Focus Visit

Report for:

AC Inspection Ltd

LRQA reference:	LRQ 4002393/ 0014
Assessment dates:	3rd October 2013
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 focus visit 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 maintained their quality management system in an effective and conscientious manner. The system had been extremely well maintained during this certification period. The documentation explained the key processes clearly. Discussions and evidence showed customers were satisfied with the service provided. The evidence showed high levels of customer satisfaction. Therefore, continued ISO9001:2008 certification was recommended until the next assessment visit. The certificate renewal assessment was agreed at one day with the date to be confirmed by LRQA Planning nearer to the time.
Continual improvement:
The quality management system was clearly effective and supported the business. The focus was clearly on providing a customer-focused service. Commitment to continual improvement was seen.
Areas for senior management attention:
No areas of risk were identified for management attention.

2. Assessment summary

Introduction:
An opening meeting was held 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. The main change discussed was the optical measuring machine had been purchased though not yet installed. A closing meeting was held 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 2013, Audit Register and reports including A13-1, Vertical Audit 2012
- 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 12/07/13, 05/04/13/ & 04/01/13
- 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 which was especially useful in the calibration audit. The internal audits had been well implemented and effectively used over this certification period.

Customer feedback , non-conformance reporting

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

Customer Satisfaction

- The customer satisfaction feedback questionnaires continued to show excellent levels of customer satisfaction. There were very complimentary comments related to the service given.

Management Review

- The management review records showed continued compliance with ISO9001:2008 and also an appropriate review of the business processes. The minutes showed a very well implemented process over the three year certification period with consideration of changes and improvements.

Use of Logos

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

The management system continued to be very well used and was clearly supporting of customer satisfaction. The quality system had been very well implemented during this certification period.

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 2013 and sampled jobs
- Inspection records including IR13-029
- Calibration List 2013 and Gauge Record Sheets
- 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 sampled records including the inspection reports and calibration records showed continued very well implemented processes. Work records were conscientiously maintained with clear evidence of focus on customer requirements and satisfaction

The discussions and sampled records showed that processes continue to be well controlled with good record keeping. The processes had been very well maintained during this certification period

Areas for attention:

No areas for attention were noted.

Assessment of:	Focus or certificate renewal planning visit	Auditee(s):	CR planning visit process table

Audit trails and sources of evidence:

Review:
Organizational changes; trends in customer satisfaction; complaints and other performance indicators, changes in the documented system; improvement projects; trends in raised non conformities during internal and external audits, quality of management reviews.

Preview:
Developments in the organization and its environment; strategy, policy and objectives in relation to these developments; the adequacy of management system.

Planning:
Need for an additional visit, points of attention during certificate renewal, appropriate audit themes; desirability specialized assessors; agreements on reporting, site visits, etc.

Evaluation and conclusions:

Review:
The quality management system had been well implimented and effective during the certification period. The customer feedback showed excellent levels of customer satisfaction. The management system elements had been very well used to monitor the key business objectives and all aspects of the quality system. Non conformance and customer compliants were non existent.

Preview:
There were no organisation developments planned during the next certification period.

Planning:
There are no points for attention at the certificate renewal. The organisation can move to the Micro Firms Scheme at the certificate renewal.

Areas for attention:

No areas for attention were 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	SV 1	SV 2	FV					Certificate Renewal
Due Date	03/12	12/12	10/13					06/13
Start Date	27/03/12	06/12/12	03/10/13					29/05/13
End Date								
Audit Days	1	1	1					1
Any change in workforce numbers That may impact visit duration (if yes add new number)	N	N	N					Y/N
Process / aspect / location	*Final selection will be determined after review of management elements and actual performance*							
Management Review	✓	✓	✓					✓
Internal Audits	✓	✓	✓					✓
Continual Improvement	✓	✓	✓					✓
Management of change	✓	✓	✓					✓
Corrective action	✓	✓	✓					✓
Preventive action	✓	✓	✓					✓
Complaint Management	✓	✓	✓					✓
Use of Logo	✓	✓	✓					✓
Core Processes including goods in & despatch, purchasing, inspection	✓	✓	✓					✓
Calibration & Maintenance	✓	✓	✓					✓
Training	✓	✓	✓					✓
Document Control/ Records	✓	✓	✓					✓
Data backup								✓

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

5. Next visit details

Visit type	Certificate Renewal				
Theme(s) for Next Visit	Use of the new measuring equipment				
Audit days	1	**Due date**	06/2013	**Visit start / end dates**	29/05/2014
Locations	Coventry				
Activity codes	7430, 7425				
Team	Martin Newman				
Standard(s) / Scheme(s)	ISO 9001:2008				
Remarks and instructions					
Visit planning • Move to the Micro Firms Scheme at the certificate renewal visit.					

6. Assessment plan

Assessment type	Assessment criteria
Re-certification	**ISO 9001:2008**

Assessment team	Assessment dates	Issue date
Martin Newman	**To be confirmed**	**03/10/2013**

(Day 1)

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

7. 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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