

IA001

INFRATEC

Internal Audit Checklist Report (IMD026 Rev.1)

Process to Audit (Audit Scope)

Audit Date

14/08/2023

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?

Context of the Organisation

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

Versio n	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
IMD 001	Interested parties and analysis	1.0
IMD 002	Legal register & Evaluation of Compliance	1.0
BS EN ISO 9001:2015	Quality Management System Requirements	2015
BS EN ISO 14001:2015	Environmental Management Systems	2015
BS ISO 45001:2018	Occupational health & safety management systems	2018

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 - 4.1	Has the company identified its purpose, interested parties and strategic direction including external and internal issues	Yes
Evidence	Notes	
	The company has produced document IMD001 Interested Parties and Analysis. Within this document it has interested parties such as, "Swarco" identified. Within the same document IMD001 interested parties and analysis external and internal issues are identified and monitored.	

Practice 2		
Requirement Ref.	Question	Y/N (or N/A)
		Yes

9001 & 14001 -
4.2

Does the company understand the needs and expectations of interested parties against standard ISO 9001 & 14001

Evidence

Notes

All interested parties for the management system are identified in IMD001 interested parties and analysis.

The requirement for these parties is listed within the same document.

Practice 3

Requirement Ref.

9001 & 14001
& 45001 - 4.3

Question

Has the company determined the scope of its quality management system

Y/N (or N/A)

Yes

Evidence

Notes

The scope of the company has been identified within the Integrated management System Manual.

Within the scope the company has considered;

- external and internal issues
- interested parties
- Design, manufacture & supply variable message signs, services, installation and maintenance.

The Scope within IMS Manual considers all quality processes

Practice 4

Requirement Ref.

9001 & 14001
& 45001 - 4.4

Question

Has the company established, implemented, maintained and continually improved its Internal Management System

Y/N (or N/A)

Yes

Evidence

Notes

The company has established and identified the process needed for the IMS within the General process Model found in the IMS Manual, (ref figure 2)

The company states within IMS Manual that it will maintain the IMS & Scope ref version control.

continuous improvement via risk register IMD001 Interested Parties & Analysis

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

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

IMS Manual appears to be aligned with 9001, 14001 & 45001 quality processes.
IMD001 Interested parties and Analysis appears to be adhered too.

Indicate any problems you uncovered with the process:

N/A

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

IMS Manual is aligned well with 9001, 14001 and 45001 ISO standards.

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

14/08/2023

