



Stage 1 Audit Preparation Checklist

Use this checklist as a guide to help ensure you are prepared for your stage 1 assessment. Please note that this is only a guide and the auditor may require additional information or documentation to be presented. There is space to include other items you deem necessary.

Standard	Item	Comments	In Place?	Actions	Completed
ISO 9001 ISO 14001 ISO 45001	Policy Statement	The Policy Statement will need to be in place and authorised by someone from top management, this would typically be a Managing Director or CEO. The policy should be displayed and communicated to employees and any other relevant person performing work on your behalf			
ISO 9001 ISO 14001 ISO 45001	Documented Procedures and Processes	Any procedures or processes which have been identified as applicable to the organisation need to be in place and controlled. Each standard and organisation has different requirements so please refer to the standard to determine what you require to be documented.			
ISO 9001	Context of the	The context of the organisation			



Stage I Audit Preparation Checklist

ISO 14001 ISO 45001	Organisation	needs to be defined and management aware. You may choose to document your context which may be of benefit, if not your management team need to be fully aware and prepared for questioning on the context			
ISO 9001 ISO 14001 ISO 45001	Interested Parties	Similar to context, you need to have your interested parties defined and their needs identified. This does not need to be documented but if not top management need to be aware of questioning around this subject			
ISO 9001 ISO 14001	Risks and Opportunities	Does not need to be documented but they need to be defined and management aware of the risks surrounding the context and interested parties needs. They also need to be aware of any actions/mitigations surrounding the risks			
ISO 45001	Risks and Hazards	The risks and hazards need to be identified and depending on the organisation they are likely to be documented. This could be on standard risk assessment templates. The auditor will verify			



Stage I Audit Preparation Checklist

		that all risks and hazards have been captured by your management system but will not go into great detail for suitability of content.			
ISO 45001	Health and Safety Policy	In line with the health and safety at work act, the health and safety policy manual which includes your responsibilities and arrangements will need to be in place.			
ISO 14001	Aspects and Impacts	Your aspects and impacts need to be identified and documented. You will need to present all of your aspects and show which ones are considered significant to the organisation and any actions you have in place to reduce the impact. The auditor will be reviewing to see if you have identified all aspects but not necessarily verifying the information within the document.			
ISO 14001 ISO 45001	Legislation	Legislation applicable to the organisation and its activities will need to be identified. The auditor will be reviewing to determine if all legislation has been suitably identified based on their			



Stage 1 Audit Preparation Checklist

		knowledge at that point in time			
ISO 9001 ISO 14001 ISO 45001	Roles and Responsibilities	Roles and responsibilities need to be defined, they do not necessarily need to be documented but everyone should be aware of who is responsible for what within the management system			
ISO 9001 ISO 14001 ISO 45001	Internal Audits	You need to have in place an internal audit plan which at minimum defines what processes will be audited and when. You should have your form templates in place. Ideally you should have started the internal audit programme and any findings identified and actions put in place. You need to have a full set of internal audits completed prior to your stage 2 assessment so plan accordingly			
ISO 9001 ISO 14001 ISO 45001	Management Review	Management review planned and format defined. The auditor will need to be confident that you will be covering all requirements. Ideally have a management review already completed.			
ISO 9001	Objectives	Objectives need to be identified			



Stage I Audit Preparation Checklist

ISO 14001 ISO 45001		and an action plan in place on how these will be achieved. These are often defined within the management review minutes but not a requirement			
ISO 9001	KPIs	Performance indicators should be identified and targets established. The KPIs should cover your key processes defined by your organisation which are typically surrounding clause 8.			