
SELF-ASSESSMENT WORKSHEET

Internal Audits

Work through each clause, record what you do today, rate where you are and agree the actions that close the gap.

ORGANISATION

COMPLETED BY

DATE

How to rate: 0 = nothing in place 1 = partly in place 2 = in place, little evidence 3 = in place and evidenced
Fill in on screen or print. Always work from the current published standard.

How to complete this worksheet

- 1 Get the right people together**
Ask the person who runs each area to help. Allow 1–2 hours per sitting; you don't have to finish in one go.
- 2 Read each clause and the evidence prompt**
The grey box tells you what an auditor will look for. The examples underneath show the kind of records that count.
- 3 Write what you actually do today**
Describe the real practice, not what you'd like to happen. Name the document, system or record and where it's kept, e.g. 'Training matrix — SharePoint/HR, updated monthly'.
- 4 Rate honestly from 0 to 3**
0 nothing in place · 1 partly in place or informal · 2 in place but little written proof · 3 in place, followed and evidenced with records. If you can't show it, it isn't a 3.
- 5 Agree actions, owners and due dates**
For anything rated 0–2, write the next practical step, who will do it and by when. Small, specific actions get done.
- 6 Summarise and review**
List your top three priorities on the final page. Revisit the worksheet every few months to track progress.

What counts as good evidence?

- Good evidence is current, approved, dated and actually used — a policy nobody follows isn't evidence.
- Records beat documents: a completed checklist proves more than the procedure that describes it.
- Photos, screenshots, emails and system exports all count if they show the activity happening.
- Leave a box blank rather than guess — blanks show you where to look first.

REQUIREMENT**Why internal audits are required**

Every ISO management system standard requires planned internal audits (Clause 9.2) to check the system conforms and works.

Evidence to look for: Audit every process and clause within the certification cycle.

Examples of suitable evidence

- ✓ Approved annual internal audit schedule covering management system processes
- ✓ Internal audit procedure referencing Clause 9.2 requirements
- ✓ Completed audit reports assessing conformity and effective implementation
- ✓ Audit checklist linking standard requirements to sampled records

What we do today / evidence we hold**Actions to close the gap****Owner**

Due

Rating
☐ 0

☐ 1

☐ 2

☐ 3
PROGRAMME**Audit programme**

Plan audits by risk, importance and past results, using ISO 19011 guidance.

Evidence to look for: An annual audit schedule.

Examples of suitable evidence

- ✓ Risk-based audit programme showing process importance and planned audit dates
- ✓ Planning meeting minutes considering previous findings and organisational changes
- ✓ Audit frequency matrix linked to process risks and past results
- ✓ Audit planning procedure referencing ISO 19011 guidance

What we do today / evidence we hold**Actions to close the gap****Owner**

Due

Rating
☐ 0

☐ 1

☐ 2

☐ 3

INDEPENDENCE

Objectivity

Auditors must be objective and impartial — they cannot audit their own work.

Evidence to look for: Use trained staff from other areas or an external auditor.

Examples of suitable evidence

- ✓ Auditor allocation matrix showing nobody audits their own work
- ✓ Signed auditor declarations recording potential conflicts of interest
- ✓ Cross-department audit assignments approved by the management system coordinator
- ✓ External auditor engagement letter confirming impartiality and audit responsibilities

What we do today / evidence we hold**Actions to close the gap**

Owner		Due		Rating	0	1	2	3
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EVIDENCE

Findings

Findings are based on objective evidence: interviews, observation and records.

Evidence to look for: Classify findings as nonconformities, observations or opportunities.

Examples of suitable evidence

- ✓ Interview notes recording staff roles, questions and supporting evidence
- ✓ Observation records describing activities witnessed during the audit
- ✓ Audit sampling log listing purchase orders and training records checked
- ✓ Findings report linking each nonconformity to evidence and specific requirements

What we do today / evidence we hold**Actions to close the gap**

Owner		Due		Rating	0	1	2	3
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FOLLOW-UP

Corrective action

Results go to management and nonconformities feed corrective action (Clause 10).

Evidence to look for: Track actions to closure and check effectiveness.

Examples of suitable evidence

- ✓ Management meeting minutes reviewing internal audit results and required actions
- ✓ Corrective action register linking audit nonconformities to owners and deadlines
- ✓ Completed root cause analysis forms for audit nonconformities
- ✓ Follow-up audit records confirming corrective actions were implemented and effective

What we do today / evidence we hold

Actions to close the gap

Owner		Due		Rating	0	1	2	3
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Summary and next steps

Top three priorities

Resources or support needed

Target date for certification or review

Want a second pair of eyes?

Send your completed worksheet to our success team for a free review call.

success@isology.co.uk · www.isology.co.uk/contact