AUDIT REPORT TEMPLATE 1

|  |  |
| --- | --- |
|  | |
| **Company Name** | Name |
| **Address and locations** | Address - location |
| **Audit Criteria** (*policies, procedures or requirements including applicable certification standards and regulatory requirements* | Make optional |
| **Audit Scope** | mandatory |
| **Audit Objective** | mandatory |
| **Name of Auditor** | Primary Auditor |
| **Date** | Report Generated Datre |
| **Name[s] of Auditees** | Participants ( Name ) |

# Audit Findings

**Positive Aspects : ??**

|  |  |  |  |
| --- | --- | --- | --- |
| No. | ISO Standard & Clause No. | Area / Process | Positive Aspect |
| PA-01 |  |  |  |

**Opportunities identified during the audit: Clauses Marked as OFI**

The following recommendations and advice of the auditors will help to ensure the continuous improvement of the management system. Implementation by the company is suggested.

|  |  |  |  |
| --- | --- | --- | --- |
| No. | ISO Standard Clause Number | Area / Process | Opportunity for Improvement |
| OFI-01 |  |  |  |
| OFI-02 |  |  |  |
| OFI-03 |  |  |  |

**Non-conformance**

In part incomplete compliance with the standard requirements, but effectiveness of audited management system element (chapter in the standard) not put into question. Implementation of the recommended actions will be verified during the next audit.

| No. | ISO Standard & Clause No. | Area / Process | Statement of Non-conformance | Due Date |
| --- | --- | --- | --- | --- |
| NCR-01 |  |  | Audit Evidence |  |
|  |  |  |  |  |

# EQMS Audit Checklist – Make Section Title

## Part 1: Context of the Organization - if major NC / Minor NC – Due date ( Next Audit for clause )

| **Clause No.** | **Audit Question** | **Audit Findings** | | | | **Audit Evidence** | **Opportunities for**  **Improvement (OFI)** |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Compliant | OFI | Minor N/C | Major N/C |
| Provide reference to documented information to justify the finding | Provide suggestions for process improvement |
| 4.1 | Has your organization determined external and internal issues relevant to its purpose and its strategic direction that affect its ability to achieve the intended result(s) of its EQMS? |  |  |  |  |  |  |
| 4.1 | Does your organization monitor and review information about these external and internal issues? |  |  |  |  |  |  |
| 4.2 | Does your organisation determine the interested parties that are relevant to the EQMS? |  |  |  |  |  |  |
| 4.2 | Does your organisation determine the requirements of these interested parties that are relevant to the EQMS, which may include regulatory requirements, local, regional or global environmental conditions that can affect, or be affected by, your organization?? |  |  |  |  |  |  |
| 4.2 | Does your organization determine which of those requirements are to be managed as compliance obligations in order to mitigate adverse risk or exploit beneficial opportunities that can be integrated in the operational planning of the EQMS? |  |  |  |  |  |  |
| 4.3 | Does your organization determine the boundaries and applicability of the EQMS to establish its scope? |  |  |  |  |  |  |
| 4.3 | When determining this scope, has your organization considered the external and internal issues referred to in 4.1? |  |  |  |  |  |  |
| 4.3 | When determining this scope, has your organization considered the requirements of relevant interested parties referred to in 4.2? |  |  |  |  |  |  |
| 4.3 | When determining this scope, has your organization considered the products and services of your organization and defined its operational units, functions and physical boundaries? |  |  |  |  |  |  |
| 4.3 | When determining this scope, has your organization considered its activities, products and services in order to mitigate adverse risk or exploit beneficial opportunities that can be integrated into system, process and product lifecycles, such as:   1. Raw material acquisition; 2. Manufacture; 3. Packaging/Transport/Delivery; 4. Use; 5. End of life treatment; 6. Final disposal. |  |  |  |  |  |  |
| 4.3 | Has your organization applied all the requirements of this International Standard if they are applicable within the determined scope of its EQMS? |  |  |  |  |  |  |
| 4.3 | When determining this scope, has your organization considered and documented its ability and authority to control and influence factors relating to external and internal issues? |  |  |  |  |  |  |
| 4.3 | Is the scope of your organization’s EQMS available and maintained as documented information? (See 7.5.1a) |  |  |  |  |  |  |
| 4.3 | Does the scope state the types of products and services covered, and provide justification for any requirement of ISO 9001:2015 that your organization determines is not applicable to the scope of its EQMS? |  |  |  |  |  |  |
| 4.4 | Has your organization has considered the knowledge and information obtained by 4.1 and 4.2 when implementing and operating its EQMS? |  |  |  |  |  |  |
| 4.4.1 | Has your organization established, implemented, maintained and continually improved an EQMS, including the processes needed and their interactions, in accordance with the requirements of ISO 9001:2015? |  |  |  |  |  |  |
| 4.4.1 | Has your organization determined the processes needed for the EQMS and their application throughout your organization? |  |  |  |  |  |  |
| 4.4.1 | Has your organization determined the inputs required and the outputs expected from these processes? |  |  |  |  |  |  |
| 4.4.1 | Has your organization determined the sequence and interaction of these processes? |  |  |  |  |  |  |
| 4.4.1 | Has your organization determined and applied the criteria and methods (including monitoring, measurements and related performance indicators) needed to ensure the effective operation and control of these processes? |  |  |  |  |  |  |
| 4.4.1 | Has your organization determined the resources needed for these processes and ensure their availability? |  |  |  |  |  |  |
| 4.4.1 | Has your organization assigned responsibilities and authorities for these processes? |  |  |  |  |  |  |
| 4.4.1 | Has your organization addressed the risks and opportunities as determined in accordance with the requirements of 6.1? |  |  |  |  |  |  |
| 4.4.1 | Has your organization evaluated these processes and implement any changes needed to ensure that these processes achieve their intended results? |  |  |  |  |  |  |
| 4.4.1 | Does your organization improve the processes and the EQMS as per the requirements of 10? |  |  |  |  |  |  |
| 4.4.2 | To the extent necessary, does your organization maintain documented information to support the operation of its processes? |  |  |  |  |  |  |
| 4.4.2 | To the extent necessary, does your organization retain documented information to have confidence that the processes are being carried out as planned? |  |  |  |  |  |  |

# Integrated Internal Audit Checklist

## Part 2: Leadership

| **Clause No.** | **Audit Question** | **Audit Findings**  (Score ‘1’ per box) | | | | **Audit Evidence** | **Opportunities for**  **Improvement (OFI)** |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Compliant | OFI | Minor N/C | Major N/C |
| Provide reference to documented information to justify the finding | Provide suggestions for process improvement |
| 5.1.1 | Does Top management demonstrate leadership and commitment with respect to the EQMS by taking accountability for the effectiveness of the EQMS? |  |  |  |  |  |  |
| 5.1.1 | Does Top management demonstrate leadership and commitment with respect to the EQMS by ensuring that integrated policies and objectives are established for the EQMS and are compatible with the context and strategic direction of your organization and its context? |  |  |  |  |  |  |
| 5.1.1 | Does Top management demonstrate leadership and commitment with respect to the EQMS by ensuring the integration of the EQMS requirements into your organization’s business processes? |  |  |  |  |  |  |
| 5.1.1 | Has Top Management demonstrated leadership and commitment to the EQMS by ensuring that your organization has the required resources to implement it? |  |  |  |  |  |  |
| 5.1.1 | Does Top management demonstrate leadership and commitment with respect to the EQMS by promoting the use of the process approach and risk-based thinking? |  |  |  |  |  |  |
| 5.1.1 | Does Top management demonstrate leadership and commitment with respect to the EQMS by ensuring that the resources needed for the EQMS are available? |  |  |  |  |  |  |
| 5.1.1 | Does Top management demonstrate leadership and commitment with respect to the EQMS by communicating the importance of effective quality and environmental management and of conforming to the EQMS requirements? |  |  |  |  |  |  |
| 5.1.1 | Does Top management demonstrate leadership and commitment with respect to the EQMS by ensuring that the EQMS achieves its intended results? |  |  |  |  |  |  |
| 5.1.1 | Does Top management demonstrate leadership and commitment with respect to the EQMS by engaging, directing and supporting persons to contribute to the effectiveness of the EQMS? |  |  |  |  |  |  |
| 5.1.1 | Does Top management demonstrate leadership and commitment with respect to the EQMS by promoting improvement? |  |  |  |  |  |  |
| 5.1.1 | Does Top management demonstrate leadership and commitment with respect to the EQMS by supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility? |  |  |  |  |  |  |
| 5.1.2 | Does Top management demonstrate leadership and commitment with respect to customer focus by ensuring that customer and applicable statutory and regulatory requirements are determined, understood and consistently met? |  |  |  |  |  |  |
| 5.1.2 | Does Top management demonstrate leadership and commitment with respect to customer focus by ensuring that the risks and opportunities that can affect conformity of products and services and the ability to enhance customer satisfaction are determined and addressed? |  |  |  |  |  |  |
| 5.1.2 | Does Top management demonstrate leadership and commitment with respect to customer focus by ensuring that the focus on enhancing customer satisfaction is maintained? |  |  |  |  |  |  |
| 5.2 | Has Top Management established, implemented and maintained as documented information (See 7.5.1) an environmental policy, with regard to the scope of our EQMS, is appropriate to the context; including the nature, scale, and environmental impacts of your organization’s activities, products and services? |  |  |  |  |  |  |
| 5.2 | Has Top Management established, implemented and maintained as documented information (See 7.5.1) an environmental policy, with regard to the scope of our EQMS to provide a framework within which to establish and document our environmental objectives? |  |  |  |  |  |  |
| 5.2 | Has Top Management established, implemented and maintained as documented information (See 7.5.1) an environmental policy, with regard to the scope of the EQMS, which includes a commitment to fulfil any compliance obligations deemed appropriate? |  |  |  |  |  |  |
| 5.2 | Has Top Management established, implemented and maintained as documented information (See 7.5.1) an environmental policy, with regard to the scope of the EQMS, which includes a commitment to protect the environment, prevent pollution and any other specific commitments or obligations that are relevant to the organization’s context as appropriate? E.g.:   1. Sustainable resource use; 2. Climate change mitigation and adaptation; 3. Protection of biodiversity & ecosystems. |  |  |  |  |  |  |
| 5.2 | Has Top Management established, implemented and maintained as documented information (See 7.5.1) an environmental policy, with regard to the scope of the EQMS, which includes a commitment to enhance environmental performance by undertaking continual improvement of your EQMS? |  |  |  |  |  |  |
| 5.2.1 | Does Top management establish, implement and maintain a policy that is appropriate to the purpose and context of your organization and supports its strategic direction? |  |  |  |  |  |  |
| 5.2.1 | Does Top management establish, implement and maintain a policy that provides a framework for setting quality objectives? |  |  |  |  |  |  |
| 5.2.1 | Does Top management establish, implement and maintain a policy that includes a commitment to satisfy applicable requirements? |  |  |  |  |  |  |
| 5.2.1 | Does Top management establish, implement and maintain a policy that includes a commitment to continual improvement of the EQMS? |  |  |  |  |  |  |
| 5.2.2 | Is the EQMS policy available and be maintained as documented information? (See 7.5.1a) |  |  |  |  |  |  |
| 5.2.2 | Is the policy communicated, understood and applied within the organization? |  |  |  |  |  |  |
| 5.2.2 | Is the policy available to relevant interested parties, as appropriate? |  |  |  |  |  |  |
| 5.3 | Does Top management ensure that the responsibilities and authorities for relevant roles are assigned, communicated and understood within your organization? |  |  |  |  |  |  |
| 5.3 | Has Top management assigned the responsibility and authority for ensuring that the EQMS conforms to the requirements of ISO 9001 and ISO 14001:2015? |  |  |  |  |  |  |
| 5.3 | Has Top management assigned the responsibility and authority for ensuring that the processes are delivering their intended outputs? |  |  |  |  |  |  |
| 5.3 | Has Top Management assigned responsibility and authority to relevant personnel for reporting on the performance of our EQMS, including environmental KPIs to Top Management? |  |  |  |  |  |  |
| 5.3 | Has Top management assigned the responsibility and authority for reporting on the performance of the EQMS and on opportunities for improvement (see 10.1), in particular to top management? |  |  |  |  |  |  |
| 5.3 | Has Top management assigned the responsibility and authority for ensuring the promotion of customer focus throughout your organization? |  |  |  |  |  |  |
| 5.3 | Has Top management assigned the responsibility and authority for ensuring that the integrity of the EQMS is maintained when changes to the EQMS are planned and implemented? |  |  |  |  |  |  |