



**CERTIFICATION**

# **AUDIT REPORT: D & D RAIL LTD**

**VISIT TYPE:**

**SURVEILLANCE AUDIT - 2**

**CONTRACT NUMBER:**

**GB/SR/06910**

**BE THE BENCHMARK**



**EXECUTIVE SUMMARY**

D & D Rail Ltd continues to undertake "Construction and maintenance: new and refurbishment projects, excluding clause 8.3 Design and Development."

This audit was a V2 surveillance audit conducted remotely due to Covid-19 outbreak.

The audit reviewed the organisations continued compliance against the requirements of ISO 9001:2015 over a total of 1 day.

During the course of the audit, the organisation was able to present sufficient data that shows a high degree of adherence to the requirements of ISO 9001:2015 standard.

No corrective action requests were identified, therefore continuation of certification is recommended.

SGS DELIVERING OFFICE:	SGS United Kingdom Ltd.		
ORGANIZATION NAME:	D & D Rail Ltd		
HEAD OFFICE:	Time House Time Square, Basildon, SS14 1DJ, United Kingdom		
REPRESENTATIVE:	Deborah Cox		
AUDIT CRITERIA			
STANDARD	ACCREDITATION	ACCREDITED SGS OFFICE	NO. OF EFFECTIVE EMPLOYEES /STANDARD
ISO 9001:2015	UKAS	SGS United Kingdom Ltd.	15
CERTIFICATION SCOPE			
English: Construction and maintenance: new and refurbishment projects, excluding clause 8.3 Design and Development.			

**SITES COVERED BY CERTIFICATION SCOPE**

ADDRESS SITE 1	NO. OF STAFF	NO. OF SHIFTS
Time House Time Square, Basildon, United Kingdom	15	1

**AUDIT TEAM COMPOSITION AND AUDIT INFORMATION**

<b>AUDIT TEAM LEADER</b>	Mike Swanson
<b>ANY OTHER ACCOMPANYING PERSON (NAMES &amp; ROLES)</b>	None. Audit conducted remotely due to Covid-19 outbreak. Method of auditing confirmed as ICT: email & telephone.
<b>AUDIT DATE(S)</b>	See audit plan

**1. AUDIT OBJECTIVES**

The objectives of this audit/visit are, for the scope of certification:

Determination of the conformity of the client's management system, or parts of it, with audit criteria;

Determination of the ability of the management system to ensure the client meets applicable statutory, regulatory and contractual requirements (NOTE: A management system certification audit is not a legal compliance audit.);

Determination of the effectiveness of the management system to ensure the client can reasonably expect to achieving its specified objectives;

As applicable, identification of areas for potential improvement of the management system.

**CONSIDERATIONS:**

The scope of the audit, dates and places where audit activities were conducted are identified in the audit plan (any changes are identified in the audit report).

This audit report contains a summary of the capability of the management system to meet applicable requirements and expected outcomes.

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 at [www.sgs.com/en/privacy-at-sgs](http://www.sgs.com/en/privacy-at-sgs).

Audits use a sampling process, based on the information available at the time of the audit. The audit methods shall include, but are not limited to, interviews, observation of activities and review of documentation and records.

## 2. SUMMARY AND CONCLUSIONS

### CONCLUSIONS

The audit team recommends that, based on the results of this audit, the management system certification be :

**Continued.**

Continued certification is conditional to satisfactory processing of non conformities.

### AUDIT SUMMARY

- The organization has demonstrated effective implementation of a management system and documentation that conforms with audit criteria.

D & D remain compliant to various certification and accreditation required by their demanding client base. Their QMS remains in full compliance with the ISO9001:2015 requirements.

- The management system is effective with regard to achieving the organization's objectives and the intended results of the applicable standard(s).

Detailed organisational Objectives cascade throughout the organisation and at all levels. The constant daily review that client service requirements are being met ensures objectives are aligned and effectively measured and monitored at the highest level.

Number of nonconformities identified:0

- Corrective actions regarding previously identified Non Conformities are effective.

No previous audit CARs identified.

- Certification scope is appropriate.

The current scope of certification is a true and accurate reflection of the services offered.

- Audit objectives have been fulfilled.

This audit was conducted remotely due to the Covid-19 outbreak by using email and telephone to gain sufficient objective evidence that the QMS remains in compliance with the standard requirements. The was successful in achieving this aim, and with no issues encountered.

- Audit plan was followed.

The audit plan was followed as issued.

- Audit programme is adequate.

No issues impacted of the audit programme, and therefore the current programme is effective.

- Any issues resolved.

No issues arose during the audit.

### 3. PREVIOUS FINDINGS

The results of the last audit of this system have been reviewed, in particular to assure appropriate correction and corrective action has been implemented when non-conformities (or Stage 1 findings) were identified. When the management system has not adequately addressed non-conformity (or Stage 1 finding) identified during previous audit activities, the specific issue has been raised in the non-conformity section of this report.

### 4. NON-CONFORMITIES

Not applicable

### 5. OBSERVATIONS AND IMPROVEMENT OPPORTUNITIES

Not applicable

### 6. SPECIFIC REQUIREMENTS

Any significant changes? No . No significant changes since the previous surveillance audit in 2019.

Certification claims are accurate and in accordance with SGS guidance and the organization is effectively controlling the use of certification documents and marks Yes . Client facing documentation checked as compliant, also web site compliant to SGS & UKAS guidelines.

### 7. AUDIT TRAILS

SITE 1		
PROCESS	PROCESS OWNER	AUDITOR
Context Organisational Objectives Interested Parties	David Farrow	Mike Swanson
SUMMARY		
<p>Continued strong evidence of the review of surrounding events which could effect the Context within which the organisation operates. Statement of Context as of January 2020. Top management are fully aware of the interested parties and their review, and from these reviews emanate the organisational Objectives which are closely monitored by top management at all times.</p>		
PROCESS	PROCESS OWNER	AUDITOR
Management review Quality Policy	Deborah Cox	Mike Swanson
SUMMARY		
<p>Minutes presented of 14th January 2020 instance which demonstrate full compliance with the standards requirements of inputs &amp; outputs. Very well attended by the management team as a whole. Although following similar lines to the daily morning meetings in terms of service performance, the MR meetings fully encompass the feedback from all processes and functions to ensure effectiveness. Quality Policy statement reviewed as to be republished at current issue as signed by D.Farrow 6th January 2020. Company Mission statement reviewed and discussed with regards to impacting risks.</p>		
PROCESS	PROCESS OWNER	AUDITOR
Internal Audit	Deborah Cox	Mike Swanson
SUMMARY		
<p>Internal audit objectives set at MR currently being met as of April 2020. Internal audit schedule planned by D.Cox and verified by D.Farrow January 2020. Completed up to date and on time. Risk based, example QP06 is conducted 3 times in a year, where as QP04 only once.</p>		
PROCESS	PROCESS OWNER	AUDITOR
Internal & External issues	Deborah Cox	Mike Swanson
SUMMARY		
<p>Very detailed and thought out internal &amp; external issues and subsequent impact that they can have on the organisations goals and objectives.</p>		
PROCESS	PROCESS OWNER	AUDITOR
Service Provision - Tender award	Ross Day & Deborah Cox	Mike Swanson
SUMMARY		
<p>Tender Award for JNP21042 - Archway. Followed the tender and successful award for the above project. Huge detail required for any of these projects. Demanding client base, with all potential suppliers to this client base having to demonstrate everytime how capable they are at meeting client requirements. Some projects required very quickly so work has to be fast, but extremely accurately planned. Well done.</p>		

PROCESS	PROCESS OWNER	AUDITOR
Organisational Risk Management	David Farrow	Mike Swanson
<b>SUMMARY</b>		
<p>Business Continuity Plan signed and issued 6th January 2020 by MD.  Graham Hill as assigned deputy.  Reviewed at least annual and updated.  Risk &amp; Opportunities register presented.  January 2020 &amp; May 2020 presented with May 2020 issue showing inclusion of Covid-19 impact in all areas.  Risk potential number allocated with before and after implemented mitigation.</p>		
PROCESS	PROCESS OWNER	AUDITOR
Supplier performance management	Deborah Cox	Mike Swanson
<b>SUMMARY</b>		
<p>Fully listed supplier &amp; sub-contractors used.  Rated as to level of compliance from data collated and results of questionnaire surveys.  Listing dated 27/5/20.  A very robustly maintained system which helps to ensure the suppliers and contractors are working as D&amp;D need them to.</p>		
PROCESS	PROCESS OWNER	AUDITOR
Corrective Action & Complaints Management Client Feedback & Satisfaction	Deborah Cox	Mike Swanson
<b>SUMMARY</b>		
<p>Complaints Management.  Last recorded formal complaint 5/8/16.  This is no doubt due to the working relations and communication loop D&amp;D have with their clients.  There is a robust Corrective &amp; Preventive action process in place which is closed loop which can be called upon in the vent of a complaint.  Seen utilised for internally identified issues to great effect.</p>		
PROCESS	PROCESS OWNER	AUDITOR
Training	David Farrow	Mike Swanson
<b>SUMMARY</b>		
<p>Training Matrix maintained.  Captures mandatory training elements and continued refresher training requirements.  Well detailed and complete.  Appears to be well kept and up to date.  Training requirements identified emanate from formal meetings, morning project meetings and individual requests.</p>		

## **8. ADDITIONAL COMMENTS**

Audit conducted remotely due to Covid-19 outbreak.  
email & telephone utilised to gain full access to objective evidence in support of the audit findings.

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**WHEN YOU NEED TO BE SURE**