

**PRIOR TO DEPARTURE****Documents required for the audit**

- System documentations of the client (manual, etc.);
- Attendance list (AUD-04);
- Audit plan (current revision);
- Audit notes (AUD-03);
- Previous audit report;
- Non-conformity report (AUD-05);
- Road map (where necessary);
- Contact details of client (phone, name).

**OPENING MEETING**

The purpose of the opening meeting, which shall usually be conducted by the audit team leader, is to provide a short explanation of how the audit activities will be undertaken.

**Sequence of Opening Meeting** (the degree of detail shall be consistent with the familiarity of the client with the audit process):

- Taking note of the participants at opening meeting according to attendance list;
- Introduction of the participants, including an outline of their roles during the audit;
- Introduction of BVQA, including thanks for the selection of our Certification Body for the audit;
- Methods and procedures to be used to conduct the audit, including advising the client that the audit evidence will only be based on a sample of the information available and that therefore there is an element of uncertainty in auditing;
- The method of reporting, including any grading of audit findings;
- Information about the conditions under which the audit may be prematurely terminated;
- Confirmation that the audit team leader and audit team representing the certification body is responsible for the audit and shall be in control of executing the audit plan including audit activities and audit trails;
- Confirmation of the status of findings of the previous review or audit, if applicable;
- Confirmation of the audit plan (including type and scope of audit, objectives and criteria), any changes, and other relevant arrangements with the client, such as the date and time for the closing meeting, interim meetings between the audit team and the client's management;
- Confirmation of formal communication channels between the audit team and the client;
- Confirmation of the language to be used during the audit;
- Confirmation that, during the audit, the client will be kept informed of audit progress and any concerns;
- Confirmation that the resources and facilities needed by the audit team are available;
- Confirmation of relevant work safety, emergency and security procedures for the audit team;
- Confirmation of the availability, roles and identities of any guides and observers;
- Confirmation of matters relating to confidentiality;
- Opportunity for the client to ask questions.

**FACTORY VISIT (where useful)****CONDUCT OF AUDIT****Communication during the audit**

During the audit, the audit team shall periodically assess audit progress and exchange information. The audit team leader shall reassign work as needed between the audit team members and periodically communicate the progress of the audit and any concerns to the client.

Where the available audit evidence indicates that the audit objectives are unattainable or suggests the presence of an immediate and significant risk (e.g. safety), the audit team leader shall report this to the client and, if possible, to CM of BVQA to determine appropriate actions. Such action may include reconfirmation or

modification of the audit plan, changes to the audit objectives or audit scope, or termination of the audit. The audit team leader shall report the outcome of the action taken to the CM.

The audit team leader shall review with the client any need for changes to the audit scope which becomes apparent as on-site auditing activities progress and report this to the CM.

#### **Observers**

The presence and justification of observers during an audit activity shall be agreed to by BVQA and client prior to the conduct of the audit. The audit team shall ensure that observers do not influence or interfere in the audit process or outcome of the audit. Observers can be members of the client's organization, consultants, witnessing accreditation body personnel, regulators or other justified persons.

#### **Guides**

Each auditor shall be accompanied by a guide, unless otherwise agreed to by the audit team leader and the client. Guide(s) are assigned to the audit team to facilitate the audit. The audit team shall ensure that guides do not influence or interfere in the audit process or outcome of the audit. The responsibilities of a guide can include:

- Establishing contacts and timing for interviews;
- Arranging visits to specific parts of the site or organization;
- Ensuring that rules concerning site safety and security procedures are known and respected by the audit team members;
- Witnessing the audit on behalf of the client;
- Providing clarification or information as requested by an auditor.

#### **Collecting and verifying information**

During the audit, information relevant to the audit objectives, scope and criteria (including information relating to interfaces between functions, activities and processes) shall be collected by appropriate sampling and verified to become audit evidence.

Methods to collect information shall include, but are not limited to:

- Interviews;
- Observation of processes, activities and the surrounding work environment and conditions;
- Review of documentation such as policy, objectives, plans, procedures, standards, instructions, licenses and permits, specifications, drawings, contracts and orders, information on the auditee's sampling programmes and on procedures for the control of sampling and measurement processes;
- Review of records such as inspection records, minutes of meetings, audit reports, records of monitoring programmes and the results of measurements, data summaries, analyses and performance indicators, and reports from other sources, for example, customer feedback, other relevant information from external parties and supplier ratings, computerized databases and web sites.

#### **Interviews**

Interviews are one of the important means of collecting information and should be carried out in a manner adapt to the situation and the person interviewed. However, the auditor should consider the following:

- interviews should be held with persons from appropriate levels and functions performing activities or tasks within the scope of the audit;
- interviews should be conducted during the normal working hours and, where practical, at the normal workplace of the person being interviewed;
- every attempt should be made to put the person being interviewed at ease prior to and during the Interview;
- the reason for the interview and any note taking should be explained;
- interviews can be initiated by asking the persons to describe their work;
- questions that bias the answers (i.e. leading questions) should be avoided;
- the results from the interview should be summarized and reviewed with the interviewed person;
- the interviewed persons should be thanked for their participation and cooperation.

In OHSAS 18001 and ISO 45001 audit, the audit team shall interview the following personnel:

- the management with legal responsibility for Occupational Health and Safety,
- employees' representative(s) with responsibility for Occupational Health and Safety,
- personnel responsible for monitoring employees' health, for example, doctors and nurses. Justifications in case of interviews conducted remotely shall be recorded,
- managers and permanent and temporary employees.

Other personnel that should be considered for interview are:

- managers and employees performing activities related to the prevention of Occupational Health and Safety risks, and
- contractors' management and employees.

#### **Audit evidence**

Audit evidence should be evaluated against the audit criteria to generate the audit findings.

**Identifying and recording audit findings**

Audit findings summarizing conformity and detailing nonconformity and its supporting audit evidence shall be recorded and reported to enable an informed certification decision to be made or the certification to be maintained. The audit team should meet as needed to review the audit findings at appropriate stages during the audit.

Conformity with audit criteria should be summarized to indicate locations, functions or processes that were audited. If included in the audit plan, individual audit findings of conformity and their supporting evidence should also be recorded.

Opportunities for improvement may be identified and recorded, unless prohibited by the requirements of a management system certification scheme. Audit findings, however, which are obviously nonconformities (major or minor) shall not be recorded as opportunities for improvement.

A finding of nonconformity shall be recorded against a specific requirement of the audit criteria, contain a clear statement of the nonconformity and identify in detail the objective evidence on which the nonconformity is based. Nonconformities shall be discussed with the client to ensure that the evidence is accurate and that the nonconformities are understood. The auditor however shall refrain from suggesting the cause of nonconformities or their solution.

The audit team leader shall attempt to resolve any diverging opinions between the audit team and the client concerning audit evidence or findings, and unresolved points shall be recorded.

**Preparing audit conclusions**

Prior to the closing meeting, the audit team shall:

- Review the audit findings, and any other appropriate information collected during the audit, against the audit objectives;
- Agree upon the audit conclusions, taking into account the uncertainty inherent in the audit process;
- Identify any necessary follow-up actions;
- Confirm the appropriateness of the audit programme or identify any modification required (e.g. scope, audit time or dates, surveillance frequency, competence).

**CLOSING MEETING**

A formal closing meeting, where attendance list AUD-04 shall be recorded, shall be held with the client's management and, where appropriate, those responsible for the functions or processes audited. The purpose of the closing meeting, which shall normally be conducted by the audit team leader, is to present the audit findings and conclusions, including the recommendation regarding certification. Any nonconformities shall be presented in such a manner that they are understood, and the timeframe for responding shall be agreed. NOTE: "Understood" does not necessarily mean that the nonconformities have been accepted by the client.

Recommendations for improvements should be presented. It should be emphasized that recommendations are not binding.

While not applicable for an initial certification, the closing meeting for surveillance, re-certification and re-audits should include any useful comparison with the results of previous audits of the client. This includes comments on the corrective action of previous deviations and findings, and an evaluation of the direction of the management system (i.e. improvement, deterioration).

If necessary, the audit team leader should advise the auditee of situations encountered during the audit that may decrease the reliance that can be placed on the audit conclusions.

Sequence of Closing Meeting (the degree of detail shall be consistent with the familiarity of the client with the audit process):

- Taking note of the participants at closing meeting according to attendance list;
- Expression of thanks for cooperation and assistance;
- Summary of the audit results, including strengths and areas of excellence;
- Where applicable, an evaluation of previous audits, nonconformities, other findings and corrective actions;
- Presentation of nonconformities and other audit findings;
- BVQA's process for handling nonconformities including any consequences relating to the status of the client's certification;
- The timeframe for the client to present a plan for correction and corrective action for any nonconformities identified during the audit;
- BVQA's post audit activities;
- Advising the client that the audit evidence collected was based on a sample of the information; thereby introducing an element of uncertainty;
- Reminder that through contractual requirement, management review and internal audits must be conducted at least annually and not more than 12 months apart, that BVQA requires at least one fresh review of related records per year, and that breach of these requirements constitutes a significant non-conformity;
- Information about the complaint handling and appeal processes.

- Stipulation of place of filing of system documentation, whether there are documents to remain with the auditors.
- Opportunity for the client to ask questions.

Any diverging opinions regarding the audit findings or conclusions between the audit team and the client shall be discussed and resolved where possible. Any diverging opinions that are not resolved shall be recorded and referred to the CM of BVQA.