



# WEBINAR: INTERNAL AUDITING IN SMALL TO MEDIUM ORGANISATIONS

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ISO 45001, ISO 27001

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SAFETY



INFORMATION  
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- **5 day** Lead Auditor – NQA or IRCA
- **Advanced** Training

 CQI |  IRCA  
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## KEY INFO

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

## YOUR PRESENTER

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Stephen Singer is an IRCA-Certificated Lead Auditor of Quality and Environmental Management Systems. In this webinar he presents his thoughts and tips on the real value of Internal Audits in the small business environment, supported by examples taken from over 20 years as a freelance “Internal Auditor.” suggests the “Golden Rule” of auditing; and shares with us the “single best lesson” he ever learned as a trainee auditor all those years ago.

A personal reflection on 20 years of internal auditing in small and medium enterprises and why they offer a unique opportunity to add value and depth to management systems

*"My organisation is audited frequently. Stephen from Infralogics is the one visit that I look forward to as I know that he will provide us with practical suggestions and direct our thoughts to consider potential improvements that may not have occurred to us previously. In a busy operating environment Stephen's audit visits give us a welcome opportunity to think about how we work and his suggestions frequently feature in our management review meetings."*

**"audit**

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

(ISO 9000: 2015)

"The organization shall conduct internal audits at planned intervals to provide information on whether the XXX management system:

a) conforms to:

- the organization's own requirements for its XXX management system;
- the requirements of this document;

b) is effectively implemented and maintained."

(ISO Harmonized structure for MSS with guidance for use (Annex SL Appendix 2)





Simon Sinek – **Start with Why**

[https://www.ted.com/talks/simon\\_sinek\\_how\\_great\\_leaders\\_inspire\\_action#t-151939](https://www.ted.com/talks/simon_sinek_how_great_leaders_inspire_action#t-151939)



## RISK-BASED THINKING

*Why this process / method / document?*

*What is the risk if...?*



## AUDIT PLANNING

	Jan	Feb	Mar	Apr	May
<i>[Location]</i>	<del></del>				
<i>[Function]</i>		<del></del>			
<i>[Process / Procedure]</i>			<del></del>		
<i>[Clause / Requirement]</i>				<del></del>	
<b><i>Something we haven't done before</i></b>					<del>!</del>

## **CARRYING OUT THE AUDIT**

### **Audit interviews:**

- Less formality in a smaller organisation
- Familiarity with interviewees / processes / documentation
- Know what "compliance" looks like
- **FOCUS ON EFFECTIVENESS = ADDING VALUE**



### **"A.3 Professional judgement**

Auditors should apply professional judgement during the audit process and avoid concentrating on the specific requirements of each clause of the standard at the expense of achieving the intended outcome of the management system. Some ISO management system standard clauses do not readily lend themselves to audit in terms of comparison between a set of criteria and the content of a procedure or work instruction. In these situations, auditors should use their professional judgement to determine whether the intent of the clause has been met."

(ISO 19011: 2018)

## **CARRYING OUT THE AUDIT**

### **Audit interviews:**

- Less formality in a smaller organisation
- Familiarity with interviewees / processes / documentation
- Know what "compliance" looks like
- **FOCUS ON EFFECTIVENESS = ADDING VALUE**



### **Audit technique:**

- Focus more on the process (performance) and less on procedures
- Focus more on results and less on records – credit for other forms of evidence
- Adopt a holistic approach to evidence gathering ... instead of focusing on individual clauses of ISO 9001

(ISO 9001 Auditing Practices Group – Guidance on “Adding Value”)

## CARRYING OUT THE AUDIT

### Audit interviews:

- **The Golden Rule:** Let them talk!

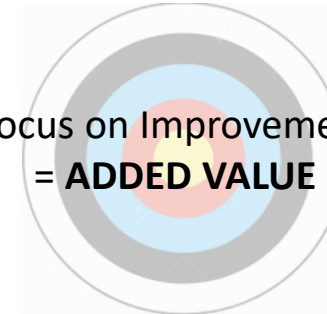
- **Comments / Observations / Suggestions for Improvement**



Compliance with  
requirements

Effectively  
implemented and  
maintained

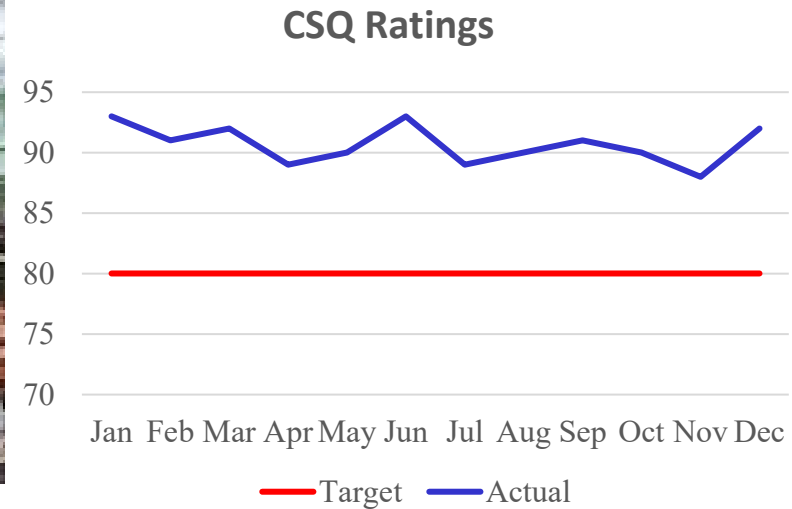
Focus on Improvement  
= **ADDED VALUE**



## CARRYING OUT THE AUDIT



- Review of documentation / data
- Challenge for value - *Why this document / data set?*  
- *What is the risk if...?*



## AUDIT FOLLOW-UP

Closer than third party / larger organisation auditors

### Value opportunities:

- Promises, promises
- Correction vs Corrective Action
- Verification of effectiveness

Comments / Observations / Suggestions for Improvement  
(as well as Non-conformities)

A1					
A	B	C	D	E	F
No	Date of issue	Type of issue	Headline <small>(If applicable, refer to supporting Report or other information)</small>	Action and Outcome <small>(If applicable, refer to supporting Report or other information)</small>	Action to stop repeats <small>(If applicable, refer to supporting Report or other information)</small>
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					
11					

Positive strokes!

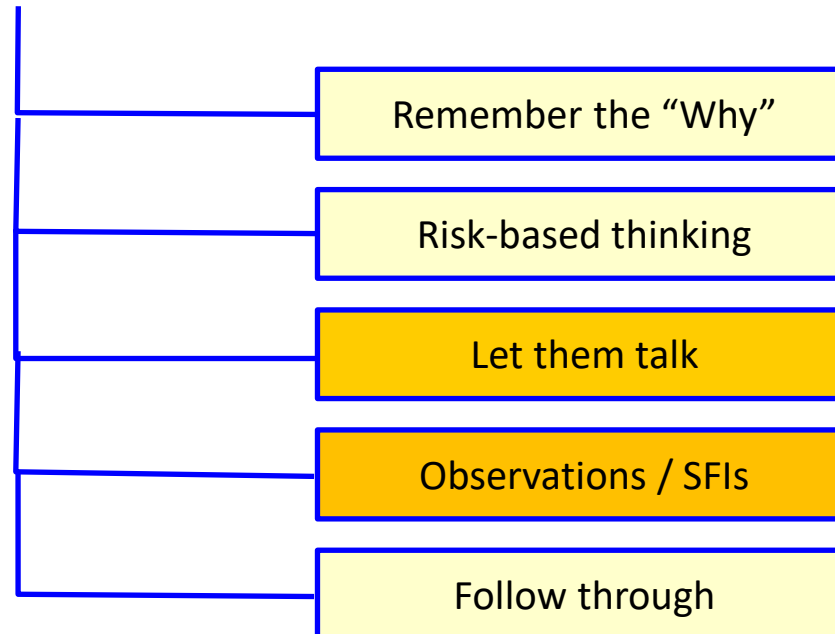


## CONCLUSIONS

Internal vs third party (CB) audits

SME vs larger organisation Internal Audits

### The Value Challenge





## Best Lesson



## REFERENCES AND FURTHER INFORMATION

### ISO Standards including:

- ISO 9000: 2015 Quality management systems - Fundamentals and vocabulary
- ISO 9001: 2015 Quality management systems – Requirements
- ISO 19011: 2018 Guidelines for auditing management systems

ISO Harmonized structure for MSS with guidance for use - Annex SL (Appendix 2) to ISO/IEC Directives, Part 1 Consolidated ISO Supplement — Procedures specific to ISO (downloadable from <https://policy.iso.org/resources.html>)

Simon Sinek – How Great Leaders inspire Action:  
[https://www.ted.com/talks/simon\\_sinek\\_how\\_great\\_leaders\\_inspire\\_action#t-151939](https://www.ted.com/talks/simon_sinek_how_great_leaders_inspire_action#t-151939)

ISO 9001 Auditing Practices Group – guidance on a wide range of audit-related topics downloadable from  
<https://committee.iso.org/home/tc176/iso-9001-auditing-practices-group.html>



[www infralogics.co.uk](http://www.infralogics.co.uk)

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# Q&A





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# THANK YOU

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