



ANNEX 5

ELEMENTS OF AN AUDIT PLAN

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SAMPLE AUDIT PLAN PART ONE

The elements of an audit plan are listed below:

1. Audit objectives.
2. Audit scope, including identification of the organization and its functions, as well as the processes to be audited.
3. Audit criterio.
4. Physical and virtual locations (if applicable), dates, schedule, expected duration of activities and meetings with the auditee's management.
5. The need for the audit team to become familiar with the auditee's facilities and processes.
6. Audit methods to be used.
7. Roles and responsibilities of audit team members, as well as guides and observers or interpreters.
8. Allocation of appropriate resources.

	Warehousing and distribution in the East Company		Code: FA-03-2019 Version: 02 Broadcast: 04/02/2018
Audit program			
Lead Auditor	Anthony Green (AG)	Observers Technical experts	Sandra White (observer)
Audit team	Ronald Mcqueen (RM)	Resources required	Computer, pen, notebook, lamp
Audit objective	Evaluate and verify compliance with the ISO 9001 standard, stakeholders and legal compliance		
Scope	Commercialization of equipment for labor insurance		
Audit criteria	ISO 9001, quality manual, applicable standards		
Method and audit	On site	Site Location	Texas Plant
Activity Process		Schedule	Responsible
Opening meeting		9:00 to 9:30	Everyone
Tours of the facilities		9:30 to 10:00	Everyone
Sales		10:00 to 10:30	RM
Human Resources		10:30 to 11:00	RM
Purchases		11:00 to 12:00	AG
Warehouse 1		12:00 to 13:00	AG
Food		13:00 to 14:00	Everyone
Logistics		14:00 to 14:30	RM
Warehouse 2		14:30 to 16:00	AG
Quality control		16:00 to 18:00	RM
Closing meeting		18:00 to 18:30	Everyone

General data



Type of event:	Certification audit	Standard:	ISO 9001:2015:
Organization:	Warehousing and distribution in the East Company		
Address:	Distribution Center: 12184 April Ruth Way El paso TX 79936 United States. Warehouse 2: 3134 E. Camelback Road, Phoenix, AZ 85016, United States.		
Scope of the System:	Marketing of personal protective equipment for occupational safety.		
Audit criteria:	<i>ISO 9001:2015 requirements, Handling and storage of materials-Safety conditions and procedures & Personal protective equipment-Selection, use and handling in workplaces.</i>		
Lead Auditor:	Emily Adams (EA)		
Audit Team / Inspector and Technical Expert:	Valerie Scott (VS) Isaac Cox (IC)		
Observers / Interpreters:	Katie Murray (KM)		
Audit Objectives:	Evaluate compliance with the quality management system in the purchasing, warehousing, sales and distribution processes, on July 2 nd and 3 rd .		
Remote audit activities (if applicable, also indicate the ICT used):	Warehouse 2: 3134 E. Camelback Road, Phoenix, AZ 85016, United States. The storage and distribution process will be evaluated through the Microsoft Teams platform on July 3 rd .		

Audit Planning

Date	Time	Site/Remote	Auditor	Process to be audited
Jul.02.21	09:00	Distribution center	All	Opening meeting (30 minutes approx.) - Introduction of participants - Introduction of the audit team - Roles and responsibilities - Guides and observers
...	...	Distribution center	All	Facility tour & staff interviews
...	...	Distribution center	EA	Review of the 9001-management system, main changes and improvements to the system
...	...	Distribution center	IC	Sales

Fecha	Hora	Sitio/Remoto	Auditor	Proceso por auditar
...	...	Distribution center	VS (KM)	Purchases
...	...	Distribution center	VS (KM)	Human Resources
...	...	Distribution center	All	Lunch (30 to 60 minutes)
...	...	Distribution center	IC	Internal Audits
...	...	Distribution center	EA	Management Review
...	...	Distribution center	VS (KM)	Quality Control
...	...	Warehouse 2 USA	EA	Warehouse
...	Elaboration of the audit program for the complete certification cycle (only applies to stage II and recertifications).
...	Report documentation (30 to 60 minutes)
...	Closing meeting (30 min. Approx.)