

# Internal Audit Checklist Report (IMD026 Rev.1)

## Process to Audit (Audit Scope)

**Audit Number (refer to Schedule)**

018

**Audit Date**

26/09/2023

**Lead Auditor**

Ian Brown

**Other Auditors**

**Is the site to audit the one listed in the IMS Manual?**

☒ Yes ☐ No

**Which process is to be audited?**

Production and service provision

**Does this process cover NHSS8 requirements?**

☒ Yes ☐ No

**Have any policies been revised?**

☐ Yes ☒ No

**Has the IMS Manual been revised?**

☐ Yes ☒ No

## IMS Manual Changes

Version	Nature of changes	Details of amendment	Author	Approval	Date
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## Documents applicable to the processes to be audited

Document ID	Name	Rev.
IMS	Integrated Management System Manual	1.0
IMD018	Contract Inception Review	1.0
IMD024	Concession/Change request Form	1.0
CLS2302-3-RAMS	Risk Assessment/Method Statement	3.0
HAC2301-1-MS4-RAMS	Risk Assessment/Method Statement	1.0

## Compare Documentation vs. Requirements

Compare the INFRATEC documentation with the applicable clauses of ISO 45001; 14001; and 9001.

**In general, does the INFRATEC documentation meet the requirements of ISO 45001; 14001; and 9001?**

☐ Yes ☐ No

**Evidence Upload**

**Notes**

Requirements of all standards appear to be met.

**Are there any customer requirements that may be applicable to this process. In general, does the INFRATEC documentation meet these requirements?**

☐ Yes ☐ No ☐ N/A

**Evidence Upload**

**Notes**

Customer requirements are critical to this clause and Infratec documentation appears to meet these.

**Are there any NHSS8 requirements that may be applicable to this process. In general, does the INFRATEC documentation meet these requirements?**

☐ Yes ☐ No ☐ N/A

**Evidence Upload**

**Notes**

All requirements comply with NHSS8 standard.

**Are there any statutory or regulatory requirements that may be applicable to this process.**

☐ Yes ☐ No ☐ N/A

**Evidence Upload**

**Notes**

All met.

**Indicate any other suggestions for improvement related to the documentation:**

## Compare Actual Practice vs. Requirements

Compare the requirements of ISO 45001; 14001; and 9001, the INFRATEC Integrated Management System Manual and other documentation against working practice.

## Findings

## Practice 1

Requirement Ref.	Question	Y/N (or N/A)
8.5.1	Does the company implement production and service provision under controlled conditions?	Yes

### Evidence

IMD018.png

CLS2302-3-RAMS.pdf

1 - Employee Training Matrix.pdf

### Notes

Production and service provision have been implemented under controlled conditions. IMD018 is a document that captures the following requirements for each project to be delivered; financial overview, technical specifications, procurement, project management, HSEQ, transport, risk & opportunity management. The above document stipulates customer requirements which are the intended results to be achieved. In addition, for each project RAMS's will be produced that specify requirements, example is attached, all of which include health and safety requirements. Monitoring and measuring devices are available for use by trained staff during service delivery. Infrastructure and environment is maintained and suitable both off-site and in the workshop for the operation of processes. Competent persons are appointed for each project and specified in the RAMS. Their competence is maintained and recorded within the training & competency matrix, attached. If sub-contractors are employed, a questionnaire is required from them to ensure competence and service provision. Checks on services and products are carried out by supervisors and competent commissioning staff, which prevents human error. The implementation of these activities also allows release of product, delivery and post-delivery services to the clients requirements.

## Practice 2

Requirement Ref.	Question	Y/N (or N/A)
8.5.2	Does the organization use suitable means to identify outputs when it is necessary to ensure the conformity of products and services?	Yes

### Evidence

### Notes

Each project has a unique reference number (see attached example RAMS), that all associated documentation bears. This number remains throughout the lifespan of the project ensuring traceability. Discussion with staff confirms that projects, whether new installation, routine maintenance, or fault rectification, are routinely checked by supervisors throughout the delivery period to ensure standards conform to expectations. Prior to release, work is tested by a commissioning engineer before being signed off. Documentation is retained under control of the operations director.

### Practice 3

**Requirement Ref.**

8.5.3

**Question**

Does the organization exercise care with property belonging to the customer or external providers while it is under the organization's control or being used by the organization?

**Y/N (or N/A)**

Yes

**Evidence**

**Notes**

Yes, customer property can relate to highway sign installations and/or components thereof, personal data and intellectual property. New installations are effectively controlled using RAMS to ensure care of the property. Repairs are carried out in situ if possible, using the same control methods. If this cannot be achieved, faulty parts will be removed to the company workshop to undergo repair. Each item is identified and labelled before a diagnostic check and report is sent to the customer. During repairs care is taken at each stage to ensure the property is clearly identified and traceable back to the customer upon completion. Intellectual property and personal data is all held electronically on secure company intranet. Sharing of data only takes place between authorised recipients in line with current regulations.

### Practice 4

**Requirement Ref.**

**Question**

**Y/N (or N/A)**

8.5.4

Does the organization preserve the outputs during production and service provision, to the extent necessary to ensure conformity to requirements?

Yes

#### Evidence

1 - Employee Training Matrix.pdf

#### Notes

The company does not currently supply any products which require special handling practices. During any component fault repair process all outputs are preserved as far as necessary to ensure conformity with applicable requirements. Items are identified and handled in a measured manner consistent with handling sensitive electrical equipment. Transportation of outputs ensures preservation by using appropriate securing methods e.g., loading and slinging, for which only competent, qualified staff are used (training matrix attached). This ensures protection of outputs up to the point of installation. Preservation of outputs during installation is ensured using a similar method of control, using only competent qualified staff and appropriate tools and materials.

### Practice 5

**Requirement Ref.**

**Question**

**Y/N (or N/A)**

8.5.5

Does the organization meet requirements for post-delivery activities associated with the products and services?

Yes

#### Evidence

Waste Carriers 24.01.23.pdf  
waste carrier information.pdf  
HAC2301-1-MS4-RAMS.pdf  
Environmental Permit\_000052.pdf

#### Notes

When carrying out services Infratec ensure adherence to current statutory and legislative requirements. This is implemented through the RAMS (previously attached example) for each service delivery occurrence. Potential undesired consequences of failure of services/products are considered. If such a failure occurs Infratec attend to rectify the problem  
During maintenance and repairs, waste material is produced including valuable metals. Infratec use registered metal recycling firm to dispose of this in a responsible manner.

### Practice 6

Requirement Ref.	Question	Y/N (or N/A)
8.5.6	Does the organization review and control changes for production or service provision, to the extent necessary to ensure continuing conformity with requirements?	Yes

Evidence	Notes
IMD024 Concession Change Request Form.pdf	Yes, any changes are requested using the attached form IMD024. To ensure conformity with requirements, requests are discussed and reviewed by SMT. This ensures that alignment with legislation and customer needs is maintained.

## Practice 7

Requirement Ref.	Question	Y/N (or N/A)
8.5.6	Does the organization retain documented information describing the results of the review of changes, the person(s) authorizing the change and any necessary actions arising from the review?	Yes

Evidence	Notes
	Yes, IMD024 Concession/Change request form is available to control any proposed or required changes to planned service delivery.

Review previous audits for this process. Review previous CARs issued against this process, or as a result of previous audits for this process. Add additional checklist questions here, based on the previous audits, CARs or other documents or requirements, as you see fit.

## Findings

### Practice 1

Requirement Ref.	Question	Y/N (or N/A)
		Yes

Evidence	Notes

## Verify the Effectiveness of the Process

Review the applicable procedure(s) for this process and answer the questions below.

**Are the procedure steps accurate and complete as compared to true practice?** **Evidence Upload**

☒ Yes ☐ No ☐ N/A

### Notes

Procedures appear to be complete and accurate.

**Are there sufficient check steps (inspections, tests, reviews, approvals, sign-offs, etc.) that ensure the process outputs meet requirements before passing onto the next process?** **Evidence Upload**

☒ Yes ☐ No ☐ N/A

### Notes

Customer feedback and lack of complaints attest to outputs meeting requirements.

**Does the process appear to adequately meet the requirements of ISO 45001; 14001; and 9001 and the INFRATEC documentation?** **Evidence Upload**

☒ Yes ☐ No ☐ N/A

### Notes

All criteria within the specified clause appear to be met.

**Does the process appear to adequately meet all customer or regulatory requirements?** **Evidence Upload**

☒ Yes ☐ No ☐ N/A

### Notes

Customer feedback and lack of complaints attest to outputs meeting requirements.

**Indicate any problems you uncovered with the process:**

**Provide brief details on any areas that you found were well-implemented, particularly effective or worth noting as positive traits of the process.**

RAMS provide a comprehensive method of delivering customer requirements and meeting statutory requirements.

# Summarise Findings for CAR system

Based on the findings and nonconformities you have recorded in the previous sections, summarise the necessary actions needed. For type, choose one of the following:

- **C** =Corrective action needed (existing noncompliance)
- **P** = Preventive action needed (potential noncompliance)
- **OFI** = Opportunity for Improvement

## Findings

Stand ard	Clause	What was the requirment?	What evidence was found	Rationale	Type	Minor/ Major
All						

Lead Auditor Signature

Date

26/09/2023

