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| **Audit Checklist** *(Not all-inclusive, not presciptive, audit points are not prioritized)* | | | | | |
|  | **Process**: *Performing a process audit* **Scope**: *From audit planning to reporting audit results to the Process Owner* | | | | |
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| **#** | **Audit point: (Question, instruction or prompt)** |  | **What to look for:** |  | **Audit evidence: (Auditor notes)** |
| 1 | *Are internal audits conducted at planned intervals? (8.2.2)* | *Internal audit procedure - Audit schedule - Audit records* |  |
| 2 | *Do internal audits include all requirements of ISO 9001:2000? (8.2.2)* | *Internal audit records - Audit checklists* |  |
| 3 | *Do internal audits include all requirements established by the organization? (8.2.2)* | *Internal audit records - Audit checklists* |  |
| 4 | *Do internal audits verify effectiveness of processes? (8.2.3)* | *Internal audit records - Audit checklists* |  |
| 5 | *Do internal audits verify continual improvement of processes? (8.5.1)* | *Internal audit records - Audit checklists* |  |
| 6 | *In planning internal audits, are the status and importance of processes/areas considered?* | *Internal audit schedule* |  |
| 7 | *In planning audits, are the results of previous (internal/external) audits considered? (8.2.2.)* | *Internal audit schedule* |  |
| 8 | *How are audit criteria, scope, frequency and methods defined? (8.2.2)* | *Internal audit procedure - Audit plans - Internal audit schedule* |  |
| 9 | *Do selection of auditors and conduct of audits ensure objectivity and impartiality? (8.2.2)* | *Internal audit records* |  |
| 10 | *How is it ensured that auditors do no not audit their own work? (8.2.2)* | *Internal audit schedule - Job descriptions - Responsibility ands authority documents* |  |
| 11 | *Is there an Internal Audit procedure and are audit records maintained? (8.2.2)* | *Internal audit procedure - Audit records* |  |
| 12 | *Do managers take action without undue delay on audit nonconformities? (8.2.2) (8.5.2)* | *Corrective action procedure - Corrective action request (CAR) records - CAR logs* |  |
| 13 | *Do follow-up activities include the verification of CARs and the reporting of the results? (8.5.2)* | *Corrective action procedure - Corrective action request (CAR) records - CAR logs* |  |
| 14 | *Are the auditors qualified to audit the QMS and its processes?* | *Training records* |  |
| 15 | *Do internal audit results contribute to continual improvement of the QMS and its processes?* | *Audit records - Linkages between audits and improvement initiatives - Mgt. review records* |  |
| 16 | *Do internal audit results contribute to mitigation and/or elimination of risks in processes?* | *Audit records - Linkages between audits and prevention initiatives - Mgt. review records* |  |
| 17 | *Do internal audits contribute to successful surveillance audits by the Registrar?* | *Surveillance audit records* |  |
| 18 | *Do internal audits contribute to successful (no nonconformities) audits by the Customer?* | *Customer audit records* |  |
| 19 | *Do internal audit evaluation reports show Internal Customer (Auditee) satisfaction?* | *Audit evaluation reports* |  |
| 20 | *Do internal audit evaluation reports show Internal Audit Team Leader satisfaction?* | *Audit performance evaluation reports* |  |
| 21 | *Are audits conducted in accordance with the schedule?* | *Internal audit procedure - Audit plans - Internal audit schedule* |  |
| **#** | **Audit point: (Question, instruction or prompt)** | **What to look for:** | **Audit evidence: (Auditor notes)** |

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| 22 | *Are audit reports completed per the organization's internal audit procedure?* |  | *Internal audit procedure - Audit records* |  |  |
| 23 | *Are audit nonconformity reports completed per the organization's internal audit procedure?* | *Internal audit procedure - Audit records* |  |
| 24 | *Are corrective action requests completed and issued per the organization's CAR procedure?* | *Internal audit procedure - Corrective Action procedure - CARs and CAR logs* |  |
| 25 | *Are Top Management, Supervisors and Associates supportive of the audit process?* | *Random interviews with personnel at all levels and shifts - Management review records* |  |
| 26 | *Is the information necessary for audit planning and preparation readily available/accessible?* | *Organization's intranet - computer networks - Access to QMS/process documents and records* |  |
| 27 | *Do the audit prep documents and checklists show evidence of effective planning and preparation?* | *Audit preparation documents - Audit checklists* |  |
| 28 | *Are the Process Owners involved in planning, preparation and scheduling of audits?* | *Random interviews with Process Owners - E- mails - Communication records, etc.* |  |
| 29 | *Do the Auditors have access to suitable resources to plan, prepare and conduct internal audits?* | *Audit resources (computer equipment, information, communication devices, etc.)* |  |
| 30 | *Have the Auditors received the proper training in accordance with internal requirements?* | *Training records - Auditor performance evaluations - Certifications* |  |
| 31 | *Is the Internal Audit Team Leader qualified in accordance with internal requirements?* | *Training records - Performance evaluations - Professional certifications* |  |
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