CONFIDENTIAL AUDIT REPORT

Ownership of this report and the information
contained within remain the property of QCSI LTD

Auditing is based on a sampling process of the available information. Any Audit recommendations contained within are subject to an independent review, prior to any decision concerning the awarding or renewal of certification. Certification of a Management System as fulfilling the requirements of a standard cannot be an absolute and continuous guarantee of compliance but neither can any Certification or Legal scheme guarantee ongoing compliance. However, Management Systems are a proven and effective tool to achieve and maintain compliance and provide top management with relevant and timely information on the Company's compliance status. Certification of a Company's Management System indicates conformity with the requirements of the applicable Standard and includes a demonstrated and effective commitment to compliance with applicable legal requirements. However, QCSI Ltd is not conducting a compliance audit and, therefore, cannot certify legal compliance

AUDIT REPORT

Company Details And Summary

Project Number(s):	1534/2021			
Company Name:	K Tech Suspension			
Scope of Registration:	The scope of service on their certificate is documented as:			
Changes Required to the Current Issue of QCSI Ltd Certificates	'The Design, Supply, Servicing and Repair of Motorcycle & 'all-terrain' vehicle suspension equipment'			
Type of Audit:	Re-certification			
Standard(s) to be Certified:	9001:2015			
If more than one Standard is being Audited, please indicate one of the following is applicable:	**Joint Audit**		**Combined Audit**	**Integrated Audit**
	When two or more Certification Bodies cooperate, to Audit a Company's Management Systems		When two or more individual Management Systems Standards are being Audited together	When two or more Management System Standards have been addressed in a single Management System and are being Audited
Audit Criteria:	Standard(s) shown above and the Company's Documented Management System(s)			
Audit Start Date:	09/11/2021	**Audit End Date:**	09.11.2021	In completing this document the Audit Team confirms that they have had no involvement with the company under Audit in terms of consultancy, training, direct employment within the last 2 years and have no other involvement (financial, shareholding, family relationships, or commercial) that would constitute a Conflict of Interest
Lead Auditor:	Lucinda Parfitt			
Audit Team Members:	None			
Other Accompanying Persons & Roles:				

AUDIT REPORT

Summary of Findings

	Number of Major Non-Conformities Raised
	Number of Minor Non-Conformities Raised
	Number of Audit Team Observations Raised

Lead Auditor Recommendation (please chose one)

Recommended for Certification/Continued Certification (no Non-Conformities Raised, Objectives of the Audit have been met)	x
Recommended for Certification/Continued Certification (Non-Conformities Raised to be verified by Auditor Off-Site, Objectives of the Audit have been met)	
Recommended for Certification/Continued Certification (Non-Conformities Raised to be verified by Auditor On-Site through an additional Special Visit)	
Not Recommended for Certification/Continued Certification	

Company Employees present during the Audit Opening and Closing Meetings

Name	Position	OM	CM		Name	Position	OM	CM
Adam Grice	Quality Consultant	X	X					
John Crooks	Company Quality Representative	X	X					
Justification in case of absence of representative(s) with responsibility for occupational health and safety (OH&S only)								

AUDIT REPORT

Addresses of the Company's Sites to be covered by the Registration (including country) (If more than 6 sites are to be Registered please add additional rows):	Number of Employees covered by the Scope	DURING THIS AUDIT	
		Visited (X)	Not Visited (X)
Unit 1,2 and 7 Marquis Court, Rawdon Business Park, Moira, Derbyshire, DE12 6EJ, United Kingdom		no	Remote review of documents
If the Company has more than one site, please confirm that the same Management System is in place at all sites and that all sites meet the requirements of the Standard			

Addresses of Installation Sites / Project Sites / Temporary Working Sites visited by the Audit Team in order to verify the Company Scope but not covered by the Company's Registration (including country):	Details of Work Activities carried out at this Address:

POSITIVE REPORTING: Only answer the questions specific to the type of Management Systems being Audited, as planned

If not Audited during this visit please leave blank

4	**CONTEXT OF THE ORGANISATION**
4.3 Obs	Provide details of any changes to the Company since the Previous Visit. Include details of any additional Products, Processes, Facilities, Sites, Management Changes, Scope Changes
	The management system remains the same, the procedures have been reviewed by the company's consultant but no significant changes have been made as yet, only recommendations for improvement. Top management remain the same. The company's products and services remain the same, The scope of service that is documented on page 12 needs to be amended to add the boundaries of applicability i.e. worldwide or within the UK. The scope statement that is currently in the manual is more of a description of what the company does rather than what is on its certificate. The scope statement on page 12 needs to read "The Design, Supply, Servicing & Repair of Motorcycle & All-Terrain Vehicle Suspension Equipment" An additional Unit has been taken on, Unit 5 which is on the same industrial estate. The following have relocated to this unit: I) Service Shop II) R&D III) Machine Shop IV) Spring warehouse storage Due to growth in sales of the co's products, & after an internal production audit, it was identified that the production area was not set up to manufacture parts in higher volumes. In February 2021 it was decided that the production, inspection, and parts storage would be redesigned and refurbished to allow a workflow from receipt of parts, inspection, storage, picking, manufacturing adown a production line, packing and dispatch. This includes investment in new measuring equipment, vertical storage carousels x 2, new benches, flooring, and mezzanine. Design - Moving from Gannt to Trello, as this is far more user friendly and less time consuming keeping updated. Implementing CIM50 MRP system which bolts onto SAGE 50.
4.3	Provide a description of the Company's processes that have been witnessed/focused on by the Audit Team to verify the Company's declared Scope of Certification
	QMS: K Tech is a company specializing in motorcycle (and related equipment i.e. all-terrain vehicles, snowmobiles etc.) suspension design, engineering, repairs and sales. K tech are constantly researching and developing new products and services aimed at improving the handling performance of motorcycling (& related equipment)". The scope statement can be viewed on page 11. The company's scope of the certification continues to be as defined on their certificate and this statement should be added to the documented scope statement. 'The Design, Supply, Servicing and Repair of Motorcycle & 'all-terrain' vehicle suspension equipment'

		The processes in place to verify the co's scope of service are: *Customer Enquiry, *Quotation, *Customer PO review, *Supplier/ subcontractor quotations, *K-tech Purchase orders to evaluated suppliers, *Design, Design review, Design Amendments, Design acceptance. *Production, inspections, *dispatch, delivery and invoice. This company have been audited annually for 10 years and no auditor has ever reported findings of activities outside of the company's scope of service.
	EMS	
	OH&S	
	ISMS	
4.3	Justify any areas or activities of the Company that are not covered by the Company's declared Scope of Certification	
	QMS	The company does not have any exclusions from their management system. There is a statement on page 12: All clause requirements of ISO 9001:2015 are applicable to the company.
	EMS	
	OH&S	
	ISMS	
4.4	How effective is the Company's Management System, in terms of its suitability for analysing the Needs and Expectations of Interested Parties (provide details)?	
	QMS	Top management, along with the help of their quality consultant established who they believed to be their interested parties and what they believed their expectations and requirements to be. They documented them within their systems manual on page 9. There have been no changes recorded to them within the systems manual but they are continued to be reviewed during the management review meetings and during the internal audits. The company continues to be effective in analysing their interested parties needs and expectations. The company have recorded who they are within their systems manual on page 9. There are 12 in-total at the moment, with each one having recorded their needs and expectations but as an improvement, and as a result of the review, the new quality consultant, Adam, identified that HMRC needs to be on the list, along with the company's landlord and the company's certification body. These are now on the list but it was noted details of the amendment to the interested parties table was not recorded in the table of amendments on page 5 of the manual. The interested parties are
	OBS	

		1. Executive board – expect profits and good financial rewards, compliance and avoidance of fines 2. Local residents – expect no issues regarding noise, odors, parking, pollution, bad employee behaviour, high levels of health & safety. 3. Law enforcers / regulators – expect implementation of procedures to comply with applicable laws etc and understanding and maintenance of them, co-operation if investigations are required 4. Customers – expect expertise advice and innovative designs, high quality products, competitive rates, on time delivery, 5. Bank/finance – good financial performance 6. Employees – expect a good wage, leadership from top management, on time payments, job security, training to further their career, a safe place to work in and safe, legal equipment and vehicles, a fair/ balanced home/work life. 7. Insurers – expect prompt renewal of policies, no claims, prompt payments, co-operation if investigations need to be held, honesty. 8. External provides – clear instructions and prompt payments. 9. Trade unions – fairness to employees, honesty, compliance with employment laws 10. Certification body expects compliance, transparency of required records, honesty, co-operation 11. HMRC expects compliance and honesty and co-operation 12. The co's landlord expects the premises to be looked after, prompt payments of rent and other bills, insurance policies to be in place, renewal of lease,
	EMS	
	OH&S	
	ISMS	
4.4	How effective is the Company's Management System, in terms of its suitability for the service provided to customers/Scope of Certification (provide details)?	
	QMS	The quality management system continues to be suitable for the scope of certification and for the types of products and services available. The system has been setup to assist the company throughout their day to day operations to ensure compliance to legal, statutory and regulatory requirements, but to also ensure all customer requirements, have been achieved. The system manual continues to contain the following procedures: • QP01 Control of Manual Documentation • QP02 Context of the Organisation and Interested Parties • QP03 Scope of the Management System and Exclusions • QP04 Quality Management System and its Processes • QP05 Risk and Opportunities • QP06 Strategic Direction • QP07 Quality Policy • QP08 Management Review • QP09 Internal Audit • QP10 Document Control • QP11 Non-conformance • QP1 Improvement • QP13 Quality Records • QP14 Design

<table>
<tr><td></td><td></td><td>

QP15 Operations
QP16 Purchasing
QP17 Training and Recruitment
QP18 Forms Control

There are also numerous process mapping procedures that are now available.company
<table>
<tr><td>QPM001</td><td>Sales Order Process</td><td>QPM007</td><td>NCR Process</td></tr>
<tr><td>QPM002</td><td>Purchasing Process</td><td>QPM008</td><td>Ongoing CC and NCR Process</td></tr>
<tr><td>QPM003</td><td>Good Receiving Process</td><td>QPM009</td><td>CC and NCR Final Completion Process</td></tr>
<tr><td>QPM004</td><td>File Structure (Document Locations)</td><td>QPM010</td><td>Booking clients in for services</td></tr>
<tr><td>QPM005</td><td>Goods Return Note Process</td><td>QPM011</td><td>Tree Organisation Chart</td></tr>
<tr><td>QPM006</td><td>Customer Complaint Process</td><td>QPM012</td><td>Design Procedure</td></tr>
</table>
Each manual / procedure / system process is reviewed at least yearly with evidence of the review being in the internal audits and the management review meeting minutes.
</td></tr>
<tr><td></td><td>EMS</td><td></td></tr>
<tr><td></td><td>OH&S</td><td></td></tr>
<tr><td></td><td>ISMS</td><td></td></tr>
<tr><td>4.4</td><td colspan="2">Comment on the maturity of the Company’s Management System, indicating whether the Management System is fully established in the Company</td></tr>
<tr><td></td><td>QMS</td><td>The system has been in place since 2011. The system has been audited annually since November 2011 and very few significant changes have been made, the system is effective and very few issues and n/c’s have ever been identified during the external audits.

All staff have had awareness training on ISO9001 requirements relevant to their roles and understand the consequences to the management system if the procedures aren’t followed. The system is considered mature. There are process maps for all significant areas of the company that are available electronically to all, which will only improve the system and communication of the system even further. The system hasn’t been changed but is merely being made fully available and comprehendible to all staff.</td></tr>
<tr><td></td><td>EMS</td><td></td></tr>
<tr><td></td><td>OH&S</td><td></td></tr>
<tr><td></td><td>ISMS</td><td></td></tr>
<tr><td>4.4</td><td colspan="2">Does the Audit Team believe that the Company’s Management System complies with the Audit Criteria?</td></tr>
</table>

	QMS	Yes,
	EMS	
	OH&S	
	ISMS	
5	LEADERSHIP	
5.1	What level of support does the Management System have from senior and Top Level Management?	
	QMS	The company director continues to provide the necessary resources and support to help maintain the management system.
	EMS	
	OH&S	
	ISMS	
5.1	How does the Company's Top Level Management demonstrate Leadership and Commitment with Respect to the Management System?	
	QMS	Attendance of the management review meetings Signing the quality policy and making it available for all to review. Assigning an external Consultant to attend the office on a regular basis to assist K tech through the internal audit and management review meeting processes. . Setting and reviewing of the company objectives. Identifying and reviewing the company's business risks. Ensures that all personnel have the necessary training and resources to ensure they are competent in carrying out the requirements of their work
	EMS	
	OH&S	
	ISMS	
5.1	How does the Company's Top Level Management demonstrate Leadership and Commitment with Respect to the Needs and Expectation of Customers?	
	QMS	The needs and expectations of customers have been identified as: competitive pricing, low cost, high quality products, 100% on time delivery, competent and knowledgeable staff, innovative designs,

		The company directors ensure these needs and expectations can be met by being heavily involved in the company's day to day operations. One director is heavily involved in the main production, deign of the product speaking to engineers and the design team to manage the overall production of the items. The other director is heavily involved in the sales side of the company speaking to customer and ensuring that items are being delivered as required. The director arranges meetings with subcontractors and suppliers to ensure that they are capable of providing the quality of the product within the required time frame to complete a customer's request.
5.2	Comment on the adequacy of the Policy, in terms of meeting the Standard's Requirements, and how this is communicated	
	QMS OBS	K Tech have a controlled quality policy within their systems manual that can be viewed on page 20, it is compliant with the requirements of the code and is adequate for this company. It is written and signed by top management and is reviewed regularly for continuing compliance and suitability. The most recent review signature is showing that it was done on the 30th September 2020 John told me that the policy is still on display in reception for staff and public awareness. The policy can be issued to any interested party electronically. The displayed policies should be signed and dated at least annually to show the date of the review, the one that I was shown ststes that the last review was September last year. A copy of the policy should also be displayed in the new unit.
	EMS	
	OH&S	
	ISMS	
5.3	Who is the member of Company Management responsible for the Management System and who do they report to?	
	QMS	The company has a quality consultant, Adam Grice who ensures the system is effective and compliant and he liaises with John Crooks, together they report back their findings to K Summerton.
	EMS	
	OH&S	
	ISMS	
5.4	How does the Company ensure consultation and participation of workers at all applicable levels and functions	
	OH&S	
6	**PLANNING**	
6.1	What Risks (potential adverse effects/threats), if any, has the Company identified	

	QMS	The company have identified risks and have documented the actions taken to mitigate the risk, they are recorded on a controlled form QMF112 issue 4 effective 31.10.2019 1. Due to growth in sales of K Techs products, after an internal production audit, it was identified that the production area was not set up to manufacture parts in higher volumes. In February 2021 it was decided that the production, inspection, and parts storage would be redesigned and refurbished to allow a workflow from receipt of parts, inspection, storage, picking, manufacturing adown a production line, packing and despatch. This includes investment in new measuring equipment, vertical storage carousels x 2, new benches, flooring, and mezzanine. 2. Design - Moving from Gannt to Trello, as this is far more user friendly and less time consuming keeping updated. 3. Implementing CIM50 MRP system which bolts on SAGE 50 – this might need to be audited! Other risks noted as: 31.10.19 Environmental - Loss of building/office facilities Disaster (natural or other) - Business Continuity plan actioned by JC Complete & Closed 31.10.19 Environmental - inherent environmental risks Fire, flood, explosion, - Fire risk assessments in Place, Fire Alarm System regularly checked Firefighting equipment in place, actioned by JC Complete & Closed 31.10.19 H&S - Health & safety issues RIDDOR accidents, fatality, severe accidents to operatives) - Operational safety risk assessments in place, Trained 1st Aid staff, Internal monitoring of processes/procedures, Actioned by JC Complete and Closed 31.10.19 Infrastructure - Security of premises and fixtures/fittings (Unauthorised entry, damage to premises, fixtures/fittings, theft of equipment including computers, company data), Alarm system in place which is regularly checked JC Complete & Closed 31.10.19 Infrastructure Loss of computer facilities IT failure - External IT provider in place actioned by JC Complete & Closed 31.10.19 Infrastructure Power Outage Electricity - Remote working where possible Hire of backup generators where needed actioned by JC Complete n/a Closed 31.10.19 Infrastructure Security Breach Loss of sensitive data - Firewall & Antivirus software in place actioned by JC Complete n/a Closed 31.10.19 Legal Compliance, Potential legislative or regulatory changes GDPR - Policies and procedures in place 1 1 1 - Monitored by the Management team at monthly meetings Reviewed by JC Complete & Closed 31.10.19 Financial Company financial performance Failure to receive payments from customers - Control of accounts/payments Set credit limits Chasing of payments Proforma invoice where necessary - Monitored by the Management team at monthly meetings 31.10.19 Market, Economic factors Brexit Loss of key customers Downturn in business Demand (either positive or negative) - Monitored by the Management team at monthly meetings 31.10.19 Infrastructure, Changes in technology Equipment, Monitored by the Management team at monthly meetings,

		31.10.19 Infrastructure, Failure to maintain equipment Production equipment fails, produces product out of specification, equipment capability reduces Maintenance, programme in place. Service reports show equipment capability - Monitored by the Management team at monthly meetings 31.10.19 Infrastructure - Failure to maintain inspection/test equipment Ineffective dimensional checks Products supplied out of specification Product recall - Monitored by the Management team at monthly meetings, Equipment calibration programme in place 31.10.19 Employees, Labour / Skill shortage Unable to obtain required skills Loss of key personnel - Monitored by the Management team at monthly meetings Consider use of agency, staff Train existing and/or new staff Consider measures to retain existing staff (Organisational knowledge) Access to qualified external support - Mitigation action to be agreed JC In Progress Q1-21 Active 31.10.19 Suppliers Failure - suppliers failure to provide products in a timely manner - Key Supplier List in place, Suppliers are reviewed annually Key suppliers are certified to ISO9001 or AS9100 - Monitored by the Management team at monthly meetings 31.10.19 Compliance Loss of ISO status Unable to provide ISO certification when required by customers - External consultant employed to assist with the ongoing compliance to ISO9001:2015 All companies no matter how large or small are experiencing the risk of their staff contracting/spreading the coronavirus, K tech have put measures in place such as extra cleaning, social distancing as much as possible and shielding staff members who are at risk. Unnecessary visitors still can not attend the premises at the moment.
	EMS	
	OH&S	
	ISMS	
6.1	What Risks (potential adverse effects/threats), if any, has the Company identified that may affect their conformity to Statutory and Regulatory Requirements?	
	QMS	The company have not identified any risk which would affect the legal, statutory and regulatory requirements
	EMS	
	OH&S	
	ISMS	
	EMS	
	OH&S	
	ISMS	
6.1	What Opportunities (potential beneficial effects), if any, has the Company identified?	

	QMS		The company have identified many areas of improvements, the co's consultant is working his way through the evidence of compliance that the company has in place for each clause and is making improvements to all of them. He and John Crooks are transferring the whole system electronically and are writing process maps for all areas of the company. Improvements are listed on the management review agenda and top management also have monthly team meetings where improvement is always a topic. Improvements made during 2021 are as follows: • New unit acquired. • New machinery acquired Measurable objectives have been set for 2022: • To package and lease the Ketch Store Site – store.ktechsuspension.com to official Distributors and dealers, this will be actioned by GW, CT and JC by Q2, 2022. They advised that due to their existing Storesites, of which some had invested heavily, they would prefer to purchase an API which would allow all of our database including bike finder to link up with their StoreSites. Currently we are working with our US Distributor, Orient Express, to test this system before making it available for other customers. • Develop Training Modules for dealers – this will be actiioned by CRT and LB – ongoing, This is ongoing, and due to covid we made a series of training videos which are on the K-Tech You Tube site and are available to appropriate customers who have the necessary skills to uses these…password protected. • Further develop process maps for other areas of the business, this will be/is being actioned by JC – ongoing, This is ongoing, and since the previous audit processes in different areas have been added • To install and use Crystal Report software to link SAGE 50 and CIM50 allowing us to produce reports – action by CN by Q1 2022 • To totally restructure the production area in Unit 1/2, adding vertical Storage carousels, four new production lines, flooring, and a circular workflow through the building from Goods in, Inspection, picking, production and packing to be actioned by JC, and all production staff by Q2 2022. • To install and use Monday.com. This is a work operating system, which we will be able to communicate through, add project planning, H&S, ISO, Access, NCR, Holiday lists, HR ETC all saved and kept in one location – all staff have been allocated this action and it is planned by Q3 2022.
	EMS		
	OH&S		
	ISMS		
6.1	Provide details regarding the Company's assessment and treatment of risks, including risks associated with new systems, projects and changes since the last audit. Also define what the Risk Assessment Methodology is based on (Threats, Vulnerabilities, Probabilities, Impacts etc), and whether the risk assessment results are comparable and repeatable		
	ISMS		
6.1	Provide details on the five most significant Environmental Aspects, as determined by the Company		
	EMS	1	
		2	
		3	

		4	
		5	
6.1	Provide details on the effectiveness of the Company's operational controls to minimize their Environmental Impacts		
	EMS		
6.1	Provide details on the five most significant Hazards identified by the Company		
	OH&S	1	
		2	
		3	
		4	
		5	
6.1	Provide details on the Company's process for the identification of Hazards		
	OH&S		
6.1	Provide details on the Company's assessment of Health & Safety Risks and Opportunities		
	OH&S	Risks	
		Opportunities	
6.1	What Actions have been planned to address the identified Risks/Opportunities?		
	QMS	The company have recorded a risk register form which details all identified risks. The risk which have been identified are now considered low after the mitigating actions that have been implemented.	
	EMS		
	OH&S		
	ISMS		
6.1	Does the Audit Team believe that the Company meets their applicable Statutory, Regulatory and Contractual Requirements?		
	QMS	Yes	
	EMS		

	OH&S	
	ISMS	
6.2	How are the Objectives of the Company relevant (consistent with the Standard, the Policy and their identified risks/opportunities)?	
	QMS	the company objectives are recorded on the form QMF 114. The objectives that have been set for 2021 are as follows 1. To make the Quality and H&S system electronic and available to all staff on their PC's with an icon link. - MB1st Solutions , JC by Q2-2021 2. Electronic Bike measuring sheet, which is saved onto the knowledgebase in access, that then will automatically populate the SharePoint site which distributors and dealers have access to it. - CN, GW by Q3-2021 – this has now been completed. 3. To install a bolt on MRP system to SAGE Line 50 CN, JC by Q2-2021 4. Develop Training Modules for dealers CRT & LB Ongoing 5. Further develop process maps for other areas of the business JC Ongoing I discussed the objectives with John and Adam who agreed with me that the objectives listed for and 2021 and 2022 are more 'improvements' as they are not really measurable other than providing a date, there is no data that could be analysed. Adam confirmed that he is working on data and will come up with actual measurable quality objects soon, starting off with looking at data available for Non-conformances and the areas and departments they were raised in. I also feel that it would be beneficial to look at a method of obtaining actual 'useful' client satisfaction data instead of accepting repeat business and complimentary comments as a form of customer feedback, if a survey form or something similar was used, a score could be allocated to all questions and an analysis could be made on (for example) how many clients would recommend K Tech, or how many clients felt their issues were resolved promptly etc etc that way improvements to departments could be made.
	EMS	
	OH&S	
	ISMS	
6.2	Detail any Objectives specifically determined to mitigate identified risks	
	QMS	There are no specific objectives linked to the company's identified risks .
	EMS	
	OH&S	
	ISMS	
6.2	How are the Objectives of the Company communicated and monitored?	
	QMS	The objectives are communicated through the company inductions and meetings and by display.
	EMS	
	OH&S	

	ISMS	
6.2	Does the Audit Team believe that the Company's Management System is effective in allowing the Company to continually meet their specified Objectives?	
	QMS	The company have reviewed the objectives and recorded comments against each one, NB as above: Consider making the objectives more measurable by analysing data from the non-conformances and customer feedback – perhaps set an objective to reduce n/c's in a certain area or achieve a feedback score of a certain % in different areas of service as detailed on a survey form ? e.g a question could be 'how satisfied were you with the way in which your initial enquiry was dealt with? Or 'how likely would it be that you would recommend k tech's services?
	EMS	
	OH&S	
	ISMS	
6.2	What documentation does the client have to support their planning of Objectives?	
	QMS	The company have the form QMF 114 and the internal audit programme and management review agenda to assist with setting and reviewing the company's objectives
	EMS	
	OH&S	
	ISMS	
6.2	Describe the process adopted for the establishment, monitoring, measurement and control of IS Objectives	
	ISMS	
6.3	How has the Company undertaken required changes in a planned and systematic manner?	
	QMS	The company undertake required changes by scheduling that topic within the management review meetings ensuring that all areas of the change has been discussed and assessed. If a change is made to a procedure, then the relevant page in the manual is amended and details of the changes are documented on the company's controlled table of amendments. This table of amendments can be viewed on page 5 of the systems manual, Evidence of the approval is by way of a signature by an authorised person. If the change is to a documented process map or to a controlled form/document, the table of amendments at the back of the manual is updated to show details of the change. A change to a controlled document can be an addition to a form, a deletion of one that is no longer needed or an amendment to an existing one. I viewed the amendments and approvals made to all documents dated 2011 onwards, there have been no changes since this co's last audit and there is evidence of approvals. All company procedure changes would be initiated during head of department meetings held monthly.
7	SUPPORT	

7.1	What human and other resources are provided, to maintain, improve and effectively monitor the Management System?	
	QMS	The company have an external consultant attend the office to complete the internal audits and review the system.
	EMS	
	OH&S	
	ISMS	
7.1	How does the Company's provision of people assure the effective operation of the Management System?	
	QMS	Top management have decided on the necessary roles within the company in order to be able to offer its scope of service and to fulfill the needs and requirements of all interested parties and job descriptions have been written for each role. Each department is then considered, regarding the number of staff it has and the staff are then chosen for their relevant qualifications and experience. Then, on joining the company are adequately trained Training records are stored in the employee personnel folder held by HR. There is an induction and training check list form. QMF008. I viewed the company's training matrix – QMF82. Excellent document showing name of person, very detailed list of all training that the company requires to be done for each role,and relevance to each course and individual. The document shows 26 staff members,
7.1	How does the Company determine, provide and maintain Infrastructure for the operation of the processes, to achieve conformity of products and services?	
	QMS	The company determine, provide and maintain the infrastructure by discussing relevant requirements within the management review meetings, discussions include servicing and maintenance of equipment and vehicles I viewed the company's asset list and plant and machinery maintenance schedule. No temperature controlled rooms are required. As previously mentioned, there is now an additional unit.
7.1	How does the Company determine, provide and maintain the Environment necessary for the operation of the processes, to achieve conformity of products and services?	
	QMS	All equipment within the workshop is serviced by the manufacturer of the equipment Records of the service and inspections are maintained. I viewed the PAT test report dated 17th November 2020 issued by external company called TestSafe. 485 appliances were tested. I viewed the fork lift truck certificated/report inspected and tested on the 12th August 2021, (where it was noted that the warning beacon was not working) by company HSB. The company also inspected their Motor Bike jack, a scissor lift, and another 2 forklifts,

		I viewed the fixed electrical installation report dated December 2017 for unit 7 conducted by Jake Smith Electrical Contractors Ltd. I viewed the work report (Declaration of Conformity) issued by external company 'YEE' dated 23/2/2021 for work conducted on unit 1&2. I viewed the certificate issued by external company for AMP Fire for the inspection and servicing of the co's fire extinguishers and fire blankets. I viewed the co's certificate of Employers' liability insurance dated valid until the 30th December 2021. Policy number UC MFG 5584550
7.1	How does the Company determine, provide and maintain their required monitoring and measuring devices?	
	QMS	All equipment used for inspect and test purposes are calibrated. I viewed the equipment calibration log: Examples of records viewed: • Equipment no 82197 – Slip Gauges, calibrated externally on the 13th August 2019, frequency of calibration is 10 years. • A15006084 Digital Caliper calibrated in house and cal record card available, Last calibrated on the 20th October 2021 and frequency is yearly. I viewed details for a Digital Height Guage calibrated on the 30th October 2020, calibrated by York Metrology Ltd on certificate no YM44477.annual calibration, item out for calibration now.
7.1	How has the Company determined the Knowledge necessary for the operation of its processes and to achieve conformity of products and services?	
	QMS	The organizational knowledge is provided during staff induction, conducted by the director or Quality representative or head of departments., The internal training requirements are carried out in-house by the supervisor or operations manager of that area/ department or via e-learning. If any new equipment or software was going to be used by the company, additional training would be arranged either externally or internally. The training matrix shows all required training.
7.2	How has the Company determined, achieved and evaluated the necessary competence levels required?	
	QMS	The company determine, achieved and evaluate the necessary competence levels by scheduling the required training following the initial appointment, induction and annual training reviews and if identified during inspections. The training consists of in-house and external training. The external training is conducted by a professional company and or the manufacturer of the products being used by the company. E-learning courses are also used to gain knowledge and competency Verification of effectiveness of training carried out is by way of certificate New starter: Oscar Lumley – joined the company as a marketing assistant on the 6th May 2021. Induction was given the same day (by Toral Odedra) and the induction included ISO awareness training to 9001. Details were recorded on the induction checklist. H&S induction was given by JC. I viewed the ISO 9001 induction tool box attendance form QMF47 for the ISO tbt. I viewed elearning certificates showing that he has completed various courses such as driving safely, H&S awareness and I viewed the industrial Truck operator certificate of basic training dated 21/11/2019 for Oliver Hurst.
	EMS	
	OH&S	

	ISMS	
7.3	How are staff and subcontractors made aware of the Company Policy, Objectives/Risks and Management System Requirements?	
	QMS	The quality policy is made available via the main office upon request. The company's management system, ISO 9001 is discussed within the company's policy and as part of the company induction process.
	EMS	
	OH&S	
	ISMS	
7.4	How has the Company determined the need for internal and external Communications?	
	QMS	The internal and external communications of the company are carried out by the use of the following Internal 1. Company Inductions 2. Awareness training 3. Morning meetings 4. Team meetings 5. Management meetings 6. Memos 7. Display boards External 1. Emails 2. Phones 3. Website 4. Training
	EMS	
	OH&S	
	ISMS	
7.4	How has the Company considered Internal Communications, regarding their Management System and performance, among all levels and functions of the Company?	

	EMS	
	OH&S	
7.4	How has the Company considered External Communications, taking into account legal requirements and compliance obligations?	
	EMS	
	OH&S	
7.5	Comment on the adequacy of the Company's process for Creating and Updating documented information, in terms of meeting the Standard's Requirements	
	QMS	The company have setup the management system with requirements in place to ensure control of the company forms and manuals. Each manual has a number, an issue status and an effective date. Each form used within the company is controlled and is recorded on a controlled register. I viewed the controlled register. The issue status and effective date of each form is clear. Any change to the manual or forms will be fully discussed before any implementation has been carried out. The company have an Amendments register on page 5 of the system manual for the manual amendments and on page 44 for any form amendments. (as discussed earlier in this report) The initials of the person who approved the amendments to either the manual or forms has been recorded in the Register on the far right column. Only Authorized staff have access to change the master folders and manuals.
	EMS	
	OH&S	
	ISMS	
7.5	Comment on the adequacy of the Company's Control of documented information, in terms of meeting the Standard's Requirements	
	QMS	Continues to be complaint and effective, The company continues to have a quality records procedure QP13 which remains unchanged since previously reviewed. All quality records are retained for a minimum period of 3 years and are kept secure, legible, easily identifiable and retrievable for review by any authorized personnel upon request. All quality records are issued with a form id, date of effectives and an Issue number. Any modification or additions are recorded in the table of amendments at the back of the manual, The backup is carried out daily by the sales team. A tape is used and once the backup is completed then the tape is taken home. An IT company called Blue Marble oversee all running's on the server and if the backup fails the IT company will contact the sale team to inform them.. The Antivirus is called ESET Endpoint which is updated daily.
	EMS	

	OH&S	
	ISMS	
9	PERFORMANCE EVALUATION	
9.1	What has the Company determined that needs to be monitored and measured, and how effective are the Company's methods of analysis and evaluation of appropriate data?	
	QMS	The company determine the requirements which may need to be monitored or measured through issues or problems raised within the management review meetings, internal audits, customer requirements / complaints or staff suggestions. Adam has identified areas that he wants to include in monitoring The company documented procedures details the operations together with the works instructions which the company identified to ensure its services meet specification and customers' requirements
	EMS	
	OH&S	
	ISMS	
9.1	How effective is the Company's Management System, in terms of the methods for analyzing their customer views and opinions (provide details)?	
	QMS	Customer feedback continues to be monitored by the Quality Manager with documented evidence via the management review meetings minutes. The customer feedback form has only 10 questions in-total with the top 4 being information related to the customer / project carried out by K-Tech. The Customer feedback form is now carried out by Survey monkey. The remaining questions are as follows 1. How would you rate the quality of our workmanship 2. How would you rate the quality and supply of product information from out office. 3. How would you rate our delivery service 4. What is you assessment of the overall quality of the service you received. 5. How likely are you to order our products again 6. How likely is it that you would recommend this company to a friend or colleague 7. Do you have any other comments, questions or concerns I asked John about the feedback surveys and he said that this year they were only using data on customer retention, repeat business which is very good and customer complaints which are extremely low. Different methods of obtaining, scoring and evaluating data from clients should be explored.
9.1	How effective is the Company's process for Evaluating Compliance with Legal Requirements and Compliance Obligations?	
	EMS	

	OH&S		
	OH&S	The control of legal compliance remains the responsibility of the Company. Where the Company may not be in legal compliance, it shall be able to demonstrate it has activated an implementation plan to achieve full compliance within a declared date, supported by a documented agreement with the regulator, wherever possible for the different national conditions. In this instance please report on the following:	
		Capability of achieving the required compliance through full implementation of the above implementation plan within the due date	
		Addressing all hazards and risks to workers and other exposed personnel and that there are no activities, processes or situations that can or will lead to a serious injury and/or ill-health	
		Necessary actions put in place during the transitional period, to ensure that the OH&S risk is reduced and controlled	
9.2	How well implemented and effective has the Company's Internal Audit been (provide details)?		
	QMS	This company have had an internal auditing procedure for many years. It has not changed in the past 12 months. The procedure can be found in the systems manual and remains compliant and effective. The company has an internal audit programme and the programme for 2021 is now complete. The consultant has scheduled the programme for 2022 to ensure a full systems audit is completed but the programme is subject to change depending on results of future audits. There is a controlled internal quality audit report form that is used for documenting results of internal audits.	
	EMS		
	OH&S		
	ISMS		
9.2	How has the Company ensured objectivity and impartiality of the Internal Audit process?		
	QMS	The audits are conducted by an external consultant	
	EMS		
	OH&S		
	ISMS		
9.3	How well implemented and effective has the Company's Management Review been (provide details)?		
	QMS	Reviewed the management review process from the system manual QP08 which remains unchanged and continues to be effective.	

		The management review meetings continues to be held on a 6 monthly basis with the assistance from the external consultant The meetings are conducted with the use of the management review agenda QMF 01 which has listed items from the management system which require regular discussions. The management team all attend the meetings which consists of the company directors. The last meeting was held on the 30th October 2021 with the following attendees: • Ken Summerton – Director • Chris Taylor – Director • Chris Nash – Technical Manager • John Crooks – Ops co-ordinator. Reviewed the meeting minutes documented for that meeting. The meeting minutes are very detailed and informative and give a good analysis of activities between each meeting The minutes are on display in the main corridor on the ground floor on the health and safety and quality notice board for staff awareness. A copy of the agenda for the next meeting is put on display prior to the meeting to promote staff input.
	EMS	
	OH&S	
	ISMS	
9.3	Who was present for the Management Review from Top Level Management (highest level), to review the Company's Management System?	
	QMS	The company directors – see above
	EMS	
	OH&S	
	ISMS	
10	**IMPROVEMENT**	
10.1	What Opportunities for Improvement has the Company determined, and what subsequent actions have been implemented to achieve intended outcomes?	
	QMS	The company discuss the opportunities for improvement through the management review meeting The quality consultant looks for potential improvements whenever he conducts an internal audit. Many system improvements have been made this year and more planned.
	EMS	
	OH&S	
	How effective, in terms of the Standard Specific Requirements, is the Company's control over Nonconforming Process Outputs, particularly incident reporting and resolution?	

10.1 & 10.2	QMS	Very Effective Reviewed the Non-conformance procedure from the procedure manual QP11 issue 01 dated 26.04.2017 The company continues to classify the following as forms of non-conformances • A variance with documented requirements. • Deficiency resulting from operational errors. • Deficiency resulting from inadequate operational procedures or performance of personnel. • Client complaints. • Unsatisfactory services from sub-contract or supplier as defined by the contract with them I viewed the non conformances recorded during the past 12 months via a log. There have been 17 in total. This is a vast reduction from the 90 recorded last year. 11 of them are closed and 6 are still open and unresolved.
	EMS	
	OH&S	
	ISMS	
10.1 & 10.2	How effective is the Company at analyzing the cause of Non-Conformities to prevent recurrence (provide details)?	
	QMS	When a non-conformance is raised, a corrective and preventative action is discussed and documented. The preventative action is reviewed by the quality manager before closing out the non conformance as he only signs on verifying that the corrective and preventative actions were effective. This minimises the risk of the issue reoccurring.
	EMS	
	OH&S	
	ISMS	
10.1 & 10.2	How does the Company aim to Prevent Non-Conformities (provide details)?	
	QMS	Areas of preventative actions are looked for whenever an internal audit is conducted.
	EMS	

	OH&S	
	ISMS	
10.2 & 10.3	How effective is the Company's level of monitoring, measuring and implementation of Improvement (provide details)?	
	QMS	Reviewed the Improvement procedure from the procedure manual QP12 The company collect information from all areas of it's management systems i.e. non-conformances, customer complaints, customer feedback and internal audits and a report is prepared to be presented to the management team at the management review meetings, new targets and objectives will be created from the information collected and assessed throughout the year.
	EMS	
	OH&S	
	ISMS	

GENERIC QUESTIONS

What issues (if any) have been left unresolved between the Audit Team and the Company during this Audit?	No issues left unresolved. We had several discussions regarding the audit throughout the day and a closing meeting.
Please indicate any deviation in Audit Time from the Audit Plan	No deviations from the audit plan
Provide details of any changes to the Audit Objectives or Audit Criteria that may have occurred during the progress of the Audit	No changes to the audit criteria
Please provide details if access to appropriate persons, locations or information was not possible or was denied during the Audit	K Tech used an external consultant to gather all relevant documents for me to review.
Were there any adverse conditions during the Audit (eg power outage, fire, flood) specifically related to the condition of the sites being audited (provide details)?	Yes, we are currently experiencing a worldwide pandemic and so the audit had to be conducted remotely for the second year.
Are any publicly available statements made by the Company about being Certified valid and correct?	The company have not made a statement regarding their ISO.
Provide details on the use of the QCSI Ltd and UKAS Logos These must not be applied directly to any of the company's products, packaging or labels for the company's products; or used in an ambiguous manner, which may be interpreted as denoting	Logos are detailed and used correctly on all documentation .

product conformity. These must not be applied to any Reports or Certificates of Conformity for Laboratory Testing, Calibration or Inspection	

Auditor Team Summary and Audit Objectives	YES or NO
Does the Audit Team believe that the Company's Management System complies with the Audit Criteria?	Y
Does the Audit Team believe that the Company meets their applicable Statutory, Regulatory and Contractual requirements?	Y
Does the Audit Team believe that the Company's Management System is effective in allowing the Company to continually meet their specified Objectives?	Y
Have all previously raised findings been addressed and closed out?	Y
Has the Audit Team been able to identify areas of Potential Improvement to the Company's Management System, if applicable?	Y
Does the Audit Team believe that the areas planned have all been covered during this Audit?	Y
Does the Audit Team believe that the Management System Conforms to the Requirements of the Standard(s)?	Y
Does the Audit Team believe that the Management System is Effective?	Y
Does the Audit Team believe that the Management System has the capability to meet the applicable requirements and expected outcomes?	Y
Have the applicable Audit Objectives (as listed on the final page of the Audit Plan) been fulfilled?	Y
Please provide further information below if the answer to any of the above questions is "No"	

Level of Integration of the Company Systems (Please only complete if this Generic Report is to cover two or more Standards)	YES or NO
Does the Company have Integrated Documentation	n/a
Does the Company hold an Integrated Management Review	" "
Does the Company conduct Integrated Internal Audits	" "
Does the Company have Integrated Policies/Objectives	" "
Does the Company have Integrated Systems/Processes	" "
Does the Company have Integrated Corrective Actions	" "
Does the Company have Integrated Staff Responsibilities	" "
Please provide further information below if the answer to any of the above questions is "No"	

Observations (please add additional rows as required)	
The Audit Team have identified the following Opportunities for Improvement. These are areas which, without future controls, may lead to a Non-Conformance being raised in the future	
1	The scope of service in the systems manual is listed as 'K Tech Suspension is a company specialising in motorcycle(and related equipment i.e. all-terrain vehicles, snowmobiles etc.) suspension design, engineering, repairs and sales K tech are constantly researching and developing new products and services aimed at improving the handing performance of the motorcycling (related equipment) I would consider the statement to be more of an 'about us' statement, there needs to be the addition of what is on the manual and that is 'The Design, Supply, Servicing and Repair of Motorcycle & 'all-terrain' vehicle suspension equipment' and I agree with the company's consultant that the applicability of scope needs to be added so 'worldwide' or 'within Europe' etc
2	Consider making the objectives more measurable by analysing data from the non-conformances and customer feedback – perhaps set an objective to reduce n/c's in a certain area or achieve a feedback score of a certain % in different areas of service as detailed on a survey form ? e.g. a question could be 'how satisfied were you with the way in which your initial enquiry was dealt with? Or 'how likely would it be that you would recommend k tech's services?
3	
4	
5	
6	
7	
8	
9	
10	

Non-Conformance (please add additional rows as required)	
The Audit Team have identified the following Opportunities for Improvement. These are areas which, without future controls, may lead to a Non-Conformance being raised in the future	
1	
2	
3	
4	
5	
6	
7	
8	
9	
10	

Ongoing Log of Non-Conformances

No	Date Raised	Details of Non-Conformance	Evidence Reviewed by the Audit Team to Accept Closure	Closed (Y/N)

Non-Conformance Details

QCSI Ltd has 3 separate categories for Findings raised by the Audit Team during an Audit:

1. Major Non-Conformities

This is a Non-Conformity that affects the capability of the Management System to achieve the intended results

Non-Conformities 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 Non-Conformities associated with the same requirement or issue could demonstrate a systemic failure and thus constitute a Major Non-Conformity

Any Non-Conformities still remaining open from a previous Audit should be re-raised as a Major Non-Conformity

2. Minor Non-Conformities

This is a Non-Conformity that does not affect the capability of the Management System to achieve the intended results

These are not Critical Comments, but rather areas where a weakness has been identified within the Applicant/Client's current approach and practices

3. Observations

This is where it is the Audit Team's opinion that it may be beneficial to consider something which, without future controls, may lead to a non-conformance in the future

Observations do not require a formal response from the Company

Information shown on a Non-Conformance Report

The QCSI Ltd Non-Conformance Report shall include the following information:

- The Non-Conformance number, for traceability
- The Standard and the Clause of the Standard that the Non-Conformance has been raised against
- The Category of the Non-Conformance raised – Major or Minor
- The Audit Team Details of the Non-Conformance that has been raised – this will be completed by the Audit Team

Responding to a Non-Conformance

A Response is required by the Company within 30 days of the Non-Conformance being issued (or in the case of Re-Audits, prior to the expiry date of the current Certificate)

Failure to allow verification of correction and corrective actions necessary to address Major Non-Conformances within 6 months of the last day of the audit shall require another Stage 2 Audit to be performed

The Company response to a Non-Conformance Report must include the following information:

The Company's immediate Correction/Plan for Correction

- Showing what has been done/is going to be done to correct the identified Non-Conformance (e.g. The missing file has been located, or The missing file will be located by the admin manager).
- Including Evidence to support the Correction, where required by the Audit Team, the name of person responsible for Correcting and the date that the Correction is due to have been completed by

The Company's Root Cause Analysis

- Showing what the Company believes caused the problem, without explaining the situation or rationalising the condition
- It should be a statement of fact without any obvious "why" questions remaining. If a "why" question can still be asked about the Root Cause analysis, this indicates that the Company's analysis did not go far enough

The Company's Corrective Actions

- Showing what the company intend to do to address the Root Cause that they have identified, so that the situation does not occur again
- Including Evidence to support the Corrective Action, where required by the Audit Team, the name of person responsible for the Corrective Action and the date that the Corrective Action is due to have been completed by

Review by the Auditor

Within 30 days of the Non-Conformance response being submitted by the Company (or in the case of Re-Audits, prior to the expiry date of the current Certificate), the Lead Auditor shall review the Company responses, and supporting evidence, for their levels of acceptance and either:

Close out the Non-Conformance based on the Company response and supporting evidence

- Accept the Company response as adequate and release the Non-Conformance for verification at time of the next Audit.
- Accept the Company response as adequate but identify the need for a "Special Visit" to review the effectiveness of the Company's implementation of their Corrective Actions
- Reject the Company response and request further information/supporting evidence to allow for acceptance

Objectives of an QCSI Ltd Audit

Stage 1 Audits

The objectives of a Stage 1 Audit are to:

- Assess your Documented Management System
- Evaluate your Locations and any site-specific conditions
- Assess your understanding of the requirements of the standard
- Agree the scope of your Documented Management System, processes and location(s) and related statutory and regulatory aspects and associated risks
- Plan the Stage 2 Audit and establish your planning arrangements for Internal Audits and Management Reviews
- Determine your readiness for a Stage 2 Audit
- Identify any areas for potential Improvement of the Management System

Stage 2 Audits, Re-Audits and Transfer Re-Audits

The objectives of a Stage 2 Audit are to:

- Evaluate the implementation and effectiveness of your Management System
- Assess your performance against key performance objectives and targets (monitoring, measuring, reporting and reviewing)
- Evaluate your legal compliance, operational control of processes, Internal Audits, Management Reviews and Policies
- Evaluate links between the normative requirements, policy, performance objectives and targets, responsibilities, competence of personnel, operations, procedures, and performance data.
- Identify any areas for potential Improvement of the Management System

Surveillance Audits and Surveillance Takeover Audits

The objectives of a Surveillance Audit are to:

- Ensure your Management System has continued to fulfil requirements between Audits
- Ensure Internal Audits and Management Review have been performed to programme
- Review actions taken on nonconformities identified during previous Audits
- Evaluate your handling of any complaints
- Evaluate the continued effectiveness of the management system, with regard to achieving your objectives
- Evaluate your legal compliance and performance
- Evaluate your progress of planned activities aimed at continual improvement
- Ensure continuing operational control
- Review any changes to your organisation since the previous Audit
- Ensure that QCSI Ltd and the Accreditation Body marks are being used correctly
- Identify any areas for potential Improvement of the Management System

Validation Audits

The objective of a Validation Audit is to:

- Ensure your Management System has continued to fulfil requirements between Audits
- Ensure Internal Audits and Management Review have been performed to programme
- Review actions taken on nonconformities identified during previous Audits
- Evaluate your handling of any complaints
- Evaluate the continued effectiveness of the management system, with regard to achieving your objectives
- Ensure continuing operational control
- Identify any areas for potential Improvement of the Management System

Unscheduled visits

The objective of an Un-Scheduled Audit will be defined separately, as each Audit of this type is unique.
For Terms and Conditions/Code of Practice, please visit the QCSI Ltd Ltd website (www.acsregistrars.com/terms.asp)

Appeals and Complaints

It is important that any issues of Appeals, Complaints and Disputes are handled in a professional manner; ensuring that they have been appropriately addressed and a reasonable effort has been made to resolve any issues arising.

If the Company feels that the findings of the Audit Team are not correct or are not appropriate and would like to challenge these findings, or if the Company are not satisfied with the conduct or professionalism of the Audit Team, then the Company has the right to submit either a formal Appeal or a formal Complaint.

APPEALS

If the Company feels that the findings of the Audit Team are not correct or are not appropriate, then an informal Appeal should be made to the Audit Team Leader during the Closing Meeting, and the findings should be questioned. At this time the Audit Team Leader may consider the Company's Appeal to be justified and in this case shall make an adjustment to the findings.

If the Audit Team Leader does not agree with the informal Appeal and the Company would like to submit a formal Appeal, the following procedure should be followed (submission, investigation and decision on Appeals shall not result in any discriminatory actions against the Company):

The Company shall contact the QCSI Ltd Office within seven days of the Audit, and advise of the intent to Appeal against the findings of the Audit Team

Upon the request to Appeal, QCSI Ltd shall provide the Company with an Appeals Form to complete. The Company should complete and return this form to QCSI Ltd within 30 days of the Audit Findings being raised. Appeals that have not been submitted in writing can go no further

The QCSI Ltd Office will contact the Company to discuss the Appeal and shall pass the formal Appeal to the QCSI Ltd Accredited Office.

If the QCSI Ltd Accredited Office agrees that the findings of the Audit Team are not correct or are not appropriate, they will overturn the findings of the Audit Team and advise the Company in writing.

If the QCSI Ltd Accredited Office agrees with the Audit Team then the Appeal Form will be passed to the Independent Appeals Panel of the QCSI Ltd Impartiality Committee, for their further review and decision

The Company will be advised in writing that the Appeal is to go forward to the Independent Appeals Panel and will be advised of the details of the panel members. If the Company is of the opinion that a member of the panel constitutes a conflict of interest, or objects to any of the Panel members, then all objections must be made in writing, within 15 days of notification by QCSI Ltd that the Appeal is to be reviewed by the Independent Appeals Panel. Any objections must clearly detail the reasons for objection, which will be considered by the Chairperson of the Panel. If they feel the objection is justified, the offending member shall be removed from the Independent Appeals Panel and an alternative shall be appointed.

The Company will then be advised in writing of the results of the Independent Appeals Panel review.

All Appeals submitted to QCSI Ltd will be subject to periodic review by the Accreditation Body, to ensure fairness and impartiality of the Appeal process.

COMPLAINTS

A Complaint about the conduct or professionalism of an employee or subcontractor of QCSI Ltd may be made at any time. The Complainant shall contact the QCSI Ltd Office and advise of the intent to complain. Upon the request to complain, QCSI Ltd shall provide the Complainant with a Complaints Form to complete. The Complainant should complete and return this form to QCSI Ltd. Complaints that have not been submitted in writing can go no further

The QCSI Ltd Office will contact the Company to discuss the Complaint and shall pass the Complaint to the QCSI Ltd Accredited Office, who will be responsible for dealing with the Complaint and coming to a conclusion, to be provided to the Complainant in writing.

If the QCSI Ltd Accredited Office response to the Complaint is not satisfactory then the Complainant may contact the QCSI Ltd Accredited Office to discuss the Complaint further

All Complaints submitted to QCSI Ltd will be subject to periodic review by the Accreditation Body, to ensure fairness and impartiality of the Complaints process