



Consolidated Construction Consortium Ltd.

PROCEDURE NO. : **CSP- 4.5.5**

**PROCEDURE FOR INTERNAL AUDITS**

REV. NO. 0

DATE: 16-04-2008

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**PROCEDURE FOR INTERNAL AUDITS**

0	16-04-2008	First issue

REV. NO.

DATE

BRIEF RECORD OF REVISIONS

PREPARED BY : HEAD - HSE

SIGNATURE

NAME

: S N NARAYANAN

APPROVED BY : DIRECTOR (OPERATIONS)

SIGNATURE

NAME

: V G JANARTHANAM



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**1.0 OBJECTIVE**

To conduct Health, Safety & Environmental audits and to assess the effectiveness of HSE management system.

**2.0 SCOPE**

This procedure covers all activities performed at project sites and offices.

**3.0 RESPONSIBILITY**

MR/MA and qualified Internal Auditors.

**4.0 PROCEDURE:**

**4.1 Audit checklists for Health, Safety and Environment**

4.1.1 The Health, Safety and Environment (HSE) audit checklists are developed covering the following activities/areas.

- 1) Records
- 2) Safety Training
- 3) Safety Promotion
- 4) Housekeeping
- 5) Ladders
- 6) Scaffolding
- 7) Electrical
- 8) Excavation
- 9) Welding
- 10) Fire Prevention
- 11) Use of Personal Protective Equipment
- 12) First Aid
- 13) Fall Protection
- 14) Builder Hoist
- 15) Cranes
- 16) Power Tools
- 17) Miscellaneous



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- 4.1.2 SE/SS to conduct HSE audits at least once a month using the checklists and the status of implementation / compliance shall be reported to PM.
- 4.1.3 PM to ensure that corrective actions are taken to rectify non-compliances reported and informs Head - HSE Management accordingly.
- 4.1.4 SE/SS to prepare site specific new checklists if new activities other than identified above are taken up. SE/SS to revise the checklists to incorporate any new requirements based on the site specific requirements.
- 4.1.5 The Internal Audit of the HSE Management System is conducted at least twice in a year. Frequency of internal audit is increased, if required, based on results of previous audit.
- 4.2 Audit is conducted by Internal Auditors provided with adequate training by competent external agency and the list of such trained auditors is maintained by MR. If necessary, MR also decides to take the help of external trained auditors to assist in internal auditing.
- 4.3 MR decides the annual audit plan at the beginning of the year for Internal HSE Management System Audit.

**4.4 Audit Planning & Scheduling**

- 4.4.1 MR/MA identifies areas for audit based on HSE importance, the current status of HSE system, the results of Aspect & Hazard assessment of activities concerned and the results of previous audits. MR/MA prepares a schedule in consultation with various HODs and circulates the schedule to auditors & auditees.
- 4.4.2 MR/MA decides the scope of audit for each of HSE Management System element based on discussion with concerned PMs and selects the internal auditors who are independent of the area to be audited.
- 4.4.3 MR/MA provides the internal auditors with information about the previous audit findings, if any, to check the effectiveness of corrective action taken and revalidation.
- 4.4.4 MR/MA ensures cordial relationship between the auditor and auditee.



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## **4.5 Conduct of the Audit**

### **4.5.1 Internal auditors carry out audit based on**

- a. HSE Management System Manual, Procedures, OCPs.
- b. Relevant HSE records.
- c. Aspects / Impacts and Hazards & Risks identified and their results.
- d. HSE Management Programs
- e. Relevant Legal regulations & other requirements.
- f. Previous audit results.

### **4.5.2 The auditor, when observes nonconformity, shall raise NCR in format [CSF - 018](#) which will contain observations, proposed corrective actions, actions taken. The auditor shall record the nonconformity & the auditee shall record the disposition & proposed corrective actions in NCR. Original copy shall be given to MR/MA & a copy to the auditee. A copy is retained with the auditee for reference.**

### **4.5.3 Classification of observations raised during Audit include**

#### **Observations for Improvement**

- a) Minor non-conformities that can be corrected immediately.
- b) Targets not achieved but there is considerable improvement and system is in place.
- c) Documents not updated / signed, but right system is followed.

#### **Non-conformities Minor & Major**

- a) Repetition of previous non-conformity.
- b) System requirements are not addressed.
- c) Deviations from Documented system.
- d) Management is deviating from its responsibilities.
- e) Non-compliance to legal requirements.
- f) Major grievances from interested parties.

### **4.5.4 Internal audit summary sheet is prepared by MR which forms an input for Management Review Meeting.**

**PROCEDURE FOR  
INTERNAL AUDITS****4.6 Follow-up Action**

- 4.6.1 The auditee on completion of disposition & corrective actions will intimate auditor/MR so that auditor/MR can verify the implementation & effectiveness of corrective actions which will be recorded in NCR. If the corrective action is effective and found to be satisfactory the non-conformity is closed.
- 4.6.2 If the auditor could not fully verify the effectiveness of corrective actions, he will endorse accordingly and which will then be verified in the follow up audit. In such cases, MR/MA will organise a separate follow up at a later date or can organise for verification during next cycle of audit. MR/MA retains the original copy of NCR & a copy shall be given to the auditee.
- 4.6.3 Wherever any non-conformity & corrective actions occurring in one identified area can be extended to other areas, MR will advise the concerned HODs to implement such corrective actions as preventive actions.
- 4.6.4 MR/MA prepares a consolidated report on the internal audit observations for submission in Management Review Meetings.
- 4.6.5 Un-scheduled audits may also be undertaken as per discretion of MR/MA under the following circumstances
- a. In case of repetition of same non-conformities in that area
  - b. If the number of non-conformities are more in that area
  - c. Introduction of new process / activity.
- If any change in the statutory / regulatory requirements.