

Q2 2015 IQA Audit

7/21/2015

Auditor: Sarah Hobson

Reviewed to Standard

Observations

- Steele toe shoes are suggested but no one uses them, for safety reasons a steele toe shoes should be required
 - There are no generators in the event of an outage
 - The emergency plan should be accessible, no one seemed to know where it was
 - Forklift training is no documented, it could be documented in the training log
 - Employees are not forklift certified every three years, if they are hired and have been previously trained no additional recertification is ever completed
 - Tool calibration log is manually monitored, a systematic system may be more efficient and catch anything that might be missed
 - Safety meetings are not held, monthly/quarterly meetings could be held
 - The production team has no access to email or phones, giving them this may help with efficiency
-
-

Des Moines Quality Management System

ISO9001:2008 Standard

QM 6.3 – Infrastructure

If this document is printed or copied, it is an uncontrolled document

Quality Manual 6 – Resource Management

Section 6.3 Section Revision: A Revision Date: 7/12/2010

6.3 – Infrastructure

Approved By: Todd Gifford Date: 7/12/2010

GENERAL POLICY

Suitable, facilities, process equipment, supporting services (such as transport, communications, or information systems), and other necessary infrastructure are determined, provided and maintained, as required to achieve conformity to customer requirements.

*Brenda - Where is your emergency plan? yes
Do you have generators?
no generators
wait until they come it is documented on internet*

PROCEDURAL POLICIES

1. Infrastructure and Facilities

1.1 Planning of new, and/or modification of existing infrastructure and facilities is usually conducted in conjunction with process changes; capacity and/or work force expansions; and other such events. Facilities may also be expanded or modified to improve productivity and/or quality, or to improve the work environment.

*Terry - talk to Chris SW - monitored by Gualtor Salt → How is it determined if there is a need for a change in a work station?
Brenda - N/A at this time*

1.2 Executive Management and Managers/Supervisors are responsible for identifying the need and requirements for new, and/or modification of existing infrastructure and facilities in their departments. Requests for significant changes and/or expansions of facilities are submitted to the top management for review and approval.

2. Supporting services and maintenance of facilities

2.1 Supporting services required by Dee Electronics include transportation, communication, and IT services:

Transportation services are usually purchased from parcel delivery and courier services, and from trucking or other transportation companies or consolidators. Purchasing of these services is managed by Executive Management.

Communication services are provided by various telephone, wireless, and internet access companies. Executive Management is responsible for administrating and coordinating these contracts.

IT systems are designed and implemented by Dee personnel and external consultants, and are operated internally by IT Department. Control of documents and data on the internal network system is governed by operational procedure QOP-42-02, Control of Documents.

2.2 Maintenance of buildings and facilities is performed by external contractors. Repairs of building are contracted as needed. Executive Management is responsible for coordinating and managing maintenance contracts.

3. Process equipment maintenance

3.1 Key process equipment are suitably maintained in accordance with maintenance plans specified by equipment manufacturers or departmental managers responsible for the equipment.

ASSOCIATED DOCUMENTS

http://desmoines.deei.com/?page_id=218

7/21/2015

Brenda - How does the team communicate if a need arises? walk into operation
Brenda - do you have a cleaning company? if so how is it monitored?
Brenda - How are the tool calibration logs maintained?
How do you use repair on item
in log ACCESS
Look at one a month
Tony - codes on tools
General tool shelf downstairs
Frame logged and I'd be in
Keatin Frame area

QOP-42-02 Operational Procedure: Control of Documents

QOP-56-01 Operational Procedure: Management Review

Des Moines Quality Management System

ISO9001:2008 Standard

QM 6.1 Provision of Resources

If this document is printed or copied, it is an uncontrolled document

Quality Manual 6 - Resource Management

Section 6.1 Section Revision: A Revision Date: 7/12/2010

6.1 - Provision of Resources

Approved By: Todd Gifford Date: 7/12/2010

GENERAL POLICY

Top executive management is committed to provide adequate resources for the implementation and improvement of the quality system, and for addressing customer satisfaction.

PROCEDURAL POLICIES

1. General

1.1 Resources required for implementation and improvement of the quality system, and for addressing customer satisfaction, may include people, suppliers, information, infrastructure, work environment, and financial resources.

2. Determination of resource requirements

Terry - Quality Statement located near break area walks new hires around during training

Where is the quality manual located?

How are you trained on it? Brenda - new hires shown and documented in training log

Chris - manual and handbooks documented

2.1 The Executive Management Team and personnel involved in the quality system are responsible for determining resource requirements for the implementation and improvement of the system.

2.2 The President and CEO/Treasurer are responsible for determining resource requirements for addressing customer satisfaction. This is based on input from other personnel responsible for activities relevant to particular aspects of customer satisfaction. Operational Procedure QOP-82-01 explains how information about customer satisfaction is collected and analyzed.

2.3 The principal forums for determining and communicating resource requirements are management reviews of the quality system. Operational Procedure QOP-56-01, Management Review, explains the process for Management Review. Customer or Employee Suggestions/Complaints are also sources of determining resource requirements. Reference QOP-72-02 for Customer Feedback, as well as Employee Suggestions input.

3. Provision of resources

3.1 Top executive management has the responsibility and authority for provision of resources

3.2 Allocation of resources for particular activities is integrated with the process of defining and initiating the activity. It may take the form of personnel assignments, allocation of space or equipment, training, procurement decisions, budgets, etc.

3.3 Allocation of resources may be documented in the quality manual, operational procedures, minutes of meetings, memoranda, or any other form. Approvals of resource allocations may be also communicated verbally.

3.4 Management review of the quality system is the principal forum for allocation of resources for the operation and improvement of the system, however, resource allocation is also discussed and reviewed at Office Group Meetings, which include the executive management team. All actions initiated by these reviews are supported by allocation of specific resources necessary for their implementation. Operational Procedure QOP-56-01, Management Review, defines this process.

ASSOCIATED DOCUMENTS

QOP-56-01 Operational Procedure: Management Review

*Bronda - forklift training - not in training not done over 3 years
Terry does forklift training - they have certificates in the past*

QOP-82-01 Operational Procedure: Customer Satisfaction

Des Moines Quality Management System

ISO9001:2008 Standard

QM 6.2 – Human Resources; Competence, Awareness, and Training

If this document is printed or copied, it is an uncontrolled document

Quality Manual 6 – Resource Management

Section 6.2 Section Revision: A Revision Date: 7/12/2010

6.2 – Human Resources; Competence, Awareness, and Training

Approved By: Todd Gifford

Date: 7/12/2010

GENERAL POLICY

Dee Electronics identifies personnel training needs, provides required training where applicable, and evaluates the effectiveness of the training provided. Personnel performing work affecting conformity to product requirements, specific tasks, operations, and processes are qualified and competent on the basis of appropriate education, experience, skills and training. Employees are made aware of the relevance and importance of their activities and how they contribute to the achievement of quality objectives. Records of personnel qualifications and training are maintained.

PROCEDURAL POLICIES

1. Identification of training needs and awareness programs

CC - handbook given + at hire and documented if asked it is printed and given to employee if updates are made employees given to

Brenda - Training records up to date? yes documented in training log

Terry - If quality notices need for training added to training log

Randy - ask Chris or Brenda for access to manual if need no updates have been made

1.1 The President is responsible for identifying training needs and awareness programs, where applicable, such as: general orientation, rules and regulations, quality system, safety, and other company-wide systems and issues to achieve necessary competence.

1.2 Executive Management and supervisors are responsible for identifying competency requirements and training needs in their departments. Departmental training is primarily focused on increasing the level of skills in operating equipment and processes, and so forth.

1.3 In addition, training needs are often identified in response to corrective or preventive action requests (CARs), as nonconformities may be caused by inadequate training.

2. Awareness and training programs

2.1 Dee Electronics provides, or supports, the following categories of company-wide and departmental training and awareness programs:

General orientation and quality system awareness training

~~Explains what Dee Electronics does and how the quality system works to ensure quality. Provided to all employees when they are hired.~~

Safety training

- Instructs in safe working practices, use of personal protective equipment, first aid, etc. Provided to all employees when hired, as appropriate to their position.

Use of company systems

- Explains systems pertinent to the person's position.

External training

- External seminars, conferences, and courses. Provided to individual employees on as-needed basis.

Self-study

- Reading magazines, books, and reports. Provided to individual employees on an as-needed basis.

Brenda - Do you have a training library?
Skill training Terry - on tablet to avoid uncontrolled documents
Terry - everyone gets videos - job based training (shadowing)
- departmental training in specific skills. Often provided as on-the-job training.
Brenda - How is training performed? one on one?
videos?

2.2 Operational Procedure QOP-62-01, Training and Awareness, describes in detail the training and awareness programs provided by Dee Electronics.

3. Effectiveness of training

3.1 Effectiveness of training is evaluated using the following approaches:

Brenda - How often are reviews given? yearly
input from management is given
Performance evaluation of trained employees, via annual performance assessments

Review of the overall performance in areas relevant to particular training programs;

Consideration of competency and training when investigating causes of quality system failures and product or process nonconformities; and

A global review of all training and awareness programs, conducted within the framework of management reviews of the quality system.

Operational Procedures QOP-62-01, Training and Awareness, and QOP-56-01, Management Review, prescribe more specific methods for evaluating particular categories of training and awareness programs.

4. Training records

4.1 Training records are established for all types of training.

ASSOCIATED DOCUMENTS

QOP-62-01 Operational Procedure: Training and Awareness

QOP-56-01 Operational Procedure: Management Review

Des Moines Quality Management System

ISO9001:2008 Standard

QM 5.3 – Quality Policy

*Checked
7/21/15*

If this document is printed or copied, it is an uncontrolled document

Quality Manual 5 – Management Responsibility

Section 5.3 Section Revision: B Revision Date: 2/17/2011

5.3 – Quality Policy

Approved By: Todd Gifford Date: 7/12/2010

GENERAL QUALITY POLICY

✓ Dee Electronics is committed throughout to meeting our customer’s requirements and expectations, as well as committed to continuous improvement.

✓ Our Organizational Goals: – Complete Customer Satisfaction – Complete Employee Satisfaction – Complete Supplier Satisfaction – Profitability, through implemented efficiency, innovation, teamwork, integrity, quality output, and customer satisfaction

✓ **Continuous Improvement Objectives:** (a) Constant and continuous improvement in quality and service visible in daily or weekly improvement (measurable by changes to systems and procedures) (b) Continuous efficiency improvement and reduction of operating costs to enable us to be extremely competitive in the marketplaces we serve (measurable by growth in sales, increase in quoting activity, and lower operating costs as a % of net sales) (c) Continuous creation of new and differentiated advantages and services for our Customers, Suppliers, and Employees, via continuous development and improvement in Quality System (measurable by new services and programs created) (d) Intertwining of Quality System with our servicing and value-adding processes to achieve superior customer

growth and retention (measurable by growth in sales, employee satisfaction and ability to perform for the customer, and new services and service levels created for customers)

Quality Performance Objectives:

1. Defect Free shipments of 99.5% or greater (measured by dividing # of defect units by total units shipped)

Service quality objectives:

1. On Time Delivery % of 99.3% per order confirmed delivery Lead-times/Ship Dates

2. CAR turnaround time of 5 working days average

Quality system objectives:

1. Reach ISO9001 Certification by July, 2014

2. Implement 100% implementation of PFMEA / Control Plans for All Assemblies by March 31, 2014

3. 100% Implemented Digital work instructions for all assemblies by March 31, 2014

PROCEDURAL POLICIES

The R&A for overall administration of Dee Electronics quality activities are shared by the President, the CEO/Treasurer, the Vice President-Sales, and the Vice President – Operations, who make up the Executive Management Team.

1. Authority

1.1 Quality policy is established by the top management and is approved by the President and the executive management team. Any changes to the policy must be likewise approved by the President and the executive management team.

2. Role of the policy

2.1 The main role of the quality policy is to communicate the company's commitments and aspirations with regard to quality, and to define principal objectives for the quality management system.

2.2 The quality policy provides a framework for establishing specific quality objectives, and provides direction for the continual improvement effort. The use of quality policy in setting quality objectives is addressed in this manual in Section 5.4, Quality Planning. The use of the policy to facilitate continual improvement is explained in Operational Procedure QOP-85-01, Continual Improvement.

3. Communication

3.1 The quality policy is posted throughout the company, and its role is explained and discussed at the general orientation training provided to all employees.

3.2 The quality policy is also communicated to customers, vendors, and other interested parties. For this purpose, it is displayed in the reception area and posted on the company's internet site.

4. Review

4.1 The quality policy is periodically reviewed within the framework of management reviews of the quality system. This is to ensure its continual relevance and suitability. The process for reviewing the quality policy is defined in Operational Procedure QOP-56-01, Management Review.

ASSOCIATED DOCUMENTS

QOP-56-01 Operational Procedure: Management Review

QOP-85-01 Operational Procedure: Continual Improvement

Des Moines Quality Management System

ISO9001:2008 Standard

QM 5.1 – Management Commitment

If this document is printed or copied, it is an uncontrolled document

Quality Manual 5 – Management Responsibility

Section 5.1

Section Revision: **B**

Revision Date: **8/14/2014**

5.1 – Management Commitment

Approved By: Todd Gifford

Date: 7/12/2010

GENERAL POLICY

✓ The executive management is ultimately responsible for establishing, implementing, maintaining, and improving the quality system. Management commitment is demonstrated by communicating to the organization the importance of meeting requirements, establishing the quality policy and quality objectives, conducting management reviews of the quality system, and ensuring the availability of necessary resources.

PROCEDURAL POLICIES

1. Top management

✓ 1.1 For the purpose of administrating the quality management system, executive management includes the **Quality Manager, President, CEO/Treasurer, Vice President-Sales, and Vice President-Operations**, defined in this manual in Section 5.5, Organization and Communication.

2. Customer requirements

2.1 Executive management is committed to communicate the importance of meeting customer as well as regulatory and legal requirements. The Management representative is responsible for implementing this commitment by promoting awareness of customer requirements throughout the organization. This responsibility of management representative is stipulated in Section 5.5, Organization and Communication.

3. Quality policy and quality objectives

3.1 Executive management defines the purpose and objectives for the quality management system. They are documented and communicated in the form of quality policy and quality objectives. Processes for establishing the quality policy and quality objectives are defined in this manual in Section 5.3, Quality Policy, and Section 5.4, Quality System Planning.

4. Management reviews

4.1 Executive management periodically reviews the quality management system to ensure its continuing suitability, adequacy, and effectiveness. The review evaluates current status and performance of the quality system and initiates actions for further improvement of the system. The process for conducting management reviews is defined in Section 5.6 of this manual and in Operational Procedure QOP-56-01, Management Review.

5. Resources

5.1 Top management and Quality manager is committed to providing resources necessary for establishing, implementing, and improving the quality management system. Section 6.1 of this manual defines processes for identifying resource requirements and allocation of resources for specific activities and projects.

ASSOCIATED DOCUMENTS

QOP-56-01 Operational Procedure: Management Review

Des Moines Quality Management System

ISO9001:2008 Standard

*Checked
7/21/15*

QOP-42-01 – Quality System Documentation

If this document is printed or copied, it is an uncontrolled document

QMS Operational Procedure : QOP-42-01

Section 4.2

Section Revision: **B**

Revision Date: **8/14/2014**

Quality System Documentation

Approved By: Todd Gifford

Date: 7/12/2010

PURPOSE

The purpose of this procedure is to:

- a) Identify documents defining the quality management system, production processes, and products: and
- b) Assign responsibilities for establishing and maintaining the documentation.

APPLICATION

Scope: This process pertains to all documents utilized in the Dee Electronics quality system.

PROCEDURE

1. General

1.1 The scope and extent of quality system documentation is determined on the basis of the complexity and interaction of processes, elements, and activities; and on competence of personnel. The documentation is sufficient to ensure the effective planning, operation and control of the quality system, processes, and products.

2. Quality manual

2.1 The purpose of the quality manual is to:

State the company's principal quality policy as well as specific policies related to particular elements of the quality system;

Define and describe quality system processes, their sequence, and interrelation;

Define responsibility and authority of management personnel involved in the operation of the quality system; and

Outline general procedures for various activities comprising the quality system, and reference applicable Operational Procedures.

2.2 The President formulates the principal quality policy and approves the quality manual. The President is responsible for maintaining the manual. The quality manual is authorized by the President.

3. Operational procedures

3.1 The purpose of operational procedures is to define systems, assign responsibilities and authorities, and provide instructions for carrying out activities comprising the quality system. Operational procedures explain the what, when, who and how for each activity; identify interfaces for the activity; and instruct who should be informed and how the results of the activity should be recorded.

3.2 Operational procedures are code numbered QOP-SS-NN. QOP stands for *Quality Operational Procedure*, SS is the section in the quality manual to which the procedure pertains, and NN is the consecutive number of a procedure for the section.

4. Work instructions

4.1 The purpose of work instructions is to guide personnel in performing specific tasks, such as carrying out and controlling processes (process operator instructions), handling products, conducting tests or inspections, and so forth.

4.2 Work instructions are documented electronically, generally, on the forms in which the personnel performing the task are using.

5. Customer engineering documents

5.1 This category includes customer drawings, specifications and other documents defining the customer's requirements. These can be product documentation, testing procedures, acceptance criteria, and so forth.

5.2 Customer's documents are not used directly in our processes. They are re-interpreted and re-issued as Dee Electronics's own documents/work instructions/records.

6. Product realization and control plans

6.1 Documents under this category are the output of product realization and verification planning, as defined in Section 7.1 of the quality manual.

6.2 The purpose of product realization plans is to sequence, coordinate, and schedule operations; and reference electronic forms used. Process flowcharts and electronic order input forms are examples of documents defining plans.

6.3 Control plans identify process control scope and methods, define the inspection/testing points and methods, and reference specific process control and inspection instructions, and acceptance criteria.

6.4 These types of documents are usually issued by the **Facility Ops Manager** or Quality Assurance.

ASSOCIATED DOCUMENTS

Operational Procedure QOP-42-02: Control of Documents

Des Moines Quality Management System

ISO9001:2008 Standard

*Check
7/2/15*

QM 5.4 – Quality Planning

If this document is printed or copied, it is an uncontrolled document.

Quality Manual 5 – Management Responsibility

Section 5.4 Section Revision: A Revision Date: 7/12/2010

5.4 – Quality Planning

Approved By: Todd Gifford Date: 7/12/2010

GENERAL POLICY

Quality objectives are established to support and implement the quality policy and continual improvement. Quality planning includes identification and determination of quality system processes (including any exclusions of ISO 9001 requirements); priorities for continual improvement; and resources needed to achieve quality objectives and to maintain and improve the quality system. Quality plans are periodically reviewed and updated to maintain the integrity of the quality system during organizational and other changes.

PROCEDURAL POLICIES

1. Quality objectives

1.1 Quality objectives are established throughout the organization to implement the quality policy, to meet requirements for products and processes, and to improve quality system and quality performance.

1.2 Quality objectives define the direction and priorities for continual improvement. Use of quality objectives for facilitating continual improvement is explained in Operational Procedure QOP-85-01, Continual Improvement.

1.3 Quality objectives are classified into the following four categories:

Policy objectives:

These are principal, strategic objectives that apply to the whole organization (Continuous Improvement Objectives). They are typically included in the Quality Policy itself, or may be communicated in memoranda from the top management. Policy objectives are authorized by the President.

Quality performance objectives:

These objectives set specific, measurable targets for improving operational performance to ensure customer satisfaction (examples are: improvement of on-time delivery performance, improvement in delivery of un-damaged product, etc...). They apply to departments and functions having direct responsibility for activities that require improvement. Performance objectives are established, documented, and monitored within the framework of management reviews of the quality system, in accordance with Operational Procedures QOP-56-01, Management Review.

Service quality objectives:

. These objectives pertain to improvement of services (examples are improved packaging techniques, improvement in Packing Slips, improvement customer alerts, etc...). Service objectives are established by the President and top executive managers responsible for marketing and product/service development. They can be documented in product briefs, memoranda, or minutes of meetings; and apply to functions responsible for development of services.

Quality system objectives:

These objectives pertain to improvement of quality system processes and performance (examples are: Customer Recognition Awards, expansion of ISO9000 Certification to other facilities, etc...). Quality system objectives are established, documented, and monitored within the framework of management reviews of the

quality system, in accordance with Operational Procedure QOP-56-01, Management Review.

2. Quality system planning

2.1 Quality system elements and processes are planned to ensure that the system is appropriate for its intended purpose, and that it is effective and efficient. The purpose of the quality system is:

To achieve the quality policy;

To ensure and demonstrate our ability to provide consistently product and services that meets customer and regulatory requirements;

To ensure high level of customer satisfaction;

To facilitate continual improvement; and

To comply with requirements of ISO 9001 standard.

2.2 The output of quality system planning is documented in this quality manual, in associated operational procedures, and in other referenced documents. These documents identify and define all elements and processes of the quality system.

2.3 Changes to the quality system are planned within the framework of management reviews (refer to Operational Procedure QOP-56-01, Management Review). These changes may be in response to changing circumstances, such as product, process, capacity, or other operational or organizational change; or to improve the effectiveness and efficiency of the quality system.

3. Product realization and verification planning

3.1 Planning of product realization, verification, and validation processes is addressed in Section 7.1 of this manual.

4. Continual improvement planning

4.1 Improvements of the quality system are planned within the framework of management reviews. The output of this planning is expressed in the form of quality system objectives, as defined above in Clause 1.3 of this section, and in Operational Procedures QOP-85-01, Continual Improvement; and QOP-56-01, Management Review.

ASSOCIATED DOCUMENTS

QOP-56-01 Operational Procedure: Management Review

QOP-85-01 Operational Procedure: Continual Improvement

Des Moines Quality Management System

ISO9001:2008 Standard

*Checked
7/21/15*

QM 6.4 – Work Environment

If this document is printed or copied, it is an uncontrolled document

Quality Manual 6 – Resource Management

Section 6.4 Section Revision: **D** Revision Date: **7/20/2014**

6.4 – Work Environment

Approved By: Todd Gifford Date: 7/12/2010

GENERAL POLICY

Dee Electronics provides for its employees a suitable work environment (to include physical, environmental, noise, temperature, lighting, or weather) needed to achieve conformity to product requirements.

Randy - Steel toes not required - just a request if infrastructure needs brought to this w

PROCEDURAL POLICIES

1. Human factors

1.1 The President, CEO/Treasurer, Vice President of Operations, Vice President of Sales, and departmental managers are responsible for ensuring suitable social and psychological conditions in the workplace. This is to include such aspects as interaction and communication between employees, employee harassment, conflict resolution, and so forth. Relevant workplace policies are implemented mainly through our Employee Manual (issued to every employee), training and awareness programs and, where necessary, disciplinary actions. (Refer to Operational Procedure QOP-62-01, Training and Awareness.)

- Are steel toe shoes required in the work place? no
- How do you know what areas need eye protection - sign and boundaries

2. Physical factors

2.1 The President and executive management team are responsible for identifying those operations where extreme environmental conditions could impact quality performance of personnel and result in product nonconformities. Where appropriate, limits of exposure and/or mitigating measures shall be defined and implemented for these operations.

2.2 From an organization and cleanliness as well as safety standpoint, DEE utilizes the 5S process **(Industry standard organization, sort, streamline, shine, standardize, sustain).**

a) Workstations are reviewed on a monthly basis for any 5s improvements by
Production Lead and Production Mgmt

*Brenda How is this documented?
yes they do general cleaning
address problems as needed*

3. Health and safety

3.1 Health and safety management system is independent from the quality management system. It is administrated by the President and executive management team. DEE has an Environmental, Health, and Safety Plan document.

ASSOCIATED DOCUMENTS

Operational Procedure QOP-62-01, Training and Awareness