Internal Audit Check list #94603			
INTERNAL PROCESS VERIFICATION VSJ			
Created:	17/May 1995	**Audit No 20**	VM3/COP VOP 13
Revised:	04 September 2017		Page 1 of 5
Audit Date	6-6-17	Auditor H LAMB BSc Hons Derek Lamb	ISO 5.6

	INTERNAL PROCESS VERIFICATION A. Management System: B. Management Responsibility C. Resource Management D. Product Realisation E. Design & Development F. Product Provision G. Process Monitoring The following are questions that should be asked and answered either through Internal audits or at this meeting		
	A - MANAGEMENT SYSTEM		ISO
1	Is the management system applications a series of process controls and are they in place throughout the organisation. Are processes identified and are charts produced to this effect and are copies of these charts easily accessible for use by personnel.	Intrastats, Audit 10	4.2 Y
2	Check the documented system for its policies and objectives and its control of the above processes and procedures. Is the Process Manual up to date and does it indicates the company's objectives. Are procedures are in place Are they available to all personnel Are other company documents i.e. Technical Drawings, Standards; Operators Manuals etc. also available and controlled	Intrastats, Audit 10 Roles and Responsibilities.	4.2 Y
3	Are the latest revision of documents controlled by version and date status and are they easily accessible. Is the Managing Director or designate manager still giving final approval for document changes.	Intrastats, Audit 10	Y
4	Is the Managing Director or designate manager still giving final approval for document changes.		Y
5	Has the Business Continuity Plan has expired. ISO – Document Index	Feb 17	Y
	B - MANAGEMENT RESPONSIBILITY		5.1 5.6
6	Is Top management showing full commitment to the overall system and are communication lines in place.	Intrastats, Director in control of QA system	Y
7	Are all customer requirements defined and met.	Contract Review Audit 2	Y

Internal Audit Check list

INTERNAL PROCESS VERIFICATION

Created:	17/May 1995	**Audit No 20**	VM3/COP VOP 13
Revised:	04 September 2017		Page 2 of 5
Audit Date	6-6-17	Auditor	ISO 5.6

8	Are all the processes and objectives, undertaken within the company, documented in intrastats and have a procedure. Is it measurable. Check process ID114 Staff – Audit of Roles, titles and procedures.	also Analysis of processes	Y
9	Does the person responsible for the management systems have the authority to implement actions and reports directly to top management with the need for these actions	Managing Director	Y
10	Are reviews of the management system undertaken regularly and the results and actions relayed throughout the organisation.	Issues, Message of Day, company meetings, management meetings, Management reviews	4.2 5.6 8.2 8.4 8.5
11	Are all required actions are undertaken in a timely ,manner and closed where appropriate.	Intrastat Issues	Y
12	Are all output requirements in such a format that verification against inputs, is applicable and appropriate. Is fitness for Purpose validated and is it measurable. Staff – Audit of Roles, titles and procedures - click into details - review Scope and Risks. To check relevance. Staff – Audit of Roles, titles and procedures check down the page for gaps in the IP 1-6 (end tick boxes)	Work in process New System	Y
13	Are actions recorded against verifications completed in a timely and responsible manner.	Intrastat Issues	Y
14	Are design changes recorded and all the relevant information filed in the appropriate places.	Design control Audit 3 Intrastat	7.3
	C - RESOURCE MANAGEMENT		6.1 6.4
15	Has top management established a mechanism for identifying and providing required resources, training etc.	Training Audit 8	6.2
16	Does this include existing and new personnel.	Training Audit 8	6.2
17	Has top management identified the competency levels and attributes required for existing and new personnel.	Training Audit 8	Y
18	Is the competency of personnel monitored, verified and the appropriate records maintained	Training Audit 8	Y
19	Are personnel responsibilities defined.	Roles and Responsibilities	Y
20	Do individuals know their responsibilities, reporting and	Intrastat communication	X

Company Chart ~~company~~ Structure

Internal Audit Check list

INTERNAL PROCESS VERIFICATION

Created:	17/May 1995	**Audit No 20**	VM3/COP VOP 13
Revised:	04 September 2017		Page 3 of 5
Audit Date	6-6-17	Auditor	ISO 5.6

	communicating lines.		
21	Verify that all procedures, detail who is responsible for it.	Roles & Resp	Y
22	Check that these responsibilities also cover personnel Health & Safety functions – Health and Safety Controller.		Y
23	Is the need for equipment, plant, services etc. identified and acted upon where necessary.	Production meetings, management meetings Health and Safety Questionair.	Y
24	Has the basic working infrastructure been planned with conformity to requirements in mind.	Health & safety Audit 19	6.3 6.4 Y 7.2
25	Check validations of unknown process control criteria. Are there any unknown process.		N/A
26	Are there adequate mechanisms in place for the identification, handling etc. of product through all stages.	COP/07	Y
27	Are the controls in place, to safeguard customer property, adequate for full protection against loss damage etc.	COP/09	Y
28	Is the process for monitoring and measurement of product in place at all stages throughout the production process.	Production COPs	Y
29	Is the process for control of measuring equipment adequate for the monitoring of product verifications.	Calibration Audit 06	Y
30	Are validity processes are in place to safeguard product integrity.	Bar coding traceability	Y
	D - PRODUCT REALISATION		7.1 7.5 Y
31	Is the planning process for the realisation of product undertaken at the relevant stages.		Y
32	Does planning identify documentation, testing and other such activities as required and that all appropriate records are maintained.		Y
33	Are all customer requirements being addressed, including statutory and regulatory and that the capabilities are identified to meet those requirements.	Contract Review Audit 02	7.2 Y
34	Establish that mechanisms are in place to review all customer requirements prior to any commitments by the organisation.	Contract Review Audit 02	7.2 Y
35	Check that there are adequate arrangements for customer communications and feedback.	Contract Review Audit 02	7.2 Y
36	Is collation and analysis of all relevant data determined and effective. Is corrective actions identified.		8.4
37	Are these actions completed in a timely and adequate manner and are these actions part of continual improvements.	Issues + meetings	Y

Internal Audit Check list

INTERNAL PROCESS VERIFICATION

Created:	17/May 1995	**Audit No 20**	VM3/COP VOP 13
Revised:	04 September 2017		Page 4 of 5
Audit Date	6-6-17	Auditor	ISO 5.6

38	Does the organisation have preventive measures in place to control potential non-conformities.	QA	Y
39	Are all the above actions are reviewed adequately.		Y
	E - DESIGN & DEVELOPMENT		7.3 Y
40	Are procedures in place to ensure adequate planning of product design and that all relevant stages are identified.	Design control Audit 3	7.3 Y
41	Are the interfaces and assignments of responsibilities identified.	Design control Audit 3	7.3 Y
42	Are all input requirements determined. Is the documentation identified.	Design control Audit 3	7.3 Y
43	Are all output requirements in such a format, that verification against inputs is applicable and appropriate. Is Fitness for Purpose validated.	Design control Audit 3	7.3 Y
45	Are actions recorded against verifications completed in a timely and responsible manner.	Design control Audit 3	7.3 Y
46	Are validation processes in place and are they determined in accordance with the relevant requirements.	Design control Audit 3	7.3 Y
47	Are design changes recorded and all the relevant information filed in the appropriate places.	Design control Audit 3	7.3 Y
	F - PRODUCT PROVISION		
48	Are supplier profiles adequate and appropriate for the organisation. Are they monitored, for their ability to provide the requirements, is this monitoring controlled.	Purchasing Controls (Supplier Performance) Audit 5	7.4 Y
49	Is all the required information necessary, forwarded to suppliers in the correct format. Is this authorised prior to order placement.	Purchasing Controls (Supplier Performance) Audit 5	7.4 Y
50	Are goods and services received correct to the requirements stipulated.	Goods Inward Audit 9	7.4 7.5 Y 8.2
51	Are the provisions available, suitable for control of production and service, including procedures and equipment etc.	Production Audit 15	Y
52	Are there adequate mechanisms in place for the identification, handling etc. of product through all stages.	Production Audit 15	Y
53	Are the controls in place to safeguard customer property adequate for full protection against loss damage etc.	Production Audit 15	Y
54	Is the process for monitoring and measurement of products in place at all stages throughout the production process.	Production Audit 15	Y
5	Is the process, for control of measuring equipment, adequate for the monitoring of product verifications.	Calibration Audit 6	Y
56	Are validity processes are in place to safeguard product integrity.	QA	Y
	G - PROCESS MONITORING		8.1 Y

Internal Audit Check list

INTERNAL PROCESS VERIFICATION

Created:	17/May 1995	**Audit No 20**	VM3/COP VOP 13
Revised:	04 September 2017		Page 5 of 5
Audit Date	6-6-17	Auditor	ISO 5.6

			8.5
57	Are mechanisms are in place to monitor all relevant processes, including customer satisfaction. Are these verified against known criteria. Check process ID 114		Y
58	Are controls in place for non-conforming product and processes. Are adequate to prevent unintended uses.	Goods Inward Audit 9	Y
59	Where non-conforming product / process has been detected is appropriate action taken.	Goods Inward Audit 9 carted by intrastat	Y
60	Is collation and analysis of all relevant data determined and effective Is corrective actions identified.		Y
61	Are these actions completed in a timely and adequate manner. Are these actions part of continual improvements.	issues + meetings	Y
62	Does the organisation have preventive measures in place to control potential non-conformities.	Goods Inward Audit 9 Bar Codes	Y
63	Are all the above actions are reviewed adequately. Check process ID 114	Annually	Y
64	Are regular analyses undertaken to identify any outstanding requirements.	Intrastats	Y
65	Are necessary changes implemented where and when required.		Y
66	Is any outsourcing done.	Supplier review	Y
67	Check the documented system for its policies, objectives and its control of the above processes and procedures. Intrastats – document index – VM3COP00.00 / VM3COP00.01. Check documents for location of objectives and policies.	Intrastats updating ongoing	Y
68	Are records of inspections filed.	Audits	Y