CERTIFICATION IN TRANSITION

A QMS PERSPECTIVE

By David J Stables

Chair: SABS NTC 176: Quality management and Quality assurance matters

Progression of approaches to Quality

ISO 9001:2022
ISO 9001:2015

International Excellence and Competitiveness

Paradigm shift 2015

ISO 9001:2008
ISO 9001:2000

Benchmarking
Best Practices

Self Assessment

Company wide Quality (TQM)

Paradigm shift 2000

ISO 9001:1994
ISO 9001:1987

Systematic Quality
(by ISO 9000 family)

More sophisticated
(use of QA)

Expanding Organisation
(QC by measurement)

Individual craftsman

Increased focus on enhancing customer satisfaction

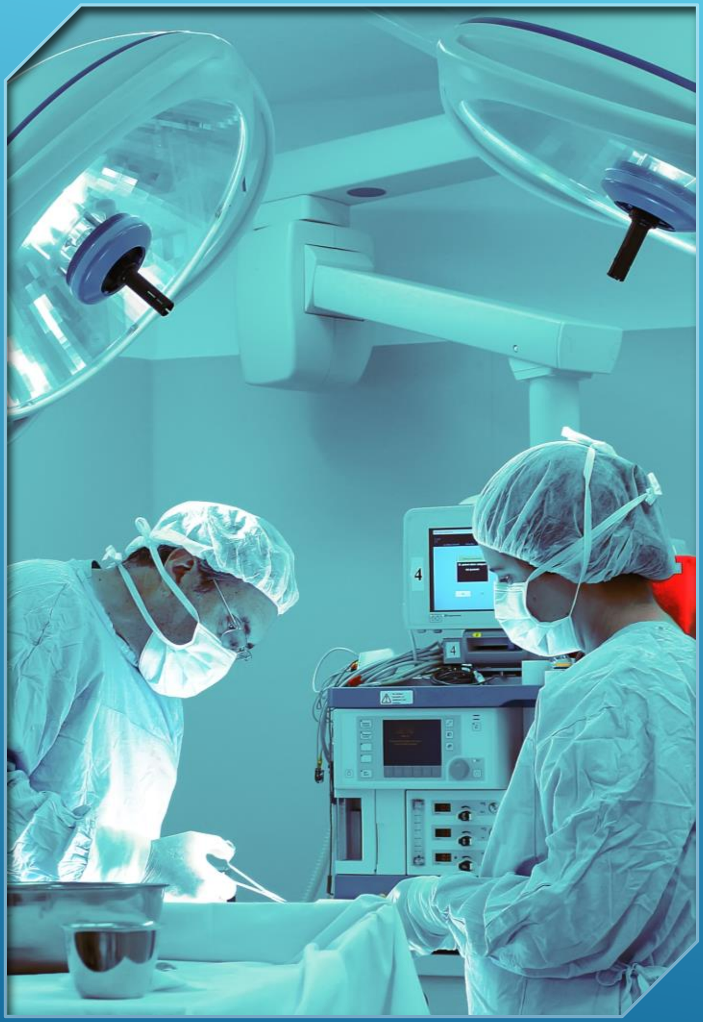
Time | Line

1800 1900 1960 1980 2000 2015

“Auditing... is now accepted as a “must do” task in the business. “Must do” does not necessarily equate to “have to do” or “want to do”. The latter reflects the desirable state of mind for CEO’s all auditors want to achieve. But it crucially depends on the relevance of our service, the value for money delivered...

“If the audit client believes one must pay a commercial daily rate for competent expertise, as one would for a doctor, lawyer or engineer, would he then refuse to pay for a professional and thorough audit?”

Allan J Sayle



WOULD YOU WANT TO BE OPERATED ON BY A SURGEON WHO HAD ONLY COMPLETED A **SIX** WEEK COURSE ON HUMAN ANATOMY AND CUTTING TECHNIQUES ?

THE PROFESSIONAL AUDITOR is to

- To care for people, the product and the business.
- To add value by offering helpful advice during audits. To do this we need to budget our time and only use skilled, trained, experienced people.
- To help improve the quality of working life and of private life of the community.
- To help improve the human condition.

- They must have the best and most thorough knowledge of business, systems, technology developments, etc.
- They see what works, what does not work, strengths, weaknesses of standards, codes and procedures/ systems.

AUDITORS ARE MOST IMPORTANT OF THE QUALITY PROFESSIONALS

KEY DELICATE AREAS FOR AUDITORS

- 4.1 Context of the organisation

A.8

- 7.1.6 Organisational knowledge

- 5.1.1d) & 6.1 Risk based thinking

A.10

- 5. Top management

A.9

T I Q M S

Critical clauses giving problems:

A wealth of guidance is available via the **APG**

QMS auditing topics for ISO 9001:2015

1. General
- Adding value
- Code of Conduct and Ethics
- Cultural Aspects
- Expected Outcomes
- Impartiality
- Scope of ISO 9001, Scope of Quality Management System and Scope of Certification
- Technical Experts
- Two stage initial certification audit

2. Auditing General
- Added Value Audits versus Consultancy
- Audit Planning
- Audit Reports
- Audit Trail
- Checklist
- Deal with consultants
- Demonstrate conformity to the standard
- Effective use of ISO 19011
- Electronic documented information systems
- Evidence collection
- Nonconformity – Documenting
- Nonconformity – Review and closing

3. Auditing to ISO 9001:2015
- Competence
- Context — 4.1
- Customer Communications
- Customer Complaints
- Customer Feedback
- Design and Development Process
- External providers
- Improvement
- Internal audit
- Internal communication
- Measurement traceability
- Monitoring and measuring resources
- Organizational Knowledge — 7.1.6
- Policy, objectives and management review
- Processes
- Resources
- Risk Based Thinking — 5.1.1d) & 6.1
- Service organizations
- Statutory and Regulatory requirements
- Top management — 5.

HOW MUCH EDUCATION & TRAINING IS REQUIRED TO BECOME A FINANCIAL AUDITOR ?

And all they are doing is to check that the numbers add up and that the organization followed procedures and is on the right side of the law!

PROFILE OF AN AUDITOR IN 2018

We are all aware of the guidance given in ISO 19011:2018, but what else?

TIQMS

ISO 19011:2018
CLAUSE 7.2.2
PERSONAL BEHAVIOUR

- ethical
- open-minded,
- diplomatic,
- observant
- perceptive,
- versatile,
- tenacious,
- decisive,
- self-reliant,
- able to act with fortitude,
- open to improvement,
- culturally sensitive,
- collaborative

- **LATERAL THINKER**

LATERAL/ HORIZONTAL THINKING:

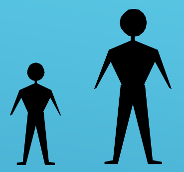
is the process of using information to bring about creativity and insight,
can be learned, practiced and used.
People who think horizontally are usually concerned in why a particular activity occurs and why in that way.
They know something about **everything**, related to their field.

Transactional analysis - the self states are associated with four basic attitudes

The four basic self state attitudes

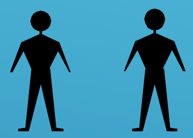
- ✓ **I am not OK - you are OK**

  An attitude implying helplessness, originating from dependency of early childhood (cC)



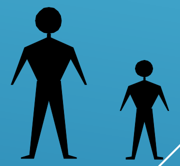
- ✓ **I am not OK - you are not OK**

  The basic attitude of despair and resignation (cC)



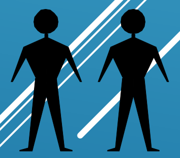
- ✓ **I am OK - you are not OK**

  An top-down attitude demonstrating the smallness and incompetence of the other person (cP + kP)

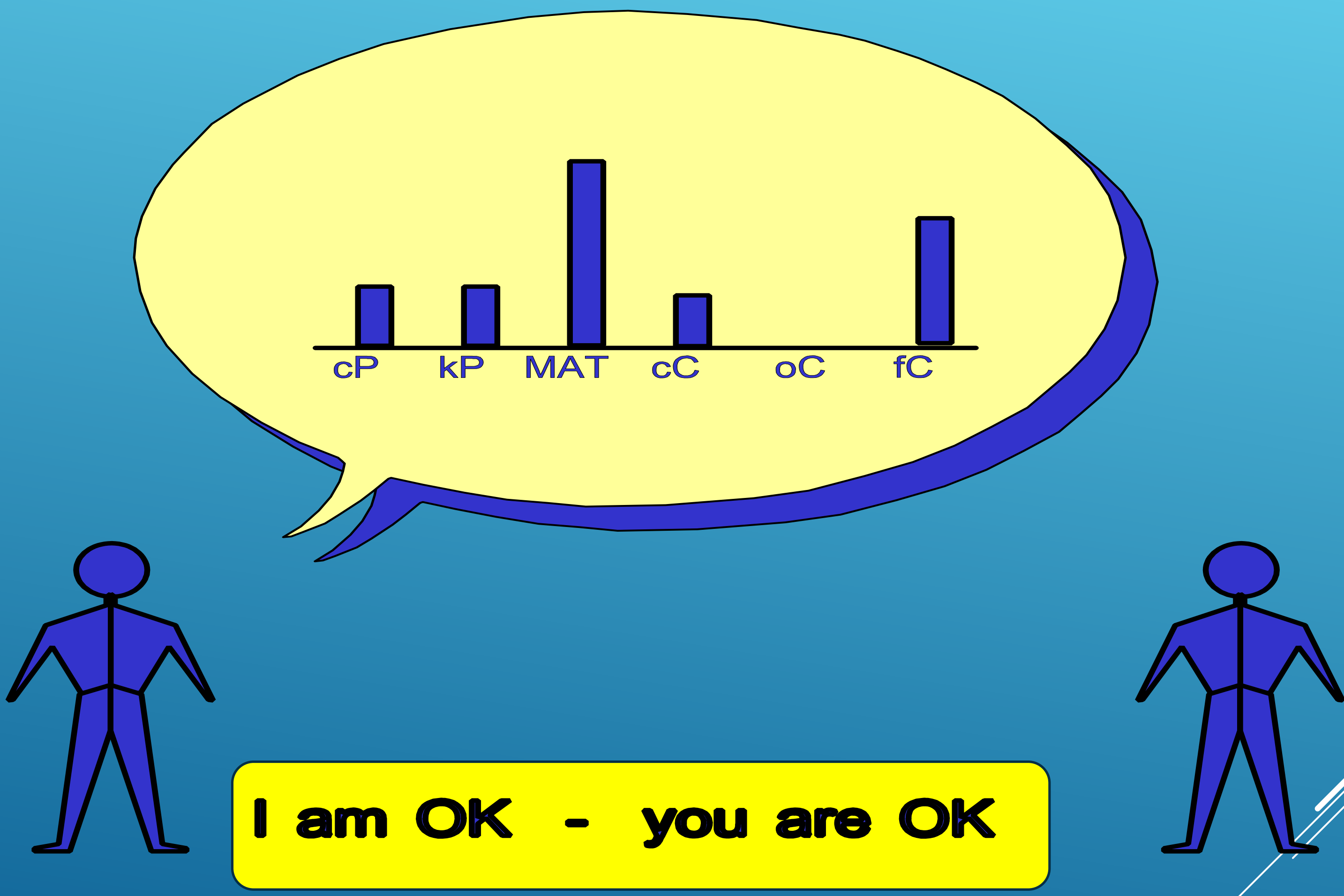


- ✓ **I am OK - you are OK**

  The basic attitude or the mature-self (mat) who is accepting self and others. Also possible in free child-self.



Auditor profile



Thank you

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