

Internal Audit Checklist Report (IMD026 Rev.1)

Process to Audit (Audit Scope)

Audit Date

17/08/2023

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?

Policies - Review only

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.
IMSM	Integrated management system manual	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?

☐ Yes

☒ No

☐ N/A

Evidence Upload

Notes

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

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

☐ Yes

☒ No

☐ N/A

Evidence Upload

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)
ISO 9001 - 5.2 Policy	Does senior management establish, implement and maintain a quality policy?	Yes
Evidence		Notes
		Yes IMP002 Quality Management policy statement within IMSM and hits each point within the 9001 quality management system requirements.

Practice 2		
Requirement Ref.	Question	Y/N (or N/A)
ISO 14001 - 5.2	Does senior management establish, implement and maintain an environmental policy?	Yes
Evidence		Notes

Yes IMP004 Environmental Management System Policy Statement within the IMSM and hits each point, (a, b c, d, e) within 14001 Environmental management systems.

Practice 3

Requirement Ref.

ISO 45001 - 5.2

Question

Does senior management establish, implement and maintain an OH&S policy that covers points within ISO 45001 5.2?

Y/N (or N/A)

Yes

Evidence

Notes

Yes IMP003 Health, Safety and wellbeing policy statement within the IMSM and hits each point outlined within 45001 5.2.

Practice 4

Requirement Ref.

5.2

Question

Has the company included any other policy statements?

Y/N (or N/A)

Yes

Evidence

Notes

INFRATEC has produced IMP001 Integrated Management system Policy statement outlining the four key HSEQ elements.

- Management Systems
- Resource Utilisation
- Health & Safety, Environmental and Quality Impacts
- Stakeholder Relations

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

--

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

--

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

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 requirement?	What evidence was found	Rationale	Type	Minor/ Major

Lead Auditor Signature

Date

17/08/2023

