

# Internal Audit Checklist Report (IMD026 Rev.1)

## Process to Audit (Audit Scope)

**Audit Number (refer to Schedule)**

IA009

**Audit Date**

13/09/2023

**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?**

Support Resources

**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	IMS Manual	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**

Yes, the clause applies to all standards and all points within the clause are addressed.

**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**

Yes, all aspects of support involving resources has potential to impact customer requirements.

**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**

All points meet NHSS8 requirements where applicable.

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

☒ Yes ☐ No ☐ N/A

**Notes**

All statutory and legislative requirements appear to be met.

**Indicate any other suggestions for improvement related to the documentation:**

Clause 7.1.4 a dedicated and less formal staff suggestion scheme is proposed to improve performance.

## 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.**

7.1 & 7.1.1

**Question**

Does Infratec determine and provide the resources needed for the establishment, implementation, maintenance, and continual improvement of the QMS, OH&S MS and Environmental MS?

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

Yes

**Evidence**

**Notes**

	<p>Yes, Infratec have compiled a statement of intent detailing their commitment to providing resources. The company specifies resources to include; people, specialized skills and knowledge, infrastructure (buildings, plant, vehicles, equipment, utilities, information technology, communication systems and emergency containment systems), working environment, technological and financial resources. Roles, responsibilities, and authorities have been allocated and communicated to facilitate provision of such resources that are required.</p>
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## Practice 2

Requirement Ref.	Question	Y/N (or N/A)
7.1.2	Does Infratec invest in human resources to fulfil its business, regulatory and statutory obligations, and the effective implementation of the IMS?	Yes

Evidence	Notes
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Yes, the company currently has sufficient staff members to operate effectively. Infratec places a high importance on staff competence and has completed a training needs analysis. From this a training matrix has been produced (attached as evidence). A management team member, Dan McCann, has the responsibility of monitoring the matrix to identify shortfalls and approaching renewal dates so training needs can be planned for.

1 - Employee Training Matrix.xlsx

The company has recently adopted an electronic recording and monitoring system called 'SkillStation'. The same manager is responsible, however the system provides email reminders and a greater level of information to manage staff competence more effectively. This ensures compliance with legislation, the triple ISO standard, NHSS8 and customer requirements. Assessment of competence is carried out by an Infratec authorised officer against statutory standards. Once deemed competent employees are registered with appropriate body e.g. HERS, CSCS. Refresher training and maintenance of CPD is managed by SkillStation thus ensuring continuous CPD.

### Practice 3

**Requirement Ref.**

7.1.3

**Question**

Does the company determine, provide and maintain the infrastructure necessary for the operation of its processes and to achieve conformity of products and services?

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

Yes

**Evidence**

MR14 - 290823 - MR Meeting Minutes.docx

**Notes**

	<p>Yes, the company monitoring systems encompass building, plant, equipment and fleet. Determination and provision of infrastructure requirements is the responsibility of the MD and SMT. This can be on an ad hoc basis or during planned management review meetings example attached as evidence MR14 - 290823 - MR Meeting Minutes.docx .</p> <p>Planned preventative maintenance of plant and equipment is scheduled and recorded on 'Airtable Asset' and preventative maintenance register.</p> <p>PPM of vehicles is scheduled and recorded on 'Fleetio', PPM of ancilliary equipment required under LOLER is managed on the BW lifting portal who send an automated email one month before expiry.</p>
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### Practice 4

Requirement Ref.	Question	Y/N (or N/A)
7.1.4	Does the organisation determine, provide and maintain the environment necessary for the operation of its processes and to achieve conformity of products and services?	Yes
<b>Evidence</b> LEV Test Report July 2023.pdf Aircon Maintenance 051222.pdf		<b>Notes</b>

Infratec SMT has considered human and physical factors that impact the work environment and how they can affect the work environment. The audit has considered these factors as denoted in ISO9001:2015:

- a) Social – observation and discussion with staff suggests a non-discriminatory, calm, non-judgemental working environment. Staff are empowered to propose ideas and can currently do this via the CAR system. A suggestion for improvement is a simpler, more informal 'staff suggestion scheme'.
- b) Psychological – staff burnout and stress reduction is managed well. The company have produced a policy statement for staff mental health and wellbeing. Time off is managed using a leave tracker and social activities are regularly proposed and well attended. Staff are required to spend time away from home which again is well managed by staff rotation and time management. There is a recreation area in a safe area of the building that staff are free to use as necessary.
- c) Physical – observation shows the working environment is in good condition, clean and tidy. There is adequate welfare provision in terms of hygiene and kitchen facilities. No excessive noise is created normally, however ear protection is available if required. Heat, humidity, airflow and pollution are managed using mechanical systems which are maintained as evidenced Aircon Maintenance 051222.pdf and LEV Test Report July 2023.pdf . Lighting is adequate and provided by both electrical and natural means. Safe systems of work are used which are formally recorded in RA/MS and incorporate the risk control hierarchy. Adequate PPE is also seen to be provided.

## Practice 5

**Requirement Ref.**

7.1.5 & 7.1.5.1

**Question**

Does the company determine and provide necessary monitoring and measurement resources to ensure valid and reliable results?

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

Yes

**Evidence****Notes**

Yes, the company has determined what resources are required based on its processes, products and services, or, in order to comply with specifications or requirements. Discussion with the company compliance manager, Lee Payne, shows all devices are accounted for on Airtable Asset Management system, which provides information including planned maintenance and calibration due dates. No evidence can be attached due to access restrictions however, the system has been seen and three calibrated devices noted.

**Practice 6****Requirement Ref.**

7.1.5.2

**Question**

Where measurement traceability is considered a requirement, does Infratec comply with ISO and NHSS8 standards?

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

Yes

**Evidence****Notes**

Yes, Infratec determines such devices and employs third party providers (Britannia Testing) to deliver calibration services. Calibration is monitored on Airtable Asset with automated emails sent when necessary. Any measurement devices not requiring calibration are labelled as such and as 'indicator only'. Devices are stored appropriately so as not to compromise reliability and accuracy.

**Practice 7****Requirement Ref.**

7.1.6

**Question**

Does Infratec determine the knowledge necessary for the operation of its processes and to achieve conformity of products and services?

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

Yes

**Evidence****Notes**

Yes, the company has an experienced workforce all of whom have a substantial skill base. The company employs subcontractors who again introduce and broaden the company's organisational knowledge. The SMT comprises staff with many years of experience in this and similar industries who are willing to share their knowledge. All employees have access to organisational documents and soon several will be attending an industry conference.

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

All steps correspond to the standards and are accurate and complete.

**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

All observed data appeared to be sufficient and met 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 requirements met including NHSS8.

**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:

A clearer method for staff to make suggestions for improvement would;d be beneficial.

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

Electronic monitoring of infrastructure, fleet and staff training provides a significant. improvement.

## 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
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All	7.1.4	Environment for the operation of processes.	The current method of suggesting improvements/changes is the CAR system. This is not an obvious method for staff suggestions and could be simpler.	A dedicated, simple method for capturing staff suggestions would encourage greater uptake. This could take the form of a post card type system in a communal area that requires minimal effort to complete.	OFI	Minor
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**Lead Auditor Signature**

**Date**

13/09/2023

