

High level audit

Below is an example concerning the management of unwanted events which should be part of any management system set up to meet certain objectives. The "unwanted event" could be any event that is not desired, an accident, product loss, process interruption, quality problem, customer complaint, etc.

To assist you in the filling out of the forms, brief objectives are being provided for each element and sub-element.

The "reference" area allows the user to indicate where the item concerned can be found. Such reference may include a person's name, subject title of element of the company management system, code number, place, etc.

Element 18: Unwanted Events Management	Response
<p>18.1. Need assessment and management statement</p> <p>The objective is to assure the ongoing top management leadership, commitment and support execution of element activities in order to meet the wanted element results.</p> <p>Reference:</p>	<p>Need assessment and management statement available to include wanted element results?</p> <p style="text-align: center;">yes / no</p>
<p>18.2. Coordinator</p> <p>The objective is to assure proper coordination of the activities of this element such that they are properly developed, carried out, monitored and reviewed for further improvement.</p> <p>Reference:</p>	<p>Name of coordinator for this element?</p> <p>_____</p>
<p>18.3. Standing plan</p> <p>The objective is to assure that appropriate activities are carried out to consistently meet the objectives of the element.</p> <p>Reference:</p>	<p>A standing plan for this Element is available?</p> <p style="text-align: center;">yes / no</p>
<p>18.3.1. Review of legislation, Codes and Standards</p> <p>The objective is to assure that applicable regulations, codes and standards are identified and reviewed and necessary activities related to this element are included in the standing plan.</p> <p>Reference:</p>	<p>Minimum legislative and other requirements for this element are known?</p> <p style="text-align: center;">yes / no</p>
<p>18.3.2. Scope of the element</p> <p>The objective is to determine which unwanted events need to be covered by this element for reporting, investigation, analysis, remedial action development and follow-up.</p>	<p>Scope determined?</p>

Reference:	yes / no
<p>18.3.2.1. Reporting System</p> <p>The objective is to establish an effective system and methods for reporting unwanted events.</p> <p>Reference:</p>	<p>System for reporting and analysis established?</p> <p>yes / no</p>
<p>18.3.2.2. Investigation method</p> <p>The objective is to assure that proper factual and cause analysis will being carried out in accordance with priorities set.</p> <p>Reference:</p>	<p>Investigation method available?</p> <p>yes/no</p>
<p>18.3.2.3. Remedial action development and follow-up</p> <p>The objective is to assure that remedial actions are developed, carried out and followed-up as planned.</p> <p>Reference:</p>	<p>Remedial action system and follow-up established?</p> <p>yes / no</p>
<p>18.3.3. Employee participation in element development</p> <p>The objective of this sub-element is to involve relevant employees (at various levels in the organization) in the development of element activities.</p> <p>Reference:</p>	<p>Employees at various levels involved in development of element activities?</p> <p>yes /no</p>
<p>18.3.4. Element related training</p> <p>The objective is to provide knowledge, skills and motivation to those people who are charged with carrying out element activities, including those that are related to coordination, management/coaching, implementation, monitoring and review.</p> <p>Reference:</p>	<p>Element related training has been provided?</p> <p>yes / no</p>
<p>18.3.5. Employee participation in element execution</p> <p>The objective of is to involve relevant employees (at various levels in the organization) in the execution and improvement of element activities.</p> <p>Reference:</p>	<p>Employees at various levels are involved in execution of element activities?</p> <p>yes /no</p>
<p>18.3.6. Communication</p> <p>The objective is to ensure that identified relevant parties (either internal or external to the organization) are provided with appropriate information concerning the activities of this element.</p>	<p>Communication of element activities to identified parties has been arranged?</p>

Reference:	yes / no
<p>18.3.6.1. Data collection and analysis</p> <p>The objective is to gather and analyze the information/data necessary for communication to identified relevant internal and external parties.</p> <p>Reference:</p>	<p>Data concerning element activities is collected and analyzed for communication?</p> <p>yes / no</p>
<p>18.3.7. Standing plan assessment – activities</p> <p>The objective is to verify whether the standing plan has been executed as planned and in accordance with the criteria set.</p> <p>Reference:</p>	<p>Execution of element activities is periodically assessed?</p> <p>yes / no</p>
<p>18.3.7.1. Standing plan assessment – results</p> <p>The objective is to verify whether execution of the standing plan activities has provided the identified desired results.</p> <p>Reference:</p>	<p>Results of element activities is periodically assessed vs. expectations?</p> <p>yes / no</p>
<p>18.4. Review and improvement</p> <p>The objective is to assure that results of 18.3.7. and 18.3.7.1. are reviewed by management that further actions, as appropriate, are taken for additional improvement of element activities.</p> <p>Reference:</p>	<p>Element activities are periodically reviewed by management for results and improvement</p> <p>yes / no</p>

Comments: