Internal Audit Checklist — ISO 9001

A working question set for a full-system internal audit

Organization		**Audit date(s)**		**Audit number**	
Area / process		**Auditor**		**Auditee**	

Mark each: **C** conforming · **OFI** opportunity for improvement · **NC** nonconformity · **N/A** not applicable. Record the objective evidence you actually saw — document numbers, record IDs, what people told you.

4 Context

Question	Result	Objective evidence / notes
Are the internal and external issues affecting the QMS identified and kept current?		
Are interested parties and their relevant requirements identified?		
Is the QMS scope documented, and are any exclusions justified?		
Are QMS processes, their sequence and interactions defined?		

5 Leadership

Question	Result	Objective evidence / notes
Can top management demonstrate active involvement in the QMS?		
Is the quality policy documented, communicated, and understood by staff?		
Are roles, responsibilities and authorities assigned and known?		
Is customer focus evident in how requirements and risks are handled?		

6 Planning

Question	Result	Objective evidence / notes
Have risks and opportunities been identified and actions planned?		
Are quality objectives measurable, monitored and communicated?		
Is there evidence that objectives are being tracked against target?		
Are changes to the QMS planned rather than made ad hoc?		

7 Support

Question	Result	Objective evidence / notes
Are resources, infrastructure and work environment adequate and maintained?		
Is monitoring and measuring equipment identified, calibrated and traceable?		
Is there evidence of action taken when equipment is found out of tolerance?		
Is competence determined, and are training records current?		
Are staff aware of the policy, objectives, and their contribution?		
Is documented information controlled — current revision, approved, available?		

8 Operation

Question	Result	Objective evidence / notes
Are customer requirements reviewed before commitment?		
Are external providers evaluated, selected and re-evaluated?		
Is purchasing information adequate, and is incoming product verified?		
Is production carried out under controlled conditions with suitable instructions?		
Are products identified and traceable where required?		
Is customer or supplier property identified, protected and safeguarded?		
Is product preserved during processing and delivery?		
Is release of product to the customer authorised and recorded?		
Is nonconforming output identified, controlled and dispositioned?		

9 Performance Evaluation

Question	Result	Objective evidence / notes
Is customer satisfaction monitored, and is the data used?		
Are QMS data analysed and evaluated for trends?		
Is the internal audit programme planned, and are auditors independent?		
Is management review held at planned intervals with all required inputs?		
Do management review outputs include decisions and actions?		

10 Improvement

Question	Result	Objective evidence / notes
Are nonconformities acted on, and is the cause investigated?		
Is corrective action effectiveness verified before closure?		
Is there evidence of continual improvement beyond fixing problems?		

Summary of findings

Nonconformities raised ____________ **OFIs raised** ____________ **CA numbers assigned** ____________

Auditor **Date** **Auditee / area owner** **Date**

Independence is the requirement people miss. Clause 9.2 does not require an external auditor — it requires that auditors do not audit their own work. In a small shop, cross-train two people and have them audit each other's areas.

Ask for evidence, not opinions. "Do you control documents?" gets you a yes. "Show me the current revision of this work instruction, and how you know it is current" gets you an audit. Follow a real job through the process rather than working down the clause list in a meeting room.

An audit with no findings is usually a weak audit. Opportunities for improvement are not criticism — they are the point.