

## AUDIT REPORT

<b>COMPANY NAME</b>	SUCCESS CONNECTION UTILITY CONSULTANCY & ENGINEERING SERVICES
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<b>STANDARD(S)</b>	ISO 9001:2015	ISO 14001:2015	ISO 45001:2018
<b>AUDIT TYPE</b>	STAGE 2	STAGE 2	STAGE 2
<b>CERTIFICATE EXPIRY DATE</b>			

<b>FULL ADDRESS OF AUDIT LOCATION(S)</b>	UNIT 73 HARTS FARM WAY HAVANT PO9 1HS
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<b>CLIENT CONTACT</b>	GODFRED OWUSU-BROBBEY
<b>CLIENT EMAIL</b>	godfred@successconnections.co.uk

<b>LEAD AUDITOR</b>	ALEX MULLETT
<b>AUDITOR EMAIL</b>	alex@mullettsolutions.co.uk

<b>DATE OF AUDIT</b>	14 <sup>th</sup> and 15 <sup>th</sup> October 2021
<b>AUDIT TIME (DAYS)</b>	1.5

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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>	ELECTRICAL DESIGN, ELECTRICAL INSPECTION & TESTING POWER SYSTEMS ENGINEERING SERVICES
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<b>AUDIT OBJECTIVE</b>	STAGE 2 AUDITS: EVALUATE THE IMPLEMENTATION AND EFFECTIVENESS OF THE MANAGEMENT SYSTEM(S); DETERMINE IF THE MANAGEMENT SYSTEM CONFORMS TO THE AUDIT CRITERIA, AND THAT IT CAN ENSURE THAT APPLICABLE STATUTORY, REGULATORY AND CONTRACTUAL REQUIREMENTS CAN BE MET; IT IS EFFECTIVE IN ENSURING THAT OBJECTIVES ARE MET AND, WHERE APPLICABLE, THAT AREAS FOR IMPROVEMENT HAVE BEEN IDENTIFIED.
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INTERFACE AUDIT TEAM		ORGANISATION PERSONNEL		
NAME	ROLE	NAME	POSITION	ATTENDANCE
ALEX MULLETT	AUDITOR	GODFRED OWUSU-BROBBEY	PROJECT ENGINEER	OPENING, AUDITEE, CLOSING
		ABS MANNEH	MANAGING DIRECTOR	OPENING, INTERVIEW, AUDITEE, CLOSING
		DAVE BURROWS	CONSULTANT	OPENING, AUDITEE, CLOSING
				CHOOSE AN ITEM.

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>	0	0	0
<b>NO. OF OFI'S</b>	3	4	4
<b>CERTIFICATION RECOMMENDATION(S)</b>	RECOMMENDED FOR CERTIFICATION	RECOMMENDED FOR CERTIFICATION	RECOMMENDED FOR 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.*

## EXECUTIVE SUMMARY

- Summary of the client – activities, organisation and products or services.
- Record of sites and operations visited.
- Any significant changes since the last audit.
- The appropriateness of the certification scope.
- Comment on conformity and effectiveness of the system (strengths and weaknesses, summary of evidence etc.).
- Overview of findings

I would like to thank Abs, Godfred, and the team at Success Connections for their audit preparation, assistance, and general cooperation, which allowed the audit to run smoothly and to schedule.

This audit was completed on 15 October 2021 and was a stage two audit for ISO 9001 (Quality), ISO 14001 (Environmental), and ISO 45001 (Occupational Health & Safety).

The objective of the audit was to:

Evaluate the implementation, including effectiveness, of the management system, through sampling, to determine whether requirements for certification to the standard are met.

The audit objective has been effectively completed.

Success Connections have an effective management system in place that is supporting their current operational practices and will support future plans and growth. It is clear that the team have invested significant time to understand their 'context' – i.e. what and who is important to them – and then used this to understand where they have risk and opportunity that requires (most) attention.

It is pleasing to see a clear commitment and drive to improve company operations, with several examples of recent, in flight, and planned improvements in place.

The audit was conducted at a time when it was not possible to assess management system controls at an operational site. A follow up audit will be arranged to do this shortly.

This report raised 0 non-conformities and 4 opportunities for improvement, each will hopefully support the company to continually improve – please refer to the Audit Findings section of this report for further details of each audit finding.

The team at Success Connections are to be commended for this audit outcome.

**It is the conclusion of this audit report that Success Connections be:**

- **Recommended for certification to ISO 9001 (Quality)**
- **Recommended for certification to ISO 14001 (Environmental)**
- **Recommended for certification to ISO 45001 (Occupational Health & Safety)**

**Alex Mullett**

Lead Auditor

Interface

### 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
20211015 - 01	ISO 14001 + ISO 45001 Clause 6.1.3 Compliance Obligations	It could be beneficial to add 'other' non-legal compliance obligations to the compliance register maintained by the company – examples of these include ISO certifications, CHAS certification, and those as per the Base Point agreement	OFI
20211015 - 02	ISO 9001 + ISO 14001 + ISO 9001 Clause 9.1 Monitoring, measurement, analysis, and evaluation	It could be beneficial to capture performance vs objectives during each year – rather than just at the end of each year – this could help identify any outputs that need addressing earlier if they are not tracking so as to meet intended outcomes	OFI
20211015 - 03	ISO 9001 + ISO 14001 + ISO 9001 Clause 7.2 Competency	Please review the existing (compliant) training matrix used and consider introducing a new / planned 'matrix (as demonstrated by the consultant during the audit) that could be used to capture expiry dates of training (where applicable)	OFI
20211015 - 04	ISO 9001 + ISO 14001 + ISO 9001 Clause 9.2 Internal Audit	Please consider adding to the existing internal audit plan to specifically call out some of the key components of the management system(s) – e.g. environmental aspects, risk assessments – and conduct focused audits on these (and other) components at intervals during the year	OFI

COMMENTS ON PREVIOUS AUDIT FINDINGS (NC's & OFI's)		
REF. (NO./DATE)	DETAILS OF ACTIONS TAKEN AND RESOLUTION	STATUS
20210708 – 01	No evidence was observed of internal audits being performed in accordance with the requirements of the Standard.  <u>October 2021 update:</u> An effective internal audit of the management system has been conducted	Major  Closed
20210708 – 02	No evidence was observed of management reviews being planned (inputs and outputs) in accordance with the requirements of the Standard.  <u>October 2021 update:</u> An effective management review of the management system has been conducted	Major  Closed
20210708 – 03	A documented assessment of legal and 'other' compliance requirements has not been effectively completed.  <u>October 2021 update:</u> An effective assessment of legal and 'other' compliance requirements has been conducted	Minor  Closed
20210708 – 04	A company Business Continuity Plan (BCP) used to identify actions to address risks is incomplete.  <u>October 2021 update:</u> The company Business Continuity Plan (BCP) has been updated and is now completed	Minor  Closed
20210708 – 05	Company procedures (including P005 Control of Records) do not effectively identify retention periods for records created within the management system.  <u>October 2021 update:</u> P005 has been updated to capture effective retention periods for management system outputs	Minor  Closed
20210708 – 06	Please ensure objective evidence is available – including documented where appropriate / required by an ISO standard – that can demonstrate requirements of all company policies, procedures, etc. have been implemented (including those related to consultation and participation of all workers – including contractors).  <u>October 2021 update:</u> A Head Office stage two audit has been effectively completed (noted that a 0.5 day audit will follow shortly for a live operational (client) site when a site is available to be audited	OFI  Closed

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 checked="" type="checkbox"/>	<input 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 checked="" type="checkbox"/>	<input type="checkbox"/>	
<b>REASONS AUDIT DID NOT ACHIEVE ITS INTENDED OBJECTIVES OR NOT CONDUCTED AS PER THE PLAN (IF REQUIRED)</b>			

<b>AUDIT PROGRAMME</b>				
<b>YEAR</b>	2021	2022	2023	2024
<b>AUDIT TYPE</b>	<b>Stage 2</b>	<b>1<sup>st</sup> Surveillance</b>	<b>2<sup>nd</sup> Surveillance</b>	<b>Recertification</b>
<b>STANDARD(S)</b>	ISO9001:2015 ISO14001:2015 ISO45001:2018	ISO9001:2015 ISO14001:2015 ISO45001:2018	ISO9001:2015 ISO14001:2015 ISO45001:2018	ISO9001:2015 ISO14001:2015 ISO45001:2018
<b>AUDIT METHOD</b>	On Site	On Site & Remote	On Site & Remote	On Site
<b>SITE(S) TO BE AUDITED</b>	Head Office & Operational Site Visit	Head Office	Head Office	Head Office & Operational Site Visit
<b>AUDIT DAYS</b>	2	1.5	1.5	2
<b>Processes to be audited (marked with an X)</b>				
<b>Review of changes / findings</b>	X	X	X	X
<b>Context of the organisation</b>	X	TBC	TBC	X
<b>Leadership</b>	X	TBC	TBC	X
<b>Planning</b>	X	X	X	X
<b>Support</b>	X	X	TBC	X
<b>Operation</b>	X	X	X	X
<b>Performance evaluation</b>	X	X	X	X
<b>Improvement</b>	X	X	X	X
<b>Use of logos</b>	N/A	X	X	X
<b>Operational site visit</b>	X	Excluded	Excluded	X
<b>NOTES</b>				

## NEXT VISIT PLAN

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

<b>DATE OF AUDIT(S)</b>	TBC	<b>AUDIT DAYS</b>	0.5 DAYS
<b>LOCATION(S)</b>	TBC		
<b>SCOPE OF AUDIT</b>			
ELECTRICAL DESIGN, ELECTRICAL INSPECTION & TESTING POWER SYSTEMS ENGINEERING SERVICES			
<b>LEAD AUDITOR</b>	TBC		
<b>AUDITOR CONTACT</b>			
<b>SUPPORT AUDITOR(S)</b>			
<b>TECHNICAL ASSISTANT(S)</b>			
<b>Objective of Visit</b>			
TO ASSESS THE OPERATIONAL IMPLEMENTATION OF MANAGEMENT SYSTEM CONTROLS AS APPLIED TO AN OPERATIONAL (CLIENT) TEMPORARY SITE			
<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
09:00	<b>Opening Meeting</b>
	Job Management controls (i.e. those from identification of customer requirements, design / development of services, through to delivery of services)
	Operational controls @ Client Site (including those associated with Environmental Lifecycle and operational site-based risk assessments)
13:00	<b>Closing Meeting</b>
<b>Objective of audit</b>	
To determine if the management system: <ul style="list-style-type: none"> <li>• Conforms to the audit criteria</li> <li>• Can ensure that applicable statutory, regulatory and contractual requirements can be met</li> <li>• Is effective in ensuring that objectives are met, and;</li> <li>• Effectively drives improvement</li> </ul>	
<b>Criteria for audit</b>	
<ul style="list-style-type: none"> <li>• The relevant ISO standard(s).</li> <li>• The organisation's own management system requirements.</li> </ul>	
<b>NB: Timings and content of the agenda may change during the course of the audit</b>	