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## **Waverley Contract & Supply Limited Audit Report** **2<sup>nd</sup> March 2021**

Common Assessment Standard Compliant  
Version: 1.2

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## Preface

This document contains the Core Audit Module by which BuildingConfidence members will measure their supply chain. The principle constituents of this process are the verification and assessment of the management systems used by the supply chain; looking at both the quality and applicability of these systems.

The Core Audit Module is intended to verify information submitted at the prequalification (PQQ) stage and to assess additional areas of compliance. Auditors and auditees will be required to familiarise themselves with the information supplied at the prequalification stage prior to the audit commencing.

## Common Assessment Standard Compliance and alignment

This protocol has been reviewed to ensure that it at least aligns with the requirements of the Common Assessment Standard, Organisations accredited to the BuildingConfidence standard can have confidence that they are also aligned with this standard

## Introduction

Waverley Contract & Supply were a manufacturer and installer of, blinds, curtains, curtain tracks, solar films and security systems.

The company was located in Farnham, Sussex and work predominantly in London and around the M25. They employed 5 direct employees with a fluctuating number of sub-contractors throughout the year.

The company had been in operation since 2011 and undertook the role of contractor under the CDM regs 2015. With an in-depth Integrated Management system and the aid of an external consultant.

**Location:** Rowan House, Guildford Road Trading Estate, FARNHAM, GU9 9PZ, United Kingdom

**Auditor:** Kevin Game

**Auditee(s):** Zoe Bowles – AQS (External Consultant)

## Executive Summary

During the audit, there were nil non-compliance recorded.

The Organisation had well developed systems in respect of Health and Safety, Environment, and Quality.

The company held certification for ISO9001, 14001 and 45001. The certification in place was certified by ISOQAR who were UKAS accredited.

Procedure's for the completion of internal audits of the management systems were in place at the time of the audit and audits were carried out by competent persons.

The Organisation's management structure, roles and responsibilities were defined within the documented systems.

Procedures were in place for the development of both risk and control of substances hazardous to health assessments. Risk and COSHH assessment records were included within project method statements and communicated to employees through briefings.

The Organisation had formally recorded activities, systems and components requiring competency management through their training system.

An accident and incident reporting and investigation process was in place and employees were made aware of the procedure to be taken to report unsafe working conditions.

The company had adequate first aid and fire provision.

The Organisation provided PPE free of charge to all employees.

The Organisation had policies, statements and processes in place in respect of anti-bribery, fraud and malpractice, the receipt and giving of gifts. It demonstrated that ethical behaviour and practices in respect of corporate social responsibility were maintained.

The Organisation had undertaken checks of the eligibility of employees to work in the United Kingdom in accordance with the requirements of the Immigration, Asylum, and Nationality Act.

All employees received suitable contracts of employment and the Organisation monitored working hours and minimum wage requirements.

Adequate insurance certification and cover was found to be in place during the audit. all certificates were in date at the time of this audit.

Compliant fire and security arrangements were confirmed for the company's scope of responsibilities.

## Recommendation

Passed

## Findings

### Major Non-Compliances

| Question | Major Non-Compliance |
|----------|----------------------|
|          | None                 |

### Minor Non-Compliances

| Question | Minor Non-Compliance |
|----------|----------------------|
|          | None                 |

### Observations

| Question | Observations |
|----------|--------------|
|          | None         |

### Positive Elements

| Question | Positive Elements |
|----------|-------------------|
|          | None              |

## Report

### 1. How does the Organisation issue and control its company policies?

The company held detailed policies within the Waverley Integrated Manual that was made to available to all staff at induction.

Policies were reviewed on an annual basis by the External Consultant and the Director.

The policy statements included a statement for the continual improvements to Quality, Health and Safety and Environmental.

- Health and Safety Policy
- Environmental Policy Statement
- Quality Assurance Policy

Further policies relating to, Drugs and Alcohol, Equal Opportunities, Anti Bribery and Corruption, Whistle Blowing, Anti-Harassment and Bullying were also in place.

- Anti-Bribery Policy Statement
- Equality Policy
- Alcohol and Drugs Usage Policy
- Violence Policy

### 2. How does the Organisation clarify its management structure and responsibilities?

The company held a documented Organisational Chart that detailed Roles and Responsibilities throughout the company. This was supported by detailed job descriptions and further responsibilities detailed within the Management Systems H&S, Environmental and Quality policies.

- Environmental Policy Statement
- Health, Safety Policy Statement
- Quality policy statement
- Organisation chart

### 3. How does the Organisation assure itself and its clients that it has control of its activities?

The company had UKAS accredited ISO Management systems in place for

- ISO 9001:2015 9967-QMS-001 – 02/03/2024
- ISO 14001:2015 9967-EMS-001 – 02/03/2024
- ISO 45001:2018 9967-OHS-001 – 02/03/2024

These systems were certified by ISOQAR.

The company had a well-documented aspects and impacts register along with other external accreditations

#### 4. How does the Organisation monitor its performance?

A detailed Audit Schedule for the current period was in place covering all areas of the business.

Annual audits carried out by an external body covered the three management systems, Quality, Environment, Health and Safety were conducted.

Company targets and objectives were set and reviewed during management review meetings. Key Performance Indicators are set on a Project by Project basis relating to Quality, Environmental, Health and Safety.

Management review meetings are conducted, areas covered include supply chain performance, audits, findings and areas for improvement. Detailed information relating to RIDDOR, Dangerous Occurrences, Accidents and Near Miss report are cover in monthly meetings.

#### 5. How does the Organisation control its documents?

A documented "Document & Record Control procedure was detailed within the company's IMS.

The document identified who is responsible for the approval of changes. Superseded documents are removed from the Master File and stored in the Archive Register.

Minimum retention periods for documented had been identified and recorded in Record Control.

The Management System was the responsibility of the Director with assistance from an External Consultant.

Documents were controlled and were available via the Company's intranet.

- Control of Documented information

## 6. How does the Organisation ensure the security of the information it possesses?

The company had documented Legislation registers for Environmental, Health and Safety applicable to the scope of services of the operations.

The External Consultant was responsible for ensuring that the legislation registers for both Environmental, Health and Safety are kept up to date and any changes are communicated to the workforce through various methods including meeting minutes, notice boards and within daily briefings.

- Legal Register
- Aspects and Impacts register

The information systems were managed by an external consultant. The company stated their hardware for the information technology firewalled, password and virus protected. Staff had access rights to their areas of work. The company stated that their systems were backed up daily to remote servers.

## 7. How does the Organisation control non-conforming products and services? Including customer complaints and product recall.

The company held a complaints process within their Integrated management system, all complaints were recorded within a Non-conformance register that was reviewed during management review meetings.

All improvements and complaints were logged within a Corrective action log that was held within the company's in-house computer system.

The non-conformance log was also used to log any product recalls made, Due to the scope of services carried out by the company a recall process was in place and used if manufactures required.

## 8. How does the Organisation ensure that they comply with the Quality Requirements and Best Practice Standards?

The company's Quality Management Systems (QMS) had been developed in line with Industry Standards and Client Requirements.

Audits were carried out for the main office along with depot and regional office inspections. Depot and regional office inspections were also carried out by Senior management.

The company carried out risk assessments for both H&S and Environmental. With the aid of an external HR advisor they held up to date legislation along with getting advice when required

## 9. What controls are in place to manage the design process within the Organisation?

The company did not undertake any design work



## 10. How does the Organisation control and produce documentation to prove compliance to the requirements?

An internal audit schedule was evidenced during the audit that detailed month by month breakdowns of audits that were to be carried out along with any non-conformances that had previously been raised.

Audits were conducted to coincide with the requirements of the ISO standards in order for the company to manage the risks to the business in respect of H&S, Environment and Quality, in respect of facilities audits, operations audits, management system audits and compliance.

- Internal Audit
- Management review
- Audit summary report
- Non-conformance register

## 11. How does the Organisation comply with the relevant requirements within the Construction (Design & Management) Regulations 2015?

The company undertook the roles as Contractor under the CDM regs 2015. Detailed risk assessments were held within the RAMs that detailed Roles and responsibilities under the CDM regs 2015. CDM regs 2015 were also listed within the company legislation register.

- RAMs Template

## 12. How does the Organisation ensure that they have adequate HSEQ and Employment law support in order to identify and comply with current legislation?

The business had the use of an External Consultant for all H&S, Environmental, Quality and HR advice.

The Health, Safety and Environmental Consultant held the following certification within H&S

- NEBOSH Diploma
- GradIOSH

### **13. How does the Organisation identify, control, document and demonstrate its Health, Safety and Environmental Hazards and Risks?**

Risk Assessments were documented as part of a detailed folder of Risk Assessments. Reviews were conducted on an annual basis or as a result of an accident, incident or near miss by AQS (external Consultant).

All assessments are reviewed at different intervals depending on the severity of the risk in place

- RAMs report
- RAMs – Kirton Lodge

### **14. What processes are in place to work under a permit system (if applicable)?**

The company did not require staff to work under any permits.

### **15. How does the Organisation meet the Temporary Works requirements?**

The company did not undertake temporary works.

### **16. How does the Organisation ensure its work equipment is fit for purpose?**

PAT testing was carried out on all office equipment. A PAT test log was held and was updated yearly when equipment was subject to retesting.

Any equipment that required thorough inspections were carried out externally.

All equipment used has its own asset tag number held within the register, that is monitored for inspection and compliance.

The register contained details of the item and any test data and expiry dates to indicate status.

- LOLER Certificate – Combilift – 08/12/2020

## 17. How does the Organisation ensure it identifies and controls the effects of potentially harmful substances?

The company had established a register of Control of Substances Hazardous to Health (COSHH) which was available to be viewed during the audit along with Safety Data Sheets (SDS).

COSHH Assessments and SDS sheets are made available for employees during site operations as part of the Site Folder that is produced by the Health and Safety Advisor.

- COSHH Register
- COSHH Assessment – Anchorslip

## 18. What are the Organisations arrangements for the issuing, checking and monitoring of Personal Protective Equipment (PPE)?

A Personal Protective Equipment (PPE) register was documented within the RAMs folder. It was stated that Personal Protective Equipment (PPE) is issued free of charge by the company and records are maintained.

Evidence was available to be viewed including the signatures from members of staff acknowledging its issue.

Generic PPE issue include

- Safety footwear
- Eye protection
- Hi-visibility clothing

## 19. What arrangements does the organisation have in place to ensure that it has adequate first aid cover?

The company had site and office assessments undertaken to identify first aid requirements based on work activity.

All areas of work contained first aid boxes along with accident books, Employees had also been training with EFAW training.

First aid procedure within the Safety arrangements and the procedure covered provision in the offices and at project sites and committed to comply with the Health & Safety (First Aid) Regulations.

- Emergency First Aid at Work Certificate – 1900052230 – 28/02/2022.
- First Aid Station – Photo Evidence
- Emergency First Aid at Work Certificate – 1900082190 – 25/02/2022

## 20. How does the Organisation meet occupational health surveillance requirements?

The company had in place Health questionnaires that new starters were to complete. The company had been assessed and was deemed a minimal risk environment so there was no Occupational Health Screening process in place.

Staff currently working would carry out Asbestos Awareness Training to maximise their reaction time in the event of exposure.

## 21. What mechanisms and processes are in place to mitigate accidents/incidents/unplanned events?

There were adequate First Aid staff on hand within the main operating office and regional depots. Fire Wardens had been appointed and had been trained for the role. Names and positions of the appointed individuals were posted around all facilities along with contact numbers of H&S and HR support.

Accidents were reported under the incident reporting procedure that is included as part of the induction process. Investigations were carried out for all first aid reports along with all near misses.

## 22. How does the organisation plan to minimise the impact of an accident/incident/unplanned event?

The Organisation had developed an accident/ incident/ dangerous occurrence reporting and investigation process that demonstrated reporting to the HSE process, liaison with enforcement authorities, and the process for preservation of evidence

Procedures for the investigation and communication of findings from accidents and incidents were in place.

## 23. What controls does the Organisation have to ensure transparency of supplier selection?

Due to the nature of the work being carried out by the company with little to no design being undertaken the use of suppliers was often dictated by the client. Client requirements would highlight what suppliers to use throughout the project.

When using suppliers that the company had within the Approved list held by themselves a flowchart system would be used to select the right supplier to fulfil the requirement needs.

## 24. How does the Organisation ensure effective management of its supply chain?

An approved supplier list is held and maintained with any poor performance following review resulting in suppliers being removed from the list.

Subcontractors and Suppliers are required to complete a pre-qualification questionnaire and provide copies of relevant documentation before being approved.

- Supplier, contractor and Sub contractor approval
- Supplier Questionnaire
- Approved supplier list

## 25. What criteria do the Organisation stipulate for the sourcing of product?

The company did not procure timber to be used to complete the scope work being carried out.

## 26. How does the Organisation ensure the right to work and the absence of modern slavery for personnel within its supply chain?

The company had a documented Modern Slavery and Human Trafficking Statement, the policy wasn't posted on the company website but was made available to interested parties upon request, the policy had been signed by the Managing Director.

Suppliers were issued with PQQ's to complete before being added to a Supplier register.

## 27. How does the Organisation control its recruitment processes in accordance with relevant legislation?

The company had a formal process in place for the recruitment of new employees.

Job descriptions including rates of pay and minimum competence requirements are published, and formal interviews are conducted including the validation of competence.

A documented induction process was in place for new starters. A site induction process was in place which included.

- Quality,
- Health and Safety,
- Company Structure,
- Occupation Health and Environmental.

Members of staff were issued with contracts of employment and signed copies were made available to be viewed to demonstrate this.

- Employment Contract
- Offer of work letter

## 28. How does the Organisation ensure that personnel recruited are entitled to work in the United Kingdom?

The organisation was aware of the requirements from the United Kingdom Border Agency guidance notes and from a copy of the Immigration and Asylum and Nationality Act 2006.

During the induction process the company use a right to work checklist and would take copies of passports, additional documentation, birth certificates and visas. These are stored within employee files.

## 29. Does the Organisation prepare and publish an annual Slavery and human trafficking statement in accordance with the Modern Slavery Act?

The company had a Modern Slavery Policy in place. This had been signed by the Director and is reviewed annually. Members of staff and third-party organisations were able to view the policy on notice boards and when requested.

### **30. How does the Organisation control competency management?**

New employee is expected to serve a probationary period before joining the company full time. (Records will be maintained via paper written formats or via an on-line form)

Training and experience details are kept with the skill matrix. The management continually assesses employee's suitability and competency and records their assessment within the skill matrix.

New employee is provided with Induction Training, PPE and any specific equipment training

### **31. How does the Organisation demonstrate and promote diversity and inclusion within the workplace?**

The Organisation had mechanisms in place to demonstrate compliance with The Equality Act 2010 and is regularly reviewing the effectiveness of the processes.

New Starters are issued with the company handbook on post offer and sign to acknowledge its issue. The Organisation required its supply chain to demonstrate evidence of their equality policies and practices

### **32. How does the Organisation ensure the ethical treatment of its personnel?**

Workers are issued with a contract of employment detailing the employees' rights, duties and general terms and conditions of their employment and covered during induction.

Contracts of employment was witnessed which included information on remuneration working hours, expenses, holidays, vehicle use, sickness, termination, and pensions.

Staff working hours are monitored through site time sheets and the Working Time Directive was being complied with and staff had the right to opt out.

### **33. How does the Organisation minimise the likelihood of bribery, corruption, fraud, malpractice and anti-competitive behaviour?**

The Company's anti-bribery, fraud and malpractice policy met the requirements of the Bribery Act 2010.

Information was communicated to the workforce at induction and within the safety forum that included offences under the act, penalties, scope of the act, the procedure for reporting potential acts of bribery, the gifts and entertainments policy and gifts

### **34. Does the Organisation actively engage with the local communities in which it operates?**

The company would offer charity donations to Customers charity and would also Support staff with fund raising as and when it was required

## Issue Record and Copyright

This protocol will be subject to change and updating as a result in the following areas:

- Changes in applicable statutory instruments.
- Recommendations from enforcement authorities or industry bodies focusing on either prevention of accidents or new best practice.
- Changes in the BuildingConfidence members' contractual conditions.

The document will be made available on the BuildingConfidence portal. An appropriate notification will be placed on the portal advising of any changes made to the document.

| Version | Date       | Author       | Comments  |
|---------|------------|--------------|---|
| 1.1     | 18/09/2019 | W. Nelson    | First version issued                            |
| 1.2     | 25/09/2020 | A. Whitfield | Revision to question ordering following release |

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