



Lloyd's  
Register

## Stage 1

Report for:

# Railway Project Services Ltd

<b>LR reference:</b>	LRQ00003819 / 3969118
<b>Assessment dates:</b>	04-November-2020
<b>Reporting date:</b>	04-November-2020
<b>Client address:</b>	19 Warren Park Way ,Enderby,Leicester Leicestershire LE19 4SA,GB
<b>Assessment criteria:</b>	ISO 9001:2015
<b>Assessment team:</b>	Andrew Greenshields
<b>LR Client Facing Office:</b>	LRQ United Kingdom OU

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### Attachments:

LRQ00003819\_APP\_QMS\_ST2\_AG.docx

### This report was presented to and accepted by:

**Name:** Joe Whalen  
**Job title:** Managing Director



## 01. Executive report

### Assessment outcome:

This visit was to assess the compliance of the management system of Railway Project Services Ltd against ISO 9001:2015 as defined in the audit planning documentation. The outcome of the visit is recorded below.

The purpose of this visit was to sample the management system for the compliance to ISO9001:2015. Statutory and Regulatory considerations noted. As a result of the assessment the following were identified;

1 new finding was identified in regards to Quality policy- graded as Minor. The details of the findings can be found in the findings log of this report. Corrective action is to be investigated and taken as appropriate.

Evidence is to be presented at the next assessment visit for verification by the assessor to allow closure of the findings.

2 opportunities for improvement (OFI) were identified during the visit and discussed with the client as appropriate. The details of the OFI's are recorded within the body of this report.

A 1 day stage 2 assessment is recommended, dates to be confirmed by LR

The plan for the visit was completed. The management system is seen to not yet meet fully the requirements of the standard. The client is comfortable that the identified issues will be sufficiently addressed prior to Stage 2 Assessment and progression to this stage is recommended.

### Continual improvement:

No commented upon at Stage 1



### Areas for senior management attention:

See findings detailed in the log

## 02. Assessment findings

Where scheme requirement differs to the standard definition below, the scheme definition will take preference

### Major Nonconformity

The absence of, or the failure to implement and maintain, one or more management system elements, or a situation which would, on the basis of the available objective evidence, raise significant doubt of the management to achieve: The policy, objectives or public commitments of the organisation, compliance with the applicable regulatory requirements, conformance to applicable customer requirements, conformance with the audit criteria deliverables.

### Minor Nonconformity

A finding indicative of a weakness in the implemented and maintained system, which has not significantly impacted on the capability of the management system or put at risk the system deliverables, but needs to be addressed to assure the future capability of the system.

<b>Reference number</b>	3969118_COVAGW01	<b>Assessment Criteria (Clause)</b>	ISO 9001:2015 ( 5.2 )
<b>Grade</b>	Minor NC	<b>Issue Date</b>	04-November-2020
<b>Status</b>	New	<b>Process / Aspect</b>	Quality Policy
<b>Location(s)</b>	19 Warren Park Way ,Leicester,GB		
<b>Statement of Non Conformity</b>	Quality Policy documented but not fully in line with standard requirements		
<b>Requirement</b>	5.2 Policy 5.2.1 Establishing the quality policy Top management shall establish, implement and maintain a quality policy that: <b>a) is appropriate to the purpose and context of the organization and supports its strategic direction;</b> <b>c) includes a commitment to satisfy applicable requirements;</b> <b>d) includes a commitment to continual improvement of the quality management system.</b>		
<b>Evidence</b>	From a review of the client quality manual and Quality policy statement it was observed, that whilst the policy is documented, communicated and generally in line with requirements, the areas to be stated, which are currently missing/ clear should be included.  Risk; Not meeting standard requirements		
<b>Proposed correction, corrective action and timescales</b>	Client to review and amend the quality policy to ensure this is in line with standard requirements, within 3 months and prior to stage 2 assessment		
<b>Correction</b>			
<b>Root Cause analysis</b>			
<b>Corrective action</b>			
<b>LR has reviewed and verified the implementation of actions taken.</b>	<b>Date of closure</b>		

### 03. Assessment summary

#### Visit generic objective:

This was a Stage 1 visit, conducted against objectives previously notified to the client. The objectives of the next visit, including any applicable visit specific objective (theme / focus), are confirmed in the audit plan attached to this report.

#### Client attendees at the opening and closing meeting:

Opening and Closing meetings were conducted in line with LR procedures. In attendance were;

- Joe Whalen- Managing Director
- Liz Palmer- Quality Manager
- Louise Pinder-
- Andy Greenshields - LR

#### Visit specific objective:

Compliance - Stage 1

#### Introduction:

This report reflects the findings of the ISO9001:2015 Stage 1 assessment carried out remotely due to COVID-19 restrictions on the 4th November 2020 using LR approved Technologies and supported in the use of the CertSmart Portal.

Current business risks and market factors impacting on the business were discussed with the Senior Management.

Proposed Scope confirmed; 'Provision of professional consultancy to the infrastructure industry from project management, pre contract management, cost management including estimating and graphic design services'

Current head count; 10, working normal office, day time hours

The assessment was completed in line with the agreed plan generally, with a focus on areas identified with potential business risks as detailed within specific visit objective.

The outcome of the visit was presented at the closing meeting.

<b>Assessment of:</b>	Stage 1 : System Design	<b>Auditee(s):</b>	Joe Whalen- Managing Director, Liz Palmer- Quality Manager	<b>Assessor:</b>	Andrew Greenshields
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### Audit trails and sources of evidence:

Remote assessment carried out due to COVID 19 restrictions  
 Senior management interview/ business overview- Joe Whalen- Managing Director, Company headcount- 10  
 RPS 5 year strategy, mission statement and objectives, RPS capability statement 2020, RPS company contract and description  
 Scope; 'Provision of professional consultancy to the infrastructure industry from project management, pre contract management, cost management including estimating and graphic design services' Design excluded  
 RPS 2020 Organisation chart, Roles responsibilities, authorities- RPS - Log- 002  
 Quality manual- RPS QMS 001  
 SWOT/ PESTLE- RPS TEM 004, RPS TEM 003  
 Context& interested parties analysis- RPS TEM 001  
 Risk and opportunity, RPS TEM 005 risk and opportunity register v1  
 Quality policy RPS- 021 October 2020  
 RPS-TEM-006 Register of Quality Objectives and KPIs, RPS-TEM-007 Objectives Management Programme  
 Objectives and targets: Core Objectives; 100% Customer satisfaction, training, leader in field, root cause analysis and identification, responsible waste and energy approach. Register of objectives and KPI's document.  
 RPS QBR October Q3 2020  
 Management review minutes MRM 1020  
 Internal audit procedure RPS PRO 008, schedule, sampled audits- 1/11/2020 Audit  
 Non conformance/ corrective action management, RPS TEM 024 Corrective action Log, NCR/ defective services report (RPS TEM 015)  
 Sampled CAR's- CAR001- 005  
 Complaints- No formal complaints  
 Customer satisfaction procedure- RPS PRO 007, customer feedback form- RPS TEM 019, No feedback as yet  
 Document information- Master document and record index  
 Process review, with sequence and interaction provided- Appendix A.2  
 LR Logo- Discussed and not used.

### Evaluation and conclusions:

A remote stage 1 review of the clients management system was undertaken.

Organisational context was observed to being reviewed and documented through SWOT/ PESTLE analysis. The associated risks and opportunities were observed to being documented with mitigation planning in place where deemed applicable. **(OFI02)**. Interested parties and their requirements documented and in line with current business status. All reviewed regularly through QBR, Management review and ongoing team meetings.



Organisational Scope confirmed as; 'Provision of professional consultancy to the infrastructure industry from project management, pre contract management, cost management including estimating and graphic design services' . The was reviewed and observed to being in line with current business operations, with Design excluded.

Quality policy observed to being documented, communicated, although not fully in line with standard requirements **(MNC01)**. Objectives and targets noted to being set, communicated, reviewed formally at QBR and management review with associated programmes and responsibilities defined. **(OFI01)**

Company organogram reviewed and up to date, with associated responsibilities and authorities log in place and available.

Management review planned, carried out and reviewed through sampled minutes. A process for internal audit was observed, with 2020 schedule in place and sampled audits noted to being carried out. A process for Corrective actions and complaints was observed to being established, with Corrective actions managed effectively, with no specific trends observed. Customer satisfaction processes noted to being established, with client using feedback to help improve the business and exceed customer requirements.

A process for the control of documented information observed to being established, with master document and records index in place.

LR logo not used as yet, client to advice of use once stage 2 certification is recommended.

All records and documentation readily available at time of assessment.

#### Areas for attention:

Opportunity for improvement (OFI01); Client is encouraged to further develop the set objectives and targets to have further emphasis and definition towards the overall strategy.

Opportunity for improvement (OFI02); Client may wish to consider incorporating risks as identified in risk register into its overall objectives, where applicable.

Minor NC 3969118\_COVAGW01 (MNC01) In relation to Quality Policy- New



## 04. Next visit details

### Theme(s) for Next Visit

Stage 2- Standard compliance

<b>Standard(s) / Scheme(s)</b>	ISO 9001:2015	<b>Visit type</b>	Stage 2		
<b>Audit days</b>	1.00 DAY	<b>Due date</b>	December, 2020		
<b>Team</b>	TBC				
<b>Site</b>		<b>Audit days</b>	<b>Delivery Method</b>	<b>Remote Effort</b>	<b>Activity codes</b>
19 Warren Park Way ,Leicester,GB		1.0 DAY	Onsite	0 DAY	108401,109015,109001





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## 05. Appendix

## 1. Audit Programme/Plan

Both the audit plan and the programme are dynamic and must be in line with the client's developments. Any (last minute) changes are possible with valid reasons e.g. organisational changes, processes, management review results etc. Prior to the closing meeting the audit team should (re)confirm the programme and identify any changes, E.g. to the management system, extent, time or dates of the audit, competences...

Visit Type	Stage 1	Stage 2	SV1				Focus visit	Certificate Renewal
Due Date	Nov 20	TBC						
Start Date	4/11/20							
End Date	4/11/20							
Audit Days	1	1						
Separate assessment plan?	N	Y	Y/N				Y/N	Y/N
Any change in workforce numbers that may impact visit duration (if yes add new number)	10	Y/N	Y/N				Y/N	Y/N
Where identified above see separate current assessment plan for further detail.								
<b>Process / aspect / theme / location</b>								
<i>Final selection will be determined after review of management elements and actual performance</i>								
Opening meeting	✓	✓	✓				✓	✓
Closing meeting	✓	✓	✓				✓	✓
Changes to organizational context	✓	✓	✓				✓	✓
Management Review	✓	✓	✓				✓	✓
Internal Audits	✓	✓	✓				✓	✓
Continual Improvement	✓	✓	✓				✓	✓
Management of change	✓	✓	✓				✓	✓
Corrective action	✓	✓	✓				✓	✓
Complaint Management	✓	✓	✓				✓	✓
Use of Logo (LR & Accreditation Marks)	✓	✓	✓				✓	✓
Performance against the client management system objective (1)	✓	✓	✓				✓	✓
Sales		✓						
Procurement & Supplier Management		✓						
Project Management		✓						
Bid Management		✓						
Cost Management		✓						
Outsourced activities		✓						
Training/ HR		✓						
IT		✓						
Documented Information		✓						

1: Complete the list of organisation (parts), departments and/or processes of the different locations

### Scope

Any revised scope will be as agreed in formal correspondence between LR and the client or defined in section 4 of the previous LR visit report.

Scope	'Provision of professional consultancy to the infrastructure industry from project management, pre contract management, cost management including estimating and graphic design services'
Exclusion	design

Visit start time (approximate)	0900	Visit end time (approximate)	1600
The actual start and finish times for the visit will be agreed at the pre-visit contact with the assessor and recorded in the report introduction.			

### Additional information

#### Opportunities for improvement

If we identify opportunities to improve your already compliant system, we will either record them in the process table applicable to the area being assessed or in the Executive summary of the report if they can deliver improvement at a strategic level.

#### Confidentiality

We will treat the contents of this report, together with any notes made during the visit, in the strictest confidence and will not disclose them to any third party without written client consent, except as required by the accreditation authorities.

#### Sampling

The assessment process relies on taking a sample of the activities of the business. This is not statistically based but uses representative examples. Not all of the detailed nature of a business may be sampled so, if no issues are raised in a particular process, it does not necessarily mean that there are no issues, and if issues are raised, it does not necessarily mean that these are the only issues.

#### Legal entity

The accredited legal entity and client facing office that has provided the assessment service in this report is referenced in the applicable agreement for this service.

#### Generic audit objectives and team responsibilities

The generic audit objectives and team responsibilities are included in the Client Information Note 'Assessment Process'. Any visit specific objectives for the next visit will be recorded in the report of the previous visit and will be addressed through the visit plan for that visit. The assessment standard and roles of the audit team are defined in the assessment visit confirmation sent to the client.

#### Audit Criteria

The audit criteria consist of the assessment standard and the client's management system processes and documentation.

#### Additional observers

Any additional observers will be as formally communicated to the client.



## 2. Separate Assessment Plan

**Note:** if the visit involves more than one team member and is more than one day duration, an additional plan detailing the activities of each member of the team on each day will be required.

(Date Day 1)

Introductory meeting with management to explain the scope of the visit, assessment methodology, method of reporting and to discuss the company's organisation (approximately 30 minutes). The Team Leader will agree a time to meet with top management to discuss policy and objectives for the management system.

LR team briefing for a team of two or more assessors or (experts).

TBC (Team Leader)

<Name>

Discussion of all outstanding issues from previous visits.

- Senior management interview
- Management system
- Sales
- Purchasing and supplier management

1200

Lunch.

Lunch.

- Project management
- Bid management
- Cost management
- Training

Report writing.

Report writing.

Close.

Close.

(Date Day 2)

Review of findings from previous day. Review of the assessment plan for the day.

Lunch

Lunch

Report writing.

Report writing.

Close

Close

(Date Day 3)

Review of findings from previous day. Review of the assessment plan for the day.

Lunch

Lunch

Review of day's findings

Review of day's findings

Preparation of final report

Preparation of final report

Closing meeting with management to present a summary of findings and recommendations.

Note; Information on the objectives of the various visits can be found in the Client Information included in the report or on our website [www.lr.org](http://www.lr.org). Furthermore on the website there are Client Information Notes available for the various visit types. The audit criteria and team members date and locations are also stated on the front page of the report. Scope of certification and roles and responsibilities of the audit team members are expressed in the Audit Program Plan.

### 3. Report Considerations

<b>LR Report considerations</b>		
Have there been any deviation from the original assessment plan:	Yes/No	If yes detail these in the introduction section of the report along with the reasons for the deviations
Have there been any significant issues impacting on the audit programme:	Yes/No	If yes detail these in the introduction of the report and amend the APP
Have there been any significant changes that affect the management system of the client since the last audit took place:	Yes/No	If yes detail these within the executive summary section of the report
Have any unresolved issues been identified during the assessment:	Yes/No	If yes detail these within the executive summary section of the report
Was the audit undertaken a combined or integrated audit:	Yes/No	If yes confirm what type of audit and the standards covered in the introduction to the report.
Was the organisation effectively controlling the use of the certification documents and marks:	Yes/No	If no document within the reporting table covering the mandatory elements
If applicable has the organisation taken effective corrective action regarding previously identified nonconformities;	Yes/No	Record outcome in the findings log against the relevant findings.
Does the management system of the organisation continue to meet the applicable requirements and meet the expected outcomes:	Yes/No	If no details reasons within the executive summary of the report
Does the scope of certification continue to be appropriate to the activities/products/services of organisation:	Yes/No	If no then document the actions necessary in relation to the scope in the executive summary of the report and amend the APP as required.
Were the objectives of the visit as defined in the APP fulfilled during the visit:	Yes/No	If no detail the reasons and any necessary actions in the executive summary of the report and amend/update the APP