

**<<Company name (Cert)>>**

**Audit Report - Stage 1**

  

**Report Number:** <<Client number XXX>>/St.1

**Report Date:** 15 September 2025

**Audit dates:** xx month 2025

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**ORGANISATION DETAILS**

Organisation name: <<Company name (Cert)>>

Client number: <<Client number XXX>>

Contact person: <<First name>> <<Last name>>

Main location: <<Adress>>

Other addresses within Scope: <<Multisite>>

* x
* x

Scope of Certification:

<<Scope of Certification>>

Industry description:

<<Anzsic code>>

**AUDIT DETAILS**

Standards: <<Standards>>

Type of Audit: Stage 1 Audit

Dates: dd-mm-2025

Audit duration (incl. report writing): 0.0 days

**Audit Team members:**

Lead Auditor: Choose an item.

Team member: Choose an item.

**AUDIT OBJECTIVES**

The Audit was conducted to achieve the following objectives:

* review the relevant parts of Management System’s documented information;
* evaluate the client’s site-specific conditions and undertake discussions with personnel to determine the preparedness for the Stage 2 Audit;
* review the organisation’s status and understanding regarding requirements of the standards, in particular with respect to the identification of key performance aspects, processes, objectives and operation of the Management System;
* confirm determination and documentation of the Scope of the Management System;
* review the allocation of resources for the Stage 2 Audit and agree the details of the Stage 2 Audit with the organisation;
* provide a focus for planning the Stage 2 Audit by gaining a sufficient understanding of the client’s Management System and site operations in the context of the Management System standard or other normative document;
* evaluate if the Internal Audits and Management Reviews are being planned and performed; and
* evaluate if the level of implementation of the Management System substantiates that <<Company name (Cert)>> is ready for the Stage 2 Audit.

**AUDIT PROCESSES**

The Audit was conducted in compliance with the requirements of applicable ISO/IEC17021-standards, applicable IAF-requirements and ATLAS Certification procedures.

The evidence reviewed was relevant to all processes and functional units that are included in/ covered by the Scope of Certification.

The Audit objectives have been fulfilled, and a fair, unbiased, and impartial assessment has been conducted. The collected and reviewed evidence is sufficient to support the recommendation made.

**AUDIT RESULT SUMMARY**

Whilst some issues have been identified where it is recommended the organisation further considers the status of the Management System prior to the commencement of the Stage 2 Audit, review/ Review of available evidence has provided confirmation that the Management System has been sufficiently developed and implemented to confirm <<Company name (Cert)>>’s preparedness for the Stage 2 Audit.

Implementation of Internal Audit and Management Review processes has been assessed, and the results of this assessment are detailed in the Summary of Results section in this Audit Report.

OR

It is however required that additional evidence is provided to confirm the organisation has conducted at least one Internal Audit of the relevant parts of its Management System and one Management Review, taking into consideration the required inputs, to evaluate the suitability, adequacy and effectiveness of the Management System prior to planning the Stage 2 Audit.

The evidence sighted demonstrates a good understanding of the relevant requirements of the Standards, incl. those related to the identification of key performance or significant aspects, processes, objectives, and operation of the Management System.

The Audit objectives have been achieved, and a fair, unbiased, and impartial assessment has been conducted to obtain sufficient evidence to support the recommendation made.

Any areas of concern/ opportunities for improvement that were identified during the Audit have been summarised in the Summary of Results section of this report.

The Audit did not identify any issues that would require any alterations to the preliminary arrangements made for the Stage 2 Audit, including the assigned Audit Team and determined Audit duration.

**RECOMMENDATION**

Based on the evidence obtained during the Stage 1 audit, it is our view that <<Company name (Cert)>> is ready for the Stage 2 Audit against the following Standards:

Some areas of concern were identified during the Stage 1 Audit. It is recommended the organisation reviews and where necessary addresses these issues before proceeding with the Stage 2 Audit against the following Standards:

* **<<Standards>>**

*Note: It is a requirement that evidence of the implementation of Internal Audit processes and at least one comprehensive Management Review is provided prior to planning the Stage 2 Audit. Please provide such evidence at your earliest convenience and note that the Stage 2 Audit cannot be planned until we have been able to verify this information.*

A new Stage 1 Audit is required/ recommended to be conducted prior to conducting the Stage 2 Audit to ensure appropriate action has been taken to address the identified areas of concern.

**STAGE 1 - SUMMARY OF RESULTS**

The audit findings have been classified against the criteria below, and marked as follows:

|  |  |
| --- | --- |
|  | No areas of concern identified |
|  | Some minor Opportunities for Improvement may exist |
|  | It is recommended that this part of the Management System is reviewed to ensure its conformity with relevant requirements |
|  | Based on the available evidence at this stage, it is likely this issue would lead to a Non-Conformity being raised if not addressed prior to the Stage 2 Audit. |
|  | Criterion could not be assessed. |

| **Element** | **Clause** | **Result** |
| --- | --- | --- |
| General information about the Organisation and its activities | | |
| Provide detail | | |
| **Review Results** | | |
| Scope of the Management System | 4.3 |  |
| It was confirmed the organisation has determined the Scope of its Management System and retained as Documented Information as required.  The Scope of the Management System has been documented in XXX | | |
| Quality, Environmental, and Safety Policy | 5.2 |  |
| **Quality Policy:**  A Quality Policy (issue date: XXX) has been established and is retained as documented information. The contents of the Policy are aligned with the relevant requirements.  **Environmental Policy:**  An Environmental Policy (issue date: XXX) has been established and is retained as documented information. The contents are aligned with the relevant requirements.  **Safety Policy:**  An Occupational/Workplace Health and Safety Policy (issue date: XXX) has been established and is retained as documented information. The contents of the Policy are aligned with the relevant requirements.  Processes to communicate, ensure understanding and regularly review the currency of the Policies shall be further assessed during the Stage 2 Audit. | | |
| Information about the Risk Assessment process & records of Risks and Opportunities identified | 6.1.1 |  |
| It was confirmed the organisation has identified the Risks and Opportunities that could affect the Management system’s ability to:   * achieve its intended outcomes, * prevent, or reduce, undesired effects, and * achieve continual improvement.   Documented Information on identified Risks and Opportunities is retained in XXX  It shall be further reviewed as part of the Stage 2 Audit if identified Risks and Opportunities reasonably and sufficiently reflect the organisation’s context (incl. internal and external issues and the needs and expectations of interested parties). | | |
| Identification and assessment of Environmental Aspects | 6.1.2 |  |
| Evidence was sighted to confirm the organisation has determined the Environmental Aspects of its activities, products/services and assessed their associated Environmental Impacts.  Criteria have been established to determine the aspects that have or can have a significant environmental impact (i.e., significant Aspects).  Details of identified Aspects and assessed Impacts shall be further reviewed as part of the Stage 2 Audit. This shall also include review of the consideration of a ‘life-cycle perspective’ and the inclusion of reasonably foreseeable emergency situations and the determination of effective controls to minimise adverse environmental effects, in accordance with commitments expressed in the Environmental Policy. | | |
| Hazard Identification and Risk Assessment processes | 6.1.2 |  |
| Evidence was presented to demonstrate that Safety Hazards have been identified and there are processes in place to assess the Risks associated with these Hazards.  Documented evidence of identified Hazards and assessed Risks is retained in XXX  Examples of SWMS/JSA were also provided and reviewed. XXX…  Further review of identified Hazards, assessed Risks and (the effectiveness) processes to eliminate, reduce the Risks shall occur as part of the Stage 2 Audit. | | |
| Determination of applicable Compliance Obligations | 6.1.3 |  |
| It was confirmed that the organisation has identified its relevant Compliance Obligations, incl. Acts, Regulations, Codes of Practice, Australian Standards, etc., for the jurisdictions in which it operates. Documented information is retained accordingly in XXX  The development and implementation of processes to determine how these obligations apply to the organisation and its processes as well as relevant responsibilities and communication and consultation methods shall be reviewed as part of the Stage 2 Audit. | | |
| Objectives, including the planning of their achievement | 6.2 |  |
| Evidence was presented to demonstrate the organisation has determined Objectives, aimed at continual improvement of the Management System and/or its results.  The achievement of Objectives has been planned as required.  Processes to determine, review, update and monitor achievement of Objectives shall be reviewed in more detail as part of the Stage 2 Audit. | | |
| Chemicals Register | N/A |  |
| Evidence was sighted to confirm the organisation retains a register of chemicals it uses. This references the relevant SDS. A few examples of SDS were sighted.  Processes to keep the register and SDS current as well as processes to manage Hazardous Chemicals used by the organisation’s sub-contractors shall be reviewed in more detail as part of the Stage 2 Audit. | | |
| Internal Audit programme | 9.2 |  |
| Internal Audits are planned, and an Internal Audit programme is retained as Documented Information. This demonstrates the organisation has determined what, when and how it will conduct Internal Audits to verify the Management System’s conformity with the requirements of the relevant Standards as well as the effective implementation of the Management System.  Documented Information is retained in XXX | | |
| Records of Internal Audit | 9.2 |  |
| No evidence Evidence to demonstrate that Internal Audits are being conducted in accordance with planned arrangements was sighted. Records of Internal Audits conducted are typically retained in Internal Audit Reports. An example of such a report was sighted as evidence, dated XXX.  Further review of the Internal Audit process, its impartiality and the actioning of its results shall be reviewed as part of the Stage 2 Audit.  *Note: It is a requirement that evidence of the implementation of Internal Audit processes is provided prior to planning the Stage 2 Audit. Please provide such evidence at your earliest convenience and note that the Stage 2 Audit cannot be planned until we have been able to verify this information.* | | |
| Records of Management Review | 9.3 |  |
| No evidence Evidence to demonstrate that at least one Management Review, taking into consideration the required inputs and generating the required outputs has been conducted in accordance with planned arrangements was available. Records of Management Reviews and their results are retained. An example, dated XXX, was sighted. This demonstrates evaluation of the suitability, adequacy and effectiveness of the Management System by considering the required inputs specified in section 9.3 of the relevant Standard(s).  Further review of the Management Review process, incl. top management’s involvement and the actioning of its results shall be reviewed as part of the Stage 2 Audit.  *Note: It is a requirement that evidence of at least one comprehensive Management Review is provided prior to planning the Stage 2 Audit. Please provide such evidence at your earliest convenience and note that the Stage 2 Audit cannot be planned until we have been able to verify this information.* | | |
| Non-conformance and Corrective Action records | 10.2 |  |
| Evidence (XXX) was provided to confirm that the organisation has developed processes to record and communicate identified Non-Conformities (incl. complaints, incidents, etc.) and to determine the root cause and the need for Corrective Action. Records of identified Non-Conformities and subsequent actions taken are retained.  Further review of identified issues and Corrective Actions taken shall be reviewed as part of the Stage 2 Audit. | | |

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