

PREPARING FOR AUDITS

Being audited, especially for ISO standards can be a stressful time, especially if it's important for your organisation to achieve the relevant certification.

This checklist is to help prepare you for those audits. As a Lead Auditor for ISO 27001 and ISO 22301 experience shows that If you follow the checklist before your audit you will minimise the risks and issues you encounter.

No	What to Do	Check
1.	Determine scope of audit from audit schedule & clarify with auditor which areas they want to see (locations and documentation)	
2.	Read Previous Audit and ensure Non-Conformances have been corrected (or corrective action plans are in place)	
3.	Confirm Management Reviews have been completed and Agenda, minutes and actions created according to ISO standard requirements.	
4.	Check Management System manual up to date	
5.	Arrange Meeting Rooms	
6.	Arrange interviews with correct people	
7.	Print out all documents that the auditor may want to see	
8.	Check internal audit schedule up to date and audits are completed correctly and evidenced.	
9.	Confirm all documents required have been updated according to document control procedures	
10.	Check policies and procedures up to date, in place and all staff know where to find them	
11.	Confirm any objectives and targets have been agreed, signed off and where any have not been achieved, actions are in place for correction	
12.	Confirm any metrics identified in Management System have been measured and assessed	
13.	Confirm any records, process documents are correct	
14.	Confirm Job Descriptions are in place.	
15.	Check everyone knows data classifications for documents (where they are, how long they're stored for and disposal process.)	

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GENERAL PRINCIPLES

1. If your visit is a re-certification or a surveillance (follow-up) audit, then you know what to expect, so the most important principle is to **keep on top of it**. If you have your audit, breathe a sigh of relief and then don't look at it until the auditor turns up for the next audit, you will fail. If you keep on top of the actions, make sure they are progressed and keep your evidence to show progress, you will make your life easier.
2. Treat your auditor with respect. They are human, after all!!
3. Get there early! Sometimes auditors turn up early and look around the site before you get there and find out issues (especially with security based audits - ISO 27001 for example).
4. Stay with your auditor at all times (except bathroom visits). Do not let them wander around unaccompanied. Also don't let them free at a PC clicking away looking for things. Ask what they want to see and you show them.
5. The auditor has a right to see what is in the scope of your Management System and the audit scope. If it's not in scope then politely decline.
6. Know who you can sit with your auditor to show them the information they need to see, and who you can't. You will know the good people who can give a positive impression.
7. If you don't agree with the auditor's conclusion you can challenge them politely. Ask them to show you where the relevant standard states the point they are making.
8. Ask your auditor for advice. If they raise a non-conformancy and you don't know what to do about it, ask the auditor how they can fulfil the requirement. Often auditors see a lot of sites and can pass on their experience and good practice from other sites.

GOOD LUCK!

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