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ISO 14001:2026

Internal Audit Checklist Training

F0920-02_Internal_Audit_Checklist.xlsx · G0920-02_Internal_Audit_Checklist_User_Guide.docx

How to conduct an internal audit — Clause 9.2 from 145-question checklist through root-cause analysis to traffic-light reporting

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Overview

Why the audit checklist matters — what the workbook produces and how it turns 145 questions into actionable audit evidence

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How to Run an Audit — Three Core Steps

Each audit moves through three sequential steps. Skipping the setup step is the most common failure mode — auditors launch into questions with a generic process list and the filter-by-process analytics become meaningless.

1. Setup — Customise process list and filter by process

Before any audit, edit the process list in Cell B195 to match the organisation's process structure (copy from F0920-01 Process Matrix for consistency). Save a backup — the password to unprotect Column P is “1234” but do NOT edit Column P formulas. Then filter the checklist by Process Name to show only questions relevant to the audit in progress.

2. Audit — Walk questions, select findings

For each applicable question: select Process Name (Col E), then select Audit Result (Col F) from dropdown: Conforms, Minor NC, Major NC, or OFI. Recommendation (Col G) and Score (Col L) auto-populate. Columns H–K tally the “x” for pivot tables. The score contributes to the process's traffic-light rating.

3. Analyse — Root cause, action plan, audit evidence

For every Minor NC and Major NC, select Possible Root-cause (Col M) from dropdown, describe Action Plan (Col N), and record Audit Evidence & Notes (Col O) including document numbers and revisions. Conforms findings don't need root cause; OFIs get opportunity notes. Missing root cause on NCs breaks the Pareto analysis.

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Anatomy of a Checklist Row — Three Column Blocks

Fifteen columns across three functional blocks. The Question block defines what is being audited; the Finding block captures the result and auto-calculates the score; the Action block documents the cause, remedy, and evidence. Each block has a distinct purpose and a distinct owner.

QUESTION BLOCK — Columns A–D

Ref No (ISO clause), Clause Title, Q-No (1–145), and the paraphrased “shall” requirement as a question. Pre-populated and locked — auditors don't modify this block. The Q-No provides a stable reference across audits and years; audit reports cite Q-No, not row number.

FINDING BLOCK — Columns E–L

Process Name, Audit Result dropdown, auto-populated Recommendation, four tally columns (hidden, H–K), Score (0, 25, 75, or 100), and Risk Indicator (Col L — auto-colour per ISO 19011:2018). The auditor's two active cells per row: Process Name and Audit Result. Everything else derives.

ACTION BLOCK — Columns M–O

Possible Root-cause dropdown (edit list at Cell M194), Action Plan (free text), Audit Evidence & Notes (document references, photos, interview notes). This is where the audit's value is created — a Major NC with blank M, N, and O columns is a finding that went nowhere.

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What You Enter vs What the Checklist Calculates

You enter five fields per audited question: Process Name, Audit Result, Root Cause, Action Plan, Audit Evidence. The checklist calculates the recommendation, score, tally columns, risk indicator, and the entire Result Charts dashboard — automatically, from the dropdown selections.

You enter per audited question	Checklist auto-calculates or derives
Col E — Process Name (dropdown)	Col G — Recommendation (from Audit Result)
Col F — Audit Result (4-option dropdown)	Col H–K — Tally “x” in one of four columns
Col M — Possible Root-cause (for NCs, dropdown)	Col L — Score (100 / 75 / 25) and risk indicator
Col N — Action Plan (free text)	Col P — Error tracking (protected, pw “1234”)
Col O — Audit Evidence & Notes (free text)	Result Charts — bar, doughnut, Pareto auto-update
Process list — edit at Cell B195; root-cause list at M194	Process Report & Action Report — pivot-refresh to update

NEVER edit Column P — it contains the error-tracking formulas that count data-entry errors and alert on missing entries. The cells are protected (unlock password “1234”) but should not be unlocked. Save a backup before any structural edit; re-creating Column P formulas is non-trivial.