
SELF-ASSESSMENT WORKSHEET

ISO Management Systems — Overview

Work through each clause, record what you do today, rate where you are and agree the actions that close the gap.

ORGANISATION

COMPLETED BY

DATE

How to rate: 0 = nothing in place 1 = partly in place 2 = in place, little evidence 3 = in place and evidenced
Fill in on screen or print. Always work from the current published standard.

How to complete this worksheet

1

Get the right people together

Ask the person who runs each area to help. Allow 1–2 hours per sitting; you don't have to finish in one go.

2

Read each clause and the evidence prompt

The grey box tells you what an auditor will look for. The examples underneath show the kind of records that count.

3

Write what you actually do today

Describe the real practice, not what you'd like to happen. Name the document, system or record and where it's kept, e.g. 'Training matrix — SharePoint/HR, updated monthly'.

4

Rate honestly from 0 to 3

0 nothing in place · 1 partly in place or informal · 2 in place but little written proof · 3 in place, followed and evidenced with records. If you can't show it, it isn't a 3.

5

Agree actions, owners and due dates

For anything rated 0–2, write the next practical step, who will do it and by when. Small, specific actions get done.

6

Summarise and review

List your top three priorities on the final page. Revisit the worksheet every few months to track progress.

What counts as good evidence?

- Good evidence is current, approved, dated and actually used — a policy nobody follows isn't evidence.
- Records beat documents: a completed checklist proves more than the procedure that describes it.
- Photos, screenshots, emails and system exports all count if they show the activity happening.
- Leave a box blank rather than guess — blanks show you where to look first.

CLAUSES 1-3

Scope, references and definitions

Introduce the standard and its terms; no auditable requirements.

Evidence to look for: Know the key definitions.

Examples of suitable evidence

- ✓ Copy of the current standard
- ✓ Register of referenced standards and their editions
- ✓ Glossary of terms used in the management system
- ✓ Staff briefing slides introducing the standard's scope

What we do today / evidence we hold**Actions to close the gap****Owner**

Due

Rating
☐ 0

☐ 1

☐ 2

☐ 3

CLAUSE 4

Context

Understand your organisation, stakeholders and scope.

Evidence to look for: Scope statement and issues register.

Examples of suitable evidence

- ✓ Context review recording internal and external issues
- ✓ Stakeholder register listing customers, regulators and their requirements
- ✓ Approved management system scope statement
- ✓ Management meeting minutes reviewing changes affecting the organisation

What we do today / evidence we hold**Actions to close the gap****Owner**

Due

Rating
☐ 0

☐ 1

☐ 2

☐ 3

CLAUSE 5

Leadership

Top management owns the system and its policy.

Evidence to look for: Board-level review of performance.

Examples of suitable evidence

- ✓ Management system policy signed by the managing director
- ✓ Leadership meeting minutes approving management system resources
- ✓ Organisation chart showing management system responsibilities
- ✓ Staff briefing records showing directors explaining the policy

What we do today / evidence we hold

Actions to close the gap

Owner		Due		Rating	0	1	2	3
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CLAUSE 6

Planning

Risks, opportunities, obligations and objectives.

Evidence to look for: Risk register and measurable objectives.

Examples of suitable evidence

- ✓ Risk and opportunity register with owners and planned actions
- ✓ Legal and contractual obligations register with assigned responsibilities
- ✓ Objectives plan showing targets, deadlines and responsible staff
- ✓ Planning meeting minutes agreeing actions for significant risks

What we do today / evidence we hold

Actions to close the gap

Owner		Due		Rating	0	1	2	3
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CLAUSE 7

Support

People, competence, communication and documents.

Evidence to look for: Training records and controlled documents.

Examples of suitable evidence

- ✓ Staff competence matrix showing required skills and training gaps
- ✓ Training records with completed competence assessments
- ✓ Communication plan identifying audiences, messages and responsible staff
- ✓ Controlled document register showing current versions and approval dates

What we do today / evidence we hold

Actions to close the gap

Owner		Due		Rating	0	1	2	3
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CLAUSE 8

Operation

Control the work the standard is about.

Evidence to look for: Operational procedures and records.

Examples of suitable evidence

- ✓ Approved work instructions for key operational tasks
- ✓ Completed job checklists showing required controls were followed
- ✓ Supplier assessment records against agreed purchasing criteria
- ✓ Operational change records showing approval before implementation

What we do today / evidence we hold

Actions to close the gap

Owner		Due		Rating	0	1	2	3
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CLAUSE 9

Performance evaluation

Monitor, audit and review.

Evidence to look for: KPIs, internal audits and management review.

Examples of suitable evidence

- ✓ Monthly performance dashboard tracking agreed measures and targets
- ✓ Internal audit programme covering management system processes
- ✓ Completed internal audit reports with findings and supporting evidence
- ✓ Management review minutes recording decisions, actions and resource needs

What we do today / evidence we hold**Actions to close the gap**

Owner

Due

Rating

☐ 0

☐ 1

☐ 2

☐ 3

CLAUSE 10

Improvement

Fix problems and keep improving.

Evidence to look for: Corrective action records.

Examples of suitable evidence

- ✓ Nonconformity log recording problems, owners and corrective actions
- ✓ Root cause investigation report for a recurring service failure
- ✓ Corrective action records showing checks that fixes worked
- ✓ Improvement register showing completed projects and measured benefits

What we do today / evidence we hold**Actions to close the gap**

Owner

Due

Rating

☐ 0

☐ 1

☐ 2

☐ 3

Summary and next steps

Top three priorities

Resources or support needed

Target date for certification or review

Want a second pair of eyes?

Send your completed worksheet to our success team for a free review call.

success@isology.co.uk · www.isology.co.uk/contact