



Lloyd's Register  
LRQA

# Certificate Renewal

Report for:

AC Inspection Ltd

**LRQA reference:** LRQ4002393/0014

**Assessment dates:** 29th May 2014

**Assessment location:** Coventry

**Assessment criteria:** ISO 9001:2008

**Assessment team:** Martin Newman

**LRQA office:** Coventry

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Attachments

<b>This report was presented to and accepted by:</b>	
Name:	Andy Holt, Carl Wilson
Job title:	Managing Directors



## 1. Executive report

### **Assessment outcome:**

This report documents the outcome of the certificate renewal assessment 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 and plan the upcoming certificate renewal plan.

AC Inspection had maintained their quality management system in an effective and conscientious manner. The system was excellently maintained with very strong evidence of customer focus and commitment. The move to the new location was clearly an improvement, the new location was well organised. The move had been well controlled to ensure the quality of service had been maintained. The customer survey results showed high levels of customer satisfaction.

Recertification to ISO9001:2008 was recommended until the next assessment visit. The client was moved to an annual assessment.

### **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.

The move to the new location showed clear evidence of continual improvement.

### **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 had moved to a new location.

A closing meeting was held at 15:00 with Andrew Holt, Carl Wilson to present the overall assessment summary and recommendation

<b>Assessor:</b>	Martin Newman
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<b>Assessment of:</b>	Management System Elements	<b>Auditee(s):</b>	Andrew Holt, Carl Wilson
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**Audit trails and sources of evidence:**

- Quality Manual revision H
- Quality Objectives including; Customer Satisfaction and delivery performance
- Internal audit schedule 2014, Audit Register and reports including A14-01 to A14-03
- Customer feedback records including Customer satisfaction
- Key Business Objectives (KBO's)
- Delivery performance, non-conformance, corrective/preventive action and continual improvement records
- Management Review records including; Minutes dated April 2014, January 2014
- Use of LRQA / UKAS logos

**Evaluation and conclusions:**

**Objectives**

- The quality objectives were all above the set targets.

**Internal audits**

- The internal audits were on schedule and completed in a conscientious manner. The sampled internal audit reports continued to show that the key quality system procedures have been audited. The reports showed clear evidence of audit trails.

**Customer feedback, non-conformance reporting**

- No complaints have been raised since last visit or during this certification period.

**Customer Satisfaction**

- The sampled customer satisfaction surveys showed a very high level of satisfaction. A new customer, Unipart, had given some very positive written feedback on the quality of service provided.

**Management Review**

- The management review records showed continued compliance with ISO9001:2008 and also an appropriate review of the business processes. The minutes included the move to the new location.

**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.



<b>Assessment of:</b>	Core processes	<b>Auditee(s):</b>	Andrew Holt, Carl Wilson
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**Audit trails and sources of evidence:**

- Goods inwards Despatch Spreadsheet 2014 and sampled jobs 2113, 2112
- Inspection records including IR13-029
- Contract Review & Quotation
- Calibration List 2014 and Gauge Record Sheets, Calibration process CAL 38 INT, Master Slips, 30497, Master ring gauge 177-187
- Training Matrix
- Approved Supplier List
- CP 18 Maintenance

**Evaluation and conclusions:**

This assessment included a review of the core processes including goods in & despatch, purchasing, inspection to the inspection work. The following points were noted:

- The CMM measuring machines had been calibrated after the move to ensure accuracy of measurement. The calibration was up to date for the sampled equipment.
- The review of the Goods Inwards spreadsheet showed good traceability of records.
- The new optical measuring machine had been added to the calibration list with a calibration procedure.
- The discussions and sampled records showed that all the core processes continue to be well controlled with good record keeping.
- The move to the new location had been well controlled so as not to impact on the quality of service or customer satisfaction.

The quality management system was very well implemented and maintained.

**Areas for attention:**

- The calibration gauge for the new optical measuring machine requires calibration traceable to National Standards prior to its full use.



### 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	Certificate Renewal	SV 1	SV 2				Certificate Renewal
Due Date	10/13	07/14	07/15	07/16				7/17
Start Date	03/10/13	29/05/14	27/03/12	06/12/12				
End Date		29/05/14	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	Y/N	Y/N				Y/N
Process / aspect / location								
<i>Final selection will be determined after review of management elements and actual performance</i>								
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
Calibration & Maintenance	✓	✓	Pm	Pm				Pm
Training	✓	✓	Pm	Pm				Pm
Document Control/ Records	✓	✓	Pm	Pm				Pm
Data backup								

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





## 5. Audit Programme/Plan

Visit Type	FV	CR	SV 1	SV 2				CR
Due Date	10/13	07/14	07/15	07/16				7/17
Start Date	03/10/13	29/05/14	27/03/12	06/12/12				
End Date		29/05/14	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	Y/N	Y/N				Y/N
<b>Process / aspect / location</b> <i>Final selection will be determined after review of management elements and actual performance</i>								
Management Review	✓	✓	Am	Am	Am			Am
Internal Audits	✓	✓	Am	Am	Am			Am
Continual Improvement	✓	✓	Am	Am	Am			Am
Management of change	✓	✓	Am	Am	Am			Am
Corrective action	✓	✓	Am	Am	Am			Am
Preventive action	✓	✓	Am	Am	Am			Am
Complaint Management	✓	✓	Am	Am	Am			Am
Use of Logo	✓	✓	Am	Am	Am			Am
Core Processes including goods in & despatch, purchasing, inspection	✓	✓	Pm	Pm	Pm			Pm
Core Processes including goods in & despatch, purchasing, inspection	✓	✓	Pm	Pm	Pm			Pm
Calibration & Maintenance	✓	✓	Pm	Pm	Pm			Pm
Training	✓	✓	Pm	Pm	Pm			Pm
Document Control/ Records	✓	✓	Pm	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.
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Objective of the next visit ( including where applicable the theme selected)
Compliance with the requirements of ISO9001

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

## 6. Next visit details

<b>Visit type</b>	Surveillance 1				
<b>Theme(s) for Next Visit</b>	Compliance				
<b>Audit days</b>	1	<b>Due date</b>	06/2014	<b>Visit start / end dates</b>	To be confirmed
<b>Locations</b>	Coventry				
<b>Activity codes</b>	7430, 108402				
<b>Team</b>	Martin Newman				
<b>Standard(s) / Scheme(s)</b>	ISO9001:2008				
<b>Remarks and instructions</b>					



## 7. Assessment plan

<b>Assessment type</b> Re-certification	<b>Assessment criteria</b> ISO 9001:2008	
<b>Assessment team</b> Martin Newman	<b>Assessment dates</b> 29/05/2014	<b>Issue date</b> 03/10/2013

(Day 1)

09:30	<p>Introductory meeting with management to explain the scope of the visit, assessment methodology, method of reporting and to discuss the company's organisation.</p> <p>Management System Elements – document review, objectives, customer feedback, internal audits, management review, corrective, preventive action and continual improvement.</p> <p>Core Processes including goods in &amp; despatch, purchasing, inspection Calibration &amp; Maintenance</p> <p>Lunch.</p> <p>Training</p> <p>Document Control/ Records</p> <p>Data backup</p> <p>Preparation of final report.</p>
16:00	<p>Closing meeting to summarise findings and recommendation</p>

## 8. Certificate details



### DRAFT CERTIFICATE OF APPROVAL

This is to certify that the Management System of:

**AC Inspection Ltd**  
**Unit BII, Little Heath Industrial Estate, Coventry,**  
**United Kingdom.**  
**CV6 7NB**

has been approved by Lloyd's Register Quality Assurance  
to the following Management System Standard(s):

**ISO 9001:2008**

The Management System is applicable to:

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

Suffix /		Technical review date:		Certificate expiry date:	
(for example, /A, /B, etc)		(office use only)		(office use; assessor to enter if non-standard)	

Type of certificate:								
<input checked="" type="checkbox"/>	Single certificate	<input type="checkbox"/>	Certificate per location	<input type="checkbox"/>	Multi-site certificate	<input type="checkbox"/>	Multiple languages	
<i>(Complete this form)</i>		<i>(Complete separate copies of this form for each location)</i>		<i>(Complete a certificate schedule [multi-site form]) as well as this form</i>		<i>(Complete separate copies of this form for each language)</i>		
Accreditation / number of certificates:								
<input checked="" type="checkbox"/>	UKAS /	2	<input type="checkbox"/>	RvA /	<input type="checkbox"/>	other /	<input type="checkbox"/>	Not accredited /
Reason for issue of certificate:								
<input type="checkbox"/>	Initial certification	<input type="checkbox"/>	Change of certification	<input checked="" type="checkbox"/>	Certificate renewal			
Further instructions: (for example, module and / or annex for directives)								



n / a			
QA Register entry (for UKAS accreditation only)	Required	<input checked="" type="checkbox"/>	Not required <input type="checkbox"/>



## 9. Report explanation

<b>LRQA Findings Log definitions and information</b>
<b>Definitions of Grade Findings</b>
<p><b>Major Nonconformity</b>  <i>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:</i></p> <ul style="list-style-type: none"> <li>• <i>the policy, objectives or public commitments of the organisation</i></li> <li>• <i>compliance with the applicable regulatory requirements</i></li> <li>• <i>conformance to applicable customer requirements</i></li> <li>• <i>conformance with the audit criteria deliverables.</i></li> </ul> <p><b>Minor Nonconformity</b>  <i>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.</i></p>
<b>Objectives of the visit</b>
<p><b>For all visits:</b></p> <ul style="list-style-type: none"> <li>• <i>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</i></li> <li>• <i>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.</i></li> </ul> <p><b>Stage 1:</b>  <i>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</i></p> <ul style="list-style-type: none"> <li>• <i>Stakeholder Analysis</i></li> <li>• <i>Strategic Analysis</i></li> <li>• <i>An analysis of the risk that could impact upon their business</i></li> <li>• <i>That they have determined the context in which the system will operate</i></li> <li>• <i>That they have identified any applicable legal, statutory or regulatory requirements that the system has to address</i></li> </ul> <p><i>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. <b>Stage 2:</b> 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.</i></p> <p><b>Surveillance:</b> <i>To determine that the client's system continues to meet the assessment criteria and certification scope.</i></p> <p><b>Certificate Renewal Planning / Focus:</b> <i>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.</i></p> <p><b>Certificate Renewal:</b> <i>The re-assessment of the implementation of the management system based on the</i></p>



**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](http://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](http://www.lrqa.com).

### **Insight Environmental (update service)**

LRQA's low-cost environmental update service gives clients online access to the same support information we provide to our environmental assessors. Subscribers can access detailed analysis of the latest environmental industry and legislation topics. You can sign up with a debit or credit card or, for EMS clients with LRQA, you can split your payments across your direct debit or your surveillance visit invoices for a small additional admin fee and you'll automatically be re-subscribed until you tell us to stop. Find out more or sign up at [www.lrqa-insight.co.uk](http://www.lrqa-insight.co.uk)

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