IMS Master Internal Audit Checklist

Quick Links:

Before you begin auditing, review and edit the process name list starting in Cell B460. This will populate the drop-down menus in Column E and various axes within the audit result charts. Use the drop-down menu in Column F to select one of four audit findings defined by the audit criteria. Column G will automatically display a recommendation based on the audit finding. The response is then automatically represented as an 'x' in either Column H, I, J, or K. These columns are hidden. The indicator in Column L will update according to the perceived level of risk, e.g., minor or major. (Ref. ISO 19011:2026, Clause 6). Use the drop-down menus in Col M to select an appropriate root-cause. You can change this list by editing the root-cause list starting in Cell M460. Describe how to correct a nonconformance or adopt an opportunity in Col N. Record audit evidence, such as document numbers and revisions in Col O.

					Audit Findings & Actions					
Ref No.	Clause Title	Q-No	Requirements/Questions	Process Name	Audit Result	Recommendations	Score	Possible Root-cause	Action Plan	Audit Evidence & Notes
4.1	Organizational Context	1	Has your organization determined external and internal issues that are relevant to its purpose and its strategic direction and that affect its ability to achieve the intended result(s) of its integrated management system, including whether climate change is a relevant issue?	Business Planning	Major NC	Contain the problem immediately. Identify the root-cause within one week and correct.	25	Human - Poor employee involvement	Reinforce training	
4.1	Organizational Context	2	Does your organization monitor and review information about these external and internal issues?	Business Planning	Minor NC	Identify and discuss the root-cause within 4 weeks and correct.	75	Process - Procedures or work-instructions were inadequate/non-existent	Review and rewrite WI	
4.2a	Relevant Interested Parties	3	Does your organization determine the interested parties that are relevant to the integrated management system?	Business Planning	Opportunity	Review and implement actions to deploy the opportunity to improve the process(s).	100	Human - Lack of skill, training or experience	Reinforce training	
4.2b/c	Relevant Interested Parties	4	Does your organization determine the relevant requirements (incl. those relating to climate change) of these interested parties, and which of these requirements will be addressed through the integrated management system?	Design & Development	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.2	Relevant Interested Parties	5	Does your organization monitor and review information about these interested parties and their relevant requirements?	Business Review	Minor NC	Identify and discuss the root-cause within 4 weeks and correct.	75	Process - Procedure was contradictory or confusing	Review and rewrite procedure	
4.3	Management System Scope	6	Does your organization determine the boundaries and applicability of the integrated management system to establish its scope?	Management System	Opportunity	Review and implement actions to deploy the opportunity to improve the process(s).	100	Human - Inadequate management involvement	Reinforce training	
4.3a	Management System Scope	7	When determining this scope, has your organization considered the external and internal issues referred to in 4.1?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.3b	Management System Scope	8	When determining this scope, has your organization considered the requirements of relevant interested parties referred to in 4.2?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.3c	Management System Scope	9	When determining this scope, has your organization considered the products and services of the organization?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.3	Management System Scope	10	Has your organization applied all the requirements of ISO 9001:2026 if they are applicable within the determined scope of the integrated management system?	Management System	Major NC	Contain the problem immediately. Identify the root-cause within one week and correct.	25	Human - Poor employee involvement	Review training procedure	
4.3	Management System Scope	11	Does the scope state the types of products and services covered, and provide justification for any requirement of ISO 9001:2026 that your organization determines is not applicable to the scope of its integrated management system?	Management System	Minor NC	Identify and discuss the root-cause within 4 weeks and correct.	75	Opportunity for improvement	Review scope	
4.3	Management System Scope	12	Is the scope of your organization's integrated management system available as documented information? (See 7.5.1a)	Management System	Opportunity	Review and implement actions to deploy the opportunity to improve the process(s).	100	Human - Human error	Reinforce training	
4.4.1	Management System Processes	13	Has your organization established, implemented, maintained and continually improved its integrated management system, including the processes needed and their interactions, in accordance with the requirements of ISO 9001:2026?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.4.1a	Management System Processes	14	Has your organization determined the processes needed for the integrated management system and their application throughout the organization?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.4.1b	Management System Processes	15	Has your organization determined the inputs required and the outputs expected from these processes?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.4.1c	Management System Processes	16	Has your organization determined the sequence and interaction of these processes?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.4.1d	Management System Processes	17	Has your organization determined and applied the criteria and methods (including monitoring, measurements and related performance indicators) needed to ensure the effective operation and control of these processes?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.4.1e	Management System Processes	18	Has your organization determined the resources needed for these processes and ensured their availability?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.4.1f	Management System Processes	19	Has your organization assigned responsibilities and authorities for these processes?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.4.1g	Management System Processes	20	Has your organization addressed the risks and opportunities as determined in accordance with the requirements of 6.1?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.4.1h	Management System Processes	21	Has your organization evaluated these processes and implemented any changes needed to ensure that these processes achieve their intended results?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.4.1i	Management System Processes	22	Does your organization improve the processes and the integrated management system?	Management System	Major NC	Contain the problem immediately. Identify the root-cause within one week and correct.	25	Human - Did not follow procedures, a one-time lapse	Review training procedure	
4.4.2a	Management System Processes	23	To the extent necessary, is documented information available to support the operation of your organization's processes?	Management System	Minor NC	Identify and discuss the root-cause within 4 weeks and correct.	75	Human - Physically unable perform the task	Reassign duties	
4.4.2b	Management System Processes	24	To the extent necessary, is documented information available as evidence that the processes are being carried out as planned?	Management System	Opportunity	Review and implement actions to deploy the opportunity to improve the process(s).	100	Opportunity for improvement	Review previous management review minutes	
5.1.1l	Leadership & Commitment - General	25	Does Top management demonstrate leadership and commitment with respect to the integrated management system by taking accountability for the effectiveness of the integrated management system?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1.1a	Leadership & Commitment - General	26	Does Top management demonstrate leadership and commitment with respect to the integrated management system by ensuring that the quality policy and quality objectives are established and are compatible with the strategic direction of your organization? (See 5.2 and 6.2)	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1.1b	Leadership & Commitment - General	27	Does Top management demonstrate leadership and commitment with respect to the integrated management system by ensuring the integration of the integrated management system requirements into your organization's business processes?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1.1j/k	Leadership & Commitment - General	28	Does Top management demonstrate leadership and commitment with respect to the integrated management system by promoting the use of the process approach, and risk-based thinking and opportunity-based thinking?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1.1c	Leadership & Commitment - General	29	Does Top management demonstrate leadership and commitment with respect to the integrated management system by ensuring that the resources needed for the integrated management system are available?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1.1d	Leadership & Commitment - General	30	Does Top management demonstrate leadership and commitment with respect to the integrated management system by communicating the importance of effective quality management and of conforming to the integrated management system requirements?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1.1e	Leadership & Commitment - General	31	Does Top management demonstrate leadership and commitment with respect to the integrated management system by ensuring that the integrated management system achieves its intended result(s)?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1.1f	Leadership & Commitment - General	32	Does Top management demonstrate leadership and commitment with respect to the integrated management system by directing and supporting persons to contribute to the effectiveness of the integrated management system?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1.1g/i	Leadership & Commitment - General	33	Does Top management demonstrate leadership and commitment with respect to the integrated management system by promoting continual improvement, and by promoting quality culture and ethical behaviour?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1.1h	Leadership & Commitment - General	34	Does Top management demonstrate leadership and commitment with respect to the integrated management system by supporting other relevant roles to demonstrate their leadership as it applies to their areas of responsibility?	Business Planning	Major NC	Contain the problem immediately. Identify the root-cause within one week and correct.	25	Process - Communication systems or delivery failed	Policy needs reviewing and signing	
5.1.2a	Customer Focus	35	Does Top management demonstrate leadership and commitment with respect to customer focus by ensuring that customer and applicable statutory and regulatory requirements are determined, understood and consistently met?	Business Planning	Minor NC	Identify and discuss the root-cause within 4 weeks and correct.	75	Process - Process gap or dysfunction between departments/processes	Policy needs reviewing and signing	
5.1.2b	Customer Focus	36	Does Top management demonstrate leadership and commitment with respect to customer focus by ensuring that the risks and opportunities that can affect conformity of products and services and the ability to enhance customer satisfaction are determined and addressed?	Business Planning	Opportunity	Review and implement actions to deploy the opportunity to improve the process(s).	100	Opportunity for improvement	Ensure risk register addresses need	
5.1.2c	Customer Focus	37	Does Top management demonstrate leadership and commitment with respect to customer focus by ensuring that the focus on enhancing customer satisfaction is maintained?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			

Endeavour Technical Limited © 2026. All rights reserved | IMS ISO 9001 + ISO 14001 Integrated Internal Audit Checklist sample | www.iso-9001-checklist.co.uk