Assessment Report

PSU Technology Group Limited

Assessment dates	11/05/2018 to 11/05/2018 (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

We are pleased to make a positive recommendation for ISO 9001:2015 re-certification and confirm your continued registration. This recommendation is subject to review independently within BSI's Compliance & Risk Team prior to the re-issue of your registration certificate.

Throughout this assessment visit, the management system has been seen to be developed to support the business and their strategy for growth achieved by understanding the internal and external challenges affecting the business to develop robust processes for the delivery of a broad range of service lines as a customer orientated technology company.

At this assessment, it was shown that the business has created a management team with sufficient resource and infrastructure to deliver the business strategy for growth via their managmenet systems with that team already generating recurring revenues amongst its customer base whilst achieving CSAT scores of 78% with a clear vision to drive this beyond 80% and achieve increasing revenue targets.

When completing this assessment, the management system was seen to be aligned with the requirements of ISO 9001:2015 whilst business processes were controlled and well managed in each instance. Evidence gathered as part of this visit showed the management team are making good progress towards their objectives and targets with a commitment to make further continual improvements. Overall, the conclusion reached from this visit is that the management system is meeting its intended outcomes.

Special thanks to Nigel and Dan for time spent today completing a top management discussion as part of the strategic review process.

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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:

Directors / owners of the business have appointed a senior team which consists of 4 members who deliver the business strategy for the directors who are moving away from operational roles within the business and towards a more strategy and leadership role as part of their sucession plans.

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
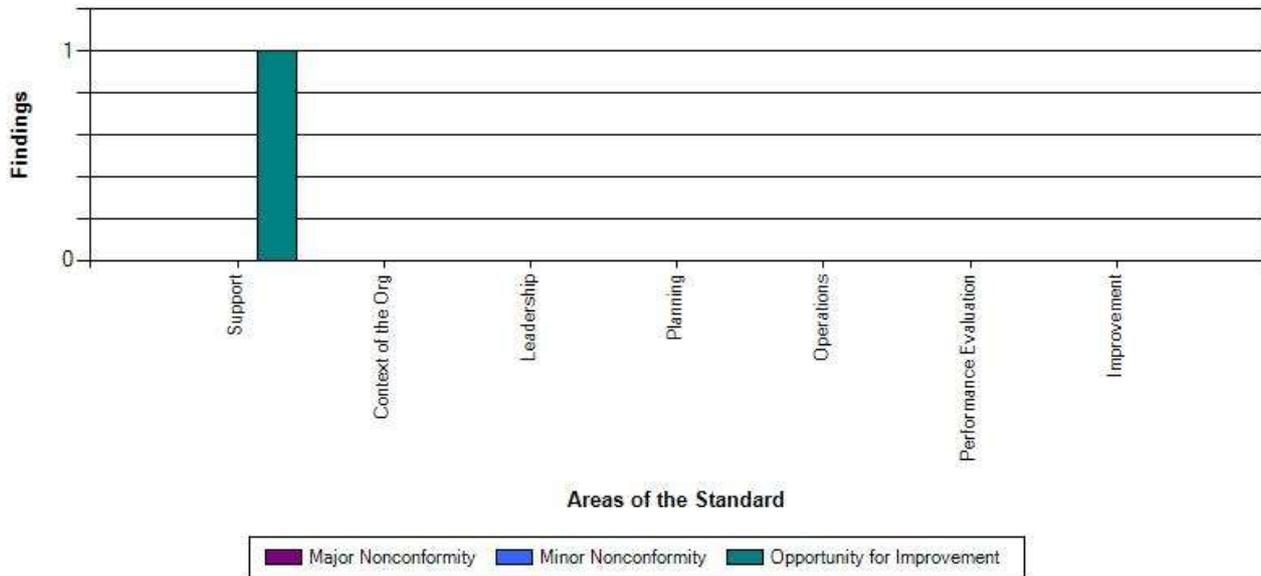
Which standard(s) BSI recorded findings against

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Where BSI recorded findings

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Your next steps

NCR close out process
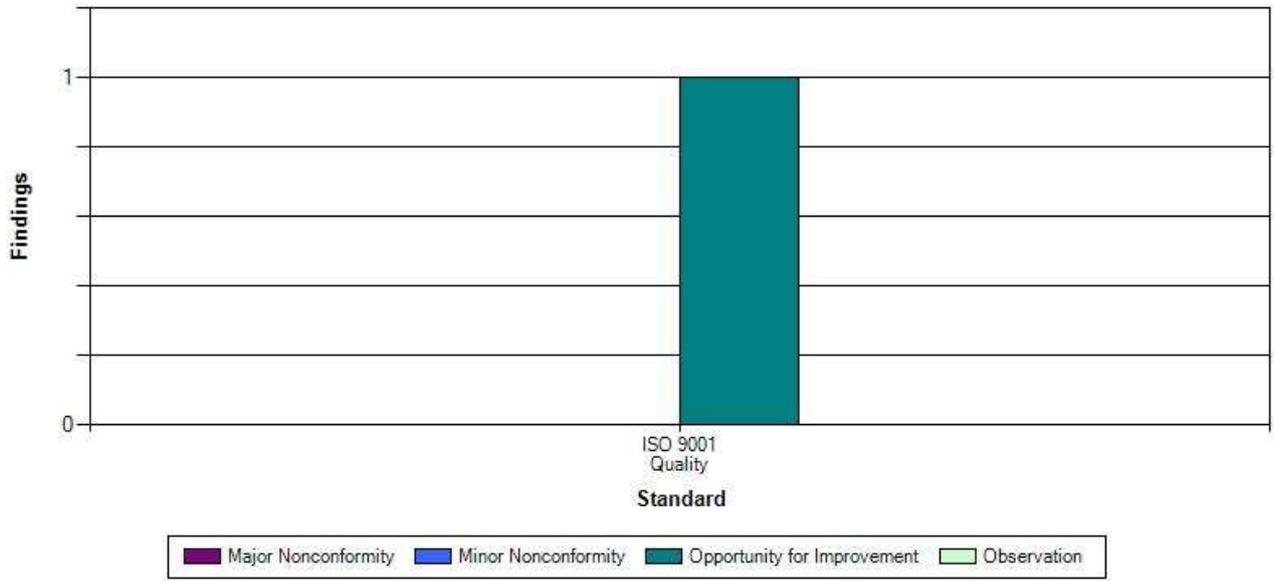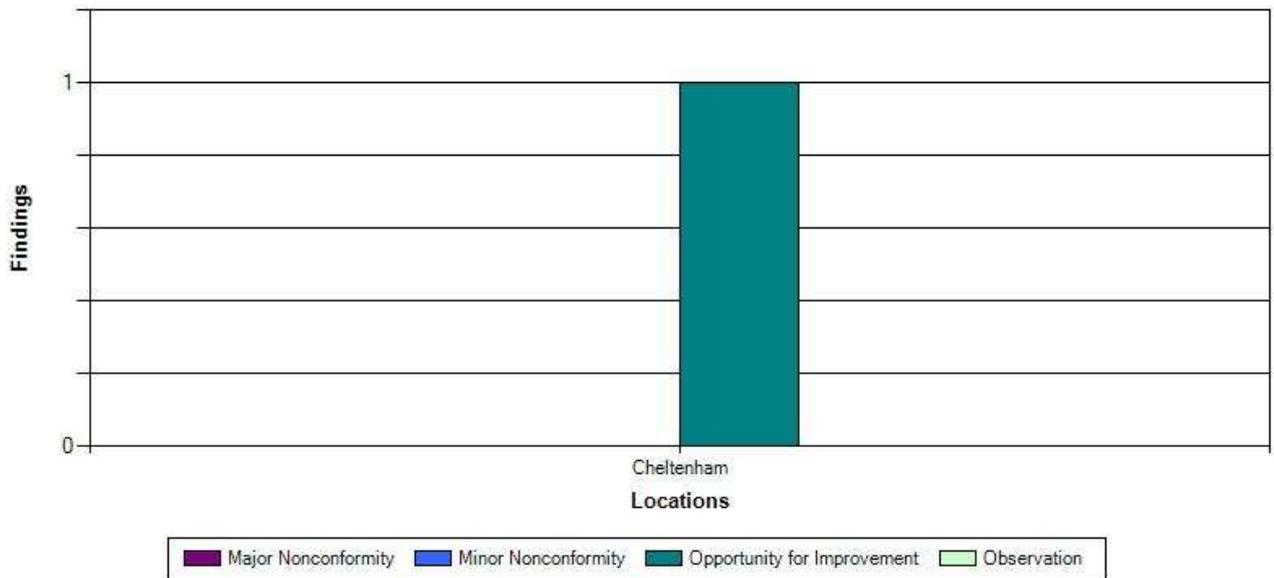
There were no outstanding nonconformities to review from previous assessments.

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 ascertain the integrity of PSU's quality management system over the current assessment cycle to enable recertification and confirm the forward strategic assessment planning.

The scope of the assessment is the documented PSU quality management system with relation to the requirements of ISO 9001:2015 and the defined assessment plan detailed in the November 2017 visit report.

ISO 9001:2015
PSU quality management system documentation - System Directive Level 1 (March 2017);

Assessment participants

Name	Position	Opening meeting	Closing meeting	Interviewed (processes)
Nigel Davies	Technical Director	X	X	X
Dan Bridges	Director of Service & Operations	X	X	X
Prab Gill	Consultant - Temple	X	X	X

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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 recertification 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.

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Findings from this assessment

QMS Changes & Updates:

There have been no major changes to the PSU business since the last assessment visit, with its context and core business processes remaining unchanged.

There has however been some changes concerning top management with the Directors / Owners of the business appointing a senior management team of 4 to deliver the business strategy as part of succession plans. These plans have been updated in Organisational Chart re: November 2018.

Furthermore, in preparation for the introduction of GDPR, the Technical Director has completed GDPR Practitioner Training as a foundation for implementing business policies and procedures to meet its requirements.

Meanwhile, the PSU Quality Management System re: System Directive Level 1 remains unchanged at its March 2017 edition, whilst the scope of the management system also remains unchanged and boundaries remain as per the operations at the Cheltenham and Camberley.

Context of the organisation:

When reviewing the context of the organisation, the following were sampled and evaluated;

- PSU3 - Internal / External factors to the business
- PSU4 Stakeholder Analysis - December 2017 - Issue 2

The last update of PSU3 dated May 2018 included the additional of Items 39-40 to reflect the introduction of GDPR, i.e. medium risk, and the implementation of ConnectWise, which potentially impacts the whole business is rated as high risk.

Mitigation for both additional risks have been established. Needs and expectations of interested parties as detailed within PSU4 remains essentially unchanged.

Finding Reference	1628603-201805-I1	Certificate Reference	FS 28637
Certificate Standard	ISO 9001:2015	Clause	7.5.2
Category	Opportunity for Improvement		
Area/process:	Context of the organisation		
Details	Whilst PSU3 was version controlled, it was unclear which items were added at each review.		

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Management Review:

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

- Quarterly Management Review Meeting Minutes - 5th March 2018

The processes involved provided a detailed dialogue for the the management team and provided a clear and objective review of the effectiveness of their management system, facilitated future planning to ensure they continue to meet the needs of their customer, other interested parties and they continue making improvements.

The conclusion reached from the review was that the management system was effective and did not require any changes. A subsequent management review is now due.

Internal Audits:

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

- 2018 Internal Audit Schedule;
- March 2018 - Cheltenham - Audit Score 29/30 - 1 x OFI - Workshop tidiness;
- April 2018 - Cheltenham - Audit Score 29/30 - 1 x OFI - Competence records;
- May 2018 - Cheltenham & Camberley - Audit Score 38/40 - 1 x OFI raised;

Internal audits were planned to address all areas of the business as well as all clauses within the standard by being structured around the clients 13 core processes.

The schedule was being delivered as per the plan, audit reports were well documented, showed detailed levels of sampling of the activities involved and demonstrated how the scope and criteria for each audit was identified. Where observations or non conformities were identified, appropriate action was taken in each instance.

The processes were effective in providing the management system with objective evidence that processes were completed as per their planned arrangements.

Non Conformities & Corrective Action:

The business enjoys low levels of customer complaints and internal audit non conformities. When assessing these processes, the following was sampled;

- CAPA1 - Internal Audit Non Conformity - External Audit Provider Records;

The processes involved were seen to be well structured, provided containment for the issue and were effective in identifying root causes and facilitating the implementation of appropriate corrective action. Processes extended to a consideration of the potential for other non conformities as well as a review of the effectiveness of those actions taken and linked to updating the quality management system, specifically processes around planning where there is a need to do so. The processes involved were effective in supporting the client in making continual improvements.

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Objectives & Targets:

Objectives and targets for the management team are established annually by the management team and reflect their recognition of the ITIL framework when delivering services for their customers.

2017 objectives which have been achieved were associated with;

- SAP / TX Implementation;
- Completion of ISO 9001:2015 Transition;
- Service Catalogue Management implementation;
- Complete transition into Service management;

There was a close correlation between the SWOT analyses, the stakeholder analyses and the objectives and targets set by the team. Through a highly structured review of the business, its operations, and engaging with their key customers, 2018 objectives have been established as;

- Be GDPR Compliant;
- ConnectWise Implementation;
- Document control of marketing information
- Facilitate Supplier Management
- Enhancement of NPS Score to 80

The management team have previously monitored, open / closed tickets and customer feedback however have recognised that their current infrastructure could be improved to give better management information allowing performance to be measured in terms of dashboard metrics / KPI's and operational / personal KPI's hence this has driven the initiative to identify ConnectWise implementation as essential for the business. This is rated as a high risk issue for the business as it will impact all business processes.

All of the objectives identified for 2018 are detailed in a management action plan which highlights target dates, programme information, responsibilities and review dates. Subsequent progress shall be assessed at future assessment visits.

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Next visit objectives, scope and criteria

The objective of the next assessment visit is to complete the first continuing assessment visit of the clients latest ISO 9001:2015 certification cycle.

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

ISO 9001:2015
PSU quality management system documentation - System Directive 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.

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Next visit plan

Date	Auditor	Time	Area/process	Clause
12/11/2018	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)	
			Performance against Objectives	
		10:30	Sales Process (Communication/Product Portfolio) Sales Offering inc Website controls	
			Customer Satisfaction	
		11:30	Service Desk Processes - sample all service lines	
		13:00	Lunch	
		13:30	Training & Knowledge Management	
			Documented information	
		14:45	Report Preparation	
		16:15	Closing Meeting	

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Appendix: Your certification structure & on-going 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 services involve the provision 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.

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	Re-certification Audit (SR Opt 1)
Assessment reference	8719178
Assessment dates	11/05/2018
Deviation from audit plan	No
Total number of Employees	39
Effective number of Employees	35
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 services involve the provision 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)

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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		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

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Mandatory requirements – recertification

The Recertification Review Pack has been reviewed prior to the assessment by the Client Manager.
All requirements of the standard have been implemented.
The entirety of scope / processes has been assessed during the current review period.
The certificate structure and location activities have been reviewed.

Based on the recertification process, the management system continues to demonstrate the ability to support the achievement of statutory, regulatory and contractual requirements.

Complaints received by BSI
There have been no complaints received by BSI during the certification period.

Strategic review pack summary
This review covers the period since the clients last Strategic Review visit back in late June 2015 and was completed with reference to the certification pack for Certificate FS 28637 which was reviewed in detail by the client manager prior to the assessment visit.

During the last certification cycle, a total of 6 assessment visits were planned and delivered at the clients HQ as per their defined schedule. As part of this schedule, two transition assessments, each comprising of 0.5 days each were also delivered resulting in the client successfully completing ISO 9001:2015 transition in late November 2017.

As part of the past certification cycle, a one day assessment was delivered at the clients Camberley Depot in May 2016 as per the schedule and a half day assessment was delivered at their Lancaster site however that
part of the business has since been sold and no longer is detailed on Certificate FS 28637.

During the review period, the management system was seen to be very well managed with no non conformities being identified at any assessments at any of the locations visits, hence there are no perceived areas for concern or areas of weakness within the management system. Continual improvement forms part of the culture within PSU and due consideration has been given to the observations and opportunities for improvement identified at past assessment visits, and these have been implemeneted where they would yield benefits for the PSU team and business.

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Progress in relation to management system objectives.

Objectives and targets for the management team are established annually by the management team and reflect the teams recognition of the ITIL framework when delivering services for their customers. Action plans are implemented as part of the clients business as usual activities by the senior team who take a hands on role in operating the business.

2017 objectives which have been achieved were associated with the revised scope of registration developed as part of the ISO 9001:2015 transition. Objectives / targets were identified as;

- SAP / TX Implementation;
- Completion of ISO 9001:2015 Transition;
- Service Catalogue Management implementation;
- Complete transition into Service management;

There was a close correlation between the SWOT analyses, the stakeholder analyses and the objectives and targets set by the team. Through a highly structured review of the business, its operations, and engaging with their key customers, 2018 objectives have been established as;

- Be GDPR Compliant;
- ConnectWise Implementation;
- Document control of marketing information
- Facilitate Supplier Management
- Enhancement of NPS Score to 80

The management team have previously monitored, open / closed tickets and customer feedback however have recognised that their current infrastructure could be improved to give better management information allowing performance to be measured in terms of dashboard metrics / KPI's and operational / personal KPI's and this has driven the initiative to identify the ConnectWise implementation as essential for the business. This is rated as a high risk issue for the business as it will impact all business processes.

All of the objectives identified for 2018 are detailed in a management action plan which highlights target dates, programme information, responsibilities and review dates. Subsequent progress shall be assessed at future assessment visits.

Leadership, commitment and strategy

A top management discussion was held with the Technical Director who is an owner of the business and the Director of Service & Operations to gauge the commitment to provide leadership for the quality management system, to implement and maintain the management system and develop a continual improvement culture within the organisation. The topics discussed included but were not limited to;

- the business strategy for growth and their 5 year business plan;
- investment, managed services growth, Mitel contracts, and mobile expansion elements of the plan;
- first call resolution performance and true fcr performance;
- the analysis of the current business, the problems statement, and 8 core projects to drive improvement;
- managing the customer base of 500 live customers;
- identifying multi-sited / SME customers suited to their managed service offering;
- service catalogue offerings;
- SDM and SDS (Service Delivery Specialist) resources;

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Throughout the discussion it was evident that there was a detailed understanding of the business performance, its potential and the manner in which the team drive a culture of improvement and identigy themselves as a customer orientated technology company. The commitment to provide leadership for the quality management system, to implement and maintain the management system and develop a continual improvement culture within the organisation was confirmed.

Effectiveness of the Management System

The clients quality management system processes have interacted in a sufficiently effective manner such that there have been no non conformities raised at any of the visits at any of the clients locations. Furthermore, quality management system processes have supported the client in making good progress towards their objectives and targets, particularly in terms of generating recurring business revenues and increasing the business CSAT / net promoter score which is currently at 78% with a clear vision to drive this to beyond 80%.

Since completing ISO 9001:2015 transition, the management team are working towards closer alignment between their processes and the management system however no major changes to the business anticipated that would significantly impact upon the effectiveness of the quality management system.

Impartiality review

The Local Client Manager has completed all visits in the last 3 year cycle. An alternative client manager is required to complete an assessment visit in the next 3 year cycle before the next strategic review assessment for impartiality and objectivity to be maintained. This shall be managed by the local Client Manager when booking subsequent assessment visits.

Continue with the current total assessment days/cycle.

Justified exclusions / non applicable clauses

There are no justified exclusions / non applicable clauses of the standard for certificate : FS 28637

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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.

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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

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.

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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.

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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.

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