

Audit Checklist (ISO 9001:2015)

Name of the SBU: IT

Procedure Audited : PROC-IT-01- Procedure for Planning & Coordination of Project activities

Auditee:

Date of Audit:

S.No.	Check Point	Auditor's observation with objective evidence of Conformance /Non-Conformance
1	Are resource requirements like manpower, Hardware, Software and RDBMS etc identified?	
2	Is deployment plan of project available?	
3	Is requirement analysis done and is it approved by CA?	
4	Is allocation of task documented and reviewed?	
5	Is version control implemented?	
6	Is validation and approval of input/output from client done?	
7	Is approval taken from client at various appropriate stages ?	
8	Is physical progress of project reviewed as per time schedule, is available resources monitored and additional resources mobilized, if required?	
9	Are periodic reports prepared and submitted to the Controlling Manager ?	
10	Any other issues	

Name of the SBU: IT
Auditee:

Procedure Audited : PROC-IT-02- Procedure for Contract Review
Date of Audit:

S.No.	Check Point	Auditor's observation with objective evidence of Conformance /Non-Conformance
1	Are information relating to tenders or the requirements of the clients gathered?	
2	Are cost estimates prepared and reviewed?	
3	Are complexities of the project for the present and the future considered	
4	Are results / decisions of pre bid conference are documented?	
5	Are Risk Parameters to be included and considered?	
6	Financial vetting from the competent authority to be obtained before submission of bid documents	
7	Is Business Development File maintained?	
8	Is post award review done?	
9	Are amendments made in accordance with the procedure laid down in the agreement?	
10	Any other issues	

Name of the SBU: IT
Auditee:

Procedure Audited : PROC-IT-03- Procedure for Control of Software Design and Development
Date of Audit:

S.No.	Check Point	Auditor's observation with objective evidence of Conformance /Non-Conformance
1	Is feasibility report available?	
2	Is user organisation & reporting structure established?	
3	Are Manpower, equipment/software requirement determined?	
4	Is phased schedule/ bar chart/activity diagram prepared?	
5	Are SRS document , System design document, Test report prepared and reviewed?	
6	Is change control implemented?	
7	Any other issues	

Name of the SBU: IT

Procedure Audited : PROC-IT-04- Procedure for Control of Training Modules

Auditee:

Date of Audit:

S.No.	Check Point	Auditor's observation with objective evidence of Conformance /Non-Conformance
1	Are training materials prepared?	
2	Is training schedule approved by the client?	
3	Is client feedback taken and reviewed?	
4	Any other issues	

Name of the SBU: IT

Procedure Audited : PROC-IT-05- Procedure for Conducting Feasibility Studies

Auditee:

Date of Audit:

S.No.	Check Point	Auditor's observation with objective evidence of Conformance /Non-Conformance
1	Are scope of work and detailed plan prepared?	
2	Is existing system investigated and information documented?	
3	Are costs, benefits and time scales estimated?	
4	Are comments from clients incorporated at various stages?	
5	Any other issues	

Name of the SBU: IT
Auditee:

Procedure Audited : PROC-IT-06- Procedure for Design Control for Turnkey Projects
Date of Audit:

Sl. No.	Check Point	Auditor's observation with Objective Evidence of Conformance / Non-Conformance
1	Action plan for the project execution	
2	Check for various phases of project execution.	
3	Check for any deviation in design parameters and corrective actions taken (if applicable)	
4	Any other issues	

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Name of the SBU: IT
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Procedure Audited : PROC-IT-07- Procedure for Control of Procurement of Hardware & Software
Date of Audit:

S.No.	Check Point	Auditor's observation with objective evidence of Conformance /Non-Conformance
1	Are requirements compiled and updated?	
2	Are the requests forwarded to CA along with budget and approval?	
3	Are case files maintained?	
4	Are the case files sent to Finance for concurrence?	
5	Are TC evaluation, TC Minutes, Approvals maintained in the file?	
6	Is inspection of material done on receipt of the material?	
7	Any other issues	

Name of the SBU: IT
Auditee:

Procedure Audited : PROC-IT-08- Procedure for Selection/ Appointment of Experts/ Consultants
Date of Audit:

Procedure Name : Procedure for Selection/ Appointment of Experts/ Consultants Procedure No: 08

Sl. No.	Check Point	Auditor's observation with Objective Evidence of Conformance / Non-Conformance
1	Check for list of retired employees/ consultants having on RITES Website and/or with the Department (Experts/Consultant Appointment File)	
2	Check for Budget Provision, willingness from concerned expert/consultant, forwarding the case to P&A for taking approval of competent authority in the Experts/Consultant Appointment File	
3	Any other issues	

Name of the SBU: IT
Auditee:

Procedure Audited : PROC-IT-09- Procedure for Customer Supplied Entities
Date of Audit:

Sl. No.	Check Point	Auditor's observation with Objective Evidence of Conformance / Non-Conformance
1	Check for the items (documents/data/sw etc) required from the customer (check Project file)	
2	Check for Customer Inventory Register	
3	Any other issues	

Name of the SBU: IT
Auditee:

Procedure Audited : PROC-IT-10- Procedure for Identification & Traceability
Date of Audit:

Sl. No.	Check Point	Auditor's observation with Objective Evidence of Conformance / Non-Conformance
1	Identifying the items like input and output forms, database table and source code with title (Design Document)	
2	Traceability Register	
3	Any other issues	

Name of the SBU: IT
Auditee:

Procedure Audited : PROC-IT-11- Procedure for Control of Implementation of software
Date of Audit:

Sl. No.	Check Point	Auditor's observation with Objective Evidence of Conformance / Non-Conformance
1	Scop of Procedure for Control of Implementation of software.	
2	Test Plan	
4	Installation, commissioning and handling over.	
5	Any other issues	

Name of the SBU: IT
Auditee:

Procedure Audited : PROC-IT-12- Procedure for Maintenance of hardware & Software
Date of Audit:

Sl. No.	Check Point	Auditor's observation with Objective Evidence of Conformance / Non-Conformance
1	Stock entry register to be checked for date of warranty and list of Items covered under AMC	
2	List of approved vendors (if applicable)	
3	AMC file (for tender related information as per the procedure and contract agreement document)	
4	Machine cards/slips on every item under AMC with a vendor	
5	Compliant register and equipment movement register	
6	Is the performance of the contract as per terms & conditions specified there in the contract	
7	Is the penalty clause invoked wherever applicable	
8	Bill register with details of payment made to vendor	
9	Any other issues	

Name of the SBU: IT

Procedure Audited : PROC-IT-13- Quality Plan for Quality Control Measures in Software Projects (Inspection and Testing)

Auditee:

Date of Audit:

Sl. No.	Check Point	Auditor's observation with Objective Evidence of Conformance / Non-Conformance
1	Is SRS document and System Design available and approved by client	
2	Is software and hardware requirement of the project documented	
3	Is process flow documented	
4	Is application and database level security maintained as per system requirement	
5	Is security and accuracy of data transfer carried out as per system design report	
6	Is user manual available and training on application usage conducted	
7	Is call register maintained for changes in requirement and design	
8	Any other issues	

Name of the SBU: IT
Auditee:

Procedure Audited : PROC-IT-14- Procedure for quality control in training
Date of Audit:

Sl. No.	Check Point	Auditor's observation with Objective Evidence of Conformance / Non-Conformance
Trainings to Client		
1	Training Name and Client Details.	
2	Project Manager to prepare relevant Training Material / Handouts (PPT Presentation) and take client approval for it	
3	Project coordinator to prepare training calendar with approval from client.	
4	List of Trainers/Faculty conducting training	
5	Number of Trainees	
6	Feedback of Trainees on: <ul style="list-style-type: none"> • Quality of Training Material • Faculty • Quality of Training • Course Coverage etc. 	
6	Analysis of Feedback by Project Manager	
7	Any other issues	
Trainings For IT Personnel		
1	List of Trainings Identified (From ACRs /Other Sources) –See Training File	
2	List of Participants and corresponding Training Attended	
3	Feedback of Participants who attended the trainings	
4	Any other issues	

Name of the SBU: IT

Procedure Audited : PROC-IT-15- Procedure for Control & Review of Service Non-conformities and corrective / Preventive actions

Auditee:

Date of Audit:

Sl. No.	Check Point	Auditor's observation with Objective Evidence of Conformance / Non-Conformance
1	Check for Minutes of Design Review with client (if any)	
2	Check for any discrepancy (if raised by client) during testing phase	
3	Check for validations in the developed system as per user requirements (if applicable)	
4	Check for discrepancy during acceptance test at client end and corrective actions taken	
5	Change requests recorded during the maintenance	
6	Any other issues	

Name of the SBU: IT
Auditee:

Procedure Audited : PROC-IT-16- Procedure for dealing with customer complaints
Date of Audit:

Sl. No.	Check Point	Auditor's observation with Objective Evidence of Conformance / Non-Conformance
1	Receipt and acknowledgement – How is receipt and acknowledgement done.	
2	Is Analysis of Complaint done.	
3	How is the implementation of corrective action can be done.	
4	When the version of the program should be updated.	
5	In how much interval of time feedback is necessary.	
6	Is the offer reviewed for completeness and adequacy	
7	Any other issues	

Name of the SBU: IT
Auditee:

Procedure Audited : PROC-IT-17- Procedure for handling Packaging & Delivery of Software to Client
Date of Audit:

Sl. No.	Check Point	Auditor's observation with Objective Evidence of Conformance / Non-Conformance
1	Is operational manual with details of operating system, hardware/ software/ media available	
2	Is list of software/ hardware required to be preserved maintained along with preservation time.	
3	Is list of software/ hardware required to be delivered maintained along with unpacking/ downloading instructions	
4	Any other issues	

Name of the SBU: IT

Procedure Audited : PROC-IT-18- Procedure for Handling Packaging, Delivery, Storage & preservation of Hardware and Software

Auditee:

Date of Audit:

Sl. No.	Check Point	Auditor's observation with Objective Evidence of Conformance / Non-Conformance
1	Only authorize and trained persons shall handle it.	
2	Proper environment, air conditioning wherever necessary will be Maintained.	
3	Software in use or new shall be stored in proper almirah and proper environment(temp)	
4	All Software Procured & issued shall be accounted.	
5	For preventing Proper covers are used Proper packaging will be done during loading /unloading /transportation	
5	Wherever h/w and s/w is delivered at the consignee end directly, packaging would be as per OEM Packaging Guidelines.	
6	In case of delivered to the client and acknowledgement from authorized official shall be taken for goods received in good condition	
7	Any other issues	

Name of the SBU: IT

Procedure Audited : PROC-IT-19- Procedure for after sales & servicing of software

Auditee:

Date of Audit:

Sl. No.	Check Point	Auditor's observation with Objective Evidence of Conformance / Non-Conformance
1	Is software copy, user manual, system design document, SRS , project review documents and test reports kept in safe custody in division after completion of project	
2	Is software copy, user manual, system design document, SRS , project review documents and test reports provided to team identified for software maintenance	
3	Any other issues	

Name of the SBU: IT

Procedure Audited : PROC-IT-20- Procedure for Selection & application of Statistical Techniques

Auditee:

Date of Audit:

Sl. No.	Check Point	Auditor's observation with Objective Evidence of Conformance / Non-Conformance
1	Check for statistical technique used if any	
2	If sl no:1 is satisfied then review of results and corrective actions taken	
3	Any other issues	

Name of the SBU: IT

Procedure Audited : PROC-IT-21- Procedure for Maintenance of Wi-Fi Equipment

Auditee:

Date of Audit:

Sl. No.	Check Point	Auditor's observation with Objective Evidence of Conformance / Non-Conformance
1	Are Access Points properly installed and indicator LED on.	
2	Are Access Points regularly monitored. Check Inspection Register.	
3	Is Firmware of Access Points and WiFi Controller up-to-date.	
4	Does Access points coverage is Adequate. Verify the signal at various locations in the building using laptop/desktop.	
5	Administrator should Monitor the WiFi Controllers and verify all Access points are UP.	
6	Check Monthly Physical Inspection Register is Maintained	
7	Any other issues	

Name of the SBU: IT

Procedure Audited : PROC-IT-22- Procedure for Maintenance and Schedule of AMC of Computers

Auditee:

Date of Audit:

Sl. No.	Check Point	Auditor's observation with Objective Evidence of Conformance / Non-Conformance
1	What is the Scope of Work.	
2	How does the helpdesk support services works.	
3	What software is used to register the maintenance call? please provide a log of calls	
4	What is the procedure of Desktop / Laptop Maintenance.	
5	What are the time lines fixed for maintenance. Is any priority level given to the issues.	
6	How is the preventive maintenance of network infrastructure and hardware done. Please provide the schedule and its activities.	
7	Please provide the log of record of network infrastructure failure	
8	Any other issues.	

Name of the SBU: IT
Auditee:

Procedure Audited : PROC-IT-23- Procedure for Internet Bandwidth
Date of Audit:

Sl. No.	Check Point	Auditor's observation with Objective Evidence of Conformance / Non-Conformance
1	What is the purpose and scope of Procedure for Internet Bandwidth	
2	How is allocation of bandwidth done to employees done.	
3	How is the web filtering done. Is it documented	
4	How is the performance monitoring of Bandwidth done. What are the tests performed	
5	Are the SLA with the Service provider followed	
6	Any other issues	

Name of the SBU: IT
Auditee:

Procedure Audited : PROC-IT-24- Procedure for Maintenance of RITES Website
Date of Audit:

Sl. No.	Check Point	Auditor's observation with Objective Evidence of Conformance / Non-Conformance
1	Is Company Logo displayed on Home Page	
2	Is Latest news displayed on website	
3	Does Website provides search facility	
4	Check that Colour scheme must be same for all the pages	
5	Has the Information updated on website after approval from competent authority	
6	Are Documents uploaded on website by administrator after due approval.	
7	Has Obsolete information taken off from website after due approval.	
8	Are all links to external applications active and working	
9	Any other issues	

Name of the SBU: IT Procedure Audited : PROC-IT-25 - Procedure for Maintenance and Schedule of RITES network equipment.

Auditee:

Date of Audit:

Sl. No.	Check Point	Auditor's observation with Objective Evidence of Conformance / Non-Conformance
1	What is the purpose and scope of Procedure for Maintenance and Schedule of RITES network equipment.	
2	What is the procedure of identification of the equipment for AMC	
3	How to take approval from Vendor list	
4	How to maintain the Vendor 's Information.	
5	Formulation of the terms and conditions for maintenance of equipment.	
6	How to get the TC nominations from the competent authority for evaluation of the tender	
7	What is the procedure of TC recommendations and Contract agreement.	
8	What is the time period for monitoring the services during contract.	
9	Renewal of contract.	
10	Any other issues.	