

# DOUGHERTY COUNTY SCHOOL SYSTEM DOCUMENT CONTROL INTERNAL AUDIT - CHECKLIST

Audit Date: \_\_\_\_\_

Auditor Team Members: \_\_\_\_\_

Instructions: Per the internal audit schedule, Notify the personnel responsible for document control and arrange for the date and time of the internal audit. Report the scheduled date and time to the Lead Auditor for tracking.

Record the date and time of the audit here: \_\_\_\_\_

Record the person you talked with the arrange the internal audit: \_\_\_\_\_

Personnel contacted upon start of the audit: \_\_\_\_\_

- 1) List the document control procedure number: \_\_\_\_\_ Date: \_\_\_\_\_ Rev: \_\_\_\_\_
- 2) Does this date and revision match the master list?  Yes  No
- 3) Review the procedure against the requirements of ISO 9001: 2000, paragraph 4.2.3. Does the procedure meet all requirements?  Yes  No, issue a corrective action request
- 4) Sometime during the course of this audit, go to at least 3 departments, randomly select 2 employees, and ask them to access the documents on the website for their department. Record the details below:

Department	Name	Results

Is corrective action required for not being able to access documentation?  Yes  No

Comments: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

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5) Randomly select 2 documents on the website from at least 6 different areas (policy, procedure, work instruction or forms) and list them below along with the date and revision of each:

Special Note: For the first release of documents, it is possible that the approval is listed on a memo with an entire list of documents to reduce the amount of paper being used. This is valid only for 1<sup>st</sup> releases.

Department:			
1 <sup>st</sup> Doc#	Date:	Rev:	Doc Type:
Document Title:			
Approval Authorities:			
<p>Answer the following questions:</p> <p>1) Does the online document (other than forms) contain the red online stamp? ___Yes ___No</p> <p>2) Is there a document control form on file for this revision? ___Yes ___No</p> <p>3) Have the correct approval authorities approved the document control form? ___Yes ___No</p> <p>4) Is this document listed on the master list? ___Yes, go to #5 ___No, go to #6</p> <p>5) Is the correct title, date and revision listed on the master list? ___Yes ___No</p> <p>Are all items in compliance? If No, issue a corrective action request.</p> <p>Comments:</p>			
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6) Ask the personnel being audited if there are any documents that are considered external documents. If the answer is Yes, ask how the external documents are controlled to ensure that the proper revision is being utilized at all times. Record all findings below and include a statement as to the acceptance of this process:

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Corrective action required?  Yes  No

7) Ask the personnel being audited if any documents that are obsolete are retained for any reason. If the answer is Yes, ask how they are identified to ensure the unintended use of the obsolete document(s). Record all findings below and include a statement as to the acceptance of this process:

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Corrective action required?  Yes  No

8) Was everything in compliance with this internal audit?  Yes  No, go to question #10

9) List the corrective action request control number(s) here: \_\_\_\_\_  
\_\_\_\_\_

10) Record the date the audit report was completed and issued to the Lead Auditor for distribution:

\_\_\_\_\_

\_\_\_\_\_  
Auditor Name (printed)                      Auditor Name (signed)                      Date

Lead Auditor Reviewed & Approved: \_\_\_\_\_ Date: \_\_\_\_\_

Lead Auditor Name Printed: \_\_\_\_\_

Comments concerning this internal audit or "N/A": \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_