



TOOL	Audit questions for Senior Management	REV	6/30/10
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*(The auditor may/may not ask all of these questions, depending upon the auditor’s familiarity with the organization and its management. One should anticipate that the auditor will have follow up questions based on responses given.)*

1. What part do you play in establishing, implementing and maintaining the quality system?
2. **Show me** your quality policy. (i.e. what do you want your quality management system to accomplish).

**3. The standards says this about quality objectives (metrics);** *“Top management shall ensure that quality objectives, including those needed to meet requirements for product [see 7.1 a)], are established at **relevant functions and levels** within the organization. The quality objectives shall be measurable and **consistent with the quality policy.**”*

- At the upper management – whole system level - what metrics do you rely upon to tell you how well the quality system is performing toward attaining each of those desired results identified in your policy?

Policy broken down by key element (result)	Metric(s)

- Who are your direct reports – by department or function?
  - What must they accomplish (i.e. deliver) in order for you to attain your metrics?
  - What metrics do they/you employ that speak to how well they are performing?

Direct Reports (by function)	What result(s) do you expect from them?	Metric(s)

- What systematic methods are in place to collect the data for all those metrics?
- How often is it collected?
- How often is it reviewed and by whom?



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- Please **show me** the actual performance data over time, e.g., the past 12 months
  - What systematic methods are in place and followed when the objectives fall short of expectations?
    - **Show me.**
4. Communication.
- **Show me** how you communicate your policy and objectives throughout the organization.
  - **Tell me** how you ensure that personnel are aware of the relevance and importance of their activities and how they contribute to the achievement of the quality objectives
  - **Show me** how you regularly and systematically communicate to the rest of the organization how well (or not) the quality system is performing to your planned expectations.

5. Aside from monitoring performance to objectives/metrics, how else do you learn about the effectiveness of the quality system at satisfying customer wants, needs and requirements?

- What systematic method(s) are in place to capture and review this other information?
  - **Show me**

6. Describe the systematic approach(es) you have implemented to target and promote continual improvement?

What improvements to products and the quality system have been realized using these approaches?

7. What practices do you believe represent strong points (perhaps even best practices) in your system?

8. What result(s) is your system particularly good at achieving with predictable consistency?

9. Which aspects of your system are in need of improvement? (*What, if any, nasty surprises has the system presented to you?*) What is your plan for improvement?

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