

Management System Lead Auditor Training

Module 8. Audit Reporting and Documentation Processes

Presented by:

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(Daman)

Learning Outcome

Able to effectively document and report audit findings in accordance with management system

Develop the skills to accurately assess audit evidence, identify non-conformities, and prepare clear and concise audit reports

Gain knowledge to ensure the completeness, traceability, and confidentiality of audit records

Module 8

Audit Reporting and Documentation Processes

Focus Area



**ISO 19011:2018 –
Guidelines for
auditing
management
systems**

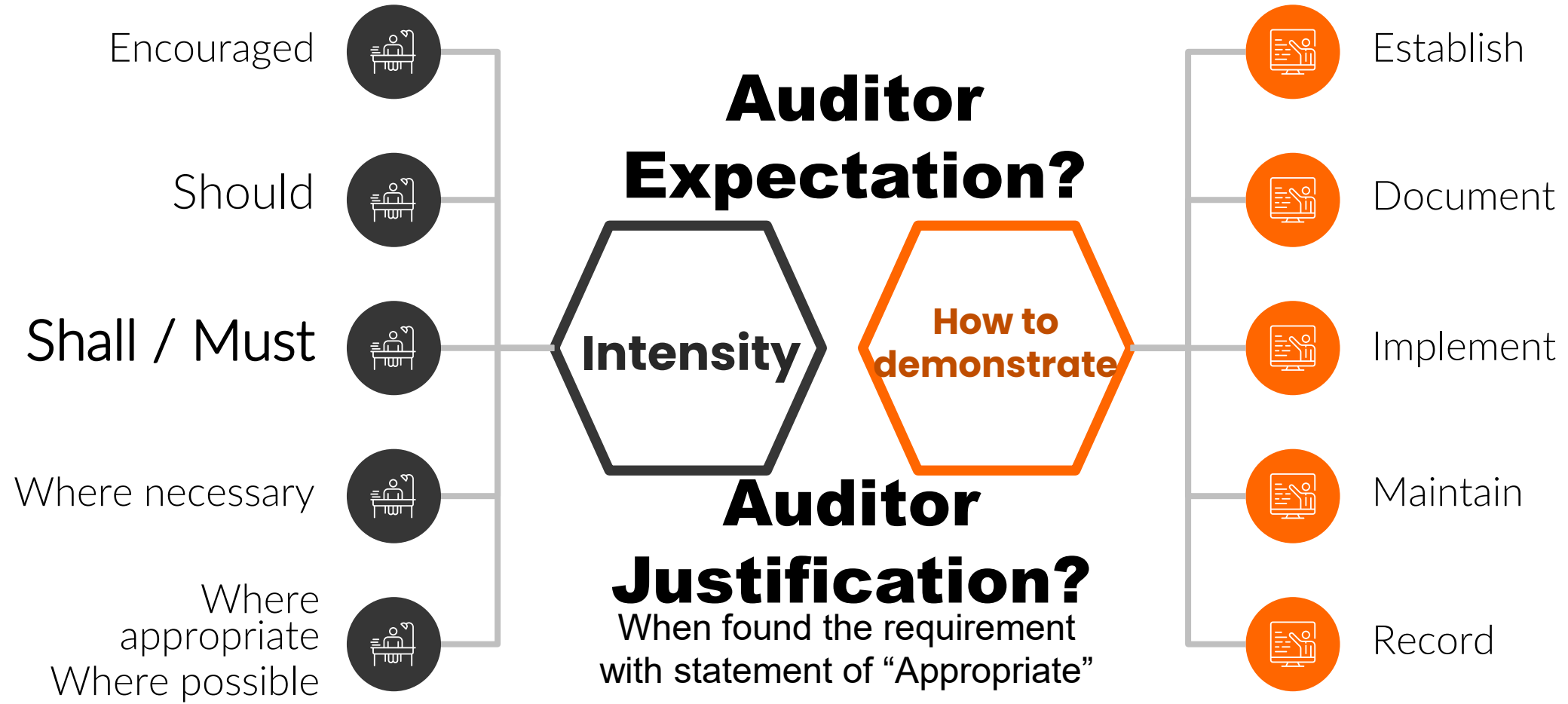


**ISO/IEC 17021-1:2015
– Conformity
assessment –
Requirements for
bodies providing
audit**



**Standard
requirements**

Justifying Requirements



Recording the findings of an audit involves capturing evidence from various sources, including **observation**, **interviews**, and **records**. By integrating evidence from observation, interviews, and paper records, auditors can ensure a holistic and well-documented representation of their findings, enabling accurate analysis, recommendations, and the delivery of a comprehensive audit report.

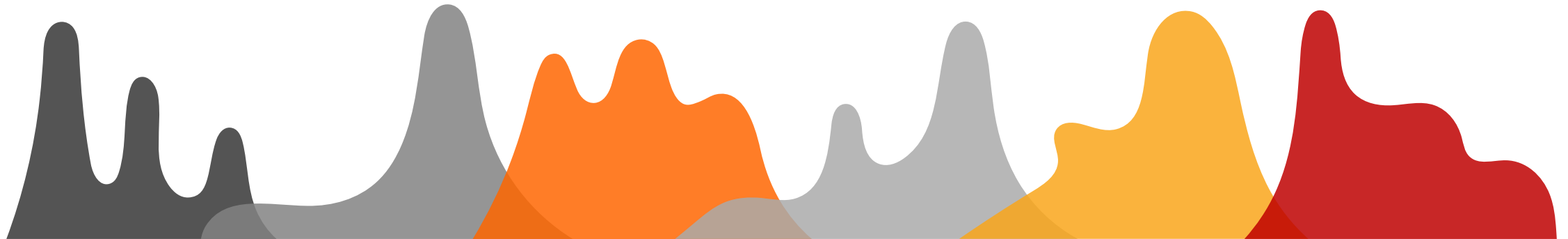


Findings Classification

FEATURES										
	STRENGTH	CONFORMANCE	O.F.I		mn.NC			Mj.NC		
LEGAL REQUIREMENT	✓	✓	✓	✓	✓	✓	✓	✓	✗	
STANDARD REQUIREMENT	✓	✓	✓	✓	✓	✓	✗	✗ Repeated case	✓	
INTERNAL REQUIREMENT	✓	✓	✓	✗	✓	✗	✓	✓	✓	
RISK	✗	✗	✓	✗	✓ With evidence	✓	✓	✓	✓	✓
ADD VALUE	✓	✗	✗	✗	✗	✗	✗	✗	✗	
	OUTSTANDING	POSITIVE	RATHER NEGATIVE		NEGATIVE			NEGATIVE		

Conforming to requirements

Legal is higher requirement

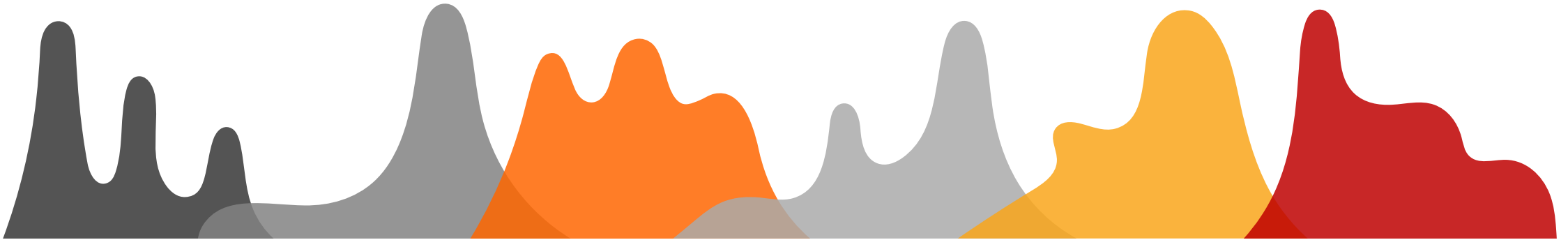


Justification of RISK:

- a) Penalties**
- b) Company's image**
- c) Cost**
- d) Financial**

Conforming to requirements

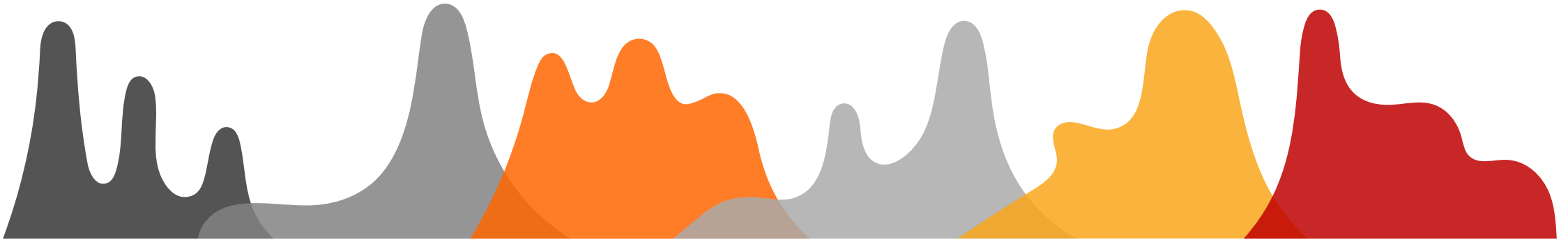
Standard is higher requirement



Justification of RISK:
a) Effectiveness

Conforming to requirements

Internal SOP is higher requirement



Justification of RISK:

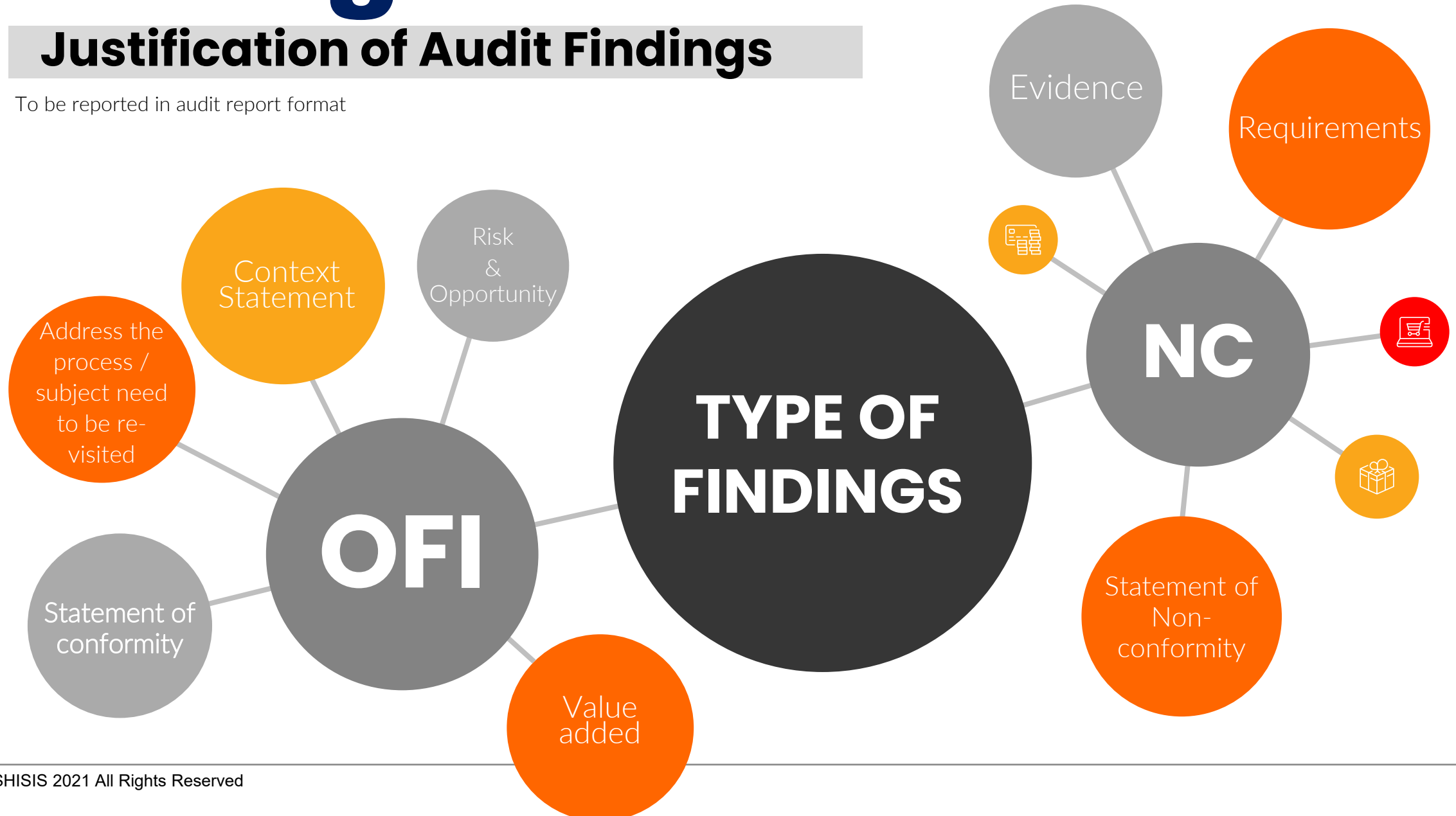
a) Effectiveness

b) System integrity

Findings Statement

Justification of Audit Findings

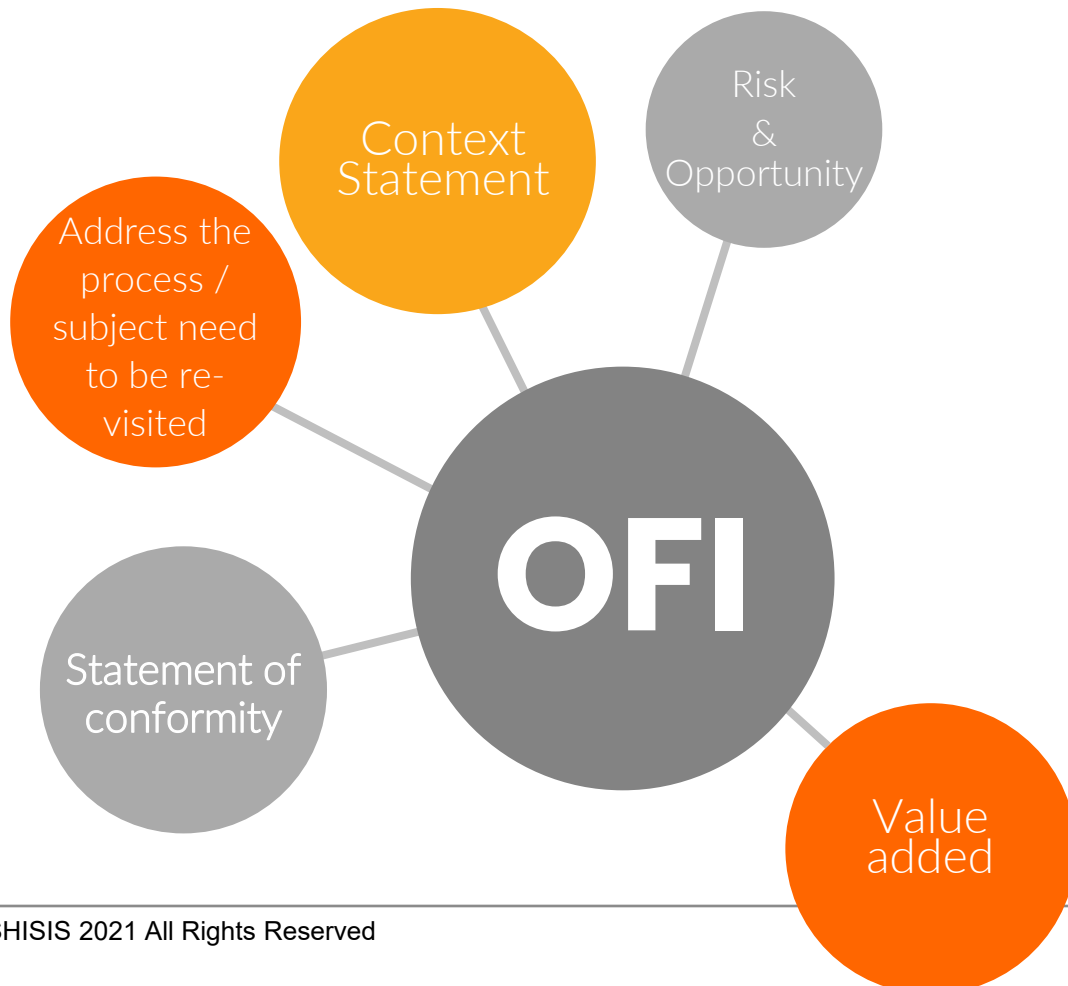
To be reported in audit report format



Findings Statement

Justification of Audit Findings

To be reported in audit report format



Statement of conformity

Statement of process / subject to be relooked

Specific context to emphasize

and address..

Risk

or

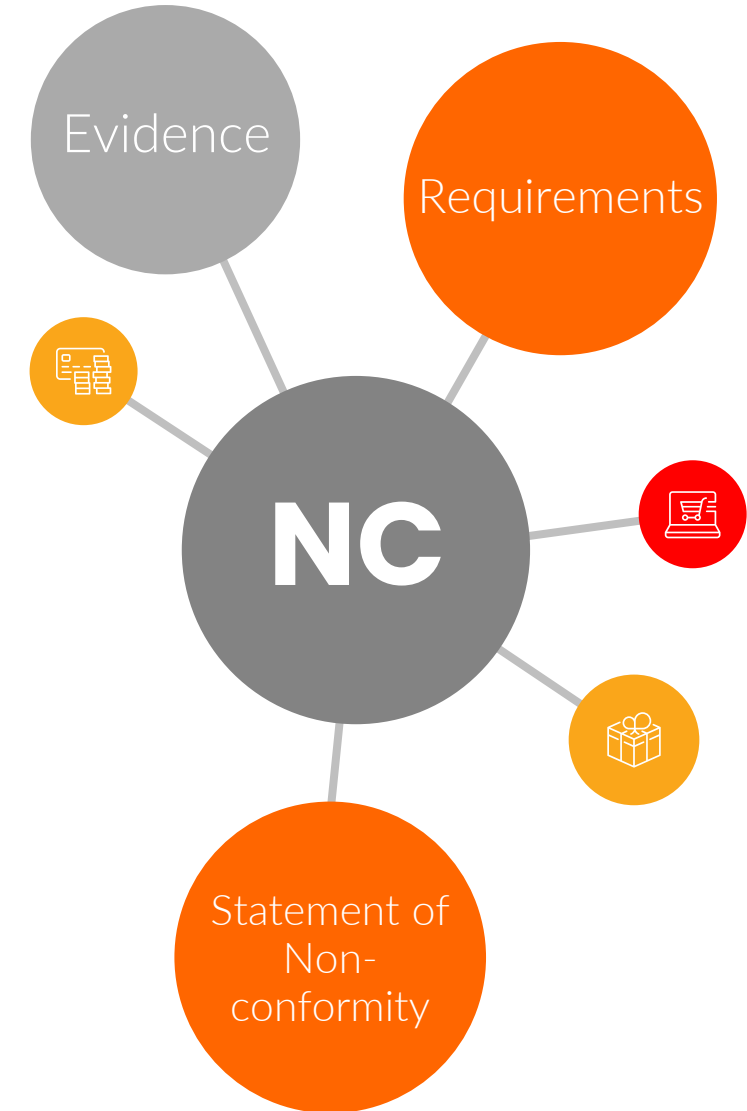
Benefit(s)

Findings Statement

Justification of Audit Findings

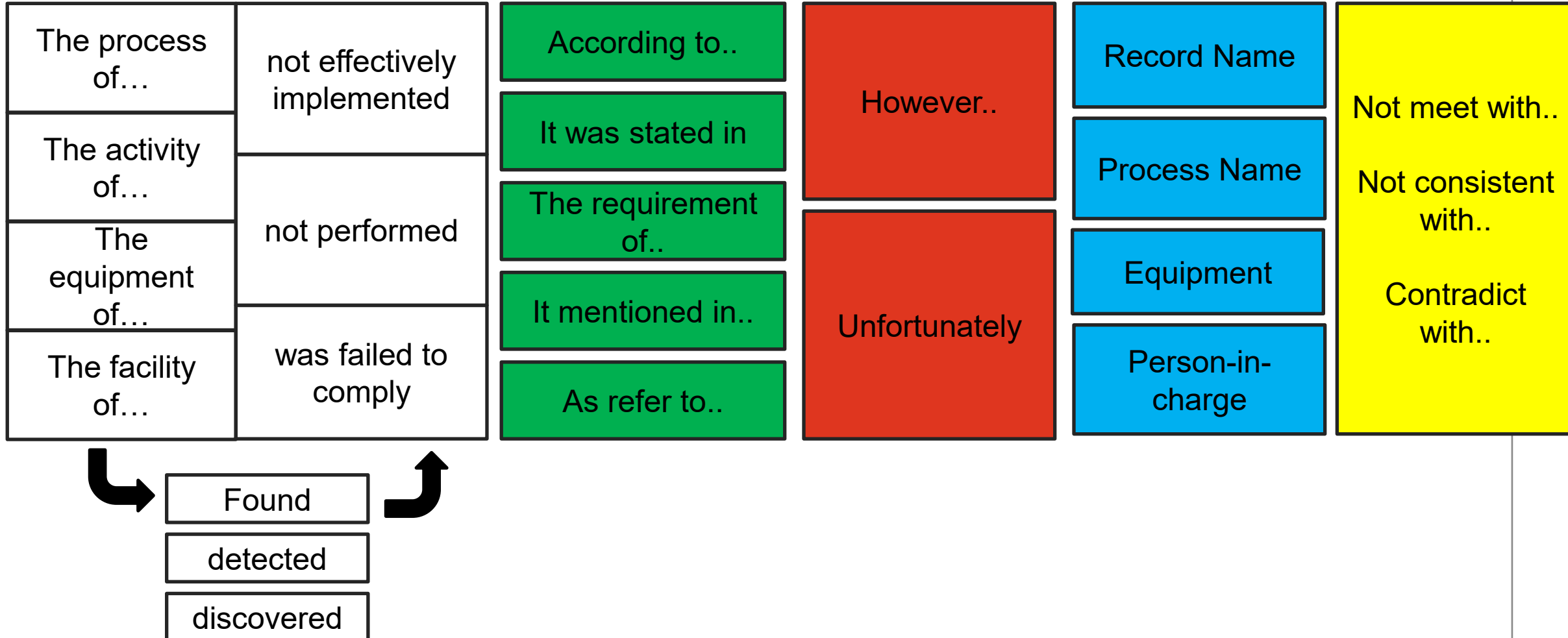
To be reported in audit report format

Statement of nonconformity	
Statement of requirement	Laws
	Standard
	Internal Requirement
Statement of evidence	Paper
	People
	Practice



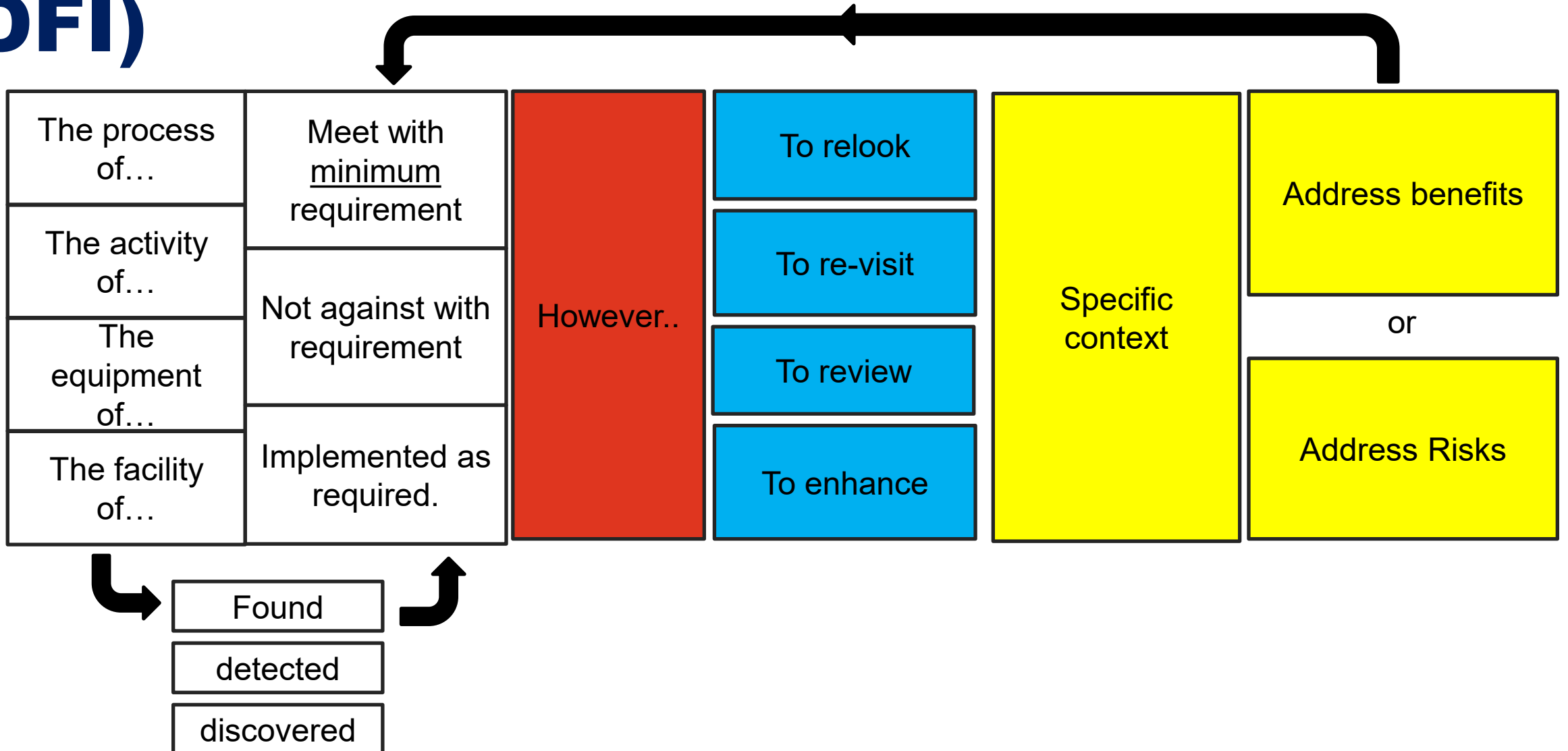
Findings Statement

(NC)



Findings Statement

(OFI)



Module 9

Nonconformities, Corrective Action and Follow-Up

DEFINITION – ISO 9000:2015

Correction

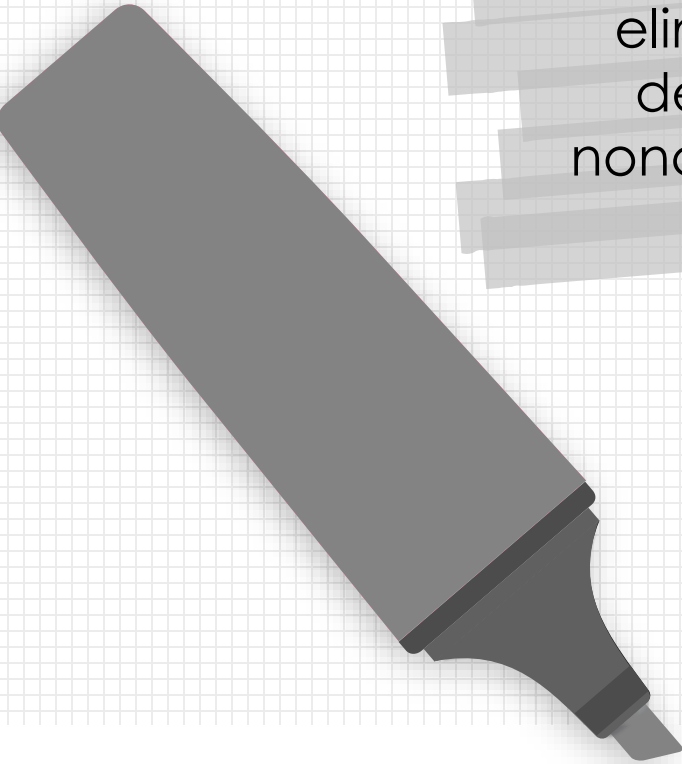
action to
eliminate a
detected
nonconformity

Nonconformity

non-fulfilment of
a requirement

Corrective Action

action to eliminate
the cause of a
nonconformity and
to prevent
recurrence



NONCONFORMITY FORM (NCR Form Sample)

Date	Dept	
	Audited Area	
NCR No.	Auditor	

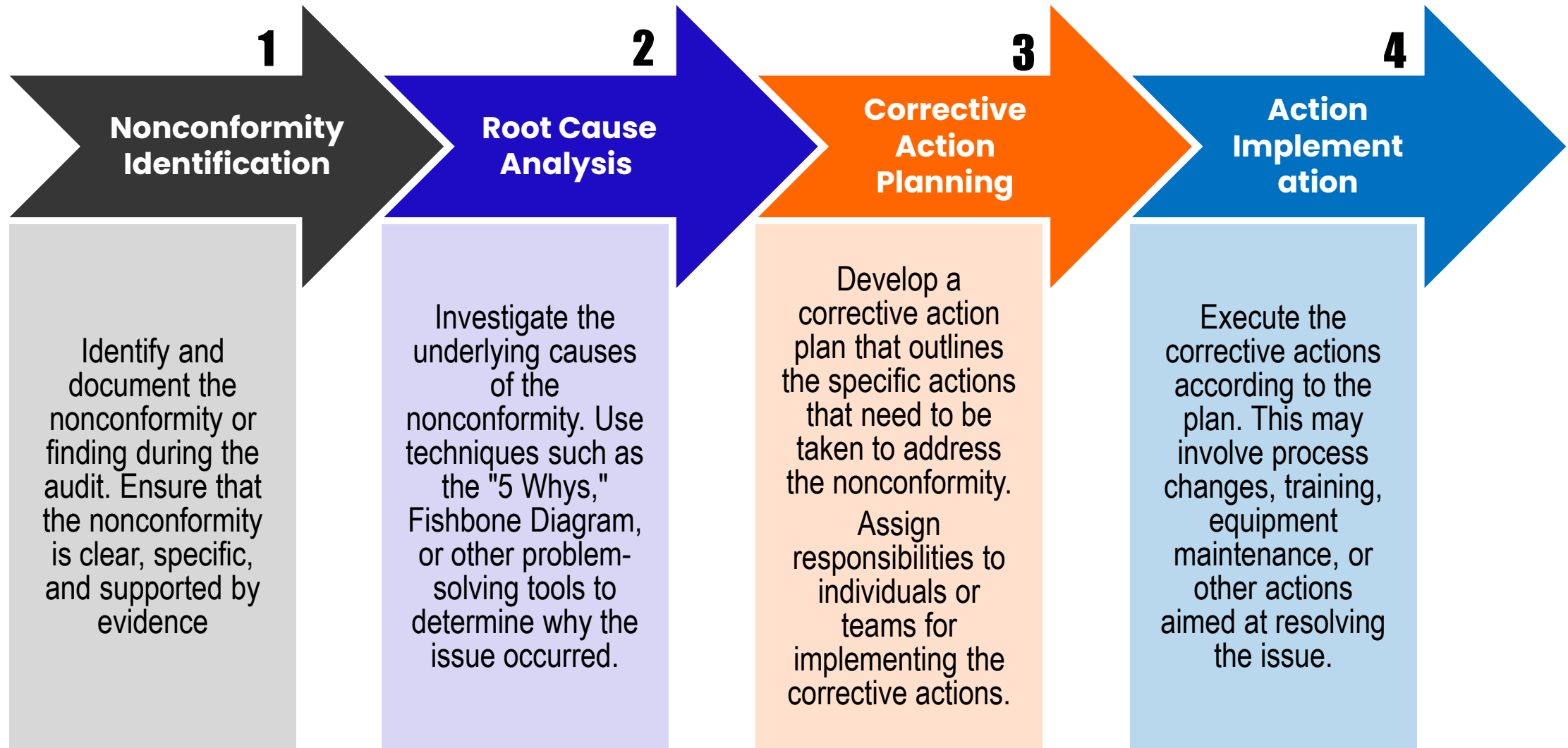
Correction
[Describe any immediate actions taken to address the nonconformity, including containment actions.]
Root Cause Analysis
[Describe the root cause(s) of the nonconformity, if known. Use techniques like the "5 Whys" or "Fishbone Diagram" if applicable.]

Corrective Action
[Specify the corrective actions that will be taken to eliminate the nonconformity, including responsible parties and timelines.]
[Describe any preventive actions that will be implemented to prevent recurrence of similar nonconformities.]
Verification of Corrective Action
[Outline how the effectiveness of corrective actions will be verified and who will be responsible for this verification.]
[Signatures of the auditors involved in identifying the nonconformity.]

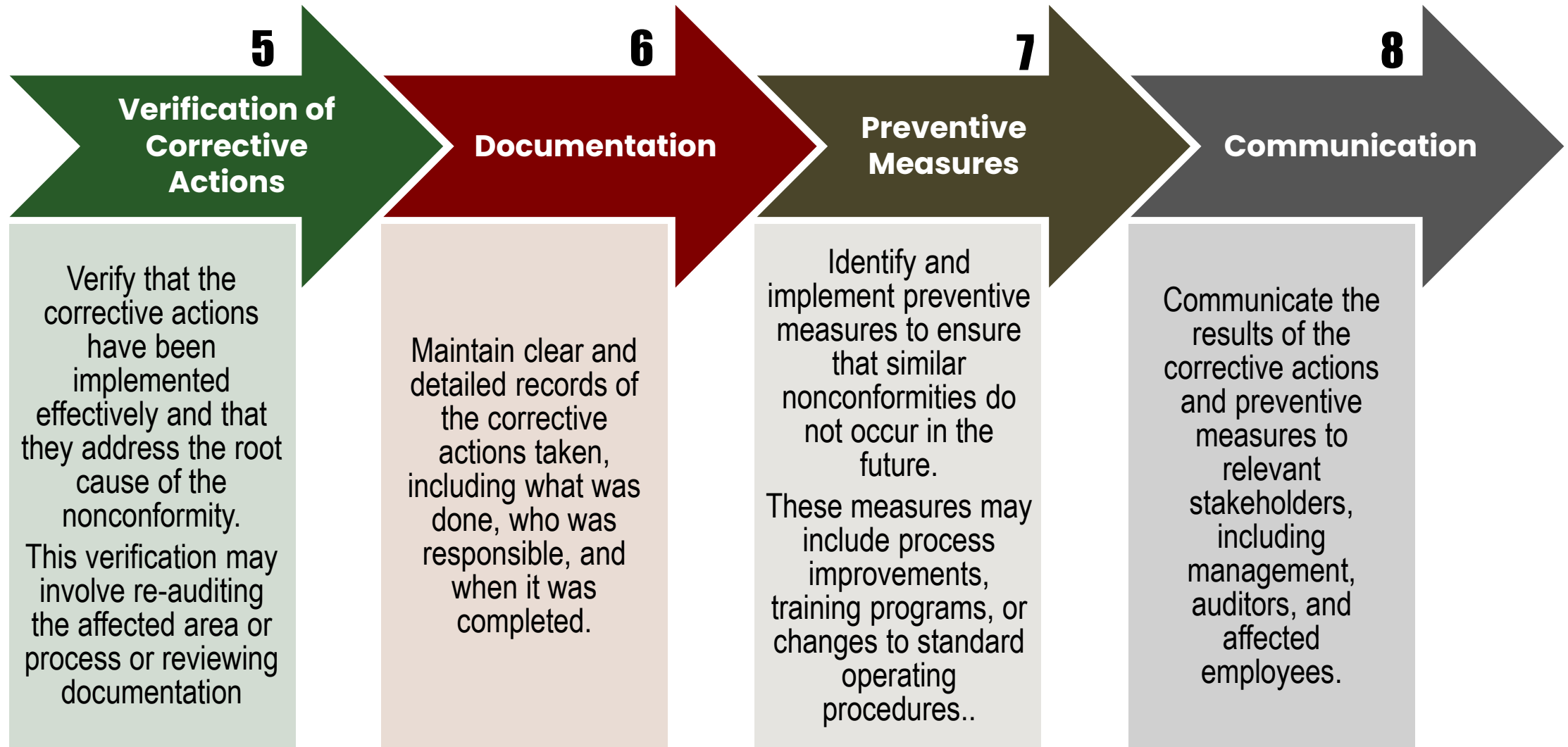
Description of Nonconformity
Standard Clause
Statement of Nonconformity
[Provide a detailed description of the nonconformity, including what was observed, discrepancies from requirements, and any relevant evidence.]

Objective Evidence		
[Attach or reference any evidence supporting the identification of the nonconformity, such as documents, records, or photographs.]		
Approval and Review	Closure Status	Follow-up Action
[Specify the names and signatures of individuals responsible for approving the corrective and preventive actions, and the date of approval.]	[Indicate whether the nonconformity has been closed and the date of closure.]	[Document any additional actions taken during follow-up audits or reviews.]
	[List any additional documents or evidence related to the nonconformity.]	

STEPS FOR IMPLEMENTING CORRECTIVE ACTIONS



STEPS FOR IMPLEMENTING CORRECTIVE ACTIONS



STEPS FOR IMPLEMENTING CORRECTIVE ACTIONS

