Audit and inspection preparation checklist

CHECKLIST TEMPLATE

Check this template against your local regulations and your own policies before you use it.

Business _____ Location _____ Date _____

Audit preparation

From the audit notice to the day after

TASK	NOTES	INITIALS
When the audit is booked		
☐ Confirm the date, the auditor or inspector, what will be checked and against which standard or rules		
☐ Name one person to coordinate the audit and be the auditor's contact		
☐ Ask for the agenda, and the documents the auditor wants to see beforehand		
☐ Read the last audit or inspection report and its findings		
Documents and records		
☐ Gather the current policies and procedures in scope, and check none are past their review date		
☐ Bring the obligations, risk, incident and corrective action registers up to date		
☐ Pull together the records the auditor is likely to sample, such as completed checklists, logs and files		
☐ Check the training matrix, and that licenses and certificates in scope are current Book refresher training now for anything that has expired.		
Open issues		
☐ Close the corrective actions from the last audit, with evidence they worked		
☐ Fix any gap you find while preparing, or record it with a plan and a date An honest plan for a known gap usually goes down better than an auditor finding it.		
People		
☐ Tell staff when the audit is and what to expect		
☐ Brief the people likely to be interviewed to answer honestly, show how they really work, and say if they don't know		
☐ Make sure managers for each area are available on the day		
The site and the day		
☐ Walk the site with the checklist for your area, such as the workplace inspection checklist, and fix what you find		
☐ Book a room, and set up access to the systems and files the auditor will need		
☐ Prepare a short opening introduction to the business and how it's organized		
After the audit		
☐ Record each finding in the corrective action register with an owner and due date		
☐ Send the auditor any evidence or responses they asked for, by the date agreed		
☐ Thank the team and share the results		

Completed by _____ Checked by (manager) _____ Date _____ Notes _____