

# Internal Audit Checklist Report (IMD026 Rev.1)

## Process to Audit (Audit Scope)

**Audit Number (refer to Schedule)**

024

**Audit Date**

27/09/2023

**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?**

Internal audit

**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 manual	1.0
IMD025	HSEQ Internal Audit Schedule	1.0
IMD026	Internal Audit Report	1.0
IMD030	HSEQ Meeting Form	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**

Requirements appear to be met for all standards and NHSS8.

**Are there any customer requirements that may be applicable to this process. In general, does the INFRATEC documentation meet these requirements?**

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☒ Yes ☐ No ☐ N/A

**Notes**

Customer requirements are indirectly affected by this clause and Infratec documentation appears to meet requirements.

**Are there any NHSS8 requirements that may be applicable to this process. In general, does the INFRATEC documentation meet these requirements?**

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☒ Yes ☐ No ☐ N/A

**Notes**

All requirements comply with NHSS8 standard.

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

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☒ Yes ☐ No ☐ N/A

**Notes**

All met.

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

<b>Ref.</b> 9.2.1	Does the organization conduct internal audits at planned intervals to provide information on whether the quality management system conforms to: • the organization's own requirements for its quality management system • the requirements of ISO 9001, 14001, 45001? • is effectively implemented and maintained?	Yes
<b>Evidence</b> IMD025 HSEQ Internal Audit Schedule.pdf	<b>Notes</b> Infratec has appointed an audit team to carry out an initial internal audit across all three ISO standards and NHSS8. The primary purpose of this initial audit is to ensure compliance with all standards by identifying and addressing any non-conformance. A secondary aim is to seek opportunities to improve performance in all areas of the business. Infratec has implemented the audit process and established a mechanism for maintaining it as shown by IMD025 HSEQ Internal Audit Schedule (attached).	

## Practice 2

Requirement Ref.	Question	Y/N (or N/A)
9.2.2	Does the organisation plan, establish, implement and maintain an audit programme(s) including the frequency, methods, responsibilities, planning requirements and reporting, which take into consideration the importance of the processes concerned, customer feedback, changes affecting the organisation, and the results of previous audits?	Yes
<b>Evidence</b> IMD025 HSEQ Internal Audit Schedule.pdf	<b>Notes</b>	

The organisation has an appointed compliance manager who is responsible for the planning, establishment, implementation and maintenance of an audit programme. This has been done as shown on IMD025 (attached). This shows the frequency and responsibilities, whereas the methods, planning and reporting are the responsibility of each auditor. The audit considers the processes concerned by avoiding impacting on output as far as possible. Customer feedback and changes affecting the organisation are considered when auditing the appropriate clause. This is the initial audit, so no previous audit results are available.

### Practice 3

**Requirement Ref.**

9.2.2

**Question**

Does the company define the audit criteria and scope for each audit?

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

Yes

**Evidence**

IMD025 HSEQ Internal Audit Schedule.pdf

**Notes**

Each auditor is allocated criterion and a remit to examine, again identified on IMD025. This audit requires specific criteria as defined in the relevant ISO standard, which auditors refer to.

### Practice 4

**Requirement Ref.**

9.2.2

**Question**

Does the company select auditors and conduct audits to ensure objectivity and the impartiality of the audit process?

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

Yes

**Evidence**

**Notes**

The audit team are unconnected directly with the areas under scrutiny. Each has undergone training as an internal auditor and are aware of the need for impartiality and objectivity during the process.

### Practice 5

**Requirement Ref.**

9.2.2

**Question**

Does the company ensure that the results of the audits are reported to relevant management?

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

Yes

**Evidence**

**Notes**

IMD026 Internal Audit Report screenshot.png

Audit results are uploaded onto IMD026 Internal Audit Report. Once complete, this generates an automatic email to management for the necessary action.

## Practice 6

**Requirement Ref.**

9.2.2

**Question**

Does the company take appropriate improvement and corrective actions without undue delay?

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

Yes

**Evidence**

2. Corrective Action Request Form (CAR) pt 2 (IMD031 Rev.1) - 14.pdf

1. Corrective Action Request Form (CAR) Pt1 (IMD031 Rev.1) - 14.pdf

IMD030 HSEQ Meeting Form.docx

**Notes**

A CAR (corrective action report) generated email is actioned as soon as practically possible. An example is attached whereby an opportunity for improvement (OFI) regarding customer feedback was submitted following an audit. The relevant manager addressed the OFI and the CAR was returned to the auditor explaining the outcome, along with the relevant updated form.

## Practice 7

**Requirement Ref.**

9.2.2

**Question**

Does the company retain documented information as evidence of the implementation of the audit programme and the audit results?

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

Yes

**Evidence**

1. Corrective Action Request Form (CAR) Pt1 (IMD031 Rev.1) - 14.pdf

2. Corrective Action Request Form (CAR) pt 2 (IMD031 Rev.1) - 14.pdf

IMD025 HSEQ Internal Audit Schedule.pdf

IMD026 Internal Audit Report screenshot.png

**Notes**

All relevant documentation is retained and held electronically which includes IMD025, IMD026, CAR's. Examples of each are attached.

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?**

☒ Yes ☐ No ☐ N/A

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### 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?**

☒ Yes ☐ No ☐ N/A

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### Notes

The internal audit process meets organisational requirements in terms of frequency and sign-offs.

**Does the process appear to adequately meet the requirements of ISO 45001; 14001; and 9001 and the INFRATEC documentation?**

☒ Yes ☐ No ☐ N/A

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### Notes

All criteria within the specified clause appear to be met.

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

☒ Yes ☐ No ☐ N/A

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### Notes

All regulatory requirements are met (eg. NHSS8), customer requirements will be met indirectly through self-examination and subsequent improved service provision.

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

Nil

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

Employee engagement with auditors indicates a positive organisational culture.

## 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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**Lead Auditor Signature**

**Date**

27/09/2023

A handwritten signature in black ink, appearing to read 'T. Brown', is written over the 'Lead Auditor Signature' label.