

# Internal Audit Checklist Report (IMD026 Rev.1)

## Process to Audit (Audit Scope)

**Audit Number (refer to Schedule)**

008

**Audit Date**

11/09/2023

**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?**

Planning of Changes

**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  |
| IMD009      | Management Review Meeting Minutes               | 1.0  |
| IMD022      | Change of Plant, Process or Substance Checklist | 1.0  |
| IMD030      | HSEQ Meeting Minutes                            | 1.0  |
| IMD036      | Continuous Improvement Log                      | 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?**

**Evidence Upload**

☒ Yes ☐ No

**Notes**

Clause 6.3 relates only to ISO9001:2015 and Infratec documentation appears to meet requirements.

**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**

Customer requirements have the potential to be impacted by change. Infratec documentation addresses this by encompassing customer needs within their planning for change processes.

**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**

No specific NHSS8 requirement, the requirements are as stated in ISO9001:2015 without further qualification.

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

**Evidence Upload**

☒ Yes ☐ No ☐ N/A

**Notes**

Any regulatory or statutory change is monitored for within Infratec process for change.

**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) |
|------------------|---|--------------|
| 6.3              | Does the company recognise when change is required? | Yes          |

### Evidence

### Notes

The company has robust monitoring systems in place to identify changes in the level of risk and therefore a potential requirement for a change to the IMS. Significant opportunities for change that have been identified and listed in the IMS manual include;

- Change in management.
- Change in ownership.
- Business relocation.
- Change in technology.
- Change in product.
- Shift in customer base.

In addition, any change to relevant legislation is identified through the IMD002 Legal register and evaluation of compliance document. Other sources within the company from which the need for change can be identified include; customer feedback, complaints analysis, audit results, performance trends, risk assessments, launch of new products/services.

## Practice 2

| Requirement Ref. | Question   | Y/N (or N/A) |
|------------------|--|--------------|
| 6.3              | Does the company evaluate the purpose of any changes and their potential consequences? | Yes          |

### Evidence

### Notes

Interested parties will hold management review meetings and HSEQ meetings periodically. In addition, ad hoc meetings will take place for emergent risks with the potential for change to the IMS. The company aim to maintain their capability and responsibility to effectively meet customer, stakeholder, and regulatory requirements. Such meetings fulfil this by;

- Identifying the nature of the change.
- Planning a timeline for the change.
- Determining the outcomes.
- Ensuring adequate resources are available.
- Providing SMT authorisation.
- Change deployment and follow-up actions.

### Practice 3

**Requirement Ref.**

6.3

**Question**

Does the company consider the integrity of the IMS during change?

**Y/N (or N/A)**

Yes

**Evidence**

**Notes**

Changes are controlled by analysing:

- Consequences of the change.
- Likelihood of those consequences.
- Impact on customers.
- Impact on workers.
- Impact on set objectives.
- Effectiveness of processes that are part of the IMS.

This will ensure that the IMS remains true to its principles and complete.

### Practice 4

**Requirement Ref.**

6.3

**Question**

How does the company ensure resources are available to implement change?

**Y/N (or N/A)**

N/A

**Evidence**

**Notes**

During any change review meeting (Management or HSEQ) the availability of resources to implement the change is considered as part of the change planning process. A communication exercise will take place to ensure those resources are made available to implement the change. Individual managers have responsibility for ensuring people are sufficiently trained and equipped, have current and sufficient knowledge, infrastructure is in place, a conducive environment, adequate budget, trials/tests of new products, ongoing monitoring, structured reviews of people and processes.

## Practice 5

**Requirement Ref.**

6.3

**Question**

Does the company consider the allocation or reallocation of responsibilities and authorities for any change?

**Y/N (or N/A)**

Yes

**Evidence**

**Notes**

The company has identified management responsibilities and named individuals who have authority for that area. These individuals can initiate and authorise change following the planning process. The company has a written record of these responsibilities therefore they can be reallocated as necessary, thus maintaining the integrity of the IMS.

## Practice 6

**Requirement Ref.**

6.3

**Question**

Overall, does the company approach change in a planned manner?

**Y/N (or N/A)**

Yes

**Evidence**

**Notes**

In addition to the previous detail the company have developed a checklist for any change in plant, substances, materials, or activity, identified as IMD022. This acts as an aide memoire ensuring that all aspects of change management are considered.

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)                     |
|----------------------|--------------------------------------|----------------------------------|
| <input type="text"/> | <input type="text"/>                 | <input type="text" value="Yes"/> |
| <b>Evidence</b>      | <b>Notes</b><br><input type="text"/> |                                  |

## 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

Infratec procedures follow the relevant standard in a logical manner.

**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

Change checklist produced to ensure checks are carried out.

**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

ISO 9001:2015 only relevant to this clause but appears to meet requirements.

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

☒ Yes ☐ No ☐ N/A

#### Notes

Appears to meet all requirements by planning appropriately to address any impact on customer or regulatory need.

#### Indicate any problems you uncovered with the process:

None identified.

#### Provide brief details on any areas that you found were well-implemented, particularly effective or worth noting as positive traits of the process.

IMS022 a checklist to manage change to plant, process or substance ensures all impacts of change are considered.

## 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<br>ard | Clause | What was the<br>requirement? | What evidence was<br>found | Rationale | Type | Minor/<br>Major |
|--------------|--------|------------------------------|----------------------------|-----------|------|-----------------|
|              |        |                              |                            |           | C    | Minor           |

Lead Auditor Signature

Date

11/09/2023

