

Audit Type:	Remote Surveillance Audit
Organisation:	Trade Distribution Limited
Address:	Distribution Centre , Old Castletown Road , Kewaigue , Douglas , Isle of Man , IM2 1QG
Standard(s):	ISO 9001:2015, ISO 14001:2015 and BS EN ISO/IEC 27001:2017
Client Representative(s):	Mr Kevin Burnell, Mrs Alison Pickett
Total number of employees:	93
Applicable employees (QMS/EMS):	27
Site(s) audited:	As Above
Date of Audit:	04 October 2021 (4) days
Lead Auditor:	Fergus Watt
Full Audit Team:	Fergus Watt

This report is confidential and distribution is limited to the audit team, client representative and the British Assessment Bureau (BAB) office.

Section A: Audit Objectives

Surveillance Audit

- to confirm that the management system conforms with all of the requirements of ISO 9001:2015, ISO 14001:2015 and BS EN ISO/IEC 27001:2017;
- to confirm the Scope statement; represents the organisation's certified activities on the Certificate of Registration;
- to confirm that the organisation has effectively implemented ISO 9001:2015, ISO 14001:2015 and BS EN ISO/IEC 27001:2017;
- to confirm that the Management System is capable of achieving the organisation's policies and objectives;
- to review links between the internal audits, management reviews and continuous improvement

Section B: Scope(s) of certification

Bespoke contract logistics and distribution services encompassing freight export and imports to a UK and Isle of Man customer base

Section C: Current audit findings and conclusions

The BAB Audit Team conducted a process-based audit, focussing on significant aspects, risks and objectives as required by ISO 9001:2015, ISO 14001:2015 and BS EN ISO/IEC 27001:2017.

The audit methods used were interviews, observation of activities and review of documentation and records.

The structure of the audit was in accordance with the audit plan and audit planning process.

Number of nonconformities identified	0	Major	3	Minor
Number of opportunities for improvement identified	4			

Based on the results of this audit and the system's demonstrated state of development and maturity, management system certification is recommended. This recommendation will be independently verified by the British Assessment Bureau Head Office.

Section D: Audit Findings

Clause : Opening Meeting and Close out of previous findings

The opening meeting was attended by Alison Pickett (Operations Director), Kate Quaye (Operations Manager), Matthew Fletcher (Consultant) and Kevin Burnell (Consultant). There were no health and safety issues advised that could impact the audit. No major or minor non-conformances were raised at the 2020 audit. Some of the opportunities for improvement that were raised at the 2019 audit were implemented. Those not implemented did not escalate to a minor non-conformance. The audit was conducted remotely using communication technology because of the COVID pandemic. The onsite element of the audit was a what's app video walkabout with Kevin Burnell of the premises and included the office area, warehouse area and workshop (vehicle repair area).

Clause 4: Context of the Organisation

Trade Distribution Limited was established in August 2000 and is part of the Heron Brearley group of companies based in the Isle of Man. The company's Head Office is based in Kewague, Isle of Man and their main depot in the UK is based in Skelmersdale (Lancashire). The company has traditionally provided warehousing and distribution for goods and freight to and from the Isle of Man. The business also transports goods and freight around the UK. The business works closely with AKW, Robinsons and Heron and Brearley. Existing clients include PWS, Tayto Crisps, Kelloggs, Eddie Stobart and Pets at Home.

The scope of certification has been defined as 'Bespoke contract logistics and distribution services encompassing freight export and imports to a UK and Isle of Man customer base'. This is representative of business operations.

Interested parties have been documented on the IMS Context Diagram and their requirements are stated on the Risk Assessment and Treatment Plan. The following were a sample of Interested parties noted; (1) financial services; (2) marketing and customer communications; (3) neighbours; (4) suppliers; (5) utilities; (6) IT providers; (7) stakeholders; (8) building and building services; (9) Trailer maintenance; IT providers (external) and trailer maintenance (internal) were reviewed in more detail and this is summarised below:

(6) IT providers- Communication and understanding of ISMS policy and controls which affect their processes including changes to records. Customers/Suppliers expect TDL to ensure their information is appropriately secured.

(9) Trailer maintenance- Employees expect appropriately and timely maintained vehicles/trailers to provide expected level of service. Customer/Suppliers expect a constant service level supported by appropriate resources.

The Management Systems are robustly structured and they reflect the operational processes through documented procedures included in the company's IMS Documented System V2.2 (April 2021) and referred to in The Manual with clearly identified inputs and outputs through out. Although three minor non-conformances were raised, it was felt that they were more to pressures created as a result of the outfall of the pandemic rather than as a result of poor operational practices.

Clause 5: Leadership

Historically, Kate Quaye in her previous role as Assistant Customer Services Manager maintained the business's Management System. She has now been promoted to a new role as Operations and Compliance Manager for the Isle of Man. At present the management systems are being implemented by Alison Pickett (Operations Director) with internal support from Adam Wilson (Customer Services Manager) who focuses on QMS, Jim Neill (Freight Manager) who focus on EMS and Steven Downing (IT Manager) and John Cavanagh (Business Improvement Manager) who focuses on ISMS. External support is provided by ISO Isle of Man who conduct internal audits of the business management system. Top Management meet annually to hold the Management Review meeting but communication is on-going to ensure that any issues raised are captured by the Management System in place. If any staff want to suggest ideas that could improve management system efficiency they can do this via their Line Manager or Management System representative. KC was interviewed as part of the audit and asked how ISO certification benefits the business. He said that it allows for a good culture to be in place within the group.

The business also have a large noticeboard (Awareness Wall) where they document quality, environmental and information security awareness information for staff to read. The following documents were noted; (1) Turn your computer off when you leave for the evening for EMS; (2) Keep hazardous waste out of the environment, it's all that we have; (3) I shall use strong passwords for ISMS; (4) keep a clean desk for ISMS; (5) quality is never having to say your sorry for QMS; (6) Customer satisfaction for QMS; SP was interviewed as part of the audit process and asked what the benefits are of TDL being ISO certified. He said it shows customers and clients that they have an organised structure in place and it can be a good marketing tool for developing new business leads.

The business's commitment to continual improvement was noted through out the audit. Examples include; (1) information security controls in place ensure that all information security threats have been captured by information security controls in place; (2) cleaning out of the interceptor after it was highlighted at an internal audit that it appeared to be blocked; (3) not losing any customers through poor operational performance;

Policies are documented in the IMS Manual and also issued as hard copies and distributed through out the head office site on noticeboards. The business have an individual policy for each Standard and they were last reviewed on 11 November 2020 and signed off by the Operations Director. The three policies are available to interested parties upon request.

Organisational roles and responsibilities are documented on the TDL Organisation Chart. The document was observed and Top Management are named by person and job title. Within the document it states which member of staff is responsible for implementing each management system standard and how they manage by job title. Job descriptions are also in place for each job title and this is reviewed in more detail under Clause 7. It was noted that the three management systems are implemented by JK (ISMS), JN (EMS) and IJ (Quality). IH has now left the business. The chart will be amended at the Management Review meeting.

Clause 6: Planning

OFI ● OFI (6.1.2 - 14001) It is suggested that the residual impact scores on the aspects and impacts table are amended to reflect business operations.

OFI ● OFI (6.3 - 9001) It is suggested that opportunities and changes (linked to planning of change) are documented on one template going forward.

There is a risk assessment methodology which assigns risks to quality, environmental and ISMS related operations. Quality and Information security risks are documented on the QMS and ISMS Risk Assessment and Treatment Plan (v01). Environmental risks are documented on the aspects and impacts register and are reviewed below. For QMS related risks it was noted that the residual risk scores were all graded low. Some of the risks were graded as high without control measures in place. This includes; (1) Brake Tests (Legislative change): If vehicles do not pass test they are to come off the road immediately until they pass test; (2) Skelmersdale Depot: Due to the increase of vehicle count through the expansion of contracts and reduction of trailers shipping there is increased congestion and lesser space available in the yard; (3) Droithwich: Latest audit has demonstrated severe lack of management control of Droithwich Licence. Impact could be revocation of licence if improvement is not immediate; (1) was reviewed in more detail. Controls in place are that a robust schedule has been developed ensuring all vehicles go for regular brake testing so company remains compliant - TDL also use an in-house brake testing unit to reduce cost and waiting times. TDL engage with hire companies to hire additional trailers and tractor units to cover any vehicles which do not pass the test. Introduction of R2C provides schedules allowing brake test planning to minimise increased operating costs and its effect on productivity caused by vehicle off roads.

For information security risks, all residual risks were scored medium and one risk (highly confidential information being compromised) remained high. The risk remained high as if such an incident occurs, the business could lose customers and clients and this could impact profitability margins as well as a reputational loss.

Opportunities are listed on the opportunities tab within the QMS and ISMS Risk Assessment and Treatment Plan . Existing opportunities stated include; (1) Potential extension to current services for PWS - Home Delivery; (2) Potential to gain new customer called Conway as part of Network 2020; (3) Expansion on local H and B Supply Chain. The opportunities were raised at the end of 2020. (2) was reviewed in more detail. The business provided rates for nationwide delivery using network vans which was accepted by Conway. This has meant an increase in customers as part of Network 2020;

The risk assessment methodology includes evaluation of assets based upon impacts on Confidentiality, Integrity and availability (CIA) principles. The three principles were graded from 1 to 5 and given a total CIA risk score by adding together the three individual CIA scores. The risks were linked to interested parties and the following three highest risks evidenced were;

(1) Customers and Suppliers will expect TDL staff to take every care/precaution to ensure their information is secure. CIA score of 4+5+4 (13)

(2) Communication and understanding of ISMS policy and controls which affect their processes including changes to records. CIA score of 5+4+3 (12)

(3) Communication and understanding of ISMS policy and controls which affect their processes including changes to records. Customers/Suppliers will expect TDL staff to take every precaution when discussing sensitive data. CIA score of 4+4+4 (12)

(1) was reviewed in more detail. It is stated that 'Information of a sensitive nature as defined in the classification system ensures that such information is password protected'. Training and awareness is in place for information security, this includes locking screens and a clear desk policy when leaving workstations. Staff are trained to ensure they apply the required controls. No issues relating to customer data being impacted by an information security breach or incident have been documented to date. This indicates that controls in place are currently satisfactory to information security requirements.

The Risk Treatment Plan has been defined within the IMS Manual. The definition includes reference to the required headings within Annex A of the ISO 27001 Standard. The Statement of Applicability is on Version 1.3, last reviewed September 2020. It was noted to have identified controls to mitigate risks following identification, analysis and evaluation and was evidenced. The following areas were sampled from the Statement of Applicability:

A.12.1.1 Documented operating procedures- It is stated that the business has a documented ISMS and operating procedures are also available within the staff handbook.

A.12.1.2 Change management- It is stated that any changes would be documented under the Change Management Process. Controls required include EMS and QMS ensuring ISMS protected.

A.12.1.3 Capacity management- It is stated that capacity management is reviewed during the Change Management Process. Skills matrix and training records monitor human resource. Provisioning of new requirements undergo a resource review which is a documented procedure managed by the management team.

A.12.1.4 Separation of development, testing and operational environments- It is stated that the test environments for CTMS / PORTAL / ePOD Maintenance are installed on H and B Server separated from the live environment. Testing is completed by maximum of 2 users (with appropriate secure access), but migration of test to live environment can only be completed by Software owners (OBS Logistics) together with installation and updates of test environment. No development work is completed by TDL.

A.12.2.1 Controls against malware- It is stated that the Group IT Manager has defined and implemented a procedure for Controls Against Malware Process. This details Edge Security, PC and Servers, e mails, protection, user awareness and recovery from infected systems

A.12.3.1 Information backup- It is stated that the Backup Policy and methodology is documented as part of the H and B Group IT General Recovery Plan Business Continuity and includes testing and recovery.

A.12.4.1 Event logging- It is stated that the Group IT Manager has developed and implemented an Event Log Process which details the logging of user activities and reviews to assess unusual activities.

A.12.4.2 Protection of log information- It is stated that the Group IT Manager has developed and implemented an Event Log Process which details the logging of user activities and reviews to assess unusual activities.

A.12.4.3 Administrator and operator logs- It is stated that the Group IT Manager has developed and implemented an Event Log Process which details the logging of user activities and reviews to assess unusual activities.

A.12.4.4 Clock synchronisation- It is stated that the Group IT Manager has developed and implemented a Clock Synchronisation Process which controls equipment used by TDL. The procedure details the time source servers synchronised to NTP and demonstrates screen shots to evidence.

A.12.5.1 Installation of software on operational systems- It is stated that the Group IT Policy details the controls required under software. The Group IT Policy was reviewed, it was stated that no software should be downloaded or installed to any company PC, server or laptop without prior I.T. department signoff / approval and that all software should be properly licensed and have appropriate support service level contracts in place for the product where required.

A.12.6.1 Management of technical vulnerabilities- It is stated that all received updates should be vetted by the IT Manager prior to acceptance. Security updates are generally automatically applied. Automatic updates are controlled by equipment settings to ensure business operations are not interrupted. Need to understand how this is currently controlled IE patching. The Group IT Manager has developed and implemented a Patch Management Policy which sets out the review and recording of patching to ensure systems are properly protected.

A.12.6.2 Restrictions on software installation- It is stated that the Group IT Policy details the controls required under software. As in 12.5.1, the Group IT Policy was reviewed, it was stated that no software should be downloaded or installed to any company PC, server or laptop without prior I.T. department signoff / approval and that all software should be properly licensed and have appropriate support service level contracts in place for the product where required.

A.12.7.1 Information systems audit controls- Exemption as it is stated that this is not a business function but is controlled by Group IT to protect the business

A.13.1.1 Network controls- It is stated that the Group IT Manager has developed and implemented a Network Security Procedure which details network controls, security of network services and segregation in networks. This includes a diagram demonstrating the network infrastructure.

A.13.1.2 Security of network services- It is stated that the Group IT Manager has developed and implemented a Network

Security Procedure which details network controls, security of network services and segregation in networks. This includes a diagram demonstrating the network infrastructure.

A.13.1.3 Segregation in networks- - It is stated that Tthe Group IT Manager has developed and implemented a Network Security Procedure which details network controls, security of network services and segregation in networks. This includes a diagram demonstrating the network infrastructure.

A.13.2.1 Information transfer policies and procedures- It is stated the business does not transfer sensitive financial information, but customer information is received from AKW and PWS using XML file transfer (firewall protected) in order to support delivery planning. The Group IT Policy sets out controls regarding verbal communications under security and data protection.

A.13.2.2 Agreements on information transfer- It is stated that XML file format and data requirements for customer delivery information (address/contact data/order data) have been defined and agreed. Firewall protection is in place for receiving TDL server before being uploaded into CTMS. Files are scanned prior to loading and placed in quarantine area if issues with file.

A.13.2.3 Electronic messaging-It is stated that emails are encrypted whilst in transit to the intended recipient. Where required, attachments to emails are password protected to prevent unauthorised access, with the password discussed in person between the two parties. This is also detailed in 13.2.1 above. The Group IT Policy includes controls regarding e-mail usage, e-mail security, etiquette and inappropriate content. Inappropriate content was reviewed in more detail in the Group IT Policy. It is stated that inappropriate content includes: pornography, racial or religious slurs, gender-specific comments, information encouraging criminal skills or terrorism, or materials relating to cults, gambling and illegal drugs.

A.13.2.4 Confidentiality or nondisclosure agreements- It is stated that the Group IT Policy sets out controls regarding verbal communications under security and data protection. The business deals with some suppliers who have restricted physical access when delivering goods or services. Suppliers may wish to access information such as PODs which is restricted to that access only. The Group IT Policy was reviewed, it was stated that company data remains the property of the company and must not be shared externally without the correct approval. No data should be held on non-secure or approved machines or external devices. Approval should be gained from the I.T. Manager. Computer security must be dealt with in line with the Group IT policy and the Group Data Protection policy.

A.14.1.1 Information security requirements analysis and specification- It is stated that the Change Management Process documents and controls changes to protect ISMS

A.14.1.2 Securing application services on public networks- It is stated that the business does not transmit information over public networks. As detailed in 13.2.3 e-mails are encrypted and other than verbal, emails are the preferred method of communication.

A.14.1.3 Protecting application services transactions- Not Applicable as the business does not carry out service transactions. TDL do not use card payment system.

A.14.2.1, Secure development policy- It is stated that this clause is not applicable as the organisation is not involved in development.

A.14.2.2 System change control procedures- - It is stated that this clause is not applicable as the organisation is not involved in development.

A.14.2.3 Technical review of applications after operating platform changes- It is stated that this is covered by change management process.

A.14.2.4 Restrictions on changes to software package- It is stated that this clause is covered by A.12.6.2

A.14.2.5 Secure system engineering principles- It is stated that this clause is not applicable as the organisation is not involved in development.

A.14.2.6 Secure development environment- It is stated that this clause is not applicable as the organisation is not involved in development.

A.14.2.7 Outsourced development- It is stated that this clause is not applicable as the organisation is not involved in development.

A.14.2.8 System security testing- It is stated that this clause is not applicable as the organisation is not involved in development.

A.14.2.9 System acceptance testing- It is stated that this clause is not applicable as the organisation is not involved in development.

A.14.3.1 Protection of test data- It is stated that this clause is not applicable as the organisation is not involved in development.

A.15.1.1 Information security policy for supplier relationships- It is stated that the business has documented an approved suppliers list as part of their ISO 9001 systems across all depots. Upon review there are few suppliers who access the premises that may compromise the ISMS arrangements.

A.15.1.2 Addressing security within supplier agreements- It is stated that as referred to in 15.1.1 the only suppliers that have physical access are couriers and local suppliers delivering goods. There is one H and B Group supplier who has restricted logical access which only allows the viewing of PODs on the TDL Multifreight system.

A.15.1.3 Information and communication technology supply chain- It is stated this this is covered under 15.1.1 and 15.1.2.

A.15.2.1 Monitoring and review of supplier services- It is stated that this is detailed in 15.1.1 and 15.1.2 suppliers

A.15.2.2 Managing changes to supplier services- It is stated that this is covered under 15.1.1 and 15.1.2.

A.16.1.1 Responsibilities and procedures- It is stated that the business has adopted its current non-conformance process to document and assess information security incidents within Multifreight, SOP062_Raising a Non conformance on Multifreight. Multifreight is used to record non-conformances across all depots. No information security incidents have been documented in the recent audit period.,

A.16.1.2 Reporting information security events- It is stated that the Staff Handbooks and Group IT Policy details the requirements of employees to report information security incidents. Incidents are recorded in Multifreight, and regularly reviewed under management review process.

A.16.1.3 Reporting information security weaknesses- It is stated that this is detailed in 16.1.1 and 16.1.2 above.

A.16.1.4 Assessment of and decision on information security events- It is stated that assessments are carried out as part of the investigation, the results of which are documented in Multifreight.

A.16.1.5 Response to information security incidents- It is stated that this is detailed in 16.1.4 responses are documented in Multifreight

A.16.1.6 Learning from information security incidents- It is stated that lessons learnt are applied and reviewed as part of the Management Review process

A.16.1.7 Collection of evidence- It is stated that this is detailed in 16.1.4 evidence and records are retained in Multifreight

A.17.1.1 Planning information security continuity- It is stated that the organisation has prepared a Business Continuity Plan covering requirements for each depot that will be invoked in the event of an incident or emergency situation to ensure information security and its continuity in the event of crisis or disaster. The BCP was reviewed as part of the audit with the IT Manager. Findings are summarised under Clause 8.

A.17.1.2 Implementing information security continuity- It is stated that this is covered under 17.1.1.

A.17.1.3 Verify, review and evaluate information security continuity- It is stated that this is covered under 17.1.1.,

A.17.2.1 Availability of information processing facilities- It is stated that the business has a number of levels of redundancy including back up servers at a third party provider and users operating with common equipment. This is documented in the H and B Group IT General Recovery Plan Business Continuity. All depots access the Kewaigue servers either directly or through Citrix software.

A.18.1.1 Identification of applicable legislation and contractual requirements- It is stated that The TDL - Applicable Legislation Requirements Combined (applicable to ISMS, EMS and QMS) details applicable requirements that the business needs to comply with.

A.18.1.2 Intellectual property rights- It is stated that copyright protection is detailed on the website which also has a privacy policy for data security - <http://tradedistributionltd.com/privacy-policy/>

A.18.1.3 Protection of records- It is stated that The TDL - Applicable Legislation Requirements Combined (applicable to ISMS, EMS and QMS) details the Data Protection Act for the protection of records. For both IOM and UK requirements, this is DPA 2018 incorporating GDPR requirements.

A.18.1.4 Privacy and protection of personally identifiable information- It is stated that the business is registered as a data processor under the DPA 2018 which is detailed within the TDL - Applicable Legislation Requirements Combined (applicable to ISMS, EMS and QMS).

A.18.1.5 Regulation of cryptographic controls- It is stated that this is not applicable as the business does not use encryption.

A.18.2.1 Independent review of information security- It is stated that internal audits are carried out by persons independent of the information security processes, to ensure that the systems and controls are managed effectively. UK and IOM data security protection officer can audit and require evidence of compliance to GDPR. The company is certified to ISO 27001 and is therefore independently assessed at least once per year, by a certification body.

A.18.2.2 Compliance with security policies and standards- It is stated that Internal audits review the compliance of the ISMS and the results are discussed during the management review process.

A.18.2.3 Technical compliance- It is stated that the business needs to conduct an annual review which should be documented within the legal register and reported as an agenda item within the management review process.

The business's aspects and impacts are stated on the aspects and impacts spreadsheet. It was noted that the following impacts were graded as high without control measures; (1) Materials Handling (At Point of Delivery); (2) Administration; (3) Vehicle Maintenance; (4) Vehicle Fuelling; Vehicle fuelling was reviewed in more detail. Possible environmental impact is fuel leaks could result in contaminated waste being produced, water pollution and air pollution from fire if the fuel was to combust. Controls in place are that fuel is stored in a fuel tank and that soak crystals are available to mop up any spillages. It was noted that the residual impact of a fuel spill is also defined as high.

As stated above environmental opportunities are stated under the improved controls column. For fuel spillage an opportunity stated is that the business are considering alarming the warehouse store tank. As no fuel spills have occurred which has resulted in a significant environmental impact, it is suggested that residual risk factors are based on the chances of it occurring rather than the impact of the risk if it were to happen.

A planning of change register was evidenced. One change highlighted was for December 2020 was that their Scottish Partner gave notice on their contract. Fallout of this is that may not able to fulfil deliveries/collections in Scotland for their customers and that the new partner may not offer the same price/service and reliability as their previous one. It was decided to retain the services of their partner on a month to month service rather than a long term contract. The business are looking at long term plans to see if they carry out these services in house or use a third party supplier. The document will be amended to reflect business operations at the next management review meeting. It is suggested that opportunities and planning for change examples could be documented on the one form. This would streamline these processes and make them easier to manage going forward.




Quality, environmental and information security objectives are all stated in the Manual. It is the responsibility of Senior Management to make sure that the objectives are met.

The quality objectives noted were; (1) On-time and in full performance to achieve and maintain 99% success; (2) Ensure all employees are trained to a standard that will meet customer expectations; (3) To consistently and according to business requirements, purchase new equipment to maintain quality standards, reduce financial costs and protect business reputation; (1) was reviewed in more detail. The target met at present is just below 99 percent. This is primarily due to third party factors which are difficult to control (e.g. fuel and driver shortages). The Operations Director is reviewing operations on a day to day basis to ensure that the business are doing their best to meet the target.

Environmental objectives noted were; (1) The reduction of waste; (2) To ensure training and awareness is carried out; (3) To achieve and retain ISO 14001; (4) Comply with legal requirements; (2) was reviewed in more detail. The skills matrix showed that staff are given awareness training on topics that could impact environmental performance. This includes; recycling/waste bins; hazardous waste - linked to Spillage control; power saving; Training is given as part of the induction process and refresher training. Therefore the target is being met.

Information security objectives noted were; (1) The protection of information; (2) To ensure training and awareness is carried out; (3) comply with legal requirements; (3) was reviewed in more detail. The business have not been prosecuted for any information security breaches or incidents, therefore the target is being met.

Clause 7: Support

- NC-1  MINOR (7.1.2 - ALL) Finding: The organization shall determine and provide the persons necessary for the effective implementation of its quality management system and for the operation and control of its processes. Evidence: It was noted that training qualifications seen were not stated on the training matrix spreadsheet.
- NC-2  MINOR (7.1.4 - 9001) Finding: The organization shall determine, provide and maintain the environment necessary for the operation of its processes and to achieve conformity of products and services. NOTE A suitable environment can be a combination of human and physical factors, such as: a) social (e.g. non-discriminatory, calm, non-confrontational); b) psychological (e.g. stress-reducing, burnout prevention, emotionally protective); c) physical (e.g. temperature, heat, humidity, light, airflow, hygiene, noise). These factors can differ substantially depending on the products and services provided Evidence: The supplier carrying out air conditioning surveys and maintenance did not communicate to the business that the air conditioning units couldn't be serviced due to COVID legislation implemented by the Manx Government.
- OFI  OFI (7.5 - ALL) It is suggested that management system documents referenced in the Manual (IMS Documented System) are hyperlinked so they are easier to locate when needed.

The business currently employ 93 staff. Company hierarchy was evidenced on an Organisational Chart which was shown to the Auditor. Job titles evidenced include Operations Director, Compliance Supervisor, Senior Planner, Transport Planner, Systems Support , Warehouse Supervisor and Warehouse Operative. Job descriptions are in place and were evidenced for the Warehouse Manager. It was noted that management system awareness of all three Standards was stated within the document.

The business are located on the premises of Okell's Brewery on the outskirts of Douglas, Isle of Man. The site consists of a large warehouse area, workshop area, open office, smaller office, kitchen, toilets and a shared car park. There is adequate heating and ventilation systems in place including air-conditioning and all employees have undergone DSE assessments. There is a comprehensive recycling system in place including dedicated recycling bins around the office and the warehouse area. Wastestreams collected separately for recycling include glass, plastic, compost and shrink wrapping. All recycled wastes are collected by Askbuck and Cleanaway. Waste oils from the warehouse are collected by Sita for incineration. Fire extinguishers were seen through out the premises and those inspected as part of the walkabout were serviced by Unique Fire

Protection in June 2021. The last fire evacuation drill was on 7 July 2021. Air conditioning units are serviced by a third party (Technical Services) who are part of the Commercial Group which includes the business. An agreement was evidenced that they would provide three maintenance visits from 1 February 2021 to 31 January 2022. No service visits have been documented since the last service on 21 January 2020 and this has been raised as a minor non-conformance. A brief investigation found that the Manx Government had imposed regulations which prevented companies from carrying out servicing work because of the COVID pandemic. The business feel frustrated that their supplier never made them aware of this and hence why the non-conformance will remain in place.

Any visitors to site report to the Landlord's reception area where they will be given a site pass and have to sign in. They are then met at the reception area or at the front door of the business. Entry to the office area can only be made using a fob. Visitors are not given a fob. On completion of their visit they are escorted back to the reception and signed out and then leave the site. CCTV is used within the perimeter buildings and to view 'sensitive areas'. It is believed that the CCTV would be available for viewing upon request. The site boundary is marked by a industrial fence and the only authorised access to the site is through a large industrial gate which is shut out of office hours (after 7pm) and can then only be opened by fob. The business believe that the existing controls are sufficient for their requirements as no unauthorised physical entry incidents have been documented to date. No physical security issues were highlighted by the business. The Landlord noted that it appeared that someone had loosened a panel from the security fence but no sign of entry on the premises was picked by CCTV.

The Recruitment Process is managed internally through the HR department with support from the Recruiting Manager. Vacancies are managed through the Vacancy Filler platform. The HR Department then link any vacancies to the recruiting manager and they can then view the candidates who apply for the job. Jobs will be advertised through media selected by the HR Department which is controlled through the platform. If agencies are asked to advertise the position, they will be given limited access to the job requirement. This allows them to upload suitable candidates which the business can review. This was evidenced against the contract of employment for LL that was dated 1 July 2021. Vetting ID is also required as part of the part of the recruitment process. This was evidenced for AL through his national insurance number. All new starters have to go through an induction process. This is documented through an induction checklist that was evidenced for AL and signed off on 3 September 2021. Management system awareness was documented on the induction form where the three Standards are reviewed.

A Training Matrix was evidenced which stated each member of staff's competency that links to their roles. Staff have been subdivided into the group they work in. The following groups were noted; (1) UK transport; (2) IOM transport; (3) Fleet workshop; If an employee is competent at a specific skill, their name is ticked off against that competency. The records of IV (IOM transport) were reviewed in more detail, The following competencies were noted; (1) ISMS- issued and understood; (2) Physical and environmental security; (3) Clear desk and clear screen; (4) spillage control; (5) awareness recycling/ waste bins; (6) creating a Driver Pack (IOM); Certificates are documented if they are provided by the trainer. The following records were noted; (1) ME- daily walkaround checks and safe loading practices- 30 June 2021; (2) DJ- daily walkaround checks and safe loading practices- 30 June 2021; (3) BE- traffic banksman- expires 22 April 2024; SE (4) SE- FLT certificate, issued 16 May 2019; None of these certificates were documented on the training matrix but they were seen on the Kaizen software platform that the HR Department use. This has been raised as a minor non-conformance as the matrix did not cross reference against the Kaizen platform.

It was stated that as part of the information security management system assets are documented under the 'Asset Inventory Kewaigue'. Assets documented include desk tops, printers, large screens, motion detectors, CCTV screen, key cabinet, mobile phones and a safe. IT platforms such as Multifreight and Navision were also stated as assets. The following asset related information was stated; (1) Asset; (2) Reference; (3) Location; (4) Information Processed; (5) Software; (6) Classification; (7) Labelling; (8) Storage; (9) Protection; (10) Disposal; (11) Owner; This was cross referenced against the desktop of the Operations Director which was evidenced on the inventory. The label on the laptop did not match the labelling column on the inventory (146) as she had recently had her laptop upgraded. This was evidenced through the HB ASSET internal system that is based off Snipe-IT open source software. It was decided in the audit that the asset platform would supersede the spreadsheet going forward as the spreadsheet had been used as a template document when the management system first went live. It is suggested that the asset platform is reviewed in more detail at the next audit.

The question was asked if any assets need to be calibrated, the Operations Director and Consultant confirmed that torque wrenches in the workshop need calibration. Torque wrench 8801-03 was noted and it's calibration certificate was kept in its storage box (dated 6 September 2020). The serial number 8801-03 was also engraved onto the wrench. It is stated on the calibration document that the torque wrench is calibrated from 6 September 2020 to 5 September 2023.

Vehicles also need to have a vehicles licence which shows they are roadworthy, this was evidenced against NMN-348A. Expiry date of vehicle licence stated was 31 May 2022.

All management system documentation is logged on SharePoint and this is managed by Kate Quaye (Operations Manager). Documents evidenced as part of the audit include; (1) Induction Checklist; (2) Aspects and Impacts Register; (3) Planning for Changes Register; (4) ISMS Statement of Applicability; (5) Group IT Policy. All documents were evidenced on SharePoint, document history can be viewed and this includes version number, issue no and date reviewed; This was viewed against the Group IT Policy which was at version 2, effective date April 2021.

It was noted in the IMS Documented System many of the management system documents were stated. It is suggested that they are hyperlinked so they are easier to locate when needed.

Clause 8: Operation

NC-3 ● MINOR (8.1 - 14001) Finding: The organisation shall use the services of third parties to ensure that environmentally-related needs and expectations are met. Evidence: The waste bins for disposing of glass and plastic had been cross contaminated with waste cardboard.

OFI ● OFI (8.2.1 - 9001) It is suggested that the business remove testimonials from the website that date back to 2016 and replace it with new feedback from customers.

Service delivery is defined in the BMS and this was followed on the multi freight system for which all users have basic access and senior management have admin rights. Any jobs from customers or clients will be emailed to TDL Admin who will then raise the job on the platform. This was evidenced against a job for Robinsons (job number 357040) to deliver a pallet of worksurfaces to a residential address in the Isle of Man. The job was raised on the 7 September 2021 and the delivery was made on 10 September 2021 and the proof of delivery note was signed off by the received (JD) on that date. The invoice (128313) was seen and it was sent to the customer on the delivery date.

Customer feedback is sourced through various methods. Historically, key customers were asked to provide feedback via the Customer Feedback Form, however it was noted that very few forms were returned so no more were sent out. Other evidence of feedback can be documented through various sources including repeat business. The business's longest standing customers are Mermaid Shaw (who have worked with the business since 2015) and Robinson's (who have worked with the business since 2007). The Operations Director confirmed that no customers had stopped using the business because of poor operational performance. This is also seen as positive feedback. Testimonial feedback was also noted on the website. However it was dated from 2016 so is now around 5 years old. It is suggested that the business update the testimonials and request current feedback from customers to replace the old feedback or remove the feedback altogether.

The design and development process is included in Multifreight, if any jobs are amended by the client then the details can be changed on the platform. The platform has a live diary function where potential changes or unknowns can be logged. This was evidenced in the print out for the job summarised below as non-conformance (2) as the legs weren't stated correctly. The form did state that delivery was made the following day. The process covered areas such as planning (consequences, resources etc), inputs, controls and outputs.

Environmental procedures were evidenced during the audit of TDL. Within the workshop and office areas wastes are collected for recycling. In the workshop bins were seen for collecting glass and plastic. The bins were spot checked and it was noted that cardboard had been disposed of in both bins. This has been raised as a minor non-conformance. Other wastes recycled include paper, compost, printer cartridges and shrink wrap. These wastes are collected by Ashbuck and Cleanaway. Should a chemical spillage occur in the workshop, spill kits are in place for cleaning up discharges. The spill kit by the oil tank was evidenced and it was noted to contain socks, pads and disposal bags. Waste oil is collected for incineration by Sita. Red diesel and Adblue are stored in separate storage tanks, should a leak occur it will be collected within the skin of the tank or the bunded area and this is unlikely to be discharged to a stormwater drain. All site stormwater drains are connected to interceptors so if a spill was to occur any chemical in the system should not be discharged straight to the water environment. Site drainage is managed by the Landlord. It was noted that gas cylinders were stored in a locked cage in the yard area and that the yard area was kept tidy with a good standard of housekeeping. The business also has an awareness wall. Within the wall was a poster that encourages good environmental practice. It encouraged staff to conserve water, reduce waste and save energy. The business reuse pallets until they are beyond economic repair. They are then sent to the Energy for Waste plant for final disposal.

The organisation has identified emergency controls as part of the aspects and impacts register, which includes both external and internal emergency situations, including spillage control arrangements. The aspects and impacts register was reviewed and the emergency situation identified was a chemical spill. Further emergency situations are documented within the Business Continuity Plan. The Business Continuity Plan for Kewaigue (Head Office) was evidenced, the majority of examples were IT related issues but fire was noted. The business already have fire emergency drills in place and the last drill occurred on 7 July 2021. As a result of the COVID pandemic, the business continuity plan has been activated and staff were working from home at the start of the pandemic. Operational staff in the warehouse had to work due to their job expectations where they were involved in logistical tasks linked to the core service (e.g. loading up lorries with freight and goods for transport). As a result of this the only environmental emergency drill conducted was the fire drill to ensure compliance with legislation. No further BCP planning has been carried out. From a chemical management perspective, this is not seen as a high environmental risk. In a worst case situation if a chemical spill does occur the substance would be captured within the site drainage system. The Health and Safety Manager cleaned out the interceptor in September 2021 following an opportunity for improvement that was raised as part of the internal audit process. The effluent was washed into a disposal tank which is the responsibility of the local authority to manage. No consent is required for this process as the business are located on an industrial estate and neighbouring businesses (e.g. printers, storage units and other small industrial units) regularly use this system for disposing of liquid effluent. It was noted that vehicles also contain spill kits. These are in place for dealing with liquid products that are being delivered to their customer. The products being delivered are often food related and are not classified as a high environmental risk. Therefore cleaning up the spill is more in line with good housekeeping as it does not pose a threat to the natural environment.

Non conforming products or services are logged on Multifreight. Non-conformances are linked to the company's financial year and run from February to January. The non-conformances for this financial year were viewed. It was noted that 219 non-conformances had been raised in total, this also includes non-conformances documented from internal audits and the Management Review process. Three non-conformances were noted; (1) 24 September 2021- Pallet for Robinsons Isle of Man from Heemskerk Flowers- noted that package was damaged prior to arrival with the business. Supplier made aware of damage; (2) 31 August 2021- Collection from Fly in the Loaf, job raised with incorrect route code. This was noted and changed. Later it was noted that the legs weren't updated correctly which resulted in a delay by 24 hours. KQ advised customer. Route cause human error, email sent out to team to check the legs after the route code has been amended after job has been create; (3) 16 July 2021- Vegetable delivery that should have been stored in freezer was kept in the trailer. Goods delivered but they have started to rot. Customer compensated for loss on 22 July 2021. Root cause found that incident occurred due to staff shortages due to COVID. Task was therefore being completed by a new member of staff. Further training was given to the newer members of staff in warehouse. No repeat or similar incident documented to date;

Operational Procedures are in place which include a Business Continuity Plan (V2, dated August 2020) that was evidenced at the audit and addressed potential information security risks that could impact business operations. Potential information security incidents stated include loss of IT / data and loss of telecommunications. Loss of telecommunications was reviewed in more detail. It is stated that If the period of unplanned unavailability is set to exceed 72 hrs, an interim business continuity meeting will be called by the FD/NED. In addition to the Quorum Team member and the BCP team will also attend (names of members are indicated on the TDL organisational chart). Control measures that would be implemented would depend on the exact loss. Examples noted include issuing staff with temporary location and temporary telephone numbers until numbers can be diverted and if mobiles are being used, if this was to happen the business would have to ensure that sufficient chargers are now in place.

The business use Sonicwall as one of their firewalls. The Sonicwall dashboard was evidenced and it was noted that viruses were successfully blocked. Checks are made continuously. It was noted that from the 22 September 2021 onward, 12905 intrusion threats and 631 GEO-IP threats had been blocked by the software. To date no significant threats have been documented as a result of the firewall and anti virus systems doing what is expected of them. All PCs are checked for potential cybersecurity issues on a continual basis by Vipre Security. The configuration menu was evidenced, tests had been conducted on the PCs of LW (PCKW176) at 1146 on 6 October 2021 and no issues were raised. Back ups are managed using the Back Up Exec platform. Daily back ups are made of the company's storage onsite and this is replicated offsite. All emails that are received by the business are scanned by Vipre. It was noted from the dashboard that over a seven day period 3510 spam emails and 33 virus emails had been captured.

The IT Manager was asked if the business carry out penetration tests to which the answer was no, he said that penetration tests are carried out by software providers who carry out their own testing of their product that they supply to the business. If improvements are noted by the provider they are normally downloaded and installed in the form of patches.

Regards access control, for physical access the IT Manager uses the Net2 platform. All users or staff are given a fob and entry is controlled by the platform. Access controls are selected against their job title. The controls of BC and KQ (who work in the warehouse and office respectively) were viewed. BC had all day everyday access to warehouse and working hours access from workshop to warehouse and no access to the IT server room. KQ had all day everyday access to the transport office, working hours access to first floor reception door and side door entrance. User access rights are in place for allowing staff access to

For user access rights to operating systems, user access systems and networks are controlled via user names and passwords. These writes are managed and controlled through the Group IT Manager and his support team. HR and Line management request access rights which must be approved by the Group IT Manager or appointed deputy. No issues against access to operating systems have been raised in the existing audit period. The IT Manager confirmed that users are given access rights (e.g. user account with password controls) to software or platforms that link to their roles.

The Information Security Risk Assessment Process is clearly defined in the QMS and IMS Risk Assessment and Treatment Plan and the most significant risks noted are; (1) Communication is intercepted by an unauthorised party; (2) Information is compromised by an unauthorised party ; (3) Information is overheard by an unauthorised party (e.g. contractor of visitor); All risks were defined as high risk without control measures and medium with a residual risk score. The business believe that the risk cannot be reduced to low due to human error. The business are satisfied with the control measures in place at present as no issue resulting in data loss or interception of data have been documented in the last audit period. The risks are being continuously monitored by the business against everyday operations. Controls were also noted against each of the significant risks highlighted. For example against (1), controls in place include staff receiving training to ensure they apply the required controls to protect information and a review of legal legislation that can be passed onto staff through training if it is deemed applicable.

The Statement of Applicability was noted to have identified controls to mitigate risks following identification, analysis and evaluation. The Statement of Applicability was evidenced; currently on Version 1.3, last reviewed September 2020 and has been created in line with Annex A. This is detailed in Clause 6 of this report.

Supplier based non-conformances are the responsibility of the company representative. For example fleet suppliers communicate within the Fleet Manager as their point of contact and operational (e.g. carries/logistics) are managed by the Operations Manager (DJ). Operational suppliers were reviewed as part of the audit and the following were noted; (1) Week beginning- 21 September 2021- Keedwells total orders 214, failed 17, delivery performance 92.06 percent, non chargeable fails 8, 47.06 percent fails non-chargeable; (2) Week beginning- 21 September 2021- TDL Midlands- total orders 1127, failed 190, delivery performance 83.14 percent percent, non chargeable fails 114, 60 percent fails non-chargeable; Higher number of failures documented that week were because of the fuel crisis.

Customer related supply issues are also documented by the Operations Manager. They are highlighted as KPIs which focuses whether deliveries are made on timing and in full (e.g. the whole order is made). This was evidenced for deliveries made for Mermaid Shore from week beginning 24 September 2021. 13 fails were highlighted from 1270 deliveries, 98.98 percent success rate. Failures highlighted are not loaded, short delivered and late delivery. Late delivery noted for SHO244853-1 and SHO245854-1; The supplier will contact the Operations Manager as part of a scheduled weekly call. Backgrounds are documented separately by email following a phone call. This was cross referenced against SHO44225 on Tuesday 24 September, delivery not made as customer was not at home (email evidenced). Deliver made on third attempt the following day. First failure due to traffic and second due to customer not being at home. Examples of logistical suppliers used by the business include Nova (Midlands parcel network) and Keedwells (north of England and Scotland parcel network).

Clause 9: Performance Evaluation

Performance Evaluation has been established and defined and is tied in with the objectives and targets. All management system incidents that could impact business operations are logged on 'Multi Freight'. Examples of operational non-conformances non-conformances are documented on 'Multi Freight' and examples are given above under Clause 8 along with supplier related non-conformances which were discussed with the Operations Manager. Continuous monitoring is undertaken observing each part of the service provision. This is designed to document internal audit and risk assessment outcomes, concerns, problems, incidents, breaches and suggestions, who is responsible for the management of each individual issue, completion target dates and corrective actions taken. Three non-conformances were raised as part of the audit, it was felt this was more down to current pressures linked to the fallout of the pandemic rather than poor operational performance.

EMS performance evaluation is established by meeting environmental objectives and ensuring that the business comply with legislation and that any complaints or non-conformances raised as part of the internal audit process are dealt with on a proactive basis. This was evidenced through the cleaning of the site interceptor after it was raised at an internal audit that some of the drainage contained hydrocarbons and where possible the waste that is produced as a result of business operations are reused or recycled. It was confirmed that recycled waste is collected by Askbuck and Cleanaway (Licence WDL/04/2007/V2) and waste oils from the warehouse are collected by Sita for incineration (Licence DIR/06/2003/V5). Any waste stream the business produce that cannot be recycled or reused will be sent to the energy from waste plant where it is then incinerated. This contributes around 10 percent to the Isle of Man's island grid.

Customer satisfaction was evidenced through repeat business and this is summarised above under Clause 8. The business did try sending surveys to customers but they stopped doing this due to a low response rate of returns.

An audit schedule was evidenced and all clauses of the ISO9001, ISO14001 and ISO27001 Standard are audited over a 12 month period. The following audits were evidenced; (1) Clauses 8- 16 July 2021- OFI noted that organisation chart needs to be updated and 2 screens were unattended and not locked. OFI also raised as interceptor was blocked and on the large bins mixed waste needs to be clearly labelled; (2) Clause 7- 27 May 2021- OFI noted that Supplier Review Documentation needs Transfer from Archive into Core System and updating and that no header control on data retention policy.; Audits were carried out by the Consultant and will audit results are discussed with Senior Management as part of the annual management review meeting.

Management Reviews of all three Standards occurs on an annual basis. The last Review was held on 11 November 2020. There were 5 attendees and that included the Operations Director, Assistant Customer Services Manager, Freight Manager, Business Improvement Manager and the Consultant. The following notes were documented on an agenda template that met the requirements of Clause 9.3 of all three Standards; (1) HR function now provided by external provider; (2) Access control objective - nothing raised as NCR's; (3); Electric vehicles to be used for certain areas of the UK, as per new UK legislation. Fleet to be updated which will reduce carbon emissions; (4) Customer complaints are raised in Multifreight. OFIT% is mainly meeting the 99% target, with those under 99% being investigated (NCR's raised and appropriate corrective actions implemented). Fails are reported as part of Job NCR's and actioned appropriately. Weekly meetings are held with customers to determine satisfaction is being maintained; (5) Happy Wall reviewed - 1) Thanks to driver - 2) Thanks for delivery, driver was polite and helpful; (6) Nova Midlands were overwhelmed with TDL requirements recently, leading to reduction in service quality. This has been addressed with them, with corrective actions implemented; (7) EMS Aspects and Impacts Register reviewed - may require some slight amendments; (8) Link required between HR and IT regarding leavers - access cards and email accounts to be terminated/actioned as soon as individual leaves the company; It is suggested that some of these potential high level issues documented are implemented under the Planning of Change process;

Clause 10: Improvement

Continual improvement was noted through out the audit. Examples include; (1) information security controls in place ensure that all information security threats have been captured by information security controls in place; (2) cleaning out of the interceptor after it was highlighted at an internal audit that it appeared to be blocked; (3) not losing any customers through poor operational performance; (4) the business to start using electrical vehicles as part of their fleet (noted in Management Review minutes);

Section E: Legal Compliance

The Compliance Manager (Sharon Mather) works with the Consultant (Kevin Burnell) to ensure that the business keep up to date with relevant legislation which can be sourced from various websites such as HSE; Direct.Gov, Isle of Man Legislation and Environmental Agency and then reviewed as part of the Internal Audit program.

A Legal Register spreadsheet was evidenced which details all of the relevant compliance requirements and the following entries were noted: Bribery Act ; Data Protection Act; Modern Slavery Act; Employment Act; Computer Security Act; Environmental Protection Act; WEEE; Dangerous Goods Act; Copyright, etc. and Trade Marks (Offences and Enforcement) Act; Equality Act; The List of Wastes (England) Regulations; Sewerage Act; Isle of Man Health and Safety at Work Act; Document last reviewed April 2021

The H and B Group Accounts Department are used for financial and payroll compliance. Employment law guidance is provided by Keystone Law and Manx Industrial Relations.

ME- daily walkaround checks and safe loading practices- 30 June 2021;
DJ- daily walkaround checks and safe loading practices- 30 June 2021;
BE- traffic banksman- expires 22 April 2024;
SE- FLT certificate, issued 16 May 2019;
Torque wrench 8801-03, calibrated on 6 September 2020. It is stated on the calibration document that the torque wrench is calibrated from 6 September 2020 to 5 September 2023).
Vehicles also need to have passed their MOT and be taxed so they are roadworthy, this was evidenced against NMN348A.
Expiry date of vehicle licence 31 May 2022.
Fire extinguishers serviced by Unique Fire Protection in June 2021;
Last fire evacuation drill was on 7 July 2021;
Diesel fuel stored in a bunded fuel tank
AdBlue stored in a bunded fuel tank
Gas cylinders (for FLT use) were seen in a locked caged area.
Recycled wastes (apart from oils) are collected by Askbuck and Cleanaway (Licence WDL/04/2007/V2).
Waste oils from the warehouse are collected by Sita for incineration (Licence DIR/06/2003/V5).
Public liability insurance provided by NFU, expires 31 January 2022.
Sharon Mather (Compliance Manager) has worked for the business for over 3 years and is therefore deemed competent to identify relevant legislation for the organisation, is responsible for ensuring employees and Directors are informed of any legislation changes that could affect the organisation. Overall responsibility lies with the Managing Director.

No enforcement action has been taken against the business.

Section F: Use of the Certification Mark

The certification marks were seen on email footers. The correct logos are being used.

Closing Meeting

The closing meeting was attended by Alison Pickett (Operations Director) and Kevin Burnell (Consultant). They were informed that three minor non-conformances and some opportunities for improvement were noted. The audit objectives were concluded in line with the Audit Plan and all information requested was supplied and forms part of the above detail in terms of the requirements. The client was satisfied that the audit duration was a true reflection of the entire process-based activity.

This assessment was conducted remotely via interactive virtual technology, and can confirm that an effective process based audit was concluded allowing all testing/observations noted within the scope of certification and as such this validates and meets the justification of completing the assessment virtually.

Non-Conformities and Opportunities for Improvement

	Type	Clause	Summary
NC-1	● Minor	7.1.2	(ALL) Finding: The organization shall determine and provide the persons necessary for the effective implementation of its quality management system and for the operation and control of its processes. Evidence: It was noted that training qualifications seen were not stated on the training matrix spreadsheet.
NC-2	● Minor	7.1.4	(9001) Finding: The organization shall determine, provide and maintain the environment necessary for the operation of its processes and to achieve conformity of products and services. NOTE A suitable environment can be a combination of human and physical factors, such as: a) social (e.g. non-discriminatory, calm, non-confrontational); b) psychological (e.g. stress-reducing, burnout prevention, emotionally protective); c) physical (e.g. temperature, heat, humidity, light, airflow, hygiene, noise). These factors can differ substantially depending on the products and services provided Evidence: The supplier carrying out air conditioning surveys and maintenance did not communicate to the business that the air conditioning units couldn't be serviced due to COVID legislation implemented by the Manx Government.
NC-3	● Minor	8.1	(14001) Finding: The organisation shall use the services of third parties to ensure that environmentally-related needs and expectations are met. Evidence: The waste bins for disposing of glass and plastic had been cross contaminated with waste cardboard.
OFI-1	● OFI	6.1.2	(14001) It is suggested that the residual impact scores on the aspects and impacts table are amended to reflect business operations.
OFI-2	● OFI	6.3	(9001) It is suggested that opportunities and changes (linked to planning of change) are documented on one template going forward.
OFI-3	● OFI	7.5	(ALL) It is suggested that management system documents referenced in the Manual (IMS Documented System) are hyperlinked so they are easier to locate when needed.
OFI-4	● OFI	8.2.1	(9001) It is suggested that the business remove testimonials from the website that date back to 2016 and replace it with new feedback from customers.

- = Major Non-Conformity
- = Minor Non-Conformity
- = Opportunity for Improvement

If non-conformances have been raised throughout this assessment, you are required to provide the following to assist in the closure of these to compliance@british-assessment.co.uk.

Major Non-conformance (Recertification Assessment) – Provide evidence within 10 days of the assessment

Major Non-Conformance (Surveillance Assessment) – Provide evidence within 28 days of the assessment

Minor Non-Conformances – Provide a corrective action plan within 28 days detailing how you intend to rectify in preparedness for the next assessment together with a root cause analysis.

Important Note: If this assessment represented a "Stage 2" (Initial) assessment, certification cannot be granted until such time that the corrective action plan has been received.

Certification Cycle Assessment Plan (from to 3)

Business function/Process	Stage Two Audit	1st Surveillance Audit	2nd Surveillance Audit	Recertification Audit
Context of the organisation	P	P	P	P
Leadership	P	P	P	P

Planning	P	P	P	P
Support	P	P	P	P
Operation	P	P	P	P
Performance Evaluation	P	P	P	P
Improvement	P	P	P	P
Client Site Visit	tbc	tbc	tbc	tbc

P = Planned, ✓ = Done, ✗ = Excluded

Plan for next Assessment

Time	Assessment Activity
09.00	Arrive on site
	Opening Meeting
	Overview of Company
	Review:- Context of the Organisation
	Review non-conformities, observations, recommendations from previous audit.
	Leadership
	Planning for the management systems including risk
	Including Statement of Applicability
	Support
	Operation
	Performance Evaluation
	Improvement
	Control of externally provided products and services
	Performance Evaluation
	Customer Communication
	Internal Audits
	Legal Compliance
	Use of Certification Mark (where applicable)
	Auditor collating information and preparing for closing meeting.
	Closing Meeting

Assessment Notes

- a. The assessment was based on sampling and therefore non-conformities may exist which have not been identified.
- b. If you wish to distribute copies of this report external to your organisation then all pages must be included.
- c. The British Assessment Bureau, its staff and agents shall keep all information relating to your organisation confidential and secure and shall not disclose any such information to any third party except that in the public domain or required by law or relevant accreditation bodies. The British Assessment Bureau staff agents and accreditation bodies have signed individual confidentiality undertakings and will only receive confidential information on a 'need to know' basis.
- d. This report and related documents have been prepared for and only for the British Assessment Bureau client and for no other purpose. As such the British Assessment Bureau does not accept or assume any responsibility (legal or otherwise) or accept any liability for or in connection with any other purpose for which the Report may be used or to any other person to whom the Report is shown or in to whose hands it may come and no other persons shall be entitled to rely on the Report.
- e. The management system documentation included the necessary policies, procedures, process descriptions etc, required by the standard.

Complexity Statements

1) **Type(s) of business and regulatory requirements** Organization works in non-critical business sectors and non-regulated sectors

Critical business sectors are sectors that may affect critical public services that will cause risk to health, security, economy, image and government ability to function that may have a very large negative impact to the country

2) **Process and tasks** Standard processes with standard and repetitive tasks; lots of persons doing work under the organization's control carrying out the same tasks; few products or services

3) **Level of establishment of the MS** ISMS is already well established and/or other management systems are in place

4) **IT infrastructure complexity** Few or highly standardized IT platforms, servers, operating systems, databases, networks, etc.

5) **Dependency on outsourcing and suppliers, including cloud services** High dependency on outsourcing or suppliers, large impact on important business activities

6) **Information System development** None or a very limited in-house system/application development

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