Audit Type:	Remote Surveillance Audit
Organisation:	[redacted]
Address:	
Standard(s):	ISO 9001:2015, ISO 14001:2015, ISO 45001:2018
Client Representative(s):	[redacted]
Total number of employees:	
Applicable employees (QMS/EMS):	
Site(s) audited:	
Additional Site(s) audited:	
Date of Audit:	
Lead Auditor:	
Full Audit Team:	

This report is confidential and distribution is limited to the audit team, client representative and the British Assessment Bureau (BAB) office.

Section A: Audit Objectives

Surveillance Audit

- to confirm that the management system conforms with all of the requirements of ISO 9001:2015, ISO 14001:2015, ISO 45001:2018;
- to confirm the Scope statement; represents the organisation's certified activities on the Certificate of Registration;
- to confirm that the organisation has effectively implemented ISO 9001:2015, ISO 14001:2015, ISO 45001:2018;
- to confirm that the Management System is capable of achieving the organisation's policies and objectives;
- to review links between the internal audits, management reviews and continuous improvement

Section B: Scope(s) of certification

[redacted]

Section C: Current audit findings and conclusions

The BAB Audit Team conducted a process-based audit, focussing on significant aspects, risks and objectives as required by ISO 9001:2015, ISO 14001:2015, ISO 45001:2018.

The audit methods used were interviews, observation of activities and review of documentation and records.

The structure of the audit was in accordance with the audit plan and audit planning process.

Number of nonconformities identified	0	Major	1	Minor
Number of opportunities for improvement identified	4			

Based on the results of this audit and the system's demonstrated state of development and maturity, management system certification is recommended. This recommendation will be independently verified by the British Assessment Bureau Head Office.

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Non-Conformities and Opportunities for Improvement

	Type	Clause	Summary
NC-1	Minor	9.3	(45001:2018) Finding: Top management shall review the organisation's OH&S management system, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness. The management review shall include consideration of incidents and consultation and participation of workers. Evidence: When reviewing the minutes for the meeting held on [redacted] it was evidenced that the organisation has only partially met the requirements of Clause 9.3 for ISO45001:2015 in that they did not include or review information in relation to incidents or Consultation or Participation of employees.
OFI-1	OFI	10.2	(All) It would benefit the organisation to include Opportunities for Improvement raised in either Internal or External Audit within the [redacted] Nonconformity and Corrective Action Log.
OFI-2	OFI	6.1.2	(14001:2015) The organisation would benefit from conducting a review of the [redacted] Environmental Aspects and Impacts Register as it was noted that a small number of Scores still need to be included within the relevant column within the register, in addition to this it was noted that borders are still required to be introduced for a number of areas bringing these areas in line with the rest of the register.
OFI-3	OFI	6.1.2.1	(45001:2018) The organisation would benefit from conducting a review of site Risk Assessments to ensure that information is recorded within the correct column and would also benefit from expanding on risks within the Risk Assessment, additionally the organisation may also wish to consider conducting the site survey on an annual basis in conjunction with the Risk Assessment
OFI-4	OFI	7.2	(45001:2018) It may benefit for [redacted] and [redacted] to obtain training in relation to conducting Risk Assessments.

= Major Non-Conformity
= Minor Non-Conformity
= Opportunity for Improvement

If non-conformances have been raised throughout this assessment, you are required to provide the following to assist in the closure of these to **compliance@british-assessment.co.uk**.

Major Non-conformance (Recertification Assessment) - Provide evidence within 10 days of the assessment
Major Non-Conformance (Surveillance Assessment) - Provide evidence within 28 days of the assessment
Minor Non-Conformances - Provide a corrective action plan within 28 days detailing how you intend to rectify in preparedness for the next assessment together with a root cause analysis.
Important Note: If this assessment represented a "Stage 2" (Initial) assessment, certification cannot be granted until such time that the corrective action plan has been received.

Certification Cycle Assessment Plan [redacted]

Business function/Process	Stage Two Audit	1st Surveillance Audit	2nd Surveillance Audit	Recertification Audit
Context of the organisation	✓	✓	P	P
Leadership	✓	✓	P	P
Planning	✓	✓	P	P
Support	✓	✓	P	P

Operation	✓	✓	P	P
Performance Evaluation	✓	✓	P	P
Improvement	✓	✓	P	P
Client Site Visit	tbc	tbc	tbc	tbc

P = Planned, ✓ = Done, ✗ = Excluded



Assessment Notes

a. The assessment was based on sampling and therefore non-conformities may exist which have not been identified.

b. If you wish to distribute copies of this report external to your organisation then all pages must be included.

c. The British Assessment Bureau, its staff and agents shall keep all information relating to your organisation confidential and secure and shall not disclose any such information to any third party except that in the public domain or required by law or relevant accreditation bodies. The British Assessment Bureau staff agents and accreditation bodies have signed individual confidentiality undertakings and will only receive confidential information on a 'need to know' basis.

d. This report and related documents have been prepared for and only for the British Assessment Bureau client and for no other purpose. As such the British Assessment Bureau does not accept or assume any responsibility (legal or otherwise) or accept any liability for or in connection with any other purpose for which the Report may be used or to any other person to whom the Report is shown or in to whose hands it may come and no other persons shall be entitled to rely on the Report.

e. The management system documentation included the necessary policies, procedures, process descriptions etc, required by the standard.

The audit criteria applicable to this assessment are clearly outlined within the specific audit plan and the three-year programme. For further information on the audit scope and audit criteria, please refer to the accompanying audit plan and three-year programme.