

Internal Audit Check list

Vandagraph Sensor Technologies Ltd Software Validation

Created:	19 Oct 2017	Audit No 27	
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Audit Date	23-2-26	Auditor Helen Lamb	

Company / ISO Section	Criteria of ISO Section	Auditor Comments / Issues

	<u>QUESTION:</u>	<u>RESPONSE:</u>	Y/ N
1	Review Last years Audit. Update processes if required. Are all follow on Issue resolved satisfactory.	All completed nothing ongoing or outstanding No Non Conformances	Y

Sub Processes Linked to Audit

Review the below processes tasks and audits and ensure they are completed in a timely manner.

List Processes Per Title

Clone from Docid

IT Controller	Roll Task Roll Audit	Risk	Action	
PROCESSID 52 Keeps a month or so backup emails	Task: 368 Audit: 417	Freq 2 Risk 1 Overall 2		Notes
PROCESSID 7850 Test the Goods out process disabling picking of items not relating to an order	Task: 752 Goods Out Audit :753	Freq 1 Risk 1 Overall 1	Task 9M Audit 12M	
	374024 387474			

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	Managing Director		
PROCESSID 7851 To test intrastats does not allow picking of unprocessed products to live customer orders	Task: 754 383300 ✓ Goods Out Audit :755 387475 ✓ Managing Director	Freq 1 Risk 1 Overall 1	Task 6M Audit 12M
PROCESSID 7852 To attempt to Scan a product that has gone past its expire date.	Task: 756 377841 ✓ Goods Out Audit :757 357131 ✓ Managing Director	Freq 1 Risk 1 Overall 1	Task 12M Audit 12M
PROCESSID 7853 Warehouse shelves can be tagged as sellable stock / unsellable stock. Either for quarantine purposes or holding items for other customer orders. Test that Order picking cannot pick unsellable stock locations to an Order	Task: 759 374026 ✓ Goods Out Audit :760 382474 ✓ Managing Director	Freq 1 Risk 3 Overall 3	Task 12M Audit 12M
PROCESSID 7854 Software Validation of the production lists. By confirming no extra production jobs are stuck in the system, and all listed production jobs are found. the production tracking is validated	Task: 761 384686 ✓ Goods In Audit :762 379683 ✓ Managing Director	Freq 2 Risk 2 Overall 4	Task 3M Audit 6M
PROCESSID 7855 Software Validation - Production Lists Review the current active production lists in intrastats to the actual in progress production lists	Task: 761 384686 ✓ Goods In Audit :762 379683 ✓ Managing Director	Freq 2 Risk 2 Overall 4	Task 3M Audit 6M
PROCESSID 7856 To check order picking cannot pick against an unchecked order	Task: 764 384687 ✓ Office Processes Audit :765 382475 ✓ Managing Director	Freq 2 Risk 2 Overall 4	Task 12M Audit 12M
PROCESSID 7857 To confirm Software Validation Stock Tracking Check, is functioning as expected	Task: 763 377454 ✓ Goods In Audit :1155 357163 ✓ Managing Director	Freq 2 Risk 1 Overall 2	Task 6M Audit 12M
PROCESSID 7858 Test the QA System that Staff not trained for QA	Task: 766 382177 ✓ Office Processes	Freq 1 Risk 3	Task 6M Audit

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are unable to QA a Product.	Audit :1175 <i>388338</i> ✓ Managing Director	Overall 3	12M
PROCESSID 7861 Software Validating Of Training Documents via Forced Required Reading	Task: 768 <i>377169</i> ✓ Managing Director Audit :	Freq 1 Risk 2 Overall 2	Task 12M
PROCESSID 7865 Software Validation of the system: To check all process(s) tasks and audits are not clashed with the same person doing the Task as the Audit.	Task: 779 <i>377455</i> ✓ Managing Director Audit :781 <i>378013</i> ✓ Managing Director	Freq 1 Risk 1 Overall 1	Task 12M Audit 12M
PROCESSID 7870 Scope to check the automatic system of tagging product non conformance and other issues to the post market surveillance review report.	Task: 789 <i>378259</i> ✓ Managing Director Audit :	Freq 1 Risk 1 Overall 1	Task 12M
PROCESSID 7875 To test document control is working as intended.	Task: 802 <i>378525</i> ✓ Managing Director Audit :803 <i>37686</i> ✓ Company Secretary	Freq 1 Risk 1 Overall 1	Task 12M Audit 12M
PROCESSID 7879 To check the Scheduled Tasks and Audits is working as Intended. To also Check the Out of Date documents is working as Intended.	Task: 808 <i>386560</i> ✓ Managing Director Audit :809 <i>379075</i> ✓ Company Secretary	Freq 1 Risk 1 Overall 1	Task 12M Audit 6M
PROCESSID 7880 To confirm the out of documents computer software functions as expected flagging out of date items on to the list	Task: 808 <i>386560</i> ✓ Managing Director Audit :809 <i>379075</i> ✓ Company Secretary	Freq 1 Risk 1 Overall 1	Task 12M Audit 6M
PROCESSID 7881 To compare Opera Live Orders to Intrastats Back order Active List NO LONGER REQUIRED Opera is now out of the system	Task: 810 Audit :	Freq 1 Risk 1 Overall 1	
PROCESSID 7951 Check the Server space and Size of important files	Task: 139 <i>387854</i> ✓ Office Processes <i>in terms</i> Audit :1033 <i>384697</i> ✓	Freq 1 Risk 2 Overall 2	Task 1M Audit 3M

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<p>PROCESSID 8013 Ensure Email system working as intended</p>	Managing Director Task: 1179 <i>379716</i> Marketing Processes Audit :1180 <i>357165</i> Managing Director	Freq 1 Risk 1 Overall 1	Task 6M Audit 12M
<p>PROCESSID 8083 Issue to verify process works as intended - Create a New SRS, Add in a test item stock reference, generate the SRS, Go in via engineer mode, Flag the SRS as a non conformance or customer complaint, check the non conformance page for it appearing in the list, clear form the list, complete the SRS</p>	Task: 1257 <i>379729</i> Managing Director Audit :1258 <i>380522</i> Company Secretary	Freq 1 Risk 2 Overall 2	Task 12M Audit 12M
Audits			
Process Scope	Roll Task Roll Audit	Risk	Action
<p>PROCESSID 7892 To confirm the Prime functions of the Software used is verified.</p> <p>Any follow on issues must be identified with Observation Issue or a Non Conformance Issue.</p> <p>If the issue is a Non Conformance a QC21 form must be filled in, as per the QC21 form procedure, and investigated as such.</p>	Task: Audit :821 <i>388321</i> Company Secretary <i>Audit</i>	Freq 1 Risk 2 Overall 2	Audit 12M

Rolling Tasks Linked to Document :Task (368) Task (752) Task (754) Task (756)
 Task (759) Task (761) Task (764) Task (763) Task (766) Task (768) Task (779) Task
 (789) Task (802) Task (808) Task (810) Task (821) Task (139) Task (1179) Task
 (1257)

<p>PROCESSID 8079 To confirm the Prime functions of the Software used is verified.</p>	Task: <i>388346</i> Audit :1247	Freq 1 Risk 2 Overall 2	Audit 12M
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Rolling Tasks Linked to Document :Task (1247)