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- -

[Managing and Reporting Audits with an Excel .xls spreadsheet](http://Elsmar.com/Forums/showthread.php?t=19223)

(<http://Elsmar.com/Forums/showthread.php?t=19223>)

Jennifer Kirley

17th November 2006 11:21 AM

Managing and Reporting Audits with an Excel .xls spreadsheet

2 Attachment(s)

I've reviewed software for managing audits and found them wanting. This business of reporting "Number of audits performed" seems worthless to me--where's the data showing how the system is actually performing?

When Crusader provided us with a spreadsheet for objectively reporting audit results, I jumped right on it because I've been wishing for a better tool for recording results than percent pass/fail based on counts of questions asked. I figure it's better to monitor against elements covered, believing it would better reflect systemic conformance.

I've attached the tool that Crusader invited me to alter, and a little paper describing its use.

Crusader

17th November 2006 12:14 PM

Re: Managing and Reporting Audits with Excel .xls

Quote:

*In Reply to Parent Post by **Jennifer Kirley** (Post 173070)*

I've attached the tool that Crusader invited me to alter, and a little paper describing its use.

Holy Moly! How long did this take??? I'm glad that I could provide a stepping stone for another tool!

Jennifer Kirley

17th November 2006 12:23 PM

Re: Managing and Reporting Audits with Excel .xls

It took a few days. It was worth the time invested, though I could have saved myself some time if I had moved the banks of accruing weighted scores earlier. I fooled around with formulas for awhile before

giving up the fight and separating out those lines. Keeping them was important to me though, so I could compare the year-to-date performance in all the audits.

Crusader

25th January 2007 10:54 AM

Re: Managing and Reporting Audits with Excel .xls

Quote:

*In Reply to Parent Post by **Jennifer Kirley** (Post 173070)*

I've reviewed software for managing audits and found them wanting. This business of reporting "Number of audits performed" seems worthless to me--where's the data showing how the system is actually performing?

When Crusader provided us with a spreadsheet for objectively reporting audit results, I jumped right on it because I've been wishing for a better tool for recording results than percent pass/fail based on counts of questions asked. I figure it's better to monitor against elements covered, believing it would better reflect systemic conformance.

I've attached the tool that Crusader invited me to alter, and a little paper describing its use.

Have you made any more changes? Modifications, etc?

Jennifer Kirley

25th January 2007 01:00 PM

Re: Managing and Reporting Audits with Excel .xls

1 Attachment(s)

This version allows us to enter the number of times an element has been audited versus only counting each element once.

Reporting is by discrepancy only, for those of whom "No news is good news" is the preferred reporting method.

There are spreadsheets for 2007 and 2008. If you want to use the spreadsheet tool past that point, two methods work:

1. Copy and paste the "Original" into a new workbook. Change the names on the tabs, then save the new workbook with a new name. Caution!!! In the new worksheets, the graphs' source data fields must be updated to draw from the proper workbook. This has already been done in this version's 2008 workbook.

2. Save the entire spreadsheet under a new name, then change the workbook tabs' titles. This might be the simplest (therefore best) approach. I haven't tried it.

stephen pearce - 2008

12th April 2007 05:41 AM

Re: Managing and Reporting Audits with Excel .xls

Wow :thax:

Thank you for your contribution here it will make life easier for me. :)

Frank T.

12th April 2007 07:23 AM

Re: Managing and Reporting Audits with Excel .xls

Much Thanks to Jennifer and Crusader.....:applause:

antoine.dias

12th April 2007 07:51 AM

Re: Managing and Reporting Audits with Excel .xls

I had missed that last one a couple of months ago.

Thanks Jennifer and best regards,

Antoine

Jennifer Kirley

15th April 2007 04:25 PM

Re: Managing and Reporting Audits with Excel .xls

You're all welcome. I find it a rare privilege to offer something so useful. I've been using it in my position and am finding it very satisfying.

For many long years there has been no such place to share these things with a community, and I have felt--on the fringe--for a very long time. That's no fault to anyone but myself, as I don't regularly go to my local ASQ chapter meetings, and simple geography.

As for the first part, ASQ chapters would do well to develop the community that this forum has brought to all of us globally. But, when there is one why would a person want dozens? So I decided the matter is one of geography and I'm just happy to be able to be a part of something larger than my day-to-day matters.

Thanks goes also to my boss, who has agreed for me to share these things although they are worked on with company time (He's aware I got the earlier version from the Cove anyway, seems fair to give back to the community) as long as I remove any intimate reference to our business.

I hope to continue to contribute cool stuff, though it will probably slow down somewhat. Still, watch closely and you will see the progress a certain QA department is making in its reformation from a police department to a service environment.

Crusader

16th April 2007 10:34 AM

Re: Managing and Reporting Audits with an Excel .xls spreadsheet

Thanks Jennifer for taking my scoring system and making it 100x better! :bigwave: I think everyone will benefit from it now.

Jennifer Kirley

17th April 2007 08:54 AM

Re: Managing and Reporting Audits with Excel .xls

Quote:

*In Reply to Parent Post by **Stijloor** (Post 191501)*

Jennifer,

*How does your matrix address the IATF recommended **Process Approach** in auditing?*

Stijloor.

The matrix records results that can take place in a process audit or performance audit. It doesn't address how the audit was done and it is not a checklist. However, it does give me a chance to compare what TS/ISO element groups are getting most of the attention, and maybe which areas should get more focus (look on the far right column). That's a strictly compliance-based concept, but I feel a little smug in my ability to so easily answer an auditor if he/she asks how we know what coverage there has been over the year.

The main idea is to track performance over time and among departments or shifts if that's what you want to do.

Jennifer Kirley

20th April 2007 08:33 AM

Re: Managing and Reporting Audits with an Excel .xls spreadsheet

2 Attachment(s)

I've received an email asking for the environmental and safety versions of this spreadsheet.

I added a set of sums (in yellow) that count the times elements were audited by group in each audit.

I hope this helps!

Note: I had to remove and replace the attachments, as I had found some errors--especially with the Safety version. I'm sorry! :crybaby:

GStough

20th April 2007 08:54 AM

Re: Managing and Reporting Audits with an Excel .xls spreadsheet

Jennifer,

Excellent work!! :applause: :applause:

However, I see that this is designed for TS, but I'm wondering how much difference, if any, there would be if one wanted to use this (as a basis) for 13485 internal audits.

Any thoughts?

Thanks...

Jennifer Kirley

20th April 2007 11:40 AM

Re: Managing and Reporting Audits with an Excel .xls spreadsheet

Quote:

*In Reply to Parent Post by **GStough** (Post 192230)*

Jennifer,

Excellent work!! :applause: :applause:

However, I see that this is designed for TS, but I'm wondering how much difference, if any, there would be if one wanted to use this (as a basis) for 13485 internal audits.

Any thoughts?

Thanks...

Thank you! It is a lot of work.

When I adapt these spreadsheets I do so in three steps:

1. Save the original version in its new name. (That's the easy one)
2. Add, subtract and change elements, both in the data collection portion and in the tables, which draw data from the data collection portion.
3. Fix the formulas and charts. This is the most tedious part.

When one spreadsheet is done, I can copy the whole thing and paste it into new workbooks, but watch out for the graphs! They will draw their data from the workbook that was originally copied. Making them draw their data from the open workbook requires opening up each of the charts' *Source* function and changing the name of the worksheet in the series and reference lines.

The best option is to save an empty version as a master and just keep renaming it as a new file when the new year comes.

stephen pearce - 2008

23rd April 2007 02:25 AM

Re: Managing and Reporting Audits with an Excel .xls spreadsheet

Thank you for your time on these two.

It is really the best excel audit sheets I have come across.

Thx again.

Stephen

fireonce

23rd April 2007 03:47 AM

Re: Managing and Reporting Audits with Excel .xls

These are really useful for me, Thanks to Jennifer and Crusader sincerely.

Joseph7000

23rd April 2007 06:50 AM

Re: Managing and Reporting Audits with an Excel .xls spreadsheet

hi jennifer

I am joseph Nirmal from india using the programme to develop knowledge in ISO systems 9001 the tool is good, may i ask u a few QAs on this what actually is the audit number means. is it the corresponding procedure number related to the area of audit? eg:7001 7002

Jennifer Kirley

23rd April 2007 08:41 AM

Re: Managing and Reporting Audits with an Excel .xls spreadsheet

Quote:

*In Reply to Parent Post by **Joseph7000** (Post 192385)*

hi jennifer

I am joseph Nirmal from india using the programme to develop knowledge in ISO systems 9001 the tool is good, may i ask u a few QAs on this what actually is the audit number means. is it the corresponding procedure number related to the area of audit? eg:7001 7002

The audit number is only identifying the audit for record keeping purposes. 7001 = first one in 2007, 7002 = second one in 2007, etc.

If there are fewer than nine audits in any given quarter, the 0700X numbers should stop for that quarter and continue in the next quarter. This way, the charts will accurately show results for the audits' time frame.

The element numbers identifying the questions are in the left column.

Jennifer Kirley

23rd April 2007 08:44 AM

Re: Managing and Reporting Audits with an Excel .xls spreadsheet

I also thank Crusader because the original spreadsheet's design was quite good. I actually find that part (designing the tool) is more challenging than adding features to the tool. So I'm very grateful to have been given that running start. :applause:

Pazuzu - 2009

11th June 2007 10:21 AM

Re: Managing and Reporting Audits with an Excel .xls spreadsheet

Quote:

*In Reply to Parent Post by **Jennifer Kirley** (Post 173070)*

I've reviewed software for managing audits and found them wanting. This business of reporting "Number of audits performed" seems worthless to me--where's the data showing how the system is actually performing?

When Crusader provided us with a spreadsheet for objectively reporting audit results, I jumped right on it because I've been wishing for a better tool for recording results than percent pass/fail based on counts of questions asked. I figure it's better to monitor against elements covered, believing it would better reflect systemic conformance.

I've attached the tool that Crusader invited me to alter, and a little paper describing its use.

DAMN!!! You're good!!!!!!!!!! :applause:

Jennifer Kirley

11th June 2007 10:27 AM

Re: Managing and Reporting Audits with an Excel .xls spreadsheet

Quote:

*In Reply to Parent Post by **Pazuzu** (Post 199330)*

DAMN!!! You're good!!!!!!!!!! :applause:

This makes me laugh. Thank you, but I'm just a hack compared with some of the Covers. Anyway, Crusader provided the original version. :applause: I think I would have found it hard to come up with such a nice design.

Pazuzu - 2009

11th June 2007 10:35 AM

Re: Managing and Reporting Audits with an Excel .xls spreadsheet

Well hats off to both of you!! :)

Jemos

8th August 2007 03:44 AM

Re: Managing and Reporting Audits with an Excel .xls spreadsheet

Thanks for the tool. It is very useful for me.

auditnovice

24th September 2007 05:33 PM

Re: Managing and Reporting Audits with an Excel .xls spreadsheet

Hi!

Great job on the spreadsheet, it's wonderful. I do have a question. I'd like to see if I can apply it to the medical device industry. Are there clear criteria for the difference between systemic issue vs gap in process vs process disconnect vs audit readiness? And what is the justification for the points that are deducted? FDA can be pretty picky if things appear ambiguous or not clearly defined.

Thanks,
Auditnovice

Crusader

24th September 2007 06:06 PM

Re: Managing and Reporting Audits with an Excel .xls spreadsheet

Quote:

*In Reply to Parent Post by **auditnovice** (Post 215363)*

Hi!

Great job on the spreadsheet, it's wonderful. I do have a question. I'd like to see if I can apply it to the medical device industry. Are there clear criteria for the difference between systemic issue vs gap in process vs process disconnect vs audit readiness? And what is the justification for the points that are deducted? FDA can be pretty picky if things appear ambiguous or not clearly defined.

*Thanks,
Auditnovice*

I created this spreadsheet (based on ISO 9001:2000) to help me "score" my QMS implementation and maintenance - to provide a numerical point status. Otherwise, no clear criteria as you describe. Jennifer might have some input on her version. Points deducted? Well, I selected those myself for my use. You could change the points for your application. I am not familiar with the FDA requirements. Sorry, I am not much help. :(

jr5369

26th September 2007 01:10 PM

Re: Managing and Reporting Audits with an Excel .xls spreadsheet

This is a fantastic tool and must have been a lot of hard work. Thank you for sharing it.

helvry

19th November 2008 08:20 PM

Re: Managing and Reporting Audits with an Excel .xls spreadsheet

Thanks for your sharing bro and sister.

Jennifer Kirley

18th July 2011 10:18 AM

Re: Managing and Reporting Audits with an Excel .xls spreadsheet

1 Attachment(s)

For those of us who want a simpler approach to counting elements audited, I have attached the slimmed down "compliance based" version.

scrocetti

18th July 2011 10:48 AM

Re: Managing and Reporting Audits with an Excel .xls spreadsheet

Dear Jennifer,
I thank you very much for your very quick reply.
I will try to use attached file as soon as possible.
Have a nice evening,
Regards,
Sandro

Jennifer Kirley

18th July 2011 11:03 AM

Re: Managing and Reporting Audits with an Excel .xls spreadsheet

You are welcome Sandro, and welcome to the Cove! :bigwave:

Crusader

18th July 2011 11:17 AM

Re: Managing and Reporting Audits with an Excel .xls spreadsheet

Quote:

*In Reply to Parent Post by **Jennifer Kirley** (Post 442566)
You are welcome Sandro, and welcome to the Cove! :bigwave:*

Cool - something new!:cool: (new for me, at least)

Jennifer Kirley

18th July 2011 11:33 AM

Re: Managing and Reporting Audits with an Excel .xls spreadsheet

Quote:

*In Reply to Parent Post by **Crusader** (Post 442568)
Cool - something new!:cool: (new for me, at least)*

Well, it's not an improvement, just simpler.

The unhappy fact is, I've had a lot of trouble getting my people to grasp much more than the "You Tarzan, me Jane" approach to audit metrics. But I'm not giving up. :whip: Just going more gradually than I'd like.

Crusader

18th July 2011 11:40 AM

Re: Managing and Reporting Audits with an Excel .xls spreadsheet

I have to ask:
What is "DIS" in the spreadsheet.
And Instruction #3 says to enter a number....what number for example?

I've been outta touch for so long....sorry.:(

samsung

18th July 2011 11:57 AM

Re: Managing and Reporting Audits with an Excel .xls spreadsheet

Quote:

*In Reply to Parent Post by **Crusader** (Post 442574)*

I have to ask:

What is "DIS" in the spreadsheet.

It appears to be the short form of 'Discrepancy' but not sure enough, Jennifer will confirm.

Jennifer Kirley

18th July 2011 11:57 AM

Re: Managing and Reporting Audits with an Excel .xls spreadsheet

Quote:

*In Reply to Parent Post by **Crusader** (Post 442574)*

I have to ask:

What is "DIS" in the spreadsheet.

And Instruction #3 says to enter a number....what number for example?

I've been outta touch for so long....sorry.:(

Quite all right. These are good and important questions - if I was more on-the-ball your questions would not have been needed! :o

A "DIS" is another term for non-conformance, it is an acronym for "Discrepancy."

The number entered is the number of times that element was audited. It is, after all possible to audit an element more than once. The spreadsheet allows that to be recorded.

If an element was audited two times, and one was "good" while the other was non-conforming, a "1" would be entered in both columns, one each for "Fully Documented & Implemented" and "Does not conform to requirements." The spreadsheet will count them both.

Crusader

18th July 2011 12:04 PM

Re: Managing and Reporting Audits with an Excel .xls spreadsheet

Quote:

*In Reply to Parent Post by **Jennifer Kirley** (Post 442580)**Quite all right. These are good and important questions - if I was more on-the-ball your questions wold not have been needed! :o**A "DIS" is another term for non-conformance, it is an acronym for "Discrepancy."**The number entered is the number of times that element was audited. It is, after all possible to audit an element more than once. The spreadsheet allows that to be recorded.**If an element was audited two times, and one was "good" while the other was non-conforming, a "1" would be entered in both columns, one each for "Fully Documented & Implemented" and "Does not conform to requirements." The spreadsheet will count them both.*

Thank you. After staring at it and a couple of your posts, I was on the right track but not sure until now. Plus the need for some morning coffee would help. :tg:

I have to say that you've done great with my original spreadsheet and really turned it into something new and useful. It is fun to work with these spreadsheets and be creative.

Jennifer Kirley

18th July 2011 12:25 PM

Re: Managing and Reporting Audits with an Excel .xls spreadsheet

Quote:

*In Reply to Parent Post by **Crusader** (Post 442583)**It is fun to work with these spreadsheets and be creative.*

I have said as much to my people from time to time, and they look at me as though they believe I ought to visit the clinic! :D

Path of Totality

24th August 2011 08:26 AM

Re: Managing and Reporting Audits with an Excel .xls spreadsheet

Well, this just made my life a little easier. I was getting ready to revise our whole internal audit process and based on what I have seen so far with the files posted, I am more than half way home!!! I'll play around with it and I know where to go with questions. Thanks

Jennifer Kirley

24th August 2011 09:34 AM

Re: Managing and Reporting Audits with an Excel .xls spreadsheet

Quote:

*In Reply to Parent Post by **Path of Totality** (Post 447558)*

Well, this just made my life a little easier. I was getting ready to revise our whole internal audit process and based on what I have seen so far with the files posted, I am more than half way home!!! I'll play around with it and I know where to go with questions. Thanks

That's good to know. :thanks: Why reinvent the wheel?

Feel free to adapt the tools as you see fit. They are "open source" here, and I am always happy to learn from anyone's needs and suggestions!

Crusader

24th August 2011 04:59 PM

Re: Managing and Reporting Audits with an Excel .xls spreadsheet

Quote:

*In Reply to Parent Post by **jennifer kirley** (Post 447571)*

i am always happy to learn from anyone's needs and suggestions!

me too! :)

Path of Totality

25th August 2011 01:00 PM

Re: Managing and Reporting Audits with an Excel .xls spreadsheet

I have some audits scheduled for tomorrow and Monday and while I was getting some information together I had a thought. Has the Audit Management Workbook been through any external audits whether it be a registrar or customer? If so, were there any concerns or "opportunities"?

Jennifer Kirley

25th August 2011 08:08 PM

Re: Managing and Reporting Audits with an Excel .xls spreadsheet

Quote:

*In Reply to Parent Post by **Path of Totality** (Post 447766)*
I have some audits scheduled for tomorrow and Monday and while I was getting some information together I had a thought. Has the Audit Management Workbook been through any external audits whether it be a registrar or customer? If so, were there any concerns or "opportunities"?

I share your concerns that anything we implement withstand scrutiny by third party auditors.:agree1:

My methods have, in fact been audited by registrars for TS16949, ISO 14001 and OHSAS 18001. And it's true that questions of how we deal with customer concerns arise. We deal with customer concerns via targeted "spot" audits, and by adding audits to our annual schedule to address the systemic questions. It is important to exhibit that somehow: We do it by including specific notes on our annual audit schedule as to why this-or-that was added. This has always been sufficient to close the subject. Since the aspect of risk is an extra to all but one of our systems, I admit that aspect hasn't gotten a thorough workout.

Crusader

22nd April 2013 11:36 PM

Re: Managing and Reporting Audits with an Excel .xls spreadsheet

Any changes or updates to this spreadhseet or created something else new based from it? ;)

The time now is 04:10 AM. All times are GMT -4.
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