

ISO 9001:2015 Supplier Audit Checklist

System & Process Compliance Auditing

Insert your company's name or logo.

Training & Awareness _____	14
Design & Development Support _____	15
Quality Planning _____	16
Customer Documentation _____	17
Procurement _____	18
Incoming Material _____	19
Manufacturing Quality _____	20
Non-conforming Outputs _____	21
Monitoring & Measurement _____	22
Maintenance _____	23
Process Control _____	24
Storage & Packing _____	25
Findings Summary _____	26
Non-conformance _____	26
Corrective Action _____	26
Opportunities for Improvement _____	26
Observations, Comments & Notes _____	27

Guidance

About this Checklist

The audit checklist is just one of the many tools which are available from the auditor's toolbox that help ensure your audits address the necessary requirements. It stands as a reference point before, during and after the audit process and if developed for a specific audit and used correctly will provide the following benefits:

- Ensures the audit is conducted systematically;
- Promotes audit planning;
- Ensures a consistent audit approach;
- Actively supports your organization's audit process (ISO 9001:2015, Clause 9.2.1);
- Provides a repository for notes collected during the audit;
- Ensures uniformity in the performance of different auditors;
- Provides reference to objective evidence.

This audit checklist comprises tables of the certifiable ('shall') requirements, from Section 4.0 to Section 10.0 of ISO 9001:2015, each required is phrased as a question. This audit checklist may be used for element compliance audits and for process audits. If you wish to create separate process audit checklists, select the clauses from the tables below that are relevant to the process and copy and paste the audit questions into a new audit checklist. We suggest that you retain this audit checklist as your 'master copy'.

Audit Scoring Criteria

A risk-based internal audit approach allows the internal audit to concentrate on reviewing the major risks to your organization. The audit's role is to provide assurance that key risks to your organization's objectives are being well controlled.

The audit findings 'traffic lights' are intended to visually communicate the risk posed by the audit finding of any system or processes being audited. The rating system is stratified from 'compliant' to 'major non-conformance' to convey a concise and consistent method for scoring each audit finding. At the end of the audit, you can transfer the findings into an Excel spreadsheet to create charts, summary tables and trend data to paste into your audit report or management review documentation.