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 |

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| --- | --- | --- | --- | --- | --- | --- |
| PROCESS | SIGHTED EVIDENCE | OK | OFI | NC | NA | ADDITIONAL COMMENTS |
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| --- | --- |
| NONCONFORMANCES |  |
| CORRECTIVE ACTIONS FOR NC |  |
| OPPORTUNITIES FOR IMPROVEMENTS |  |
| CORRECTIVE ACTIONS FOR OFI |  |
| 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] |  |