

# Internal Audit Checklist Report (IMD026 Rev.1)

## Process to Audit (Audit Scope)

**Audit Number (refer to Schedule)**

015

**Audit Date**

20/09/2023

**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?**

Emergency preparedness

**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.
IMS	IMS Manual	1.0
IMD020	Business Continuity Plan	1.0
IMD021	Emergency Preparedness Plan	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**

Applicable to 14001 and 45001 and generally meets the requirements of both.

**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**

Potential impact on customer requirements and documentation generally meets requirements.

**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**

Required under various legislation.

**Indicate any other suggestions for improvement related to the documentation:**  
Recording system required for emergency preparedness testing.

**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)
8.1.2		Yes

Has the company established, implemented and maintained a process to prepare for and respond to potential emergency situations?

### Evidence

IMD021 Emergency Preparedness and Response Plan Draft.pdf

Certification of Inspection of Fire Alarm 260623.pdf

1810 Infratec Middlesbrough.pdf

### Notes

Infratec has produced IMD021 Emergency Preparedness and Response Plan, attached. The plan identifies and considers potential emergency situations presented by fire, medical need, and environmental situations. It includes what alarms are in place, that they are maintained and tested, designated persons, and testing of the different aspects of the plan.

Further examination of the company's arrangements for fire reveal:

Visitors to site are signed in and made aware of fire safety arrangements.

Adequate level of firefighting equipment.

Adequate escape routes and signage.

Adequate plan to evacuate people and plant from the business unit.

Inadequate fire detection system – Unit 8 fire alarm control panel appears to control alarm call points only. Fire detector heads appear to be disconnected. Unit 9 appears to have no electrical power to the control panel or fire detectors.

Fire prevention on site is adequate in terms of housekeeping, sources of ignition and fuel separation. However, the latest electrical installation condition report dated 27/06/2023 states the general condition is unsatisfactory with some elements representing a medium risk of fire. Security of the site is good supported by working practices that maintain this i.e., all vehicles and equipment garaged in a secure building out of office hours.

## Practice 2

Requirement Ref.

8.1.2

Question

Has the company established, implemented and maintained a process to manage longer term effects of a potential emergency situations?

Y/N (or N/A)

Yes

**Evidence**

IMD020 Business Continuity Plan.pdf

**Notes**

The company has established IMD020 Business Continuity Plan, that explains how Infratec will control the emergency situation, mitigate its impact and initiate a recovery plan. This plan incorporates the following aspects of the business; information and technology, accounts & payroll, site works, engineering, commercial, and shop floor operations.

**Practice 3****Requirement Ref.**

8.1.2

**Question**

Does the company provide training to allow an effective emergency response?

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

Yes

**Evidence**

1 - Employee Training Matrix.pdf

**Notes**

Infratec has designated first aiders and appropriate first aid kits on site. The numbers are such that a qualified first aider will be always on site. The company also has designated fire wardens to ensure response to fire is managed appropriately. All staff undergo annual environmental awareness training and additional, suitably qualified staff, carry out risk assessments, including COSHH, to prevent environmental issues. Spill kits are on site again with suitably trained staff available to manage the situation. Training is maintained to ensure its currency and validity (training matrix attached).

**Practice 4****Requirement Ref.**

8.1.2

**Question**

Does the company communicate relevant information to interested parties?

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

Yes

**Evidence****Notes**

All employees have designated roles and responsibilities which are detailed in the respective plans. Relevant information is communicated during training events, site notice boards and intranet. Processes are in place to communicate relevant information to contractors, visitors, emergency response workers by email, face to face briefings and signing in book. Designated first aid points communicate the names of site first aiders and their location.

## Practice 5

Requirement Ref.	Question	Y/N (or N/A)
8.1.2	Does the company test and evaluate their planned response capability?	Yes

### Evidence

### Notes

A physical test of the fire alarm installation has been carried out and is assessed by the competent person as inadequate, as stated above. There is no obvious evidence of testing of the emergency preparedness and response plan such as fire drills or site evacuation testing. First aid capability is tested during FAW refresher training.

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?**

☒ Yes ☐ No ☐ N/A

**Evidence Upload**

### Notes

Generally all processes are accurate and complete

**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

There is no obvious evidence of testing emergency preparedness response.

**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

In general requirements are met for the two standards applicable.

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

☐ Yes ☒ No ☐ N/A

**Evidence Upload**

1810 Infratec Middlesbrough.pdf

### Notes

Preparedness for the possibility of business disruption by fire seems inadequate in some regards specified in the fire risk assessment

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

No evidence of fire drills or fire alarm tests.

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

Training of staff is well monitored and comprehensive.

## 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
4500 1:201 5	8.2	Periodically testing and exercising the planned response capability.	Electrical test of installation that requires attention.	No evidence of fire alarm tests, fire drills. Fire detection system is inadequate and does not cover the business units. This puts the business at risk when no staff are on site.	C	Minor

**Lead Auditor Signature**

**Date**

20/09/2023

