

Internal Audit Checklist Report (IMD026 Rev.1)

Process to Audit (Audit Scope)

Audit Number (refer to Schedule)

012

Audit Date

19/09/2023

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?

Communication

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
IMD013	Communication Matrix	1.0
MR14	Management Review Meeting Minutes	1.0
04_03_02	Corrective Action Request	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

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requirements of ISO 45001; 14001; and 9001?

☒ Yes ☐ No

Notes

All documentation appears to meet the triple standard requirements.

Are there any customer requirements that may be applicable to this process. In general, does the INFRATEC documentation meet these requirements?

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☒ Yes ☐ No ☐ N/A

Notes

Communication is crucial to establishing and delivering customer requirements. Infratec documentation appears to meet these requirements.

Are there any NHSS8 requirements that may be applicable to this process. In general, does the INFRATEC documentation meet these requirements?

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☒ Yes ☐ No ☐ N/A

Notes

In so far as communicating the quality plan and standard operating documentation, which appears to be met through notice boards and training delivery.

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

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☒ Yes ☐ No ☐ N/A

MR14 - 290823 - MR Meeting
Minutes.docx

Notes

Receiving and acting on statutory and legislative changes are managed through management review meetings and staff briefings.

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.

7.4.1

Question

Has the company determined a communication methodology regarding the IMS?

Y/N (or N/A)

Yes

Evidence

IMD013 Communications Matrix.pdf

Notes

Infratec have developed a communication matrix which identifies different types of communication used within the business' IMS. The matrix also specifies the objective of each type of communication, a responsible person and target audience. A management review meeting held on 29.08.2023 was selected as an example. The communication chain involved notifying required attendees, formulating an agenda, taking minutes and disseminating relevant information to the appropriate recipients. The distribution of information involved email with external bodies, intranet, notice board and verbal face to face for employees such as transport/warehouse manager.

Practice 2

Requirement Ref.

7.4.2

Question

Does the company have effective internal communications systems?

Y/N (or N/A)

Yes

Evidence

1 - Employee Training Matrix.pdf

Notes

Methods of internal communication employed are varied. One method examined is that of communicating corrective action. Discussion with staff confirms all employees are empowered to submit a CAR form via the intranet. An automatic email is sent to the compliance manager who will deal with the issue or communicate with an appropriate manager to resolve. Records of all internal meetings, internal audits, non-conformities and suggestions for improvement are maintained. Communication of policies involves notice board display, access to the intranet and training events to explain in further detail. Prior to inception of the IMS an internal presentation was delivered to all employees.

Practice 3

Requirement Ref.	Question	Y/N (or N/A)
7.4.3	Has the company determined external communications relevant to the IMS?	Yes
Evidence	Notes Yes, the IMS manual states that Infratec will communicate by various means on significant aspects and other issues to individual external organisations. In relation to business delivery this includes customers, contractors, sub-contractors, utility service staff, compliance authorities etc.	

Practice 4

Requirement Ref.	Question	Y/N (or N/A)
7.4.3	Does the company communicate effectively with external visitors to site?	Yes
Evidence	Notes Infratec appoints a designated contact person to allow appropriate information to be communicated promptly. This includes in the event of emergency situations. The company employs a signing in book at the workshop unit, which communicates site rules to visitors. Observation confirms that external phone calls to the business are directed to the relevant person so that all direct communications are dealt with appropriately. Complaints are reviewed during management meetings and any contingency actions established and implemented. If necessary a CAR is submitted and in any case records are retained for 5 years.	

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?

☒ Yes ☐ No ☐ N/A

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Management Review Log.pdf

Notes

Communication methods employed are appropriate for the parties concerned. Where applicable, records 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?

☒ Yes ☐ No ☐ N/A

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Notes

All communications are received or sent to the appropriate person and where required records kept.

Does the process appear to adequately meet the requirements of ISO 45001; 14001; and 9001 and the INFRATEC documentation?

☒ Yes ☐ No ☐ N/A

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Notes

All requirements specified in each standard are addressed in the Infratec IMS manual. In addition selected aspects have been examined and found to meet those standards.

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

☒ Yes ☐ No ☐ N/A

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Notes

Business delivery currently conforms to regulatory requirements and customer satisfaction record suggests their requirements are met.

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 companies open door policy facilitates continuous improvement by allowing all employees access to SMT.

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

Lead Auditor Signature

Date

19/09/2023

