Exercise 03
Development of Checklist.

Delegates are required to complete the provided evaluation checklist to audit the following procedure.

CERTIFIC Certifications	**Administrative Procedures**	**SAP 1 – Issue 2**
Control of Documents	**Approved by: General Manager**	**Issue date: 1 October 2012**

A. SCOPE

The control of documents and records related to the Management System (MS).

This Procedure relates to documents in both electronic and hard-copy form.

This Procedure aims to ensure that:

- The content of all MS documents is suitable for the effective and efficient performance of the Organisation, and
- Only current issues of MS documents are used by the Organisation's employees.

B. RESPONSIBILITIES

- ✓ Top Management
- ✓ Quality Manager

Γ. RECORDS

- ✓ List of MS Documents **F 2.1.1**
- ✓ List of MS Records **F 2.1.2**
- ✓ Electronic Record of Original MS Documents
- ✓ Electronic Record of Obsolete MS Documents

Δ. CLARIFICATIONS

1. The MS documents include:

   - the **Quality Manual**, including the organisation's Quality Policy and Objectives. It describes the Quality Management System, particularly emphasising on its Scope and any exclusions, the MS Procedures, the Organisation's Processes and their interaction,
   - the **Procedures**, which describe the method of executing an activity or process (identified by the letter **P**, their title, issue number and current issue included in every page),
   - the **Work Instructions**, which describe the detailed method of executing an activity or process (identified by the letter **I**, their title, issue number and current issue, included in every page),
   - the **Forms**, which are completed during the implementation of the MS (identified by the letter **F**, their title, issue number and the current issue, included in every page),

- other **Documents**, internal or external, which are used by the Organisation in order to ensure the effective planning, operation and control of its processes (e.g. specifications, legislation, contracts, quality plans, process flow charts, etc.),

- The term **Records** implies the completed MS Forms, as well as other internal or external documents, which may be used as objective evidence for the effective implementation of the MS (e.g. contracts, tenders, legislation, standards, specifications, etc.).

2. When developing a new MS document, its draft may be used, if it is clearly indicated as such. The Quality Manager is responsible for its subsequent withdrawal, as soon as its content is finalised and the document is formally issued.

3. The record of original MS documents is password-protected. This password is only known to the Quality Manager and the Managing Director, in order to ensure that the file is safe from any unwanted modifications.

   Any interested party is allowed access to any MS document. The List of MS Documents **F 2.1.1** and the List of MS Records **F 2.1.2** is distributed to all employees, so that they may be updated on procedures of their authority.

4. The issue of external documents is carried out by listing them in the List of MS Documents **F 2.1.1** and their identification as a “CONTROLLED DOCUMENT”.

   Each employee is responsible for ensuring that they are using the current issue of external documents, e.g. standards, as well as for keeping abreast of developments through the Internet (ISO, BSI, ASTM, and other websites).

5. When issuing an amended document, all copies of the old version should be withdrawn from all posts and either destroyed or labelled as “OBSOLETE”, if they are to be maintained for knowledge purposes, under the responsibility of the Quality Manager.

6. Any MS documents that are not labelled as “CONTROLLED DOCUMENTS” are not considered as such and may be circulated with due care.

7. In the case of maintaining electronic files, care should be taken in backing them up frequently.

8. The destruction of MS records may only be approved by the Top Management, having first obtained the formal approval of the Quality Manager and developed a destruction register, to be maintained by the Quality Manager.

9. MS documents are distributed in two ways: in hard copies and in electronic format. In the case of electronic distribution, employees are not allowed to carry out any changes to them and are informed of the distribution and/ or any changes to the MS documents by the Quality Manager through the intranet.

EVALUATION CHECKLIST

ORGANISATION: STANDARD:

DATE: ASSESSOR:

QUESTION	ISO 17021-1 Clause	Expected Objective Evidence	Comments