ISO 9001:2015 · AUDIT PREPARATION COMPANION

Audit Preparation Companion

Example Ltd

Mechanical & electrical building services specialist based in Coventry, West Midlands, delivering installations and maintenance for schools, NHS sites, offices and industrial premises across the UK.

Locale	en-GB
Prepared for	Gareth Pryce
Companion to	Quality Management System Manual · Example Ltd v1.0

This companion guide provides targeted support for preparing Example Ltd’s Quality Management System for ISO 9001:2015 certification audit. It is tailored to your business, referencing actual processes, roles, and data from your manual. Use it to guide evidence collection, anticipate auditor questions, meet timing requirements, and plan practical steps between your manual’s completion and your upcoming audit.

ISO 9001 · CHAPTER 4

Context, Interested Parties, Risks & Opportunities

AUDITOR QUESTIONS

- [ ] How does Example Ltd ensure all staff — including site operatives, project managers, and office personnel — understand which activities and locations are covered by your quality management system? Can you show which types of work are specifically excluded?
- [ ] Can you demonstrate how you identified and reviewed the key requirements of your interested parties — such as NHS clients, main contractors, suppliers, and regulatory bodies — and how you use this information to shape your management system?
- [ ] Which main risks has Example Ltd identified that could disrupt timely project delivery to clients (e.g. delayed materials, incomplete test records)? Who is responsible for reviewing and updating these risks?
- [ ] When issues such as material delays or missing commissioning documents have occurred, what actions have been taken to address root causes? Can you show examples of where opportunities led to system or process improvements (e.g. onboarding, knowledge capture)?

EVIDENCE REQUIRED

- [ ] Documented scope statement naming activities, locations, and exclusions — typically your manual section describing system coverage.
- [ ] Interested parties table showing customers, suppliers, authorities, and key staff — with requirements and how they are addressed.
- [ ] Current risk and opportunity register: risks such as delayed materials, incomplete documentation, expired tickets, and actions or owners (e.g. Joanne Clarke, Lee Hammond, Ricky Obeng).
- [ ] Records or logs showing that risks/opportunities are reviewed (e.g. management review minutes, risk meeting notes), and samples where improvement actions were taken (e.g. onboarding checklists, new process documents).

TIMING & FREQUENCY

- [ ] Scope and interested parties should be reviewed at least annually and following significant changes in contracts or clients.
- [ ] Risk and opportunity registers should be current, showing review and update at least once per year or after relevant incidents.
- [ ] Evidence of actions addressing risks or improvement opportunities should cover at least the most recent 3–6 months of activity prior to the audit; not just documented for the audit but actually used in live operation.

PREPARATION ROADMAP

- [ ] Review and ensure your scope statement is up to date and accurately reflects all current activities and exclusions. Discuss with key roles (Gareth, Lee) to confirm nothing is missing.
- [ ] Update your list of interested parties and confirm requirements for each (e.g. what public-sector clients expect, how suppliers are monitored, regulatory adherence).
- [ ] Compile your documented risks, with current controls and ownership (matching actual roles, e.g. Joanne, Lee, Ricky), and log how these risks have been reviewed in meetings or improvement sessions within the last year.
- [ ] Ensure you can show at least one example where a risk or opportunity has led to an actual change in process or documentation during the past audit cycle.

ISO 9001 · CHAPTERS 5 & 6

Leadership, Roles, Document Control & Planning

AUDITOR QUESTIONS

- [ ] Can you describe the specific responsibilities of Gareth Pryce, Lee Hammond, Joanne Clarke, and Ricky Obeng in the quality management system? How are these roles communicated to other staff?
- [ ] How does Joanne Clarke ensure that only controlled, current versions of documents (such as drawings, inspection and test forms) are used on site, and that previous versions are withdrawn?
- [ ] Show how test certificates, commissioning records, and O&M packs are checked for completeness and signed before handover. Who verifies and who receives the final file for archiving?
- [ ] What is the process for regularly reviewing and updating controlled documents? Can you show examples of version control, such as revision logs for standard forms or destroyed/superseded drawings?

EVIDENCE REQUIRED

- [ ] Organisation chart or documented responsibility matrix matching Gareth Pryce (Owner/ Managing Director), Lee Hammond (Site Manager), Joanne Clarke (Office Manager), and Ricky Obeng (Plant & Equipment Controller) to their roles and tasks.
- [ ] Copies of document control procedure as implemented by Joanne Clarke: evidence of version control (registers, logs), and documented processes for issue, withdrawal, and archiving of records.
- [ ] Samples of recent inspection, test, and commissioning documents: completed, signed records and handover packs for at least one live or recently completed project.
- [ ] Log or archive of withdrawn/superseded versions of controlled documents, showing destruction/archiving date and, if possible, who authorised it.

TIMING & FREQUENCY

- [ ] Roles and responsibilities must be kept current and communicated whenever staff roles change; to be reviewed at least annually or as soon as there is a significant change (e.g. new manager, operative added or removed from key duty).
- [ ] Controlled document registers and procedures must show active use in the 3–6 months prior to audit. Evidence must support that current versions were in place during recent jobs — not just immediately before the audit.
- [ ] Archiving and retention of statutory project records (e.g. test certificates, O&M records) must follow applicable UK requirements and any contractual client requirements.

PREPARATION ROADMAP

- [ ] Check your written responsibilities matrix so that all main roles and their current occupants (Gareth, Lee, Joanne, Ricky) match both documentation and real practice. Make updates where necessary.
- [ ] Compile recent versions of key forms and drawings, with evidence of active document control (e.g. logs, date stamps, evidence that out-of-date versions were withdrawn from site).
- [ ] Prepare at least one complete handover file (test certificates, commissioning records, O&M pack) from a recent or current project, with all required signatures and records.
- [ ] Review your digital and physical archiving practices and be ready to show how you track document versions and control access and destruction.

ISO 9001 · CHAPTERS 7 & 8

Operational Planning, Core Process Control & Supplier Management

AUDITOR QUESTIONS

- [ ] How do Gareth Pryce and Lee Hammond ensure that project pre-start planning, materials scheduling, and resource allocation are aligned to avoid programme delays?
- [ ] Show exactly how Joanne Clarke manages procurement, from materials ordering to delivery checks and supplier escalation if issues arise. Are supplier performance reviews documented?
- [ ] Describe how site teams — led by Lee Hammond — ensure installations comply with current drawings, inspection stages are completed, and defects/snagging items are closed before handover.
- [ ] Can you provide recent examples of how test equipment (maintained by Ricky Obeng) and critical plant have been checked, calibrated, and withdrawn from use if certificates expired?

EVIDENCE REQUIRED

- [ ] Example project plan/schedule as prepared by Gareth and Lee, including materials schedules, RAMS, and site programmes.
- [ ] Procurement records: purchase orders, delivery notes, and logs showing receipt and inspection by site teams; records where short deliveries or errors were escalated and resolved.
- [ ] Supplier review or evaluation records for your electrical wholesalers, merchants, and hire companies, including rationale for replacing or retaining suppliers.
- [ ] Checklist or inspection forms completed during installation (pre-handover snagging, intermediate site inspections), with team sign-off and follow-up actions logged.
- [ ] Equipment calibration log maintained by Ricky Obeng: shows current status of electrical test instruments, recent certificates, calibration expiry dates, and actions if equipment failed or was overdue.

TIMING & FREQUENCY

- [ ] Procurement and materials control: Records should cover at least the previous 3–6 months to demonstrate live operation under the QMS, including both routine and exception handling (e.g. short deliveries).
- [ ] Supplier reviews must be completed at least annually; ensure evidence is available for the most recent review cycle, with rationale for any supplier change or retention.
- [ ] Test and calibration certificates for plant and equipment must be in-date and show annual renewal as a minimum; log should reflect checks/withdrawals for any out-of-date devices in the last 12 months.
- [ ] Operational control records (e.g. inspections, walkthroughs) should be available for a representative sample of recent jobs, ideally from at least the last 2–3 projects run under the QMS.

PREPARATION ROADMAP

- [ ] Run through a recent project from tender to handover, collecting actual project plans, materials order records, delivery notes, and examples of supply chain management.
- [ ] Request all supplier evaluation and review records from Joanne Clarke for the last 12 months; prepare rationale/evidence for any supplier changes.
- [ ] Compile calibration records and logs from Ricky Obeng, ensuring coverage from the previous 12 months, with expired equipment flagged and shown as removed or re-certified.
- [ ] Gather inspection, snagging, and test forms for a minimum of 2-3 recent projects, ready to show completed workflows and corrective actions.

ISO 9001 · CHAPTERS 9 & 10

Performance Monitoring, Internal Audit, Management Review & Improvement

AUDITOR QUESTIONS

- [ ] Your manual sets a target to achieve 95% of jobs completed to programme date by end of 2026; how do you collect and monitor this data, who reviews it, and what happens if you see a drop in performance?
- [ ] Show evidence of recent internal audits covering key processes (such as programme control, documentation, equipment calibration, supplier management). Who led the last audit, and how were findings addressed?
- [ ] When was the last management review held? How were KPI trends, recurring issues, and customer feedback presented, and what actions were assigned as a result?
- [ ] Provide examples of how corrective actions (such as those arising from failed audits, complaints, or repeated snagging) have been logged, assigned to responsible persons, completed, and subsequently checked for effectiveness.

EVIDENCE REQUIRED

- [ ] KPI tracking logs/reports showing jobs completed to programme date, snagging rates at handover, and commissioning/test pack completion (with evidence of review and trend analysis by management).
- [ ] Copies of internal audit schedules, checklists, completed audit reports, records of findings, assigned corrective actions, and evidence of closure (for at least the last annual audit and any interim or triggered audits).
- [ ] Management review minutes, including attendance, agenda, discussion of KPI performance, complaints/feedback, supplier/operative issues, audit findings, and outcome actions (including who is responsible for each action).
- [ ] Improvement and corrective action register(s), with completed entries showing root cause analysis, actions taken, responsible person (e.g. Lee, Joanne, Ricky), and follow-up verification (e.g. spot-check result or trend improvement).

TIMING & FREQUENCY

- [ ] Internal audits: at least annually, with each of the company's core and support processes covered over a cycle; additional audits may be triggered by significant incidents.
- [ ] Management reviews: held at planned intervals (minimum annually). Evidence should cover full agenda, participation, and assigned actions.
- [ ] QMS should reflect a minimum 3 months of "live operation" prior to Stage 2 audit. All evidence should be drawn from live project activity and management routines, not created solely for audit readiness.
- [ ] KPI and improvement records should cover at least one annual cycle — with evidence of regular review and update between management reviews.
- [ ] Retention of audit, management review and improvement records: as per applicable UK statutory and contractual requirements. Do not destroy records until audit is complete.

PREPARATION ROADMAP

- [ ] Collate KPI logs for your three headline objectives: programme adherence, snagging at handover, and commissioning/test pack completion. Prepare summaries and visual trends where possible.
- [ ] Retrieve last year's internal audit plan, checklists, and completed audit records from Gareth Pryce and Joanne Clarke, including evidence of corrective actions and their closure.
- [ ] Gather management review minutes, participation lists, tracked actions, and completed action summaries — ensuring actions are linked to responsible individuals and dates.
- [ ] Ensure your continuous improvement or corrective action log covers actual, recent issues with responsible owners, actioned items, and evidence that they have been checked for effectiveness.