
EXPERIMENT 18 AUDITING (MODULE 5)

- a) **Conducting the Opening Meeting and Closing Meeting (as per ISO :19011)**
 - b) **Establishing Qualification Criteria for Auditors and Lead Auditors (ISO 17021 and ISO 22003 for a Food Industry)**
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Structure

- 18.0 Objective
- 18.1 Introduction
- 18.2 Principle/ Rationale/ Approach
- 18.3 Material Required
- 18.4 Experiment/ Activities/ Procedure
- 18.5 Observations
- 18.6 Result

18.0 OBJECTIVE

After attending this practical, we shall be able to conduct the opening and closing meeting.

18.1 INTRODUCTION

The concept has been taken from the clauses 6.5.1 and 6.5.7 from ISO 19011-2002. Key aspects to be covered during both the meetings are explained in the same.

18.2 PRINCIPLE/RATIONALE/APPROACH

The opening meeting is the first interaction of the auditing team and it makes the mark of the audit. Lead Auditor's meeting, not the organizations and, as such the Lead Auditor should take and retain the initiative throughout the meeting.

The closing meeting is the final out come of the audit process hence the due care should be taken and it should end in positive notes.

18.3 MATERIAL REQUIRED

ISO 19011

18.4 EXPERIMENT/ACTIVITIES/PROCEDURE

Opening meeting :

- a) Review and confirmation/revision of earlier communicated audit plan in the light of prevailing ground reality w.r.t. presence of key auditees, contemporary changes incorporated, additions of new management areas etc.

- b) Once the audit plan is agreed and finalized the audit methods and activities need to be streamlined to realize the audit plan. The same is to be summarized in the meeting.
- c) The communication channels to be adhered to during audit need to be formalized, especially so for multi-site and multi-product organizational audit.
- d) The doubts and difficulties w.r.t. audit activity are to be discussed and clarifications given to be understood by the concerned.

Closing meeting:

- a) To present the audit findings and conclusions.
 - b) Getting acknowledgement of findings and understanding of conclusions by the auditees.
 - c) Agreement on timeframe for effectively addressing and closing the findings by taking proper corrective actions and preventive actions.
 - d) Diverging opinions regarding audit findings and conclusions to be discussed and resolved and recorded if not resolved.
1. Prepare opening meeting and closing meeting guidelines.
 2. Compare them with the opening and closing meeting guidelines available in the management system of CAB.
 3. Evaluate self prepared checklist in the light of standard checklist available.
 4. If possible attend at least two opening and closing meetings and prepare a report comparing their conduction methodology with that documented in the checklist.
 5. Suggest improvements (if any) in the standard lists available.

18.5 OBSERVATIONS

Prepare the key elements of opening and closing meetings.

18.6 RESULT

Reflect based on understanding.

Assessment guidelines :

1. His written answer will be evaluated.
2. The trainee will be explained the improvement areas w.r.t. his approach and activities.
3. The trainee will be asked to conduct a mock opening and closing meeting (or if possible actual opening and closing meeting conduction responsibility will be given to him).
4. His performance will be commented upon by the participants.
5. The marks will be based on the outcome w.r.t. quiz and viva conducted.