Assessment Report.

InfraTec UK Ltd

Report Author **Robert Lillie**

Visit Start Date 31/10/2014

Introduction.

This report has been compiled by Robert Lillie and relates to the assessment activity detailed below:

Visit ref/Type/Date/Duration	Certificate/Standard	Site address
8196597 Stage 1 Audit 31/10/2014 0.5 day(s) No. Employees: 4	FS 618313 ISO 9001:2008	InfraTec UK Ltd 50 Cranbourne Drive Redcar TS10 2SP United Kingdom

The objective of the assessment was to determine the organisation's readiness for the stage 2 audit and to ensure its effective planning.

Management Summary.

Overall Conclusion

I am pleased to confirm your readiness to go for Stage Two assessment

Limited progress has been established towards certification. The nonconformities that have been identified will need to be addressed before the next stage of assessment and will be reviewed in Stage Two

The stage 2 audit duration is planned to be one (1) day(s). As a result of this visit the duration is to be reviewed and confirmed by our Sales department. Due to the installation element of the scope this will need to be viewed as part of the stage 2 assessment. Most site works are nighttimes and may require a sector scheme p code.

The scope of the audit is 'The planning, installation and commissioning services for driver information and traffic monitoring systems'.

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 not generally found to be effective.

There were no outstanding nonconformities to review from previous assessments.

Both major nonconformities and minor nonconformities requiring attention were identified. These, along with other findings, are contained within subsequent sections of the report.

A minor nonconformity relates to a single identified lapse in the management system. A major nonconformity indicates a breakdown in the management system's ability to effectively control the processes for which it was intended. The identification of a major nonconformity places the validity of certification at risk. It is necessary to investigate the underlying cause of any nonconformity to determine corrective action. The proposed action will be reviewed for effective implementation at the next assessment.

Mandatory Requirements.

Justified Exclusions

Justified exclusions have been confirmed for certificate : FS 618313

details:

Clause 7.3 as no design is carried out. This is currently not justified within the documents.

Areas Assessed & Findings.

General Requirements :

The company are a small organisation operating from a home address in Redcar. The organisation currently has 1 client though has built this into their objectives. They provide the planning, installation and commissioning services for driver information and traffic monitoring services.

The proposed scope of registration is 'The planning, installation and commissioning services for driver information and traffic monitoring systems'.

The correct T-code is allocated - T03C.

The company has a Quality Manual and a number of procedures with relevant references to additional forms and IT systems and is in the process of designing and implementing apps to assist in the distance working.

No Design Control Processes are undertaken and the requirements of Clause 7.3 are excluded from the system though this is not documented within the manual (see minor non-conformance).

The stage 2 assessment is arranged for 12/12/2014 with a three year cycle required of a one day visit annually.

During the stage 2 assessment a site visit will be required and planning will need to be considered round this. Current locations are round the London area though the confirmation of locations and timeframes.

Quality Management System Documentation and System :

The organisation have implemented a Quality Management system. It is in its infancy stage currently with work still required and proper role out of all new procedures and forms prior to the stage 2 assessment.

The main document is the Management System Manual QMS 01 (20/10/2014) which covers most of the requirements of the standard (see non conformance).

The document is controlled and is to be distributed to the employees through the computer system. In addition there is also a Live Document Register CR - 001 detailing all documents within the system (see observation)

The quality policy is incorporated within QMS 01 and is in line with the requirements of the standard and planned to be reviewed during the management review (see observation).

The organisation have multiple procedures in place to assist them in implementing the quality management system including:
QM001 - Control of documents
QM002 - Control of records

QM018 - Internal Audit
QM019 - Control of Non-conforming product
QM020 - Corrective actions
QM021 - Preventive actions
In addition to these required documented ones the organisation have implemented multiple ones within the systems (see nonconformities and observations)

Quality objectives have been established within QMS 01:
Improve profitability and value
Reduce business risk
Solidify our identity with customers
Obtain and maintain ISO 9001

Responsibilities have been reviewed. Currently these are covered within QM003 Responsibility and authority (see observation)

A Management Review has not been held

A training matrix procedure QM004 has been established with a subsequent matrix.

The organisation need to revisit clause 7 as currently their procedures start at purchasing (see non conformance)

Observations.

Type	Area/Process	Clause
Observations	Quality Management System Documentation and System	4.2.3
Scope	FS 618313	
Details:	The organisation may wish to review the ID prefix of its documents to make it more manageable. They may also with to review the documented procedures with regards to links to forms and additional procedures.	

Type	Area/Process	Clause
Observations	Quality Management System Documentation and System	5.6.1
Scope	FS 618313	
Details:	The organisation may wish to review the agenda of the management review relating to the quality policy.	

Type	Area/Process	Clause
Observations	Quality Management System Documentation and System	5.3
Scope	FS 618313	
Details:	The organisation may wish to review the contents of the policy for firmer links to the quality objectives.	

Type	Area/Process	Clause
Observations	Quality Management System Documentation and System	7.6
Scope	FS 618313	
Details:	The organisation may wish to revisit the location of storage for their calibration certificates.	

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

Major Nonconformities Arising from this 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:	General 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. Records from management reviews shall be maintained (see 4.2.4).	
Objective Evidence:	The organisation have yet to carry out a management review.	

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:	Internal audit The organization shall conduct internal audits at planned intervals to determine whether the quality management system 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 b) is effectively implemented and maintained. 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. A documented procedure shall be established to define the responsibilities and requirements for planning and conducting audits, establishing records and reporting results. Records of the audits and their results shall be maintained (see 4.2.4). 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). NOTE See ISO 19011 for guidance.	
Objective Evidence:	An audit programme has not been fully established and no internal audits have been conducted.	

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:	Planning of product realization 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). In planning product realization, the organization shall determine the following, as appropriate: 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). The output of this planning shall be in a form suitable for the organization's method of operations. 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. NOTE 2 The organization may also apply the requirements given in 7.3 to the development of product realization processes.	
Objective Evidence:	The organisation start their procedures at purchasing currently with nothing clear as to their planning for product realisation.	

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:	Customer communication The organization shall determine and implement effective arrangements for communicating with customers in relation to 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.	

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:	Customer satisfaction 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. 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.	
Objective Evidence:	The organisation currently have not set any parameters for customer satisfaction.	

Minor Nonconformities Arising from this 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:	Quality manual The organization shall establish and maintain a quality manual that includes a) the scope of the quality management system, including details of and justification for any exclusions (see 1.2), b) the documented procedures established for the quality management system, or reference to them, and c) a description of the interaction between the processes of the quality management system.	
Objective Evidence:	The organisation have not documented the exclusions within the manual.	

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:	Management representative Top management shall appoint a member of the organization's management who, irrespective of other responsibilities, shall have responsibility and authority that includes a) ensuring that processes needed for the quality management system are established, implemented and maintained, b) reporting to top management on the performance of the quality management system and any need for improvement, and c) ensuring the promotion of awareness of customer requirements throughout the organization. NOTE The responsibility of a management representative can include liaison with external parties on matters relating to the quality management system.	
Objective Evidence:	The organisation have established responsibilities within QM003 though this does not detail actual responsibilities relating to specific roles.	

Assessment Participants.

On behalf of the organisation:

Name	Position
Dave Bullock	Managing Director

The assessment was conducted on behalf of BSI by:

Name	Position
Robert Lillie	Team Leader

Next Visit Plan.

Visit objectives:

Stage 2
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 organisation'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 of the findings from all assessments.

Date	Assessor	Time	Area/Process	Clause
12/12/2014	Assessor 1	09:00	Opening Meeting / Changes to the organisation / Confirm Scope / Exclusions	
		09:15	Top Management Interview / Objectives / Resources / Communication / Customer focus /Strategy.	5.1 / 5.2 / 5.3 / 5.4 / 5.5 / 6.1
		10:00	QMS Office - Manual & Policy / Internal audits / Management review / Corrective action / Preventive actions / Complaints / Customer satisfaction / Documents and records / Objectives & targets / Monitoring and Measuring / Nonconforming product / Analysis of data	4.1 / 4.2 / 5.3 / 5.4 / 5.5 / 5.6 / 8.2 / 8.3 / 8.4 / 8.5
		12:30	Lunch	
		13:00	Continuation & audit trails from mornings activities	
		13:30	Human Resource Management / Competence, training & Awareness	6.2
		14:00	Sales / Marketing / Quotations / Product realisation	7
		15:00	Report Preparation / Three year plan prep	
		16:30	Closing Meeting / Recommendations	
		TBC	SITE VISIT. NIGHT TIME ONLY	

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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