



## ANNEX 6

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### CHECKLIST

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The most important tool of the management system is the internal audit as a key resource to evaluate its effectiveness. The audit checklist is not as such a requirement of ISO 19011, however, it is a widely used tool to not lose sight of any element or requirement to be evaluated in the audit process, thus helping the auditor team to achieve the objectives of the audit program.


When a checklist is generated, necessary information must be included to ensure that the results of the process or system are successfully verified through a comparison of the planned provisions, to ensure that the audit scope is being carried out.

A checklist is a set of questions that the auditor is required to ask the auditee, or activities that the auditor is required to witness, to verify compliance with the provisions set forth.

The list may include more than just questions. It may also include objective evidence that the auditor is required to check.

The audit checklist, through its application in the review of KPIs, determines whether the measures demonstrate that the process is being complied with, as well as being a useful way to document the questions that need to be asked to ensure that the audit meets the determined objectives and those of the audit program.

Like other management system tools, the checklist is a time-saving tool that helps avoid mistakes or potentially risky situations.

 <b>CHECKLIST</b>			
<b>Name of auditee</b>	Joshua Palmer - QMS Coordinator	<b>Date</b>	June 23, 2021
<b>Process</b>	Quality Management System	<b>Scope</b>	ISO 9001:2015: Clause 9. Evaluation of QMS performance




Req.	Question	Comply	Does not Comply	Findings	Objective evidence
9.2	Does the organization have a management system audit program?				F-CAL-07, Audit Program, version 1, is currently documented.
9.2	Does the audit program establish the objectives, scope, risks and criteria to be audited?			The program does not have risk identification.	The program has the space for risk identification, but it is not filled out. The standards involved in the management system according to the document Management Manual M-CAL-01 mention that it is based on ISO 19011 in its current version for the development of audits.
9.1	Are metrics in place to monitor and measure process performance?				The "internal audit efficiency" indicator is measured quarterly and to date the resulting average is 98%; the target is 95%.

Figure 1. Example of structure and completion

**Checklist (SG-AU-03) | Quality Management System ISO 9001:2015**

Audited area/process:	Date:
Documents/Audit criteria: Management System Application Guide; ISO 9001-2015 Standard; Legal requirements.	Audit No.

**Audit team:**

**Audited personnel:**

Requirement/criteria	Question	Audited	Finding	Objective Evidence	Finding C-MNC-mNC-OI
4.1 Understanding the organization and its context 10 min.	Where and how is the organizational context determined?				
4.2 Stakeholder needs and expectations	What are the stakeholders in your process? Where and how do you follow up with them? What is their current status?				
4.3 Scope of the MS	What is the scope of the MS and where can it be consulted?				
4.4 The MS and its processes	Where are the processes that make up the MS identified? And how are these processes applied to the system?				

Requirement/criteria	Question	Audited	Finding	Objective Evidence	Finding C-MNC-mNC-OI
5.1 Leadership and commitment	Who is the Senior Management of the MS?				
5.1 Leadership and commitment	Where are your responsibilities defined?				
5.1.2 Customer focus	What strategic elements do you consider to establish the focus on your customers?				
5.2.1 Establishment of the Quality Policy.	What is your quality policy and how do you link it to your strategic planning?				
5.2.1 Establishment of Quality Policy	What is the Quality Policy and how do you apply it in your daily work?				
5.2.2 Communication of the Quality Policy	Where is the Quality Policy available?				
5.3 Roles, responsibility and authority for personnel involved in the MS	What are and where are their roles, responsibilities and authority documented?				
6.1 Actions to address risks and opportunities.	What are the risks associated with your process and how do they impact strategic planning?				
6.1 Actions to address risks and opportunities.	Where do you document them, how do you treat them and what is their current status?				

Requirement/criteria	Question	Audited	Finding	Objective Evidence	Finding C-MNC-mNC-OI
6.1 Actions to address opportunities.	Where do you document opportunities, how do you treat them and what is their current status?				
6.2.1 Quality objectives and planning to achieve them.	What are the institutional objectives linked between the MS?				
6.2.2 Quality objectives and planning to achieve them.	Where does it state how it will be done, what resources will be required, who is responsible, when will it be completed and how will the results be evaluated?				
6.3 Planning changes	When a change to the MS is presented, how do you implement it to ensure the integrity of the MS?				
7.1 Resources	How do you determine and obtain the necessary resources for the establishment, implementation, maintenance and continuous improvement of the MS?				
7.1.2 Persons	How do you identify the people needed to operate the process?				
7.1.3 Infrastructure.	How and by whom do you provide the necessary infrastructure to ensure that your process operates and achieves the expected results?				

Requirement/criteria	Question	Audited	Finding	Objective Evidence	Finding C-MNC-mNC-OI
7.1.4 Environment for process operation.	How do you determine, provide and maintain the environment necessary for the operation of your processes?				
7.1.6 Knowledge of the organization.	How do you determine the knowledge required for the operation of your process and the conformity of your services?				
7.1.6 Knowledge of the organization.	When new changes or needs arise, how do you update your knowledge?				
7.1.6 Knowledge of the organization.	How and where are the documents available for the personnel involved in the process to know and apply?				
7.2 Competence	Where and how is the competence of the personnel involved in the process determined?				
7.2 Competence	When you determine that your staff is not fully competent, what actions do you take and how do you evaluate them?				
7.3 Awareness.	How do you ensure that your staff is aware of: - The quality policy and objectives; their contribution to the effectiveness of the QMS, as well as the implications of non-compliance?				

Requirement/criteria	Question	Audited	Finding	Objective Evidence	Finding C-MNC-mNC-OI
7.4 Communication.	Where and how do you identify what your process needs to communicate both internally and externally?				
7.5.1, 7.5.2, 7.5.3.1 and 7.5.3.2 Documented information.	How do you control the documented information used in your process?				
8.1 Operational planning and control.	How and where do you plan the control and operation of the processes necessary to provide the service requested?				
8.1 Operational planning and control.	What actions do you take when an unforeseen change in the process occurs?				
8.2.1 Communication with customers.	How do you communicate with the customers of your process to let them know the types of services offered, the requirements to perform them, the response times and the status of their completion?				
8.2.2 Determination of requirements for services.	Where are the requirements for the services you provide established and how do you make them known to customers?				
8.2.3.1 Review of requirements for services.	How do you conduct the review of requirements and how do you ensure that you have the necessary capability to meet them?				
8.2.3.1 and 8.2.3.2 Review of requirements for services.	How are differences resolved when they arise between the customer and the personnel performing the service?				

Requirement/criteria	Question	Audited	Finding	Objective Evidence	Finding C-MNC-mNC-OI
8.2.4 Changes in service requirements	How do you ensure that when requirements for products and services change, the relevant documented information is modified, and that the relevant people are aware of the modified requirements?				
8.4.1 Control of externally supplied processes, products and services.	How do you ensure that the processes, products or services provided to the organization conform to the requirements of those who request them?				
8.4.1 Control of externally supplied processes, products and services.	Who determines the controls to be applied to external suppliers and how are they determined?				
8.4.2 Type, scope and control.	How do you ensure that externally supplied processes, products and services do not adversely affect your ability to consistently deliver compliant services to your customers?				
8.4.3 Information for external suppliers.	How do you ensure the adequacy of the requirements before communicating them to the external supplier?				
8.5.1 Control of production and service provision.	How are the services offered to customers carried out under controlled conditions?				
8.5.2 Identification and traceability.	How do you identify and trace the services you provide?				

Requirement/criteria	Question	Audited	Finding	Objective Evidence	Finding C-MNC-mNC-OI
8.5.3 Property belonging to customers or external suppliers.	How do you ensure that you take care of property belonging to customers or external suppliers while it is under your control or being used by you?				
8.5.4 Preservation.	How do you carry out the preservation of the service or its component parts?				
8.5.6 Control change.	How do you manage the control of changes that occur during the development of the services you offer to your customers?				
8.6 Release of products or services.	How do you ensure that the services are released until they have completed everything planned?				
8.6 Release of products or services.	Is there anyone who can release the service before it has been performed satisfactorily? If so, please show the corresponding authorizations.				
8.7.1 Non-conforming outputs.	What are the non-conforming outputs identified in your process and how do you deal with them?				
9.1.1 Monitoring, measurement, analysis and evaluation.	Who determines the methods and times for monitoring, measuring, analyzing and evaluating to ensure the expected results of each process, and how?				

Requirement/criteria	Question	Audited	Finding	Objective Evidence	Finding C-MNC-mNC-OI
9.1.2 Customer satisfaction.	How do you track customer satisfaction and what results have you obtained from your latest assessment?				
9.1.3 Analysis and evaluation.	How do you carry out the analysis and evaluation?				
9.2.1 Internal audit.	When was the last internal audit of your MS performed, under what methodology and what results were obtained?				
9.3.1 Management review.	How did you conduct the QMS management review, what results were obtained and what actions were determined to be taken for improvement?				
9.3.2 Management review inputs.	What elements do you consider to be reviewed by senior management and what results did you obtain from them?				
9.3.3 Outputs of the management review.	What actions have you decided to take to improve MS performance?				
10.1 Improvement.	How do you carry out the improvement in the MS?				
10.2 Non-conformities and corrective actions	How do you deal with nonconformities?				
10.2 Non-conformities and corrective actions	How do you deal with customer complaints?				
10.3 Continuous improvement.	How do you participate in the continuous improvement of the suitability, adequacy, and effectiveness of the MS?				

**Audit findings:**

- C = Compliance.
- MNC = Major nonconformity
- mNC = Minor nonconformity
- OI = Opportunity for improvement