INFRATEC

Internal Audit Checklist Report (IMD026 Rev.1)

Process to Audit (Audit Scope)

Audit Number (refer to Schedule)
020

Audit Date
22/09/2023

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?
Control of Nonconforming Outputs

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.
IMS	Integrated Management System Manual	1.0
IMD024	Concession/Change Request Form	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)
9001 - 8.7.1	Does the organization ensure that outputs that do not conform to their requirements are identified and controlled to prevent their unintended use or delivery?	Yes

Evidence

Notes

Stated in IMS manual the organisation ensures that outputs that do not conform to requirements are identified and controlled to prevent unintended use or delivery.

Practice 2

Requirement Ref.	Question	Y/N (or N/A)
9001 - 8.7.1	Does the organization take appropriate corrective action based on the nature of the nonconformity and its effect on the conformity of products and services?	Yes

Evidence

Notes

The organisation takes appropriate action based on nonconformity and its effect of the conformity products and services. The organisation will deal with nonconforming outputs in one of more of the following ways,

- Correction
- Segregation, containment, return or suspension of the provision of products and services
- Informing the customer (IMD024 Concession/Change Request form)
- Obtaining authorisation for acceptance under concession

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)
9001 - 8.7.1	Does the organization retain documented information of actions taken on nonconforming process outputs, products and services, including on any concessions obtained and on the person or authority that made the decision regarding dealing with the nonconformity?	Yes

Evidence

Notes

The organisations captures documented information via IMD024 Concession/Change Request form using cognito forms. This captures and records all information within its cloud based server.

Practice 2

Requirement Ref.	Question	Y/N (or N/A)
9001 - 8.7.2	Does the organization retain documented information that: a) describes the nonconformity? b) describes the action taken? c) describes any concessions obtained? d) identifies the authority deciding the action in respect of the nonconformity.	Yes

Evidence

Notes

Within IMS Manual the organisations states they will retain documented information for nonconforming outputs that: Describes the conformity, Describes the actions taken, Describes any concessions obtained, identifies the authority deciding the action in respect of the nonconformity

All reviews at the Management Review meetings and will cover actions taken to control correct non-conformances.

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 procedures are complete as set out in 9001

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

The organisation has sufficient documentation in place to satisfy

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

The process meets the requirements of 9001

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

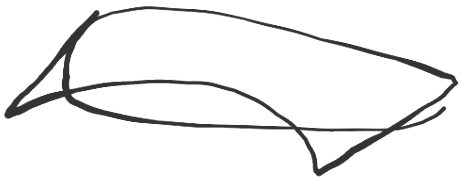
Based on the findings and nonconformities you have recorded in the previous sections, summarise the necessary actions needed. For type, choose one of the following:

- **C** =Corrective action needed (existing noncompliance)
- **P** = Preventive action needed (potential noncompliance)
- **OFI** = Opportunity for Improvement

Findings

Standard	Clause	What was the requirment?	What evidence was found	Rationale	Type	Minor/ Major

Lead Auditor Signature



Date

22/09/2023