Audit Checklist *(Not all-inclusive, not presciptive, audit points are not prioritized)*

Process: *Performing a process audit* **Scope**: *From audit planning to reporting audit results to the Process Owner*

#	Audit point: (Question, instruction or prompt)	What to look for:	Audit evidence: (Auditor notes)
1	*Are internal audits conducted at planned intervals? (8.2.2)*	*Internal audit procedure - Audit schedule - Audit records*	
2	*Do internal audits include all requirements of ISO 9001:2000? (8.2.2)*	*Internal audit records - Audit checklists*	
3	*Do internal audits include all requirements established by the organization? (8.2.2)*	*Internal audit records - Audit checklists*	
4	*Do internal audits verify effectiveness of processes? (8.2.3)*	*Internal audit records - Audit checklists*	
5	*Do internal audits verify continual improvement of processes? (8.5.1)*	*Internal audit records - Audit checklists*	
6	*In planning internal audits, are the status and importance of processes/areas considered?*	*Internal audit schedule*	
7	*In planning audits, are the results of previous (internal/external) audits considered? (8.2.2.)*	*Internal audit schedule*	
8	*How are audit criteria, scope, frequency and methods defined? (8.2.2)*	*Internal audit procedure - Audit plans - Internal audit schedule*	
9	*Do selection of auditors and conduct of audits ensure objectivity and impartiality? (8.2.2)*	*Internal audit records*	
10	*How is it ensured that auditors do no not audit their own work? (8.2.2)*	*Internal audit schedule - Job descriptions - Responsibility ands authority documents*	
11	*Is there an Internal Audit procedure and are audit records maintained? (8.2.2)*	*Internal audit procedure - Audit records*	
12	*Do managers take action without undue delay on audit nonconformities? (8.2.2) (8.5.2)*	*Corrective action procedure - Corrective action request (CAR) records - CAR logs*	
13	*Do follow-up activities include the verification of CARs and the reporting of the results? (8.5.2)*	*Corrective action procedure - Corrective action request (CAR) records - CAR logs*	
14	*Are the auditors qualified to audit the QMS and its processes?*	*Training records*	
15	*Do internal audit results contribute to continual improvement of the QMS and its processes?*	*Audit records - Linkages between audits and improvement initiatives - Mgt. review records*	
16	*Do internal audit results contribute to mitigation and/or elimination of risks in processes?*	*Audit records - Linkages between audits and prevention initiatives - Mgt. review records*	
17	*Do internal audits contribute to successful surveillance audits by the Registrar?*	*Surveillance audit records*	
18	*Do internal audits contribute to successful (no nonconformities) audits by the Customer?*	*Customer audit records*	
19	*Do internal audit evaluation reports show Internal Customer (Auditee) satisfaction?*	*Audit evaluation reports*	
20	*Do internal audit evaluation reports show Internal Audit Team Leader satisfaction?*	*Audit performance evaluation reports*	
21	*Are audits conducted in accordance with the schedule?*	*Internal audit procedure - Audit plans - Internal audit schedule*	
#	Audit point: (Question, instruction or prompt)	What to look for:	Audit evidence: (Auditor notes)

#	Question	Evidence	
22	*Are audit reports completed per the organization's internal audit procedure?*	*Internal audit procedure - Audit records*	
23	*Are audit nonconformity reports completed per the organization's internal audit procedure?*	*Internal audit procedure - Audit records*	
24	*Are corrective action requests completed and issued per the organization's CAR procedure?*	*Internal audit procedure - Corrective Action procedure - CARs and CAR logs*	
25	*Are Top Management, Supervisors and Associates supportive of the audit process?*	*Random interviews with personnel at all levels and shifts - Management review records*	
26	*Is the information necessary for audit planning and preparation readily available/accessible?*	*Organization's intranet - computer networks - Access to QMS/process documents and records*	
27	*Do the audit prep documents and checklists show evidence of effective planning and preparation?*	*Audit preparation documents - Audit checklists*	
28	*Are the Process Owners involved in planning, preparation and scheduling of audits?*	*Random interviews with Process Owners - E-mails - Communication records, etc.*	
29	*Do the Auditors have access to suitable resources to plan, prepare and conduct internal audits?*	*Audit resources (computer equipment, information, communication devices, etc.)*	
30	*Have the Auditors received the proper training in accordance with internal requirements?*	*Training records - Auditor performance evaluations - Certifications*	
31	*Is the Internal Audit Team Leader qualified in accordance with internal requirements?*	*Training records - Performance evaluations - Professional certifications*	
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