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verifies that applicable quality system elements are appropriate and have been developed.

- Environmental management system (EMS) audit.
- Safety system audit.

5.2.3 TYPES OF AUDITS BASED ON THE INTERRELATIONSHIPS AMONG THE PARTICIPANTS IN THE AUDIT

The types of audits based on the the interrelationships among the participants are the following:

- **Internal** or **First-party audits** are the audits within the organization itself.
- **External** and **Survey** or **Assessment** is performed by a customer on a supplier before a contract has been signed.
- **External** and **Second-party** audits. A customer performs a second-party audit on a supplier after a contract has been signed. Types of external and second-party audits:
 - Customer audits your Organization.
 - Your Organization audits your Supplier.
 - Survey performed before a supply contract is signed.
 - Audit performed after a supply contract is signed.
- **External** and **Third-party** audits. Regulators or registrars perform third-party audits. A third-party audit normally results in the issuance of a certificate stating that the auditee complies with the requirements of a standard or regulation.

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- Interviews.
- Observation of activities.
- Review of documents.

The **sources of information** chosen may vary according to the scope and complexity of the audit and may include the following:

- Interviews with employees and other persons;
- Observations of activities and the surrounding work environment and conditions.
- Documents, such as policy, objectives, plans, procedures, standards, instructions, licences and permits, specifications, drawings, contracts and orders.
- 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.
- Information on the auditee's sampling programmes and on procedures for the control of sampling and measurement processes.
- Reports from other sources, for example, customer feedback, other relevant information from external parties and supplier ratings.
- Computerized databases and web sites.

Auditors may **verify information** by:

- Asking for information in a different way.
- Asking for evidence demonstrating that an activity is performed as described.

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Written notification of closure, including an assessment of the auditee's corrective action plan implementation and effectiveness, should be submitted to the client and/or the auditee for their records, in a manner similar to the original audit report.

Tracking each individual corrective action and closing a portion of an audit is acceptable. However, upon resolution of each finding, written notification should be sent to those who received a copy of the initial follow-up report.

6 REFERENCES

7 FORMS

Form ID number	Revision #	Title
PL-MMS-005001	0	Audit Program Schedule
FO-MMS-005001	0	Auditor Performance Evaluation
FO-MMS-005002	0	Audit Plan
FO-MMS-005003	0	Audit Checklist
FO-MMS-005004	0	Audit Closing Meeting Minutes
FO-MMS-005005	0	Audit Report
FO-MMS-005006	0	Corrective Action Request (CAR)

8 ATTACHMENTS