

Management System Certification
Assessment Report for

Thomson Engineering Design Limited

Valley Road
Cinderford
GL14 2NZ

Scope	Engineering design consultancy. Compilation of technical construction files and prototype manufacture
Job No.	00792 / 24621
Audit Team Leader	Paul Attrell
Audit Team Members	-
Audit Date(s)	12 October 2016
Type of visit	Surveillance #1
Standard(s)	ISO 9001:2008
Sites audited	HO only

This report was presented to and accepted by:

Client Mgt Rep. Name	Dan Barnard
Position	General Manager
Date	12 Oct 16

Prepared by: B Garge	Reviewed by: T Kuchukova	Authorised by: P Ward	Document ID: QA003F004	Date: 05.07.16	Revision: 7
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AUDIT CONCLUSIONS

The audit team conducted a process-based audit, focusing on significant aspects, risks and objectives required by the standards. The audit methods used were interviews, observation of activities, and review of documentation and records.

The audit language was English. The audit evidence collected was based on a sample of information; thereby the findings do not preclude other existing non conformities.

The structure of the audit was in accordance with the audit plan and the 3 year audit matrix that are part of this summary report. Audit objectives as defined in the Audit Plan were fulfilled. Scope of certification was confirmed as appropriate.

Number of Non-Conformities identified:

Major	0
Minor	0
Observations	0

Based on the results of this assessment and the systems' demonstrated state of development and maturity, the audit team recommended that certification should be:

- Granted Maintained Extended Suspended Withdrawn

SIGNIFICANT CHANGES

Scope: n/a
Staff numbers: n/a
IMS integration/audit time required: n/a
Other Changes: The company intend to transition to 9001:2015 during the next Recert in 2018
Proposed date of next audit*: Mar 2017 - TBC

* Next audit date should be no earlier than 2 months before and no later than the due date
* Recertification Visit date should be at least 1 month prior to expiry of the certificate to allow for NC closure

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PREVIOUS AUDIT(S) RESULTS

The results of the last audit of this system have been reviewed, observations made were addressed:

- All nonconformities identified during the previous audit have been corrected and the corrective actions continue to be effective. (Evidence of verification made to be shown in the Audit Trails section)
- The management system has not adequately addressed all nonconformities identified during the previous audit and the specific issues have been redefined in the nonconformity section of this report.
- There were no non-conformities raised during the previous audit.

AUDIT FINDINGS

The management system documentation demonstrated conformity with the requirements of the audit standard(s) and provided sufficient structure to support the implementation and maintenance of the management system and expected outcomes.	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	
The organisation has demonstrated effective implementation of its management system, including links between normative requirements, legal requirements, policies, objectives, responsibilities and competencies, operational control, performance data and internal audit findings	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	
The organisation has demonstrated the establishment and tracking of appropriate key performance objectives and targets and monitored progress towards their achievement aimed at continual improvement	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	
The internal audit program and management review have been fully implemented and demonstrated effectiveness as a tool for maintaining and improving the management system, including management responsibility for the policies.	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	
The organisation has an effective system in place to identify and ensure compliance with any relevant statutory, regulatory and other requirements that it subscribes to	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	
The organisation has an effective system in place of dealing with non-conformities, complaints	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	
The usage of accreditation/certification logos is accurate and in accordance with TÜV UK guidance. No misleading statements regarding certification were made.	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	n/a <input type="checkbox"/>

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NON CONFORMITIES

No	Type of NC	Standard/ clause	Area / Process / Document Ref.	Description of the NC	Action Req. *	Root Cause and Corrective Action(s) / Plan (Information provided by client)	Accepted (LA Initials and date)
	NONE						

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OBSERVATIONS AND SUGGESTIONS FOR IMPROVEMENTS

1. Although the Management Reviews Nov-Sep have covered all the required elements of the Standard, consider whether a generic agenda listing the elements could be included as a framework to ensure points are not missed.
2. The Internal Audit reports 'comments' section would benefit from inclusion of some specific objective evidence eg names, dates, project / PO numbers of records checked for conformance.
3. Consider whether some issues raised in MRMs ref customers should be documented as 'complaints' of NCs even if the customer is at fault... Helps to build a paper trail when dealing with different departments of large companies.

GOOD PRACTICES AND GENERAL COMMENTS

1. It appears that the addition of CB within the business has brought a sense of order to the QMS.
2. The design process is considered to be one of the most extremely thorough systems seen by this auditor.

It is evident that the business has had a significant uplift in recent years and there has been much change so far. It is considered that the systems, personnel, equipment and the products being developed and implemented are providing an improved level of resilience.

AUDIT TRAILS FOLLOWED

Management Review: Last conducted Sep 2016; Generally held monthly (not Aug) with minutes available to Nov 2015; Meetings generally involve DB + DT + 2-3 Directors; Issues generally reviewed cover supplier, customer and contracts / WIP, reviews of complaints / feedback from interested parties, opportunities and risks, staff and factory / plant resources and capacity, plans and objectives for future projects and general business development; Recent issues have included increasing space in the factory for assembly and boosting the marketing function to target new areas / industries, etc.

◆ OFI 1

Additionally, during opening discussions with DB it was clear that the senior management have a very good understanding of the business 'context' and are fully aware of all 'interested parties' and their expectations; Various risks and opportunities were discussed incl the need for cover for key roles and the requirement to ensure that in-house capacity can match customer requirements.

Policy was reviewed and approved by DB Jan 2016; Org chart is current with all staff and directors shown;

Internal Audits: There is a schedule showing all audits completed as planned during 2016 between Jan & Sep; These have been conducted by CB; Reviewed audits covering the following processes – Doc / Record control, Resource Management, Product Realisation & Contract Review, Design, Procurement, Measurement & Analysis.

◆ OFI 2

Customer Satisfaction: Was reviewed during several MRMs over the past year; The company receive regular feedback (+ve & -ve) from their clients; Examples have included praise for products which have enabled significant time (& assoc cost) savings, development of other bespoke products and thorough refurb of out-of-warranty equipment; Less welcome has been instances of failure to complete projects on time (or at all) leading to loss of confidence from customers; This last related to severe lack of capacity and failure to fully understand customer requirements .

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◆ **OFI 3**

Work Environment & Infrastructure: The business has seen many changes in the last 18M – 2Y; This has involved significant personnel changes incl at senior management levels and the requirement to make considerable investment in manufacturing plant machinery; New CNC 5-axis mill and lathes have been installed last Christmas with very efficient commissioning in order to start production of parts in the new year; This has boosted the production capacity; A more recent change has been the conversion of largely redundant storage are to assembly space to enable the production and testing of much larger machinery as evidenced by the track-laying unit seen during the audit;

These changes have also made feasible the offering of an apprenticeship to AP who is also being supported by the local college for his formal studies.

Enquiries and Orders: Reviewed this process in depth with PP; It was seen and explained that almost all work is for a relatively small number of regular customers, with products predominantly being made to order; An enquiry was received today from a new customer who works in a related field to most others, for a specific product; The customer was entered into the Sage db to enable a quote to be generated based on his initial request; Quote was emailed together with a link to the company’s website and a complete product brochure;

Once customer POs are received a new project file (folder) is created/opened, based on the unit’s designation & serial number; Reviewed several project folders incl UB21605280, UB21506267-270 (batch of 4 units ordered), CSB21604002; Each folder showed production report, test spec (eg weights, etc), DNs and relevant LOLER Thorough Exam’ test certs. CofCs are also issued where approp.

Associated purchasing for raw materials, surface finishing of components or ancillary items is also generated via Sage; The company utilise a Preferred Suppliers List based on historical performance, availability of credit, product quality and delivery factors; It was stated that there are no significant issues with any of the current key suppliers and there are no anticipated ‘gaps’ or issues with limited availability of components, etc; Various POs were reviewed incl PO#5267, Parker Steel, 10/8/16, flat sheet steel – DN seen signed for on-receipt checks and matching with PO (PP) and then matching with supplier’s invoice (signed MG);

Stock is generally ordered as required except for small items incl fittings, PPE, fluids, etc;

PO also seen #4946, LES, 26/4/16 for supply of tested chains & shackles; This was produced to TED spec CSB16-02-B-502, specifying dimensions and test requirements; TELE cert seen dated 26/4/16 for retest <6M (<28/10/16);

Design & Development: The majority of this function is managed by DT (the prev MD) wh is retained as a consultant design engineer; He explained his role and showed detailed examples of the full D&D process as implemented by the company; An example was given of a product first manufactured by the company in 2009 but which this year was involved in an incident – caused by client’s largely untrained staff using the product for a non-standard use;

Project re-designated as RHB16-01 and the client spec included the requirement for Finite Element Analysis of all critical components as well as consideration of ‘foreseeable abuse’ conditions; A design proposal was issued to the client detailing the redesigned product and a list of (anticipated) project deliverables incl documentation and key spares; After client review & discussion version RHB16-02 was approved for production, having amended the design to include additional safety features (parachute valves on the jaws);

A Production Pack is produced with all drawings (PDFs from the SolidWks files) of components and a full BoM to enable materials and components to be ordered;

Component Simulation document shows details of the FEA using computer modelling to illustrate the stresses in the materials to be experienced during normal and abnormal load conditions

Assembly Instructions show detailed parts & components location, fitting & securing data incl torque settings and basic / standard test conditions

Test Procedure details the specific tests to be conducted

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Operation and Maintenance Instructions are produced in English. The company maintains contracts for overseas contractors to provide local translations where required... reviewed examples for France.

Independent review of the design process is by the clients who use their own engineering staff; Also regular meetings between DT and DB, KG highlight any issues from a production perspective whereby problems can be raised, solutions proposed and approved;

The company use SolidWorks CAD s/w with 2 licences although the office package is 'lite' without all the component libraries installed; KG was able to adequately demonstrate the s/w capabilities and showed examples of modified drawings incl change to design of safety lever on product SM15-01 to increase effectiveness of operation and save time and cost of manufacturing; Changes approved (by DT) the files were saved and up-issued to rev 6;

Drg UK78B16-02-154 sleeper spreader – leg hinge pin was reviewed singly and shown within the main assy drawing

Product Realisation: The creation of a project folder for standard products is approved by the GM and work is scheduled for build;

Ea main product has a dedicated test procedure covering the main unit and indiv components as required where safety critical issues exist; Recent procedures incl TETP-SPL-16-02, Stovepipe lifter, iss 1, Aug 16. Procedures detail the parts to be tested, equipment required, methodology, pass/fail criteria and appropriate warnings for the testers (eg dangers of HP hydr systems).

The company are accredited to test their own products using dedicated rigs, sensors and weights; TELE Certs seen for products incl #395 15/7 due retest <15/1 and #506 19/5, retest <8/11

Training & Competence: There is a training matrix showing all the staff and the skills / areas of competence incl use of production machinery, FLT driving (KG, RJ, DB, CB, MS, DC), use of specific s/w programs (Sage / CAD), payroll, product release, etc. In addition staff have training plans and reviewed those for AP (apprenticeship) and RJ (welding / NDT). There are sufficient FAW qualified staff incl CB & DB.

LIST OF PARTICIPANTS

Name and Position		Opening Meeting 12/10/16	Closing Meeting date* 12/10/16
Dan Barnard	General Manager	x	x
Chris Barnard	Production Supvr / QMR	x	x
Dave Thomson	Design Engineer		
Patrick Price	Sales & Purchasing Manager		
Kim Garnett	CAD Assistant		
Paul Attrell	TUV LA	x	x

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CURRENT AUDIT PLAN

Audit Objectives

- To confirm that the management system conforms with the requirements of the audit standard(s);
- To confirm that the organisation has effectively implemented the planned management system to achieve specified objectives;
- To confirm the capability of the management system to ensure compliance with applicable statutory, regulatory and contractual requirements.
- To identify any areas for potential improvement of the Management System

Audit Scope: as above

Audit Criteria: 1. Standard(s) – ISO 9001:2008
2. Company MS documentation

Team Leader: Paul Attrell

Date / Time	Site / Department / Process / Function	Auditor / Accompanying Person initials	Key Contact
0910	Opening Meeting	PA	DB, CB
0930	Site Walk, Infrastructure and Introduction to all personnel		DB, CB
0950	Management Review, Internal Audits, Feedback, Policy & Doc Review		CB
1030	Enquiries, Sales and Procurement		PP
1130	CAD		KG
1230	Lunch		
1315	Design & Development		DT
1430	Training		CB
1530	Closing Meeting	PA	DB, CB

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**PROVISIONAL AUDIT PLAN FOR THE NEXT VISIT**

Date / Time	Site / Department / Process / Function	Auditor / Accompanying Person initials	Key Contact
0910	Opening Meeting		
0930	Site Walk and Introduction to all personnel		
0950	Management Review, Internal Audits, Feedback, NCs / CA Policy & Doc Review		
1030	Enquiries, Sales and Procurement		
1130	Maintenance & Calibration, Product testing		
1230	Lunch		
1315	Design & Development		
1430	Training		
1530	Closing Meeting		

Notes to Client:

- Times are approximate and will be confirmed at the opening meeting.
- Auditors reserve the right to change the audit plan times and areas depending on the results of the audit.
- *If possible, please provide light working lunch.*

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Site / Department / Process / Function	Standard / Clauses	Recert. Date: 14/5/15 Auditors: RP		Surv. 1 Date: 12/10/16 Auditors: PA		Surv. 2 Date: Auditors:		Recert. Date: Auditors:	
		X /	NCRs	X /	NCRs	X /	NCRs	X /	NCRs
QMS Documentation	4.1, 4.2, 5.1, 5.2, 5.3, 5.5, 7.1	x	01 Maj	x		/			
Management Review	5.6, 5.4.1, 6.1, 8.1, 8.2.3/4, 8.4, 8.5.1,	x		x		/			
Internal Audits	8.2.2	x		x		/			
Customer Satisfaction	8.2.1	x		x		/			
N/C + C+P Actions	8.3, 8.5.2, 8.5.3	x		x		/			
Training & Competence	6.2	x		x					
Work Environment & Infrastructure	6.3, 6.4	x		x					
Product Realisation	7.1, 7.5	x		x		/			
Enquiries and Orders	7.2, 5.2	x		x		/			
Purchasing & Receipt	7.4	x		x		/			
Design & Development	7.3	x		x		/			
Monitoring & Measuring Equipment	7.6	x				/			

- In column 1, list the departments, processes, activities or other functional units, as defined by the organisation. These should be the same departments and/or processes identified on the audit plan.
- In column 1 also list all permanent sites that should be visited and indicate when
- In column 2, list all the elements of the applicable standard that relate to each activity or process defined in column 1 (when complete, each element of the standard must be listed in column 2 at least once).
- For planned visits, indicate with “/” in the box for each process covered.
- For each completed visit, mark “X” in the box for each department or process covered. If nonconformities are identified, note the number of NCRs, minors and/or major, identified in each department or process.

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Reviewed			
Expert		Certification / Scheme Manager	
By		By	
Date		Date	
Comments:		Comments:	

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