Cert Ref Num	12231	Visit No	2	Date(s)	22 October 2015

MANAGEMENT SYSTEM AUDIT REPORT

Cert Ref Number:	12231	Audit Date(s):	Thursday, 22 October 2015	Visit Num:	2
Standard(s) audited:	ISO 9001: 2008		Type of audit	SURVEILLANCE + RECERTIFICATION PLAN	

Organisation:	Warnerbus Limited								
Address:	165 Castle Hill Road Totternhoe Dunstable LU6 1QQ								
Tel: 01525 222911		E Mail:	jo@warnerbus.com		Web:				
Representative(s):	Ms Jo Wallis				Staff:	FT	**4**	PT	**2**
Locations & Site(s) visited:	**SEE SECTIONS 9 & 10**			EAC Code(s):	22b				
Lead Auditor:	Kelvin Allanson		Additional Team Member(s):						

Legal Status of Organisation i.e. Ltd company, Partnership etc NB if partnership - names of partners required	Ltd company

Scope as it will appear on certificate:	The conversion of minibuses and wheelchair accessible vehicles into custom-built passenger transport for the elderly, disabled and passengers in wheel-chairs. The design and build of crew buses and security vehicles to precise operational requirements. - Scope is same as previous CB (BSI)

The objectives of the audit:

- To confirm that the management system conforms with the requirements of the audit standard and also any statutory, regulatory and contractual requirements that are applicable;
- To confirm that the organisation has effectively implemented the planned management system;
- To confirm that the management system is meeting its specified objectives

Audit scope:

- The audit will evaluate the effectiveness of the processes identified within the visit plan and in line with the 3 year plan. The audit will be conducted at the location(s) specified within the visit plan.

Time the audit commenced:	09.00	Time the audit was completed:	15.30
Report submitted to and accepted by:	**Jo Wallis**	Position in Organisation:	**Director**
Report prepared by:	Kelvin Allanson	Lead Auditor	
Date(s) of Next Visit:	***1st September 2016**	Start Time:	**09.00**

Surveillance visits set at:	**1	Per year of:	**1	Days per visit

The Organisation agrees to comply with ISOQAR's Rules of Registration

* Please see Audit Plan for details of the next visit ** Enter details in section 2 if days or pattern of days has changed

Cobra Court 1 Blackmore Road Stretford Manchester M32 0QY
Tel: 0161 865 3699 Fax: 0161 865 3685
E-mail: isoqarenquiries@alcumusgroup.com
Web: www.alcumusgroup.com/isoqar
Operations throughout the UK and world-wide
Registered in England No. 2637608

Attendees

Cert Ref Num	12231	Visit No	2	Date(s)	22 October 2015

Opening Meeting

Name	Position
Jo Wallis	**Director**
Kelvin Allanson	**Lead Auditor**

Closing Meeting

Name	Position
Jo Wallis	**Director**
Kelvin Allanson	**Lead Auditor**

1 Audit Conclusion

The audit team concludes that the organisation **HAS** established and maintained its management system in line with the requirements of the standard(s) and demonstrated to the audit team that it has the ability to systematically achieve the requirements for products and or services within the scope of its activities and in accordance with its policy and objectives.

The audit team recommends that based on the evidence obtained during this audit that Certification should be:

Recommended [ ] **Continued** [Yes] **Deferred (until satisfactory corrections/corrective action has been completed)** [ ]

Non-conformances

Number of Non-conformances raised **Major** [0] **Minor** [0]

NB Where Non-conformances are Raised

- For Initial Audits, Extensions to Scope and Recertification Audits; all Non-conformances must be closed out before a Certificate is authorised for issue and **can only be closed out** either by submission of evidence to ISOQAR or a re-visit to audit the corrections/corrective action **(see Non-conformance section of this report)**.
- For Surveillance Audits any Non-conformance **classified as Major can also only be closed out** either by submission of evidence to ISOQAR or a re-visit to audit the corrections/corrective action **(see Non-conformance section of this report)**.

NB All Non-conformances **must be actioned** within the agreed timescales.

Please Note the audit conclusion is provisional and subject to review by ISOQAR's Certification Review Team.

---

2 Significant Organisational Changes (also include any changes to surveillance visit patterns e.g. if additional standards have been added) and any additional information.
Significant changes to the plan for stage 2 or planned arrangements (produced at stage 1)

None since last audit

Do the justified exclusions remain valid YES/NO/N/A (If no please give details) [N/A]

---

3 Audit Summary (Observations, Non-conformance, Opportunities for Improvement, Good Practice etc)

---

4 Management System Controls (i.e. Management Review, Internal Audits, Objectives, Complaints etc)

Also include in this section any additional requirements of the standard, sector scheme, legislation etc.

Cert Ref Num	12231	Visit No	2	Date(s)	22 October 2015

Auditor(s) KA Standard(s) ISO 9001:2008

Evidence

Management Review

Held annually. Last held 12/10/15, attended by the management team, meeting minutes available covering the requirements.
Quality policy and objectives included in this MR.

Internal Audits

Internal audit schedule for 2015 available. Internal audits carried out to plan in 2015 to date.
Reviewed internal audits including Corrective Maintenance & Warranties/Misc. Problem; Customer Monitoring Process; Systems & Maintenance; Project Management; Non-conformity; Corrective Action; Control of Documents; Control of Records; Internal audit; Calibration.

Quality Objectives/KPIs/Improvement

Quality objectives covering manufacturing, staff training, customer relationships, quality processes included in the Quality Manual including objective, measure with progress reporting included in management review.
12 KPIs available including delivery, build quality, non-conformance, preventive action, customer satisfaction.
KPI performance reviewed in management review. Quotation KPI under review. Overall KPI performance positive including build quality and customer satisfaction.

Complaints/Feedback

Complaints register available. Complaint rate less than 1%. Below average result on the customer satisfaction survey is raised as a complaint. No complaints recorded since November 2012. Several customer feedback comments regarding the time for VOSA type approval testing and DVSA registration. Over the last 12 months Warnerbus has informed customers of the lengthy process involved by the government agencies and the customers are satisfied with the explanation. Warnerbus has high degree of repeat custom.
Reviewed:

Job No.	*Date*	*Complaint Register No.*	*Complaint Investigation Report*	*Closed*
3307	01/11/12	CP07	12/11/12	16/11/12

The audit methods used were interviews, observation of activities, review of hard copy documentation, review of documentation retained electronically and a review of records. The conclusion is based upon the evidence obtained during the audit. The auditor(s) used standard sampling techniques to obtain this evidence and no guarantee can be given that a different conclusion may have been reached had different samples been taken.

5 Significant Process Audit Trails followed (i.e. Sales, Purchasing, Design, Production, Training etc).

Also include in this section any additional requirements of the standard, sector scheme, legislation etc.

Auditor(s) KA Standard(s) ISO 9001:2008

Evidence

Warranty

Customer concerns file available in which all customer concerns are logged. Customer Concern Form completed for all concern contact from customers. Warranty Complaint file available. Warranty Complaint only raised following review of the concern.
Reviewed:
Customer Concern No. 182, 11/11/14, regarding side step buzzer. Corresponding Warranty Complaint raised, Warranty No. 133, 12/11/14 and closed 13/11/14.
Customer Concern No. 187, 19/12/14, regarding side step, closed 11/04/15.

Assembly

Reviewed workshop assembly:

Vehicle Request Form	*Works Order No.*	*Specification/Quote No.*	*Build Stage Signed*	*Floor Layout Drg. No.*
✓	WB3702	QWB 5352	WIP	INNO/SL/2375-A
✓	WB3690	QWB 5392	WIP	INNO/SL/2385-A
✓	WB3691	QWB 5403	Stage & Final sign-off	INNO/SL/2375-A

Vehicle Testing

Reviewed:
Customer
Type M1 wheelchair accessible vehicle that has been converted from Type N1 commercial vehicle, 10 seats and below.
Test application including Statement of Compliance, Certificate of Conformity, VIN 16/07/15
Test application emailed to VOSA, reviewed and accepted for assessment. Paid 20/07/15

Cert Ref Num	12231	Visit No	2	Date(s)	22 October 2015

Ready for Inspection 30/07/15. Test station confirmed test date 21/08/15
Build test pack documentation showing that all parts meet European type approval standards
Vehicle and build test pack delivered to test station. Test carried and passed 21/08/15
Test station issued type approval certificate. The vehicle can be legally registered as a Type M1 vehicle
Vehicle registration carried out by the vehicle dealership and can only be delivered once registered

Customer Training

Reviewed:

Customer	*Ref.*	*Wheelchair Accessible Minibus Handover*	*Training Record*	*Certificate of Training*
	WB3691	✓	Signed by customer	Warnerbus safety training 05/10/15 – certificate signed by trainer

The audit methods used were interviews, observation of activities, review of hard copy documentation, review of documentation retained electronically and a review of records. The conclusion is based upon the evidence obtained during the audit. The auditor(s) used standard sampling techniques to obtain this evidence and no guarantee can be given that a different conclusion may have been reached had different samples been taken.

Cert Ref Num	12231	Visit No	2	Date(s)	22 October 2015

6 Follow Up of Previous Audit Results

Previously raised Improvement Requests/Non-Conformances have been effectively closed out, root cause determined and effective actions taken.	YES/NO/N/A	Yes

If **Yes** summarise the evidence seen if **No** what actions have you taken as a result:
OFI 1 - Although the logo has been changed from the previous CB, the certificate number needs to be included under/outside the box.
Certificate number included under/outside the box.
OFI 2 - Although design is included in the Sales & Design internal audit dated 03/10/14, it would be beneficial to ensure that design is also included in the title of the relevant audit in the internal audit schedule and for the internal audit schedule to reflect the terminology used in the internal audit reports.
Design is included in the title of the relevant audit in the internal audit schedule.
OFI 3 - Although the Innotrax Floor Design Certification Process sheet includes the Issue number in the Business Process Manual it would be beneficial to ensure that this is also available on print-outs.
The Innotrax Floor Design Certification Process sheet print-out includes the document Issue number.

7 Recertification Visits (complete only at a Recertification Visit)

Has the review of activities **(in particular complaints against the client)** and reports covering the certification cycle revealed any issues	YES		NO	

If Yes please provide details

8 Activities planned but not covered on this visit and require planning for the next visit.

Date	Process/Department/Activity/Site Visit etc.	Auditor
	None	

9 Head Office/Locations/Branch Offices visited during this audit

Date	Location	Auditor
22/10/15	HO	KA

10 Client/Contract Sites/Temporary Sites visited during this audit (if applicable).

Date	Location & Activity Audited	Auditor

11 Locations/Branch Offices

All permanent Locations/Branch offices for which certificates are required **(Check on Business Manager**) are current and correctly identified	YES/NO	

If no correct details are

Location (Town/City)	**Address**	**Standards**

12 Registration Marks

Use of Registration Mark (if used) is in accordance with the Rules of Registration	YES/NO/N/A	Yes

Brief details of where the UKAS registration Mark and ISOQAR Logo is used	Used on website, email, letterhead, compliments slip, brochure.

Cert Ref Num	12231	Visit No	2	Date(s)	22 October 2015

AUDIT PLAN NEXT VISIT

The objectives of the audit:

- To confirm that the management system conforms with the requirements of the audit standard and also any statutory, regulatory and contractual requirements that are applicable;
- To confirm that the organisation has effectively implemented the planned management system;
- To confirm that the management system is meeting its specified objectives

Audit criteria:

- Documents, procedures and policies relevant to the standard being audited will be required.
- The audit will be performed against the scope of activities agreed at the opening meeting or as agreed at stage 1 or as detailed on the Certificate.
- The audit will be conducted at the locations identified on this audit plan.

Lead Auditor	Kelvin Allanson	Additional Auditors (Expert)		
Standard(s)	ISO 9001		Type of Audit (ie Surveillance)	RECERTIFICATION
Audit Dates	1st September 2016	Location(s)	HO	
Audit Start Time	09.00	Does Client need to confirm site visit with ISOQAR Head Office prior to next visit **YES/NO**		NO
Audit Language (if not English)		Is Recertification Planning Required **YES/NO**		NO

Management Processes

Date	Time (or AM/PM) or N/A		Auditor
01/09/16	09.00	Opening Meeting including review of last audit	KA
		Quality Policy/Manual	
		Management Review	
		Internal Audits	
		Quality Objectives/KPIs/Improvement	
		Non-conformance, Corrective & Preventive Action	
		Complaints	
		Customer Feedback	
		Document & Records Control	
		Sales	
		Purchasing/Goods In/Approved Suppliers	
	13.30	Lunch	
		Design	
		Assembly	
		Staff Training, Competence & Awareness	
		Infrastructure & Work Environment	
		Auditor's Report Writing	
		Closing Meeting	

Locations/Branch Office Visits

Date	Time(or AM/PM)	Process/Aspects/Activities etc to be Audited	Auditor
		As above	

Refer to 3 year Audit plan and last Audit plan when producing the audit plan for the next visit
Ensure client fully understands the cancellation policy stated above.
All Management System Elements must be audited once per year as a minimum

Ensure that all clients' locations/branches are visited in accordance with the 3 year audit plan
Ensure that site activities are witnessed as appropriate and in accordance with the 3 Year Audit plan
Review the 3 year audit plan and if appropriate and necessary amend the plan

Cert Ref Num	12231	Visit No	2	Date(s)	22 October 2015

AUDIT PLAN COVERING THE 3 YEAR ASSESSMENT CYCLE

Organisation Name: Warnerbus Ltd

This plan commences:

- On the date of the first surveillance visit following the initial audit (stage 2) or;
- On the date of the Surveillance Audit following the Re Certification Audit;
- At the next surveillance visit if the plan requires amending or to take into account extensions to scope.

	Visit 1	Visit 2	Visit 3
Month and Year	Oct14	Oct15	Sep16
Number of Days	1	1	1
Standards	9001	9001	9001
Area/Function/Process/Activity/Site Visits (temporary sites) etc			
Recertification Planning		✓	
Quality Policy/Manual	✓		✓
Management Review	✓	✓	✓
Internal Audits	✓	✓	✓
Quality Objectives/KPIs/Improvement	✓	✓	✓
Non-conformance, Corrective & Preventive Action	✓		✓
Complaints	✓	✓	✓
Customer Feedback	✓		✓
Document & Records Control	✓		✓
Sales	✓		✓
Design	✓		✓
Purchasing/Goods In/Approved Suppliers	✓		✓
Assembly	✓	✓	✓
Warranty		✓	
Vehicle Testing		✓	
Customer Training		✓	
Staff Training, Competence & Awareness			✓
Infrastructure & Work Environment			✓

Head Office/Locations/Branch Offices **Visit Plan**

	Visit 1	Visit 2	Visit 3
Head Office	✓	✓	✓

Indicate with a ✓ when audit of this function planned or when a visit is planned.

When producing this plan ensure that all clauses of the standard(s) can be attributed to Area/Function/Process/Activity/Site Visits (temporary sites) and are audited over the 3 year Recertification Cycle. The clients Locations/Branch Offices must also be appropriately sampled over the 3 Year Certification Cycle.

Plan Produced By: Kelvin Allanson Date: 23/10/14

Plan Amended By: Date: