

Audit report

 Teal Patents Ltd

SOCOTEC Certification UK Ltd

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UNITED KINGDOM

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CLIENT DETAILS	
Client Ref / Tracking No(s)	UK-22987-3-QM Client Name: Teal Patents Ltd
Address:	Unit 2 Chelmsley Industrial Estate, Waterloo Avenue, Birmingham, B37 6QQ
Client Representative (Name)	Noel Doyle Client Representative (Role) Operations Director
Employee Numbers 17	

AUDIT DETAILS		
Audit Criteria: Standard(s) 1. ISO 9001:2015 2. 3. Client's documented Management System	In case of multi standards, indicate whether the audit is: Combined (multi standard, not Integrated) <input type="checkbox"/> Joint (dual accreditation) <input type="checkbox"/> Integrated <input type="checkbox"/>	Type of audit: <input type="checkbox"/> Stage 1 <input type="checkbox"/> Stage 2, <input checked="" type="checkbox"/> Recertification <input type="checkbox"/> 1 st Surv <input type="checkbox"/> 2 nd Surv <input type="checkbox"/> Special audit Please Specify

Audit Duration: 1. day onsite

Audit Dates: 16/04/2024


Scope of Certification:	The design and manufacture of portable handwash units for food, vehicle, medical and educational sectors.
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Is the documented scope of certification (above) appropriate for the activities, products and services being managed by the client's documented system, witnessed at audit? Yes No


If "No" the auditor is required to provide details below:

LEAD AUDITOR RECOMMENDATION	
Recommendation for Certification/Continued Certification (No CARs raised or CARs Closed out on site)	<input checked="" type="checkbox"/>
Recommendation for Certification/Continued Certification following off site verification of responses	<input type="checkbox"/>
Recommendation for Certification/Continued Certification following on site verification of CAR responses	<input type="checkbox"/>
Non-Recommendation for Certification/Continued Certification (evidence of major system failure)	<input type="checkbox"/>
Total number of nonconformities and observations raised*:	(* attached RP2 Form refers)

Client signature (for acceptance of the above details only)



Lead Auditor signature



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| Recommendation for Certification/Continued Certification following on site verification of CAR responses | □ |
| Non-Recommendation for Certification/Continued Certification (evidence of major system failure) | □ |

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MULTI SITE SAMPLING

Company Location(s) visited this audit:	Type of Site	Site Scope (If different from Main Scope)

ADDITIONAL CLARIFICATION

Have there been any changes since the previous audit?			Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Company Name: <input type="checkbox"/>	Site Address(es): <input type="checkbox"/>	Top Management: <input type="checkbox"/>	Employee Nos.: <input checked="" type="checkbox"/>
Processes: <input type="checkbox"/>	Products / Services: <input type="checkbox"/>	Legislation: <input type="checkbox"/>	Other: <input type="checkbox"/>
<b style="color: red;">If yes, please give details: <b style="background-color: #FFFF00;">Employee numbers have changed from 20 to 17.			
Were there any deviations from the Audit Plan?			Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
<b style="color: red;">If yes, please give details:			
Were there any significant issues impacting on audit programme (audit duration, auditor competency, sufficient coverage)?			Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
<b style="color: red;">If yes, please give details:			
Are certification documents and marks being used in accordance with requirements?			Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
<b style="color: red;">Please give details of where marks are used:			
Were there any unresolved issues by the end of closing meeting that would lead to appeal, complaint or other?			Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
<b style="color: red;">If yes, please give details:			
<b style="color: blue;">Dates of Next Audit: <b style="color: red;">(please agree provisional dates with Client)		April 2025	

By signing the first page of this report, the Lead Auditor confirms that:

- **the objectives of the audit (detailed on the F058 – Audit Plan)** have been met and that the recommendation shown on first page of this report reflects the relevance and the ability of the management system to achieve the expected results;
- the certification scope is appropriate;

Audit Team:	
Lead Auditor:	Chiko Chupa
Support Auditor(s):	
Technical Expert(s):	
Observer:	
Others: (please specify)	

This audit was completed using a sampling of objective evidence of implementation and effectiveness, taken from a combination of records and data, observed practices and activities and client personnel's knowledge and understanding of the requirements of the Management System.

Examples of objective evidence sighted are provided within each of the relevant sections of the report that follows.

REVIEW OF PREVIOUS NON-CONFORMITIES	
Were Non-Conformities raised at the previous audit?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
If yes, please summarise the effectiveness of the Corrective Actions taken, including details of the objective evidence viewed that supports your decision:	

INTRODUCTION TO CLIENT / GENERAL COMMENTS
Please provide an overview of the client's organisation giving useful information to help understanding of the context of the audit: economic, geographic situation for EMS audits, hazards for OHSMS, etc.
<i>The Organisation has been designing and developing portable hot water hand wash units since 1959. The company produces over 10000 units per year. Teal's production facility is located on an industrial estate in Birmingham with very good transport links. The majority of the units produced by the business are for vehicles. They re also used in mobile units for medical/dental practices, catering and outside events, veterinary practices, pre-school and nurseries, occupational health services and pseudo-medical.</i>

AUDIT SUMMARY

Please provide a summary of the overall position of the Management System with regards to its conformity with the Standard(s), its ability to manage the identified risks and opportunities and sponsor continual improvement.

The conclusion of the recertification audit of April 2024 is that Teal Patents Ltd has effectively maintained a quality management system in line with the requirements of ISO 9001:2015, and as a result, the audit decision is to recommend continued certification to the standard. The organization has identified its significant risks and taken action to address them. Commitment to continual improvement was also evident throughout the audit.

Reference to major and minor NC and observations

Findings:	RA					
Number of major non conformities	0					
Number of minor non conformities	0					
Number of observations	0					

POSITIVE FINDINGS

Commitment from top management to the management system was evident throughout the audit. The business has an effective QCF system for corrections and corrective actions following customer complaints and returns. The work environment is clean and very well organized. The business has high employee retention rates.

OPPORTUNITIES FOR IMPROVEMENT

The organisation has identified risks and also listed actions to mitigate risks. The organisation could benefit from clearly outlining which actions apply to each risk in their risk document DOC18 SWOT analysis.

AUDIT TRAIL

BASIS OF THE MANAGEMENT SYSTEM

The auditor is required to provide details of the Context of the Management System as determined by the organisation. Include details of the Internal & External influences and Interested Parties' Needs & Expectations that the organisation has identified and the Risks & Opportunities it has documented, that result from these.

Process Function Clause	Evidence collected (interviews, documents...)
4.1 Understanding the organization and its context	<p>Internal and external issues are recorded in the context of the organisation document DOC16 issue 1. Issues listed include:</p> <ul style="list-style-type: none"> • Vehicle unit compliance • Customer requirements for function of units – Loss of sales • Development of units for NHS – opportunity for growth • Product development • Customer base - risk if one reduces demand • Economic climate - potential offshore growth • Hire units - offer capital free solution to customers <p>There are 3 directors and 3 shareholders.</p> <p>Legislation, regulation and standards followed include: CE Marking VCA accreditation BSEN 60335 EMC Low voltage directive</p>
4.2 Understanding the needs and expectations of interested parties	<p>Interested parties are covered in document DOC17 Issue 1. No changes has been made in the last year. The interested parties listed included customers, suppliers, shareholders, distributors, NHS and motor trade.</p> <p>VCA audit is planned for 23rd April 2024.</p> <p>The loss of Clares as a customer was discussed in the last management review meeting. It was due to pricing compared to imported sinks.</p> <p>Teal is in the process of developing a relationship directly with a Chinese manufacturer.</p>
4.3 Determining the scope of the quality management system	<p>The scope of the management system has been defined as: The design and manufacture of portable handwash units for food, vehicle, medical and educational sectors.</p> <p>This scope is suitable and there have been no changes to it in the last reporting year.</p>
4.4 Quality management system and its processes	<p>The Organisation defines how it addresses the requirements of ISO 9001 in its Business Manual DOC0 – Issue 3, February 2018</p> <p>The business has established processes including: PROC 1 Issue 1 Marketing and enquiry process PROC 5 Issue 4 Product design process PROC 6 Issue 1 Production process</p>

LEADERSHIP	
Process Function Clause	Evidence collected (interviews, documents...)
5.1 Leadership and commitment	The opening meeting was conducted with the operations director ND. During the audit, an interview with the managing director was also conducted who described their credit control strength and how the small team works together to provide excellent products and services. All 3 directors are involved in the management review produce. The quality policy is authorized by the managing director. The 3 directors discuss the objectives for the year. the directors have brought in a consultant to ensure the effective maintenance of the quality management system. Senior management has provided the resources required by the business. Resources are reviewed regularly and also at management review meetings.
5.2 Policy	The quality policy DOC 2 Issue 3 was last reviewed 15 th March 2023 and signed by the managing director. No changes were made to the quality policy in the last year and it includes all the required commitments. The policy was seen displayed on the notice board in the factory and is also available on the system.
5.3 Organizational roles, responsibilities and authorities	The organisational chart is documented in DOC 1 issue 4. The document includes: Manty Stanley – Managing director Noel Doyle – Operations director Chris Whieldon – Sales Director Jeff Summers – Site Supervisor Peter Blay – Systems Consultant Production Operatives Sales Office Guy Whieldon – Marketing

PLANNING	
Process Function Clause	Evidence collected (interviews, documents...)
6.1 Actions to address risks and opportunities	Risks and opportunities are over in document DOC18. This document includes a SWOT Analysis and a list of risks and opportunities. Risks listed include: <ul style="list-style-type: none"> • De-valuation of pound • Competitors • Material price increases • Health & safety incident • IT issues – virus/hacking • Loss of intellectual property • Loss of key staff • Premises fire Actions to mitigate risks include: <ul style="list-style-type: none"> • Mezzanine floor installed – additional capacity for storage • Sage introduced – implementation support • Ongoing product development • Update ISO system to meet 2015 standard • Observations from audits rated as risk or opportunity • Knowledge reviewed and mitigation actions planned

	<ul style="list-style-type: none"> • Fire alarms linked to ADT • Product licensing – Australia • Staff appraisals • Medi-wash development • Standard PCB developed <p>Opportunities include:</p> <ul style="list-style-type: none"> • New products • Offshore markets • Audit observations • Improved stock management • electric vehicles <p>OFI – The organisation has identified risks and also listed actions to mitigate risks. The organisation could benefit from clearly outlining which actions apply to each risk in their risk document DOC18 SWOT analysis.</p>
6.2 Quality objectives and planning to achieve them	<p>The objectives listed for the last reporting year include:</p> <ul style="list-style-type: none"> • Develop product offering for the shopfitting industry – ongoing • Develop vehicle unit fir welfare unites – prototype unit in production <p>An addition objective for 2024 was to reduce QCF level to 2022 rate.</p> <p>These objectives where seen discussed in the management review meeting.</p>
6.3 Planning of changes	<p>There have been no significant changes in the last reporting year.</p>

SUPPORT	
Process Function Clause	Evidence collected (interviews, documents...)
7.1 Resources	<p>The organisation is in a premises suitable for its operations. The premises include office areas, workshop areas and storage areas. The work areas are clean and well organized. Equipment required for the operations was seen to be provided during the audit. People, equipment and premises were seen discussed in the minutes of the last management review meeting. A new delivery van was purchased.</p> <p>The business has 1 forklift truck which is not regularly used. It is served once a year and the next service is due on 07/02/2025.</p> <p>Calibration Digital Multimeter 85904802 calibrated 07/02/24 Digital Multimeter 85904818 calibrated 07/02/24 Digital Thermometer 10060317 calibrated 07/02/24 PAT tester 13451270 calibrated 03/10/23 PAT tester 13451294 calibrated</p>
7.2,7.3 Competence and Awareness	<p>The organisation maintains a training matrix which was last checked on 08/04/24 by the operations directors.</p> <p>People and competence James Jewkes</p>

	<p>Seen in compact area training matrix scoring 45%. He is a temp worker from the employment agency and it yet to be fully employed by Teal. Induction training dated 29/01/24 including review of policy</p> <p>Stephen Clayton Seen on Handeman Xtra training matrix scoring 100%. Forklift training – 15/08/19 Moving and handling training – 14/08/18</p> <p>Jeff Summers Seen on Handeman Xtra training matrix scoring 100%. Forklift training - 12/08/19 First aid training – 12/02/13 Moving and handling training – 14/08/18</p>
7.4 Communication	Internal communication is via face-to-face meetings, email and phone. Communication with customers is via website, email and phone.
7.5 Documented information	Document control was evident throughout the audit. All documents have reference numbers and issue numbers. Documents are deemed uncontrolled when printed.

OPERATION	
Process Function Clause	Evidence collected (interviews, processes observed, documents...)
8.1 Operational planning and control	<p>Evidence of jobs reviewed in 8.5.</p> <p>Some minor changes to products/process in the last year included:</p> <p>Change 122 – 22/02/24 - Design change to allow polystyrene board cover (Handeman) to fit without trimming. Signoffs seen from the production team and management.</p> <p>Change 121 – 11/11/23 – Tap bracket modified to fit sensor hood. Signoffs seen from the production team and management.</p> <p>Change 120 – 29/09/23 – Side rectangle changed from 10x2 to 15x2.5 to allow velcro strap to fit. Signoffs seen from the production team and management.</p>
8.2 Requirements for products and services	The business maintains processes, procedures and work SOPs. Other requirements are also communicated via phone and email. Evidence seen during the audit as outlines in 8.5.
8.3 Design and development of products and services	<p>Design and development</p> <p>The organisation has established product design process PROC5 Issue 3. This process includes design inputs, planning, outputs, verification, and validation.</p> <p>No design activity in the last year.</p>
8.4 Control of externally provided processes, products and services	<p>Key external providers include:</p> <p>JSC – Mouldings Trueform – Vacforming Mid-Fab – Metal works GEM – PCBs</p>

	<p>Thermaglow – Elements</p> <p>All over 10 year relationships.</p> <p>External providers reviewed at management review with no significant issues.</p> <p>Min-Max system used for raising purchase orders.</p> <p>Goods in Mid-Fab Purchase order 17070 dated 07/03/24 2 Items to be delivered by 08/04/24 Received 03/04/24</p> <p>Thermaglow Purchase order 16890 dated 21/11/23 1 item 210 qanntity to be delivered by 09/01/24 Received 09/01/24</p>
<p>8.5 Production and service provision</p>	<p>Jobs sampled during the audit:</p> <p>Sample 1 Website order – 12/04/24 – Buckingham and plant hire Order no. 13866 Purchase order no. POP203806 Product - Teal wash 12 x1 New customer – payment checked on payment system Invoice dated 12/04/24 – Invoice no. 102201 Serial no. 61407 Collected by APC 12/04/24 Delivered 15/04/24 by APC to Cathy</p> <p>Sample 2 PO sent via email - Commercial body fittings – existing customer Account ref – COMM001 Purchase order no. 0000103909 dated 05/04/2024 27 hand wash units required by 09/04/24 Serial numbers include 5078034/35 79435-39 Invoice 102208 dated 12/04/24 Booked with APC 12/04/24 for collection same day Delivery note 104560 dated 12/04/24</p> <p>Sample 3 HSS Hire – existing customer – HSSH001 Purchase order H2703360/965 date 17/10/23 Order 103257 dated 17/10/23 12 SUPER STALLETTES required by 06/11/23 Invoice 101048 02/11/23 Serial number 2013450/448/449 – PAT tested 25/10/23 Booked with APC for collection on 02/11/23 Delivery note 103257 dated 02/11/23</p> <p>Sample 4 NHS Grampian – existing – NHSG002</p>

	<p>Purchase order N13209735 dated 10/08/23 2 Hygienius units required Order 102679 Serial no. 17776/17804 – PAT tested 07/08/23-14/08/23 Invoice 100445 dated 15/08/23 Delivery note 102679 dated 15/08/23</p> <p>Sample 5 – Hire L Derby and Son Hire form 103581 dated 28/11/23 Purchase order 48306/9152 dated 28/11/23 3 Stalletes required for 1 week by 01/12/23 Invoice 101274 dated 30/11/23 Serial no 2011893/2011869 Delivery note 103581 dated 30/11/23 APC collected 30/11/23 - delivered 01/12/23 Collected from customer by APC 07/12/23</p>
8.6 Release of products and services	All jobs are completed by qualified operatives. Competition is monitored via the training matrix. All products go through leak tests, voltage tests and PAT testing as required. Products are also checked before being put into stock and also before dispatch.
8.7 Control of nonconforming outputs	Where nonconformities occur, correction, corrective action and relevant communication is required. The QCF process is used to manage NCs.

REVIEW & IMPROVEMENT	
Process Function Clause	Evidence collected (interviews, documents...)
9.1 Monitoring, measurement, analysis and evaluation	<p>There have been no changes in the routine measures, financial matters being the key focal point. Sage activity and the training matrix are still being monitored regularly. QCF levels for 2023 increased from 76 in 2022 to 105 in 2023.</p> <p>The increase was caused by an issue with the PCBs. The issue was investigated and the root cause was a change in vehicle voltage. 2 components on the PCB have been changed to resolve the issues. All units reported where returned, fixed and returned to customers.</p>
9.1.2 Customer satisfaction	<p>There was 1 significant customer loss in the last year. This was due to prices being compared to a cheaper supplier abroad.</p> <p>Customer satisfaction has generally been good in the last year. QCFs did increase in the last year which was due to 1 issue which has now been resolved full stop</p>
9.1.3 Analysis and evaluation	<p>The business is experiencing steady growth and still profitable. Staff numbers have slightly reduced but profit has still increased.</p> <p>Supplier performance has been good in the last year.</p>
9.2 Internal audit	The last internal audit was conducted on 15/02/2024 by PB, covering ISO 9001:2015 requirements. This internal audit found no NCs and 2 observations. 1 was about PAT testing of a glue gun and other about office signatures missing on ECN forms.

<p>9.3 Management review</p>	<p>The last management review meeting was conducted on 21/02/2024 and attended by M Stanley, C Whieldon, N Doyle and P Blay. The areas required by the standard were covered in the meeting minutes.</p> <p>Management review Actions include: Marketing maetrails to be developed – in progress ABS enlocsure for compact unit being developed – in progress Comparable data for productivity to be researched – in progress Potential to review design for stallette units – in progress</p>
<p>10 Improvement</p>	<p>Improvement actions were observed during the audit as outlined in these audit report notes.</p>
<p>10.2 Nonconformity and corrective action</p>	<p>The business uses the QCF process to manage NCs/ customer issues. Some of the QCFs in the last year included:</p> <p>QCF 21517 dated 13/09/23 – Emergency one – PCB issue – changed to new board and added to stock. Replaced unites for customer. PCB compotent changed for future PCBs.</p> <p>QCF 21523 dated 13/09/23 – Olivia – Power box/ pump failure – Replaced pump and sent back to customer. Repeated problem but not frequent enough to change the pump.</p> <p>QCF 21227 dated 20/03/23 Vangaud – Compact leaking – Replaced tap and washer then sent back to customer.</p>
<p>10.3 Continual improvement</p>	<p>Actions are raised from various sources including audits, management review meetings, other reviews and customer issues as detailed in these notes. Prompt correction and corrective action was evident during the audit.</p>