

Audit Checklist

A general audit checklist for planning and conducting an audit end to end.

Plan and prepare

- ☐ Confirm the purpose and objectives of the audit.
- ☐ Define the scope, including areas, processes and period covered.
- ☐ Identify the criteria to audit against.
Use applicable standards, policies, contracts and your procedures.
- ☐ Review background documents and prior audit results.
- ☐ Assign auditors who are independent of the area audited.
- ☐ Prepare the audit plan, schedule and notify the auditee.

Opening and logistics

- ☐ Hold an opening meeting to confirm scope and plan.
- ☐ Agree the schedule, contacts and access required.
- ☐ Confirm confidentiality and how findings will be handled.
- ☐ Explain the methods and sampling approach.
- ☐ Confirm safety requirements and site access rules.
- ☐ Set expectations for the closing meeting and report.

Gather evidence

- ☐ Interview relevant staff about how work is done.
- ☐ Observe activities and conditions firsthand.
- ☐ Sample and review records and documents.
- ☐ Trace transactions or items end to end where useful.
- ☐ Take notes and reference each piece of evidence.
- ☐ Verify information from more than one source where possible.

Evaluate and record findings

- ☐ Compare the evidence against the audit criteria.
- ☐ Identify conformities, nonconformities and observations.
- ☐ Classify findings by significance or risk.
- ☐ Confirm findings with the auditee to agree the facts.
- ☐ Document objective evidence for each finding.
- ☐ Note positive findings and good practice.

Report results

- ☐ Hold a closing meeting to summarize findings.
- ☐ Draft a clear, factual audit report.
- ☐ State conclusions against the objectives and criteria.
- ☐ Prioritize findings and recommended actions.
- ☐ Distribute the report to the agreed stakeholders.
- ☐ Keep the report and evidence on file.

Follow-up and closure

- ☐ Agree corrective actions with owners and due dates.
- ☐ Require root cause analysis for significant findings.
- ☐ Track actions to completion.
- ☐ Verify actions are implemented and effective.
- ☐ Close findings once evidence confirms resolution.
- ☐ Capture lessons learned for future audits.