**Process Based audit - Checklist**

**Control of Documented Information**

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| **Chris Docherty (Auditor)** | **(Auditee)** |  |
| **Internal Sales:** | **Joe Blogs** |  |
| **External Sales:** | **Peter Smith** |  |

|  | **Section of Procedure/Process** | **Responsible** | **Area of Evidence** | **Finding** | **Comment** |
| --- | --- | --- | --- | --- | --- |
|  |  |  |  | OFI/NC |  |
| 1.1 | Electronic Document Management |  | An enquiry can come in from a client by various means and passed to internal sales person. |  |  |
| 1.2 | Document Register in place |  | Based on client’s enquiry assess their requirements and identify the product specification. |  |  |
| 1.3 | Minimum 3 yearly review of documents | **QHSE** | Do document revisions and dates align to this. Document register |  |  |
| 1.4 | Changes as a result of audits, legal changes, changes in people | **QHSE** | Evidence through improvement register or other documented evidence of improvement |  |  |
| 1.5 | Any employee can raise requests for changes | **Employee** | How is this done and recorded |  |  |
| 2.1 | Changes are recorded in the document register | **Document Owner** | Check document register to identify if the changes are quoted |  |  |
| 2.2 | Only the newest version of the document is available to staff | **QHSE** | How is this controlled? |  |  |
| 2.3 | Obsolete documents will be deleted | **QHSE or Document owner** | Check there are no older versions are available. Even if hard copies are available (with uncontrolled copy printed) these should still be removed from circulation. How does the company assure this? |  |  |
| 2.4 | Destroying documents only by written consent by a director | **QHSE with Director approval** | How is this done and evidenced. |  |  |
| 2.5 | Ramco shared drive controls the level of access to documents to ensure not being tampered. | **IT** | Check that the drive does have the level of control mentioned? |  |  |
| 3.1 | Records retention – period of time. | **QHSE** | Check older records. |  |  |