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Internal Audit Check list

HEALTH & SAFETY

Created:	17/May 1995	Audit No 19	
Revised:	12 June 2017		Page 1 of 11
Audit Date	2-8-22	Auditor <i>HELEN LAMPS</i> <i>Deek Lamps</i>	

Ed spacing and layout

Company / ISO Section	Criteria of ISO Section	Auditor Comments / Issues
VST Ltd ISO9001:2015 7.1.3	Infrastructure The organization shall determine, provide and maintain the infrastructure necessary for the operation of its processes and to achieve conformity of products and services. NOTE Infrastructure can include: a) buildings and associated utilities; b) equipment, including hardware and software; c) transportation resources; d) information and communication technology.	<i>/</i>
VST Ltd ISO9001:2015 7.1.4	Environment for the operation of processes The organization shall determine, provide and maintain the environment necessary for the operation of its processes and to achieve conformity of products and services. NOTE A suitable environment can be a combination of human and physical factors, such as: a) social (e.g. non-discriminatory, calm, non-confrontational); b) psychological (e.g. stress-reducing, burnout prevention, emotionally protective); c) physical (e.g. temperature, heat, humidity, light, airflow, hygiene, noise). These factors can differ substantially depending on the products and services provided.	<i>/</i>
VST Ltd ISO9001:2015 7.2	Competence 7.2 Competence The organization shall: a) determine the necessary competence of person(s) doing work under its control that affects the performance and effectiveness of the quality management system; b) ensure that these persons are competent on the basis of appropriate education, training, or experience; c) where applicable, take actions to acquire the necessary competence, and evaluate the effectiveness of the actions taken; d) retain appropriate documented information as evidence of competence. NOTE Applicable actions can include, for example, the provision of training to, the mentoring of, or the reassignment of currently employed persons; or the hiring or contracting of competent persons.	<i>/</i>
VST Ltd ISO9001:2015 7.3	Awareness The organization shall ensure that persons doing work under	<i>/</i>

	<p>the organization's control are aware of:</p> <ol style="list-style-type: none"> the quality policy; relevant quality objectives; their contribution to the effectiveness of the quality management system, including the benefits of improved performance; the implications of not conforming with the quality management system requirements. 	
Viamed Ltd ISO13485:2016 5.5.1	<p>Responsibility and authority</p> <p>Top management shall ensure that responsibilities and authorities are defined, documented and communicated within the organization.</p> <p>Top management shall document the interrelation of all personnel who manage, perform and verify work affecting quality and shall ensure the independence and authority necessary to perform these tasks.</p>	<p>Roles + tasks Doc index Management Review</p>
Viamed Ltd ISO13485:2016 6.2	<p>Human resources</p> <p>Personnel performing work affecting product quality shall be competent on the basis of appropriate education, training, skills and experience.</p> <p>The organization shall document the process(es) for establishing competence, providing needed training, and ensuring awareness of personnel.</p> <p>The organization shall:</p> <ol style="list-style-type: none"> determine the necessary competence for personnel performing work affecting product quality; provide training or take other actions to achieve or maintain the necessary competence; evaluate the effectiveness of the actions taken; ensure that its personnel are aware of the relevance and importance of their activities and how they contribute to the achievement of the quality objectives; maintain appropriate records of education, training, skills and experience (see 4.2.5). <p>NOTE The methodology used to check effectiveness is proportionate to the risk associated with the work for which the training or other action is being provided.</p>	<p>Roles + tasks Procedures Management Review Training records</p>
Viamed Ltd ISO13485:2016 6.3	<p>Infrastructure</p> <p>The organization shall document the requirements for the infrastructure needed to achieve conformity to product requirements, prevent product mix-up and ensure orderly handling of product.</p> <p>Infrastructure includes, as appropriate:</p> <ol style="list-style-type: none"> buildings, workspace and associated utilities; process equipment (both hardware and software); supporting services (such as transport, communication, or information systems). <p>The organization shall document requirements for the maintenance activities, including the interval of performing the</p>	<p>Doc index Management Review HS Review Issues Procedures</p>

	<p>maintenance activities, when such maintenance activities, or lack thereof, can affect product quality. As appropriate, the requirements shall apply to equipment used in production, the control of the work environment and monitoring and measurement.</p> <p>Records of such maintenance shall be maintained</p>	
Viamed Ltd ISO13485:2016 6.4.1	<p>Work environment</p> <p>The organization shall document the requirements for the work environment needed to achieve conformity to product requirements.</p> <p>If the conditions for the work environment can have an adverse effect on product quality, the organization shall document the requirements for the work environment and the procedures to monitor and control the work environment.</p> <p>The organization shall:</p> <ul style="list-style-type: none"> a) document requirements for health, cleanliness and clothing of personnel if contact between such personnel and the product or work environment could affect medical device safety or performance; b) ensure that all personnel who are required to work temporarily under special environmental conditions within the work environment are competent or supervised by a competent person. <p>NOTE Further information can be found in ISO 14644 and ISO 14698</p>	<p>Doc index CPM Training Review meetings HS Review</p>
Viamed Ltd ISO13485:2016 6.4.2	<p>Contamination control</p> <p>As appropriate, the organization shall plan and document arrangements for the control of contaminated or potentially contaminated product in order to prevent contamination of the work environment, personnel, or product. .</p> <p>For sterile medical devices, the organization shall document requirements for control of contamination with microorganisms or particulate matter and maintain the required cleanliness during assembly or packaging processes.</p>	<p>Doc index Instruments Procedures Roles + tasks</p>
Viamed Ltd ISO13485:2016 8.2.4	<p>Internal audit</p> <p>The organization shall conduct internal audits at planned intervals to determine whether the quality management system:</p> <ul style="list-style-type: none"> a) conforms to planned and documented arrangements, requirements of this International Standard, quality management system requirements established by the organization, and applicable regulatory requirements; b) is effectively implemented and maintained. <p>The organization shall document a procedure to describe the responsibilities and requirements for planning and conducting audits and recording and reporting audit results.</p> <p>An audit program shall be planned, taking into consideration the status and importance of the processes and area to be audited, as well as the results of previous audits. The audit</p>	<p>Doc index Audit calendar Route Map Management review Roles + tasks</p>

<p>criteria, scope, interval and methods shall be defined and recorded (see 4.2.5). The selection of auditors and conduct of audits shall ensure objectivity and impartiality of the audit process. Auditors shall not audit their own work. Records of the audits and their results, including identification of the processes and areas audited and the conclusions, shall be maintained (see 4.2.5). The management responsible for the area being audited shall ensure that any necessary corrections and corrective actions are taken without undue delay to eliminate detected nonconformities and their causes. Follow-up activities shall include the verification of the actions taken and the reporting of verification results.</p> <p>NOTE Further information can be found in ISO 19011</p>	
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Visited

Do HSE Audit, Audit No 19.

Send out HSE Personnel Questionnaire, and the HSE DSE Personnel Questionnaire and reissue message of the day reminding users all HSE Documents are available in Intrastats.

QUESTION:	RESPONSE:	Y/N
1 Review Last years Audit. Update processes if required. Are all follow on Issue resolved satisfactory.	<i>Nothing outstanding</i>	Y
2 Check that personnel are aware of the company's H & S policy.		Y
3 Is the policy readily accessible?	Intrastats	N/A
4 Check that new personnel have undergone induction checklist.		Y
5 Verify that existing personnel are still aware of locations for First aid and Fire extinguishers & exit routes. Task 12.	# 240280 ✓	Y
6 Check that documentation, data sheets and specs etc. for our new products / services equipment are reviewed for H & S implications. This relates to Medical Products only. See Technical controller for the list.	See Technical controller for the list	<i>No New products</i> Y
7 Check that personnel know where to retrieve information from the company manual.	Intrastats # 267846 ✓	N/A Y
8 Check that the First aid accident book is reviewed and any action required is taken and recorded. Task 287.	# 266365 ✓	Y
9 Verify that risk assessments are being carried out in a timely manner. Task 12.	Intrastats # 260280 ✓	N/A Y
10 Check that the Risk Assessment / Health and Safety report produced, detail all corrective actions required. Task 12.	Audit 13 # 240280	Y
11 Verify that the corrective actions are completed on time.		Y

12	Verify that these sheets are filed accordingly	Intrastats and Audit file	Automatic	
13	Verify that any hazardous products are safely contained in storage. Check Chemicals cupboard, R+D room and workshop.			Y

Sub Processes Linked to Audit

Review the below processes tasks and audits and ensure they are completed in a timely manner.

List Processes Per Title

Managing Director					
Process Scope	Roll Task	Roll Audit	Risk	Action	Referenced in Document
PROCESSID 39 Ensure our Viamed Environment and WEEE Policies are upto date and suitable for current legislation	46 Company Secretary	235611✓	Freq 1 Risk 2 Overall 2	Task 12M	
PROCESSID 7741 Review the current Ethical Policy in intrastats	47 Company Secretary	235612✓	Freq 1 Risk 1 Overall 1	Task 12M	
IT Controller					
Process Scope	Roll Task	Roll Audit	Risk	Action	Referenced in Document
PROCESSID 45 Check the status of the Main Server	139 Office Processes	265287✓	Freq 3 Risk 3 Overall 9	Task 1M	
PROCESSID 46 Check the status of the Backup Server, is done at same time as primary server	454 Office Processes	455260678✓	Freq 1 Risk 3 Overall 3	Task 2W Audit 12M	
PROCESSID 49 Ensure Viamed Wifi is operational	415 Managing Director	265102✓	266147✓ Freq 1 Risk 1 Overall 1	Task 1M Audit 3M	
PROCESSID 50 Backup Internet Connection	415 Managing Director	265102✓	416264147✓ Freq 3 Risk 1 Overall 3	Task 1M Audit 3M	
PROCESSID 5903 To record the daily barometric pressure	413 Managing Director	267383✓ in terms	414 Managing Director 265101✓ Freq 4 Risk 1 Overall 4	Task 1W Audit 1M	

Maintenance Controller					
Process Scope	Roll Task	Roll Audit	Risk	Action	Referenced in Document
PROCESSID 56 Check the Boiler system before winter	85 Company Secretary	257424 in terms	Freq 1 Risk 1 Overall 1	Task 12M	
PROCESSID 5919 Check outside drain is not Blocked	431 Company Secretary	263360 ✓	Freq 2 Risk 1 Overall 2	Task 3M	
PROCESSID 5921 Check the Archives for Signs of Water, ensure the pump is working	433 Company Secretary	265646 ✓	Freq 2 Risk 1 Overall 2	Task 1M	
PROCESSID 7120 Review any General Maintenance required on the physical Site(s)	602 Company Secretary	265506 ✓	Freq 2 Risk 1 Overall 2	Task 3M	
PROCESSID 7742 Get Boiler / Heating Checked / Serviced before Winter	7 Company Secretary	265749 in terms	Freq 1 Risk 1 Overall 1	Task 12M	
PROCESSID 7756 Check Carbon Monoxide Alarm is working	117 Company Secretary	265286 ✓	Freq 2 Risk 1 Overall 2	Task 6M	
PROCESSID 7820 The renewal of our waste transfer agreement with North Yorkshire County Council	702 Company Secretary	251861 ✓	Freq 1 Risk 2 Overall 2	Task 12M	
PROCESSID 7821 The renewal of our waste transfer agreement with our waste disposal companies	701 Company Secretary	248848 ✓	Freq 1 Risk 2 Overall 2	Task 12M	
PROCESSID 7835 To get the Electrics checked by External Electricity, so certificate can be provided for Employee Safety	164 Managing Director	158192 ✓	Freq 1 Risk 1 Overall 1	Task 48M	
PROCESSID 7836 Reset the Heating for Winter	211 ✓		Freq 1 Risk 1 Overall 1		
PROCESSID 7864 Check the workshop benches ESD equipment is in place	94 Production Processes	254044 ✓	Freq 2 Risk 1 Overall 2	Task 6M Audit 12M	
PROCESSID 7896 To Maintain the Tree in the Car Park	829 Company Secretary	264037 ✓	Freq 1 Risk 3 Overall 3	Task 3M	
PROCESSID 7961 To Clean Tidy the research and development rooms	540 Production Processes	267213 ✓	1058 Managing Director	Freq 1 Risk 1 Overall 1	Task 1W Audit 1M

PROCESSID 7999 To review the physical buildings health and safety, and fire risk assessments.	1143 Managing Director	1144 Company Secretary	Freq 1 Risk 2 Overall 2	Task 24M Audit 24M		
Health And Safety Controller						
Process Scope	Roll Task	Roll Audit	Risk	Action	Referenced in Document	
PROCESSID 6849 To make sure we have a qualified member of staff trained in First Aid at Work. With the training up to date. Review the accident book. Check that there were no health and safety issues flagged up from these.	712 Company Secretary	233288✓	Freq 1 Risk 3 Overall 3	Task 12M		
PROCESSID 6855 Update the Site HSE file. Ensure staff are aware of this and the location of HSE equipment	12 Company Secretary	240280✓	Freq 1 Risk 1 Overall 1	Task 12M		
PROCESSID 6856 To ensure the fire alarms, MPC (manual call points), fire extinguishers and emergency lights are all in place, working and tested regularly. The log booked filled in. Tested by Keybury (alarms and emergency lights) annually and Airedale Fire protection (Fire extinguishers) annually. Evacuation Drills to check staff readiness.	52 Company Secretary	253195✓	Freq 1 Risk 3 Overall 3	Task 6M		
PROCESSID 7867 This is a check list to ensure safe use of the bandsaw	786		Freq 1 Risk 1 Overall 1			
BANDSAW HAS BEEN REMOVED, PROCESS CAN BE CLOSED / TASKS CLOSED						
PROCESSID 7868 This is a check list to ensure safe use of the Pillar Drill	787 Production Processes	257525✓	Freq 1 Risk 3 Overall 3	Task 6M		
PROCESSID 7869 This is a check list to ensure safe use of the Hand Drill	788 Production Processes	239163✓	Freq 1 Risk 3 Overall 3	Task 24M		
PROCESSID 7891 <i>chased</i> To test the evacuation of the buildings in case of fire <i>in terms</i>	141 Company Secretary	267576✓	952 Managing Director	254589✓	Freq 1 Risk 3 Overall 3	Task 3M Audit 12M
PROCESSID 7928	609	953		254588✓	Freq 1	Task 1M

To Test the Fire alarm glass boxes	Goods Out	Company Secretary	Risk 1 Overall 1	Audit 12M	
PROCESSID 7929 The regular review of the Emergency Lighting And Fire Extinguishers.	954 Goods Out 266246 in terms	955 Company Secretary	257548 Freq 1 Risk 3 Overall 3	Task 1M Audit 12M	
Warehouse Team Leader					
Process Scope	Roll Task	Roll Audit	Risk	Action	Referenced in Document
PROCESSID 54 Bleech the Gents Toilets	125 266360 Goods In	373 265639 Company Secretary	Freq 3 Risk 1 Overall 3	Task 1M Audit 1M	
PROCESSID 5906 Emptying of the recycling and waste bins into external bin for refuge collectors	541 Goods In 267296 ✓	424 Office Processes 266379 ✓	Freq 1 Risk 1 Overall 1	Task 1W Audit 1M	
PROCESSID 5907 Cleaning of floors. Tidying so as to clean more effectively.	543 Goods In 267623	424 266379 Office Processes	Freq 1 Risk 1 Overall 1	Task 1W Audit 1M	
PROCESSID 5908 Cleaning of floors. Tidying so as to clean more effectively.	423 Goods In 267597	424 266379 Office Processes	Freq 1 Risk 1 Overall 1	Task 1W Audit 1M	
PROCESSID 5909 Emptying of the waste bins into external bin for refuge collectors	542 Goods In 267401 ✓	424 266379 Office Processes	Freq 1 Risk 1 Overall 1	Task 1W Audit 1M	
PROCESSID 5910 Cleaning of duckets	426 Goods In 267384 ✓	424 266379 Office Processes	Freq 1 Risk 1 Overall 1	Task 1W Audit 1M	
PROCESSID 5911 To remove and dispose of the cardboard with in the company	427 Goods In 267481 ✓	424 266379 Office Processes	Freq 1 Risk 1 Overall 1	Task 2W Audit 1M	
PROCESSID 7687 Collecting, cleaning and returning duckets to Vandagraph.	488 Goods In 267605 ✓		Freq 1 Risk 1 Overall 1	Task 1W	
PROCESSID 7698 Cleaning of surfaces, equipment, floors. Tidying so as to clean more effectively.	503 Goods In 267756 ✓ in terms		Freq 1 Risk 1 Overall 1	Task 3W	
Human Resources					
Process Scope	Roll Task	Roll Audit	Risk	Action	Referenced in Document
PROCESSID 7847 Perform HSE Risk Assessment.	12 Company Secretary	1071 Managing Director	Freq 1 Risk 1 Overall 1	Task 12M Audit 12M	

Re issue Message of the Day or send company issue with regard to Employees being aware of HSE documentation / policy. and Location of Fire Exits and First Aid Kits.					
Send new Issue to Projects Asking if New HSE implications have arisen from new products.					
Review Online the Local Community Risk Register.					
Check the Viamed Overall Risk Analysis Program Document in the Index to check its still current.					
PROCESSID 7982 To Check online and see if there have been any changes to Minimum wage or employment law wee need to be aware of.	1107 Company Secretary <i>252049</i>	1109 Managing Director <i>new issue</i>	Freq 1 Risk 1 Overall 1	Task 12M Audit 24M	
Data Protection Officer					
Process Scope	Roll Task	Roll Audit	Risk	Action	Referenced in Document
PROCESSID 7910 To check the signs we have are appropriate, clear and positioned in the correct	910 Company Secretary <i>236369</i>		Freq 1 Risk 1 Overall 1	Task 12M	
PROCESSID 7911 Review Security Of The Special Category Personal Data	911 Company Secretary <i>237673</i>		Freq 1 Risk 2 Overall 2	Task 12M	
Audits					
Process Scope	Roll Task	Roll Audit	Risk	Action	Referenced in Document
PROCESSID 7729 To carry out Audit 19 Health And Safety Viamed	13 Company Secretary <i>267572</i> <i>in terms</i>		Freq 1 Risk 2 Overall 2	Audit 12M <i>This audit</i>	
PROCESSID 7777 To carry out Audit 19 Health And Safety VST	186 Company Secretary <i>267579</i> <i>in terms</i>		Freq 1 Risk 2 Overall 2	Audit 12M <i>VST audit</i>	

Office Processes						
Process Scope	Roll Task	Roll Audit	Risk	Action	Referenced in Document	
PROCESSID 5853 Ensure customer facing areas are vacuumed	243 267475 in terms	373 265639 Company Secretary	Freq 1 Risk 1 Overall 1	Task 1W Audit 1M		
PROCESSID 5856 to clean the kitchen, work tops and floor. make sure it is safe for people to use	227	373 265639 Company Secretary	Freq 1 Risk 1 Overall 1	Audit 1M		
PROCESSID 5878 Emptying of the recycling and waste bins into external bin for refuge collectors	225 Office Processes 267473 + in terms	532	Freq 1 Risk 1 Overall 1	Task 1W		
PROCESSID 5900 Cleaning of surfaces, equipment, floors. Tidying so as to clean more effectively.	393 Office Processes 266037	394 265514 Company Secretary	Freq 3 Risk 1 Overall 3	Task 1M Audit 1M		
PROCESSID 5912 To put the recycling bins out	107 Goods Out 267571		Freq 3 Risk 1 Overall 3	Task 2W		
PROCESSID 7706 Updating of anti-virus software and scanning computers for viruses	519 Office Processes 267476		Freq 2 Risk 2 Overall 4	Task 1W		
PROCESSID 7802 Cleaning the kitchen surfaces to ensure they are fit for use	655 Office Processes 267633 + in terms	656 266881 Office Processes	Freq 1 Risk 1 Overall 1	Task 1W Audit 2W		
PROCESSID 7803 To ensure crockery and cutlery is cleaned and fit for use	657 Office Processes 267303	658 266263 Office Processes	Freq 1 Risk 1 Overall 1	Task 1W Audit 1M		
PROCESSID 7804 To sweep the kitchen floor and clear and mess ready for mopping	659 267513 + in terms	662 267515 Company Secretary	Freq 1 Risk 1 Overall 1	Task 1W Audit 1W		
PROCESSID 7805 Emptying of the recycling and waste bins into external bin for refuge collection	225 Office Processes 267473 + in terms	661	Freq 1 Risk 1 Overall 1	Task 1W		
Diasbled currently - have Global task on bins		267506				
PROCESSID 7806 To water the plants and ensure their survival	663 267506 Company Secretary	664	Freq 1 Risk 1 Overall 1	Task 1W		
PROCESSID 7910 To check the signs we have are appropriate, clear and positioned in the	910 Company Secretary		Freq 1 Risk 1 Overall 1	Task 12M		

correct