



Conformity Assessment Management System Manual

Date 2023.05.01

Auditing Process

Pre-audit activities:

Operators authorized representative requests information / application through info@onwardauditing.com.

Application review of for determination of audit scope, necessary resources, certification request, and clarification of any variances which may exist.

Following application approval, audit proposal and contract is sent outlining audit scope, deliverables, audit phased schedule, renumeration schedule and cost estimate, regulatory plan requirements and processes, and qualifications / resume of proposed audit team.

When the proposal is accepted by the auditee and returned to Onward Auditing, audit plan development begins.

Plan development:

Onward Auditing assists auditee in the development of audit plan. It is the responsibility of the auditee that this plan is submitted to BSEE within 30 days of the start of the audit.

The audit plan is required to cover the following (as per [COS-1-06: Guidance for Developing a SEMS Audit Plan](#) and [API RP 75](#)):

- a) Objective, Scope, and Criteria of audit
- b) Identification and qualifications of audit team individuals and composite team qualifications – if auditee is to supply audit team members, qualifications must be outlined and reviewed prior to plan submittal
- c) Identification of auditee assets to be audited (a minimal of 15% of assets, w/ 1 facility of each type of operation)
- d) Audit Schedule / duration
- e) Audit Procedures and protocol checklist utilized ([COS-1-01](#))
- f) Confidentiality Requirements as outlined in [COS-2-01](#), [COS-2-03](#), and additional agreements between auditee and Onward Auditing
- g) Final Audit Report outline:
 - i. Format
 - ii. Contents
 - iii. Issuance schedule
 - iv. Distribution
- h) Process and requirements for any changes / revisions to the Audit Plan
- i) Any additional auditee considerations relevant to audit process

Phase 1 – Audit Kickoff and pre-read of documentation / “SEMS Portal”

Kick-off of audit begins to identify key personnel, perform introductions, review scope and objectives, and clarify any relevant considerations and questions.

Pre-read includes the review of initial standard documentation and familiarization of system.

Phase 2 – Personnel Interviews and Facility Review

Personnel interviews are conducted both in corporate offices and at field offices to evaluate the implementation of the SEMS program. Facility observations may be directed by BSEE to observe a specific operations or locations.

Audit Closeout:

Originator	Approved by	
Audit Program Manager	VP / Managing & Operations Director	Nina Spencer

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Impartiality Policy - Principles		

The audit concludes during the closeout phase in which the closing meeting is held. Any diverging opinions of findings between are recorded and discussed following the closeout meeting. A draft report is generated and distributed for verification of findings and final distribution approval. Final Report must be submitted to BSEE within 60 days of audit closeout. Auditee is responsible for Corrective Action Plan development (see [COS-1-07](#)). If auditee is COS member and seeking SEMS certificate (see [COS-2-05](#)), the CAP implementation is later evaluated, mitigated, and closed.

Additional information regarding the audit plan development and process available upon request

Originator	Approved by
Audit Program Manager	VP / Managing & Operations Director