This worksheet is intended to assist in identifying specific "factors" to be considered when planning a "risk-based internal audit".

| **Auditor(s)** | **Date** |
| --- | --- |
|  |  |
| **Are there any areas/processes…** | **Include details.** |
| Where the CB issued nonconformities during their most recent audit? If so, which area and how many nonconformities (Majors/Minors) were identified? |  |
| Experiencing high numbers of new employees and/or high employee "turn-over"? |  |
| Where “key” employees have been added or replaced? |  |
| That have undergone significant change(s) (e.g., improvements, new product line(s) introduced, new equipment added – such as automation)? |  |
| With complex processes (e.g., Design)? |  |
| Involving “Special” processes (e.g., Soldering, Welding)? |  |
| With other factors to consider? |  |
| **Upon reviewing the Previous Internal Audit, were there any areas/processes…** | **Include details.** |
| Where nonconformities were issued? If so, which area and how many nonconformities (Majors/Minors) were identified? |  |
| Where Quality Objectives had not been achieved, and actions implemented in order to achieve them? If so, which areas/processes? |  |
| That received "valid" customer complaints or reports of nonconforming products or services during the previous internal audit cycle? |  |
| Where multiple instances of the same or similar nonconformities identified (e.g., in a Pareto Chart)? |  |
| That had “Open” or “Pending” corrective Actions at the conclusion of the audit? |  |
| Considered to have High or Medium risk levels? |  |
| With other factors to consider? |  |