

INTERNAL AUDIT CHECKLIST

Audit title:	
Audit date:	
Auditor:	
Audit address:	
Audit scope:	
Audit criteria:	
Audit planning:	
Risks and causes:	
Mitigation strategies:	▪
Legal requirements:	▪

OK	Meets requirements
OFI	Opportunity for Improvement identified
NC	Nonconformance identified
NA	Not Applicable

Question	Sighted evidence	OK	OFI	NC	NA	Additional comments:
Is the responsible person for this process/procedure familiar with its requirements?						
Do they hold the necessary qualifications/competencies?						
Is the process/procedure accurately documented?						
Does the process/procedure prove to be effective?						
Are risk controls related to the process/procedure in place and adequate?						
Audit results:						
Nonconformances:		Nil				
Corrective Actions:		Nil				
Opportunities for Improvements:		Nil				
Corrective Actions:		Nil				

Where previous audit results reviewed?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	NA <input checked="" type="checkbox"/>
Give details of previous audit results:	This is the first official internal audit of the XXXXXXXXXX Process		
Were previously identified nonconformances or opportunities for improvements verified as corrected, and were corrective actions implemented effective?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	NA <input checked="" type="checkbox"/>
Give details:	This is the first official internal audit of the XXXXXXXXXX Process		
Were risk mitigation strategies, verified as implemented and effective?	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	NA <input type="checkbox"/>
Give details:	ENTER MITIGATION STRATEGIES FROM RISK REGISTER		
Do the mitigation strategies related to this process need to be reassessed from nonconformances or opportunities for improvements raised?	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>	NA <input type="checkbox"/>
Have personnel been verified as competent as a result of this audit?	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	NA <input type="checkbox"/>
Audit report final comments:			
<p>This internal audit found</p> <p>ENTER NAME OF AUDITOR</p> <p>Internal Auditor</p> <p>ENTER DATE</p>			