



Audit Report for D & D Rail Ltd

Visit Number 3 Surveillance Audit

For training on this management system and for all your training needs, please visit the SGS Academy at www.sgs.co.uk/trainingbrochure

To subscribe to the SGS newsletter please visit <http://www.sgs.co.uk/en-GB/Our-Company/E-Subscriptions.aspx>

Management System Certification Audit Summary Report

Organisation:	D & D Rail Ltd		
Address:	Time House Time Square Basildon Essex SS14 1DJ		
Standard(s):	ISO 9001:2008 - Quality Management System Certification	Accreditation Body(s)	UKAS
Representative:	Deborah Cox		
Site(s) audited:	Time House SS14 1DJ	Date(s) of audit(s):	06-02-2015
EAC Code:	28	Nace Code:	45
		Technical Area Code:	28.1
Effective No. of Personnel	22	No. of Shifts:	1
Lead auditor:	Trevor Smith	Additional team member(s):	
Additional Attendees and Roles			
This report is confidential and distribution is limited to the audit team, client representative and the SGS office.			

1. Audit objectives

The objectives of this audit were:

- to confirm that the management system conforms with all the requirements of the audit standard;
- to confirm that the organisation has effectively implemented the planned management system;
- to confirm that the management system is capable of achieving the organisation's policy objectives.

2. Scope of certification

ISO 9001:2008 - Quality Management System Certification

Construction and maintenance: new and refurbishment projects, excluding clause 7.3 Design and Development.

Has this scope been amended as a result of this audit?

Yes No

This is a multi-site audit and an Appendix listing all relevant sites and/or remote locations has been established (attached) and agreed with the client

Yes No

3. Current audit findings and conclusions

The audit team conducted a process-based audit focusing on significant aspects/risks/objectives required by the standard(s). The audit methods used were interviews, observation of activities and review of documentation and records.

The structure of the audit was in accordance with the audit plan and audit planning matrix included as

annexes to this summary report.

The audit team concludes that the organisation has has not established and maintained its management system in line with the requirements of the standard and demonstrated the ability of the system to systematically achieve agreed requirements for products or services within the scope and the organisation's policy and objectives.

Number of nonconformities identified: 0 Major 0 Minor

Therefore the audit team recommends that, based on the results of this audit and the system's demonstrated state of development and maturity, management system certification be:

Granted / Continued / Withheld / Suspended until satisfactory corrective action is completed.

4. Previous Audit Results

The results of the last audit of this system have been reviewed, in particular to assure appropriate correction and corrective action has been implemented to address any nonconformity identified. This review has concluded that:

- Any nonconformity identified during previous audits has been corrected and the corrective action continues to be effective. (Refer to Section 6 for details)
- The management system has not adequately addressed nonconformity identified during previous audit activities and the specific issue has been re-defined in the nonconformity section of this report.

5. Audit Findings

The audit team conducted a process-based audit focusing on significant aspects/risks/objectives. The audit methods used were interviews, observation of activities and review of documentation and records.

- The management system documentation demonstrated conformity with the requirements of the audit standard and provided sufficient structure to support implementation and maintenance of the management system. Yes No
- The organisation has demonstrated effective implementation and maintenance / improvement of its management system and is capable of achieving its policy objectives. Yes No
- The organisation has demonstrated the establishment and tracking of appropriate key performance objectives and targets and monitored progress towards their achievement. Yes No
- The internal audit program has been fully implemented and demonstrates effectiveness as a tool for maintaining and improving the management system. Yes No
- The management review process demonstrated capability to ensure the continuing suitability, adequacy and effectiveness of the management system. Yes No
- Throughout the audit process, the management system demonstrated overall conformance with the requirements of the audit standard. Yes No
- Certification claims are accurate and in accordance with SGS guidance and the organisation is effectively controlling the use of certification documents and marks. N/A Yes No

6. Significant Audit Trails Followed

The specific processes, activities and functions reviewed are detailed in the Audit Planning Matrix and the Audit Plan. In performing the audit, various audit trails and linkages were developed, including the following primary audit trails, followed throughout:

- Relating to Previous Audit Results: *(additional text required against italic font)*

From V2 audit

1. OFI – Opportunity for Improvement – Consider how the BCP can be regularly tested.
Response: BCP has been reviewed and tested. Full 24hr backup system and retrieval system has been tested and working effectively. **Closed**
2. OFI – Consider adding the external IT provider to the approved suppliers database.
Response: reviewed and completed. **Closed**
3. OFI – Consider developing a statement within the documented quality management system with regards to the BCP, where it's found, how/when it's reviewed etc.
Response: Quality Manual now at issue 8 where the changes have been included. (Procedure QP.03, Issue 001) **Closed**
4. Consider trying to make the internal audits more of a useful tool by focusing them into areas where IRFs (Incident Report Forms) have been initiated.
Response: This has been addressed and included and integrated into the system as part of the H&S QP16. **Closed**

All observations, opportunities for improvement and nonconformities reviewed and suitably addressed:	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> None raised
<i>Evidence:</i>			

- Relating to this Audit: *(additional text required against italic font)*

Changes:

Level of Integration?	<input checked="" type="checkbox"/> N/A	<input type="checkbox"/> Basic	<input type="checkbox"/> High
Key/Significant Organisational changes? (e.g key personnel, client activities, management system)		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Key/Significant System changes?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<i>Sample reviewed:</i>			
No significant changes since the last visit.			
No significant changes to the organisation structure			

Management Review:

Undertaken at defined intervals?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<i>Date of last review:</i>	9/10/14	
Attended by Senior Management?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
All required inputs/outputs?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<i>Evidence:</i>		
The minutes of the meeting show an open level of communication. All requirements of clause 5.6 have been included, considered and minuted. The action list from the meeting show 6 completed issues already with 5 still ongoing.		

Internal Audits:

Programme/schedule in place, audits conducted on time?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Reported satisfactorily, containing objective evidence and showing impartiality?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

Actions identified, suitably addressed within defined timescale?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<p><i>Sample reviewed:</i> The 2014 schedule was planned and completed in full. The 2015 is already planned and will follow the established pattern with activity planned for later in February. The following audits were seen:</p> <ul style="list-style-type: none"> • Report 421 dated 12/9/14 <ul style="list-style-type: none"> • Checklist seen – hand annotated • Findings – 1 improvement - target given. • Closed (See Section 8 for details) – the addition of a date in the tracking sheet will ensure visibility of time take to close. • Report 424 dated 10/10/14 <ul style="list-style-type: none"> • Good objective evidence seen and stated. • No findings • Closed. <p>Overall well planned and documented with hand annotated notes from the checklists. Looking through the others it is clear the process is followed and small issues are being found and resolved.</p>		

External communications/Customer feedback (incl. comments/suggestions):

Received from customer, interested parties?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Reported, reviewed and investigated?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Actions identified, suitably addressed and communicated within defined timescale?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<p><i>Sample reviewed:</i> There lots of email feedback from customers and clients all positive. The majority of the feedback is good but when comments are given or poor reports they are all investigated and if necessary action taken.</p>		

Customer satisfaction process (9001):

Received from customer?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Results reviewed, used for continual improvement of the effectiveness of the QMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<p><i>Sample reviewed:</i> Survey information, client feedback, complaint status and the regular meeting with clients and contractors build towards a feeling of customer satisfaction.</p>		

Objectives:

Measurable objectives, control objectives, annex A clearly defined?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Established at relevant functions and levels? (9001)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Programme/Action Plan established and adhered to? (14001/18001/50001)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<p><i>Sample reviewed:</i> The objectives were reviewed and documented in the management review minutes. All are measurable and will be tracked. In the upcoming management review meeting booked for March the 2014 objective will be reviewed and 2015 set and approved.</p>		

Legislation:

Demonstrated awareness of all applicable legal and other requirements?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Arrangements in place to monitor amendments to legal and other requirements?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<p><i>Sample of recent changes reviewed:</i> H/S legislation at trackside. Risk Assessments carried out.</p>		
Full evaluation of compliance taken place at periodic intervals? (14001/18001)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Records of the results (including evidence) of evaluations retained? (14001/18001)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

Actions identified and addressed? (14001/18001)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<i>Sample reviewed:</i>		

Incidents, complaints, correction and corrective action (dependent on standard):

Identified, investigated, actioned, reported in accordance with requirements?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Actions identified and addressed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<i>Sample reviewed:</i>		
Incidents – IRFs seen and none documented since last audit.		
Complaints – none recorded. Last raised 2010.		
Corrective actions have been seen in the following areas:		
<ul style="list-style-type: none"> • Customer feedback internal investigations • Management review meeting action lists • Non-conformance handling process <ul style="list-style-type: none"> ◦ NC report, 47, 46, 45, and many more – good process seen. • Plant handling controls and checks • Calibration process • Follow up activities for operational actions 		

Preventive action:

Identified, actioned, reported in accordance with requirements?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Actions identified and addressed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<i>Sample reviewed:</i>		
This follows the same handling as for corrective actions. (see above)		

Aspects/Hazards/Risks (Not Required for ISO9001):

All Aspects/Reasonably Foreseeable Hazards identified?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
All Aspects/Consequential Risks evaluated?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Appropriate control measures applied?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Suitable monitoring in place?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Review undertaken at defined intervals?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<i>Sample reviewed:</i>		

Operational Audit Trails:

Additional requirements identified from the audit plan:

Goods receiving

The LUL folder was seen and the following items sampled to assess overall control.

- Order No. 6068-LUL-CW-NP dated 3/2/15
 - Advice Note: BSD/00373751 - receive and signed
 - Advice Note: BSD/00373773 – received and signed
- Order No. 6065-LUL-KingX-M dated 30/1/15
 - Delivery Note. 704933 – signed and
- Order No. 5990-WH-MP dated 6/1/15
 - Advice Note: BAS/180542 – received and signed
 - Advice Note: BAS/180597 – received and signed

This is a well established system that can be seen from the records works well and allows the flexibility required to cater for all staff.

Request for product from site

The understanding for this is the materials and equipment required for the site team to continue their planned activities.

The report for King Cross was seen for 4/2/15 and the Material/Plan Request Sheet – this was reviewed the following morning and action put in place. The actions are then allocated to the responsible staff and followed up at the end of the day for completion. Otherwise it is taken to the next day's meeting.

Tools & Product return from site. Service Delivery

The following Plant Transfer Forms were selected for checking:

- Dated 5/2/15
 - from Warehouse to Brixton – signed for tested and ready
 - from warehouse to Brixton – signed for tested and ready
 - from warehouse to Kings Cross – signed for tested and ready
- Dated 6/2/15
 - From Canary Wharf to warehouse
 - From Hounslow East to warehouse.
- Office Material / Plant Request Sheet
 - Dated 5/2/15 from Hammersmith – 4 items marked and checked – signed.
 - Dated 5/2/15 from Hounslow East – 3 items marked and checked – signed
 - Dated 4/2/15 from Kings Cross – 6 items marked and checked – signed

This process is well established and the above are sample returned for internal processing within the last few days. The whole system is simple and very effective in ensure the location of all equipment is known. It is also evidence of the basic checking prior to release. A well managed process.

PAT & Calibration of tools

The calibration files were seen and the overall status was no items were out of calibration. A system is used that any equipment not in use is placed into quarantine until required. The monitoring of the data was signed and dated having been approved 3/2/15.

- Plant No. 5123 s/n SL2CD723 – certificate no. 72830 dated 19/6/14
- Plant No. 5123 s/n AB10087GB – certificate No. 72831 dated 19/6/14
- Plant No. 5100 s/n HT869B-88103 – certificate No. 18013795 dated 21/8/14

From the inspection of the records this shows that equipment is being checked and calibrated correctly by qualified firms.

PAT activity was last tested 30/12/14 for appliance Nos. 001 to 519 and R1 and R2 items listed. The firms PAT tester was out of calibration at the time so a hired unit was obtained via PO No. 5916/Warehouse dated 23/12/14. Training for the operator was verified as completed.

Business & Disaster Planning

The BCP is version 1 dated 6/1/14. This was seen and found to be simple and effective. Please remember to review this as its importance to the organisation is the accuracy of the data recorded. Well done, keeping things simple often works well.

Thanks, to D & D Rail Ltd staff for their cooperation and hospitality shown during the Audit.

End of Assessment – **Recommendation to continue certification**

Trevor Smith

Lead Auditor

7. Nonconformities – None Raised

8. General Observations & Opportunities for Improvement

The following observations were highlighted during the audit process and should be given consideration. If these observations are not addressed it may lead to non-conformances being identified at the next audit.

1. Internal Audit – The addition of a date in the tracking sheet field will ensure visibility of time take to close. The benefit to the process is rapid assessment of timely closure.

9. Opening and Closing Meeting Attendance Record

Name	Position	Opening	Closing
Deborah Cox	Senior Office Manager / QA Manager	Yes	Yes
Natasha Dunn	Office Administrator	Yes	Yes

Audit Plan (Current Visit)

Organisation:	D & D Rail Ltd		
Address:	Time House Time Square Basildon Essex SS14 1DJ		
Visit Number:	3	Actual Visit Date(s):	06-02-2015
Visit Due by Date:	4/2/2015	For auditor information only	
Lead Auditor:	Trevor Smith		
Team Member(s):			
Additional Attendees and Roles			
Standard(s):	ISO 9001:2008 - Quality Management System Certification		
Audit Language:	English		
Audit Scope:	ISO 9001:2008 - Quality Management System Certification	Construction and maintenance: new and refurbishment projects, excluding clause 7.3 Design and Development.	

Audit objectives: To confirm that the management system has been established and implemented in accordance with the requirements of the audit standard.

Date	Time	Auditor	Area / Department / Process / Function	Key Contact
6/2/15	1030	Trevor Smith	Opening meeting	Deborah Cox (DC), Natasha Dunn (ND)
	1040	TS	Changes since V2	DC, ND
		TS	Data analysis and performance management	DC, ND
		TS	Management review	DC, ND
		TS	Internal audit & Corrective action	DC, ND
		TS	Process risk & Preventive action	DC, ND
		TS	Complaints / feedback management	DC, ND
	1130	TS	Goods receiving	DC, ND
	1200	TS	Request for product from site	DC, ND
	1230	TS	Tools & Product return from site Service Delivery	DC, ND
	1245	TS	PAT & Calibration of tools	DC, ND
	1300	TS	Business & Disaster Planning	DC, ND
	1330	TS	Prepare report	
	1400	TS	Closing meeting	DC, ND

Notes to Client:

- Times are approximate and will be confirmed at the opening meeting prior to commencement of the audit.
- SGS auditors reserve the right to change or add to the elements listed before or during the audit depending on the results of on-site investigation.
- A private place for preparation, review and conferencing is requested for the auditor's use.
- Please provide a light working lunch on-site each audit day.
- Your contract with SGS is an integral part of this audit plan and details confidentiality arrangements, audit scope, information on follow up activities and any special reporting requirements.

Audit Plan (Next Visit)

Organisation:	D & D Rail Ltd		
Address:	Time House Time Square Basildon Essex SS14 1DJ		
Visit Number:	4	Agreed Visit Date(s):	Tbc (Date not agreed as needs to fit MJS Diary)
Visit Due by Date:	4/8/2015	For auditor information only	
Lead Auditor:	Mike Swanson		
Team Member(s):			
Additional Attendees and Roles			
Standard(s):	ISO 9001:2008 - Quality Management System Certification		
Audit Language:	English		
Audit Scope:	ISO 9001:2008 - Quality Management System Certification	Construction and maintenance: new and refurbishment projects, excluding clause 7.3 Design and Development.	

Audit objectives: To confirm that the management system has been established and implemented in accordance with the requirements of the audit standard.

Date	Time	Auditor	Area / Department / Process / Function	Key Contact
Tbc	1000	MJS	Opening meeting	Deborah Cox
			Changes since V3	
			Data analysis and performance management	
			Management review	
			Internal audit & Corrective action	
			Process risk & Preventive action	
			Complaints / feedback management	
			Goods receiving	
			Request for product from site	
			Tools & Product return from site	
			PAT & Calibration of tools	
			Business & Disaster Planning	
	1330		Prepare report	
	1400		Closing meeting	

Notes to Client:

- Times are approximate and will be confirmed at the opening meeting prior to commencement of the audit.
- SGS auditors reserve the right to change or add to the elements listed before or during the audit depending on the results of on-site investigation.
- A private place for preparation, review and conferencing is requested for the auditor's use.
- Please provide a light working lunch on-site each audit day.
- Your contract with SGS is an integral part of this audit plan and details confidentiality arrangements, audit scope, information on follow up activities and any special reporting requirements.

