

# Internal Audit Checklist

System & Process Compliance Auditing

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# ISO 9001:2015 Audit Checklist

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## Guidance

### 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'.

### 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.

## Audit Checklist – Part 1

### Section 4.0 Context of the Organization

Clause	Ref	Audit Question	Audit Findings (Score '1' per box)				Audit Evidence  Provide reference to documented information to justify the finding	Opportunities for Improvement (OFI)  Provide suggestions for process improvement
			COMPLIANT	OFI	MINOR N/C	MAJOR N/C		
4.1	1	Has your organization determined external and internal issues relevant to its purpose and its strategic direction that affect its ability to achieve the intended result(s) of its QMS?						
4.1	2	Does your organization monitor and review information about these external and internal issues?						
4.2	3	Does the organisation determine the interested parties that are relevant to the QMS?						
4.2	4	Does the organisation determine the requirements of these interested parties that are relevant to the QMS?						
4.2	5	Does your organization monitor and review information about these interested parties and their relevant requirements?						

# ISO 9001:2015 Audit Checklist

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### Audit Findings Summary

Manually transfer any adverse audit findings from the Section 4.0 audit checklist above into the audit findings summary table below. 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.

Clause ▶	4.1		4.2			4.3						4.4	4.4.1						4.4.2						
Question No. ▶	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	
Criteria ▼																									
OFI																									
MINOR N/C																									
MAJOR N/C																									