



Software QA Audit Readiness Checklist





1. Review Quality Objectives and Compliance Alignment

- Confirm QA objectives align with applicable standards (e.g., ISO 9001, CMMI)
- Verify regulatory compliance requirements for software under audit

2. Test Documentation Completion

- Ensure test plans, cases and scenarios are comprehensive and approved
- Validate traceability between requirements, test cases and defects
- Confirm latest test execution logs and defect reports are available and accurate





3. Test Environment and Tools Verification

- Document testing environments and confirm they replicate production settings where possible
- Validate configuration management and version control for testing tools and software
- Ensure all tools are validated and functioning correctly

4. Staff Training and Competence

- Review training records for all QA team members
- Ensure competence assessments and certifications are up to date
- Confirm QA roles and responsibilities are clearly defined and understood

5. Nonconformance and Corrective Action Closure

- Identify open nonconformances from previous audits or reviews
- Document corrective actions with status and closure evidence
- Verify preventive measures to avoid recurrence





6. Risk Management Integration

- Review risk registers related to QA processes
- Confirm risk assessments have been conducted and mitigation plans implemented
- Ensure risk controls align with quality management practices

7. Internal Pre-audit Reviews

- Conduct mock audits or role-playing auditor interviews
- Assess the readiness of documentation and personnel responses
- Identify any last gaps and create action plans

8. Data Integrity and Record Accuracy

- Perform data checks for consistency and completeness in QA records
- Validate audit trails for all key QA activities
- Confirm backups and secure storage of audit evidence





9. Audit Logistics and Communication

- Define audit scope, schedule, and stakeholder roles
- Prepare the audit room, access protocols, and technology setup
- Communicate the audit plan and readiness status with all involved parties

10. Continuous Readiness Practices

- Maintain an up-to-date audit readiness checklist with progress tracking
- Schedule regular internal QA reviews and documentation updates
- Integrate automation tools for evidence collection and status monitoring

