

IA002

INFRATEC

# Internal Audit Checklist Report (IMD026 Rev.1)

## Process to Audit (Audit Scope)

**Audit Date**

21/08/2023

**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?**

Leadership

**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.
IMD001	Interested Parties and Analysis	1.0
IMD 002	Legal Register and evaluation of compliance	1.0
IMD005 to IMD008	PUWER, COSHH, Man. Handling, DSE assessments	1.0
IMD009	Management Review Meeting Minutes	1.0
IMD036	Continual Improvement Matrix	1.0
IMP001 to IMP004	IMS, QM, HS&W, Environmental Management Policies	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**

**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)
5.1.1	Does the SMT demonstrate leadership and commitment with respect to the QMS?	Yes
Evidence	Notes	

Infratec SMT have produced a quality management policy for each standard. These policies demonstrate accountability for the effectiveness of the QMS and are in line with the company's strategic direction. Infratec promotes risk-based thinking throughout its process approach to their management system. This is demonstrated by a suite of documents related to specific risk areas e.g., PUWER, COSHH, (IMD004 – 008) etc. and a risk register (IMD001). Communicating the importance of the QMS has been achieved by introductory sessions involving all staff. In addition, regular management reviews (IMD009) take place alongside quarterly briefings and all staff have access to all policies. An organisational structure has been produced which clearly illustrates management lines of responsibility. The effectiveness of the QMS is facilitated by empowering line managers and by the MD being responsible for ensuring managers have all necessary resources to fulfil their role. Continual improvement is promoted by regular staff development opportunities and the introduction of a continual improvement log (IMD036). This is supported by a corrective action request process to identify and resolve any organisational issues.

## Practice 2

Requirement Ref.	Question	Y/N (or N/A)
5.1.2	Does SMT demonstrate leadership and commitment with respect to customer focus?	Yes

Evidence

Notes

Customer requirements are determined, understood, and consistently met. This is achieved by utilising a register of interested parties (IMD001) which identifies issues of concern and opportunities for improvement to services. Identified entries are addressed to enhance customer satisfaction.

Statutory and regulatory requirements are determined, understood, and consistently met. This is achieved by utilising a Legal register and evaluation of compliance record (IMD002).

### Practice 3

Requirement Ref.	Question	Y/N (or N/A)
5.2.1	Has SMT established, implemented and maintained a quality policy?	Yes
<b>Evidence</b>		<b>Notes</b>
		Infratec SMT have established and communicated IMS policy statements for the triple standard. These are published in the IMS manual and available on the company intranet (IMP001 – 004). All clearly state objectives and processes for continual improvement.

### Practice 4

Requirement Ref.	Question	Y/N (or N/A)
5.2.2	Does SMT communicate the IMS policies?	Yes
<b>Evidence</b>		<b>Notes</b>
		Policies are posted on the company noticeboard, published on the company SharePoint server and within the company staff handbook. The policies are available to interested parties when appropriate.

### Practice 5

Requirement Ref.	Question	Y/N (or N/A)
5.3	Has SMT ensured that responsibilities and authorities for relevant roles have been assigned, communicated and understood within the company?	Yes

**Evidence****Notes**

An organisational structure has been defined and is illustrated in the IMS manual (Fig. 4). Relevant roles have been assigned responsibilities which are clearly defined within the IMS manual (Page 20). Achievement of intended outputs is assessed at management review meetings. Employees are empowered to contribute to this reporting system via a communication matrix (IMD013).

**Practice 6****Requirement Ref.****Question****Y/N (or N/A)**

5.4

Does SMT consult with and encourage participation of workers?

Yes

**Evidence****Notes**

Employees are empowered to contribute to this reporting system via a communication matrix (IMD013). In addition, biannual meetings take place open to all levels. Communication of IMS information includes:  
Circulation of written H&S risk assessments and SSOW.  
Toolbox talks.  
E-mail.  
Memoranda and safety bulletins.  
Signage.

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**

Available evidence shows accuracy and completeness when compared with the relevant standard.

**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**

Available evidence shows excellent alignment with the relevant standard.

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

**Evidence Upload**

☒ Yes ☐ No ☐ N/A

**Notes**

Available evidence supports this criteria.

**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
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Lead Auditor Signature

Date

21/08/2023

