nonconformity has to have next qualities:

- ❖ Precision and clarity
- ❖ Tight and comprehensive
- ❖ Exhaustiveness
- ❖ To describe the problem (incl. reference to the evidence)
- ❖ To explain their failing (incl. reference to the standard and the point)
 - To help audited to examine the cause;
 - As a self-check, to avoid "invention of requirements"



4.8.5. Reporting of nonconformities



Attention!

There is another meaning
(Associated with quality
or responsibility of the
article)

Understanding of the differences:

Accordance with \neq Regulatory
audit criteria compliance



Defect

Failure to comply of requirement
concerning the expected
or definitely use

As you would expect
by the customer?



Require

Formulated need or
pending, which is usually
implies or mandatory



Conformity

Implementation of requirement



Nonconformity

Failure to comply of requirement

4.8.5. Reporting of nonconformities



- Be positive



- Do not consider the nonconformity as a disadvantage



- The discovery of nonconformity provides an opportunity for the system improvement by the entering a corrective actions



4.8.5. Reporting of nonconformities

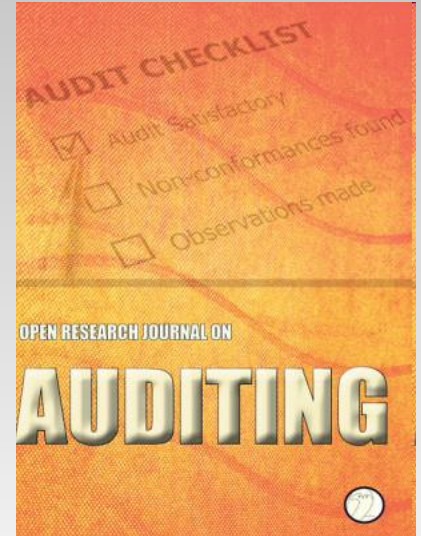


- Report in accordance with the procedures of the customers;
- There are no formal rules, but some recommended are available;
- Usually it has a characteristic form for reporting
- Some organizations require in general report to be included records also;



4.8.5. Reporting of nonconformities

- Be careful, don't do hasty conclusions!
- Don't judge by initial impression!
- Make sure you have enough evidence!
- Make sure that the evidence is objective!
- If in doubt, study the situation!
- Determine guidelines for further study!



4.8.6. Corrective action

Corrective action

"Action to eliminate the cause of a detected nonconformity or other undesirable situation"



**Do not remove only the
symptoms!
Remove the reasons!**

4.8.6. Corrective action

