

<i>Organization logo</i> <i>Organization name</i>	AUDITS	Page 1 of 58
	SP-QMS-005	Revision #: 0 Date (mm/dd/yyyy):

DOCUMENT CONTROL	
Superseded document:	
Effective date (mm/dd/yyyy):	

DOCUMENT APPROVAL			
	Name and Title	Signature	Date (mm/dd/yyyy)
Author			
Reviewer			
Approver			

<i>Organization logo</i>	AUDITS	Page 2 of 58
<i>Organization name</i>	SP-QMS-005	Revision #: 0 Date (mm/dd/yyyy):

Table of Contents

1PURPOSE.....	5
2SCOPE.....	5
3TERMS AND DEFINITIONS.....	5
4RESPONSIBILITY AND AUTHORITY.....	8
4.1CLIENT.....	8
4.2AUDITOR.....	9
4.3LEAD AUDITOR.....	10
4.4AUDIT PROGRAM MANAGER.....	11
4.5AUDITEE.....	11
4.6ESCORT.....	12
5DESCRIPTION OF ACTIVITIES.....	13
5.1PRINCIPLES OF AUDITING.....	13
5.2TYPES OF AUDITS.....	14
5.2.1TYPES OF AUDITS BASED ON THE PURPOSE OR OBJECTIVE.....	14
5.2.2TYPES OF AUDITS BASED ON THE SCOPE.....	15
5.2.3TYPES OF AUDITS BASED ON THE INTERRELATIONSHIPS AMONG THE PARTICIPANTS IN THE AUDIT.....	16
5.2.4TYPES OF AUDITS BASED ON THE MANAGEMENT SYSTEM BEING AUDITED.....	17
5.3AUDIT PROGRAM.....	17
5.3.1ESTABLISHMENT OF THE AUDIT PROGRAM.....	18
5.3.2IMPLEMENTATION OF THE AUDIT PROGRAM.....	18
5.3.3REVIEW OF THE AUDIT PROGRAM.....	19
5.3.4IMPROVEMENT OF THE AUDIT PROGRAM.....	19
5.4AUDITOR EVALUATION.....	19
5.4.1AUDITOR EVALUATION PROCESS.....	19
5.4.1.1IDENTIFICATION OF THE REQUIRED PERSONAL ATTRIBUTES, KNOWLEDGE AND SKILLS.....	20
5.4.1.2DETERMINATION OF THE EVALUATION CRITERIA.....	20
5.4.1.3SELECTION OF THE EVALUATION METHOD.....	20
5.4.1.4EVALUATION.....	21
5.4.2AUDITOR INITIAL EVALUATION.....	21
5.4.2.1PERSONAL ATTRIBUTES.....	22
5.4.2.2KNOWLEDGE AND SKILLS.....	22
5.4.2.2.1GENERIC KNOWLEDGE AND SKILLS ON QUALITY MANAGEMENT SYSTEMS AND ENVIRONMENTAL MANAGEMENT SYSTEMS.....	23
5.4.2.2.2GENERIC KNOWLEDGE AND SKILLS OF AUDIT TEAM LEADERS.....	23
5.4.2.2.3SPECIFIC KNOWLEDGE AND SKILLS OF QUALITY MANAGEMENT SYSTEM AUDITORS.....	24

<i>Organization logo</i>	AUDITS	Page 3 of 58
<i>Organization name</i>	SP-QMS-005	Revision #: 0 Date (mm/dd/yyyy):

5.4.2.2.4	SPECIFIC KNOWLEDGE AND SKILLS OF ENVIRONMENTAL MANAGEMENT SYSTEM AUDITORS.....	24
5.4.2.3	EDUCATION.....	24
5.4.2.4	WORK EXPERIENCE.....	24
5.4.2.5	AUDIT TRAINING.....	25
5.4.2.6	AUDIT EXPERIENCE.....	25
5.4.3	MAINTENANCE AND IMPROVEMENT OF COMPETENCE.....	25
5.4.3.1	MAINTENANCE OF COMPETENCE.....	25
5.4.3.2	IMPROVEMENT OF COMPETENCE.....	25
5.5	THE AUDIT PROCESS.....	25
5.6	PREAUDIT ACTIVITIES.....	26
5.6.1	AUDIT INITIATION.....	26
5.6.1.1	IDENTIFICATION OF THE AUTHORITY SOURCE FOR THE AUDIT.....	26
5.6.1.2	AUDIT TEAM LEADER APPOINTMENT.....	27
5.6.1.3	ESTABLISHING THE AUDIT OBJECTIVES, SCOPE AND CRITERIA.....	27
5.6.1.3.1	AUDIT OBJECTIVES.....	27
5.6.1.3.2	AUDIT SCOPE.....	28
5.6.1.3.3	AUDIT CRITERIA.....	29
5.6.1.4	AUDIT FEASIBILITY DETERMINATION.....	30
5.6.1.5	AUDIT TEAM SELECTION.....	31
5.6.1.6	CONTACTING THE AUDITEE.....	32
5.6.2	DOCUMENT REVIEW.....	33
5.6.3	PREPARATION FOR THE ON-SITE AUDIT ACTIVITIES.....	33
5.6.3.1	AUDIT PLAN ELABORATION.....	34
5.6.3.1.1	AUDIT TEAM WORK ASSIGNMENT.....	36
5.6.3.1.2	AUDIT RESOURCES.....	37
5.6.3.2	AUDIT PLAN COMMUNICATION.....	38
5.6.3.3	AUDIT PLAN REVIEW AND APPROVAL.....	38
5.6.3.4	AUDIT PLAN DISTRIBUTION.....	39
5.6.3.5	AUDIT WORK DOCUMENTS.....	39
5.7	AUDIT ACTIVITIES.....	40
5.7.1	OPENING MEETING.....	40
5.7.2	COMMUNICATION DURING THE AUDIT.....	42
5.7.3	COLLECTING AND VERIFYING INFORMATION / OBJECTIVE EVIDENCE.....	43
5.7.3.1	CONDUCTING INTERVIEWS.....	46
5.7.4	AUDIT FINDINGS.....	47
5.7.5	AUDIT CONCLUSIONS.....	48
5.7.6	CLOSING MEETING.....	48
5.8	POSTAUDIT ACTIVITIES.....	49
5.8.1	AUDIT REPORT.....	50
5.8.2	APPROVAL AND DISTRIBUTION OF THE AUDIT REPORT.....	51
5.8.3	COMPLETING THE AUDIT.....	51
5.8.4	AUDIT FOLLOWUP.....	52

<i>Organization logo</i>	AUDITS	Page 4 of 58
<i>Organization name</i>	SP-QMS-005	Revision #: 0 Date (mm/dd/yyyy):

5.8.4.1CORRECTIVE ACTION PLAN.....	53
5.8.4.2REVIEW OF THE CORRECTIVE ACTION PLAN.....	54
5.8.4.3VERIFICATION OF THE IMPLEMENTATION OF THE CORRECTIVE ACTIONS.....	55
5.8.4.4FOLLOW-UP ON INEFFECTIVE CORRECTIVE ACTIONS.....	56
5.8.5AUDIT CLOSURE. FOLLOW-UP REPORT.....	56
6REFERENCES.....	57
7FORMS.....	57
8ATTACHMENTS.....	57
9DOCUMENT CHANGES.....	58
9.1DOCUMENT CHANGES IDENTIFICATION.....	58
9.2REASON FOR CHANGES.....	58

<i>Organization logo</i>	AUDITS	Page 58 of 58
<i>Organization name</i>	SP-QMS-005	Revision #: 0 Date (mm/dd/yyyy):

9 DOCUMENT CHANGES

9.1 DOCUMENT CHANGES IDENTIFICATION

Revision #	Description of Change	DCR #	Effective Date (dd/mm/yyyy)

9.2 REASON FOR CHANGES