SOP WAREHOUSESOP

FREE PRINTABLE CHECKLIST

Internal Audit and Self-Inspection Program Checklist

Best practice: no regulation governs this procedure, so none is cited.

FACILITY	AREA OR EQUIPMENT ID	DATE	SHIFT
INSPECTED BY (PRINT)		SIGNATURE	

1. Procedure checks

Tick each step as it is done, in this order.

DONE	CHECK	NOTES
☐	Pull the current SOP and build your checklist before you walk out	
☐	Open with the supervisor: auditing the process, not the people	
☐	Watch a full cycle of the work before asking any questions	
☐	Interview with open questions: walk me through what you do here	
☐	Sample recent records at random and check them against the SOP	
☐	Write findings as facts: what, where, when, and which requirement	
☐	Close out face to face; no finding in the report is a surprise	
☐	File the report and checklist with the program owner on time	

2. Compliance checks

Tick each item that is in place.

DONE	CHECK	NOTES
☐	An annual audit calendar is published before the start of the year, covers every physical area and every SOP domain at a defined frequency, and names an auditor and a month for each audit	
☐	Every scheduled audit is performed in its assigned month, and any skipped audit is recorded, rescheduled, and reported at management review	
☐	No auditor audits their own area, a process they perform daily, or records they created	
☐	Every auditor completed auditor training and at least one shadowed audit before auditing alone, and training records are on file	
☐	Each process audit uses a checklist built from the current controlled revision of the SOP being audited, with observation, interview, and records questions, and the completed checklist is retained	
☐	Audits include direct observation of the work as performed, operator interviews, and a random sample of required records	

☐	Every finding is graded conforming, observation, minor, or major, with immediate hazards controlled before the auditor leaves the area	
☐	All findings, internal and external, are entered in one findings log with owner, due date, and status	
☐	Minor and major nonconformances carry corrective actions in the facility's corrective action process, with root cause analysis for majors and repeat minors	
☐	Closure is verified by re-checking the condition, recorded with verifier and date, and never performed by the corrective action owner	
☐	Findings are trended across audits on a defined cadence and repeat findings are returned to root cause analysis	
☐	Audit performance, open and overdue findings, and trends are reported at management review on a fixed schedule	

WARNINGS

Never audit your own area or records you created; hand the assignment back

Stop and get any immediate hazard controlled before you leave the area, do not just write it up

Never coach answers or tip off an area to prepare; an audit of a staged process proves nothing

SUPERVISOR REVIEW

REVIEWED BY (SUPERVISOR)	SIGNATURE	DATE