



Management System Certification Stage 1 Audit Report

Organization:	Health Services Executive Feidhmeannacht na Seirbhíse Slainte - West (Limerick, Clare and North Tipperary) Estates Department		
Address:	Holland Road Plassey Co. Limerick		
Standard(s):	ISO 9001:2000 - Quality Management System Certification		
Representative:	Jerry McNamara		
Site(s) audited:	Offsite Document Review	Date(s) of audit(s):	09/12/08
EAC Code:	35	NACE Code:	74
Lead auditor:	Noel McKeon	Additional team member(s):	n/a
This report is confidential and distribution is limited to the audit team, client representative and the SGS office.			

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 obtain pertinent information to provide for stage 2 audit effectiveness and planning, evaluation of the client's location and site specific conditions, collection of information related to the processes and operations within the scope of the management system and identification of key performance or significant aspects and objectives.
- to evaluate the state of readiness of the management system for the stage 2 audit, including an evaluation of internal audit and management review planning and performance and a determination of the overall level of implementation of the management system;
- to confirm the planned arrangements for the Stage 2 audit.
- To provide feedback to the organization to facilitate continual improvement

2. Audit scope

Estates Department providing advice and operational action in the following areas: The National, Legislative and Regulatory Frameworks informing the Technical Services/Physical Resources Function; Estate Management; Capital Project Management; Procurement and Design Services; Clinical Engineering; Energy Management, Environmental Management; Fire Safety; Technical Training; Quality Assurance; Policy and Procedural Formulation; Standard Setting and Value for Money.

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

☐ Yes ☐ No ☒ N/A

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.

- **Technical Services Department should be replaced by Estates Dept in Quality Manual and other relevant documentation**
- **Consider the need to have several hard copies of the Quality Manual as it is available on the network.**
- **5.5.2 Management Representative needs to be updated**
- **Examples of PDCA cycle will be reviewed onsite**
- **Quality Policy needs to be re-approved**
- **Organisation chart will be reviewed on site**
- **Form XXX is referred to in the Document control procedure, please clarify (also in control of NC procedure)**
- **There are 2 procedures numbered 302, management review and record control, please clarify, record control looks like an old format**
- **Master records list will be reviewed on site**
- **P305 Audit programme Form XXX, please clarify, also audit summary sheet XXX**

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 follows:

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 Stage 2 Audit: ☒ Yes ☐ No

Any scope exclusions are appropriate and justified ☒ Yes ☐ No ☐ N/A

The Stage 2 audit should proceed as presently planned: ☒ Yes ☐ No

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

None

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Audit Plan V1R

Organization:	Health Services Executive Feidhmeannacht na Seirbhíse Slainte - West (Limerick, Clare and North Tipperary) Estates Department		
Address:	Holland Road Plassey Co. Limerick	Date(s) on site:	18/12/08
Lead Auditor:	Noel McKeon		
Team Member(s):	n/a		

Standard(s):	ISO 9001:2000 - Quality Management System Certification
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Audit Language:	English
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Audit objectives: To confirm that the management system has been established and implemented in accordance with the requirements of the audit standard.

Date	Time	Auditor	Area / Department / Process / Function	Key Contact
09/12/08		NM	Offsite document review	
18/12/08	8.30	NM	Arrival	
	9.00	NM	Review of previous report and stage 1 report. Update from Management Team, Changes, use of logo, improvement processes etc	
		NM	Communications, Quality Objectives, Management Review Customer complaints and feedback Non conforming service Internal Quality Audits	
	10.30	NM	Estates Management	
	11.15	NM	Capital Projects	
	12.00	NM	Technical Training	
	12.30	NM	Working Lunch	
	13.30	NM	Control of Documents and Records	
	14.00	NM	Staff Training & Development	
	14.30	NM	Maintenance Site visits	
	17.00	NM	Auditor review and closing meeting/recommendation	
	18.00	NM	Close of audit	
19/12/08	9-12am	NM	Audit report compilation and report to client	

Notes to Client:

- Times are approximate and will be confirmed at the opening meeting prior to commencement of the audit.
- SGS auditors reserve the right to change or add to the elements listed before or during the audit depending on the results of on-site investigation.
- A private place for preparation, review and conferencing is requested for the auditor's use.
- Please provide a light working lunch on-site each audit day.
- Your contract with SGS is an integral part of this audit plan and details confidentiality arrangements, audit scope, information on follow up activities and any special reporting requirements.

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