

Reference	11540
Date	27/06/2017

## Annual Surveillance Audit Report

Organisation Name	Rogers Geotechnical Services Limited
Organisation Address	Offices 1 & 2 Barncliffe Business Park, Shelley, Huddersfield HD8 8LU
Audit location(s), if different from above	As Above
Audit Type	Surveillance Audit
Certificate Details	Number: 14123657 Issue date: 31/03/2015 Exp date: 30/03/2025
Standard	ISO 9001 : 2008
Start and Finish Time	Start: 09:30 Finish: 12:30
Audit Criteria	Comprehensive Audit (or part thereof) against the Management System processes and procedures documented by the Organisation, based on the requirements of the Standard.
Audit Objectives	<ol style="list-style-type: none"> <li>To confirm that the Management System has been implemented or maintained and is operating in accordance with the Audit Criteria.</li> <li>To confirm the ability of the Management System to ensure that the Organisation meets applicable statutory, regulatory and contractual requirements and meets its specified objectives.</li> <li>To identify areas for potential improvement of the Management System.</li> </ol>
Upgrade Information (if applicable)	<ol style="list-style-type: none"> <li>Does the client wish to upgrade to the latest version of the Standard? :</li> <li>Is the Management System suitable for upgrading? :</li> </ol>

<b>Recommendation</b>			
Pass			✓
Pass subject to rectification		Auditor's Name	Nick Cupit
Probationary Pass		Auditor's Signature	
Suspension		Client's Name	Ms Emma Lewis
Cancellation		Client's Signature	

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Findings			
Clause	Grade	Procedure Audited	Evidence and Findings
4.2.1- 4.2.3 5.5.1 – 5.5.3	Pass OBS	Quality Manual	The Quality Manual is currently Issue 1 – August 2005. <b>Observation</b> There have been 17 revisions recorded since 2006, however, the Manual still sits at Issue 1. The Organisation should define/agree an approach for ongoing management of Manual issue. It may wish to accumulate changes and make/manage them on-masse with periodic updating of manual Issue numbering being implemented.
4.2.4	Pass	Quality Records	All required records were readily retrievable, legible and exceptionally well managed.
5.6.1,2,3	Pass	Management Review	Minutes of a Management Review Meeting, held on 6 <sup>th</sup> June 2017 were observed. Similarly, minutes dated 12 <sup>th</sup> April 2017 along with minutes being available for December, November, August, July, May, February and January 2016. This ties in with the 4-monthly defined frequency within the Organisations' Quality Manual.
6.2	Pass OBS	Staff Training Matrix	A training matrix is held within the Smartsheet System, enabling dynamic reporting to be created of overdue renewals of individual staff training needs. <b>Observation</b> There were some training requirements showing as overdue for renewal within Smartsheet, however, discussion confirmed that these were no longer training needs. The Organisation should consider finding a way to reflect this within the Smartsheet system to enable effective reporting to be created.
6.2	Pass	Staff Training Records	Individual training certificates were observed as follows: E Lewis – HASAW (23/11/10), HSE Management Systems Refresher (3/1/17) and Fire Extinguisher Training (9/2012). J Irving – Asbestos Awareness ( 26/2/17), H&S Refresher Training (4/1/16) and SSSTS (2/12/16). R Palmer – CSCS H&S Test (10/6/17), H&S Refresher Training (4/1/16) and Fire Extinguisher Training (Jan 2017).
6.3	Pass	Computer HW/SW	The Organisation backs-up data from the IT system on a daily basis (managed by ICUK). Network Protection is ensured by the use of Norton Anti-virus software. Password protection is in use to secure the data within all laptop and desktop systems in use.
6.3	Pass OBS	Infrastructure Company Vehicles	The Organisation uses Smartsheet to manage all company assets, including vehicle service and MOT requirements. Exception reporting is used to identify overdue requirements. Supplementary records are also retained both in hard-copy and on the server. MT10 EFM, YK14 DJZ, YK14 DJY
7.6	Pass OBS	Control of Monitoring and Measuring Devices.	The Organisation uses Smartsheet to manage all Calibrations. Records were observed to support the following calibrations: Vehicle Tachos: YK14 DJZ – 20/2/17, MT10 EFM – 16/2/17 and YK14 DJZ – 15/2/17 Generator: 33120A – 6/3/17 Multimeter: 34401A – 14/10/16
6.3	Pass	Infrastructure PAT Testing	Pat Testing was completed in January 2017 with reports being retained accordingly.

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<b>Findings</b>			
<b>Clause</b>	<b>Grade</b>	<b>Procedure Audited</b>	<b>Evidence and Findings</b>
6.3	Pass	Infrastructure Fire Controls	Service records were observed for all fire extinguishers having been serviced in October 2016. Fire Risk Assessment observed to be in place. COSSH Assessments observed to be in place.
7.3	Pass	Design & Development	This is a justified exclusion from the Quality Management System for this Organisation.
7.4	Pass	Purchasing	The Approved Sub-Contractor list is maintained via the Smartsheet software and clearly shows the supplier's current approval status, receipt of certification and insurance as well as last review date/next review date.
8.2.2	Pass	Internal Quality Audit	An Internal Audit Schedule 2016/2017 was observed to be in place. Individual Audit Reports were observed to confirm all elements of the Quality Management System have been subject to an Internal Audit.
7.2 7.5.3 7.5.1 8.2.4 7.3	Pass	Customer Related Process Job sheet/Progress Sheet Tenders Contamination Reports Probe logs Reports Site Records Work Instructions Decision Notices Customer Correspondence Site Drawings	The following jobs were reviewed: T3430/16/E (Hadfield Contracts Ltd) J35334/16/E (Justin Keeble) T3706/16/EDS (Rowling House) J3764/17/EDS (Hesley Group) The Organisation uses a pre-defined procedure for managing tenders from enquiry to completion. All expected records were available to confirm that a consistent approach is taken to the execution of jobs.
8.2.1	Pass	Customer Satisfaction	Survey Monkey is utilised as a platform for receiving Customer Satisfaction Feedback. Analysis report of the 2016 survey results were reviewed. These were also reviewed in the December 2016 Management Review Meeting.
8.3 8.5.1 8.5.2 8.5.3	Pass	Non Conformance & Corrective Action Records	Records and discussion confirmed that there have been no non-conformances identified within the last 12 months.

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### Notes for the Client

This is an exceptionally mature Quality Management System with all required records being readily available, either in hard-copy or electronic via the Shared file store or via the Smartsheet software. It was a pleasure to audit a company that uses the Quality Management System as a key tool within the Organisation.

#### Observations

1. There have been 17 revisions recorded to the Quality Manual since 2006, however, the Manual still sits at Issue 1. The Organisation should define/agree an approach for ongoing management of Manual issue. It may wish to accumulate changes and make/manage them on-masse with periodic updating of manual Issue numbering being implemented.
2. There were some training requirements showing as overdue for renewal within Smartsheet, however, discussion confirmed that these were no longer training needs. The Organisation should consider finding a way to reflect this within the Smartsheet system to enable effective reporting to be created.

#### Corrective action(s)

##### Required where non-conformance has been identified

No non-conformances were identified during this audit.

##### Number of non-conformances identified:

##### Number of major non-conformances:

##### Number of minor non-conformances:

1	
2	
3	
4	
5	

This Audit has been based on Random Sampling methodology and does not exclude the possibility that other non-conformances may exist. All recommendations are subject to review and ratification by the Certification and Auditing Division of QMS International. Please remember that free telephone advice on any aspect of your Management System is available from QMS Head Office Tel: (01603) 630345.