

Sample Audit Questioning Sequence

The questioning sequence below is not intended to be all inclusive of the questions that might be asked in a real audit. The phrasing of the questions should be changed to fit the particular situation. The interview should include active listening techniques with the auditor actively participating in the discussion to ensure clear understanding of the responses.

Please keep in mind that the questioning sequence can change based on responses from the person being interviewed. While it is a good idea to prepare questions in advance, do not allow your prepared questions to prevent you from following a new line of questioning.

Situation

An audit is being performed of the Training Procedure.

The purpose of the audit is to determine if job descriptions, including competency requirements have been defined for each job, how job descriptions are created and approved, how training plans are created, and how training records are maintained.

The scope of the audit is all inclusive of the training procedure including creating job descriptions, training plans, and training records.

The auditor has reviewed the training procedure and is speaking with the Manager of Human Resources. After introductions and a little conversation to break the ice, the interview begins.

Questions are asked in increasing levels of detail, with probing questions added where appropriate. Finally, the auditor requests to see sample job descriptions, training plans for specific employees, and training records for each employee.

Questioning Sequence

1. What is your role in the training process?
2. Please describe the process for creating job descriptions.
3. How are competency requirements determined?
4. Who approves job descriptions?
5. How often are job descriptions reviewed for continuing suitability?
6. What happens when the responsibilities of a job change?
7. What training is provided to new employees?
8. Who creates training plans for individual employees?

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9. What is the process for creating and approving training plans?
10. How often are training plans reviewed with the employee?
11. What happens if an employee does not complete planned training?
12. What records are kept of training that is provided?
13. How are the records updated?
14. If an employee is hired, and has previous education, training or experience that meets the competency requirements of the job, how is that previous education, training, or experience documented?
15. Do you have any job classifications that require certification by a third party? If so, what jobs are these? How are the records of the certifications maintained so that certifications can be renewed when required?
16. Please show me the job descriptions for the following positions:
 - CEO
 - Quality Manager
 - Purchasing Manager/Buyer
 - Administrative Assistant
 - Trainer
 - Production Operator
 - Process Engineer
 - Product Engineer
 - Receiving/Shipping Clerk
 - Quality Inspector
 - Internal Auditor
 - Etc.
17. Please show me the training plans and records for the employees in those positions.

At this point, the auditor selects sample training plans and records from those presented by the HR manager and reviews the samples for compliance to the documented procedures.

18. What questions do you have for me?
19. Thank you for your time!