

Internal Audit Checklist Report (IMD026 Rev.1)

Process to Audit (Audit Scope)

Audit Number (refer to Schedule)

023

Audit Date

28/09/2023

Lead Auditor

Lee Bullock

Other Auditors

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

☒ Yes ☐ No

Which process is to be audited?

Risk Assessment

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
RA	Risk Assessments	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?

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.

Evidence Upload

☐ Yes ☒ No ☐ N/A

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)
45001 - 8.1.2	Has the organisation established, implemented and maintained a process(es) for the elimination of hazards and reduction of OH&S risks using the following hierarchy of controls:	Yes
Evidence	Notes	
RA001 - Ladder-access equipment copy.xlsx	<p>The organisation has implemented risk assessments with Hierarchy control that cover,</p> <ul style="list-style-type: none">- Elimination,- Substitution- Engineering Controls- Administrative Controls- Personal Protective Equipment (PPE) <p>These have been completed to cover all general tasks within the day to day running of the organisation</p>	

Practice 2

Requirement Ref.	Question	Y/N (or N/A)
RA	Are the risk assessments reviewed within the time scale stated within the standard	Yes

Evidence

Notes

Within the IMS the organisation states all documents associated with risk will be reviewed at least annually. Risk assessments are reviewed at least annually

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)
		Yes

Evidence

Notes

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

Yes Risk assessments are completed on site

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?

☒ Yes ☐ No ☐ N/A

Evidence Upload

Notes

Risk assessments completed all included hierarchy control as per 45001

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

☒ Yes ☐ No ☐ N/A

Evidence Upload

Screenshot 2023-09-28 at 15.53.48.png

Notes

Yes, although it was mentioned that the risk matrix 3 - 4 Medium could be worded slightly different as the current wording appears that work can not be carried out unless further mitigations have been completed. ALARP can be used in this instance depending on task in hand

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 requirment?	What evidence was found	Rationale	Type	Minor/ Major

Lead Auditor Signature

Date

28/09/2023

