**Sample Internal Audit Report**

DATE:

SUBJECT: Internal Audit Findings

Review of items noted in prior audit:

1. Prior audit noted Training, Safety, and Quality manager positions to be moved from reporting to the Director of Operations to an independent, direct report position, with full authority. This was finalized on xx/yy/zzzz.
2. Prior audit recommended the development of a tracking system for required training and certifications. The Training Manager has created an excel sheet that details all field workers with columns across the top for required training. The Office Manager has been tasked with keeping this current. Upon inspection, this seems to be working well.

New items

1. Several employees have lapsed on required CPR and Bloodborne Pathogen training. Will include them in upcoming training day in April.
2. There is currently no procedure for tracking EMR for subcontractors. This needs to be developed so that superintendents can work with the Safety Manager to ensure

subcontractors with high EMR are more closely monitored.

1. Reviewed safety violations – No new violations in this period were reported. However, fall protection equipment is aging, and new inventory needs to be acquired and phased in, old equipment phased out. We should develop a process and checklist for increased inspection of fall protection equipment.
2. The Equipment checklists consistently report issues with the \_\_\_\_\_\_\_. It is recommended we begin to plan for a replacement.

The results of this audit were discussed this day with the President and the Safety Manager.

Signed – Bill Smith, Quality Manager

Note - Bill Smith is also the Training Manager.

**Sample Management Review Report**

Date:

Summary findings for the Management Review Meeting.

In attendance at this meeting were the President, the Safety Manager and Training Manager.

1. Review of Internal Audit Report
2. Review of Management System
	1. Update MS to comply with the recent changes to the AC478 criteria, specifically with regards to 25% journeyworkers and 3 year average EMR
	2. No other changes necessary at this time.
3. Safety Manual Review – no updates necessary at this time.
4. Safety violations for prior period– zero reportable safety violations in this period.
5. Employee Handbook Review
	1. Updated to reflect the change in insurance carrier.
	2. Mentor Program – new hire pairing with mentor was not consistent, include as line item on new hire check list.
6. Training Program Review
	1. update program to comply with new criteria for 25% of field workers to meet the definition of Journeyworker (also noted above in #2)
	2. implement changes noted in Post-Project Review Report (below)
7. Customer Complaints (corrective actions provided in Post -Project Review)
	1. Leaks reported at the XYZ Project after the November storm
	2. Needed to replace epoxy floor coating due to install before building was dry
8. Sub-Contractor Review – we did not sub-contract any work last year.
9. Project Performance
	1. See attached Post Project Review report
	2. General notes – need to reenforce requirement to consistently move drawings and other documents from emails to the job folder
10. Plan for Continual Improvement
	1. Move inspection and other safety/quality checklists/forms to app platform.
	2. Implement changes noted above and in Post-Project Review report.

Respectfully submitted,

Bill Smith, Quality Manager

**Post -Project Review for calendar year 202x**

**XYZ Project** - Construction of new 1-story, 10,780 SF public works building with mezzanine and parking bays.

Contact info: insert info on contact with contracting entity

1. Site Specific Plan Created and Implemented – Yes
2. Customer Complaints – roof leaks at HVAC penetrations
3. OSHA/Safety Concerns – none
4. Corrective Actions / Lessons Learned:
	1. Reviewed water-tightness warranty inspection checklist.
	2. Review preplanning quality control measures already in place with superintendents to better coordinate with mechanical installers.

**ABC Project -** Construction of 2 new, 1-story, 12,000 SF storage buildings containing administrative offices and warehouse space.

Contact Info:

1. Site Specific Plan Created and Implemented – Yes but should have had a JSA for the rough site conditions.
2. Customer Complaints - none
3. OSHA/Safety Concerns – There were no reported OSHA violations. Site visits noted the following safety concerns: Assemblers in MEWP were not using the proper lanyards on fall restraint harness.
4. Corrective Actions / Lessons Learned:
	1. Employees were retrained in fall protection requirements and use.
	2. Fall protection training update and refresher training will now be an annual requirement for all field employees.
	3. Ensure site conditions are reviewed prior to development of site-specific plan

**South Building 2 -** Construction of new, 1-story, 16,000 SF warehouse

Contact Info:

1. Site Specific Plan Created and Implemented – Yes
2. Customer Complaints - none
3. OSHA/Safety Concerns – There were no reported OSHA violations. Super noted an assembler was observed using an A-frame ladder in the closed position, leaning against the wall.
4. Corrective Actions / Lessons Learned: Employees were retrained in the proper use of ladders and ladder training is now required annually for all field employees.

**North Building 3 -** Construction of new, 1-story, 16,000 SF warehouse

Contact Info:

1. Site Specific Plan Created and Implemented – Yes
2. Customer Complaints - $25K issue when epoxy floor coating was installed prior to building being dried-in. Mishap occurred while Super was on vacation
3. OSHA/Safety Concerns – none
4. Corrective Actions / Lessons Learned:
	1. Add Super vacation cover contact to subcontractor meeting notes
	2. Communicate more clearly with subcontractors.
	3. Implement readiness checks to ensure preparedness prior to major installation activities.

**Reno Job –** re-roof only to an existing 20,000 SF building

Contact Info:

1. Site Specific Plan Created and Implemented – no because it was only a roof replacement not a complete MBS assembly
2. Customer Complaints - none
3. OSHA/Safety Concerns – none
4. Corrective Actions / Lessons Learned:
	1. Consider creation of an abbreviated Site Specific Plan for this type of work. We lost one day due to equipment not being on site when needed.