# EXPERIMENT 19 MOCK AUDIT EXERCISE TO DEVELOP INTERPERSONAL SKILLS INFORMATION GATHERING TECHNIQUES AND EXERCISING OBJECTIVITY IN THE REVIEW OF EVIDENCES COLLECTED (MODULE 6)

**Structure**


19.0 Objectives

19.1 Introduction

19.2 Principle/Rationale/Approach

19.3 Material Required

19.4 Experiment/ Activities/ Procedure

19.5 Observation

19.6 Result


## 19.0 OBJECTIVES

After attending this practical, we shall be able to:

- evaluate the degree of demonstration attributes of the trainee;
- evaluate time management by the trainee;
- evaluate skills in conducting opening meeting, audit and closing meeting;
- evaluate coverage of audit criteria;
- evaluate sample selection skill;
- evaluate capacity to communicate audit conclusion to audited; and
- capacity to address the difference of opinion and view point.

## 19.1 INTRODUCTION

ISO 19011:2002 provide guidelines for quality and environment management systems auditing trainee is required to read these guidelines thoroughly before conducting the mock auditing. Where quality and environment management systems are implemented together, it is at the discretion of the user of this

international standard as to weather the quality management system and environment management system and audits are conducted separately or together. When a quality management system and environment management systems are conducted together this is termed as combined audit when two or more auditing organizations cooperate to a single audit this is termed as a joint audit.

## 19.2 PRINCIPLE/RATIONALE/APPROACH

This mock audit is essential to trained the trainee in actual auditing of the food quality or environmental audit "systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which the audit criteria are fulfilled is called audit". There are a number of principles of auditing. A trainee is requested to adhere to these principles while doing mock audit. There principles are:

a) Ethical conduct: Trust integrity, confidentiatity and discretion are essential to auditing.

b) Fair presentation: The obligation to report truth fully and accurately.

c) Due Professional care: The application of diligent and judgment in auditing.

d) Independence: The basis for the impartiality of the audit and objectively of the audit conclusions.

e) Evidence based approach: The rational method for reaching reliable and reproducible audit conclusions in a systematic audit process.

## 19.3 MATERIAL REQUIRED

ISO 19011:2002, ISO 9001:2000 and ISO 14050:2002.

## 19.4 EXPERIMENT/ACTIVITIES/PROCEDURE

Audit Programme Producer should address the following:

a) Planning and scheduling audit.

b) Assuring the competence of auditors and lead auditor.

c) Selecting proper audit team and assigning the role and responsibilities to each auditor.

d) Conducting the opening meeting.

e) Conducting audit (document review and on site activities).

f) Conducting audit follow up.

g) Preparing audit record.

h) Monitoring the performance and effectiveness of audit programme.

i) Reporting the audit report and its communation to the auditor.

j) Conducting the closing meeting to present the audit findings.

## 19.5 OBSERVATION

Prepare the minutes of opening and closing meeting and prepare approve and distribute the audit report to the concern parties.

## 19.6 RESULT

Reflect based on understanding.

ignou THE PEOPLE'S UNIVERSITY