



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

DATE OF AUDIT: February 14 & 15, 2018  
DATE OF REPORT: March 3, 2018  
AUDIT CRITERIA: **ISO 9001:2015**  
APPLICABLE DOCUMENTS:  
MS Documents (Manual, Procedure, Work Instruction, Forms)  
QUASAR Audit Documents  
AUDIT TYPE: Surveillance Audit One (SA1)  
SCOPE OF THE MANAGEMENT SYSTEM:

The scope of this quality management system applies to the Department of Technical Services, and all its associated facilities distributed throughout Memorial University. It also includes all activities performed by Technical Services to fulfill our mandate to provide technical support to the various departments within the university. As part of this it will include all equipment and personnel both directly and indirectly providing service to our clients. As part of Memorial University, we are required to operate within policy and procedures as set forth by the University Administrative Department. These policies and procedures are established by the Office of the President and the Board of Regents and apply to all Department and employees. Due to the nature of the services provided by Technical Services all sections of the Standard apply to our operations.

| <b>SITES:</b> (* - visited at this audit): |                       |  |
|--|-----------------------|--|
| <b>*</b>                                   | <b># of Employees</b> | <b>Address</b>   |
| *  | 69                    | Technical Services, Memorial University<br>253 Prince Philip Drive, St. John's, NL A1B 3X7 |

AUDIT TEAM: Lead Auditor: Ray Kavanagh  
Auditor: N/A  
MANAGEMENT REPRESENTATIVE: Richard Meaney, Director (Top Manager of Technical Services)  
James Titford, Manager Finance, Administration & Quality  
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*

3225E/2015-11



## **CONCLUSIONS**

No nonconformance was found during the SA1 audit. Continued registration to ISO 9001:2015 is recommended.

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

|    |  |     |
|----|--|-----|
| a) | Conformity to the AUDIT CRITERIA.  | Yes |
| 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**

Memorial University Technical Services provides essential services to graduate students and students and professors engaged in research. The ability to respond to the unique needs of researchers is a hallmark of the Department of Technical Services. Human and technical resources combine to create innovative solutions that are prototyped to prove functionality in response to research goals and objectives. The Managers of the Mechanical and Electronics Departments are highly competent graduate engineers and they are supported by the Director (also a graduate engineer), the Manager of Finance, Administration & Quality, and professional team members. The professional team members include finance and administrative employees and highly skilled trades employees.

This report is based on Surveillance Audit One (SA1). The SA1 included a selection of processes that included internal audits, management review, customer complaints, corrective actions, context of the organization, leadership, planning for the management system and performance evaluation.

No nonconformities were found during the audit. Opportunities for improvement are included in this report to help strengthen the management system. Two aspects of the management system documentation that would benefit from further development include the description of the management system and its processes in accordance with Clause 4.4 of ISO 9001:2015 and the use of the PESTEL analysis to identify issues that contribute to the understanding of the context of the organization.

The internal audit was performed by a team of four (4) in-house personnel who were trained as internal auditors. The internal audits were moderately effective to identify opportunities for improvement. Continue to focus internal audits on process improvement, innovation, results and measurement of the efficiency and effectiveness of the processes included in the audit. Keep in mind that the process owners are the key persons who can contribute to process improvements.

The departments of Technical Services were found to be diligent regarding establishing and achieving objectives. Continue to develop and implement innovative plans aimed to achieve the objectives.

The practice of risk-based thinking was evident during interviews and should continue to be discussed with employees throughout Technical Services. The process of controlling nonconforming product was found to be implemented to report nonconformities and proposed corrective actions to management. It was noted again that a continual improvement log is maintained to track activities planned to improve the MS. Evidence of continual improvement from the RRA to the SA1 was noted during the audit.

I thank all participants for their exemplary cooperation and contribution to the audit. Keep up the excellent work and strive to achieve maximum value from the internal audits and other continual improvement tools in the MS. 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 2019                             | Surveillance Audit Two (SA2) | February 2, 2020                                  |

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 | 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 |   |
|------------------------------|---|---|---|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|------|------|------|---|
| ST 2 / Re-Reg.               | X | X | X | X   | X   | 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   | X   | X    | X    |      |   |
| 2 <sup>nd</sup> Surveillance |   | X | X | X   | 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/A                       |
| 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      | PESTEL analysis is a useful tool to assist in the identification of issues for description of CONTEXT of the organization – P=political, E=economic, S=social, T=technological, E=environmental, and Legal  |
| 4.4      | Fine tuning of description of Management System in terms of processes in accordance with ISO 9001:2015. The book by Craig Cochran “ISO 9001:2015 in Plain English” is a useful tool to describe processes in a manner that is full compliant with ISO 9001:2015 |
| 8.2      | Organization of job files and records to enable quick and easy retrieval  |
| 9.3      | Inclusion of all inputs to management review in accordance with ISO 9001:2015 Clause 9.3  |

| ISO 9001:2015 AUDIT SUMMARY  |  |      | EVALUATION |    |    |    |    |
|--|--|------|------------|----|----|----|----|
|  | ELEMENTS   | NCR# | S          | OI | MI | MA | NA |
| <b>1. SCOPE</b>  |  |      |            |    |    |    |    |
| 1  | Scope  |      | X          |    |    |    |    |
| <b>4. CONTEXT OF THE ORGANIZATION</b>  |  |      |            |    |    |    |    |
| 4.1  | Understanding the organization and its context                 |      | X          | X  |    |    |    |
| 4.2  | Understanding the needs and expectations of interested parties |      | X          |    |    |    |    |
| 4.3  | Determining the scope of the quality management system         |      | X          |    |    |    |    |
| 4.4  | Quality management system and its processes                    |      | X          | X  |    |    |    |
| <b>5. LEADERSHIP</b>   |  |      |            |    |    |    |    |
| 5.1  | Leadership and commitment; Customer focus                      |      | X          |    |    |    |    |
| 5.2  | Quality policy   |      | X          |    |    |    |    |
| 5.3  | Organizational roles, responsibilities, and authorities        |      | X          |    |    |    |    |
| <b>6. PLANNING FOR THE QUALITY MANAGEMENT SYSTEM</b>   |  |      |            |    |    |    |    |
| 6.1  | Actions to address risks and opportunities                     |      | X          |    |    |    |    |
| 6.2  | Quality objectives and planning to achieve them                |      | X          |    |    |    |    |
| 6.3  | Planning of changes  |      | X          |    |    |    |    |
| <b>7. SUPPORT</b>  |  |      |            |    |    |    |    |
| 7.1.1  | Resources - General  |      | X          |    |    |    |    |
| 7.1.2  | People   |      | X          |    |    |    |    |
| 7.1.3  | Infrastructure   |      | X          |    |    |    |    |
| 7.1.4  | Environment for operation of processes                         |      |            |    |    |    | X  |
| 7.1.5  | Monitoring and measuring resources                             |      |            |    |    |    | X  |
| 7.1.6  | Organizational knowledge                                       |      |            |    |    |    | X  |
| 7.2  | Competence   |      |            |    |    |    | X  |
| 7.3  | Awareness  |      |            |    |    |    | X  |
| 7.4  | Communication  |      |            |    |    |    | X  |
| 7.5  | Documented information   |      | X          |    |    |    |    |
| <b>8. OPERATION</b>  |  |      |            |    |    |    |    |
| 8.1  | Operational planning and control                               |      | X          |    |    |    |    |
| 8.2  | Requirements for products and services                         |      | X          | X  |    |    |    |
| 8.3  | Design and development of products and services                |      | X          |    |    |    |    |
| 8.4  | Control of externally provided products and services           |      | X          |    |    |    |    |
| 8.5  | Product and service provision                                  |      |            |    |    |    | X  |
| 8.6  | Release of products and services                               |      |            |    |    |    | X  |
| 8.7  | Control of nonconforming outputs                               |      |            |    |    |    | X  |
| <b>9. PERFORMANCE EVALUATION</b>   |  |      |            |    |    |    |    |
| 9.1.1  | Monitoring, measurement, analysis and evaluation - General     |      | X          |    |    |    |    |
| 9.1.2  | Customer satisfaction  |      | X          |    |    |    |    |
| 9.1.3  | Analysis and evaluation  |      | X          |    |    |    |    |
| 9.2  | Internal audit   |      | X          |    |    |    |    |
| 9.3  | Management review  |      | X          | X  |    |    |    |
| <b>10. IMPROVEMENT</b>   |  |      |            |    |    |    |    |
| 10.1   | General  |      | X          |    |    |    |    |
| 10.2   | Nonconformity and corrective action                            |      | X          |    |    |    |    |
| 10.3   | Continual improvement  |      |            |    |    |    | X  |
| <b>EVALUATION CODE:</b>  |  |      |            |    |    |    |    |
| S=Satisfactory; OI=Opportunity for Improvement; MI=Minor Nonconformity; MA=Major Nonconformity; N/A=Not Applicable |  |      |            |    |    |    |    |