
SELF-ASSESSMENT WORKSHEET

ISO 19011:2026 — Auditing Management Systems

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.

CLAUSES 1-3

Scope and definitions

ISO 19011:2026 is guidance for auditing any management system. It is not certifiable.

Evidence to look for: Use it to shape your internal audit programme and auditor training.

Examples of suitable evidence

- ✓ Copy of the current ISO 19011 standard
- ✓ Internal briefing explaining ISO 19011 provides guidance, not certification requirements
- ✓ Audit handbook glossary defining audit evidence, findings and criteria
- ✓ Reference list identifying management systems covered by the organisation's auditing guidance

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

Due

Rating
☐ 0

☐ 1

☐ 2

☐ 3

CLAUSE 4

Principles of auditing

Audits rely on integrity, fair presentation, professional care, confidentiality, independence, an evidence-based approach and a risk-based approach.

Evidence to look for: Auditors should not audit their own work.

Examples of suitable evidence

- ✓ Signed auditor declarations covering confidentiality, integrity and conflicts of interest
- ✓ Audit report recording verified evidence, limitations and differing opinions fairly
- ✓ Audit allocation matrix showing auditors independent of the activities audited
- ✓ Reviewed audit plan explaining risk priorities, sampling choices and resource needs

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

Due

Rating
☐ 0

☐ 1

☐ 2

☐ 3

CLAUSE 5**Managing an audit programme**

Set audit programme objectives, assess programme risks, decide frequency and scope, assign competent auditors, keep records and review the programme.

Evidence to look for: A risk-based annual audit plan covering all processes and clauses.

Examples of suitable evidence

- ✓ Approved audit programme stating objectives, scope, frequency and assigned auditors
- ✓ Audit programme risk register recording resource shortages and proposed controls
- ✓ Auditor allocation records matching competence to planned audit topics
- ✓ Programme review minutes assessing completed audits, results and improvement actions

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

Due

Rating
☐ 0

☐ 1

☐ 2

☐ 3
CLAUSE 6**Conducting an audit**

Plan, open, collect and verify evidence by interview, observation and sampling, generate findings, conclude and report, then follow up.

Evidence to look for: Audit checklists, notes of objective evidence and clear findings.

Examples of suitable evidence

- ✓ Issued audit plan and opening meeting minutes confirming scope and arrangements
- ✓ Audit working papers recording interviews, observations, sampled records and verification checks
- ✓ Final audit report linking findings and conclusions to verified evidence
- ✓ Follow-up log recording corrective actions, verification results and closure dates

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

Due

Rating
☐ 0

☐ 1

☐ 2

☐ 3

CLAUSE 7

Auditor competence

Defines the knowledge and skills auditors need and how to evaluate them.

Evidence to look for: Keep evidence of auditor training and periodic evaluation.

Examples of suitable evidence

- ✓ Auditor competence matrix mapping required knowledge and skills against individual evidence
- ✓ Auditor training certificates covering audit methods and relevant management system standards
- ✓ Witnessed audit assessment recording interviewing, sampling and reporting performance
- ✓ Periodic auditor evaluation records including feedback, experience and development actions

What we do today / evidence we hold

Actions to close the gap

Owner

Due

Rating

0

1

2

3

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