

Internal Audit Checklist Report (IMD026 Rev.1)

Process to Audit (Audit Scope)

Audit Number (refer to Schedule)

011

Audit Date

18/09/2023

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?

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 Manual	Integrated Management System	1.0
IMD004	HESQ Objectives & Targets Program	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)
9001 - 7.1.1	Does the organisation determine and provide the resources needed for continual improvement of the quality system	Yes
Evidence		Notes
IMD004 HESQ Objectives & Targets Program.xlsx		<div>The organisations states within the IMS manual that it provides the necessary resources for continual improvement of the IMS.</div> <div>The organisation implements IMD004 Objectives and Targets Program for Quality and states the goals for maintained improvement and continuous improvement.</div>

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.

14001 - 7.1

Question

Does the organisation determine and provide the resources needed for continual improvement of the environment management system.

Y/N (or N/A)

Yes

Evidence

IMD004 HESQ Objectives & Targets Program.xlsx

Notes

Within Document IMD004 the organisation all goals of improvement are listed for Environment.

Looked at Goal, "To improve Environmental impacts" - LED lighting with sensors have been implement within the building. All vehicles within the company Car fleet are now electric.

Practice 2

Requirement Ref.

45001 - 7.1

Question

Does the organisation determine and provide the resources needed for continual improvement of the OH&S management system

Y/N (or N/A)

Yes

Evidence

Notes

Goals set out in IMD 004 HESQ objectives and targets program. Sheet OHAS.

Improvements are discussed at the SMT quarterly meeting.

Portfolios are kept for all the practical experience and CPD gained by the organisation which is held on the HERS Portal.

The organisation has a planned programme for the continuing professional development of its employees, which is recorded on SkillStation and includes refresher training at intervals of not greater than 5 years. Figure 9 within the IMS Manual outlines the organisations overall process.

Target Dates within IMD004 - Some dates have passed, spoken with Lee Payne and these dates are on-going and will be revised.

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

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

Although some target dates are overdue these are only minor as the status of the goals is on-going.

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

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:

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

A handwritten signature in black ink, consisting of a stylized 'A' followed by a horizontal line and a loop.

Date

18/09/2023