

Internal Audit Report & Checklist



Date of Audit	05/01/2024 (August 2023 Audit)		
Client Name	A1 Group		
Referenced Documents/Clauses/procedures:	Business Risks OP 003 - Compliance Obligations OP 006 – Document and data storage OP 013 – Complaints De-pollution Process SITE WALK to encompass health, safety and environmental issues Management Review.		
Auditor(s):	Martin Saunders	Auditee(s):	Louise Bowness, Sean Whittle.
Audit summary: (Including observations)	Mandatory Audit Questions: Are the correct UKAS logos being used and are no UKAS logos on certificates of conformance? The organisation conforms to the UKAS requirements. Any changes to the audited processes? No changes for this auditing period and changes are alerted to JR consultants. Any new risks and opportunities? No additional risks were identified. Any Scope changes? No scope changes for this auditing period. Any Non-conformances for this auditing period? No nonconformances during this auditing period. Is the Quality, Environmental, and H&S Policy on display? All policies are on display.		
Details of Non-Conformances: (Include reference Numbers of NC's raised if required)	The organisation has zero non-conformance for this auditing period.		

Audit Notes and findings:

Business Risks

The organisation has adopted a risk register reviewed for 2023 and inserted below:



BUSINESS RISK REGISTER 1st January 2024

REVISION RECORD	Date	By	Change Details
Initial Review	27 July 2024	Sam Fildes - RB	Initial Review
Review after 12 Months	27 July 2025	Sam Fildes - RB	Review after 12 months
Review after 24 Months	27 July 2026	Sam Fildes - RB	Review after 24 months
Review after 36 Months	27 July 2027	Sam Fildes - RB	Review after 36 months
Review after 48 Months	27 July 2028	Sam Fildes - RB	Review after 48 months
Review after 60 Months	27 July 2029	Sam Fildes - RB	Review after 60 months
Review after 72 Months	27 July 2030	Sam Fildes - RB	Review after 72 months
Review after 84 Months	27 July 2031	Sam Fildes - RB	Review after 84 months
Review after 96 Months	27 July 2032	Sam Fildes - RB	Review after 96 months
Review after 108 Months	27 July 2033	Sam Fildes - RB	Review after 108 months
Review after 120 Months	27 July 2034	Sam Fildes - RB	Review after 120 months

The Business Risk Register is an articulation of the key risks to the A1 Group Operations and the actions that are being taken to respond to these risks. The Business Risk Register is reviewed on a regular basis by the Senior Management Team following detailed review and updating by the following:

- Audit Reporting
- Case Files
- Loss File
- New Risks
- Threats/IT
- Financial (including Suppliers)
- Resources
- Training
- HR
- Environmental

Responsibility for updating the Business Risk Register and ensuring actions are taken to mitigate risks is a corporate responsibility but operational responsibility for ensuring this happens rests with Directors and the Consultant with the support of a senior Auditor.

With the A1 Group it is accepted there are numerous types of business risk out there. Not all risks can be managed or treated in the same way, it's key to understand what type of risks areas of the business is dealing with before the business can deal with it.

Roles and Responsibilities

The roles and responsibilities of the various groups and individuals within the A1 Group are set out below:

Director

Key Responsibilities:

- The Managing Director remains ultimately accountable for the organisation and its management of risks.
- He must ensure a clear understanding and assessment of the risks that could prevent delivery of objectives.
- He must ensure that the organisation has effective risk management and control processes.
- He must ensure that the organisation has the resources and skills to manage the risks.
- He must ensure that the organisation has the policies and procedures in place to ensure that the key risks to the A1 Group are managed and are being effectively mitigated.

Management Board

Members of the Management Board are responsible for reviewing the key risks to the A1 Group and ensuring that the organisation has the resources and skills to manage the risks.

General Manager & Divisional Managers

Members of the Management Board are responsible for reviewing the key risks to the A1 Group and ensuring that the organisation has the resources and skills to manage the risks.

Office Manager & HR Consultant

Members of the Management Board are responsible for reviewing the key risks to the A1 Group and ensuring that the organisation has the resources and skills to manage the risks.

Group Accountant, Support Manager

Members of the Management Board are responsible for reviewing the key risks to the A1 Group and ensuring that the organisation has the resources and skills to manage the risks.

AI/Other Staff

Members of the Management Board are responsible for reviewing the key risks to the A1 Group and ensuring that the organisation has the resources and skills to manage the risks.

RISK	IMPACT	CONTROL MEASURES	MONITORING
Service Risk	Using a supplier	The A1 Group will only use suppliers that are approved by the Management Board. All suppliers must be subject to a thorough vetting process before being approved. The A1 Group will only use suppliers that are approved by the Management Board. All suppliers must be subject to a thorough vetting process before being approved.	The Management Board will monitor the performance of all approved suppliers. The Management Board will also monitor the performance of all approved suppliers.
Service Risk	Fire & Theft	The A1 Group will only use suppliers that are approved by the Management Board. All suppliers must be subject to a thorough vetting process before being approved. The A1 Group will only use suppliers that are approved by the Management Board. All suppliers must be subject to a thorough vetting process before being approved.	The Management Board will monitor the performance of all approved suppliers. The Management Board will also monitor the performance of all approved suppliers.
Service Risk	Loss of Stock	The A1 Group will only use suppliers that are approved by the Management Board. All suppliers must be subject to a thorough vetting process before being approved. The A1 Group will only use suppliers that are approved by the Management Board. All suppliers must be subject to a thorough vetting process before being approved.	The Management Board will monitor the performance of all approved suppliers. The Management Board will also monitor the performance of all approved suppliers.
Transport Risk	Being late	The A1 Group will only use suppliers that are approved by the Management Board. All suppliers must be subject to a thorough vetting process before being approved. The A1 Group will only use suppliers that are approved by the Management Board. All suppliers must be subject to a thorough vetting process before being approved.	The Management Board will monitor the performance of all approved suppliers. The Management Board will also monitor the performance of all approved suppliers.
Transport Risk	Accidents	The A1 Group will only use suppliers that are approved by the Management Board. All suppliers must be subject to a thorough vetting process before being approved. The A1 Group will only use suppliers that are approved by the Management Board. All suppliers must be subject to a thorough vetting process before being approved.	The Management Board will monitor the performance of all approved suppliers. The Management Board will also monitor the performance of all approved suppliers.
Transport Risk	Loss of assets	The A1 Group will only use suppliers that are approved by the Management Board. All suppliers must be subject to a thorough vetting process before being approved. The A1 Group will only use suppliers that are approved by the Management Board. All suppliers must be subject to a thorough vetting process before being approved.	The Management Board will monitor the performance of all approved suppliers. The Management Board will also monitor the performance of all approved suppliers.

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Transport Risk	Loss of IT system	The A1 Group will only use suppliers that are approved by the Management Board. All suppliers must be subject to a thorough vetting process before being approved. The A1 Group will only use suppliers that are approved by the Management Board. All suppliers must be subject to a thorough vetting process before being approved.	The Management Board will monitor the performance of all approved suppliers. The Management Board will also monitor the performance of all approved suppliers.
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The risk register has been reviewed for 2024 and is a comprehensive guidance of the risks generated and documented by A1 Group.

OP 003 - Compliance Obligations

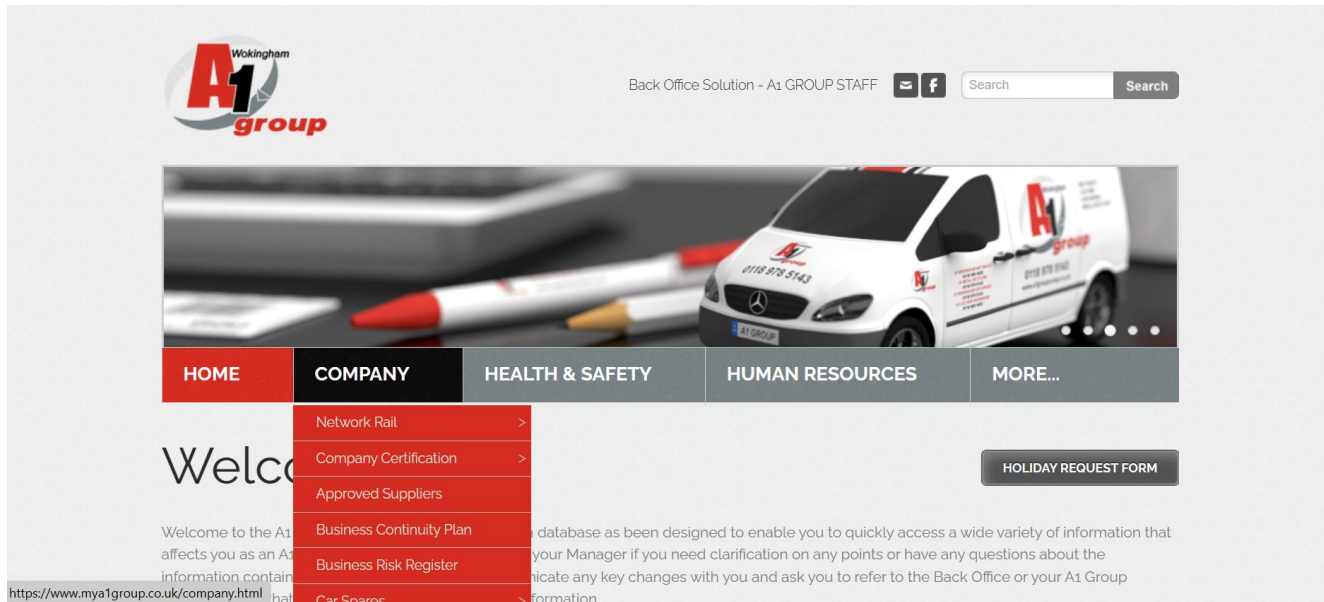
The legal register, Review Date January 2024 is documented within the back office function for A1 and is sampled below:

Document ID	Revision of legal and other requirements	Issue 1 st January 2024	Document ID	Revision of legal and other requirements	Issue 1 st January 2024	Document ID	Revision of legal and other requirements	Issue 1 st January 2024	Document ID	Revision of legal and other requirements	Issue 1 st January 2024	Document ID	Revision of legal and other requirements	Issue 1 st January 2024
OP003-001	Legislation	Compliance with all applicable legislation	OP003-002	Regulation	Compliance with all applicable regulations	OP003-003	Contract	Compliance with all applicable contracts	OP003-004	Policy	Compliance with all applicable policies	OP003-005	Procedure	Compliance with all applicable procedures
OP003-006	Standard	Compliance with all applicable standards	OP003-007	Code of Practice	Compliance with all applicable codes of practice	OP003-008	Guidance	Compliance with all applicable guidance	OP003-009	Best Practice	Compliance with all applicable best practice	OP003-010	Industry Practice	Compliance with all applicable industry practice
OP003-011	Regulation	Compliance with all applicable regulations	OP003-012	Contract	Compliance with all applicable contracts	OP003-013	Policy	Compliance with all applicable policies	OP003-014	Procedure	Compliance with all applicable procedures	OP003-015	Standard	Compliance with all applicable standards
OP003-016	Regulation	Compliance with all applicable regulations	OP003-017	Contract	Compliance with all applicable contracts	OP003-018	Policy	Compliance with all applicable policies	OP003-019	Procedure	Compliance with all applicable procedures	OP003-020	Standard	Compliance with all applicable standards
OP003-021	Regulation	Compliance with all applicable regulations	OP003-022	Contract	Compliance with all applicable contracts	OP003-023	Policy	Compliance with all applicable policies	OP003-024	Procedure	Compliance with all applicable procedures	OP003-025	Standard	Compliance with all applicable standards
OP003-026	Regulation	Compliance with all applicable regulations	OP003-027	Contract	Compliance with all applicable contracts	OP003-028	Policy	Compliance with all applicable policies	OP003-029	Procedure	Compliance with all applicable procedures	OP003-030	Standard	Compliance with all applicable standards
OP003-031	Regulation	Compliance with all applicable regulations	OP003-032	Contract	Compliance with all applicable contracts	OP003-033	Policy	Compliance with all applicable policies	OP003-034	Procedure	Compliance with all applicable procedures	OP003-035	Standard	Compliance with all applicable standards
OP003-036	Regulation	Compliance with all applicable regulations	OP003-037	Contract	Compliance with all applicable contracts	OP003-038	Policy	Compliance with all applicable policies	OP003-039	Procedure	Compliance with all applicable procedures	OP003-040	Standard	Compliance with all applicable standards
OP003-041	Regulation	Compliance with all applicable regulations	OP003-042	Contract	Compliance with all applicable contracts	OP003-043	Policy	Compliance with all applicable policies	OP003-044	Procedure	Compliance with all applicable procedures	OP003-045	Standard	Compliance with all applicable standards
OP003-046	Regulation	Compliance with all applicable regulations	OP003-047	Contract	Compliance with all applicable contracts	OP003-048	Policy	Compliance with all applicable policies	OP003-049	Procedure	Compliance with all applicable procedures	OP003-050	Standard	Compliance with all applicable standards

The register is compliant and maintained by the HR business partner.

OP 006 – Document and data storage

There is comprehensive control of documents and data with the A1 back office CRM system, extracts inserted below:



The system is maintained by a professional consultant. The system has dropdown parameters and logon security controls. Dates, times, and documents can be retrieved with the correct headers, footers and up-to-the-minute precise retrieval.

OP 013 – Complaints

There is a complaints policy, ratified by Russell Pike - Managing Director A1 Group on the 01/01/2024, inserted below:

Complaints Policy Statement

Introduction
The A1 Group is committed to providing a high standard of service to its employees, customers, supplier and clients. The key principles of the business policy on the handling of complaints are outlined below.

Scope
This policy is applicable to all employees (if a complaint is made then this will be treated in line with our Grievance procedure), Clients/customers, Suppliers of the A1 Group

Aims and Objectives
If we are to succeed in providing a high-quality service, we must continually look at our performance and try to improve it.

In dealing with complaints, we aim to ensure that:

- Making a complaint is as easy as possible for you
- We issue a written reply within 10 working days. However, if for some reason that is not possible, we will advise you of the reason for the delay
- We identify areas where repeated problems are occurring and take steps to improve our service.

Our objective is to put things right for the customers wherever possible, learn from where we went wrong, and make sure that we do not make the same mistake again.

How can I make a comment or complaint to The A1 Group?
The A1 Group hope to make your experience of dealing with us an excellent one and we welcome your comments, suggestions and details of satisfaction (or dissatisfaction) about the service you have experienced when contacting us or using any of our services or products. We would also like to hear if a particular member of staff has provided you with exceptional service.

What we will do
All employees, suppliers, clients and customers of The A1 Group are dealt with seriously and impartially and are responded to promptly – regardless of the subject matter, medium or the country in which the complaint has been made.

We aim to acknowledge your complaint within 3 days and will seek response to feedback or resolution of complaints within 10 working days.

We will draw on information received from your customer comments and complaints to improve our services and products.

What to do next
How to make a comment or complaint:

Contact the person or department or office that you have already dealt with to fully explain your views or situation and ask for a response or assistance

All supplier, clients and customer comments and complaints are reviewed carefully, added to a wide range of internal and external measurements of our service performance and used to collate data of your perceptions and experiences.

These are shared across The A1 Group's business with a view to improving our products and services.

External review

If you have an external body who governs your business, you can add the following

Employees, Suppliers, clients and Customers who are not satisfied with the response they receive can ask to have their case reviewed by an external body. The Managing Director will provide you with more information about the options available to you when he responds to your complaint. The external review of complaints about The A1 Group is undertaken by Stuart Cawthorne, Transport Manager, Highland Avenue, Silver Birches, Wokingham RG41 4SP

The Company will make all employees aware of this Policy.

Signed:  Date: 1/1/24

Russell Pike - Managing Director A1 Group

Next Review date the policy will be reviewed at fortnightly intervals until January 2025



Created by HR & Business Solutions Ltd - Supporting your business

The organisation has an actions and improvement log, revised for 2023 and updated as a live document on the back office CRM system. This nonconformance record has been sampled and inserted below, it contains nonconformances from the last external audit and the rectifications:

Last Review date		Action and Improvement Log 2023						
Action No.	Date Raised	Depot	Audit Identification	Process improvement issue	Corrective action (fix at source)	Preventive Action (prevent re-occurrence)	Action to be undertaken by	Date Closed
	14/09/2023							
		ALL SITES						
		WOKINGHAM						
		LAMBS LANE						
		BRIDGEND						
		BENNETTS YARD						
		OXFORD						
		COVENTRY						
		PORTSMOUTH						
42	21 Jul	Wokingham	EAA	Areas of concrete at the north end of the site in and around the "Main vehicle crushing and recycling area" are deteriorating and becoming broken and damaged. These areas are in the vicinity of areas where un-depolluted ELVs are stored and treated and where compaction of ELVs takes place. (Drainage to the depollution shed appears blocked meaning spillages could run into these areas.)	CD to resolve	Ongoing	Clive Owen	ongoing
185	06/03/18	Oakley	H&S	Lone working	Introduce lone working policy	Review lone working arrangements regularly and adapt policy or training to suit	Ivor Swatton	ongoing
186	06/03/18	Oakley	H&S	Yard Pot holes large pots holes collecting water which could freeze	Fill 2 pot holes in yard	Monitor yard flooring and fill in any pot holes - this could be added to the IAuditor report	Ivor Swatton	ongoing
208	14 Mar 19	All	EAA	Provide evidence of action plans and targets to support the objectives they have set within their integrated management system	Devise targets to support the objectives within integrated management system	Ensure this is reviewed monthly	Clive Owen	ongoing

De-pollution Process

An interview with Gary detailed the de-pollution process, where a scrap car involves systematically removing and disposing of hazardous materials to ensure environmental safety, the description and understanding were very proficient from the auditee:

Fluid Drainage:

Drain all fluids, including engine oil, transmission fluid, coolant, brake fluid, and any other liquids. Collect and store fluids separately for proper disposal or recycling.

Battery Removal:

Disconnect and remove the car battery.
Recycle the battery through authorised facilities.

Airbag and Gas Tank Handling:

Safely deploy and dispose of airbags, following manufacturer guidelines.
Remove and drain the fuel tank, ensuring it's properly recycled.

Mercury Switch Removal:

Extract and properly dispose of mercury switches found in convenience lights and anti-lock brake systems.

Tyre Recycling:

Separate and recycle tyres

Catalytic Converter Removal:

Extract and recycle the catalytic converter, which may contain precious metals.

Fluid Filter and Parts Recycling:

Remove and properly dispose of fluid filters, such as oil and fuel filters.
Separate and recycle other recyclable components, like metal parts.

Vehicle Shell Processing:

Crush or shred the remaining vehicle shell for recycling.
Separate materials like metal, plastic, and glass for recycling.

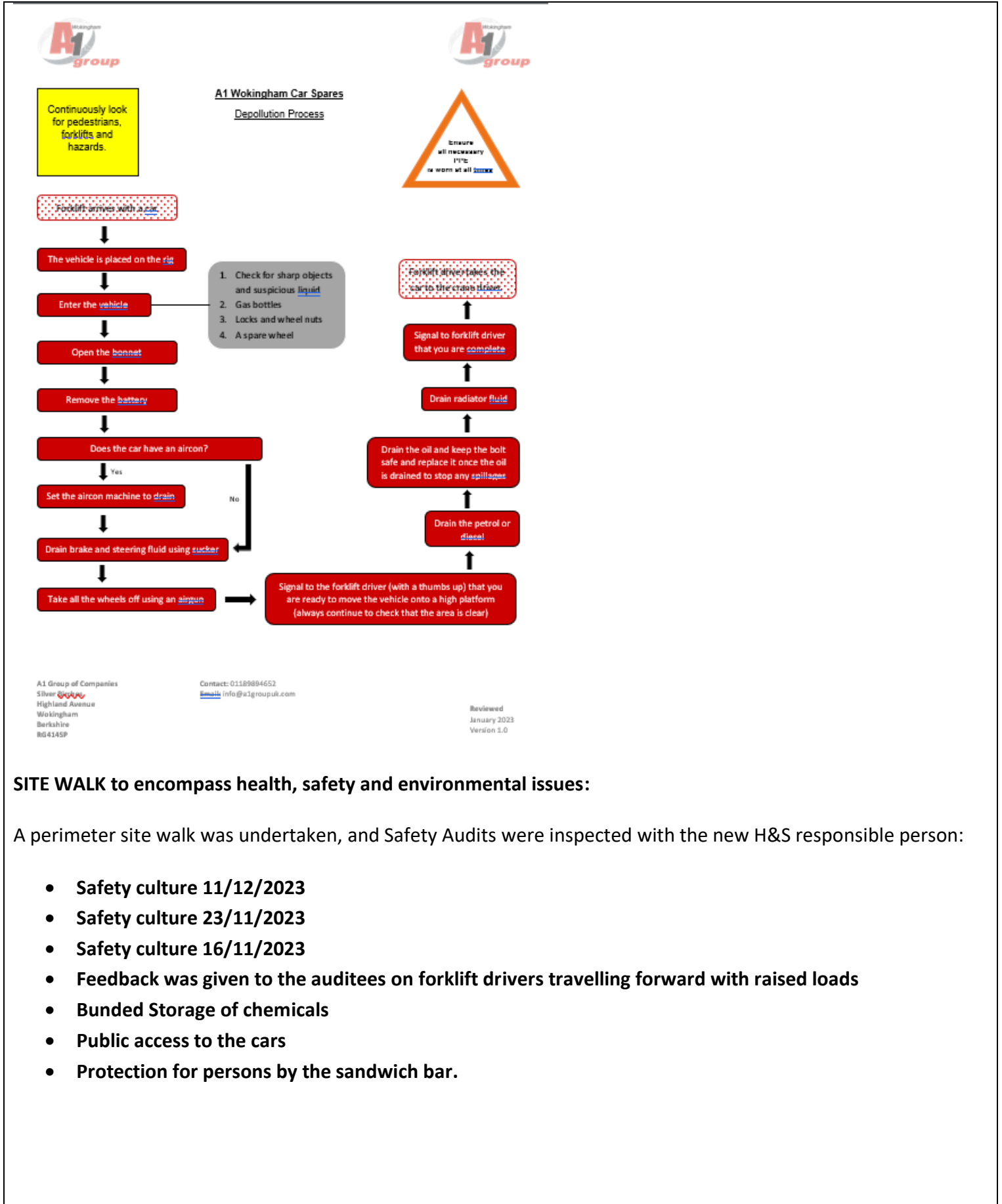
Environmental Compliance:

Ensure compliance with environmental regulations and guidelines throughout the de-pollution process.

Documentation:

Maintain records and documentation of the de-pollution process for regulatory purposes.

The process flow is inserted below:



SITE WALK to encompass health, safety and environmental issues:

A perimeter site walk was undertaken, and Safety Audits were inspected with the new H&S responsible person:

- Safety culture 11/12/2023
- Safety culture 23/11/2023
- Safety culture 16/11/2023
- Feedback was given to the auditees on forklift drivers travelling forward with raised loads
- Bunded Storage of chemicals
- Public access to the cars
- Protection for persons by the sandwich bar.

Management Review.

The management review is retained and maintained for this auditing period by the HR business partner.

Summarise Conformity with Requirements:

The evidence reviewed has demonstrated that the requirements of this internal audit period have been met. A1 have established and implemented systems and processes to identify and achieve continual improvement and these have been established in the audit agenda for this period.