

MANAGEMENT CONTROL SYSTEM

BS EN ISO 9001: 2015

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SECTION 1: INTRODUCTION

1.1 Company Introduction (9001:1)

Derlin Construction Limited

Derlin Construction Limited a family company formed in 1992, is an experienced building and civils contractor specialising in the undertaking of civils maintenance works within the railway sector, working directly and indirectly within the LUL framework, in addition to building, civils and groundworks for a varied range of residential customers.

1.2 Strategic Vision

Our strategic vision remains of maintaining excellence, honesty, respect and integrity in all aspects of our business, whilst striving to reflect the highest ethical standards in our relationships with customers, suppliers, service providers, employees and other interested parties

1.3 Document Purpose (9001:1)

We have developed and implemented a management control system using BS EN ISO 9001:2015 as a framework that allows our company to document and improve our operational activities in order to better satisfy the expectations and needs of our customers, stakeholders and other interested parties.

This document details authority, inter relationships and responsibilities of our employees operating within the management control system. It also provides references to processes and activities that comprise our management control system and is used to familiarise interested external organisations and individuals with controls implemented and to reflect that integrity with the same is maintained and focused on customer satisfaction and continual improvement

The content of this document is not intended to align with the clause numbering of the referred standard, 'Appendix A' (*located at the rear of this document*), provides a cross-reference table, denoting where relevant clauses requirements of the standards are addressed.

In acknowledging BS EN ISO 9001:2015 makes use of the term 'documented information', Derlin Construction for ease of awareness, continues to refer to the terms 'document' and 'record' within this document (*see section 3*).

SECTION 2: APPLICATION

2.1 Normative References (9001:2)

As relating to the following standard

BS EN ISO 9001:2015 Quality Management Systems - Requirements

SECTION 3: TERMS AND DEFINITIONS

3.1 Terms and Definitions Used (9001:3)

In order to promote understanding the following terms and definitions apply through both Derlin Construction management control system

Audit: An evidence gathering process, used to evaluate how well audit criteria continues in attainment. Audits are intended be objective, impartial, and independent and the audit process systematic and documented.

Civils Works: The design, construction, and maintenance of different natural and manmade environments and infrastructures

Compliance Obligations: Can be mandatory compliance obligations as required by laws and regulations or voluntary compliance obligations like industry standard, contractual commitments, etc.

Context: Identification, monitoring and review of internal and external issues, relevant to purpose and strategic direction, that have the ability to influence our management control system intended results.

Correction: Action to eliminate a detected nonconformity, correction may involve replacing nonconforming product with conforming product or replacing an obsolete procedure with current issue

Corrective action: Action to eliminate cause of a detected nonconformity or other undesirable situation

Document: The term document refers to information and the medium used to bring it into existence. A document can be digital or physical

Drainage Channels/Ditches/Systems: The system of water or waste liquids flowing away from somewhere into the ground or down pipes

Evaluation: How to monitor and/or measure the result e.g. evaluation is comparing actual results, to intended results and identifying any gap

Groundworks: The early work on which forms the basis for further work

Interested Parties: Persons or companies that can affect, are affected by or themselves perceive affected by a decision or business activity of Derlin Construction

Improvement: Recurring activity to enhance performance

Improvement Objective: Measurable improvement objectives, consistent with our management policy

Policy: Intentions and directions related to management performance as formally expressed within our management policy statement

Nonconformity: Failure to comply with requirements, a need, expectation or obligation, it can be either stated, or implied by the company, its customers, or other interested parties.

Monitoring: Continual checking, supervising, critically observing or determining the status in order to identify change from the performance level required or expected

Monitored: Comparing actual events against information that resulted from examination of the internal and external environment

Record: Document stating results achieved or providing evidence of activities performed

Reviewed: A more formal revisiting of the information, it could happen during management review, or through another process. In either case, records of the review, including who was involved and what was decided are maintained

Risks: Uncertainties of which, if occur, would affect achievement of objectives either negatively or positively i.e. uncertainty is neutral; risk is the negative effect of uncertainty, and opportunity is the positive effect of uncertainty

Risk Identification: Process of finding, recognising and describing risks, which involves identification of risk sources, events, their causes and potential consequences

Risk Source: Element which alone or in combination has the potential to give rise to risk

Stakeholders: Person or organisation that can affect, are affected by or perceive themselves affected by a decision or activity

Targets: Detailed performance requirements arising from improvement programs that need to be set, in order to achieve the objectives and be subject of evaluation to confirm actual achievement

SECTION 4: CONTEXT

4.1 Business Understanding (9001:4.1)

Determination of Derlin Construction business direction has included for

- Clarifying interested parties who receive our products and services, or who may be impacted by them or those parties who may otherwise have a significant interest in our business (see section 4.2)
- Understanding external and internal issues, including environmental conditions relevant to our business purpose, strategic direction and that affect either positively or negatively, achievement of intended outcomes of our management control system (see sections 4.2, 6.1, 6.2 and 9.3)
- Maintaining an understanding of our business core products and services facilitated to customers in addition to the scope of our management control system (see section 4.3).

Whilst acknowledging the values of information gained from the above, in addition to the likes of internal documented sources, customers and other interested parties etc. there exists awareness that external and internal issues remain subject of change and therefore Derlin Construction conducts reviews of the same during annual management review meetings.

4.2 Interested Parties (9001:4.2)

Significant interested parties internal and/or external are determined as those providing considerable risk to our organisational sustainability if their expectations and needs are not met. Our express aim is therefore to focus only on those interested parties who can influence our ability to provide products and services meeting requirements i.e. those we have to comply with and those we choose to comply with.

Recorded details of interested parties (see document 04/01) remain further used to facilitate compliance with other elements of BS EN ISO 9001:2015. In particular for determining associated risks and/or opportunities along with individual bias, with risks being subject to management in order to reduce likelihood and consequence, with opportunities managed to increase likelihood and consequence or for a blend of both before being subject of process for prioritisation and associated action to be taken (see section 6.1).

Awareness again remains that issues of interested parties (*internal and external*) can change overtime therefore recorded information regarding interested parties is to be subject of verification, when reviewing the context of our organisational operations and obligations...

4.3 Scope (9001:4.3)

4.3.1 Scope Details

Based upon consideration of needs and expectations and managed via our premises at the British Rail Goods Yard, 305 Horn Lane, Acton W3 9EH. The scope of our management control system includes for the undertaking of civils works within the railway sector and building, civils and groundwork's for a varied range of residential customers

4.3.2 Product and Services

Derlin Construction responds to the needs of its customers in providing for the likes of the following

- Excavation works
- External drainage systems and access points works
- Form of access roads
- Reinforced concreting work
- Armour barrier installation
- Identification and marking out of parking bays
- Installation of lighting columns and bases
- Setting up of site compounds
- Waterproofing
- Provision of dust suppression measures

4.3.3 Omissions

Measuring equipment used on site (*clause 7.2.2 of BS EN ISO 9001:2015*) remains considered not necessary for control under a calibration process or procedures. Likewise, other than for providing input into design specification, 'Design and Development' (*clause 8.3 of BS EN ISO 9001:2015*) is determined also as not to be applicable to Derlin Construction management control system

Note: With respect of the above, recognition is given that should future reason for omission arise the same will not affect our responsibility in meeting customer expectation and needs for products and services supplied, likewise for any applicable compliance requirement.

4.4 Management System Structure (9001:4.4)

4.4.1 Structure

Our management control system provides details of

- Our management policy statement of intent, outlining relation to performance, customer satisfaction and a commitment to continual improvement
- Specifics of inputs required, and outputs anticipated of processes, from a viewpoint of what is expected either by our customers or by subsequent processes. With the same varying according to the context of our business and application of risk-based thinking, taking into account extent to which the process affects our ability to achieve intended results, likelihood of problems occurring and potential consequences of such problems
- Determination and assignment of responsibilities and authorities for our management control system processes by determining supporting processes and then determining persons who will perform the activities detailed

4.4.2 Process Identification

Through embracing a proactive process approach and via both identifying and managing the following top-level processes individually (*each in turn identifies applicable inputs and outputs, process responsibility, along with supporting notes, as applicable*), our aim remains to continue in reducing opportunities for potential nonconforming output

Note: Details of sequence for the following processes and their interaction is contained at 'Appendix B' (*located at the end of this document*)

Manual Section	Process Ref.	Process Flow Chart Ref.	Page
6.1	Significant Risks	PFC-06/01	13
7.3	Induction	PFC-07/01	17
7.3	Personnel Competency	PFC-07/02	18
7.5	Document Approval	PFC-07/03	21
7.5	Document Amendment	PFC-07/04	22
7.5	Records Control	PFC-07/05	23
7.5	External Document Control	PFC-07/06	24
8.2	Customer Enquiry	PFC-08/01	26
8.2	Customer Order Requirement	PFC-08/02	27
8.4	Supplier Evaluation and Approval	PFC-08/03	29
8.4	Purchasing	PFC-08/04	30
9.4	Internal Audit	PFC-09/01	34
9.5	Management Review	PFC-09/02	36
10.1	Corrective Action	PFC-10/01	38

Each of the above process are further supported by additional sub-process procedures, with details of those considered pertinent made at appropriate sections of this document. Monitoring and control of top-level processes ensures effective implementation and control of sub-processes.

SECTION 5: LEADERSHIP

5.1 Leadership and Commitment (9001:5.1.1)

Derlin Construction management remains firmly committed to the on-going pursuit of product and service quality, customer satisfaction, regulatory compliance, continual improvement and for developing and improving effectiveness, by

- Taking accountability for ensuring our management control system, policy statement and associated core objectives remain compatible with the strategic direction and context of our business
- Ensuring adequate resources remain available in order to enhance customer satisfaction and compliance with the standard detailed previously at section 2 of this document
- Engaging, directing, communicating on, and supporting employees in contributing to the effectiveness of our management control system
- Maintaining an environment that encourages and motivates individuals towards concepts of improvement
- Proactively supporting applicable employees in demonstrating leadership as it applies to individual areas of responsibility
- Promoting improvement, whilst ensuring that information and recommendations etc. from audits and management review meetings are effectively communicated upon

5.2 Customer Focus (9001:5.1.2)

A customer first approach remains fundamental throughout Derlin Construction with a commitment to achievement of customer satisfaction, our intent is to ensure effective processes remain in place to support determination of expectations and needs, statutory and regulatory requirements, related to products and services provided, ensuring requirements are understood.

In addition by utilising results of customer satisfaction evaluation and analysis of data (*see section 9.1.1*), we can also identify and implement a change in customer related processes.

5.3 Management Policy Statement (9001:5.2)

Based upon consideration of services provided, the scope of Derlin Construction management control system includes for the undertaking of civils works within the railway sector and building, civils and groundwork's for a varied range of residential customers.

Our intent is to continue in maintaining honesty, excellence, respect and integrity in all aspects of our business activities, whilst reflecting the highest ethical standards in relationships with our customers, employees, suppliers and service providers by additionally

- Striving for continual improvement of business processes and performance output
- Establishing objectives to help communicate and support business direction
- Remaining aware of and understanding internal and external interested party concerns identified through analysis of risks both facing and resultant of business processes and activities
- Retaining an understanding of the importance of duties/roles and their direct relevance to the continuing success of the business
- Seeking structured feedback from customers, to support efforts of enhancing perceived levels of satisfaction

Our policy statement will further subject of review as a minimum annually, in order to confirm its on-going suitability and compliance with BS EN ISO 9001:2015.

On behalf of Derlin Construction Limited

John McCormack - Managing Director

Note: Copy detail of 'Derlin Construction' management policy statement is available as a standalone document to other interested parties via our company website

5.4 Roles and Responsibilities (9001:5.3)

In addition to outline detail of our organisation structure (*see page 10*), and acknowledging overall responsibility and accountability for Derlin Construction management control system remains with our Managing Director. Further detail of responsibilities and authority (*assigned to one or more persons*) remain detailed within relevant supporting process flowcharts detailed within this document (*see section 4.4.2*).

Such responsibilities and authorities include for

- Ensuring processes and associated activities are delivering intended outputs
- Supporting identification of opportunities for improvement, in addition to liaison and communication with significant parties on matters relating to the same
- Reporting on performance and improvement needs (*see note below*)
- Monitoring the continual promotion of customer satisfaction
- Ensuring our management control system continues in conforming to requirements and for the integrity and maintenance of the same when change is planned and implemented (*see section 6.3*)

Note: *Derlin Construction has assigned the monitoring and coordination for reporting compliance of our management control system via our designated 'Management System Coordinator'*

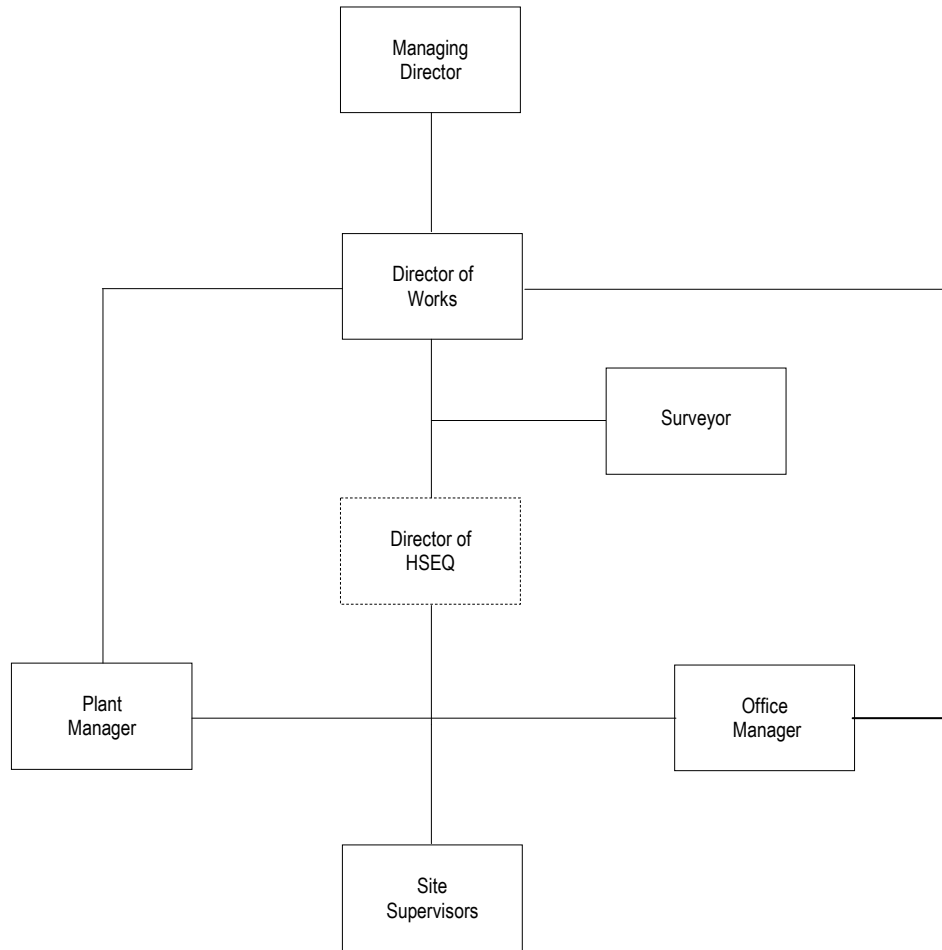
Interactive Sub-Processes

PR-13 - 01 Job Description

PR-13 - 02 Competency Management

PR-13 - 14 Task Briefing

5.5 Derlin Construction - Management Organogram (9001:5.3)



..... Additionally fulfilling the role of compliance Coordinator

SECTION 6: PLANNING

6.1 Risk and Opportunities (9001:6.1)

6.1.1 Determination

Intent of actions relative to risk and opportunity, is to ensure Derlin construction continues to

- Plan for necessary actions to address determined risks and opportunities
- Implements determined actions
- Analyses and evaluate effectiveness of action taken, based upon potential impact on product and service conformity and/or on customer satisfaction.

Based upon operational size of our business, preference has been made for utilising a simplified 'what if' methodology supporting risk based thinking. From the same, levels of determined risk analysis, action and record keeping exist to degrees deemed appropriate and reflective for considered function or process (*section 4.1*),

Significance of determined risks also remain subject of evaluation for their impact, by scoring for levels of severity, occurrence and detection, with a form of 'traffic light', scoring system utilised to prioritise identified risks for action, with

- Red indicating the level of significant risk as being of high concern (*Score 33 > 64*)
- Yellow (*amber*) indicating the level of significant risk as being of medium concern (*Score 16 > 32*)

6.1.2 Risks (9001:6.1.2)

Reflective from the above outcomes, along with acknowledgement towards the scope of our management control system, our intent is in continuing determination of (*not necessarily formally*)

- Significant risks and opportunities associated with our management system processes
- Which risks should be subject of mitigation or improvement opportunity
- Actions to address risks and opportunities
- How negative risk maybe mitigated
- How risk opportunities can be achieved
- Implementing action plans
- Evaluating effectiveness of the actions, have we achieved, are we getting desired results and/or preventing potential for undesired environmental impacts on the business
- Opportunity to learn from experience (*process of continual improvement*)

Note: Overall intent is to give emphasis towards risks that can significantly impact on customer satisfaction expectation (see process flowchart PFC-06/01)

6.1.3 Opportunities (9001:6.1.2)

Derlin Construction additionally seeks out opportunities for improvements through risk-based thinking, corrective action and internal auditing processes, with further discussion and analysis of opportunities also being part of management review activities. Actions for opportunity generally result in one of the following possible determinations

- Pursue the opportunity
- Explore the opportunity further before proceeding
- Accept the opportunity, but under limited and controlled conditions
- Decline the opportunity, typically based on expected risk

Interactive Sub-Processes

PR-11 - 2006 Environmental Practice

PR-13 - 07 Lessons Learned

PR-13 - 09 Information Review

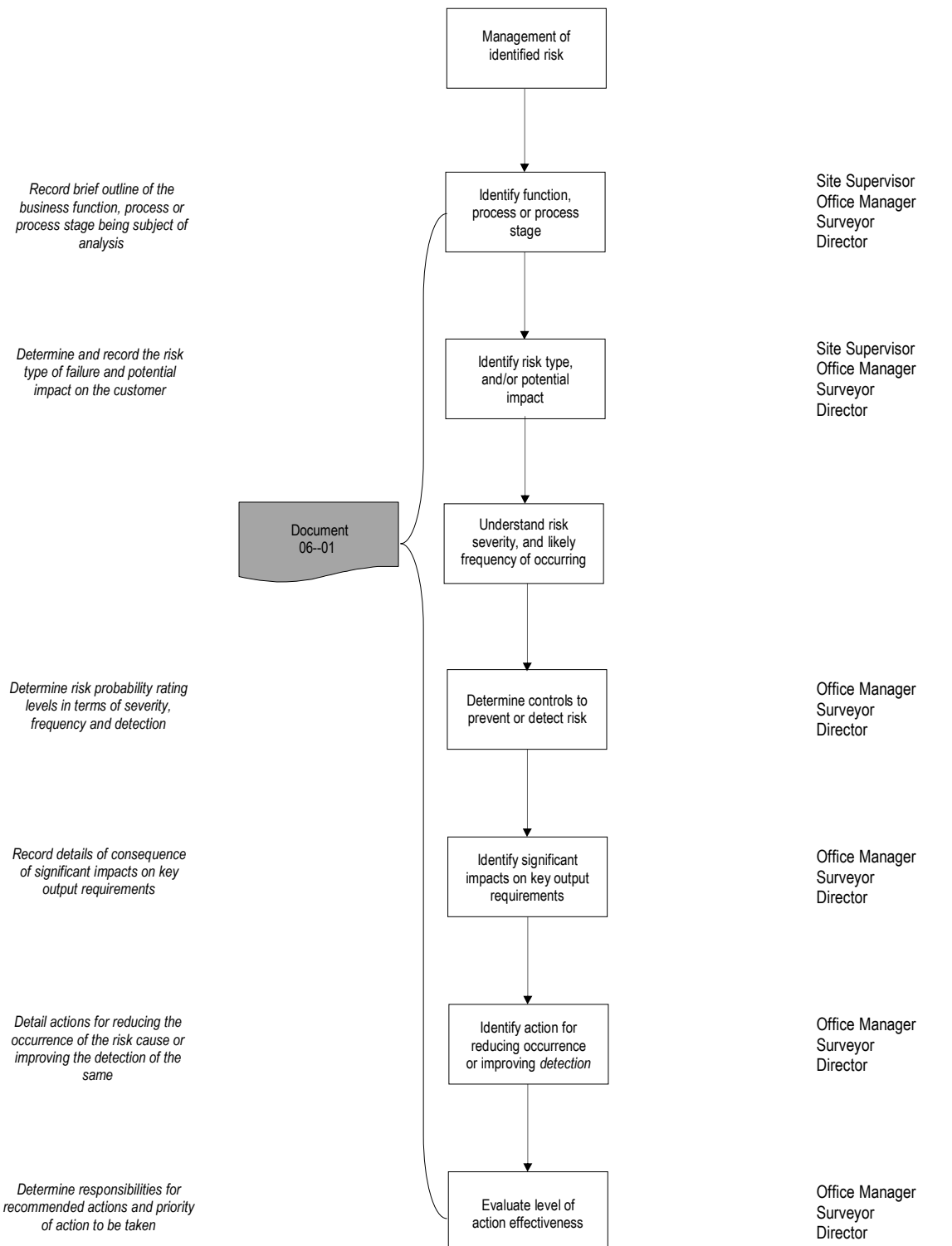
Process Flow Chart: PFC-06/01

Process Title: Significant Risks Process

SUPPORTING NOTES

PROCESS

RESPONSIBILITIES



6.2 Improvement Objectives (9001:6.2)

Core objectives reflective of both the scope of our business and management policy statement include as follows

- Meet or exceed customer expectations by review of needs and effective communication of the same
- Provide high quality products and services, linked with on time delivery and at competitive cost.
- Effectively, manage order requirement determination, process and supply of the same to provide superior customer satisfaction.
- Promote on-going safety, awareness and wellbeing of employees through awareness, training and education.

Additional measurable (*where practicable*) process improvement actions/objectives, will typically be subject of determination via the likes of outcomes of risk, interested parties, internal audits and management review meetings, with the same documented and highlighting

- Detail of improvement action/objective
- Actions to take and responsibility for achievement
- Time frame for anticipated achievement
- Resource needs
- Detail for evaluation of effective achievement

Following determination, the latter measurable improvement actions/objectives, maybe subject of amendment in consideration of new or modified business activities, and monitored/evaluated for achievement, at future internal audits and management review meetings held by Derlin Construction

6.3 Planning Change (9001:6.3)

Our intent is to ensure requirements for change (*as is feasible*) are planned for, introduced as well as implemented, in a controlled manner, in order to maintain both integrity of our management control system along with an ability to continue in providing conforming products and services during any period of change.

Majority of associated change remains planned for within the frameworks of internal audits, and management review meetings. Alternatively, change may also be in response to circumstances, typically for

- Improvement opportunities i.e. to improve process effectiveness
- Identified nonconformity within a process requiring corrective action
- Conditions or change within Derlin Construction requiring update of a process
- New processes added, which impact on existing processes, requiring change
- Customer requirements (*see section 8.1*) resulting in a need to change processes requirement

Request for formal change remains managed by the Compliance Coordinator and subject to review by a person responsible for the process, or our Managing Director dependant on level of significance and approved prior to implementation.

Follow-up verification of change requirements, seek to ensure required change has had intended effect and/or improved the process. If not, reversal of the change maybe instigated or new change made to correct any new issues arising resultant of the change.

Minor change may be made without formal control (*the decision on what constitutes a significant or minor change is solely agreed upon by members of Derlin Construction management*), with changes to documentation carried out (*see process flowcharts PFC-07/05 and PFC-07/06*)

Interactive Sub-Processes

PR-13 - 07 Lessons Learned

PR-13 - 09 Information Review

SECTION 7: SUPPORT

7.1 Resources (9001:7.1)

7.1.1 Provision of Resources (9001:7.1.1, 7.1.2)

Identification of resources necessary for the establishment, implementation, maintenance and continual improvement of our management control system and for its effective operation, likewise enhancement of customer satisfaction, remain a topic of both adhoc informal reviews, whilst in addition to assessment during undertaking of both internal audits and at management review meetings.

In determining resources needing to be provided, consideration is given for current internal resource capabilities, i.e. equipment, plant, employees and organisational knowledge (*see section 7.2.2 below*), in addition to any constraints with respect to costs, versus benefits for the provision of resource needs.

7.1.2 Infrastructure (9001:7.1.3)

Adequate facilities, support services and equipment remain available to ensure the infrastructure needed for conformity of products and services. Acknowledgement is given that infrastructure includes for buildings, workspace and associated utilities; process plant, equipment and supporting services, in addition to IT hardware, software and communication facilities.

7.1.3 Work Environment (9001:7.1.4)

On-going consideration remains for the management of working environments deemed necessary to enhance overall process conformity and delivery of customer needs. Derlin Construction aim remains of promoting facilitation of clean and healthy working environments, whilst also working within applicable legal and regulatory compliance requirements and giving consideration of inputs from interested parties

7.2 Monitoring and Measuring Resources (9001:7.1.5)

7.2.1 General (9001:7.1.5.1)

In acknowledging that in various instances, significant testing and/or checking is required and in others a simple check or monitoring will be sufficient to determine status of products and/or services provided by Derlin Construction, further requirement for regulated levels of necessary monitoring and measurement are addressed via sections 8.1 and 8.6 of this document

7.2.2 Calibration of Measuring and Test Device (9001:7.1.5.2)

As per justification defined at sub-section 4.4.2 'omissions' no measurement or test equipment used during site work is considered necessary to be controlled under a calibration process.

7.2.3 Organisational Knowledge (9001:7.1.6)

When addressing changing needs and trends, consideration remains for levels of current internal knowledge and for determining how to acquire or access additional knowledge needs when addressing change. Sources of knowledge for effective undertaking of process activities linked to achievement of project supply conformity, include for details of work activity instruction in place, in addition to feedback from knowledgeable subject matter persons. Standards, related industry bodies, seminars, information gathered from customers or suppliers

7.3 Employee Competency and Awareness (9001:7.2, 7.3)

Employee suitability for employment is determined on their ability to perform acceptable work. This is undertaken by comparing the prospective employee application, detailing education, training, skills and experience, against specific process requirements. It is not mandatory that prospective employees meet all requirements, if we can provide subsequent training or other actions to bring prospective employee up to requirements eventually.

Derlin Construction ensures sufficient competent employees remain available for effective operation of our management system as well as having required competence for processes or activities that can affect conformity of products and services and/or customer satisfaction.

7.3 Employee Competency and Awareness - Cont'd...

With respect to monitoring employee on-going awareness and succession needs, we remain proactive in ensuring

- Monitoring of ongoing competence needs of employees and providing additional training or taking other actions to achieve necessary competence
- Employees remain continually aware of our management policy statement and their contribution to achievement of its aims and of our core business objectives
- Awareness of implications for not conforming in line with our management control system requirements, including not fulfilling the company's compliance obligations
- Adequate records of employee competency levels remain maintained (*see process flowchart PFC-07/02*).

Our internal auditing process (*see section 9.2*) will evaluate the effectiveness of the above, in addition to review for effectiveness being made at annual management review meetings (*see section 9.3*).

Note: Competencies/qualifications of service providers whose work activity impacts on compliance obligations remain validated, via the process for supplier and service provider approval (*see section 8.4*)

Interactive Sub-Processes

PR-13 - 01 Job Descriptions

PR-13 - 02 Sentinel Work Instruction

PR-13 - 03 Competency Management

PR-13 - 04 Drugs and Alcohol

PR-13 - 10 Work Safe

PR-13 - 14 Task Briefing Sheet

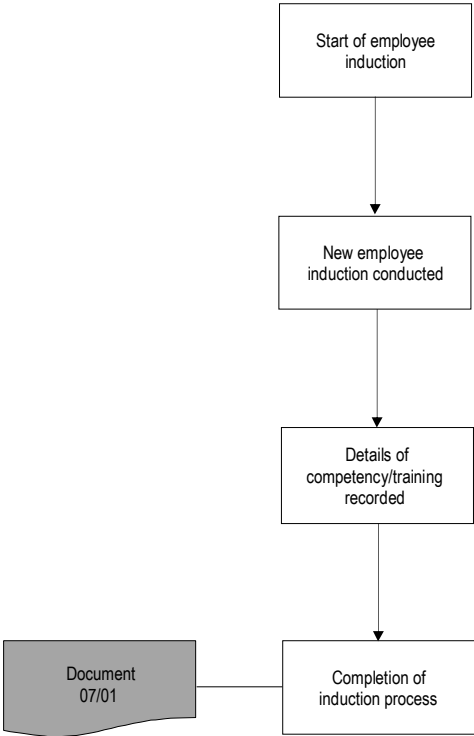
Process Flow Chart: PFC-07/01

Process Title: Induction Process

SUPPORTING NOTES

*Additionally for employees
changing job roles (as deemed
applicable)*

PROCESS



RESPONSIBILITIES

Employee
Site Supervisor
Office Manager
Surveyor
Director

Site Supervisor
Office Manager
Surveyor
Director

Process Flow Chart: PFC-07/02

Process Title: Competency Process

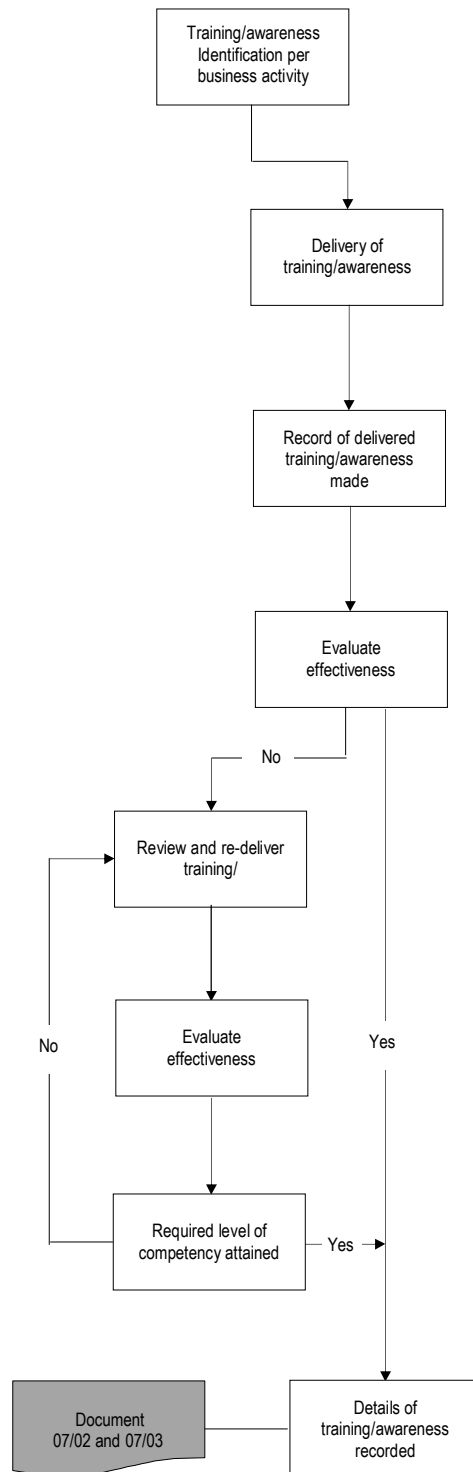
SUPPORTING NOTES

Initial and subsequent training, i.e. on-the-job training is performed to ensure employees remain knowledgeable /competent in their employment

The employee skills matrix lists applicable task-specific requirements and required training is conducted for these tasks.

Evaluation of training additional made via Internal auditing process and management review

PROCESS



RESPONSIBILITIES

External Source
Site Supervisor
Office Manager
Surveyor
Director

Office Manager
Surveyor
Director

Office Manager
Surveyor
Director

Office Manager
Surveyor
Director

Office Manager
Surveyor
Director

7.4 Communications (9001:7.4)

With lines of communication remaining known and a spirit of an 'open door' policy approach existing for all to highlight issues and concerns informally. Management ensures internal communication takes place regarding the effectiveness of the management control system. Methods of internal communication include *(as applicable)* for

- Daily verbal contact, periodic, scheduled and/or unscheduled meetings formally recorded or not
- Internal memos and emails
- Communicating awareness of information pertinent to external persons undertaking any work, service or maintenance activities at our premises
- Feedback on the results of the internal audit process to members of management
- Use of corrective processes to report nonconformities or suggestions for improvement
- Results of analysis and evaluation of data pertinent to our management control system

Managed once more by our Directors, Derlin Construction also continues to maintain arrangements for customer communication with regard to

- Providing information relating to handling enquiries, contracts or order requirements, including request/requirement for change
- Handling or controlling *(as may arise)* any form of customer intellectual rights

Effective controls also remain for feedback of customer service satisfaction *(see document 09/03)*, also for handling nonconforming requirement and/or adverse feedback such as complaints *(see section 8.7)*.

7.5 Document Control (9001:7.5)

7.5.1 General (9001: 7.5.1)

Derlin Construction maintains effective controls for preparing, approving, distributing, implementing, revising and updating documented information needed for conformity to BS EN ISO 9001:2015. When referring to 'maintaining documented information, acknowledgement is given for such information to be kept up to date i.e. management policy statement, improvement objectives, this document itself. Alternately for 'retained documented information', used to provide evidence about whether or not a requirement has been fulfilled.

All of above is to be protected against loss or deterioration.

7.5.2 Approval and Control (9001: 7.5.1, 7.5.2, 7.5.3)

Document approval and control ensures all persons within Derlin Construction continue to have access to latest approved information, determined as necessary for the effectiveness of our management control system and that related to attainment of customer service requirement. Whilst in addition restricting the use of obsolete information. In consequence of the same detail of our management control system issue status remains controlled via an 'issue and amendment log', *(see commencement of this document)* which details

- Date of issue/amendment
- Reference of issue/amendment detail
- Issue status
- Identification for approval

Electronic master versions of this document remain password protected from unauthorised change, and a further PDF copy is accessible via our internal computer server, for access by employees and other authorised persons *(see process flowchart PFC-07/03)*.

7.5.3 Revision/Amendment (9001: 7.5.3.2)

Changes remain planned for via frameworks of internal audits *(see section 9.2)* and/or management review meetings *(see section 9.3)*, or alternately in response to changing circumstances such as process, operational or organisational change. Where change is required to text of this document, a right hand margin line is used to identify the change and affected pages or documents are updated to the next issue status *(see process flowchart PFC-07/04)*.

7.5.4 External Documents (9001: 7.5.3.2)

Third party specification documents referenced in customer purchase orders or contract can remain without control, provided revision of the document is verified to revision status indicated by the customer. Where a customer provides no revision number, latest (*most recent*) revision is assumed.

External documents held by Derlin Construction i.e. standards, codes of practise etc. directly relevant to our processes, remain subject of control. Such control requires a document latest version to be maintained on computer server (*electronic versions*), or folder for controlled external documents (*hardcopies*). In addition to details of the same being recorded within a 'standards and external documents' register (*see process flowchart PFC-07/06*).

Reference to other standards and regulatory documents used for reference, are accessed on an as needs basis via links of applicable websites.

7.5.5 Forms

Forms are considered as a unique one off formatted document, that may be subject to being photocopied as needed, for continuing use. Details of current forms and any amendments to the same are to be made known to our Compliance Coordinator for inclusion onto the 'documents and records register' (*see document 07/05*).

7.5.6 Collation of Records (9001: 7.5.3.1, 7.5.3.2)

Management control system documents (*remaining maintained*) and records (*subject of retention*) in any type of media i.e. hard or soft copy, will remain accessible and preserved against damage, deterioration or loss with their details being recorded onto the 'documents and records register' inclusive of issue status, agreed responsibility for retention, collation and preservation (*see process flowchart PFC-07/06*).

Controls referred above remain exercised at the discretion of Derlin Construction for those records providing evidence of conformance to requirements, contractual requirements, procedural requirements, or compliance obligations. In addition to any records, which support evidence of the effective operation of our management control system.

7.5.7 Electronic Media (9001: 7.5.3.1, 7.5.3.2)

Electronic data contained on our computer server, remains subject of backup and secure protection. Whereas data stored on individuals' computers i.e. portable laptops is to be backed up through the server, or manually onto the server, noting users of such data remain responsible for effectively maintaining data not backed up by the server.

In reliance made of electronic systems and software programmes within Derlin Construction, a proprietary 'virus' detection/protection program protects all computers, with the same constantly being updated.

7.5.8 Sub-Process Procedures (9001: 7.5.3.2)

Relative sub-processes determined necessary for individual customer contractual scheme compliance i.e. 'Network Rail' and London Underground', remain detailed within our 'documents and records register' (*see document 07/05*) and indicated for current issue status.

Where determined that an individual referred sub-process is supportive in enforcing the effectiveness of Derlin Construction management control system, details of the same are recorded within relevant sections of this document.

7.5.9 Drawings and Specifications (9001: 7.5.3.2)

Copies of drawings internally raised supporting awareness of product specification and/or customer supplied for unique requirement remain within relevant files..

Interactive Sub-Processes

PR-13 - 09 Information Review

Process Flow Chart: PFC-07/03

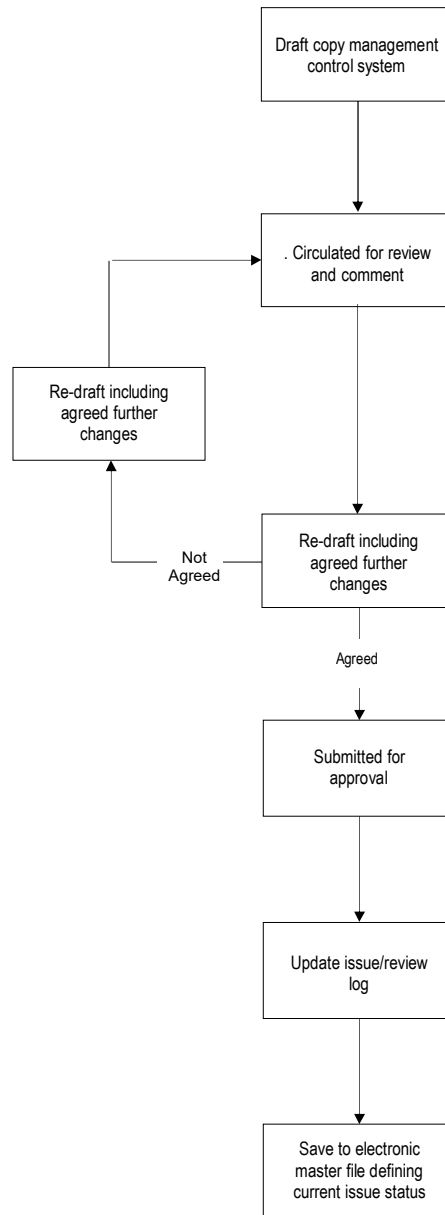
Process Title: Document Approval Process

SUPPORTING NOTES

PROCESS

RESPONSIBILITIES

Additionally discuss with persons whose employment impacts on processes



Site Supervisor
Office Manager
Surveyor
Director

Office Manager
Director

Office Manager
Director

Office Manager
Surveyor
Director

Ensure update of issue and amendment logs within hardcopies in circulation

Office Manager
Surveyor
Director

Master copy to maintained by Management Systems Coordinator

Office Manager
Director

Process Flow Chart: PFC-07/04

Process Title: Document Amendment Process

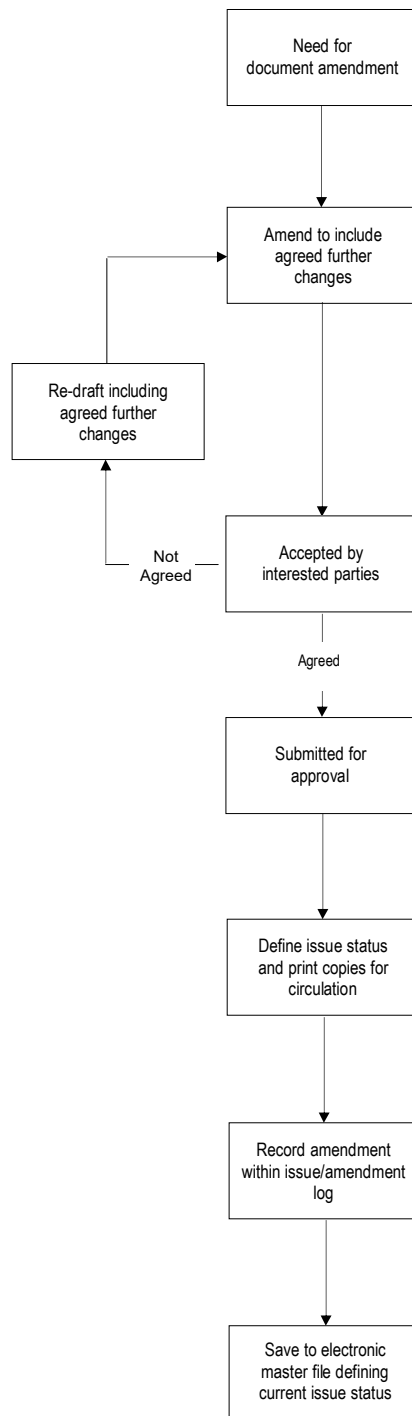
SUPPORTING NOTES

Amendment to management control system identified due to process change or improvement

Additionally discuss with persons whose employment impacts on processes

Ensure update of issue and amendment logs within hardcopies in circulation

PROCESS



RESPONSIBILITIES

Office Manager
Surveyor
Director

Office Manager
Surveyor
Director

Office Manager
Surveyor
Director

Office Manager
Director

Office Manager
Director

Office Manager
Director

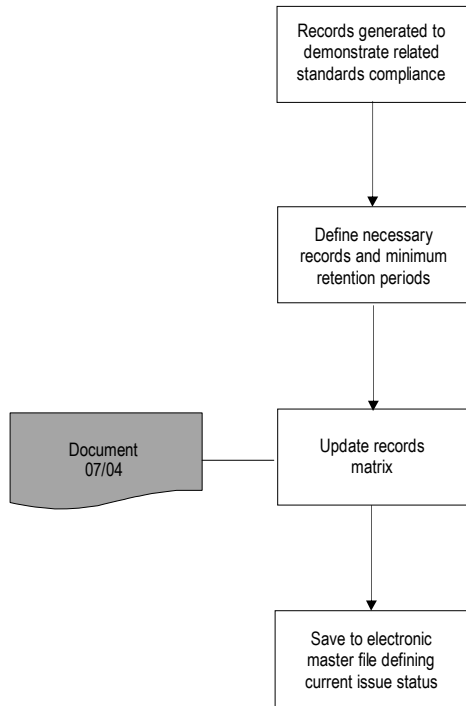
Process Flow Chart: PFC-07/05

Process Title: Records Control Process

SUPPORTING NOTES

Confirm up to date during internal audits

PROCESS



RESPONSIBILITIES

Site Manager
Office Manager
Surveyor
Director

Office Manager
Director

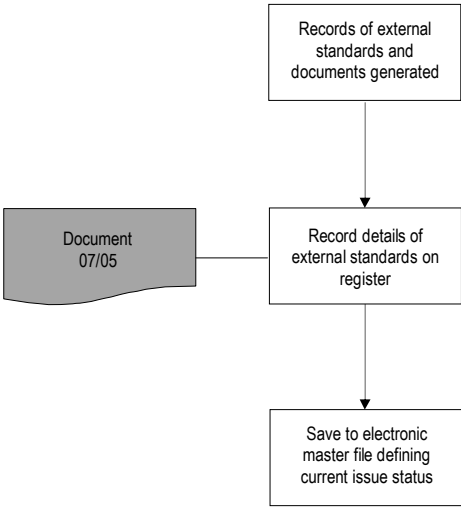
Process Flow Chart: PFC-07/06

Process Title: External Documents Control Process

SUPPORTING NOTES

*Confirm up to date during
undertaking internal audits*

PROCESS



RESPONSIBILITIES

Office Manager
Director

SECTION 8: OPERATION

8.1 Planning and Control (9001:8.1, 8.3.2, 8.3, 8.3.4)

Whilst remaining alert to ensuring consistency with our management policy and likewise strategic vision and aims, typical inputs into the planning and control of product realisation processes include for

- Conformation for essential requirement and supply output objectives having been determined, including requirements for handover
- Determination and provision of processes, information, documents, resources, infrastructure and a work environment to supply and carry out necessary site work conforming with relevant legislation and regulation, whilst striving to prevent pollution
- The implementation of arrangements for the measurement and verification of required processes to ensure achievement of planned output results.

8.2 Customer Requirements (9001: 8.2.2, 8.2.3, 8.2.4, 5.2, 8.5.4, 8.5.6)

Review and Supply of Requirements (9001: 8.2.2, 8.2.3, 8.2.4, 8.5.2, 8.5.4, 8.5.6)

Requirements for site product supply and work requirements are subject of review to ensure that all explicit and implied contract requirements are addressed at tender and throughout delivery of the contract, thereby enabling confirmed understanding of needs and expectations (see process flowchart PFC-08/01), including for

- Availability documents, records, specifications, instruction and details of requirements etc. leading to defining required product and/or site work output results to be achieved
- Ability, level of risk factor, surmised value, level of resource commitment necessary to fulfil requirements.
- Intended use of products and other requirement for the same, not actually stated but considered necessary for intended use
- Implementation of actions to detect/prevent human error during site working
- Establishing requirement for post-delivery activities and for gathering customer satisfaction perception

In instances where the customer provides no documented statement of requirement, Derlin Construction shall confirm understanding requirement.

Requirements with a value over £5000 will be entered into the 'main contracts register', allocated a number, with details of work, customer and other relevant details will be recorded, and filed.

Requirements with a value less than £5000 will be entered into the 'small works register', with details recorded

Request for product change are subject to consideration e.g. level of impact on work already carried out, delivered by Derlin Construction and for any further planned work. Concerns regarding implementing requested change will be subject of communication with the respective customer.

8.3 Design and Development (9001:8.3)

As per justification defined at sub-section 4.3.3 'omissions' other than for providing input into design specification. Requirement for product and/or service design and development has been determined not applicable to our management control system

Interactive Sub-Processes

PR1 - 2006 Tender and Post Contract Review

PR13 - 06 Validation of change

PR13 - 09 Information Review

PR13 - 12 Construction Phase Plan

PR13 - 13 Work package Plan

Process Flow Chart: FC-08/01

Process Title: Customer Enquiry Process

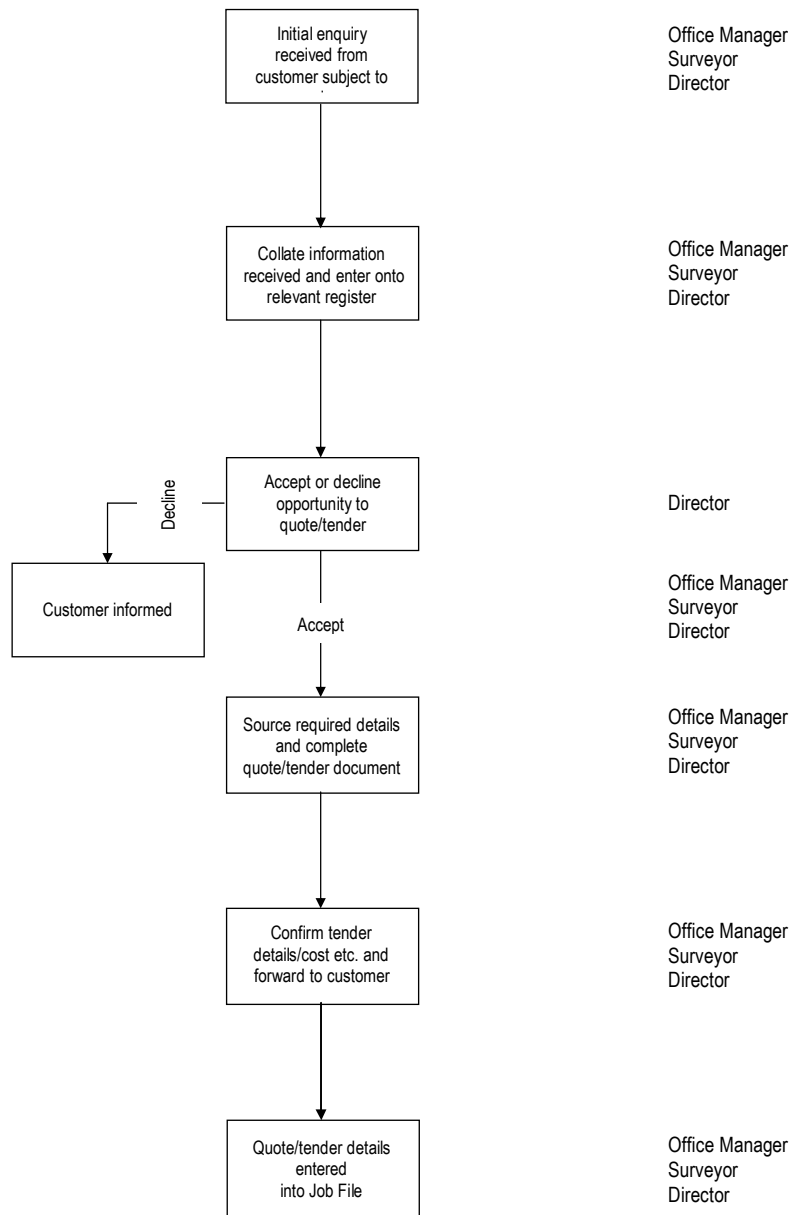
SUPPORTING NOTES

PROCESS

RESPONSIBILITIES

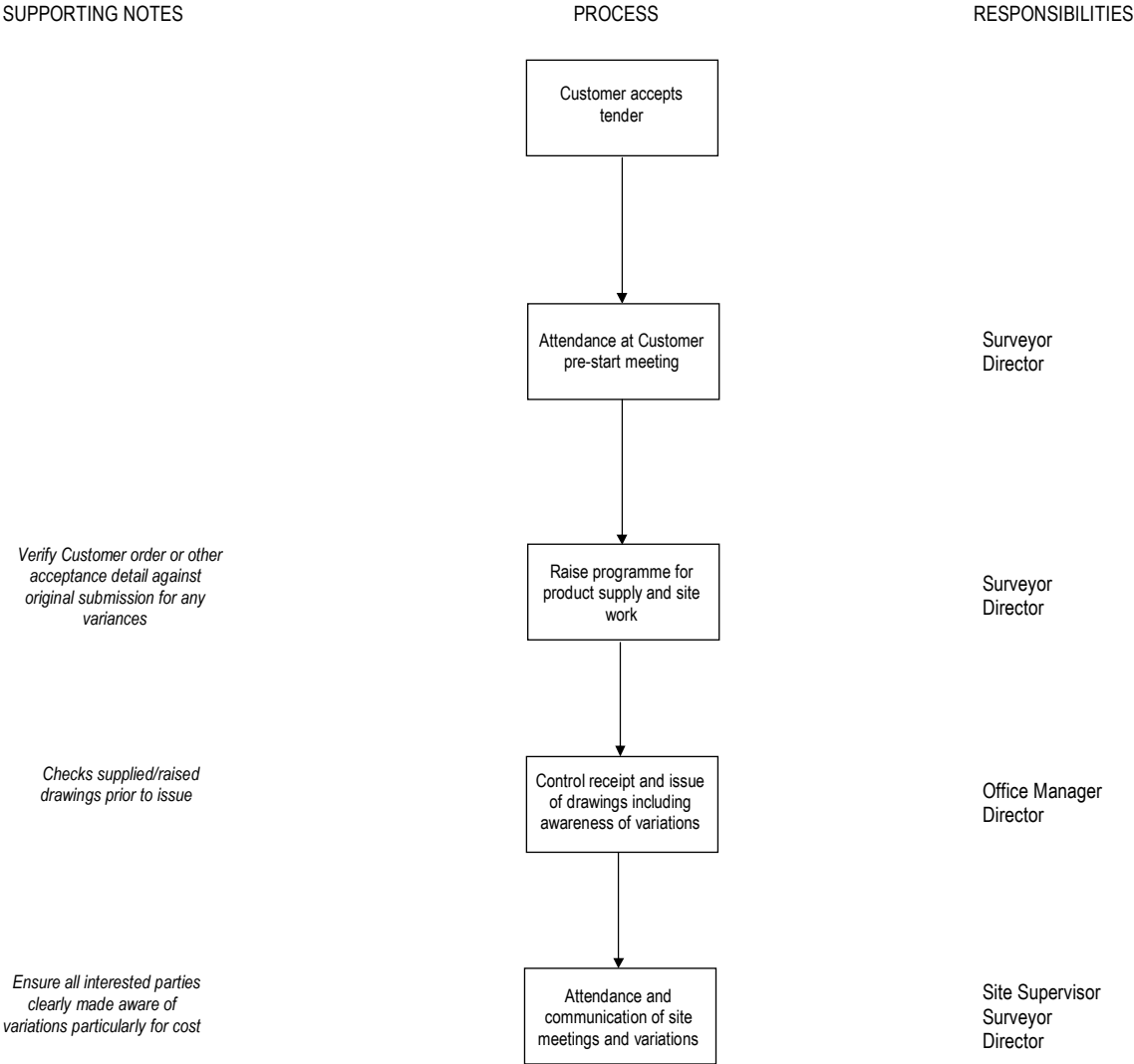
*£5K+ onto 'main contracts register'
Less than £5K onto 'small works register'*

Including external resource needs, materials, labour costs requirement.



Process Flow Chart: FC-08/02

Process Title: Customer Order Requirement Process



8.4 Procurement of Products and Services (9001:8.4)

8.4.1 Supplier Evaluation and Approval (9001:8.4.1)

Product and/or service suppliers are subject to evaluation and approval for use (*see process flowchart PFC-08/03*). Exception to this requirement exists for instance of a customer contractual requirement mandating use of a particular supplier or service provider and as use of the same **must** contractually be made, the requirement will override the evaluation and approval process referred

Note: *Office supplies, administrative consumables etc. not considered critical materials/products are therefore not subject to the evaluation/approval process.*

8.4.2 Purchase Order

Purchases are made via the release of purchase orders and/or contracts which clearly describe what is being purchased. Persons authorised in raising purchase orders or contract requirement, ensure necessary level of detail is included for compliance of needs and expectations (*see process flowchart PFC-08/04*). Details considered for inclusion, include for

- Supplier name also address etc.
- Unique purchase order/contract reference

8.4.3 Material/Product, Verification (9001:8.4.2)

Materials/products received at our premises or on direct to site are subject to inspection for acceptance to specification criteria. In remote circumstance of a customer request to carry out verification of material/products at supplier premises prior to delivery, arrangement for the same is via pre-informing the supplier of the requirement and of a visit agenda.

8.4.4 Product/Material Identification, Traceability and Preservation (9001: 8.5.2, 8.5.4)

Purchased material/products identification is by supply source name, part numbering and/or description. In addition to remaining protected to minimise damage or deterioration, products with a known or suspected limited shelf life are subject to monitoring, during storage and actual use.

As the situation arises, customer intellectual property is maintained and preserved to prevent accidental loss, damage or inappropriate use.

8.4.5 Supplier Performance (9001:8.4.2)

Suppliers and service providers remain evaluated for satisfactory performance through review and analysis of nonconformity/problem detail recorded and those providers, whose supply performance does not satisfy requirements and as considered appropriate are informed of concerns having arisen for satisfactory resolve.

8.5 Contractor Control (9001:8.4.3)

Contractors are required to conform to applicable legislative, regulatory and other requirements, in addition to ensuring their employees are aware of the same for compliance with. As deemed applicable to the nature of site work activity and/or levels of possible impact on the environment, contractors remain pre-validated for their ability and qualification.

Further, need to request a contractor to supply details in the form of a work 'method statement' will be dependent upon the nature or work scheduled for undertaking and determined risk factor(s) involved.

Interactive Sub-Processes

PR1 - 2006 Tender and Post Contract Review

PR13 - 13 Work Package Plan

Process Flow Chart: PFC-08/03

Process Title: Supplier Evaluation Process

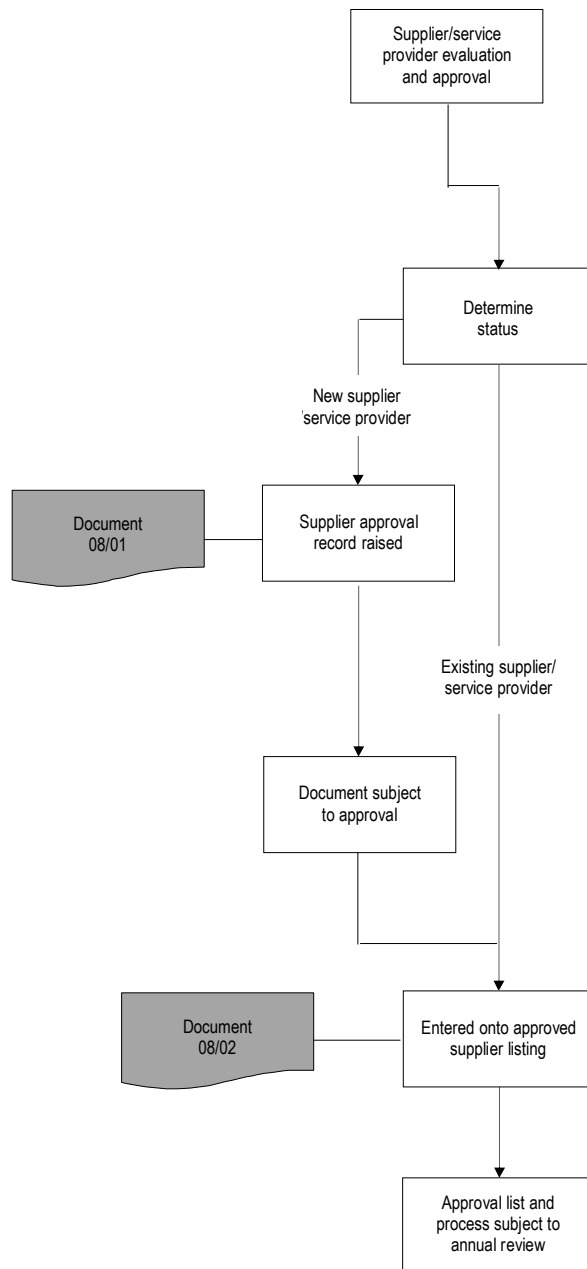
SUPPORTING NOTES

PROCESS

RESPONSIBILITIES

Process applicable to suppliers and services providers having significant impact of meeting site needs and expectations

Process activity stage not applicable, whereas the customer mandates product or service provider source



Office Manager
Surveyor
Director

Office Manager
Director

Office Manager
Surveyor
Director

Office Manager
Director

Office Manager
Director

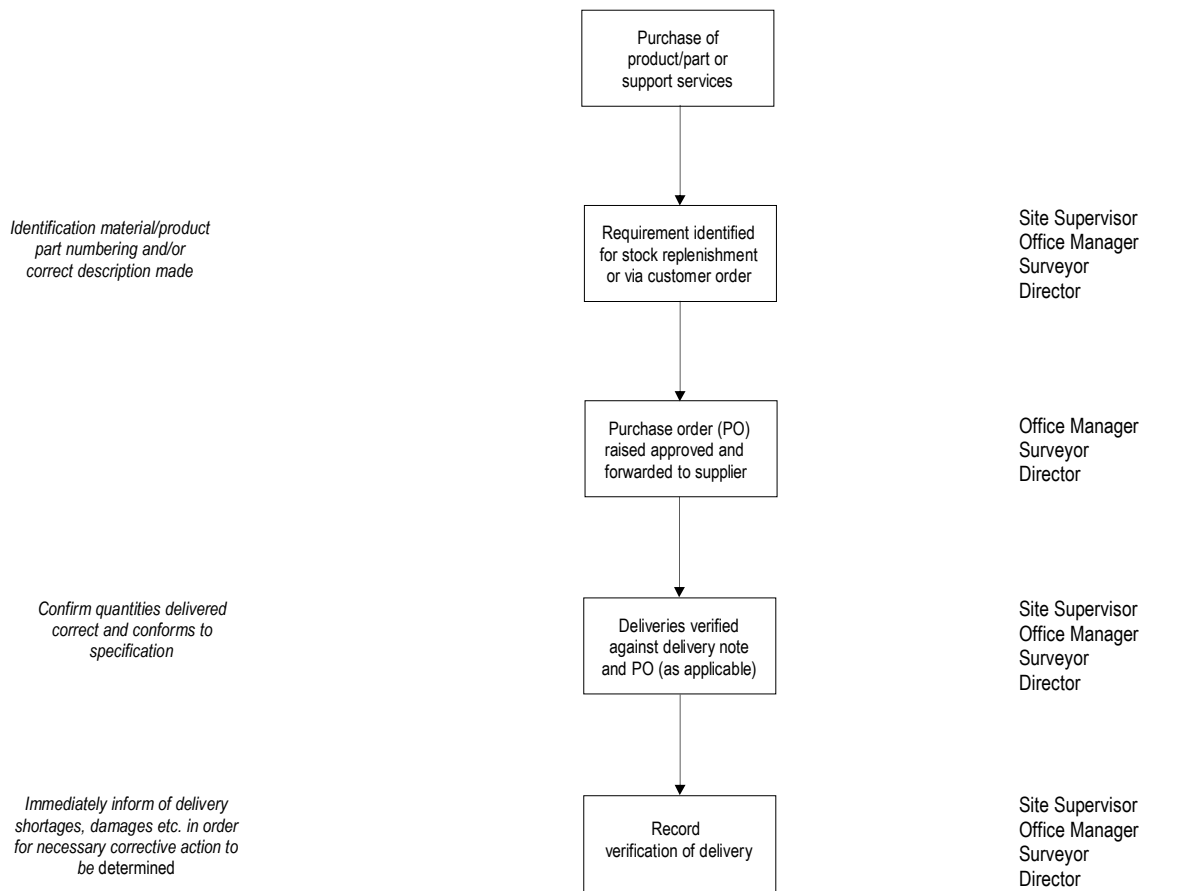
Process Flow Chart: PFC-08/04

Process Title: Purchasing Products and Services Process

SUPPORTING NOTES

PROCESS

RESPONSIBILITIES



8.6 Site Work Processing and Inspection (9001:8.5, 8.6)

8.6.1 Control of Requirements (9001 8.5.1)

Derlin Construction continues in giving consideration for

- Availability of necessary documents, records, specifications, instruction and details of material etc. that lead to defining the required project/works requirement characteristics as well as for output result to achieve
- Implementation of actions determined necessary to detect/prevent human error during work processing, ensuring that only the most current information is available, such as specifications, work instructions etc. to employees and that obsolete information is removed so that it can't be accidentally applied.
- Provision of suitable and effective infrastructure and work environments for work requirement processing
- Appointment of competent persons, including any required qualifications (*see section 7.3*)
- Establishing requirement for any post-delivery activities and for gathering of customer satisfaction perception

8.6.2 Works Instructions (9001 8.5.1)

As determined necessary by Derlin Construction, whilst likewise appropriate to size and complexity of works to be undertaken, one or more of the following documents/instruction will be raised and contained within individual contract site files i.e. 'method statement/programme', 'inspection plan and checklists' in addition to 'contract health and safety checklist' and 'health and safety reports'

8.6.3 Works Instruction Variations

Work instruction variations are to be supported by new customer orders or written amendments to orders. Significant change requirements will be subject to review for additional pricing, H&S implications and/or quality plan change etc.

8.6.4 Inspection of Works Undertaken

The object of such inspection is twofold - to ensure a high standard of workmanship and reduce snagging items being indicated by the customer. Records of Inspection are to be as detailed in the 'quality plan', and incorporated into the contract health and safety file.

Any 'quality action forms' raised with regard to non-conformance of works, will result in re-inspect of the same to ensure customer satisfaction. Site employee traceability remains maintained by means of the 'daily report' and 'site diary and 'inspection plans'; which identify the 'employee' and 'inspector of works' respectively.

8.7 Nonconforming Output (9001:8.7, 10.2)

Nonconforming output is referred to any process, product or service found **not** meeting requirements i.e. customer or specification, likewise for any other reasoning deemed relevant by Derlin Construction. In line with processes for the control and disposition of nonconforming products/services, irrespective of where in the realisation process they arise (*even if after use*), actions encompass identifying responsibility and authority for handling and investigating nonconformity/problems, taking action to initiating correction and completing any required corrective action

A 'quality action form' is raised, to identify any deficiency or problem arising (see process flowchart PFC 10/01).

Quality action forms also remain used as a tool for improvement, following the evaluation of any defined problem in terms of potential impact i.e. on business performance.

Interactive Sub-Processes

PR3 - 2006 Management and Inspection of Works

PR5 - 2006 Maintenance of Plant and Equipment

PR13 - 02 Sentinel Work Instruction

PR13 - 06 Validation of Change

PR13 - 12 Contract Phase Plan

PR13 - 14 Work Package Plan

9 PERFORMANCE EVALUATION

9.1 Monitoring and Measurement, Analysis (9001: 9.1, 9.1.3)

Suitable methods for the monitoring and measurement of our management control system processes remain in place. Such methods demonstrate the ability of processes to achieve planned results. When planned results are not achieved correction and corrective action is undertaken.

Monitoring of material, product and service verification remains at significant process stages and as applicable records remain available, identifying the authority responsible for material, product/service release.

9.2 Customer Satisfaction (9001:9.1.2)

One measurement for determining effectiveness of our management system performance, relates to perceived level of customer satisfaction. Related information for monitoring and evaluating satisfaction levels include

- Customer complaints
- Repeat customer orders received
- Perceived satisfaction levels via understanding by Derlin Construction or as provided via our customers

The corrective action process (*see section 10.1*) may be utilised in order to further develop and implement plans for customer satisfaction improvement that address deficiencies identified by the above evaluations results

9.3 Analysis and Evaluation of Data (9001: 9.1.3)

Collated information from various sources supports the evaluation and monitoring of our management control system for continuing effectiveness and identification of areas for possible further improvement. Analysis of data is also intended to aid the determination of existing or potential nonconformity/problem root cause and thereby the level of corrective action. Analysis of data, provides supportive information relating from

- Conformity of business activities
- Trends and/or patterns
- Opportunities for undertaking corrective action
- Reviews of supplier performance

9.4 Internal Audit (9001: 9.2)

9.4.1 Audit Planning (9001: 9.2)

Derlin construction plans for and conducts internal audits to verify our management control system, for effective implementation and compliance with the standard requirements detailed previously (*see section 2*). As part of the program for internal auditing, auditors being objective and impartial of the process activities will be responsible for determining the process activities etc. to be audited. Such audits will be subject of undertaking at approximately six (6) month intervals. Whilst ensuring that all relative process activities associated with our management control system remains to be addressed at least once during the relevant 12-month period.

9.4.2 Undertaking Internal Audits (9001: 9.2.2)

Auditors (*more than one person to ensure impartiality of their own process activity remaining independently audited*) will outline the scope of the audit by making persons aware of employment areas, process activities, documents and/or records intending auditing. The same persons maybe guided during the audit by process or technically knowledgeable persons in order to enable judgement, concerning the strengths and weaknesses of the activity concerned.

Whilst conducting the audit, recorded detail is made of evidence of activities, processes, documents checked, in addition to records verified/validated (*see process flowchart PFC-09/01*).

Auditors will notify persons concerned within Derlin Construction of any nonconformity/problems relating to outcomes, with detail of the same recorded within the audit summary report and onto a 'Quality Action Form' (*see process flowchart PFC-10/01*).

9.4.2 Undertaking Internal Audits - Cont'd...

Recorded details of nonconformity/problems requiring correction at the earliest opportunity are discussed and agreement for action to be taken to correct the nonconformity and minimise repetition. Following which an evaluation of the same for effectiveness or determination for requirement of any further corrective action is undertaken.

Degrees of corrective action will depend on its projected impact on Derlin Construction management control system.

Process Flow Chart: PFC-09/01

Process Title: Internal Audit Process

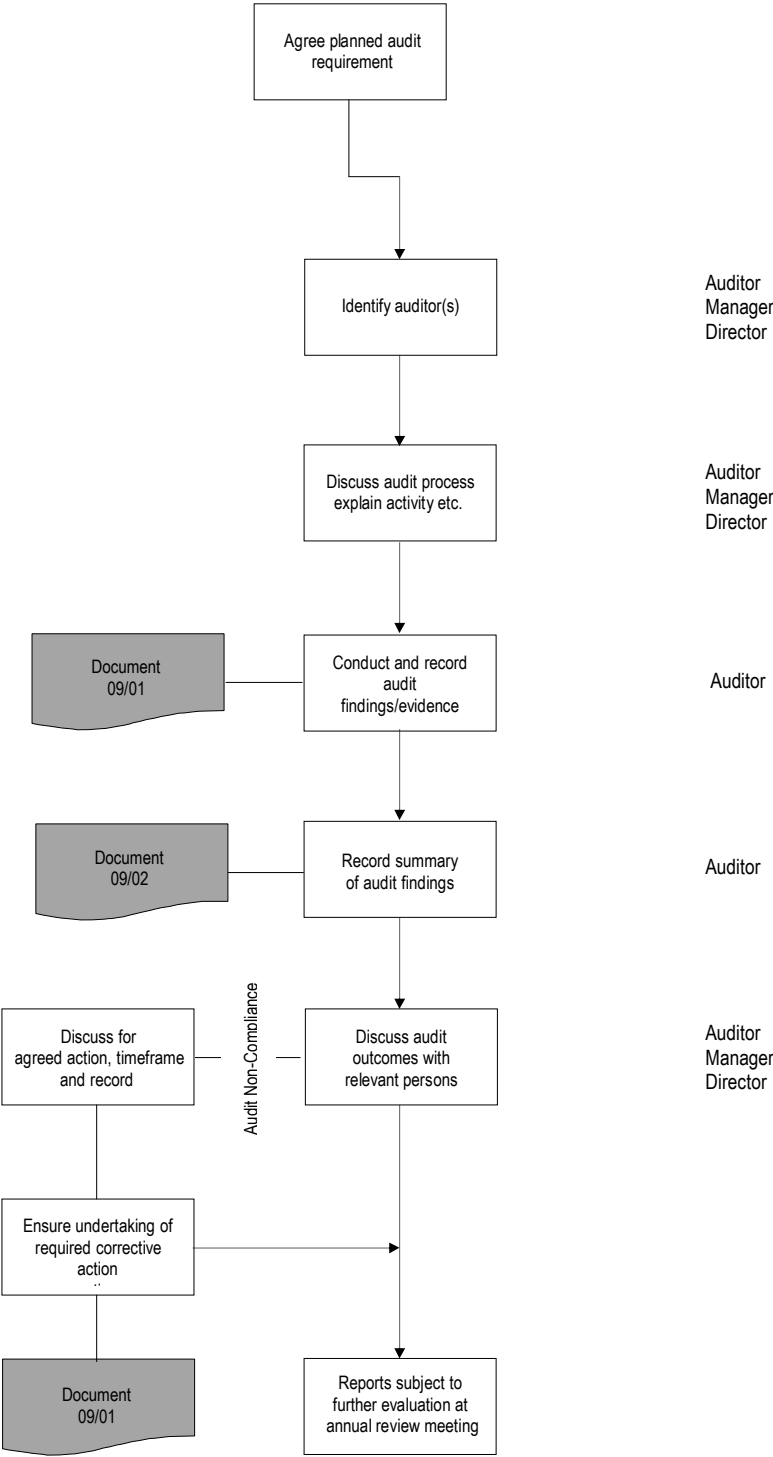
SUPPORTING NOTES

PROCESS

RESPONSIBILITIES

Auditors to be independent of process or area of activity to ensure impartiality

Auditors to ensure good communication to enhance effectiveness of audit



9.5 Management Review (9001: 9.3)

9.5.1 Review Meeting Inputs (9001: 9.3.2)

In addition to a wide-range of meetings held for various intent (*not all being necessary recorded*), a formal management review meeting is held annually.

Management review meetings, attended by members of senior management, along with selected representation from various departments/sections within Derlin Construction, may also at the discretion of senior management be attended by other parties' external to the company, whereas they are considered able to add valued input to the meeting.

The aims of management review meetings, is to facilitate structured review and evaluation of Derlin Construction management control system, with a primary aim to confirm its suitability, continuing implementation, effectiveness and for compliance with BS EN ISO 9001, BS EN ISO 14001 and product certification requirements (*see process flowchart PFC-09/02*).

Review meetings additionally include for assessing opportunities for improvement, evaluating the status and any need for change of our strategic aims, previously determined objectives and related implementation programs.

9.5.2 Outputs (9001: 9.3.3)

Copies of management review meeting minutes containing observations, recommendations and conclusions are forwarded to attendees and other interested parties, particularly in order to facilitate detail for necessary correction, corrective and/or improvement actions and as evidence of compliance with the aforementioned requirements.

Interactive Sub-Processes

PR3 - 08 Analysis of HSEQ Data

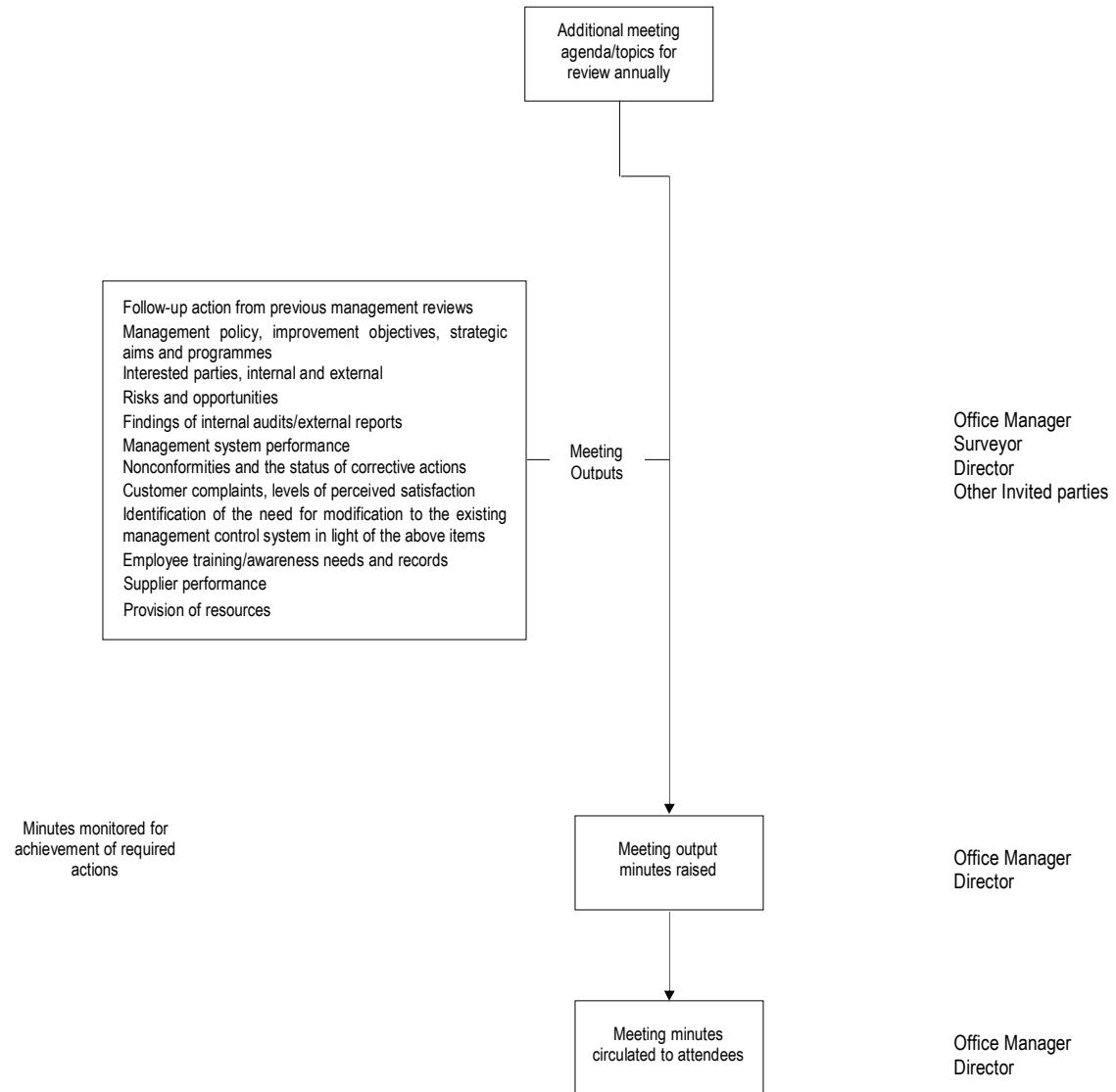
Process Flow Chart: PFC-09/02

Process Title: Management Review Process

SUPPORTING NOTES

PROCESS

RESPONSIBILITIES



10 Improvement (9001:10.1)

10.1 Corrective Actions (9001:10.2)

In pursuing corrective action, members of Derlin Construction management team in addition to other interested parties, may record sources of information defining required corrective actions, with attention towards focusing on eliminating causes and for avoidance of recurrence (see process flowchart PFC-10/01). Examples of sources of information for corrective action consideration include

- Customer complaints
- Product, service or process nonconformity, corrective action reports (see section 8.7)
- Internal audit reports
- Feedback from management review meetings

10.2 Continual Improvement (9001:10.3)

Continuous use is made of our management control system generated information and data, in order to support the identification of meeting customer requirements and enhance customer satisfaction via continuing improvement i.e. process, product and/or service related.

Typical information and data encompasses

- Perceived levels of customer satisfaction, as well as other interested parties
- Levels of product, service conformity
- Effectiveness of action taken to address risks and opportunities (see section 6.1)
- Opportunities for undertaking corrective action
- Reviews of supplier performance (see section 8.3)
- Internal audit results
- Management review meeting outputs
- Other improvements to our management control system

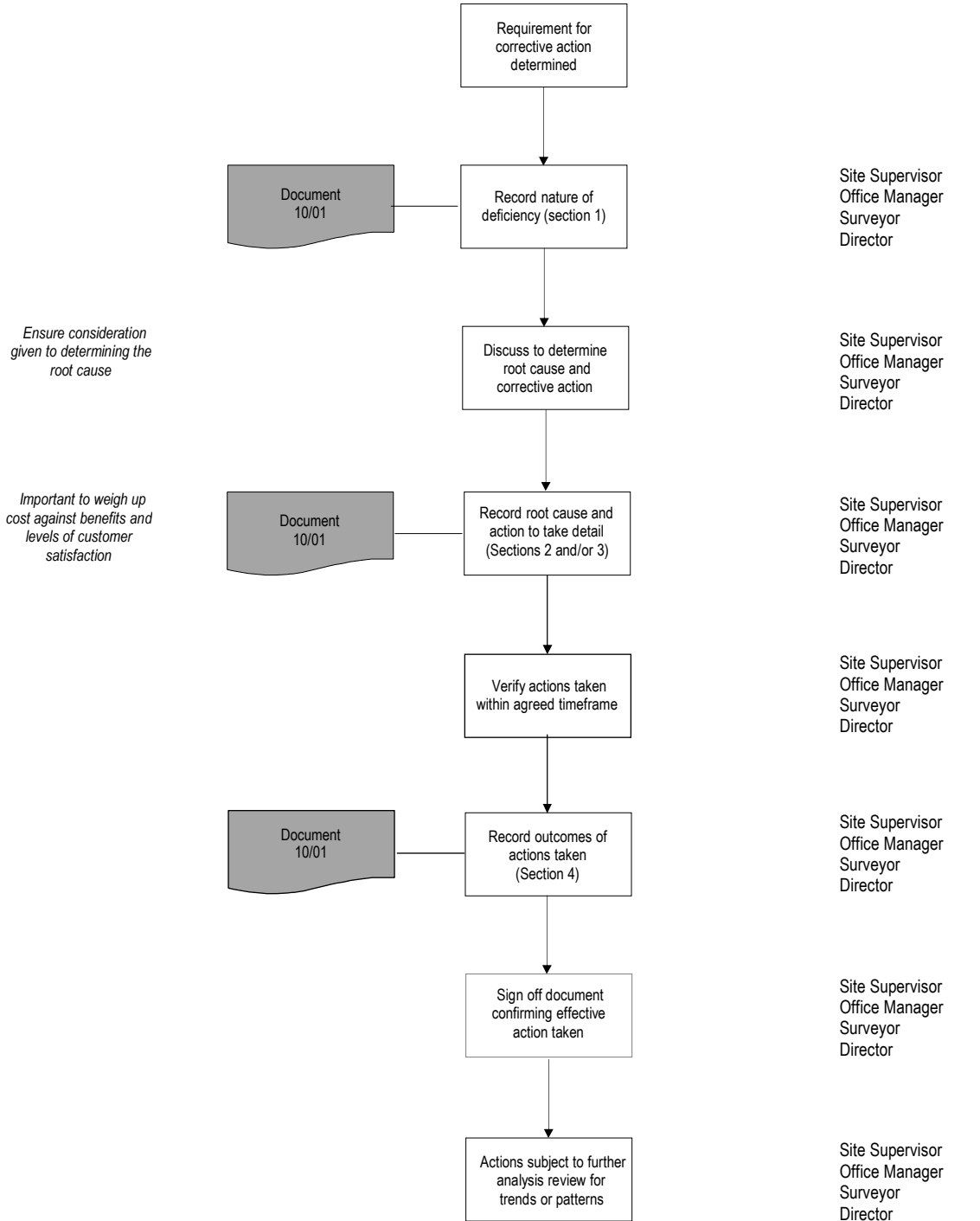
Process Flow Chart: PFC-10/01

Process Title: Corrective Action Process

SUPPORTING NOTES

PROCESS

RESPONSIBILITIES



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Appendix B: Interaction of Processes

The following reflects the typical sequence and interaction of processes and as such maybe subject of variation depending on either customer and/or regulatory requirement

