

Internal audit plan and report

This form records ONE internal audit of one process, area or requirement: the plan (page 1), what was sampled, the findings and the grade given to each (page 2), then the positive practice, the follow-up actions, the conclusion, the distribution and the sign-off (page 3). Complete the audit details and the sampling plan before you start. It is not a question list: the safety audit checklist template holds the questions, and the nonconformance report template records one failure in full. Here the audit's questions can sit on your own checklist, which you attach and refer to. It does not belong to any one management system and does not say which law or standard applies. The criteria are the ones your organisation chooses, and the grades and their meaning are in your own wording. ISO text is not reproduced, and no clause is named here. An audit report shows what was examined on the day. It is not a certificate, and a clean report does not show that risks are controlled.

1 Audit details

Audit title and reference		Audit of a ☐ Process ☐ Area ☐ Requirement ☐ Other		Programme reference (if any)
Scope (process, area or requirement; period covered; what is not covered)				
Criteria the audit is judged against (chosen by the organisation: the policy, procedure, contract, law or standard it applies, with revision)				
Auditor or audit team (name, role, competence for this audit)				
Auditee (area owner) and the people met				
Independence from the area audited ☐ No link to the area audited ☐ A link exists (write it below and how it was handled)		The link and how it was handled		
Dates: planned (from, to)	Audit carried out (from, to)	Report issued	Audit number in the year	

2 Method and sampling plan

Method and sampling plan (how the sample is chosen and how big it is, which records, areas, people and activities, and in what ways: reading records, observing work, interviewing)		
Why this sample (for example the risk of the area, past findings, changes since the last audit)		
Checklist or question list used (reference, attached?)	Who the auditee was told, and when	Resources and time allowed
Earlier findings in this area to look at again (audit date, finding no.)		

Independence: write any link between an auditor and the area audited, such as running it, having set it up or reporting to its owner, and how it was dealt with, for example by choosing a different auditor. Where workers or their representatives are consulted on the audit, say so under method.

3 What was sampled and the evidence examined

No.	Item sampled (a record, area, person or activity)	Evidence examined (what was seen, read or said, with date or reference)	Yes	No	Partly	Finding no.
1			☐	☐	☐	
2			☐	☐	☐	
3			☐	☐	☐	
4			☐	☐	☐	
5			☐	☐	☐	
6			☐	☐	☐	
7			☐	☐	☐	
8			☐	☐	☐	
9			☐	☐	☐	

Record what was actually examined, not what was said to be in place. Yes means the item met the criterion, No that it did not, Partly that part of it did. Give each No or Partly a finding number in section 5, and say how many items you examined out of how many exist, so a reader can see how much of the whole the sample was.

4 Grades used in this audit

Grade	What it means here (example wording; replace with your own)
Conformity	The evidence examined meets the criterion. Worth recording so that the report does not show only the failures.
Nonconformity	The evidence shows that a requirement of the criteria is not met. It needs an action with an owner and a due date.
Observation	Something noticed that is not a failure to meet a criterion today but could become one. The auditee decides what to do.
Opportunity for improvement	A way to do better than the criterion asks. Offered, not required.

Use the grade names your own audit procedure uses. If it uses others, such as major and minor, cross out these and write yours, and say what each triggers.

5 Findings

No.	Finding (one statement)	Evidence (record, date, person)	Requirement or criterion it is judged against	Grade (tick one)
1				☐ Conformity ☐ Nonconformity ☐ Observation ☐ Opportunity for improvement
2				☐ Conformity ☐ Nonconformity ☐ Observation ☐ Opportunity for improvement
3				☐ Conformity ☐ Nonconformity ☐ Observation ☐ Opportunity for improvement
4				☐ Conformity ☐ Nonconformity ☐ Observation ☐ Opportunity for improvement
5				☐ Conformity ☐ Nonconformity ☐ Observation ☐ Opportunity for improvement

One finding, one statement: what was found, where, and against which requirement or criterion, so that someone who was not there can check it. A nonconformity names the criterion that was not met. A conformity may be written once for a whole area.

6 Positive practice noted

Positive practice noted (what is done well, where, and who might share it with other areas)

7 Follow-up actions

Finding no.	Action (what will change, and what removes the cause)	Owner	Due	Done on	Verified by (not the owner)	Date verified

The owner does the action. Someone else checks that it was done and that it worked. A nonconformity may also go on a nonconformance report or into your corrective action process; write the reference in the action column.

Follow-up audit or check needed?

☐ No ☐ Yes: area, date and who

When the open actions are next reviewed

8 Conclusion

Conclusion (does the area audited meet the criteria, to the extent examined? what matters most in the findings?)

Overall result (tick one)

☐ Criteria met ☐ Met, with findings
☐ Not met in important respects ☐ Could not be judged

Counts: items sampled; nonconformities; observations

Limits of this audit (what was not examined, what the sample could not show, anything that obstructed it)

9 Distribution

Issued to (name or role)	Why (action owner, area owner, manager)	Date	Receipt confirmed (initials)

Send the report to the people responsible for the actions and to those who decide on the system, for example the management review. Say who else sees it and how long the audit record is kept.

10 Sign-off

Role	Name	Signature	Date
Lead auditor			
Auditee (area owner)			
Reviewed by (manager who receives the report)			
Where this record and the evidence notes are kept, and for how long			Date of next audit of this area