



ISO 9001:2015 Audit-Prep Kit for Small Shops

Start here: what's inside, a 30-day plan, and what you still need.

Which edition is this for? This kit is written for **ISO 9001:2015**, including the 2024 climate amendment. ISO published **ISO 9001:2026** on 16 September 2026. Under the published transition rules, existing 2015 certificates stay valid until **30 September 2029**, and new first-time certifications to the 2015 edition stop after **31 March 2028**. If you are certified to 2015 and have surveillance audits coming, this kit fits. If you are certifying for the first time, ask your registrar which edition they will audit you to.

What's inside

File	What it is	When to use it
00_Start_Here_README.pdf	This guide	First
01_Audit_Readiness_Checklist_ISO9001 (.docx + .pdf)	Clause-by-clause checklist for 4.1 to 10.3: what the auditor looks for, evidence to have ready, status, owner, action. Plus the 12 findings small shops get most often	Gap assessment 6-8 weeks before an audit
02_Internal_Audit_Plan_and_Report_Templates (.docx + .pdf)	Annual program, single-audit plan, auditor working checklist, finding record, report	Your internal audit cycle
03_Corrective_Action_Form (.docx + .pdf)	8D-style corrective action form with containment, 5-Why for occurrence and escape, fishbone, effectiveness check; page on writing a CA customers accept	Complaints, audit findings, repeat NCRs
04_Nonconformance_Report_NCR_Template (.docx + .pdf)	NCR form with a disposition guide and an NCR log page	Every nonconforming part or output
05_Context_Risk_Objectives_and_Management_Review_Templates (.docx + .pdf)	Issues and climate decision (4.1), interested parties (4.2), risk and opportunity register (6.1), objectives (6.2), management review agenda and minutes (9.3)	Before the audit; at every management review
06_Excel_Tracker_Workbook.xlsx	Readiness scoring, summary, NCR log, CAPA log, risk register, objectives, audit schedule	Ongoing; weekly review

30-day audit prep plan

When	Do this	Output
Week 1	Run the checklist (01) with each process owner. Be honest about P and N. Walk the floor for the 12 common findings.	Gap list with owners and dates in the tracker
Week 2	Fix the high-risk gaps first: context and risk records (05), calibration, document control, order review, supplier evaluation, nonconforming product. Open corrective actions (03) for anything systemic.	Closed gaps; open CAs with plans
Week 3	Run an internal audit (02) of the weakest processes, using someone who did not do the work. Trace two or three shipped orders from order review to certificate of conformance.	Audit report and findings



Audit-Readiness Checklist by ISO 9001:2015 Clause

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Use this checklist 6-8 weeks before a certification, surveillance, or customer audit. Work through it with the owner of each process, mark status honestly, and turn every P or N into an action with an owner and a date. The text describes what an auditor typically looks for, in plain language. It is not the wording of ISO 9001; keep a licensed copy of the standard on hand for exact requirements.

Company		Site		Completed by		Date	
Audit type		Audit date		Registrar / customer		Certificate scope	

Status key: Y = in place with evidence P = partly in place N = not in place NA = not applicable (justify in scope)

Clause	Topic	What the auditor will look for (paraphrased)	Evidence to have ready	Status	Owner	Action / due date
4 Context of the organization						
4.1	Internal and external issues	You have identified the business, technical, legal, and market issues that affect your ability to deliver conforming product, and you review them. Since the 2024 amendment, you have also decided whether climate change is a relevant issue and recorded that decision.	Issues list or SWOT with a review date; management review minutes; a short climate change determination (relevant or not, and why).			
4.2	Interested parties	You know who has a stake in your quality system (customers, regulators, key suppliers, employees, owners) and what each needs from it, and you decided which of those needs you will address. Interested parties can include climate-related expectations.	Interested-parties table: party, requirements, how you meet them, review date. Customer quality requirements listed with revisions.			
4.3	QMS scope	Your scope is written down, names the products, services, and sites covered, and justifies any requirement you say does not apply (for example design, for a make-to-print shop).	Scope statement in the quality manual and on the certificate; written justification for each requirement claimed as not applicable.			
4.4	QMS processes and their interaction	Your main processes are defined with inputs, outputs, sequence, owners, measures, resources, and risks, and you can show how they connect. You keep the documents needed to run them and the records that show they ran as planned.	Process map or turtle diagrams; process owner list with measures; procedures and records for each process.			
5 Leadership						
5.1.1	Leadership commitment	Top management takes accountability for the quality system: sets policy and objectives, builds quality into business processes, provides resources, and stays involved instead of	Management review signed by the owner or GM; resource decisions; leadership can talk about objectives and results.			