

The internal audit checklist is just one of the many tools available from the auditor's toolbox. The checklist ensures each audit concisely compares the requirements of ISO 9001:2015, and your Quality Management System against actual business practice.

ISO 9001:2015 Internal Audit Checklist

7.0 Support

Part 1: Audit Checklist

| Clause No | Question No | Audit Question | Comments & Examples | Audit Findings | | | | Audit Evidence |
|-----------|-------------|---|--|--|-----|-----------|-----------|-------------------------|
| | | | | Compliant | OFl | Minor N/C | Major N/C | Reference Documentation |
| | | ISO 9001:2015 'Shall' Requirement | Suggestions & Advice | | | | | |
| 7.1.1 | 78 | Does your organization determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the QMS? | Your organization has to identify which resources it needs to make available in order to ensure the effective operation of the QMS. Resources e.g. raw materials, infrastructure, finance, personnel and IT, all of which can be either internally or externally provided. | | | | | |
| 7.1.1 | 79 | Does your organization consider the capabilities of, and constraints on, existing internal resources? | Check that a budget has been allocated to the QMS and your organization has identified all types of resources required and that it has taken action to ensure that those resources will be available when needed. Describe how the capabilities and constraints on internal resources are considered, and how the needs of external providers are considered. | | | | | |
| 7.1.1 | 80 | Does your organization consider what needs to be obtained from external providers? | | | | | | |
| 7.1.2 | 81 | Does your organization determine and provide the staff necessary for the effective implementation of its QMS and for the operation and control of its processes? | | Describe the allocation of staff in order to achieve the required outcome. Dependent on the size of your organisation this may be one or two people or a team. The senior management will need to determine the resource needed and maintain this. | | | | |
| 7.1.3 | 82 | Does your organization determine, provide and maintain the infrastructure necessary for the operation of its processes and to achieve conformity of products and services. | Describe how the organization determines, provides and maintains the infrastructure for the operation of processes to achieve products and service conformity. Consider all the things needed in order to deliver a product to the customer. This needs to include: buildings; water; gas; electric, etc.; process equipment; computers; vehicles; engineers; management, etc. | | | | | |

Double click [here](#) to insert your organization's name or logo.

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| 7.2 | 97 | Does your organization ensure that these persons are competent on the basis of appropriate education, training, or experience? | Describe how the organization ensures that competencies are possessed by the people doing the work under your organization's control including: employees, contractors and outsourced personnel working either on site or off site. | | | | | |
| 7.2 | 98 | Does your organization where applicable, take actions to acquire the necessary competence, and evaluate the effectiveness of the actions taken? | Describe how the organization takes action to acquire the necessary competence where applicable, and how does it evaluate the effectiveness of those actions. Remedial training, recruitment or the use of external people in order to acquire the necessary competence are valid examples of actions. | | | | | |
| 7.2 | 99 | Does your organization retain appropriate documented information as evidence of competence? (See 7.5.1b) | Does or organization maintain documented information such as a skills matrix; training records, personnel files, CVs, job descriptions. | | | | | |
| 7.3 | 100 | Does your organization ensure that persons doing work under your organization's control are aware of the quality policy ? | Describe the processes established by your organization to make people working its behalf aware of quality policy and its requirements. Ensure that awareness is captured on personnel training records, signed briefing sheets, etc. | | | | | |
| 7.3 | 101 | Does your organization ensure that persons doing work under your organization's control are aware of the relevant quality objectives ? | Describe the processes established by your organization to make people working its behalf aware of quality objectives and their requirements. Ensure that awareness is captured on personnel training records, signed briefing sheets, etc. | | | | | |
| 7.3 | 102 | Does your organization ensure that persons doing work under its control are aware of their contribution to the effectiveness of the QMS, including the benefits of improved performance? | The important factor here is the addition of a requirement to make people aware their contribution to how well the QMS performs. Ensure that awareness is captured on personnel training records, signed briefing sheets, etc. | | | | | |

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| 7.5.3.1 | 114 | Is documented information (required by the QMS and ISO 9001) controlled to ensure it is available and suitable for use, where and when it is needed? | Demonstrate the organization's arrangements for controlling documented information required by ISO 9001 and your organizations own requirements, including: <ol style="list-style-type: none"> 1. Availability e.g. document accessibility (hard copy, electronic media), readily available at the point of use; 2. Suitability e.g. format, media suitable to the environment, ease of understanding, language, interpretation; 3. Protection e.g. document authentication, document markings (official, secret, restricted, confidential, private, sensitive, classified, unclassified), access controls (individual, role specific), physical security (master documents, server rooms, libraries) IT security (User ID, password, servers, download, back up, encryption, 'read only', 'read/write'), protection from corruption and unintended alterations. | | | | | |
| 7.5.3.1 | 155 | Is documented information (required by the QMS and ISO 9001) controlled to ensure it is adequately protected from loss of confidentiality, improper use, or loss of integrity? | | | | | | |
| 7.5.3.2 | 116 | For the control of documented information, does your organization address the distribution, access, retrieval and use? | Demonstrate the organization's arrangements for document control arrangements including the distribution (internal and external) e.g. infrastructure, networks, portals, document registers, points of contact, transmission, access and retrieval e.g. location, availability, timeliness and remote access. | | | | | |
| 7.5.3.2 | 117 | For the control of documented information, does your organization address storage and preservation, including preservation of legibility? | Demonstrate the organization's arrangements for document storage and preservation e.g. physical environment, protection from fire and flood, filing arrangements, physical/IT security, sustainability, redundant hardware/software to access legacy media and archive arrangements. | | | | | |

Part 2: Audit Findings Summary

Manually transfer the audit findings from the audit checklist above into the audit findings summary table below. At the end of the audit, you should transfer any **adverse** findings into the QMS Compliance Tracker to create charts, summary tables and trend data to paste into your audit report.

| Question No | Audit Findings | | | |
|-------------|----------------|-----|-----------|-----------|
| | Compliant | OFI | Minor N/C | Major N/C |
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