

VST

# Internal Audit Check list

| DOCUMENT CONTROL |                   |                                     |
|------------------|-------------------|-------------------------------------|
| Created:         | 17/May 1995       | Audit No 10                         |
| Revised:         | 13 September 2011 | Last printed 30/04/2007 10:55:00 AM |
| Audit Date       | 18-6-15           | Auditor H.L.A.M.B                   |
|                  |                   | ISO 4.2 4.2.2                       |

| DOCUMENT CONTROL                                                                                                                                                                    |                                                 |                                     |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-------------------------------------|
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|                                                                                                                                                                                     |                                                 | ISO 4.2 4.2.2                       |
| Documentation control is being moved from a paper system to "Intrastats"                                                                                                            |                                                 |                                     |
| Many of the questions asked are now superfluous as the checks are carried out automatically, and recorded automatically. The hard copies are gradually being replaced and Archived. |                                                 |                                     |
| QUESTION:                                                                                                                                                                           | RESPONSE:                                       | Y/N                                 |
| Is there sole responsibility for company procedures and other documentation.                                                                                                        | IT director has sole access to Intrastat system | N/A                                 |
| Verify that documentation is checked prior to formal approval and issue and authorisation is unique                                                                                 |                                                 | Y                                   |
| Verify that all personnel have access to their relevant areas of the documentation.                                                                                                 | Intrastats                                      | N/A                                 |
| Verify that amendments can be requested and are controlled by Date issue. are updated Electronically and old copies Archived.                                                       | Intrastats                                      | N/A                                 |
| Are standards, regulations, data sheets etc. in the library.                                                                                                                        | Intrastats                                      | Y                                   |
| Check that the C.E. files are maintained by sole responsibility.                                                                                                                    |                                                 | Y                                   |
| Check that obsolete data in the files is Archived                                                                                                                                   | Intrastats also Archives store                  | N/A                                 |
| Are manufacturers data sheets supplied the latest issue.                                                                                                                            | # 60912                                         | Y                                   |
| Verify that checks are made to ascertain the latest issue data sheets are supplied after design change / modification (from suppliers).                                             |                                                 | Y                                   |
| Are Intrastat documents regularly backed-up and secure offsite?                                                                                                                     |                                                 | Y                                   |
| Check that the documents register is complete and adequate                                                                                                                          | Intrastats                                      | N/A                                 |
| Check that documents are filed where they say they are and the responsibility is true.                                                                                              | Intrastats on workstation                       | N/A                                 |
| Verify that records are easily retrievable for information and analysis.                                                                                                            | Intrastats on workstation                       | N/A                                 |
| Are printed copies of production procedures the latest issue status                                                                                                                 | No printed copies                               | N/A                                 |
| Is the procedure for ensuring only the latest issue of drawings and documentation available working correctly Check 6 items in the Index                                            | Intrastats                                      | N/A                                 |
| Are quality records properly filed and easily retrievable                                                                                                                           |                                                 | Y                                   |
| Is the Company procedures Manual the latest version                                                                                                                                 | N/A                                             | Y                                   |
| Has the organisation chart changed                                                                                                                                                  |                                                 | NO                                  |
| Has the responsibility descriptions changed                                                                                                                                         |                                                 | NO                                  |

#1 Need to look to prove latest issue.  
see Audit 106