



SRI Quality System Registrar

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ISO 9001:2015

Stage 1 Readiness Review Report

CONFIDENTIAL

Report
For

JEMISON METALS, INC. Birmingham, Alabama

Date of Report:	January 9, 2019
Date(s) of On-Site Readiness Review:	January 8, 2019
Number of total mandays scheduled for this activity:	1.0
Number of total mandays actually conducted:	1.0
Nonconformances (CAN numbers) issued this audit:	None
Nonconformances (CAN numbers) closed this audit:	None
Report Prepared by SRI Lead Assessor:	Donald Simmons

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Director, Certification:
Michael R. Militzer

A handwritten signature in dark ink, appearing to read 'M.R. Militzer', is written over a light gray rectangular background.

Date: January 9, 2019

*Ownership of the audit report is maintained by SRI.
Right of perusal by a third party can only be obtained after permission of the audited company.*

1. Executive Summary

A Stage 1 On-Site Readiness Review was conducted by ISO 9001:2015-certified SRI Lead Assessor(s) Donald Simmons. The primary contact for the auditee was Rick Rowland, Sr. VP Quality & Engineering.

The description of the company audited, products, organizations, and scope are identified in the "Auditee Information" (R20.62) section of this report. The purpose of the audit was to determine the auditee's present state of readiness to proceed with a Stage 2 Registration Audit.

The work of the audit team was conducted under the applicable SRI audit policies and procedures. SRI holds current accreditation by ANAB and RvA as a certification body.

The Stage 1 On-Site Readiness activity included a complete review of the company's Manual and SRI Form R20.44KO Process Matrix. The Stage 1 Audit was performed to evaluate the client's location and site-specific conditions and to undertake discussions with site personnel to determine preparedness for the Stage 2 Registration Audit.

The auditee was able to demonstrate a present state of readiness, and the Lead Assessor has recommended proceeding with the Stage 2 Registration Audit.

General observations made by the audit team:

- The certificate scope was found to be appropriate.
- The audit objectives have been fulfilled.
- There were no deviations from the audit plan.
- There were no issues affecting the audit program.
- There were no unresolved issues at the end of the audit.

The audit evidence collected during an audit will inevitably be only a sample of the information available, partly due to the fact that the audit is conducted during a limited period of time and with limited resources. Therefore, there is an element of uncertainty inherent in all audits, and all users of the results of the audit should be aware of this uncertainty.

The audit team would like to thank all personnel for their hospitality and cooperation during this audit activity.

2. Auditor Commentary

Results of Manual Review:

The manual meets the requirements and is acceptable.

Documents Reviewed:

Jemison Metals Quality Manual Revision Revision B, January 7, 2019. The Quality Policy, Scope, context of the organization and all sections of the standard, and incorporation of the Level 2 documents (procedures) into the manual were reviewed. As the standard does not require a manual, the current revision of the manual has documented the Quality Policy, for example as part of the document and is not a stand-alone document. The manual meets the requirement of the standard.

Auditor Comments (Important Observations):

The organization has a good understanding of the context with development of interested parties, issues, and risk and opportunities related to each internal and external party. The system is equipped with Management Review and Corrective Action impact on the Risk Management and opportunity requirements. KPIs have been developed, with Top Management setting goals for each KPI related to each core process.

The internal audits are detailed and able to identify weaknesses within the Quality Management System (QMS) in the form of findings and observations. The internal audits leading up to the Stage 1 audit identified 23 corrective actions (all closed) and several observations (OFIs). The auditors are not allowed to audit their own area of responsibility and are trained. The Management Review is well documented and meets the standard requirement for input and output activities. Top Management is well represented, including representatives from each of the satellite operations. The reviews are highly detailed, and the minutes are complete with follow-up activities, including internal audits of suspected areas of the QMS. Reviewed the Corrective Action process to ensure the changes in the 2015 standard revision have been captured and implemented. Reviewed CARs 14603 and 15421 as meeting standard requirements. Additional follow-up activities to CARs as required by QMS, an internal audit was conducted to ensure the issue is resolved, fully implemented, and effective.

Appropriate Scope of Certification:

Remain as stated on R20.62

Areas Identified as Not Applicable:

8.3 Design and development of products and services

Review of Outsourced Processes:

The organization has a total of three outsourced processes as follows: Calibration, Pickling, and, Slitting.

Regulatory and/or Statutory Requirements Identified:

REACH, ROHAS, Conflict Minerals

Readiness Materials Comments:

Quality Manual, Internal Audits and Management Review - please see discussion provided below. Reviewed context and risk mitigation of the organization - please see auditor comments for more details. Customer complaint logs, corrective actions, and actions related to customer complaints were reviewed.

Stage 1 Comments:

The organization has developed KPIs for the core processes as listed on R20.44KO with established goals, trends, and actions taken to meet the goals. Please see auditor comments for listing of the KPIs and established goals. Customer satisfaction is based on customer input, i.e., scorecards, complaints, and internal measures, such as OTD, Quality and Returns. The organization utilizes Test reports, Mill reports and other means to ensure conformance with the stated Regulatory and Statutory requirements, including Risk Aspects.

The needed resources have been discussed and provided for Stage 2 Registration Audit at all sites that are scheduled to be audited. The completion of the internal audits was prior to the Management dated, August 27, 2018. The internal audits are process based and generated 23 findings, which are completed. The internal audits restrict auditors from auditing their own area of responsibility and include review of procedures directly impacting the process being audited. Process audits are also performed on processes revolving around manufacturing activities that are part of improvement activities. The process audits impact quality/internal audits and have minimized customer complaints. Auditor training is tracked and utilizes mentor and instructional method of training. The Management Review is complete and addresses all input and output requirements. The presentation is slideshow-based with meeting minutes capturing that include action items to be addressed and assignments to Management to complete the action items. Based on the level of detail both in the process based internal audits, process audits, and Management Review with follow-up activities, the processes are effective.

Headquarters is located in Birmingham, Alabama, and the satellite locations Gadsden, Alabama, Madison Heights, Virginia, and Cleveland, Ohio, have been reviewed and prepared to conduct the Registration Audit. Reviewed the internal audits for those locations, and the input to the Management Review provides ample data to proceed with Stage 2 audit.

Notable Changes:

None

Readiness Status:

☒ Ready to proceed with a Stage 2 Registration Audit on

Date: 1/9/2019

Duration: 11.0

3. Audit Records

Form R20.44: This form was completed by the auditee, reviewed by the Lead Assessor, returned to SRI, and is on file.

4. Report Distribution

Distribution by SRI is only to the organization, the auditor assigned for the next scheduled audit event, and SRI, and any accreditation body, when requested, where their oversight is required.

R20.62 Auditee Information

Auditee: Jemison Metals, Inc.

Auditee No: 6796-01

Address: 3800 Colonnade Parkway
Suite 250
Birmingham, AL 35244
Main Phone Number: 205-986-6627
Web Site: <http://jemisonmetals.com>

Auditee Contacts

Mr. Rick Rowland, SR VP Quality & Engineering, Metallurgical Engineer
Jemison Metals, Inc.
3800 Colonnade Parkway, Suite 250, Birmingham, AL 35244
Tel: 205-986-6627
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Audit Event

Stage 1 Readiness Review: 01/08/2019 Total Mandays: 1.0
Donald Simmons, Lead Auditor

SRI Customer Care Coordinator: Linda Snyder
Coordinator Phone: 724-934-9000 ext. 642
Coordinator Email: lsnyder@sriregistrar.com

Audit Scope

Standard: ISO 9001:2015 (non-design)
Areas Identified As Not Applicable: 8.3 Design and development of products and services
Scope: Processing and distribution of ferrous and non-ferrous sheet metal products.
SIC Codes: 5051
IAF: 29
NACE Codes: G51.5
No. of Employees: 28
Products: Steel
Regulatory/Statutory Requirements: REACH, ROHAS, Conflict Minerals
Accreditation Mark(s): ANAB
Registration Approach: Sampling
No Shifts: 1
Times of Shifts: 8:00am-5:00pm

Corrective Actions List

No nonconformities were identified during this audit event activity.

CLIENT INSTRUCTIONS: The management representative or delegate is to indicate the processes needed for their management system (refer to section 4.4.1 of ISO 9001:2015) in the blank area under “auditee process” along with the appropriate process owner and placing an “X” in the matrix indicating the clause(s) that support the noted process. **These processes must match those identified in your quality management system documentation.** See notes below.

This is not a responsibility matrix. This completed matrix or an equivalent, is required to plan upcoming audit activities i.e., registration, surveillances. (See example of Delivery, note this may not reflect your actual practices.) Please return to SRI.

PLEASE PRINT

Company Name	Jemison Metals
Plant/facility	Birmingham AL (Corporate)
Completed by & Date	Rick Rowland, 10/16/18

X = Identifies auditee processes, process owner, and corresponding applicable clauses		Applicable Clauses																						
		4	5	6.1	6.2	6.3	7.1	7.2	7.3	7.4	7.5	8.1	8.2	8.3	8.4	8.5	8.6	8.7	9.1	9.2	9.3	10.1	10.2	10.3
Auditee Process	Owner																							
example only Delivery	General Foreman	X	X		X		X		X			X	X					X	X	X	X	X	X	X
COP #1 Sales (Quotation/Contract Review)		X	X	X	X		X			X	X	X	X		X	X	X	X	X	X	X	X	X	X
Award Review QMP 8.1 (Planning)		X	X	X	X		X			X	X	X	X		X	X		X	X	X	X	X	X	X
SOP #2 Purchasing		X	X	X	X	X				X	X	X	X		X	X	X	X	X	X	X	X	X	X
Support Activities		X	X	X	X	X	X	X	X	X	X	X	X		X	X	X	X	X	X	X	X	X	X