



Achilles UVDB Verify B2 Audit Report

Stem Drive Ltd

Date of Audit: 16/11/16 - 17/11/16

Auditor: Loraine Small

services for professional procurement
www.achilles.com

EXECUTIVE SUMMARY

Supplier ID:	061093	Supplier Name:	Stem Drive Ltd
Auditor(s):	Lorraine Small	Address:	Solway Works Eastriggs, Dumfriesshire, DG12 6NJ
Tel:	0146 140904	Site Address (first line only)	Solway Works
Audit Date(s):	16/11/16 - 17/11/16	Contact Name:	Lorna Hind
		Title:	Company Secretary

Introduction:

Manufacture and Installation of Fluidic Mixers and Mixing Systems. Based in the Scottish Borders, service delivery is carried out throughout the UK. This is a small business with only 3 employees.

The site aspect of this B2 Audit focused on the following project: Beverley WwTW, Temporary Sludge Mixing. This is an installation completed over two days by two Engineers. Documents witnessed include; Risk Assessments and Method Statements, Project safety file and PPE records.

This B2 audit has identified 2 X Major Non Compliances, 5 X Minor Non Compliances and 3 X Observations as detailed within the attached report.

AMALGAMATED SCORES	MSE Percentage Score	Site Percentage Score
Health & Safety	98%	100%
Environment	76%	100%
Quality	87%	100%
CSR	83%	100%

Average Amalgamated Scores	86%	100%
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Section Number	Section	MSE Percentage Score	Site Percentage Score
1	System Assurance and Compliance, Quality Assurance	100%	
	System Assurance and Compliance, Health & Safety	89%	
	System Assurance and Compliance, Environmental Management	67%	
2	Quality Control and Assurance	100%	100%
3	Business Integrity and Ethics	100%	100%
4	Employment Practice and Human Rights	100%	
5	Training and Capability/Competence Assessment	100%	100%
6	Working Hours	100%	
7	Workplace Safety	97%	100%
8	Occupational Health	100%	
9	Emergency Planning	100%	100%
10	Site Security	100%	100%
11	Business Continuity	33%	
12	Environmental Management	50%	100%
13	Carbon Management	100%	
14	Waste Management	89%	100%
15	Selection and Management of the Supply Chain	100%	
16	Sourcing of goods and products	50%	
17	Use of Work Equipment, Vehicles and Machines	100%	100%
18	Insurance and Warranty	100%	

Critical Non-Compliances	
Question Number	Finding
	None Identified

Major Non-Compliances	
Question Number	Finding
12.2	The company's environmental management systems are not formally documented.
16.3	There is currently no evidence that the company work with its top level suppliers to prevent bribery & corruption throughout its supply chain. This is currently being actioned.

Minor Non-Compliances	
Question Number	Finding
7.1	There is no formal procedure in place to identify legal and other requirements.
11.1	The Business Continuity Plan is currently in draft format and not formally approved and issued within the quality management system.
12.4	Aspects & Impacts Register - identifies, Water Pollution, Waste Management and Atmospheric Emissions
14.1	The waste management system is currently informal.
16.5	The company cannot demonstrate that they actively assess their supply chain for the potential of child labour being involved in the work process.

Observations	
Question Number	Finding
1.1	The company cannot demonstrate that their Health & Safety and Environmental Management Systems are assured.
2.6	The company may wish to consider third party certification such as ISO/IEC 27001.
13.1	There is currently no quantifying and reporting of GHG emissions although there is currently no legal requirement to do this.

PQQ Discrepancies	
Question Number	Finding
	None Identified

Positive Elements	
Question Number	Finding
	The supplier was successful in closing off several non compliance identified in the previous UVDB audit and therefore have confirmed continual improvement and an increase in the audit scores.

1.0 System Assurance and Compliance

MSE SITE

1.1 Can the company demonstrate that their Quality Management Systems are assured?

3

Can the company demonstrate that their Health & Safety Management Systems are assured?

2

Can the company demonstrate that their Environmental Management Systems are assured?

2

The Auditor shall establish:

Does the company have any formal 3rd party certification for their management systems as awarded by an independent accreditation body for quality, health and safety, environment or social responsibility?

Y

Does the company's accreditation apply to more than one country if the company has international operations? (if yes please detail countries)

NA

Is the accrediting body registered with the UKAS or other international equivalent?

Y

Where 3rd party accreditation has not been achieved is the company prepared to operate adopt their clients Quality, Health & Safety and Environmental Management Systems?

Y

Question Evidence:

The company operate a quality management system which is certified to ISO9001:2008 through CQS. This was confirmed via the management system certificate and a copy of the latest surveillance report. The Health and Safety and Environmental aspects of the management system are uncertified and the company are willing to work to the clients systems where required. **Observation:** The company cannot demonstrate that their Health & Safety and Environmental Management Systems are assured.

Documents Presented

BS EN ISO 9001:2008, name of certifying body: CQS, Certificate No: GB2003069, Date of expiry: 14th December 2018, Name of accreditation authority of certifying body: IAB, Scope of certification: Manufacture and Installation of Fluidic Mixers and Mixing Systems.

CQS Audit Report - November 2015 (zero non compliance)

CQ

1.2 Can the company demonstrate compliances with the Construction, Design and Management Regulations?

3

The Auditor shall establish:

Does the company undertake any activities that fall under the CDM regulations?	Y
Has the company identified and documented its responsibilities as defined within the CDM regulations e.g. Principal Designer, Designer, Principal Contractor?	Y
Do company management systems clearly identify processes for meeting and discharging duties as required by the CDM regulations?	Y

Y
Y
Y

Question Evidence:

The supplier normally completes the role of Sub contractor during CDM projects. The construction phase health and safety plan is made available at the tender stage and compiled with supplier information throughout the duration of the works.

Documents Presented

Hayden STW - Subcontract works - Airmixing system
Contract start up meeting is attended as appropriate

1.3 Has the company identified all permit and licensing requirements applicable to the scope of services provided?

3

The Auditor shall establish:

Has the company identified the necessary licenses and permits applicable to the scope of services provided?	NA
Can the company demonstrate that all applicable licenses and permits are held and in date?	NA
Can the company demonstrate it is implementing the requirements of each permit or license that is held?	NA

NA
NA
NA

Question Evidence:

There are currently no requirement for any licenses and certificates for undertaking their activities.

Documents Presented

Section Score

13

2.1 Does the company have a formally approved Quality Management policy statement?

3

The Auditor shall establish:

Is the policy statement signed and endorsed by the most senior management representative?
Does the policy relate to the company activities?
Is the period for review documented?

Y
Y
Y

Question Evidence:

The policy statement is appropriately signed and dated by the Managing Director. The policy is displayed throughout the head office areas and can be accessed electronically via the management system files. The policy statement is reviewed on an annual basis.

Documents Presented

Quality Policy statement, signed by GH Dated 30th July 2015
Management Review and policy review 27.10.16

2.2 Has the company formally appointed a representative who has responsibility for Quality management within the company?

3

The Auditor shall establish:

Have the competency requirements been clearly documented?
Has responsibility been formally assigned and recorded?

Y
Y

Question Evidence:

The Managing Director was identified as holding overall responsibility for quality in the organisation with day to day arrangements being delegated to the Quality Manager. Responsibilities for management and other employees were formally recorded in the management system files and a company organisational chart.

Documents Presented

Roles and Responsibilities section 5
Organisational chart - witnessed
Quality Manager - JL

2.3 Does the company use processes or systems for the management and control of documentation?

3

The Auditor shall establish:

Is there a documented management procedure for document control?	Y
Does the Document Control system identify the key documents requiring management	Y
Is there a process in place for withdrawing and re-issuing of updated documents?	Y
Does the process include document archiving? (Is there a retrieval process for the archived document)	Y
Is there a process or system in place for the secure disposal of confidential documentation?	Y
Is there a master list of controlled documents?	Y

Question Evidence:

The company archives all the electronic and paper documents. A Retention period is highlighted within the Records Register. The disposal of confidential waste is completed via internal shredding. The Company Secretary is responsible for the update and review of management system files.

Documents Presented

Document Control
Control of Records
Document Index is computer generated within the management system files

2.4 Does the company have documented processes for the control and production of Q.C. (Quality Control) Plans /Procedures /Inspection documentation / Testing documents and competence of staff involved?

3

That specific Quality Control documentation (as applicable) is included within the company document control processes.	Y
Whether the company undertakes any analysis to monitor the effectiveness of the procedures in place?	Y

Question Evidence:

Quality Procedures and documents identified within the quality management system include the following:- Corrective & Preventive action , Internal Audit , Training & Competency. Quality procedures are subject to an internal and external audit program. Effectiveness of the procedures in place are monitored by the Company Secretary. Quality documentation used during the scope of service delivery is included within the defined document control procedure. This includes contract agreements, safety files and Project sign off forms as examples. The document control procedure is subject to an internal audit program and is identified within the audit matrix. Project Site packs include the following as examples: Scope, risk assessment and method statement, test reports, material schedules and technical drawings when appropriate.

Documents Presented

Certificate of Conformity
Operation and Maintenance Manuals - witnessed
Test and Commissioning Certificates
Shikun Binui - Operation and Maintenance Manual - demonstrated

2.5 Does the company have a controlled and documented process for the hand over of completed works?

3	3
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The Auditor shall establish:

That the company manages the documentation and process of completion of agreed contractual work.	Y	Y
Does the company specify how long handover records will be retained?	Y	Y

Y	Y
Y	Y

Question Evidence:

Project Handover is defined with the scope and considers the clients requirement on a project specific basis. Documents are compiled and completed as required within the quality management system and all files are archived appropriately. The contract file is retained within the office and contains the project specification, tender documents and correspondence records for example. Contract sign off sheet was witnessed during the audit.

Documents Presented

Operation and Maintenance Manuals - witnessed
Test and Commissioning certificates

2.6 How does the company guarantee the confidentiality, availability, and integrity of information and supporting IT systems?

3

The Auditor shall establish:

Does the company have third party certification for IT management? e.g. ISO/IEC 27001	N
Is electronic information backed up on site or remotely?	Y
Does the company utilise a third party to store confidential data?	NA
Does the company have protective systems in place to reduce the occurrence of malicious software/IT downtime?	Y
Does the company have a process or procedure relating to the back up of confidential data?	Y

N
Y
NA
Y
Y

Question Evidence:

The company did not have third party certification such as ISO/IEC 27001. The company have a comprehensive information security policy which included security requirements and use of encryption. The company confirmed that they have full firewall and virus protection and all data was backed up on to remote servers in secure environments. There is an external support company utilised to assist with information security. **Observation:** The company may wish to consider third party certification such as ISO/IEC 27001.

Documents Presented

Velocis - IT support company

2.7 Does the company have in place an internal auditing/inspection programme?

3	3
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The Auditor shall establish:

Are the audits at regular/programmed intervals?	Y	Y
That the company has specified a minimum competency level for personnel undertaking audits / inspections.	Y	Y
Does the company ensure all areas of the business are covered by this programme?	Y	Y
Does the internal audit process include contract / customer specific requirements?	Y	Y

Y	Y
Y	Y
Y	Y
Y	Y

Question Evidence:

Internal audits are completed by the management team and a programme is agreed and completed annually which includes contract and customer requirements within site audits. Audit reports were witnessed during the audit. Safety sampling is completed by the Project team and sample checklists were made available during the audit - Hayden site 27.05.16, Windlestone site 02.05.16, workshop welding bay 09.03.16

Documents Presented

Internal Audits - Procedure (completed by the Quality Manager)
Audit Checklist
Audit Reports - Jan - Oct 2016
Audit programme 2016

2.8 Does the company have a management process in place to review non conformities/findings identified within: first, second and third party audit programmes?

3

The Auditor shall establish:

Are key personnel assigned to ensure findings are closed out?	Y
Is a register kept of all outstanding issues and is it subject to regular review?	Y
Does the company have a mechanism in place to manage the close out of audit outcomes?	Y
Does the company have a mechanism in place to ensure assessor that defects / NCRs are closed out to satisfy applicable designs / specifications?	NA

Y
Y
Y
NA

Question Evidence:

The company monitor and measure health and safety, quality and environmental performance through a structured inspection and internal audit regime which includes all operational departments. The Company Secretary and the operations team work together to monitor and close off any corrective actions within the spreadsheet database - witnessed during the audit.

Documents Presented

Corrective Preventative Action Log - witnessed (Corrective actions reports 2016 includes supplier issues)
Management Review meeting - October 2016

2.9 Does the company utilise information /data obtained as a result of the internal audit/inspection programme to improve business process?

3

The Auditor shall establish:

Is analysis of evidence/findings communicated to the relevant departments/nominated management representatives as part of an overall improvement programme?

Y

Is the information communicated to stakeholders /shareholders and the management team (Post Analysis)?

Y

Question Evidence:

Information and Data obtained during the inspection and audit processes are communicated within the management review meeting, operational meeting and displayed on notice boards.

Documents Presented

Management Review Meeting - minutes witnessed

Corrective Preventative Action Log - witnessed

Section Score

27

6

3.0 Business Integrity and Ethics

3.1 Does the company have a formal procedure in place in the event a member of the workforce breaches company rules regarding bribery, soliciting for money, intimidation or extortion for monetary gain in order to influence decision making?

3

Does the procedure define a clear and logical structure of how the company would deal with potential problems such as this?

Y

Would the company involve the police in the event the policy is breached?

Y

Do workers sign a declaration agreeing that they have read and understood the content and will abide by the policy?

Y

Question Evidence:

The Bribery and corruption policy statement is communicated at the staff induction and accessible within the management system files. Workers sign a declaration agreeing that they have read and understood the content and will abide by the Anti bribery and Corruption policy, this is completed within the Induction Procedure.

Documents Presented

Anti Bribery Policy January 2015

Induction declaration sign off - witnessed during the audit

3.2 If a worker advises senior management of improper conduct either as a result of corruption, bullying/harassment, breaches of safe working practice, environmental issues; can the company demonstrate that the worker would be protected and the information treated confidentially (whistle blowing policy)?

3	3
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The Auditor shall establish:

Is there a formal process / procedure that demonstrates how a worker can make a formal complaint in confidence?

Y	Y
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Is the complaint reported to an independent party?

Y	Y
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Can the company demonstrate how the policy has been communicated to all categories of worker?

Y	Y
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Question Evidence:

Employment, discrimination and harassment procedures are defined within the Whistleblow Policy and the Confidential Reporting Procedure. Employees are made aware of the business ethics and principles via Policy statements that are communicated via inductions, handbooks and through internal awareness training. The company were able to demonstrate how the policy has been communicated to all categories of worker at the staff induction. Signature are retained to confirm receipt and understanding of the company policies and procedures.

Documents Presented

Whistleblow policy
Employee Handbook

Section Score

6	3
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4.0 Employment Practice and Human Rights

4.1 Is there a process or system to ensure that personnel recruited are entitled to work in the country of operation?

3

The Auditor shall establish:

Can the company demonstrate understanding of the relevant laws regarding the employment of workers who are not from the country of operation?

Y

Are all legal requirements followed when employing workers who have the legal ability to work within the country of operation e.g. as specified through the Asylum, Immigration and Nationality Act?

Y

Is evidence used to validate the individual's identity and eligibility to work such as; birth certificates, passports, identity cards, social security numbers etc.? (Please detail and if copies are retained)

Y

Does the company retain evidence of entitlement to work for at least 3 years after the individual has left the employer? (Specify if a different period and if this covers temporary workers)

Y

Were personnel files available for sampling?

Y

Question Evidence:

The company have an Administration department, that have completed the required training and achieved the required competencies regarding employment law and right to work in the UK requirements. Personnel files were made available during the audit.

Documents Presented

Equal Opportunity Policy Statement - Oct 2015

Contract of Employment

Staff Handbook

Employee files - witnessed EW, LH

4.2 Are all employees including temporary or seasonal workers issued with a contract containing details of their employment?

3

Were personnel files available for review and to validate that workers are issued with a contract detailing information about their employment terms, payment, and type of employment and working hours including temporary or seasonal workers? (Please detail)

Y

Question Evidence:

The company do not currently use temporary or seasonal workers and all employees are issued a contract of employment.

Documents Presented

Contracts of employment are issued to all full time employees, this document defines working hours, payment and employment terms and records were witnessed during the audit.

4.3 Does the company use employment agencies or labour companies?

3

The Auditor shall establish:

Does the supplier verify the competencies/capabilities of all agency-supplied labour prior to being supplied to them?

NA

Does the company have a process to ensure that agency personnel have not worked hours in excess of legislative and regulatory limits before attending their work site?

NA

If workers are utilised via recruitment agencies or labour companies, are checks made to verify that all workers are entitled to work in the specified country?

NA

Question Evidence:

The company do not currently use employment or labour agencies during service delivery.

Documents Presented

4.4 Are trade unions present within the company?

3

Which Unions are represented within the company?

NA

If no unions are allowed, this is to be recorded and a reason provided by the company.

NA

If no unions are allowed, does the company prevent workers from forming any other mechanism for collective bargaining?

NA

Question Evidence:

There are no trade unions involved with the company although management are aware of their employees rights to do so if required.

Documents Presented

4.5 Has the Organisation prepared and published an annual Slavery and human trafficking statement?

3

The Auditor should establish the following:

The organisation has developed an annual statement related to slavery and human trafficking
The statement is appropriately approved and signed off
The statement is published / available via: a) The organisation's website, a link to it must appear in a prominent place on the homepage, or b) If the organisation does not have a website, it must provide a copy of the slavery and human trafficking statement to anyone who makes a written request for one, and must do so before the end of the period of 30 days beginning with the day on which the request is received.

Y
Y
Y

Question Evidence:

The company does have an Anti Slavery and Human Trafficking Policy that has been recently communicated throughout the workforce. This policy is available to anyone on request and it has been signed off by senior management and is subject to a review at least annually.
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Documents Presented

Anti Slavery & Human Trafficking Policy - October 2016 GH

Section Score

15

5.0 Training and Capability/Competence Assessment

CQ

5.1 Does the company induct new workers into the business when they first start on site? (This should include employees, sub-contractors, self employed and visitors)

3	3
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The Auditor shall establish:

Are records of induction held?	Y	Y
What mechanisms are used for induction delivery?		
That the induction process covers at least:		
Company structure	Y	Y
Roles and responsibilities	Y	Y
Training and competency requirements	Y	Y
Relevant legislative and regulatory requirements	Y	Y
Site-specific requirements e.g. welfare facilities/safety risks	Y	Y
Emergency procedures e.g. warning signals/first aid issues	Y	Y
Code of Conduct	Y	Y
Accident/hazard reporting - what to do	Y	Y
Is there a documented period for re-inducting / re-briefing personnel and applicable personnel?	Y	Y

Question Evidence:

The staff induction procure is defined within the management system manual. All employees and subcontractors are required to complete a staff induction and confirm an understanding of the company policies and procedures by signing the checklist. Records are retained within HR files as appropriate. There is a documented period (5 years) for re-inducting / rebriefing personnel and applicable personnel. During site project works the client will provide a full site induction as appropriate, the site engineers will complete a briefing prior to commencement of any works.

Documents Presented

Training and Competency
Company Induction Checklist
Personnel Records - witnessed
RAMS - sign off at the project briefing

5.2 Has the company identified all work activities relating to their scope of service that requires formal training?

3	3
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The Auditor shall establish:

Is a training matrix in place for all categories of worker?	Y	Y
If the company does not utilise a matrix format do they have any other system to record what training is required for each job?	NA	NA
Does the training process confirm competency/capability requirements as well as training needs?	Y	Y
What systems does the company have in place to identify new training requirements relating to changes in scope of services being provided?		

Y	Y
NA	NA
Y	Y

Question Evidence:

The company have an electronic Training database. This is updated and accessed by the line managers and Company Secretary as appropriate. New Training and completed training is discussed and reviewed at the induction process and there after on an annual basis. Training identified within the training database includes the following as examples: Training identified within the training matrix includes the following as examples: Confined Space, Pasma/ Scaffolding, First Aid, CSCS, IPAF, Scissor lifts, Boom, EUSR, Abrasive Wheels. Training needs are reviewed and assessed within the management review procedure.

Documents Presented

Management Review Meeting minutes
Training Matrix

5.3 Is there a system in place to ensure that existing training certificates /licences held by individuals are checked and validated on a regular basis?

3

The Auditor shall establish:

Are licences for operating plant and equipment or for specific trades checked for validity when presented by new workers joining the company who already possess the certification?	Y
Does the company have a means of identifying certification expiry/re-training dates and also, where necessary, competency assessment due dates?(Can be electronic/manual or notification by training organisation)	Y

Y
Y

Question Evidence:

Competency and training records and certificates are retained within the systems for easy access requirements regarding CDM projects, company profile documents and client reference as required. Expiry dates are highlighted within the skills/ training matrix and training required is planned by the administration department when required.

Documents Presented

Training/ Skills Matrix
Training certificates - witnessed
Training Certificates - witnessed during the audit

5.4 Has the company defined training standards for its workforce based on in-house or national /industry standards?

3

The Auditor shall establish:

Are the levels required by the company documented?

Y

Where competency/capability standards have been developed; are they signed off by a competent professional or Head of Department?

Y

Does the programme cover all categories of worker?

Y

Does the company use a numerical process to evaluate a workers capability when progressing against a specific standard? E.g. pass marks, matrix approach with cumulated scores to meet specific standard.

NA

Question Evidence:

A system has been established and is implemented throughout the business for all employees and is update as appropriate by the management team. The company use external subcontract labour and competencies and certificates are monitored annually by the management team.

Documents Presented

External Provider - Qualification Checklist - witnessed BT

5.5 Does the company have programmes in place for the re-assessment/re-training of personnel?

3

The Auditor shall establish:

Is there a schedule for re-assessment?
Are personnel records up to date (Auditor to take a sample)?
If reliant on an external party, is there a system in place to monitor the effectiveness of the company used?
Are remote (Individuals who work on sites or areas away from the main head office e.g. site tradesperson, lorry drivers) workers advised of their need to be re-assessed?
Does the company monitor the effectiveness of the training programmes provided?

Y
Y
Y
Y
NA

Question Evidence:

Refresher and reassessment training is completed as appropriate to ensure that all operatives have completed training as required. The company does monitor the effectiveness of the external training programmes provided and only use industry standard courses/ approved suppliers.

Documents Presented

External Training Provider - Course Review Document
Training records - witnessed

Section Score

15	6
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6.0 Working Hours

6.1 Does the company keep records of all workers standard and overtime working hours?

3

Are time sheets subject to accuracy checks?

Y

Provide details of all shifts and days worked including any differences by other categories of staff e.g. security work longer hours than office /white collar staff.

NA

Specify average working week

Y

Does the company experience peaks and troughs throughout the year where working hours fluctuate? (Specify timescales)

NA

Is any overtime undertaken on a voluntary basis?

Y

Question Evidence:

A timesheet system is in place that allows monitoring of site times , location and tasks due to be completed. Timesheet are completed weekly and submitted to the project manager for accuracy before senior management sign off and pass through to payroll for action and completion. The average working week is defined within each employee contract and the staff handbook. Overtime is undertaken on mutual agreement with staff and senior management and not enforced as compulsory.

Documents Presented

H&I Engineering - Timesheets

External Provider - Timesheets

Section Score

3

7.0 Workplace Safety

CQ

7.1 Does the company have established processes to ensure compliance to legal and other legislative requirements that are applicable?

2

The Auditor shall establish:

Demonstrate organisational subscriptions

Y

Has the company established, implemented and maintained procedures to identify and access all legal and other requirements.

N

Question Evidence:

The company use the services of an external Health and Safety Advisor to ensure legal compliance. The external Advisor makes quarterly visits to the controlling office and ensures legal compliance and information of any legal and statutory updates. **Minor Non Compliance:** There is no formal procedure in place to identify legal and other requirements.

Documents Presented

Clagan Associates (Henry McClelland)

HSE and Netregs are used for information updates

7.2 Does the company have a policy statement relating to the provision of a safe working environment?

3

3

Does it demonstrate a commitment to continually improving workplace safety?

Y

Y

Does the policy extend to not only workers but also third parties and people who are not employed but may be affected by the company's activities?

Y

Y

Is it endorsed and supported by the most senior management within the company?

Y

Y

Is the policy on display anywhere within the company? Poster/intranet etc.

Y

Y

Is the policy and its contents formally issued to employees, subcontractors and suppliers?

Y

Y

Question Evidence:

The policy statement is appropriately dated and signed by the managing director. The policy is displayed throughout the head office, communicated at the staff induction and can be accessed electronically via the management system files. During site project works a copy of the company safety policy statement is accessed within site safety files. (vehicle pack)

Documents Presented

The Health and Safety Policy Statement

7.3 Does the company have a person who has delegated responsibility for workplace and product safety?

3

Are the corporate responsibilities for this person defined in a job description?
Does the delegated person holds qualifications / professional memberships appropriate to the role e.g. Nebosh / IOSH / IIRSM?
If the company is part of a larger group is there a corporate reporting structure from the local facility to the Group Head responsible for Safety?
Does the company split the responsibility for workplace and product safety? (Specify how this works)

Y
Y
NA
NA

Question Evidence:

The Managing Director is ultimately responsible for any health and safety issues within the business, with delegation to nominated line managers for specific areas of the business. Health and safety responsibilities for line management and other positions are defined within sections of the management system manual. The company use an external consultant for advice, guidance and information update resource.

Documents Presented

Roles and Responsibilities
Organisational Chart
Clagan Associates (Henry McClelland)

7.4 Can the company demonstrate that the senior management team take a proactive role in the continuous improvement of health, safety and industrial hygiene within the company?

3	3
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Does senior management take part in random and programmed safety inspections/tours/audits?
Does the company commit to establishing measurable objective and targets to ensure continued improvement aimed at elimination of work related injury and illness?
Is there evidence to support performance monitoring of these objectives?

Y	Y
Y	Y
Y	Y

Question Evidence:

Safety audits and site inspections are carried out by the Management Team. Internal audit reports are retained within the head office and were witnessed during the audit. The company has established measurable objective and targets to ensure continued improvement aimed at elimination of work related injury and illness.

Documents Presented

Management Review Meeting - minutes witnessed
Safety Sampling - demonstrated during the audit
Near Miss Procedure

CQ

7.5 Does the company have control measures in place to reduce / remove identified Health and Safety Risks

3	3
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The Auditor shall establish:

Has the organisation established, implemented and maintained documented procedures to identify hazards/impacts and assess risks?	Y	Y
Has the company developed its methodology for hazard identification, risk assessment and risk control, based on operational experience?	Y	Y
Does the company use all forms of Risk Assessment including; Generic, Dynamic, site specific etc.? (Auditor to detail the risk control processes in place)	Y	Y
Does the company have a process to manage works completed under a permit to work system issued by the company or by a principal contractor?	Y	Y

Y	Y
Y	Y
Y	Y
Y	Y

Question Evidence:

The company have compiled a list of hazards normally associated with their work activity. This hazard register is utilised to assist with the compilation of generic and site specific risk assessment documents. Hazards Identified: site works, working within tanks, contamination from sludge, electrocution, manual handling, noise and vibration, hand tools, COSHH, working at height and confined space. The client has a permit to work system in place and this procedure is followed by Stem Drive Engineers as appropriate. Risk assessments and method statements are issued to the client for comment and approval prior to commencement of any works on site.

Documents Presented

Risk Assessment Procedure C26
Beverley WwTW - Temporary Sludge Mixing 04.11.16 / 16.11.16
Site and Golden Rules (OSS 001) - Client Site Rules
Yorkshire Water: Knostrop Incinerator - Tank Mixing Risk Assessment and Method Statement MS 664-15 /00 Rev A 06.07.15, Mott MacDonald Bentley: Windlestone STW Sludge Mixing - 13.05.16 RA MS 684-16/01 Rev B

CQ

7.6 Does the company have a communication process to provide guidance to the workforce on workplace safety issues?

3	3
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The Auditor shall establish:

Does the company utilise a variety of different methods of communication? (Specify methods used)	Y	Y
Does the company keep a formal record of all communication/briefings issued?	Y	Y
Does the company verify that mechanisms for communication with personnel with poor / non-local language skills are appropriate and that hazards are understood?	NA	NA
How does the company ensure subcontractors are included within briefing and communication programmes?	Y	Y
Does the company have forums / committees / groups or other mechanisms to enable the communication and discussion of safety issues?	Y	Y

Y	Y
Y	Y
NA	NA
Y	Y
Y	Y

Question Evidence:

The company promote effective communication and consultation with the workforce through regular, meeting arrangements, daily dialogue and email correspondence. The use of guidance notes, alerts, bulletins and toolbox talks to disseminate additional information was demonstrated during the audit.

Documents Presented

Toolbox Talks
H&S Arrangements - Communication
Safety Bulletins
Contract Briefings and Health and Safety Handbook

7.7 Does the company develop and implement initiatives to improve workplace safety?

3	3
---	---

The Auditor shall establish:

Can the organisation demonstrate how it identifies and quantifies areas of improvement relating to Health & Safety?	Y	Y
Can the organisation demonstrate how it develops programmes to rectify and improve upon Health & Safety performance?	Y	Y
Are workers rewarded for developing and implementing workplace safety initiatives? (Can be financial/award of gifts etc.)	N	N
Does the company have a Behavioural Safety programme in place?	Y	Y

Y	Y
Y	Y
N	N
Y	Y

Question Evidence:

Behavioural Safety is communicated throughout the workplace and any safety observations or non compliance are logged within the Corrective action database. The continual improvement in HSEQ performance is facilitated through regular monitoring of activities, employee involvement, suitable training provision, client liaison and effective quality control processes. The Near Miss/ Observation Report Card system has been communicated and encouraged throughout the workforce. Workplace safety and initiatives are discussed and reviewed at the Management Review Meeting. Near Miss reports are communicated to the client on site as appropriate.

Documents Presented

Near Miss / Observation Report - 03.03.16
Near Miss / Observation Report - 27.05.16

CQ

7.8 Can the company demonstrate that they issue appropriate Personal Protective Equipment (PPE) to all workers (migrant workers, contract/ labour, full-time) that may be exposed to workplace hazards?

3	3
---	---

The Auditor shall establish:

Were issue lists provided as evidence?
Can the company demonstrate that all workers have been given guidance on the proper handling, storage and use of PPE?
Is there a period of time for the retention of PPE records?
Is there a methodology used to identify type of equipment that needs to be used?
Does the company issue agency labour with PPE (with records of issue retained) or if not does the company retain records of inspection of Agency labour PPE documenting that it meets the company's standards and legislative requirements?
Is there a disciplinary procedure linked to failure to wear required PPE?
When self employed workers/ sub contractors attend site with their own equipment does the company check its suitability?
Can the company demonstrate that all PPE is issued free of charge to all workers?

Y	Y
Y	Y
Y	Y
Y	Y
NA	NA
Y	Y
Y	Y
Y	Y

Question Evidence:

PPE is provided to all operatives as required. The minimum standard for PPE during the project work consists of the following; Hard Hat, safety footwear, hi visibility jacket, coveralls, safety glasses, additional PPE requirements are defined by task risk assessment, such as fall protection harness, Gloves or Ear defenders when required. PPE is issued free, to all employees at induction and there after on request. There is a signature of receipt retained for PPE issued.

Documents Presented

PPE is identified within the Risk Assessment and Method statement Documents
Health and Safety Handbook
PPE Issue Record - witnessed during the audit

7.9 Can the company demonstrate that they have assessed the hazards associated with applicable chemicals and/or hazardous substances?

3	3
---	---

The Auditor shall establish:

Does the company have a process or system in place to ensure that up to date data sheets are obtained?	Y	Y
Are all copies of data sheets retained in a register?	Y	Y
Does the company have a process for ensuring MSDS and supporting assessments are available to the emergency services (including first aid trained personnel) where necessary?	Y	Y

Y	Y
Y	Y
Y	Y

Question Evidence:

The company updates and maintains a database of COSHH assessments and the required safety data sheets. The procedures in place regarding the issue, storage and use of any COSHH substances is defined within the management system manual.

Documents Presented

COSHH Assessments:- Kutamatic Spray, Loctite 577, Fuels and Paints
COSHH Register
COSHH Procedure C21
Defined within the RAMS - Beverley WwTW

7.10 Is there a system in place for the correct handling and storage of hazardous substances and goods?

3	3
---	---

The Auditor shall establish:

Is there any site storage of flammable materials including fossil fuels/LPG/auto gas?	NA	NA
Can the company demonstrate they utilise appropriate containment on site needed to retain leakage from storage vessels? (Bunds/Reinforced walls)	NA	NA
Is there a programme in place to assess the integrity/suitability of the storage areas?	NA	NA
Does the company employ a No Smoking policy in open areas?	Y	Y
Does the company have spill kits available for use?	Y	Y

NA	NA
NA	NA
NA	NA
Y	Y
Y	Y

Question Evidence:

There is minimal hazardous substances and goods used during service delivery. The company van does have a spill kit stored within it.

Documents Presented

7.11 In the event of an injury in the workplace can the company demonstrate they have adequate emergency first aid facilities onsite?

3	3
---	---

Are medical points with facilities located throughout the workplace?
Does the company provide facilities when working away from the main office?
Are qualified emergency first aid personnel easily identified e.g. badges / different coloured uniform / pictures on the notice boards? (Specify quantity of personnel)
Are subcontractors/temporary/agency workers allowed to use these facilities?

Y	Y
Y	Y
Y	Y
Y	Y

Question Evidence:

First Aid facilities are made available to all employees, subcontractors and visitors. First aid boxes are situated throughout the head office, project welfare facilities and within the company vehicles. The company currently have 3 employees trained in First Aid. During site project works, the client will provide First Aid facilities as appropriate.

Documents Presented

First Aid Certificates: witnessed during the audit LB FAIB Approval # 425/83 23.09.15

7.12 Does the company have arrangements in place for investigating and reporting of Accidents and Incidents and Near Misses in their worksites?

3	3
---	---

The Auditor shall establish:

Does the company have a nominated person who reports all accidents and incidents to government agencies and where applicable a corporate Head Office?	Y	Y
Does the company maintain records of accidents and incidents (This includes safety & environmental incidents)?	Y	Y
Does the company have a documented process for undertaking investigations into accidents/incidents and near miss occurrence?	Y	Y
Does the company produce and analyse Accident and Incident Statistics?	Y	Y
Can the company demonstrate that lessons have been learned and applied from incidents? The auditor should record what improvements have been implemented.	Y	Y
Has the company had any prohibition or Improvement notices in the last 5 years? (auditor to check http://www.hse.gov.uk/notices/ as part of audit)	N	N
Has the company had any HSE Prosecutions within the last 5 years? (auditor to check http://www.hse.gov.uk/prosecutions/ as part of audit)	N	N
Jump to Accident and Incident Statistics		

Y	Y
Y	Y
Y	Y
Y	Y
Y	Y
N	N
N	N

Question Evidence:

The management system includes defined procedures for reporting and investigating accidents and incidents involving the company's activities. Suitable arrangements are in place to ensure effective, prompt reporting of accidents, incidents and near misses. Provision is also made to enable escalation of information to management and external enforcing authorities, where necessary. The company have a documented process for reporting near miss occurrence and safety observations and this has been recently communicated and promoted. In the event of a serious accident or incident a full investigation would be carried out by senior management and the external Health and Safety Advisor.

Documents Presented

Accident / Incident Procedure
Accident / Incident Investigation Form
Accident/ Incident Reporting Form
Near Miss / Observation Reports

Section Score

35	30
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8.0 Occupational Health

8.1 Does the company have a nominated person who has responsibility for occupational health / industrial hygiene?

3

Does this person have defined responsibilities as part of the management system?

Y

Does the company use the services of a third party (Can be private or government operated facility) medical centre/hospital for the delivery of occupational/worker health services?

Y

If an accountable person is not identified within the company, what systems are in place to ensure the health and hygiene of employees?

NA

Question Evidence:

The Managing Director is ultimately responsible for Occupational health throughout the business. Annual Medicals are provided to all employees and Medical health checks would be provided to any employee that gave cause for concern.

Documents Presented

NHS Occupational Health Annual Assessments

Medical Questionnaire - witnessed within Personnel Files

CQ

8.2 Does the company undertake any Health (medical) Surveillance screening/monitoring/testing of their workforce?

3

Is the screening part of the pre employment selection criteria?
Is testing undertaken (either pre employment or periodic) because of the type of work the company undertakes e.g. working with chemicals or noisy environment?
Can it be confirmed that the company have implemented controls to prevent workers being exposed to harmful chemical, biological and physical agents/substances/materials that exceed the minimum legal exposure limits?
Does the company and subcontractors have documented processes for ensuring employee fitness for work? Do requirements include Drug and Alcohol testing?

NA

Y

Y

Y

Question Evidence:

Drug and alcohol tests are carried out under the following circumstances: post serious Accident /Incident, cause for concern and randomly. This procedure would include any subcontractors working with in the Project Scope and includes health surveillance visits as appropriate.
--

Documents Presented

Drug and Alcohol Policy - Signed RH
HAV's are defined and monitored within the site specific risk assessments.

Section Score

6

9.0 Emergency Planning

9.1 Does the company have a controlled process for the identification and implementation of emergency arrangements?

Does the company have controlled processes for the identification and implementation of work site specific emergency arrangements?
Are site specific emergency arrangements communicated to all applicable personnel?
Can the company demonstrate that they have tested the effectiveness of their emergency arrangements?
Does the company mandate minimum competency levels and minimum resource levels within the documented emergency arrangements?
Has the company quantified minimum medical provision and support within the emergency plan?
Can the company demonstrate that they provide visitors/external auditors/ contractors who visit their site with specific information on site safety hazards including emergency evacuations?
Is there a programme in place that ensures that all emergency (fire and evacuation) equipment is checked regularly by a competent person? (This can be a third party)

Question Evidence:

The company management system manual includes defined procedures in the event of an emergency. Adequate arrangements are in place to ensure contingency plans are established for all activities undertaken by the company. Responsible persons are nominated and identified, practice drills are undertaken at the company offices and sufficient first aid and fire fighting equipment is readily accessible. Evacuation Drills are logged within the Fire Log book along with service and inspection records for the fire alarm, emergency lighting, smoke detection and fire extinguishers. During site project works, the client emergency procedures are communicated at site induction and followed at all times.

Documents Presented

Fire Log Book (ownership with H&I Engineering upstairs)
Fire Risk Assessment - May 2015
Moffat Fire and Security - Extinguisher service June 2016

Section Score

3	3
---	---

Y	NA

3	3
---	---

10.0 Site Security

10.1 Does the company ensure the security of the work site both during work and non working hours?

3	3
---	---

The Auditor shall establish:

The auditor will record a description of the processes used e.g. fencing / patrols / lighting / alarms

Question Evidence:

There is no requirement to provide security at the work site. The office / workshop compound is appropriately fenced off and during non working hours it is locked and there is adequate external lighting and an intruder alarm system.

Documents Presented

10.2 Does the company utilise CCTV to monitor workplace security?

3	3
---	---

The Auditor shall establish:

Confirm the numbers of cameras on site and if fixed or mobile type used.

Are government permits required and in place for CCTV systems?

Y	NA
---	----

Y	NA
---	----

Question Evidence:

4 x CCTV Cameras are in use and fixed within the Office / Yard areas. There is no permit required for this installation.

Documents Presented

10.3 Are security personnel employed directly by the company or engaged via a third party and how are they distinguishable from other members of the workforce?

3	3
---	---

The Auditor shall establish:

Do they undertake programmed patrols of all work sites?	NA	NA
How does the company ensure the competency and legitimacy of security personnel and does this include Security Industry Association (SIA) licensing?	NA	NA
Can the company demonstrate that site based security personnel have been inducted to the operational working sites that they patrol?		NA

NA	NA
NA	NA
	NA

Question Evidence:

The company currently have no requirement to use external security personnel.

Documents Presented

Section Score

9	9
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11.0 Business Continuity

11.1 Does the Company have formal arrangements in place for the implementation of a business continuity management plan?

1

Is a formal plan in place? (Specify if localised arrangement only or part of multinational group)	Y
Has the plan been subject to trial or simulation?	N
Does the plan cover areas that could result in the total loss of operations? (such as terrorist threats, natural disasters, power cuts, etc.)	N
Can the company demonstrate all reasonable emergency situations have been identified? (Specify if this has been documented and by whom)	N
Is the documented plan subject to a regular review? (please detail time frame)	N
Has the company appointed an individual with responsibility for this area?	Y

Y
N
N
N
N
Y

Question Evidence:

Minor Non Compliance: The Business Continuity Plan is currently in draft format and not formally approved and issued within the quality management system.

Documents Presented

Quality Manager - Responsible for the compilation and update of the Business Continuity plan.

Section Score

1

12.0 Environmental Management

12.1 Does the company have an environmental policy statement?

3

The Auditor shall establish:

Is the policy statement signed and endorsed by the most senior management representative?

Y

Does the policy relate to the company activities?

Y

Is it displayed in a prominent position or made available to all interested parties?

Y

Commit the company to a continuous improvement programme and ensures compliance with all relevant environmental legislation or industry guidance?

Y

Does it identify how environmental issues will be communicated?

Y

Is the period for review detailed?

Y

Question Evidence:

The Environmental Policy statement is appropriately signed by the managing director and dated. The policy is displayed within the controlling office and communicated at the staff induction. A copy of the policy is filed within the vehicle pack as appropriate.

Documents Presented

Environmental Policy - January 2016

12.2 Are the company's environmental management systems documented?

0

The Auditor shall establish:

Does the system document the company's environmental responsibilities?	N
Are details of the communication process detailed?	N
Are responsibilities clearly defined?	N
Is there an inspection and audit regime?	N
Are emergency procedures detailed?	N
Is there written sections on waste and recycling?	N
Does the company have a policy on sourcing materials / procurement strategy?	N
Is there written sections on the management of subcontractors?	N
Does the system detail the measures to be taken in the design process?	NA
Does the systems establish legal requirements including creation and maintenance of a register of legislation / changes to legislation?	N

N
N
N
N
N
N
N
N
NA
N

Question Evidence:

The company does have an Environmental policy statement that identifies, waste, recycling, energy consumption and environmental audits and inspections. **Major Non Compliance:** The company's environmental management systems are not formally documented.

Documents Presented

12.3 Does the company utilise a variety of sources to ensure the content of the environmental management system?

3

The Auditor shall establish:

In House expertise?	Y
External consultancy?	Y
Subscription services?	Y
Government agencies / Local /Municipal Authorities?	NA

Y
Y
Y
NA

Question Evidence:

The company use internal staff, external consultant and website subscription services for advice, guidance and information update resource regarding environmental issues.

Documents Presented

Netregs, SEPA, Client Newsletters and Bulletins

12.4 Does the company manage the Aspects and Impacts associated with their scope of services?

1

The Auditor shall establish:

Are these processes documented in the form of a register or similar?
Does the company have a formal communication process for communicating the content of the register?
Is there evidence of a periodic assessment and evaluation of the content?

Y
Y
Y

Question Evidence:

Minor Non Compliance: The Aspect and Impact register is currently in a draft format and incomplete.

Documents Presented

Aspects & Impacts Register - identifies, Water Pollution, Waste Management and Atmospheric Emissions.

CQ

12.5 Does the company have control measures in place to reduce/remove identified environmental risk?

3	3
---	---

The Auditor shall establish:

Does the company use data from maintenance programmes / operations to enhance controls processes?
Does the Internal auditing regime monitor the control measures in place?
Are inspections received from government agencies?

Y	Y
Y	Y
Y	Y

Question Evidence:

The site specific risk assessments have identified environmental hazards and suitable control measures have been implemented. Hazards identified include the following: noise, dust, spillage and weather.

Documents Presented

Bacterial Hygiene on WWTW - defined within the Risk Assessment and Method Statement.

Section Score

10	3
----	---

13.0 Carbon Management

13.1 Does the company quantify and report their Greenhouse Gas (GHG) emissions?

3

The Auditor shall establish:

Can the company provide the total emissions, in terms of tCO₂e (tonnes of carbon dioxide equivalent), that they were responsible for emitting over their standard reporting year?

N

Does the company capture indirect emissions as well as direct emissions e.g. supply chain?

N

Is this a definitive answer e.g. 2008 calendar year: 12,100 tCO₂e?

N

Is the figure published in the form of a standard report, spreadsheet or for larger companies, published in a CSR or annual report?

N

In the question evidence, please detail the person or persons responsible for reporting?

N

Question Evidence:

Observation: There is currently no quantifying and reporting of GHG emissions although there is currently no legal requirement to do this.

Documents Presented

13.2 Are follow up actions set in place as part of the monitoring and measuring process?

3

The Auditor shall establish:

Are new targets set after each review period?

N

Are the follow up actions communicated to all employees?

N

If targets are not achieved, are strategies set in place in order to meet them?

N

Question Evidence:

Observation: There is currently no quantifying and reporting of GHG emissions although there is currently no legal requirement to do this.

Documents Presented

Section Score

6

14.0 Waste Management

14.1 Does the company have processes or systems in place to manage waste (Produced as a result of their activities)?

2	3
---	---

The Auditor shall establish:

Recycling initiatives?

Y	NA
---	----

Are the systems formal?

N	NA
---	----

Question Evidence:

All waste will is segregated where possible to allow recycling; an area of the yard is allocated to store minimal amounts of waste which are securely stored until uplift. A regular uplift of waste has been arranged with an appropriate licenced waste contractor. During site project works, any waste (usually pipe cuttings only) is returned to the controlling office for re use or segregation for recycling. Minor Non Compliance: The waste management system is currently informal.
--

Documents Presented

Waste Transfer Notes: witnessed as below (organised by parent company H&I Engineering)
--

DW Martin - Scrap Metal #0110605 15.09.16

14.2 Does the company ensure that it disposes of all its waste in a legal and proper manner?

3	3
---	---

The Auditor shall establish:

Does the company use a formal transfer note process? (Specify how this works)

NA	NA
----	----

Do they use licensed waste companies and licensed waste carriers? (Specify if company has to be subject to government licensing programme)
--

Y	NA
---	----

Do they have access to up to date waste legislation?
--

Y	NA
---	----

If burying the waste are they using authorised sites?

NA	NA
----	----

Transfer to authorised/licensed waste management company?

Y	NA
---	----

Where applicable can the company demonstrate that it complies with the Waste Electrical and Electronic Equipment (WEEE) Regulations 2013.

Y	NA
---	----

Question Evidence:

There is minimal waste produced during service delivery and when possible waste is segregated for re use or recycle.
--

Documents Presented

WEEE Waste is stored appropriately then disposed of via the IT Support company or the Electrician as appropriate.

Waste Transfer Notes: witnessed during the audit.

CQ

14.3 Does the company store any waste material on site?

3	3
---	---

The Auditor shall establish:

Are they classified as Hazardous?
Are they classified as Non Hazardous?
Are they classified as non flammable?
Are they classified as flammable?
Are there quarantine areas to prevent any cross contamination?
If liquid are there adequate spill preventions / containment / spill kits?
Are inspections undertaken on the controls?

NA	NA

Question Evidence:

There is no hazardous or flammable waste stored within the head office. Waste segregated for recycling includes, paper, ink cartridges, plastics and cans. On the project site a skip of aggregate and cardboard was stored for uplift by the licenced waste carrier, who completes the segregation and recycling process. Waste transfer notes are issued to the controlling office and appropriately recorded and filed.

Documents Presented

Section Score

8	9
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15.0 Selection and Management of the Supply Chain

15.1 Has the company appointed a management representative with overall authority for subcontractor / supplier selection and management?

3

The Auditor shall establish:

Detail the job title within the question evidence.

Y

Are deputies within the company in the absence of the representative?

Y

Does the company have a forum, group or committee to review contractor/ supplier performance?

Y

Does the company use a due diligence process e.g. double signatures or similar before a company can be employed contractually.

Y

Question Evidence:

The Contracts Manager and Administration Manager is responsible for the selection of subcontractors and suppliers. All works are carried out in house where practical & only specialist works or excess labour resources are needed. Sub-Contractors are selected by review of a completed questionnaire and relevant support documents. All the Sub-Contractors and Suppliers are vetted on performance of each project and appraised annually at the management review meeting.

Documents Presented

Subcontractor/ Supplier selection questionnaire

Approved supplier and subcontractor list

Year End supplier review - completed by the Secretary and the Administrator.

Purchasing Procedure - 7

15.2 Does the company ensure effective management of their supply chain?

3

The Auditor shall establish:

Does the company maintain an approved supplier list?
Has the company got a process for the evaluation/ selection of contractors/ suppliers, to include PQQ, pre start H&S inspections of activities?
Has the company identified the minimum levels of insurance applicable and required to be held by its subcontractors?
Does the company specify any accreditations/ requirements e.g. UVDB, BuildingConfidence?
Has the company identified the minimum quality, safety and environmental controls applicable and required to be held by its supply chain?
Is there confirmation of subcontractor competency assurance?

Y

Y

Y

Y

Y

Y

Question Evidence:

An approved supplier list is maintained and updated as appropriate. The evaluation of suppliers and subcontractors is defined within the management system manual and defined support documents and forms are available. Monitoring of the suppliers and subcontractors is completed by the project team. Subcontractor insurance documents are retained on an annual basis.

Documents Presented

Approved supplier and subcontractor list
Supplier Review Form - BSS 21.06.16
Supplier Review - Thomas Graham Ltd 21.06.16

15.3 Does the company undertake any reviews of their supply chain performance?

3

The Auditor shall establish:

Is there a review mechanism?
Is there a method for recording reviews?
Is there a process for rectifying faulty work?
Is there a process to prevent contractors/ suppliers with poor performance continuing to work for the company, or to instigate improvements?
Does the company have a mechanism for periodic monitoring of subcontractors insurances, licenses and professional memberships?
Does the company capture / analyse subcontractors accidents / incidents statistics and reports?
Does the company have a process to investigate contractor/ supplier, Accidents/ Incidents and track actions?

Y

Y

Y

Y

Y

Y

Y

Question Evidence:

Review of the supply chain is completed by the Administrator using project performance data and any reviews logged within the stores. A booking in procedure at the stores ensures that all materials are inspected and checked against the delivery notes prior to allocation to relevant project. Any faulty or incorrect supplies would result in a non-conformance being issued to the relevant supplier and monitor through to a satisfactory result.

Documents Presented

Approved supplier and subcontractor list
Goods In Procedure - demonstrated (Purchase order, goods in receipt, Invoice)
Supplier Reviews - witnessed
Subcontractor Selection Questionnaire

15.4 Does the company assess/audit/inspect their supply chain?

3

First Tier
Second Tier
Third Tier
Fourth Tier
Entire supply chain
Are audit/inspection personnel employed or are 3rd party auditors used?
Does the company have a process for the recording and monitoring of any corrective actions raised at subcontractor/supply audits?

Y
Y
NA
NA
Y
Y

Question Evidence:

Corrective actions and non conformances are monitored through to completion by the Administration department. Any corrective actions will be utilised to log , report and allocate a responsible person to monitor through to completion. The entire supply chain is subject to audit/assessment and relevant records were witnessed during the audit.

Documents Presented

Approved supplier and subcontractor list
Management Review meeting minutes
Sales Rep Manufacturer review (Pipeline November 2016)

Section Score

12

16.0 Sourcing of goods and products

16.1 Can the company demonstrate that they have put in place formal arrangements for the identification, mitigation and prevention of Counterfeit, Fraudulent and Suspect Items (CFSI)?

3

Are arrangements integrated into the company's management processes / procedures?

Y

Has the company established measures to ensure that its staff are aware of the risks of CFSI and understand and support the company's mitigation methods?

Y

Has the company taken measures to raise awareness throughout all levels of its supply chain that there are parties who might wish to substitute CFSI for genuine items or services for commercial gain.

Y

Has the company deployed assurance methods to ensure material and component traceability back to source suppliers, including positive material identification, destruction testing methods by third party specialist organisations, including sampling of proprietary high risk items (i.e. bolts and fasteners)?

Y

Where examples of CFSI have been identified have appropriate remedial actions have been taken? (i.e. quarantine arrangements, investigation and dispose of CFSI and information shared within the company, licensee organisation, supply chain and wider industry as appropriate to support learning, prevent use and encourage remedial measures?

NA

For companies working in the Nuclear Industry, where examples of CFSI have been identified have these been notified to the Office of Nuclear Regulation (ONR)?

NA

Question Evidence:

The company demonstrated that there is currently no requirement for a formal arrangement for the identification, mitigation and prevention of Counterfeit, Fraudulent and Suspect Items (CFSI). After discussion during the audit they did agree that this should be communicated throughout the business and a process implemented as best practice.

Documents Presented

Purchasing Procedure - 7

CFSI Memo to Engineers

Sales Rep / Manufacturer review (Pipeline November 2016)

16.2 Does the company have a policy to procure fairly traded goods where available?

3

Auditor to record details.

Y

Question Evidence:

The procurement of fairly traded goods is defined within the Anti Bribery and Corruption Policy statement.

Documents Presented

Anti Bribery and Corruption Policy statement.

16.3 Does the company work with its top level suppliers to prevent bribery & corruption throughout its supply chain?

0

Auditor to record details.

N

Question Evidence:

Major Non Compliance: There is currently no evidence that the company work with its top level suppliers to prevent bribery & corruption throughout its supply chain. This is currently being actioned.

Documents Presented

16.4 If the company handles materials from legal and sustainable sources, can they demonstrate chain of custody certification?

3

The Auditor shall establish:

If purchasing raw materials is there a mandated requirement to use materials that possess a Chain of Custody e.g. Forestry Stewardship Council (FSC) timber.

Y

Do delivery notes contain a chain of custody certificate? (Specify if this is subject to verification prior to use)

Y

Question Evidence:

The company does occasionally handle materials that require chain of custody certification. Steel certificates for example were witnessed during the audit. Traceability of goods is confirmed via certificates of conformity and test certificates issued with items and materials.

Documents Presented

Red Stamp Procedure - demonstrated

Mill Test Report - Kanzen Tetsu Sdn Bhd, Marla Group, BSS Group, KT Fittings

Letter of Conformity - #LOC678-15-01, Shikun Binui

Hydraulic Test C#CHT678-150-1, Hydraulic Test C#CHT678-150-2,

16.5 Can the company demonstrate that they actively assess their supply chain for the potential of child labour being involved in the work process?

0

Can the company demonstrate that they ask their suppliers about child labour in the supply chain?

N

If they are sourcing goods where there is a higher probability of children being involved in the work process which can include both forced labour / contractual labour via schools etc.; what processes do they have in place to mitigate this?

N

Question Evidence:

Major Non Compliance: The company cannot demonstrate that they actively assess their supply chain for the potential of child labour being involved in the work process.

Documents Presented

Section Score

9

17.0 Use of Work Equipment, Vehicles and Machines

<p>CQ</p> <p>17.1 Does the company have arrangements in place for ensuring that all plant, hand tools and equipment are approved prior to use?</p> <p>The Auditor should establish the existence of a documented process for the maintenance of plant and tools and that maintenance arrangements and records include:</p> <table border="1"> <tr> <td>Does the company retain any calibration records?</td> <td>Y</td> <td>Y</td> </tr> <tr> <td>Does the company have a process for reporting and repairing defects on plant and equipment?</td> <td>Y</td> <td>Y</td> </tr> <tr> <td>Does the company produce a scheduled maintenance plan for each individual plant item?</td> <td>Y</td> <td>Y</td> </tr> <tr> <td>Does the company use internal staff to maintain and inspect equipment?</td> <td>Y</td> <td>Y</td> </tr> <tr> <td>Are statutory inspections undertaken and valid Test/Inspection Certificates issued by a third party?</td> <td>Y</td> <td>Y</td> </tr> </table> <p>Question Evidence:</p> <table border="1"> <tr> <td>The Administration Department is responsible for the maintenance and update of an electronic asset register which highlights the following: Plant description, serial number, maintenance and service dates due, calibration dates etc., this data base also includes location of the equipment. This helps to ensure that all statutory inspection and test dates are planned and completed prior to the requirement of plant and equipment being issued to site project works.</td> </tr> </table> <p>Documents Presented</p> <table border="1"> <tr> <td>Visual Daily inspection is completed</td> </tr> <tr> <td>Vernier Gauge #07232520 08.03.16</td> </tr> <tr> <td>Compressor #818-900675-9907 next due 03.11.17</td> </tr> <tr> <td>Pressure Gauge Calibration - #09031604-1 11.03.16</td> </tr> </table>	Does the company retain any calibration records?	Y	Y	Does the company have a process for reporting and repairing defects on plant and equipment?	Y	Y	Does the company produce a scheduled maintenance plan for each individual plant item?	Y	Y	Does the company use internal staff to maintain and inspect equipment?	Y	Y	Are statutory inspections undertaken and valid Test/Inspection Certificates issued by a third party?	Y	Y	The Administration Department is responsible for the maintenance and update of an electronic asset register which highlights the following: Plant description, serial number, maintenance and service dates due, calibration dates etc., this data base also includes location of the equipment. This helps to ensure that all statutory inspection and test dates are planned and completed prior to the requirement of plant and equipment being issued to site project works.	Visual Daily inspection is completed	Vernier Gauge #07232520 08.03.16	Compressor #818-900675-9907 next due 03.11.17	Pressure Gauge Calibration - #09031604-1 11.03.16	<table border="1"> <tr> <td style="width: 30px;">3</td> <td style="width: 30px;">3</td> </tr> </table>	3	3
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3	3																						

17.2 If the company uses equipment from a third party hire company (short or long term), does the company ensure that the equipment is fit for purpose?

3	3
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The Auditor shall establish:

Does the company have a process for verifying that equipment supplied is fit for purpose?
Does the company request calibration records when equipment arrives on site?
Does the company retain copies of certificates of conformity for all tested equipment?

Y	NA
Y	NA
Y	NA

Question Evidence:

Equipment and plant that is hired during service delivery is subject to the same daily inspection procedure as owned equipment. Hired equipment must arrive on site with the relevant inspection and service records as appropriate. Calibration, test, inspection and PAT testing records are all made available in the relevant site safety files during the site project works.

Documents Presented

17.3 If the company uses cranes (Fixed or mobile) or other lifting equipment, do they have processes in place to discharge their mandatory checks/thorough examinations?

3	3
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Could the auditor verify that records had been completed and maintained?
Are checks/examinations completed by competent/capable persons?
Can the company demonstrate compliance with the relevant lifting/safety regulations of their country of operation?

NA	NA
NA	NA
NA	NA

Question Evidence:

The company do not currently own any cranes or lifting equipment.

Documents Presented

Section Score

9	9
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CQ

18.0 Insurance and Warranty

18.1 Can the company demonstrate that it has adequate insurance to cover not only its scope of works, also its workforce and surrounding environment?

3

Name of the insurance company
Policy Numbers
Covers for each claim (Specify category of insurance and currency e.g. US\$)
Expiry Date
Does the Cover include scope of operations? Domestic or International coverage / group or localised coverage.

Y

Question Evidence:

The company hold insurances including employers liability, public and product liability and specific insurance for the scope of activities undertaken, its workforce and the surrounding environment.

Documents Presented

Employers liability, expiry date 16/02/2017 - with Giant Insurance, Policy number GC15918668, value £10,000,000
Public/ Product liability expiry date 16/02/2017 - with Giant Insurance, Policy number GC15918668, value £80,000

18.2 Can the company demonstrate what form of warranty or guarantee they provide as part of their service package?

3

The auditor shall record the description of the process offered including timescales, any restrictions placed upon customers and if they provide recalls on any products they have installed/produced.
Name of the insurance company
Policy Numbers
Covers for each claim (Specify category of insurance and currency e.g. US\$)
Expiry Date
Does the Cover include scope of operations? Domestic or International coverage / group or localised coverage.

Y

Question Evidence:

Warranty requirements during service delivery is normally one year, although this may be specified by the client contractual requirements. Projects may also have a retention period as part of contractual requirements.

Documents Presented

Y

18.3 If the insurance cover has been issued to a parent or holding company, how is this process managed in the event of a claim?

3

If supplier operates in a different country from that of their Head Office is the currency of the policy different?
Can the company demonstrate there are no 'excesses' or 'restrictions' that limit the company's indemnity?
If the Policy has been issued to a 'Parent' or Holding Company, is this discharged to cover the activities of the supplier?
Name of the insurance company
Policy Numbers
Covers for each claim (Specify category of insurance and currency e.g. US\$)
Expiry Date
Does the Cover include scope of operations? Domestic or International coverage / group or localised coverage.

NA

NA

NA

NA

Question Evidence:

Details with the insurance broker letter clarifies that there are no 'excesses' or 'restrictions' that limit the company's indemnity.

Documents Presented

Section Score

9

END

Key Performance Indicators (KPIs)



EXPOSURE	Current Year	Year -1	Year -2	Year -3	Year -4
Total Manhours worked		6600	6600	6600	6600
SAFETY	Current Year	Year -1	Year -2	Year -3	Year -4
Fatalities	0	0	0	0	0
HSE Reportable Injuries	0	0	0	0	0
Lost time incidents (1-7 days)	0	0	0	0	0
Incidents requiring medical treatment (MTI)	0	0	0	0	0
Incident requiring first aid	0	0	0	0	0
Dangerous Occurrences	0	0	0	0	0
Near Hits/Misses	2	0	0	0	0
HSE/HSA or equivalent improvement notices	0	0	0	0	0
HSE/HSA or equivalent prohibition notices	0	0	0	0	0
HSE/HSA or equivalent prosecutions	0	0	0	0	0
ENVIRONMENT	Current Year	Year -1	Year -2	Year -3	Year -4
Minor Non-reportable incidents	0	0	0	0	0
Reportable incidents	0	0	0	0	0
Enforcement action i.e. Warning letters, prosecutions	0	0	0	0	0