Internal Audit Checklist

ISO 9001:2015

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1 Guidance

1.1 About this Checklist

The audit checklist is just one of the many tools which are available from the auditor's toolbox that help ensure your audits address the necessary requirements. It stands as a reference point before, during and after the audit process and if developed for a specific audit and used correctly will provide the following benefits:

- Ensures the audit is conducted systematically;
- Promotes audit planning;
- Ensures a consistent audit approach;
- Actively supports your organization's audit process (ISO 9001:2015, Clause 9.2.1);
- Provides a repository for notes collected during the audit;
- Ensures uniformity in the performance of different auditors;
- Provides reference to objective evidence.

This audit checklist comprises tables of the certifiable ('shall') requirements, from Section 4.0 to Section 10.0 of ISO 9001:2015, each required is phrased as a question. This audit checklist may be used for element compliance audits and for process audits. If you wish to create separate process audit checklists, select the clauses from the tables below that are relevant to the process and copy and paste the audit questions into a new audit checklist. We suggest that you retain this audit checklist as your 'master copy'.

1.2 Audit Scoring Criteria

A risk-based internal audit approach allows the internal audit to concentrate on reviewing the major risks to your organization. The audit's role is to provide assurance that key risks to your organization's objectives are being well controlled.

The audit findings 'traffic lights' are intended to visually communicate the risk posed by the audit finding of any system or processes being audited. The rating system is stratified from 'compliant' to 'major non-conformance' to convey a concise and consistent method for scoring each audit finding. At the end of the audit, you can transfer the findings into an Excel spreadsheet to create charts, summary tables and trend data to paste into your audit report or management review documentation.

This methodology should be uniformly applied to all types of internal audit (gap analysis, system audits and process audits) that your organization will likely undertake.

Finding	Definition/Impact	Action/Mitigation
COMPLIANT	Compliant means adherence with the requirements of the standard and the QMS. The process is implemented and documented and records exist to verify this.	Continue to monitor trends/indicators.
OFI	A **low risk issue** that offers an opportunity to improve current practice. Processes may cumbersome or overly complex but meet their targets and objectives. Unresolved OFIs may degrade over time to become non-compliant.	Review and implement actions to improve the process(s). Monitor trends/indicators to determine if improvement was achieved.
MINOR N/C	A medium risk, minor non-conformance resulting in deviation from process practice not likely to result in the failure of the management system or process that will **not** result in the delivery of non-conforming products nor reduce the effectiveness of the QMS.	Investigate root cause(s) and implement corrective action by next reporting period or next scheduled audit.
MAJOR N/C	A high risk, major non-conformance which **directly impacts** upon customer requirements, **likely** to result in the customer receiving non-conforming products or services, or which may reduce the effectiveness of the QMS.	Implement immediate containment action, investigate root cause(s) and apply corrective action. Re-audit in 4 weeks to verify correction.

1.3 Principles of Auditing

Auditing relies on a number of principles whose intent is to make the audit become an effective and reliable tool that supports your company's management policies and procedures whilst providing suitable objective information that your company can act upon to continually improve its performance. Adherence to the following principles are considered to be a prerequisite for ensuring that the conclusions derived from the audit are accurate, objective and sufficient. It also allows auditors working independently from one another to reach similar conclusions when auditing in similar circumstances. The following principles relate to auditors.

1. **Ethical conduct:** Trust, integrity, confidentiality and discretion are essential to auditing;
2. **Fair presentation:** Audit findings, conclusions and reports reflect truthfully and accurately the audit activities ;
3. **Professional care:** Auditors must exercise care in accordance with the importance of the task they perform;
4. **Independence:** Auditors must be independent of the activity being audited and be objective;

2 Internal Audit Checklist

2.1 Context of the Organization

				Audit Findings						
Ref No.	**Q-No**	**Requirements/Questions**	**Process Name**	**Conforms**	**Minor NC**	**Major NC**	**OFI**	**Possible Root-cause**	**Action Plan**	**Audit Evidence & Notes**
4.1	1	Has your organization determined external and internal issues (Incl. whether climate change is a relevant issue) are applicable to its purpose and its strategic direction that affect its ability to achieve the intended result(s) of its quality management system?								
4.1	2	Does your organization monitor and review information about these external and internal issues?								
4.2	3	Does your organization determine the interested parties that are relevant to the quality management system?								
4.2	4	Does your organization determine the requirements (Incl. those relating to climate change) of the interested parties that are relevant to the quality management system?								
4.2	5	Does your organization monitor and review information about these interested parties and their relevant requirements?								
4.3	6	Does your organization determine the boundaries and applicability of the quality management system to establish its scope?								