

1. Audit Background Information	
Department/Area	
Audit Date	
Lead Auditor	
Auditor	
Auditor	
Audit Objectives and Scope	<p>Objectives: To gauge awareness of QAM and determine whether the QAM structure is being successfully implemented.</p> <p>Scope:</p>

2. Review Prior Audit Workpapers:	
2.1 List areas that were not examined in the prior audit and include in audit scope. Complete the scope statement above.	
2.2 Determine employees who were not knowledgeable of QAM during prior audits and schedule for interviews. (Do not interview employees who know QAM better than you do!)	
2.3 Note any apparent nonconformances that were not included in the audit recap and list for follow-up.	

3. Review Audit Recaps and Audit Reports	
3.1 Schedule or copy nonconformances and opportunities for improvement for follow-up.	
3.2 Review observations and determine whether these could result in a nonconformance. If so, note for follow-up.	

4. Review Corrective Actions	
4.1 Review “open” corrective actions and determine if department is diligently working on a solution.	
4.2 Schedule or copy all corrective actions that are classified as “Closed pending audit verification” and determine whether the actions taken are sufficient to prevent the problems from recurring.	

5. Review Preventive Actions	
5.1 Schedule any PA’s closed since the last audit and determine if the actions taken have been effective at improving processes.	

6. Notification of Department and Workpaper Preparation	
6.1 Prepare and transmit the audit introduction letter	
6.2 Contact the department to assure that staff knowledgeable of the department's operations and processes are available for interview. Set interview times as necessary.	
6.3 Prepare the audit workpaper file with an index, audit program, items scheduled for follow-up and introduction letter.	