Documentation Audit

Comtronics Inc.

By: Kaela Ramey

Start

End

Date of Report

Table of Contents

Scope

This audit will review the current documentation and document process currently in place for the Support and Advanced technical Support departments.

Review Applicable Standards

Familiarize with ISO standards for quality and process documentation

ISO 9001:2015 emphasizes a process-based approach to quality management. It requires organizations to:

- Identify and document key processes
- Define responsibilities and interactions
- Monitor and measure performance
- Continuously improve based on data and feed back

ISO compliance is important even if it is not required because it embeds best-practice procedures and processes, promotes periodic review and improvement, and is recognized globally by organizations, governments, and regulators12. ISO standards provide universally accepted frameworks that ensure quality, safety, efficiency, and interoperability across industries

ISO 9001 require "documented information", which includes: **ISO 9001 Good Documentation Practices** (GDP) refer to the guidelines and procedures established within the ISO 9001 standard to ensure that all documentation, including policies, procedures, and records, are accurate, consistent, and easily accessible.

- Control of Documents

- Control of Records

- Internal Audits

- Control of Non-Conforming Product/Service

- Corrective Actions

- Preventive Actions

- Employee Training and Competence

- Customer Satisfaction Procedure

- Risk Management/Risks and Opportunities

- Non-conforming Products Handling/Control of Non-Conforming Product

- Nonconformity and Corrective Action

- Quality Policy and Objectives
- Process Descriptions
- Procedures and Work Instructions
- Records of Compliance (like audit results, training logs)

The idea is to ensure consistency, traceability, and accountability across operations.

Key Terms

- Process: What needs to be done and why
- Procedure: How the process needs to be done
- Work Instruction: Step-by-step guidance for carrying out procedure

Internal policies and industry regulations that apply to the company

Methodology – types of procedures used (inquiry, observation, inspection, re-performance)

Risk Assessment Summary

- Identified risks

- Materiality thresholds

- Key risk indicators (KRIs)

Create an Audit Plan
Outline:

- What documents will be reviewed
- Who is responsible for each area
- The timeline and methodology (sampling, interviews, walkthroughs)

Examples:

🏭 Manufacturing Operational Audit

Audit Area: Inventory Management

- **Procedures Performed**: Observed physical inventory count, reconciled with records
- **Evidence Collected**: Inventory count sheets, ERP reports
- **Findings**: 5% discrepancy in raw materials inventory
- **Conclusion**: Suggest cycle counting and improved warehouse labeling

🖥 IT Audit (Tech Company)

Audit Area: User Access Controls

- **Procedures Performed**: Reviewed user provisioning and de-provisioning process
- **Evidence Collected**: Access control matrix, HR exit checklists
- **Findings**: 3 terminated employees retained system access for over 30 days
- **Conclusion**: Recommend automated de-provisioning linked to HR system

Examine Documentation

Look for:

- Completeness: Are all required documents present?
- Accuracy: Do the records reflect actual events or transactions?
- Consistency: Are formats and terminologies standardized?
- Authorization: Are documents properly signed and approved?

- Procedures performed
- Evidence collected

- Findings and observations

- Supporting documentation (links or references)

- Auditor's conclusion

Trace and Verify

Cross-check documents with source data. For example, verify invoices against purchase orders and delivery receipts.

- Index and cross-reference all documents

Evaluate Controls

Access how documents are created, stored, and accessed. Are there version controls? Is sensitive information protected?

Document your findings

- Keep detailed records of:
- Procedures performed. Evidence gathered
- Conclusions reached

This is essential for transparency and future audits

Significant Judgments & Estimates

- Complex or subjective matters evaluated

- Basis for conclusions

- Involvement of experts (if any)

Report and Recommend

Summarize your findings in a clear report. Highlight strengths, flag issues, and suggest improvements.

If you're auditing digital documentation, you might also want to look into how the company uses tolls like document management systems or cloud storage. Want

- Overall conclusion

- Recommendations for improvement

- Management's response (if included)

Communication Log

- Date of discussions

- Stakeholder(s) involved

- Key points discussed

- Resolutions/Action items

Appendices

- Audit plan

- Checklists

- Supporting evidence

- Working papers reference index