



CONFIDENTIAL

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

DATE OF AUDIT: February 11-14, 2014
DATE OF REPORT: February 18, 2014
AUDIT CRITERIA: ISO 9001:2008
APPLICABLE DOCUMENTS: MS Documents (Manual, Procedure, Work Instruction, Forms) QUASAR Audit Documents
AUDIT TYPE: Stage 2 RA
SCOPE OF THE MANAGEMENT SYSTEM: Technical Services provides electronic and mechanical design, fabrication and repair services to the Research, Academic and Administrative and infrastructure activities of Memorial University and the External Community. These services include refrigeration, machining, welding, model making and glass blowing
EXCLUSION(S): None

Table with 3 columns: # of Employees, Address. Row 1: 67, Memorial University, Prince Philip Drive, St. John's, NL (Chemistry Bldg., Library Bldg., Engineering Bldg., MUN Medical School, Ocean Sciences Centre)

AUDIT TEAM: Lead Auditor: Ray Kavanagh Auditor: N/A
MANAGEMENT REPRESENTATIVE: Rick Meaney, P. Eng., Director / Management Representative Jim Titford, Project Manager Quality Assurance
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



## **CONCLUSIONS**

No nonconformities were found during the audit. Continued registration to ISO 9001:2008 is recommended.

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

a)	Conformity to the AUDIT CRITERIA.	Y
b)	The ability to meet applicable statutory, regulatory and contractual requirements.	Y
c)	Effectiveness of the MS to ensure that specified objectives are met.	Y

## **AUDITOR COMMENTS**

In general, the Technical Services Memorial University management system (MS) is documented and implemented to meet customer, statutory and regulatory requirements and the requirements of ISO 9001:2008. This audit report refers to the Stage 2 Registration Audit performed on February 11 – 14, 2014. All processes in the MS were audited. MS documentation was reviewed, interviews were conducted, records were reviewed and observations were made. No nonconformities were found. Several opportunities aimed to strengthen your MS are included in this report for your consideration.

During the audit all persons interviewed were cooperative and eager to participate. The effective leadership of the Director and the Project Manager Quality Assurance during the development and implementation provided opportunities for employees to participate. Participation and relevant training provided by the Project Manager Quality Assurance resulted in the interest, enthusiasm and ownership of quality management that was demonstrated throughout the audit in discussions with members of the Technical Services team..

This registration audit was essentially an audit of the processes in Technical Services management system (MS) against the requirements of the international standard for quality management ISO 9001:2008. The goal now is to improve the processes of your MS on an ongoing basis. The ability to identify opportunities to improve your MS requires a series of ongoing training sessions with employees so that everyone understands the benefits derived from the effective application of improvement tools that include internal auditing, control of nonconformities, root cause analysis, corrective actions, risk analysis and risk management, supply chain management, analysis of data and presentation of factual information to top management to support resource allocations.

A review of the internal audit reports, NCR/CAR/PAR procedures and data collected, supplier evaluations, and management review meeting minute with actions assigned, target completion dates and follow up dates for investigation of the effectiveness of actions taken, all provide evidence that the initial implementation is generally effective. Throughout the audit it was apparent that the Management Representative and the Project Manager Quality Assurance have the active support and participation of the management team in their emphasis on implementing and sustaining the most efficient and effective Management System possible for Technical Services. The standardized approach to requisitioning service by potential clients and the issuance of work orders (with unique bar code for each work order) by the department managers provides identification, traceability and control of services provided to meet client requirements.

Congratulations on a successful registration audit. You have embarked on a journey of quality management. Keep up the good work! I wish you every success.

<b>.Tentative date for the next audit:</b>	<b>Next audit type:</b>	<b>Date of expiry on the current certificate:</b>
February 2015	Surveillance Audit #1	
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**

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 1																	
Stage 2 / Re-Reg.	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
1 <sup>st</sup> Surveillance	X	X	X			X		X					X	X	X	X	X
2 <sup>nd</sup> 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	N
Please ensure that you include responses for Disposition/Correction(s), Cause(s) and Corrective Action(s).			

### **OPPORTUNITIES FOR IMPROVEMENT**

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.
4.1	Consider adding a Business Continuance Plan and a Succession Plan to your management system
4.1	Consider adding a section on Process Approach to your management system describing each process in terms of inputs, activities, outputs, external and internal customers, documentation, and rationale
4.2	Consider a review and your management system manual to highlight how your organization meets the applicable requirements of ISO 9001:2008.
6.2	Consider developing a training matrix to summarize the education and training achievements of each employee including provision of advance warning of expiry dates where applicable
6.3	Consider all means to acquire additional space (infrastructure) to accommodate efficient delivery of services and use of existing equipment and to make provision for new technology to meet the growth of University-wide demand for Technical Services
7.2	Consider updating arrangement between Technical Services and MUN Medical School regarding provision of personnel to MUN Medical School
7.6	Consider establishing a calibration frequency for equipment used for precise measurement and a verification frequency for this equipment between calibration dates
8.3	Consider use of combined NCR/CAR form that includes the steps of description of the nonconformity, correction to fix immediate problem,, root cause analysis, and long term corrective action to eliminate cause of the nonconformity

## ISO 9001:2008 AUDIT FINDINGS SUMMARY

ELEMENTS		NCR#	EVALUATION				
			S	OI	MI	MA	NA
<b>1. SCOPE</b>							
1.1	General		X				
1.2	Application		X				
<b>4. QUALITY MANAGEMENT SYSTEM</b>							
4.1	General requirements		X	XX			
4.2.1	Documentation requirements		X	X			
4.2.2	Quality Manual		X				
4.2.3	Control of documents		X				
4.2.4	Control of records		X				
<b>5. MANAGEMENT SYSTEMS</b>							
5.1	Management commitment		X				
5.2	Customer focus		X				
5.3	Quality Policy		X				
5.4	Planning		X				
5.5	Responsibility, authority and communication		X				
5.6*	Management review		X				
<b>6. RESOURCES</b>							
6.1	Provision of resources		X				
6.2	Human resources		X	X			
6.3	Infrastructure		X	X			
6.4	Work environment		X				
<b>7. PRODUCT REALIZATION</b>							
7.1	Planning of product realization		X				
7.2	Customer-related processes		X	X			
7.3	Design and development		X				
7.4	Purchasing		X				
7.5	Production and service provision		X				
7.6	Control of monitoring and measuring equipment		X	X			
<b>8. MEASUREMENT, ANALYSIS AND IMPROVEMENT</b>							
8.1	General		X				
8.2.1	Customer satisfaction		X				
8.2.2*	Internal audit		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	X			
8.4	Analysis of data		X				
8.5*	Improvement		X				
<b>ACCREDITATION-RELATED ELEMENTS</b>							
17021 (9.1.15)	Review of Previous Audit OIs and NCRs		X				
17021 (8.4)	Use of Marks and Certificates		X				
<b>Elements noted by asterisk are performed at all stage two, re-registration, and surveillance audits</b>							
<b>EVALUATION CODE:</b>							
S=Satisfactory; OI=Opportunity for Improvement; MI=Minor Nonconformity; MA=Major Nonconformity; NA=Not Applicable							