

## Internal Audit Report

<b>Audit Report Date:</b> 2.7.18		<b>Last Audit Report Date:</b> 13.10.17		
<b>Client Name:</b> Webber (NW) Ltd				
<b>Company Address:</b> Unit 3-4 The Corner Works, Kirkby Bank Road L33 7SY				
<b>Telephone Number:</b> 0151 548 5777 or 07908499316		<b>Email:</b> <a href="mailto:mail@webber-engineering.co.uk">mail@webber-engineering.co.uk</a>		
<b>Website:</b> <a href="http://www.webber-engineering.co.uk">www.webber-engineering.co.uk</a>		<b>Management Representative:</b> Steven Gill		
<b>Number of Employees:</b> 18 Full-Time		<b>Assessment Date:</b> 23.10.17		
<b>Scope of Registration:</b> Steel fabrication and installation specialising in glass balustrade systems and structural steel, pipe work installations and construction projects				
<b>Exclusions:</b> Non-Applicable				
<b>Standards Audited:</b>				
<b>ISO 9001</b>		ISO 14001		
<b>System Audited:</b> Quality Management System				
<b>Authorised:</b> Marcus Maxwell		<b>Authorised Date:</b> 2.7.18		
<b>Report Number(s):</b> 1				
<b>Start Time:</b> 12.30pm		<b>Finish Time:</b> 4.30pm		
<b>Objectives of Audit</b>				
To confirm that the management system conforms to the requirements of the audit standard.				
To confirm that the organisation has effectively implemented the planned management system.				
To confirm that the management system is capable of achieving the organisations targeted aim, which is certification by an independent accredited body.				
<b>Area for Improvement</b>	<b>(AFI)</b>	The management team need to consider action ultimately discretion lies with management.	Yes	<b>No</b>
<b>Action Raised</b>	<b>(AR)</b>	Action will need to be taken by the management team within the next 2 months.	<b>Yes</b>	No
<b>Immediate Action Raised</b>	<b>(IAR)</b>	Immediate action will need to be taken by the management team.	Yes	<b>No</b>

Area for Improvement	(AFI)	Action Raised	(AR)	Immediate Action Raised	(IAR)
<b>Key:</b>					
<b>Correction=The action or process of correcting something (A change that rectifies an error or inaccuracy)</b>					
<b>Root Cause=The direct cause of the problem</b>					
<b>Corrective Action= Action to eliminate the cause of non-conformities in order to prevent their recurrence</b>					
1	<b>Action Raised (AR):</b> The new quality policy statement needs to be visually displayed for staff members and visitors.				
	<b>Correction:</b>	<b>Roots Cause:</b>	<b>Corrective Action:</b>		
2	<b>Action Raised (AR):</b> The company needs to carry out online checks on all drivers.				
	<b>Correction:</b>	<b>Roots Cause:</b>	<b>Corrective Action:</b>		
3	<b>Action Raised (AR):</b> No proof that welding sets had been calibrated.				
	<b>Correction:</b>	<b>Roots Cause:</b>	<b>Corrective Action:</b>		

<b>Action completed by:</b> Steven Gill		<b>Date:</b> 2.9.18	

<b>Auditor Comments Regarding the Audit</b>	
Did the audit cover the required elements of the scope? State any areas not audited (processes or locations)	
<b>Yes</b>	
<b>No</b>	The audit covered all elements identified in the audit plan and sufficient samples were taken on which to make a reasoned decision as regards to applying for a third-party assessment.
Has the organisation effectively implemented / maintained the documented Quality management system?	
<b>Yes</b>	
<b>No</b>	The system is adequate for the company's scope of activities. It is fully implemented and appears to be fully understood by the Managing Director and members of staff.
Has the management system the ability to ensure the organisation meets statutory, regulatory and contractual compliance?	
<b>Yes</b>	
<b>No</b>	The company provides a list of applicable legal/regulatory requirements to supplement its QMS documentation and has the necessary insurance for its activities.
Is the organisation meeting its specified objectives?	
<b>Yes</b>	
<b>No</b>	Objectives will be reviewed and updated each year. There was evidence of these being achieved and current objectives are designed to improve business performance.
<b>Audit Summary</b>	

The areas assessed during the course of the 1-day visit were found to be effective.

The quality management system is now fully embedded within the organisation.

The management representative and members demonstrated a strong commitment to the quality management system.

The management representative who contributed to the audit process must be commended for his knowledge and diligence during the internal audit process.

#### **Final Audit Notes**

The internal audit was based on sampling approach. Therefore, nonconformities may exist which have not been identified.

All information viewed during the internal audit will remain confidential, no information will be disclosed to any third parties i.e. competitors.

Should you wish to query any elements of the report, please contact Marcus Maxwell – Mobile: 07905629902 – Email: [marcus\\_maxwell@hotmail.co.uk](mailto:marcus_maxwell@hotmail.co.uk)

#### **AUDIT CHECKLIST**

<b>INFORMATION REQUIRED</b>	<b>EVIDENCE</b>	<b>COMMENTS</b>
<p><b>ISO 9001:2015</b> <b>4.0 Context of the Organisation</b></p>	<p><b>4.1 Understanding the Organisation and its Context</b> Has your company determined the external and internal issues that are relevant to your purpose and the achievement of customer satisfaction and your strategic direction? <b>Yes/No</b></p> <p>Does your company have a way of reviewing and monitoring these on a regular basis? <b>Yes/No</b></p> <p><b>4.2 Understanding the Needs and Expectations of Interested Parties</b> Has your company determined the needs and expectations of interested parties that are relevant to your QMS? <b>Yes/No</b></p> <p><b>4.3 Determining the Scope of the Quality management system</b> Has the scope of your QMS been determined, taking into account the external and internal issues, the requirements of interested parties and your company's products and services? <b>Yes/No</b></p> <p><b>4.4 Quality management system and its Processes</b> Has your company's QMS been established, including the processes needed and their sequence and interaction? <b>Yes/No</b></p> <p>Have the criteria for managing these processes been established, together with responsibilities, methods, measurements and related performance indicators needed, to ensure the effective operation and control? <b>Yes/No</b></p>	<p>See Audit Notes</p>

## AUDIT CHECKLIST

### **INFORMATION REQUIRED**

**ISO 9001:2015  
5.0 Leadership**

### **EVIDENCE**

**5.1 Leadership and Commitment**

Has top management taken accountability for the effectiveness of the QMS?  
**Yes/No**

Have the requirements for your QMS been integrated into your company's business processes and have management promoted awareness of the process approach?  
**Yes/No**

Have customer requirements and applicable statutory and regulatory requirements been determined, met and communicated throughout your company?  
**Yes/No**

Have the risks and opportunities that are relevant to your QMS been established?  
**Yes/No**

Have the objectives been established at relevant departmental and individual levels with your business?  
**Yes/No**

**5.2 Policy**

Have the policy and objectives for the QMS, which are compatible with your purpose and the achievement of customer satisfaction and your strategic direction, been established, documented and communicated?  
**Yes/No**

**5.3 Organisational Roles, Responsibilities and Authorities**

Has your company established and communicated the responsibilities and authorities for the effective operation of your QMS?  
**Yes/No**

### **COMMENTS**

See Audit Notes



**AUDIT CHECKLIST**

**INFORMATION REQUIRED**

**ISO 9001:2015  
6.0 Planning**

**EVIDENCE**

**6.1 Actions to Address Risks and Opportunities**

Have the risks and opportunities that need to be addressed to give assurance that the QMS can achieve its intended result(s) been determined by your company?

**Yes/No**

Has your company planned any actions to address these risks and opportunities and integrated them into the system processes?

**Yes/No**

**6.2 Quality Objectives and Planning to Achieve Them**

Is there a plan to achieve quality objectives and are these objectives documented?

**Yes/No**

**6.3 Planning of Changes**

Is there a defined process for determining the need for changes to your QMS and managing their implementation?

**Yes/No**

**COMMENTS**

See Audit Notes



## AUDIT CHECKLIST

### **INFORMATION REQUIRED**

**ISO 9001:2015  
7.0 Support**

### **EVIDENCE**

#### **7.1 Resources**

Has your company determined and provided the resources needed for the establishment, implementation, maintenance and continual improvement of your QMS (including people, environmental and infrastructure requirements)?

**Yes/No**

If monitoring or measuring is used for evidence of conformity of products and services to specified requirements, has your company determined the resources needed to ensure valid and reliable monitoring and measuring of results?

**Yes/No**

Has your company determined the knowledge necessary for the operation of its processes and achievement of conformity of products and services and has your company determined how to acquire additional knowledge and updates?

**Yes/No**

#### **7.2 Competence**

Has your company determined the competence for persons who can affect the performance of the QMS and ensured that they are competent on the basis of appropriate education, training, or experience (or taken action to ensure that those persons can acquire the necessary competence)?

**Yes/No**

#### **7.3 Awareness**

Are personnel aware of the policy and the objectives, and how they contribute to the QMS and the implications of not conforming to the QMS?

**Yes/No**

### **COMMENTS**

See Audit Notes

**AUDIT CHECKLIST**

**INFORMATION REQUIRED**

**ISO 9001:2015  
7.0 Support**

**EVIDENCE**

**7.4 Communication**

Has the company determined what, when, with whom and how communications should take place, this includes external communication?

**Yes/No**

**7.5 Documented Information**

Has the company documented information required by the standard and necessary for the effective implementation and operation of your QMS been established and communicated to all persons under your company's control?

**Yes/No**

**COMMENTS**

See Audit Notes

**AUDIT CHECKLIST**

**INFORMATION REQUIRED**

**ISO 9001:2015  
8.0 Operation**

**ISO 9001:2015  
8.0 Operation**

**EVIDENCE**

**8.1 Operational Planning and Control**

Does your company have a defined process for the provision of products and services that meet requirements defined by the customer?  
**Yes/No**

**8.2 Requirements for Products and Services**

Is there a defined process for reviewing and communicating with customers in relation to information relating to products and services, enquiries, contracts or order handling?  
**Yes/No**

Is this review conducted prior to your company making a commitment to supply products and services?  
**Yes/No**

**8.3 Design and Development of Products and Services**

If your company designs and/or develops products or services, are these processes established and implemented in line with the requirements of the standard?  
**Yes/No/N/A**

When changes to products/services are planned are they carried out in a controlled way and actions taken to mitigate any adverse effects?  
**Yes/No/N/A**

**8.4 Control of Externally Provided Processes, Products and Services**

Does your company ensure that externally provided processes, products, and services conform to specified requirements?  
**Yes/No**

Does your company have criteria for the evaluation, selection, monitoring of performance and re-evaluation of external providers?  
**Yes/No**

**COMMENTS**

See Audit Notes

**AUDIT CHECKLIST**

<b>INFORMATION REQUIRED</b>	<b>EVIDENCE</b>	<b>COMMENTS</b>
<p><b>ISO 9001:2015</b> <b>8.0 Operation</b></p>	<p><b>8.5 Production and Service Provision</b> Is the provision of your company's products and services carried out under controlled conditions? <b>Yes/No</b></p> <p><b>8.6 Release of Products and Services</b> If there is a requirement for post-delivery activities associated with the products and services such as warranty, maintenance services, recycling or final disposal, are these defined and managed? <b>Yes/No</b></p>	<p>See Audit Notes</p>

**AUDIT CHECKLIST**

<b>INFORMATION REQUIRED</b>	<b>EVIDENCE</b>	<b>COMMENTS</b>
<p><b>ISO 9001:2015</b> <b>8.0 Operation</b></p>	<p><b>8.7 Control of Non-Conforming Outputs</b> Are any non-conforming outputs managed to prevent their unintended use? <b>Yes/No</b></p>	<p>See Audit Notes</p>
<p><b>ISO 9001:2015</b> <b>9.0 Performance Evaluation</b></p>	<p><b>9.1 Monitoring, Measurement, Analysis and Evaluation</b> Has your company determined what needs to be monitored and measured? <b>Yes/No</b></p> <p>The methods for monitoring, measurement, analysis and evaluation, to ensure valid results? <b>Yes/No</b></p> <p>Has your company established when the results from monitoring and measurement shall be analysed and evaluated? <b>Yes/No</b></p> <p>Have your company's methods of monitoring customer perceptions of the provision of products and services been established? <b>Yes/No</b></p> <p><b>9.2 Internal Audit</b> Has your company established a process for an internally auditing the QMS? <b>Yes/No</b></p> <p><b>9.3 Management Review</b> Has an approach to perform management reviews been established and implemented? <b>Yes/No</b></p> <p>Has your company determined the need for, or opportunities for, improvements within your QMS and how these will be fed into your management reviews? <b>Yes/No</b></p>	

**AUDIT CHECKLIST**

<b>INFORMATION REQUIRED</b>	<b>EVIDENCE</b>	<b>COMMENTS</b>
<p><b>ISO 9001:2015</b> <b>10.0 Improvement</b></p>	<p><b>10.1 General</b> Has your company determined and selected opportunities for improvement and implemented the necessary actions to meet customer requirements and enhance customer satisfaction? <b>Yes/No</b></p> <p><b>10.2 Non-Conformity and Corrective Action</b> Does your company have appropriate processes for managing non-conformities and the related corrective actions? <b>Yes/No</b></p> <p><b>10.3 Continual Improvement</b> Has your company decided on how it will address the requirement to continually improve the suitability, adequacy, and effectiveness of your QMS? <b>Yes/No</b></p>	<p>See Audit Notes</p>

## AUDIT NOTES

### Context of The Organisation (Understanding the Organisation & Its Context)

The company has determined external and internal issues that are relevant to its purpose and that affect its ability to achieve the intended outcome(s) of its quality management system. The external and internal issues are identified and monitored via PESTEL & SWOT Analysis.

#### PESTEL

**Political**

**Factors** Political direction in country (Brexit), housing market & monetary policies.

**Economic**

**Factors** Economic growth (impact on capital), interest rates (impact on how much capital can be borrowed), inflation (impact on cost of service)

**Social**

**Factors** Increased literacy, population growth, age distribution (skilled/experienced staff ageing out of workforce) & increase per capita income.

**Technological**

**Factors** Advancement in technology development, technology infrastructure in country (Web/Broadband/Mobile) & improved communication (information and communication can be passed between clients with the use of email, mobile phones/landline phones)

**Environmental**

**Factors** Environment issues regarding location (proximity to local rivers) & climate change/extreme weather

**Legal Factors** Financial legislation (e.g. Corporation Tax Act 2010), environmental legislation (e.g. Hazardous Waste Regulation 2016), changes in data protection legislation (The General Data Protection Regulation 2018) and health & safety legislation (e.g. Health & Safety at Work Act 1974).

#### SWOT

**Strengths** Strong leadership, management commitment, motivated workforce, limited borrowing, quick decision making & strong customer focus.

**Weaknesses**

System auditing.

**Opportunities**

Flexibility in service delivery, quicker response to customer needs & high growth potential.

**Threats**

Political direction in country (Brexit) & monetary policies, service delivery, loss of certification, health & safety, training awareness, competition, employee safety, fire risk, enforcement notice, loss of insurance, press statements, complaints, damage to company reputation, loss of IT data, loss of experienced personnel, contractual agreements, health & safety legislation, not making enough profit/poor cashflow, cost of materials & GDPR.

### Understanding the Needs & Expectations of Interested Parties

The company has documented relevant interested parties in the quality management system. Examples are provided below.

Interested Party	Needs & Expectations	Internal/External
Bank	Supply of financial statements.	External
Certification Body	Meeting and maintaining the requirements of the ISO 9001:2015 Standard via internal audits.	External
Customers	Value for money, high quality product, adherence to contractual agreements, on time delivery, effective communication, technical support, supply continuity & defined lead times.	External
Competitors	None.	External
Employees	Terms & conditions.	
Training & support.		
Safe working conditions.		Internal
Employee families	Safe working conditions for employees.	Internal

### Risks & Opportunities (Business Risk Register)

Risk / Interested Party	Internal/External Issue	Needs & Expectations	Compliance Obligation	Initial Risk
<b>Score</b> Likelihood X Severity	<b>Action to Meet Requirements / Opportunity</b>			
<b>Final Risk Score</b>				
<b>Likelihood X Severity</b>				
Loss of certification / certification body.	External.	Meeting and maintaining the requirements of the ISO 9001:2015 Standard via internal audits.		
N/A.		4 x 5=20		
		Bespoke QMS developed, implemented and maintained via internal audits. Certification can act as an effective business promotional tool.		3 x 5=15
		The General Data Protection Regulation (GDPR) / Government		
	External.	Meeting legislative requirements. Legal Compliance (e.g. The General Data Protection Regulation 2018).		4 x 5=20
		New processes will encourage the company to take a proactive approach to privacy and daily data management, this will help to demonstrate compliance with GDPR.3 x 5=15		



## AUDIT NOTES

### Leadership & Commitment

An interview was held with senior management (Steven Gill) to discuss, QMS updates, context of organisation (PESTEL & SWOT Analysis), interested parties and risk register. The PESTEL, SWOT, interested parties and risk register remain valid. During the interview the strategic direction of the organisation was discussed, including future opportunities (e.g. high growth potential) and potential threats to the organisation (e.g. loss of certification). From the feedback sufficient evidence was seen and heard to demonstrate effective leadership commitment. Senior management took the opportunity to discuss objectives (See Below).

### Objective

**Objective** Obtain ISO 9001:2015 certification. Protection of data. On time service delivery. Achieve positive feedback from feedback forms returned. Achieve service conformity.

**Target** Obtain ISO 9001:2015 certification during 2018. Meet the requirements of general data protection regulation during the next 12 months. 100% on time service delivery during the next 12 months. Achieve a positive feedback for 95% of feedback forms returned during the next 12 months. To achieve 95% service conformity during the next 12 months.

**Means of Achievement** Develop QMS ensuring it meets the requirements of the standard and identifies all operational procedures. Develop policy documents to meet the requirements of general data protection regulation. Promote the on time / right first-time principle within the company. Send out feedback form to new and existing clients. Measure the number of completed successful job against the number of recorded non-conformances.

**Person Responsible** Stephen Griffin &

Steven Gill. Stephen Griffin &

Steven Gill. Stephen Griffin &

Steven Gill. Stephen Griffin &

Steven Gill. Stephen Griffin &

Steven Gill.

### Time Frame

12 months.

12 months.

12 months.

12 months.

12 months.

Progress against objective This objective has not yet been achieved and will be monitored closely.

This objective has not yet been achieved

and will be monitored closely. This objective has not yet been achieved and will be monitored closely.

This objective has not yet been achieved

and will be monitored closely. This objective has not yet been achieved and will be monitored closely.

### Documented Information (QMS), Creating & Updating, & Control of Documented Information

Document and data is being controlled as per procedure. QMS documents are retained on computer. The scope of the QMS is clearly defined in the quality manual. No clauses have been justifiably excluded. Records are both electronic (client information, documents, e-mails/correspondence etc) and hard copies (archived records) are protected and retrievable. Record retention times have been defined and are fully understood. The requirement for documents of external origin to be identified and controlled is understood.

Quality Manual & Quality Procedures – Issue Date: 23.6.18 – Issue No: 1 – Authorised: Webber (NW) Ltd

Quality Policy – Issue Date: 23.6.18 – Issue No: 1 – Authorised: Webber (NW) Ltd

**AR (1)** The new quality policy statement needs to be visually displayed for staff members and visitors

Amendments – There has been no recent amendments to the new quality manual and quality procedures

Standard Documents – e.g. Quote, Job Sheet

External Standards – The company holds a copy of ISO 9001-2015

Retention Period – Unless specified otherwise, all records shall be maintained for a period of five years.

Scope – Steel fabrication and installation specialising in glass balustrade systems and structural steel, pipe work installations and construction projects

Computer & Data Backup – The computer records are backed up to a removable hard-drive. The back is carried out once a day by nominated individual

### Statutory & Regulatory Requirements

The company is fully aware of statutory & regulatory requirements e.g. Health & Safety at Work Act (1974), Health & Safety (First Aid) Regulations (1981), Electricity at Work Regulations (1989), The Display Screen Regulations (1992), Personal Protective Equipment Regulations (1992), Manual Handling Operations Regulations (1992), Provision and Use of Work Equipment Regulations 1998 (PUWER), The Gas Safety (Installation and Use) Regulations (1998), Lifting Operation & Lifting Equipment Regulations (1998) (LOLER), Fire Precautions (Workplace) Regulations (1999), Management of Health and Safety at Work Regulations (1999), Control of Substances Hazardous to Health Regulations (2002) (COSHH), Regulatory Reform Fire & Safety Order (2005), The Employers Liability (Compulsory Insurance) Amendment Regulation (2008), Reporting Injuries Diseases & Dangerous Occurrences Regulation (RIDDOR) (2013) & The General Data Protection Regulation 2018 (GDPR)

## AUDIT NOTES

### Support, Resources, People, Infrastructure & Environment for the Operation of Processes

PAT Testing – Portable appliances have been safety tested by Mayday Electrical Ltd on the 22.5.18

Insurance – Employers Liability/Public & Products Liability – Issue Date: 23.4.18 – Expiry Date: 22.4.19 – Policy No: CRKACC 4205941 – Professional Indemnity (HCC) – Issue Date: 21.11.17 – Expiry Date: 20.11.18 – Policy No: PI17K740834 –

Fire Extinguishers – Fire extinguishers were last serviced February 2018 – Completed by Brunswick Fire Protection  
Alarm Test – Alarm is tested all year round by Ian Hyde (Every 3 months)

Lifting Equipment – No lifting inspection records for FLT & Slings (FLT are hired in from Millennium & PDQ)

PPE – PPE Issued Includes: Hard Hat, Rigger Gloves, Boots & Safety Glasses – PPE is frequently inspected

Work Environment – The stores area was found to be quite clean and tidy.

Free Issue Material – All free issue material is labelled on receipt

First Aid Box – A first aid box can be located on the Shop Floor

First Aid Appointed Person(s) – The first aid appointed person at the company is Robert Blackhurst (Site), Steven Gill (Office)

Vehicle Checks – Daily Defect Report is completed – Registration: Y599XEF – Completed By: Paul Burleigh – Date: 8.9.17

Machine Maintenance – Example(s) Include: Radial Arm Drill, Hydracrop Geka Cropper, Radial Arm Drill – Machines supplied by Graham Flynn Machinery Services Ltd – A service contract is in place – Last Service Report/Date: 27.6.18

Vehicle Maintenance – Tachograph Management, Defect Report are managed by Steven Gill

Driving License(s) – **AR (2)** The company needs to carry out online checks on all drivers.

FLT & Crane – All equipment is which is hired in when necessary

H&S Consultant – Advisor: Steven Simpson

Tool Box Talks – No recent examples of any tool box talks were available at the time of audit (next scheduled tool box talk ISO 9001:2015 awareness training)

Risk Assessment, COSHH Data Sheets & Method Statements – Risk Assessment, COSHH Data Sheets & Method Statements are in place within the company

Comment – Webber (NW) Limited is determined to provide and maintain the infrastructure and the work environment needed to achieve conformity to the product requirements with a maintenance schedule with covers: a) building, workspace and associated utilities, b) equipment, c) supporting services, d) work environment

### Competence, Awareness, Communication & Organisational knowledge

Roles and responsibilities are clearly defined and communicated. A documented procedure mandates each member of staff receive a training record which will include an induction record. A training matrix is maintained by the company, this training matrix helps identify the core competencies of all members and their skill level within defined areas.

**Employee/Position** Neil Gaffney/Supervisor  
Dave Farrar/Fabricator/Welder

#### IPAF Training

Expires: 31.10.18 Certificate No: OP/0984843

Expiry Date: 31.7.19

**PASMA Training** Certificate No: 236781

Expires: 20.5.19 Training not required

**CSCS Training** Registration No: 00770671

Expires: November 2018 Training not required

**CPCS** Registration No: 00770671/1

Expires: October 2018 Training not required

**Site Supervisor** Expires: 30.4.19

Training not required

#### Welder

Training not required

WPS: WP04 (Single Fillet Weld) Testing Standard: BS EN

9606-1:2013 (Training By: In Con – Date: 27.10.15 – Expires: 16.10.18)

#### FLT

Training not required

Reg No: 115013310

Training Date: 13.11.09

#### ISO 9001:2015 Awareness

This training has now been scheduled for the coming month

This training has now been scheduled for the coming month

#### GDPR

This training has now been scheduled for the coming month

This training has now been scheduled for the coming month

## AUDIT NOTES

### Monitoring & Measuring Resources

The company will determine and provide the resources needed to ensure valid and reliable results when monitoring or measuring is used to verify the conformity of products and services to requirements.

### Measurement Traceability

**AR (3)** No proof that welding sets had been calibrated.

### Internal Management Meeting

Internal management meetings now take place within the company. The latest internal management meeting took place on the 6.5.18. Attendees included: Steven Gill & Steve Simpson. The topics discussed included: health & safety performance, adequacy of resources, personnel etc.

### Communication (Internal & External)

Internal management meetings are used to communicate all important company information, additional communication means include staff appraisals and company noticeboard.

### Operational Planning & Control, Determining/Review of requirements for Services, Review of Requirements for Services & Control of Service Provision

Customer Related Processes – Tender received (at cost planning stage) – A bill quantities and set of drawings/specification – the work prices and returned to cost planner – if the price is satisfactory, the company will receive an official order – The order is then contract reviewed before it is placed into the production – A site survey is conducted as part of the production planning (contract sum analysis) – At this point materials for the job will be ordered (two quotes will be acquired for materials) – A Job Card/Sheet is created in readiness to start production, the Job Card/Sheet is accompanied by drawings, documentation or description for work to be done. Control of Service Provision – Prior to site work, the installation team will be issued with Risk Assessments, Method Statement, COSHH Data Sheets, Permit to Work. Any amendments to the original order will be subject to a variation – Any variations will be brought to the attention of the management team, the validity of the variations will be assessed, if found valid the variation request is priced and submitted to the client. If a variation is agreed, the existing order is modified, details of variations are recorded in the Day Work Sheet. All snags to be addressed / closed off by the Site Manager. The Site Manager will talk the client representative through the job to ensure they are happy with finished installation.

**Client** McLaren Construction Crossfield Construction

**Description** Staircase Balustrade Framework Installation Steel Beams Lined & Levelled on PAD Stones

Bolted Connections tightened to correct torque

All Bolts Grade 8.8 installed with Correct Nuts/ Washers on Steel Connections

Painting of Steelwork

**Site Address** Cineworld, Speke Retail Park

Liverpool Baldocks, Bridge Water Street, Liverpool

**Quote** ✓ ✓

**Client Order** 1672 CCL

**Job Reference** Cineworld Speke Baldocks

**Internal Drawing Reference** McLaren Ballustrade

Webber (NW) Baldocks

**RAMS** ✓ ✓

**Fabricator & Welder** Neil Gaffney & Dave Farrar Neil Gaffney & Dave Farrar

**Final Inspection** ✓ ✓

**Delivery to Site** ✓ ✓

**Invoice** ✓ ✓

## AUDIT NOTES

### Property Belonging to Customers or External Providers

Customer supplied specifications are identified. Customers do not normally supply free issue material but should this happen it will be appropriately identified and stored to avoid damage. Should any customer supplied material found to be unsuitable for use, or subsequently damaged, it will be identified, recorded and reported to the customer, but not destroyed without written instructions from the customer.

### Control of Externally Provided Services, Type & Extent of Control & Information for External Providers

A suitable purchasing system is in place. All suppliers are selected from an approved list. Details of all purchases are recorded on purchase order. Once the goods/materials are received they are inspected against the purchase order and delivery note.

The purchase order, delivery note and invoice are married up and stored away.

**Description** 220 x 8 mm Flat Bar – Lengths 40 x 40 x 3 mm SHS – 14 Lengths

**Authorised** Steven Gill Steven Gill

**Order Placed By** Steven Gill Steven Gill

**Purchase Order No** Cineworld Speke Cineworld Speke

**Job No** Cineworld Speke Cineworld Speke

**Order Date** October 2017 October 2017

**Supplier** Liverpool Steel Liverpool Steel

**Approved Supplier** ✓ ✓

**Delivery Note** ✓ ✓

**Signature on Receipt** ✓ ✓

### Identification & Traceability

All documentation seen during the internal audit showed full traceability. All project information is clearly identified with unique job reference number e.g.

### Preservation

The company ensures materials are suitably identified, handled, correctly stored, issued and protected to avoid damage during processing, delivery to the customer or when in use.

### Release of Product

The release of product will be monitored via the non-conformance system.

### Control of Changes

Webber (NW) Ltd would manage change within the organisation by selecting the correct people to be a part of the process from the start until the change is complete. These people would design and implement the change. The company would assess the impact that the change would have and then subsequently how it would affect the people. The change would then be communicated to the company so that anybody affected by the changes would then be made aware. Finally, the company would look at the readiness of employees to the change. The staff would then have to adapt to the change and, whilst ensuring that the correct training, information and support is available. Note: Discussion took with Steven Gill.

### Monitoring & Measurement, Analysis & Evaluation

Data Collected	Last 12 months	Trend Analysis
Customer Complaints	0	No trends were highlighted during analysis.
Internal Non-Conformances	0	No trends were highlighted during analysis.
External Non-Conformances	0	No trends were highlighted during analysis.

### Internal Audits & Audit Schedule

The internal auditing process has been outsourced to an external consultant. The scheduled internal audit is used as an evidence gathering process. Audit evidence is utilised to evaluate how well audit criteria is being met. The auditor has strived to be objective, impartial, independent, whilst the audit process is both systematic and documented. Audit criteria included Quality Policy, procedures, and requirements. Audit evidence has been used to determine how well such audit criteria is being met. A previous internal audit was carried out by Marcus Maxwell the 13<sup>th</sup> October 2017 (the internal audits contained detailed objective evidence). The latest internal audit was carried out by Marcus Maxwell on the 2<sup>nd</sup> July 2018. Marcus Maxwell is a trained internal auditor (Certificate is available upon request). Marcus Maxwell has also obtained a lead assessor qualification for ISO 9001, (Certificate is available upon request). An internal audit schedule has been completed. The internal audit will be verified by Steven Gill.

## AUDIT NOTES

### Management Review

The management review takes place at 'planned intervals' (at least once every 12 months). Management reviews are always documented and the records stored as defined by the QMS. Management Review inputs will include the following: The status of actions from previous management reviews, changes in external and internal issues that are relevant to the quality management system, information on the performance and effectiveness of the quality management system, including trends: Customer satisfaction and feedback from relevant interested parties, the extent to which objectives quality have been met, process performance and conformity of products and services, non-conformities and corrective actions, monitoring and measurement results, audit results, performance of external providers, adequacy of resources, effectiveness of actions taken to address risks and opportunities, opportunities for improvement. The outputs of the management review shall include: Opportunities for improvement, any changes to the quality management system, resource needs & any of other business. The last management review was carried out on the 13<sup>th</sup> October 2017 (attendees included: Stephen Griffin & Steven Gill). All mandatory elements of the old standard were covered during the meeting. A management review meeting has been scheduled for (2<sup>nd</sup> July 2018) to cover the new requirements.

### Customer Satisfaction

Customers are regularly contacted by members of staff. Customer satisfaction note is now issued with delivery note. Customers are given an opportunity to declare how happy they are with the service. Customer retention and repeat business is estimated to be more than 90%. Customer Feedback Example – Customer: McLaren Group – Contact Person: Leonard Henry/Site Manager – Date: 25.5.18 – "Personally I look forward to working with them again & I have no hesitation in recommending to others".

### Non-Conformity & Corrective Action

The company has established effective procedures for reporting non-conformance's. The prime purpose of these procedure(s) is to prevent further occurrence of the situation by identifying and dealing with the root cause(s). Furthermore, the procedures allow detection, analysis and elimination of potential causes of non-conformities. No NCR's have been recorded during 2018.

### Continual Improvement

Details of continual improvement is recorded within the scheduled management review minutes. The company wants to improve employee training (future training earmarked includes: CSCS, First Aid etc).

### Site Visit

Site Visit Date – 2.7.18

Address – Baldocks, Bridge Water Street, Liverpool

Client Name – Crossfield Construction

Site Induction – Induction was carried out

Job Description – Steel Beams Lined & Levelled on PAD Stones. Bolted Connections tightened to correct torque. All Bolts Grade 8.8 installed with Correct Nuts/Washers on Steel Connections. Painting of Steelwork. Town House Steelwork Installation.

Site Supervisor – Neil Gaffney/Supervisor

Operatives on Site – Darren Weir (CSCS Card/Registration No: 01407825 – Expiry Date: December 2018)

Manual Handling – Manual handling will be kept to an absolute minimum.

RAMS – RAMS were located on site (Topic: Lifting Steel – Assessed By: Steven Gill/H&S Coordinator – Assessed Date: 12.6.18). These RAMS had been signed.

PPE – Hi Visibility Jacket, Safety Footwear, Safety Gloves & Hard Hat

Safety Precautions – The control measures identified in risk assessments will be followed. If there are significant changes on site then these will be reviewed and updated. All operatives on site are subjected to a company/site induction.

Accident Procedures – The operative will report any incidents where persons are injured and equipment is damaged or otherwise. All incidents will be investigated. The degree of investigation will be appropriate and proportionate.

First Aid Provision – First aid box was located in company vehicle.

Storage of Materials – All waste generated is returned from site.

Purchasing – All purchasing is controlled at head office.

PAT Testing – All hand tools are subjected to PAT Testing.

Tool Box Talk – No recent tool box talks have been carried out for this site.