

# Safety Management

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IN PRODUCTION PLANNING & CONTROL

DR. TEVFIK UYAR

**6th Week: Auditing**

# Last week...

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- Collecting Data
- Forms / Lists

# This week...

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 Audit & Assessment

# Audit

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## Oxford Dictionary:

- an official examination of the quality or standard of something

## ISO 9001:

- «Systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent of which the audit criteria are fulfilled»

# Think the concept

Let's examine the definitions



What audit stands for in PDCA Cycle?

Oxford Dictionary:

- an **official** examination of the **quality** or **standard** of something

ISO 9001:

- «**Systematic, independent** and **documented process** for obtaining audit evidence and evaluating it objectively to determine the extent of which the audit criteria are fulfilled»

- Official?
- Systematic?
- Independent?
- Documented?

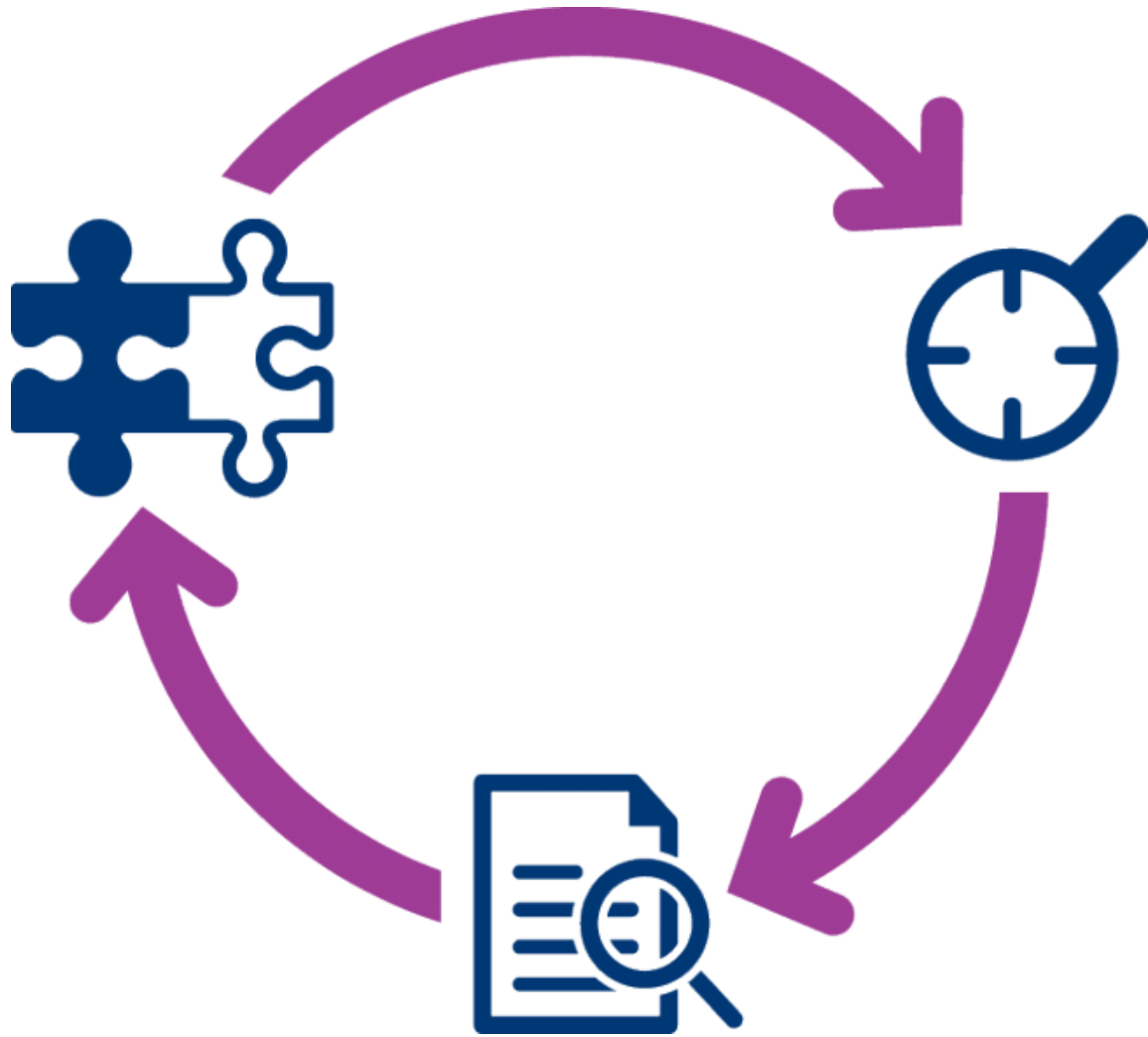
# Audit -> Official

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Audit is a process of business and your management system. It is a management function and ensured by top management and business standards.

Audit is crucial and a fundamental part of most Management Systems (ISO, OHSAS etc.) .





# Audit -> Systematic

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Audit is not an arbitrary and one-time action. It should be systematic.

1. Planned / Scheduled
2. Periodic / Recurring
3. Structured

# Audit -> Independent

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Independence means that:

- Auditor must be independent from audited area.
- You can not audit yourself!
- You can not audit your boss!
- You can not audit your workers (in your responsibility area)

**You can not see your own faults!**





# Audit -> Documented

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**Auditing is a documented process... Hence:**

Auditing process, in other words, auditing procedures must be established.

Auditors and auditees should follow this procedures.

# Purpose of Audit

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**Find**

Incompliance



**Report & record**

Incompliance

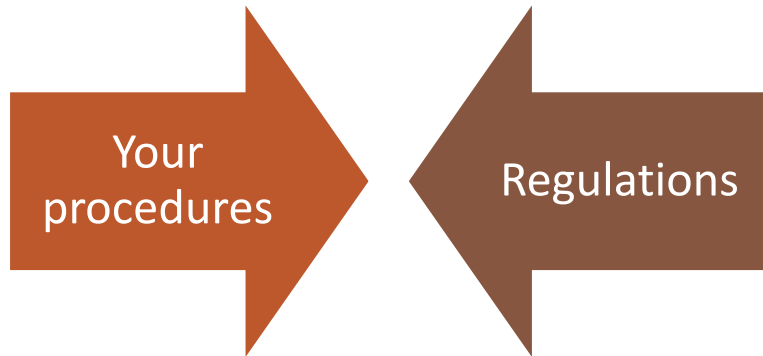


**Fix**

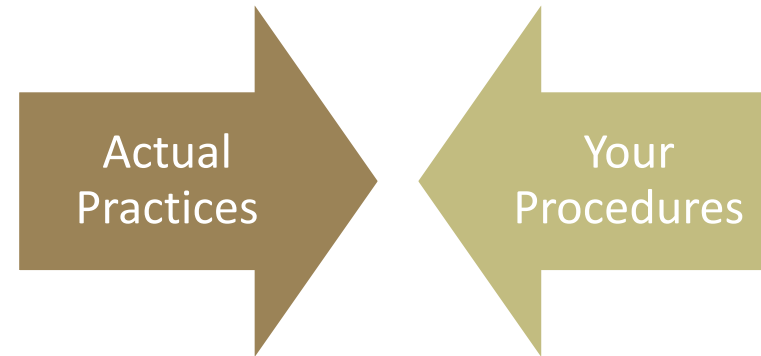
Incompliance

# What complies to what?

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1) You assess if procedures comply with national and international regulations.



2) You assess if actual practices comply with procedures. In other words: Do people follow procedures?

# What complies to what? (Examples)

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**1**

Does Starbucks' shop operation procedure comply with municipality's or national regulations?

For Ex: Checking if «Starbucks's procedures about smoking free area» complies with «4207 sayılı Tütün Mamullerinin Zararlarının Önlenmesine Dair Kanun»

**2**

Does Starbucks branch's smoking free area comply with Starbucks own procedure?

For Ex: Checking if Beyoğlu Smoking Free area complies with its own procedures?

# What complies to what? (Examples)

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**1**

Does McDonald chicken finger recipee comply with Türk Gıda Kodeksi?

**2**

Does the guy in the kitchen prepare chicken finger as it is documented in the procedure?

Control List (Checklist)	List of questions / evaluation criteries used for auditing
Finding (Incompliance)	Detected incompiences during the audit
Due Date (Deadline)	Timetable or deadline given for correcting the incompliance
Corrective Action	Action to take, for correcting the incompliance, solving the current problem.
Root cause	Main cause (not apparent) of the incompliance
Preventive Action	Action to take, for preventing the re-occurence of incompliance

# Fundemental Terms

# Control List (Checklist)

- Includes the questions / to-do's for auditor, to formally audit
- Prevent arbitrary applications
- Prevent to forget / miss important points.
- Guiding and advising to auditor.

(See examples in Course Resources)

REF	Questions	Status	Level/Remarks
SHT-SMS Cls. 6	Does the company have a safety policy, approved by Accountable Manager?		
	Check if the responsibilities of the safety responsible are clearly defined.		
	Does the accountable manager assigned a safety manager or director?		
	<i>Check the Form-4 approval of Safety Manager.</i>		
	<i>Check if the experience of safety manager is enough to run this program and take the responsibility.</i>		
	<i>Check the man-hour plan if there is another post for safety manager.</i>		
	Check the SMS Implementation Plan. Are steps are adequate and milestones were achieved? Check the adequacy of Emergency Action Plan.		
SHT-SMS Cls. 7	Check if the SMS Policy is explained to all personnel or hanged to a panel or wall?		
	Is it defined what the level of management for acceptance of risk is?		
	Check if the processes below have been defined and adequate:		
	<i>Understanding the hazard.</i>		
	<i>Identifying the hazard.</i>		

# Finding and Deadline

- Finding (incompliance) is detected problem, incompliance or faulty application etc.

- Finding may have levels.

- Minor finding (Level 1)
- Major finding (Level 2)
- Optional: Crucial (Alert Level)
- Optional: Not important (Observation)

- Deadline changes according to level

- Alert level: Immediately
- Level 1: 3 days
- Level 2: 60 days...

Denetleme Nosu ve Alanı: INTOPS2018-01	Denetleme Tarihi: 06.12.18	Minör Bulgu Sayısı: 6	Majör Bulgu Sayısı: 0
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No	Birim	Açıklama	Seviye	Termin
1	Eğitim	Mevcut Part D'de ve onaya sunulanda uzaktan eğitime ilişkin bir madde bulunmuyor.	2	06.02.2019
2	Eğitim	Mevcut harici eğitmen onaylama ve takip formu SHT-OPS-N-O talimatının gerekliliklerini tam olarak karşılamamaktadır.	2	06.02.2019
3	Eğitim	Muzaffer Kütük'ün son CRM eğitiminin Skyline'dan alındığı tespit edilmiş olup CRM eğitmenini değerlendirmesinin yeniden yapılması gerektiği tespit edilmiştir.	2	İlk uçuştan önce.
4	Eğitim	Company Conversion eğitim programında ilk yardıma yer verilmemiş. Tüm pilot lisansları için ilk yardım eğitimine gereksinim duyulduğundan şu an acil bir durum olmamakla beraber ilk fırsatta OM Part D'nin revize edilmesi ve başka araçlar geliştirilmesi gerekir.	2	06.02.2019
5	Eğitim	Route Aerodrome Competency ile ilgili bir prosedür geliştirilmesi gerekmektedir.	2	İlk uçuştan önce.



# Corrective & Preventive Action

## Corrective Action:

Action to take, for correcting the incompliance, solving the current problem.

## Root Cause:

Main reason leading to relevant incompliance.

## Preventive Action:

Action to take, for preventing the re-occurrence of incompliance (by removing root cause).

BULGU 2				
SBN	Referans	Bulgu	BS	Kapatılması Gerekli Tarih
2	M.A.704	<p>İşletmenin onaylı SEK <u>Rev 07 dökümanı</u>, incelendiğinde aşağıdaki uygunsuzluklar ve eksiklikler tespit edilmiştir:</p> <p>a) CAME Bölüm 5.4'te anlaşma imzalanmış onaylı bakım <u>kuruluşlarının</u> listesinin bölüm 3.1'de olduğu</p> <p>b) CAME Bölüm 0.2'de bulunması gereken uçuşa elverişlilik uzatma prosedürünün uygulanabilir olmayan Bölüm 4'te oluşturulduğu</p> <p>c) CAME Bölüm 5'te bulunması gereken bilgilerin Bölüm 6 diye yeni bir bölüm açıldığı, Bölüm 5'e de güvenilirlik raporunun eklendiği tespit edilmiştir.</p>	2	02.03.2020
<b>Bulguya Yönelik Yapılan Düzeltme</b>				
CAME SHT-M'e uygun olarak standart başlıklara uyacak şekilde <u>revize edilmiştir</u> ve <u>Rev 8</u> olarak düzenlenerek müdürlüğüne onaya gönderilmiştir.				
Bkz. EK 2.1 – CAME <u>Rev 8 Table of Contents</u>				
<b>Bulgunun Oluşmasına Sebep Olan Kök Nedenler</b>				
İşletme <u>CAME'sindeki</u> revizyonların SHT-M'e uygunluğunun daha önce gözden geçirilmediği anlaşılmıştır.				
<b>Kök nedenleri ortadan kaldıracak ve bulgunun tamamen giderilmesini sağlayacak düzeltici faaliyetler</b>				
Revizyon öncesinde <u>CAME'nin</u> SHT-M'e uygunluğunu kontrol edecek bir prosedür geliştirilmiştir				
Bkz. EK 2.2 – CAME 0.6 <u>Amendment Procedures</u>				

# Documentation?

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As same as the procedures, forms and lists...  
Checklists are controlled documents:

- Approve documents for adequacy prior to issue
- Review, update as necessary, and re-approve documents
- Identify the changes and current document revision status
- Make relevant documents available at points of use
- Ensure the documents remain legible and readily identifiable
- Prevent obsolete documents from unintended use

Document  
Number

Issue Date

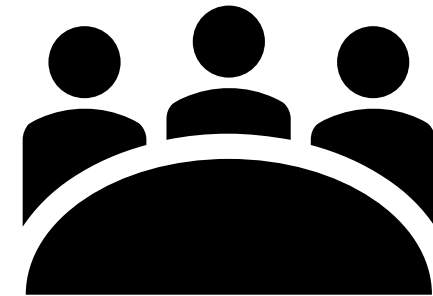
Revision  
Number

Revision  
Date

Master  
List

## Term Project Step 2:

Create a checklist for your procedure.  
Find an imaginary incompliance.  
Find the root cause.  
Execute Corrective and Preventive action.



# Next week...

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- Birgen Air Accident
- Finding Root Cause
- Nature of Corrective and Preventive Actions