# Assessment Report

# PSU Technology Group Limited

| | |
|---|---|
| Assessment dates | 05/05/2020 to 05/05/2020 (Please refer to Appendix for details) |
| Assessment Location(s) | Cheltenham (000) |
| Report author | Paul Randle |
| Assessment Standard(s) | ISO 9001:2015 |

making excellence

# Table of contents

making excellenc

# Executive summary

This assessment has been delivered remotely using Information and Communication Technologies comprising of Microsoft Teams and telephony. The planned audit objectives have been achieved and there were no connectivity issues which affected the audit.

The willingness of the client to engage in remote assessment to facilitate this visit has been noted and is much appreciated.

During the assessment visit, the PSU management system has been seen to continue supporting the business strategy for growth and increasing customer satisfaction with risk management activities being well managed underpinning actions taken in response to COVID-19 which have allowed the business to continue operating throughout the lockdown period with minimal furloughing and reduced hours works which is seen to be a true reflection of the resilience of the business and its management team.

Information viewed as part of this assessment visit has shown how the client made good progress towards their 2019 objectives and have set plans in place to build on these successes in 2020.

The overall conclusion from this visit is that the management system continues to meet its intended outcomes. No non conformities were raised at this assessment and enhanced detail is contained within the main body of this visit report.

Well done to everyone involved today.

# 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:
Organisation Chart PSU10 updated re:
- Board of Directors
- Service Operations
- Sales & Marketing
- Finance Management
- Management Report
All updated in April 2020. Business continue to work with Temple QMS

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.

making excellence

# 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 this visit has been to complete a scheduled ISO 9001:2015 continuing assessment as part of the PSU certification cycle for FS 28637.

The scope of the assessment is the PSU documented quality management system with relation to the requirements of ISO 9001:2015 and the assessment plan detailed within the December 2019 visit report.

ISO 9001:2015
PSU Technology Group quality management system documentation

# Statutory and regulatory requirements

Not assessed at this assessment visit.

making excellence

## Assessment participants

| Name | Position | Opening meeting | Closing meeting | Interviewed(processes) |
|---|---|---|---|---|
| Nigel Davies | Managing Director | X | X | X |
| Bob Hughes | Management Consultant | X | X | X |
| Troy Brooks | Director of Finance | | | X |
| Chris Boyle | Head of Service Operations | | | X |
| Jo 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 - 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.

making excellenc

# Findings from this assessment

## QMS Changes & Updates:

At the opening meeting it was confirmed that since the last assessment visit;

- there have been no major changes business processes or quality management procedures;
- the scope and boundaries of the management system remains unchanged

As part of the opening meeting, a general business discussion was held with the Managing Director which covered the following topics but was not limited to;

- the 1st anniversary since a change in the ownership of the business;
- actions taken in response to COVID-19, furloughing of staff and reduced working hours;
- engaging with customers to support them in their difficult times;
- remote working, social distancing, and continued remote working post lockdown;
- organisation changes and the introduction of a Sales Support Manager;
- Audicodes session boarder controller development and Microsoft Teams telephony integration;

The following documents were also reviewed;

- Context of the Organisation PSU 3A Issue Level 1 22/04/2020
- Line 48 - Bridging software of ConnectWise - internal issue - Score = 12
- Line 49 - Refocusing of telephony portfolio - opportunity - Score = 9
- Line 50 - Working from home added - internal issue - medium risk - Score = 9 (Amber)
- Line 21 - COVID-19 issue - external issue - high risk -Score = 16 (Red)

The management team were seen to have structured processes for the identification, evaluation and mitigation of risks that were relevant to business and supported their resilience and drive for innovation.

The processes involved provided a sound foundation for the quality management system enabling continual improvements to be made.

Overall, the processes involved were aligned with the PSU Technology Group quality management system, the requirements of ISO 9001:2015, and were supportive of quality policy commitments and the business strategy that is linked to business growth in increasing customer satisfaction.

making excellenc

## Management Review including Objectives & Targets:

When assessing these processes the following were sampled and evaluated;

- Management Review Meeting Presentation / Minutes October 2019;
- Objectives & Targets 2019;
- Objectives & Targets 2020 - PSU 13 Level 2 - Review Jan 2020;

Audit trails demonstrated how the management review process engaged the leadership team and contained all the inputs and outputs required by the standard thus provided a mechanism for an objective review of the effectiveness of the management system.

Objectives and targets were associated with;

- Increasing sales revenues;
- Staff retention;
- ConnetWise implementation;
- Increasing customer satisfaction / NPS scores;
- Improving change management processes;
- Controlling external suppliers;

The specific details of achieves and the targets to be achieved are set by the management team with plans for their achievement being structured so as to link objectives to the quality policy and the benefits they shall bring. The plans were aligned with the requirements of the standard whilst management review data showed good progress had been made in 2019 with 2020 targets building upon the successes achieved in the past year.

Overall, the processes involved were aligned with the PSU Technology Group quality management system, the requirements of ISO 9001:2015, and were supportive of quality policy commitments and the business strategy that is linked to business growth in increasing customer satisfaction.

## Complaints, Non Conformities & Corrective Action:

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

- PSU16 Non Conformance Log;
- NC17 Internal Audit Finding 20/01/2020;

The records viewed showed non conformities were at very low levels with there being no open non conformities. The processes involved were seen to provide containment for the issues involved, were effective in identifying root causes and facilitating the implementation of appropriate corrective action. Furthermore processes also extended to a review of those actions taken to ensure effectiveness.

Overall, the processes involved were aligned with the PSU Technology Group quality management system, the requirements of ISO 9001:2015, and were supportive of quality policy commitments and the business strategy that is linked to business growth in increasing customer satisfaction.

making excellence

## Purchasing Processes:

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

- Purchasing Process F4A;
- Purchase Order 36975;
- Sales / Quote 35155;
- Purchase Order 36975 Authorisation Email 15/04/2020;
- Supplier Evaluation Report - July 2019.

Audit trails produced positive results and demonstrated how the processes involved linked with sales and provisioning whilst the SAP platform provided a visualisation of the process where progress can be traced and provide evidence that each step of the defined process has been completed.

Overall, the processes involved enabled the client to manage the risks that their supply chains present to the business hence were aligned with the PSU Technology Group quality management system, the requirements of ISO 9001:2015, and were supportive of quality policy commitments and the business strategy that is linked to business growth in increasing customer satisfaction.

## Managed Services Processes:

An overview of Managed Services processes were given which covered the customer type best suited to managed services, and the types of service offered including the use of N-able Monitoring Software, the Bright Gauge Dashboard, the Master Service Agreement, Service Descriptions, and the potential to enhance routines within the Managed Services environmental through integration with ConnectWise.

To test the effectiveness of the processes involved, data for the following clients was reviewed;

- A******d;
- S*****n T****l;
- R*P;

The N-able Software provided a mechanism for monitoring tasks and capturing their completion whilst the Bright Gauge dashboard captured and analysed data to provide evidence of how effective these processes were and where events occur, how the issues are addressed within defined timescales.

Furthermore, the personnel involved displayed a good level of awareness of the management system, and organisational knowledge required to support customers.

Overall, the processes involved were aligned with the PSU Technology Group quality management system, the requirements of ISO 9001:2015, and were supportive of quality policy commitments and the business strategy that is linked to business growth in increasing customer satisfaction.

making excellenc

## Training & Knowledge Management :

An overview of the processes involved were given the by HR Business Partner and included how these processes supported the appraisal process, the quarterly 1-2-1 discussions and the development of 12/24/36 month career pathways.

To test the effectiveness of these processes, the following were sampled and evaluated;

- AM 1st Line IT Engineer - Onboarding records 30/9/19;
- AM 3 Month Review 9/12/19;
- AM 6 Month Review 9/3/20;

The reviews were seen to capture the performance of new personnel in the business and provides a mechanism for setting tangible achievement objectives and development plans that ensure skills and business knowledge is maintained.

Overall, the processes involved were seen to be comprehensive, aligned with the PSU Technology Group quality management system, the requirements of ISO 9001:2015, and were supportive of quality policy commitments and the business strategy that is linked to business growth in increasing customer satisfaction.

## Infrastructure & Resources:

An overview of the processes for establishing the IT infrastructure and resources for the business were given by the Managing Director and to test the processes involved, the following were sampled and evaluated;

- Servers Estate Map;
- Risk Management Plan Feb 2020 - Issue 3;

Audit trails showed how the management team had robust processes for the identification of risk within the business which underpin the mechanisms for establishing and maintaining the infrastructure and work environment within the business so to facilitate delivery service to their customer base.

During this review it was revealed that the business had implemented social distancing via remote working prior to the government lockdown announcement, and post the announcement, the remaining staff were mobilised and phonelines transferred allowing the business to continue operating with minimal furloughing of staff.

Overall, the processes involved were aligned with the PSU Technology Group quality management system, the requirements of ISO 9001:2015, and were supportive of quality policy commitments and the business strategy that is linked to business growth in increasing customer satisfaction.

making excellenc

# Next visit objectives, scope and criteria

The objective for the next visit will be to complete a further scheduled ISO 9001:2015 continuing assessment as part of the PSU certification cycle for FS 28637.

The scope for the next assessment will be the PSU documented quality management system with relation to the requirements of ISO 9001:2015 and the assessment plan detailed within this visit report.

ISO 9001:2015
PSU Technology Group quality 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 |
|------|---------|------|--------------|--------|
| 08/12/2020 | Paul Randle | 09:00 | Opening Meeting | |
| | | 09:15 | QMS Changes / Updates / Context of the organisation | |
| | | | Internal Audits (Process 11) | |
| | | | Complaints, Corrective Action & Continual Improvements (Process 12) | |
| | | 10:30 | Performance against Objectives | |
| | | 11:00 | Sales Process (Communication/Product Portfolio) Sales Offering inc Website controls | |
| | | | Customer Service Improvement | |
| | | | Customer Satisfaction | |
| | | 13:00 | Lunch | |
| | | 13:30 | Local Depot / Repair Shop / Stores | |
| | | | Documented information | |
| | | 14:45 | Report Preparation | |
| | | 16:15 | Closing Meeting | |

making excellenc

# 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<br>Unit 1<br>Manchester Park<br>Tewkesbury Road<br>Cheltenham<br>GL51 9EJ<br>United Kingdom |
| **Visit type** | Continuing assessment (surveillance) |
| **Assessment reference** | 9760090 |
| **Assessment dates** | 05/05/2020 |
| **Audit plan (revision date)** | 22/04/2020 |
| **Deviation from audit plan** | Yes |
| **Reason for deviation from audit plan** | Plan updated to accommodate remote assessment. |
| **Total number of Employees** | 41 |
| **Effective number of Employees** | 41 |
| **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) |

making excellenc

# bsi.

## Certification assessment programme

**Certificate number - FS 28637**
**Location reference - 0009254341-000**

| Business area/location | | Audit1 | Audit2 | Audit3 | Audit4 | Audit5 | Audit6 |
|---|---|---|---|---|---|---|---|
| | **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 | | | |
| Managed Services / Maintenance | | | X | | X | | X |
| Customer Service Improvement | | | | X | | X | |
| Local Depot / Repair Shop / Stores | | | X | | | X | |
| Training & Knowledge Management | | X | X | | X | | |
| Infrastructure / Resources | | | | | X | | |
| Documented information | | X | X | X | | X | X |
| Top management discussion - leadership & policies | | | | | | | X |
| Reassessment by Strategic Review | | | | | | | X |

making excellenc

## 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.

making excellenc

## 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 certification, please contact your local BSI office – contact details available from the BSI website:

https://www.bsigroup.com/en-GB/UK-office-locations/

## Notes

*This report and related documents are prepared for and only for BSI's client and for no other purpose. As such, BSI does not accept or assume any responsibility (legal or otherwise) or accept any liability for or in connection with any other purpose for which the Report may be used, or to any other person to whom the Report is shown or in to whose hands it may come, and no other persons shall be entitled to rely on the Report. If you wish to distribute copies of this report external to your organization, then all pages must be included.*

*BSI, its staff and agents shall keep confidential all information relating to your organization and shall not disclose any such information to any third party, except that in the public domain or required by law or relevant accreditation bodies.  BSI staff, agents and accreditation bodies have signed individual confidentiality undertakings and will only receive confidential information on a 'need to know' basis.*

*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.*

making excellenc