



Audit Report for D & D Rail Ltd

Visit Number 1 Early Recertification 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 9001:2015 Quality Management System Certification	Accreditation Body(s)	UKAS
Representative:	Deborah Cox		
Site(s) audited:	As above.	Date(s) of audit(s):	25 th & 26 th July 2016
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 determine conformity of the management system, or parts of it with audit criteria and its:

- ability to ensure applicable statutory, regulatory and contractual requirements are met,
- effectiveness to ensure the client can reasonably expect to achieve specified objectives and to identify as applicable areas for potential improvement

2. Scope of certification

ISO 9001:2015 Quality Management System Certification

Construction and maintenance: new and refurbishment projects, excluding clause 8.3 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

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

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). A sampling process was used, based on the information available at the time of the audit. 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 included as an annex 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, as well as and the intended results of the respective management system(s). 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

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>			
<ol style="list-style-type: none"> 1. Please reference the QP number and <u>issue</u> on the audits taking place. Completed. 2. It would be worth reviewing the inputs and outputs required by the 2015 standard in readiness for the subsequent management review in March 2016. Completed, 3. Please review the open NCRs with regards to risk to the business. Completed. 			
All 3 above audit findings from the previous surveillance visit have been closed, with objective evidence presented.			

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

Stage 1 documentation study using the required checklist UK.TC9001 issue 1. Attached as a separate document.

Critical audit findings:

None identified.

Non-critical audit findings:

None identified.

Therefore the **stage 2** transition audit against the requirements of ISO9001:2015 continued consecutively.

Changes:

Level of Integration? n/a 9001 only.	<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 type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
Key/Significant System changes?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
<i>Sample reviewed:</i>			
Head count is the same at 22.			
No change to scope of certification required.			
All core processes remain the same, although the whole documented quality management system has been reviewed and amended where required in line with the requirements of ISO9001:2015.			
The organisation remain in offices in Basildon with direct connectivity to the London underground stations specifically where the vast major of their business remains.			
As expected therefore the vast majority of the works are carried out overnight.			
As observed, the morning meetings continue religiously, which reviews the handover from the previous nights activities. These are comprehensive meetings with fully documented records supporting the discussions, and			

more lately include photographic evidence of works completed, concerns, and problem areas, as discussed, a picture says a thousand words and really helps the office handover meeting understand the current position on site.

Context of the Organisation:

Has the organisation determined internal and external issues relevant to its purposes and strategic direction?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Has the organisation determined who its interested parties are?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Has the organisation understood the relevant needs and expectations of these interested parties?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Has the organisation determined the boundaries and applicability and the management system in order to establish its scope?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Has the organisation established, implemented and maintained and continually improved its management system?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

Evidence / or Comment in preparation for transition:

27th May 2016 Transition preparedness meeting with the MD and QM.
Including the impact on the business and documentation requirements.
Company HSQE Objectives.
Management review 29th March 2016 now includes a summary of the context and review if internal and external issues.
Business risk & opportunities register dated 27/5/16
A business plan is in place, and outlines the context in which the organisation has laid out it's work flow and documented QMS.
Strategic direction emanates from the business plan.
The interested parties are established and listed, and reviewed at management review.
These are listed in the attached checklist.

Management Review:

Undertaken at defined intervals?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<i>Date of last review:</i> 29 th March 2016		
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

Evidence:

Now includes a summary of the context and review if internal and external issues.
Good detail within the newly compiled agenda, fully compliant to 9.3
Full set of minutes seen.
Business Continuity plan in place 4/1/16

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

Sample reviewed:

Auditors are Graham Hill senior projects manager and Deborah Cox as QM and senior office manager.
Full independence seen.
Example:
5/7/16 HSPPD Auditee Graham. Report number 459 and against procedure QP11.
1 observation identified close out 31st August.
8/7/16 Purchasing and Procurement auditee Samantha against procedure QP04 report number 458
No audit findings.
10/6/16 Training Auditee Samantha. Report number 457 against procedure QP14.

Major NCR raised reference unavailable first aid certification.
 10/6/16 H & S Graham Hill auditee – Report number 456 against procedure QP16
 No audit findings.
 Two main internal auditors, both trained, and allows for independent auditing.
 Schedule of planned audits in place

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

Sample reviewed:

Specific contacts and communication lines are established and detailed within each project.
 Detailing the initial contacts and any secondary contacts & method of contact.
 Evidence of minimal complaints over the years is testament to the robust lines of communication with the clients, established to gain concerns in either direction before they become a problem.
 Reviewed project at Liverpool Street Station which demonstrates these communication links.

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:

Questionnaire just about to be refreshed and is normally sent on completion of projects.
 Reported back at management review.
 Example:
 Brixton underground 14/9/15 all good feedback
 Tube lines 2014 – Good feedback
 Red Sixty – 20/5/16 all good.

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 checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

Sample reviewed:

Updated as of beginning of July 2016
 Remain largely the same:
 Within the management review process, defined and reviewed.
 Complete 100% of planned quality audits.
 90% tool box talks within 5 days, & 100% within 1 month.
 Zero lost time accidents
 Zero reportable accidents
 Minimum 4 site inspections per month
 Achieve targets of HSE inspections.
 HSE issues raised per inspection:
 - Category A: 0.03 target – Achieved 0.12 Below target *
 - Category B: 0.50 target – Achieved 0.20 on target
 - Category C: 0.25 target – Achieved 0.08 on target
 Recycling 95% currently 95.65%

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, RISQS (Same as Linkup), FIRAS, iCATS, CHAS, safecontractor Deborah keeps a close eye on any changes to statutory and legislative requirements.		

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> None since 2010 in terms of formal complaints. Internal NCRs Example: No 55 12/7/16 Major now closed. No 53 10/6/16 Training Major now closed. No 52 31/5/16 Purchase orders Major now closed. No apparent adverse trend here.		

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> Risk aspects: RAMS prepared and signed off by the site HSQ&E. Risk assessment carried out at estimation stage using Tender pricing document, ensuring the organisation isn't exposed to undue risk financially. Method statements seen: Balham station 13/7/16, reviewed accepted & signed off HSQ&E safety advisor stamped up as accepted 18/7/16		

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

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

Certification claims and use of marks:

Are certification claims accurate and in accordance with SGS guidance?	<input type="checkbox"/> N/A	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Is the use of certification logo and marks effectively controlled?	<input type="checkbox"/> N/A	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<i>Sample reviewed:</i> As discussed as soon as the certificate is issued against ISO9001:2015, the organisation should review where and how the logo is displayed to ensure compliance to the SGS & UKAS guidelines.			

Operational Audit Trails:

Additional requirements identified from the audit plan:

Storage and care of assets and customer property is defined within the method statements.

Example of a method statement

Balham Station – storage 5.17 of TFL-161 method statement.

At Basildon site any client assets or property is physically segregated and label identified to the works / station name.

Returning power tooling is placed in the damaged spares – quarantine area to be physically checked and tested prior it going back into stores area on the mezzanine floor and booked back into the Plant register as now available.

Checked 2 x 9” grinders S/No 073 and 020

Transfer notation seen for 020 to go back into stock

073 already showing as in stock, but actually in repair at time of audit.

Warehouse, at time of audit.

Mark was cleaning and checking a Kango which was returned from site and taken on hire.

All items traceable to a Plant register or hire documentation.

Reviewed the warehouse areas.

All correctly segregated and identified for the clear use and placement of products, tooling, and parts.

Housekeeping as ever was excellent.

QP02

Project reviewed Example:

Liverpool Street Station

Elevator renewal. Project was to break out the footings for the new elevator as would be standing at a different degree angle to the existing one.

Request for service was within the existing financial framework agreement.

Potentially up against 5 other contractors within the framework.

Initial details documented using the Tender Tracker.

Detailing contacts agreed and method of communication.

Outline scope of works.

London Underground tender document pack.

Initial risk assessment in terms of risk to D & D is undertaken by Paul and Graham and a project of this value is notified to David (MD) at the outset.

At this stage the Pricing Document is built up over a lengthy period, in this case up to 3 weeks of work to complete the 15K line document.

Very complex, and includes an “Adjudication” by the MD when looking at commercial margins etc.

Previously reviewed the Greenford site correspondence: 17/8/15

Times sheets

Daily site report

Photo Register.

Material & Plant request sheet completed correctly and fully legible.

Sign in/out sheet.

All completed correctly and legible.

No evidence of repeat errors with regards to the previous findings.

PAT testing & Calibration:

Required competences identified for the JD. Subsequently trained staff continue 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) remains within calibration cycle 5356 due 25/3/17

Schedule up to date for retesting for all equipment.

7. Nonconformities – None identified

8. General Observations & Opportunities for Improvement

1. The Internal NCR form QF06, would benefit from clearly recorded “Root Cause” analysis.
2. Similarly, the Complaints form QF22 would benefit from clearly recorded “Root Cause” analysis.
3. Clause 4.1 refers - External Issues well established and listed – Consider also any environmental and Neighbourly issues.
4. 6.3 Planning of changes to the QMS - Although there is a reference within QP03 4.1.4, this paragraph needs to reference QP01 4.11
5. Please ensure plant sent for repair is taken off the available stock on the plant register. Example: Grinder 073 was in repair bay at time of audit, but showing as available on the plant register.

No corrective action requests have been identified at this audit of either Major or Minor status, therefore certification renewal and transition to ISO9001:2015 is recommended.

My thanks to Deborah, David and all at D & D for the help and hospitality during the audit.

9. Opening and Closing Meeting Attendance Record

Name	Position	Opening	Closing
Deborah Cox	Senior Office Manager	Yes	Yes
David Farrow	MD	Yes	Yes

Audit Plan (Current Visit)

Organisation:	D & D Rail Ltd		
Address:	Time House Time Square Basildon Essex SS14 1DJ		
Visit Number:	V1R and Transition	Actual Visit Date(s):	25 th & 26 th July 2016.
Visit Due by Date:	14/08/2016	For auditor information only	
Lead Auditor:	Mike Swanson		
Team Member(s):	n/a		
Additional Attendees and Roles	None		
Standard(s):	ISO 9001:2015 Quality Management System Certification		
Audit Language:	English		
Audit Scope:	ISO 9001:2015 Quality Management System Certification	Construction and maintenance: new and refurbishment projects, excluding clause 8.3 Design and Development	

Audit Objectives: To determine conformity of the management system, or parts of it with audit criteria and its:

- ability to ensure applicable statutory, regulatory and contractual requirements are met,
- effectiveness to ensure the client can reasonably expect to achieve specified objectives, and
- to identify as applicable areas for potential improvement.

Date	Time	Auditor	Organisational and Functional Units/ Processes and Activities	Key Contact
25/7/16	9.00	MJS	Opening meeting	Deborah Cox
			Documentation study against ISO9001:2015	
			Stage 1 report	
			Feedback from stage 1	DC & David Farrow
	1.00		Lunch	
	1.30		Review of Business plan, Risk management, Context, interested parties.	DC & DF
			Strategic plan	"
	4.30		Resource management End day 1	DC
26/7/16	9.00	MJS	Project review - Estimating	Paul Pullen.
			Site h/s audits	"
	11.30		Warehouse & Plant control	Mark
	12.00		Complaints / feedback management	DC
			Internal audit & Management review	"
			Data analysis and performance management	"
	2.30		PAT & Calibration of tools	Mark
	3.00		Business & Disaster Planning	DC
	3.30		Prepare report	-
	4.30		Closing meeting	DC & DF

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:	2	Agreed Visit Date(s):	14 th July 2017
Visit Due by Date:	14/08/2017	For auditor information only	
Lead Auditor:	Mike Swanson		
Team Member(s):	n/a		
Additional Attendees and Roles	None		
Standard(s):	ISO 9001:2015 Quality Management System Certification		
Audit Language:	English		
Audit Scope:	ISO 9001:2015 Quality Management System Certification	Construction and maintenance: new and refurbishment projects, excluding clause 8.3 Design and Development	

Audit Objectives: To determine conformity of the management system, or parts of it with audit criteria and its:

- *ability to ensure applicable statutory, regulatory and contractual requirements are met,*
- *effectiveness to ensure the client can reasonably expect to achieve specified objectives, and*
- *to identify as applicable areas for potential improvement.*

Date	Time	Auditor	Area / Department / Process / Function	Key Contact
14/7/17	9.00	MJS	Opening meeting	Deborah Cox & David Farrow.
			Data analysis and performance management	
			Management review	
			Review of interested parties and Int/Ext issues.	
			Review of business risks/BCP	
			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	
			Auditor review	
			Prepare report	
	4.00		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	V1R	V2	V3	V1R
			Dates:	25&26/7/16	14/7/17	-/7/18	-/6/18	-/7/19	-/7/20	-/6/21
Area / Department / Process / Function	ASPECTS, RISKS, OBJECTIVES	Auditor(s):		MJS	MJS	MJS	MJS	MJS	MJS	MJS
		Clauses								
QS, Document & data/record Control	Amendment Log, Distribution, Archive	7.5		X	O	O	O	O	O	
Management Responsibility Context review Interested parties Policy review Planning to achieve Objectives Leadership/Communication Roles & responsibilities Risk analysis and opportunities Change control	Operational performance Business results Customer satisfaction Improvement targets	4 5 6		X	O	O	O	O	O	O
Performance evaluation Analysis & Improvement Management review Nonconformity Corrective action Continual improvement Internal audit	Audit plan Customer satisfaction analysis Improvement plans	9 10		X	O	O	O	O	O	O

Audit Planning Matrix

Product/service requirements Sales/Contract Review Change management	Tender/Enquiry's, Contract specification Samples	8.2	X	O	O	O	O	O	O
Document & Drawing controls	Specifications, CAD Drawings	8.3	X	O	O	O	O	O	O
Service provision	Planning, Machine set up, run times, quality control.	8	X	O	O	O	O	O	O
Purchasing/Supplier control, Goods-in/inspection HSPPD Non-conforming outputs	Verification of Suppliers Goods-in Inspection Certificate of conformance Identification & traceability	8.4 8.5 8.6 8.7	X	O	O	O	O	O	O
Resource Management: Infrastructure/environment People - Training records Competence/knowledge Calibration/measuring resources Communication	Work environment Personnel qualification/awareness Performance reviews	7	X	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 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 (each element of the standard must be listed 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 (Ltd) '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

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

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

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

Number of Employees:	22	Number of Shifts:	1	Number of Sites:	1
----------------------	----	-------------------	---	------------------	---

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

Pre-Renewal review completed by (Name): Mike Swanson	Date: 26/1/16
--	---------------

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: 0

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

--	--

Renewal planning review completed by (*Name*): Mike Swanson

Date: 25th July 2016

Contract Data Information Return Form

Certificate Details:

Name:	Mike Swanson	Date	26/07/2016 13:00:00
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"/>

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	# of employees at this site	Full Site Address
GB97/8743.00	ISO9001:2015	UKAS	22	Time House, Time Square, Basildon, Essex, SS14 1DJ, GB

	Yes	No
Has the level of integration changed since the last audit? n/a 9001 only	<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
-----------------------------------	-----------------------

FUA Required? (If yes, give units and date)	Yes <input type="checkbox"/> Date:	No <input checked="" type="checkbox"/>
Additional comments	<u>New certificate required for ISO9001:2015 – Now on annual surveillance.</u>	

No of Duplicate Certificates		No of Van Stickers (Colour on White)		No of Van Stickers (Colour on Clear)	
------------------------------	--	--------------------------------------	--	--------------------------------------	--

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 26/07/2016
-----------------------------------	------------------------

I confirm the invoicing address has been confirmed with the client



Miles at current rate	84	£46.20
Air		£
Rail		£
Taxi		£
Hotel & Subsistence		£
Parking		£4.00
Car		£
Toll		£
Incidental Expenses		£
EXPENSES TOTAL		£50.20

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

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	19	Stage 2 Report
GS0307	6	Audit Plan
GS0305	5	Audit Planning Matrix
GS0301	9	Certification History Review
UK CRF 30	6	UK Contract Data Information Return Form
UK CRF 29	7	Expenses Form

NB. Please do not delete this page