



Audit Report for D & D Rail Ltd

1 Recertification Audit

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Management System Certification Stage 1 Audit 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		Date(s) of audit(s):	22/01/2014	
EAC Code:	28	NACE Code:	45	Technical Area Code:	28.1
Effective No. of Personnel:	22		No. of Shifts	1	
Lead auditor:	MikeSwanson		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 has been planned to conform with all the requirements of the audit standard;
- to confirm that the management system is designed to achieve the organisation's policy objectives;
- to evaluate the ability of the management system to ensure compliance with statutory, regulatory and contractual requirements;
- **Note: A management system certification audit is not a legal compliance audit**
- to obtain pertinent information to provide for stage 2 audit effectiveness and planning, evaluation of the client's location and site specific conditions, collection of information related to the processes and operations within the scope of the management system and identification of key performance or significant aspects and objectives.
- to evaluate the state of readiness of the management system for the stage 2 audit, including an evaluation of internal audit and management review planning and performance and a determination of the overall level of implementation of the management system;
- to confirm the planned arrangements and resources for the Stage 2 audit.
- to provide feedback to the organisation to facilitate continual improvement.

2. Audit scope

ISO 9001:2008 - Quality Management System
Certification

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

For multi-site audits an Appendix listing all the relevant sites and/or remote locations has been established (attached) and agreed with the client N/A Yes No

For integrated audits, confirm the current level of the client's IMS integration: N/A Basic High

3. Critical audit findings

The following findings, if not appropriately addressed, could result in major nonconformities being identified at the Stage 2 audit.

No critical audit findings identified.

4. Non critical audit findings

The following findings, if not appropriately addressed, could lead to weaknesses being identified at the Stage 2 audit.

1. 4.6.1 paragraph i of the manual states objectives are reviewed but does not refer to any subsequent targets or KPIs.
2. QP03 Control of records, specifically paragraph 4.4, needs to better define the controls around backed up data and whether a check is routinely carried out to ensure it's retrievable.

5. Audit Conclusions

The Stage 1 audit was successful in meeting the stated objectives: Yes No

The stage 1 audit was limited in time and scope to the stated objectives and it is possible that additional weaknesses will be identified during future audit activities. With consideration to the findings identified in section 3 and 4 of this report, the overall conclusions of the audit are as follows:

The management system has been planned to conform with all the requirements of the audit standard Yes No

The management system is designed to achieve the organisation's policy objectives Yes No

Based on the information provided, the system is designed to identify and manage compliance with statutory, regulatory and contractual requirements: Yes No

The internal audit and management review planning assure appropriate coverage prior to Stage 2 Audit: Yes No

Any scope exclusions are appropriate and justified Yes No N/A

The Stage 2 audit should proceed as presently planned: Yes No

Comments or details of necessary changes to the Stage 2 audit plan:

No changes required.

6. Opening and Closing Meeting Attendance Record

Name	Position	Opening	Closing
Deborah Cox	Commercial Manager/Standards Management representative	Y	Y
David Farrow	MD	N	Y

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Audit Plan

Organisation:	D & D Rail Ltd		
Address:	Time House Time Square Basildon Essex SS14 1DJ		
Visit Number:	V1R	Actual Visit Date:	22/1/14
<i>Visit Due by Date:</i>	4/2/14	<i>For Auditor information only</i>	
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:			
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
22/1/14	9.00	MJS	Opening meeting	Deborah Cox
			Changes since V6	
			Documentation review	
	11.00		Stage 1 report	
	11.15		Management review of objectives/targets and data analysis.	
			Internal audits and corrective action	
			Risk assessment and preventive action	
			Complaints/ feedback management	
	1.00		Sample of project – tender to completion	
	2.00		Human resources – training, agency and staff	
	3.00		Warehouse controls and calibration	
			Vehicle controls	
	3.30		Site feedback and corrective action list close out	
			Office environment, DSE, confidential waste	
	4.00		Auditors review	
	4.30		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 Planning Matrix

Area / Department / Process / Function	ASPECTS, RISKS, OBJECTIVES	Clauses	Auditor(s)	Visits	V1R	V2	V3	V4	V5	V6	V1R
				Dates	22/1/14	4/8/14	-2/15	-8/15	-2/16	-8/16	-1/17
				MJS	MJS	MJS	MJS	MJS	MJS	MJS	MJS
QMS	Strategy plan	4.1-4.2		X	O	O	O	O	O	O	O
Management Responsibility		5.1-5.6 8.4 8.5		X	O	O	O	O	O	O	O
Resource Management	Objectives for staff	6.1 6.2.1 6.2.2 6.3		X	O	O	O	O	O	O	O
Contract Review		7.2 7.4		X	O	O	O	O	O	O	O
Purchasing Subcontractor Monitoring	Objectives for sub-contractors	7.4			O	O	O	O	O	O	O
Stores & Purchasing		6.3 6.4 7.4 7.5 8.3 8.5.2		X	O	O	O	O	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	O	O	O	O	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	O	O	O	O	O	O	O
Work Environment				X	O	O	O	O	O	O	O
Business continuity					O	O	O	O	O	O	O
Disaster recovery				X	O	O	O	O	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 KPI's 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 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.



Contract Data Information Return Form

Auditor Name:	Mike Swanson	Date	22/01/2014 17:00:00
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"/>

Certificate Details:

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.

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? n/a	<input type="checkbox"/>	<input type="checkbox"/>
I confirm that I have verified the EAC/NACE/TAQF shown on page 2 of this report to be correct and accurately reflect the clients scope of certification.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
It was necessary for me to change the EAC/NACE/TAQF 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"/>

Administration Details:

- Please complete

Client email address confirmed as	deborahcox@ddrail.com
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Provisional date for next visit (To be filled in by SGS Employees only)	4/8/14	
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 details changes below, otherwise leave blank

Telephone No	
Fax No	
Contact Name	Deborah Cox
Position	Commercial Manager
Website	



Invoicing Address	
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Expense Details:

I confirm the invoicing address has been confirmed with the client



Miles at current rate:		£
Air		£
Rail		£
Taxi		£
Hotel & Subsistence		£
Parking		£
Car		£
Toll		£
Incidental Expenses		£
EXPENSES TOTAL	SEE STAGE 2 REPORT	£

Purchase order number (If applicable)	
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
GS0303	13	Stage 1 Report
GS0307	5	Audit Plan
GS0305	5	Audit Planning Matrix
UK CRF 30	4	Contract Data Information Return Form
UK CRF 29	7	Expenses Form

NB. Please do not delete this page