

# Small Business Audit Checklist

Most ISO standards were created to fit into your business. Many times, when companies start to look at implementing a management system, they find they're further along than initially thought, because you need certain processes to operate. ISO standards are about creating and formulating best business practices.

## Steps to Certification:

### 1 Buy the standard: [www.iso.org](http://www.iso.org)

### 2 Implementation

- ✓ Identify and assign policies that align with the standard.
- ✓ Implementation can be done by a consultant or internally, depending on resources available.

### 3 Pre-Assessment

- ✓ Identify gaps in your management system.
- ✓ An opportunity to work with an auditor and understand expectations.
- ✓ Ask questions about your management system. Drive the conversation to areas you feel uncertain about.

### 4 Stage 1: Documentation Review

- ✓ Documentation review is required for all initial certification audits across all standards.
- ✓ Performed to determine an organization's readiness for certification.
- ✓ Consists of a documentation review and evaluation of site-specific conditions.

### 5 Stage 2: Certification Audit

Audit includes:

- ✓ Review of documented processes to ensure they meet the intent of the standard being sought.
- ✓ Interviews and observation to see how the operational processes support and align with the management system in place.
- ✓ Review of performance objectives and how they are monitored and measured.

### 6 Address Nonconformances

- ✓ Audits are not pass/fail. A nonconformity is simply a way to identify areas where there are potential risks to your business and other interested parties.
- ✓ A containment and corrective action plan are required for nonconformances. — Evidence is needed for major nonconformances.
- ✓ The audit package is submitted to the office for final review and certificate issuance.

## Questions to Ask Your Potential Registrar:

What is your approach to auditing small companies?

Are you accredited and by who?

What is your experience in our industry?

What are your Auditors' qualifications?



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