



Surveillance

Report for:

Darlington Borough Council - Darlington Audit Services

LRQA reference: LRQ 0939713/ 0021

Assessment dates: 22-23 April 2010

Assessment location: Darlington

Assessment criteria: ISO 9001:2008

Assessment team: Margo Logie

LRQA office: Coventry



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Attachments

This report was presented to and accepted by:

Name: Brian McGuire

Job title: Audit Manager

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1. Executive report

Assessment outcome:

This assessment was to establish conformity to ISO 9001:2008 and the effectiveness of the management system deployed. Although subject to the limitations of assessment sampling, the system currently operating within the audit department, did satisfies the requirements of the Standard - ISO 9001:2008 therefore the recommendation is for certification to that version.

System effectiveness and continual improvement:

The focus of the visit was on compliance to defined requirements sampling the Investigations process. It was clear during the assessment that the management system does effectively support the delivery of services that meet all requirements. Tight controls over work are exercised and the results against performance indicator targets demonstrate the success of the controls.

Development of systems has always been the focus of process improvement activity and while this has been affected by budget and time constrains, an upgrade of the MK Insight system has been implemented since the last assessment.

Areas for management attention:

A review and changes to the definition of the system review process is required to ensure that evidence of its implementation is available.



2. Assessment summary

Introduction:

This visit

This report reflects the findings of the second surveillance visit after the certificate renewal. The opening and closing meetings were held with the audit manager who was the guide and main participant during the assessment.

Visit theme

The theme on this occasion was compliance to ISO 9001 and company process and procedural requirements. This was chosen due to the nature of the work and the ongoing development of the working arrangements with Stockton.

Information and guidance

Information and guidance is available free of charge on the client specific 'Extranet' page on www.lrqa.co.uk known as "myLRQA". This includes information on a full range of standards (Quality, Environment, Health & Safety, Information Security, EC Directives, the CCA Standard) as well as the newly issued Business Continuity Management Standard and Training Services. Access to case studies and FAQs is also available. A password is required to access this area, which can be obtained by registering on the site. Changes to company name, address or contact name can also be advised via the web site. A Technical Helpline is also provided to clients on 0800 900012 to answer any questions or queries you may have or these can be logged via the "KnowledgeBase" section of "myLRQA".

Please note that it is a contractual requirement that our clients proactively advise us in advance of any significant changes that are likely to affect the conformance of their management system with the assessment criteria. Examples of this would be: major changes in the numbers of personnel; change of ownership; relocation, or additional sites.

Assessor: Margo Logie



Assessment of: Management System

Auditee(s): Brian McGuire – Audit Manager
Craig Alderson - Finance Officer

Audit trails and sources of evidence:

Audit Committee Summary Report - 26 March 2010
Audit Committee Summary Report, Effectiveness Review 2008/9 – June 2009
Audit Services Annual Report 2008/9 – June 2009
Annual Governance Statement – June 2009
ISO Migration meeting minutes – 1 March
Internal Quality Audits – April 2010
2009 Customer Surveys
Staff Meetings – May, Sep & Nov 2009
Annual Performance and Development Reviews – BM & PR
Department Training Record 2009/10

Evaluation and conclusions:

There was evidence that the system had been reviewed against the requirements of ISO 9001:2008 and the results reported to senior management in preparation for this assessment against. There have been no major changes to the system documentation over the last nine months.

The annual reports that are part of the Service's statutory review and reporting requirements provide an internal and external review of the effectiveness of the work of the Audit Service. The quality audits of each audit assigned within the team has continued which helps to maintenance the high standard of work produced. However the annual review of the DAS Quality System is overdue. See **1004MJL01**.

Performance continues to be maintained to a high level with all reports confirming that the Service is effective, and with the exception of one, all performance indicators were achieved. The reasons for the shortfall in one area were well documented.

Individual competency continues to be monitored via the council wide appraisal process. These and the training records demonstrate how competencies are maintained and developed.

Opportunity for improvement

- The section meetings contain evidence of any changes to the management system and of the ongoing work to review and change processes, e.g. MK Insight and the 2008 version review, as per the Procedure for the Review of the DAS Quality System (section 7 of the Quality Manual). Using these meetings to confirm, collectively, the effectiveness of the system, for example after the annual effectiveness reports have been submitted to the audit committee (around June each year) could be a more efficient way to fulfil the Standard's Management review requirements than the current, additional, annual review by the Audit Manager. See 1004MJL01.



Assessment of: Investigations

Auditee(s): Brian McGuire – Audit Manager
Craig Alderson - Finance Officer

Audit trails and sources of evidence:

Investigation Files – 2 Building Services, 1 Licencing & 3 others cases currently under police investigation
Fraud Workshop Material – Dec 2009
“Fraud Matters” Newsletter – Winter 2009
Record of Disposals

Evaluation and conclusions:

All the files seen contained an ISO Documents file, where the three mandatory forms were stored.
Records were systematically kept and more recent cases showed that the structure of files had developed to aid navigation and consistency. The retention periods for these sensitive records were being adhered to.



3. Assessment Findings Log - ISO 9001:2008

Grade	Status	Finding	Corrective action review	Process / Aspect	Date	Ref	Clause
1	2	3	4	5	6	7	8
Minor NC	New	The annual review of the system per the requirements of section 7 of the Quality Manual did not taken place in 2009. While a review of the system against the 2008 version of the standard recently took place and there is scrutiny of the effectiveness of the Audit Services (both internally and externally) the review of the Quality System by the Audit Manager is required.	Proposed corrective action – The annual review was undertaken informally but not recorded last year. How the existing meeting records can be used to demonstrate the process more clearly will be reviewed and the procedure and future meeting minutes updated accordingly.	System Review	22 Mar 10	1004MJL01	5.6

1. Grading of the finding *	2. New, Open, Closed	3. Description of the LRQA finding	4. Review by LRQA	5. Process, aspect, department or theme
6. Date of the finding	7. YYMM<Initials>seq.#	8. Clause of the applicable standard		
* Major NC = Major nonconformity	Minor NC = Minor nonconformity	RC = Requires correction	SFI = Scope for improvement	xLRQA = Issue for follow-up by LRQA at next visit



5. Visit theme selection

Visit type: 2nd Surveillance	
Due date (yy-mm): 0103 Actual date: 22-23 April Duration: 1 day + Travel	Location: Darlington Team: Margo Logie
Selected theme(s) (include reasons for theme selection)	Processes
Compliance to Work Instructions and ISO Standard. Due to changes anticipated with joint working with Stockton.	Audit Services – Special Investigations Training & Competency

Visit type: 3rd Surveillance	
Due date (yy-mm): 10 12 Actual date: 8 & 9 Dec Duration: 1 day + Travel	Location: Darlington Team: Margo Logie
Selected theme(s) (include reasons for theme selection)	Processes
Compliance to Work Instructions and ISO Standard. Due to ongoing reviews and changes anticipated with joint working with Stockton,	Audit Services

6. Certificate details



DRAFT CERTIFICATE OF APPROVAL

This is to certify that the Management System of:

Darlington Borough Council - Darlington Audit Services
Darlington
UK

has been approved by Lloyd's Register Quality Assurance
to the following Management System Standards:

ISO 9001:2008

The Management System is applicable to:

**The provision of a statutory internal audit service to Darlington
Borough Council, incorporating advice and consultancy and
special investigation services.**

Suffix /

Technical review
date:

Certificate expiry:

Type of certificate:

<input checked="" type="checkbox"/> Single certificate <i>(Complete this form)</i>	<input type="checkbox"/> Certificate per location <i>(Complete separate forms for each location)</i>	<input type="checkbox"/> Multi-site certificate <i>(Complete additional multi-site form)</i>	<input type="checkbox"/> Multiple languages <i>(Complete separate forms for each required language)</i>
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Accreditation / number of certificates:

<input checked="" type="checkbox"/> UKAS / 1	<input type="checkbox"/> RvA /	<input type="checkbox"/> /	<input type="checkbox"/> Not accredited /
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Reason for issue of certificate

<input type="checkbox"/> Initial certification	<input checked="" type="checkbox"/> Change of certification	<input type="checkbox"/> Certificate renewal
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Further instructions: (e.g. module and / or annex for directives)

2008 version only change

QA Register entry (for UKAS accreditation only)	Required	<input checked="" type="checkbox"/>	Not required	<input type="checkbox"/>
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