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 | NONCONFORMANANCE IDENTIFIED |
| NA | NOT APPLICABLE |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| PROCESS | SIGHTED EVIDENCE | OK | OFI | NC | NA | ADDITIONAL COMMENTS |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| Company C | Company C.docx |  | ✓ |  |  | Delivery notification system requires improvement. |
| Company D | Company D.docx | ✓ |  |  |  | Proactive communication noted, minor improvements suggested for notification system. |
| Company E | Company E.docx | ✓ |  |  |  | Satisfactory service, recommended enhancements to delivery notification. |
| Customer Feedback Register | Customer Feedback Register.xlsx | ✓ |  |  |  | Consistent high scores, positive feedback noted. |

|  |  |
| --- | --- |
| NONCONFORMANCES |  |
| OPPORTUNITIES FOR IMPROVEMENTS |  |
| CORRECTIVE ACTIONS |  |
| WERE PREVIOUS AUDIT RESULTS REVIEWED |  |
| GIVE DETAILS OF PREVIOUS AUDIT RESULTS |  |
| WERE PREVIOUSLY IDENTIFIED NONCONFORMANCES OR OPPORTUNITIES FOR IMPROVEMENTS VERIFIED AS CORRECTED, AND WERE CORRECTIVE ACTIONS IMPLEMENTED EFFECTIVE? |  |
| GIVE DETAILS |  |
| WERE RISK MITIGATION STRATEGIES, VERIFIED AS IMPLEMENTED AND EFFECTIVE? |  |
| DO THE MITIGATION STRATEGIES RELATED TO THIS THIS PROCESS NEED TO BE REASSESSED FROM NONCONFORMANCES OR OPPORTUNITIES FOR IMPROVEMENT RAISED? |  |
| HAVE THE PERSONNEL BEEN VERIFIED AS COMPETENT AS A RESULT OF THIS AUDIT? |  |
| AUDIT REPORT FINAL COMMENTS  [NAME OF AUDITOR]  INTERNAL AUDITOR  [CURRENT DATE] |  |