



Audit Report for: D & D Rail Ltd
Visit Number: 3 Surveillance Audit

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Management System Certification – Client Report

Organisation:	D & D Rail Ltd		
Address:	Time House Time Square Basildon Essex SS14 1DJ		
Site(s) audited:	As above	Date(s) of audits(s):	25 th July 2018
Visit Number:	3	Observer(s):	n/a
Representative:	Deborah Cox	Additional member(s):	n/a
Lead auditor:	Mike Swanson		

This report is confidential and distribution is limited to the audit team, client representative and the SGS office.

System type:	Single
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Standard	Accreditation Body	Scope of Certification
ISO 9001:2015	UKAS	Construction and maintenance: new and refurbishment projects, excluding clause 8.3 Design and Development.

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
- ability to identify as applicable areas for potential improvement.

Is the organisation management system meeting the stated objectives of the audit?		Yes
Have all unresolved findings from the previous audit been satisfactorily addressed?		Yes
Non-conformance Identified?	Major: 0	Minor: 0
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:		Continued

Changes	
Level of Integration?	N/A
Key/Significant Organisational changes? (e.g key personnel, client activities, management system)	No
Key/Significant System changes?	No

Sample reviewed
No changes to any processes within the scope of certification. No changes to staff.

Executive Summary
<p>D & D Rail undertakes "Construction and maintenance: new and refurbishment projects, excluding clause 8.3 Design and Development."</p> <p>This audit was a V3 surveillance audit.</p> <p>The audit reviewed the organisations compliance against the requirements of ISO 9001:2015 over 1 day.</p> <p>During the course of the audit, the organisation was able to show a high degree of adherence to the requirements of ISO 9001:2015 standard.</p> <p>Appropriate documented information was presented, in a timely fashion, and with no difficulty in it's locating or the demonstration of it's continued management.</p> <p>All members of staff, and management involved in the audit demonstrated a great degree of enthusiasm and awareness regarding the appropriate requirements. The order book is looking more healthy and hopefully this will continue.</p> <p>No corrective actions were identified during the audit, therefore, certification shall continue.</p>

Observations and Improvement Opportunities

Opportunities for Improvement:

Internal Audit - Still using the word "Preventive" on the Internal Non-conformity Report.DDR QF 06.
Ideally this should be altered to prompt "review of Risk".

Organisational Risk Register – Review and add key personnel to the Business Risk Register.

Positive Observation:

Impressive review of the internal and external issues, and context, seen recorded.

Opening & Closing Meeting Attendees

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

Any other comments

None

Notes to the client and what happens next

This audit report will be processed and an invoice will be dispatched to you.

Disclaimer – the audit is based on a sampling process of the available information. Audit recommendations where issuance of a certificate is required are subject to an independent review prior to a final decision concerning the awarding of the certificate.

Non-conformance - what you must do

Corrective Actions to address identified minor non conformities including a root cause analysis, which shall be documented on an action plan. Where actions are deemed to be satisfactory , they will be followed up at the next scheduled visit.

Failure to address a major non-conformance within the timescales will result in certification being withheld or suspended.

Failure to address a minor non-conformance within the timescale can result in escalation of the non-conformance to major at the subsequent visit.

For major non-conformance -

Corrective action (including a cause analysis) to take place immediately. SGS will perform an appropriate follow up visit within 90 days confirming that actions have been effective. The certification decision shall be made based on the outcome of the follow up visit.

The client must notify SGS of the root cause & proposed actions within 30 days of this visit	<input type="checkbox"/>
The client must send SGS records with supporting evidence	<input type="checkbox"/>
Major non-conformance follow-up to take place on:	

For minor non-conformance -

Corrective Actions to address identified minor non-conformities including a cause analysis shall be documented on an action plan. Where actions are deemed to be satisfactory, they will be followed up at the next scheduled visit.

The client shall send SGS its action plan within 90 days to determine if the proposed actions will be satisfactory.	<input type="checkbox"/>
The client has reviewed the non-conformance to the satisfaction of the auditor and defined an appropriate action plan. Note:- Initial, Re-certification and Extension audits – recommendation for certification cannot be made unless this check box is completed. For re-certification audits the time scales indicated may need to be reduced in order to ensure re-certification prior to expiry of current certification.	<input type="checkbox"/>
The client has taken appropriate immediate action in response to non-conformance(s) required.	<input type="checkbox"/>

Audit Plan – Next Visit

Site(s) to be visited:	Time House Time Square Basildon Essex SS14 1DJ		
Audit Language:	English	Visit Number:	V1R
Visit Due by Date:	26/07/2019	Provisional Planned Visit Date(s):	4 th & 5 th July 2019
Lead Auditor:	Mike Swanson	Team Member(s):	n/a

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	Site / Area / Department / Process / Function	Contact
4/7/18	9.00	MJS	Opening meeting	D.Cox
			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	
			Work environment and warehouse facilities	
	5.00		Sales management End day 1	
5/7/18	9.00	MJS	Request for product from site	D.Cox
			Tools & Product return from site Service Delivery	
			PAT & Calibration of tools	
			Auditor review	
			Prepare report	
	12.30		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.

1 - See page 2 for the management system scope of certification