



Management System Certification Stage 1 Audit Report

Organization:	HSE – Technical Services Department		
Address:	Holland Road, Plassey, Co. Limerick		
Standard(s):	ISO 9001:2000		
Representative:	Clodagh Hanratty		
Site(s) audited:	Limerick	Date(s) of audit(s):	3 RD February '06
EAC Code:	35	NACE Code:	74
Lead auditor:	Ruth Burke	Additional team member(s):	N/A

1. Audit objectives

The objectives of this audit were:

- to confirm that the management system has been planned to conform with all the requirements of the audit standard;
- to confirm that the management system is designed to achieve the organization's policy objectives;
- to evaluate the capability of the management system to manage compliance with statutory, regulatory and contractual requirements;
- to confirm the planned arrangements for the Stage 2 audit.

2. Audit scope

Technical Services Department supporting Capital Projects, Maintenance, Fire Safety, Quality Management, Corporate Management and Energy Management

For multi-site audits an Appendix listing all relevant sites and/or remote locations has been established (attached) and agreed with the client

☒ X
☐ N/A ☐ Yes ☐ No

3. Critical audit findings

The following findings, if not appropriately addressed, could result in major nonconformities being identified at the Stage 2 audit.

None identified.

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4. Non critical audit findings

The following findings, if not appropriately addressed, could lead to weaknesses being identified at the Stage 2 audit.

1. Section 7 of the Quality Manual – Legal, Regulatory Requirements and International/National Standards. This section should be updated to reference the Safety, Health & Welfare at Work Act 2005.
2. Whilst Section 8. Core Processes lists the core processes of the organisation it does not clearly describe the interaction between the processes of the quality management system.
3. It is not clear if there are any outsourced processes and if so, how are these controlled. Please clarify.
4. Quality Policy – It is not clear from the Quality Policy the organisation's commitment to continually improve the effectiveness of the quality management system, as required by the standard.
5. Quality objectives – Although not included with the documentation for review, these will be reviewed in detail at the initial assessment to ensure they are measurable, consistent with the quality policy and that they improve the effectiveness of the QMS.
6. 5.5 Responsibility & Authority, Organisation Chart – This document although referenced in the Quality Manual was not included with the documentation for review. Please forward this on prior to the initial assessment.
7. 4.2.3 Control of Documents – It is not clear from procedure 301 what controls are in place for external documents. Please clarify.
8. 7.4 Purchasing – It is not clear from the Manual if there is any supplier evaluation or re-evaluation completed as required by the standard. In addition, please clarify for any contracted services (Contractor Agreement's) are there any qualification of personnel?
9. 7.6 Control of Measuring & Monitoring Devices – It is not clear from the Quality Manual if inspection, measuring and test equipment is clearly identified with the calibration status, is calibrated to National Standards and at what intervals. Please clarify. In addition please confirm if equipment is found to be out of calibration, what action is taken.

5. Audit Conclusions

The Stage 1 audit was successful in meeting the stated objectives: ☒ Yes ☐ No

The stage 1 audit was limited in time and scope to the stated objectives and it is possible that additional weaknesses will be identified during future audit activities. With consideration to the findings identified in section 3 and 4 of this report, the overall conclusions of the audit are as follow:

The management system has been planned to conform with all the requirements of the audit standard: ☒ Yes ☐ No

The management system is designed to achieve the organization's policy objectives: ☒ Yes ☐ No

Based on the information provided, the system is designed to identify and manage compliance with statutory, regulatory and contractual requirements: ☒ Yes ☐ No

The internal audit and management review planning assure appropriate coverage prior to the Stage 2 Audit: ☒ Yes ☐ No

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Any scope exclusions are appropriate and justified:

☐ N/A ☒ Yes ☐ No

The Stage 2 audit should proceed as presently planned:

☒ Yes ☐ No

Comments or details of necessary changes to the stage 2 audit plan:

None identified.

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