

Internal Audit Checklist

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- ☐ Policy
 - ☐ Verify required policy elements.
 - ☐ Verify management commitment.
 - ☐ Verify policy implementation by tracing links back to policy statement.
 - ☐ Check policy review/revisions.
 - ☐ Determine how the policy is communicated.
 - ☐ Check if suppliers were notified of policy.
- ☐ Aspects
 - ☐ Verify organization has approved procedure to identify aspects.
 - ☐ Verify process for identification, ranking of significant aspects.
 - ☐ Verify how significant aspects are managed.
 - ☐ Verify if appropriate document links are in place.
 - ☐ Verify if training needs have been met.
 - ☐ Verify objectives and targets.
 - ☐ Determine how aspects are communicated.
 - ☐ Interview employees for awareness.
- ☐ Regulatory Requirements
 - ☐ Verify if requirements are in place.
 - ☐ Verify if training has been conducted.
 - ☐ Determine if requirements were communicated to employees.
 - ☐ Verify accessibility and availability of the requirements.
- ☐ Objectives and Targets
 - ☐ Verify if objectives and targets are consistent with significant aspects and policy.
 - ☐ Verify individual roles and responsibilities on objectives and targets are defined.
 - ☐ Are objectives specific and measurable?
 - ☐ Are timeframes set and met?
 - ☐ Process for review and revision.
 - ☐ Process for changing target dates.
 - ☐ Identify how progress is tracked and communicated to management.

- ☐ Training, Awareness and Competence
 - ☐ Verify a training, awareness and competency procedure has been developed.
 - ☐ Determine if training needs have been identified.
 - ☐ Review supporting documentation.
 - ☐ Verify process to review training records to assure required training has been scheduled.
 - ☐ Verify employees have received appropriate emergency response training
 - ☐ Verify that employees have received policy and procedures training.
 - ☐ Interview employees to assure proper understanding.
- ☐ Communication
 - ☐ Verify by sampling the process of how information is communicated between various levels and functions.
 - ☐ Verify the process for receiving, documenting and responding to external communications.
 - ☐ Determine by interviews the raising of employee awareness of policies, objectives and targets and improvement programs.
 - ☐ Determine how the department communicates results of audits and management review to employees.
 - ☐ Have department provide evidence of external communication to the public.
 - ☐ Review examples of how the organization determines to communicate its significant aspects.
- ☐ Documentation
 - ☐ Verify Manual (optional).
 - ☐ Verify Procedures.
 - ☐ Verify organization charts.
 - ☐ Verify the organization has clear documented references to related procedures, work instructions, legal requirements, etc.
 - ☐ Verify manual has been reviewed, understood and communicated to employees.
- ☐ Emergency Response and Preparedness
 - ☐ Verify organization has appropriate emergency response plans in place.
 - ☐ Verify that the plans have a review schedule.

- ☐ Verify that employees have received appropriate emergency response training.
- ☐ Verify that the organization has an emergency drill schedule and has documented evidence of drills conducted.
- ☐ Review the organization's external communication plans for emergency situations.
- ☐ Monitor and Measurement
 - ☐ Verify measurement procedure.
 - ☐ Verify technical calibrations procedures.
 - ☐ Verify regulatory compliance assessments.
 - ☐ Verify that the organization submits an operating report.
 - ☐ Verify key monitoring equipment has been identified and is calibrated and maintained.
 - ☐ Verify a system identifying the frequency, means and methods of calibration are in place.
 - ☐ Identify how performance indicators are chosen, reviewed and revised.
 - ☐ Ensure that performance indicators are objective, verifiable, reproducible and consistent with the policy.