



1. Purpose

This SOP defines audit procedures for **SIR LANCELLOT LOGISTICS** Operations and QMS to ensure compliance, reliability of internal controls, continual improvement, and effective communication of findings to management.

Audits are conducted alignment with ALCOA+ principles, GDP guidelines, GDocP requirements, and applicable client-specific regulatory standards.

2. Scope

Applicable to:

- Operational processes: shipment processing, dispatch, delivery
- Quality processes: QMS documentation, CAPA, training, and record control

3. Policy

3.1 Weekly Job Audits – Xcelerator

Purpose:

- Verify job completion and compliance with SOPs and client requirements
- Identify deficiencies and provide actionable insights for management
- Support trend analysis for continuous improvement

Audit Type: Random Shipment Audit

Frequency: Weekly

Audit Timing: Typically, within two weeks of job completion. Findings inform systemic improvements; immediate correction for completed jobs is limited.

Jobs to Audit (pulled from Xcelerator):

- General Shipment
- TCV Shipment



- Medical Shipment
- Critical Shipment
- NFO Shipment

Audit Questions / Verification Fields (Job Audits Only):

- Job correctly built vs customer alert
- All appropriate documents attached (scan logs, delivery confirmations, BOL/HAWB, etc.)
- Dispatch performance – Standard procedures / Implementation
- Driver assignment qualifications
- Driver performance – Timeliness / App usage
- Appropriate notes captured
- Completed shipment ready for billing

Audit Rating (Overall Job Rating):

1. Good – Job completed correctly, no significant deficiencies
2. Satisfactory – Minor deficiencies; acceptable
3. Fair – Some deficiencies; attention recommended
4. Marginal – Significant deficiencies; corrective action recommended
5. Poor – Major deficiencies; immediate corrective action required

Documentation & Reporting:

- Findings recorded in QMS portal, with notes explaining deficiencies
- Completed audits emailed to Upper Management
- CAPA is only initiated for repeated deficiencies or ineffective corrective actions
- High-risk findings escalated immediately



3.2 IC/Driver Field Audits – Monthly

Purpose:

- Assess IC/Driver compliance with SOPs, client requirements, and operational standards
- Evaluate cargo handling, delivery process, professionalism, vehicle/equipment condition, and documentation

Audit Methodology:

- Use portal checklist template
- Each category evaluated Yes / No, with notes documenting observations
- No overall rating assigned

Field Audit Categories:

1. Compliance with client procedures and internal SOPs
2. Cargo handling and chain of custody
3. Delivery process accuracy and timeliness
4. Uniform, hygiene, and professionalism
5. Vehicle and equipment condition
6. Documentation and tools

Documentation & Reporting:

- Audits are entered into the QMS portal and emailed to Upper Management
- Findings inform training, SOP updates, or corrective actions
- CAPA only for repeated deficiencies



3.3 QMS Audits – Annual

Purpose: Evaluate support and continual improvement of QMS

Scope:

- Manuals, SOPs, and revision control
- Record control
- CAPA program and records
- Training program and records

Documentation & Reporting:

- Findings recorded in QMS portal
- Reports emailed to Upper Management
- CAPA initiated only for repeated or unresolved deficiencies

3.4 Audit Planning and Methodology

- Annual audit schedule: weekly job audits, monthly field audits, annual QMS audits
- Preparation: review SOPs, prior CAPAs, shipment/job records, portal templates
- Execution: conduct audits per portal templates
- Reporting: record findings and notes in portal; email completed reports within 5 business days
- Follow-Up: management addresses deficiencies; CAPA only for repeated issues
- Management Review & Metrics: review audit metrics quarterly (e.g., % Good, repeated deficiencies, field audit trends)



3.5 Roles and Responsibilities

Quality Leader: Oversees audit schedule, execution, reporting, trend analysis

Quality Team / Auditors: Conduct audits using portal templates, record findings and ratings/notes, ensure SOP compliance

Management / Leadership: Review audit results, implement corrective measures, integrate findings into Management Review

3.6 CAPA Policy

- Only for repeated deficiencies or ineffective corrective actions
- Document root cause, corrective/preventive actions, and verification of effectiveness
- Track repeat findings in Management Review

3.7 Audit Documentation & Storage

- **Records:** Audit template, notes, ratings (for job audits), job number, auditor, audit date
- **Storage:** Secured Company Shared Files; QMS portal as primary record
- **Retention:** Minimum 5 years or per client/regulatory requirements
- **Email Distribution:** All audits sent automatically to Upper Management

3.8 References

- Quality Manual
- SOP-QA-Shipment Lifecycle
- SOP-QA-CAPA
- SOP-QA-Training
- GDP, ALCOA+, GDocP guidance





3.9 Definitions

- **Audit:** Systematic examination to verify compliance and effectiveness
- **CAPA:** Corrective and Preventive Action
- **QMS:** Quality Management System
- **BOL:** Bill of Lading
- **HAWB:** House Air Waybill



REVISION CONTROL

The following is the revision history for this document.

Version	Change Description	Eff Date	Approver	Approver
1.0	Creation	21 June 2023		
1.1	3.1 Added to Audit steps, the procedural steps taken during the audit process.	08 JAN 2024		
1.2	Company Name and Logo Updated	19 JUN 2024		
2.0	Major revision consolidating job, field, and QMS audits; weekly job audits via Xcelerator; separation of job (rated) and field (Yes/No) audits; CAPA applied only for repeated deficiencies; attachment verification included improved clarity and compliance with ALCOA+, GDP, and GDocP principles.	03 MAR 2026	DocuSigned by:  C34D253392F940F... 3/3/2026	Signed by:  213BC8E41A9D48A... 3/3/2026

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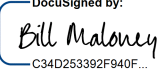
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Agent Delivery Events	Status	Timestamp
Intermediary Delivery Events	Status	Timestamp
Certified Delivery Events	Status	Timestamp
Carbon Copy Events	Status	Timestamp
Witness Events	Signature	Timestamp
Notary Events	Signature	Timestamp
Envelope Summary Events	Status	Timestamps
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Certified Delivered	Security Checked	3/3/2026 8:24:51 AM
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