



Integrated Management System Audit

89241 / 1 / General Operation Audit

Complete

Score	68 / 69 (98.55%)	Flagged items	0	Actions	2
Audit Number					89241
Report Revision Number					1
Audit Title					General Operation Audit
Date Conducted					17 Aug 2023 15:36 PST
Business Unit / Client					Maintenance Department
Address					Chicago, IL, USA (41.8781136, -87.6297982)
Report Prepared by					Pernille Georgia

Actions

2 actions

Audit / Clause 4 - Context of the Organisation

Has the scope of the IMS been determined by taking into account the organisation's:

- a) external and internal issues,**
- b) the needs and expectations of interested parties,**
- c) the organisation's products and services,**
- d) boundaries and applicability, and**
- d) planned or performed work-related activities**

Improvement Opportunity

Documents have been referred to for these but interviews may be helpful

To do | Priority Low | Due 24 Aug 2023 15:44 PST | Created by SafetyCulture Staff

Conduct more interviews regarding these

Audit / Clause 4 - Context of the Organisation

Is the scope of the IMS available and maintained as DOCUMENTED INFORMATION?

Non-compliant

The scope itself is not properly documented in the cloud

To do | Priority High | Due 24 Aug 2023 15:45 PST | Created by SafetyCulture Staff

Upload scope of IMS to cloud

Checklist Notes and Instructions

Notes

This audit checklist is based on the requirements of the following three international management system standards:

1. ISO 9001:2015 (Quality management systems - requirements)
2. ISO 14001:2015 (Environmental management systems - requirements), and
3. ISO 45001:2018 (Occupational health and safety management systems - requirements)

The questions in the audit checklist are aligned to the clauses of the above mentioned standards. This allows internal and third-party auditors to evaluate compliance to the three management system requirements in an efficient manner.

Where DOCUMENTED INFORMATION is mentioned in a checklist question, the Auditor shall verify that the information required is available, controlled and maintained in a suitable medium (format and media).

Instructions

The auditor shall record the audit finding for each item in the checklist by marking the corresponding check box as follows:

C - Compliant
NC - Non-compliant*
I - Improvement Opportunity**
N/A - Not applicable***

When complete the Auditor shall sign off and date the audit at the end of the final section.

* Description of any noncompliance shall be provided. Any checklist criterion marked "non-compliant" will require a Corrective Action (CA).

** Compliant however there is an opportunity for improvement. The auditor's comments shall elaborate on the opportunity for improvement.

*** Criteria not observed or not applicable to a specific situation or work order. The auditor's comments shall include the reason(s) that the criteria could not be observed or is considered not applicable.

Terms of Reference

The terms of reference specifies and documents audit particulars. Completing this section demonstrates audit planning and supports future reference.

Personnel

Audit Team Members

Stefán Lea
Phyllis Evelína
Aleksandrina Arnošt
Bodhi Alexandra

Approximate Number of Personnel under Audit Scope

30

Name of Senior Most or Responsible Person (being audited)

Alda Peter

Names of Guides or Observers (if applicable)

N/A

Audit Objectives, Scope and Criteria

Audit Objectives (may include determining the extent of conformity of the system, evaluation of the capability of the process, evaluation of the effectiveness of the management system in meetings specified goals, identification of areas for potential improvement, etc)

- Ensure compliance of current maintenance practices with safety and labor codes
- Ensure all operations are up to standard with internal rules and finances

Audit Scope (Extent and boundaries of the audit. Example: Services performed. Duration the services have been performed)

Services performed, equipment used, leadership role, decisions made

Audit Criteria (Set of standards, policies, procedures or requirements used as a reference against which audit evidence is compared)

We will be using existing standards

Methods to Collected Evidence and Information

Interviews

Observations

Document Review

Other Information (If applicable)

Specific Audit Activities or Notes

N/A

Logistic Arrangements (travel, induction, security, on-site facilities, etc).

Auditing team will be dedicating a whole week to this

Personal Protective Equipment Requirements

As directed

Opening Meeting

Date and Time of Opening Meeting

16 Aug 2023 14:30 PST

Location

Main office

Attendees

Maintenance team, auditing team

Brief Included

Brief topics include scope of audit, goals, and objectives. Auditing procedures were discussed with heads before being carried out in order to not disturb workers.

Additional Comments

N/A

Audit

2 actions, 68 / 69 (98.55%)

Clause 4 - Context of the Organisation

2 actions, 6 / 7 (85.71%)

Have external issues that are relevant to the organisation's purpose, the achievement of customer satisfaction and the organisation's strategic direction been determined?

Compliant

Have internal issues that are relevant to the organisation's purpose, the achievement of customer satisfaction and the organisation's strategic direction been determined?

Compliant

Have interested parties that are relevant to the IMS, including their requirements been determined?

Compliant

Has the scope of the IMS been determined by taking into account the organisation's:
a) external and internal issues,
b) the needs and expectations of interested parties,
c) the organisation's products and services,
d) boundaries and applicability, and
d) planned or performed work-related activities

Improvement Opportunity

Documents have been referred to for these but interviews may be helpful

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Conduct more interviews regarding these

Is the scope of the IMS available and maintained as DOCUMENTED INFORMATION?

Non-compliant

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To do | Priority High | Due 24 Aug 2023 15:45 PST | Created by SafetyCulture Staff

Upload scope of IMS to cloud

Has the IMS including the processes needed for its application been implemented in accordance with the requirements of the International standards?

Compliant

Have criteria and methods (e.g. measurement and performance indicators) needed for the effective operation and control of processes been determined and applied?

Compliant

Clause 5 - Leadership

7 / 7 (100%)

Has top management demonstrated leadership, commitment and taken accountability for the effectiveness of the IMS?

Compliant

Are the policies (quality, health & safety and environment) available and maintained as DOCUMENTED INFORMATION?

Compliant

Are the policies (quality, health & safety and environment) communicated, understood and applied within the organisation?	Compliant
Have customer requirements, and applicable statutory and regulatory requirements been determined and communicated at relevant functions and levels?	Compliant
Have processes for consultation and participation of workers been established and implemented?	Compliant
Are responsibilities and authorities for roles within the IMS assigned and maintained as DOCUMENTED INFORMATION?	Compliant
Are responsibilities and authorities for roles within the IMS assigned and communicated at all levels within the organisation?	Compliant

Clause 6 - Planning

11 / 11 (100%)

Have risks and opportunities that are relevant to the IMS been determined?	Compliant
Has external and internal issues (context), the needs of interested parties and scope of the IMS been considered when determining risks and opportunities?	Compliant
Have hazards, HSE risks , opportunities, legal and other contractual requirements been taken into account when determining risks and opportunities?	Compliant
Are actions and processes to address risk and opportunities evaluated for effectiveness?	Compliant
Are risks and opportunities, including the processes and actions to determine and address them maintained as DOCUMENTED INFORMATION?	Compliant
Is a process maintained for hazard identification and assessment of risks (including methodology and criteria)?	Compliant
Have environmental aspects and impacts of the activities, products and service that the organisation can control or influence been determined?	Compliant
Are legal requirements that are applicable to the organisation maintained and retained as DOCUMENTED INFORMATION?	Compliant
Are objectives for the IMS established and communicated at relevant functions and levels?	Compliant
Have resources, responsible persons, action plans and time	Compliant

frames (e.g. plans) for meeting objectives been determined?

Are objectives, including the plans to achieve them maintained and retained as DOCUMENTED INFORMATION?

Compliant

Clause 7 - Support

14 / 14 (100%)

Have plant, equipment, facility, human resources and other resources for the IMS been determined and provided?

Compliant

Are personnel doing work under the IMS aware of:
a) the quality, health, safety and environmental policy?
b) relevant objectives?
c) their contribution to the effectiveness of the IMS, including the benefits of improved performance?
d) the implications of not conforming with the IMS requirements?
e) incidents and the outcomes of investigations that are relevant to them?
f) hazards, risks and control measures that are relevant to them?
g) the ability to remove themselves from work situations that they consider present danger to their life or health?

Compliant

When monitoring or measuring is conducted to verify conformity, are monitoring and measuring equipment:
a) suitable for the specific type of monitoring and measurement activities undertaken?
b) maintained to ensure their continuing fitness for purpose?

Compliant

Are monitoring and measuring equipment:
a) calibrated or verified, or both, at specified intervals, or prior to use, against measurement standards traceable to international or national measurement standards?
b) identified in order to determine their status?
c) safeguarded from adjustments, damage or deterioration that would invalidate their calibration status and subsequent measurement results?

Compliant

Is DOCUMENTED INFORMATION as evidence of fitness for purpose of the monitoring and measuring resources retained?

Compliant

Have the necessary competence (education, training and/or experience) of personnel who can affect the performance of the IMS been determined?

Compliant

Where applicable, are actions taken to acquire and maintain the necessary competence of personnel?

Compliant

Is DOCUMENTED INFORMATION retained as evidence confirming the competence (education, training, and/or experience) of personnel?

Compliant

Have appropriate internal and external communications

Compliant

channels and processes been established?

Is DOCUMENTED INFORMATION retained as evidence of communication?

Compliant

When creating and updating documented information, do documents have appropriate:
a) format (e.g. language and graphics) and media (paper or electronic)?
b) identification and description?

Compliant

When creating and updating documented information, are documents reviewed and approved for suitability and adequacy?

Compliant

Is DOCUMENTED INFORMATION controlled to ensure it is:
a) available and suitable for use, where and when it is needed?
b) adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity)?

Compliant

Are the following controls for DOCUMENTED INFORMATION defined and implemented:
a) distribution, access and retrieval and use,
b) storage and preservation, including preservation of legibility,
c) control of changes (e.g. version control),
d) retention and disposition

Compliant

Clause 8 - Operation

16 / 16 (100%)

Have controls from workplace risk assessments been implemented to eliminate hazards and reduce OH&S risks?

Compliant

Is a management change process established for the implementation and control of temporary and permanent changes?

Compliant

Is there a process for communicating with customers information relating to products and services, enquiries, contracts, order handling, etc?

Compliant

Are processes for meeting customer and other requirements defined and implemented?

Compliant

Has acceptance criteria for products and services been determined?

Compliant

Is the review of customer and other requirements prior to the commitment to supply products and services maintained as DOCUMENTED INFORMATION?

Compliant

Are the processes and plans for responding to potential

Compliant

emergency situations maintained and retained as DOCUMENTED INFORMATION?

Are design and development processes established, implemented and maintained?

Compliant

Do externally provided processes, products and services conform to specified requirements?

Compliant

Have criteria for the evaluation, selection, monitoring of performance and re-evaluation of external providers been established?

Compliant

Is DOCUMENTED INFORMATION on the evaluation, selection, performance monitoring and re-evaluation activities of external service providers retained?

Compliant

For the production or service provision, is DOCUMENTED INFORMATION (e.g. procedures, work instructions) available that defines:

- a) the services to be provided
- b) the activities to be performed (including monitoring and measurement activities),
- c) the results to be achieved

Compliant

Is property belonging to customers or external providers that is used in the provision of the product or service controlled and safeguarded from damage?

Compliant

Prior to release of products or completion of services, is DOCUMENTED INFORMATION available indicating product or service conformity?

Compliant

For the control of nonconformities, is DOCUMENTED INFORMATION retained:

- a) describing the nonconformity;
- b) describing the actions taken;
- c) describing any concessions obtained;
- d) identifying the authority deciding the action in respect of the nonconformity

Compliant

Are outsourced processes managed and controlled?

Compliant

Clause 9 - Performance Evaluation

9 / 9 (100%)

Has monitoring and measurement needs been determined in order to evaluate the performance of the management system?

Compliant

Have methods for monitoring, measurement, analysis and evaluation been determined?

Compliant

Is performance evaluation results available as DOCUMENTED

Compliant

INFORMATION?

Is **DOCUMENTED INFORMATION** of the compliance evaluation result(s) of legal requirements and other requirements

Compliant

Have methods of monitoring customer perceptions of the provision of products and services been established?

Compliant

Has an internal audit plan and process been established?

Compliant

Is **DOCUMENTED INFORMATION** of the implementation of the audit programme and the results of audits retained?

Compliant

Are management reviews of the management system conducted at planned intervals?

Compliant

Is **DOCUMENTED INFORMATION** of management reviews retained?

Compliant

Clause 10 - Improvement

5 / 5 (100%)

Are there appropriate processes for managing customer complaints, nonconformities, opportunities for improvement?

Compliant

Are there appropriate processes for reporting, investigating and taking action, to determine and manage incidents?

Compliant

Are actions taken to eliminate the cause(s) of nonconformities in order that it does not recur occur elsewhere?

Compliant

Are the results of analysis and evaluation, and outputs from management reviews used for continual improvement?

Compliant

Is **DOCUMENTED INFORMATION** retained on incidents, nonconformities and associated actions and corrective actions?

Compliant

Recommendations and other comments

Comments

Conduct more interviews in other audits

Closeout and Declaration

Please sign and email the report to the QHSE Administrator

I, the undersigned have completed this audit and declare the assessment as complete.

Pernille Georgia

Pernille Georgia
17 Aug 2023 15:49 PST

17 Aug 2023 13:30 PST

Closing Meeting

Date and Time of Closing Meeting

17 Aug 2023 14:00 PST

Location

Chicago, IL, USA
(41.8781136, -87.6297982)

Attendees

Same

Brief Included

Results have been discussed among heads

Additional Comments

N/A