

Internal Audit Checklist Report (IMD026 Rev.1)

Process to Audit (Audit Scope)

Audit Number (refer to Schedule)

014

Audit Date

19/09/2023

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?

Operational Planning and Control

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 Manual	Integrated Management System Manual	1.0
NHSS8	National High Way Secret Schemes for Quality Management in Highways Works	1.0
IMD004	HESQ Objectives & Targets Program	1.0
IMD022	Change of Plant, Process or Substance Checklist	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)
9001, 14001, 45001 - 8.1	Does the organisation plan, implement and control the processes needed to meet the requirements for the provision of products and services and implements the actions determined	Yes
Evidence	Notes	

	<p>The organisations has implemented integrated management documents (IMD) and where required drawn up specific procedures to achieve its objectives.</p> <p>IMD documents can be found on the organisations Sharepoint and are listed 000 - 039</p> <p>The IMD is used as guidance to achieve objectives for OH&S, Environment and Quality management systems and are used in conjunction with controlled integrated management documents (IMD)</p>
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Practice 2

Requirement Ref.	Question	Y/N (or N/A)
9001, 14001, 45001 - 8.1	Does the organisation control planned changes and reviews the consequences of unintended changes taking action to mitigate any adverse effects as necessary.	Yes

Evidence

Notes

Stated in IMS manual, The organisations has implemented controls and maintains processes, and where applicable will utilise engineering control and the hierarchy of controls to manage risk. Elimination, substitution and administrative where necessary.

Practice 3

Requirement Ref.	Question	Y/N (or N/A)
nhss8 - 8.1	Does the quality plan address the topics listed in Appendix A of NHSS8	Yes

Evidence

Notes

The IMS Manual outlines the items listed within Appendix A of NHSS8.

Practice 4

Requirement Ref.	Question	Y/N (or N/A)
45001 - 8.1.2		Yes

Does the organisation establish, implement and maintain a process for the elimination of hazards and reduction of OH&S risks using the hierarchy of contours within 45001 standard

Evidence

Notes

The organisations has implemented controls and maintains processes and where applicable will utilise engineering controls and the hierarchy of controls to meet environmental standards.

The company considered the extent of control or influence it can apply to its processes that impact upon the environment. The organisations communicate all relevant environment requirements to external providers, including contractors.

Practice 5

Requirement Ref.

45001 - 8.1.3

Question

Does the organisation establish a process for the implementation and control of planned temporary and permanence changes that impact OH&S performances.

Y/N (or N/A)

Yes

Evidence

Notes

	<p>Within IMS Manual the organisations has established processes for implementation and control of planned temporary and permanent changes that impact HSEQ performances including,</p> <p>New products, services and process, or changes to existing products, services and processes including:</p> <p>Workplace locations and surroundings</p> <p>Work organisations</p> <p>Working conditions</p> <p>Equipment</p> <p>Workforce</p> <p>Changes to legal requirements and other requirements</p> <p>Changes in knowledge or information about hazards an HSEQ risks.</p> <p>Development in knowledge and technology.</p> <p>The company uses IMD 022 Change of plant, process or substance checklist prior to intended changes.</p>
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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"/>	<input type="text"/>	<input type="text" value="Yes"/>
Evidence	Notes	
	<input type="text"/>	

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

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

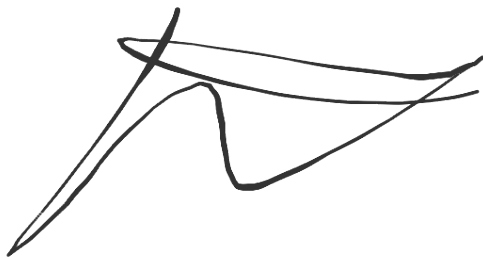
Based on the findings and nonconformities you have recorded in the previous sections, summarise the necessary actions needed. For type, choose one of the following:

- **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 fluid, overlapping strokes. It starts with a sharp diagonal stroke from the bottom left, moves upwards and to the right, then forms a loop and continues with more horizontal and slightly curved strokes towards the right.

Date

19/09/2023