



Audit Procedures and Preparation Guide

Audit Procedures and Preparation

It applies to the audit procedures and preparations at the time of all SPEC audits.

Opennig meeting

- (1) Conference proceeding : The meeting will be held under the supervision of the head of the audit team.
- (2) Scope of Attendance : CEO, department heads and auditee
- (3) Meeting place : Please designate an acceptable place for all attendees.

CEO interview

- (1) Scope of Attendance : CEO, Management Representative and Attendable Officer
- (2) Time of interview : Perform after site visit on the first day of audit
- (3) Contents of the interview : Management system management direction, Confirm changes in CEO's responsibilities and commitment in relation to management review, Confirm management policy

Conduct audit

- (1) Audit will be carried out at the site or the department under audit.
- (2) At the time of audit, only direct personnel are allowed to attend, and all members are eligible. Therefore, the person who will be asked the question directly must reply.
- (3) You must have all the necessary arrangements for the designation and performance of the person in charge for site visits and audits.
- (4) You must cooperate with the investigation of documents required at the time of screening, access to all places, access to records (including internal audit reports and management review results reports).

Lunch time

Please be prepared to eat at the cafeteria (or the nearest restaurant), and be careful to have time between auditors after meals.

How to handle nonconformities

Corrective action must be finalized by the audit team leader.

- (1) In the case of a preliminary audit, it is not necessary to submit the corrective action result



- separately to the audit team. It is necessary to take action on its own before the initial audit.
- (2) Concerns about the first-stage audit will be checked during the second-stage audit.
 - (3) Nonconformity Category
 - Major nonconformity : A corrective action plan should be sent to SPEC within 10 days from the end date of the audit, and the corrective action should be completed within 3 months. Further verification is required.
 - Minor nonconformity : The form and results of the corrective action will be sent to SPEC within one month from the end date of the audit.
 - (4) In the case of initial and recertification audit, it is possible to review the certification at the time the corrective action is completed.
 - (5) In case of a surveillance audit, please complete the corrective action within the planned period.
 - (6) If the result of the certification audit shows that nonconformity has been issued, certification will not be possible until the correction is completed.

Audit team meeting and clearance time

- (1) Provide a place for the auditors to organize the audit records, and provide a place where power and telephone are available.
- (2) The time for meetings and clearance meetings between auditors after the audit is not to be entered by anyone other than the concerned.

Closing meeting

- (1) Conference proceeding : The meeting will be held under the supervision of the head of the audit team.
- (2) Scope of Attendance : Executive officers, department heads and auditee
- (3) Meeting place : Places designated by the company

Opening and closing meeting guides

Confirm of opening meeting

- Introduction of audit team, Confirm audit standard, form and purpose audit
- Audit Criteria (ISO standard requirements, when applicable, customer requirements, regulatory requirements, system documentation)
- Company name, Registered address, Certification Scope, Confidential Confirmation
- Audit Schedule, Audit plan, Audit method (Sampling audit process approach)



- Process approach, Identify the types of audit findings
- Closing meeting time consultation, CEO's statement, other issues, Using certificates and logos
- If necessary, check for significant changes within your company (number of people, new procedures, number of workplaces)
- Identify number of workplaces, employees and working hours
- Designation of on-site trainer and necessity of safety protection equipment
- Assignment of department and person responsible for the role of window between audit team and organization
- Designation of audit site and preparation of documents and records
- Check office equipment availability
- Confirm of closing meeting attendees and interviews (for ISO 45001)

Confirm of closing meeting

- Confirm of the audit team, Confirm audit standard, Appreciation to customers for hospitality, support and cooperation, Purpose of audit, audit date and audit form
- Company name, Registered address, Certification Scope, Confidential Confirmation(Final confirmation)
- Audit focus (Check the performance and effectiveness of the management process), Audit method explanation (Sampling audit, Process approach), Overall audit result, Nonconformity occurrence status (major nonconformity / minor nonconformity / Observations), Corrective action process guide
- Notify the customer that a certification enrollment recommendation / non-recommendation or certification will be maintained
- If the certificate is rejected, explain the complaint procedure, explain the certificate issuance process, explain the instructions for using the certification mark (initial, recertification applicable)
- Check the next audit schedule, CEO's statement, Other issues