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Stage 1 Audit Important Information

We've listed below important information to remember when preparing for a stage 1 audit. Once the auditor has reviewed all of this they will either confirm that you are ready for the Stage 2 Audit (Certification Audit) or will advise areas which could lead to potential nonconformities at the Stage 2 audit which you need to address.

- You must demonstrate that you have planned and performed internal audits and acted on the findings from these.
- You must have had at least one management review which is a senior management review of the business and you must have acted on the findings from this.
- You must be able to demonstrate an understanding of the standards you want to be certified to.
- Your company must be aware of any regulatory requirements that apply to them.
- You must demonstrate a knowledge of your management system and the level of implementation of the management system must be sufficient to move to the Stage 2 audit.
  The key here is implementation. It is not sufficient to have all the documents etc – the system must have been implemented.

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For organizations wishing to demonstrate conformity with the requirements of ISO 9001:2015, for the purposes of certification, contractual, or other reasons, it is important to remember the need to provide evidence of the effective implementation of the QMS.

- Organizations may be able to demonstrate conformity without the need for extensive documented information

- To claim conformity with ISO 9001:2015, the organization has to be able to provide objective evidence of the effectiveness of its processes and its quality management system. Clause 3.8.3 of ISO 9000:2015, (Fundamentals & Vocabulary) defines “objective evidence” as “data supporting the existence or verity of something” and notes that “objective evidence may be obtained through observation, measurement, test, or other means.”

- Objective evidence does not necessarily depend on the existence of documented information, except where specifically mentioned in the standard. In some cases, (for example, in ISO 9001:2015 clause 8.1 (e) Operational planning and control, it is up to the organization to determine what documented information is necessary in order to provide this objective evidence.

- Where the organization has no specific documented information for a particular activity, and this is not required by the standard, it is acceptable for this activity to be conducted using as a basis the relevant clause of ISO 9001:2015. In these situations, both internal and external audits may use the text of ISO 9001:2015 for conformity assessment purposes.

While there are no longer any mandatory procedures in ISO 9001, ISO 14001 or ISO 45001 there is a requirement to maintain documented information The following clauses have references to documented information and you should ensure these requirements are built into your management system so that you can demonstrate effective implementation of the system at Stage 1

Description	9001	14001	45001
Scope	4.3	4.3	4.3
Management system and its processes	4.4.2		
Policy	5.2	5.2	5.2
Organisational roles & responsibilities & authorities	5.3	5.3	5.3
Actions to address Risks & Opportunities	6.1	6.1	6.1
Environmental aspects/Assessment of OH&S risks and other risks to the OH&S Management system		6.1.2	6.1.2.2
Determination of legal requirements and other requirements		6.1.3	6.1.3
Objectives and planning to achieve them	6.2	6.2	6.2
Evidence of competence	7.2	7.2	7.2
Evidence of communications		7.4	7.4
Documented information	7.5	7.5	7.5
Evidence of operational control	8.1	8.1	8.1
Review of the requirements for products & services	8.2.3.2		
Changes to requirements for products & services	8.2.4		
Emergency preparedness & response		8.2	8.2
Design & development of products & services	8.3.2 8.3.3 8.3.4 8.3.5 8.3.6		
Control of externally provided processes, products and services	8.4.1		
Production & service provision	8.5.1		
Control of changes	8.5.6		
Release of products & services	8.6		
Control of nonconforming outputs	8.7.2		
Results of monitoring & measurement and performance evaluation	9.1	9.1	9.1
Results of the evaluation of compliance		9.1.2	9.1.2
Internal audit	9.2	9.2	9.2
Management review	9.3	9.3	9.3
Incident, nonconformity and corrective action	10.2	10.2	10.2
Continual improvement	10.3	10.3	10.3

In the case of AS.NZS 4801 there are some mandatory documented procedures as below and other areas where procedures are required but are not required to be specifically documented.

1. 4.3.1
2. 4.4.7
3. 4.5.1.1

In the case of OHSAS 18001 there is only one mandatory documented procedure as below and other areas where procedures are required but are not required to be specifically documented.

1. 4.4.6

The key when looking at different standards is to check whether a process or procedure must be documented. In many cases the standard requires a procedure to be in place but does not require it to be documented. However the auditor will look for evidence that you have the required procedures in place and often documenting the procedure – however simply this is done is the easiest way to demonstrate compliance.