INFRATEC

Internal Audit Checklist Report (IMD026 Rev.1)

Process to Audit (Audit Scope)

Audit Number (refer to Schedule)
029

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?
Non-conformity and Corrective Actions

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

Documents applicable to the processes to be audited

Document ID	Name	Rev.
IMS	Integrated management system manual	1.0
IMD026	Internal audit report	1.0
IMD042	Complaints procedure	1.0
CAR	Corrective action report form	1.0
MR14	Management review No. 14	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

Requirements of all standards appear to be met.

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

Customer requirements are potentially impacted by this clause and Infratec documentation appears to meet these.

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 requirements comply with NHSS8 standard.

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

⊙ 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 Ref.	Question	Y/N (or N/A)
10.2.1	When a nonconformity occurs, including those arising from complaints, does the organization: • react to the nonconformity? • take action to control and correct it? • deal with the consequences?	Yes

Evidence

Corrective Action Request Form (CAR) pt 2 (IMD031 Rev.1) - 11.pdf

IMD042 Complaints Procedure.pdf

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

IMD026 Internal Audit Report screenshot.png

MR14 - 290823 - MR Meeting Minutes.pdf

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

Notes

Infratec has taken measures to address non-conformities in a number of contexts. During service provision any deviation from risk assessments and method statements is dealt with promptly. For example, an accident occurred where an employee fell from height during a sign repair. A thorough investigation was initiated asap resulting in an immediate reminder to all staff of preventative measures, TBT and amendment of risk assessments and method statements. The consequences resulted in a minor change to working practices making a safer working environment. Accidents and incidents, although infrequent, are dealt with promptly to control and correct the situation. At the time of the audit, no complaints had been received, however, Infratec has in place a process to deal with complaints effectively and promptly via IMD042. Non-conformities have been identified through internal audits. The process, CAR, ensures management are automatically informed and able to react promptly by taking action to control and correct the situation. Implications of any changes arising from a non-conformity are discussed during a management review, MR14, and planned for accordingly. Non-conformity within the industry is disseminated through bulletins and then shared within the organisation through TBT which individuals acknowledge by signature.

Practice 2

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

Does the organisation evaluate the need for action to eliminate the cause(s) of the nonconformity, in order that it does not recur or occur elsewhere, by: • reviewing and analysing the nonconformity? • determining the causes of the nonconformity? •determining if similar nonconformities exist, or could potentially occur? • Implement any action needed? • review the effectiveness of any corrective action taken? • update risks and opportunities determined during planning, if necessary? • make changes to the quality management system, if necessary?

Evidence

Vehicle Incursions.pdf

HSW09 - Toolbox Talk - VI.pdf

MR14 - 290823 - MR Meeting Minutes.pdf

3. Corrective Action Request Form (CAR) (IMD031 Rev.1) - 11.pdf

4. Corrective Action Request Form (CAR) pt 2 (IMD031 Rev.1) - 11 copy.pdf

Notes

An example being a non-conformity highlighted during an internal audit whereby the tool box talk system was unsatisfactory. The NC was flagged to management who reviewed and analysed the causes and consequences, those being an oversight and legislative non-compliance respectively. The issue was addressed immediately by acknowledging there are fewer than expected. The IMS was amended to include a TBT folder to improve monitoring and evaluation of the system. The company does hold frequent management reviews that include pre-emptive consideration of non-conformity including those related to finance, staffing, output, equipment, plant and infrastructure.

Practice 3

Requirement Ref.	Question	Y/N (or N/A)
10.2.1	Are the corrective actions appropriate to the effects of the nonconformities encountered?	Yes

Evidence

Notes

All corrective actions examined are proportionate to the non-conformity identified.

Practice 4

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

Does the organization retain documented information as evidence of: • the nature of the nonconformities and any subsequent actions taken? • the results of any corrective action?

Evidence

Notes

All non-conformity documentation is retained with consideration to GDPR. Those identified during audits are submitted electronically via the CAR system. The audit form, CAR and corrective action response is retained on the company intranet. Other non-conformities e.g. accidents, near misses, are held by the operations director. Subsequent documentation including results of corrective action e.g. investigations, risk assessments, method statements, TBT etc. are held electronically on the intranet with examples submitted previously.

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 examples examined indicate procedures are 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? **Evidence Upload**

⦿ Yes ○ No ○ N/A

Notes

All non-conformities and corrective action requests appear to have been addressed, indicating there are sufficient checks in the process.

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 criteria within the specified clause appear to be met.

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

Evidence Upload

⊙ Yes ○ No ○ N/A

Notes

Customer feedback and lack of complaints attest to outputs meeting customer requirements. No incidences of regulatory non-compliance are identified.

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.

The corrective action process, whether electronic or operational, is effective with regard to reacting promptly and effectively to instances of non-conformity.

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

Standard	Clause	What was the requirment?	What evidence was found	Rationale	Type	Minor/ Major

Lead Auditor Signature

Date

27/09/2023