

## AUDIT REPORT

<b>COMPANY NAME</b>	WBM SOUTH EAST LTD
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<b>STANDARD(S)</b>	ISO 9001:2015	ISO 14001:2015	ISO 45001:2018
<b>AUDIT TYPE</b>	SURVEILLANCE	SURVEILLANCE	SURVEILLANCE
<b>CERTIFICATE EXPIRY DATE</b>	27/11/2020	27/11/2020	27/11/2020

<b>FULL ADDRESS OF AUDIT LOCATION(S)</b>	UNIT 1 HOME FARM HYTHE ROAD ASHFORD TN25 6SP
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<b>CLIENT CONTACT</b>	JULIAN DRAGE
<b>CLIENT EMAIL</b>	wbmscaffolding@btinternet.com

<b>LEAD AUDITOR</b>	BERNIE BRANFIELD
<b>AUDITOR EMAIL</b>	bernie@interface-nrm.co.uk

<b>DATE OF AUDIT</b>	5 <sup>th</sup> & 6 <sup>th</sup> October 2020
<b>AUDIT TIME (DAYS)</b>	2

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Company Number: 4615780 Place of Registration: England & Wales Registered Address: 1 Franchise Street, Kidderminster, Worcestershire, DY11 6RE VAT Registration: 8351 19631

<b>CERTIFICATE SCOPE</b>	SUPPLY AND ERECTION OF SCAFFOLDING TO FACILITATE THE REFURBISHMENT OF EXISTING BUILDINGS AND THE CONSTRUCTION OF NEW BUILD DWELLINGS
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<b>AUDIT OBJECTIVE</b>	SURVEILLANCE - EVALUATE THE IMPLEMENTATION, INCLUDING EFFECTIVENESS, OF THE MANAGEMENT SYSTEM, THROUGH SAMPLING, TO DETERMINE WHETHER REQUIREMENTS FOR CERTIFICATION TO THE STANDARD CONTINUE TO BE MET.
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INTERFACE AUDIT TEAM		ORGANISATION PERSONNEL		
NAME	ROLE	NAME	POSITION	ATTENDANCE
BERNIE BRANFIELD	AUDITOR	JULIAN DRAGE	FINANCE DIRECTOR	OPENING & CLOSING

AUDIT RESULTS:			
STANDARD(S)	ISO 9001:2015	ISO 14001:2015	ISO 45001:2018
<b>NO. OF MAJOR NONCONFORMITIES</b>	0	0	0
<b>NO. OF MINOR NONCONFORMITIES</b>	3	3	5
<b>NO. OF OFI'S</b>	4	2	2
<b>CERTIFICATION RECOMMENDATION(S)</b>	CONTINUED CERTIFICATION	CONTINUED CERTIFICATION	CONTINUED CERTIFICATION
<b>FURTHER ACTION REQUIRED BY CLIENT</b>	YES - PLEASE SEE AUDIT FINDINGS	YES - PLEASE SEE AUDIT FINDINGS	YES - PLEASE SEE AUDIT FINDINGS

*The Company is thanked for its co-operation and openness throughout the visit. Any queries regarding the findings should be directed to Interface NRM within 10 working days of the closing meeting.*

*Auditing is based on a sample of the organisation's management system and is therefore not a guarantee of 100% conformity with requirements.*

<p><b>EXECUTIVE SUMMARY</b></p>	<ul style="list-style-type: none"> <li>• Summary of the client – activities, organisation and products or services.</li> <li>• Record of sites and operations visited.</li> <li>• Any significant changes since the last audit.</li> <li>• The appropriateness of the certification scope.</li> <li>• Comment on conformity and effectiveness of the system (strengths and weaknesses, summary of evidence etc.).</li> <li>• Overview of findings</li> </ul>
<p>WBM South East Limited is a family run company who have been in business since 2019. The top management team comprise Mr Westley Brown (Contracts Manager) and Julian Drage (Finance director and compliance manager).</p> <p>I would like to thank Julian Drage for his support during the audit with the provision of information. Julian is responsible for the operation of the Integrated Management Systems. The systems have now been embedded into the company for almost a year and have been maintained in the most part. One minor non-conformance concerning OH&amp;S incident management was found. There were two areas for attention going forward related to Continual Improvement and Customer Satisfaction these are explained in the audit findings.</p> <p>Several of the issues found during the previous audit could not be audited as they require a site visit. Those that relate to documented information can be reported as being closed out. See previous audit findings below.</p> <p>The assessment covered all the main functional areas of the Integrated Management Systems on the basis of a document review and this audit finds sufficient evidence to enable me to recommend continued certification.</p> <p>WBM's scope remains appropriate and there have been no significant changes since the last audit, save for the steps taken to survive the COVID-19 pandemic's impact on the construction sector. The processes and documents seen meet the requirements of ISO 9001, ISO 14001:2015&amp; ISO 45001 and fully reflects the certified scope of Certification.</p> <p><b>Note</b> This audit was conducted during the shut-down period for COVID-19 and was a remote audit utilising file transfer and telephone conferencing for interviews and meetings. As such, the focus was primarily on the management system itself. There was a client file review conducted, although this had limitations from being remote. As such, the next audit will focus more on operations, should include a visit to WBM South East's head office.</p>	

### AUDIT FINDINGS

Where a Major Nonconformity (NC) is raised, an NC Report & Corrective Action Plan form will be issued, for the client to action by an agreed date (usually three months). New certificates cannot be issued while there are outstanding Major NCs. Existing certification may be suspended or withdrawn if Major NCs are not successfully closed out.

Actions taken to address Minor NCs will be reviewed at the next audit. Minor NCs do not prevent certification but may escalate to become Major NCs if not addressed.

An Opportunity for Improvement (OFI) does not require formal close out by Interface nor will it prevent Certification.

REF. (NO./DATE)	CRITERIA REF. & STANDARD	STATEMENT OF NONCONFORMITY OR DETAIL OF OFI IDENTIFIED	GRADING
1/20201007	ISO 9001:2015  Clause 10	<p>Improvement and Non-conformity</p> <p>WBM should identify opportunities for improvement and implement any actions necessary to enhance customer satisfaction.</p> <p>When a non-conformity arises, WBM shall take actions to control it and deal with any consequences.</p> <p>As WBM have a combined Improvement and Non-conformity process these items are combined into one finding.</p> <p><b><i>Proposed Corrective Action</i></b></p> <p>It is suggested that WBM add opportunities for improvement from sources such as their staff suggestion scheme of changes implemented by management to their Improvement and Non-conformity log.</p> <p>It is also suggested that WBM add non-conformities to their Improvement and Non-Conformity Log. Sources of Non-conformity are anything that doesn't turn out the way WBM Top Management intended and may be customer complaints, supplier failings, staff actions or audit findings.</p>	OFI
2/20201007	ISO 45001:2018  Clause  10.2	<p>Incident Management</p> <p>There were no incident reports for H&amp;S events and WBM had been relying on their client as Principle Contractor to record these. WBM have a duty to record incidents and the topic of the Tool Box Talk on 14<sup>th</sup> September is an example of an incident that should have been recorded.</p> <p><b><i>Proposed Corrective Action</i></b></p> <p>WBM should record incidents using their Incident Record form for all incidents or non-conformities (including near misses) that they are involved in on site or at their head office/yard.</p>	Minor NC




3/20200107	<p>ISO 9001:2018</p> <p>Clause</p> <p>9.1</p>	<p>Customer Satisfaction</p> <p>WBM have a customer feedback form but this is only used for smaller client projects and does not generate a suitable level of response for them to use to analyse customer satisfaction levels.</p> <p><b><i>Proposed Corrective Action</i></b></p> <p>WBM may wish to consider alternative means of gathering customer feedback. Specifically from their largest client. If addressed from the perspective of improvement they might be able to record customer feedback on behalf of their customer using their feedback form.</p>	OFI
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<b>COMMENTS ON PREVIOUS AUDIT FINDINGS (NC's &amp; OFI's)</b>			
<b>REF. (NO./DATE)</b>	<b>CRITERIA REF. &amp; STD</b>	<b>DETAILS OF ACTIONS TAKEN AND RESOLUTION</b>	<b>STATUS</b>
6/2019	ISO 9001:2015 Clause 7.1.4 14001:2015 45001:2018 Clause 7.1	<p>The organisation shall determine, provide and maintain the infrastructure necessary for the operation of its processes and to achieve conformity of products and services C, physical</p> <p>The offices are subject to PAT testing, however, the certificate expired over a year ago and was not available. -Non-conformance the company has deemed it necessary but not maintained it</p> <p><b><u>Proposed Corrective Action</u></b></p> <p>PAT testing has been booked – not audited OPEN</p>	Minor NC
7/2019	ISO 9001:2015 Clause 7.1.5.2 14001:2015 45001:2018 Clause 7.1	<p>When measurement tractability is a requirement, or is considered by the organisation to be essential part of providing confidence in the validity of measurement results, measuring equipment shall be: A, calibration or verified, or both, at specified intervals, or prior to use, against measurement standards traceable to international or national measurement standards; when no such standards exist, the basis used for calibration or verification shall be retained as documented information</p> <p>The company does a pull test which requires the use of a Hydrajaws Tension Tester serial No. MKS1C-13319. Certificate dated 18<sup>th</sup> November 2018 and issued by Hydrajaws Ltd. These needs to be calibrated on a yearly basis.</p> <p><b><u>Proposed Corrective Action</u></b></p> <p>The client has booked the unit in for recalibration – not audited OPEN</p>	Minor NC
8/2019	9001:2015 14001:2015 45001:2018 Clause 7.2	<p>The organisation shall: D, retain appropriate documented information as evidence of competence</p> <p>William Drage Asbestos Awareness E-learning Course Certificate No. 514367 dated 20<sup>th</sup> November 2018 and expiry of 19<sup>th</sup> November 2019- non-conformance as already expired</p> <p><b><u>Proposed Corrective Action</u></b></p> <p>Training course to be booked – not audited OPEN</p>	Minor NC

9/2019	ISO 9001:2015 Clauses 5.1.2 a & 7.1.4c 45001:2018 Clauses 5.1.2a & 8.2	<p>Top Management shall demonstrate leadership and commitment with respect to customer focus by ensuring that:          A, customer and applicable statutory requirements are determined, understood and consistently meet</p> <p>The organisation shall determine, provide and maintain the environment necessary for the operation of its processes and to achieve conformity of products and services          C Physical</p> <p>The organisation shall establish implement and maintain a process needed to prepare for and respond to potential energy situations</p> <p>The Company has no firefighting equipment at the offices</p> <p><b><u>Proposed Corrective Action</u></b></p> <p>The company will source appropriate firefighting equipment and a maintenance contract – not audited          OPEN</p>	Closed Major (to be reviewed)
10/2019	ISO 45001:2018 Clause 8.2	<p>The organisation shall establish implement and maintain a process needed to prepare for and respond to potential energy situations</p> <p>The company has an Eye wash kit in the offices- all sites are required to have eye wash kits. No eye wash kit could be located</p> <p><b><u>Proposed Corrective Action</u></b></p> <p>The kit had been used previously but not replaced. New kit to be obtained and a process put into place to trigger replacement if used or damaged – not audited          OPEN</p>	Minor NC
11/2019	ISO 9001:2015 14001:2015/45001:2018 Clause 9.2	<p>The organisation shall:          C, select auditors and conduct audits to ensure objectivity and impartiality of the audit process</p> <p>The company may wish to consider the impartiality of the Auditors(s) used</p> <p><b><u>Proposed Corrective Action</u></b></p> <p>Internal audits appear to have been audited by someone independent of the process being audited          – CLOSED</p>	OFI

12/2019	ISI 9001:2015 14001:2015 45001:2018	<p>While all points have been addressed as required under 9.3 an OFI has been raised as WMB Scaffolding Ltd would benefit from following the agenda laid out in the standards</p> <p><b><u>Proposed Corrective Action</u></b></p> <p>WBM's Management Review conducted in September 2020 was compliant - CLOSED</p>	OFI
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COMMENTS ON PREVIOUS AUDIT FINDINGS (NC's & OFI's)		
REF.	DETAILS OF ACTIONS TAKEN AND RESOLUTION	STATUS
01/201119  ISO 14001:2015 45001:2018 Clause 6.1.3	<p><b>Compliance Obligations &amp; Legal Register</b></p> <p>The company has 2 separate documents which identify Legal Regulation in the Aspects and Impacts Log and the Compliance register. The company will need to review the regulations to ensure they are the most up to date regulations. For example:</p> <ul style="list-style-type: none"> <li>• Finance Act 2019</li> <li>• The waste Electrical and Electronic Equipment (Amendment) (No.2) regulations 2018</li> <li>• Water industry Act 1999</li> <li>• Climate Change Levy amendment 2018</li> <li>• The work at height amendment 2007</li> </ul> <p>The health and safety information for employees (amendment) Regulations 2009</p> <p>The Legal regulations have been reviewed with the consultant Kevan Ford who has updated the register which now meets the standard</p>  <p>WBMSouth East Compliance Register</p>	Closed
02/201119  ISO 9001:2015 14001:2015 45001:2018 Clause 6.2	<p><b>Objectives and planning to achieve them</b></p> <p>The company have yet to define their objectives to ensure they are:</p> <ul style="list-style-type: none"> <li>• Consistent with the polices</li> <li>• Measurable</li> <li>• Results are considered for Risk Assessments and consultation with workers</li> <li>• Monitored</li> <li>• Communicated</li> </ul> <p>Along with the method to achieve the objectives and who is responsible.</p> <p>The company has taken advise and has established its objectives as follows: -</p>  <p>Copy of WBMSE Objectives Programr</p>	Closed
03/201119  ISO 9001:2015 14001:2015 45001:2018 Clause 9.2	<p><b>Internal Audit</b></p> <p>The audit programme has been defined, but the audits have yet to be conducted. This is a core requirement of ISO 9001 ISO 14001 and ISO 45001 and needs conducting.</p> <p>The company has now completed an internal audit</p>  <p>WBMSE Internal Audit FINAL.xlsx</p> <p>All sections of the standard were tested</p>	Closed

<p>04/201119</p> <p>ISO 9001:2015 14001:2015 45001:2018 Clause 9.3</p>	<p><b>Management Review</b></p> <p>The Management Review agenda has been defined, but the has yet to be conducted. This is a core requirement of ISO 9001 ISO 14001 and ISO 45001 and needs conducting.</p> <p>A formal Management Review was conducted on 1<sup>st</sup> November 2019</p>  <p>MANAGEMENTREVI EWWBMSOUTHEAST</p> <p>The Management Review has hit all the points required</p>	<p>Closed</p>
<p>05/201119</p> <p>ISO 9001:2015 14001:2015 45001:2018 Clause 10.2</p>	<p><b>Non-Conformity and Corrective Action</b></p> <p>The procedure for the implementation for dealing with non-conformities and generating corrective actions has yet be fully integrated by the company.</p>  <p>NonConformanceL og.xlsx</p> <p>The process is now in place but as of yet non non-conformances have been detected</p>	<p>Closed</p>

AUDIT CONCLUSIONS	Yes	No	N/A
The audit team conducted a process-based audit, focusing on significant aspects/risks/objectives. The audit methods used were interviews, observations of activities and review of documentation and records	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
The management system documentation demonstrated conformity with the requirements of the audit standard and provided sufficient structure to support implementation and maintenance of the management system.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
The organisation has demonstrated effective implementation and maintenance/improvement of its management system.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
The organisation has demonstrated the establishment and tracking of appropriate key performance objectives and targets and monitored progress towards their achievement.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
The internal audit program has been fully implemented and demonstrates effectiveness as a tool for maintaining and improving the management system.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
The management review process demonstrated capability to ensure the continuing suitability, adequacy, effectiveness of the management system.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Throughout the audit process, the management system demonstrated overall conformance with the requirements of the audit standard.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Certification claims, use of logos and trademarks are accurate and in accordance with Interface's guidance.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The Audit achieved its intended objectives.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
The Audit was conducted as per the visit plan and incorporated all the planned requirements	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
<b>REASONS AUDIT DID NOT ACHIEVE ITS INTENDED OBJECTIVES OR NOT CONDUCTED AS PER THE PLAN (IF REQUIRED)</b>			
<p>WBM have been made aware of the requirements for use of the Interface-NRM logo on their web site.</p> <p>This was a remote audit so did not follow the plan set out at the previous audit.</p>			

## NEXT VISIT PLAN

<b>STANDARD(S)</b>	ISO 9001:2015	ISO 14001:2015	ISO 45001:2018
<b>VISIT TYPE</b>	SURVEILLANCE	SURVEILLANCE	SURVEILLANCE

<b>DATE OF AUDIT(S)</b>	AUGUST 2021	<b>AUDIT DAYS</b>	2
<b>LOCATION(S)</b>	UNIT 1 HOME FARM HYTHE ROAD ASHFORD TN25 6SP		
<b>SCOPE OF AUDIT</b>			
SUPPLY AND ERECTION OF SCAFFOLDING TO FACILITATE THE REFURBISHMENT OF EXISTING BUILDINGS AND THE CONSTRUCTION OF NEW BUILD DWELLINGS			
<b>LEAD AUDITOR</b>	TBC		
<b>AUDITOR CONTACT</b>			
<b>SUPPORT AUDITOR(S)</b>			
<b>TECHNICAL ASSISTANT(S)</b>			
<b>Objective of Visit</b>			
SURVEILLANCE - evaluate the implementation, including effectiveness, of the management system, through sampling, to determine whether requirements for certification to the standard continue to be met.			
<b>Criteria for audit</b>			
1. The standards stated above. 2. The organisation's own management system requirements			
<b>NB: TIMINGS AND CONTENT MAY CHANGE DURING THE COURSE OF THE AUDIT</b>			

### NEXT VISIT AGENDA

TIME		AREA TO BE AUDITED				
		9001	14001	45001		Auditor
Day 1 (Head Office)	09:30					Opening MEETING
						Changes / Amendments in IMS Since the Last Visit by Interface and status of OFI
			7.5			Review of Documented IMS (Quality, Environmental and Occupational Health and Safety Manual & Procedures)
			5.2, 6.2			Policies and Objectives
			4			Context of the Org (interested parties and their interest)
			6.1			Action to Address Risks & Opportunities, Environmental Aspects Compliance obligations
			9.2			IMS Internal Audits
			9.1			Customer Feedback, Complaints and Satisfaction.
			10			Improvement
			9.3			Management Review
					10.2	Incident Management
				5.4	Staff Consultation	
Day 2 (Head office and Site)		8.1, 8.2				Task planning
		8.5, 8.6				Task Completion
		8.4				Supplier Evaluation
			8.2			Emergency Preparedness
			7.2 and 7.3			Competence and Awareness
					6.1, 8.1	OH&S Risk Assessment and control
						Evaluation of compliance
					Compilation of Audit Findings	
	16:00					Closing Meeting

**Objective of audit**

To determine if the management system:

- Conforms to the audit criteria
- Can ensure that applicable statutory, regulatory and contractual requirements can be met
- Is effective in ensuring that objectives are met, and;
- Effectively drives improvement

**Criteria for audit**

- The relevant ISO standard(s).
- The organisation's own management system requirements.

**NB: Timings and content of the agenda may change during the course of the audit**