

Internal Audit Report & Checklist



Date of Audit	30 th September 2020. 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		

<p>Audit Notes and findings;</p> <ul style="list-style-type: none"> • Business risks <p>The business risk register was reviewed on 1st September 2020. It is available as a separate document and is considered accurate and current.</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 this month 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 system is relatively new and there have been no changes to it since inception. It is referred to as 'Back Office'.

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.

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:

Hyvolift serial SO1138. Inspected 16th June 2020, certificated to 16th June 2021.

FL13 Telescopic handler JCB 30D4x4 serial 1541956, Inspected 16th June 2020, certificated to 16th June 2021.

FL18 Toyota 52-8FDJ35, serial 35060654, Inspected 16th June 2020, certificated to 16th June 2021.

FL17 Toyota 52-8FDJ35, serial 3560451, Inspected 16th June 2020, certificated to 16th June 2021.

FL4 Toyota 52-8FDJ35, serial 353C30188, Inspected 16th June 2020, certificated to 16th June 2021.

RP17 RUS MOT until 30/9/21, mileage at MOT 169919

SP17 RUS MOT until 31/7/21, mileage at MOT 152541

- **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**

Any vehicles collected will be subject to final de-pollution in accordance with our 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.