

Example checklists



Below are two example checklists for audits. The first is a 'general' audit that could be modified to meet the needs of a small and simple company. The second one is focused more on following a job or order through the interlinked processes. Whatever the approach, it is important that the internal audit is tailored to your company's particular activities, processes and risks. Remember that ISO standards require that internal audit covers both the key requirements of the standard and your own processes.

Audit Objective:	Audit the key areas of the Quality Management System
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Completed by:		Date of Audit:	
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	QMS Area	Question / Action	Comments - Significant findings or Non-Conformities	Further Action Required
1	Quality Manual	Does the stated scope of the Management System reflect current operations and QMS status?		
		Are there sufficient documented procedures to ensure control of the QMS?		
		Does the Manual reflect the current interaction of processes?		
2	Quality Documented Information	Select and review a number of documents to ensure correct Version control.		
		Have any documents been changed recently and were correct controls followed?		

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3	Quality Control of Records	Does the Records Register reflect the current record retention status?		
4	Quality Policy Statement	Is the Quality Policy established, appropriate, signed, dated and communicated to staff?		
		Has the Quality Policy been reviewed?		
5	Quality Objectives	Is the Company monitoring and measuring its QMS performance against the documented objectives		
		Do the objectives support the Policy?		
		Have the objectives been reviewed?		
6	Quality Management Responsibilities	Are QMS responsibilities clearly defined?		
		Are responsibilities communicated to relevant staff?		
		Is there a delegated Management Representative?		
7	Quality Management Review	Was the last Management Review conducted at the planned interval, if not, why not? Was this documented?		
		Did the last Management review incorporate all the input and output requirements of the Standard(s)?		
		Were decisions made to improve the QMS?		

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		Were decisions made to improve product/service related to customer requirements?		
		Were decisions made to improve resources?		
		Has the review been recorded along with the decisions made?		
		Is there a planned next review date?		
8	Quality Management System general questions	Has a review been conducted on the Company's Risks and Opportunities and has this been documented?		
		Is generation of Products/Services suitably controlled?		
		Is delivery of Products/Services suitably controlled?		
		Are Suppliers/Sub-Contractors determined for suitability and/or monitored?		
		Is the Company monitoring its Customer Satisfaction?		
		If using Customer Satisfaction Forms are these being distributed, returned and retained?		
		If conducting Customer Surveys are these being conducted and recorded?		
		Are compliments testimonials being used for analysis?		
		9	Quality Competence & Training	Has the Company determined the necessary competence for its employees?
Has the Company provided training to achieve necessary Competence?				

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		Select a number of key managers and review records that provide evidence of competence / training / CPD.		
10	Internal Audit	Are Internal Audits being conducted as per programme?		
		Are Internal Audit results being recorded?		
		Does the Internal Audit programme cover areas of the QMS considering the importance and status of its processes?		
		Are follow up audits / reviews conducted on previous audit findings?		
11	Nonconformities	Are Nonconformities being identified within the system?		
		Are nonconformities being recorded as per the documented procedure?		
		Sample a number of documented nonconformities and check for evidence of Correction, Root Cause Analysis, Corrective Action and Review.		
		Are there any outstanding Nonconformities and why?		

Example checklists



This audit would look at a particular client, job number or project and is designed to identify if the key risks have been adequately controlled. Please note this is NOT a 'real' audit checklist but is designed to show ideas and possibilities from a wide range of sectors. The evidence would be the documents reviewed and the evidence seen. Remember, the idea is to generate continual improvement.

Client:	
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Order No./Job No./Project No.	
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Stage	Yes / No / N/A	Evidence and Comments	N/C or OFI?
How did the enquiry arrive? – Email/Telephone/Web-Site?			
Did we have enough information to quote?			
Other information required?			
Quotation done?			
Quotation accepted?			
Timescales agreed?			
Contract signed?			
Project planning?			
Plans approved?			
Approvals? – Land survey / building regulations / landlord?			
Resources allocated?			
People			
Competent / trained?			
Training certificates in date?			
Equipment			
Was the equipment suitable for the task?			
Did the equipment require a calibration certificate? Was this OK?			
Materials			
Vehicles			
Kits?			
Hired equipment?			
Purchasing?			
Supplier approved?			
Information to supplier required?			
Materials ordered?			
Materials arrived?			
Materials checked OK?			
Manufacturing?			
Specification / Drawings approved?			
Information to assemblers required?			
Capacity/resources to manufacture?			
Assembly records required?			



Quality checked OK?			
Site Survey?			
RAMS? Risk Assessments?			
Permits required? Raised OK?			
Job started to schedule?			
Job completed to schedule?			
Permits closed?			
Were kits returned to stock OK?			
Were materials used from the kit?			
Was the kit restocked OK?			
Invoice generated?			
Client invoiced?			
Handover of documentation / materials / certificates?			
Client satisfaction survey or response?			
Job completed and filed OK?			
Retention period agreed?			
Retention period satisfied?			

Ancillary checks			
Vehicle checked?			
Fire equipment checked?			
First Aid Kits checked?			
Accident Book Records checked?			