0 SHOWING CONFORMANCE

0.1 Options

0.1.1 There are three options to demonstrate conformance when applying this system procedure:

a. Follow the defined system procedure using the recommended guidance and tools, including allowed variations and options.

b. Use an equivalent process and tool set generated elsewhere and document evidence of procedural equivalence.

c. Use an equivalent bespoke process and tool set for the project and document evidence of procedural equivalence.

1 INTRODUCTION

1.1.1 This procedure is the second in a set of four System Audit procedures and deals with the details of planning the on-site audit.

1.1.2 Although this and the companion procedures have been produced primarily for use by and on behalf of IPTs, they may also be used by ASEG to carry out audits on the SMS and EMS. In addition, these procedures may also be used for auditing all, or parts of, an IPT's SMS and EMS by other parties such as:

- Functional Safety Board Secretariats;
- DS&C;
- Third Parties invited by CDM;
- Independent Safety Auditors;
- MOD and TLB Internal Audit Functions;
- Equipment system contractor;
- Personnel seconded from another IPT;
- Customer 2;
- SME;
- Environmental and Safety Consultants.

1.1.3 Any third party using these procedures should note that they have primarily been written for use by IPTs and therefore may use terminology specific to IPTs. However, this should not preclude a third party from using the procedures.
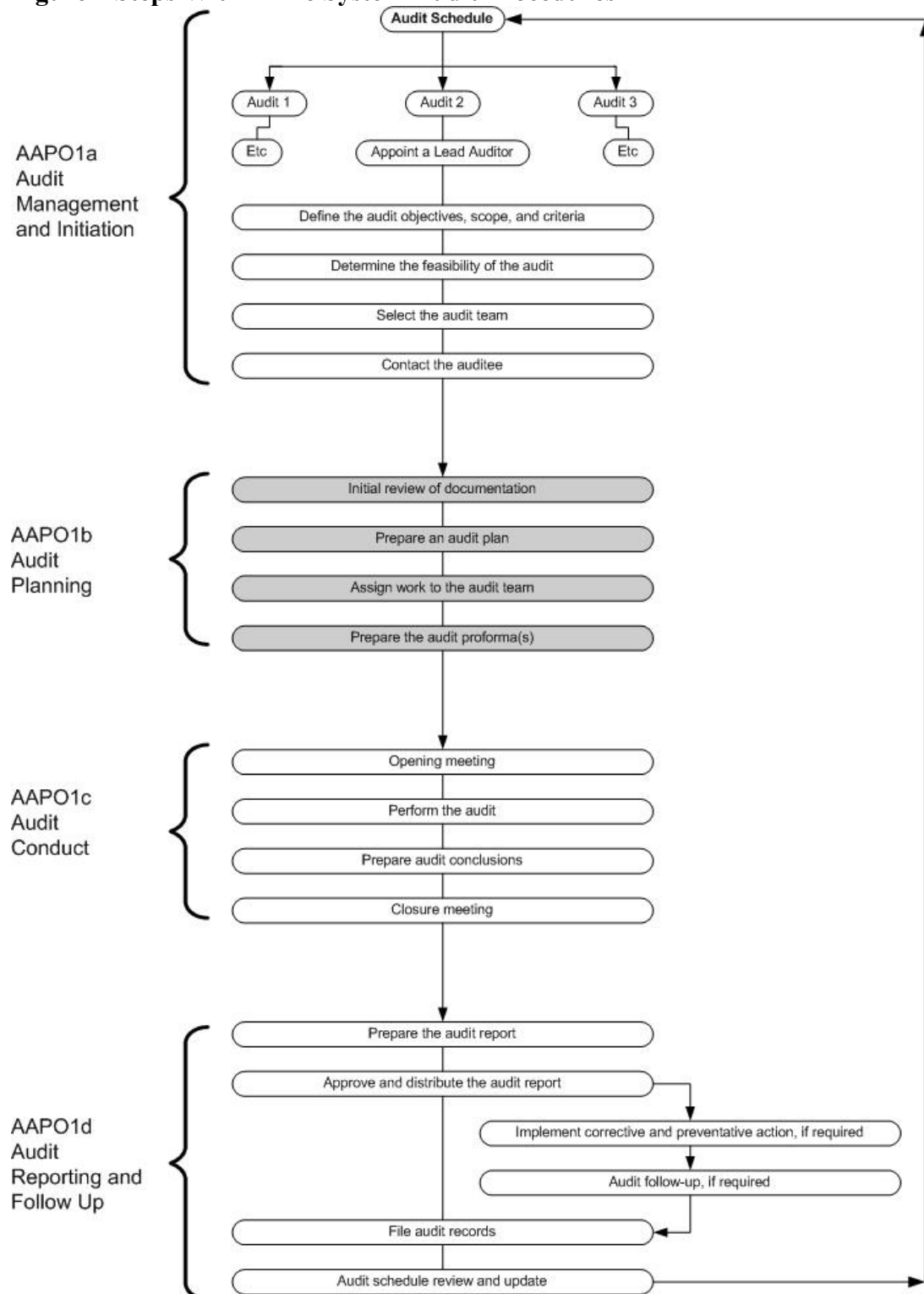
Throughout the procedures the term 'Audit Client' has been used to describe the group, organisation or individual commissioning an audit, as this may be distinct from the party carrying out the audit.

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Figure 1 Steps Within The System Audit Procedures

AAPO1a Audit Management and Initiation
- Audit Schedule
- Audit 1 → Etc
- Audit 2 → Appoint a Lead Auditor
- Audit 3 → Etc
- Define the audit objectives, scope, and criteria
- Determine the feasibility of the audit
- Select the audit team
- Contact the auditee

AAPO1b Audit Planning
- Initial review of documentation
- Prepare an audit plan
- Assign work to the audit team
- Prepare the audit proforma(s)

AAPO1c Audit Conduct
- Opening meeting
- Perform the audit
- Prepare audit conclusions
- Closure meeting

AAPO1d Audit Reporting and Follow Up
- Prepare the audit report
- Approve and distribute the audit report
- Implement corrective and preventative action, if required
- Audit follow-up, if required
- File audit records
- Audit schedule review and update

2 PROCEDURE OBJECTIVES

2.1.1 The objectives of this procedure are to:

- Produce a plan, for auditing any or all elements of the IPT's SMS and EMS;

- Assign work to the audit team; and

- Prepare an Audit Pro-forma.

3 RESPONSIBILITIES

3.1 Accountability

3.1.1 The Audit Client is accountable for the completion of this procedure.

3.2 Procedure Management and Procedure Completion

3.2.1 The Lead Auditor is responsible for ensuring that this procedure is managed and completed. The Lead Auditor may delegate tasks to members of the Audit Team in regards to the management and completion of this procedure.

4 WHEN

4.1.1 Immediately after the completion of Procedure AAP01a.

5 REQUIRED INPUTS

- Audit Question Toolset (available from ASEG);

- **Form AAP01a/F/01** - Audit Schedule;

- **Form AAP01a/F/02** - Audit Details, Team Composition and Competence Record Form;

- Other documents relevant to the scope and objective of the audit (e.g. POSMS / POEMS);

- IPT SMS and EMS documents and records; and

- **Form AAP01d/F/01** - Previous audit reports

6 REQUIRED OUTPUTS

Form AAP01b/F/01 - Audit Plan

Form AAP01b/F/02 - Audit Pro-forma (partly complete)

OR

Equivalent actions and documentation that ASEG is satisfied achieve the same objectives.

7 DESCRIPTION

7.1 Step 1 – Initial document review

7.1.1 By following AAP01a the Lead Auditor should have identified and obtained any documents that have to be reviewed as part of the preparation for the audit. This documentation should include all the management system documents, records and any previous audit reports relevant to the scope of the audit. Previous audit reports should be examined to establish follow-up work which may be required and to ensure that the audit does not duplicate work competed in a recent audit.

7.1.2 If this document review reveals major non-conformances with the management system then the Lead Auditor may decide that it would be better to postpone the audit until the documentation discrepancies have been resolved. This should be discussed with the Audit Client before a decision is made and communicated to the Auditee.

7.2 Step 2 – Prepare the Audit Plan

7.2.1 The Lead Auditor must prepare an Audit Plan to ensure that the audit meets all the identified criteria and is carried out in a professional manner with efficient use of time and resources.

7.2.2 The Audit Plan should be written so it is flexible enough to permit any minor changes which may be needed during the course of the audit, for example additional staff may have to be interviewed.

7.2.3 The Audit Plan(s) should cover the following elements:

- Location of audit;
- Audit scope and objectives (from Form AAP01a/F/01) and criteria (from AAP01a/F/02;
- Reference documents;
- Auditors' details;
- Auditee's names and contact details; and
- Audit date and timetable/on-site work agenda;

7.2.4 The Audit Plan may also include:

- Areas and documents to inspect;
- Any language requirements e.g. for production of audit report;
- Logistic arrangements (travel, on-site facilities, etc);
- On site administrative arrangement (site access, security clearance);
- Health and safety issues associated with carrying out the audit; and
- Any security requirements including document confidentiality.

Form AAP01b/F/01 can be used to document the Audit Plan.

7.2.5 Once the Audit Plan(s) has been drawn up, it should be approved by the Audit Client and Auditee before use. Any objections by the Auditee should be resolved between

the Lead Auditor, the Auditee and the Audit Client. Any revised Audit Plan should then be agreed among the parties concerned before continuing.

7.3   Step 3 - Assign work to the audit team

7.3.1   The Lead Auditor, in consultation with the Audit Team, should assign each team member with specific tasks. The competency and independence of the Auditor Team members should be taken into consideration (see **Form AAP01/F/02)**.

7.3.2   During the completion of this Step, the Lead Auditor may identify the need to make changes to the members of the Audit Team (e.g. all competences required are not covered in the Audit Team). If changes are required to be made to the Audit Team composition, then the Lead Auditor should amend **Form AAP01a/F/02** and inform the Auditee and Audit Client of this change.

7.4   Step 4 - Prepare Audit Pro-forma(s)

7.4.1   A key part of the planning stage will be to produce the Audit Pro-formas that will be used by the Audit Team members in the completion of the assigned audit tasks. These pro-formas will be generated by the Audit Team with reference to the Audit Plan and should include the audit questions. These should be identified by:

- Identifying which Question Toolset(s)(Available electronically at http://www.ASEG.dii.r.mil.uk) is relevant to the audit;

- Where necessary, tailoring the model questions from the relevant question sets to suit the audit criteria; and

- Adding further questions, based on audit-specific issues and knowledge of the project being audited.

7.4.2   The use of an Audit Pro-forma has many benefits including:

- It provides a structured set of questions, ensuring that no subject areas are inadvertently overlooked;

- It facilitates the smooth running of the audit, thereby causing minimal disruption to project work; and

- It provides a traceable and documented process of the generation of audit findings.

7.4.3   All Audit Pro-forma(s) should be reviewed by the Lead Auditor prior to use.

7.4.4   The Pro-forma(s) should be used in the audit to record:

- Audit Findings:

  o **Questioning**: How is the requirement satisfied?
  o **Evidence**: What evidence is provided in support?
  o **Auditor's Opinion**: Draw conclusions from responses.

- Assessed level of compliance; and

- Notes (e.g. any recommendations that have been made as part of the audit).

7.4.5 The 'Assessed level of compliance' field will record the Audit Team's judgement on whether the Auditee has satisfied the specific area under review. The response to be recorded will be one of the following:

- **Assessed compliant**: No weaknesses observed: the required system procedure or process has been adhered to;

- **Non-conformance**: Example identified by the Audit Team where a required system procedure or process has not been adhered to (refer to AAP04 – Non-Conformance and Corrective Action); or

- **Observation**: Written report by the Audit Team which does not relate to a conformance issue but may otherwise be of benefit to the Auditee or the Audit Client, eg possible improvements (refer to AAP04 – Non-Conformance and Corrective Action).

7.4.6 **Form AAP01b/F/02** provides a blank Audit Pro-forma which should be used to record the questions to be asked by the auditors. Separate pro-formas may be completed per auditor/audit/system element.

8 RECORDS AND PROJECT DOCUMENTATION

8.1.1 Where relevant, the outputs from this procedure should feed into the following:

- Assurance and Audit Procedure - AAP01c

8.1.2 A copy of the information produced by following this procedure should be stored in the Project Safety and Environmental Cases as appropriate.

9 RECOMMENDED TOOLS AND FORMS

Form AAP01b/F/01 - Audit Plan

Form AAP01b/F/02 - Audit Pro-forma

Audit Question Toolsets (available from ASEG)

10 GUIDANCE

10.1 General

10.1.1 JSP 375, 430, 454, 518, 520, 538, 553 and the SHEF audit manual all include information on auditing. The ISO14000 series is useful, particularly ISO14001 and ISO14004, and also OHSAS 18001, ISO 19011 and ISO9001.

10.1.2 Although audits of Customer 2 are outside the scope of the system audits, information provided by Customer 2 which relates to SMS and EMS requirements or the safety and environmental performance of the equipment (e.g. objectives and targets and operational controls) should be included in the audit.

10.1.3 If an IPT already has a project management system or procedures (e.g. ISO 9000) that

cover system auditing, then these may be used in place of these POSMS and POEMS procedures so long as ASEG is satisfied that they meet the same objectives.

10.1.4 Further guidance on the application of this procedure can be obtained from ASEG. The Institute of Environmental Management and Assessment (IEMA) and Institution of Occupational Safety and Health (IOSH) are professional bodies in environmental and safety auditing respectively and may produce useful information on auditing. (Further information can be found at http://www.iema.net & http://www.iosh.co.uk).

10.2   Aligning Safety and Environment

10.2.1 The key alignment opportunity in this procedure is to plan safety and environmental audits together, where this is practical and beneficial.

10.3   Guidance for ASEG

10.3.1 In addition to completing sample audits of IPTs' SMS and EMSs, ASEG should ensure that audits are performed that check ASEG's compliance with those procedures that apply directly to it eg SSP01b, SSP02b, SSP03b.

10.4   Warnings and Potential Project Risks

10.4.1 If audits are not completed or are incomplete, there is an increased risk that an IPT's SMS or EMS does not achieve its objectives. This may lead to increased safety and environmental risks associated with the project. It may also lead to delays and cost impacts if shortcomings in the SMS and/or EMS are identified late, because rework may be required or approvals may be delayed.

Form AAP01b/F/01 – Audit Plan		
Project Security classification:		
Project(s) Title		
IPT:		
Completed by:	**Date:**	
Reviewed by:	**Date:**	
Audit title/ref:		
Audit team details:		
Auditee's names and contact details		
Location of audit:		
Audit scope, objectives and criteria		
Reference documents:		
Audit date(s)		
Audit timetable/on-site work agenda		
Where appropriate please document the following -		
Areas and documents to inspect		
Language of audit process (if different to language of the auditor)		
Logistical arrangements (travel, on-site facilities, etc.)		
On-site administrative arrangements (site access, security clearance)		
Safety Issues		
Additional information:		

Form AAP01b/F/02 – Audit Pro-forma									
Project(s) Title									
IPT:									
Completed by:				**Date:**					
Reviewed by:				**Date:**					
Audit title/ref.				**Pro-forma ref.**					
Auditor(s)				**Pro-forma objective**					
Interviewee(s)				**Pro-forma scope**					

Question Reference	Source Document	Audit Question	Guidance for Auditor	Questioning	Evidence	Auditor's Opinion	Assessed Level of Compliance	Actions