Internal audit checklist

CHECKLIST TEMPLATE

Check this template against your local regulations and your own policies before you use it.

Business _____ Location _____ Date _____

Internal audit

For each audit of one area, site or process

TASK	NOTES	INITIALS
Plan		
☐ Agree the area, process or site being audited, and the date, with its manager		
☐ List the criteria, such as the policies, procedures, obligations and standards it's checked against		
☐ Read the previous audit report and any open corrective actions for the area		
☐ Check you don't work in the area or audit your own work		
Documents		
☐ The policies and procedures for the area are the current approved versions Version and review date match the document register, and no out-of-date copies are in use.		
☐ Every document has an owner and a review date that hasn't passed		
☐ Staff can find the current version when asked		
Records		
☐ Sample at least five records the procedure produces, such as checklists, logs or files		
☐ Records are complete, dated and signed or approved as the procedure says		
☐ Records are stored where the retention schedule says, and access is limited to those who need it		
People and training		
☐ Each person doing the work has the training and licenses the training matrix says their role needs		
☐ Training and licenses aren't expired		
☐ Ask two or three people to explain how they do the task, and compare it with the procedure		
The work		
☐ Watch the task being done and compare it with each step of the procedure		
☐ Equipment and safety controls named in the procedure are in place and working		
☐ Incidents, complaints and near misses in the area were reported and followed up		
Previous findings		
☐ Each action from the last audit is closed, with evidence it worked		
☐ No finding from the last audit has come back		
Findings and close		
☐ Grade each finding as a major or minor nonconformity, an observation or good practice, with its evidence		
☐ Go through the findings with the area manager and agree they're accurate		

	TASK	NOTES	INITIALS
☐	Add each nonconformity to the corrective action register with an owner and due date		
☐	Write the audit report within a week and send it to the area manager and owner		

Completed by _____ Checked by (manager) _____ Date _____ Notes _____