

Internal Audit Report & Checklist



Date of Audit	13 th September 2022. Carried out remotely.		
Client Name	A1 Group Ltd.		
Referenced Documents/Clauses/procedures:	<ul style="list-style-type: none"> Business risks OP003 Compliance obligations OP006 Document and data storage OP010 Calibration and maintenance OP013 Complaints and feedback. De-pollution process Site walk. 		
Auditor(s):	Ian Wilson	Auditee(s):	C.O., S.W.
Audit summary: (Including observations)	Carried out August audit.		
Details of Non Conformances: (Include reference Numbers of NC's raised if required)	None found Please see note in OP10 regarding the weighbridge.		

Audit Notes and findings;	<ul style="list-style-type: none"> Business risks <p>The business risk register was reviewed on 1st January 2022. It is available as a separate document and is considered accurate and current. It is located on the Back Office.</p> <ul style="list-style-type: none"> OP003 Compliance obligations <p>To identify and ensure the Company complies with all legal and other requirements to which it subscribes to – as identified senior staff, regarding the following:</p> <ul style="list-style-type: none"> The Environment Work activities e.g., electrical, gas etc. Health & Safety <p>The company maintains a legal register which was last reviewed in January 2022 and is felt to still be current. It is available as a separate document. It includes the latest Covid-19 legislation.</p>
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The company also has a Covid-19 specific Risk Assessment available on Back Office.

- **OP006 Document and data storage**

This process ensures there is adequate control on documents and data relevant to the company's integrated management system. The Managing Director has overall responsibility for ensuring that the management records are established, documented and maintained.

The records will demonstrate conformance to specification and that the management system is working effectively. Records will be kept preventing any damage to them ensuring they are always kept secure or stored electronically wherever possible.

The company tries to use Back Office as a repository of all things in records as far as possible. A list of these is available in the system. It is a central point of reference for most of the documentation relating to the everyday running of the business.

Records are retained for a minimum of three years unless specified or at duration defined by the customer or any relevant regulatory authority. Records will be made available to customers if requested.

Records may be disposed of at the discretion of the Management Team if they have been kept for three years and unless the customers specify otherwise.

- **OP010 Calibration and maintenance**

This process ensures that all equipment owned and operated by the Company is always maintained and inspected to ensure its adequacy.

All equipment used by the Company, is either hired, leased or owned by the A1 Group.

All plant and equipment brought on site by contractors and visitors must be maintained and controlled accordingly.

Examples:

Hyvalift skip loader serial SO1138. Inspected 22nd June 2022, certificated to 21st June 2023.

Under Allianz policy NV09947434, report E33626026131:

FL26. Toyota 52-8FDJF35, serial 582962, 21st June 2022 for one year. All good.

FL27. Toyota 52-8FDJF35, serial 582968, also 21st June 2022 for one year. All good.

FL25. Fork truck rotavator attachment report E33626025922 on 4th May 2022. Two advisories: 1) Unique identifier should be permanently marked, and 2) safe working load ascertained and clearly marked.

MAN TGS 26.360 Regd RE12 TOW. Service and MOT 1st August 2022. Mileage 549021. Service no. 22335, invoice 20262.

Weighbridge 135150564 is having repairs done and will then be recalibrated in approx ten days' time. This report will be re-issued after the new calibration certificate is issued

- **OP013 Complaints and feedback**

This Procedure defines the activities to be carried out in the event of all customer complaints made and our method for analysing feedback received from our customers.

The company representative who initially finds or receives notification of the complaint will complete a customer complaint form.

The QER shall in conjunction with the customer (if applicable) specifies the action to be taken to resolve the complaint and the frequency for this to be completed. The QER shall then ensure that the result of the action taken clears the complaint recording any further actions taken if necessary.

There have been no customer complaints recorded since the last audit. Any negative customer comments are generally of a minor nature and usually relate to chemical toilet hire servicing i.e., over a bank holiday, and are dealt with promptly and efficiently

Feedback, although not actively sought, is measured by KPI.

- **Vehicle de-pollution**

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Any vehicles collected will be subject to final de-pollution in accordance with the ELV license and this will include removal of:

- Tyres
- Gear box
- Engine
- Oil and oil filters
- Metals – both ferrous and non-ferrous metals

Vehicles are processed according to the process in the manual.

Records are maintained on the Back Office of everything that happens to the vehicle, including the Certificate of Destruction.

- **Site walk**

Could not be carried out due to Covid restrictions but site walks are carried out by staff and recorded on Back

Office.