

# DOUGHERTY COUNTY SCHOOL SYSTEM MANAGEMENT RESPONSIBILITY - CHECKLIST

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

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

Instructions: Per the internal audit schedule, notify the department manager 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. Ask the person(s) being audited to explain how the school system communicates the importance of meeting customer requirements as well as state and federal requirements:

Summarize response and objective evidence reviewed: \_\_\_\_\_

\_\_\_\_\_ Acceptable?  Yes  No

2. Has a quality policy been established?  Yes  No

3. If yes to #2, is this quality policy documented?  Yes, where: \_\_\_\_\_  No

4. How is the quality policy appropriate to Dougherty County School System's Business Services Division?

Summarize response and objective evidence reviewed: \_\_\_\_\_

\_\_\_\_\_ Acceptable?  Yes  No

5. Does the quality policy include a commitment to comply with requirements and continually improve the effectiveness of the process management system?  Yes, describe below  No

Summarize response and objective evidence reviewed: \_\_\_\_\_

\_\_\_\_\_ Acceptable?  Yes  No

6. Does the quality policy provide a framework for establishing and reviewing quality objectives?

Yes, describe below  No

Summarize response and objective evidence reviewed: \_\_\_\_\_

\_\_\_\_\_ Acceptable?  Yes  No

7. How does management ensure that the quality policy is communicated and understood throughout the school system?

Summarize response and objective evidence reviewed: \_\_\_\_\_

\_\_\_\_\_ Acceptable?  Yes  No

8. How does management ensure that the objectives are established at the relevant functions and levels in the organization and how do they ensure that the objectives are measurable and consistent with the quality policy?

Summarize response and objective evidence reviewed: \_\_\_\_\_

\_\_\_\_\_ Acceptable?  Yes  No

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9. How does management ensure that quality planning is carried out in order to meet quality objectives and also ensure the integrity of the management system whenever changes are planned and implemented?

Summarize response and objective evidence reviewed: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_ Acceptable?  Yes  No

10. Has the top management appointed a management representative who, irrespective of other responsibilities, has responsibility and authority that includes ensuring that process needed for the process management system are established, implemented and maintained; reports on the performance of the process management system; and ensures the promotion of the awareness of the process management system?

Summarize response and objective evidence reviewed: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_ Acceptable?  Yes  No

11. Ask the person(s) being audited how top management ensures that appropriate communication processes are established and if this communication includes the effectiveness of the process management system?

Summarize response and objective evidence reviewed: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_ Acceptable?  Yes  No

12. Has DCSS top management determined how often management reviews will take place?  Yes  No

If yes, how often: \_\_\_\_\_

Does this comply with the requirements of the policy and/or procedure?  Yes  No

Does the management review include the following:

- Assessing and recommending opportunities for improvement
- The need for or any changes to the process management system
- Quality Policy
- Quality Objectives
- Internal Audits
- Customer Feedback
- Process Performance
- Corrective Actions
- Preventive Actions

13. Are there appropriate records of the management review meetings?

Yes  No, issue a corrective action request

14. Describe what is maintained: \_\_\_\_\_

15. Is there evidence that the management review meeting(s) records indicate that improvement of the effectiveness of the process management system, improvement of processes related to the customer, and any resource needs?  Yes  No

Summarize response and objective evidence reviewed: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_ Acceptable?  Yes  No

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16. Were there any nonconformances found in this internal audit?    No, go to 19                       Yes, go to #17

17. List the question numbers and nonconformances found below:

Q# \_\_\_\_\_ N/C Found: \_\_\_\_\_  
Q# \_\_\_\_\_ N/C Found: \_\_\_\_\_  
Q# \_\_\_\_\_ N/C Found: \_\_\_\_\_  
Q# \_\_\_\_\_ N/C Found: \_\_\_\_\_  
Q# \_\_\_\_\_ N/C Found: \_\_\_\_\_

18. What are the corrective action request control numbers? \_\_\_\_\_  
\_\_\_\_\_

19. Describe how you shared the results of the internal audit with the department management and who you talked to below.  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

20. Record the date the audit report was completed and issued to the Lead Auditor for distribution:

\_\_\_\_\_

Auditor Name (printed)	Auditor Name (signed)	Date
Auditor Name (printed)	Auditor Name (signed)	Date
Auditor Name (printed)	Auditor Name (signed)	Date

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

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

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