Integrated Management System

(Version 2 – March 19)
TABLE OF CONTENTS

1 Introduction
2 Plan-Do-Check & Act
3 Overview of Vitrine Systems Ltd

Section 1 – Management Commitment and Planning (PLAN)

4 Scope and Context
  4.1 Context Matrix
  4.2 Scope Statement
  4.3 Processes required by this IMS
5 Leadership
  5.1 Managing Director Deceleration
6 Planning
  6.1 Risks and Opportunities
  6.2 Change Management
  6.3 Quality Policy Statement
  6.4 Environmental Policy Statement
  6.5 Health & Safety Policy Statement
  6.6 Environmental Aspects and Impacts
  6.7 H&S Hazards
  6.8 Compliance Requirements
  6.9 Evaluation of Compliance
  6.10 Emergency Preparedness

Section 2 – Implementation and Operation (DO)

7 Support
  7.1 Resources
    7.1.1 Organisational Structure
    7.1.2 Roles and Responsibilities
    7.1.3 Management Representative
  7.2 Competence & Knowledge Capture
    7.2.1 Human Resources and Competence
  7.3 Awareness
7.4 Communication
7.5 Documentation
7.6 Purchasing & External Providers
7.7 H&S Consultation

8 Operations
8.1 Pre-Contract Best Practice
8.2 Post-Contract Best Practice

Section 3 – Performance Assessment and Improvement (CHECK & ACT)

9 Performance Evaluation
9.1 Key Performance Indicators
9.2 Internal Audit
9.3 Management Review
9.4 Monitoring Equipment
9.5 Complaints
9.6 Customer Satisfaction
9.7 Incident Investigation

10 Improvement
10.1 Non-Conformity
10.2 Objectives
1 INTRODUCTION

This document is the Integrated Management System Manual (IMS) of Vitrine Systems Ltd. It is the property of Vitrine and is a controlled document.

The purpose of the IMS is to provide an overview of Vitrine, the activities it carries out and the quality standards of operation it conforms to. It is not designed to act as a procedure manual, although it does carry information about where procedures information is located and the detailed information on Documentation Requirements for essential procedures e.g. document control, control of records, control of non-conforming product; internal audit and corrective/preventative action.

1.1 THE ISSUE STATUS

The issue status is indicated by the version number in the footer of this document. It identifies the issue status of this IMS Manual.

When any part of this IMS Manual is amended, a record is made in the Amendment Log shown below.

The IMS Manual can be fully revised and re-issued at the discretion of the Management Team.

Please note that this IMS Manual is only valid on day of printing.

<table>
<thead>
<tr>
<th>Issue</th>
<th>Issue Date</th>
<th>Additions/Alterations</th>
<th>Initials</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0</td>
<td>April 2018</td>
<td>Integrated Management System First Authorised Issue</td>
<td>AW</td>
</tr>
<tr>
<td>2.0</td>
<td>21st March 2019</td>
<td>Updates and the removal of Form and Procedure Register from IMS.</td>
<td>AW</td>
</tr>
</tbody>
</table>
2 PLAN-DO-CHECK & ACT


3 OVERVIEW OF VITRINE SYSTEMS LTD

Vitrine is a specialist contractor within the building and construction market, designing, fabricating and installing and maintaining building products. We are based in Camberley, Surrey.

Vitrine was founded in 2001 and was formally named Portal Roofing Ltd. We undertook a name change in 2008 to Vitrine Systems Ltd. The Company has rapidly grown due to its technical superiority and quality of solutions and its professional approach to every task we undertake for your clients.

The Company is led by Paul Williams who has 41 years’ experience in the construction market with 30 years specifically in the glazing sector working for one of the UK market leaders in specialised bespoke glazing solutions.

The philosophy of the company is that it is the team that counts. Everyone in Vitrine works towards a single goal – to be the best.

The “Team philosophy” extends to all sectors of the business; we want to partner with all our Clients and Suppliers to ensure we are all working as a team focused on the end product.

We provide a high quality service tailored to customers’ needs, and we believe that one of our main strengths is our flexible approach to customers’ requirements and our commitment to building long-term relationships.

For more information about Vitrine please visit www.vitrinesystems.co.uk
Section 1 – Management Commitment and Planning (PLAN)

4 SCOPE AND CONTEXT

4.1 Context

Our business Context is defined in our Context Matrix

4.2 Scope Statement

Vitrine Systems is a Specialist Glazing Company.

We have developed and implemented an IMS in order fulfil the business’s strategic plans, to document the company’s best business practices, fulfil the requirements and expectations of our customers and to continually improve the overall management of the company.

This IMS comprises all the activities at our office in Camberley and all our activities on our Customer’s sites. It also deals with the internal and external issues identified on our context matrix and the needs and expectations of interested parties also identified.

Our products and services are as follows:

We specialise in design and build, maintenance, refurbishment, and repairs to architectural glazed structures, which include:

- Planar glazing
- Atrium glazing
- Entrances
- Glazed balustrades
- Curtain walling
- Rain screens
- Solar shading

We work in all sectors of the construction market, UK wide, including:

- Residential
- Retail
- Commercial
- Sports
- Government


4.3 Processes Required by this IMS

Our consideration of Context and the requirements of the Standards have generated this IMS and its processes.
5 LEADERSHIP

5.1 Declaration of the Directors

The Directors and management of VITRINE SYSTEMS are committed to the development, implementation, sustainability and continuous improvement of this Integrated Management System (IMS) and our Leadership will be demonstrated by

Defining the Context of our business;
- Communicating across the company the importance of meeting customer expectations and all statutory and regulatory requirements;
- Establishing and approving the Quality, HS, and Environmental policy statements and ensuring they are consistent with our strategic direction;
- Ensuring that Quality, HS, and Environmental objectives are established and monitored;
- Ensuring that properly conceived processes are established for all key business activities so that our IMS is the means by which customer focus is maintained and our strategic plans are realised;
- Ensuring that consideration of risk and opportunity throughout the IMS;
- Ensuring the availability of appropriate resources to fully implement, monitor and improve the IMS;
- Taking accountability for the effectiveness of the quality management system and its conformance to international Standards.

Our IMS will be officially relaunched on Monday April 23rd and communicated by Anthony Williams.

Further developments will be advised by:
1. Email updates
2. Notice board advice in the office and on sites where possible
3. Communicating the results of Internal Audits and Management Reviews
6 PLANNING

6.1 Risks and Opportunities

Actions to address risks and opportunities are incorporated into our core (section 8) and general procedures.

6.2 Change Management

This IMS represents our defined Best Practice and as it evolves, changes will be controlled. We will consider:
Why the change has been proposed or is deemed necessary
The implications of the change in specific (individual process) and general (IMS) terms including issues of responsibility, conformity and resource
Recording the change and evaluating its effectiveness

6.3 Quality Policy Statement

It is the policy of Vitrine System Ltd to provide its customers with a high quality service that exceeds their expectations and thereby ensures high levels of customer satisfaction.
To supply our customers with the products and services they require we have developed a Quality Management System that satisfies the requirements of ISO 9001:2015. Please also be aware that in addition to ISO 9001 the Quality Management forms part of our Integrated Management System which conforms to ISO 14001 (Environmental Management) and ISO 450001:2018 (Health & Safety).

This has involved defining our business context and ensuring that our management system is aligned to and integral to our strategic business direction.

We are committed to the involvement of all our staff in implementing and continually improving the effectiveness of this system and will provide the personnel and resources to ensure that the importance of meeting and exceeding customer requirements is communicated and understood throughout our organisation.

Furthermore, we will establish monitor and review quality objectives on a regular basis in order to foster continual improvement in all our activities. This policy will be reviewed for continuing suitability and effectiveness at Management Reviews and as required and appropriate.

This policy will be available to any interested parties and is published on our website.

Paul Williams
Managing Director
OUR QUALITY OBJECTIVES
We aim to provide a professional and ethical service to our clients. In order to demonstrate our intentions, we have identified the following Quality Objectives:

- To maintain an effective Quality Management System complying with ISO9001:2015.
- To achieve and maintain a level of quality which enhances the Company’s reputation with clients.
- To progressively grow our business while maintaining our focus on the quality of our services.
- All works shall be carried out in accordance with the relevant specifications, standards of Health and Safety legislation.
- All employees will be trained to be aware of, understand and be capable of implementing the Quality System.
- The MD will ensure that adequate resources are available to enable the Quality System to function and operated to the BS EN ISO 9001:2015 Standard.
- The requirements of the Client will be determined, reviewed and monitored from tender stage to final completion of the project.
- Every effort will be made to achieving the company objectives and any changes to the system will be communicated to all personnel.
- We will analyse customer feedback data, internal performance data, financial performance data and business performance data to ensure that our Quality Objectives are being met.

6.4 Environmental Policy Statement
See separate Document

6.5 Health & Safety Policy Statement
See separate Document

6.6 Environmental Aspects and Impacts

Environmental Aspects and Impacts Register

Our Environmental Aspects and Impacts have been identified and an Aspects and Impacts Register compiled using the following methodology:

- Examine COSHH and risk assessments to identify hazards and hazardous substances used on behalf of the company.
- Examine invoices from suppliers and sub-contractors to identify hazardous substances purchased.
- Consider environmental impacts during site visits and inspections and record findings
- Monitor materials and resource usage on site and at our office in (CAMBERLEY)
- Discuss environmental impacts in training with all company managers, workers and suppliers.
- Examine emergency plans if any
• Discuss potential impacts in the Team Meetings.
• Draw up a list of all environmental impacts as identified.
• Cross reference the highlighted environmental impacts against the register of legislation to identify requirements
• Prioritize the impacts - assessment is based on company operations, quantities and locations – highlighting significant Aspects if required
• Should it be appropriate we will identify instances in relation to significant aspects where an Emergency Response Plan might be required.

VITRINE SYSTEMS have decided not to communicate externally about its significant environmental aspects.

6.7 H&S Hazards

Our Health & Safety hazards and risks have been assessed and a Risk Register compiled.

**Risk Register**

**Risk Assessment Methodology**
There are eight steps used by the Company to carry out a risk assessment;

1. Identify the hazards
2. Identify those at risk
3. Identify existing control measures
4. Evaluate the risk
5. Decide/Implement control measures
6. Record assessment
7. Monitor and review
8. Inform

Hazard identification and risk assessment shall take into account:

1. Routine and non-routine activities;
2. Activities of all employees, contractors and visitors;
3. Human behaviour, capabilities and other human factors;
4. Identified hazards originating outside the workplace capable of adversely affecting the health and safety of persons under the control of the organization within the workplace;
5. Hazards created in the vicinity of the workplace by work-related activities under the control of the organization;
6. Infrastructure, equipment and materials at the workplace, whether provided by the organization or others;
7. Changes or proposed changes in the organization, in its IMS, its activities, or materials;
8. Modifications to the OH&S management system, including temporary changes and their impacts on operations, processes, and activities;
9. Any applicable legal obligations relating to risk assessment and implementation of necessary controls;
10. The design of work areas, processes, installations, machinery/equipment, operating procedures and work organisation.

6.8 Compliance Requirements

Legal Requirements
We have identified the legal framework within which we operate, and our processes are designed to conform to requirements. Our legal framework is summarised on our Compliance Register which also includes non-legal compliance regulations.

Compliance Register
These registers are kept up to date by Anthony Williams using subscriptions to HSE Alerts and Business Link (formerly Environment Agency) Alerts.

The information within these registers is communicated by email referring to updates and registers are kept electronically in a central location.

VITRINE SYSTEMS has/have retained independent Health and Safety advisors 4See Risk Management in accordance with section 7 of the Management of Health and Safety at Work Regulations 1999 as both a professional and independent source of H&S advice and expertise and also as a source of legislative updates.

Site Safety Audits are also conducted by Directors and Supervisors.

6.9 Evaluation of Compliance

We shall evaluate compliance with the identified legal and non-legal framework at specially convened Compliance Meetings during which we will review our Compliance Register item by item and ask ourselves, “do we do what we say we do?” and minute responses.

Records of Compliance Meetings will be reviewed at Management Reviews and this shall be the responsibility of Anthony Williams Records are maintained by Anthony Williams and are retrievable from electronic files.

6.10 Emergency Preparedness

Emergency arrangements at our office in CAMBERLEY are as follows:

Emergency Response plan/ Fire Procedure
...

First Aid
...

IT Back Up
...
Section 2 – Implementation and Operation (DO)

7 SUPPORT

7.1 Resources

Infrastructure
All of our administration is conducted at our Head Office. This includes:

- Client Quotations
- Orders to Suppliers
- Invoicing
- Site Health & Safety Documentation
- Server – externally managed, a Service Level agreement is in place
- Website – externally managed, our provider charges us according to our requirements.
- 2 Truck – a vehicle safety check list is completed weekly
- 5 company vans – a vehicle safety check list is completed weekly
- 3 Cars – a vehicle safety check list is completed weekly

7.1.1 Organisational structure (see appendix)

7.1.2 Roles and Responsibilities (see appendix)

7.1.3 Management Representative
The person having responsibility for this IMS is Anthony Williams who has additional responsibility and authority that includes:

1. Ensuring that processes needed for the IMS are established, implemented and maintained
2. Reporting to Top Management on the performance of the IMS for review and any need for improvement/recommendations for improvement
3. Ensuring that reports on the performance of the IMS are presented to TM for review and used as a basis for improvement
4. Ensuring the promotion of awareness of customer requirements throughout the organization
7.2 Competence & Knowledge Capture

7.2.1 Human Resources and Competence

Employees hold a contract of employment, which is signed and dated. Any Employment Law issues are backed up by our Legal Services Insurance policy, where upon we are able to seek advice, when necessary.

Inductions are held upon recruitment and are signed in recognition of completion.

All employees have the training and skills needed to meet their job requirements. Training is identified during the annual staff appraisal. The appraisal monitors the quality performance of all employees and incorporates training that has been achieved and identifies any training needs. All training accomplished is noted on a training register and future training, which has been identified during appraisal, is scheduled and noted also on the training register. The training register is kept in the personnel files.

All sub-contractors are pre-qualified prior to using their services and certified training is verified with the awarding body. Copies of certificates are kept on file.

Training will consider the knowledge required by the business’s various roles.
Top management ensures that all staff, who are assigned responsibilities affecting product conformity, are adequately trained, experienced and qualified to effectively carry out their production and/or administration duties and to achieve their quality, HS and environmental objectives.

Performance is evaluated to ensure that necessary competences have been achieved and appropriate training records are maintained.

Background

1. All members of staff are to be encouraged to fully develop their skills and maintain individual expertise
2. Individual training needs are to be identified against competencies defined as required to fulfil responsibilities satisfactorily
3. Future training is to be planned, and the outcome of past training monitored
4. All new members of staff joining the company are to receive induction training, which shall be recorded in their training records
5. Members of staff are to receive training in respect of their level of competence and responsibility, which shall be recorded.
6. Staff Appraisals are to be conducted at least once a year or in the event of a change in job role or adverse performance of an individual
7. Planned and completed training of employees is recorded on the Training Register
8. In the event of new training courses being under taken by any employee, training feedback will be sought
9. Any member of staff wishing to apply for additional training is first encouraged to discuss perceived requirements with their line manager
10. Upon satisfactory completion of training and demonstration of competence, employees shall be deemed competent and be responsible for meeting the quality expectation of the Company.

Employee training will include training in relation to this IMS including:

- Process Interaction
- Aspects and Impacts
- OHAS Risks
- Combined Legal Registers
- Operational Processes
- Customer Satisfaction
- Continual Improvement
- The importance of conformity with policy and procedures
- The requirements of the IMS and the benefits of improved personal performance
- The consequences, actual or potential, of work activities
- Roles and responsibilities in achieving conformity with the requirements of the IMS
- The potential consequences of departure from specified procedures

Training will account for differing levels of:

- Responsibility
- Ability
- Language
- Skills
- Literacy; and
- Risk.

7.3 Awareness

When external personnel (suppliers and/or subcontractors) work for the business, we will ensure they are aware of our Policies, procedures and objectives and where they fit within the IMS and where they are expected to contribute.

7.4 Communication

In addition to communication procedures described elsewhere the Company also controls external communications in relation to contractual issues, Health and Safety matters (including communications from Customers and the HSE for example); Environmental matters (including for example communications from Local authorities). All such communications are received and passed directly to The Directors for review.

Any matters impinging on the following Company documents will necessitate a review of the same:

- Aspects and Impacts Register;
- OHAS Risk Register
- Combined Legal Register
In his/her additional role as Management Representative will amend the documents as necessary and communicate the changes to the Company’s staff.

7.5 Documentation

Control of Documents and Records
Purpose – that all documents are prepared in a standard format and are controlled in a traceable manner.

IMS Documents are identified as follows;
- Title of document at “Footer” middle
- Date of issue in “Footer” middle
- Document status in “Footer” middle

All IMS documents will be;
- Approved and reapproved for adequacy, prior to issue by the Management Representative
- Correctly and safely stored electronically for use
- Available in current versions for relevant parties

Any new or updated versions of paper documents will be controlled/generated by the Management Representative and agreed in principle with the Directors. As part of our commitment to continual improvement, new documents can be introduced at any time, and existing documents may be amended, subject to the following:

- Approval for adequacy by the Management Representative prior to issue;
- Identification updated as necessary;
- New or amended forms will be made available at point of use by the Management Representative;
- The Management Representative will prevent the unintended use of obsolete documents. They will be removed from the Manual and retained in a file where they will be clearly identified as obsolete.

We keep electronic and hard copy files for all orders, which include all related documents.

An enquiry number is allocated at the enquiry/Tender stage. A register (Enquiry/Tender Register) is maintained and includes the client details and the Enquiry number allocated. The Register enables us to view the status & progress of all enquiries.

When the enquiry is converted into an order an order number is allocated to the project. The order number is shown on all relating documents through to invoice. The Job number identifies files. Project names can be cross referenced against the Register back to the enquiry register.

Standard Terms & Conditions are version controlled.

We have procedures in place and forms relative to each required procedure. A Register of procedures and forms is saved in XXX. All procedures and forms are version controlled.
All drawings are version controlled and information sent to/from our clients relating to drawings are traceable via the design Portal (i.e. 4 Projects). This shows information such as when the information was passed between the client and Vitrine.

Our IT is backed up daily and is stored in a fire proof safe.

**Archiving of Paper Documents & Control of Records**

- It is the responsibility of each member of staff to ensure paper documents are stored in the correct file and index section
- All records pertaining to VITRINE SYSTEMS operations, particularly the company’s projects, are to be identified and retained within the project files
- Records to be retained will be identified on our Records Retention Schedule and the Management Representative may also identify certain records which are to be duplicated and categorized for ease of retrieval
- To ensure records remain legible and identifiable, electronic records may also be retained
- Any paper files removed from a file/cabinet will be returned at the end of each working day in the lockable cabinets located in the Office
- Any paper documents that need destroying must be shredded

*Records Retention Schedule*
7.6 Purchasing & External Providers

The organisation controls its purchasing function to ensure that the purchased products or services conform to requirements.

Vitrine does not hold stock and purchases include product, sub-contractors & consultancy, i.e. designers/engineers.

The following purchasing procedure applies.

- Adequacy of information on products, services, procedures, processes and equipment
- Qualifications of personnel providing service functions
- Any other requirement, which will impact on the organisation’s IMS requirements.
The organisation verifies its purchased products and services on delivery/receipt and where verification takes place at the supplier’s premises, details of the required arrangements and the method of release are specified. All suppliers and subcontractors of products or services are reviewed to ensure that they can meet the organisation’s requirements. This review will include (as appropriate):

- Past history and performance.
- Evaluation of a trial order, samples or activity.
- Evidence of registration by a recognised authority.
- Comparative test results with the same or similar products.
- Recommendation or references from other users.
- 100% product verification of all services/products supplied.
- Financial viability.

The record of approved suppliers and subcontractors will take the form of an Approved Supplier & Subcontractor List.

Supplier approval must be reviewed at least once per year. This will be based on their performance when meeting orders placed with them over the previous year. The results of the review will be addressed at the Management Review.

Any problems must be investigated and where they cannot be resolved the Supplier will no longer be used.

Purchase orders must clearly define the product or service required. They will address:

- Product or service required.
- Any relevant standards or regulations that is applicable.
- Delivery requirements.
- Any documentation to be supplied. E.g. Certificates of Conformity etc.

**Verification/Inspection**

All goods and services must be checked against the purchase requirement and where appropriate the delivery note.

Any discrepancies will be resolved with the supplier. Any discrepancies must be recorded as part of the supplier assessment process.

Comparing the invoice against the purchase requirement: check the price, quantity and specification of the purchase order and goods delivered.

Where verification is to be carried out at the supplier’s premises, this will be arranged at the time of placing the order. This will not absolve the supplier of their responsibility to provide an acceptable product.

**7.7 H&S Consultation**

As part of H&S set-up for each contract all personnel involved on the project will be invited to participate in, comment on and assist in the development of the contract's H&S arrangements.
8 OPERATIONS

Vitrine is responsible for both the planning and delivery of its services. We work closely with our clients to specify their requirements and have a comprehensive product realisation process on which all of our client related procedures are based.

The process shown overleaf describes our business process and their integrated quality control measures.

8.1 Pre-Contract Best Practice

...

8.2 Post-Contract Best Practice

...
INTEGRATED MANAGEMENT SYSTEM

Enquiry/Tender application Received

Enter the information onto the Enquiry/Tender Register & allocate a Job number

A file is created immediately

Conduct a site visit (If required)

Create Draft drawings (If required) and liaise with clients to seek approval

Obtain Quotes from Suppliers/Subcontractors/Plant Hire, as required

Complete Quote/Tender and issue to Client

Quote/Tender Accepted?

YES

Terms & Conditions are included. If the project is Design & Build, the clients Terms & Conditions will be used

File in declined Tenders file

NO

Signed confirmation of acceptance received

PO sent to supplier(s), Sub-contractor(s), plant hire – as required

Follow Procurement procedure.

Drawing Required?

YES

Arrange a further meeting with the client to progress on from the draft design. (drawings are version controlled by revision number)

These are signed off by the Project Manager & Individual subcontracted Installers

NO

Create Method Statement & Risk Assessments (If not already done as part of the Tender process)

Action the Job

Review progress, quality & duration within Project Review meetings

Complete Handover check list (Signed by client)

Handover checklist is sent to the office to prompt for final Invoice to be sent. (See process)

If drawings are to be subcontracted, then follow the procurement procedure.

Obtain final approval sign off, by the client in hard copy. (Drawing is returned, signed and stamped as approved.)

Installation check list & Material Check list is signed off

Plant mobilised – Enter details of Plant used onto Register

Issue Health & Safety forms to the Site Manager

Tool Box talk conducted
Section 3 – Performance Assessment and Improvement (CHECK & ACT)

9 PERFORMANCE EVALUATION

9.1 Key Performance Indicators

KPI’s are currently being considered by the Directors in relation to:

- Customer satisfaction
- Cost Analysis
- Supplier performance
- Tender Conversion
- Accident Statistics
- Environmental Monitoring (power, heating, paper, waste etc.)
- Safety Audits
- PAT Testing

9.2 Internal Audit

Internal audits of this IMS will be conducted monthly. Further audits may be conducted after major changes to this IMS or after the discovery of significant nonconformity.

The purpose of Internal Audit is to determine;

- Conformance to planned arrangements
- Conformance to the requirements of the International Standards
- Conformance to IMS requirements, and
- Effective implementation and maintenance of the IMS
- Information for Management Reviews

All sections of the IMS will be audited and the Audit Schedule will be confirmed at Management Reviews.

Checklists will be used for internal audits, which can be added to by the auditor to prompt the auditor’s requests for objective evidence. Auditors shall not audit their own work.

Auditors will take responsibility for planning and conducting the audit of the chosen area, for recording results, for requesting corrective action upon discovery of nonconformity, and reporting results to the Management Representative. Audit records will be reviewed at Management Reviews.

In the event of nonconformity, the auditor will:

- Agree a timescale for corrective action, with the management of the relevant area,
- Follow-up at an agreed time
- Verify corrective actions taken
- Report verification results
• Issue completed record to the Management Representative who will retain for Management Reviews.

Internal audits are carried out regularly as part of our operational processes. We audit our business processes and the findings of these audits are reviewed for improvement opportunities.

The audit process is as follows:-

Feedback on each audit is reviewed with our ISO 9001:2015 accrediting body, the British Assessment Bureau, as part of our annual audits.
Example Audit Report (Form Ref: VS-GEN-018)

<table>
<thead>
<tr>
<th>Date:</th>
<th></th>
<th>No.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Audit:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Business Area/Procedure to be audited:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Auditor:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Documentation Reference:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Department Personnel:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Part A: Specific areas to be Audited:**


**Part B: Non-Conformance:**


**Part C: Corrective/Preventive Action/s taken:**


**Part D: Observations/Opportunities for Improvement:**


**Part E: Root Cause Analysis:**


Date To be completed by:   /   /  

Corrective Action Verified as Effective: Yes ❑ No ❑  

Date Corrective/Preventive Action Verified as Effective:   /   /  

Internal Auditor Signature:  

Authorisation Signature (Department/Business Area Manager):  


9.3 Management Review

Purpose

- Evaluate and review the continuing suitability, adequacy and effectiveness of the IMS;
- Assess opportunities for improvement to our Quality, Environmental and Health & Safety performance,
- Review Quality, Environmental and Health & Safety Policies;
- Assess objectives and targets.

A record of Management Reviews will be maintained, and these shall be completed on a Quarterly basis and recorded for any future reference in a structured manner.

It is an expectation that all Directors shall attend the meeting and an agreed time and place set without interruptions.

Reviews shall include information on:

- Context
- Needs and Expectations of interested parties
- Risks & Opportunities and necessary actions
- Results of audits and evaluations of compliance with legal and other requirements
- Results of participation and consultation
- Customer feedback
- Communication(s) from external interested parties, including complaints
- Process performance and product conformity
- Environmental performance of the organisation
- Status of preventative and corrective actions
- Extent to which objectives have been met and setting new objectives
- Follow-up actions from previous Management Reviews
- Status of incident/accident investigations
- Corrective actions and preventative actions
- Changes that could affect the IMS
- Changing circumstances and developments in legal and other requirements related to its environmental aspects
- Changing circumstances and developments in legal and other requirements related to OH&S
- Recommendations for improvement

Findings from Reviews shall include decisions and actions taken relating to:

- Improvement and the effectiveness of the Integrated Management System and processes
- Decisions and actions relating to possible changes to policy statements, objectives, targets and other elements of the quality/HAS/environmental management system
9.4 Monitoring Equipment

Most plant is hired in and checked for calibration and maintenance. Owned items are inspected, maintained and calibrated in accordance with manufacturer’s instructions and PAT tested.

9.5 Complaints

As part of our ongoing commitment to customer service, we have a policy of dealing with all complaints to the satisfaction of our clients.

Our complaints procedure is as follows:-

```
Complaints Handling

Record Complaint

Notify complainant of proposed action

Accepted?

YES

Take Action

Record Action Taken

End of complaint

NO

Revise Proposed Action

Record in complaints Register

Update complaints Register
```
9.6 Customer Satisfaction

We believe that continuous improvement and customer satisfaction is an effective way of measuring the performance of Vitrine.

The feedback we receive from our customers helps us to identify any corrective action(s) that may be required to ensure that our customers are satisfied with the service levels that they are receiving.

We use the continuous improvement model shown below and incorporate client feedback and performance review information (via internal audit reports).
9.7 Incident Investigation

Incidents and accidents will be investigated and analysed promptly in order to:

1. Determine any underlying OH&S deficiencies and other factors that could be causing or contributing to the occurrence of incidents and accidents;
2. Identify the need for corrective action;
3. Identify opportunities for preventive action;
4. Identify opportunities for continual improvement;
5. Communicate the results of such investigations.

Records of investigations will be made on

- H&S Accident/Incident Investigation report Form or
- Environmental Incident Investigation Report Form which will include close-out by the MD.
Records will be maintained, and findings communicated.

Health and Safety Accident/Incident Investigation Form
Environmental Incident Investigation Form

10 IMPROVEMENT

10.1 Non-Conformity

The purpose of this procedure is to ensure that any IMS non-conformance is managed in line with corrective actions.

Definitions
Corrective Action: the action taken to eliminate the cause of non-conformance that has occurred and prevent recurrence.
Preventative Action: the action taken to eliminate the cause of a potential non-conformance and prevent the non-conformance from occurring.

Responsibilities
It is the responsibility of all employees to identify the necessity for corrective action(s). All employees are responsible to carry out their work according to the processes and procedures that they are trained to use.

Should our clients wish to change the drawing(s) or project specification after approval and agreement, which would impact on the cost & programme of work, then we have a procedure for notification of variations to which we follow accordingly.

We conduct site safety check lists weekly, records of these are maintained.

Should an issue occur during a project, a Non-conformance note would be raised (Form number: VS/GEN/001). The Managing Director reviews the Non-conformance note, action is noted, and the
note is circulated to show those concerned the corrective action that needs to be followed. Corrective action is followed up to ensure that the action was effective and ultimately signed off as satisfied.

Defective products discovered on site are placed in a designated area to await collection/disposal. All ‘Plant’ & hire equipment is delivered to us with the relative Certification of safety conformity.

Should we undertake engineering work, we seek independent authorisation to assure conformity/safety.

**Corrective/Preventative Action**
Corrective and preventative actions shall be recorded.

**Corrective Action Procedure**
The process for closing-out nonconformity is as follows:

- Investigate and determine the cause of the non-conformity in conjunction with the Management Representative and other personnel as appropriate
- Determine appropriate corrective action to prevent recurrence
- Agreement of timescale for corrective action, with the management of the relevant area,
- Follow-up at an agreed time
- Evaluate and verify the corrective actions taken
- If the corrective action has been evaluated as effective then the non-conformity can be closed out
- If the corrective action has been evaluated as not effective then further corrective action needs to be determined and implemented and the process repeated
- Report verification results
- Issue completed record to the Management Representative who will retain.

**Preventive Action Procedure**
The process for preventing nonconformity is as follows:

- It is the responsibility of managers to assess potential non-conformity and cause within their area of responsibility, for example tender assessment, Contract Handover, site set-up etc.
- Investigating and determining the cause of potential non-conformity can be done in conjunction with the Management Representative and other personnel as appropriate
- Determine and implement appropriate preventive action to prevent occurrence
- Agreement of timescale for preventive action, with the management of the relevant area,
- Follow-up at an agreed time
- Evaluate and verify the preventive actions taken at an appropriate time
- If the preventive action has been evaluated as effective then the action can be incorporated into procedures
- If the preventive action has been evaluated as not effective and non-conformity has occurred then the corrective action procedure is invoked, and further preventive action needs to be determined and implemented and the process repeated
- Report verification results
- Issue completed record to the Management Representative who will retain.
Non-Conforming Product

Purpose
The procedure describes the process used to ensure that the product that does not conform to product requirements is identified and controlled to prevent its unintended use or delivery.

Non-conformance in regards to this procedure includes:
- Items rejected at goods receipt
- Products rejected by customers – generic examples only, for you to determine

Responsibilities
Should the above non-conformances occur the Project Manager Director is responsible for:
- Ensuring that all products are checked to ensure that they meet both company and customer requirements
- Ensuring that when a product is *identified as non-conforming* it is immediately identified and quarantined to prevent its further use or issue until a decision is made as to:
  - Remove and destroy
  - Rework to correct
  - Use as is
- Documenting the disposition of any non-conforming material
- Contacting customers for concession if a non-conforming product is to be used
- If a non-conforming product is detected after delivery or use, the Managing Director will contact the customer and take appropriate remedial action and initiate a report.

10.2 Objectives

Objectives and Programme
Following the Stage 1 Audit, Internal Audit, and Management Review, Objectives and Programme will be established.
APPENDIX 1 – ORGANISATION CHART (FORM REF.VS-GEN-012)