



Audit Report for: D & D Rail Ltd

Visit Number: 1 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
www.sgs.co.uk/en-GB/Our-Company/E-Subscriptions.aspx

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):	24 th & 25 th June 2019
Visit Number:	1R	Observer(s):	n/a
Representative:	Deborah Cox	Additional member(s):	Joseph Nehikhare
Lead auditor:	Mike Swanson		
<p><i>This report is confidential and distribution is limited to the audit team, audit attendees, client representative, the SGS office and may be subject to Accreditation Body, Certification Scheme owners or any other Regulatory Body sampling in line with our online Privacy Statement which can be accessed here</i></p>			

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

System type:	Single	
--------------	--------	--

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: 1
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 significant changes within the organisation or surrounding context which affects the scope of certification.

Executive Summary
<p>D & D Rail Ltd continues to undertake "Construction and maintenance: new and refurbishment projects, excluding clause 8.3 Design and Development."</p> <p>This audit was a V1 certification renewal audit.</p> <p>The audit reviewed the organisations continued compliance against the requirements of ISO 9001:2015 over a total of 1.5 days. This includes the review of the previous SGS audit findings over the 3 year certification cycle.</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 locating or the demonstration of good 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.</p> <p>No corrective action requests were identified, therefore renewal of certification is recommended.</p> <p>Our thanks to Deborah, and all the staff at D & D Rail for their professional approach to the audit requirements and demonstration of compliance, and for their help and hospitality.</p>

Observations and Improvement Opportunities

Opportunities for improvement:

The SGS logo does not have a link to the SGS web site. Client advised to implement the link supplied.

The organisation could consider establishing a process for goods in accounting.

Positive Observations:

Once again a perfect demonstration of the review of the Context, internal & external issues, and interested parties, as it's meant within the standard. Well done all concerned.

The documentation remains well controlled and can be interrogated with ease to find any required record.

Opening & Closing Meeting Attendees

Name	Position	Opening Meeting	Closing Meeting
Deborah Cox	QM	Y	Y

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	Date(s): Onsite / Offsite: Duration: Auditor:

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 checked="" type="checkbox"/>
The client has taken appropriate immediate action in response to non-conformance(s) required.	<input type="checkbox"/>

Nonconformity	N° 1 of 1	Minor	
Standard	ISO9001:2015	Clause	7.5.3 Control of documented information (Use of the SGS/UKAS logo)
Nonconformity Statement	Incorrect ISO9001:2015 display on web site. No link to SGS website.		
Evidence	Web site viewed at time of audit.		
Actions Proposed	Client to request link from SGS office.		

Audit Plan – Next Visit

Site(s) to be visited:	Time Square Basildon		
Audit Language:	English	Visit Number:	2
Visit Due by Date:	26/07/2020	Provisional Planned Visit Date(s):	25/6/20
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
25/6/20	9.30	MJS	Opening meeting & review findings from V1R	
			Data analysis and performance management & context	
			Management review	
			Review of interested parties and Int/Ext issues.	
			Review of business risks/BCP	
			Internal audit & Corrective action	
			Process risk analysis & review	
			Complaints / feedback management	
			Goods receiving & Warehouse activities	
			Work environment both warehouse & offices	
			Sales management – Project review x 3	
			Communications and handover morning meeting	
			Tools & Product return from site	
			Service Delivery	
			Supplier performance management	
			PAT & Calibration of tools	
			Auditor review	
			Prepare report	
	5.00		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.

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