

## BM TRADA Management Systems Certification Audit Report for:

### Shelforce

<b>Audit Date(s)</b>	10/10/2023			
<b>Certificate Number:</b>	2988			
<b>Certificate Expiry Date:</b>	1/2/25			
<b>Date(s) of next audit:</b>	TBA			
<b>Audit report completed by:</b>	R J Newell			
<b>Number of NCRs issued at this audit:</b>	Major	<input type="text" value="0"/>	Minor	<input type="text" value="0"/>
<b>Audit type:</b>	Initial Stage 2 <input type="checkbox"/>	Surveillance <input checked="" type="checkbox"/>	Recertification <input type="checkbox"/>	Scope extension / Re-audit <input type="checkbox"/>
	ISO 27001 Transition <input type="checkbox"/>			
<b>Applicable Standard(s):</b>	ISO 9001:2015 <input type="checkbox"/>	ISO 14001:2015 <input checked="" type="checkbox"/>	ISO 45001:2018 <input type="checkbox"/>	ISO 50001:2018 <input type="checkbox"/>
	NHSS <input type="checkbox"/>	ISO 44001:2017 <input type="checkbox"/>	SSIP <input type="checkbox"/>	ISO 27001:2013 <input type="checkbox"/>
			ISO 27701:2019 <input type="checkbox"/>	ISO 27001:2022 <input type="checkbox"/>

**Auditor Recommendation:** Certification to be maintained subject to closure of any NCs

## Client Information

<b>Address:</b>	Units 21-22 Erdington Industrial Park Chester Road Erdington Birmingham B24 0RD		
<b>Primary contact:</b>	Howard Trotter	<b>Tel. No:</b>	0121 603 5262
<b>Contact email:</b>	howard.c.trotter@birmingham.gov.uk		
<b>Invoicing / Accounts contact details if different from above:</b>	NA		
<b>Total number of employees - organisation:</b>	30	<b>Total number of sites included in the scope of certification:</b>	1
The organisation outsources activities / functions / processes (externally provided processes, products and services)	Yes <input checked="" type="checkbox"/>	No	<input type="checkbox"/>
Does the organisation have personnel working away from the organisation's premises? (If yes provide details below)	Yes <input type="checkbox"/>	No	<input checked="" type="checkbox"/>
Does the organisation provide services at another organisation's premises? (If yes provide details below)	Yes <input type="checkbox"/>	No	<input checked="" type="checkbox"/>

### Summary of the activities, processes and equipment used by the organisation and site specific conditions seen

The organisation is owned by Birmingham city council and provides work for disabled persons. The company produce double glazed upvc windows and doors for the general market but do have a captive market within Birmingham city council. The processes are cutting and forming of plastics and fitting metal hardware for locks etc. It has recently expanded into Fire Doors and completed Q Mark and other Certifire product CE marking. It is situated on an industrial estate and backs onto a canal. Neighbouring businesses are in adjoining industrial units one sells vapes and the other is general storage. General processes are saw, cut glue/heat weld etc. Fitting is outside scope

### Scope of certification

The manufacture of PVCu windows and door including composite door and fire door

The scope of certification is appropriate?  
If no indicate changes required in changes section below

Yes

No

### Details of changes to the client organisation / scope of certification (SSIP category / Statement of Applicability etc)

Are there any changes to the client organisation? <i>(structure, ownership, employees, sites, facilities / equipment, scope, contacts etc)</i>	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
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**Other certifications held by the organisation**

FSC  
ISO 9001  
Certifire

**Details of any customer complaints, accidents, incidents, regulatory breaches, prosecutions and data security incidents (ISO 27001)**

None

**Use of certification logo/marks and references to certification**

The client is using/displaying the BM TRADA certification marks / making references to certification?	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
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In January 2021, UKAS launched its new national accreditation symbols. Subsequently BM TRADA updated and launched the new certification mark in January 2022. An example of the current BM TRADA certification mark, including the current UKAS symbol is shown opposite.



The transition periods are detailed below:

- Digital Materials: 1 year from the date of launch (1st February 2022)
- Printed Materials: 2 years from the date of launch (1st February 2023)
- Certificates: 3 years from the date of launch (1st February 2024)

You have indicated that the client is using/displaying the BM TRADA certification mark. Please ensure that in addition to checking that the client is using the mark correctly please also ensure that the client is using the current version of the mark as per the example opposite in accordance with the transition periods detailed above.

Please tick the relevant sections below to indicate where the client is currently using the BM TRADA certification mark:

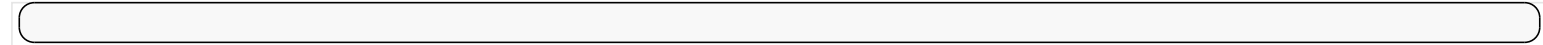
Company website <input checked="" type="checkbox"/>	Company vehicles <input type="checkbox"/>	Corporate literature <input checked="" type="checkbox"/>	Secondary packaging <input type="checkbox"/>
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Other please specify:

The client is using the certification mark correctly in accordance with the requirements of the BM TRADA Certification Marks document?	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
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The client is using the current version of the BM TRADA certification mark displaying the new UKAS mark on digital and printed materials?	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
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Please specify below the examples of logo use evidenced at this audit



## Audit information

<b>Audit duration (days):</b>	<input type="text" value="1"/>			
<b>Onsite / Blended audit:</b>	Onsite audit <input checked="" type="checkbox"/>	Blended audit <input type="checkbox"/>		
<b>System type:</b>	Integrated <input type="checkbox"/>	Combined <input type="checkbox"/>	Single MS <input checked="" type="checkbox"/>	
<b>Audit conducted at?</b>	Central office (multi-site certification) <input checked="" type="checkbox"/>	Participating site (multi-site certification) <input type="checkbox"/>	Temporary site <input type="checkbox"/>	Single site certification <input type="checkbox"/>

## Details of sites audited

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Site address	Site type	Audit team members	Audit Date(s)	Audit Approach
Units 21-22 Erdington Industrial Park Chester Road Erdington Birmingham B24 0RD	Central Office	Roger Newell	10/10/2023	Onsite

## Opening and closing meeting attendees

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Name	Auditor role / Client rep. job title	Opening meeting	Closing meeting
Roger Newell	Lead Auditor	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Daniel Psaila	Consultant/ QA	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Howard Trotter	Business Manager	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

## Changes required to future audits / audit programme, any unresolved issues and areas for consideration to be covered during next audit

None

## Executive Summary

### Status and actions taken on previous audit findings requiring attention

Any previous audit findings requiring action (nonconformities / points for action - stage one) have been reviewed and the results are as follows:

All previous audit findings identified during the previous audit have been corrected and the corrective actions continue to be effective (evidence of verification to be shown in table below).	<input type="checkbox"/>
The management system has not adequately addressed all audit findings identified during the previous audit (conclusions and nonconformity status shown in table below).	<input type="checkbox"/>
There were no audit findings (nonconformities / points for action - stage one) identified during the previous audit.	<input checked="" type="checkbox"/>

### Opportunities for Improvement

OFI 1- Consider the disposal of Fibre glass embedded plastic for fire doors- measure quantities- consider volumes compared to other scrap. This is a new and growing area of the business.

### Management system strengths, continual improvements and good practices observed

Good mature system  
Very concise  
Good KPI focus  
Very good leadership

### Audit conclusions

Based upon the standard and system requirements, functions, processes, areas audited and objective evidence seen during this audit:

The management system documented information demonstrated conformity with the requirements of the standard(s) requirements and provided sufficient structure to support the implementation and maintenance of the management system?	Yes
The organisation has demonstrated risk-based thinking and understanding of the internal and external factors in the establishment and tracking of appropriate key performance objectives and targets?	Yes
The internal audit program and management review have been fully implemented and demonstrates effectiveness as a tool for maintaining and improving the management system?	Yes
Top management demonstrates leadership and commitment by taking responsibility for the effectiveness of the management system, ensuring its integration in the business processes, availability of resources, establishment of policy and objectives in line with the business strategy, context of the organisation and promoting continual improvement?	Yes
The organisation has an effective system in place for dealing with nonconformities, complaints and as applicable for EMS and OHSMS, incidents / accidents?	Yes

The use of certification logos are accurate and in accordance with BM TRADA and UKAS requirements	Yes
The audit evidence demonstrates that the organisation continues to implement an <b>environmental management system</b> which is consistent with the environmental policy and have demonstrated their ability to enhance environmental performance, fulfil applicable compliance obligations and have established, communicated, planned and monitor actions to achieve environmental objectives	Yes

**Audit team recommendation**

Based upon the results of this audit and objective evidence seen to substantiate the level of implementation of the management system, the audit team recommend that certification is:

Granted <input type="checkbox"/>	Maintained <input checked="" type="checkbox"/>	Updated as per scope extension <input type="checkbox"/>	Transitioned to ISO 27001:2022 standard <input type="checkbox"/>	Suspended <input type="checkbox"/>
Follow up visit required to verify evidence and close NCs <input type="checkbox"/>		Re-audit required <input type="checkbox"/>		

- The above recommendation is subject to an independent certification decision which is made by BM TRADA.  
 - The above recommendation is subject to closure of any **Major** nonconformities identified during this audit.  
 - The above recommendation is subject to closure / a corrective action plan being accepted by BM TRADA for any **Minor** nonconformities identified during this audit.

**Additional audit team comments**

My thanks to the management and employees for their assistance  
 A good audit

## Summary of audit trails, evidence and conclusions

*This section must be completed to provide the additional supporting information and evidence required to allow for an informed decision regarding initial / continued certification to be made by BM TRADA. The information specified below must correlate with your audit plan and the three year audit programme i.e. the sites, standard clauses and processes, planned to be assessed at this audit must be reflected in the commentary provided below. Details of processes and activities seen, audit trails, findings, persons interviewed and evidence seen during the audit to support your audit conclusions shall be referenced in this section.*

*If you have not covered any element listed below please specify in the relevant field e.g. 'documented information not covered at this audit' please ensure that requirements / processes / activities covered and not covered at this audit correlates with your audit plan and the three year audit programme. Please note that at the initial and recertification audit all standard elements shall be covered.*

## Context of the organisation

### Understanding the context of the organisation, needs and expectations of interested parties

The company continues to run as in previous years, Management Review notes the assessment of Risks and the contributions of interested parties  
 No new clients  
 No new staff  
 Software updates from Birmingham City Council (BCC) include Oracle for the new purchasing system.  
 No new equipment  
 Good success in operations and sales- moving to £6m turnover with an application for more staff submitted to BCC  
 The Lord Lieutenant for West Midlands has asked the company to apply for Queens Award to Industry because their reputation is so good.  
 Internal and external issues are documented in Proforma 4.1  
 External Political - Birmingham city Council - Includes legal issues  
 National marketing- UK Wide but limited due to BCC constraints etc  
 Employment of Disabled people but maintaining a high quality product  
 Customers- Schools, New build and old, Social Housing, Flats  
 Neighbours - Set on a business park - previous neighbours are vape warehouse and engineer on a general industrial estate.  
 Landlord- No concerns  
 Quality consultants  
 Certification body  
 HSE

## Leadership

### Leadership, roles, responsibilities and authorities

No changes in leadership  
 Leadership document is issue G rev 3 Revised 7/8/23  
 An organisation diagram is in place revised January 2023- job descriptions are also in place and procedures further refine the responsibilities. Full accountability is defined at pertinent levels.  
 The policy is in place and has been communicated  
 Howard Trotter is the Business Manager /CEO  
 Good leadership and accountability. Howard is an excellent leader.  
 His progress with the organisation in development, getting new customers and winning awards is remarkable.  
 All responsibilities are clear in job descriptions and procedures.  
 ISO 9001 Policy reviewed 2021 - signed and dated by Business Manager- Jan 2021 Iss b Rev 6  
 Manual Update Iss B rev 5 Jan 2021  
 Regulatory needs defined and included in Warrington Certificate, BS Standards, Q mark and many more All up to date via



websites and UK Gov. Passed on to all pertinent staff

Morning meetings take place where head of the lines review operational plans, staffing requirements.

- Line KPI's
- Customer complaints
- Operators performance
- Line performance
- New supplier audit findings

Legal and regulatory requirements apply for fire testing of goods, safety of staff, legal compliance with financial matters.

## Policy

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The Environmental Policy has been reviewed in the management review 2023 and deemed as meeting the needs of the business as well as the standard. 7/8/2023- No changes  
It is explained to new employees upon induction

## Planning

### Objectives and effectiveness of actions and the management system with regard to achieving objectives

- QO.18.01 = Create and implement a quality EMS management system  
– to achieve ISO 9001: 2015 accreditation. Closed. Actions complete.
  - QO.18.02 = Establish an in-house training facility  
– to provide pre-work induction training, train young adults and fulfil our corporate social responsibility. Closed. Actions complete.
  - QO.19.03 = Achieve profitability targets in next financial year April 2019 – March 2020  
– to achieve profitability targets to grow the business. Closed. Actions complete.
  - QO.20.04 = Implement and verify that Covid-19 Secure measures exist for controlling return to work  
– to comply with Government Guidelines in response to the Covid-19 Coronavirus Pandemic. Closed. Actions complete.
  - QO.21.05 = Increase Fire Door sales by 20% by end of current financial year April 2021 – March 2022.
  - QO.22.06 = Increase Fire Door sales by 100% by end of current financial year April 2022 – March 2023.
- 23/083b Quality Objectives and SMART goals were monitored and reviewed to completion
- Refurbishment of the Business unit
- New windows/doors
  - Better lighting - completeion end 2023
  - Improve toilets- reduce water use etc
  - Solar Panels on roof - Completion Dec 2023 - to be conformed next audit

### Determination of applicable legal, statutory, regulatory and other requirements

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The company maintains a list of applicable legislation and it is mainly HR, Tax, Environmental and H&S  
They use the UK Gov website, suppliers, TRADA and other trade bodies to keep up to date.  
They are controlled by Birmingham City Council who have many and various audits of their business, alongside the other third party listed audits above.

No significant changes to legislation noted- this is commented on in Management review

### Actions to address risks and opportunities

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SWOT Analysis seen  
Electricity use- 1  
Paper consumption- 2  
Waste from manufacturing - 3  
Compressor condensate - 4

### EMS Aspects / Impacts

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No change to Aspects and Impacts  
Review in August at the management review

## Support

### Resources, competence, training and organisational knowledge

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A revised skills matrix is in place May 2023 A selection of staff skills were checked as follows  
Howard Trotter - Customer Handling, Technical Support, Quotations, Finance Supplier Approval  
Lenroy Blair- Fit reinforcements, two headed welding, 3,4 headed welding Transom Cleaning  
Paul Ramsay- General Admin, Cut PVCU{t},Cut Reinforcement  
Callum Hall- Fire frame sashes, Hanging window sashes

The biggest training element has been in fire door training leading to the remarkable achievement for sales reaching 314% of budget

Area of training include -  
Fire frames profile cutting  
Milling  
Routing  
Intumescent application  
Frame Construction  
Door hanging  
Glazing

The company has trada approval for Fire door production

All staff had ISO9001 Awareness, Fire and H and S  
New staff receive a standard induction form- the form includes ISO awareness.nThe following new starters were checked  
Robert Mugurei  
Andrei Biga

### Communication and awareness

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Daily meetings with supervisors who pass on the needs for the day

Advice on success including

2022 Scale up Awards Diversity Champion

2023 Great British Business of The Year

2023 The Kings Award for Enterprise

Advice on overall performance annually - power point for 2023 seen

Staff are very happy in their jobs and roles, they understand their part within the QMS

They are very proud of their achievements.

Communication on the plans for the business to BCC directing the need for investment and the potential outcomes- Shelfforce business case July 2023

Extract

## 1, Description of Service

- Shelfforce's was established in 1839 as a workplace for visually impaired people, part of the Royal School for the Blind, making brushes, baskets and mats. Since then, it has provided employment opportunities for thousands of Birmingham people. Currently the team manufacture PVCu windows and doors including Fire doors.
- As a disabled Business unit within Birmingham City Council, it has always been recognised that the value Shelfforce delivers goes beyond a financial return. However, in 2013 the council could no longer afford to subsidise the service and the Business needed to either become self-sustaining or close.
- A wholesale transformation of the business was implemented, and the business model was re-invented by adopting an ambitious approach to embed both commercial and Lean manufacturing principles into the business and invest in the diversity of the workforce.
- One of the key cultural challenges was to address the perceptions of the role of people with disabilities within the workplace - both internally and externally. The perceptions where that because of disability, Shelfforce would not be able to supply on time or at the right quality.
- The Shelfforce team took responsibility for the business outcomes financially and owned the perceived perceptions and together set a path for business and cultural change and evolution.
- Ten years on the workforce is highly motivated home-grown talent and fully inclusive with 75% of the workforce with disabilities. The Business is now recognised within the fenestration industry as a multi-Award-winning leader in diversity and inclusive employment and have won multiple awards including Greater Birmingham chamber of commerce business of the year in 2021, Asian Chamber of commerce diversity champion, British Chamber of commerce winner, Great British Business of the Year 2023 and the ultimate British Business award, The Kings Award for Enterprise 2023.

## Financial Performance 2014 - 2023

- Sales turnover has increased from £747 thousand in 2014 to £5.8 million in 2023.
- Shelforce broke even (cost neutral) in 2018 and made a profit of £723 thousand in 2023. (A rent rebate of £311k was given in 2023 for previous over charging which flatters the profit shown. Actual profit was £412,384 which was above the forecasted expectation)
- The order book for 2023-2024 is provisionally forecasted at £8 million.

Shelforce's future continued financial success and growth is reliant on investing in machinery in order to maintain stability and cope with the demand for both window and door products.

Current machinery assets are a minimum of 18 years old with 3 of our key machines having spare part supply issues because of their age.

Our 17-tonne lorry (24 years old) has been decommissioned due to its age and safety concerns and our Luton van (15 years old) is also causing problems in getting spare parts.

With our current forecasted growth and orders placed there is significant risk that if we do not invest in new machinery and plant, we will continue to have machine break downs which will result in failure to deliver product on time and as a result cause reputational damage. This will also have a negative impact in contribution to the General Fund.

## 2, Current Service Provision:

### Change Drivers and Influences:

- A. Shelforce plays a key role in providing market leading windows and doors including fire doors to City housing.
- B. The continued success and growth of Shelforce has now resulted in a profit-making service that provides the General fund with planned contribution.
- C. Due to the success of the service, continued growth has resulted in the need to invest in new machinery to expand the service in order to cope with the increased demand for products.
- D. There are opportunities to increase our customer base if we can increase our capacity to manufacture.
- E. Shelforce are fully certified and audited from external UKAS approved providers in International standards for Quality Management, Environmental Management and Occupational Health and Safety.
- F. Award winning Shelforce plays a key role in influencing the business community in the benefits of Diversity and Inclusion through business excellence.
- G. The Shelforce team have pride in a growth model as result of their passion and commitment to build a best-in-class service.

## Proposal details:

To successfully maintain and achieve the capacity for growth, it is critical we invest in new machinery and plant so that can build on the demonstrated evidential successes of the last 8 years. This will be done by investing £573,590.00 in new plant and machinery as specified below.

- Window machining Centre £345,000.
- Five headed Welding Machine £74,000.
- 3 Axis CNC Machining Centre £60,200.
- Easi Loader Box Vans x 2 off £94,390.

This will ensure stability, growth and consistency at Shelforce. The investments will be scheduled over 2023-2024 to allow for a smooth transition given the nature of the service and to minimise the loss of efficiency due to training on the new machinery.

Daily meetings with supervisors who pass on the needs for the day

Advice on success including

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subsidise the service and the Business needed to either become self-sustaining or close.

- A wholesale transformation of the business was implemented, and the business model was re-invented by adopting an ambitious approach to embed both commercial and Lean manufacturing principles into the business and invest in the diversity of the workforce.
- One of the key cultural challenges was to address the perceptions of the role of people with disabilities within the workplace - both internally and externally. The perceptions were that because of disability, Shelforce would not be able to supply on time or at the right quality.
- The Shelforce team took responsibility for the business outcomes financially and owned the perceived perceptions and together set a path for business and cultural change and evolution.
- Ten years on the workforce is highly motivated home-grown talent and fully inclusive with 75% of the workforce with disabilities. The Business is now recognised within the fenestration industry as a multi-Award-winning leader in diversity and inclusive employment and have won multiple awards including Greater Birmingham chamber of commerce business of the year in 2021, Asian Chamber of commerce diversity champion, British Chamber of commerce winner, Great British Business of the Year 2023 and the ultimate British Business award, The Kings Award for Enterprise 2023.

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There is a well defined system in place which is mature and detailed. The system covers issue approval, upgrade, review and planning. A master control document lists the status of all document. Review is as a minimum annually and otherwise updated dependent upon changes as a result of process, equipment etc and incidents.

A sample of documents examined includes-

Quality Manual - No change to manual B/6/ 16/1/2023

Controlled document list dated 16/1/2023

Context Document 5/3/18- DCR 001 SF.PF 4.1

Interested Parties 5/3/18- DCR/001 SF/PF 4.2

Quality Objectives

QAP 805 March 2018 Reviewed 2023- Control of externally provided products

QAP 806 March 2018 Reviewed 2023 - Identification and Traceability

QAP 811 March 2018 Reviewed 2023- Corrective Action

The company maintains external documents pertinent to the product including

ISO 9001

ISO 14001

Certifire standards for CE Approval (Warrington)

Q Mark

Fire doors

## Operation

### EMS - Operational planning and control / OHSMS - Operational planning and control (Eliminating hazards and reducing OH&S risks)

The company has no operating permits

It has a proximity to a canal but this is very well protected and no products can easily enter the system

Hard waste is predominant- this is well controlled

### Control of externally provided processes, products and services (Outsourcing)



#### List of all outsourced activities / functions / processes (externally provided processes, products and services)

Buy in Double glazed units, for installing in the manufactured frames, hardware and numbering etc for doors - covered under general purchasing.

*Summary, referencing objective evidence, of the type and extent of controls that are applied to subcontractors in order to ensure that the externally provided functions or processes do not adversely affect the effectiveness of the management system(s), legal and other requirements.*

**ISO 45001 Only** - Provide comments on evidence available during the audit to demonstrate that the organisation coordinates its procurement process(es) with its contractors in order to identify hazards and to assess and control the OH&S risks and the processes seen to demonstrate that the organisation ensures that the requirements of the OHSMS are met by contractors and their workers

A selection of orders were reviewed The order process is software provided by Birmingham city council. Suppliers must be approved by Howard and subsequently checked by BCC

Example 1

Eurocel-19/6/2023

Order BCC20210028

Description is an exact part number



PC2196 PROFILES  
CONFIRMATION OF WEBSHOP ORDER  
REF: 000001809

Example 2  
Eurocel 12/7/2023  
Order BCC20210030400  
Description is exact part number  
PC2230

PROFILES CONFIRMATION OF WEBSHOP ORDER  
REF: 000003865

Example 3  
Klassic Trade frames-19/7/2023  
Order BCC20210030919P  
Description is an exact part number  
JS3192

CONFIRMATION  
Please supply 28mm sealed units as per attached

90354  
90355  
90356  
90357  
90358  
90359  
90360

Approval for all purchasing goes via Howard or designee  
Email Oracle system ( new BCC Software) 13/9/2022 £4k 400 Low Thresholds MDS 80/2

All details are accurate, specific to material requirements and client orders.  
Windowmaker Software is still used  
Client sends a survey to Richard at Shelforce- Example Fortem Quote produced 5/8/2022  
Confirmation of FD 30 Requirements

Complete breakdown of costs for dimensions, number of doors/windows, width and height etc

Weekly deliveries are provided and the company is looking more at JIT with the business changes - i.e. hold less in stock  
Damage etc is reported to QC and Purchasing for suitable action to be taken - no significant problems at the moment.  
No new suppliers despite currently looking.  
No problems with current suppliers  
The process is robust

**Emergency preparedness and response** + -

**Note:** Discrepancy found during the audit of the emergency plans or any incident which occurred during an emergency or drill has to be considered as a nonconformity in the system, and appropriate corrective actions have to be taken in order to prevent recurrence.

There are principally 3 emergency preparedness documents  
All three have been audited and reviewed further at management review  
There was a flood situation when the very heavy rains occurred in June July. These were exceptional conditions and has led

ultimately to the current refurbishment. Work was able to continue, no records were lost . Some staff could revert to the working from home.

- Fire emergency procedure
- Oil Spill Procedure
- Business Continuity

## Performance evaluation

### Internal audit and management review

#### Internal audit

2023 Schedule seen- 2022 audit schedule completed  
 Sampled audits  
 Compliance audit- all areas 11/7/2023  
 Audit reviewed  
 Policy  
 Overall System control  
 Individual evaluation on Electricity consumption, Risks Register, Aspects register etc  
 Waste notes sampled- Smurfitt Kappa- CBDU/59307Expiry 14/10/24- transfer note WB00247220  
 Waste Bins use and control - Good - Colour code system adopted -

Clause review of system 11/7/2023  
 Context  
 InterEsted Parties  
 SWOT  
 Environmental Risks  
 Environmental objectives  
 Aspects  
 Training

Good evidence recorded- documented check dates for reviews

#### Management review

Detailed review notes - Completed 7/8/2023  
 Agenda follows the clauses of the standard  
 Good summary data  
 NCR reporting  
 No Environmental NCRs  
 Current stats  
 9 NCRs Delivery  
 11 NCRs Manufacturing  
 Customer Feedback Rating 599/600 99% happiness quotient

### Monitoring, measurement, analysis, evaluation (Incl. Customer satisfaction - QMS)

+ -

Good summary data

NCR reporting  
No Environmental NCRs  
Current stats  
9 NCRs Delivery  
11 NCRs Manufacturing  
Customer Feedback Rating 599/600 99% happiness quotient

**Evaluation of compliance**



Customer satisfaction is monitored and currently sits at >99%  
Good comments include  
Appreciated assistance on planning the schedule of deliveries to meet needs  
Great assistance on the planning and layout  
Good quality product on time and fit for purpose

Monitoring and Measurement  
The company measures performance and this is reported at Management review- See comments in relevant section  
They have been increasing output and profit within 2023 and the organisation is supported in its growth by Birmingham City Council

Current stats  
9 NCRs Delivery  
11 NCRs Manufacturing  
Customer Feedback Rating 599/600 99% happiness quotient

**Improvement**

**Nonconformity and corrective action**



Good summary data  
NCR reporting  
No Environmental NCRs  
Current stats  
9 NCRs Delivery  
11 NCRs Manufacturing  
Customer Feedback Rating 599/600 99% happiness quotient

**Progress of planned activities aimed at continual improvement**

Lighting - LEDs  
Refurbishment of industrial unit- windows, doors, electricity system, solar panels  
All noted in Objectives

**Other areas / processes / temporary sites audited - as applicable**



**Process/area/site audited:**

Tour of site , Maintenance, Waste segregation. Skips. Subcontractors on site.

## Process/area/site - Audit findings and evidence observed

The site is currently being refurbished

New windows

New doors

Electrical supply upgrade

IT upgrades

LED lights are almost completed for the factory

Equipment is in a good condition with a maintenance schedule that is up to date.

FLTs and Other equipment like Compressors are serviced by external bodies including Insurers.

Yates Invoice and service - 1940- 20/9/2023

Service HESE17 CO1

Impact - Combi Lift 27/9/23 Fleet number 9462

LOLER - 11/9/23- LP64WAP,

Aisle Master 2004120 11/9/23

Spill Kit available

Noted in house rearrangements - Stores moved to a section in Canteen area - opening up space for storage

All Waste Bins - Very well maintained indeed fo segregation

Sub contractors on site - Signed in - Induction forms seen - City Fire, Equus, RCC, BCC, FRFA as applicable

COSHH Records reviewed - Up to date Reviewed February 2023

Ethyl Cyanoacrylate

Silicone Sealant

Emergency evacuation clear - Plan reviewed Fe 2023

Fire extinguishers serviced October 2023

Compressor Serviced 18/1/2023

Drains relatively clear

Skips well segregated

Stored materials - well controlled

Walkways well managed and clear

External Premises- Skips good

No rubbish - very tidy

External buildings very good

Gas cylinders good- locked

New exhaust extractor in place for Fire door area sawing

## Disclaimer

A copy of this report shall be distributed to the client and to BMTRADA. The ownership of this audit report is maintained by BM TRADA, who shall keep confidential all information relating to this audit and your organisation and shall not disclose such information to any third party except as required by law or by Accreditation Bodies. BM TRADA assumes no responsibility (legal or otherwise) or accepts no liability to any person(s) for any loss, damage or expense caused by reliance on information provided in this audit report. Ownership of this report and the information contained within remain the property of BM TRADA.

This audit is based on a sampling process of the available information, therefore nonconformities may still exist within the management system undetected.

## Important

A reminder that all clients are to inform BM TRADA, without delay:

- of the occurrence of a serious incident or breach of regulation necessitating the involvement of the competent regulatory authority;
- of any changes to the client organisation that could impact the scope of certification (e.g. change in ownership, structure, employee numbers, activities, sites etc)

## Guidance on nonconformities and time scales for action

A nonconformity is issued when objective evidence during the audit demonstrates non-fulfilment of a standard requirement.

All nonconformities are issued on separate nonconformity reports, one report per nonconformity. Each nonconformity must be recorded against a specific standard requirement and must contain a clear statement of the nonconformity identifying in detail the objective evidence on which the nonconformity is based. All nonconformities must have been discussed with you during the audit.

BM TRADA issue two categories of nonconformities, major nonconformity and minor nonconformity.

### Major nonconformity

A major nonconformity is a nonconformity that affects the capability of the management system to achieve the intended results. A major nonconformity could be issued for example if there is a significant doubt that effective process control is in place, or that products or services will not meet specified requirements or is a number of minor nonconformities associated with the same requirements or issue could demonstrate a significant failure.

#### Time scale for closure of major nonconformities:

Major nonconformities issued at the **stage two** audit must be actioned and closed within 6 months after the last day of the stage two audit. If a major nonconformity cannot be closed within 6 months after the last day of the stage two audit, the stage two audit must be repeated. BM TRADA is unable to issue a certificate of approval until all major nonconformities are verified and closed.

Major nonconformities issued at the **surveillance** audit must be actioned by the client and closed by the auditor within 3 months after the last day of the surveillance audit. If a major nonconformity is not closed within 3 months after the last day of the surveillance audit then the certification will be suspended

Major nonconformities issued at the **recertification** audit must be actioned by the client and closed by the auditor prior to the expiry of the existing certificate. Failure to close any major nonconformities prior to the expiration of certification will result in the certification becoming invalid, which can not be extended. Following expiration of certification BM TRADA can restore certification within 6 months providing the major nonconformities are closed. After 6 months a new stage one and stage two audit will be required.

### Minor nonconformity

A minor nonconformity is a nonconformity that does not affect the capability of the management system to achieve the intended results.

#### Time scale for closure of minor nonconformities:

Minor nonconformities issued at the **stage two** audit must either be actioned and closed or have (planned) correction and corrective actions accepted by the auditor before certification is granted and the certificate issued. The minor nonconformities must be then verified and closed within 12 months of issue. Minor nonconformities not verified and closed exceeding the 12 month time-frame shall be escalated to major nonconformities. BM TRADA is unable to issue a certificate of approval until all minor nonconformities are either verified and closed or have plans of action accepted for verification at the next audit.

Unless otherwise indicated by your auditor, you do not have to action and respond to minor nonconformities issued at **surveillance** audits immediately. You have a 12 month period to effectively action the minor nonconformity, at which point your auditor will review the corrections and corrective actions taken to address the nonconformity including the effectiveness of such actions and is satisfactory will close the nonconformity. Any minor nonconformities that are not actioned, verified and closed within the 12 month time frame, shall be escalated to major nonconformities, and the major nonconformity time scales shall apply as above.

Minor nonconformities issued at the **recertification** audit must either be actioned and closed or have (planned) correction and corrective actions accepted by the auditor prior to the expiry of the existing certificate. Failure to action and respond any minor nonconformities prior to the expiration of certification will result in the certification becoming invalid, which can not be extended. Following expiration of certification BM TRADA can restore certification within 6 months providing the major nonconformities are closed. After 6 months a new stage one and stage two audit will be required.

Any minor nonconformities that are responded to with planned action, must be verified and closed within 12 months from the issue date. Failure to close the minor nonconformities within the 12 month month deadline will result in the minor nonconformity being escalated to a major nonconformity.

#### **Process for responding to nonconformities**

For each nonconformity issued BM TRADA require the client organisation to analyse the cause and describe the specific correction and corrective action(s) taken (or planned to be taken - minor nonconformities only) to eliminate the detected nonconformance within the above time frames.

**Root cause analysis** must be completed to detail the causes of the detected nonconformity. Identifying the root cause is the first step in preventing the cause(s) of the detected nonconformity from recurring. There are many root cause analysis techniques including the five-whys and fish bone. Whichever technique is applied it is important that the analysis goes far enough to ensure that no "why" questions remain and all factors are considered. All causes should be verified.

**Corrective action** must describe the solution, action(s) required to address the identified root causes, so that the detected nonconformity does not recur. Corrective action must be supported by evidence to support the action taken and its effectiveness.

Once correction, root cause analysis and corrective action has been taken and documented the nonconformity response must be submitted to the local BM TRADA office with a copy sent to the auditor. Upon receipt the auditor will review the corrections, identified causes and corrective actions and evidence submitted to determine if they are acceptable. The auditor will then either:

- Close the nonconformity, if acceptable
- Accept the planned actions to be taken, the nonconformity will be open for verification and closure at the next audit (minor nonconformities only)
- Require additional information / supporting evidence / special visit to verify the effectiveness of action taken
- Reject the response and request additional information / supporting evidence as required

The client organisation will be informed of the result of the auditor review. During the next audit the auditor will follow-up all previous nonconformities to verify the effectiveness of the actions taken.

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