Document Management Operations Audit Checklist

PROJECT PLANNING AND START-UP

1. Do document management personnel have copies of reference materials:

    a. Document Management Standard Practices?

    b. Computerized Tracking System User Manual?

2. Are document management personnel familiar with:

    a. The Contractual Requirements concerning document management?

    b. The overall Project Execution Plan?

    c. The Engineering Drawing & Specification issue schedules?

3. Has document management reviewed the budgeted work hours and proposed staffing schedule for the document management function, and is there:

    a. Agreement? Or Disagreement?

    b. Are revisions to the budgets required to support project needs?

4. Do document management personnel have the responsibility to manage their portion of project-budgeted work hours?

5. Has adequate office work space been allocated for document management?

6. Has file storage space been identified, including the estimated number of file cabinets and flat files required?

7. Do document management personnel have responsibility for filing and record retention of project purchasing files?

    a. If yes, are work hours included in the document management budget?

8. Has the project document distribution matrix been developed, approved and distributed?

9. Does document management personnel maintain and publish revisions to the project distribution matrix?

10. Has an interdisciplinary check routing method for drawings and documents been determined?

    a. What about Barcoding Documents?

    b. Manual Tracking Stamps?

    c. Other?

11. Have document management personnel reviewed and become familiar with any special project documentation requirements?

12. Have document management personnel reviewed the major/minor equipment list?

    a. Are they on distribution?

13. Are there any client-unique numbering requirements for project documents?

14. Has the client specified hand-over requirements?

15. Have the supplier data requirements and vendor data item codes been:

    a. Established?

    b. Approved?

    c. Distributed?

16. Is any special training required for document management personnel relating to methods and systems adopted on the project?

17. Have computer hardware and software requirements been determined?

18. Have project document management procedures been:

    a. Developed?

    b. Approved?

    c. Distributed?

19. Has the project document management organizational chart been:

    a. Developed?

     b. Approved?

     c. Distributed?

PROJECT EXECUTION

1. Have computer hardware and software for document management support been installed, and are they operational for:

     a. Document and Drawing Control & Management?

     b. Expediting Approval and Certified Vendor Data from Vendors and Subcontractors?

     c. Computerized transmittal log for both internal and external documents?

     d. Other required Systems?

2. Has the transmittal format and distribution matrixes been established?

3. Has a filing system for drawings and documents been established in accordance with project procedures and standard practices?

4. Has document management implemented:

     a. Internal forms requirements?

     b. Request for distribution color coded by activity?

5. Has document management initiated and implemented appropriate rubber stamps and label requirements for the project?

6. Are document management personnel receiving and reviewing the engineering specification and drawing registers and release schedules?

7. Are document management personnel receiving and reviewing the major/minor equipment list?

8. Is document management verifying that automated systems are current and accurate?

9. Are the automated systems being audited regularly to ensure accuracy?

10. Is there a verification procedure to determine that all drawings and specifications issued by engineering have been processed and transmitted?

11. Are comparisons being made between tracking systems and drawing registers for discrepancies?

12. Has the supplier data requirements specified by engineering been recorded in the appropriate tracking system?

13. Is there a verification procedure to determine if all supplier data requirements requested have been received for purchase orders or equipment tag numbers?

14. What is the interface with project expediting for supplier data not received?

15. Is document management measuring and monitoring internal turnaround time from receipt to transmittal of:

    a. Engineering drawings?

    b. Specifications?

    c. Supplier data?

16. Are document management status reports being produced and distributed for:

    a. Design drawings and specifications transmitted to date by milestone and transmittal type?

    b. Design drawings and specification packages currently out for approval via office check?

    c. Supplier-certified data received complete or incomplete to date by purchase order number and equipment tag number?

    d. Supplier-approved data currently in the office check cycle?

     e. Supplier-certified data transmitted to construction and the client by purchase order numbers or equipment tag numbers?

     f. Document management internal turnaround time from receipt to transmittal?

17. Are status reports at the summary level?

18. Is there an established report frequency?

19. Does the document management supervisor participate in weekly project staff meetings?

20. Is the document management staffing level appropriate for the current work load?

21. What enhancements, changes, or improvements does the project recommend on document management practices, procedures, or systems?

22. Is there a working interface between the engineering and construction document management organizations?

PROJECT CLOSEOUT

1. Does document management have a copy of the Project Closeout Guidelines?

2. Have the project closeout plan, schedule, and procedures been:

     a. Prepared?

     b. Approved?

     c. Distributed?

3. Does the project closeout and client hand-over procedure satisfy the Standard Project Closeout Guidelines and project contract requirements for:

     a. Engineering drawings and technical documents?

     b. Supplier documents?

    c.   General documents?

4. Does the project contract require job data books at project completion?

5. If job data books are required, does the existing document management workhour budget include estimated hours for job data book assembly?

6. Does the nonlabor budget include estimated costs for binders, tabs, printing, and shipping?

7. Has the job data book format and table of contents been determined and approved by the client?

8. Has the mock-up or master copy of the job data book been prepared for client review and approval?

9. Has document management coordinated with project purchasing in preparing the RFQs and bid evaluations for binders, tabs, and special printing?

10. Will the document management final closeout report for the Materials Operations department's historical files include the following:

    a.   Total project work hours expended: estimated versus actual?

    b.   Document management personnel assignment schedule: estimated versus actual?

    c.   Total number of engineered drawings and specifications generated?

    d.   Total number of purchase orders?

    e.   Total pieces of major and minor equipment purchased?

    f.   Total supplier documents received?

    g.   Average number of documents per purchase order?

    h.   Total number of job data books assembled and shipped, if applicable?

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i.   Brief description of what worked well and what did not work well with document management during the project?

j.   Suggested recommendations for improvement, if any?