

# Assessment Report

## InfraTec UK Ltd

Assessment dates	08/05/2017 to 08/05/2017
Assessment location	Redcar (000)
Report Author	Bill Craig
Assessment Standards	ISO 9001:2008



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## Executive Summary

I would like to thank Mr Dave Bullock (Managing Director) and Mr Lee Payne (Commercial Manager) for their assistance and co-operation which enabled the audit to run smoothly and to schedule.

The audit objectives have been achieved and the certificate scope remains appropriate. The audit team concludes based on the results of this audit that InfraTec (UK) Ltd 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 organization is aiming to complete Transition during the assessment visit due in November 2017. The intent of the organization's management system to comply with ISO 9001:2015 was demonstrated during this readiness review.

The management team have established the foundations of their quality management system generally to good effect demonstrating their clear understanding of the requirements of the Standard and the business improvement philosophies embedded within it.

The processes associated with planning for the management system has been confirmed as generally meeting the respective Standard.  
Effective implementation of concepts and proposals discussed will be assessed at subsequent visit(s) in accordance with the requirements of the ISO 9001:2015 and the organization's own system, processes and associated documents and records.

Evidence was seen from the Readiness Review of integration between the management system and the scope, purpose and strategic direction of the business.

The three year Strategic Plan and Next Visit Plan have been amended to include a review of the implementation of the ISO 9001:2015 requirements. Use of the word "partial" in the Transition document, relates to the overall progress of implementation of ISO 9001:2015.  
The requirements will not be met in full until the effective implementation has been demonstrated.

### Assessment objective, scope and criteria

The objective of the assessment is to obtain information, review and evaluate the organisation's readiness for transition to ISO 9001:2015 and to ensure its effective planning. Output of the readiness assessment is a report which gives a review of the readiness; any non-conformances and observations create a plan for the commencement of the implementation of the transition and amend the current 3-year assessment plan to incorporate the transition until the recommendation can be made. To ensure the strategy and vision throughout the organisation align to meet the intended outcome of the standard.

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 organisation to be assessed.

ISO 9001:2015 InfraTec (UK) Ltd. management system documentation

## NCR Summary

There have been no NCRs raised.

### Definitions:

#### 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.

#### Observation

It is ONLY applicable for those schemes which prohibit the certification body to issue an opportunity for improvement.

It is a statement of fact made by the assessor referring to a weakness or potential deficiency in a management system which, if not improved, may lead to a nonconformity in the future.

## Assessment Participants

Name	Position	Opening Meeting	Closing Meeting	Interviewed (processes)
Mr Dave Bullock	Managing Director	X	X	X
Mr Lee Payne	Commercial Manager	X	X	X

## Outstanding actions from the previous assessment

Ref	Area/Process	Clause
<b>1415056N1</b>	System Management	8.2.2
<b>Scope</b>	FS 618313	
<b>Category</b>	Minor	
<b>Details:</b>	The internal audit process was not shown to be fully effective.	
<b>Objective evidence:</b>	The full internal audit completed 26/09/2016 did not address all of the relevant clauses of the standard.	
<b>Cause</b>		
<b>Correction / containment</b>		
<b>Corrective action</b>		
<b>Closed?:</b>	No	
<b>Justification</b>	/	

Ref	Area/Process	Clause
<b>1415056N2</b>	System Management	8.5.2
<b>Scope</b>	FS 618313	
<b>Category</b>	Minor	
<b>Details:</b>	The corrective action process for internal audit nonconformities was not shown to be effective.	
<b>Objective evidence:</b>	Two "Actions" identified in the internal audit report 26/09/2016 were not recorded and tracked using the "Corrective Action Request Tracking". And for "Actions" that were recorded there was no record of the investigation nor confirmation that the actions taken were effective.	
<b>Cause</b>		
<b>Correction / containment</b>		
<b>Corrective action</b>		
<b>Closed?:</b>	No	
<b>Justification</b>	/	

## Assessment Findings

The assessment was conducted on behalf of BSI by

Name	Position
Bill Craig	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 InfraTec (UK)Ltd. does fulfil the standards and audit criteria identified within the audit report and it is deemed that the management system continues to achieve its intended outcomes.

RECOMMENDED - The audited organization can be recommended for certification / recertification / 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.

## Findings

### Readiness Review:

Readiness Review:

The InfraTec (UK) Ltd. Readiness review was received from Mr Lee Payne (Commercial Manager) on 07/05 /2017.

The assessment was carried out remotely and the Readiness Review was fully assessed and comments were made against each clause, no NCR's were identified and the status has now been set at "Partial".

The company intend to transition to ISO 9001:2015 during the November 2017 assessment. The next continuous assessment is scheduled for the 15-11-17 and the requirements of ISO 9001:2015 will continue to be assessed for implementation at this assessment.

At this assessment and as stated in the transition output evidence will be required at the transition assessment. Documents Reviewed -InfraTec (UK) Ltd Readiness

## Our next steps

### Next Visit Plan

Date	Auditor	Time	Area/Process	Clause
15/11/2017	Assessor 1	09.00	Arrive at Infra-Tec UK Ltd, Redcar	
		09.15	Opening meeting incl Changes since the last assessment visit	
		09.30	Review the previous report	
		10.00	Site visit to be pre-arranged will probably be after 07.00 pm in the evening and may not be at Redcar. Otherwise review records of recent site installation.	
		11.00	Management System - Changes (to include) Customer Complaints, Corrective Actions, Preventive Actions, Management Review, Customer Satisfaction, Quality Objectives, Improvements and Internal Audits, including logo review.	
		12.00	Purchasing and Project Management	
		12.30	Lunch	
		13.00	Transition - ISO 9001:2015	
		13.30	Strategic Review/Recertification Review	
		14.00	Top Management Interview	
		14.30	Report Preparation	
		16.00	Closing Meeting	

## Next visit objectives, scope and criteria

The objective of the assessment is to ascertain the integrity of the organisation's management system over the current assessment cycle to enable re-certification and confirm the forward strategic assessment plan.

The scope of the assessment is the documented management system with relation to the requirements of ISO 9001:2008 / ISO 9001:2015 and organisation to be assessed.

ISO 9001:2008  
ISO 9001:2015  
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 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.



## Your next steps

### NCR close out process

Corrective actions with respect to minor nonconformities raised previously have not been implemented. No new nonconformities were identified during the assessment. Enhanced detail relating to the overall assessment findings is contained within subsequent sections of the report.

### How to contact customer service

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

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

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

Tel: +44 (0)345 080 9000

Email: [MK.Customerservices@bsigroup.com](mailto:MK.Customerservices@bsigroup.com)

## Appendix: Your certification structure & on-going assessment programme

### Scope of Certification

#### **FS 618313 (ISO 9001:2008)**

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

### Assessed location(s)

#### **Redcar / FS 618313 (ISO 9001:2008)**

<b>Location reference</b>	0047529484-000
<b>Address</b>	InfraTec UK Ltd 50 Cranbourne Drive Redcar TS10 2SP United Kingdom
<b>Visit type</b>	Transition Audit
<b>Assessment reference</b>	8639319
<b>Assessment dates</b>	08/05/2017
<b>Deviation from Audit Plan</b>	No
<b>No. of Full Time Equivalent Employees</b>	5
<b>Total No. of Effective Employees at the site</b>	5
<b>Scope of activities at the site</b>	Main Certificate Scope applies.
<b>Assessment duration</b>	0.5 day(s)

## 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.

## Certification assessment programme

**Certificate Number - FS 618313**

**Location reference - 0047529484-000**

Business area/Location	Date (mm/yy):	Audit1	Audit2	Audit3
	Duration (days):	11/15	11/16	11/17
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	X	
Purchasing and Project Management		X		X
Installation (Site Visit)				X
Test and Repair			X	
Commissioning				X
Control of Documents and Records		X	X	
Training and Competence			X	
Calibration and Maintenance		X		
Transition - ISO 9001:2015		X	X	X
Top Management Interview			X	X
Strategic Review				X

## Expected outcomes for accredited certification.

**What accredited certification to ISO 9001 means**

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

**What accredited certification to ISO 9001 does not mean**

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

**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 organisation, then all pages must be included.*

*BSI, its staff and agents shall keep confidential all information relating to your organisation 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 on-site through document reviews, interviews and observation of activities. The audit method used was based on sampling the organization's activities and it was aimed to evaluate the fulfilment of the audited requirements of the relevant management system standard or other normative document and confirm the conformity and effectiveness of the management system and its continued relevance and applicability for the scope of certification.*

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

**Regulatory compliance**

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