



Transition Report.

InfraTec UK Ltd

Transition.

This report has been compiled by Bill Craig and relates to the assessment activity detailed below:

Visit ref/Type/Date/Duration	Certificate/Standard	Site address
8639319 Transition Audit 08/05/2017 0.5 day(s) No. Employees: 5	FS 618313 ISO 9001:2008	InfraTec UK Ltd 50 Cranbourne Drive Redcar TS10 2SP United Kingdom

9001 Transition

ISO 9001:2008 has been replaced by ISO 9001:2015.

ISO 9001:2008 certifications will not be valid after three years from the publication of ISO 9001:2015.

All ISO 9001:2008 certificates will remain valid through the period, however the expiry date of ISO 9001:2008 certificates will be limited and will not exceed the transition deadline date and will expire in September 2018. To ensure continued certification you must complete your transition ahead of this date.

Based on the objective evidence provided throughout the assessment process, the current progress made against the revised standard is: 0%

4. Context of the organization

4.1 Understanding the organization and its context

Demonstrated: Partial

Auditor notes: The client has confirmed that:

- STEP analysis is being undertaken
 - Identification of opportunities and threats being carried out by use of SWOT analysis.
 - Internal and external issues monitored as part of the new Commercial Manager role
 - Reviewed as part of the management review meeting
- The above approach appears to generally conform with the intent of the Standard.
The methodology used and effectiveness is to be reviewed during the on-site assessment.

4.2 Understanding the needs and expectations of interested parties

Demonstrated: Partial

Auditor notes: The client has confirmed that:

- A stakeholder analysis is being carried out.
- Output to be incorporated into QMS
- Will be reviewed and monitored as part of the Management Review meetings.

Interested parties - will include key stakeholders, customers, suppliers, staff etc.

- The above approach appears to generally conform with the intent of the Standard.
- The methodology used and effectiveness is to be reviewed during the on-site assessment.

4.3 Determining the scope of the quality management system

Demonstrated: Partial

Auditor notes: The client has confirmed that:

- The current scope is to be reviewed and updated following the outputs from 4.1 and 4.2.

The above approach appears to generally conform with the intent of the Standard.

The methodology used and effectiveness is to be reviewed during the on-site assessment.

4.4 Quality management system and its processes

Demonstrated: Partial

Auditor notes: The client has confirmed that:

Documented information is available:

- Level 1 - Quality Manual
- Level 2 - Quality procedures (QM001 - QM026).
- Level 3 - Working Instructions
- Level 4 - Evidence of results (Records)

The business is producing a process sequences and interactions document to support the above.

The above approach appears to generally conform with the intent of the Standard.

The methodology used and effectiveness is to be reviewed during the on-site assessment.

5 Leadership

5.1 Leadership and commitment

Demonstrated: Partial

Auditor notes : The client has confirmed that :

- Senior Management has established, maintain and continually improve the QMS and promote the use throughout the business.
- Regular communication on the QMS and business performance is carried out through team meetings and individual one-to-one sessions.
- The workforce is engaged in the QMS through documentation maintenance.
- A new role of Commercial Manager has been established and it is part of his role is to help encourage further improvements in the QMS.
- Management Review meetings are held on a quarterly basis, attended by all senior management.

Commitment to customer focus will need to be demonstrated .

The above approach appears to generally conform with the intent of the Standard.
The methodology used and effectiveness is to be reviewed during the on site assessment.

5.2 Policy

Demonstrated: Partial

Auditor notes : The client has confirmed that :

- A new Quality Policy was created in January 2017.
- The policy was communicated to all employees during one-to-ones in January.
- The policy is displayed on internal noticeboards and is available from the shared server.
- The policy is made available to all customers
- A new website is being implemented during 2017 and this will include the company quality policy.

The above approach appears to generally conform with the intent of the Standard.
The methodology used and effectiveness is to be reviewed during the on site assessment.

5.3 Organization roles, responsibilities and authorities

Demonstrated: Partial

Auditor notes : The client has confirmed that:

- Responsibilities and authorities are set out in Quality Procedure QM003 establishes QMS
- Responsibilities are communicated at induction / regular performance reviews conducted with each team member.
- Management Reviews are conducted quarterly to ensure conformity, outputs and integrity of QMS.

Need to consider:-

- how the performance of the QMS is reported
- customer focus is promoted throughout the company

The above approach appears to generally conform with the intent of the Standard.
The methodology used and effectiveness is to be reviewed during the on site assessment.

6 Planning

6.1 Actions to address risks and opportunities

Demonstrated: Partial

Auditor notes: The client has confirmed that:

- A risk and opportunity exercise is being undertaken.
- This will include the outputs from 4.1 and 4.2
- The business is creating a risk management procedure.

Consider documenting risks/ opportunities, actions, responsibilities etc. For example, risks / opportunities register?

The above approach appears to generally conform with the intent of the Standard.

The methodology used and effectiveness is to be reviewed during the on-site assessment.

6.2 Quality objectives and planning to achieve them

Demonstrated: Partial

Auditor notes: The client has confirmed that:

- Quality Objectives are in place
- Quality Objectives are reviewed as part of the Management Review meetings.
- Quality Objectives are published on all noticeboards.
- Discussed with all employees during their performance review meetings.

The above approach appears to generally conform with the intent of the Standard.

The methodology used and effectiveness is to be reviewed during the on-site assessment.

6.3 Planning of Changes

Demonstrated: Partial

Auditor notes : The client has confirmed that :

When change is required

- The specifics of what is to be changed is defined
- A plan is created including tasks, timeline, responsibilities, authorities, budget, resources, required information.
- Engage other people as appropriate in the change process.
- A communications plan is developed (team members, customers, suppliers, interested parties, etc.).
- Cross functional team review carried out
- Appropriate staff trained
- Effectiveness measured

A change management procedure is being created to formalise the procedure

The above approach appears to generally conform with the intent of the Standard.

The methodology used and effectiveness is to be reviewed during the on site assessment.

7 Support

7.1 Resource

Demonstrated: Partial

Auditor notes : The client has confirmed that :

- Business and quality planning is the key mechanism used.
- Planning of changes to QMS includes determining the resource needs of each process.

This is a wider requirement and the business will also need to consider:-

- People
- Infrastructure
- Process environment
- Monitoring and measurement of resources
- Organisational knowledge e.g. succession planning , cross skilling

The above approach appears to generally conform with the intent of the Standard.

The methodology used and effectiveness is to be reviewed during the on site assessment.

7.2 Competence

Demonstrated: Partial

Auditor notes: The client has confirmed that:

- existing procedures are in place covering:
 - QM004 - Resources and Training
 - QM023 - Subcontractor Evaluation
- A training register (QMR009) is maintained showing training required, completed and is reviewed on an ongoing basis.

The above approach appears to generally conform with the intent of the Standard.

The methodology used and effectiveness is to be reviewed during the on-site assessment.

7.3 Awareness

Demonstrated: Partial

Auditor notes: The client has confirmed that:

- The quality policy and objectives are displayed on notice boards
- The quality policy is available to all staff on the shared server
- Policy is discussed with employees when updated and as part of their performance review.

The above approach appears to generally conform with the intent of the Standard.

The methodology used and effectiveness is to be reviewed during the on-site assessment.

7.4 Communication

Demonstrated: Partial

Auditor notes: The client has confirmed that:

-A Formalised Communication Plan for each entity is to completed.

May wish to consider developing a communications plan setting out what needs to be communicated, when, to whom and how.
Could cross reference against the list of interested parties.

The above approach appears to generally conform with the intent of the Standard.
The methodology used and effectiveness is to be reviewed during the on-site assessment.

7.5 Documented Information

7.5.1 General

Demonstrated: Partial

Auditor notes: The client has confirmed that:

- QMS documentation is available on the companies shared server.
- Unique login for all staff
- Access rights determined by role and responsibility.
- Business continuity / Disaster Recovery is provided by - Daily data backup of server and use of cloud based software.

The above approach appears to generally conform with the intent of the Standard.
The methodology used and effectiveness is to be reviewed during the on-site assessment.

8 Operation

8.1 Operational planning and control

Demonstrated: Partial

Auditor notes: The client has confirmed that:

- Quality plan to be developed for each service
- Include procedures / records to be maintained.

The above approach appears to generally conform with the intent of the Standard.
The methodology used and effectiveness is to be reviewed during the on-site assessment.

8.2 Requirements for products and services

Demonstrated: Partial

Auditor notes: The client has confirmed that:

- 8.2.1 requirements are met as part of quality procedures QM015 - Customer Received Materials and QM010 - Site Visits.
- 8.2.2 pre-bid briefings or initial fact finding meetings are carried out with existing or potential customers to understand scope and spec of any work to be carried out. Works instructions may also be provided. Scheme information often used to understand requirements of the service to be offered and spec of materials to be used.
- 8.2.3 and 8.2.4, QM006 - Customer Enquiry, Purchasing, Orders and Verification procedure and associated records cover this requirement.

The above approach appears to generally conform with the intent of the Standard.

The methodology used and effectiveness is to be reviewed during the on-site assessment.

8.3 Design and development of products and services

Demonstrated: Partial

Auditor notes: Excluded: - The client has confirmed that this clause is not applicable as no design / development is undertaken.

8.4 Control of externally provided processes, products and services

Demonstrated: Partial

Auditor notes : The client has confirmed that :

- Sub-contractor evaluation is carried out using QM023 - Subcontractor Evaluation procedure .
- This covers competency, insurance etc.
- Details of works to be carried out are communicated to the sub-contractor verbally or via email .
- The business is looking to develop SLA's to help manage performance

Will need to establish 'specific' criteria on monitoring performance and communicate this to all sub-contractors.

The above approach appears to generally conform with the intent of the Standard.

The methodology used and effectiveness is to be reviewed during the on site assessment.

8.5 Production and service provision

Demonstrated: Partial

Auditor notes: The client has confirmed that:

- Managed through QM006 - Customer Enquiry, Purchasing, Orders & Verification process. c
- Customer owned property is managed through QM015 - Customer Received Materials procedure.

The above approach appears to generally conform with the intent of the Standard.

The methodology used and effectiveness is to be reviewed during the on-site assessment.

8.6 Release of products and services

Demonstrated: Partial

Auditor notes: The client has confirmed that:

- The existing QM010 - Site Visits procedure covers how this is recorded
- Appropriate documentation is provided to the client of the works carried out.

The above approach appears to generally conform with the intent of the Standard.

The methodology used and effectiveness is to be reviewed during the on-site assessment.

8.7 Control of nonconforming outputs

Demonstrated: Partial

Auditor notes: The client has confirmed that:

- Existing procedure QM019 - Control of Non-conforming products procedure is in place
- Issues managed through The QM010 - Site Visits procedure and QMF015 Site Visit Report form.
- Feedback to client on actions

The above approach appears to generally conform with the intent of the Standard.

The methodology used and effectiveness is to be reviewed during the on-site assessment.

9 Performance evaluation

9.1 Monitoring, measurement, analysis and evaluation

Demonstrated: Partial

Auditor notes : The client has confirmed that:

- Customer satisfaction is now expanded to record informal complimentary emails from clients.
- The business is planning to identify those areas of the business that needs to be recorded
- This includes staff training and development, site performance KPI's etc.
- The business is creating a process to enable effective monitoring, measurement, analysis and evaluation.

The above approach appears to generally conform with the intent of the Standard.

The methodology used and effectiveness is to be reviewed during the on site assessment.

9.2 Internal Audits

Demonstrated: Partial

Auditor notes: The client has confirmed that:

- QM018 - Internal Audit procedure in place
- This includes the 'audit criteria' requirement.

The above approach appears to generally conform with the intent of the Standard.

The methodology used and effectiveness is to be reviewed during the on-site assessment.

9.3 Management Review

Demonstrated: Partial

Auditor notes: The client has confirmed that:

- Management Review procedure QM005 in place.
- Agenda to be updated to include Internal / external issues and interested parties.

The above approach appears to generally conform with the intent of the Standard.

The methodology used and effectiveness is to be reviewed during the on-site assessment.

10 Improvement

10.1 General

Demonstrated: Partial

Auditor notes: The client has confirmed that:

- QM021 - Preventative Actions procedure in place
- Focus on continual improvement through quarterly Business Strategic Away Days
- QMS to be reviewed

The above approach appears to generally conform with the intent of the Standard.

The methodology used and effectiveness is to be reviewed during the on-site assessment.

10.2 Nonconformity and corrective action

Demonstrated: Partial

Auditor notes: The client has confirmed that:

- Existing processes in place
- QM019 - Control of Non-Conforming Products and QM020 - Corrective Actions
- Corrective actions covered at Management Reviews.

The above approach appears to generally conform with the intent of the Standard.

The methodology used and effectiveness is to be reviewed during the on-site assessment.

10.3 Continual improvement

Demonstrated: Partial

Auditor notes: The client has confirmed that:

- KPI's and other measured outputs are to be included within the Management Review meeting.
- Effectiveness and adequacy of QMS to be reviewed.

The above approach appears to generally conform with the intent of the Standard.

The methodology used and effectiveness is to be reviewed during the on-site assessment.