General ISO Management System Self-Audit Tool

Purpose: The self-audit tool is designed to help organizations evaluate their conformity with the requirements of an ISO management system standard. It provides a structured approach to assess compliance, identify gaps, and implement improvements.

Structure: The self-audit tool is divided into sections that correspond to the main clauses common to most ISO management system standards. Each section includes a set of audit questions, criteria, and a scoring system to assess the organization's compliance and identify areas for improvement.

Sections:

1. **Context of the Organization**
2. **Leadership**
3. **Planning**
4. **Support**
5. **Operation**
6. **Performance Evaluation**
7. **Improvement**

Scoring System:

- **0:** Not implemented
- **1:** Poorly implemented
- **2:** Partially implemented
- **3:** Fully implemented but not effective
- **4:** Fully implemented and partially effective
- **5:** Fully implemented and highly effective

Content

1. Context of the Organization

1.1 Understanding the Organization and Its Context

- **Audit Question:** Has the organization identified internal and external issues that affect its ability to achieve intended outcomes?

- **Criteria:** Evidence of systematic identification and review of internal and external issues.
- **Score:** [ ]

1.2 Understanding the Needs and Expectations of Interested Parties

- **Audit Question:** Has the organization identified the needs and expectations of interested parties relevant to its management system?
- **Criteria:** List of interested parties and their needs and expectations.
- **Score:** [ ]

1.3 Determining the Scope of the Management System

- **Audit Question:** Is the scope of the management system clearly defined and documented?
- **Criteria:** The scope statement includes boundaries and applicability of the management system.
- **Score:** [ ]

2. Leadership

2.1 Leadership and Commitment

- **Audit Question:** Does top management demonstrate leadership and commitment to the management system?
- **Criteria:** Evidence of top management involvement and support for the management system.
- **Score:** [ ]

2.2 Policy

- **Audit Question:** Is there a policy that supports the management system, and is it communicated and understood within the organization?
- **Criteria:** The policy is documented, accessible, and regularly reviewed.
- **Score:** [ ]

2.3 Organizational Roles, Responsibilities, and Authorities

- **Audit Question:** Are roles, responsibilities, and authorities for the management system clearly defined and communicated?

- **Criteria:** Documented and communicated organizational structure with defined roles.
- **Score:** [ ]

3. Planning

3.1 Actions to Address Risks and Opportunities

- **Audit Question:** Has the organization determined and planned actions to address risks and opportunities?
- **Criteria:** Risk assessment and action plans documented and implemented.
- **Score:** [ ]

3.2 Management System Objectives and Planning to Achieve Them

- **Audit Question:** Are objectives established for the management system, and are there plans to achieve them?
- **Criteria:** Objectives are specific, measurable, achievable, relevant, and time-bound (SMART).
- **Score:** [ ]

3.3 Planning of Changes

- **Audit Question:** Are changes to the management system planned in a systematic manner?
- **Criteria:** Documented change management process.
- **Score:** [ ]

4. Support

4.1 Resources

- **Audit Question:** Are adequate resources provided for the management system?
- **Criteria:** Resource allocation aligns with management system needs.
- **Score:** [ ]

4.2 Competence

- **Audit Question:** Are personnel competent and provided with necessary training?
- **Criteria:** Training programs and competence evaluations are in place.
- **Score:** [ ]

4.3 Awareness

- **Audit Question:** Are employees aware of the management system and their role within it?
- **Criteria:** Communication and awareness programs are documented.
- **Score:** [ ]

4.4 Communication

- **Audit Question:** Are internal and external communication processes effective?
- **Criteria:** Communication plans and records.
- **Score:** [ ]

4.5 Documented Information

- **Audit Question:** Is documented information managed effectively to support the management system?
- **Criteria:** Documentation is controlled, accessible, and reviewed regularly.
- **Score:** [ ]

5. Operation

5.1 Operational Planning and Control

- **Audit Question:** Are operational processes planned and controlled to meet management system requirements?
- **Criteria:** Procedures and controls for key processes are documented.
- **Score:** [ ]

5.2 Requirements for Products and Services

- **Audit Question:** Are requirements for products and services determined and met?

- **Criteria:** Processes for determining and meeting requirements are documented.
- **Score:** [ ]

5.3 Control of Externally Provided Processes, Products, and Services

- **Audit Question:** Are externally provided processes, products, and services controlled?
- **Criteria:** Supplier evaluation and control processes are documented.
- **Score:** [ ]

5.4 Nonconformity and Corrective Action

- **Audit Question:** Are nonconformities identified and corrective actions taken?
- **Criteria:** Nonconformity and corrective action records.
- **Score:** [ ]

6. Performance Evaluation

6.1 Monitoring, Measurement, Analysis, and Evaluation

- **Audit Question:** Are processes for monitoring, measurement, analysis, and evaluation established?
- **Criteria:** Performance data is collected, analyzed, and used for decision-making.
- **Score:** [ ]

6.2 Internal Audit

- **Audit Question:** Are internal audits conducted to evaluate the effectiveness of the management system?
- **Criteria:** Audit schedules, procedures, and follow-up actions are documented.
- **Score:** [ ]

6.3 Management Review

- **Audit Question:** Are management reviews conducted to ensure the management system's continuing suitability and effectiveness?

- **Criteria:** Reviews are documented and include assessment of objectives, performance, and opportunities for improvement.
- **Score:** [ ]

7. Improvement

7.1 Continual Improvement

- **Audit Question:** Is there a systematic approach to continual improvement in place?
- **Criteria:** Improvement initiatives are documented, tracked, and evaluated for effectiveness.
- **Score:** [ ]

7.2 Corrective Actions

- **Audit Question:** Are corrective actions taken to address nonconformities?
- **Criteria:** There is a documented process for identifying, documenting, and resolving nonconformities.
- **Score:** [ ]

7.3 Innovation and Best Practices

- **Audit Question:** Does the organization encourage innovation and the adoption of best practices?
- **Criteria:** Mechanisms for innovation and benchmarking are in place and utilized.
- **Score:** [ ]

Summary and Action Plan

Overall Score:

- Sum of all scores: [ ]
- Average score per section: [ ]

Strengths:

- Identified areas where the organization scores 4 or 5 consistently.

Areas for Improvement:

- Identified areas where the organization scores below 3.

Action Plan:

- Actions to address areas for improvement with responsible persons and timelines.

Follow-up:

- Scheduled reviews to monitor the progress of the action plan.

This self-audit tool should be used regularly to ensure ongoing compliance with the relevant ISO management system standard and to drive continual improvement in the organization's management system.