Factory Production Control Audit Report

for

Firma Ltd

Covering the following Standard

EN1090-1:2009 “Requirements for Conformity Assessment of Structural Components”

For the audit carried out on the following date(s)

31/1/23

Audit reference number(s)

22.3783

Centre for Assessment Ltd.
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AUDIT DETAILS

Main location address	22 Bidwell Road, Rackheath Ind. Est. Norwich, NR13 6PT		
Total number of other locations	0		
Address(es) of other location(s)			
location(s) Audited	above		
Total number of employees	2	Those involved in EN1090 within total	2
Client representative	Steve Hynd	Telephone	01603722330
Client email	stephen.hynd@basystems.co.uk		
Lead Auditor	S.Halsall	Telephone	07834319760
Lead Auditor email	steve@stockbridge.karoo.co.uk		
Auditor	0		
Observer	0		
Total Number of Auditor Days	1.5		
Type of EN1090-1 Audit	certification		
Recommended Scope (for the certificate)	The Design and Supply of Fabricated Structural Steelwork		
Exclusions	Installation		
Certificated Execution Class	EXC 2		
RWC Name and Job Title	Mick Hurt - Eur Welding Diploma - RWC		
Materials Used	Steel		
Material Grade(s)	S275JR/S355JO and AR ; Stainless 316;		
Weld Process(es)	Fillet, Butt		
Auditor recommendation	recommended.		
Number of Major Nonconformities raised	zero		
Number of Minor Nonconformities raised	zero		
Reference to Accreditation and Logos	not used		
EN1090-1 Certificate Number	TBA	EN1090-1 Certificate Expiry date	TBA
Type of Marking Required	UKCA mark only		
Next audit date(s)	31/1/24		
Type of next EN1090-1 Audit	surveillance		
Location(s) of next audit	above		
Next audit – total auditor days	1.5	Technical expert days	
Date report prepared	31/1/23	Report prepared by	S.Halsall

EXECUTIVE SUMMARY

Basis of the Audit

This audit was based on the defined Factory Production Control (FPC) system as summarised in the current FPC Manual – FPC Management System - and FPC Section FPC dated 22/5/22 Ver 1

The audit process is based on random sampling and, therefore, nonconformities may exist which have not been identified.

Audit evidence and processes audited

Objective evidence has been audited and recorded by CfA auditor(s) in detailed notes which will be retained at CfA. This evidence supports the findings, conclusions and recommendations in this report and any nonconformities and observations raised.

We have audited the following factory production control system processes:

- Enquiries, quotes, orders, review of requirements
- Design
- Documentation (drawings, procedures, inspection and test plans)
- Purchasing, material receipt, inspection, storage and traceability
- Competence and training
- Maintenance and calibration
- Fabrication
- Inspection and test
- Nonconformities and corrective actions

Findings

The following are the notable positive and other findings from the audit:

- a sample job was followed throughout - the system is new and not yet fully working
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FPC System Conformity and Effectiveness

The FPC system conforms with applicable requirements and is effective in delivering the expected outcomes.

Evidence of FPC system capability to meet these applicable requirements and expected outcomes includes:-

- The Welder qaulification for Josh doesn’t relate to this company and the WPQR isnt' in place yet
- The Mill certs and wire certs are no avaialble for the test piece

Conclusions

During the audit, zero major nonconformity(s) and zero minor nonconformity(s) were identified. Observations have been raised where appropriate. Any nonconformities and observations are summarised in the “Overall Audit Findings” section of this report and are detailed in a separate “Continual Improvement Record”.

Centre for Assessment's audit objectives, as defined in the audit plan, were achieved.

The certification scope is appropriate.

Recommendation

Certification to the EN1090-1 Standard is recommended.

OVERALL AUDIT FINDINGS

Summary against the EN1090-1 requirements

The table below summarises our findings against the requirements of the EN1090-1 Standard. Where a nonconformity (NC) or observation (OBS) has been identified, the reference numbers relate to their details on the separate "Continual Improvement Record".

EN1090-1 clause	Requirement	C, NC, N/A	Minor NC ref. nos.	Major NC ref. nos.	OBS ref. nos.
6.2	Initial Type Testing	N/A			
6.3.1	General (FPC documentation, procedures, control of documents, records of inspections, tests and assessments)	C			
6.3.2	Personnel (responsibility, authority, relationship, qualifications and training of personnel involved in managing, performing and verifying)	C			
6.3.3	Equipment (weighing, measuring, testing and manufacturing equipment calibration and maintenance)	C			
6.3.4	Structural Design Process (design brief, design Standard, calculations, designs, if design is in scope)	C			
6.3.5	Constituent Products Used in Manufacture (material/component specification, inspection, traceability)	C			
6.3.6	Component Specification (review of requirements, preparation of specification, manufacture, implementation of inspection & test plan)	C			
6.3.7	Product Evaluation (control of characteristics, sampling)	C			
6.3.8	Nonconforming Products	C			
Use of logos reference to "Accreditation"		C			
Any other requirements not covered above: - None					

Use of the logos and references to accredited certification

Status	Summary of evidence checked, comments and, where necessary, any observations or nonconformities raised on the Continual Improvement Record
not used	Only used on DoP

Note: Where there is incorrect use of either the certification body, accreditation body or the product certification logos or incorrect reference to accredited certification, this will be raised by the lead auditor on the "Continual Improvement Record" and corrective action must be defined and implemented by Firma Ltd .

Requirements for Closure of Nonconformities

If nonconformities have been raised during the audit, the following notes define the requirements on Firma Ltd to enable these to be closed off by Centre for Assessment.

Closing out nonconformities identified at initial certification audits:

1. Where minor nonconformities have been identified, Firma Ltd must evaluate their causes and must define the actions to prevent their recurrence on the Centre for Assessment's "Continual Improvement Record". This record must be submitted directly to the lead auditor, S.Halsall, within 30 days. Also, Firma Ltd must submit evidence to demonstrate that these actions have been implemented effectively. The Centre for Assessment will not consider the recommendation for certification until sufficient evidence is provided to and agreed by the lead auditor, S.Halsall. Where possible, please submit the "Continual Improvement Record" and supporting evidence by email to the following email address steve@stockbridge.karoo.co.uk. Unless there are exceptional circumstances, a re-audit will be necessary, with additional costs, if the completed "Continual Improvement Record" and satisfactory evidence is not submitted to the lead auditor within this 30 day period.
2. Where major nonconformities have been identified, Firma Ltd must evaluate their causes and must define the actions to prevent their recurrence on the Centre for Assessment's "Continual Improvement Record". This

record must be submitted directly to the lead auditor, S.Halsall, within 30 days. The lead auditor will need to make a return visit to Firma Ltd to close out the nonconformities, normally within 3 months, unless it is agreed by the lead auditor at the closing meeting that evidence can be submitted by e-mail. If the Lead Auditor is unable to verify the implementation of action for a major non-conformity within 6 months of the last day of the audit, Firma Ltd the certification audit will need to be repeated.

3. Where the same minor nonconformities are identified again at subsequent visits, these may be escalated to major nonconformities

Closing out nonconformities identified at surveillance audits:

4. Where minor nonconformities have been identified, evidence of closing them out need not be submitted to the Centre for Assessment, since this evidence will be verified by the auditor at the next visit or desktop review.
5. Where major nonconformities have been identified, Firma Ltd must evaluate their causes and must define the actions to prevent their recurrence on the Centre for Assessment's "Continual Improvement Record". This record must be submitted directly to the lead auditor, S.Halsall, within 30 days. The lead auditor will need to make a return visit to Firma Ltd to close out the nonconformities, normally within 3 months, unless it is agreed by the lead auditor at the closing meeting that evidence can be submitted by e-mail.
6. Where the same minor nonconformities are identified again at subsequent visits, these may be escalated to major nonconformities.

DETAILED PLAN FOR NEXT AUDIT

Location(s) of audit:	above
Duration of audit (auditor days):	1.5
Duration (technical expert days):	
Date(s) of audit:	31/1/24
Audit type:	surveillance

Audit objectives:

To establish confidence that the factory production control system is compliant with the EN 1090-1 Standard, including establishing the implementation and effectiveness of:

a) operational control of the factory production control system
b) links between the normative requirements of the EN1090-1 Standard including the customer's requirements, design, traceability and certification of materials, suppliers, factory production controls, equipment calibration, responsibilities, competence of personnel
d) treatment of nonconformities and complaints
d) actions taken to address nonconformities from the previous CfA audit
e) use of certification and accreditation marks

Timetable / processes to be audited

Date/time/auditor	Business area/process	ICT/Onsite
0900	Opening meeting	Onsite
	Enforcements / prosecutions / involvement of regulatory authority	
	Follow up on previous CfA audit findings	
	Site tour	
	Control of documents and records (manual, procedures, drawings, specifications, standards, CAD, backups, access to Standards)	
	Personnel. competence and training (job descriptions, RWC, welder certificates, CVs, prolongation, competences of others involved in structural steelwork)	
	Design, Structural Calcs and reports Engineering Qualifications Control of documents and records (manual, procedures, drawings, specifications, standards, CAD, backups, access to Standards)	
	Production and test equipment including maintenance (planned and reactive) and calibration (weld equipment and measuring equipment)	
	Constituent products (procedures , goods received, material grades, identification, segregation and storage); purchasing (including supplier evaluation and approved supplier list)	
	Product specifications, identification and traceability. Verification of specifications, including technical review	
	Production evaluation (processes and procedures for inspection and testing before, during and after welding). Inspection and test methods.	
	Control of subcontracted processes	
	Non-conforming products (procedure and records)	
15.15	Use of the UKAS logo and product marking	
	Report writing	
16.30	Closing meeting	

Arrangements for the next audit:

1. **Certification Expiry:** Your EN1090-1 certificate will have a 12 month expiry date. In order to ensure continuity of certification and, therefore, to enable Firma Ltd to continue to legally UKCA mark its products, the next audit will need to be carried out sufficiently in advance of the certificate expiry date. We are required by UKAS to define any lapses in the certification on any future certificates.
2. **Pre-Audit Information**: Prior to the next audit, Firma Ltd is required to provide information such as organisational, fabrication and equipment details, scope of certification, numbers of employees and locations.

In addition, Firma Ltd is required to confirm if there have been any changes to the following EN1090-1 requirements:-

a) new or changed essential facilities;
b) change of responsible welding coordinator;
c) new welding processes, type of parent metal and the associated welding procedure qualification record (WPQR);
d) new essential equipment.

Centre for Assessment will review the above information prior to the next audit and, based on UKAS requirements, it may then be necessary to increase the number of audit days and to amend the above audit plan.

3. **Audit Timescales**: In order to ensure continuity of certification and, therefore, to enable Firma Ltd to continue to legally mark its products, the audit will need to be carried out sufficiently in advance of the certificate expiry date. Centre for Assessment is required to define any lapses in the certification on any future certificates.
4. **Changes to Agreed Audit Dates**: Your next audit will automatically be scheduled to take place on the date(s) agreed. Any changes to dates must be requested in writing to Centre for Assessment. Please refer to Centre for Assessment's terms and conditions for cancellation notice periods and costs.