F0920-02

Internal Audit Checklist

User Guide | ISO 14001:2026 | Clause 9.2

Document reference	F0920-02
Version	V1.0
Standard	ISO 14001:2026 — Clause 9.2 Internal Audit
File format	Microsoft Excel (.xlsx)
Sheet count	Structured register with guidance, scoring criteria, and worked examples
Data rows	Scalable register with dropdown validations and scoring formulas

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1. Purpose and Scope

The F0920-02 Internal Audit Checklist is an Excel workbook that provides a complete framework for conducting internal audits of your environmental management system against every "shall" requirement of ISO 14001:2026.

The workbook contains 145 pre-written audit questions mapped to ISO 14001:2026 clauses 4.1 through 10.2. For each question, auditors record the finding, assign a root cause, specify a corrective action plan, and capture audit evidence. The workbook automatically generates conformity charts, process summary reports, and action plan reports from the collected data.

No macros or internet connection are required. The workbook uses Excel's built-in data validation, conditional formatting, formulas, and pivot tables.

• Do NOT change or delete cells in Column P of the Master Checklist. This area contains error tracking and alert formulae.

• The companion Internal Audit Dashboard (.html) reads the Result Charts and Action Report sheets from this workbook to generate interactive browser-based charts and analysis.

2. Workbook Overview

Worksheet	Purpose
Guidance	Step-by-step instructions, scoring criteria, traffic light definitions, and process auditing guidance. Read this first.
Master Internal Audit Checklist	The primary data entry sheet. 145 audit questions with drop-down menus for process name, audit result, root cause, and action plan. Includes error tracking in column P.
Result Charts	Auto-generated summary data and charts. Conformity by clause, process scores, traffic lights, Pareto analysis data, and error counts. Feeds into the companion HTML dashboard.
Process Report	Pivot table summarising audit results (Conforms, Minor NC, Major NC, Opportunity) by process. Supports management review reporting.
Action Report	Pivot table summarising root causes and corrective action plans with occurrence counts, filterable by process name. Feeds into the companion HTML dashboard.
Question Guidance	Reference sheet with auditor guidance and suggestions for each of the 145 questions. Helps auditors understand what evidence to look for.

3. Getting Started

3.1 Before You Begin

1. Open the Guidance sheet and read the instructions and scoring criteria.
2. Review the Question Guidance sheet to familiarise yourself with the audit evidence suggestions for each clause.
3. In the Master Internal Audit Checklist, review the process names in column E. These are populated via drop-down menus. If your organisation uses different process names, update the validation source lists in the data area below row 154.

3.2 Conducting an Audit

1. Open the Master Internal Audit Checklist sheet.

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Resolve all errors in the Master Checklist before generating final reports or uploading to the dashboard.

6. Process Report Sheet

The Process Report is an Excel pivot table that summarises audit results by process. It provides a cross-tabulated view showing the count of Conforms, Major NC, Minor NC, and Opportunity findings for each audited process, with a Grand Total column.

This report is designed for management review presentations and process-level reporting. Use Excel's built-in pivot table filtering and sorting to focus on specific processes or finding types.

> *The pivot table refreshes automatically when the workbook is opened. If you have added new data and need to refresh manually, right-click anywhere in the pivot table and select Refresh.*

7. Action Report Sheet

The Action Report is an Excel pivot table that summarises root causes and corrective action plans with occurrence counts. Root causes are grouped by Ishikawa 6M category, with individual action plans listed beneath each category.

7.1 Features

- Filter by Process Name using the filter control at the top of the report (cell B4) to view actions for a specific process
- Root cause categories are listed as group headers with their total count
- Individual action plans are listed beneath each root cause with their occurrence count

7.2 Dashboard Integration

The companion Internal Audit Dashboard reads the Action Report sheet (range A6:B120) to generate the Action Plans bar chart. The dashboard parses the hierarchical structure, distinguishing root cause group headers from individual action plans, and displays the top 8 action plans by frequency.

8. Question Guidance Sheet

The Question Guidance sheet provides auditor reference material for each of the 145 audit questions. It is structured with four columns:

Column	Content
A — Ref No.	ISO 14001:2026 clause number, matching the Master Checklist
B — Clause Title	Clause title, matching the Master Checklist
C — Q-No	Question number (1–145), matching the Master Checklist
D — Guidance & Suggestions	Detailed guidance on what evidence to look for, examples of conforming practice, and suggestions for audit approach

This sheet is for reference only and does not require any data entry. Auditors should consult it before and during the audit to understand the intent of each question and the types of evidence that demonstrate conformity.

9. Companion Dashboard

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The Internal Audit Dashboard (Internal_Audit_Dashboard.html) is a companion file that reads this workbook and presents the audit data as interactive charts, conformance heatmaps, and analysis tools.

The dashboard reads two sheets from this workbook:

- **Result Charts —** Conformity by clause, process scores, overall summary, and error counts
- **Action Report —** Root causes and corrective action plans with occurrence counts

Distribute the .html dashboard file to any internal stakeholder who needs to review the audit data. Each recipient opens the file in their own browser and uploads this .xlsx workbook when prompted. The Excel file can be stored wherever suits your organisation — a local folder, a shared network drive, or SharePoint. The dashboard never modifies the source workbook; it only reads from it at the point of upload.

Refer to the separate Dashboard User Guide for full instructions on using the interactive dashboard.

10. Process Auditing

While the checklist is structured clause-by-clause (which works well for initial gap analysis and certification preparation), it can also be used for process-based auditing by filtering on the Process Name column (E).

10.1 Clause-by-Clause vs Process Auditing

Approach	When to Use
Clause-by-clause	Initial implementation audits, gap analysis, certification preparation, and surveillance audit preparation. Work through questions 1–145 in sequence.
Process-based	Ongoing internal audits after initial certification. Filter the checklist by process name to audit a single process against all applicable requirements.

10.2 Creating Process-Specific Checklists

The Guidance sheet recommends creating additional copies of the Master Checklist tab for each department or process, then filtering by process name. This allows each audit to focus on the questions relevant to that specific process while maintaining the standard question set.

11. Tips and Best Practices

- **Always use the drop-downs —** Free-text entries in drop-down cells may not be counted correctly by the formulas, pivot tables, or the companion dashboard. Use the provided menu options.
- **Do not edit column P —** Column P contains error tracking formulae. Editing or deleting these cells will break the error alert system.
- **Resolve all errors before reporting —** Check the error count in the column P header and resolve all flagged items before generating final reports or uploading to the dashboard.
- **Record evidence for every question —** Column O (Audit Evidence & Notes) strengthens audit credibility. Record what was seen, who was interviewed, and what documents were reviewed.
- **Use the Pareto principle —** In the Result Charts, draw a line at 80% on the cumulative percentage axis to identify the vital few root-causes that account for the majority of findings.
- **Refresh pivot tables after entry —** If the Process Report or Action Report does not reflect recent entries, right-click the pivot table and select Refresh.

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