INTERNAL AUDIT

ISO 9001 Audit Clause Quick Reference

Clauses 4 to 10 with the question an auditor asks and the evidence to show

QM Bench pocket guide
Rev. 2026-11

Clause	Topic	Auditor asks / evidence to show
4.1 – 4.2	Context, interested parties	Which internal and external issues and which interested parties matter? Context review, list of parties and their requirements.
4.3 – 4.4	Scope, QMS and its processes	What is in scope, which processes, how do they interact? Scope statement, process map, turtle diagrams, process KPIs.
5.1 – 5.3	Leadership, policy, roles	How does top management take part? Quality policy communicated, roles and authorities, management review minutes.
6.1	Risks and opportunities	Which risks and opportunities were found and what was done? Risk register with actions and their effectiveness.
6.2	Quality objectives	Are objectives measurable, tracked and resourced? Objectives with owner, target, due date and status.
6.3	Planning of changes	How was the last QMS change planned? Change plan, responsibilities, resources, check of results.
7.1	Resources, measuring equipment, knowledge	Are people, infrastructure and gauges adequate? Calibration register, maintenance records, lessons learned.
7.2 – 7.3	Competence, awareness	How do you know a person is competent? Qualification matrix, training records, effectiveness check.
7.4 – 7.5	Communication, documented information	Is the current revision at the workplace? Document control, records with retention, access rights.
8.1 – 8.2	Operational planning, customer requirements	How are requirements reviewed before acceptance? Contract or order review, feasibility, changes communicated.
8.3	Design and development	Inputs, reviews, verification, validation, changes? Design plan and records, or justification if excluded.
8.4	External providers	How are suppliers selected, evaluated and monitored? Approved supplier list, scorecards, incoming inspection.
8.5	Production and service provision	Controlled conditions, identification, traceability, preservation? Work instructions, set-up approval, labels, lot records.
8.6 – 8.7	Release, nonconforming output	Who releases product, what happens to bad parts? Release records, NCR log, quarantine, concessions.
9.1	Monitoring, customer satisfaction, analysis	What is measured and what does the data say? KPI trends, customer feedback, analysis with conclusions.
9.2	Internal audit	Is there a risk-based programme and are findings closed? Audit plan, reports, auditor independence.
9.3	Management review	Were all required inputs covered and decisions made? Review minutes with inputs, outputs and actions.
10.2 – 10.3	Nonconformity, corrective action, improvement	Root cause found, action effective, risk updated? CAPA records, 8D reports, effectiveness checks.

Grading a finding

- **Major NC:** requirement not met at all or system failure; product or customer at risk.
- **Minor NC:** single lapse, the system works.
- **OFI:** requirement met, could be better.
- Write: requirement, evidence seen, what is missing.

ISO 9001:2026 in short

- Quality culture and ethical behaviour (5.1, 7.3)
- Risks and opportunities evaluated separately (6.1)
- Planning of changes followed to results (6.3)
- An objective for every internal audit (9.2)
- Same clause structure 4 to 10; check the transition date with your certification body

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