

Auditor Checklist

Points to Cover During Opening and Closing Meeting

Opening Meeting

During the opening meeting, the following topics should be covered:

- Introduction of the audit team.
- Audit overview – purpose, scope, objectives and audit methods and procedures.
- Automatic failure items and procedures if an auto-fail item is found.
- Anticipated duration of the audit and projected time for closing meeting.
- Visitor policies (footwear, hair, jewellery and safety procedures that the auditor must follow).
- Any changes to the checklist.
- Requested attendance for closing meeting.
- Invitation to the auditee to discuss any questions regarding the audit.
- Explain that decisions on certification are made by the certification body, not the auditor.
- The appeals process.

Exit Meeting

Occurs at the end of the audit activities, prior to preparing the audit report, with management to present an overview of the audit observations. The following should be covered:

- The executive summary page. Highlight system issues rather than individual issues.
- The appeals process and complaints procedure.
- Leave a mutually signed copy of the executive summary page with the auditee.
- That the certification body will send them the final audit report directly within three weeks to one month and what to do if it takes longer than one month.
- That audit certificates will be issued by the certification body and who to call with questions.

Automatic Failures

If any of the automatic fail items is observed:

- Score the audit as an automatic failure and describe the reason for the failure in the Executive Summary
- Continue the audit if the auditee wishes you to do so
- Otherwise, end the audit if the auditee prefers not to continue
- If the auditee wants you to abort the audit they will still be charged as agreed in the contract