

# Assessment Report

## INFRATEC-UK Ltd

Assessment dates	25/11/2021 to 25/11/2021 (Please refer to Appendix for details)
Assessment Location(s)	Middlesbrough (000)
Report author	Ryan Marc Fromson
Assessment Standard(s)	ISO 9001:2015



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## Executive summary

A positive onsite assessment has been completed for Infratec UK, demonstrating the teams ongoing commitment to the management system requirements and strategic direction. The team have recently introduced new roles within the Company, acquiring 2 Testing Engineers and a Business Administration role. The Quality Objectives remain on target and the internal audit schedule for the Company remains well managed. Operational controls related to the Customer Enquiries, Order processing and Purchasing were effectively demonstrated and records readily available. Supporting tools used to demonstrate the preventative maintenance of its vehicles using Fleetio was found effective.

During the assessment 3 Opportunities for improvement were identified (referenced within the report).

The Company can be recommended for continued certification to ISO 9001:2015.

The next visit has been scheduled for the 17th November 2021 (a draft plan has been included within the report).

## Changes in the organization since last assessment

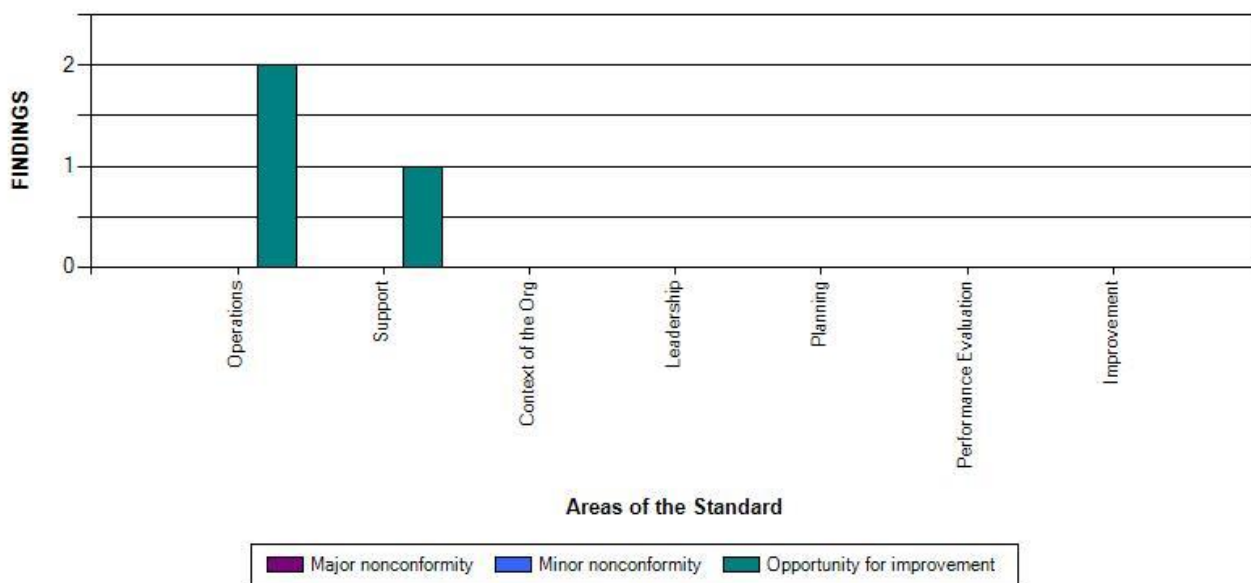
There is no significant change of the organization structure and key personnel involved in the audited management system.

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

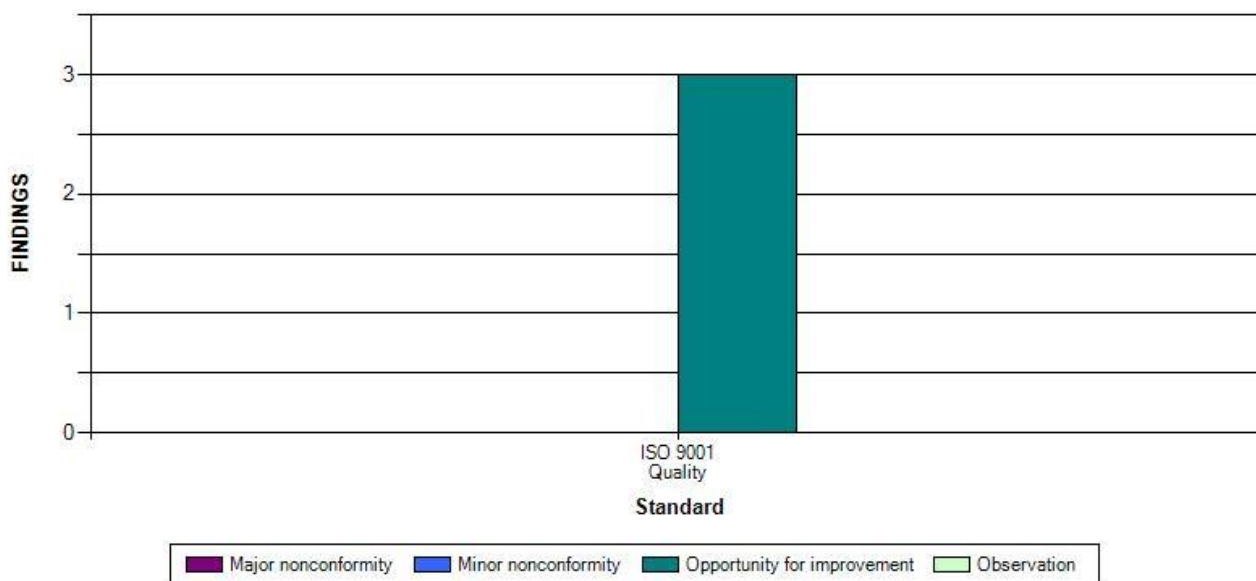
There was no change to the reference or normative documents which is related to the scope of certification.

## NCR summary graphs

### **Areas of the standard(s) where BSI recorded findings**



### Which standard(s) BSI recorded findings against



### Where BSI recorded findings



## 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. Effectiveness of the internal audit process was accessed during this audit.

## Assessment participants

Name	Position	Opening meeting	Closing meeting	Interviewed(processes)
Lee Payne	Commercial Manager	X	X	X
Helen Medcalf	Business Administrator	X	X	X

## Assessment conclusion

BSI assessment team

Name	Position
Ryan Marc Fromson	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.

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

### Opening Meeting (Review of previous non-conformances & company changes, etc.):

It was established at the opening meeting that since the last assessment:

- There had been no changes to the process, procedures or the site.
- There had been no changes to the management system, top management or organisation.
- There has been no customer complaints since the last BSI assessment

### Objectives, Management Review, Internal Audits, Customer / Satisfaction/Complaints, Non-Conformance & Corrective Action, Document & Record Management, and Continual Improvement:

Objective evidence

- Coto Log for capturing Risks & Opportunities
- HERS Registration from National Highways
- National Highways Seminars
  
- Quality Objectives
- Management Review 28th June 21
  - ~ Leadership attendance
  - ~ Resource issues confirmed on HGV Drivers
  - ~ Addition of business admin
  - ~ Management Responsibility Process / Maintain ISO 9001:2015
  - ~ Measurement, Analysis & Improvement Process / Satisfy clients needs- Spend +8.2% vs last year
  - ~ Resource Management Process / Staff Provisional Development - Ongoing
  - ~ Resource Management Process / Improve Service Quality
  - > Investment on facilities
  - > Purchased new Hi-habs
  
- Internal audits Log Rev 2;
- 010 Service delivery Process 26th July 21
  - ~ David Rodewell (Operational Manager Training for 9001)
- Internal Audit Resource Management Process
  - ~ No findings
  
- CAR Log
- 065 Management Review Action
  - ~ Amendment of QMD 011 Customer enquiry / quotation procedure - Completed in June
- 068 Management Review Action
  - ~ QMP 001 -QMD 011, 012, 018 - Completed in June
- 066 Management Review Action
  - ~ QMD 012 - Forecasting / Planning Procedure - War board introduced
  
- Customer issues
  - ~ None received this year
  - ~ Discussed in Management Review
  - ~ Communications via e-mail

- Complaints procedure 025 Rev 02
- ~ New Website records testimonials
  
- Ongoing communications via e-mail / phones
- Swarco / Positive feedback received
- Colas / Positive feedback
- J MCanns / Positive feedback
  
- Continuous Improvement Log;
- ~ Introduction of the phone system
- ~ Office extension
- ~ Create a new test plan repair facility
- ~ Employment of 2 test engineers

Planned activities have been fully realised

The above evidence demonstrates the process has been implemented and planned activities have been realised.

Methods for determining results:

- Internal Audits
- Management review

The results were confirmed by observation, interview and sampling  
The processes were evidenced as being effective.

## **SERVICE DELIVERY ACTIVITIES (Customer Enquiries, Order Processing, and Purchasing/Sub-Contracting):**

Objective evidence

- Procedure QMD 011 Customer Enquiry / Quotation Rev 003 12/07/21
- ~ Via e-mail
- > VM21399 Installation of MS4 at DfT Wales Site office / November
- ~ Reply 16th November
- Quote issued to - Quotation document TDR SWO WLE / Cost Proposal
- Purchase Order Issued - PO 4500039752
- Traffic Monitoring example;
- > T17316 M6 J4 J5 CCTV - MCanns request
- ~ Quotation issued TDR MCC M6 J4 6 CCTV 01
- ~ Awaiting PO
- No Quotation log currently
  
- QMD 012 Forecasting & Planning QMD Forecasting Planning QMD 012 Rev 003
- ~ War board use (web based)
- ~ VM21399 Installation of MS4 at DfT Wales Site office
- Scheduled 16th December Installation DfT Wales MS4 Install
- ~ Hi Hab driver
- ~ Equipment
- ~ Tools
- Weekly communications / Friday huddle



- QMD 013 Purchasing Rev 002 28/09/20
- ~ TDR CRN M42 02
- Purchase Order SUB1772 / 100265

- ~ Transport frames
- Quickbooks
- PO for order Deritend QTY 4 1014
- Invoice PO5724 to Deritend
- Approved Sub-contractor List
- ~ Labour
- ~ Transport
- > John Harker
- ~ Self employed Subcontractor Questionnaire
- ~ Competencies recorded (IPAF / Allmi certified)

- Ionel Dobrea
- ~ Self employed Questionnaire complete
- ~ Competencies recorded (CSCS expires 22, Driver's licence, HSE documentation)

- Deritend not on list
- Immediate purchase off the shelf items using credit card / Approved
- Hired Equipment
- ~ Smart Platform Rental / Industry leading
- ~ Sales Invoice 72932 29/07/21
- Les Woolsten / Haulage
- Maintenance Plan
- Sub-Contractor / Supplier Questionnaire

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Methods for determining results:

- Internal Audits
- Management review

The results were confirmed by observation, interview and sampling

The processes were evidenced as being effective.

1 Opportunity for Improvement recognised on Quotations

1 Opportunity for improvement on Control of external Resource

<b>Finding Reference</b>	2136356-202111-I1	<b>Certificate Reference</b>	FS 618313
<b>Certificate Standard</b>	ISO 9001:2015	<b>Clause</b>	8.2
<b>Location reference</b>	0047529484-000		
<b>Assessment Number</b>	3287129		

<b>Category</b>	Opportunity for Improvement
<b>Area/process:</b>	SERVICE DELIVERY ACTIVITIES (Customer Enquiries, Order Processing, and Purchasing/Sub-Contracting)
<b>Details</b>	Quotations issued to the customer are currently managed and recorded within e-mail. A quotation log is not currently used by the Company.

<b>Finding Reference</b>	2136356-202111-I2	<b>Certificate Reference</b>	FS 618313
<b>Certificate Standard</b>	ISO 9001:2015	<b>Clause</b>	8.4.3
<b>Location reference</b>	0047529484-000		
<b>Assessment Number</b>	3287129		
<b>Category</b>	Opportunity for Improvement		
<b>Area/process:</b>	SERVICE DELIVERY ACTIVITIES (Customer Enquiries, Order Processing, and Purchasing/Sub-Contracting)		
<b>Details</b>	A sub-contractor register is currently used to show the approval of the and verification for the labour appointed to support the on site projects. It was noted that the fleet vehicle maintenance contractor Les Wolston was not evident on the register.		

## INFRASTRUCTURE & WORK ENVIRONMENT (Inc. Calibration etc.):

### Objective evidence

- QMD 009 Preventative Maintenance Rev 002 28/09/20
- Calibration log
- ~ Torque wrench 21010325 17/02/21
- ~ Straightpoint loadcell 23821 27/04/21
- ~ Multifunction tester 2818051 06/01/21
- Cert records maintained /
  
- FRS Procedure
- ~ Vehicle Maintenance FMD 09
- Vehicle tracker
- > Fleetio
- ~ Vehicles used
- ~ Servicing programmes
- MV20 SL2 / MOT & Safety Inspection
- PN20 EHR / Safety Inspection & MOT
  
- Preventative Maintenance Schedule
- Air Con for Office / 6 monthly
- 2 Units check Sept 21 / October 21
- Landlord responsibility for emergency fire controls
- Microsoft Package on SharePoint

Planned activities have been fully realised

The above evidence demonstrates the process has been implemented and planned activities have been realised.

Methods for determining results:

- Internal Audits
- Management review

The results were confirmed by observation, interview and sampling  
The processes were evidenced as being effective.

<b>Finding Reference</b>	2136356-202111-I3	<b>Certificate Reference</b>	FS 618313
<b>Certificate Standard</b>	ISO 9001:2015	<b>Clause</b>	7.1.3
<b>Location reference</b>	0047529484-000		
<b>Assessment Number</b>	3287129		
<b>Category</b>	Opportunity for Improvement		
<b>Area/process:</b>	INFRASTRUCTURE & WORK ENVIRONMENT (Inc. Calibration etc.)		
<b>Details</b>	A Calibration Log is in place and all items have been recently calibrated. An asset register to support the equipment stored within the fleet vehicles and racking could not be located within an asset register.		

## Next visit objectives, scope and criteria

The objective of the assessment is 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.

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
17/11/2022	N Chivers	0900	Opening Meeting (Review of previous non-conformances & company changes, etc.)	
			CORE MANAGEMENT SYSTEM ACTIVITIES: (Including; Objectives, Management Review, Internal Audits, Customer Satisfaction/Complaints, Non-Conformance & Corrective Action, Document & Record Management, and Continual Improvement)	
			INFRASTRUCTURE & WORK ENVIRONMENT (Inc. Calibration etc.)	
			COMPETENCY, AWARENESS & COMMUNICATION	
		1230	Lunch	
		1300	PROJECT MANAGEMENT and MANGEMENT OF SITE OPERATIONS	
		1430	Report Preparation	
		1600	Closing Meeting	

## 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)

<b>Location reference</b>	<b>0047529484-000</b>
<b>Address</b>	INFRATEC-UK Ltd Unit 8-9 Easter Park Barton Road Middlesbrough TS2 1RY United Kingdom
<b>Visit type</b>	Continuing assessment (surveillance)
<b>Assessment number</b>	3287129
<b>Assessment dates</b>	25/11/2021
<b>Deviation from audit plan</b>	No
<b>Total number of Employees</b>	16
<b>Effective number of Employees</b>	10
<b>Scope of activities at the site</b>	Main certificate scope applies.
<b>Assessment duration</b>	1 day(s)

## Certification assessment programme

**Certificate number - FS 618313**

**Location reference - 0047529484-000**

		Audit1	Audit2	Audit3	Audit4
Business area/location	Date (mm/yy):	11/20	11/21	11/22	11/23
	Duration (days):	1	1	1	1
STRATEGIC REVIEW		X			X
CONTINUOUS ASSESSMENT			X	X	
Opening Meeting (Review of previous non-conformances & company changes, etc.)		X	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	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			X
STRATEGIC REVIEW & 3 YEAR PLAN		X			X
Impartiality Review			X		

## Expected outcomes for accredited certification

### What accredited management system certification means?

To achieve an organization's objectives related to the Expected Outcomes intended by the management systems standard, the accredited management system certification is expected to provide confidence

that the organization has a management system that conforms to the applicable requirements of the specific ISO standard.

In particular, it is to be expected that the organization

- has a system which is appropriate for its organizational context and certification scope, a defined policy appropriate for the intent of the specific management system standard and to the nature, scale and impacts of its activities, products and services over their lifecycles, is addressing risks and opportunities associated with its context and objectives;
- analyses and understands customer needs and expectations, as well as the relevant statutory and regulatory requirements related to its products, processes and services;
- ensures that product, process and service characteristics have been specified in order to meet customer and applicable statutory/regulatory requirements;
- has determined and is managing the processes needed to achieve the Expected Outcomes intended by the management system standard;
- has ensured the availability of resources necessary to support the operation and monitoring of these products, processes and services;
- monitors and controls the defined product process and service characteristics;
- aims to prevent nonconformities, and has systematic improvement processes in place including the addressing of complaints from interested parties;
- has implemented an effective internal audit and management review process;
- is monitoring, measuring, analysing, evaluating and improving the effectiveness of its management system and has implemented processes for communicating internally, as well as responding to and communicating with interested external parties.

### **What accredited management systems certification does not mean?**

It is important to recognize that management system standards define requirements for an organization's management system, and not the specific performance criteria that are to be achieved (such as product or service standards, environmental performance criteria etc).

Accredited management systems certification should provide confidence in the organization's ability to meet its objectives related to the intent of the management system standard. A management systems audit is not a full legal compliance audit, and does not necessarily ensure ethical behaviour or that the organization will always achieve 100% conformity and legal compliance, though this should of course be a permanent goal.

Within its scope of certification, accredited management systems certification does not imply or ensure, for example:

- that the organization is providing a superior product and service, or
- that the organization's product and 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

Visit the BSI Connect Portal, our web-based self-service tool to access all your BSI assessment and testing data at a time that's convenient to you. View future audit schedules, submit your corrective action plans and download your reports and Mark of Trust logos to promote your achievement. Plus, you can benchmark your performance using our dashboards to help with your continual improvement journey.

Should you wish to speak with BSI in relation to your certification, please contact your local BSI office – contact details available from the BSI website:

<https://www.bsigroup.com/en-GB/UK-office-locations/>

## 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.*

*BSI, its staff and agents shall keep confidential all information relating to your organization 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. BSI staff, agents and accreditation bodies have signed individual confidentiality undertakings and will only receive confidential information on a 'need to know' basis.*

*This audit was conducted 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.*