

# Audit Checklist Guidance

## Introduction

ISO 9001 requires that audits are undertaken to determine whether the quality management system conforms to the requirements of ISO 9001 and that the quality management system has been effectively implemented and maintained. Conditional formatting has been provided on the 'Audit Checklist' sheet under the 'Status %' field and is described below. The audit scoring criteria have been used to help identify the level of compliance with each requirement set out in the standard.

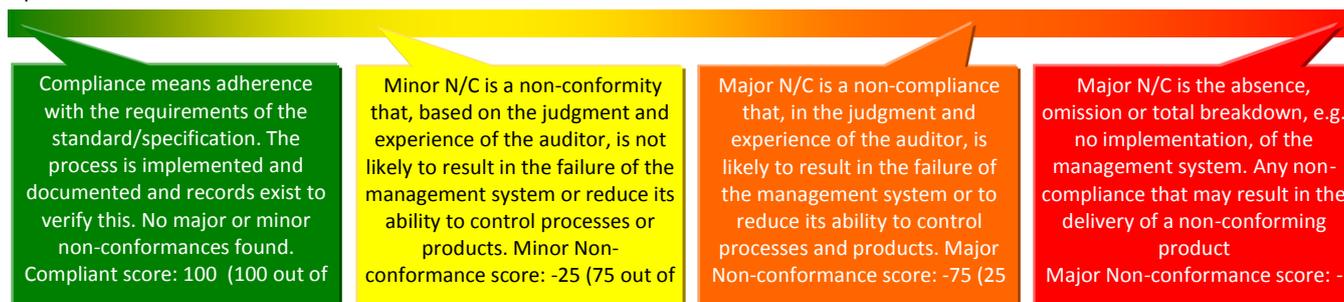
*Tip: You can use the +/- buttons at the top and side of the worksheet to hide/unhide the sections. >>*

## Audit Scoring Criteria

In the 'Audit Scoring Criteria' field, place one 'x' in each row, corresponding to the level of compliance that represents your finding in relation to the requirement.

In the 'Opportunities for Improvement' field, note down any situation or condition of the management system that may be weak, cumbersome, redundant, overly complex, or in some other manner, may, in the opinion of the auditor, offer an opportunity for the organization to improve its current status.

In the 'Audit Evidence' field, fill in the evidence that you saw and your thoughts about the implementation and documentation. If any of the requirements are not applicable, please type 'N/A' to denote that the particular requirement is not applicable to the organization. The following audit scoring criteria have been used to identify the level of compliance with each requirement that is set out in the standard and is represented via a heat map:



A 'yes' answer means that your organization is already meeting one of the requirements while a 'no' answer will reveal a gap that exists between requirements of ISO 9001 and your organization's processes. A 'no' answer might indicate that a process needs to be developed further, modified or improved in some way to make it compliant.

## Summary

You can use Gap Analysis & Internal Audit Checklist to compare the requirements of the standard against your organization's existing management system. Each question in the gap analysis checklist refers to a requirement that must be met in order to comply with ISO 9001.

A gap analysis is typically performed so that a company can determine 'what is missing' before implementing a new system whilst providing a valuable base line. By comparing different activities and processes with what the standard requires it is possible to identify any gaps that may exist. At the end of this activity you will have a list of activities and processes that comply and ones that do not comply.

The latter list now becomes your action plan. Also consider the effectiveness of what's being practiced day to day basis. It is not unusual for an organization to overlook something which needs some work to make it effective! Audits are also a very important input to the Management Review process. The accuracy, scope and reporting of the results of your internal audits are critical in enabling management to identify the need for corrective actions and preventive action.

Kindly note: the 'Data Summary' sheet has been automated and will show you the status pertaining to each requirement, as per the status entered in the 'Audit Checklist'. Also note: this sheet has been automated to show you the status pertaining to each domain, as per the status entered in the 'Audit Checklist' sheetsheet.

## Charts

Kindly note: the 'Data Charts' worksheet has been automated and will show you the status pertaining to each domain and the requirements within them, as per the entries made in the 'Audit Checklist' sheet. The 'Data Charts' worksheet provides a graphical representation of the completion percentages for each domain which can be incorporated into your audit reports or presentations to Top Management.

## Action Plan

Now that you have completed the audit and have a score for each requirement, you will need to devise a targeted action plan in order to rectify any deficiencies.

- Compliant** Requirements with this score do not require corrective action. Opportunities for improvement should become a longer term goal once the quality system is established.
  - Low
- Minor N/C** Requirements with this score require corrective action which should become a medium term priority. These are quick wins but you should focus on the major non-conformities first.
  - Medium
- Major N/C** Requirements with this score require corrective action which should become a high priority for rectification. These elements should be corrected by ensuring full implementation and documentation.
  - High
- Major N/C** Requirements with this score require corrective action which must become an immediate priority. These elements must be corrected through process implementation and documentation.
  - Immediate