

Cert Ref Num	12231	Visit No	1	Date(s)	Thursday 23 <sup>rd</sup> October 2014
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Alcumus®

ISOQAR

## MANAGEMENT SYSTEM AUDIT REPORT

Cert Ref Number:	12231	Audit Date(s):	Thursday, 23 October 2014	Visit Num:	1
Standard(s) audited:	ISO 9001: 2008	Type of audit	SURVEILLANCE		

Organisation:	Warnerbus Limited					
Address:	165 Castle Hill Road Totterhoe Dunstable LU6 1QQ					
Tel:	01525 222911	E Mail:	jo@warnerbus.com	Web:		
Representative(s):	Ms Jo Wallis	Staff:	FT	5	PT	2
Locations & Site(s) visited:	<b>SEE SECTIONS 9 &amp; 10</b>		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
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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)
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**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:	08.30	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:	*22 <sup>nd</sup> Oct 2015	Start Time:	09.00
Surveillance visits set at:	**1	Per year of:	**1
		Days per visit	

**NB If the next visit is a Recertification Visit additional days over and above the surveillance days may be required.**

**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

**This report is confidential and its distribution will be limited to the audit team, client representative and ISOQAR office**



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Operations throughout the UK and world-wide  
Registered in England No. 2637608



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## Attendees

## 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  Minor

## 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)

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

## Opportunities for Improvement

- Although the logo has been changed from the previous CB, the certificate number needs to be included under/outside the box.
- 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.
- 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.

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#### 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.

Auditor(s) KA Standard(s) 9001

#### Evidence

#### Quality Policy

Quality Policy included in Quality Manual Issue 18 dated 06/10/14 and signed by the Director.

#### Management Review

Held annually. Last held 15/10/14, 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 2014 available. Internal audits carried out to plan in 2014 to dated. Reviewed internal audits including Marketing; Sales & Design; Vehicle Build, Commissioning & Delivery.

**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.

**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.

#### 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.

Build to test KPI in trial since July 2014 and review due January 2015 with the intention of introducing a new KPI of four weeks to build from start to ready for test. Trial being monitored including trial documentation and production records.

#### Non-conformance, Corrective & Preventive Action

Database available with NCs and PAs. NCs are mainly raised on suppliers.

Reviewed:

NC No.	Date	Supplier	Description	Date Closed	PA No.	Date	Date Closed
104	24/09/14	SUPPLIER 1	Quotations	16/10/14	44	29/09/14	16/10/14
108	22/10/14	SUPPLIER 2	Vehicle Checking	Open	45	23/10/14	Open

#### Customer Feedback

Customer satisfaction survey issued for each vehicle delivered. Survey distributed 4 weeks after delivery in hard copy with pre-paid envelope. Sent out 26 surveys in 2014 to date and the majority have replied. Customer feedback database available.

Reviewed:

Job No.	Survey Date	Description	Result
3522	02/10/14	Wheelchair Accessible Vehicle	Good/Excellent
3516 & 3517	01/09/14	Ambulances	Excellent

KPIs monitored and overall positive result.

Internal analysis demonstrates reputation and quality are important issues with customers.

#### Complaints

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.

Reviewed:

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

#### Document Control & Quality Records

Quality Manual Issue 18 dated 06/10/14; Business Process Manual Issue 17 dated 07/10/14 - tally with relevant amendment records.

Core Process Map and documented procedures available as required by the Standard.

Daily data back-up to hard drive and taken off site.

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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) 9001

### Evidence

#### Purchasing Process/Inventory/Approved Suppliers

Purchase book database.

Reviewed:

Supplier	PO No.	Date	Description	Qty	App Supp
SUPPLIER 1	11058	06/10/14	8x11/4" csk pozi BZP	1000	✓
SUPPLIER 2	11062	07/10/14	S2036 type Tail Lift	8	✓

Del Note	Date	Del Chkd	Supplier Monitoring	Supplier Review
74003	09/10/14	✓	On Watch	July 2014
VRE-002012	09/10/14	✓	On Watch	July 2014

#### Assembly Process & Associated Processes

Reviewed workshop assembly:

Vehicle Request Form	Works Order No.	QWB No.	Customer	Build Stage	Signed
✓	WB3563	5246	CUSTOMER 1	✓	✓
✓	WB3554	5229	CUSTOMER 2	Awaiting build start	
✓	WB3543	5132	CUSTOMER 3	✓	✓

Floor Layout	Specification	Conformity of Product Form	VIN
Drg. No. INNO/SL/2530-A	✓	✓	✓
Drg. No. INNO/SL/2385-A	✓	✓	✓
Drg. No. INNO/SL/2396-A	✓	✓	✓

#### Vehicle Testing

Reviewed Type Approval process:

Statement of Compliance	IVA19A	Wheelchair Declaration	Works Order No.	QWB No	Specification	Vehicle Type	Date	IVA1C	VCA
✓	Seats/Flooring System	✓	WB3529	5152	✓	M1 DVP (below 10 seats)	23/10/14	Application for individual vehicle approval	Type Approval Certificate ZY060511

#### Infrastructure & Work Environment

Satisfactory to achieve conformity to product requirements.

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.

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## 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

N/A
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If **Yes** summarise the evidence seen if **No** what actions have you taken as a result:

## 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	
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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
23/10/14	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

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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

No
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Brief details of where the UKAS registration Mark and ISOQAR Logo is used

Used on website, email, letterhead, compliments slip, brochure but certificate number not included.

**OFI 1** – Although the logo has been changed from the previous CB, the certificate number needs to be included under/outside the box.

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### AUDIT PLAN NEXT VISIT

**Please note that changes to Auditors may be unavoidable due to operational requirements**

**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)	SURVEILLANCE	
Audit Dates	22 <sup>nd</sup> Oct 2015	Location(s)	HO	
Audit Start Time	09.00	Does Client need to confirm site visit with ISOQAR Head Office prior to next visit <b>YES/NO</b>	NO	
Audit Language (if not English)		Is Recertification Planning Required <b>YES/NO</b>	YES	

**Management Processes**

Date	Time (or AM/PM) or N/A		Auditor
22/10/15	09.00	Opening meeting including review of last audit	KA
		Recertification Planning	
		Management Review	
		Internal Audits	
		Quality Objectives/KPIs/Improvement	
		Complaints	
		Warranty	
		Lunch	
	13.30	Assembly	
		Vehicle Testing	
		Customer Training	
		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	

**NOTE TO CLIENT: No further confirmation or reminders will be issued. Failure to honour the date arranged may result in extra charges being incurred by your company as stated in ISOQAR Rules of Registration. Cancellation of audit or surveillance dates within 20 working days of the agreed date will result in ISOQAR claiming an extra levy from the company for each staff day cancelled.**

**Note to Auditor**

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

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### AUDIT PLAN COVERING THE 3 YEAR ASSESSMENT CYCLE

Organisation Name Wamerbus 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
	Oct14	Oct15	Sep16
	1	1	1
	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
<b>Head Office</b>	✓	✓	✓

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