



NQA MANAGEMENT SYSTEMS SURVEILLANCE PROCESS AUDIT REPORT

Client's Name Building Cleaning - Orkney Islands Council

Address Council Offices
School Place
Kirkwall

Post Code KW15 1NY

Visit No. 243064

Date of Opening Meeting 17/05/2016

This report has been prepared by:

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Regional Assessor
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If there are inaccuracies, errors or queries regarding this report or audit findings, please contact NQA Head Office on 08700 135145 within 5-working days of the closing meeting.



Audit Report Part A – Executive Summary

Client's E-Mail caroline.petrie@orkney.gov.uk

Relevant Standard(s) ISO 9001:2008

Number of Employees 60
(fte within scope)

Visit Duration 1.0
(in days)

Certificate VUD 02/12/17

This visit was satisfactory, continued registration is recommended.

No findings were raised

The following action should be taken by the client: No action required

The Scope of certification remains appropriate: yes

Confirmation that audit objectives have been fulfilled: yes - all objectives met

NQA Audit Team		Client	Position	Attendance
Lead Assessor	Stephen Burt	Caroline Petrie	QA Manager	Opening and Closing
Member 1	Iain Stewart	Norman Sinclair	Building Cleaning Officer	Opening and Closing
Member 2				

Note: The client is reminded that the NQA Regulations Relating to Registration can be found on the NQA website: www.nqa.com/regs

Details of Changes:

Type of action or change required	Action required	Notes
Client Name Change	<input type="checkbox"/>	
Change of Address	<input type="checkbox"/>	
Scope Change	<input type="checkbox"/>	
Contact Change	<input type="checkbox"/>	
Number of Employees Change	<input type="checkbox"/>	
Major NCs Raised	<input type="checkbox"/>	
Special Visit Recommended	<input type="checkbox"/>	
Other	<input type="checkbox"/>	



Audit Report Part A – Executive Summary

Executive Summary: The following shall be included:

- A description of the organisation, its context, leadership and commitment
- Positive observations and details of improvements noted
- Brief details of any nonconformities, particularly any trends detected
- Whether the controls in respect of the processes sampled are appropriate for the associated risks and opportunities
- A conclusion as to the conformity & overall effectiveness of the management system; the capability of the management system to meet applicable requirements and expected outcomes; the internal audit and management review process

Continued certification to ISO9001:2008 is recommended.

The system continues to provide the required level of control and has been well maintained. The controls evident at the site visited (Glaitness Primary School) were noted to be of a high standard.

Evidence was clearly available to demonstrate that the key policy commitments are being adhered to, ie continual improvement and the achievement of customer requirements.

Thanks are passed all involved in the office and working in the school for their assistance during this audit.

Major NCs	0	Minor NCs	0	OFIs	0	AoCs	N/A
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Audit Report Part A – Executive Summary

Audit Findings

Ref No.	Clause No.	Details of finding(s) raised. Reference documents, records, etc. as applicable	Type (Major NC, Minor NC, OFI or AoC)

Note: The organisation is reminded that the audit is based upon a sampling process of available information. Non-conformity may exist outside of the audit samples reviewed.



Audit Report Part A – Executive Summary

Close out for Findings from Previous Visit

Reviewed previous report, 243063, 26/10/15.

1 OFI raised which has been considered as required.



Audit Report Part B – Audit Report

Details of processes and activities seen, persons met or interviewed, documented information viewed, etc.

Opening / Closing Meetings:

Opening and closing meetings were performed in accordance with NQA Form 335. The objective of the audit was to confirm that the management system had been established and implemented in accordance with the requirements of the audit standard.

Discussed awareness of, upgrade plans and timescales for upgrade to ISO9001:2015.

Confirmed no changes to system scope. No unusual operations scheduled during this audit. No changes to company operations since previous audit.

Discussed customer complaints – see relevant section in this report.

Discussed approach to audit and availability of personnel. Confirmed system scope, discussed and clarified business operations occurring on and off site and within the system scope.

Verified Certificate No 15664 : Expiry Date 02/12/17 and confirmed Scope as: - "The Provision of Cleaning Services in Schools, Toilets, Waiting Rooms, Council Offices and Public Buildings on the Orkney Mainland and Linked South Isles.

Discussed and justified exclusions – 7.6, 7.3 and 7.5.2 only.

No changes to management structure since previous audit.

Reviewed previous report. No unusual activities scheduled. No issues arising with adhering to Audit Plan as prepared.



Audit Report Part B – Audit Report

Process / Audit Area: Management System, Documentation, Document Control

Auditees: Caroline Petrie

Auditor (if applicable): S Burt

Evidence to support audit conclusions:

Reviewed:

- Copy 2 of system documentation, as issued to the QA Manager
- BC01 QMS Procedures Manual, Copy No 2
- Amendment Log Sheet
- Procedures QAP01 QMS, Issue F, Amendment 0, 01/05/12
- QAP02 Document and Data Control, Issue F, Amendment 5, 12/04/16
- QAP04 Management Commitment, Issue F, Amendment 5, 12/04/16
- Quality Policy, 12/02/14

Confirmed system documentation includes:

- Mandatory documented procedures
- Manual
- Policy
- Scope
- Objectives

Conclusion of the Overall Effectiveness of the Process:

The processes as sampled are considered to be effective.

Process / Audit Area: Continual Improvement

Auditees: Caroline Petrie

Auditor (if applicable): S Burt

Evidence to support audit conclusions:

Reviewed Management Review processes, quarterly meetings with one Annual Review, sampled as follows:

- Minutes of meeting, 09/03/16, attended by Norman Sinclair, Caroline Petrie, Debbie Smith, Jenny
- Minutes of meeting, 09/12/15, attended by Norman Sinclair, Caroline Petrie, Debbie Smith, Jenny
- Minutes of meeting, 20/10/15, attended by Norman Sinclair, Caroline Petrie, Debbie Smith, Jenny
- Comprehensive meeting process as sampled, addressing all mandatory input and output requirements

Reviewed internal audit and NC / CAPA processes, sampled as follows:

- QAP19 Internal Quality Audit, Rev 2



Audit Report Part B – Audit Report

- QAP23 Corrective & Preventive Actions, Rev 2
- Audit Plan 2016. Schedules internal audits against procedural requirements, scheduled on a month by month basis. Comprehensive audits planned of the full system arrangements and also including 3 site visits per annum
- Site Visit planned March 2016, undertaken as SV01/16, 17/03/16 by Jenny Findlay
- 01, 02, 03, 04 planned Feb 2016, undertaken as 01/16, 02/03/16 by Jenny Findlay
- 05, 06, 16 planned April 2016, undertaken as 02/16, 13/04/16 by Jenny Findlay
- Reviewed CARs arising from the above audits:
 - NC, 2044: raised 13/04/16, closed 16/05/16, awaiting verification
 - NC, 2040: raised 17/03/16, open
 - Obs, 2041: raised 17/03/16, open

Reviewed site Audit Inspection Forms and scheduling with Fiona McAdie, sampled as follows:

- OIC, Area A, 10/02/16
- OIC, Area B, 10/02/16
- Aikerness Toilets, 12/04/16
- Balfour Pier Waiting Room and Toilets, 22/04/16
- Birsay Toilets, 12/04/16

Reviewed audit competency records for:

- Jenny Findlay, Jan 2001

Reviewed Objectives and related Data Analysis as follows:

- Objectives are currently established for 2014-2015 as follows:
 1. Staff Absence: av no of working days lost per employee as a % of the no of working days available, targeted 4% or less
 2. Days lost due to sickness per FTE, targeted as 8.5 or less
 3. Staff accidents per 30 staff, targeted as 1 or less per year
 4. No of paid staff hours per sq. m cleaned - decrease
 5. Cleaned secondary schools per scheduled hour - increase
 6. Sq. m cleaned all offices per scheduled hour - increase
 7. Total sq. m cleaned per FTE employee
 8. Sq. m cleaned per scheduled hour
- Related monitoring data is presented as graphs for each of the measures above and has been subject to review
- 2015-2016 objectives have not yet been established. The data to establish objectives and targets is reliant on APSE reports which are not published until the following year, eg reviewed Building Cleaning Services Performance Indicator Standings Report for 2014-2015, received to OIC offices on 21/04/16

Conclusion of the Overall Effectiveness of the Process:

The processes as sampled are considered to be effective.



Audit Report Part B – Audit Report

Process / Audit Area: Customer Communications, Satisfaction, Complaints

Auditees: Caroline Petrie

Auditor (if applicable): S Burt

Evidence to support audit conclusions:

Customer complaints are logged as CARs as they arise. Sampled and reviewed as follows:

- 2043, 15/03/16, open
- 2034, 07/03/16, open
- 2040, 17/03/16, open
- 2041, 17/03/16, open
- 2026, 02/02/16, closed 02/02/16
- 2027, 10/02/16, closed 10/02/16
- 2028, 19/02/16, open
- All reviewed at management Review meetings of 09/03/16 and 09/12/15,

Positive Feedback is detailed in the minutes of the Management Review meetings, eg reviewed for 09/03/16, 09/12/15.

Employee Feedback / Suggestion Forms:

- Jan 2016
- Nov 2015

Reviewed customer satisfaction monitoring data and processes, sampled as follows:

- QAP06 para 3.4 and QAP08 para 3.8 details the means of monitoring customer satisfaction through:
 - Audit Inspections
 - Customer Complaints
 - Employee Feedback
 - APSE Performance Networks
- Subject to review at the meetings, eg for the minutes of 09/03/16, 09/12/15.

Conclusion of the Overall Effectiveness of the Process:

The processes as sampled are considered to be effective.



Audit Report Part B – Audit Report

Process / Audit Area: Use of NQA Management System Certification Marks and those of Regulators

Auditees: Caroline Petrie

Evidence to support your conclusions:

The logo is in use only on the induction training powerpoint presentation. No further use is made of wither the NQA or UKAS logo.

Conclusion of the Overall Effectiveness of the Process:

N/A

Note: The client is reminded that our library of management system certification marks and full guidance on their use can be found on the NQA website: www.nqa.com/logos

Process / Audit Area: Cleaning Services Production Realisation

Auditees: Norman Sinclair, Fiona McAdie, Inga Harcus, John Flett, Dee Paterson, Yvonne Robinson, Viera MacDonald

Process Owner: Norman Sinclair

Inputs: Customer Requirements, Legal Requirements, Organisational Requirements

Outputs: Cleaning Services, Competency, Documented Information, Customer Satisfaction

Objectives & Measures: Customer Satisfaction, Audit Inspections

Auditor (if applicable): Iain Stewart

Evidence to support audit conclusions:

Service Level Agreement for the Delivery of Building Cleaning Services for Glaitness School SLA001 Rev0.00. School Plan – with Priority 1-6 P565 Overall Floor Plan Mar 09. And sector plan Revision 1 splits the school into six areas. Ad hoc flexibility is achieved through the use of an on site charge hand who has the capability to interface directly with the Business Manager / Head Teacher to prioritise work scopes.

The contract specified and acceptable level of cleanliness to be achieved. This is determined as being achieved by means of the Cleaning Specifications WD01A-E, a variety of Specifications were included e.g. A Doors and Walls Amendment 2.00 4/8/10, D Toilets Amendment 3.00 4/8/10 and E Kitchen Areas 2.00 4/8/10. Daily Cleaning Tasks were communicated via WD02a Amendment 1.00 20/10/06 and the holidays Periodic tasks WD02b Amendment 3.00 4/8/10.

Personnel involved in the cleaning contract for Glaitness School

- Inga Harcus (Chargehand) Job Description in place for Corporate Services Buildings & Facilities
 - Hoover training Nilfisk 7/9/2004
 - Shampooer 9/7/2003
 - Wet and Dry Nilfisk 12/10/2010
- John Flett Job description for Cleaner



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- Hoover Nilfisk 27/4/2015
- Shampooer 25/6/2015
- Wet and Dry 25/6/2015
- Scrubber / Polisher 25/6/2015
- Dee Paterson
- Yvonne Robinson
- Pauline MacKinnon
 - Hoover Nilfisk 1/4/2008
 - Shampooer 1/4/2008
 - Wet / Dry Hoover 9/9/2010
 - Scrubber Polisher 12/10/2010
- Viera MacDonald

Person Specification 3rd December 2014.

Consistency of training in equipment is achieved through the single point of training Building Cleaning Support Worker. Evaluation records e.g. hoover training outputs are recorded on the New Horizon and Training Plan portals.

Competence is currently defined in a number of locations including the Job Description, Person Specification and Training Plan. Training is now being provided by a focal point so it is anticipated that consistency of met

A site visit was conducted at Glaitness School and the controls on site were demonstrated to be achieving a high level of service. It was discussed with the auditees and an alternative location would be sought for future visits.

Good segregation and storage of the equipment and chemicals was evident with the cleaning specifications available to all persons. Each person knew their priority areas and what level of cleaning was necessary to achieve the acceptable standard.

Conclusion of the Overall Effectiveness of the Process:

Good process demonstrated from the customer interface to the cleaning services provided.

End of Audit



Audit Report Part B – Audit Report

Audit Plan

This plan relates to the next Recertification (Transition) visit.

Relevant Standard/Supporting Documentation: ISO 9001:2015

Member/ Role	S Burt		
Date	Oct 2017		
Time	Location/Department/Function		
0900	Opening meeting		
1000	Review of previous report and close out of applicable findings		
1100	ISO9001:2015 Transition		
1200	Recertification Audit		
1300	Management Review		
1400	Internal Audits		
1500	Objectives		
1600	Closing meeting		
1700			
Completed by	S Burt	Timings and content may be subject to change	

The objectives of the audit will be:

- To confirm that the management system had been established implemented and maintained in accordance with the requirements of the audit standard.
- To evaluate the ability of the management system to ensure the client organisation meets applicable statutory, regulatory and contractual requirements. Note: A management system certification audit is not a legal compliance audit.
- To evaluate the effectiveness of the management system to ensure it is continually meeting its specified objectives
- To identify as applicable, areas of the management system for potential improvement.

The audit scope describes the extent and boundaries of the audit, such as physical locations, organisational units, activities and processes to be audited. Where the initial or re-certification process consists of more than one audit (e.g. covering different locations), the scope of an individual audit may not cover the full certification scope, but the totality of audits shall be consistent with the scope in the certification document.



Audit Report Part C – Process Matrix

N/A – to be prepared at next audit (recertification):

Relevant Standard/Supporting Documentation:	Choose an item
<ul style="list-style-type: none"> ○ This audit programme is to be prepared by the Lead Auditor at the completion of the Stage 2 audit or the Recertification audit. It should be replicated in all subsequent surveillance visit reports. ○ Where an element(s) of the programme cannot be completed at a given visit the programme shall be amended and up-issued accordingly to ensure coverage at the following visit. ○ Site visits are to be included in the programme with a clear indication as to the processes intended to be sampled. 	

Type of visit	Stage 1	Stage 2	Surveillance One	Surveillance Two	Recertification
Visit Due Date (MM/YY)					
Mandatory Elements / Selected Processes	Processes to be audited during visits are to be indicated with a cross (X). All processes are to be audited during a three year certification cycle excluding the re-certification visit.				
Verification of Corrective Actions from previous visit					
Management System (including changes) – effectiveness in respect of the achievement of objectives & intended results of the DMS					
Customer Satisfaction, Complaints, Corrective Action					
Internal Audit					
Management Review					
Progress of planned activities towards continual improvement					
Use of marks and references to certification/ Client website					
All processes covered					
Process					
Process					
Process					
Process					
Site visit(s)					

Audit trails will be developed based upon identified risk throughout the audit and as such timings and content may be subject to change. Where the client operates shifts, the activities that take place during shift working shall be considered when developing the audit programme