

ISO 9001:2015 Auditor Cheat Sheet



Clause 4: Context of the Organisation

4.1 Understanding the Organisation & Context

- **What to look for:** Identify internal/external issues impacting the QMS
- **How to audit it:** Interviews with top management, review strategic plans or SWOT

4.2 Needs & Expectations of Interested Parties

- **What to look for:** Determine relevant interested parties and their needs
- **How to audit it:** Stakeholder analysis, documented stakeholder expectations

4.3 Determining the Scope of the QMS

- **What to look for:** Define scope boundaries and applicability
- **How to audit it:** Scope statement, check alignment with activities and exclusions

4.4 QMS and its Processes

- **What to look for:** Establish and manage QMS processes and interactions
- **How to audit it:** Process maps, SIPOCs, flowcharts, inputs/outputs, responsibilities

Clause 5: Leadership

5.1 Leadership & Commitment

- **What to look for:** Top management demonstrating leadership and commitment
- **How to audit it:** Interviews, management meeting minutes, visible engagement

5.2 Quality Policy

- **What to look for:** Policy aligned with strategic direction
- **How to audit it:** Documented policy, communicated and understood at all levels

5.3 Organisational Roles, Responsibilities and Authorities

- **What to look for:** Clarity of who does what in the QMS
- **How to audit it:** Job descriptions, org charts, delegation of authority

Clause 6: Planning

6.1 Actions to Address Risks and Opportunities

- **What to look for:** Integrate risk-based thinking into the QMS
- **How to audit it:** Risk registers, mitigation plans, embedded in objectives

6.2 Quality Objectives and Planning to Achieve Them

- **What to look for:** SMART objectives and plans to achieve them
- **How to audit it:** Objective registers, progress reviews, KPIs

6.3 Planning of Changes

- **What to look for:** Plan changes systematically to avoid disruption
- **How to audit it:** Change management logs, risk assessment before changes

Clause 7: Support

7.1 Resources

- **What to look for:** Provide adequate resources
- **How to audit it:** Staff, infrastructure, equipment availability

7.2 Competence

- **What to look for:** Ensure competent personnel
- **How to audit it:** Training plans, skills matrix, evaluation of effectiveness

7.3 Awareness

- **What to look for:** Ensure people are aware of QMS relevance
- **How to audit it:** Interviews, communications, posters

7.4 Communication

- **What to look for:** Internal/external communication planning
- **How to audit it:** Comms strategy, emails, meetings, logs

7.5 Documented Information

- **What to look for:** Control of documents and records
- **How to audit it:** Version control, access permissions, retrieval methods

Clause 8: Operation

8.1 Operational Planning and Control

- **What to look for:** Plan, implement, and control processes
- **How to audit it:** SOPs, work instructions, process audits

8.2 Requirements for Products and Services

- **What to look for:** Customer requirements defined and reviewed
- **How to audit it:** Contracts, order forms, review processes

8.3 Design and Development

- **What to look for:** Systematic design process
- **How to audit it:** Design inputs/outputs, reviews, changes, validation

8.4 Control of Externally Provided Processes

- **What to look for:** Manage suppliers and outsourced activities
- **How to audit it:** Supplier evaluations, purchase orders, contracts

8.5 Production and Service Provision

- **What to look for:** Controlled conditions for provision
- **How to audit it:** Work instructions, monitoring, product ID and traceability

8.6 Release of Products and Services

- **What to look for:** Ensure conformance before delivery
- **How to audit it:** Inspection records, sign-offs

8.7 Control of Nonconforming Outputs

- **What to look for:** Manage NCs to prevent unintended use
- **How to audit it:** NC logs, corrective actions

Clause 9: Performance Evaluation

9.1 Monitoring, Measurement, Analysis and Evaluation

- **What to look for:** Track QMS performance
- **How to audit it:** KPIs, reports, customer satisfaction surveys

9.2 Internal Audit

- **What to look for:** Planned and effective internal audits
- **How to audit it:** Audit plan, reports, NC tracking

9.3 Management Review

- **What to look for:** Leadership review of QMS performance
- **How to audit it:** Review agendas, meeting minutes, action items

Clause 10: Improvement

10.1 General

- **What to look for:** Continual improvement mindset
- **How to audit it:** Examples of improvements, lessons learned

10.2 Nonconformity and Corrective Action

- **What to look for:** Address root causes of NCs
- **How to audit it:** 5-Why or fishbone, CA records

10.3 Continual Improvement

- **What to look for:** Identify and act on improvement opportunities
- **How to audit it:** Improvement projects, objective adjustments

Bonus: Key Records to Check

- **What to look for:** Process maps and flowcharts
- **What to look for:** Quality objectives tracking
- **What to look for:** Risk and opportunity register
- **What to look for:** Training and competence records
- **What to look for:** Internal audit reports
- **What to look for:** Customer feedback logs
- **What to look for:** Management review records
- **What to look for:** Non-conformance register or forms

