



IMS (ISO 9001:2015, ISO 14001:2015 & ISO 45001:2018)



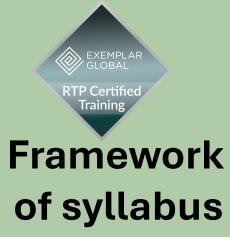
Be officially certified as an IMS Lead Auditor under the Exemplar Global RTP framework.



EXEMPLAR GLOBAL

RTP Certified Training







IMS (ISO 9001:2015, ISO 14001:2015 & ISO 45001:2018)

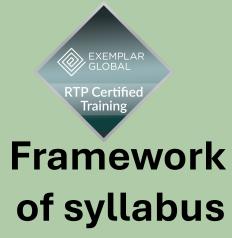
Training Module:

Module 6: Auditing Principles and ISO 19011:2018 Guidelines

Learning Outcome

- Demonstrate the knowledge, skills, and attributes required for effective OH&S auditing based on ISO 19011:2018 guidelines.
- Plan, implement, and manage an OH&S audit programme, including audit scheduling and resource coordination.
- Apply auditing principles and techniques to conduct, monitor, and review audits in line with ISO 19011 best practices.







IMS (ISO 9001:2015, ISO 14001:2015 & ISO 45001:2018)

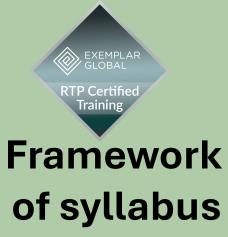
Training Module:

Module 6: Auditing Principles and ISO 19011:2018 Guidelines

Topic discussed

- Auditor Competence Knowledge, Skills, and Attributes for Effective OH&S Auditing
- Principles of Auditing
- Managing an Audit Program
- Planning an Audit Programme
- Implementing the Audit Programme
- Monitoring & Review







IMS (ISO 9001:2015, ISO 14001:2015 & ISO 45001:2018)

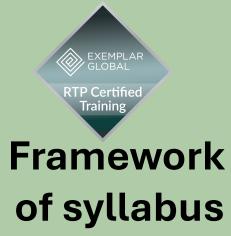
Training Module:

Module 7: Audit Execution (Onsite Assessment)

Learning Outcome

- Prepare and initiate onsite OH&S audits effectively, ensuring readiness of audit tools and team coordination.
- Conduct audit activities using structured observation, interviews, and document review techniques.
- Apply the Turtle Diagram to assess process performance and verify compliance with OH&S requirements.







IMS (ISO 9001:2015, ISO 14001:2015 & ISO 45001:2018)

Training Module:

Module 7: Audit Execution (Onsite Assessment)

Topic discussed

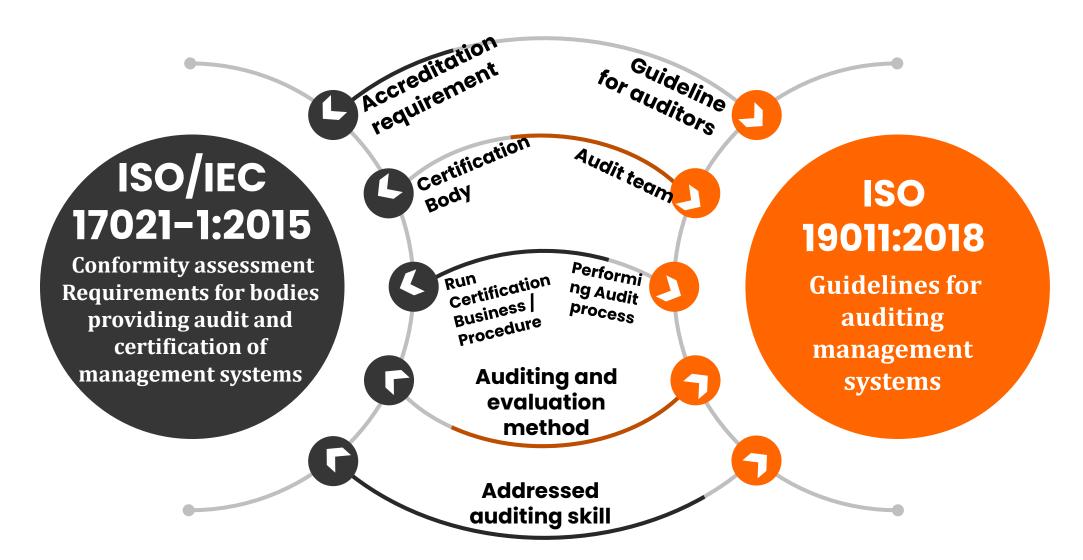
- Initiating and Preparing for the Audit
- Conducting Audit Activities
- Using the Turtle Diagram for Process Audit

Module 6

Auditing Principles and ISO 19011:2018 Guidelines

Standard Reference





ISO/IEC 17021-1:2015 vs ISO 19011:2018

(Principles for inspiring confidence)

(Principles of auditing)

CERTIFICATION SCHEME

Integrity

Due professional care

Independence

Risk-based

Fair presentation

Confidentiality

Evidencebased

approach

impartiality;

approach

ISO 19011:2018

Guidelines for auditing

management systems

PLANNING AUDITING POST-AUDIT

risk-based approach

competence;

responsibility;

openness;

ISO/IEC 17021-1:2015

Conformity assessment Requirements for bodies providing audit and certification of management systems

confidentiality

responsiveness to complaints;

STRUCTURE RESOURCES INFORMATION PROCESS MANAGEMENT SYSTEM



Process Audit Phase







the foundation of professionalism

honesty, diligence, and responsibility, comply with any applicable legal requirements, competency, impartiality, sensitivity to influence are essential for auditing 2

Fair presentation

the obligation to report truthfully and accurately

Audit findings, audit conclusions and audit reports reflect truthfully and accurately the audit activities.
Significant obstacles encountered during the audit and unresolved diverging opinions between the audit team and the auditee are reported.





Due professional care

the application of diligence and judgement in auditing

Auditors should exercise due care in accord- ance with the importance of the task they per- form and the confidence placed in them by the audit client and other interested parties



Confidentiality

Security of information

Auditors should exercise discretion in the use and protection of information acquired in the course of their duties includes the proper handling of sensitive or confidential information





Independence

the basis for the impartiality of the audit and objectivity of the audit conclusions

Auditors should be independent of the activity being audited & should act in a manner that is free from bias and conflict of interest



Evidence-based approach

the rational method for reaching reliable and reproducible audit conclusions in a systematic audit process

Audit evidence is verifiable. The appropriate use of sampling is closely related to the confidence that can placed in the audit conclusion





Risk-based approach

an audit approach that considers risks and opportunities

The risk-based approach should substantively influence the planning, conducting and reporting of audits in order to ensure that audits are focused on matters that are significant for the audit client, and for achieving the audit programme objectives.

ISO 17021 Requirement

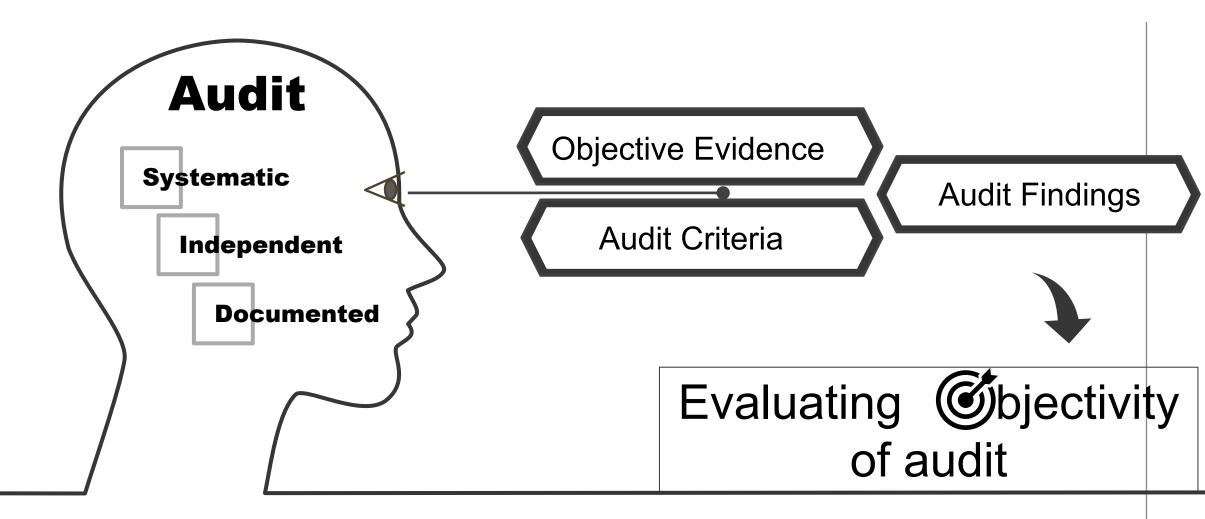
Certification bodies need to take into account the risks associated with providing competent, consistent and impartial certification. Risks may include, but are not limited to, those associated with:

- the objectives of the audit;
- the sampling used in the audit process;
- real and perceived impartiality;
- legal, regulatory and liability issues;
- the client organization being audited and its operating environment;
- impact of the audit on the client and its activities;
- health and safety of the audit teams;
- perception of interested parties;
- misleading statements by the certified client;

— use of marks.



What is Audit





What is Audit

1st Party

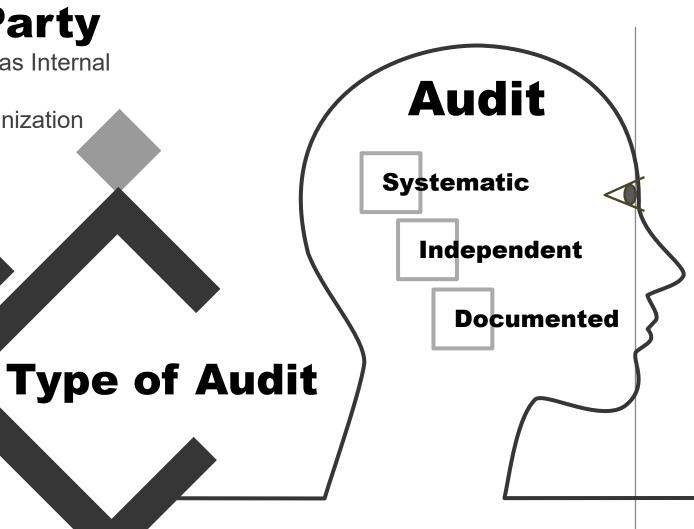
- Known as Internal Audit
- By organization itself

2nd Party

by parties having an interest in the organization

3rd Party

- by independent auditing organizations
- providing certification/registration of conformity or governmental agencies





What is Audit

1st Party

- Known as Internal Audit
- By organization itself

Combined Audit

2nd Party

by parties having an interest in the organization

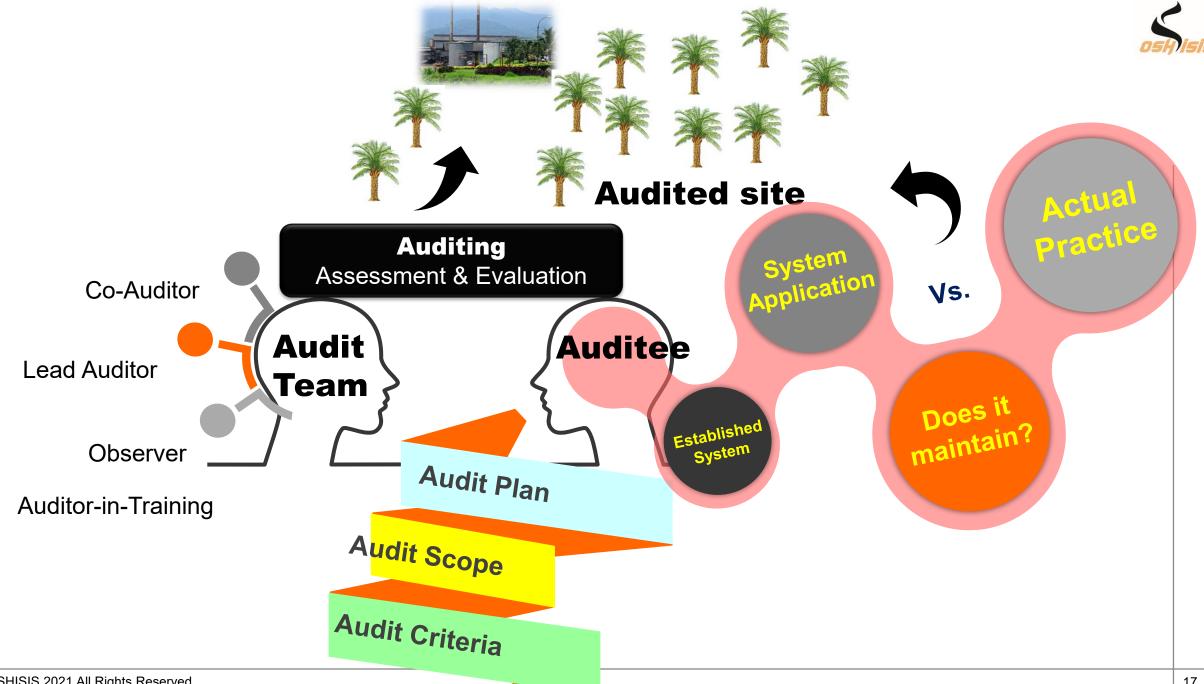
IMS Audit

3rd Party

- by independent auditing organizations
- providing certification/registration of conformity or governmental agencies

Joint Audit

Type of A







Requirements

- Legal requirements
 - Standard requirements
 - Management requirements

Continuous Improvement Achievement against specified target



Benchmark

Comparison with specified target

Minimize risk

- Identification of weakness and wastes
- Fix it correctly



Relationship Audit - Inspection

Do, perform

Based from inspection schedule

Can be part of audit or provide evidence for conforming audit findings



Check, assess, evaluate

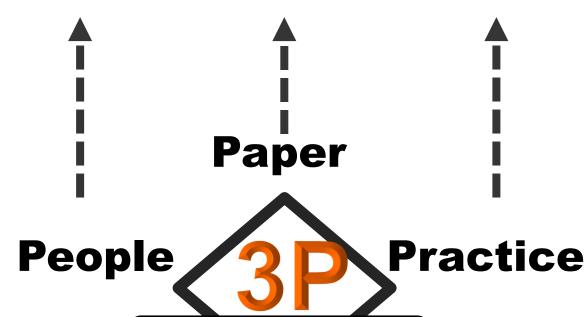
Based from audit agenda

Including inspection



Objective Evidence

records, statements of fact, or other information which are relevant to the audit criteria and verifiable



Supporting Data

Objective Evidence

INTERVIEW RECORDS

COMBINATION OF ALL

Obtaining and verifying information (Clause 9.4.4 of ISO 17021)

Audit

Systematic



aedul.

need or expectation that is stated, generally implied or obligatory



Statutory & regulatory

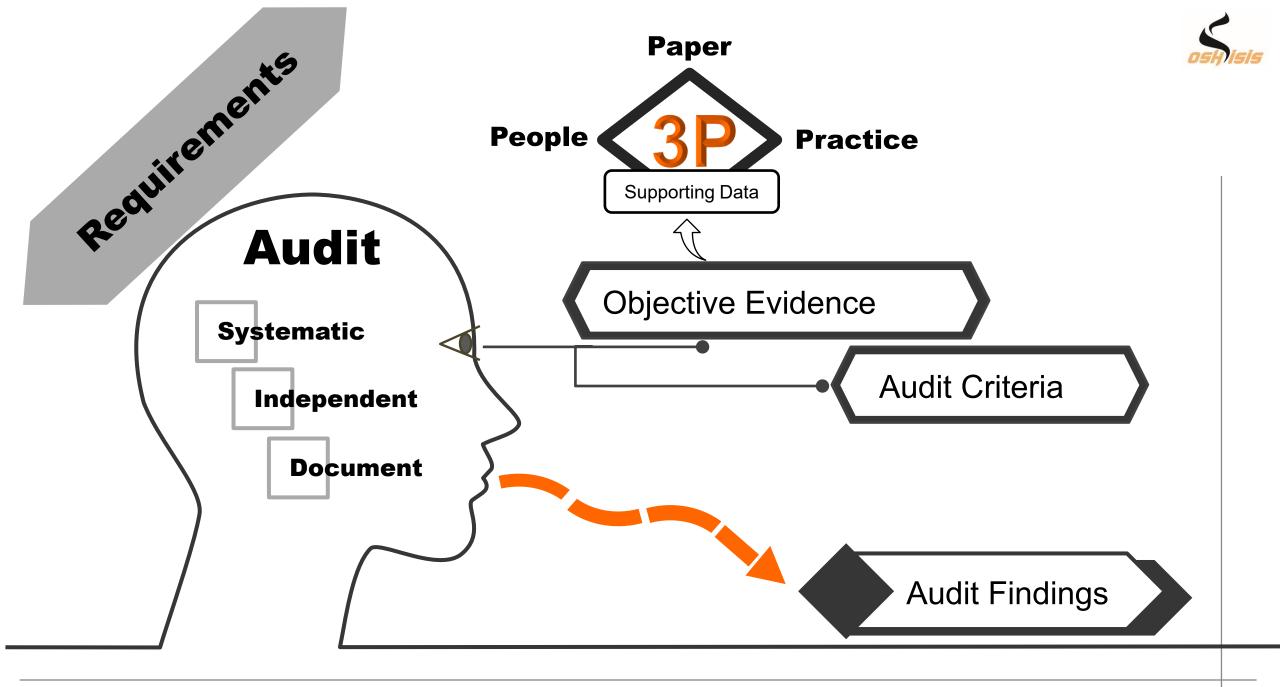


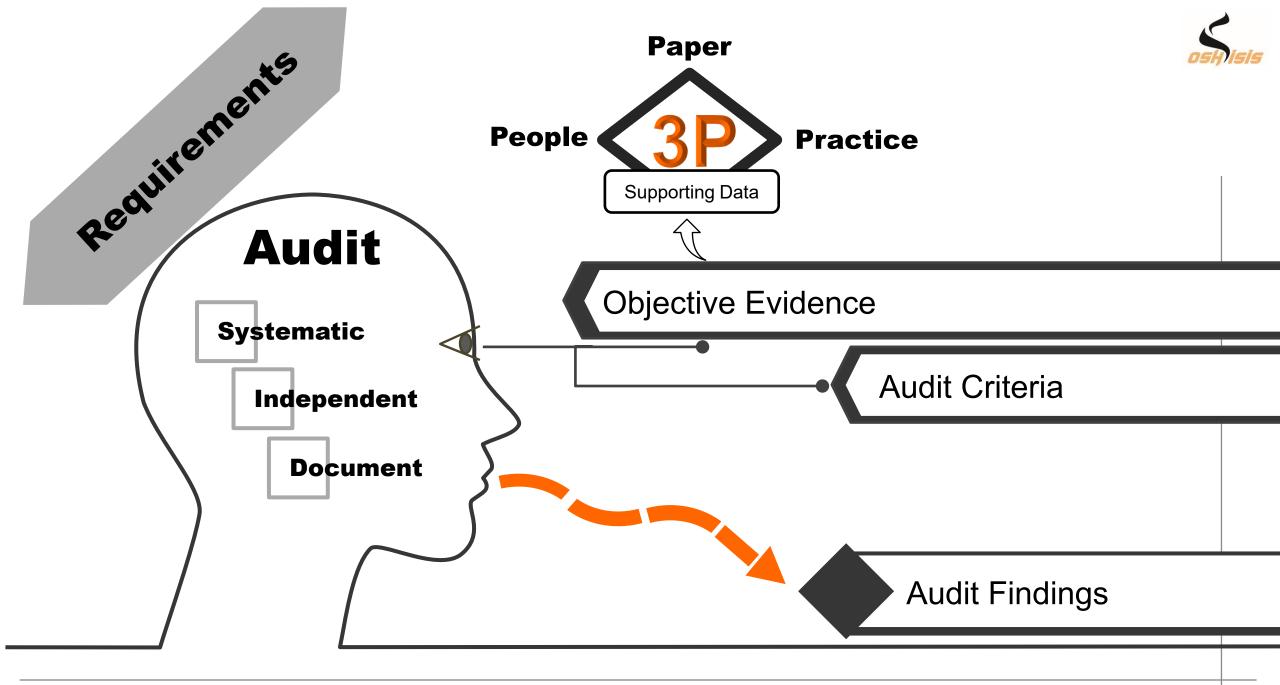


Standard Requirements

Intern

Internal Requirements





01

Indicates..



indicate conformity or nonconformity

02

Identify...

risks, opportunities for improvement or recording good practices.

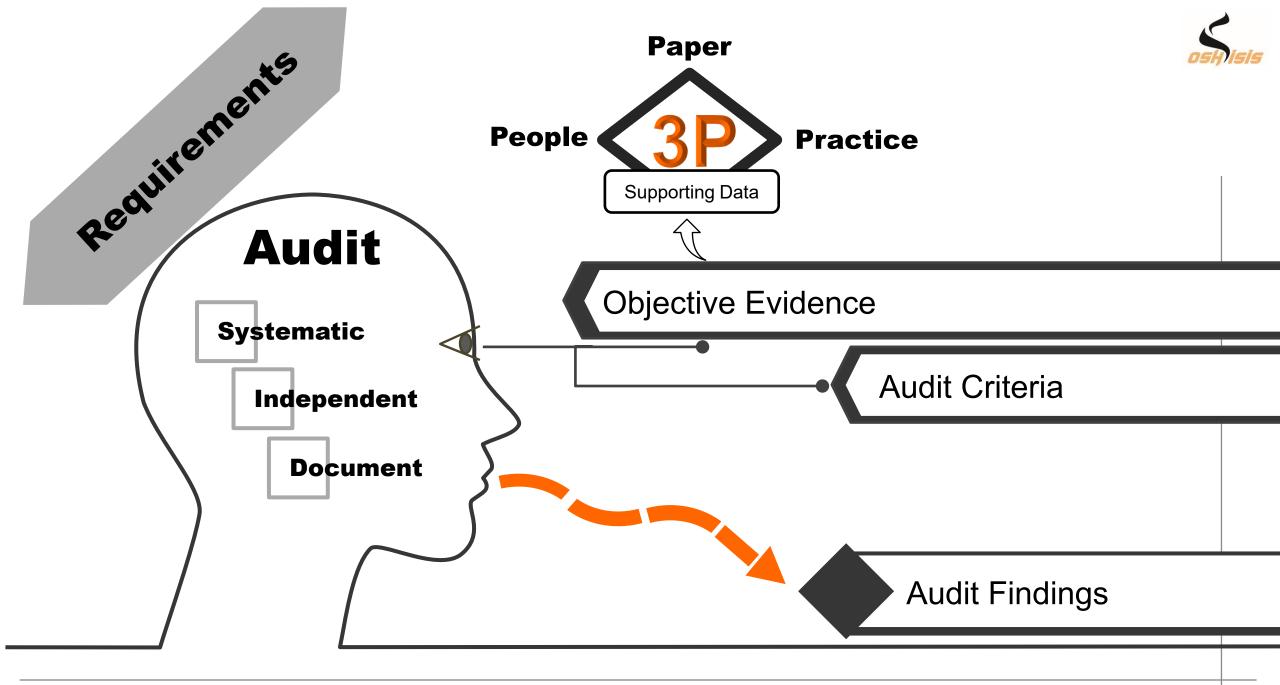
Objective Evidence

Audit Criteria



results of the evaluation..







Audit Criteria

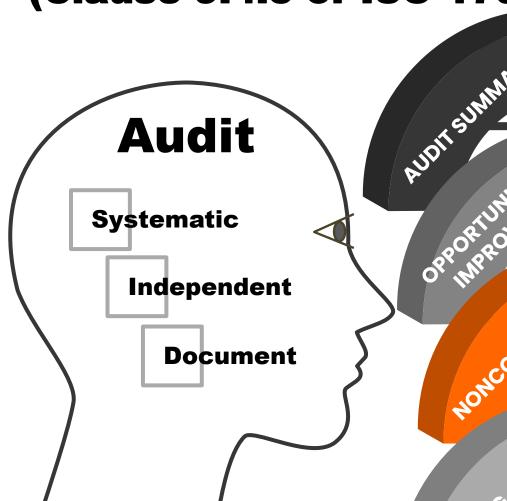
Set of requirements used as a reference against which objective evidence is compared

Audit Criteria

Policy Procedure Work Operating Procedure







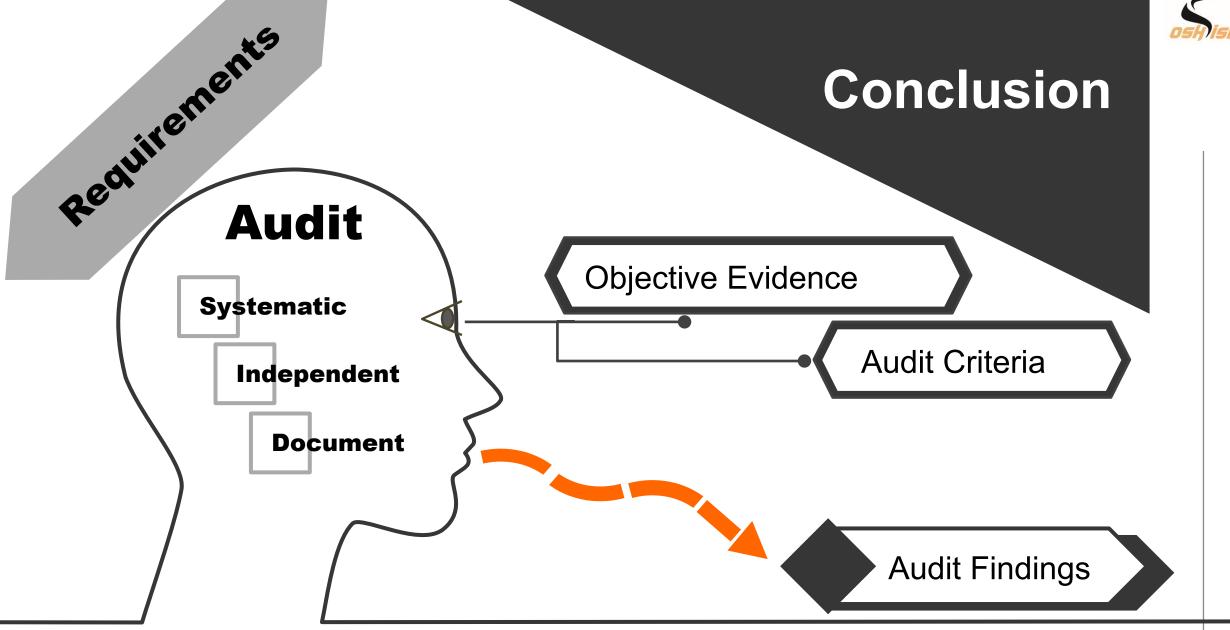
summarizing conformity and detailing nonconformity - identified, classified and recorded

Opportunity for improvement shall not be recorded as opportunities for improvement.

Shall be recorded against a specific requirement, and shall contain a clear statement of the nonconformity. Nonconformities shall be discussed with the client to ensure that the evidence is accurate and that the nonconformities are understood

The audit team leader shall attempt to resolve any diverging opinions between the audit team and the client concerning audit evidence or findings, and unresolved points shall be recorded.







Conclusion

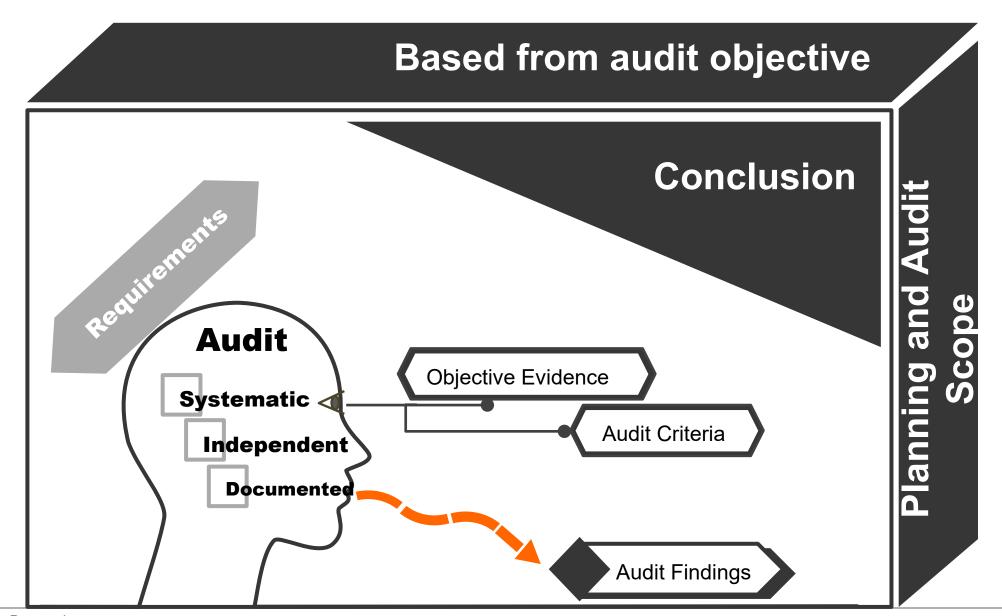
(Clause 9.4.6 of ISO 17021)

Preparing audit conclusions

- a) Review the audit findings, and any other appropriate information obtained during the audit, against the audit objectives and audit criteria and classify the nonconformities;
- b) agree upon the audit conclusions, taking into account the uncertainty inherent in the audit process;
- c) Agree any necessary follow-up actions;
- d) confirm the appropriateness of the audit programme or identify any modification required for future audits (e.g. scope of certification, audit time or dates, surveillance frequency, audit team competence).

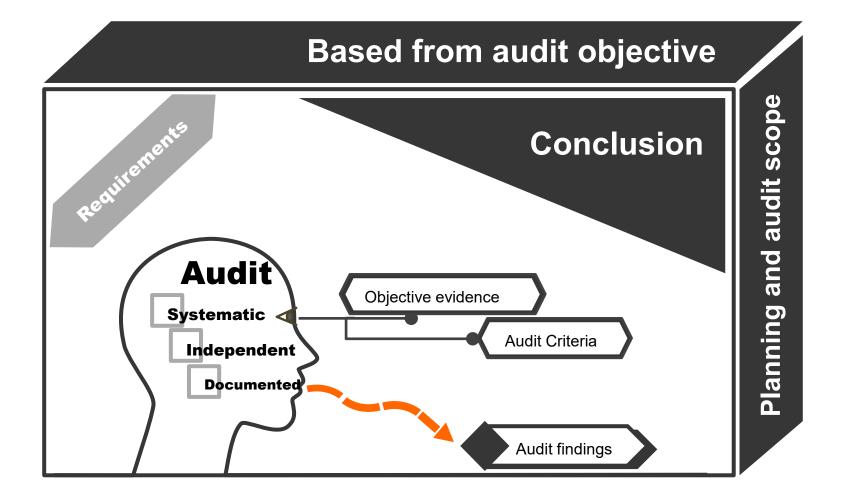








Program Audit Arrangement



Audit Ecosystem



























Low

High

Determine Auditing-aid





Identify the auditing-aid that could be necessary to provide audit evidence to meet with the objectives of audit

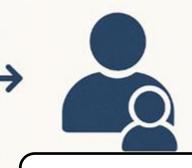


MANAGING AUDIT PROGRAM









Establishing an Audit Program

Understanding the Auditee's Context

- Audit Scope
- Audit Extent
- Complexity
- Organizations scale

- Objectives
- internal and external issues,
- stakeholder expectations, and
- confidentiality requirements

Planning the Audit Program

- Audit Objectives
- Integrity
- Resource Allocation
- Competency

Audit Program Details

- Audit Information
- Objectives of the audit program.
- Risks & opportunities
- Scope & boundaries
- Audit schedule
- Types of audits
- Audit criteria
- Team members
- Monitoring
- Review and Improvement



PLANNING AN AUDIT PROGRAMME

	Set Clear Audit Objectives	Align audits with orgizational goals, risks, performance levels, and stakeholder <i>expec</i> tations.
	Define Audit Purpose	Common purposes: improve system performance, verify compliance, and ensure supplier reliability.
ΔÔ	Manage Risks & Use Opportunities	Plan to avoid issues like poor resourcing or weak team selection, while using opportunities to combine audits and reduce costs
	Build the Audit Programme	Define scope, assign roles, choose competent auditors, plan schedules, and set up communication and reporting processes
	Ensure Competent Programme Managers	Managers should un'erstand audit practices, management systems, and keep their knowledge updated
	Decide Audit Scope & Coverage	Consider the size, complexity, past results, and stakeholder concerns when setting how broad detailed the audit will be
\$	Plan for Resources	Allocate enough budget, time, personnel, tools, and logistics (e.g. travel, tech, accommodation) for audit activities



IMPLEMENTING AUDIT PROGRAM



Organize and Communicate the Audit Plan

Share the audit plan, assign roles, choose audit methods fon-site or rerote). and keep everyone informed. Ensure everything is scheduled and risks are managed.



Set Clear Audit Audit Method

Decide how the audit will be done



Assign an Audit Team Leader

Appoint a leader to manage the audit and ensure smooth execution



Keep Records Secure and Organized

Protect all audit documents properly



Set Clear Audit Objectives, Scope & Criteria

Define what you want to achieve, the area, and the standards to follow.



Establish Competent Audit Team

Select skilled auditors, include experts and new auditors if applicable



Review and Use Audit Results

Evaluate achievement of audit objectives, review findings, and share improvements



MONITORING AND REVIEW OF THE AUDIT PROGRAMME



Monitoring the Audit Programme

Make sure the audit schealule is followed, teams perform well, audits run smoothly, feedback is collected, and documentation is complete



Potential Modifications to the Audit Programme

Update the programme if there are changes in findings, scope, standards, client needs, or conflicts of interest



Reviewing and Improving the Audit Programme

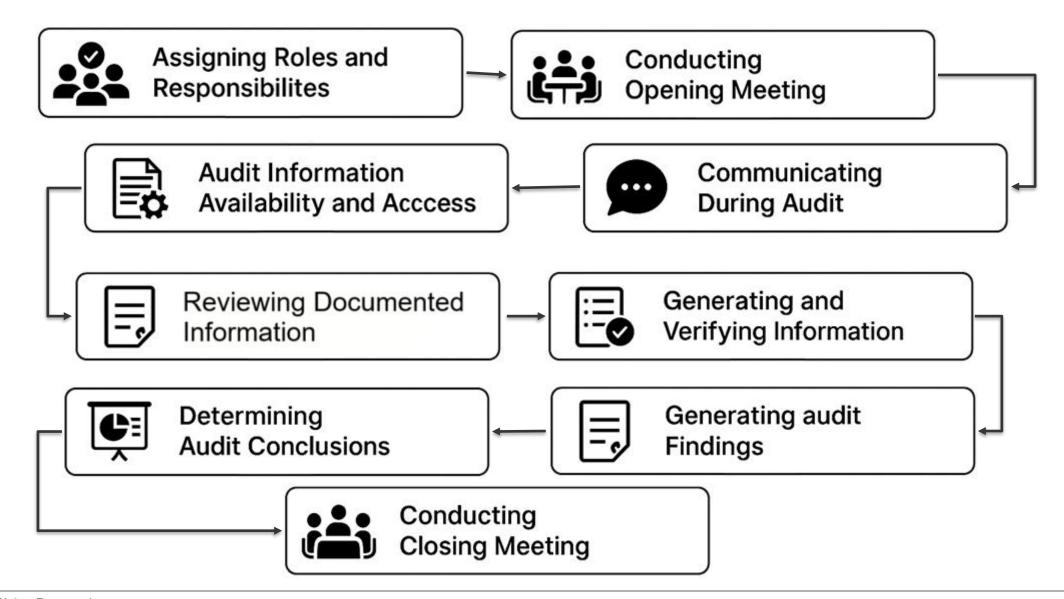
Regularly check if the audit plan works well, find areas to improve, support auditor development, and report findings



Considerations During Review

Look at trends, process compliance, changes in stakeholder needs, data security, and the effectiveness of risk controls









Audit Execution (Onsite Assessment)



CONDUCTING AUDIT: INITIATING AND PREPARING AUDIT ACTIVITIES

INITIATING THE AUDIT



- responsible by the team leader
- communicating with auditee

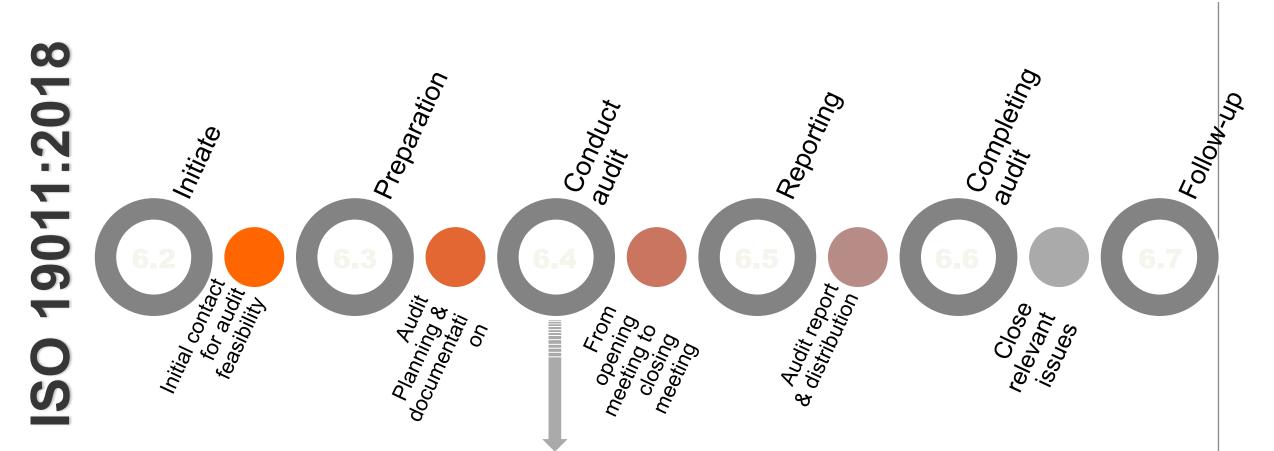
PREPARING FOR THE AUDIT



- review documentation
- planning, risk assessment coordination
- review and use audit results

Auditing GuidelinePerforming an Audit

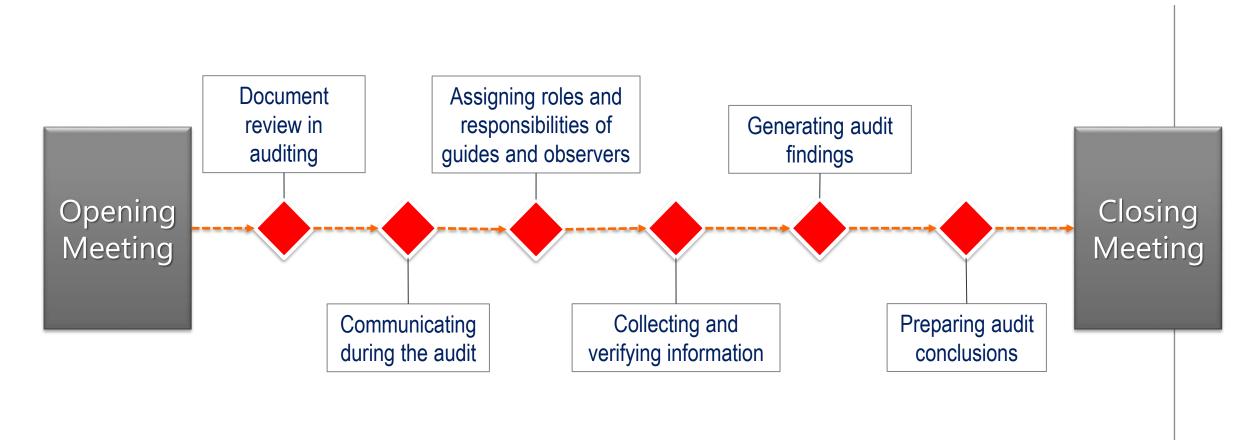




Refer to next page



Auditing GuidelineConducting the audit activities



Opening Meeting



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INTRODUCTION

introduction of the participants, including an outline of their roles, audit team including observers

certification, audit scope plan, change, arrangement, communication channel, resources & facilities, language used in auditing

INFORMATION

Confidentiality, reporting method, audit findings, information about the conditions under which the audit may be prematurely terminated, status of findings of the previous review, sampling procedure, client will be kept informed of audit progress and any concerns and opportunity for the client to ask questions

PROVISION

Auditor Guides, work safety, emergency and security procedures, Audit protocol



AUDITING

TECHNIQUES

Auditors can harness common audit methodologies such as observation, document review, and interviews while employing a Turtle Diagram to systematically evaluate processes. This structured approach ensures a comprehensive examination, enabling auditors to identify strengths, weaknesses, and areas for improvement, ultimately delivering impactful audit results that guide enhancements and compliance within the organization.



Turtle Diagram

A process-oriented audit approach



Onsite audit

A method to collect an objective evidence

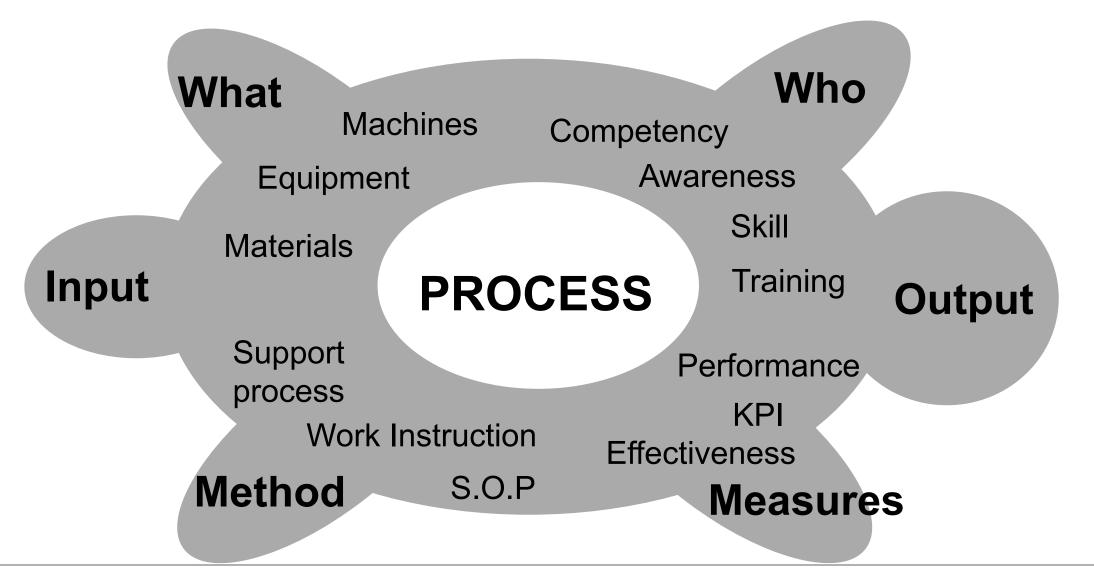


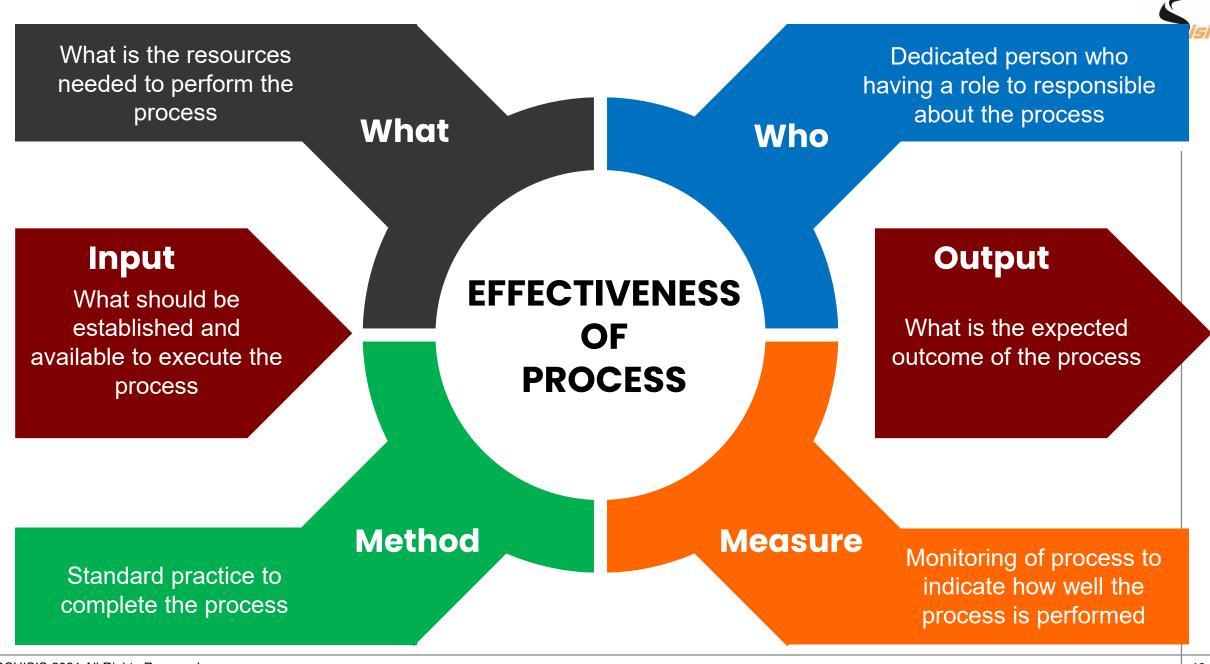
Aim

This section will explain audit techniques using the Turtle method combined with common methods such as Interview, Document Review & Observation to gather sufficient evidence to justify audit findings...



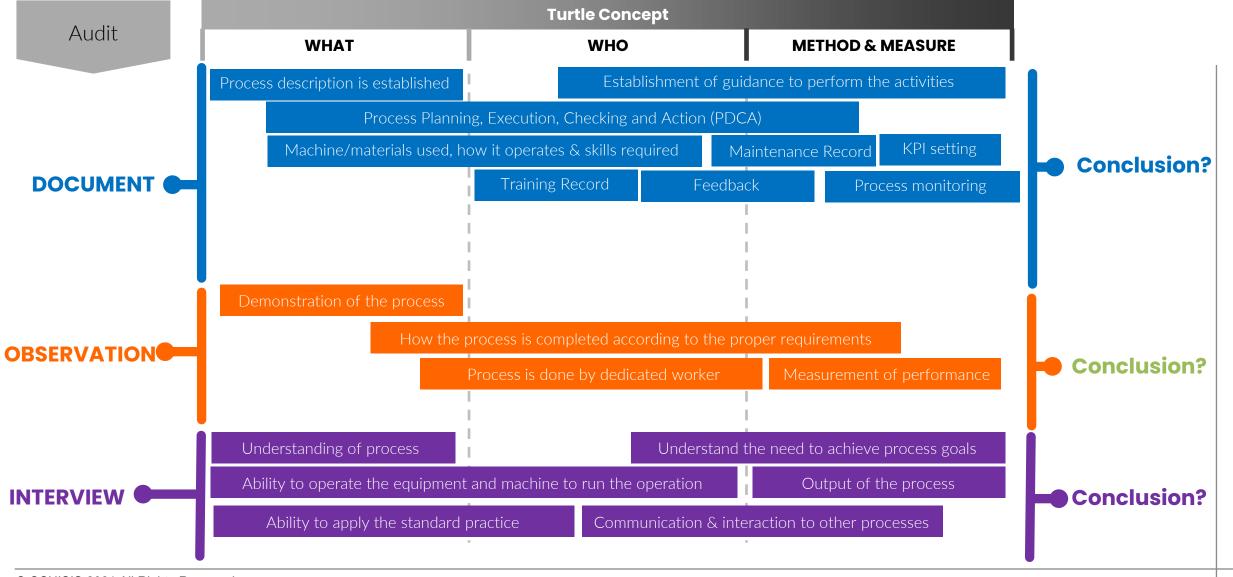
Auditing approach using Turtle Diagram





AUDIT MIND-MAPPING: TURTLE CONCEPT APPLICATION AT SITE





AUDIT MIND-MAPPING: TURTLE CONCEPT APPLICATION AT SITE



Process description is established Maintenance Record Feedback Process Planning, Execution, Checking and Action (PDCA) Machine/materials used, how it operates & skills required Establishment of guidance to perform the activities Training Record **Process monitoring KPI** setting Demonstration of the process How the process is completed according to the proper requirements Process is done by dedicated worker Understanding of process Output of the process Communication & interaction to other processes Ability to apply the standard practice Ability to operate the equipment and machine to run the operation Understand the need to achieve process goals

How the issues presented are able to generate the appropriate types of questions according to the skills of the auditor

The questions presented to the auditee can provide justification to the auditor in making a decision

Audit Findings

Comply

Non-Conformity

OFI

Open questions
Closed questions
Leading Questions