INFRATEC

Internal Audit Checklist Report (IMD026 Rev.1)

Process to Audit (Audit Scope)

Audit Number (refer to Schedule)
IA004

Audit Date
29/08/2023

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?
IS0 45001:2018 5.4 Consultation and participation of workers

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.
01	IMS Manual	1.0
BS ISO 45001:2018	OH&S Management Systems Requirements	1.0
IMD013	Communication Matrix	1.0
IMD030	HSEQ Meeting Form	1.0
IMD025	HSEQ Internal Audit Schedule	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

> Clause 5.4 relates to ISO45001 only and Infratec documentation appears to meet requirements for this standard.

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

> Distribution of customer HSEQ information is achieved among workers by the current consultation processes and therefore Infratec meets requirements in this regard.

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

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Are there any statutory or regulatory requirements that may be applicable to this process. ⊙ Yes ○ No ○ N/A	**Evidence Upload**

Notes

> HSEQ information, instruction, training and consultation is required under various legislation e.g. HSWA, Management Regs, RIDDOR

Indicate any other suggestions for improvement related to the documentation:

> Following HSEQ meetings save minute reports in a specific folder with access for all staff.

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)
5.4	Has the company established processes for consultation and participation of workers?	Yes

Evidence

Notes

Infratec has provided mechanisms for consultation and participation of workers. These are detailed in a communication matrix (IMD013) which describes six methods of communication in use by the organisation. These are:
Management review meetings
Employee communications
HSEQ meetings
Toolbox talks
Order inception review meetings
Incident report meetings
The matrix includes frequency, objectives and resources required for each communication method.

Practice 2

Requirement Ref.	Question	Y/N (or N/A)
5.4	Does the company provide clear, relevant and understandable information about the OH&S management system?	Yes

Evidence

Notes

In addition to the above methods, speedy dissemination of relevant information is achieved through:
Circulation of written H&S risk assessments and safe systems of work
E-mail
Memoranda and safety bulletins
Signage

Practice 3

Requirement	Question	Y/N (or N/A)

Ref. 5.4	Does the company encourage worker participation?	Yes

Evidence | **Notes**

	Discussion with employees indicates a culture whereby all workers are encouraged to report incidents, suggest ideas and provide feedback. It is also evident that worker feedback is acted upon by submission of CAR's and incident reports.

Practice 4

Requirement Ref.	Question	Y/N (or N/A)
5.4	Are non-managerial workers involved in HSEQ consultation process?	Yes

Evidence | **Notes**

	HSEQ meetings are to be attended by representatives from all levels within the organisation and a typical agenda is provided in the IMS manual. Minutes will be recorded on a specific form (IMD030). In addition employee representatives are involved at all stages of the risk assessment process and training needs analysis.

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

All appear to conform with the ISO45001 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

Audits and meeting agenda/minutes are recorded and appear sufficient.

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

Both the standard and IMS manual were consulted during the audit and the processes match adequately.

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.

Communication matrix IMD013 clearly indicates the consultation methods in use and determines objectives, timeframes and resources required for each.

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
					C	Minor

Lead Auditor Signature

Date

29/08/2023