

Audit Opening and Closing Requirements

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| REF | ACTIVITY BY | PERSON | NOTES |
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| Opening meeting to be conducted in accordance of ISO 19011 (see also document WCI00011) | | | |
| 1.01 | Open meeting | LA | |
| 1.02 | Introduce self. Introduce Fellow Auditor. Introduce Technical Experts. | LA | |
| 1.03 | Ask for Quality Rep to explain H&S provision. | QR | |
| 1.04 | Please ask questions at any time. OF COURSE. Absolute confidentiality is assured at all times. | LA | Refer to Code of Conduct |
| 1.05 | Ask Q Rep to introduce Organization team and their role. | QR | |
| 1.06 | Audit Plan as received via post from Secretariat | LA | |
| 1.07 | Audit Objectives | LA | To obtain enough evidence to provide a recommendation for certification / registration. |
| 1.08 | Audit Scope | LA | |
| 1.09 | Any declarations. Re known non-conformity scope etc? | LA | |
| 1.10 | Explain Procedure | A | (i) Audit Process Plan, (ii) Gather evidence, (iii) retire to consider findings, (iv) Closing Meeting, (v) Issue Audit Cover Note, (vi) send in report. |
| 1.11 | Explain Methodology | A | For example if using the Scoring method - (i) ISO 9004 based. (ii) two approaches: Compliance & Process Effectiveness. (iii) Compliance score each of the 200+ requirements, (iv) Score application of each of the 8 Quality Principles, (v) BIAS may be assigned depending upon the needs of the organisation for 'Spirit' or 'Letter' of requirement |
| 1.12 | Audit Criteria | A | |
| 1.13 | Audit Timescale | A | Availability of Staff and department heads. Early leavers? |
| 1.14 | DEFINE Audit Process Plan | A | Identify the Summary processes. Allocate an auditor to each process and select the principles to be assessed for each process. |
| 1.15 | Communications. | A | (i) All info and 'Statements' to be authorised by the Organization's Quality Rep and acknowledged by the Audit Team Leader. In other words all 'official' communication is via the Quality Rep. (ii) Updates (wash up meeting), will be given by audit tem leader at end of each half / whole day. |
| 1.16 | Any comments prior to 'getting stuck in' | LA | |

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Closing meeting to be conducted in accordance of ISO 19011 (see also document WCI00011)

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| 6.5.7 | CONDUCTING THE CLOSING MEETING | | |
| 6.5.7(i) | Does the audit team leader chair the meeting? | | |
| 6.5.7(ii) | Does the auditee understand the findings? | | |
| 6.5.7(iii) | Does the auditee agree the corrective actions? | | |
| 6.5.7(iv) | Does the auditee agree the corrective action timescales? | | |
| 6.5.7(v) | Is there advice of any situation during the audit that could decrease reliance on audit findings? | | |
| 6.5.7(vi) | Are diverging opinions about the audit attempted to be resolved? | | |
| 6.5.7(vii) | Are unresolved diverging opinions recorded? | | |
| 6.5.7(viii) | If required by audit objectives, are recommendations for improvement offered? | | |
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| KEY | LA = Lead Auditor | | |
| | A = Auditor | | |
| | QR = Quality Representative of Organisation being audited | | |
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