



MANAGEMENT SYSTEM AUDIT REPORT

HS: 1211

Company Name	Unbloc Drainage Engineers Limited					
Company Address	Units 1-2 86 Goodhall Street London NW10 6TS					
Number of employees	32					
Contact person	Paul Stuart-Marshall					
Phone –mobile – Fax						
Email	paul.marshall@unbloc.co.uk					
Standard (s) Audited	ISO 9001 :2008	ISO 14001 :2004	BS OHSAS 18001 :2007	ISO 27001 :2005	PAS99	Other
			<input type="checkbox"/>			
Scope of Certification	Specialist High Pressure Jetting Engineering Services, Including Associated Activities.					
Lead Auditor	Mike Pooley		Date (s) of audit	24.02.14		
Certification Audit:			Current audit year	<input type="checkbox"/>		



The objectives of this audit were:

- To confirm that the management system conforms with all the requirements of the audit standard;
- To confirm that the organization has effectively implemented its planned arrangements;
- To confirm that the management system is capable of achieving the organizations policy objectives.

OPENING MEETING MANDATORY AGENDA

Company: Unbloc Drainage Engineers Limited Cert No: HS 1211 Date: 24.02.14

Please list name of the management representative & attendees

Name	Job title
Paul Stuart-Marshall	Managing Director
MIKE POOLEY	Lead Auditor

Summary of activities

#	Introduction	Tick when completed
1	Confidentiality agreement review	#
2	Determine formal communication links between the Lead Auditor and client	#
3	Confirm or amend the client's certification scope.	#
4	Request a controlled copy of client documented system.	#
5	Explain how the assessment program will be conducted.	#
6	Explain the classification on non-conformities (Major and minor).	#
7	Request a representative(s) of the client to act as a guide to accompany Lead Auditor and explain the duties of the guide.	#
8	Determine and agree what office facilities are available and normal working hours.	#
9	Review any applicable health and safety requirements, work committee and trade union restrictions, etc.	#
10	Invite questions from the client's representatives.	#
Other		#
		#

Comments

None

Lead Auditor

Name: **Mike Pooley**

Date: **24.02.14**



BS OHSAS 18001:2007 - Compliance Report :

Company Name: **Unbloc Drainage Engineers Limited** Date: **24.02.14**

Assessor: **Mike Pooley**

HS No: **1211**

Requirement description				Action Summary	
		In place	Reviewed		Observation
	Unbloc Drainage Engineers Ltd				
	Paul Stuart-Marshall Director				
		Clauses covered			
	Location Main Office	This assessment	Last assessment		
	BS OHSAS 18001:2007 - Occupational Health and Safety Systems	2014	2013		
4.1	General requirements	Y	Y	Hard	Copy
4.2	OH&S Policy	Y	Y	New	Signed
4.3	Planning	Y	Y		
4.3.1	Hazard Identification, Risk Assessment & Determining Controls	Y	Y	Samples	
4.3.2	Legal and Other requirements	Y	Y	OK	Ext Comms
4.3.3	Objectives and Programme(s)	Y	Y	Good	
4.4	Implementation and operation	Y		V Good	
4.4.1	Resources, Roles, Responsibility, Accountability & Authority	Y	Y	Correct good	Up to date
4.4.2	Competence, Training and Awareness	Y	OK	V.good	Booked
4.4.3	Communication , Participation and Consultation	Y	OK	Meetings	Comms Meetings
4.4.4	Documentation	Y	OK	Good	
4.4.5	Control of Documents	Y	OK	V.good	
4.4.6	Operational Control	Y	OK	Good	ok
4.4.7	Emergency preparedness and response	Y	OK	Kits Av	
4.5	Checking	Y	OK	OK	
4.5.1	Performance measurement and monitoring	Y	OK	OK	
4.5.2	Evaluation of Compliance	Y	OK		
4.5.3	Incident Investigation, Nonconformity, Corrective Action and Preventive Action	Y	OK	V.Good	X1 vg
4.5.4	Control of Records	Y	OK	Excellent	
4.5.5	Internal Audit	Y	OK	HSF06	OK
4.6	Management Review Monthly	Y	OK	X12	Ok

As no major non-conformances have been identified, I can recommend that QAS International enter the organisation on its register of Approved Companies operating to BS OHSAS18001:2007 Series of Standards,

Signed

Date **24.02.14**

Assessor **Mike Pooley**
NEBOSH



Audit Notes:		OBS	CAR-Minor	CAR-Major
Clause Title(s): Functional Area: Participants: Procedures: Samples/Records: Results: Observations / OFI	4.0 Documentation Main Office Paul Stuart-Marshall/Mike Pooley Followed H&S Manuals both up to date and signed Soft copy held on the PC System Documentation produced no non conformances System/Server backed up The system is being well managed and improved constantly			
Clause Title(s): Functional Area: Participants: Procedures: Samples/Records: Results: Observations OFI	4.2 Quality Policy. Hard and soft copy available and signed Paul Stuart-Marshall/Mike Pooley Quality Policy New Policy Signed as appropriate Good Appropriate for the business & Signed Documentation produced no non conformances None None			
Clause Title(s): Functional Area: Participants: Procedures: Samples/Records: Results: Observation / OFI:	4.3.1 Hazard Identification/Risk assessment Main Office Paul Stuart-Marshall/Mike Pooley Risk assessments produced and viewed Evidence produced no non conformances			
Clause Title(s): Functional Area: Participants: Procedures: Samples/Records: Results: Observation / OFI:	4.4.1 Roles and Responsibilities Main Office Paul Stuart-Marshall/Mike Pooley Organisation Chart Correct and Up to Date Evidence produced, no non conformances The Company have taken on two people to manage the Company Operations, the Audit today certainly showed it was working			
Clause Title(s): Functional Area: Participants: Procedures: Samples/Records: Results: Observation / OFI:	4.4.2 Training and Awareness Main Office Paul Stuart-Marshall/Mike Pooley Well maintained Records available, reviewed and up to date, First Aiders available Training Records for all Employees and future training planned Check last person employed for Training Record Evidence produced no non conformances none			



Audit Notes:		OBS	CAR-Minor	CAR-Major
Clause Title(s): Functional Area: Participants: Procedures: Samples/Records: Results: Observations / OFI	4.4.3 Participation and Communication and Consultation Main Office Paul Stuart-Marshall/Mike Pooley Main Office Meetings with Representatives participating Fully documented Evidence produced no non conformances			
Clause Title(s): Functional Area: Participants: Procedures: Samples/Records: Results: Observations OFI	4.4.4 Documentation Admin/MD Office Paul Stuart-Marshall/Mike Pooley In the Procedures Manual "KEY " System used to replace "PICS" has been specially written for the Company, a good advantage for improvement for the future. Includes remote access Hard and Soft Copies of all doc as required Evidence produced no non conformances			
Clause Title(s): Functional Area: Participants: Procedures: Samples/Records: Results: Observation / OFI:	4.4.5 Control; of Records/Documentation Main Office Paul Stuart-Marshall/Mike Pooley In the H&S Procedures/ISO9001Manual Storage and Retrieval, Legibility System OK Evidence produced no non conformances			
Clause Title(s): Functional Area: Participants: Procedures: Samples/Records: Results: Observation / OFI:	4.4.6 Operational Control Main Office Paul Stuart-Marshall/Mike Pooley Procedures as carried out in the Procedures Manual Visual Inspection very good No evidence of any non conformances			
Clause Title(s): Functional Area: Participants: Procedures: Samples/Records: Results: Observation / OFI:	4.4.7 Emergency Preparedness and response Main Office Paul Stuart-Marshall/Mike Pooley Office/Documents Fire Checks and Spillage and Evacuation all tested within the last 9 months Very Good Support Documentation Evidence produced no non conformances			



Audit Notes:		OBS	CAR-Minor	CAR-Major
Clause Title(s): Functional Area: Participants: Procedures: Samples/Records: Results: Observations / OFI	4.5.3 Incident Investigation etc Main Office Paul Stuart-Marshall/Mike Pooley Entries for 2010/2011 Check, well documented Evidence produced no non conformances Incident reports reviewed New procedure adopted			
Clause Title(s): Functional Area: Participants: Procedures: Samples/Records: Results: Observations OFI	4.5.5 Internal Audit Whole Business Paul Stuart-Marshall/Mike Pooley Signoff by Paul Stuart-Marshall Audits Schedules and documented for 2010 prepared and carried out as part of the Management Review procedures, Fully documented X12 Audit Schedule and Audit Reports Evidence produced no non conformances			
Clause Title(s): Functional Area: Participants: Procedures: Samples/Records: Results: Observation / OFI:	4.6 Management Review Main Office Management/Paul Stuart-Marshall/Mike Pooley Procedures Manual X12 meeting Minutes available, Very comprehensive			
Clause Title(s): Functional Area: Participants: Procedures: Samples/Records: Results: Observation / OFI:				
Clause Title(s): Functional Area: Participants: Procedures: Samples/Records: Results: Observation / OFI:				



OPPORTUNITIES FOR IMPROVEMENT

<p>(1)</p> <p>Clause Title(s):</p> <p>Functional Area:</p> <p>Participants:</p> <p>Procedures:</p> <p>Samples/Records:</p> <p>Results:</p> <p>OFI/Observations</p>	<p>4.4.1 Roles and Responsibilities</p> <p>Main Office Paul Stuart-Marshall/Mike Pooley</p> <p>Organisation Chart Correct and Up to Date Evidence produced, no non conformances</p> <p>The Company have taken on two people to manage the Company Operations, the Audit today certainly showed it was working</p>
<p>(2)</p> <p>Clause Title(s):</p> <p>Functional Area:</p> <p>Participants:</p> <p>Procedures:</p> <p>Samples/Records:</p> <p>Results:</p> <p>OFI/Observations</p>	<p>4.4.4 Documentation Admin/MD Office Paul Stuart-Marshall/Mike Pooley In the Procedures Manual</p> <p>"KEY " System used to replace "PICS" has been specially written for the Company, a good advantage for improvement for the future. Includes remote access Hard and Soft Copies of all doc as required</p> <p>Evidence produced no non conformances</p>
<p>(3)</p> <p>Clause Title(s):</p> <p>Functional Area:</p> <p>Participants:</p> <p>Procedures:</p> <p>Samples/Records:</p> <p>Results:</p> <p>Observations</p>	



NON-CONFORMITY REPORT

Standard:

Company Name and Site					<u>NCR #:</u>
Unbloc Drainage Engineers Limited NW10 6TS				Date: 24.02.14	0
Contract N0:		Department / Process:		Lead Auditor	
Date:		Standard and Clause number:		Team Member:	
Major	Minor	Other Documents (if applicable):		Company Representative:	
REQUIREMENT OF AUDITED STANDARD:					
N/A					
Observes nonconformity (<i>Description of objective evidence</i>)					
N/A					
ROOT CAUSE ANALYSIS AND CORRECTIVE ACTION (to be completed by the Audited Company)					
Proposed Completion Date:		Actual Completion Date:		Company Representative:	
Root Cause Analysis (<i>What failed in the system to allow this NC to occur?</i>)					
N/A					
Corrective Action (<i>What is done to solve this problem and to prevent reoccurrence</i>)					
N/A					
Corrective Action Accepted	Yes	N/A	No	N/A	
Follow Up Comments:					
None					
Auditor	Mike Pooley			Date	24.02.14

Audit Report Summary:

The Company based in North London carries out Hi Pressure Jetting and the maintenance of water/Sewage Systems on an Emergency basis. The operatives are highly trained to use the correct equipment.

The Audit was carried out with Paul Stuart-Marshall the Managing Director in attendance as Health & Safety Representative. Paul has recently attained his IOSH Certificate, this dedication is part of the successful way Paul runs his business, training and safety is high on his personal agenda the business has been improved on as is the H&S System

The Audit.

The Latest version of Standard was being used and fully supported by hardcopy of the documentation, the quality and dedication to running the BS OHSAS18001:2007 Health and Safety System made it a joy to audit. Paul has taken on New Staff to assist in the areas of Operations and Office Management

I have been involved with this company for the last four years and have seen the system integrated into the day to day business of the Company, currently using the System and it has been improved on year on year by the efforts of Paul. One particular thing was that each ladder had been checked on a regular basis and "Scaff Tag" type labels attached to each one, those that failed the test were scrapped.

Paul has replaced his Office manager and Operations Manager and together all three have identified common concerns and they continue to improve the H&S system.

This Client epitomises the way BS OHSAS18001:2007 should be carried out and would have no hesitation in labelling this client as a model site

My thanks to Paul without his dedication my job would have been a lot harder and I feel that the opportunity for improvement (OFI) has already been recognised and implemented by Paul and his management Team

The Audit produced, 0 Major 0 Minor 0 Observations.

My thanks to those involved



24.02.14

Mike Pooley
QAS International Lead Auditor
IRCA/NEBOSH



BS OHSAS 18001:2007 - Non- Compliance Report : Not Applicable

Company Name: Unbloc Drainage Engineers Limited

Date: 24.02.14

Assessor: Mike Pooley

HS No: 1211

Requirement description				Action Summary	
		In place	Reviewed		Observation
	Unbloc Drainage Engineers				
	Paul Stuart-Marshall				
		Clauses covered			
		This assessment	Last assessment		
BS OHSAS 18001:2007 - Occupational Health and Safety Systems					
4.1	General requirements				
4.2	OH&S Policy				
4.3	Planning				
4.3.1	Hazard Identification, Risk Assessment & Determining Controls				
4.3.2	Legal and Other requirements				
4.3.3	Objectives and Programme(s)				
4.4	Implementation and operation				
4.4.1	Resources, Roles, Responsibility, Accountability & Authority				
4.4.2	Competence, Training and awareness				
4.4.3	Communication , Participation and Consultation				
4.4.4	Documentation				
4.4.5	Control of Documents				
4.4.6	Operational Control				
4.4.7	Emergency preparedness and response				
4.5	Checking				
4.5.1	Performance measurement and monitoring				
4.5.2	Evaluation of Compliance				
4.5.3	Incident Investigation, Nonconformity, Corrective Action and Preventive Action				
4.5.4	Control of Records				
4.5.5	Internal Audit				
4.6	Management Review				

Your Company's quality management systems have been audited and checked against the appropriate Standard. However, there are certain sections of the Company's activities which will need to be addressed in order to maintain the validity of your certification. These have been specified above. Please sign in the space provided below whenever these non-compliances have been corrected and send this form to QAS International, The Gig House, Oxford Street, Malmesbury, Wiltshire SN16 9AX or email to documents@imsm.com

Signed :-

Signed :-
Date:- 24.02.14

For QAS International Ltd Date:-24.02.14

For the Company

I can confirm that the above non-compliances have now been corrected.

PAYMENT DETAILS	AMOUNT	CHEQUE NUMBER
	£714.00	Paid by Client



Closing Meeting Agenda

Paul Stuart-Marshall		Managing Director/	
Mike Pooley		Lead Auditor – QAS	
Summary of activities			
Introduction			Tick when completed
Re-confirm confidentiality			#
Confirm the client’s certification scope.			#
Present an overall summary and conclusion and inform the client’s representatives that the assessment was conduct on a limited sampling and therefore non-compliances may exist which have not been identified.			#
Inform the client about your recommendation for or against certification or its continuance. Inform the client that the certification officer will make the final decision regarding certification after evaluating the evidence in the audit report and taking the lead auditor’s recommendation into consideration (Certification & surveillance audits).			#
Inform the client that they should draw up a corrective and preventive action plan addressing all non-conformances. Explain that objective evidence of completion must be submitted to QAS before a certification review can take place.			#
In the case of a surveillance visit, inform the clients of how the completion of corrective actions will be verified (e.g. the client should submit objective evidence to QAS Lead auditor prior to issuing certificate, ensure this is documented in the audit report).			#
Point out that, where certification is granted based upon submission of objective evidence to QAS that corrective action has been taken and failure to implement that corrective action may result in withdrawal of the certificate of registration.			#
Explain the continual surveillance assessment and what is necessary to retain certification.			#
PAYMENT DETAILS		AMOUNT	CHEQUE NUMBER
CHEQUE	BACS	£714.00	PAID BY CLIENT

Note to Lead Auditor: Please send your completed audit report to QAS; Gig House within 10 working days from the date of



EXECUTIVE SUMMARY				
H5	1211	Company Name	UNBLOCK DRAINAGE ENGINEERS LTD	
1.0 Previous audit results Any non-conformities and/or observations identified during previous audits have been corrected and the corrective action continues to be effective.			<input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No
1.1 The management system has not adequately addressed nonconformity identified during previous audit activities and the specific issue has been redefined in the nonconformity section of this report.			<input type="checkbox"/>	
2.0 Executive summary – audit findings and conclusions The Lead Auditor conducted a process-based audit. The methods used were interviews, observation of activities and review of documentations and records. The structure of the audit was in accordance with the attached audit plan.				
2.1 The Lead Auditor concludes that the organisation has established and maintained its management system in line with the requirements of the standard and demonstrated the ability of the system to systematically achieve agreed requirements within the scope and the organisation's policy and objectives.			<input type="checkbox"/> Yes	<input type="checkbox"/> No
2.2 Number of non conformities identified			Major	Minor
2.3 Therefore the Lead Auditor recommends that, based on the results of this audit and the systems' demonstrated state of development and maturity, management system be:				
Certification Audit		Surveillance Audit		
Granted	Granted <i>**Subject to satisfactory corrective action completion**</i>	Continued	Continued <i>**Subject to satisfactory corrective action completion**</i>	Suspended
		<input checked="" type="checkbox"/>		
<i>**State reason in your report**</i>				
3.0 Corrective actions to address identified major non-conformities shall be carried out immediately and QAS Lead Auditor notified of the action within 30 days.				<input checked="" type="checkbox"/>
3.1 QAS Lead Auditor shall perform a follow up visit within 90 days to confirm the actions taken, evaluate their effectiveness, and determine whether certification can be recommended or continued.				<input type="checkbox"/>
3.2 Corrective actions to address identified minor non-conformities shall be carried out immediately and QAS Lead Auditor notified of the action within 30 days.				<input type="checkbox"/>
3.3 The Client shall complete non-conformity report using the QAS "Non-conformity report" and forward it to the QAS Lead Auditor.				<input type="checkbox"/>
4.0 The organisation representative's signature indicates their agreement and understanding of the contents of this report, including any non-conformances and/or observations recorded by Lead Auditor. <i>"QAS Lead Auditor will give/send his client and QAS International a full copy of this report, not later than 5 working days from the date of audit"</i>				
5.0 Signature (Auditor): Name: Mike Pooley Date: 24.02.14		Signature (Client/Company): Name: P. Marshall Date: 14.02.14		
6.0 Certification decision <i>To be completed by QAS compliance Team only</i>		Technical review carried out by: Print Name: Signature: Review date:		Issue certificate: <input type="checkbox"/> Yes <input type="checkbox"/> No
Technical reviewer's comments:				