

# Internal Audit Checklist Report (IMD026 Rev.1)

## Process to Audit (Audit Scope)

**Audit Number (refer to Schedule)**

025

**Audit Date**

04/10/2023

**Lead Auditor**

Lee Bullock

**Other Auditors**

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

☒ Yes ☐ No

**Which process is to be audited?**

Legal & Other Requirements

**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

## Documents applicable to the processes to be audited

Document ID	Name	Rev.
IMD002	Legal Register & Evaluation of Compliance	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**

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

Evidence Upload

☐ Yes ☒ No ☐ N/A

Notes

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

Evidence Upload

☐ Yes ☒ No ☐ N/A

Notes

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

Evidence Upload

☐ Yes ☒ No ☐ N/A

Notes

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)
<div></div>	<div>Has the organisation reviewed all legislation and regulations that are applicable to the organisation operation?</div>	<div>Yes</div>
Evidence	Notes	

The organisations has completed document IMD002 legal register & evaluation of compliance to highlight the key health & safety, and environmental acts, regulations and other requirements that either directly or indirectly relate to company activities.

The has been reviewed by SMT on June 2023

[https://infratec1uk.sharepoint.com/:x:/r/sites/INFRATEC/\\_layouts/15/Doc.aspx?sourcedoc=%7BF3CAB859-0953-471C-BEC6-1AD12F6908EE%7D&file=IMD002%20Legal%20Register%20&%20Evaluation%20of%20Compliance.xlsx&action=default&mobileredirect=true](https://infratec1uk.sharepoint.com/:x:/r/sites/INFRATEC/_layouts/15/Doc.aspx?sourcedoc=%7BF3CAB859-0953-471C-BEC6-1AD12F6908EE%7D&file=IMD002%20Legal%20Register%20&%20Evaluation%20of%20Compliance.xlsx&action=default&mobileredirect=true)

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)
<input type="text"/>	How often does the organisation review relevant legislation?	<input type="text" value="Yes"/>

#### Evidence

#### Notes

The organisation reviews at least annually as stated in IMD002

## 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

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?

☒ Yes ☐ No ☐ N/A

Evidence Upload

Notes

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

☒ Yes ☐ No ☐ N/A

Evidence Upload

Notes

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

☒ Yes ☐ No ☐ N/A

Evidence Upload

Notes

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.

## 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

**Lead Auditor Signature**

A handwritten signature in black ink, consisting of several loops and a long horizontal stroke at the end.

**Date**

04/10/2023