

ISO 9001 Internal Audit Checklist

Organisation

Area or process audited

Auditor

Date

Auditee

Use this ISO 9001 internal audit checklist to record findings and evidence for each question. This checklist is general guidance and does not replace a competent, independent audit.

Audit question	Conforms	NC	Obs.	N/A
Context				
Have internal and external issues been reviewed recently, and is there evidence?	☐	☐	☐	☐
Evidence seen				
Are interested parties and their requirements recorded and current?	☐	☐	☐	☐
Evidence seen				
Does the documented scope match what the organisation actually does?	☐	☐	☐	☐
Evidence seen				

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Leadership				
Can top management explain the quality policy and objectives and their own role?	☐	☐	☐	☐
Evidence seen				
Is there evidence leadership promotes a quality culture and ethical behaviour?	☐	☐	☐	☐
Evidence seen				
Do people know their responsibilities and authorities?	☐	☐	☐	☐
Evidence seen				
Planning				
Are risks and opportunities identified separately, with actions and evidence of follow-up?	☐	☐	☐	☐
Evidence seen				
Are quality objectives measurable, monitored and up to date?	☐	☐	☐	☐
Evidence seen				
Were recent changes to the system planned and reviewed?	☐	☐	☐	☐
Evidence seen				

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Support				
Do competence records match the competence each role needs?	☐	☐	☐	☐
Evidence seen				
Are people aware of the quality policy and how their work affects quality?	☐	☐	☐	☐
Evidence seen				
Are documents current, approved and available where needed?	☐	☐	☐	☐
Evidence seen				
Is measuring equipment calibrated or verified where required?	☐	☐	☐	☐
Evidence seen				
Operation				
Are customer requirements confirmed and recorded before commitment?	☐	☐	☐	☐
Evidence seen				
Are suppliers evaluated and monitored, with records?	☐	☐	☐	☐
Evidence seen				
Is work carried out to defined methods, with checks before release?	☐	☐	☐	☐
Evidence seen				
Are nonconforming outputs identified, recorded and controlled?	☐	☐	☐	☐
Evidence seen				

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Performance				
Is customer satisfaction monitored and acted on?	☐	☐	☐	☐
Evidence seen				
Has the internal audit programme been followed?	☐	☐	☐	☐
Evidence seen				
Did the last management review cover all required inputs, with decisions recorded?	☐	☐	☐	☐
Evidence seen				
Improvement				
Are complaints and nonconformities investigated to root cause, with corrective actions closed and checked for effectiveness?	☐	☐	☐	☐
Evidence seen				
Is there evidence of continual improvement?	☐	☐	☐	☐
Evidence seen				

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