

Date: December 16, 2003

Topic: Documentation and Record Keeping

How did you accomplish this topic during your implementation?

To determine the level of granularity of documentation and the scope and breadth, consider these factors:

- First of all – document thoroughly what’s required by the standard
- Second of all – what’s the best way to capture to share it (do we need to have a common method for something – and if I do –what’s the best way to communicate it to people – usually it’s documentation) – based on the needs of the business.

For example, for someone to use a complex documentation tool, there needs to be in depth documentation on how to use the tool and its functionality. But for someone who tracks corrective action on manual spreadsheets, there is most likely much less granular documentation—possibly only a high level flow chart or maybe work of the process is passed along on a train the trainer kind of basis. .

Documentation and the need for it should be reviewed on a periodic basis. It is suggested that the company determine how often that needs to be.

Lucent uses the IKCM tool in the supply chain.

What resources/tools/vendors were used to accomplish this task?

IKCM tool from QSET

Was there any benchmarking activity?

Yes on the tool

What lead you to use this method?

See the above answers

What worked and what didn't work?

Having multiple tools makes it difficult to share auditors across the organization because they have to then be trained on different tools each time. It also makes it difficult to share findings across the organization.

Having common tools makes it much easier to manage the registration efforts and activities

What recommendations do you have for others attempting to use your method?

- Bring a balance to documentation—too much is just as bad as too little.
- Think out your documentation and internal audit strategy – can you have a set toolkit and recommend certain tools to use.
- Look at what tools are already in place in the organization; recommend one of those – so not ALL 100% have to switch over.

How did you measure the effectiveness of this method?

Usefulness of documentation.

