

Assessment Report

InfraTec UK Ltd

Assessment dates	22/11/2019
Assessment Location(s)	Middlesbrough (000)
Report author	Nathan Chivers
Assessment Standard(s)	ISO 9001:2015



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Executive summary

The strategic direction and intended results of the Quality Management system was confirmed. The management system has demonstrated that it will support growth and deliver the intended results, whilst ensuring ongoing customer satisfaction and providing a framework for continual improvement.

Local controls continue to be managed effectively demonstrating the maturity of the organisations operational procedures, with all employees interviewed during this assessment demonstrating a clear understanding of company expectations.

No non-conformances have been identified during this assessment.

No opportunities for improvement have been observed in this assessment.

Continued certification to ISO 9001:2015 is recommended.

Changes in the organization since last assessment

There is no significant change of the organization structure and key personnel involved in the audited management system.

No change in relation to the audited organization's activities, products or services covered by the scope of certification was identified.

There was no change to the reference or normative documents which is related to the scope of certification.

NCR summary graphs

There have been no NCRs raised.

Your next steps

NCR close out process

There were no outstanding nonconformities to review from previous assessments.

No new nonconformities were identified during the assessment. Enhanced detail relating to the overall assessment findings is contained within subsequent sections of the report.

Please refer to Assessment Conclusion and Recommendation section for the required submission and the defined timeline.

Assessment objective, scope and criteria

The objective of the assessment was to conduct a surveillance assessment and look for positive evidence to verify that elements of the scope of certification and the requirements of the management standard are effectively addressed by the organization's management system; that the system is demonstrating the ability to support the achievement of statutory, regulatory and contractual requirements and the organization's specified objectives as applicable with regard to the scope of the management standard; to confirm the ongoing achievement and applicability of the forward strategic plan and where applicable to identify potential areas for improvement of the management system.

The scope of the assessment is the documented management system with relation to the requirements of ISO 9001:2015 and the defined assessment plan provided in terms of locations and areas of the system and organization to be assessed.

ISO 9001:2015
InfraTec UK management system documentation

Statutory and regulatory requirements

The primary statutory and regulatory requirements that relate to the services provided by InfraTec UK relate to the Construction, Design & Management (CDM) Regulations 2015, where InfraTec UK operate as a Contractor. These obligations are subject to internal audit and direct supervision to verify and maintain on-going compliance.

Assessment participants

Name	Position	Opening meeting	Closing meeting	Interviewed(processes)
Lee Ratcliff	Operations Director		X	
Lee Payne	Commercial Manager	X	X	X

Assessment conclusion

BSI assessment team

Name	Position
Nathan Chivers	Team Leader

Assessment conclusion and recommendation

The audit objectives have been achieved and the certificate scope remains appropriate. The audit team concludes based on the results of this audit that the organization does fulfil the standards and audit criteria identified within the audit report and it is deemed that the management system continues to achieve its intended outcomes.

RECOMMENDED - The audited organization can be recommended for continued certification to the above listed standards, and has been found in general compliance with the audit criteria as stated in the above-mentioned audit plan.

Use of certification documents, mark / logo or report

The use of the BSI certification documents and mark / logo is effectively controlled.

Findings from this assessment

CORE MANAGEMENT SYSTEM ACTIVITIES:

(Including; Policy, Objectives, Management Review, Internal Audits, Customer Satisfaction/Complaints, Non-Conformance & Corrective Action, Document & Record Management, and Continual Improvement)

Evidence Witnessed during Assessment:

- Company Procedures;
 - > QMS Manual (v.5)
 - ~ Section 5: Quality Policy
 - > QMP002: Resource Management Process (v.1)
 - > QMP003: Measurement Analysis & Improvement Process (v.1)
 - > QMD002: Control of Documents (v.2)
 - > QMD003: Control of Records (v.2)
 - > QMD005: Change Management (v.1)
 - > QMD007: Management Reviews (v.3)
 - > QMD023: Internal Audits (v.2)
 - > QMD024: Corrective & Preventative Actions (v.2)
 - > QMD025: Complaints (v.1)
- Management Review (20/12/18, 01/04/19 & 05/08/19)
- Strategic Company Objectives;
 - > Continuous Improvement Log
- Internal Audit Log/Schedule:
 - > Internal Audit # 006: Resource management (Inc. Calibration & Sub-Contractor Management)
 - > Internal Audit # 007: Service Delivery (From Quote & Project Delivery inc. Field Services)
- NCR/CAR Register (Internal/External Audit, Complaints, Employee Feedback, etc.)
 - > CAR # 60 (Raised: 26/03/19, Closed: 02/04/19)

Organisations method for determining effectiveness:

Review of internal audits, records, key performance indicators (KPI's) & observation

Results:

Policy: The policy continues to satisfy the requirements of the standard. The policy continues to be subject to periodic review as part of the Management Review process. The policy continues to be communicated internal via the company cloud storage system and noticeboard. External communication of the policy is principally achieved via the tendering/quotation process.

Objectives: The organisation has opted to maintained 4 core strategic objectives which roll from year to year, but for 2019 a continual improvement log has been established to record all continual improvement initiatives and projects that have been identified for each of the strategic objectives. This continual improvement register provides an effective platform for tracking performance against objectives.

Management Review: In 2019 the organisation has opted to reduce the frequency of management review from three monthly to six monthly. Management review was found to be undertaken in a timely manner, was well documented and had good attendance from the senior management team.

Internal Audits: Internal audits continue to be well planned with all areas of the standard and the company management system subject to audit at least once every 2 years. Internal audits completed were found to be well documented and were completed in a timely manner.

Non-Conformance Management: Whilst the organisation has identified very few non-conformances those that have been identified have been managed in a effective & timely manner.

Customer Feedback (Complaints & Satisfaction): Whilst the organisation has had no complaints processes remain in place to ensure that complaints are recorded, investigated and resolved in a timely and effective manner. Customer feedback is generally achieved through close interaction between the senior management team and clients, and those performing field-based activities with local client representatives. No evidence was observed during this assessment to indicate this strategy was ineffective.

Document & Record Management: Document and record management processes were found to be well defined with good evidence of effective implementation.

Continual Improvement: Continual improvement activities continue to be well managed with good evidence presented via the new Continual Improvement register.

Planned objective:

Based on a sampling process and the objective evidence above planned activities & results have been achieved.

PROJECT MANAGEMENT and MANAGEMENT OF SITE OPERATIONS:

Evidence Witnessed during Assessment:

- Company Procedures;
 - > QMP001: Service Delivery (v.1)
 - > QMP002: Resource Management Process (v.1)
 - > QMP003: Measurement, Analysis & Improvement Process (v.1)
 - > QMD012: Planning & Forecasting Procedure (v.1)
 - > QMD016: Service Delivery Procedure (v.2)
 - > QMD018: Control activities (relating to Service Delivery) (v.1)
- Records & correspondence associated to: Project BMJV1802 (M27 J4-11: Site Clearance)
 - > Client issued "Short Programme of Works" (Last updated: 18/11/19)
 - > Project Management Work File:
 - ~ Correspondence History/Register
 - ~ Early Warning Contract Deviation Warnings (14/11/19 & 15/10/19)
 - ~ Key Contacts (Client, Principle Contractor, Sub-Contractors etc.)
 - ~ Technical Query Log [None raised on this project]
 - ~ Project management - Overview of Individual Work Packages & Instructions from Client
 - > WARBOARD Resource Tool/Planner reflecting Project BMJV1801 activities
 - > Activity Tracker
 - > Various Site Visit Reports including Daily Site Reports and Work Package Sign Off records
- Records & correspondence associated to: Project BMJV1802 (M62 J10-12: Site Clearance)
 - > Client issued "Programme of Works"
 - > Project Management Work File:
 - ~ Correspondence History/Register
 - ~ Early Warning Contract Deviation Warnings (None pending)
 - ~ Key Contacts (Client, Principle Contractor, Sub-Contractors etc.)
 - ~ Technical Query Log [None raised on this project]
 - ~ Project management - Overview of Individual Work Packages & Instructions from Client
 - > WARBOARD Resource Tool/Planner reflecting Project BMJV1802 activities
 - > Activity Tracker
 - > Various Site Visit Reports including Daily Site Reports and Work Package Sign Off records

Organisations method for determining effectiveness:

Review of internal audits, records & observation

Overview of Organisation Process and Conclusions:

The processes associated to Project management and the Management of Site Operations was well defined with good documented evidence observed to demonstrate effective implementation.

Planned objective:

Based on a sampling process and the objective evidence above planned activities & results have been achieved.

RESOURCES, COMPETENCY, AWARENESS & COMMUNICATION:

Evidence Witnessed during Assessment:

- Company Procedures;
 - > QMP002: Resource Management Process (v.1)
 - > QMD008: Training Procedure (v.1)
- Employee Training Matrix
- Employee Competency Profiles (including Competency Cards & Training Records) for;
 - > David Bullock
 - > Lee Ratcliff
 - > Lee Payne
 - > Mike Arkle
- Internal Communication via Tool Box Talks & Company Notice Board

For External Communication please refer to "Project Management and Management of Site Operations" elsewhere within this report.

Organisations method for determining effectiveness:

Review of internal audits, records & observation

Overview of Organisation Process and Conclusions:

Resources: Throughout the assessment no evidence was observed to indicate that there was a lack of resources that would prevent the organisation from fulfilling its legal obligations, its obligations relating to ISO 9001:2015 and its contractual obligations.

Competency & Awareness: The organisation maintains good records relating to competency and training with documented evidence contained with employee specific Competency Portfolios.

Communication: Processes relating to internal and external communication were found to be well implemented and effective.

Planned objective:

Based on a sampling process and the objective evidence above planned activities & results have been achieved.

INFRASTRUCTURE and WORK ENVIRONMENT: (Including; ICT/Data Backup, Management of Measuring Equipment):

Evidence Witnessed during Assessment:

- Company Procedures;
 - > QMP002: Resource Management Process (v.1)
 - > QMD010: Calibration Procedure (v.1)
- Use of Microsoft Cloud Technology for Data Backup
- Calibration Log (updated: 21/11/19)
 - > Fluke 175 Multi-meter (Serial # 26860336)
(Calibrated: 30/04/19) Certificate: STD112126 (Calibration Frequency: 12 Months)
 - > Robin KMP4120-DL Loop Tester (Serial # 4139699)
(Calibrated: 21/11/19) Certificate: STD123141 (Calibration Frequency: 12 Months)
 - > Testo 410-1 Anemometer (Serial # 38447662-502)
(Calibrated: 27/05/19) Certificate: STD108800 (Calibration Frequency: 12 Months)

Organisations method for determining effectiveness:
Review of internal audits, records & observation

Overview of Organisation Process and Conclusions:

Infrastructure & Work Environment: Throughout the assessment infrastructure and work environment observed was considered to be suitable and sufficient for the work being undertaken.

ICT/Data Backup: Digital information is stored both locally on individual encrypted laptops and other PC hardware and is live synced with off-site cloud based storage which permits easy retrieval and sharing of data etc. whilst maintain access to previous file history.

Management of Measuring Equipment: The processes associated to the management of measuring equipment was found to be effective. Measuring equipment observed and sampled was found to be stored in a suitable condition and was where required subject to periodic calibration.

Planned objective:

Based on a sampling process and the objective evidence above planned activities & results have been achieved.

Next visit objectives, scope and criteria

The objective of the assessment is to ascertain the integrity of the organization's management system over the current assessment cycle to enable recertification and confirm the forward strategic assessment plan.

The scope of the assessment is the documented management system with relation to the requirements of ISO 9001:2015 and the defined assessment plan provided in terms of locations and areas of the system and organization to be assessed.

ISO 9001:2015

InfraTec UK management system documentation

Please note that BSI reserves the right to apply a charge equivalent to the full daily rate for cancellation of the visit by the organization within 30 days of an agreed visit date. It is a condition of registration that a deputy management representative be nominated. It is expected that the deputy would stand in should the management representative find themselves unavailable to attend an agreed visit within 30 days of its conduct.

Next visit plan

Date	Auditor	Time	Area/process	Clause
16/11/2020	Nathan Chivers	08:30	Opening Meeting (Review of previous non-conformances & company changes, etc.)	
			SENIOR MANAGEMENT DISCUSSION	
			STRATEGIC MANAGEMENT SYSTEM ACTIVITIES: (Including; Policy, Organisational Context (Inc. Interested Parties), Scope, Leadership and Risk & Opportunities)	
			CORE MANAGEMENT SYSTEM ACTIVITIES: (Including; Objectives, Management Review, Internal Audits, Customer Satisfaction/Complaints, Non-Conformance & Corrective Action, Document & Record Management, and Continual Improvement)	
		13:00	Lunch	
		13:00	STRATEGIC REVIEW & 3 YEAR PLAN	
		14:30	Closing Meeting <i>(Visit report to be written off-site and submitted to the client (via the BSI Portal) by 09:00 next working day)</i>	

Appendix: Your certification structure & ongoing assessment programme

Scope of certification

FS 618313 (ISO 9001:2015)

The planning and management of installation and commissioning services for driver information and traffic monitoring systems.

Assessed location(s)

The audit has been performed at Central Office.

Middlesbrough / FS 618313 (ISO 9001:2015)

Location reference	0047529484-000
Address	InfraTec UK Ltd Unit 8-9 Easter Park Barton Road Middlesbrough TS2 1RY United Kingdom
Visit type	Continuing assessment (surveillance)
Assessment reference	9662335
Assessment dates	22/11/2019
Audit plan (revision date)	15/11/2018
Deviation from audit plan	No
Total number of Employees	9
Effective number of Employees	9
Scope of activities at the site	Main certificate scope applies.
Assessment duration	1 day(s)

Certification assessment programme

Certificate number - FS 618313

Location reference - 0047529484-000

		Audit1	Audit2	Audit3
Business area/location	Date (mm/yy):	11/18	11/19	11/20
	Duration (days):	1	1	1
STRATEGIC REVIEW				X
CONTINUOUS ASSESSMENT		X	X	
Opening Meeting (Review of previous non-conformances & company changes, etc.)		X	X	X
STRATEGIC MANAGEMENT SYSTEM ACTIVITIES: (Including; Policy, Organisational Context (Inc. Interested Parties), Scope, Leadership and Risk & Opportunities)		X		X
CORE MANAGEMENT SYSTEM ACTIVITIES: (Including; Objectives, Management Review, Internal Audits, Customer Satisfaction/Complaints, Non-Conformance & Corrective Action, Document & Record Management, and Continual Improvement)		X	X	X
INFRASTRUCTURE & WORK ENVIRONMENT (Inc. Calibration etc.)			X	
COMPETENCY, AWARENESS & COMMUNICATION			X	
SERVICE DELIVERY ACTIVITIES (Customer Enquiries, Order Processing, ad Purchasing/Sub-Contracting)		X		
PROJECT MANAGEMENT and MANGEMENT OF SITE OPERATIONS			X	
SENIOR MANAGEMENT DISCUSSION				X
STRATEGIC REVIEW & 3 YEAR PLAN				X

Expected outcomes for accredited certification

What accredited certification to ISO 9001 means

ISO 9001:2015 specifies requirements for a quality management system when an organization: needs to demonstrate its ability to consistently provide products and services that meet customer and applicable statutory and regulatory requirements; and aims to enhance customer satisfaction through the effective application of the system, including processes for improvement of the system and the assurance of conformity to customer and applicable statutory and regulatory requirements.

What accredited certification to ISO 9001 does not mean

- 1) It is important to recognize that ISO 9001 defines the requirements for an organization's quality management system, not for its products and services. Accredited certification to ISO 9001 should provide confidence in the organization's ability to "consistently provide product that meets customer and applicable statutory and regulatory requirements". It does not necessarily ensure that the organization will always achieve 100% product conformity, though this should of course be a permanent goal.
- 2) ISO 9001 accredited certification does not imply that the organization is providing a superior product or service, or that the product or service itself is certified as meeting the requirements of an ISO (or any other) standard or specification.

Definitions of findings:

Nonconformity:

Non-fulfilment of a requirement.

Major nonconformity:

Nonconformity that affects the capability of the management system to achieve the intended results. Nonconformities could be classified as major in the following circumstances:

- If there is a significant doubt that effective process control is in place, or that products or services will meet specified requirements;
- A number of minor nonconformities associated with the same requirement or issue could demonstrate a systemic failure and thus constitute a major nonconformity.

Minor nonconformity:

Nonconformity that does not affect the capability of the management system to achieve the intended results.

Opportunity for improvement:

It is a statement of fact made by an assessor during an assessment, and substantiated by objective evidence, referring to a weakness or potential deficiency in a management system which if not improved may lead to nonconformity in the future. We may provide generic information about industrial best practices but no specific solution shall be provided as a part of an opportunity for improvement.

How to contact BSI

'Just for Customers' is the website that we are pleased to offer our clients following successful registration, designed to support you in maximising the benefits of your BSI registration - please go to www.bsigroup.com/j4c to register. When registering for the first time you will need your client reference number and your certificate number (47529484/FS 618313).

Should you wish to speak with BSI in relation to your registration, please contact our Customer Engagement and Planning team:

Customer Services
BSI
Kitemark Court,
Davy Avenue, Knowlhill
Milton Keynes
MK5 8PP

Tel: +44 (0)345 080 9000

Email: MK.Customerservices@bsigroup.com

Notes

This report and related documents are prepared for and only for BSI's client and for no other purpose. As such, BSI 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. If you wish to distribute copies of this report external to your organization, then all pages must be included.

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This audit was conducted on-site through document reviews, interviews and observation of activities. The audit method used was based on sampling the organization's activities and it was aimed to evaluate the fulfilment of the audited requirements of the relevant management system standard or other normative document and confirm the conformity and effectiveness of the management system and its continued relevance and applicability for the scope of certification.

As this audit was based on a sample of the organization's activities, the findings reported do not imply to include all issues within the system.

Regulatory compliance

BSI conditions of contract for this visit require that BSI be informed of all relevant regulatory non-compliance or incidents that require notification to any regulatory authority. Acceptance of this report by the client signifies that all such issues have been disclosed as part of the assessment process and agreement that any such non-compliance or incidents occurring after this visit will be notified to the BSI client manager as soon as practical after the event.