

# Assessment Report

## INFRATEC-UK Ltd

Assessment dates	03/07/2023 to 03/07/2023 (Please refer to Appendix for details)
Assessment Location(s)	Middlesbrough (000)
Report author	Timothy Charlton
Assessment Standard(s)	ISO 14001:2015



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## Executive summary

I would like to thank Lee Payne & Paul Lamb for their assistance and co-operation. The audit was run remotely, with no technical issues allowing for an effective audit to take place.

The objective of the assessment was to conduct a Stage 1 Assessment and look for positive evidence to verify that elements of the scope of certification and the requirements of the ISO 14001:2015 standards are effectively addressed by the client's management system.

A positive recommendation is made by BSI Client Manager Tim Charlton to advance to the ISO 14001:2015 Stage 2 Audit.

A robust Management system was audited for core compliance towards the ISO Standard and on the whole all areas were found to be compliant.

With this in mind, it was noted that the Risk Assessment portfolio, Internal Audit process and Management Review process was currently in a state of implementation and additional evidence will be required to be sampled at the stage 2 audit to ensure compliance.

Strategic Direction / Strengths - Strategic direction is set through Policy and Objectives for 2023. A very well managed Environmental Management System and effective processes were sampled.

Effective Environmental controls were sampled and Interviews & Remote auditing allowed for the controls to be tested using an audit sampling process.

Effectiveness noted for the following areas:

- \* Strong Document Control processes and access to key Health & Safety Information
- \* Considerations towards significant Aspects and Impacts
- \* Leadership Commitment and Management System support - strong examples evidenced

The duration calculator was reviewed and no changes are to be made at present.

Based on assessment findings however, it is concluded that management system was in a position to allow the Stage 2 audit to be conducted on the planned date

## 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

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 determine the organization's readiness for the Stage 2 audit and to ensure its effective planning.

The scope of the assessment is the documented management system with relation to the requirements of ISO 14001:2015 and the defined assessment plan provided in terms of locations and areas of the system and organization to be assessed.

ISO 14001:2015  
INFRATEC-UK Ltd management system documentation

## Assessment participants

Name	Position	Opening meeting	Closing meeting	Interviewed (processes)
Lee Payne	Commercial Director	X	X	X
Paul Lamb	External Consultant	X	X	X



## Assessment conclusion

BSI assessment team

Name	Position
Timothy Charlton	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.

Based on the outcome of this Stage 1 Assessment, the Assessment Auditor recommends proceed to Stage 2 Assessment – no additional information is required.

## Findings from this assessment

### Opening Meeting:

The Opening Meeting was held and the following items discussed;

The client was able to confirm the following:

- No HSE or EA visits since the last assessment visit
- No Local Authority visits
- No Breaches of permits have been reported
- No Pending Prosecutions
- No Fee's for Intervention
- No Complaints
- No RIDDOR reports have been raised

Business Overview discussed

The scope of the Management System certification was confirmed as:-

The overseeing, installation and maintenance of highway electrical equipment and supporting works - traffic control equipment and associated apparatus, variable message signs and associated apparatus, communications equipment and associated apparatus on motorways and other highways in accordance with National Highway Sector Scheme 8.

The design, manufacture and supply of variable message signs.

### Clause 4 - Context:

Needs & Expectations

~ Interested Parties

~ Include customers, employees, Management, Community, sub-contractors

~ Interested Parties Analysis - IMD 001

- Parties Documented - National Highways / Road Users / UK Government
- Issues log - Interested Party / Issue of concern / treatment method / Records and monitoring

Context

- ~ External and internal issues defined
- Interested Parties
- Compliance Obligations
- Regulatory Requirements

### Scope

~ The overseeing, installation and maintenance of highway electrical equipment and supporting works - traffic control equipment and associated apparatus, variable message signs and associated apparatus, communications equipment and associated apparatus on motorways and other highways in accordance with National Highway Sector Scheme 8.

The design, manufacture and supply of variable message signs.

- Documented within the Integrated Manual
- Includes boundaries, inputs, outputs and sites
- No exclusions from the standards

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

Methods for Determining Results;  
Integrated Management System Manual  
IMD 001 - Interested Parties and analysis

Results;  
Management System Context has been defined and evidence has been seen to support the implementation of the Management System

Planned activities have been achieved

## Clause 5 - Leadership:

### Leadership Commitment

- ~ Leadership Commitments documented within the Manual
- Assigning responsibility throughout the Management System
- Customer Focus - ensure customer requirements are met
- ~ Company Organisational Chart - Sampled

### Policy

- Integrated Management System Policy
- Includes ISO 9001 / 14001 / 45001
- Meets requirements of Clause 5.2
- Reduction in pollution / promote recycling and re-using / Aspect and Impact review / Objective setting / Continual Improvement / Management Commitment
- Communicated through - Company Notice Boards / Employee Handbook / interested parties as required
- Signed by Managing Director - July 2023

### Roles & Responsibilities

- ~ Leadership & Worker Participation defined
- Key roles given additional duties - Applicable Process Owners - Ensuring processes are delivered to their intended outcomes

#### Consultation & Communication

- ~ commitment within the manual to involve employees and workers through consultation and participation
- HSEQ Meetings in place and held 6 monthly - Includes HSEQ Representatives
- Agenda in place that is aligned to the Management Review Meeting requirements of Clause 9.3
- Methods of communication documented within the manual - Toolbox / Signage / Emails /

#### IMD 013 - Communication Matrix

- ~ Defined Process for
- Management Review meetings
- Employee Consultations
- HSEQ Meetings
- Toolbox Talks
- Incident Reports
- ~ Includes method of delivery and compliance review

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

#### Methods for Determining Results;

Integrated Management System Manual

Organisational Chart - Fig 4 in Manual

IMD 013 - Communication Matrix

Integrated Management System Policy - within Manual

#### Results;

Management System Leadership has been defined and evidence has been seen to support the implementation of the Management System

Planned activities have been achieved

## Clause 6 - Planning:

#### Risk & opportunities

- ~ Methods for determining Risks and Opportunities defined within the Integrated Manual
- alignment to the HSEQ Objectives, including setting measuring and monitoring
- Risk & Opportunity documented with IMD 001 - Interested Parties analysis
- Worker Competencies / Procedures / processes have been set

#### IMD 001 - Interested Parties and analysis

- ~ Risk Register
- Risks include - service delivery / Resource Management / Management Responsibility
- Risk scoring in place for each risk - Key Customers may reduce spend being deemed highest risk
- Mitigation plans documented

#### ~ Opportunities Register

- Opportunities include - Customer order expansion of business / potential for customer referrals / Driverless cars - leading to new road signage requirements
- Opportunity scoring in place for each risk
- Mitigation plans documented

#### Aspects & Impacts

- ~ Key sources defined within the manual - Air / Land / Water / Energy / Waste
- Considerations from - Company Activities/ products / services
- Records of significant Risk documented within Environmental Aspects & Impacts Register

#### IMD 003 - Environmental Aspects & Impacts Register

- Register set up to show Aspect, impact, Operational Condition, Legal and compliance obligation links, significance risk scoring, Operational controls, additional notes
- Key Aspects with high risk - EA1 / EA2 / EA7 - Consumption of Electricity / Consumption of Gas / Disposal of General Waste
- Measuring and monitoring of Aspects in place with monitoring and matrix documents
- Changes and significant updates form part of the management review agenda

#### Legal Requirements & Compliance

- Manual defines how legal requirements will be determined and from which sources

#### IMD 002 - Legal Register & Evaluation of Compliance

- ~ NetRegs / HSE.Gov / Legislation.Gov - used to compile Legal Register
- Last review of Legal register took place June 2023
- Lists out - Legislation or Regulation / Summary of Duty / Internal supporting evidence documents / how compliance is evaluated / review date / compliance achieved?
- Workplace Health, Safety & Welfare Regulations 1992 - Policy / Notice Boards / Safety Meetings and communication

#### Objectives

- ~ Overview of how Objectives will be set, by who and review period documented within the Manual
- Objectives aligned to the Policies
- Resources assigned to each Objectives

#### IMD 004 - HSEQ Objectives & Targets Program

- Document set out with - Goal / Breakdown of Objective / Strategy / Owner / Target Date / Rational / Status
- Integrated document with ISO 9001 / 14001 / 45001 objectives set
- Objectives set are - Improve Environmental Impacts / Achieve ISO 14001 / Improve Environmental Awareness

#### ~ Improve Environmental Impacts

- Document Significant Aspects & Impacts - Completed
- Improve Environmental Footprint of business - Company cars to electric/hybrid & Deploy LED Lighting

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

Methods for Determining Results;  
Integrated Management System Manual  
IMD 001 - Interested Parties and analysis  
Integrated Management System Policy - within Manual  
IMD 003 - Environmental Aspects & Impacts Register  
IMD 002 - Legal Register & Evaluation of Compliance  
IMD 004 - HSEQ Objectives & Targets Program

Results;  
Management System Planning has been defined and evidence has been seen to support the implementation of the Management System

Planned activities have been partially achieved

## Clause 7 - Support:

### Resource Competence & Awareness

#### Resource

- ~ Resources in place to support the management system
- Set defined roles and responsibilities
- Organisational Chart - Fig 4 in Manual
- Use of an External Consultant for the aid in Implementation of the Management System

#### Awareness & Competence

- ~ Manual defines requirements for competence for the Management System
- sources of competence include - HSEQ Awareness Training / Risk Assessments / Auditor Training / Job specific training / Emergency Response Training / Induction / competence reviews
- Training recorded through SkillStation Platform - Sampled
- Training Records viewed for D. McCann
- Company Induction Manual Handling / National Highways Induction Course
- Software for training records in the implementation stage and training records still being loaded

#### Communication

- ~ Processes and methods for communication defined within the manual

#### IMD 013 - Communication Matrix

- ~ Defined Process for
- Management Review meetings
- Employee Consultations
- HSEQ Meetings
- Toolbox Talks
- Incident Reports

~ Includes method of delivery and compliance review

#### Documented Information

- ~ SharePoint Document Management system used for the storage and retrieval of Management System Documents
- ~ Manual Defines methods for creating, updating, retrieval and retention/disposition of documents and records
- ~ IMD 000 - Management System Document Register
- 25 documents currently within the Document Register
- Name / Reference ID / Revision / Issue Date / Previous revisions

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

Methods for Determining Results;  
Integrated Management System Manual  
Organisational Chart - Fig 4 in Manual  
IMD 000 - Management System Document Register

Results;  
Management System Support has been defined and evidence has been seen to support the implementation of the Management System

Planned activities have been achieved

## Clause 8 - Operation:

### Operational Planning & Control

- ~ Manual defined as elimination of hazards, Hazard Identification and hazard controls
- Hierarchy of controls utilised
- Planning in place to support - Design & Development / Purchasing / Manufacturing & Tests / Distribution / Installation
- ~ Lifecycle analysis taking place for cradle to grave f products and services
- Project files in place with lifecycle considerations affective from Design, Production, Delivery and End of Life
- Links through to the Aspects and Impacts & Analysis

### Emergency Preparedness

- ~ Plans in place to cover - Fire / Provision of First Aid / Accident release or discharge / Specific Health & Safety effects
- ~ IMD021 - Emergency Preparedness & Response Plan
- Defines process for - Impact assessment / Alarm arrangements / Training / Testing / Communication
- Process defined for - Fire / Provision of First Aid / Accident release or discharge / Specific Health &

#### Safety effects

- All incidents, testing and results will be recorded and documented
- Must points, nearest hospital, site plans
- Emergency Contact details

#### ~ Business Continuity Plans documented - IMD 020 - Business Continuity Plan

- Continuity Plan sets out process for restarting business after an event
- Risk Rating for critical functions
- Incident Action Plans
- Events log

#### ~ Training

- First Aid / Fire Marshall / Environmental Awareness Training / COSHH Assessments / Risk Assessments
- Training to take place - Spill Awareness

#### Testing

- ~ Not taken place as newly established
- Testing evidence will be required to be sampled as part of the Stage 2 Certification Audit

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

#### Methods for Determining Results;

IMD021 - Emergency Preparedness & Response Plan

IMD 020 - Business Continuity Plan

#### Results;

Management System Operations has been defined and evidence has been seen to support the implementation of the Management System

Planned activities have been achieved

## Clause 9 - Performance Evaluation:

#### Evaluation of Compliance

- Internal Audit
- Management Review
- Compliance Obligations and Legal Register
- Aspects & Impacts
- Objectives
- Risks, both to the business and processes

#### Internal Audit

- ~ Integrated process towards Internal Audit

#### ~ IMD 025 - Internal Audit Schedule

- full schedule in place for 2023 running Jan to Dec



- Amendments being made to start to audit process from July to June
- 29 audits planned - Clause specific audits
- additional training required as currently a gap in trained auditors - Training planned for July 2023 for minimum of 2 auditors

- ~ IMD 026 - Internal Audit Checklist Report
- Reviewed - some updates being made to the checklist for integration
- Audit scope defined /
- ~ No current internal audits of the new integrated Management System

#### Management Review

- Periodic meetings to take place
- Meeting inputs defined - aligned to Clause 9.3
- Meeting Outputs defined - aligned to Clause 9.3
- ~ Method for recording minutes for the Management Review meeting Minutes still in a stage of implementation
- ~ Management Review Meeting has not been conducted at the point of the Stage 1 audit

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

Methods for Determining Results;  
Integrated Management System Manual  
IMD 025 - Internal Audit Schedule  
IMD 026 - Internal Audit Checklist Report

Results;  
Management System Performance Evaluation has been defined and evidence has been seen to support the implementation of the Management System

Planned activities have been Partially achieved

## Clause 10 - Improvement:

#### Incident, Non-Conformity & Corrective Action

- Process documented within the manual for capturing, controlling, investigating and implementing of non-conformance and corrective action
- Corrective Action Form
- incident details captured
- Investigation carried out to root cause
- Corrective action raised

Non-Conformance Register

- Reference number assigned
- Type and source of Non-Conformance
- tracking of action progress and close out

~ Measuring and monitoring

- Trackers in place for;
- Open / Closed Actions
- Action Types
- Incidents within specific time frames

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

Methods for Determining Results;  
Integrated Management System Manual  
CAR Form 1

Results;

Management System Continuous Improvement has been defined and evidence has been seen to support the implementation of the Management System

Planned activities have been achieved

## Next visit objectives, scope and criteria

The objective of the assessment is to conduct a certification assessment to ensure the elements of the proposed scope of registration and the requirements of the management standard are effectively addressed by the organization's management system and to confirm the forward strategic plan. If this visit is part of a multi-location assessment, the final recommendation will be contingent on the findings from all assessments.

The scope of the assessment is the documented management system with relation to the requirements of ISO 14001:2015 and the defined assessment plan provided in terms of locations and areas of the system and organization to be assessed.

ISO 14001:2015  
INFRATEC-UK Ltd 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
23/10/2023		09:00	Opening Meeting	
		09:30	Context of The Organisation; Needs & Expectations of Interested Parties, Internal & External issues, Scope	
		10:00	Policy	
		10:15	Roles & Responsibilities	
		10:45	Leadership Commitment	
		11:00	Leadership Interview	
		11:30	Environmental Aspects	
		12:00	Lunch	
		12:30	Site Tour - Head office - Office Support Functions	
		13:15	Site Tour - Head office - Production Processes	
		14:00	Site Tour - Head office - External areas	
		15:00	Site Tour Audit Trails - Waste Management Documentation - Emergency Preparedness - Legal Compliance - Statutory Inspections - Aspects	
		16:00	Interim Meeting	
24/10/2023		09:00	Compliance Obligations	Remote Audit
		09:30	Objectives and planning action to achieve	
		10:00	Resources for the Management System	
		10:00	Competence & Awareness	
		10:30	Communication, Internal & External	
		11:00	Documented Information	
		11:30	Emergency Preparedness & Response	
		12:00	Internal Audit	
		12:30	Lunch	
		13:00	Non Conformance & Corrective Action	
		13:30	Management Review	
		14:00	Evaluation of Compliance	
		14:30	Report Preparation	

		16:00	Closing Meeting	
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## Appendix: Your certification structure & ongoing assessment programme

### Scope of certification

#### EMS 785527 (ISO 14001:2015)

The planning and management of installation and commissioning services for driver information and traffic monitoring systems. To include the manufacture of digital signage and HSS 8

### Assessed location(s)

The audit has been performed at Central Office.

#### Middlesbrough / EMS 785527 (ISO 14001:2015)

<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>	Stage 1 Audit
<b>Assessment number</b>	3852100
<b>Assessment dates</b>	03/07/2023
<b>Deviation from audit plan</b>	No
<b>Total number of Employees</b>	16
<b>Effective number of Employees</b>	16
<b>Scope of activities at the site</b>	Main certificate scope applies.
<b>Assessment duration</b>	1 day(s)

## Certification assessment programme

**Certificate number - EMS 785527**

**Location reference - 0047529484-000**

		Audit1
Business area/location	Date (mm/yy):	01/10/23
	Duration (days):	2
Opening Meeting		X
Context of The Organisation; Needs & Expectations of Interested Parties, Internal & External issues, Scope		X
Policy		X
Roles & Responsibilities		X
Leadership Commitment		X
Leadership Interview		X
Environmental Aspects		X
Compliance Obligations		X
Objectives and planning action to achieve		X
Resources for the Management System		X
Competence & Awareness		X
Communication, Internal & External		X
Site Tour - Head office - Office Support Functions		X
Site Tour - Head office - Production Processes		X
Site Tour - Head office - External areas		X
Site Tour Audit Trails - Waste Management Documentation - Emergency Preparedness - Legal Compliance - Statutory Inspections - Aspects		X
Documented Information		X
Emergency Preparedness & Response		X
Internal Audit		X
Non Conformance & Corrective Action		X
Management Review		X
Evaluation of Compliance		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.*

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*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.*