



Management System Certification Stage 1 Audit Report

Organization:	The Central Library Srinakharinwirot University				
Address:	114 Sukhumvit 23, Sukhumvit Rd., Wattana, Bangkok 10110 63 Moo 7, Rangsit-Nakorn Nayok Rd., Ongkharak, Onakharak, Nakorn Nayok 26120				
Standard(s):	ISO 9001:2015	Accreditation Body(s): UKAS			
Representative:	Mantana C. / QMR				
Site(s) audited:	As above	Date(s) of audit(s):		25-26/01/2021	
EAC Code:	39	NACE Code:	92.51	Technical Area code:	QM39.4
		ISIC Code:	9231		
Effective No.of Personnel:	75	No. of Shifts:		1	
Lead auditor:	On-anong S.	Additional team member(s):		-	
Additional Attendees and Roles	-				
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Remark: SGS (Thailand) Limited : If client has any comments on this report, please return comments to audit team within 3 calendar days after client receive this report and audit team will response accordingly. Appeals and unresolved issues (if any), SGS (Thailand) Limited will record in Part 3 and 4 of this report. Certification Decision is subject to final conclusion from audit team.

1. Audit objectives

The objectives of this audit were:

To determine conformity of the management system, or parts of it with audit criteria and its:

- ability to ensure applicable statutory, regulatory and contractual requirements are met,
- effectiveness to ensure the client can reasonably expect to achieve specified objectives and to identify as applicable areas for potential improvement

Specific Objectives of Stage 1 audit :-

- to obtain pertinent information to provide for stage 2 audit effectiveness and planning; including an evaluation of the client's location and site specific conditions, a collection of information related to the processes, **equipment used** and operations within the scope of the management system, **levels of control established (particularly in the case of multi-site clients)** 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 and resources for the Stage 2 audit.

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- to provide feedback to the organization to facilitate continual improvement.

▪ *Note: A management system certification audit is not a legal compliance audit*

2. Audit scope

Library Services (Library and Learning Information Technology)

For multi-site audits an Appendix listing all relevant sites and/or remote locations has been established (attached) and agreed with the client N/A Yes No

For integrated audits, confirm the current level of the client's IMS integration: N/A Basic High

3. Critical audit findings

The following findings, if not appropriately addressed before commencement of the stage 2 audit are likely to result in major nonconformities being identified or an inability to complete the Stage 2 audit.

None

4. Non critical audit findings

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

- There was not found the evidence of opportunities address as determined in accordance with the requirements of 6.1 (4.4.1, f)

Observation

- The external provider evaluation result should be review the improvement for each level. (9.1.3)

Document review

- QM-CL-01
- QP-CL-07
- QP-CL-01

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:

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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

Last management Review was performed on 12/12/2020

Last internal audit was performed on 9-13/11/2020

Any scope exclusions are appropriate and justified: N/A Yes No
Not applicable for clause 8.3

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

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

N/A

6. Opening and Closing Meeting Attendance Record

- For on-site audit, copied attendance record is left with company on the audit days.
- For off-site audit, N/A.

Name	Position	Opening	Closing
See ACR			

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