



Audit Report for D & D Rail Ltd

Visit Number 4 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

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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:	As above	Date(s) of audit(s):	18-08-2015
EAC Code:	28	Nace Code:	45
		Technical Area Code:	28.1
Effective No. of Personnel	22	No. of Shifts:	1
Lead auditor:	Mike Swanson	Additional team member(s):	n/a
Additional Attendees and Roles	None		
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)*

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>			
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. Closed.			
No other OFIs or OBS raised at V3.			

- 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 V3. Headcount is the same and only 1 new starter. No changes to processes.			

Management Review:

Undertaken at defined intervals?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<i>Date of last review:</i> 10/3/15 as seen by previous auditor.		
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>		
No new MR since the previous surveillance visit. Due September 2015 as planned.		

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
<i>Sample reviewed:</i>		
Reviewed the audit schedule, most areas covered once each year with the more critical areas covered twice or more frequently. Takes into consideration risk, process changes and staff changes.		

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
<i>Sample reviewed:</i>		
Client feedback questionnaires initiated at project completion. Seen recent London Underground 18 th May 2015.		

Tubelines – April 2015.
 Generally good feedback, some “fair” comments but with justification reviewed.
 No adverse trend.

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

Sample reviewed:
 As above, also includes on each project site visits by supervisors to carry out competence checks as seen completed by Graham Hill – 17/7/15 and 3/8/15.

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) n/a	<input type="checkbox"/> Yes	<input type="checkbox"/> No

Sample reviewed:
 Within the management review process, defined and reviewed.

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
<i>Sample of recent changes reviewed:</i> FORS, CIRASS, LINKuP, FIRAS, iCATS, CHAS, safecontractor.		
Full evaluation of compliance taken place at periodic intervals? (14001/18001)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Records of the results (including evidence) of evaluations retained? (14001/18001)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Actions identified and addressed? (14001/18001)	<input type="checkbox"/> Yes	<input type="checkbox"/> No

Sample reviewed: n/a 9001 only.

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

Sample reviewed:
 None logged since the previous surveillance visit.
 Queried this lack of complaints since 2010. Justifiable, shown evidence of email correspondence from client who was seemingly complaining. However, he didn't wish to pursue a complaint and

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

Sample reviewed:
 As seen above.
 Business Continuity Plan reviewed 6/1/15.

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

Sample reviewed:

Operational Audit Trails:

Additional requirements identified from the audit plan:

Request for product from site:
 Reviewed the Greenford site correspondence: 17/8/15
 Times sheets
 Daily site report
 Photo Register.
 Material & Plant request sheet.
 Sign in/out sheet.
 All completed correctly and legible.

Business continuity and DR plan:
 Seen last reviewed 6/1/15
 Good level of detail included.
 Annually reviewed at top level management meetings.

PAT testing & Calibration:
 Internally trained staff to carry out 3 monthly checks of all equipment from site and internal.
 Competence and training certification seen for Mark Ross and Bob Gregory.
 Test equipment (PAT tester) within calibration cycle 5356 due 25/3/16
 Schedule up to date for retesting for all equipment.
 Measuring wheel checks, 5 off. 5343, checked against a tape measure which has no recorded condition check. OFI.

7. Nonconformities None raised this visit.

8. General Observations & Opportunities for Improvement

1. Opportunity for Improvement – Please record at least a condition check of the tape measure used to check the measuring wheels against. Give it a serial number for identification purposes.

Observations:

1. Positive comment – The communication and correspondence from site to office remains very robustly upheld, including the morning meeting which helps to promote timely action and progress of the projects.
2. Demonstration of competence also remains tightly controlled. Well done.

No corrective action requests identified this visit, therefore certification shall continue.
 Client requests certification against new 9001 standard requirements as soon as possible.

9. Opening and Closing Meeting Attendance Record

Name	Position	Opening	Closing
Deborah Cox	Senior Office manager	Yes	Yes

Audit Plan (Current Visit)

Organisation:	D & D Rail Ltd		
Address:	Time House Time Square Basildon Essex SS14 1DJ		
Visit Number:	4	Actual Visit Date(s):	18-08-2015
Visit Due by Date:	4/8/2015	For auditor information only	
Lead Auditor:	Mike Swanson		
Team Member(s):	n/a		
Additional Attendees and Roles	None		
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
18/8/15	9.00	MJS	Opening meeting	Deborah Cox
			Changes since V3	
			Data analysis and performance management	
			Management review	
			Internal audit & Corrective action	
			Process risk & Preventive action	
	10.30		Complaints / feedback management	
			Competence review	
			Request for product from site	
			Tools & Product return from site	
			PAT & Calibration of tools	
			Business & Disaster Planning	
	12.00		Prepare report	
	13.00		Closing meeting	

- 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:	5	Agreed Visit Date(s):	9/2/16
Visit Due by Date:	4/2/2016	For auditor information only	
Lead Auditor:	Mike Swanson		
Team Member(s):	n/a		
Additional Attendees and Roles	None		
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
9/2/16	9.00	MJS	Opening meeting	Deborah Cox
			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	
			Service Delivery	
			PAT & Calibration of tools	
			Business & Disaster Planning	
			Prepare report	
	1.00		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.

Audit Planning Matrix

			Visits:	V1R	V2	V3	V4	V5	V6	V1R
			Dates:	22/1/14	1/8/14	6/2/15	18/8/15	9/2/16	-/8/16	-/1/17
Area / Department / Process / Function	ASPECTS, RISKS, OBJECTIVES	Clauses	Auditor(s):	MJS	MJS	TS	MJS	MJS	MJS	MJS
				QMS	Strategy plan	4.1-4.2	X		X	X
Management Responsibility		5.1-5.6 8.4 8.5	X	X	X	X	O	O	O	
Resource Management	Objectives for staff	6.1 6.2.1 6.2.2 6.3	X		X	X	O	O	O	
Contract Review		7.2 7.4	X		X		O	O	O	
Purchasing Subcontractor Monitoring	Objectives for sub-contractors	7.4		X	X	X	O	O	O	
Stores & Purchasing		6.3 6.4 7.4 7.5 8.3 8.5.2	X		X	X	O	O	O	
Service Delivery	KPIs	5.4 6.2.2 6.3 6.4 7.1 7.5 7.6 8.2.1 8.3 8.2.3 8.2.4 8.5	X	X	X	X	O	O	O	
Measurement/Monitoring	KPIs	5.4 8.1 8.2.1 8.2.2 8.2.3 8.2.4 8.4 8.5	X		X	X	O	O	O	
Work Environment			X		X		O	O	O	
Business continuity				X	X		O	O	O	
Disaster recovery			X	X	X	X	O	O	O	

General Notes:

In column 1, list the departments, processes, activities or other functional units, as defined by the organisation. These should be the same departments and/or processes identified on the audit plan.

In column 2, list the primary or critical aspects, objectives and/or KPIs applicable to the department, process or activity.

In column 3, list all the elements of the applicable standard that relate to each activity or process defined in column 1 (when complete, each element of the standard must be listed in column 2 at least once).

For planned visits, indicate with an "O" in the box for each process to be covered.

For each completed visit, mark "X" in the box for each department or process covered. If nonconformities are identified, note the number of minors and/or majors identified in each department or process.

For integrated contracts please record level of the integration of the client's IMS in the 'General notes' section.



CERTIFICATION HISTORY REVIEW

Client Name: D & D Rail Ltd	Contract#: GB/SE 06910
Location(s): Basildon	

Section A: To Be Completed At Pre-Renewal Visit

The Pre-Renewal visit shall include an in-depth review of the client's certification history to identify whether there are any special considerations which need to be taken into account for the Renewal visit. The review should include any changes to the organization and system, prior audit reports and nonconformities over the certification cycle, complaints or serious incidents and any other pertinent information. This form may be used to note or comment on significant factors relating to the execution of subsequent visits (eg: this client is a satellite operation of a multi-site organization; Management Review, Internal Audits, Corrective and Preventive Action controlled from a different site; seasonal work, large degree of automation, etc.).

Management System:

The organization has made significant changes to its management system or small refinements?

- Small Refinements Significant Changes

Upper Management are actively involved in the operation of the Quality System

- Management Active Management not active

Internal Audit Program:

Internal Responses to Corrective Actions raised result in System Improvement

- System Improvement seen 'Symptoms' fixed only

Internal Audits in Year Three identify improvements as opposed to showing system compliance only

- Results used to improve system Audits concentrate on compliance only

Corrective and Preventive Action Program

Response to Corrective Actions raised concentrates on Root Cause rather than superficial fixes

- Root Causes Identified 'Symptoms' fixed only

No history or evidence that issues identified through corrective action reappear

- Action prevents recurrence Items reappear

Evaluate possible future changes to the organization

Change in Scope adding Design or diversification of existing products or services

- No scope change likely Change in scope projected

Addition of Sites, number of employees or shifts

- No change to sites / employees / shifts Sites / employees / shifts will change

Consideration of Automotive / Aerospace / Technology variants (QS/TE/AS)

- No technology variants likely Technology variants likely

Registration History

The number of corrective actions raised by SGS over the registration period decreases

- SGS Corrective Actions decrease SGS Corrective Actions constant or increase

Do major corrective actions (if any) appear in Year One only?

- No Majors, or in Y1 only Major Corrective Actions in Y2 and/or Y3



Based on the above categories, the client's Management System is: Well Developed Satisfactory

Integrated Audits Only – Confirm the current level of integration: N/A Basic High

Other information relevant to the planning and execution of the Renewal visit:

Number of Employees:	22	Number of Shifts:	1	Number of Sites:	1
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Other notes or comments relating to the planning and execution of the Renewal visit:

Pre-Renewal review completed by (Name): _____ Date: _____

Section B: To Be Completed Before Renewal Visit

As part of the Renewal visit planning process, the Lead Auditor (or Team Leader) shall refer to the information in Section A (above) to identify whether there are any special considerations which need to be taken into account for the Renewal visit. Information details shall be confirmed with the client before preparing the Audit Plan for the Renewal visit.

Renewal planning review completed Information details confirmed with client

Number of user complaints received by SGS: _____

Other additional notes or comments relating to the planning and execution of the Renewal visit:

Renewal planning review completed by (*Name*):

Date:

Contract Data Information Return Form

Certificate Details:

Name:	Mike Swanson	Date	18/8/2015 1:00:00 PM
Additional Team Members:	n/a		
I confirm that the audit team have completed the relevant Technical Area Qualification Form(s) for the Technical Area Code(s) listed on the page 2 of this report.		Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>

Please note the details given below will appear on the certificate issued to the client.

I have confirmed the below with client and any changes have been made to this data.

NB. *This section will be blank if this is for an Initial visit and should be completed by the auditor in full (with the exception of the Certificate Number).*

Certificate Number	Standard	Accreditation Body	Full Site Address
GB97/8743.00	ISO 9001:2008	UKAS	Time House, Time Square, Basildon, Essex, SS14 1DJ, GB

	Yes	No
Has the level of integration changed since the last audit?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Has the scope changed since the last audit?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
I confirm that I have verified the EAC/NACE/TAC shown on page 2 of this report to be correct and accurately reflect the client's scope of certification.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
It was necessary for me to change the EAC/NACE/TAC on page 2 of this report	<input type="checkbox"/>	<input checked="" type="checkbox"/>
It was necessary for me to change the number of employees on page 2 of this report	<input type="checkbox"/>	<input checked="" type="checkbox"/>
It was necessary for me to change the company name on Page 2 of this report	<input type="checkbox"/>	<input checked="" type="checkbox"/>



Administration Details:

- **This Must be Confirmed**

Client email address confirmed as	deborahcox@ddrail.com
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FUA Required? (If yes, give units and date)	Yes <input type="checkbox"/> Date:	No <input checked="" type="checkbox"/>
Additional comments		

No of Duplicate Certificates		No of Van Stickers (Colour on White)		No of Van Stickers (Colour on Clear)	
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Client Details:

- **Only record contact detail changes below, otherwise leave blank**

Telephone No	
Fax No	
Contact Name	
Position	
Website	
Invoicing Address	



Expenses Form

Auditor Name: Mike Swanson	Date 18/8/2015
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I confirm the invoicing address has been confirmed with the client



Miles at current rate	42 miles.	£23.10
Air		£
Rail		£
Taxi		£
Hotel & Subsistence		£
Parking		£2.60
Car		£
Toll		£
Incidental Expenses		£
EXPENSES TOTAL		£25.70

Purchase order number (If applicable)	½ day
Days to invoice client (Minimum of 2 hours for Major CAR close out)	

For completion by Contractors:

Number of days for payment	
LTD Co. ONLY – Your SGS Purchase Order Number for this visit	

The electronic report format is compiled using the following documents:

Document	Issue	Description
GS0304	18	Stage 2 Report
GS0307	5	Audit Plan
GS0305	5	Audit Planning Matrix
GS0301	9	Certification History Review
UK CRF 30	5	UK Contract Data Information Return Form
UK CRF 29	7	Expenses Form

NB. Please do not delete this page