

ISO 9001:2015 & ISO 14001:2015 Master Integrated Internal Audit Checklist

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Assessing for compliance and effectiveness are both essential for determining integrated management system performance. The internal audit checklist will ensure your audits concisely appraise the management system and processes against the requirements and criteria of ISO 9001:2015 and ISO 14001:2015.						Enter one 'x' into Columns G, H or I. Capture OFIs in Column J.				Identify and discuss the potential root cause. Use the drop down menu to select the most appropriate cause of the nonconformity.	Provide a reference to the procedures, work instructions, observations, statements, etc. to support EVERY audit finding.	Note any opportunities for improvement or record good practices that should be included in the audit report.	Audit Risk Score	The cells below also display whether a response has yet to be entered.	
Answer questions 1 to 378 to determine conformance and effectiveness. The internal audit findings are collated and summarized in the 'Audit Results Summary' worksheet.						Audit Findings									
Clause	Clause Title	Q-No	9001	14001	Requirements/Questions	Conform	Minor NC	Major NC	OFI	Possible Root-cause	Audit Evidence & Notes	Opportunities to Improve	Status %	0 Entries yet to be entered	0 Errors
4.1	Organizational Context	1	Q	E	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 EQMS management system?	x							100		
4.1	Organizational Context	2	Q	E	Does your organization monitor and review information about these external and internal issues?		x						75		
4.2a	Relevant Interested Parties	3	Q	E	Does your organization determine the interested parties and workers that are relevant to the EQMS management system?	x			x				100		
4.2b	Relevant Interested Parties	4	Q	E	Does your organization determine the requirements of these interested parties and workers that are relevant to the EQMS management system, which may include regulatory requirements, local, regional or global environmental conditions that can affect, or be affected by, your organization?	x				Human - Inadequate management involvement			100		
4.2c	Relevant Interested Parties	5		E	Does your organization determine which of those requirements are to be managed as a compliance obligation or legal requirement in order to mitigate adverse risk or exploit beneficial opportunities that can be integrated into the operational planning of the EQMS management system?	x							100		
4.3	Management System Scope	6	Q	E	Does your organization determine the boundaries and applicability of the EQMS management system to establish its scope?	x							100		
4.3a	Management System Scope	7	Q	E	When determining this scope, has your organization considered the external and internal issues referred to in 4.1?	x				Process - Document or instruction gap, revision needed			100		
4.3b	Management System Scope	8	Q	E	When determining this scope, has your organization considered the requirements of relevant interested parties referred to in 4.2?	x							100		
4.3c	Management System Scope	9	Q	E	When determining this scope, has your organization considered all relevant products, services and work-related activities, functions and physical boundaries to the EQMS management system?	x							100		
4.3d	Management System Scope	10		E	When determining this scope, has your organization considered its activities, products, services and work-related activities and related product lifecycles, such as: 1. Raw material acquisition; 2. Manufacture; 3. Packaging/Transport/Delivery; 4. Use; 5. End of life treatment; 6. Final disposal.	x			x				100		
4.3e	Management System Scope	11		E	When determining this scope, has your organization considered its activities, products and services over which it has the authority and to exercise control and influence?	x							100		
4.3	Management System Scope	12	Q	E	Has your organization applied all the requirements of ISO 9001:2015 and ISO 14001:2015 if they are applicable within the determined scope of the EQMS management system?	x				Human - Inadequate management involvement			100		
4.3	Management System Scope	13	Q		Does the scope state the types of products and services covered, and provide justification for any requirement of ISO 9001:2015 that your organization determines is not applicable to the scope of its EQMS management system?		x		x				75		
4.3	Management System Scope	14		E	When determining scope, has your organization considered and documented its ability and authority to control and influence factors relating to external and internal issues?	x				Process - Process gap or dysfunction between departments/processes			100		
4.3	Management System Scope	15	Q	E	Is the scope of your organization's EQMS management system available and maintained as documented information and available to interested parties and workers? (See 7.5.1a)	x							100		
4.4	Management System Process	16	Q	E	Has your organization established, implemented, maintained and continually improved its EQMS management system, including the processes needed and their interactions, in accordance with the requirements of ISO 9001:2015 and ISO 14001:2015?	x			x				100		
4.4	Management System Process	17		E	Has your organization considered the knowledge and information obtained by 4.1 and 4.2 when implementing and operating its EQMS management system?	x							100		
4.4	Management System Process	18	Q	E	Has your organization determined the process required for the EQMS management system, including their interactions, in accordance with requirements and their application throughout the organization?	x							100		
4.4.1a	Management System Process	19	Q		Has your organization determined the inputs required and the outputs expected from these processes?	x							100		
4.4.1b	Management System Process	20	Q		Has your organization determined the sequence and interaction of these processes?	x							100		
4.4.1c	Management System Process	21	Q		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?	x				Human - Poor employee involvement			100		
4.4.1d	Management System Process	22	Q		Has your organization determined the resources needed for these processes and ensure their availability?	x							100		
4.4.1e	Management System Process	23	Q		Has your organization assigned responsibilities and authorities for these processes?			x					25		
4.4.1f	Management System Process	24	Q		Has your organization addressed the risks and opportunities as determined in accordance with the requirements of 6.1?	x							100		
4.4.1g	Management System Process	25	Q		Has your organization evaluated these processes and implement any changes needed to ensure that these processes achieve their intended results?	x							100		
4.4.1h	Management System Process	26	Q		Does your organization improve the processes and the EQMS management system?	x							100		
4.4.2a	Management System Process	27	Q		To the extent necessary, does your organization maintain documented information to support the operation of its processes?	x			x				100		