

ISO 9001 Internal Audit Checklist

Free template based on ISO 9001:2015, clauses 4 to 10. Provided by Verger Academy.

Organization:		Audit date:	
Process / area audited:		Auditor:	
Auditee:		Audit scope:	

How to use: For each requirement, sample real records and speak to the people doing the work. Mark one result: **C** = Conforming, **NC** = Nonconformity, **OFI** = Opportunity for improvement. Record evidence seen in Notes.

Auditors must be impartial and must not audit their own work (clause 9.2).

Clause 4: Context of the Organization

Ref	Requirement to check	Typical evidence	C	NC	OFI	Notes / evidence seen
4.1	Are internal and external issues identified and reviewed?	SWOT/PESTLE, management review inputs				
4.2	Are interested parties and their requirements identified and monitored?	Interested parties register				
4.3	Is the QMS scope documented, with exclusions justified?	Scope statement				
4.4	Are processes defined with inputs, outputs, owners, risks and KPIs?	Process map, process sheets, KPI records				

Clause 5: Leadership

Ref	Requirement to check	Typical evidence	C	NC	OFI	Notes / evidence seen
5.1	Does top management show accountability and promote customer focus?	Management review minutes, interviews				
5.2	Is the quality policy documented, communicated and available?	Policy, staff interviews				
5.3	Are roles and authorities assigned and understood?	Org chart, job descriptions				

Clause 6: Planning

Ref	Requirement to check	Typical evidence	C	NC	OFI	Notes / evidence seen
6.1	Are risks and opportunities determined, planned and evaluated?	Risk register, action plans				
6.2	Are quality objectives measurable, consistent with policy and monitored?	Objectives, KPI dashboards				
6.3	Are QMS changes planned and controlled?	Change records, impact assessments				

Clause 7: Support

Ref	Requirement to check	Typical evidence	C	NC	OFI	Notes / evidence seen
7.1	Are people, infrastructure, environment and knowledge adequately provided?	Resource plans, maintenance records				
7.1.5	Is measuring equipment calibrated or verified, with traceability?	Calibration certificates, equipment register				
7.2	Are competence requirements defined and gaps addressed?	Competence matrix, training records				
7.3	Do staff know the policy, objectives and their contribution?	Staff interviews				
7.4	Is it defined what, when, with whom and how to communicate?	Communication plan, meeting records				
7.5	Is documented information controlled (approval, version, retention)?	Document register, version history				

Clause 8: Operation

Ref	Requirement to check	Typical evidence	C	NC	OFI	Notes / evidence seen
8.1	Are process and acceptance criteria set, and outsourced processes controlled?	Process plans, control plans				
8.2	Are customer requirements determined, communicated and reviewed?	Contract/order review records				
8.3	If applicable, are design plans, inputs, controls, outputs and changes managed?	Design reviews, verification, validation				
8.4	Are suppliers evaluated, selected, monitored and re-evaluated?	Approved supplier list, evaluations				
8.5.1	Are production/service conditions controlled and monitored?	Production and inspection records				
8.5.2	Can outputs be identified and traced where required?	Batch/serial records, traceability test				
8.5.3	Is customer or provider property protected and reported if lost?	Property register, incident records				
8.5.4	Are outputs preserved during processing and delivery?	Storage procedures, site observation				
8.5.5	Are post-delivery requirements (warranty, service) met?	Service records, complaint logs				
8.5.6	Are production or service changes reviewed and documented?	Change records, approvals				
8.6	Is release authorized, with evidence of conformity?	Inspection and release records				
8.7	Are nonconforming outputs identified, controlled and corrected?	NCRs, concessions, rework records				

Clause 9: Performance Evaluation

Ref	Requirement to check	Typical evidence	C	NC	OFI	Notes / evidence seen
9.1.1	Are what to measure, methods and timing defined and followed?	KPI reports, data analysis				
9.1.2	Is customer perception monitored and used?	Survey results, feedback analysis				
9.1.3	Is data analysed for conformity, effectiveness and risk actions?	Trend reports				
9.2	Is there an audit programme with impartial auditors and actioned results?	Programme, reports, auditor records				
9.3	Does management review cover all inputs and drive decisions?	Review minutes, action tracking				

Clause 10: Improvement

Ref	Requirement to check	Typical evidence	C	NC	OFI	Notes / evidence seen
10.1	Are improvement opportunities identified and acted on?	Improvement log, project records				
10.2	Is root cause found and corrective action effectiveness verified?	CARs, root cause analysis, effectiveness checks				
10.3	Is there evidence the QMS improves over time?	Trend data, completed actions				

Findings Log

Record each nonconformity with the requirement, a factual statement, evidence and classification.

No.	Clause / requirement	Statement of nonconformity	Evidence	Class (Major / Minor / Obs.)	Owner / due date
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					

Build confident internal auditors with Verger Academy

SHI-authorized, live instructor-led online ISO training for professionals worldwide.

Explore ISO 9001 internal auditor training at www.vergeracademy.com

Call: +971-529-735-616