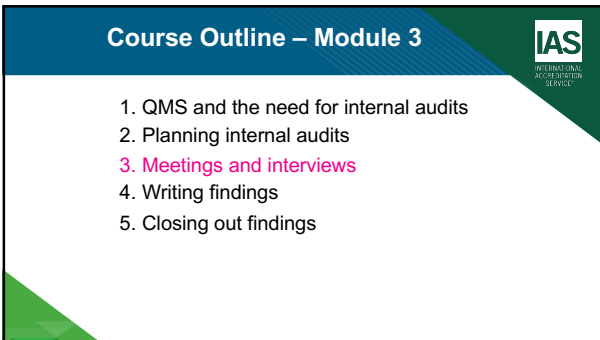
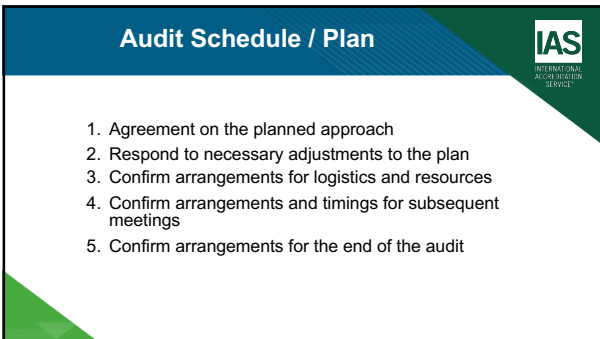




1




2



3


Opening Meeting



1. Introductions and thanks
2. Audit scope and objectives
3. Audit plan
4. Audit methods and procedures
5. Confidentiality
6. Respond to questions
7. Depart for the tour of the facility

4


Audit Methods



1. Clearly explain investigation activities
2. Be open about the process and emphasise its transparency

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Confidentiality



1. Confirm audit team's responsibilities
2. Confirm auditing authority's responsibilities

6


Respond to Questions



Be prepared to handle questions from the auditees – focus on the benefits of the approach and the transparency of the activities.

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Responsibilities for Conduct



1. The auditor is solely responsible for the success of the audit. If a team, it is the team leader.
2. Chair meetings (all of them)
3. Declare findings
4. Sign the report
5. Official link between team and auditees.

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Sampling



1. Discuss the process and pick some records along the way. Best when the process is simple and records are few.
2. Start with random selection of records and discuss the process based on the records. Best when process is complex and records are many.

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Facing Conflict



1. Remain calm - create distance and space
2. Tell someone (lead auditor) or senior auditee
3. Tell someone else (quality manager)
4. Pause the audit until the situation is resolved

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Recording Observations



1. From the document review (system audit)
2. During onsite visit (conformance audit)
 - Auditor's aim is to sell the idea of the observation to the auditee
 - Use the Colombo approach
 - Get agreement (prevents surprises later)


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Wash up Meetings



1. Daily to prevent surprises later
2. List of observations - not findings
3. Keep auditee current with progress of audit


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Closing Meeting 

Agenda is similar to opening meeting:


- Introductions and thanks
- Audit scope and objectives (Audit Report Cover Page)
- Audit methods and procedures
- Confidentiality (Audit Report Cover Page)
- Present the Audit Report (Audit Report Summary and Findings Pages)
- Respond to questions
- Discuss Recommendations and Follow Up (Audit Report Summary)
- Obtain Signatures (Audit Report Cover Page)
- Ensure one copy remains with the auditee and one copy is forwarded to the quality manager / coordinator.

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Exercise 3 – Gathering Objective Evidence, Meetings and Interviews 

1. Your group consists of the audit team for the audit of one of processes within MOTIVA CAB. Following on from Exercise Number 2, you are now fully engaged in the internal audit. It is now time to interview one of the key staff members for the section/process being audited. Each team member will now interview this lucky auditee.
2. Your group is to accomplish the following:
 - Each team member may ask up to two questions from their previously-developed checklist.
 - During the course of the interview, one of you will speak to the auditee and the other will record the answers.

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Exercise 3 – Gathering Objective Evidence, Meetings and Interviews 

1. Each group is to conduct an interview of the auditee (your facilitator) to record relevant information from the interview, including any records provided to support auditee statements. Each team member will ask at least one question.
2. If a deviation, a potential deviation, or an opportunity for improvement is raised, the team member conducting the interview is to ensure that the auditee is aware of the issue, and its potential for appearance in the report.
3. Once a finding is raised, that team member's participation in the exercise is over.

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