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# 1. Audit Question Set Section 4.10 Independent Assurance

Submitted by developer on Thu, 21/04/2016 - 09:44

ASEMS Document Version:

3.0

Effective From:

Monday, 9 January, 2017 - 01:15

Summary:

The Audit Question Set used as assurance in order to adhere to the policy described in policy clause 4.10  
audit\_body\_Text:

## **1.1. These questions address ASEMS Part 1, Clause 4.10 and DSA 01.1, Elements B, C, D, H and K.**

### **1.1.1. Information Management**

#### 1.1.1.1.

1. How has information / findings arising from independent assurance activities been communicated as necessary to those who need it?
2. Is there a list of interested stakeholders and where is it located?

### **1.1.2. Organisational Leadership, Culture, Capability and Change Management**

#### 1.1.2.1.

1. How did the team decide there was a need for Independent Assurance of their SEMS and how did it select an appropriate provider?
2. What arrangements / agreements have been put in place for Independent Assurance and where are they recorded?

### **1.1.3. Personnel Competence and Training**

#### 1.1.3.1.

1. What competence requirements were identified for those providing Independent Assurance and where are they recorded?
2. What checks were carried out on potential Independent Assurance providers to ensure that they had the necessary competences and where are the results recorded?

### **1.1.4. Supervision and Control of Activities**

#### 1.1.4.1.

1. What supervision and oversight of Independent Assurer's activities has been arranged and where are the arrangements documented?
2. What reporting mechanisms have been created for feeding back the outcomes of Independent Assurance to the team and where are they documented?

### **1.1.5. Self-Assurance**

#### 1.1.5.1.

1. How has the team assured itself that its independent Assurance arrangements are adequate and effective?

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