

INDUSTRIAL AUTOMATION COMPLIANCE AUDIT CHECKLIST

A Practical Guide for Compliance Managers, Health & Safety Teams and Engineering Leaders



Missing documentation and outdated risk assessments often remain hidden until an audit, incident or system failure exposes them.

Use this checklist to identify compliance gaps, improve audit readiness and reduce operational risk across your industrial automation systems.

1



REVIEW RISK ASSESSMENTS

- Risk assessments available
- Assessments reflect current systems
- Modifications reviewed
- New equipment assessed
- Hazard controls documented
- Risk reviews completed regularly
- Responsibilities assigned
- Compliance records retained



★ Outdated risk assessments are one of the most common audit findings.

2



VERIFY ELECTRICAL DOCUMENTATION

- Electrical drawings available
- Schematics match installed systems
- Panel schedules current
- Cable schedules updated
- Device references accurate
- Revision history maintained
- Documentation stored securely
- Changes formally controlled



★ Documentation should reflect reality, not history.

3



CHECK PLC BACKUP MANAGEMENT

- PLC backups available
- Latest versions verified
- Backup procedures documented
- Backup locations identified
- Recovery process tested
- Software licences recorded
- Configuration files retained
- Access permissions controlled



★ A missing PLC backup can significantly increase downtime and compliance risk.

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REVIEW SOFTWARE VERSION CONTROL

- Software revisions tracked
- Change history recorded
- Authorised changes documented
- Version control process defined
- Software repositories maintained
- Recovery versions stored
- Access permissions reviewed
- Audit trail available



★ Version control provides evidence of system governance.

5



VALIDATE SAFETY SYSTEMS

- Emergency stop circuits tested
- Safety relays inspected
- Safety PLCs validated
- Safety functions documented
- Test records available
- Maintenance history retained
- Safety modifications assessed
- Compliance requirements reviewed



★ Safety systems require ongoing validation, not one-time commissioning.

6



ASSESS CONTROL PANEL COMPLIANCE

- Panel labelling compliant
- Component identification clear
- Drawings available inside panel
- Safety notices displayed
- Electrical standards met
- Modifications documented
- Spare capacity assessed
- Panel condition reviewed



★ Control panels often reveal compliance gaps before audits do.

7



REVIEW MAINTENANCE & AUDIT READINESS

- Maintenance records available
- Inspection schedules documented
- Fault history retained
- Corrective actions recorded
- Audit evidence accessible
- Compliance responsibilities assigned
- Improvement actions tracked
- Audit preparation process defined



★ Good records demonstrate control and reduce audit stress.

COMPLIANCE READINESS SCORE



50+ CHECKED
Excellent compliance readiness.



40 – 49 CHECKED
Good compliance controls in place.



30 – 39 CHECKED
Moderate compliance risk.



BELOW 30 CHECKED
High likelihood of audit findings and documentation gaps.

THE BENEFITS



IMPROVED AUDIT READINESS
Prepare for audits with confidence.



REDUCED COMPLIANCE RISK
Identify issues before they become findings.



BETTER DOCUMENT CONTROL
Ensure documentation reflects reality.



IMPROVED SAFETY GOVERNANCE
Support safer operations.



LOWER OPERATIONAL RISK
Reduce the impact of missing information.

HOW STRATOS HELPS

- ✓ Automation compliance audits
- ✓ Risk assessment reviews
- ✓ Documentation verification
- ✓ PLC backup validation
- ✓ Control panel assessments
- ✓ Safety system reviews
- ✓ Software version control support
- ✓ Compliance improvement plans



IDENTIFY COMPLIANCE RISKS BEFORE AUDITORS DO
Speak to an Engineer Today

+44 1933 677 550
sales@stratoscontrols.com
www.stratoscontrols.com



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Control Systems Ltd.