

Assessment Report

PSU Technology Group Limited

Assessment dates	16/12/2019 to 16/12/2019 (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

I would personally like to thank all the audit participants for their assistance and co-operation which allowed the audit to run effectively and on schedule.

Throughout the assessment, the organisation was able to provide reliable documentation of how the management system is achieving the intended outcomes and the organisation is continually improving the QMS in order to further optimise the business benefits. During this assessment, there was no non conformities raised demonstrating the maturity of the management system.

The organisation is quite clearly going through a transition period after some organisational changes, however, quality management remains integral to the core operations of the business which has been evidenced throughout the assessment.

Positive highlights were evident with respect to overall focus on improving customer satisfaction and the robust and well-established documented information. I would like to pay particular reference to the commitment of Top Management throughout the assessment visit which was particularly strong.

Overall, a positive demonstration was witnessed in respect to the organisations intent and commitment in implementing, maintaining and continual improvement of the QMS to ensure it remains well established and aligned to their intent and objectives.

Changes in the organization since last assessment

There is no significant change of the organization structure and key personnel involved in the audited management system.

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

There have been no NCRs raised.

Your next steps

NCR close out process

There were no outstanding nonconformities to review from previous assessments.

No new nonconformities were identified during the assessment. Enhanced detail relating to the overall assessment findings is contained within subsequent sections of the report.

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

Assessment objective, scope and criteria

The objective of the assessment was to conduct a surveillance assessment and look for positive evidence to verify that elements of the scope of certification and the requirements of the management standard are effectively addressed by the organization's management system; that the system is demonstrating the ability to support the achievement of statutory, regulatory and contractual requirements and the organization's specified objectives as applicable with regard to the scope of the management standard; to confirm the ongoing achievement and applicability of the forward strategic plan and where applicable to identify potential areas for improvement of the management system.

The scope of the assessment is the documented management system with relation to the requirements of ISO9001:2015 and the defined assessment plan provided in terms of locations and areas of the system and organization to be assessed.

ISO9001:2015

PSU Technology Group Limited management system documentation

Statutory and regulatory requirements

The organisation has established a list of all applicable legal and regulatory requirements. Plans have been put in place to ensure that compliance obligations are achieved and explicitly identified, documented and kept up to date. The client has clearly determined the appropriate requirements and the process is evidenced as being effective. GDPR compliance and relevant legal and regulatory requirements discussed.

Assessment participants

Name	Position	Opening meeting	Closing meeting	Interviewed(processes)
Nigel Davies	Managing Director	X	X	X
Prab Sander	Consultant - Temple	X	X	X
Chris Boyle	Head of Service Operations			X
Glyn Evans	Sales Director			X
Simon Barlow	Head of Marketing			X
Kieron Kiddle	Customer Service and Sales Support Specialist			X

Assessment conclusion

BSI assessment team

Name	Position
Paul Randle	Team Leader
Anthony Voce	Trainee

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 - The audited organization can be recommended for continued certification to the above listed standards, and has been found in general compliance with the audit criteria as stated in the above-mentioned audit plan.

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 / Context of the organisation:

Context of the Organisation PSU 3A Issue Level 1 02/09/2019

SWOT PSU3C Issue 1 02.09.2019

PSU Stakeholder Analysis PSU4 Issue Level 3 20/03/2017

QMS PSU 3A Issue Level 1 02/09/2019

QMS structure on SharePoint

Updates:

- Telecommunications
- Managing Director still has involvement in the QMS
- Service manager has left the organisation
- Business has now stabilised after period of change at the beginning of 2019
- Appointment of Head of Service Operations
- Claranet, re-contracted to a new managed platform
- New Master Service Agreements have been created

Context determined including issues;

- Internal:
 - > Top Management Commitment
 - > Infrastructure
 - > Service catalogue management
 - > Cyber Security Risk
 - > GDPR Compliance
- External
 - > Landlord
 - > Accreditations/Associations
 - > Impacts of Weather
 - > Brexit
- SWOT analysis conducted

Interested Parties include;

- > Owner, Director, Shareholders
- > Local Authorities
- Her Majesty's revenue and customs
- Customers
- Government
- Health and Safety Executive
- External Providers
- Company Staff
- ICO
- Certification body

Interested parties are all documented with needs and expectations with plans to achieve them and owners assigned

Risk and Opportunity

- 5x5 methodology
- Highest inherent risks include;
 - > Training / Recruitment / Induction (Risk level 12)

> Launch of Connect Wise (Risk level 12)

- Risks are accepted on a risk by risk basis, controls in place and residual risk scores included in documentation. Risks are discussed in Management review.

Statutory and regulatory

- Requirements are documented with needs and expectations
- Managing Director is a GDPR Practitioner
- Financial director is responsible for financial regulations
- Registered with the ICO and have regular updates

Audit trails all produced positive results, confirming planned activities were fully realised hence the processes involved were considered to be effective in supporting the business strategy and meeting the requirements of ISO 9001:2015

Internal Audits (Process 11):

Audit Process PSU48

Audit Programme PSU9 Issue 2 04/01/2019

Audit 04/11/2019

- Audit programme documented for certification lifecycle
- Audit program plans to audit all areas of the standard and the organisations own requirements over the certification lifecycle
- In addition higher risk areas are audited more frequently
- Customer satisfaction has been audited 3 times this year
- Audit report for 04/11/2019 observed, no non-conformities raised
- Audit report 19/07/2019 & 08/08/2019 2 OFI's raised

Audit trails all produced positive results, confirming planned activities were fully realised hence the processes involved were considered to be effective in supporting the business strategy and meeting the requirements of ISO 9001:2015

Complaints, Corrective Action & Continual Improvements (Process 12):

Non Conformance and OFI Log PSU16

NC Corrective Process PSU49 Issue Level 3 17/04/2019

- OFI record 17 and 18 observed to be recorded from internal audit reports
- Root cause is documented for any non conformities
- Owners of records assigned
- Proposed completion date and actual completion dates recorded
- Connect Wise hosts the Service Call Questionnaire results, currently all scores observed are 7 or above. No further action is taken

Audit trails all produced positive results, confirming planned activities were fully realised hence the processes involved were considered to be effective in supporting the business strategy and meeting the requirements of ISO 9001:2015

Performance against Objectives:

Objectives and Targets 2019 PSU13 Issue Level 2 (September 2019)
Management Review October 2019
Supplier Evaluation Matrix PSU2 Issue 1 27/06/2018

Current objectives include;

- > To Maintain Sales Revenue based on the previous year
- > To increase staff retention back to previous high levels through training
- > Implement connect wise throughout the business management of change
- > Increase customer satisfaction
- > Control of External providers
- Plans are in place to achieve objectives
- Reviewed each quarter with any findings and actions recorded as an output, a score of 1-5 is also assigned to each objective determining if it is fully achieved
- Responsible person assigned

Audit trails all produced positive results, confirming planned activities were fully realised hence the processes involved were considered to be effective in supporting the business strategy and meeting the requirements of ISO 9001:2015

Sales Process (Communication/Product Portfolio) Sales Offering inc Website controls:

13 Account Sales - PSU44 Version 2 May 19
Process 3 PSU43 - Website Control v2 17/02/2019 - Approval date
Language of leads.pptx
Marketing Creative Brief - Xmas DM 2019
Connect Wise communications manager
Quotation 464
Quotation 34739 - Draft reference 7063
Telco Technical Sign-off Request Procedure
IT Technical Sign-Off Request Procedure

Sales Offering inc Website controls

- Google Analytics used to drive website traffic
- Email alert from the CRM including any client details
- Mautic used for engagement with customer
- SharePoint used to store documentation
- 2019 - Christmas DM - Documents inputs required including audience, proposition and benefit
- Approval email observed for content 12/11/19
- Connect Wise tracking for performance evaluation of project
- Planner used to keep track of ideas and projects

Sales Process (Communication/Product Portfolio)

- SAP CRM currently in place, the organisation is looking to move to ConnectWise
- Mautic used to track interactions from the customers
- Sales activity recorded in Connect Wise
- If new customer financial checks are conducted
- Technical Approval
- Commercial sign off
- MSA sent with quote and signed by the customer

Audit trails all produced positive results, confirming planned activities were fully realised hence the processes involved were considered to be effective in supporting the business strategy and meeting the requirements of ISO 9001:2015

Service Desk Processes - sample all service lines:

Ticket ref 33579

Change Management Process

PSU 06 Operational Control v3 19/06/2017

- Service Desk comprising of;
 - > Customer Service team (provisioning)
 - > 1st Line
 - > 2nd Line (including NOC)
 - > 3rd Line (also implementing projects)
- ITSM tool is Connect Wise
- Brightgage tool used to display metrics throughout the office including open incidents, response times and alerts
- Tickets Prioritised into 0-5, with 5 being a service request
- SLA's are assigned to response times;
 - > 0 - 15 mins
 - > 1 - 30 mins
 - > 2 - 1 hour
 - > 3 - 2 Hours
 - > 4 - 4 hours
 - > 5 - No SLA (service request)
- Tickets observed to follow the organisations processes including change requests
- Changes are approved using a digital CAB requiring change details, risk, impact, implementation plan, success criteria and back out plan. Technical approval required by 3rd line and user acceptance. Changes can only be requested by customers on the approved list within Connect Wise
- SharePoint stores a list of all changes with Microsoft Forms and Flow used to create the questionnaire and workflows

Audit trails all produced positive results, confirming planned activities were fully realised hence the processes involved were considered to be effective in supporting the business strategy and meeting the requirements of ISO 9001:2015

Customer Service Improvement:

Service Improvement Plan - DCC v1 10/10/2019

Direct Commercial - Monthly Service Report 01/12/19

Patch Status Report - 01/12/2019

- Monthly Service reviews are conducted
- Service improvement plan from the meeting with DCC reviewed, improvements identified include;
 - > Change Management
 - > Ticket Management
 - > Infrastructure review

> Infrastructure reporting

- Actions from the review meetings were observed to have been completed or in progress
- Reporting has now started to be produced as an output of service reviews
- The NPS score has been observed to increase over time with an upward trend since the beginning of the year

Audit trails all produced positive results, confirming planned activities were fully realised hence the processes involved were considered to be effective in supporting the business strategy and meeting the requirements of ISO 9001:2015

Documented information:

PSU 06 Operational Control v3 19/06/2017
13 Account Sales - PSU44 Version 2 May 19
Process 3 PSU43 - Website Control v2 17/02/2019 - Approval date
Objectives and Targets 2019 PSU13 Issue Level 2 (September 2019)
Management Review October 2019
Supplier Evaluation Matrix PSU2 Issue 1 27/06/2018
Audit Process PSU48
Audit Programme PSU9 Issue 2 04/01/2019

- Documentation was reviewed throughout this audit with all documented information observed controlled, classified and handled appropriately.

Audit trails all produced positive results, confirming planned activities were fully realised hence the processes involved were considered to be effective in supporting the business strategy and meeting the requirements of ISO 9001:2015

Next visit objectives, scope and criteria

The objective of the assessment is to conduct a surveillance assessment and look for positive evidence to verify that elements of the scope of certification and the requirements of the management standard are effectively addressed by the organization's management system; that the system is demonstrating the ability to support the achievement of statutory, regulatory and contractual requirements and the organization's specified objectives as applicable with regard to the scope of the management standard; to confirm the ongoing achievement and applicability of the forward strategic plan.

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ISO9001:2015

PSU Technology Group Limited management system documentation

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
05/05/2019	P. Randle	09:00	Opening Meeting	
		09:15	QMS Changes / Updates / Context of the organisation	
		09:45	Management Review	
			Complaints, Corrective Action & Continual Improvements (Process 12)	
			Performance against Objectives	
		11:00	Purchasing Processes	
		11:30	Managed Services / Maintenance	
		13:00	Lunch	
		13:30	Training & Knowledge Management	
			Infrastructure / Resources	
		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	9660747
Assessment dates	16/12/2019
Deviation from audit plan	No
Total number of Employees	40
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
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.