Six Steps of an Audit — Overview

The steps are sequential. Each produces inputs for the next. Skipping a step typically causes rework downstream.

1

Step 1 — Initiating the Audit *(6.2)*
Contact auditee · Check feasibility · Start preparing the audit plan.

2

Step 2 — Preparing for Audit Activities *(6.3)*
Assign tasks · Prepare work documents · Document review.

3

Step 3 — Conducting Audit Activities *(6.4)*
Opening meeting · Communication · Collection of information · Findings · Conclusions · Closing meeting.

4

Step 4 — Preparing and Distributing the Report *(6.5)*
Write the report · Distribute to stakeholders.

5

Step 5 — Completing the Audit *(6.6)*
Close out records · Archive working papers.

6

Step 6 — Conducting Follow-Up *(6.7)*
Verify corrective actions · Confirm effectiveness · Close findings.

SAMPLE

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Contacting the Auditee and Checking Feasibility

Two parallel activities — establishing professional contact, confirming the audit is practical.

Contacting the auditee — what to cover

Confirm audit authority and scope · Establish single point of contact on auditee side · Agree communication channels · Request logistical information (access, security, safety, visitor protocols) · Request documentation for pre-audit review · Confirm timing and key dates · Discuss the role of guides and observers · Clarify confidentiality arrangements.

Checking feasibility — stop if any of these are unresolved

Sufficient information to plan the audit · Cooperation of auditee confirmed · Sufficient time and resources available · Competent audit team available · Safe access to locations · Auditor independence confirmed · Confidentiality terms agreed. If feasibility cannot be confirmed, alternatives must be discussed with the audit client — possibly reschedule or de-scope.

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