

## How Not to Prepare for an Audit

# Disclaimer

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# What We Will Cover Today



- 1 About QMII
- 2 Why Are We Here?
- 3 How Not to Prepare for an Audit
- 4 Q & A

# About QMII



- QMII has provided best in industry process improvement consulting, auditing, and training since 1986
- Headquartered in Ashburn, Virginia
- ISO 9001:2015-certified
- SBA 8(a) and DBE-certified
- Minority-owned business
- GSA MAS Schedule holder



# About QMII



- US Coast Guard
- DOT
- Bureau of Safety and Environmental Enforcement
- US Navy
- New Jersey Transit
- US Army
- Federal Highway Administration
- Amtrak
- Crowley
- Harley Marine
- Interlake
- Indorama
- The Crosby Group
- Saltchuk Family of Companies
- Valaris Limited
- GE Aerospace



GE Aerospace

# Why Are We Here?



What are Audits?



Passing audits and continuing certification



How not to prepare for your audit

## In a snapshot ...

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... in case you're in a hurry to get out of here.....

“Live every day like it's the last day before your audit”

# Lead up to Audits



As an auditee, does the thought of an upcoming audit induce any of the following feelings:

1. Stress
2. Fear of consequence
3. Anxiety
4. Angst



*These feelings are perceived as risks to our 'human system' and create a need for risk management!*



# We are human after all



- We have been 'trained' to hide non-conformities since we were little kids ... ever broke a plate and got thanked for it?!
- We make mistakes
- We forget
- We fail to see the details
- We get complacent
- We love shortcuts .... A huge timesaver!

It happens throughout the year .. And could happen on the day of the audit too.

# That's why we have a system



One that is designed for and around the users. The management system should not pose a risk to meeting objectives.

A system:

- **Of the People** – where representative users are involved in designing the system and documenting it to capture the 'as-is'
- **By the People** – The leadership at each level providing the system for their team
- **For the People** – Designed for users to meet their goals NOT for an auditor

# What if you do not pass?



The only bad non-conformity is the one you do not know about

– Dr. IJ Arora

Audits are an opportunity to learn about that which you do not know about.

They are not pass or fail ... audit non-conformities lead to continual improvement



## So why prepare at all ...



If there are no implications?

The Management System is in place:

- To meet the leadership's objectives and vision
- To consistently meet customer requirements
- Build customers confidence in the company
- Streamline processes to reduce burden on workforce

**NOT ... to pass audits.**

# What is an audit .. OR what is should be!



*Per ISO 19011:2018*

*Systematic, independent and documented process for obtaining objective evidence and evaluating it objectively to determine the extent to which the audit criteria are fulfilled.*

# Management Rep = Audit Superhero!



The system manager needs a great report card and straight As on the audit .... so they make sure:

- Personnel are aware of the policy, objectives and what to do when they have an improvement opportunity (OFI)
- Outdated documents are out of sight
- Records are in place and complete
- Equipment is calibrated and in date
- Training records up to date

..... and more.



# What does this do?



The repercussions of preparation aka 'risk management' (since we are human ....)

- Personnel don't use the system throughout the year since 'we can fix it before the audit'
- Hiding non-conformities becomes the norm over time as also risks do not get reported and addressed
- 'It's not my job' since the system manager will come and fix it
- The system fails ... shortcuts are pursued, and the documentation becomes just a means to pass the audit



## How NOT to Prepare – 1/4



Design the system around the users in an easy-to-understand format

- Keep work instructions in a simple format
- Use flowcharts and graphic representation where you can
- Make document control easy
- Encourage use of the system and refer to the system on a daily basis



## How not to Prepare – 2/4



Avoid conducting internal audits right before a certification audit

Conduct internal audits using a risk-based approach. More frequent audits get personnel used to audits

Train personnel from different departments as auditors so the organization does not view them as police officers



## How not to Prepare – 3/4



Think system meeting needs versus just passing an audit

Encourage the reporting of non-conformities, risks and opportunities for improvement.

Don't fix things for the audit, fix things because they will improve the system



## How not to Prepare – 4/4



Do what you say .... Say what you do!

Get personnel to review the process documentation on a periodic basis ... ensure adequate engagement from team members

Educate your workforce on how the system benefits them and the organization. Why use of the system? How their contribution ensures CI & produces confirming products & services.

# How to be a good Auditee



Make sure the auditor is objective in their assessment. Challenge them when they are not:

- Seeking evidence out of scope
- Seeking evidence not supported by audit criteria
- Issuing non-conformities not supported by objective factual evidence, substantiated by Requirements

## *Foster a “Culture for conformity”?*



- Everyone in the organization truly believes in, understands and follows the established procedures with a means to improving them.
- Underlying causes of non-conformities have demonstrated that the root cause often was a failure to follow procedures despite competent and trained personnel being employed.

*Blame the process not the people!*

# Educate your team



Lack of knowledge contributes to fear of audits. Educate your workforce:

- The purpose of the audit
- They should have confidence in telling anyone what they do and how they do it, since they are doing it the right way everyday
- If you know something is not working raise it immediately, if it comes up in an audit .. We will work to take corrective action
- They are human .... If they don't know the answer, they don't know the answer. You can always ask someone who does.

# In Conclusion



If the system is used by all daily, internal audits are providing adequate inputs, the workforce engaged, and the leadership committed:

- Audits need not be feared but welcomed
- The organization will welcome non-conformities as an opportunity for improvement
- No firefighting?!
- The system will be ready ...ALWAYS!



# Promo Code

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Code - **WEB-200-LA-0824**

\*good through 8/16/24 and can be used on any new registration for a 4- or 5-day Lead Auditor training



# Procurement Options



GSA MAS: 47QTCA20D0050

SAM UEI: E8KYQBSFJ6V6

CAGE: 1GFC9

STARS 8(a) III

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Other Vehicles



# Thank You!!!



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A world map with a grid overlay, featuring multiple instances of the QMII logo. A central portrait of Julius DeSilva, a man with a shaved head wearing a blue suit jacket and a pink shirt, is overlaid on the map. Below the portrait is a grey box containing his name, email address, and phone number.