



Assessment Report.

InfraTec UK Ltd

Introduction.

This report has been compiled by Neil McKinnon and relates to the assessment activity detailed below:

Visit ref/Type/Date/Duration	Certificate/Standard	Site address
8196598 Stage 2 Audit 21/01/2015 1 day(s) No. Employees: 3	FS 618313 ISO 9001:2008	InfraTec UK Ltd 50 Cranbourne Drive Redcar TS10 2SP United Kingdom

The objective of the assessment was 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 organisation's management system and to confirm the forward strategic plan.

Proposed scope of registration FS 618313 (ISO 9001:2008)

Location	Scope
InfraTec UK Ltd 50 Cranbourne Drive Redcar TS10 2SP United Kingdom	'The planning, installation and commissioning services for driver information and traffic monitoring systems'.

Management Summary.

Overall Conclusion

A recommendation is made subject to submission and acceptance of the client's corrective action plan.

The recommendation will be independently verified within BSI. Upon verification your certificate of certification will be issued.

The objectives of this assessment have been achieved.

I would like to thank all the audit participants for their assistance and co-operation which enabled the audit to run smoothly and to schedule.

Based on the objective evidence detailed within this report, the areas assessed during the course of the visit were found to be effective.

Corrective actions with respect to nonconformities raised at the last assessment have been reviewed and found to be effectively implemented.

A minor nonconformity requiring attention was identified. This, along with other findings, is contained within subsequent sections of the report.

A minor nonconformity relates to a single identified lapse, which in itself would not indicate a breakdown in the management system's ability to effectively control the processes for which it was intended. It is necessary to investigate the underlying cause of any issue to determine corrective action. The proposed action will be reviewed for effective implementation at the next assessment.

Please submit a plan to BSI detailing the nonconformity, the cause, correction and your proposed corrective action, with responsibilities and timescales allocated. The plan is to be submitted no later than 30/01/2015 by e-mail to msuk.caps@bsigroup.com or by fax to +44 (0)1908 228123, referencing the report number.

Mandatory Requirements.

Justified Exclusions

Justified exclusions have been confirmed for certificate : FS 618313

details:

7.3 Design and Development, this is carried out by the client.

Areas Assessed & Findings.

Management System :

Following the opening meeting the scope was confirmed as:

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

The only exclusion is clause 7.3 as Design is carried out by the client.

The NCR's were fully reviewed and closed out, the subjects seen in the close out enabled the management system items to be review as part of the close out.

Management Review :

Managing Director Dave Bullock tabled the review minuets as part of the NCR close out, the review was held on 25/11/2014 and although the review had been carried out and enabled closure, it was found that the Quality Policy had not been reviewed in the meeting, therefore an NCR was raised below.

Internal Audits :

Managing Director Dave Bullock reported the audit process had been fully reviewed following the stage 1 NCR and Operative Mike Arkle has now had auditor training, a audit programme has now been established and the audit for 08/12/2014 was seen to be in good order.

A further 3 audits are planned for January, May and September.

Customer Satisfaction and Complaints :

Managing Director Dave Bullock explained that following the BSI NCR, customer satisfaction has now been added to the Complaints procedure QM025 and includes a new questionnaire which has been sent the the company's 1 client.

Feedback has been good with a result of 96.6%.

To date no complaints have been received.

Objectives and Improvement :

Managing Director Dave Bullock explained that the objective's are held in the Quality Manual the headline descriptions include:

- Improve Core values
- Reduce Risk
- Solidify our Identity with Customers
- Obtain ISO 9001

Dave confirmed that the business were at the start of the performance timescales and on target to meet the requirements, some improvements were evident, seen during the assessment.

Work Flow Process :

Managing Director Dave Bullock and Operations Director Lee Radcliffe described the process and tabled a current job and following notification from the client of work to be carried out, a route card is completed, examples were seen on screen from client Phil Hood of VMS Ltd. for M25 swap out signals.

resourcing is checked and a quote is agreed from the table of rates from VMS and following an email confirmation and a job number is allocated.

Purchase of materials as required and the relevant Plant is hired, the approval of suppliers etc. was discussed and the approved list was seen with an annual review last done 10/10/2014.

The work is carried out and the Sit Mobilisation Procedure was explained with the Data pack which includes the Risk assessment, Method Statement and Lifting Plan.

Instruments used on site are calibrated and the register was seen with 4 items listed including the Fluke No. MM001 to be used on site tonight.

The VMS Test Certificate Sheet is used to check the AMI and is used to test the function of the sign, a comprehensive site procedure is followed which checks timings and changes to programme.

Drivers checks are carried out including a pre start briefing is held and once the work is completed the Site Visit report is completed example seen for BMJ 081, the data is collated in spreadsheets and the final report was seen to be very detailed and links to the APP used by the company which is completed at site on the mobile phone process and was seen to be very effective.

The client is then invoiced and an example seen for IN-0081, 22/12/2014.

Very good process seen well managed and controlled.

Training and Resources :

Managing Director Dave Bullock and Operations Director Lee Radcliffe described the process for this small business and the key document is the Training Register and Competence Table, this register is constantly reviewed by Dave as the expiry dates are very important for Site work, the data is available on line to evidence for clients at any time.

Again good process seen.

Document Control and Records :

Managing Director Dave Bullock and Operations Director Lee Radcliffe described the procedures used QM001 and QM002, the main system for managing the documentation is the company's SharePoint System and this was seen to be in good order, records have not yet been archived as the business is only 1 year old and no issues were seen during the assessment.

Site Visit - M62 Junction 25 to 26 Job No. VMS 088 - Reactive Maintenance to replace 2 motorway Indicators. :

Managing Director Dave Bullock and Operations Director Lee Radcliffe described the process and attended site, the work was to be witnessed by myself and I would observe from a safe distance just off the motorway behind the first barrier.

I was inducted by the client and the by Lee.

2 vehicles were used, 1 hyab truck with the replacement units and 1 cherry picker to access the existing unit.

The Lifting plan was seen and the road closure was completed and made ready for the work.

The new unit was offloaded and the old unit was taken down from the gantry and seated on the vehicle where the new one was.

The new unit was lifted and reconnected and a test was carried out through the RCC control centre the unit displayed the 50 MPH sign, Lee completed the documentation and the VMS acceptance Test was completed and the location detail 1974A was seen on the phone APP as completed with no red issues and showing green.

Very good professional performance seen with some excellent software used, well done to Dave, Lee and the Team.

During the course of the visit logos were found to be used correctly.

Major Nonconformities Raised at Last Assessment.

Ref	Area/Process	Clause
1117091M1	Quality Management System Documentation and System	5.6.1
Scope	FS 618313	
Details:	The organisation was unable to show suitable evidence relating to its management review	
Requirements:	<p>General</p> <p>Top management shall review the organization's quality management system, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness. This review shall include assessing opportunities for improvement and the need for changes to the quality management system, including the quality policy and quality objectives.</p> <p>Records from management reviews shall be maintained (see 4.2.4).</p>	
Objective Evidence:	The organisation have yet to carry out a management review.	
Actions:	<p>The Management review was carried out 25/11/2014, this was fully reviewed and a minor NCR was raised for no review of the quality policy.</p> <p>This NCR can now be closed</p>	
Closed?:	Yes	

Ref	Area/Process	Clause
1117091M2	Quality Management System Documentation and System	8.2.2
Scope	FS 618313	
Details:	The organisation was unable to show the effectiveness of their internal audits	
Requirements:	<p>Internal audit</p> <p>The organization shall conduct internal audits at planned intervals to determine whether the quality management system</p> <p>a) conforms to the planned arrangements (see 7.1), to the requirements of this International Standard and to the quality management system requirements established by the organization, and</p> <p>b) is effectively implemented and maintained.</p> <p>An audit programme shall be planned, taking into consideration the status and importance of the processes and areas to be audited, as well as the results of previous audits. The audit criteria, scope, frequency and methods shall be defined. The selection of auditors and conduct of audits shall ensure objectivity and impartiality of the audit process. Auditors shall not audit their own work.</p> <p>A documented procedure shall be established to define the responsibilities and requirements for planning and conducting audits, establishing records and reporting results.</p> <p>Records of the audits and their results shall be maintained (see 4.2.4).</p> <p>The management responsible for the area being audited shall ensure that any necessary corrections and corrective actions are taken without undue delay to eliminate detected nonconformities and their causes. Follow-up activities shall include the verification of the actions taken and the reporting of verification results (see 8.5.2).</p> <p>NOTE See ISO 19011 for guidance.</p>	
Objective Evidence:	An audit programme has not been fully established and no internal audits have been conducted.	
Actions:	<p>A full audit programme has been established and an audit was carried out on 08/12/2014, 3 more audits are planned in January, May and September.</p> <p>The audit was seen to be effective.</p> <p>This NCR can now be closed.</p>	
Closed?:	Yes	

Ref	Area/Process	Clause
1117091M3	Quality Management System Documentation and System	7.1
Scope	FS 618313	
Details:	The organisation could not show the effectiveness of their product realisation	
Requirements:	<p>Planning of product realization</p> <p>The organization shall plan and develop the processes needed for product realization. Planning of product realization shall be consistent with the requirements of the other processes of the quality management system (see 4.1).</p> <p>In planning product realization, the organization shall determine the following, as appropriate:</p> <ul style="list-style-type: none"> a) quality objectives and requirements for the product; b) the need to establish processes and documents, and to provide resources specific to the product; c) required verification, validation, monitoring, measurement, inspection and test activities specific to the product and the criteria for product acceptance; d) records needed to provide evidence that the realization processes and resulting product meet requirements (see 4.2.4). <p>The output of this planning shall be in a form suitable for the organization's method of operations.</p> <p>NOTE 1 A document specifying the processes of the quality management system (including the product realization processes) and the resources to be applied to a specific product, project or contract can be referred to as a quality plan.</p> <p>NOTE 2 The organization may also apply the requirements given in 7.3 to the development of product realization processes.</p>	
Objective Evidence:	The organisation start their procedures at purchasing currently with nothing clear as to their planning for product realisation.	
Actions:	<p>A new flowchart and procedure QM006 has now been produced and this now covers the planning and front end activity's.</p> <p>This NCR can now be closed.</p>	
Closed?:	Yes	

Ref	Area/Process	Clause
1117091M4	Quality Management System Documentation and System	7.2.3
Scope	FS 618313	
Details:	The organisation could not show the effectiveness of their customer relations	
Requirements:	<p>Customer communication</p> <p>The organization shall determine and implement effective arrangements for communicating with customers in relation to</p> <ul style="list-style-type: none"> a) product information, b) enquiries, contracts or order handling, including amendments, and c) customer feedback, including customer complaints. 	
Objective Evidence:	The organisation have not suitably considered customer communication in regards to the standard as the current processes begin at purchasing.	
Actions:	<p>A new flowchart and procedure QM006 has now been produced and this now covers the planning and front end activity's.</p> <p>This NCR can now be closed.</p>	
Closed?:	Yes	

Ref	Area/Process	Clause
1117091M5	Quality Management System Documentation and System	8.2.1
Scope	FS 618313	
Details:	The organisation could not show the effectiveness of customer satisfaction	
Requirements:	<p>Customer satisfaction</p> <p>As one of the measurements of the performance of the quality management system, the organization shall monitor information relating to customer perception as to whether the organization has met customer requirements. The methods for obtaining and using this information shall be determined.</p> <p>NOTE Monitoring customer perception can include obtaining input from sources such as customer satisfaction surveys, customer data on delivered product quality, user opinion surveys, lost business analysis, compliments, warranty claims and dealer reports.</p>	
Objective Evidence:	The organisation currently have not set any parameters for customer satisfaction.	
Actions:	<p>Customer satisfaction has now been added to the Complaints procedure QM025 and a questionnaire has been sent to their 1 client and has returned as 96.9% and good feedback seen.</p> <p>This NCR can now be closed.</p>	
Closed?:	Yes	

Minor Nonconformities Raised at Last Assessment.

Ref	Area/Process	Clause
1117091N1	Quality Management System Documentation and System	4.2.2
Scope	FS 618313	
Details:	The organisation could not show suitable evidence relating to its quality manual	
Requirements:	<p>Quality manual</p> <p>The organization shall establish and maintain a quality manual that includes</p> <p>a) the scope of the quality management system, including details of and justification for any exclusions (see 1.2),</p> <p>b) the documented procedures established for the quality management system, or reference to them, and</p> <p>c) a description of the interaction between the processes of the quality management system.</p>	
Objective Evidence:	The organisation have not documented the exclusions within the manual.	
Actions:	<p>Documented exclusions have now been added to the Quality Manual and reads as:</p> <p>7.3 Design and development - design is supplied by the client.</p> <p>This NCR can now be closed</p>	
Closed?:	Yes	

Ref	Area/Process	Clause
1117091N2	Quality Management System Documentation and System	5.5.2
Scope	FS 618313	
Details:	The organisation were unable to show the effectiveness of its management representative	
Requirements:	<p>Management representative</p> <p>Top management shall appoint a member of the organization's management who, irrespective of other responsibilities, shall have responsibility and authority that includes</p> <p>a) ensuring that processes needed for the quality management system are established, implemented and maintained,</p> <p>b) reporting to top management on the performance of the quality management system and any need for improvement, and</p> <p>c) ensuring the promotion of awareness of customer requirements throughout the organization.</p> <p>NOTE The responsibility of a management representative can include liaison with external parties on matters relating to the quality management system.</p>	
Objective Evidence:	The organisation have established responsibilities within QM003 though this does not detail actual responsibilities relating to specific roles.	
Actions:	<p>Procedure QM003 now defines the responsibilities for the management system.</p> <p>This NCR can now be closed.</p>	
Closed?:	Yes	

Minor Nonconformities Arising from this Assessment.

Ref	Area/Process	Clause
1146783N1	Management Review	5.6.1
Scope	FS 618313	
Details:	The Quality Policy review has not been part of the Management Review process.	
Requirements:	<p>General</p> <p>Top management shall review the organization's quality management system, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness. This review shall include assessing opportunities for improvement and the need for changes to the quality management system, including the quality policy and quality objectives.</p> <p>Records from management reviews shall be maintained (see 4.2.4).</p>	
Objective Evidence:	The Management Review held 25/11/2014 did not report on the Quality Policy and the review of its content	

Shift Details.

Shifts in this business are operated over night and at a site location, it is expected that at least one site visit will be conducted in the 3 year cycle and this will involve night time working.

Assessment Participants.

On behalf of the organisation:

Name	Position
Mr Dave Bullock	Managing Director
Lee Radcliffe	Operations Director

The assessment was conducted on behalf of BSI by:

Name	Position
Neil McKinnon	Team Leader

Continuing Assessment.

BSI believes in a partnership approach that provides added value service. It is on this basis that we propose a programme of continuing assessment as detailed below.

Site Address	Certificate Reference/Visit Cycle	
InfraTec UK Ltd 50 Cranbourne Drive Redcar TS10 2SP United Kingdom	Certificate reference to be advised	
	Visit interval:	12 months
	Visit duration:	1 Days
	Next re-certification:	01/11/2017

Re-certification by Strategic Review will be conducted on completion of the cycle, or sooner as required. The review will focus on the strengths and weaknesses of your Management System.

Certification Assessment Plan.

INFRAT-0047529484-000|FS 618313

		Visit1	Visit2	Visit3
Business area/Location	Date (mm/yy):	11/15	11/16	11/17
	Duration (days):	1	1	1
Management System - Changes (to include) Customer Complaints, Corrective Actions, Preventive Actions, Management Review, Customer Satisfaction, Quality Objectives, Improvements and Internal Audits, including logo review.		X	X	X
Customer Enquiry's and Order Processing		X		
Purchasing and Project Management		X		
Installation (Site Visit)			X	
Test and Repair			X	
Commissioning			X	
Control of Documents and Records		X		
Training and Competence				X
Calibration and Maintenance				X
Transition - ISO 9001:2015		X	X	X
Top Management Interview				X
Strategic Review				X

Next Visit Plan.

Visit objectives:

The objective of the assessment is to conduct a surveillance assessment and look for positive evidence to ensure the elements of the scope of certification and the requirements of the management standard are effectively addressed by the organisation's management system and that the system is demonstrating the ability to support the achievement of statutory, regulatory and contractual requirements and the organisations specified objectives, as applicable with regard to the scope of the management standard, and to confirm the on-going 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 9001:2008 and the defined assessment plan provided in terms of locations and areas of the system and organisation to be assessed.

Date	Assessor	Time	Area / Process	Clause
	Assessor 1	9.00	Opening Meeting	
		9.30	Management System - Changes (to include) Customer Complaints, Corrective Actions, Preventive Actions, Management Review, Customer Satisfaction, Quality Objectives, Improvements and Internal Audits, including logo review.	
		10.30	Transition - ISO 9001:2015	
		11.00	Customer Enquiry's and Order Processing	
		11.45	Purchasing and Project Management	
		12.30	Lunch	
		13.00	Control of Documents and Records	
		14.30	Report Preparation	
		16.00	Closing Meeting	

Please note that BSI reserves the right to apply a charge equivalent to the full daily rate for cancellation of the visit by the organisation 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.

Notes.

The assessment was based on sampling and therefore nonconformities may exist which have not been identified.

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

Tel: +44 (0)845 080 9000 Fax +44 (0)1908 228123

Email: MK.Customerservices@bsigroup.com