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.