ISO 9001:2015 Internal Audit Checklist

The internal audit checklist ensures your internal audit can carry out the audit process against the requirements of ISO 9001:2015.

Each ISO 9001:2015 audit report must have a clear title followed by a unique identifier. ISO 9001:2015 supports the requirements of the standard as described in ISO 9001:2015. The audit guidance is not intended to add, subtract, or modify any text of the standard requirements of ISO 9001:2015. The examples shown are things to consider when asking audit questions and testing for objective audit evidence.

Use the letter 'x' in column C to indicate that the requirement is not applicable to the scope of your organization.

The scoring formula assumes each requirement is scored on a binary (0 or 1) scale. 100% = 100, 50% = 50, etc.

Ensure that each audit complaint is documented against the current edition of ISO 9001:2015 requirements.

Please do not amend the cells in Column F to 'Y' or 'N'.

<table>
<thead>
<tr>
<th>Section</th>
<th>Title</th>
<th>Guidance &amp; Suggestions</th>
<th>Score</th>
<th>Subscore</th>
<th>Possible</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.1</td>
<td>Organization, Management System</td>
<td>Does your organization determine the requirements of ISO 9001:2015?</td>
<td>x</td>
<td>100</td>
<td>100</td>
</tr>
<tr>
<td>4.2</td>
<td>Organization, Management System</td>
<td>Does your organization determine the requirements of ISO 9001:2015?</td>
<td>x</td>
<td>100</td>
<td>100</td>
</tr>
<tr>
<td>4.3</td>
<td>Management System</td>
<td>Are your organization's key processes and related documents established and maintained as documented information and available to interested parties?</td>
<td>x</td>
<td>100</td>
<td>100</td>
</tr>
</tbody>
</table>
To the extent necessary, does your organization maintain documented evidence of the following?

- Leadership & Commitment
  - Top Management demonstrates leadership and commitment to the quality management system.
  - Top Management communicates the importance of compliance to the quality management system.
  - Top Management ensures the processes are controlled.
  - Top Management monitors the effectiveness of the quality management system.

- Management System
  - The quality management system is established, documented, and implemented according to the organization's needs.
  - The quality management system is integrated into the organization's business processes.
  - The quality management system is reviewed.
  - The quality management system is supported by systematic management reviews.
  - The quality management system is effective.

- Processes
  - Each process is identified, described, and integrated into the quality management system.
  - Each process is owned by a process owner.
  - Each process is performed by a person.
  - Each process is performed within the framework of the organization's context.
  - Each process is performed to achieve the intended results.

- Quality Circles & Networks
  - Quality circles or networks are established and their effectiveness is monitored.
  - Quality circles or networks are integrated into the organization's business processes.
  - Quality circles or networks are supported by systematic management reviews.
  - Quality circles or networks are effective.

- Audit Evidence & Notes
  - Audit evidence is obtained and recorded in a form and content that provides reasonable assurance about the facts and supports the audit conclusions.
  - Audit conclusions are communicated to the appropriate parties in a timely manner.
  - Audit evidence is maintained in a form that is readily accessible and identifiable.

ISO 9001:2015 Internal Audit Checklist

The internal audit checklist ensures your organization's quality management system is in accordance with ISO 9001:2015. Each ISO 9001:2015 'shall' requirement has been rephrased as a question. Answer questions 1-5, then you may use your answer to further audit questions.

Each ISO 9001:2015 'shall' requirement has been rephrased as a question. Answer questions 1-5, then you may use your answer to further audit questions. The scoring formula assumes each requirement 'H' answered 'Yes' is entered into Column 'G', 'No' is entered into Column 'F', and 'Unsure' is entered into Column 'E'. The error tracking cells in Column 'M' will display an error message when more than five errors are entered in Column 'E'. The internal audit checklist in Column 'M' displays an error message when more than five errors are entered in Column 'E'. The score range is from 50 to 100. The score is based on a comparison of 100. 50-59 is Unsatisfactory, 60-69 is Satisfactory, 70-79 is Good, 80-99 is Very Good, and 100 is Excellent.

Please do not amend the cells in Column 'M' for any reasons. Columns 'A', 'B', 'C', 'D', 'E', 'F', 'G', 'H', 'I', 'J', and 'K' are for column heads only. Please do not amend the cells in Columns 'A' or 'B'. Please do not amend the cells in Column 'M'. Provide a reference to documented information that supports the conclusion. Please do not amend the cells in Column 'M'.