MEMUN9-2015-SA1-RPT

CONFIDENTIAL

MANAGEMENT SYSTEM (MS) AUDIT REPORT
For
Technical Services, Memorial University

DATE OF AUDIT:	February 16 & 17, 2015
DATE OF REPORT:	March 15, 2015 (finalized on April 3, 2015)
AUDIT CRITERIA:	**ISO 9001:2008** APPLICABLE DOCUMENTS: MS Documents (Manual, Procedure, Work Instruction, Forms) QUASAR Audit Documents
AUDIT TYPE:	Surveillance Audit 1
SCOPE OF THE MANAGEMENT SYSTEM:	Technical Services provides electronic and mechanical design, fabrication and repair services to the Research, Academic and Administrative activities of Memorial University and the External Community. These services include refrigeration, machining, welding, model making and glass blowing EXCLUSION(S): None

SITES: (* - visited at this audit):

*	# of Employees	Address
*	67	Technical Services Memorial University, Chemistry Building Room C1026, 253 Prince Philip Drive, St. John's, BL A1B 3X7

AUDIT TEAM:	Lead Auditor: Ray Kavanagh Auditor: N/A
MANAGEMENT REPRESENTATIVE:	Rick Meaney, Director, Technical Services James Titford, Quality Assurance Project Manager
LANGUAGE OF AUDIT:	English
LANGUAGE OF DOCUMENTATION:	English
CONFIDENTIALITY:	QUASAR ensures that client information will be maintained in confidence.
SIGNATURE OF LEAD AUDITOR:	Ray Kavanagh

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CONCLUSIONS

One nonconformity was found during the audit. Subject to review and acceptance of the proposed disposition and corrective action by the Registrar I recommend continued registration to ISO 9001:2008.

With regards to the AUDIT OBJECTIVES, the MS has demonstrated:

a)	Conformity to the AUDIT CRITERIA.	No
b)	The ability to meet applicable statutory, regulatory and contractual requirements.	Yes
c)	Effectiveness of the MS to ensure that specified objectives are met.	Yes

AUDITOR COMMENTS

The Technical Services Memorial University Management System (MS) is developed and implemented and continually improved through controlled processes that are aimed meet customer, statutory and regulatory requirements. The Technical Services Division is headed by a Director who is an effective team leader. The Quality Management System is monitored and managed on a day to day by basis by the Quality Assurance Project Manager who demonstrates interest and ability. Promotion of the Quality Assurance Project Manager from his current union position to a management position would place him on the management team with the Director and other senior officials in the Technical Services division and this would be both positive and progressive. As a member of management he could be appointed by the Director to the position of Management Representative. As you know ISO 9001:2008 requires the Management Representative to hold a management position. The Quality Assurance Project Manager is doing an acceptable job but his current status does not have the formal responsibility and authority to make decisions and allocate resources to ensure that every employee is becoming the best she/he can become in performing assigned processes right the first time every time.

Surveillance Audit 1 included an audit of selected processes in the MS to ISO 9001:2008 and additional Technical Services Management System (MS) requirements. The focus was primarily on management and quality assurance. The audit methods included a review of documentation, interviews, review of records and observations. The audit interviews, review of documents and records, and observations throughout the provided evidence that the MS is somewhat effective with regards to achieving objectives. The regulatory and statutory framework applicable to operations was found to be effectively implemented. The implementation of the procedures for control of nonconformances, and corrective actions are functioning to notify management of any breaches. Training in root cause analysis would be beneficial for the Quality Assurance Manager other Supervisory personnel in the various shops. One nonconformity was found during the audit and details are included in the next paragraph. The opportunities for improvement (OIs) included in this report would strengthen the MS, and it would be worthwhile to review OIs in all internal and external reports to ensure that corrective action was/is implemented and followed up to investigate effectiveness.

The internal audit was performed in-house and some requirements were not included. This resulted in a Nonconformity Report (NCR) being raised. The disposition and corrective action proposed by the Quality Assurance Project Manager is to have a complete internal audit performed by May 31, 2015. This proposed disposition/corrective action was accepted by the Lead Auditor subject to review of acceptable evidence not later than surveillance audit 2. The internal audit report provides evidence that the internal audit was partially effective to identify opportunities for improvement. The analysis of data that presented to management review for consideration and further action to improve the management system was not adequate to identify issues and trends. An opportunity for improvement to take a more formal approach to analysis of data to enable identification is issues and trends is included in this report.

Due to the nonconformity found during this Surveillance 1 audit the management system did not conform to ISO 9001:2008 when the audit was performed. On the positive side opportunities for improvement were identified and discussed and some are included in this Report. The level of cooperation and participation was truly appreciated.

Keep up the effort to continually improve your management system. I wish you continued success.

Tentative date for the next audit:	Next audit type:	Date of expiry on the current certificate:
February 2016	Surveillance Audit 2	Feb. 2017
Re-Registration audits should be booked eight to six weeks prior to the date of expiration.		

Planned requirements/processes to be audited according to ISO 9001 in this Registration Audit & Surveillance Audit 1

Requirements	4	5	6.1	6.2	6.3	6.4	7.1	7.2	7.3	7.4	7.5	7.6	8.1	8.2	8.3	8.4	8.5
Stage 2 / **Re-Reg.**	**X**	**X**	**X**	**X**	**X**	**X**	**X**	**X**	**X**	**X**	**X**	**X**	**X**	**X**	**X**	**X**	**X**
1st Surveillance	X	X	X			X		X					X	X	X	X	X
2nd Surveillance		X		X	X		X		X	X	X	X		X			X

NONCONFORMITIES

# of Minor:	# of Major:	Target response date:	Follow-up audit required:
0	0	N/A	N0
Please ensure that you include responses for Disposition/Correction(s), Cause(s) and Corrective Action(s).			

OPPORTUNITIES FOR IMPROVEMENT

ISO 9001:2008 Clause	OIs are opportunities for improvement to the management system and an opportunity for QUASAR to contribute to our productive partnership. OI's are generic in nature and are not intended to be specific / prescriptive advice.
4.2	A description of "process approach" for the Management System documentation to describe each process, inputs to process, process activities, process outputs, customers (internal and external), documentation require and justification for the process
4.2.3	It is good business practice to include the date of Revision with the Revision Number
5.3	Inclusion in Quality Policy a statement of commitment to meet client, statutory and regulatory requirements
5.1	Use of KPIs to establish objectives is good practice
6.2	All employees benefit from training in risk based decision making
5.6.3	Presentation to management review should be comprehensive to produce minutes with sufficient details to assess the effectiveness of the management system
8.4	Analysis of data must be cap[able of identifying issues and trends

SO 9001:2008 AUDIT FINDINGS SUMMARY

ELEMENTS		NCR#	EVALUATION				
			S	OI	MI	MA	NA
1. SCOPE							
1.1	General		X				
1.2	Application		X				
4. QUALITY MANAGEMENT SYSTEM							
4.1	General requirements		X				
4.2.1	Documentation requirements		X	XX			
4.2.2	Quality Manual		X				
4.2.3	Control of documents		X				
4.2.4	Control of records		X				
5.1	Management commitment		X	X			
5.2	Customer focus		X				
5.3	Quality Policy		X	X			
5.4	Planning		X				
5.5	Responsibility, authority and communication		X				
5.6*	Management review		X	X			
6.1	Provision of resources		X				
6.2	Human resources						
6.3	Infrastructure						
6.4	Work environment		X				
7. PRODUCT REALIZATION							
7.1	Planning of product realization						X
7.2	Customer-related processes		X				
7.3	Design and development EXCLUDED						X
7.4	Purchasing						X
7.5	Production and service provision						X
7.6	Control of monitoring and measuring equipment						X
8. MEASUREMENT, ANALYSIS AND IMPROVEMENT							
8.1	General		X				
8.2.1	Customer satisfaction		X				
8.2.2*	Internal audit	NCR #001- 15			X		
8.2.3	Monitoring and measurement of processes		X				
8.2.4	Monitoring and measurement of product		X				
8.3	Control of non-conforming product		X				
8.4	Analysis of data		X				
8.5*	Improvement		X	X			
ACCREDITATION-RELATED ELEMENTS							
17021 (9.1.15)	Review of Previous Audit OIs and NCRs		X				
17021 (8.4)	Use of Marks and Certificates		X				

Elements noted by asterisk are performed at all stage two, re-registration, and surveillance audits

EVALUATION CODE:
S=Satisfactory; **OI**=Opportunity for Improvement; **MI**=Minor Nonconformity; **MA**=Major Nonconformity; **N/A**=Not Applicable