

# Halderstone



Training module

## Supplier Auditing

Plan and conduct supplier audits using contract-based criteria, defined evidence targets and disciplined audit documentation



# Are your supplier audits failing to provide reliable assurance?

## Overview

Supplier audits often navigate complex terrain, balancing contractual obligations with operational realities and limited access. Without a structured approach, these audits can devolve into superficial reviews or mere relationship management.

This module provides a professional, evidence-focused methodology for executing supplier audits. Participants will learn to define audit scope and criteria from contractual requirements, prepare specific evidence targets, conduct audits effectively within access boundaries, and produce clear documentation that supports internal use and downstream reporting, ensuring results are defensible and actionable.



## Target audience

- Aspiring auditors who want to audit management systems following best practices
- Practising management system auditors who want to strengthen their audit knowledge, judgement, and effectiveness

# Is this module for you?

## It is a good fit for you if you...

- conduct supplier audits under contractual or access constraints.
- struggle to define scope, criteria, and evidence expectations upfront.
- experience supplier audits drifting into visits or relationship meetings.
- need supplier audit results that are defensible and usable internally.
- want to run supplier audits professionally under real-world limitations.

## It may be less suitable for you if you...

- already execute supplier audits with clear scope and evidence targets.
- are not involved in supplier audits or second-party assurance.
- need contract negotiation, procurement, or supplier management training.
- are looking for programme governance rather than audit execution.

# Learning outcomes



## Key outcomes

- Define a supplier audit scope and brief using contractual and mandatory requirements as criteria
- Translate audit criteria into supplier-specific evidence targets and an evidence request plan
- Document audit workpapers that clearly link evidence to criteria and support downstream decisions

## Additional capabilities

- Choose and structure an on-site, remote, or hybrid supplier audit approach appropriate to access constraints
- Run supplier audit activities in a controlled manner, managing timing, access, and interface tracing
- Evaluate supplier evidence under real-world limitations using triangulation and consistency checks

# Agenda

## **Supplier audits as assurance engagements**

How supplier audits function as assurance engagements rather than performance discussions, and how purpose, boundaries, and typical constraints such as access, confidentiality, proprietary methods, and subcontractors shape audit execution

## **Engagement-level planning**

How to turn contracts, SLAs, and mandatory obligations into audit criteria, and define an auditable scope that matches what can realistically be assessed across sites, services, and interfaces

## **Preparing supplier-specific evidence targets**

How to prepare using available pre-reading materials and build evidence target matrices that align criteria with supplier-specific interfaces and constraints

## **Executing supplier audits on-site, remote, or hybrid**

How to structure the audit day, maintain control of time and access, and follow key service interfaces end-to-end across handovers, controls, and records

## **Evaluating what you see under supplier constraints**

How to triangulate evidence when direct access is limited, and recognise audit-relevant red flags such as restricted sampling or inconsistent records

## **Managing challenging situations professionally**

How to handle defensiveness, commercial pushback, and boundary disputes, and decide when to pause, rescope, or escalate based on clear decision points and internal alignment

## **Audit documentation and handover**

How to maintain workpapers that link evidence to criteria and support later reporting, and define handover packages that meet downstream reporting and follow-up needs

## **Case-based workshop**

Applying the learned concepts, methods, and approaches in a realistic case setting

# Included materials



## Learning materials

- Slide deck
- Participant workbook

## Templates & tools

- Supplier audit process
- Supplier audit brief template
- Evidence request and access boundary checklist
- Supplier audit red-flag prompt list

## Confirmation

- Confirmation of participation

# Preparation guidance

## Assumed background

This module assumes participants can already apply core audit craft in a general context, including:

- Evidence-based auditing and professional judgement
- Basic audit planning at engagement level (scope, criteria, audit plan)
- Familiarity with using documented information and records as audit evidence

## Preparatory modules

### Foundation (depending on background)

Useful if you are new to the underlying concepts

- Audit Principles

### Supporting (optional)

Helpful but not required to participate effectively

- Supplier Management

# Logistics



## Available languages

- English
- German

## Standard delivery options

- Virtual live teaching
- Blended learning (e-learning + live)

## Bespoke delivery options

- On-site delivery at your place
- Content adapted to your organization



# Halderstone

**Halderstone by Langer & Co**

Zürcherstrasse 2

CH-8852 Altendorf

Switzerland

[info@halderstone.com](mailto:info@halderstone.com)

[www.halderstone.com](http://www.halderstone.com)