First Surveillance

Report for:

AC Inspection Ltd

LRQA reference:	LRQ 4002393/ 0012
Assessment dates:	27th March 2012
Assessment location:	Coventry
Assessment criteria:	ISO 9001:2008
Assessment team:	Martin Newman
LRQA office:	Coventry

Contents

Attachments

This report was presented to and accepted by:	
Name:	Andrew Holt, Carl Wilson
Job title:	Managing Directors

1. Executive report

Assessment outcome:
AC Inspection showed continued commitment to the operation of the management system and the assessment was completed as planned and agreed. The assessment outcome was positive and the quality system continued to be well implemented and no adverse findings were made.
System effectiveness and continual improvement:
The quality management system continued to be effective and flexible in meeting client requirements. Commitment to customer satisfaction was evident in the approach to managing the quality system. The customer satisfaction survey, completed by a new customer, showed high levels of satisfaction with the service provided. No adverse findings or system risks were noted. An improvement suggestion was recorded in the report related to the inclusion of supplier review in the management review meeting minutes. This shall be followed up at the next assessment.
Areas for management attention:
No areas of risk were identified for management attention.

2. Assessment summary

Introduction:
This report documents the outcome of the first surveillance visit in the current certification cycle to AC Inspection Ltd in Coventry. An opening meeting was held with Andrew Holt, Carl Wilson and Susan Blake to agree the scope of the assessment and confirm the plan for the visit. Susan Blake attended as an LRQA observer. It was confirmed that the assessment would be conducted against the requirements of ISO9001:2008. The organisation had two employees and it is not foreseen that any changes will affect the management system in the near future. A closing meeting was held to present the overall assessment summary and recommendation.

Assessor:	Martin Newman

Assessment of:	Management System Elements	Auditee(s):	Andrew Holt, Carl Wilson

Audit trails and sources of evidence:

- Quality Manual revision H
- Quality Objectives including; Customer Satisfaction and delivery performance
- Internal audit schedule 2012 and reports:
- Customer feedback records including Customer satisfaction and sample feedback from Aerocom
- Key Business Objectives (KBO's)
- Delivery performance, non conformance, corrective/preventive action and continual improvement records
- Management Review records including; Minutes dated January 2012
- Use of LRQA / UKAS logos

Evaluation and conclusions:

Objectives

- The delivery performance was above target with no late deliveries.

Internal audits

- The 2012 audit schedule had been set up and audits completed on time. No problems or systems risks found.

Customer Feedback

- No complaints have been raised since last visit.

Customer Satisfaction

- The customer surveys were completed electronically. There were two completed in 2012. Both showed excellent levels of customer satisfaction and one was a new customer.

Management Review

- Review of management review meeting minutes for January and April 2012 confirmed that the Management Review is compliant with the requirements of ISO9001. With evidence of ongoing continual improvement.

Use of Logos

- No concerns were noted with regard to the use of logos.

Opportunity For Improvement

- To help manage the increased workload. It may be beneficial to reduce the number of vertical audits per annum and still maintain an effective audit process. The audits continually showed effective processes which was supported by the zero customer complaints and achieved objectives. Based on the nature and relatively straightforward nature of the internal audit process it would be justifiable to remove the audit process from the audit schedule.

The management system continued to be controlled and implemented and example were seen of the management of business risks.

Assessment of:	Core Processes	Auditee(s):	Andrew Holt, Carl Wilson

Audit trails and sources of evidence:

- Goods inwards Despatch Spreadsheet
- Inspection records 299, 287
- Calibration List 2011 and Gauge Record Sheets – 2 CMM's AC022 & AC031, AC037, AC023
- Training Matrix
- Approved Supplier List

Evaluation and conclusions:

This assessment included a review of the core processes related to the inspection work taking place during this assessment.

The sampled inspection & calibration records were all completed with continued good use of hyperlinks to help with record retrievability. Calibration continued to be well controlled.

The sampled inspection records were available with marked up drawings to clearly show what had been inspected.

The discussions and sampled records showed that processes continue to be well controlled with good record keeping.

Opportunity For Improvement

- It may be beneficial to add supplier review to the management review meeting minutes to ensure that important issues are included in the management review. This will help to clearly show effective control of the key suppliers.

3. Assessment findings log - ISO 9001:2008

Grade 1	Status 2	Finding 3	Corrective action review 4	Process / aspect 5	Date 6	Reference 7	Clause 8

1. Grading of the finding *	2. New, Open, Closed	3. Description of the LRQA finding	4. Review by LRQA	5. Process, aspect, department or theme
6. Date of the finding	7. YYMM<Initials>seq.#	8. Clause of the applicable standard		
* Major NC = Major nonconformity	Minor NC = Minor nonconformity			

4. Assessment schedule

Management system elements to be assessed at each visit:		Scheme specific elements:
• Management review	• Corrective action	• Customer feedback and complaints
• Management of change	• Preventive action and system planning	• Legal compliance
• Continual improvement	• Use of LRQA logo and other marks	• Communications
• Internal audit	* Objectives Achievement	• Prevention of pollution

Visit type >	Surveillance 1	Surveillance 2	Focus Visit					Certificate renewal
Due date >	03/12	12/13	10/13					06/13
Start date > End date >	27/03/12	06/12/12						
Assessor days >	1	1						
Process / Aspect								
Core Processes including goods in & despatch, purchasing, inspection	✓	✓	✓					✓
Calibration & Maintenance	✓	✓	✓					✓
Training	✓	✓	✓					✓
Document Control/ Records	✓	✓	✓					✓
Data backup								✓

Next visit details

Visit type	Surveillance 2				
Assessor days	1	**Due date**	01/2012	**Actual start / end dates**	6th December 2012
Locations	Coventry				
Activity codes	7430, 7425				
Team	Martin Newman				
Criteria	ISO 9001:2008				
Remarks and instructions					
Note: Opening meetings will be at 09:30, and closing meetings at 16:00, unless agreed otherwise.					

5. Report explanation

LRQA Findings Log definitions and information

Definitions of Grade Findings

Major Nonconformity
The absence of, or the failure to implement and maintain, one or more management system elements, or a situation which would, on the basis of the available objective evidence, raise significant doubt of the management to achieve:

- *the policy, objectives or public commitments of the organisation*
- *compliance with the applicable regulatory requirements*
- *conformance to applicable customer requirements*
- *conformance with the audit criteria deliverables.*

Minor Nonconformity
A finding indicative of a weakness in the implemented and maintained system, which has not significantly impacted on the capability of the management system or put at risk the system deliverables, but needs to be addressed to assure the future capability of the system.

Objectives of the visit

For all visits:

- *using the LRQA Business Assurance methodology to help clients manage their systems and risks to improve and protect the current and future performance of their organisation*
- *with the exception of Stage 1 visits, to address all issues outstanding from previous visits and any changes to the client's organisation or system that impacts on the approval (or potential approval) which will be recorded as visit specific objectives within the report.*

Surveillance*: To determine that the client's system continues to meet the assessment criteria and certification scope.*

Additional information

Isolated issues and opportunities for improvement
Any isolated issues identified during the assessment, which have not resulted in a nonconformity being raised, we will record in the appropriate process table in the report.

If we identify opportunities to improve your already compliant system, we will either record them in the process table applicable to the area being assessed, or in the Executive summary of the report if they can deliver improvement at a strategic level.

Confidentiality
We will treat the contents of this report, together with any notes made during the visit, in the strictest confidence and will not disclose them to any third party without written client consent, except as required by the accreditation authorities.

Sampling
The assessment process relies on taking a sample of the activities of the business. This is not statistically based but uses representative examples. Not all of the detailed nature of a business may be sampled so, if no issues are raised in a particular process, it does not necessarily mean that there are no issues, and if issues are raised, it does not necessarily mean that these are the only issues.

Terms and conditions
Please note that, as detailed in the Terms and Conditions clause of the contract (1.7), clients have an obligation to advise LRQA of any breach of legal, regulatory, or statutory requirements and any pending prosecution. Although proportionality and scale of the situation should be considered, you are required to advise LRQA of any serious potential risks to our certification but not, for example, isolated cases of a

minor nature.

"The Client is required to inform LRQA as soon as it becomes aware of any breach or pending prosecutions for the breach of any regulatory requirements relevant to the Certified Management System. LRQA will review the details of any breaches brought to its attention and may elect to perform additional verification activities chargeable to the client to ensure compliance with specified requirements. LRQA reserves the right to suspend or withdraw certificates of approval / verification statements and opinions for both failure to inform LRQA and the appropriate regulator of such breaches".

LRQA information
*The client is also reminded of the information and guidance available to them from our website (**www.lrqa.co.uk**). This includes information on our QMS, EMS, OHSAS, Verification and Validation products, our Training Services, and our CE Directives products.*

Information is also available from www.lrqa.com.