How to Complete the Review

1. Choose the Relevant Topics

Use the whole tool or select the topics relevant to your initial review. You can divide work among department managers or use one assessment across linked processes. Record the department or location with each finding. Repeat a topic section if different locations need separate findings. Mark topics you have not reviewed; do not treat them as compliant.

2. Record the Current Situation

For each topic, describe the practices worth retaining and identify the evidence sampled, such as a record reference, date, work observation or discussion. Refer to prompt letters a, b or c when only some checks are met. Briefly explain gaps and propose the simplest useful next action. Distinguish an absent process, inconsistent use of an existing process, and missing required documents or records. Do not label every undocumented practice a gap.

3. Select a Status and Action Priority

Status: Met: sampled evidence supports the checks. Partial: some checks are met. Gap: required arrangements are absent or ineffective. Not reviewed: no conclusion yet. N/A: explain why the requirement does not apply; use the scope safeguards in 4.3.

Priority: High: prompt action is needed because of significant exposure or a major missing system element. Medium: plan action to resolve a meaningful weakness. Low: a limited gap with lower immediate impact. No action: no gap identified. Explain your choice, including customer or operational effects and certification preparation where relevant.

These are planning judgments, not certification-audit grades or a numerical compliance score. Low-priority gaps still need attention. Record beneficial improvements separately from gaps. Address an urgent operational problem immediately rather than waiting for the project plan.

4. Summarize and Plan

Complete the summary at the end. Transfer agreed actions into the project plan or use the action table provided. Use one action for related findings where practical. Assign action owners and dates during project planning; do not create a second tracking system if the company already has one. Review completed actions against evidence before closing them.

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G19 7.5.1–7.5.2 Useful Documents and Updates

a. Does the system include the documented information required by ISO 9001 and anything else the company needs for effective operation? Judge the amount against the size, complexity and competence of the business.

b. When information is created or updated, check identification, description, format, medium and review and approval for suitability. Include forms and local instructions actually used in daily work, not only the manual.

Current practices and evidence
Gaps and recommended action
Status / priority and reason / action ID

G20 7.5.3.1–7.5.3.2 Information Control and Retention

a. Is relevant information available and suitable where and when needed, with protection against loss, inappropriate use or damage to confidentiality and integrity?

b. Check access, distribution, retrieval, use, storage, readability, changes, retention and disposal. Identify and control necessary external documents. For example, check the current instructions at the point of use and access permissions in shared folders.

c. Protect evidence from unintended alteration. Check completed records as well as blank forms. References to available evidence still require appropriate retention; a document with no revision number is not automatically uncontrolled if another effective method is used.

Current practices and evidence
Gaps and recommended action
Status / priority and reason / action ID

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