

Internal Audit Checklist Report (IMD026 Rev.1)

Process to Audit (Audit Scope)

Audit Number (refer to Schedule)

021

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?

Performance evaluation - monitoring, measurement, analysis and evaluation

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	1.0
IMD002	Legal register and evaluation of compliance	1.0
IMD036	Continuous improvement log	1.0
IMD042	Complaints procedure	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

Evidence Upload

requirements of ISO 45001; 14001; and 9001?

☒ Yes ☐ No

Notes

Yes, documentation is applicable to all standards.

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

This process is crucial to the continuous improvement of service provision.

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

Yes, requirements as stated in ISO 9001:2015

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

☒ Yes ☐ No ☐ N/A

Notes

Yes, to ensure compliance with statutory and regulatory requirements.

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)

9.1.1	Has the company established, implemented, and maintained a process for monitoring, measuring, analysis and performance evaluation?	Yes
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Evidence

Screenshot 2023-09-26 at 11.06.28.png
Screenshot 2023-09-26 at 11.07.15.png
RIDDOR Stats.pdf
Screenshot 2023-09-26 at 11.07.51.png
MR14 - 290823 - MR Meeting Minutes.pdf

Notes

Infratec monitors and measures a variety of factors that have potential to impact performance. Environmental conditions are monitored for atmospheric hazards and physical hazards using measuring devices and simple observation. Work related accidents, injuries and ill-health are monitored by the Operations Director (RIDDOR attached). Analysis and evaluation takes place and feedback given to all interested parties using meetings (attached), bulletins and toolbox talks. Incidents and near-misses are monitored, analysed and evaluated using cognito forms (screen shots attached). A complaints procedure has been implemented IMD042 attached. Complaints are monitored by the compliance manager and acted upon promptly. Work practices are constantly monitored by all employees and any opportunities for improvement recorded, analysed and evaluated using the same processes. Control measures are constantly monitored, evaluated and if necessary, changed. Employee competence is monitored, analysed and evaluated, with any pending requirements addressed in a timely manner.

Practice 2

Requirement Ref.	Question	Y/N (or N/A)
9.1.1	Does the organization evaluate the performance and the effectiveness of the quality management system?	Yes

Evidence

MR14 - 290823 - MR Meeting Minutes.pdf

Notes

The evaluation of incidents, observations and trend analysis that affects the effectiveness of the QMS results in positive change. This may be at the time or following a management review meeting (MR14 example attached). The company's evaluation processes ensure compliance with legislation, relevant standards (NHSS8), insurance requirements and company policies and procedures.

Practice 3

Requirement Ref.

9.1.2

Question

Has the company determined methods for obtaining, monitoring, and reviewing customer perceptions of their needs and expectations have been fulfilled?

Y/N (or N/A)

Yes

Evidence

IMD042 Complaints Procedure.pdf

Notes

Infratec have implemented a complaints procedure which is monitored as part of their customer satisfaction process. Positive customer feedback is generally received by email or verbally during post-project meetings with clients.

Practice 4

Requirement Ref.

9.1.3

Question

Does the organisation analyse and evaluate information arising from monitoring and measurement?

Y/N (or N/A)

Yes

Evidence

IMD036 Continuous Improvement Log.pdf

MR13 - 191222 - MR Meeting Minutes.pdf

Notes

In addition to the above analysis and evaluation, relevant data is analysed during management reviews, example attached. Evaluation is used to identify where continual improvements can be made to effectiveness of the IMS. Points identified will be added to IMD036 Continuous Improvement Log.

Practice 5

Requirement Ref.

9.1.4

Question

Does the company review, control and maintain compliance where applicable?

Y/N (or N/A)

Yes

Evidence

Notes

IMD002 Legal Register & Evaluation of Compliance.pdf

Infratec SMT has determined the level and areas of compliance. The company use both internal and external methods of evaluation. Internal audits are carried out periodically and records kept on the company shared drive. Any identified non-compliance is flagged using a cognito form with auto email to the compliance manager, after which corrective action is initiated.

Infratec also uses an external consultant to update or amend the legal register. (IMD002 attached) At this time an SMT evaluation takes place with resulting corrective action if required.

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.

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 for each standard.

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 their requirements. All regulatory requirements appear to be met.

Indicate any problems you uncovered with the process:

Although it is received informally, there appears to be little formal evidence of acknowledging positive feedback from customers.

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

Regular and comprehensive management reviews continually focus on delivering the best customer service.

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
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All	9.1.2	Has the company determined methods for obtaining, monitoring, and reviewing customer perceptions of their needs and expectations have been fulfilled?	Discussion with staff shows good performance is received verbally and by email following service delivery.	Customer feedback, whether good or bad offers an opportunity for improvement. Positive feedback shows customer requirements are being met and contributes to staff motivation. A way of recording, analysing and distributing good customer feedback would allow this to be done formally.	OFI	Minor
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Lead Auditor Signature

Date

26/09/2023

