

Internal Audit Checklist Report (IMD026 Rev.1)

Process to Audit (Audit Scope)

Audit Number (refer to Schedule)

005

Audit Date

11/09/2023

Lead Auditor

Lee Bullock

Other Auditors

Ian Brown

Is the site to audit the one listed in the IMS Manual?

☒ Yes ☐ No

Which process is to be audited?

Planning

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
IMD009	Management Review Meeting Minutes	1.0
IMD003	Environment Aspect Register	1.0
IMD0018	Order inception Review	1.0
IMD006	COSHH Assessment	1.0
IMD007	Manual Handling Assessment	1.0

IMD010	Risk Assessment	1.0
IMD002	Legal Register & evaluation of compliance	1.0
IMD020	Business continuity plan	1.0
IMD021	Emergency preparedness and response 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?

Evidence Upload

☒ Yes ☐ No

Notes

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

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.

☐ 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 - 6.1.1	Does the organisation consider issues 4.1 and 4.2 when planning the quality management system	Yes
Evidence	Notes	

4.1 and 4.2 have been considered within 6.1.1 of the organisations IMS manual. The IMS manual outlines and ensures the IMS manual can achieve its intended results.

IMS objectives and targets are captured within management review meetings IMD009.
The organisation uses the management review meeting to define improvements as part of the companies continuous improvement (CI).

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)
14001 - 6.1.1	Does the organisation establish implement and maintain processes to meet requirement 6.1.1 and 6.1.4	Yes

Evidence

Notes

The organisations SMT uses the IMS manual and processes to ensure that all environmental objectives are achievable, measurable and consistent with companies policies.

4.1 and 4.2 have been considered within 6.1.1 general of the organisations IMS manual.

Practice 2

Requirement Ref.	Question	Y/N (or N/A)
45001 - 6.1.1	Does the organisation consider OH&S management system issues referred to in 4.1 (contact) the requirements referred to in 4.2 (interested parties) and 4.3 (the scope of OH&S) and determination the risks and opportunities that need to be addressed	Yes

Evidence

Notes

4.1 and 4.2 considerations are mentioned within the organisations IMS manual within 6.1.1 General.

The organisation plans its processes based on risk assessment, internal audits and reviews to outline any unforeseen risk or consequences to the environment.

Practice 3

Requirement Ref.

SCHEME 8 - 6.1.1

Question

Does the organisation take into account the risks and opportunities relating to NHSS

Y/N (or N/A)

Yes

Evidence

Notes

The organisations considers NHSS within IMS manual 6.1.1 General. New contracts or projects are evaluated using IMS018 Order Inception Review Form to ascertain any associated risks and opportunities.

Practice 4

Requirement Ref.

9001 - 6.1.2

Question

Does the organisation action risks and opportunities

Y/N (or N/A)

Yes

Evidence

Notes

The organisation has outlined its risk assessment process within the IMS manual figure 5. It has implemented and maintains additional process to assess all HSEQ risks and other risks of its overall strategy for addressing hazards or activities.

The organisation carries out the following as part of risk action,
Toolbox talks,
Health & Safety Inspections,
Communication of new legal requirements,
Identification and assessment of health-related hazards (IMD006 COSHH Assessment), (IMD008 DSE Self-Assessment) & (IMD007 Manual Handling Assessment)

Practice 5

Requirement Ref.

14001 - 6.1.2

Question

Does the organisation determine aspects that have or can have significant environmental impacts

Y/N (or N/A)

Yes

Evidence

Notes

The organisation has outlined aspects that have or can have significant environmental impact within Document IMD003 Environment Aspect Register and the IMS Manual.

Question directly asked to the Compliance Manager, (Lee Payne) to highlight the meaning of impact within the document and this was cleared as impact on business.

Practice 6

Requirement Ref.

45001 - 6.1.2

Question

Does the organisation implement and maintain processes for hazard identification that is ongoing and proactive

Y/N (or N/A)

Yes

Evidence

Notes

The organisation highlights the processes for hazard identification within the IMS Manual and ref below,

Daily Consultation of Workers

Toolbox Talks - CAR to be raised for ToolBox talks within IMD. States toolbox talks are carried out within the IMS manual.

Health and safety inspections

Monitoring and communication of new legal requirements

Identification and assessment health-related hazards

Incident Investigations

Practice 7

Requirement Ref.

45001 - 6.1.3

Question

Does the organisation determine legal and other requirements

Y/N (or N/A)

Yes

Evidence	Notes
	<p>The organisation has stated applicable legal requirements and compliance obligations within the IMS manual.</p> <p>The IMS addresses risks, opportunities, compliance obligations and emergency preparedness and response measures using (IMD002 legal register & emulation of compliance), IMD010 Risk assessment), IMD020 Business Continuity plan), (IMD021 emergency preparedness and response plan).</p>

Practice 8

Requirement Ref.	Question	Y/N (or N/A)
<input type="text"/>	<input type="text"/>	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? **Evidence Upload**

☒ Yes ☐ No ☐ N/A

Notes

Procedure steps are evident within the IMS Manual

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

All evidence reviews suggested the organisation is ensuring compliance with 9001, 14001 and 45001

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

Evidence Upload

☒ Yes ☐ No ☐ N/A

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

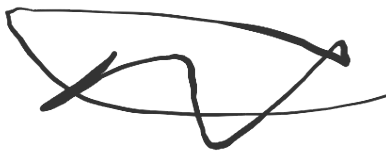
Based on the findings and nonconformities you have recorded in the previous sections, summarise the necessary actions needed. For type, choose one of the following:

- **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
4500 1:201 5	6.1.2	Does the organisation implement processes for hazard identification that is ongoing and proactive	insufficient evidence of Toolbox talks	Toolbox talk data to be added to IMD	C	Minor

Lead Auditor Signature



Date

11/09/2023