First Surveillance

Report for:

AC Inspection Ltd

LRQA reference:	LRQ4002393/0017
Assessment dates:	1st April 2015
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:	Andy Holt, Carl Wilson
Job title:	Managing Directors

1. Executive report

Assessment outcome:
This report documents the outcome of the first surveillance visit in the current certification period at AC Inspection Ltd. The objective of the visit was to assess the on-going implementation of the management system, assure conformity with ISO9001:2008 requirements. The quality management system was again very well managed and very effective. There was very strong evidence of customer focus and commitment. The organisation gains its work from the ability to be flexible to customer requirements and provided rapid inspection reports. The quality system and work approach is clearly geared to provide this service. The quality system was clearly compliant with the requirements of ISO9001 where sampled. Continued ISO9001:2008 was recommended until the next assessment visit.
Continual improvement:
The quality management system was clearly effective and supported the business. The focus was clearly on providing a customer-focused and high quality service. There was a clear link between the quality policy and customer satisfaction. The organisation very responsive and flexible to customer requirements and the quality system supports this. The move to the new location and purchase of the optical measuring equipment had showed good evidence of continual improvement in order to improve the service given to the customer.
Areas for senior management attention:
No areas of risk were identified for management attention.

2. Assessment summary

Introduction:
An opening meeting was held at 09:00 with Andrew Holt, Carl Wilson to confirm the client's expectations of this assessment, agree the scope of the assessment and confirm the objectives and plan for the visit. The primary objective of the assessment was to verify continued compliance with ISO9001:2008. The LRQA Business Assurance methodology was applied to ensure a more business focussed approach. This included discussing current and future business strategy and reviewing how the quality management system would deal with any possible risks and opportunities. The assessment approach used was to sample evidence through observation, discussion and record review in order to determine the effectiveness of the management system against the assessment criteria. Therefore the findings are only applicable to the sampled information and cannot be applied to areas outside of the sample. The organisation had two employees and there had been no quality system changes since the previous assessment. A closing meeting was held at 15:00 with Andrew Holt, Carl Wilson 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 2014 & 2015, Audit Register and reports including A15-1, A15-2
- Customer feedback records including Customer satisfaction – surveys up to 23/01/2015
- Key Business Objectives (KBO's)
- Delivery performance, non-conformance, corrective/preventive action and continual improvement records
- Management Review records including; Minutes dated January 2015 & October 2014
- Use of LRQA / UKAS logos

Evaluation and conclusions:

Objectives

- The quality objectives were very mature and all above the set targets. They were appropriate to the organisation and covered at the management reviews.

Internal audits

- The internal audits were on schedule and completed in a conscientious manner. The audits had been completed for 2014 and established for 2015. Two audits had been completed as scheduled for 2015. No problems / concerns had been noted. The reports showed clear evidence of audit trails.

Customer feedback, non-conformance reporting

- No complaints have been raised since last visit.

Customer Satisfaction

- The sampled customer satisfaction surveys showed a very high level of satisfaction. There had been one survey completed since the last assessment. The results showed excellent customer satisfaction.

Management Review

- The management review records showed continued compliance with ISO9001:2008 and also an appropriate review of the business processes.

Use of Logos

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

The management system continued to be very well used and beneficial to the organisation.

Areas for attention:

No areas for attention were noted.

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

Audit trails and sources of evidence:

- Goods inwards Despatch Spreadsheet 2015 and sampled jobs 2287, 2284
- Statistical Study IR14-356
- Inspection records including IR15-089, IR15-089, IR15-098
- Calibration List 2054 and Gauge Record Sheets, CMMS, Master Slips, 36657, Vernier AC023, Setting sphere AC110, VTC 2515
- Training Matrix
- Approved Supplier List

Evaluation and conclusions:

This assessment included a review of the core processes including goods in & despatch, purchasing, inspection to the inspection work.

The discussions and sampled evidence showed very well implemented processes in all the areas sampled.

It was good to note that the calibration gauge for the optical measuring machine had been calibrated traceable to national standards and also added to the Gauge List. Calibration of equipment, including the CMM's was well controlled.

The sampled jobs taken from the Goods Inwards spreadsheet showed good traceability of records and very strong process control.

The most recent statistical study took place in October 2014 (IR14-356) and was clearly explained. The Capability Study was carried out using the customer's documentation.

The quality management system was very well implemented and maintained.

Areas for attention:

No areas for attention noted.

3. Assessment findings log - ISO 9001:2008

Grade 1	Status 2	Finding (including location if applicable) 3	Correction, root cause & 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. Audit Programme/Plan

Visit Type	FV	CR	SV 1	FV				CR
Due Date	10/13	07/14	07/15	07/16				7/17
Start Date	03/10/13	29/05/14	01/04/15	TBC				
End Date		29/05/14	01/04/15	TBC				
Audit Days	1	1	1	1				TBC
Any change in workforce numbers That may impact visit duration (if yes add new number)	2	2	2	Y/N				Y/N
Process / aspect / location ***Final selection will be determined after review of management elements and actual performance***								
Management Review	✓	✓	Am	Am				Am
Internal Audits	✓	✓	Am	Am				Am
Continual Improvement	✓	✓	Am	Am				Am
Management of change	✓	✓	Am	Am				Am
Corrective action	✓	✓	Am	Am				Am
Preventive action	✓	✓	Am	Am				Am
Complaint Management	✓	✓	Am	Am				Am
Use of Logo	✓	✓	Am	Am				Am
Core Processes including goods in & despatch, purchasing, inspection	✓	✓	Pm	Pm				Pm
Core Processes including goods in & despatch, purchasing, inspection	✓	✓	Pm	Pm				Pm
Calibration & Maintenance	✓	✓	Pm	Pm				Pm
Training	✓	✓	Pm	Pm				Pm
Document Control/ Records	✓	✓	Pm	Pm				Pm
Data backup								

Visit start time (approximate)	09:00	Visit end time (approximate)	16:00	The exact start and finish times for the visit will be agreed at the pre-visit contact with the assessor and recorded in the report introduction.

Objective of the next visit (including where applicable the theme selected)
To determine that the client's system continues to meet the assessment criteria and certification scope, any applicable statutory, regulatory and contractual requirements, and to ensure that the system is meeting its specified objectives. To address all issues outstanding from previous visits and any changes to the client's organisation or system that impacts on the approval. The assessor will use 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.

Scope	Provision of engineering inspection services, including statistical studies where required.

Exclusion	Design

Note: if the visit involves more than one team member and/or is more than one day duration, an additional plan detailing the activities of each member of the team on each day will be required.

Date am/pm	Assessor 1	Assessor 2	Standard covered

5. Next visit details

Visit type	Focus Visit				
Theme(s) for Next Visit	Compliance				
Audit days	1	**Due date**	07/2016	**Visit start / end dates**	To be confirmed
Locations	Coventry				
Activity codes	7430, 108402				
Team	To be confirmed				
Standard(s) / Scheme(s)	ISO9001:2008				
Remarks and instructions					

6. 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.*

Stage 1*:*
The assessor shall review the system to determine that it fulfils the requirements of the assessment criteria and covers the activities detailed within the assessment scope.
The assessor shall then interview the senior management of the company to determine that they have undertaken the following

- *Stakeholder Analysis*
- *Strategic Analysis*
- *An analysis of the risk that could impact upon their business*
- *That they have determined the context in which the system will operate*
- *That they have identified any applicable legal, statutory or regulatory requirements that the system has to address*

The assessor will then use the information gathered as a result of these interviews to review the design of the system to determine if the client has addressed the potential risk within the system and to determine if the needs of their stakeholders have been addressed.
In addition the assessor shall review and confirm the contractual arrangements. This includes any changes required as a result of the outcome of the Stage 1 visit (including changes to the scope of assessment, duration of the Stage 2 visit, and duration of subsequent surveillance visits). The assessor shall also determine the planning, logistics, sampling, etc. that will be used during the Stage 2 visit. ***Stage 2****: The assessment of the implementation of the management system. This is to confirm conformity with certification requirements such as the assessment criteria and certification scope.*
Surveillance*: To determine that the client's system continues to meet the assessment criteria and certification scope.*

Certificate Renewal Planning / Focus*: To review the system and the performance of the company during the previous certification cycle, to see how the client plans to move forward in the future and to plan the Certificate renewal visit while confirming continued compliance with the assessment criteria and certification scope.*

Certificate Renewal*: The re-assessment of the implementation of the management system based on the results of the certificate renewal planning visit. This is to re-confirm conformity with certification requirements such as the assessment criteria and certification scope.*

Special Surveillance: *To review the effectiveness of the correction and corrective action taken after the raising of a Major Nonconformity at a surveillance visit.*

Follow-up: *To review the effectiveness of the correction and corrective action taken after the raising of a Major Nonconformity at a Stage 2 or Certificate Renewal.*

Change to Approval: *The assessment of the implementation of the management system for an additional site or activity, which expands the existing scope of approval.*

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.

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Developed in direct response to requests from our clients and found at www.LRQAstandards.com, this site features nearly 2,300 standards (printed or PDF, single or multi-user licences), books, CDs, DVDs and related material to help you better implement and maintain your systems. If you hold certification or are considering implementing a new management system, we advise you to purchase a copy of the relevant standard as soon as possible. To ensure we offer the best and most complete service possible, this site is owned and operated for us by IT Governance, a market leader that LRQA has worked with for many years.