

This document provides some general guidance that may help in preparing your organisation for audits.

- Ensure that your key personnel and auditees are familiar with your organisation’s policy documentation/procedures and how to locate them.
- Ensure that all personnel are trained to relevant policies and procedures, and that all outstanding training is up to date. Training should be recorded, and records of training should be readily available.
- Training records should clearly indicate what was trained, the version that was trained (e.g. document version number), the trainer name and training date, and should be signed and dated by the trainer and trainee(s). Trainees should acknowledge that they understand the training they’ve received, and where relevant, assessments should be carried out to ensure trainee competency (e.g. for task-based training).
- Ensure that your procedures and policies are being followed precisely by all personnel.
- Ensure that you have a good documentation practice (GDP) procedure in place, and that all your employees follow these requirements when completing, updating or correcting documentation within your organisation. This applies to handwritten and electronic documentation that is completed by your organisation.
- Ensure that your organisation controls how policies and procedures are updated and circulated within your organisation. Updates to policies and procedures should be approved appropriately, and records of the approvals retained. Version controls should be used to indicate when a document is updated.
- Old versions of documents should be removed when a new version is created. Printed copies of documentation should not be kept. If such documents must be printed by personnel for reference, they should be disposed of after use (personnel should not keep printed copies of policies on desks, in drawers, etc. as these may be replaced by newer versions).
- Current electronic versions of policies/procedures and forms should be made available from a central location where personnel can locate the most up-to-date version easily, and they should be reminded that electronic copies of documents and forms should not be saved to their computer, as they may be replaced by newer versions.
- When personnel are preparing for being interviewed as part of an audit, they should ensure they are capable of running through the process fully with the auditor. They may prefer to refer to a copy of the procedure or policy itself as they run through the process with the auditor – ensuring they are using the current version of the policy or procedure.
- Policies, procedures and/or other documentation should be printed in advance and be available to provide to the auditor, particularly if the auditor has outlined what they plan to review, and based on the scope of the audit being conducted.
- If documents are provided to an auditor for review, the organisation should ensure it is the current version of the document. If it is not a controlled copy of the document, “copy” should be written or stamped on any uncontrolled documents provided so that this is clear.

- Where possible, personnel should run through the content of the document with the auditor rather than providing a copy of it without context. This helps to avoid any misunderstanding by the auditor and will make it easier for them to review and understand it.
- Personnel should be able to either demonstrate a task live, or readily access examples to show the auditor. They should go through each step of the process one by one, first explaining the policy or procedure step, and then showing or demonstrating how it is done. This will aid the auditor in understanding.
- Personnel should speak slowly and clearly, remaining positive and calm.
- When using a computer system, personnel should go at a slow pace explaining what they are doing at each point so that the auditor (who may not be familiar with the process or the computer system) can follow what is being done.
- Personnel must provide honest answers to questions, and should ensure that they are answering the question that has been asked.
- It is acceptable and important for personnel to ask for clarification if they do not understand what the auditor is asking.
- If personnel being interviewed do not know an answer to an auditor's question, they should say so, and if in normal day-to-day operations they would consult with a manager/team leader/supervisor in such a circumstance, they should say this to the auditor.
- Personnel should keep in mind that the systems and processes are being audited, not them as individuals.
- Data and records should be collected quickly when requested by an auditor. When data or records need to be requested from another person or department, the urgency of the request should be communicated.
- Comprehensive replies to all requests for information from the auditor should be provided.
- Designating a person to be responsible for obtaining information may be a good idea, to help ensure the audit runs smoothly.
- Your organisation should consider carefully tracking of all requests received and replies sent to auditors. This should help ensure requests are not forgotten or overlooked, and can make any possible follow-up communications easier to manage.

**DISCLAIMER:**

**This document has been created to provide your organisation with general, high-level guidance only. It is not intended to be an exhaustive list of policy requirements, and it may not account for or correspond with all applicable regulations and laws within your country. Please ensure that the policies you introduce comply with applicable local regulations and laws. When necessary, consult local legal counsel to confirm your compliance responsibilities.**