

Printable floor sheets

Warehouse audit working pack

Plan a scoped warehouse review, record evidence and carry findings through to action and verification.

Print the scope sheets and selected check pages. Add finding, action and verification sheets when needed. The examples are separate and can be left unprinted.

Before you start

1. Set the decision, scope and applicable criteria. 2. Record observations and evidence references. 3. Assign follow-up and check effectiveness separately from completion.

Status legend

Not reviewed - No assessment recorded. Plan the evidence still needed.

Evidence supports the stated check - Your evidence supports the check within the stated scope. Name the criterion and supporting reference; missing support remains a gap.

Concern found - Record the observation, requirement and evidence, then assign follow-up. Do not assume the cause is established.

Inconclusive or conflicting evidence - The available information does not settle the question. Preserve the uncertainty and request the next evidence.

Not applicable - reason recorded - Explain why the check falls outside this review. A missing reason remains an unresolved scope gap.

Choose what to print

Scope and responsibilities: pages 2-3. Starter checks: use the area ranges below, or the PDF bookmarks for individual check IDs.

Inventory accuracy and storage - pages 4-6 (INV01 to INV03)

Receiving through dispatch - pages 7-10 (FLOW01 to FLOW04)

Warehouse layout and flow - pages 11-13 (SPACE01 to SPACE03)

Equipment and machinery - pages 14-16 (EQUIP01 to EQUIP03)

People and workplace safety - pages 17-19 (PEOPLE01 to PEOPLE03)

Goods protection and specific requirements - pages 20-23 (GOODS01 to GOODS04)

Financial controls and warehouse providers - pages 24-27 (CONTROL01 to CONTROL04)

Responsibilities and follow-through - pages 28-31 (GOV01 to GOV04)

Custom check: 32. Finding: 33. Action plan: 34. Completion and verification: 35. Management review: 36-37. Fictional examples: 38 onward.

The 28 starter checks need the requirements, goods, activities and operating conditions of your review. They do not provide a complete legal or sector-specific audit, certification or an overall pass score.

Blank status stays Not reviewed. Missing criteria, missing support and conflicting evidence remain visible. For an immediate concern, use the site's response process; completing this pack must not delay it.

01 / Set the decision

Scope of this review

Review reference: _____ Date / period: _____

Site / area / sample reference: _____

Decision or question

What must this review help someone decide?

Site or area alias

Which operation or area is in scope?

Review date or period

Which dates and comparison points apply?

Operating conditions

Which shifts, workloads or relevant changes will be examined?

Coverage and sample

Record the selected checks, goods, locations and transactions.

Exclusions and limits

What will not be examined, and why?

01 / Set the decision

Criteria and responsibilities

Review reference: _____ Date / period: _____

Site / area / sample reference: _____

Criteria and versions

Name the requirement and version, and the check IDs it applies to. Write Not yet established where unknown. Add a further sheet if different checks need different criteria.

Reviewer and evidence providers

Who examines the work, who supplies evidence and what competence or independence is required?

Action responsibilities

Who can investigate, correct the record or change the process?

Decision owner

Who can approve the required decision, resources or change?

Evidence still to obtain

Record the request, evidence owner and agreed date. A missing criterion is an unresolved commissioning question.

Do not apply one criterion to every check by default. Record a local requirement or an unresolved criterion on each selected check sheet.

Inventory accuracy and storage

INV01 / Count versus record

Review reference: _____ Date / period: _____

Site / area / sample reference: _____

Do the quantities in selected locations agree with the inventory records for the same point in time?

Check against

Establish the item, unit, location, count boundary and comparison time before interpreting a difference.

Evidence to seek

Compare count notes with stock records and movements around the count; retain the sample, timing and any recount.

Next step

Resolve timing or unit uncertainty, record the unexplained variance and assign investigation before treating an adjustment as closure.

Applicable criterion / version / reference

Name the requirement and version, or write Not yet established.

Observation, sample and evidence reference

Include the sample, timing, locations and supporting record references.

Status and reason

Use the page 1 legend. Blank means Not reviewed; give a reason for Not applicable.

Next evidence / action owner / target date / linked finding

Inventory accuracy and storage

INV02 / Item, location and unit identity

Review reference: _____ Date / period: _____

Site / area / sample reference: _____

Can the team distinguish the item, storage location and handling unit without having to guess?**Check against**

Check against the operation's agreed item, location and unit definitions, including relevant pack-size changes.

Evidence to seek

Trace selected labels, item records, locations and transaction entries; ask workers how similar-looking products or changed packs are distinguished.

Next step

Record the specific ambiguity and affected transactions, then identify who can correct the definition and check the resulting records.

Applicable criterion / version / reference

Name the requirement and version, or write Not yet established.

Observation, sample and evidence reference

Include the sample, timing, locations and supporting record references.

Status and reason

Use the page 1 legend. Blank means Not reviewed; give a reason for Not applicable.

Next evidence / action owner / target date / linked finding

Inventory accuracy and storage

INV03 / Discrepancies and recurrence

Review reference: _____ Date / period: _____

Site / area / sample reference: _____

When stock discrepancies return, does the team investigate what happens between counts?**Check against**

Establish how discrepancies should be reported, investigated and closed, separately from correcting the balance.

Evidence to seek

Follow selected recurring differences through adjustments, movement records, worker accounts and earlier actions; retain competing explanations and gaps.

Next step

Assign the next evidence request and an investigation owner. Identify what a later check would need to show before calling the problem resolved.

Applicable criterion / version / reference

Name the requirement and version, or write Not yet established.

Observation, sample and evidence reference

Include the sample, timing, locations and supporting record references.

Status and reason

Use the page 1 legend. Blank means Not reviewed; give a reason for Not applicable.

Next evidence / action owner / target date / linked finding

Receiving through dispatch

FLOW01 / Receipt identification and exceptions

Review reference: _____ Date / period: _____

Site / area / sample reference: _____

Can you trace what arrived, what was accepted and what happened to any discrepancy?

Check against

Identify the receipt, acceptance and exception requirements for the goods and transaction being reviewed.

Evidence to seek

Compare expected shipment details, receipt records and recorded damage or shortages; ask who decided the disposition and informed the next team.

Next step

Record any missing decision or broken record link, and assign the person responsible for resolving that receipt exception.

Applicable criterion / version / reference

Name the requirement and version, or write Not yet established.

Observation, sample and evidence reference

Include the sample, timing, locations and supporting record references.

Status and reason

Use the page 1 legend. Blank means Not reviewed; give a reason for Not applicable.

Next evidence / action owner / target date / linked finding

Receiving through dispatch

FLOW02 / Putaway and staging handoffs

Review reference: _____ Date / period: _____

Site / area / sample reference: _____

Do accepted goods reach the intended storage location with their status and records still clear?

Check against

Confirm the site's putaway, staging and exception arrangements for the goods, including who owns each handoff.

Evidence to seek

Trace selected receipts from staging to storage and record updates; observe delays, unclear ownership or goods awaiting a decision.

Next step

Separate an unrecorded movement from a physical delay, establish the dependency and assign the next responsible action.

Applicable criterion / version / reference

Name the requirement and version, or write Not yet established.

Observation, sample and evidence reference

Include the sample, timing, locations and supporting record references.

Status and reason

Use the page 1 legend. Blank means Not reviewed; give a reason for Not applicable.

Next evidence / action owner / target date / linked finding

Receiving through dispatch

FLOW03 / Picking and dispatch verification

Review reference: _____ Date / period: _____

Site / area / sample reference: _____

Can the team connect the authorised order, prepared goods and recorded release to the same shipment?

Check against

Establish the operation's order, verification and release requirements, including authority to resolve a mismatch.

Evidence to seek

Compare selected pick or release instructions, item quantities, shipment records and handover details; examine how changes or shortages were communicated.

Next step

Identify the failed or uncertain handoff and its owner. Keep checking this shipment distinct from reviewing recurring process failures.

Applicable criterion / version / reference

Name the requirement and version, or write Not yet established.

Observation, sample and evidence reference

Include the sample, timing, locations and supporting record references.

Status and reason

Use the page 1 legend. Blank means Not reviewed; give a reason for Not applicable.

Next evidence / action owner / target date / linked finding

Receiving through dispatch

FLOW04 / Arrival timing and resource coordination

Review reference: _____ Date / period: _____

Site / area / sample reference: _____

Does the team have the information and resources needed for the arrivals and departures it must handle?

Check against

Establish the relevant service commitments, operating constraints and responsibilities for communicating or changing the plan.

Evidence to seek

Compare planned and actual timing with workload, staffing, available space and exception records across selected operating periods.

Next step

Investigate which constraint affected service before choosing an intervention; assign any unresolved coordination or resource decision to its owner.

Applicable criterion / version / reference

Name the requirement and version, or write Not yet established.

Observation, sample and evidence reference

Include the sample, timing, locations and supporting record references.

Status and reason

Use the page 1 legend. Blank means Not reviewed; give a reason for Not applicable.

Next evidence / action owner / target date / linked finding

Warehouse layout and flow

SPACE01 / Usable space and congestion

Review reference: _____ Date / period: _____

Site / area / sample reference: _____

Where does work queue or spill into space needed for another activity?

Check against

Confirm the intended use and relevant constraints of each area for the operating conditions being examined.

Evidence to seek

Observe selected busy and quieter periods; compare queues, space use, workload and available resources with the plan and worker explanations.

Next step

Distinguish a recurring constraint from an isolated event, and identify the evidence needed before changing capacity or layout.

Applicable criterion / version / reference

Name the requirement and version, or write Not yet established.

Observation, sample and evidence reference

Include the sample, timing, locations and supporting record references.

Status and reason

Use the page 1 legend. Blank means Not reviewed; give a reason for Not applicable.

Next evidence / action owner / target date / linked finding

Warehouse layout and flow

SPACE02 / Slotting, travel and replenishment

Review reference: _____ Date / period: _____

Site / area / sample reference: _____

Does the placement of stock support the picking, replenishment and handling work people actually perform?

Check against

Establish the relevant product, handling, access and workload requirements rather than assuming one arrangement suits every item.

Evidence to seek

Follow selected pick and replenishment paths; compare item activity, travel, repeated interruptions and worker accounts with the placement rationale.

Next step

Record the constraint and competing explanations, then identify who should assess a proposed change and its effects.

Applicable criterion / version / reference

Name the requirement and version, or write Not yet established.

Observation, sample and evidence reference

Include the sample, timing, locations and supporting record references.

Status and reason

Use the page 1 legend. Blank means Not reviewed; give a reason for Not applicable.

Next evidence / action owner / target date / linked finding

Warehouse layout and flow

SPACE03 / Housekeeping and recurring obstructions

Review reference: _____ Date / period: _____

Site / area / sample reference: _____

When clutter or obstructions return, is there a clear owner and an explanation beyond clearing them again?

Check against

Identify the site's relevant housekeeping, access and storage requirements and the responsibility for acting on exceptions.

Evidence to seek

Compare current observations with earlier reports, assigned work and worker accounts of why material accumulates.

Next step

Follow the site's response arrangements for current concerns, then assign investigation of recurring causes and a check that the action worked.

Applicable criterion / version / reference

Name the requirement and version, or write Not yet established.

Observation, sample and evidence reference

Include the sample, timing, locations and supporting record references.

Status and reason

Use the page 1 legend. Blank means Not reviewed; give a reason for Not applicable.

Next evidence / action owner / target date / linked finding

Equipment and machinery

EQUIP01 / Inspection and maintenance coverage

Review reference: _____ Date / period: _____

Site / area / sample reference: _____

Are the equipment inspections and maintenance required for this operation identifiable, assigned and supported by records?

Check against

Confirm the applicable equipment instructions, inspection requirements and competence needed with the responsible equipment owner.

Evidence to seek

Match selected equipment to its identity, inspection and maintenance records, due work and the people responsible.

Next step

Refer missing coverage or uncertain criteria to the appropriate owner or competent reviewer; do not fill the gap with a generic checklist.

Applicable criterion / version / reference

Name the requirement and version, or write Not yet established.

Observation, sample and evidence reference

Include the sample, timing, locations and supporting record references.

Status and reason

Use the page 1 legend. Blank means Not reviewed; give a reason for Not applicable.

Next evidence / action owner / target date / linked finding

Equipment and machinery

EQUIP02 / Defect reports and operating restrictions

Review reference: _____ Date / period: _____

Site / area / sample reference: _____

Can people report an equipment defect and find out what restrictions or action apply?

Check against

Establish the defect-reporting and response arrangements, including who is authorised to assess the equipment.

Evidence to seek

Trace selected defect reports to decisions, communications and current operating status; ask affected workers what they were told.

Next step

Escalate missing or conflicting status information through the site's responsible owner. Keep any technical assessment with a person competent for that equipment.

Applicable criterion / version / reference

Name the requirement and version, or write Not yet established.

Observation, sample and evidence reference

Include the sample, timing, locations and supporting record references.

Status and reason

Use the page 1 legend. Blank means Not reviewed; give a reason for Not applicable.

Next evidence / action owner / target date / linked finding

Equipment and machinery

EQUIP03 / Repair and return to use

Review reference: _____ Date / period: _____

Site / area / sample reference: _____

What evidence supports returning equipment to use after a reported defect or repair?**Check against**

Confirm the applicable acceptance requirements and who can authorise the change in operating status.

Evidence to seek

Follow selected defects through repair records, assessment or checks required for acceptance, remaining restrictions and communication to users.

Next step

Keep missing acceptance evidence visible and refer the decision to the authorised owner; a completed work order alone may not answer the readiness question.

Applicable criterion / version / reference

Name the requirement and version, or write Not yet established.

Observation, sample and evidence reference

Include the sample, timing, locations and supporting record references.

Status and reason

Use the page 1 legend. Blank means Not reviewed; give a reason for Not applicable.

Next evidence / action owner / target date / linked finding

People and workplace safety

PEOPLE01 / Site hazards and controls

Review reference: _____ Date / period: _____

Site / area / sample reference: _____

Do the controls for identified site hazards match the work being performed?**Check against**

Establish the applicable hazard assessments, requirements and control arrangements with the responsible safety and operating owners.

Evidence to seek

Compare recorded controls with observations, worker accounts, reported concerns and changes in goods, equipment or activity.

Next step

Route an immediate concern through the site's response process. Assign unresolved control questions to the competent owner and record the evidence still needed.

Applicable criterion / version / reference

Name the requirement and version, or write Not yet established.

Observation, sample and evidence reference

Include the sample, timing, locations and supporting record references.

Status and reason

Use the page 1 legend. Blank means Not reviewed; give a reason for Not applicable.

Next evidence / action owner / target date / linked finding

People and workplace safety

PEOPLE02 / Competence and handover

Review reference: _____ Date / period: _____

Site / area / sample reference: _____

Do people know how to perform their assigned work and pass unresolved issues to the next responsible person?**Check against**

Confirm the task's competence requirements and the site's arrangements for handover, exceptions and escalation.

Evidence to seek

Compare preparation records with explanations and observed work; follow a selected unresolved issue across a shift or team boundary.

Next step

Identify whether the gap concerns preparation, instructions, authority or communication, then assign support and a suitable follow-up check.

Applicable criterion / version / reference

Name the requirement and version, or write Not yet established.

Observation, sample and evidence reference

Include the sample, timing, locations and supporting record references.

Status and reason

Use the page 1 legend. Blank means Not reviewed; give a reason for Not applicable.

Next evidence / action owner / target date / linked finding

People and workplace safety

PEOPLE03 / Workload, worker accounts and practical constraints

Review reference: _____ Date / period: _____

Site / area / sample reference: _____

What makes it difficult for people to follow the agreed process or report a problem?

Check against

Establish the expected work, available resources and reporting responsibilities for the shifts and tasks reviewed.

Evidence to seek

Combine worker accounts with workload, interruption and exception records; examine whether instructions or performance measures pull people in different directions.

Next step

Preserve differing accounts, test the explanation against records and observations, and escalate resource or authority constraints to the person who can change them.

Applicable criterion / version / reference

Name the requirement and version, or write Not yet established.

Observation, sample and evidence reference

Include the sample, timing, locations and supporting record references.

Status and reason

Use the page 1 legend. Blank means Not reviewed; give a reason for Not applicable.

Next evidence / action owner / target date / linked finding

Goods protection and specific requirements

GOODS01 / Access, custody and loss controls

Review reference: _____ Date / period: _____

Site / area / sample reference: _____

Can the operation account for who had custody of selected goods and how unexplained losses are handled?

Check against

Identify the applicable custody, access and loss-reporting controls for the goods, ownership arrangement and review purpose.

Evidence to seek

Trace selected goods through movement and handover records; compare any access records, loss reports and assigned investigations.

Next step

Separate a missing record from an established loss or wrongdoing, and assign unresolved custody or security questions to the appropriate owner.

Applicable criterion / version / reference

Name the requirement and version, or write Not yet established.

Observation, sample and evidence reference

Include the sample, timing, locations and supporting record references.

Status and reason

Use the page 1 legend. Blank means Not reviewed; give a reason for Not applicable.

Next evidence / action owner / target date / linked finding

Goods protection and specific requirements

GOODS02 / Product condition and traceability

Review reference: _____ Date / period: _____

Site / area / sample reference: _____

Can the team establish the identity, recorded condition and relevant movement history of selected goods?

Check against

Confirm the product, customer and applicable assurance requirements, including which identifiers and condition records matter.

Evidence to seek

Trace selected goods through receipt, storage and release records, including condition exceptions, holds and disposition decisions where relevant.

Next step

Identify the break in the evidence chain and the responsible product or quality owner; preserve uncertainty about condition or acceptability until assessed.

Applicable criterion / version / reference

Name the requirement and version, or write Not yet established.

Observation, sample and evidence reference

Include the sample, timing, locations and supporting record references.

Status and reason

Use the page 1 legend. Blank means Not reviewed; give a reason for Not applicable.

Next evidence / action owner / target date / linked finding

Goods protection and specific requirements

GOODS03 / Controlled goods and customs requirements

Review reference: _____ Date / period: _____

Site / area / sample reference: _____

Where controlled goods or customs arrangements apply, can the team identify the requirements and produce the relevant evidence?

Check against

Name the actual goods, activities, jurisdiction and programme, then establish the applicable criteria with the responsible specialist.

Evidence to seek

Compare selected movement, status and exception records with those criteria and any required permissions or declarations.

Next step

Record the precise unanswered requirement and assign its resolution to the appropriate compliance owner before drawing an assurance conclusion.

Applicable criterion / version / reference

Name the requirement and version, or write Not yet established.

Observation, sample and evidence reference

Include the sample, timing, locations and supporting record references.

Status and reason

Use the page 1 legend. Blank means Not reviewed; give a reason for Not applicable.

Next evidence / action owner / target date / linked finding

Goods protection and specific requirements

GOODS04 / Storage conditions and environmental obligations

Review reference: _____ Date / period: _____

Site / area / sample reference: _____

Are relevant storage conditions and environmental responsibilities defined, monitored and acted on when something goes wrong?

Check against

Establish the goods, site and activity requirements and identify who determines acceptable conditions and responses.

Evidence to seek

Review applicable monitoring records, exceptions, decisions and follow-up alongside observations of the relevant area or activity.

Next step

Assign missing criteria, unexplained exceptions or unresolved actions to the responsible product, facilities or environmental owner; distinguish operating concerns from formal assurance findings.

Applicable criterion / version / reference

Name the requirement and version, or write Not yet established.

Observation, sample and evidence reference

Include the sample, timing, locations and supporting record references.

Status and reason

Use the page 1 legend. Blank means Not reviewed; give a reason for Not applicable.

Next evidence / action owner / target date / linked finding

Financial controls and warehouse providers

CONTROL01 / Adjustment and write-off authority

Review reference: _____ Date / period: _____

Site / area / sample reference: _____

Can each selected inventory adjustment or write-off be explained and linked to the authority required for it?**Check against**

Establish the organisation's applicable authorisation and supporting-document requirements for the transaction being reviewed.

Evidence to seek

Compare adjustment entries with reasons, investigation records, approvals and relevant count or movement evidence; retain missing or conflicting support.

Next step

Refer unsupported entries or unclear authority to the inventory and finance owners. Record the control question without treating a variance as proof of fraud.

Applicable criterion / version / reference

Name the requirement and version, or write Not yet established.

Observation, sample and evidence reference

Include the sample, timing, locations and supporting record references.

Status and reason

Use the page 1 legend. Blank means Not reviewed; give a reason for Not applicable.

Next evidence / action owner / target date / linked finding

Financial controls and warehouse providers

CONTROL02 / Custody and reconciliation evidence

Review reference: _____ Date / period: _____

Site / area / sample reference: _____

Can warehouse and finance records be reconciled without confusing physical quantity, custody, ownership and value?**Check against**

Agree the reconciliation's purpose, period, records and responsibilities with the relevant inventory and finance owners.

Evidence to seek

Compare selected stock and transaction records, counts and any applicable external-custody evidence; record unresolved differences and the assertions they affect.

Next step

Assign each gap to its evidence owner and identify any further financial-audit work required; a matching quantity alone does not answer every financial question.

Applicable criterion / version / reference

Name the requirement and version, or write Not yet established.

Observation, sample and evidence reference

Include the sample, timing, locations and supporting record references.

Status and reason

Use the page 1 legend. Blank means Not reviewed; give a reason for Not applicable.

Next evidence / action owner / target date / linked finding

Financial controls and warehouse providers

CONTROL03 / Contracted service and qualification evidence

Review reference: _____ Date / period: _____

Site / area / sample reference: _____

Does the evidence address both the service a warehouse provider delivers and the qualifications required for this relationship?

Check against

Identify the actual service commitments, qualification requirements, review period and people responsible for each decision.

Evidence to seek

Compare selected service records and exceptions with current qualification or assurance evidence relevant to the required scope.

Next step

Keep performance, qualification and renewal questions separate. Request missing evidence and assign the decision rather than treating one favourable document as settling the whole relationship.

Applicable criterion / version / reference

Name the requirement and version, or write Not yet established.

Observation, sample and evidence reference

Include the sample, timing, locations and supporting record references.

Status and reason

Use the page 1 legend. Blank means Not reviewed; give a reason for Not applicable.

Next evidence / action owner / target date / linked finding

Financial controls and warehouse providers

CONTROL04 / Charged activity, units and rates

Review reference: _____ Date / period: _____

Site / area / sample reference: _____

Can selected warehouse charges be traced to the applicable agreement and the activity or unit being billed?**Check against**

Identify the relevant contract and rate version, charging basis, period and authority for resolving a dispute.

Evidence to seek

Compare invoice lines with available movement, storage or service records and documented exceptions; retain gaps or inconsistent interpretations.

Next step

Record the disputed point and supporting evidence, then refer it to the commercial or finance decision owner without assuming entitlement or savings.

Applicable criterion / version / reference

Name the requirement and version, or write Not yet established.

Observation, sample and evidence reference

Include the sample, timing, locations and supporting record references.

Status and reason

Use the page 1 legend. Blank means Not reviewed; give a reason for Not applicable.

Next evidence / action owner / target date / linked finding

Responsibilities and follow-through

GOV01 / Purpose, criteria and responsibilities

Review reference: _____ Date / period: _____

Site / area / sample reference: _____

Is everyone clear about the decision this review supports and what each participant is responsible for?

Check against

Record the purpose, scope, criteria, intended users and any required assessor competence or independence.

Evidence to seek

Compare the review brief with responsibilities understood by the sponsor, evidence providers, assessor and action owners; identify missing authority or conflicting expectations.

Next step

Resolve the commissioning gap with the relevant decision maker before treating a generic checklist as the agreed scope.

Applicable criterion / version / reference

Name the requirement and version, or write Not yet established.

Observation, sample and evidence reference

Include the sample, timing, locations and supporting record references.

Status and reason

Use the page 1 legend. Blank means Not reviewed; give a reason for Not applicable.

Next evidence / action owner / target date / linked finding

Responsibilities and follow-through

GOV02 / Evidence coverage and limitations

Review reference: _____ Date / period: _____

Site / area / sample reference: _____

Can a reader tell what was examined, what was not and where the evidence remains uncertain?

Check against

Establish the review's coverage, period and evidence needs against its actual purpose and criteria.

Evidence to seek

Record selected locations, goods, shifts and transactions, together with missing records, conflicting accounts and reasons for exclusions.

Next step

Limit each conclusion to its support, identify what additional evidence would change the decision and name who should obtain or assess it.

Applicable criterion / version / reference

Name the requirement and version, or write Not yet established.

Observation, sample and evidence reference

Include the sample, timing, locations and supporting record references.

Status and reason

Use the page 1 legend. Blank means Not reviewed; give a reason for Not applicable.

Next evidence / action owner / target date / linked finding

Responsibilities and follow-through

GOV03 / Action ownership, resources and escalation

Review reference: _____ Date / period: _____

Site / area / sample reference: _____

Does each finding have a next action and someone with the authority or support to move it forward?

Check against

Agree the action owner, decision owner, required resources, target date and escalation route for unresolved dependencies.

Evidence to seek

Compare recorded actions with commitments, available authority and the decisions still outstanding; distinguish doing the work from approving resources.

Next step

Make the blocked decision explicit and take it to the responsible person rather than repeatedly assigning work the team cannot complete.

Applicable criterion / version / reference

Name the requirement and version, or write Not yet established.

Observation, sample and evidence reference

Include the sample, timing, locations and supporting record references.

Status and reason

Use the page 1 legend. Blank means Not reviewed; give a reason for Not applicable.

Next evidence / action owner / target date / linked finding

Responsibilities and follow-through

GOV04 / Verification and recurring findings

Review reference: _____ Date / period: _____

Site / area / sample reference: _____

What shows that an action addressed the finding, and what happens if the concern returns?

Check against

Agree what effectiveness means for the finding, who will check it and under which relevant operating conditions.

Evidence to seek

Compare reported completion with follow-up observations, records and recurring exceptions; retain limitations and any unresolved part of the finding.

Next step

Record further work where effectiveness remains uncertain. Distinguish verified operating results from wider financial benefits that have not been demonstrated.

Applicable criterion / version / reference

Name the requirement and version, or write Not yet established.

Observation, sample and evidence reference

Include the sample, timing, locations and supporting record references.

Status and reason

Use the page 1 legend. Blank means Not reviewed; give a reason for Not applicable.

Next evidence / action owner / target date / linked finding

02 / Adapt to the operation

Additional local check

Review reference: _____ Date / period: _____

Site / area / sample reference: _____

Custom check ID, area and title

Keep the starter check IDs unchanged. Give additional checks their own reference.

Question and applicable criterion

Name the requirement, version and what must be examined. Unknown criteria remain unresolved.

Evidence plan

Which observations, records and accounts are needed? Who can provide them?

Observation and evidence reference

Include sample, timing and limitations.

Status, reason and uncertainty

Use the status legend. Preserve missing or conflicting evidence.

Next step and linked finding

Record the owner, target date and evidence or action needed.

03 / Record what the evidence establishes

Finding or unresolved question

Review reference: _____ Date / period: _____

Site / area / sample reference: _____

Linked finding / check ID: _____

Finding ID and linked check IDs

Include the starter check IDs or custom check reference.

Applicable criterion and version

Write Not yet established if the requirement remains unknown.

Observation and supporting evidence

What was observed, when and where? Record the selected sample and references.

Evidence limits and unanswered questions

What is missing or conflicting? What further evidence could change the conclusion?

Possible cause - hypothesis until supported

Separate the observed problem from an explanation that still needs testing.

Consequence or decision affected

Explain why this finding matters within the stated scope.

04 / Assign the next step

Action plan and decision request

Review reference: _____ Date / period: _____

Site / area / sample reference: _____

Linked finding / check ID: _____

Action type

Correction / investigation / corrective action / verification. Record the type that applies.

Work to do

Describe the action and the evidence or deliverable expected. Do not treat a balance adjustment as proof that the cause was addressed.

Action owner and target date

Name who does the work and the agreed date. Keep missing ownership or dates visible.

Urgency assigned by reviewer

Not assessed / routine follow-up / user-flagged urgent concern. This is the reviewer's judgment, not an automatic risk rating.

Decision or resources needed

What prevents progress? What is requested, and who has authority to decide?

Verification plan

What evidence will show whether the action worked, under which conditions? Name the reviewer and planned date.

Record actual completion and effectiveness on the separate completion and verification sheet. A completed task can still be awaiting verification.

05 / Check the result

Completion and effectiveness

Review reference: _____ Date / period: _____

Site / area / sample reference: _____

Linked finding / check ID: _____

Completion record

What work was completed, by whom and on what date? Record the evidence reference and any unfinished part.

Effectiveness check

Record the method, applicable criterion, sample and operating conditions examined.

Reviewer and verification date

Record who performed the check and when. Leave unassigned or unagreed details visible.

Verification result and evidence

What did the follow-up evidence establish? Distinguish an effective action, an unresolved result and an adverse result.

Limits and remaining concern

Record missing evidence or recurring exceptions. Work completed without effectiveness evidence remains awaiting verification.

Further work and next review

If the concern remains or returns, name the action, owner and next date. Keep the finding open where appropriate.

06 / Bring evidence to the decision

Management review

Review reference: _____ Date / period: _____

Site / area / sample reference: _____

Decision to make

What decision is requested, and who has authority to make it?

Scope and limits

Which site, period, goods and sample support this brief? What was excluded?

Findings and consequences

What does the evidence establish, against which requirement, and what decision or activity does it affect?

Open evidence and criteria

What remains missing, uncertain or conflicting? What evidence could change the decision?

Keep conclusions within this review's scope. There is no overall audit pass score or automatically generated ranking.

Management review – commitments

Review reference: _____ Date / period: _____

Site / area / sample reference: _____

User-flagged urgent concerns

Record any concern the reviewer has flagged as urgent and its responsible response owner. Do not average it into an overall score.

Options and resources

What options are supported, what resources or approvals are needed, and what remains undecided?

Decision and commitments

Record the decision, rationale, action owners, target dates and any unresolved dependency.

Follow-through

Who checks effectiveness, using what evidence and when? What happens if the concern remains or returns?

Retain this scope and evidence record with the decision. Revisit it when evidence changes, an action cannot proceed or verification does not support closure.

Fictional worked example - correction and limited verification recorded

Repeated inventory discrepancy

Follow one evidenced stock difference through correction, a process action and verification. Keep older recurrences unresolved.

Scope and commissioning record

Decision or question

What explains the recurring difference, and what action should follow?

Site or area alias

Example bin A01

Review date or period

Count comparison: 6 October 2026, 09:00. Follow-up: 9 October 2026, 15:00.

Operating conditions

One unit dispatched on 5 October at 16:40. Its stock issue was still pending at the count.

Coverage and sample

SKU104, bin A01. Count/recount and transaction trail; follow-up covers 20 dispatches on 7-9 October across three shifts. Checks INV01-03.

Exclusions and limits

Older discrepancies remain unexplained. This item and limited follow-up sample do not establish performance across all stock or shifts.

Criteria and versions

Fictional procedure INV04 v3: post each stock issue before dispatch. Compare the same item, unit, location and time.

Reviewer and evidence providers

Inventory lead traces C104, RC104, S104, P418, D418 and Q418. Warehouse manager verifies the follow-up in V104.

Action responsibilities

Inventory lead owns the handover change and pending-issue review, due 6 October 2026, 17:00.

Decision owner

Inventory manager authorises posting the one missing issue on 6 October 2026, 11:00.

Close this recorded correction and sampled follow-up. Keep older recurrences open. V104 supports the result only for the examined sample.

Fictional worked example - correction and limited verification recorded

11 counted; 12 recorded

EX-INV-01 | Linked checks: INV01, INV02, INV03

Status

Concern found

Criterion / version

Fictional site procedure INV04 v3 requires each stock issue to be posted before dispatch.

Observation

At 09:00 on 6 October 2026, C104 and independent recount RC104 show 11 each of SKU104 in bin A01. Snapshot S104 shows 12.

Evidence obtained

P418 and D418 record one unit leaving on 5 October at 16:40. Q418 shows that issue still pending at the count.

Evidence still needed

Investigate the separate older recurrences. This transaction trail does not explain those earlier differences.

Uncertainty

The unposted issue explains this one-unit difference. Why it remained pending and the causes of older recurrences are not established.

Possible cause

Evidence confirms one unposted issue. It does not establish fraud or a root cause for all recurring discrepancies.

Next action

Post the single missing issue with approval. Give handover a named owner and review pending issues before release. Retain older cases for investigation.

Fictional example. The recorded status does not settle the unresolved cause or provide a wider assurance conclusion.

Fictional worked example - correction and limited verification recorded

11 counted; 12 recorded – follow-through

EX-INV-01 | Linked checks: INV01, INV02, INV03

Action type

Authorised correction, corrective action and verification

Action owner

Inventory lead

Target date

6 October 2026, 17:00, for handover ownership and the pending-issue review.

Urgency assigned by reviewer

Inventory manager requires the record correction and control change on 6 October. No wider urgency conclusion is made.

Completion

6 October: manager approves posting at 11:00. Records then show 11. H104 records named handover ownership and pre-release pending-issue review in use by 17:00.

Planned effectiveness check

V104: compare 20 dispatches on 7-9 October across three shifts with INV04 v3. Check issue posting before release and recount the selected bin.

Verification reviewer

Warehouse manager

Verification date

9 October 2026, 15:00

Verification result

Effective in the examined sample: all 20 issues posted before release and the selected bin matches. Older recurrences remain unresolved.

Decision / resources needed

The manager approves posting the one missing issue. No additional balance adjustment is made, which would double-count the correction.

Decision owner

Inventory manager for correction authority; inventory lead for the process action and older-case investigation.

Close this recorded correction and sampled follow-up. Keep older recurrences open. V104 supports the result only for the examined sample.

Fictional worked example - renewal decision remains open

Warehouse-provider renewal

Bring service, storage and billing evidence to a renewal review. Show a verified credit alongside service and storage questions that remain open.

Scope and commissioning record

Decision or question

Renew the provider contract, request changes or seek further evidence?

Site or area alias

Example provider site

Review date or period

Review as at 8 October 2026. Service and billed-activity period: 1-7 October 2026.

Operating conditions

Investigate the four late orders. Product acceptability remains unresolved because the 2 October condition record is missing.

Coverage and sample

12 orders, goods affected by the 2 October record gap and one invoice line for 120 pallet-days. Checks FLOW03-04, GOODS02, GOODS04 and CONTROL03-04.

Exclusions and limits

No conclusion on all provider qualifications or all shipments. Fictional invoice amounts exclude VAT and other lines.

Criteria and versions

SLA12 v2: orders ready for 17:00 dispatch. CS2 v2: customer dry-storage requirement. Signed rate v2: £1.50 per pallet-day from 1 October.

Reviewer and evidence providers

Service lead checks order/staging/handover records. Quality lead assesses the record gap. Commercial lead reconciles billing; finance controller checks CN82.

Action responsibilities

Service lead: report by 10 October. Quality lead: assessment by 9 October. Commercial lead: credit and contract timetable/options.

Decision owner

Logistics director requests the service plan and quality assessment on 8 October before a final renewal decision.

As at 8 October, the director awaits the quality assessment due 9 October and service plan due 10 October. Commercial lead checks contract timetable/options. The verified £60 credit does not settle renewal or product acceptability.

Fictional worked example - renewal decision remains open

Late dispatches

EX-3PL-01 | Linked checks: FLOW03, FLOW04, CONTROL03

Status

Concern found

Criterion / version

Fictional SLA12 v2 requires the selected orders to be ready for 17:00 dispatch.

Observation

Four of 12 selected orders from 1-7 October 2026 were late against the agreed dispatch-readiness commitment.

Evidence obtained

Order, staging and handover records for the 12 orders establish the four exceptions against SLA12 v2.

Evidence still needed

Service lead to examine staffing, workload, queues and exceptions around the four late orders and propose a supported service plan.

Uncertainty

The four exceptions are established within this sample. Their cause and wider service performance remain under investigation.

Possible cause

Not yet established. The observed lateness does not identify a particular operating cause.

Next action

Service lead reports the evidence, remaining cause questions and proposed plan to the director by 10 October 2026.

Fictional example. The recorded status does not settle the unresolved cause or provide a wider assurance conclusion.

Fictional worked example - renewal decision remains open

Late dispatches – follow-through

EX-3PL-01 | Linked checks: FLOW03, FLOW04, CONTROL03

Action type

Investigation

Action owner

Service lead

Target date

10 October 2026

Urgency assigned by reviewer

Director requires the service plan before the final renewal decision.

Completion

Open as at 8 October: investigation and service plan due 10 October.

Planned effectiveness check

After agreeing the plan, warehouse manager checks later order/staging/handover records against SLA12 v2. Agree coverage and timing with the plan.

Verification reviewer

Warehouse manager

Verification date

To be agreed after the service plan

Verification result

Pending - no effectiveness conclusion

Decision / resources needed

Director requests a service plan before final renewal. Commercial lead checks the contract timetable and available options.

Decision owner

Logistics director

As at 8 October, the director awaits the quality assessment due 9 October and service plan due 10 October. Commercial lead checks contract timetable/options. The verified £60 credit does not settle renewal or product acceptability.

Fictional worked example - renewal decision remains open

Customer storage concern

EX-3PL-02 | Linked checks: GOODS02, GOODS04, CONTROL03

Status

Inconclusive or conflicting evidence

Criterion / version

Fictional customer requirement CS2 v2 specifies dry storage for the affected goods.

Observation

The 2 October 2026 condition record is missing for the affected goods. The available evidence cannot establish acceptability.

Evidence obtained

CS2 v2 and the condition-record review identify the specific 2 October gap.

Evidence still needed

Quality lead to assess the affected goods, remaining condition evidence and any action needed under CS2 v2.

Uncertainty

Missing evidence does not establish acceptable or unacceptable goods. Product acceptability and any disposition remain for quality assessment.

Possible cause

Not established

Next action

Quality lead assesses the affected goods and evidence gap under CS2 v2 and reports to the director by 9 October 2026.

Fictional example. The recorded status does not settle the unresolved cause or provide a wider assurance conclusion.

Fictional worked example - renewal decision remains open

Customer storage concern – follow-through

EX-3PL-02 | Linked checks: GOODS02, GOODS04, CONTROL03

Action type

Investigation

Action owner

Quality lead

Target date

9 October 2026

Urgency assigned by reviewer

Director requires the quality assessment before final renewal. Quality lead determines any response needed for the goods.

Completion

Open as at 8 October: quality assessment due 9 October.

Planned effectiveness check

Quality lead defines any required action and evidence of its effectiveness against CS2 v2 after assessing the affected goods.

Verification reviewer

Quality lead; any additional assessor to be identified through the assessment.

Verification date

To be agreed after the quality assessment

Verification result

Pending - no acceptability or effectiveness conclusion

Decision / resources needed

Director requests the quality assessment before final renewal. Keep the condition-record gap and any product decision visible.

Decision owner

Logistics director for renewal; quality lead to establish the required product decision and authority.

As at 8 October, the director awaits the quality assessment due 9 October and service plan due 10 October. Commercial lead checks contract timetable/options. The verified £60 credit does not settle renewal or product acceptability.

Fictional worked example - renewal decision remains open

Disputed charges

EX-3PL-03 | Linked checks: CONTROL04

Status

Concern found

Criterion / version

Signed fictional rate v2, effective 1 October 2026: £1.50 per pallet-day for the same unit and billed period.

Observation

Invoice bills 120 pallet-days at £2 = £240. Activity records confirm 120. Rate v2 gives $120 \times £1.50 = £180$, a £60 difference.

Evidence obtained

Invoice line, matching 1-7 October activity records, signed rate v2 and obsolete v1 identify the rate error. CN82 records the agreed £60 credit.

Evidence still needed

None for this reconciled line and credit. Other invoice lines and VAT are outside the example.

Uncertainty

The fictional calculation excludes VAT and other lines. It establishes no external contract entitlement or wider ROI.

Possible cause

Obsolete v1 rate was used instead of signed v2. The source of that rate-selection error is not established.

Next action

Commercial lead agrees CN82 for £60 on 8 October. Finance controller checks the credit and net £180 on the same day.

Fictional example. The recorded status does not settle the unresolved cause or provide a wider assurance conclusion.

Fictional worked example - renewal decision remains open

Disputed charges – follow-through

EX-3PL-03 | Linked checks: CONTROL04

Action type

Agreed billing correction and verification

Action owner

Commercial lead

Target date

8 October 2026

Urgency assigned by reviewer

Resolve this line within the 8 October commercial review. Service and storage questions remain separate.

Completion

8 October 2026: commercial lead agrees £60 credit CN82. Finance controller verifies the resulting £180 net charge.

Planned effectiveness check

Reconcile the 120 pallet-days to signed rate v2 and check £240 invoice less £60 credit CN82 equals £180.

Verification reviewer

Finance controller

Verification date

8 October 2026

Verification result

Verified: net £180 agrees with 120 pallet-days at £1.50. The billing correction is closed for this line.

Decision / resources needed

Accept the verified credit for this line. Commercial lead checks contract timetable/options while the director awaits service and quality evidence.

Decision owner

Commercial lead for the credit; logistics director for the separate final renewal decision.

As at 8 October, the director awaits the quality assessment due 9 October and service plan due 10 October. Commercial lead checks contract timetable/options. The verified £60 credit does not settle renewal or product acceptability.