

Assessment Report

PSU Technology Group Limited

Assessment dates	12/11/2018 to 12/11/2018 (Please refer to Appendix for details)
Assessment Location(s)	Cheltenham (000)
Report author	Paul Randle
Assessment Standard(s)	ISO 9001:2015



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Executive summary

During this assessment visit, the business has been seen to incur significant levels of change which the owners have detected and reacted to in order to protect the integrity of the business and ensure it continues to meet the needs of its customers and other interested parties. The PSU business management system has provided a foundation for the client to manage these changes whilst still contributing to the delivery of the business strategy for growth.

The result of the changes and the actions taken by the owners and management team have allowed the organisational structure and skill base to be reviewed and subsequently improved through the delivery of a structured action plan which will result in business resources being enhanced and job enrichment activities allowing personnel to develop their skills whilst meeting the needs of their customers.

Whilst the business has faced a series of internal challenges, the management system has still allowed service to be delivered to customer in a controlled manner with high levels of SLA compliance being achieved, project based objectives continue to be progressed and actions being taken to address customer satisfaction issues and drive up the NPS score. All of the evidence gathered during this assessment has demonstrated the management system resilience and confirmed it is meeting its intended outcomes.

Subsequent progress of the highly structured plans to develop skills with the business and provide the resources needed for continued business growth will be reviewed at the next assessment visit.

Changes in the organization since last assessment

The following changes in relation to organization structure and key personnel involved in the certified management system were noted:

Some significant changes occurred within the business with the owners who had planned to take a less active role in the running of the business returning to full time work. The Director of Service & Operations has left the business. The owners of the business are currently developing the business structure which has seen some roles change whilst others will be created.

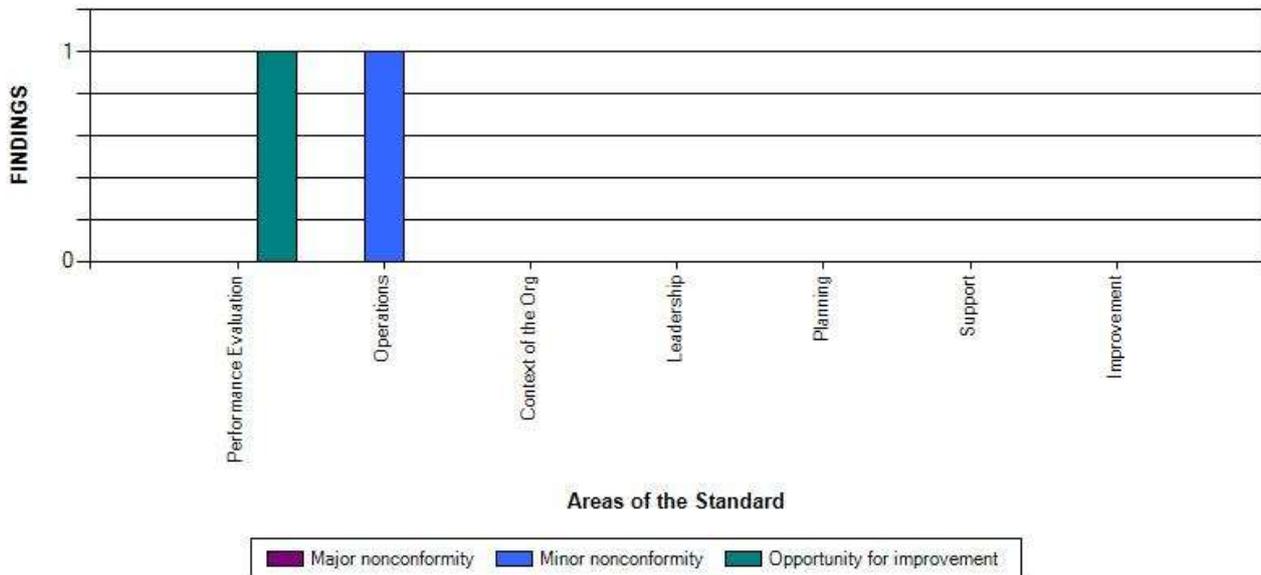
Current and future organisational charts are maintained by the HR Business Partner and change is being implemented as part of a detailed action plan.

No change in relation to the audited organization’s activities, products or services covered by the scope of certification was identified.

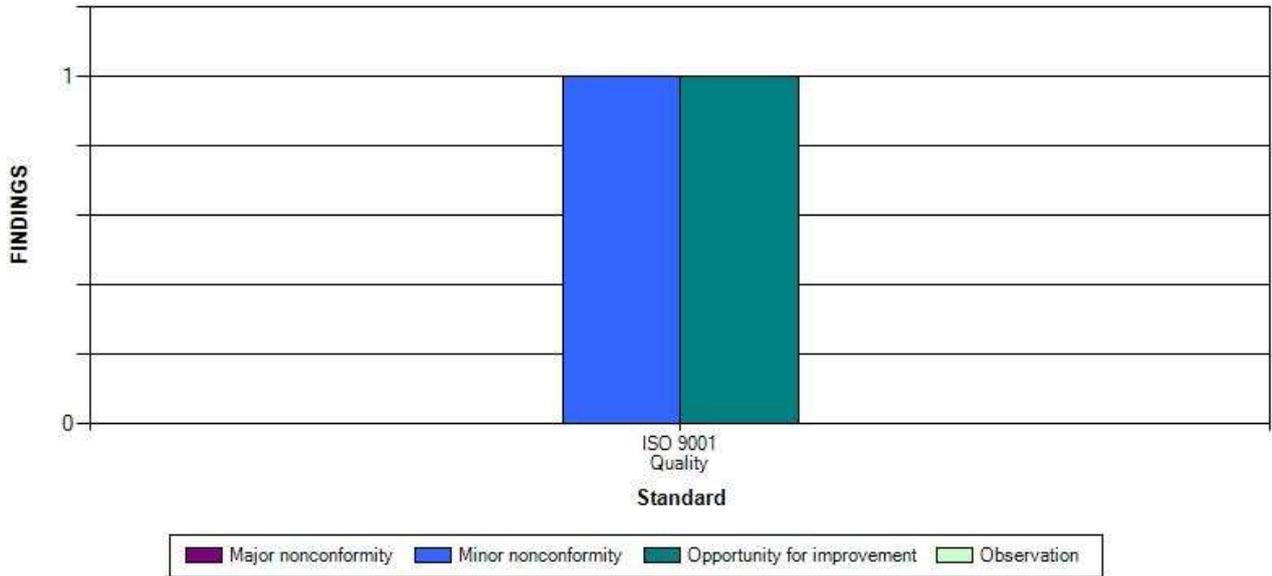
There was no change to the reference or normative documents which is related to the scope of certification.

NCR summary graphs

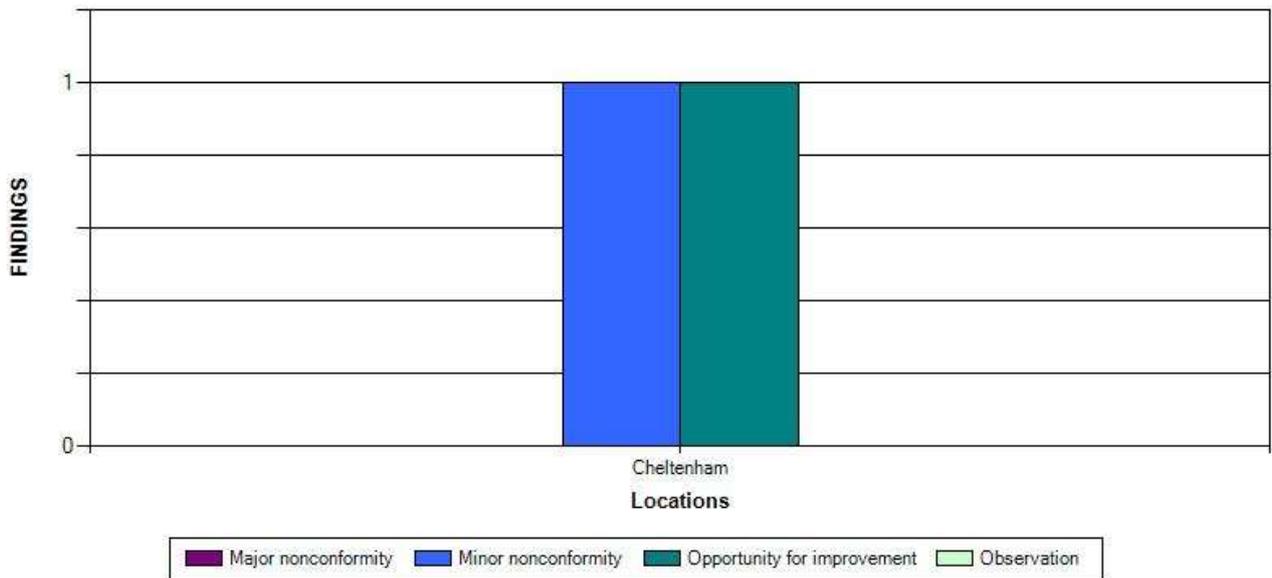
Areas of the standard(s) where BSI recorded findings



Which standard(s) BSI recorded findings against



Where BSI recorded findings



Your next steps

NCR close out process

There were no outstanding nonconformities to review from previous assessments.

A minor nonconformity requiring attention was identified. This, along with other findings, is contained within subsequent sections of the report.

A minor nonconformity relates to a single identified lapse, which in itself would not indicate a breakdown in the management system's ability to effectively control the processes for which it was intended. It is necessary to investigate the underlying cause of any issue to determine corrective action. The proposed action will be reviewed for effective implementation at the next assessment.

Please refer to Assessment Conclusion and Recommendation section for the required submission and the defined timeline.

Assessment objective, scope and criteria

The objective of this visit was to complete the first ISO 9001:2015 continuing assessment at PSU Technology following their successful re-certification audit back in May 2018

The scope of the assessment is the PSU Technology Group documented quality management system with relation to the requirements of ISO 9001:2015 and the assessment plan detailed in the May 2018 visit report.

ISO 9001:2015

PSU Technology Group quality management system documentation - Level 1 - March 2017

Assessment participants

Name	Position	Opening meeting	Closing meeting	Interviewed (processes)
Nigel Davies	Technical Director	X	X	X
Prab Sander	Consultant - Temple	X	X	X
Sean Mackay	Service & Operations Manager			X
Glyn Evans	Head of Telecoms			X
Simon Barlow	Head of Marketing			X
Ollie Foster	Account Manager			X
Lawrence Taylor	Apprentice			X
Ed Hudson	2nd Line Support Engineer			X
Joanne Heseltine	HR Business Partner			X

Assessment conclusion

BSI assessment team

Name	Position
Paul Randle	Team Leader

Assessment conclusion and recommendation

The audit objectives have been achieved and the certificate scope remains appropriate. The audit team concludes based on the results of this audit that the organization does fulfil the standards and audit criteria identified within the audit report and it is deemed that the management system continues to achieve its intended outcomes.

RECOMMENDED - Corrective Action Plan Required ('Minor' findings only): The audited organization may be recommended for continued certification, based upon the acceptance of a satisfactory corrective action plan for all 'Minor' findings as shown in this report. Effective implementation of corrective actions will be reviewed during the next surveillance audit.

You are required identify the cause, and implement corrections and corrective actions required to address all non-conformities before your next BSI assessment relating the certificate against which the non-conformities were raised

Use of certification documents, mark / logo or report

The use of the BSI certification documents and mark / logo is effectively controlled.

Findings from this assessment

QMS Changes & Updates:

A top management discussion which formed part of the opening meeting established that;

- the Director of Service & Operations had left the business;
- there had been a high degree of staff attrition in a relatively short period of time;
- a culture within the service and operations area of the business was driving a high rate of change;
- the high rate of change was bringing some instability to the business which was affecting morale;
- the business owners acted to address this situation before it damaged the business;
- the business has remained profitable throughout this challenging period;
- the business owners have taken an opportunity to review the current structure and resources;
- a Service & Operations Manager has been recruited;
- a thorough business resourcing plan has been developed and is being deployed;

Meanwhile, the high level scope and boundaries of the management system remains unchanged. The high level management system remains at Issue 1 dated March 2017;

The following were also reviewed;

- PSU3 - Internal / External Factors updated early October 2018
- Stakeholder Analysis Version 2

The management team have been seen to react to internal and external issues relevant to the business in a proactive manner and the quality management system remains relevant to the context of the organisation.

Internal Audits:

When assessing these processes, the following were sampled and evaluated;

- Internal Audit Process 11;
- 2018 Internal Audit Schedule;
- Internal Audit - Cheltenham Site Audit - 28/8/18 - Audit Score 29/30 (96%); 1 x OFI raised;
- Internal Audit - Mgt System (Cheltenham) - 5/10 & 23/10 - Score 101/105 (95%); 2 x OFI's + 1 NCR
- Non Conformity Register (Audit NC);

The internal audit schedule was seen to have been delivered as per the plan whilst audit reports which showed the scope and criteria for each audit was determined, were well documented and contained links to objective evidence sampled as part of the audit process.

Audit trails showed the processes involved were effective, aligned with their documented processes and provided the business owners with confidence that processes were completed as planned for the QMS.

Finding Reference	1702013-201811-I1	Certificate Reference	FS 28637
Certificate Standard	ISO 9001:2015	Clause	9.2
Category	Opportunity for Improvement		
Area/process:	Internal Audits		
Details	Process 11 stated non conformities are entered into a non conformity register for action. The process where opportunities for improvement are identified as not clear. This could result in opportunities for improvement not being implemented.		

Customer Complaints & Corrective Action:

When assessing these processes, the following were sampled and evaluated;

- Customer Satisfaction Emails Q/Ref 272 and 278;
- Root Cause Analysis Report 38467 30/1018;

The processes involved were seen to provide containment the issues involved and were effective in identifying root causes and facilitating the implementation of appropriate corrective action including changes to QMS planning to address risks and opportunities where there was need to do so.

The processes involved were effective in supporting the client in mitigating risks and making continual improvements to enhance customer satisfaction.

Progress towards objectives & targets:

When assessing these processes, the following were sampled and evaluated;

- GDPR Compliance
- ConnectWise Implementation;
- Marketing Info Document Control;
- Supplier Management
- Achieve NPS score >96

The review noted that programmes were reviewed in October 2018 where it was reported that;

- ConnectWise implementation has been delayed due to personnel changes;
- Marketing documentation was controlled via a SharePoint site;
- GDPR training has been delivered and the business is compliant with the legislation;
- NPS Score has fallen to 64 however positive actions are being taken to address this issue;

The processes involved were seen to be aligned with the business strategy for growth, achieving customer satisfaction and supported making continual improvements. Subsequent progress shall be reviewed at future assessment visits.

Sales Processes inc Marketing:

When assessing these processes, the following were sampled and evaluated;

- Process 3 Website Control & Creative Brief;
- Process 13 Account Management;
- Quote Reference 31412;
- Opportunity Proposal (AAB527) 10/10/17 Version 1
- Sales Order 30880

The processes involved were suitably structured and allowed customer requirements to be determined and changes managed through version controlling where required, whilst customer focus was maintained through keeping regular contact with customers when refining managed service contract details.

Audit trails generally produced positive results and confirmed that overall processes were effective however an issue was identified associated with technical sign off of proposals.

Service Desk Processes inc Customer Satisfaction:

When assessing these processes, the following were sampled and evaluated;

- Weekly SLA Ticket reports re: 2/11/18; and 9/11/18;
- Customer Monthly Report (HR) October 2018;
- Customer Satisfaction Emails re: Q/Ref's 272 and 278;
- Ticket 39343 P3 Service Request - Project 2016 Installation;
- Ticket 39310 P2 Incident;
- Ticket 38996 P2 Incident - IP Address Block;
- Change Request Authorisation re: 38996;

Good knowledge of the processes, together with business and customer requirements were noted amongst the staff spoken to whilst well structured processes ensured customer SLA requirements were satisfied to support the achievement customer satisfaction.

Resource & Competences :

When assessing these processes, the following were sampled and evaluated;

- Service Desk Skills Matrix
- Sales Skills Matrix
- Entries for LT; OF; and EH;
- Skills Analysis PowerPoint inc Action Plan

Audit trails produced positive results showing the client actively established competence requirements for the various roles within the business, confirmed that personnel satisfied those requirements and embarked on a programme of on going staff development to enhance skills, increase organisational knowledge and subsequently build business resilience.

The processes involved were well planned, aligned with the business strategy, satisfied the requirements of ISO 9001:2015 and therefore were considered to be effective.

Minor (1) nonconformities arising from this assessment.

Finding Reference	1702013-201811-N1	Certificate Reference	FS 28637
Certificate Standard	ISO 9001:2015	Clause	8.2.3.2
Category	Minor		
Area/process:	Sales Processes inc Marketing		
Statement of non-conformance:	The processes for reviewing / approving customer requirements are not fully effective.		
Clause requirements	The organization shall retain documented information, as applicable: a) on the results of the review; b) on any new requirements for the products and services.		
Objective evidence	Quotations are required to have technical and commercial sign off for approval. A review of 31412 re: Account AAB527 showed a commercial review had been completed however the technical review was signed off by the Account Manager who raised the quote.		
Cause			
Correction / containment			
Corrective action			

Next visit objectives, scope and criteria

The objective of the next visit is to complete the second ISO 9001:2015 continuing assessment at PSU Technology as part of their current certification cycle.

The scope of the assessment is the PSU Technology Group documented quality management system with relation to the requirements of ISO 9001:2015 and the assessment plan detailed in this visit report.

ISO 9001:2015

PSU Technology Group quality management system documentation - Level 1 - March 2017

Please note that BSI reserves the right to apply a charge equivalent to the full daily rate for cancellation of the visit by the organization 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.

Next visit plan

Date	Auditor	Time	Area/process	Clause
07/05/2019	Paul Randle	09:00	Opening Meeting inc review previous report and close out NCR.	
		09:30	QMS Changes / Updates / Context of the organisation	
			Management Review	
			Complaints, Corrective Action & Continual Improvements (Process 12)	
			Performance against Objectives	
		11:00	Purchasing Processes	
		12:00	Managed Services / Maintenance	
		13:00	Lunch	
		13:30	Local Depot / Repair Shop / Stores	
		14:00	Training & Knowledge Management	
			Documented information	
		14:45	Report Preparation	
		16:15	Closing Meeting	

Appendix: Your certification structure & ongoing assessment programme

Scope of certification

FS 28637 (ISO 9001:2015)

The Sales and Support of Business Technology solutions provided in the cloud or on premise. Covering IT managed services, telephone systems, unified communications, connectivity, SIP, lines and calls. The management of provisioning and maintenance of hardware and software (including phone systems, handsets, mobiles, servers, workstations, and network equipment). Supporting customers on site and through remote monitoring & management.

Assessed location(s)

The audit has been performed at Central Office.

Cheltenham / FS 28637 (ISO 9001:2015)

Location reference	0009254341-000
Address	PSU Technology Group Limited Unit 1 Manchester Park Tewkesbury Road Cheltenham GL51 9EJ United Kingdom
Visit type	Continuing assessment (surveillance)
Assessment reference	8816174
Assessment dates	12/11/2018
Deviation from audit plan	No
Total number of Employees	47
Effective number of Employees	40
Scope of activities at the site	The Sales and Support of Business Technology solutions provided in the cloud or on premise. Covering IT managed services, telephone systems, unified communications, connectivity, SIP, lines and calls. The management of provisioning and maintenance of hardware and software (including phone systems, handsets, mobiles, servers, workstations, and network equipment). Supporting customers on site and/or through remote monitoring & management.
Assessment duration	1 day(s)

Certification assessment programme

Certificate number - FS 28637

Location reference - 0009254341-000

		Audit1	Audit2	Audit3	Audit4	Audit5	Audit6
Business area/location	Date (mm/yy):	11/18	05/19	11/19	05/20	11/20	05/21
	Duration (days):	1.0	1.0	1.0	1.0	1.0	1.0
QMS Changes / Updates / Context of the organisation		X	X	X	X	X	X
Management Review			X		X		X
Internal Audits (Process 11)		X		X		X	
Complaints, Corrective Action & Continual Improvements (Process 12)		X	X	X	X	X	X
Performance against Objectives		X	X	X	X	X	X
Customer Satisfaction		X				X	
Sales Process (Communication/Product Portfolio) Sales Offering inc Website controls		X		X		X	
Service Transition inc NCSI						X	
Purchasing Processes			X		X		
Service Desk Processes - sample all service lines		X		X		X	
Managed Services / Maintenance			X		X		X
Customer Service Improvement				X		X	
Local Depot / Repair Shop / Stores			X		X		
Training & Knowledge Management		X	X		X	X	
Infrastructure / Resources				X			
Documented information		X	X	X	X	X	X
Top management discussion - leadership & policies							X
Reassessment by Strategic Review							X

Expected outcomes for accredited certification

What accredited certification to ISO 9001 means

ISO 9001:2015 specifies requirements for a quality management system when an organization: needs to demonstrate its ability to consistently provide products and services that meet customer and applicable statutory and regulatory requirements; and aims to enhance customer satisfaction through the effective application of the system, including processes for improvement of the system and the assurance of conformity to customer and applicable statutory and regulatory requirements.

What accredited certification to ISO 9001 does not mean

- 1) It is important to recognize that ISO 9001 defines the requirements for an organization's quality management system, not for its products and services. Accredited certification to ISO 9001 should provide confidence in the organization's ability to "consistently provide product that meets customer and applicable statutory and regulatory requirements". It does not necessarily ensure that the organization will always achieve 100% product conformity, though this should of course be a permanent goal.
- 2) ISO 9001 accredited certification does not imply that the organization is providing a superior product or service, or that the product or service itself is certified as meeting the requirements of an ISO (or any other) standard or specification.

Definitions of findings:

Nonconformity:

Non-fulfilment of a requirement.

Major nonconformity:

Nonconformity that affects the capability of the management system to achieve the intended results. Nonconformities could be classified as major in the following circumstances:

- If there is a significant doubt that effective process control is in place, or that products or services will meet specified requirements;
- A number of minor nonconformities associated with the same requirement or issue could demonstrate a systemic failure and thus constitute a major nonconformity.

Minor nonconformity:

Nonconformity that does not affect the capability of the management system to achieve the intended results.

Opportunity for improvement:

It is a statement of fact made by an assessor during an assessment, and substantiated by objective evidence, referring to a weakness or potential deficiency in a management system which if not improved may lead to nonconformity in the future. We may provide generic information about industrial best practices but no specific solution shall be provided as a part of an opportunity for improvement.

How to contact BSI

'Just for Customers' is the website that we are pleased to offer our clients following successful registration, designed to support you in maximising the benefits of your BSI registration - please go to www.bsigroup.com/j4c to register. When registering for the first time you will need your client reference number and your certificate number (47616750/FS 28637).

Should you wish to speak with BSI in relation to your registration, please contact our Customer Engagement and Planning team:

Customer Services
BSI
Kitemark Court,
Davy Avenue, Knowlhill
Milton Keynes
MK5 8PP

Tel: +44 (0)345 080 9000

Email: MK.Customerservices@bsigroup.com

Notes

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This audit was conducted on-site through document reviews, interviews and observation of activities. The audit method used was based on sampling the organization's activities and it was aimed to evaluate the fulfilment of the audited requirements of the relevant management system standard or other normative document and confirm the conformity and effectiveness of the management system and its continued relevance and applicability for the scope of certification.

As this audit was based on a sample of the organization's activities, the findings reported do not imply to include all issues within the system.

Regulatory compliance

BSI conditions of contract for this visit require that BSI be informed of all relevant regulatory non-compliance or incidents that require notification to any regulatory authority. Acceptance of this report by the client signifies that all such issues have been disclosed as part of the assessment process and agreement that any such non-compliance or incidents occurring after this visit will be notified to the BSI client manager as soon as practical after the event.