



Audit Process

Client to complete Application form – refer website

Stage 1 Audit

The first step of the ISO 9001 audit process is a 'Stage 1' audit. This audit has two main purposes; firstly, it ensures that you have the quality management system in place and is ready to audit. Secondly, it helps the certification body to confirm the scope of activity and plan the Stage 2 audit. Usually this may be an on-site visit to learn more about the company and processes and procedures.

A document review will be conducted.

As a result of the Stage 1 audit, if all goes well, you will be recommended to proceed to Stage 2. If not all the requirements are met, your report will detail the issues to be resolved prior to the next audit, or you may need to repeat the Stage 1 process.

Stage 2 Audit

The second step of the ISO 9001 audit process is the 'Stage 2' audit. This expands on the Stage 1 audit. You will have a short repeat of auditing the documentation, but the main focus of the audit will be on the operational aspects of the organisation. At this Stage, the auditor will be asking questions of the team and what roles they have, as well as seeing what they do, and whether they understand the policies of your ISO 9001 quality management system.

You will need to show evidence that the system has been running for a reasonable period of time. This will be done by showing examples of your day-to-day activities.

Receive Certificate

The third step in the ISO 9001 audit process is to receive the Certificate. At Stage 2, if there are no issues, you will be recommended for Certification to ISO 9001. The auditor does not award the Certificate, but instead makes a recommendation in the report. The report is sent back to the Certification Body, and the CB Technical Committee will check that the correct auditor was used, that appropriate evidence was reviewed and that the audit was of suitable duration. Depending on the Certification Body, you may wait between 2 and 12 weeks for your Certificate.

Surveillance Audits

Following on from the third step in the ISO 9001 audit process is the 'Surveillance' phase. The Surveillance audits look at the updates on the quality management system, such as Internal Audits and any Management Reviews that have been completed. These audits will be carried out after 9 or 12 months.

As well as the quality management system documentation, the audit will cover a sample of the operational processes. If your scope covers activities such as installation, then site visits will take place. Over the two surveillance periods, they will cover all the operational processes you operate.

Recertification Audits

The final step in the ISO 9001 audit process is 'Recertification'. The audit will take a longer view on the system and review what the organisation has learnt and how it has progressed during the three years of operating the ISO 9001 Quality Management System.

The Recertification audit will look forward as well, at the quality objectives and planning that the organisation has made for the forthcoming trading period. The recertification audit will set the forthcoming audit plan for the next three years.

As a result of a successful audit, the Certificate will be re-issued for a further three years and the Surveillance programme will begin again.