



**UVDB Verify**

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**Category D Audit Report**

(Management System Evaluation)

**Supplier Name:** ACRASTYLE LIMITED

**Audit Date:** 07.07.21 & 08.07.21

**Auditor:** Neil Coventry

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## EXECUTIVE SUMMARY

Supplier ID:	00021848	Supplier Name:	ACRASTYLE LIMITED
Auditor(s):	Neil Coventry	Address:	North Lonsdale Road, Ulverston, LA12 9EB, United Kingdom
		Tel/Fax:	1229484558
Audit Date(s):	07.07.21 & 08.07.21	Contact Name:	Barry Simpson
		Job Title:	Operations Director

### Introduction:

Acrastyle Limited are based in Ulverston Cumbria and employed 57 people at the time of the audit. The company are an engineering manufacturing company which designs, manufactures and functionally tests high voltage substation protection and control equipment, providing goods and services to all of the UK's major utilities providers including all of the UK electrical Generation, Transmission and Distribution Network Operators. Acrastyle Limited manufacture protection and control solutions to Customers worldwide in the Power, Energy, Industrial, Transport and Renewables sectors. The company held accreditation to ISO 9001, 45001 & 14000 standards at the time of the audit. The scope of their certifications was: The design, production and testing of control, relay distribution cubicles, battery equipment, neutral earthing resistors, metering cubicles and switch gear products.

During the audit the company received 2 x Minor Non-Compliances, 1 x Observation. As detailed and in the attached report.

AMALGAMATED SCORES	MSE Percentage Score
Health & Safety	100%
Environment	100%
Quality	100%
CSR	100%

Average Amalgamated Scores	100%
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Section Number	Section	MSE Percentage Score
1	System Assurance and Compliance, Quality Assurance	100%
	System Assurance and Compliance, Health & Safety	100%
	System Assurance and Compliance, Environmental Management	100%
2	Quality	100%
3	Design	100%
4	Workplace Safety	100%
5	Occupational Health & Medical Arrangements	100%
6	Corporate Risk Management	100%
7	Emergency Planning (Includes Fire Safety)	100%
8	Site Security	100%
9	Environmental Management	100%
10	Carbon Management	100%
11	Selection and Management of the Supply Chain	100%
12	Sourcing of goods and products	100%
13	Goods Inward / Storage	100%
14	Use of Work Equipment, Vehicles and Machines	100%
15	Human Resources	100%
16	Business Integrity and Ethics	100%
17	Training and Capability/Competence Assessment	100%

Critical Non-Compliances	
Question Number	Finding
	None

Major Non-Compliances	
Question Number	Finding
	None

Question Number	Finding
	None

Observations	
Question Number	Finding
	None

PQQ Discrepancies	
Question Number	Finding
	None

Positive Elements	
Question Number	Finding
	None

**1.0 System Assurance**

**MSE**

**1.1 Can the company demonstrate that their Quality Management Systems are assured?**

3
3
3

Can the company demonstrate that their Health & Safety Management Systems are assured?

Can the company demonstrate that their Environmental Management Systems are assured?

The Auditor shall establish:

Does the company have any formal 3rd party certification for their management systems as awarded by an independent accreditation body for quality, health and safety, environment or social responsibility?
Does the company's accreditation apply to more than one country if the company has international operations? (if yes please detail countries)
Is the accrediting body registered with the UKAS or other international equivalent?
Where 3rd part accreditation has not been sought can the company demonstrate that its Health, Safety, Environment & Quality Management systems are based on a recognised Standard?

Y
N
Y
NA

**Question Evidence:**

Acrastyle Ltd were certified to ISO 9001, ISO 14001, and ISO 45001; these were issued by a UKAS accredited organisation. The scope of their certifications was: The design, production and testing of control ,relay distribution cubicles, battery equipment, neutral earthing resistors, metering cubicles and switch gear products.
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**Documents Presented**

ISO 14001:2015 with NQA certificate number 4175 expires 08.10.2023
ISO 45001:2018 with NQA certificate number 62933 expires 08.10.23
ISO 9001:2015 with NQA certificate number 11 expires 08.10.23

Section Score

9
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**2.0 Quality**

**2.1 What processes are in place to assure the Organisation and its clients that the product is meeting:  
a) Specification  
b) Client's Requirements and Expectations?**

3
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The Auditor shall establish:

Are there documented processes for specifying product (both standard or bespoke including input and output requirements)?	Y
Has the company specified that products supplied are in line with recognised standards (national/ international/product)?	Y
Has the company documented work instructions, process maps and documentation to achieve the specified requirements? ( e.g. On-going metrics & control charts, Standard Operating Procedures, Process Control Plans)	Y
Is there a process for clarifying, verifying and validating the client's expectations?	Y
Are design quality performance indicators established according to client requirements?	Y
Is there a documented regime for test and inspection including any client testing specifications?	Y
Are there processes for ensuring capacity planning, including ensuring competent persons are available to meet delivery deadlines?	Y
Has the organisation measured and evaluated the quality of its products during pilot test trials?	Y
Are there recorded acceptance criteria available for each product to ensure conformance to the finished specification?	Y
Is there a Warranty mechanism is in place within the product range of the Organisation?	Y
Are two-way communications established at appropriate levels in both organisations to facilitate the rapid solution of problems, and to avoid costly delays or disputes?	Y

**Question Evidence:**

The company had a detailed quality assurance procedure to ensure that the products manufactured meet both company and client expectations working to Energy Networks Association technical specifications, 50-18 issue 4 2013 application of ancillary electrical equipment standards. The company additionally have their own quality document-build standard procedure in place.
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**Documents Presented**

Overview of internal database provided by the SHEQ manager.
Quality manual issue 08 dated September 2020
Energy Networks Association technical specifications 50-18 issue 4 2013 application of ancillary electrical equipment document
Acrastyle Standard Design & Production specification Rev-1 July 2015

2.2 How does the Organisation control non-conforming products and associated services, including complaints?

3

The Auditor shall establish:

Has the Organisation identified activities that will require verification and validation of specifications including product, process, materials, testing and qualification tests including user and consumer information?	Y
Has the Organisation developed a process to undertake a product recall, should it be found to be defective? If yes, has the effectiveness of the process been reviewed?	Y
Does the company have a process that demonstrates that any corrective actions raised through any audit process are reviewed by management and the company has a formal process which includes the review and close out of corrective actions?	Y
Are verification and validation processes used for high value and safety critical products?	Y
Does the organisation analyse their processes including cycle time and dependability? (Defined data analysis methods such as "SPC, Process, Histogram, Pareto Analysis, Sampling, Visual QC, FMEA, Data Collection Plan, etc.")	Y
Is there a process for investigating the root causes of product or service non-compliance?	Y
Has the organisation developed a process to undertake a product recall, should it be found to be defective?	Y
Is there a complaints procedure and are records maintained?	Y

**Question Evidence:**

The company had detailed systems to ensure control of non conforming products which includes a test and inspection procedure, a final inspection sheet & customer complaints procedure. A quarantine area was set aside within the stores area of the factory for non conforming items and clearly marked as such.

**Documents Presented**

Final Inspection Sheet Testing - Clear for dispatch viewed dated 21.06.21
IMS 10 Test & Inspection procedure issue 4 dated August 2017
Acrastyle Internal Nonconformance log within the internal database.
Acrastyle Internal Nonconformance Register within the internal database for external issues

Section Score

6

3.0 Design

3.1 What design processes are in place to authorise designs prior to production?

3

The Auditor shall establish:

Does the Organisation have processes in place to ensure that the proposed designs meet the specification and the design brief?
Does the Organisation set design quality performance indicators?
Has the company mandated minimum competencies for its design personnel?
How are designs developed, agreed and approved by the Organisation?
Does the Organisation assess the designs for value and functionality?

Y
Y
Y
Y
Y

**Question Evidence:**

The company had in place a quality systems manual to ISO 9001 and a detailed design procedure to ensure all product design is approved prior to production. Some products are designed and approved by customers such as SSE and Western power to Energy Networks Association technical specifications 50-18 issue 4 2013 application of ancillary electrical equipment and others to the company's internal Standard Design & Production specification.

**Documents Presented**

Quality manual issue 08 dated September
Acrastyle Standard Design & Production specification Rev-1 July 2015
Energy Networks Association technical specifications 50-18 issue 4 2013 application of ancillary electrical equipment document
ISO 9001:2015 with NQA certificate number 11 expires 08.10.23

Section Score

3



**4.0 Workplace Safety**

**4.1 Does the company have a Health and Safety policy statement relating to the provision of a safe working environment?**

3
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Does it demonstrate a commitment to such as: providing sufficient resources for the management of health and safety and continually improving workplace safety?
Does the policy extend to not only workers but also third parties and people who are not employed but may be affected by the company's activities?
Is the policy statement signed / endorsed at Senior Management level (i.e. signed off at Director level)?
Is the period for review of the policy documented?
Is the policy on display? Poster/intranet/site notice board etc.
Is the policy and its contents formally issued to employees, subcontractors, agency workers and suppliers?

Y
Y
Y
Y
Y
Y

**Question Evidence:**

The company had in place a Health & Safety policy Statement signed and dated by the director. The policy was displayed in the company's reception area and in other locations within the factory.
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**Documents Presented**

Acrastyle Safety Policy Statement dated 27.05.21

4.2 Does the company have a person or team who are identified as being responsible for workplace or product health and safety?

3
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Can the company demonstrate that the persons responsible hold qualifications suitable for the role (e.g. NEBOSH General Certificate or equivalent) and professional memberships (e.g. IOSH/IIRSM)?
Have responsibilities been defined within a job description or similar?
Can the company demonstrate how the defined responsibilities are fulfilled by the appointed person or persons?
If the company is part of a larger group is there a corporate reporting structure from the local facility to the Group Head responsible for Safety?
Does the company split the responsibility for workplace and product safety? (Specify how this works)

Y
Y
Y
Y
Y

**Question Evidence:**

The company had in place several employees with specific duties with regard to workplace health & safety and product and safety issues. The company's operations director holds NEBOSH general certification and the company employ the services of a chartered IOSH health & safety consultant to provide additional support and guidance as required. All managers within the business have completed the IOSH managing safety qualification.

**Documents Presented**

NEBOSH NGC1 Certificate dated 17.02.17 NEBOSH NGC2 Certificate dated 17.02.17
Master of science Management of occupational safety & health (University of Salford)
IOSH Managing safely qualification dated 06.05.21
Affiliate IOSH Membership number 158937

CQ

4.3 Does the company have control measures in place to reduce / remove identified Health and Safety Risks at their premises?

3

The Auditor shall establish:

Has the organisation established, implemented and maintained documented procedures to identify hazards/impacts and assess risks?

Y

Has the company developed its methodology for hazard identification, risk assessment and risk control, based on operational experience?

Y

Does the company use all relevant forms of Risk Assessment including; generic, task/equipment specific etc.?

Y

Does the company have a process to manage works controlled by permits-to-work for high risk activities or work being undertaken in high risk areas of the facility?

Y

**Question Evidence:**

The company had in place a suite of risk assessments for all areas of their production facility covering all work activities. And additionally RAM's documents were generated for commissioning activities for engineers on site.

**Documents Presented**

Acrastyle Risk assessment register viewed

Risk Assessments Number 017 Lifting equipment date 06.09.20

Risk Assessments Number 005 High voltage date 03.03.21

Covid 19 Risk assessment

RAM's document - Site work instruction Hambleton junction dated 03.06.21

4.4 Can the company demonstrate that the senior management team take a proactive role in the continuous improvement of health, safety and industrial hygiene within the company?

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Does senior management take part in random and programmed safety inspections/tours/audits?
Does the senior management team commit to establishing measurable objective and targets to ensure continued improvement aimed at elimination of work related injury and illness?
Is there evidence to support the monitoring of the performance of meeting these objectives?
Can the organisation demonstrate how it develops programmes to rectify and improve upon Health & Safety performance?
If the company have site based activities do senior management visit sites as part of the corporate safety improvement process?

Y
Y
Y
Y
Y

**Question Evidence:**

The company had a proactive programme in place to improve health & safety within the business including safety audits and safety meetings and had established measurable objective and targets to ensure continued improvement aimed at elimination of work related injury and illness.
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**Documents Presented**

Department monitoring Inspection dated 01.06.21
Acrastyle Objective and Targets issue 07 May 2021
Staff safety consultation group meeting minutes dated 18.05.21
Company Health & safety and quality meeting dated June 2021

4.5 Does the company have a communication process to provide information to the workforce on workplace safety performance and safety issues?

3
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The Auditor shall establish:

Does the company utilise a variety of different methods of communications and briefings? (Specify methods used)
That the company keeps formal records of safety related communication/briefings?
Does the company verify that mechanisms for communication with personnel with poor / non-local language skills are appropriate and that hazards are understood?
How does the company ensure subcontractors are included within briefing and communication programmes?
Does the company have forums / committees / groups or other mechanisms to enable the communication and discussion of safety issues?
Is health and safety performance included as part of the company's communication programme?
Are workers rewarded for suggesting health and safety improvement opportunities within the organisation? (Can be financial/award of gifts etc.)

Y
Y
Y
Y
Y
Y
Y

**Question Evidence:**

The company conducted staff safety meeting to address employee safety concerns. Safety briefings are Issue via the company's share point system and employee's undertook regular in house safety training sessions.
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**Documents Presented**

Notice boards viewed at 4 locations with premises
Safety briefing presentation Safe use of Hand tools signed for 12.06.21
Staff safety consultation group meeting minutes dated 18.05.21

CQ

4.6 Can the company demonstrate that adequate Personal Protective Equipment (PPE) is issued to all workers which is suitable for tasks being undertaken at the premises?

3
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The Auditor shall establish:

The company maintains records of the issue of PPE to workers?	Y
Can the company demonstrate that workers (including agency labour) have been given guidance on the proper handling, storage and use of PPE?	Y
Is there a period of time for the retention of PPE records?	Y
Is there a process to identify type of PPE that needs to be used such as: company standards, Original Equipment Manufacturer and legislative requirements? (e.g. coating applications, use of breathing apparatus / RPE, working at height etc.?)	Y
Where workers have been issued with equipment that requires inspection(s) such as; Respiratory Protective Equipment (RPE), Personal Atmosphere Monitors (PAMs), Breathing Apparatus, Fall Arresters / Safety Harnesses, etc. are records of inspection retained?	NA
If the company does not issue agency labour and sub-contractors with PPE because they provide their own does the company instead retain records of inspection of such PPE documenting that it meets the company's standards and legislative requirements?	NA
Is there a disciplinary procedure linked to failure to wear required PPE?	Y
Can the company demonstrate that all PPE is issued free of charge to all workers?	Y

**Question Evidence:**

The company had in place measures to establish correct use of PPE and have a section in all risk assessments on PPE requirements and also in the Company Health & Safety policy manual. All operatives were seen to be wearing the correct PPE for the tasks being undertaken. PPE arrangements are additionally listed in the company handbook.
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**Documents Presented**

Acrastyle Employee PPE inventory held on an individual basis viewed
Acrastyle Ltd PPE Issue/ Acknowledgement form dated 02.07.21
Acrastyle Ltd Employee Handbook section 10 PPE arrangements

4.7 Can the company demonstrate they are in possession of up to date manufacturer's safety data sheets?

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The Auditor shall establish:

The organisation has identified and logged hazardous substances required for their work activities?	NA
That the company has a process or system in place to ensure that up to date safety data sheets (SDS) are obtained?	NA
That the company have a process for ensuring that SDSs and supporting risk assessments are available; to workers at the point of use, to the emergency services and first aid trained personnel where necessary?	NA
Is there a process to identify type of PPE that needs to be used to meet such as: company standards, Original Equipment Manufacturer and legislative requirements? (e.g. coating applications, use of breathing apparatus / RPE, working at height etc.?)	NA
Can the company demonstrate that appropriate controls have been implemented based on SDS and CoSHH assessment information for substances being used in production? (e.g. bunding, drip trays, segregation).	NA
Is a programme in place to assess that the implemented controls are adequate for the hazardous substances being stored?	NA
Do the company have equipment available to respond to emergency situations in the event of a spill or exposure to hazardous substances?	NA

**Question Evidence:**

The company did not require any chemicals or substances in their manufacturing process or limited site commissioning works.
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**Documents Presented**

N/A

**4.8 Does the company have arrangements in place for investigating and reporting of Accidents, Incidents, Near Misses and hazards in their organisation?**

3

The Auditor shall establish:

Does the company have a nominated person who reports all accidents and incidents to government agencies and where applicable a corporate Head Office?	Y
Does the company maintain records of accidents and incidents (This includes safety & environmental incidents)?	Y
Does the company have a documented process for undertaking investigations into accidents/incidents and near miss occurrence?	Y
Does the company produce and analyse Accident and Incident Statistics?	Y
Can the company demonstrate that lessons have been learned and applied from incidents? The auditor should record what improvements have been implemented.	Y
Has the company had any prohibition or Improvement notices in the last 5 years? (auditor to check <a href="http://www.hse.gov.uk/notices/">http://www.hse.gov.uk/notices/</a> as part of audit)	N
Has the company had any HSE Prosecutions within the last 5 years? (auditor to check <a href="http://www.hse.gov.uk/prosecutions/">http://www.hse.gov.uk/prosecutions/</a> as part of audit)	N

**Question Evidence:**

The company had in place a section on accident investigation with in their company Health & Safety manual and maintain an accident register(Book) all accidents & incidents are investigated to find the root cause of the accident.

**Documents Presented**

Health and Safety manual 8.2 IMS 15 Emergency preparedness and response
Accident/ Near miss totals 2004 -2021 viewed
Accident report book Sprained ankle dated 24.06.21
Near miss form damage to hire car dated 31.01.19

Section Score

24



**5.0 Occupational Health & Medical Arrangements**

**5.1 Does the company have a procedure in place which identifies a nominated person who has responsibility for occupational health / industrial hygiene?**

3
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Has the company delegated managerial responsibility for this area?
Is this person identified within the company organisation chart or policy?
Are responsibilities clearly defined?
Does the company use the services of a third party (Can be private or government operated facility) medical centre/hospital for the delivery of occupational/worker health services?

Y
Y
Y
N

**Question Evidence:**

The company listed responsibilities in the company org chart for occupational health and hygiene. All new employees were required to complete a pre employment questionnaire. Contained within the companies Health & safety manual were polices covering all required occupational health arrangements which included DSE assessments, drugs and alcohol testing and hearing assessments. DSE assessment sheets were viewed during the audit.

**Documents Presented**

Acrastyle Health and Safety manual Appendix D Company Organogram. Issue 7 dated May 2021
Pre employment questionnaire
Drugs and alcohol Policy dated April 2014
Display screen equipment assessment viewed dated 16.09.19

CQ

5.2 Does the company undertake any Health (medical) Surveillance screening/monitoring/testing of their workforce?

3

Can it be confirmed that the company have implemented controls to prevent workers being exposed to harmful levels of chemical, biological and physical agents (noise, arc eye, radiation electromagnetic fields etc), substances or materials that exceed the maximum legal exposure limits? (e.g. are records of monitoring available)	NA
Is screening part of the pre-employment selection criteria, when appropriate and legal?	Y
Is routine health surveillance undertaken because of the type of work the company undertakes e.g. working with specific chemicals or in noisy environments?	NA
Does the company specify a formal programme for all medical assessment e.g. every year, when an individual reaches a certain age etc.?	NA
Is the screening /testing applied to all categories of worker when entering the site?	NA
Is this service outsourced to a third party medical centre/hospital (Private or government operated)?	NA
Are there any restrictions on the availability of medical services?	Y
Are workers mandated to use medical clinics or services that are funded by the company?	NA

**Question Evidence:**

The company carried out annual DSE assessments of all employees and had policies in place covering drugs and alcohol.

**Documents Presented**

Health Surveillance procedure, page 12 of the Health and Safety Policy.
DSE assessment viewed dated 16.09.19
Drugs, and alcohol Policy dated 05.02.19

5.3 How does the organisation ensure that a safe and healthy working environment is available for staff at their premises?

3

The Auditor shall establish:

Do workers have access to potable water?	Y
Has the company provided segregated (male and female) changing facilities?	Y
Are washing facilities provided?	Y
Are segregated toilet facilities provided?	Y
Does the company provide canteen facilities?	Y
Does the company provide accommodation e.g. dormitories?	Y
Are welfare facilities fit for purpose and part of a cleaning and maintenance regime?	Y

**Question Evidence:**

The company provided all welfare facilities required to by law including drinking water, toilets, washing facilities and a staff canteen area.

**Documents Presented**

Welfare facilities viewed.

5.4 In the event of an injury or emergency situation in the workplace can the company demonstrate they have identified appropriate first aid provision which is available to the workforce?

3

The Auditor shall establish:

The company has made an assessment of first-aid needs appropriate to the circumstances (hazards and risks) of each workplace?
Does the company identify/ensure the availability of adequate first aid facilities both at their premises? (i.e. offices, workshop, factory floor etc.)
Are sufficient numbers of qualified emergency first aid personnel available and easily identifiable e.g. by means of badges, identified during induction, pictures on the notice boards, etc?
Are subcontractors/temporary/agency workers allowed to use these facilities?
Can the company demonstrate that they have tested the effectiveness of their emergency arrangements?
Is there a programme in place that ensures that all emergency (first aid, fire and evacuation) equipment is checked regularly by a competent person? (This can be a third party)

Y
Y
Y
Y
Y
Y

**Question Evidence:**

The company had in place a first aid procedure within the Health & safety manual trained first aiders and 8 first aid boxes. The company had a total of 5 first aiders and 9 first aid response trained staff members.

**Documents Presented**

Level 3 First aid at work completed dated 10.06.21 Level 3 First aid at work completed expiry 18.10.21
First aid boxes viewed
First aid provision risk assessment RA30 dated 23.03.21
Site first aid check last completed 22.06.21

Section Score

12

**6.0 Corporate Risk Management**

**6.1 Does the Company have formal arrangements in place for the implementation of a business continuity management plan?**

3

Has the company appointed competent personnel with specific responsibility for business resilience and continuity in their role?
Is a documented business resilience and continuity plan in place that has been reviewed in the last 12 months? (Specify if this is a localised arrangement only or part of multinational group)
Does the plan cover adverse events (i.e. loss or disruption) relating to people, premises, processes and suppliers that will impact essential business operations?
Does the planned response cover a variety of reasonable emergency scenarios (e.g. pandemic, utility supply failure, natural disaster, cyber attack, fuel shortage).
Has the plan been activated by an adverse event, or tested with a scenario in the past 12 months?
After plan activation / testing, do you conduct a review cycle and update the business and continuity plan accordingly?

Y
N
Y
Y
Y
Y

**Question Evidence:**

The company had a business continuity plan in place which was reviewed annually and detailed the various scenarios that could disrupt business. The Operations Director was responsible for the Business Continuity Plan. The plan has been tested and updated as a result of the Covid 19 pandemic.

**Documents Presented**

Business Continuity Plan dated 19.02.20
Covid 19 meeting minutes dated 20.06.21

Section Score

3

**7.0 Emergency Planning (Includes Fire Safety)**

**7.1 Does the company use any form of automated fire or smoke detection equipment within their worksite area or company owned accommodation units?**

3
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The Auditor shall establish:

Have fire risk assessments been prepared to identify the quantities of equipment and locations equipment or systems should be stored?
Does the company employ the use of a fire point (All fire fighting equipment located in the central point)?
Is there a programme in place that ensures that all automated systems (Fire/sprinkler systems & smoke detection) equipment is checked regularly by a competent person? (This can be a third party)
Are the checks recorded?
Is the equipment subject to random testing? (Specify the frequency)

Y
Y
Y
Y
Y

**Question Evidence:**

The company had in place a fire extinguishers and fire alarm systems all of which are tested on a regular basis by an approved external contractor CHUBB Fire Protection Ltd . A Fire Risk Assessment had been carried out for the establishment.
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**Documents Presented**

CHUBB Fire Protection Ltd Fire equipment service certificate service 05/21 for fire alarm system and fire extinguishers
Visual conformation of sensors and CHUBB zone mater 108 fire alarm panel
Fire extinguishers test dated June 2020 Fire safety log book
Fire Risk Assessment Acrastyle Production area, 08.03.21.

7.2 Can the company confirm that they provide training on evacuation processes and that programmed and random testing is undertaken which is formally recorded?

3
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Are training records demonstrating receipt of the training available including briefing of the Fire Risk Assessment?
Does the company provide this information to sub contractors prior to commencing work on site?
Has the company implemented a continuous improvement programmes based on previous targets set for each drill?
What is the retention period of all drill records?
Does the company insurance provider mandate periodic emergency drills of the worksite?
Are signs visible in the dark either by use of emergency lighting/ phosphorescent colours
Are worker assembly points away from the danger zones in the event of a real emergency on site?

Y
Y
Y
Y
Y
Y
Y

**Question Evidence:**

The company had in place and trained a number of operatives to become fire wardens and practised regular fire drills and had produced detailed evacuation procedures.
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**Documents Presented**

Emergency Preparedness & Response Plan dated 06.03.17
Fire Warden & Fire extinguisher Training Certificate Date: 30.01.20
Fire evacuation / Emergency Drill Report dated 12.03.21

7.3 Does the company store / use flammable materials; if they do, are they used as part of their work activities e.g. bottled gas, gasoline etc.?

3

The Auditor shall establish:

Is there any site storage of flammable materials including fossil fuels/LPG/auto gas?

NA

Can the company demonstrate they utilise appropriate containment on site needed to retain leakage from storage vessels? (Bunds/Reinforced walls)

NA

Is there a programme in place to assess the integrity/suitability of the storage areas?

NA

**Question Evidence:**

The company did not store or use any chemicals on the company's premises.

**Documents Presented**

N/A

Section Score

9



**8.0 Site Security**

**8.1 Does the company ensure the security of their premises both during work and non working hours?**

3

The Auditor shall establish:

The auditor will record a description of the processes used e.g. fencing / patrols / lighting / alarms / CCTV

Y

**Question Evidence:**

The company had a range of security measures in place including door access control CCTV, intruder alarm systems, security lighting fencing and security gates.

**Documents Presented**

Visual conformation of security arrangements

**8.2 Are security personnel employed directly by the company or engaged via a third party and how are they distinguishable from other members of the workforce?**

3

The Auditor shall establish:

How does the company ensure the competency and legitimacy of security personnel?

NA

**Question Evidence:**

The company did not employ any security personnel.

**Documents Presented**

N/A

Section Score

6

**9.0 Environmental Management**

**9.1 Has an environmental policy been prepared by the organisation?**

3
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The Auditor shall establish:

Is the policy statement signed and endorsed by the most senior management representative?
Does the policy relate to the company activities?
Is it displayed in a prominent position and made available to all interested parties?
Commit the company to a continuous improvement programme and compliance with all relevant environmental legislation or industry guidance?
Have environmental responsibilities been defined by the organisation?
Does it identify how environmental issues will be communicated?
Is the period for review detailed?

Y
Y
Y
Y
Y
Y
Y

**Question Evidence:**

The company had in place an Environmental policy statement which is dated and signed by the company director. The Environmental policy is displayed in four key locations within the factory and office complex.
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**Documents Presented**

Environmental Policy Statement issue 7 dated May 2021

9.2 Does the company utilise a variety of information sources to maintain the content of the environmental policy or management system?

3

The Auditor shall establish:

In House expertise?
External consultancy?
Subscription services?
Government agencies / Local /Municipal Authorities?

N
Y
N
Y

**Question Evidence:**

The company employed the services of an external consultant who held a masters degree in Environmental management. The consult was responsible for auditing and systems and procedures within the company.

**Documents Presented**

Lead assessor course Environmental management systems
Masters degree in Environmental management auditing
Register of Environmental regulations issue 4 dated September 2019

9.3 Does the company identify and manage environmental risks associated with their scope of services?

3
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The Auditor shall establish:

Have processes for identifying and managing risks been documented?
Has the company prepared an environmental aspects or impacts register?
Does the register define appropriate control measures to minimise environmental risk?
Can the company demonstrate that control measures have been implemented?
Does the company have a formal process for communicating the content of the register?
Is there evidence of a periodic assessment and evaluation of the content? i.e. internal audit or agency inspection.

Y
Y
Y
Y
Y
Y

**Question Evidence:**

The company had in place an aspects and impacts register capturing all environmental risks and regulations the company encounter such as emissions to air, use of energy, releases to water, and waste.
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**Documents Presented**

IMS 13 Environmental Aspects & Impacts Issue 5 date April 2018

CQ 9.4 Does the company ensure that it disposes of all its waste in a legal and responsible manner?

3
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The Auditor shall establish:

Does the organisation seek to recycle waste materials produced as a result of their activities?
Do they use licensed waste companies and licensed waste carriers?
Does the company use a formal/retain transfer notes process? (Specify how this works)
Do they have access to up-to-date waste legislation?
If burying the waste are they using authorised sites?
Transfer to authorised/licensed waste management company?
Where applicable can the company demonstrate that it complies with the Waste Electrical and Electronic Equipment Regulations 2013.

Y
Y
Y
Y
Y
Y
Y

**Question Evidence:**

The company disposes of its waste in a legal manner and retains copies of waste collection permits and recycling certificates and hazardous waste materials to this end. The company had distinct skips located on the premises for differing waste streams.
--

**Documents Presented**

Duty of care. Controlled Waste Transfer note Licence number 27120 date of expiry 01.09.20 Provided by John Morgan & CO LTD
Duty of care Annual waste Transfer note Non Hazardous waste note Licence number CB/DU93308 date of expiry 20.02.20 Provided by Wicks
Lower tier waste carrier, broker and dealer Registration number CBDL195894 dated 21.08.17

9.5 Does the company store any waste material on site?

3

The Auditor shall establish:

Are they classified as Hazardous?
Are they classified as Non Hazardous?
Are they classified as non flammable?
Are they classified as flammable?
Are there quarantine areas to prevent any cross contamination?
If liquid are there adequate spill preventions / containment / spill kits?
Are inspections undertaken on the controls?

N
N
N
N
N
Y
Y

**Question Evidence:**

The company stored waste on site in limited quantities including scrap metal and packaging and plastics which were removed as required . All scrap metals and plastics were sent for recycling by the company.

**Documents Presented**

Visual evidence of recycling
Visual evidence of waste separation within skips

Section Score

15

**10.0 Carbon Management**

**10.1 Does the company quantify and report their Greenhouse Gas (GHG) emissions where legally required to?**

3

Can the company provide the total emissions, in terms of tCO <sub>2</sub> e (tonnes of carbon dioxide equivalent), that they were responsible for emitting over their standard reporting year?
Does the company capture indirect emissions as well as direct emissions e.g. supply chain?
Is this a definitive answer e.g. 2008 calendar year: 12,100 tCO <sub>2</sub> e?
Is the figure published in the form of a standard report, spreadsheet or for larger companies, published in a CSR or annual report?
Are targets established to reduce the company's carbon emissions?
If targets are not achieved, are strategies in place in order to meet them?

Y
NA
Y
NA
Y
Y

**Question Evidence:**

The company are not required to report their carbon emissions at the present time. However the company had started to record energy usage and had introduced measures to reduce their carbon footprint with the installation of new energy efficient boilers(condensing) and LED lighting and all windows and doors have been upgraded to energy efficient double glazing system.

**Documents Presented**

Greenhouse Gas Emissions Statement For FY 2020- 2021
Verbal and visual conformation

Section Score

3

**11.0 Selection and Management of the Supply Chain**

**11.1 Does the organisation have processes in place for the selection of their suppliers and sub-contractors?**

3
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The Auditor shall establish:

Has the company got a process for the evaluation and selection of suppliers and subcontractors, to include such as; pre-qualification questionnaires and maintaining a list or register of approved suppliers?
Has the organisation identified persons responsible for the management of the supply chain?
Has the company identified the minimum levels of insurance applicable and required to be held by its suppliers / subcontractors?
Does the company specify any accreditations/ requirements e.g. UVDB, Building Confidence?
Has the company identified the minimum quality, safety and environmental controls applicable and required to be held by its supply chain?
Is there confirmation of supplier / subcontractor competency assurance?

Y
Y
Y
Y
Y
Y

**Question Evidence:**

The company had a process to select suppliers and issue all potential supplier with a supplier evaluation questionnaire as part of the verification process. The company had a data base of approved suppliers in place.
--

**Documents Presented**

Acrastyle Supplier Evaluation Questionnaire completed date 14.04.21
Quality Manual Section IMS 07 Purchasing and systems issue 6 dated September 2019
Register of Improved suppliers held on Acrastyle data base held on ERP data base



11.2 Does the company ensure effective management of their suppliers and subcontractors?

3
---

The Auditor shall establish:

Is there a review or mechanism for performance monitoring?
Is there a method for recording reviews?
Is there a process for rectifying faulty work?
Does the company undertake audits or inspections of their suppliers / sub-contractors?
Is there a process to prevent suppliers / contractors with poor performance continuing to work for the company, or to instigate improvements?
Does the company have a mechanism for periodic monitoring of subcontractors insurances, licenses and professional memberships?
Does the company capture / analyse subcontractors accidents / incidents statistics and reports?
Does the company have a process to investigate contractor/ supplier, Accidents/ Incidents and track actions?

Y
Y
Y
Y
Y
Y
Y
Y

**Question Evidence:**

The company conducted supplier reviews on an annual basis and maintain a log of completed reviews showing details of any non conformances. The system provides a scoring system for suppliers, ranked A to D. Category A suppliers are audited every two years and a physical visit of the supplier takes place to all major suppliers.
---

**Documents Presented**

Quality Manual Section IMS 07 Purchasing and systems issue 6 dated September 2019
Register of Improved suppliers held on Acrastyle data base held on ERP data base
Supplier audit Acorn Laser Ltd Armstrong Rd Washington NE37 1PR- 5th May 2021

Section Score

6
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**12.0 Sourcing of goods and products**

**12.1 Can the company demonstrate that they have put in place formal arrangements for the identification, mitigation and prevention of Counterfeit, Fraudulent and Suspect Items (CFSI)?**

3
---

Are arrangements integrated into the company's management processes / procedures?	NA
Has the company established measures to ensure that its staff are aware of the risks of CFSI and understand and support the company's mitigation methods?	NA
Has the company taken measures to raise awareness throughout all levels of its supply chain that there are parties who might wish to substitute CFSI for genuine items or services for commercial gain.	NA
Has the company deployed assurance methods to ensure material and component traceability back to source suppliers, including positive material identification, destruction testing methods by third party specialist organisations, including sampling of proprietary high risk items (i.e. bolts and fasteners)?	NA
Where examples of CFSI have been identified have appropriate remedial actions have been taken? (i.e. quarantine arrangements, investigation and dispose of CFSI and information shared within the company, licensee organisation, supply chain and wider industry as appropriate to support learning, prevent use and encourage remedial measures?	NA
For companies working in the Nuclear Industry, where examples of CFSI have been identified have these been notified to the Office of Nuclear Regulation (ONR)?	NA

**Question Evidence:**

The company do not work in the British nuclear industry at the present time.
--

**Documents Presented**

N/A

12.2 Does the company have a policy to procure fairly traded goods where available?

3

Auditor to record details.

Y

**Question Evidence:**

The company do not procure fairly traded goods at the present time but have a section within their supplier evaluation form on fairly traded goods relating to suppliers and subcontractors. Additional information is provided in the Corporate Social Responsibility Policy.

**Documents Presented**

Acrastyle Supplier Evaluation Questionnaire completed date 14.04.21  
Employee Handbook Page 32 Corporate Social Responsibility Policy dated April 2014

12.3 Does the company actively source goods from developing countries? If yes, do they actively try to ensure they use ethical supply chains?

3

If purchasing raw materials is there a mandated requirement to use materials that possess a Chain of Custody e.g. Forestry Stewardship Council (FSC) timber.

Y

Do delivery notes contain a chain of custody certificate? (Specify if this is subject to verification prior to use)

Y

**Question Evidence:**

The company purchased materials from the EU & UK supply chains and were aware of the source of the materials supplied. The Company received some pre assembled components from their sister company in India.

**Documents Presented**

Employee Handbook Page 32 Corporate Social Responsibility Policy dated April 2014

12.4 Does the company work with its top level suppliers to prevent bribery & corruption throughout its supply chain?

3

Auditor to record details.

Y

**Question Evidence:**

The company had a section in its Supplier Evaluation Questionnaire on Anti -Corruption & Bribery Policy which is issued to all potential supplier during the assessment phase.

**Documents Presented**

Acrastyle Supplier Evaluation Questionnaire completed date 14.04.21

Section Score

12

**13.0 Goods Inward / Storage**

**13.1 Have defined processes been implemented for the receipt and storage of goods or materials provided by their supply chain?**

3
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The Auditor shall establish:

Does the company have a documented process for receipt of goods or materials from their supply chain?
Where goods or materials are stored at the company's premises have stock control/storage procedures been defined by the organisation?
Have quality control processes been implemented to ensure the conformity of received goods or materials?
Where goods or materials are to be stored under specific conditions as defined by the supplier or suppliers have these requirements been identified and are they being adhered to?
Does the company have a mechanism for ensuring materials are used with specified timescales e.g. prior to degradation?
Can the company demonstrate that inspections have been carried out to verify goods inward and goods storage procedures are being complied with?

Y
Y
Y
Y
Y
Y

**Question Evidence:**

The company had in place a defined process to ensure all materials are tracked through the entire works process using an electronic tracking system.
--

**Documents Presented**

IMS 08 Stores Procedure Issue 7 updated May 2021
IMS 07 Externally provided process, products and services Issue 7 updated May 2021

Section Score

3
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**14.0 Use of Work Equipment, Vehicles and Machines**

CQ 14.1 Does the company have arrangements in place for ensuring that all plant, small hand tools and equipment is maintained and approved prior to use? 3

The Auditor should establish the existence of a documented process for the maintenance of plant and tools and that maintenance arrangements and records include:

Does the company have arrangements in place for ensuring that all plant and equipment is maintained and approved prior to use?	Y
The company has documented processes for the maintenance of plant and equipment.	Y
The company has processes for the receipt and inspection of hired-in plant and equipment?	NA
The company retains records of maintenance of plant and equipment.	Y
The company retains calibration records?	Y
The company has a process for reporting and repairing defects on plant and equipment?	Y
The company has produced a scheduled maintenance plan for each individual plant item?	Y
Operator competency requirements have been defined by the company.	Y
How does the company ensure that plant and equipment is inspected and maintained by competent personnel?	Y
Where applicable are records of thorough examination / certificates for statutory inspections and tests available, have these been issued by a competent authority?	Y

**Question Evidence:**

The company had a system in place to ensure that all plant & equipment is maintained as per manufacturers instructions and in line with legal compliance. Daily pre start checks were conducted on all relevant equipment.

**Documents Presented**

PAT testing records 371 items tested dated 17.06.21  
 Daily Pre Start check sheet dated 01.07.21  
 Electrical condition report certificate number 112798 dated 05.11.20  
 Bureau Veritas Fork Lift Truck Electrical Report of Thorough examination of lifting equipment dated 24.06.21  
 Bureau Veritas Chain Block Electrical Report of Thorough examination of lifting equipment dated 24.06.21

Section Score 3

15.0 Human Resources

15.1 Can the company demonstrate that eligible workers are paid a fair wage?

3
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The Auditor shall establish:

Are processes in place to identify the minimum wage requirements for workers in the country of operation?
Can the company demonstrate all workers are paid in excess of the national minimum wage?
Has the company assessed to ensure any 3rd party personnel working on site are also paid in excess of the national minimum wage?

Y
Y
NA

**Question Evidence:**

The company issue contracts of employment showing hours of work and rates of pay to all employees at the start of their employment with the company.
--

**Documents Presented**

Acrastyle Contract of employment viewed dated 15.02.21

15.2 Are all workers provided with a Contract of Employment (or other written statement of employment particulars)?

3

The Auditor shall establish:

Has the company issued all workers with a contract of employment (or other written statement of employment particulars)?

Y

Have temporary / seasonal workers also received a contract of employment?

Y

**Question Evidence:**

The company issue contracts of employment showing hours of work. Rates of pay and company incentives are stated within the contract of employment.

**Documents Presented**

Acrastyle Contract of employment dated 16.02.21

15.3 How does the company manage employee working hours?

3

The Auditor shall establish:

Does the company have defined working hours for all categories of worker?

Y

Does the company have controlled mechanisms for the monitoring of employee working hours?

Y

Is any overtime voluntary?

Y

Is overtime paid at a premium?

Y

**Question Evidence:**

The company used a bio metric clocking system to record hours of work linked to a server database. The hours worked are sent to the HR department electronically on a daily basis. Overtime is paid at higher rates and is done on a voluntary basis.

**Documents Presented**

Clocking in system viewed in operation.



**15.4 Has the Organisation prepared and published an annual Slavery and human trafficking statement?**

3
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The Auditor should establish the following:

The organisation has developed an annual statement related to slavery and human trafficking
The statement is appropriately approved and signed off
The statement is published / available via: a) The organisation's website, a link to it must appear in a prominent place on the homepage, or b) If the organisation does not have a website, it must provide a copy of the slavery and human trafficking statement to anyone who makes a written request for one, and must do so before the end of the period of 30 days beginning with the day on which the request is received.

Y
Y
Y

**Question Evidence:**

The company had an Anti-Slavery and Human Trafficking Statement which is displayed on the company notice boards.
--

**Documents Presented**

HR 111 version 4 Anti-Slavery and Human Trafficking Statement Policy	date:
August 2020	

15.5 How does the company prevent the use of child labour within its scope of services / production?

3
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The Auditor shall establish:

Has the company prevented the use of child labour within its scope of services / production?
Has the company assessed its supply chain to ensure there is not child labour?

Y
Y

**Question Evidence:**

The company had in place a section within their code of Ethics Policy document and Anti-Slavery and Human Trafficking Statement.
--

**Documents Presented**

HR 111 version 4 Anti-Slavery and Human Trafficking Statement Policy	date:
August 2020	

15.6 Does the company allow employees the right to collective bargaining?

3
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The Auditor shall establish:

Are trade unions represented within the company?
If trade unions are not represented are there alternative routes to collective bargaining?

N
Y

**Question Evidence:**

The company had no unions within the workplace however they allow collective bargaining and had a staff consultation group who meet regularly to discuss rates of pay and terms and conditions and safety issues.
---

**Documents Presented**

Staff consultation group meeting dated 04.05.21

15.7 Is there a process or system to ensure that personnel recruited are entitled to work in the United Kingdom ?

3

The Auditor shall establish:

Can the company demonstrate understanding of the relevant laws regarding the employment of workers who are not from the country of operation?
Are all legal requirements followed when employing workers who have the legal ability to work within the country of operation e.g. as specified through the Asylum, Immigration and Nationality Act?
Is evidence used to validate the individual's identity and eligibility to work such as; birth certificates, passports, identity cards, social security numbers etc.? (Please detail and if copies are retained)
Does the company retain evidence of entitlement to work for at least 3 years after the individual has left the employer? (Specify if a different period and if this covers temporary workers)
Were personnel files available for sampling?

Y
Y
Y
Y
Y

**Question Evidence:**

The company had in place a system to carry out right to work checks and retain copies of passports, birth certificates and were applicable driving licences.

**Documents Presented**

Copy of passport viewed X 2
HM.GOV right to work check list viewed

Section Score

21

16.0 Business Integrity and Ethics

16.1 Can the company demonstrate they have a formal procedure in place in the event a member of the workforce breaches company policy regarding bribery, soliciting for money, intimidation or extortion for monetary gain in order to influence decision making?

3

The Auditor shall establish:

Does the procedure define a clear and logical structure of how the company would deal with potential problems such as this?
Would the company involve the police in the event the policy is breached?
Do workers sign a declaration agreeing that they have read and understood the content and will abide by the policy?

Y
Y
Y

**Question Evidence:**

The company had in place an Anti-Bribery and Corruption Policy which is signed and dated by the company director. The policy is given to all employees during the company induction.

**Documents Presented**

HR 112 Anti-Bribery and Corruption Policy
Acrastyle Personnel Induction Form.

Section Score

3

17.0 Training and Capability/Competence Assessment

CQ	17.1 Does the company induct new workers and suppliers and contractors into the business or premises prior to work taking place?	3
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The Auditor shall establish:

Are records of induction held?	Y
What mechanisms are used for induction delivery?	Y
That the induction process covers at least:	Y
Company structure	Y
Roles and responsibilities	Y
Training and competency requirements	Y
Relevant legislative and regulatory requirements	Y
Workplace specific requirements e.g. welfare facilities/safety risks	Y
Emergency procedures e.g. warning signals/first aid issues	Y
Code of Conduct	Y
Accident/hazard reporting - what to do	Y
Is there a documented period for re-inducting / re-briefing personnel?	Y

**Question Evidence:**

The company induct all new operatives into the company and have a set induction process in place which includes shadowing other factory operatives conducting a factory orientation tour and introduction to specific equipment and machinery.

**Documents Presented**

Acrastyle Personnel Induction Form.
Acrastyle Personnel Induction Form signed and dated copy 16.02.21
Acrastyle Personnel Induction Form signed and dated copy 15.02.21

17.2 Has the company identified all work activities relating to their scope of service that requires formal training?

3
---

The Auditor shall establish:

Is a system in place to record the training / competence requirements for all categories of worker? (e.g. Training Matrix or database).
Does the training process confirm competency/capability requirements as well as training needs?
What systems does the company have in place to identify new training requirements relating to changes in scope of services being provided?
Does the company use a numerical process to evaluate a workers capability when progressing against a specific standard? E.g. pass marks, matrix approach with cumulated scores to meet specific standard.

Y
Y
Y
Y

**Question Evidence:**

The company had in place a training matrix covering all aspects of the company's operations and training requirements. The matrix is broken down into specific areas of the factories requirements.
---

**Documents Presented**

Training records Matrix
IOSH Managing safely certificate dated 06.05.21
Master of Science in Power distribution engineering dated 28.11.19
Certificate of competence PASMA Tower scaffolding expiry date 05.10.25

17.3 Does the company have a means of identifying certification expiry/re-training dates and also, where necessary, competency assessment due dates?

3
---

The Auditor shall establish:

Are licences for operating plant and equipment or for specific roles checked for validity when presented by new workers joining the company who already possess the certification?
Is there a system in place to ensure that existing training certificates/licences held by individuals are checked and validated on a regular basis?
Is there a schedule for re-assessment?
Are remote (Individuals who work on sites or areas away from the main head office e.g. installers, maintenance staff, lorry drivers) workers advised of their need to be re-assessed?
Are personnel records up to date (Auditor to take a sample)?

Y
Y
Y
Y
Y

**Question Evidence:**

The company used the training matrix system to ensure all certificates are up dated as required. Copies of all qualification certificates are taken at induction.
---

**Documents Presented**

Training records Matrix
ILM Level 5 Management diploma certificate of achievement
Level 3 Extended diploma in Engineering diploma dated June 21
Level 3 Engineering maintenance diploma dated 19.02.20

17.4 Where training has been provided in-house can the company demonstrate that persons providing training are competent to do so and have prepared a programme to deliver training to staff?

3
---

The Auditor shall establish:

Can the company demonstrate that the persons responsible hold qualifications suitable for the role (e.g. NEBOSH General Certificate, Train the Trainer, FLT Trainer)?	Y
Have responsibilities been defined within a job description or similar?	Y
Can the company demonstrate how the defined responsibilities are fulfilled by the appointed person or persons?	Y
Methods of assessment include but are not limited to:	Y
Direct observation in / out of the workplace	Y
Practical tests in / out of the workplace	Y
Documentary evidence	Y
Oral questioning	Y
Written tests / assignments	Y

**Question Evidence:**

The company carried out in house training on a regular basis which is provided either by SOA training or the company's health & safety advisor.
---

**Documents Presented**

SOA training - Manual handling Awareness certificate 04.08.20 - 57 people trained
SOA training - Fire awareness / fire warden training certificate date 26.05.21 - 8 people trained
Covid 19 training delivered 29.07.20

12
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Key Performance Indicators (KPIs)

EXPOSURE	Current Year	Year -1	Year -2	Year -3	Year -4
Total Manhours worked	58800	100800	92700	104400	113400
SAFETY	Current Year	Year -1	Year -2	Year -3	Year -4
Fatalities	0	0	0	0	0
HSE Reportable Injuries	0	0	0	0	0
Lost time incidents (1-7 days)	0	0	0	0	0
Incidents requiring medical treatment (MTI)	0	0	0	0	0
Incident requiring first aid	2	4	2	4	5
Dangerous Occurrences	0	0	0	0	0
Near Hits/Misses	0	0	1	0	1
HSE/HSA or equivalent improvement notices	0	0	0	0	0
HSE/HSA or equivalent prohibition notices	0	0	0	0	0
HSE/HSA or equivalent prosecutions	0	0	0	0	0
ENVIRONMENT	Current Year	Year -1	Year -2	Year -3	Year -4
Minor Non-reportable incidents	0	0	0	0	0
Reportable incidents	0	0	0	0	0
Enforcement action i.e. Warning letters, prosecutions	0	0	0	0	0