

Audit Phases (CIS-G017)

The full audit phase takes approximately 1 month from start to finish, but your actual time invested in the audit process will not be any more than 1.5 hours.

1. Planning, Scope, and Initial Research (1 month-2 weeks before Fieldwork)

- a. Lead Auditor contacts department to plan the audit and discuss the scope of the audit.
- b. Lead Auditor and department head establish fieldwork schedule (interview and observation times).
- c. Lead Auditor sends this audit schedule to the Director of Continuous Improvement to file.
- d. Lead Auditor sends any guidance documents to department.
- e. Auditors review policies, procedures, work instructions, guides, and any other relevant documents for the audit.
- f. Auditors review prior audit reports.

2. Fieldwork (Total Fieldwork Time – 1 hour)

- a. Auditors conduct audit based upon scope.
- b. Interviews are conducted.
- c. Observations and walk-throughs may be conducted.
- d. Data gathering.

3. Analysis and Report (Complete no more than 10 days after fieldwork)

- a. Audit team meets to analyze data gathered from files, documents, observations, interviews, etc. and compiles findings into report.
- b. Lead Auditor and/or audit team members meet with CI Director to discuss report as needed. CI Director will contact Lead Auditor in the event of questions.
- c. Lead Auditor schedules meeting with department head and CI Director to discuss report (Closing Meeting).

4. Compliance/Follow Up (Length of Phase TBD by the Director of Continuous Improvement)

- a. CI Director determines if any follow up audits will be necessary and communicates to department head. CI Director must track and schedule any follow up audits.
- b. CI Director ensures department compliance with findings by specified dates in compliance report.