

Master Internal Audit Checklist

Each audit question phrases each single ISO 9001:2026 'shall' requirement as a question. Use the drop-down menu in Column F to select the audit finding. The response is then automatically represented as an 'x' in either Column H, I, J, or K, which are hidden. The indicator in Column L will update. Nonconformities are graded depending on the perceived level of risk, e.g., minor [-25] or major [-75]. (Ref. Clause 6.4.8, ISO 19011:2026).

					Audit Findings & Actions					
Ref No.	Clause Title	Q-No	Requirements/Questions	Process	Enter Audit Result	Recommended Actions	Score	Possible Root-cause	Audit Evidence & Notes	Opportunities for Improvement
4.1	Organizational Context	1	Has your organization identified the internal and external issues relevant to its purpose and strategic direction that affect its ability to achieve the intended results of its QMS?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability. Link audit evidence in Col N	100			
4.1	Organizational Context	2	Has your organization determined whether climate change is a relevant issue?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability. Link audit evidence in Col N	100			
4.1	Organizational Context	3	Does your organization monitor and review information about these external and internal issues?	Business Planning	Major NC	Contain the problem immediately. Identify the root-cause within one week and correct. Link audit evidence in Col N	25	Process - Procedures or work-instructions were inadequate/non-existent		
4.2	Relevant Interested Parties	4	Does your organization determine the interested parties that are relevant to the quality management system?	Business Planning	Minor NC	Identify and discuss the root-cause within 4 weeks and correct. Link audit evidence in Col N	75	Human - Lack of skill, training or experience		
4.2	Relevant Interested Parties	5	Does your organization determine the requirements (Incl. those relating to climate change) of the interested parties that are relevant to the quality management system?	Design & Development	Opportunity	Review and implement actions to improve the process(s). Link audit evidence in Col N and describe the OFI in Col O	100			
4.2	Relevant Interested Parties	6	Has your organization determined which of the relevant requirements of these interested parties will be addressed through its quality management system?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability. Link audit evidence in Col N	100			
4.2	Relevant Interested Parties	7	Does your organization monitor and review information about these interested parties and their relevant requirements?	Business Review	Minor NC	Identify and discuss the root-cause within 4 weeks and correct. Link audit evidence in Col N	75	Process - Procedure was contradictory or confusing		
4.3	Management System Scope	8	Has your organization established its QMS scope by determining the boundaries and applicability of the quality management system?	Management System	Minor NC	Identify and discuss the root-cause within 4 weeks and correct. Link audit evidence in Col N	75	Human - Inadequate management involvement		
4.3	Management System Scope	9	When determining this scope, has your organization considered the external and internal issues referred to in 4.1?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability. Link audit evidence in Col N	100			
4.3	Management System Scope	10	When determining this scope, has your organization considered the requirements of relevant interested parties referred to in 4.2?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability. Link audit evidence in Col N	100			
4.3	Management System Scope	11	When determining this scope, has your organization considered its products and services?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability. Link audit evidence in Col N	100			
4.3	Management System Scope	12	Has your organization applied all the requirements of ISO 9001:2026 if they are applicable within the determined scope of the quality management system?	Management System	Minor NC	Identify and discuss the root-cause within 4 weeks and correct. Link audit evidence in Col N	75	Human - Poor employee involvement		
4.3	Management System Scope	13	Does the scope state the types of products and services covered by the QMS?	Management System	Opportunity	Review and implement actions to improve the process(s). Link audit evidence in Col N and describe the OFI in Col O	100			
4.3	Management System Scope	14	Does the scope include a justification for each ISO 9001:2026 requirement that your organization has determined is not applicable to its QMS?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability. Link audit evidence in Col N	100			
4.3	Management System Scope	15	Is the scope of your organization's quality management system available as documented information? (See 7.5.1a)	Management System	Minor NC	Identify and discuss the root-cause within 4 weeks and correct. Link audit evidence in Col N	75	Human - Human error – inadequate training?		
4.4	Management System Processes	16	Has your organization established, implemented, maintained and continually improved its QMS, including the processes needed and their interactions, in line with ISO 9001:2026?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability. Link audit evidence in Col N	100			
4.4	Management System Processes	17	Has your organization determined the processes needed for its quality management system and how they are applied throughout the organization?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability. Link audit evidence in Col N	100			
4.4	Management System Processes	18	Has your organization determined the inputs required and the outputs expected from these processes?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability. Link audit evidence in Col N	100			
4.4	Management System Processes	19	Has your organization determined the sequence and interaction of these processes?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability. Link audit evidence in Col N	100			
4.4	Management System Processes	20	Has your organization determined and applied the criteria and methods (including monitoring, measurements and related performance indicators) needed to ensure the effective operation and control of these processes?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability. Link audit evidence in Col N	100			
4.4	Management System Processes	21	Has your organization determined the resources needed for these processes and ensured their availability?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability. Link audit evidence in Col N	100			
4.4	Management System Processes	22	Has your organization assigned responsibilities and authorities for these processes?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability. Link audit evidence in Col N	100			
4.4	Management System Processes	23	Has your organization addressed the risks and opportunities determined in line with 6.1?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability. Link audit evidence in Col N	100			
4.4	Management System Processes	24	Does your organization evaluate these processes and make any changes needed so that they achieve their intended results?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability. Link audit evidence in Col N	100			
4.4	Management System Processes	25	Does your organization improve the processes and the quality management system?	Management System	Minor NC	Identify and discuss the root-cause within 4 weeks and correct. Link audit evidence in Col N	75	Human - Did not follow procedures, a one-time lapse		
4.4	Management System Processes	26	To the extent necessary, is documented information available to support the operation of your organization's processes?	Management System	Major NC	Contain the problem immediately. Identify the root-cause within one week and correct. Link audit evidence in Col N	25	Human - Physically unable perform the task		
4.4	Management System Processes	27	To the extent necessary, is documented information available as evidence that the processes are being carried out as planned?	Management System	Opportunity	Review and implement actions to improve the process(s). Link audit evidence in Col N and describe the OFI in Col O	100			
5.1.1	Leadership & Commitment - General	28	Does Top management demonstrate leadership and commitment to the QMS by taking accountability for the effectiveness of the QMS?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability. Link audit evidence in Col N	100			
5.1.1	Leadership & Commitment - General	29	Does Top management demonstrate leadership and commitment to the QMS by ensuring the quality policy and quality objectives are established and compatible with your organization's strategic direction? (See 5.2 and 6.2)	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability. Link audit evidence in Col N	100			
5.1.1	Leadership & Commitment - General	30	Does Top management demonstrate leadership and commitment to the QMS by ensuring that QMS requirements are integrated into your organization's business processes?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability. Link audit evidence in Col N	100			
5.1.1	Leadership & Commitment - General	31	Does Top management demonstrate leadership and commitment to the QMS by promoting the use of the process approach?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability. Link audit evidence in Col N	100			
5.1.1	Leadership & Commitment - General	32	Does Top management demonstrate leadership and commitment to the QMS by promoting risk-based thinking and opportunity-based thinking?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability. Link audit evidence in Col N	100			