

# Assessment Report

## Whitaker Oil Company

---



**Report Author**

Richard Auringer

**Visit Start Date**

03/11/2010



## Introduction

---

This report has been compiled by Richard Auringer and relates to the assessment activity detailed below:

Visit ref/Type/Date/Duration	Certificate/Standard	Site address
7307231 Re-certification Audit (RA Opt 2) 03/11/2010 2 day(s) No. Employees: 20	FS 39035 ISO 9001:2008	Whitaker Oil Company 280 Enterprise Street Ocoee Florida 34761 USA

### Client management system version(s):

Quality Manual / Revision 5 / August 20, 2010

The objective of the assessment was to conduct a re-assessment of the existing certification to ensure that all elements of the proposed scope of registration and the entire requirements of the management standard are effectively addressed by the organization's management system.

As this visit is part of a multi-location certificate, the final recommendation will be contingent on the findings from all assessments by the BSi CCM.

## Management Summary

---

- We are pleased to recommend the continuation of your registration. As this visit is part of a multi-location assessment, the final recommendation will be contingent of the findings from all assessments by the BSi CCM.
- This is an interim report showing findings at the Ocoee, Florida location. Findings from this assessment will be reviewed, graded (as applicable), and incorporated in the final report with the final recommendation by the BSi CCM.
- The areas assessed during the course of the visit were found to be effective.
- The Ocoee facility was found to be a well managed operation, with dedicated, conscientious employees.
- There were no outstanding nonconformities to review from previous assessments.
- No new nonconformities were identified during the assessment. Enhanced detail relating to the overall assessment findings is contained within subsequent sections of the report.
- Please thank everyone for the openness, cooperation, and hospitality provided to the BSi auditor.

## Areas Assessed & Findings

### Organization & QMS Changes

No organization changes have taken place since the last BSi audit. The quality manual was revised to meet ISO9001:2008 requirements.

### Management

The management review process continues to be centrally managed and conducted at the Atlanta headquarters location by the Atlanta QA Manager. Review of the February 12, 2009 management review meeting minutes found that all required inputs and outputs were addressed and that the process was effective in meeting the requirements of the ISO 9001:2008 standard, and included QMS performance, and customer satisfaction performance for each site.

Review of the following Ocoee Key Target performance metrics reported for 2009 and 2010 YTD found that the organization has continued to maintain an effective QMS, drive continuous improvement, and meet customer requirements.

<u>2009 Targets</u>	<u>2009 Performance</u>	<u>2010 Performance YTD</u>
99.8% blending accuracy	100% (no reworks)	100% (no reworks)
99.85% correct packaging	100%	100%
99.8% order entry accuracy	100%	100%
99.8% sales pricing accuracy	99.9%	99.9%
99.9% correct lab analysis	100%	100%
99.5% on time delivery	100%	100%
99.5% Complaint Analysis Accuracy	99.8%	99.5%

Various continuous improvements implemented since the last BSi audit included the following:

- Corporate servers have been upgraded
- Atlanta installed a "white room" that now allows processing and packaging of bulk USP & kosher products into smaller size containers for sale
- Recycling of e-waste, paper, aluminum cans, and plastics

Based on the above performance, the management process was found effectively implemented and clearly demonstrates management's commitment to the QMS and its customers.

### Internal Audit

The internal audit process was found effective as the organization has continued to utilize an independent, qualified auditor to assess the QMS in accordance with timing requirements stipulated in the 2009 & 2010 internal audit schedules. Review of audit records found that all 2009 audits had been completed in accordance with the 2009 audit plan. Review of records also found that all audits scheduled for 2010 YTD have been completed by a qualified lead auditor, that the auditor had conducted thorough, comprehensive audits, and that there are no past due NCRs. Records were well maintained and showed clear objective evidence of what was sampled and results. A high degree of confidence can be placed on this process.

## Corrective & Preventive Action

This process appears effective as evidenced by Ocoee having received 15 customer complaints for 2010 YTD, of which only 2 customer complaints were attributed to actual product discrepancies and WOC responsible. Review of the 2 customer complaints records found that the organization had provided timely replacement to the customer, determined root causes, and implemented corrective actions at Atlanta to prevent recurrence.

## Order Entry

This process was found effectively implemented as evidenced by the organization having achieved its target for order accuracy since the last BSi audit. In addition, review of on-going phone orders, posted orders, and associated records found that the organization has effectively followed the Job Instruction CUS-05OC (Revision 8) document.

## Purchasing

This process was found effectively implemented as evidenced by review of various purchase orders (#3139, 31470, 31422, 31404) which found that orders had been placed with approved suppliers, and clearly specified the raw materials ordered and applicable requirements. In addition, costs associated with premium freight and expired age sensitive product (polyester-resins) have been minimal. Further review found that all raw materials, including shipments from Atlanta, are tested against controlled product specifications prior to release.

## Operations

This process was found effectively implemented as evidenced by the organization continuing to meet and/or exceed targets for blending accuracy, correct packaging, on-time delivery, and complaints analysis accuracy. In addition, review of on-going activities found that raw materials, blended products, products undergoing transfer, warehoused products, and staged products had applicable product identification and lot traceability. Out of spec product was found properly identified with reject -do not ship labels applied and segregated in accordance with the SOP08.3.01 (Revision 4) document. A sampling of a special blend also found that the organization had followed the batch sheet - inventory change report which prescribes the specific raw materials and quantities to be used. Lab personnel were found to have completed required odor, color, API gravity, and specific gravity testing prior to product being moved into the warehouse.

## Lab

This process was found effectively implemented as evidenced by review of recent tests and records completed for an outgoing shipment of mineral spirits (lot #0309105169953), an outgoing shipment of #11 lacquer thinner (lot #4169908), and a special blend (Lot #26679) which found that the lab tech had tested each lot with current calibrated IM&TE (hydrometer & thermometer), against the applicable controlled product specification, and came within specification requirements. Lot sample bottles were also found properly identified to maintain traceability, and retained for 2-3 weeks.

## Infrastructure

This process was found effectively implemented as records reviewed showed that key plant equipment (air compressors, forklifts, scales, dryer) had had required maintenance activities performed in accordance with subcontractor recommendations. All scales were found in current calibration, and NIST traceability calibration certificates maintained on file in the lab. In addition, records reviewed showed that monthly safety inspections have been completed and documented since the last BSi audit.

## Training

This process appears effective as evidenced by review of the Training Matrix and a sample of employee training files which found that employees were current with Hazcom, forklift, and job specific training. No new employees have been hired since the last BSI audit, subsequently, no new employee orientation training has been completed in 2009 nor 2010 YTD. One employee will have to complete the training upon return from maternity leave.

## Document & Records Control

This processes appear effective as evidenced by no obsolete procedures, forms, nor product specifications being used and/or available for use by employees in accordance with the Document and Data Control SOP4.2.3 (Revision 4) document. In addition, all records requested during this audit were made readily available for auditor review and found controlled in accordance with the SOP04.2.4 (Revision 2) document and Management System Record Chart.

## Shift Details

Site		Shift 1	Shift 2	Shift 3	Shift 4	Night shift	Week-end	Total site employees
Ocoee, Florida	Exists?	✓						20
	Audited?	✓						

## Assessment Participants

On behalf of the organization:

Name	Position
Lyle Jackson	Lab Tech
Alan Hartle	Operations
Ray Wilson	Operations
C. J. Jones	Operations
Mike Royal	Operation
Pat Sky	Customer Service
Barbara Fambrough	Customer Service
Rodney Fambrough	Plant Manager
Mike O'Brien	QA Manager
Dan Davidson	Vice President
William Vandenberg	Quality Auditor

The assessment was conducted on behalf of BSI by:

Name	Position
Richard Auringer	Team leader

## Continuing Assessment

---

The program of continuing assessment is detailed below.

Site Address	Certificate Reference/Visit Cycle	
Whitaker Oil Company 280 Enterprise Street Ocoee Florida 34761 USA	FS 39035	
	Visit interval:	12 months
	Visit duration:	12 hours
	Next re-certification:	07/01/2012

Re-certification will be conducted on completion of the cycle, or sooner as required. An entire system re-assessment visit will be required.

## Re-certification Plan

		Visit 1	Visit 2
<b>Business area/Location</b>	<b>Date (mm/yy):</b>	2/11	7/12
	<b>Duration (days):</b>	1.5	2
Order Entry			✓
Purchasing			✓
Operations		✓	✓
Training			✓
Lab Process		✓	✓
Infrastructure		✓	✓
Document & Record Control			✓
Organization & QMS Changes		✓	✓
Management		✓	✓
Internal Audit		✓	✓
Corrective & Preventive Action		✓	✓
Re-Assessment Planning		✓	
Recertification Audit			✓

## Next Visit Plan

---

**Visit objectives:**

Complete a 1.5 day surveillance to the ISO9001:2008 Standard.

**Visit scope:**

Areas/processes listed below

Date	Assessor	Time	Area/Process	Clause
02/23/2011	Richard Auringer	8AM	Opening meeting	
		AM	QMS & organization changes	
		AM	Management	
		AM	Internal Audit	
		AM	Corrective & preventive action	
		Noon	Working Lunch	
		PM	Operations	
		PM	Lab	
		4pm	Wrap up meeting	
02/24/2011	Richard Auringer	8AM	Infrastructure	
02/24/2011	Richard Auringer	AM	Close audit trails/open issues/ complete report	
02/24/2011	Richard Auringer	Noon	closing meeting	

Please note that BSI reserves the right to apply a charge equivalent to the full daily rate for cancellation of the visit by the organization within 30 days of an agreed visit date. It is a condition of Registration that a deputy management representative be nominated. It is expected that the deputy would stand in should the management representative find themselves unavailable to attend an agreed visit within 30 days of its conduct.

## Notes

---

The assessment was based on sampling and therefore nonconformities may exist which have not been identified.

If you wish to distribute copies of this report external to your organization, then all pages must be included.

BSI, its staff and agents shall keep confidential all information relating to your organization and shall not disclose any such information to any third party, except that in the public domain or required by law or relevant accreditation bodies. BSI staff, agents and accreditation bodies have signed individual confidentiality undertakings and will only receive confidential information on a 'need to know' basis.

'Just for Customers' is the website that we are pleased to offer our clients, designed to support you in maximizing the benefits of your BSI registration - please go to [www.bsiamericas.com/JustForCustomers](http://www.bsiamericas.com/JustForCustomers) to find out more.

Should you wish to file an appeal then this must be completed in writing and to the address below. The appeals process will be completed within 30 days of the date of this report.

As part of BSI's Terms, it is necessary for you to notify BSI of any of the following: Major changes to Management System; Change of ownership, merger or acquisition; Significant change to employee numbers; Introduction of new products/processes; Introduction of new customers; Initiation of customer-enforced sanctions. Notification should be made to your Client Manager within 5 business days of occurrence. Your Client Manager will evaluate the impact of the notification, review this with the BSI Scheme Manager and contact you as necessary to discuss any additional activities required as a result.

This report and related documents ("Report") is prepared for and only for BSI's client and for no other purpose. As such, BSI does not accept or assume any responsibility (legal or otherwise) or accept any liability for or in connection with any other purpose for which the Report may be used, or to any other person to whom the Report is shown or in to whose hands it may come, and no other persons shall be entitled to rely on the Report.

Should you wish to speak with BSI in relation to your registration, please contact our Operations Support Team:

BSI Management Systems  
12110 Sunset Hills Road  
Suite 200  
Reston  
VA  
20190

Tel: +1 (800) 862 4977 Fax: +1 (703) 437 9001