

## DIY ISO9001 Sample - (C) Mapwright P/L

### DIY ISO 9001 Evaluation Checklist

Q	Ref	Requirement	Met?	How done in your QMS	Reference/ record in QMS (if applicable)
3.	5.1 5.2	Do you know <b>if</b> any statutory and regulatory requirements apply to your service/product? If so, do you meet them?			Eg, referred to in documents; included in processes /procedures
4.	5.1b 4.2.1a-b 5.3	Do you have an official policy on quality? Is it used (ie, a real 'happening thing' or just words no one bothers with?)  Is there a specific commitment to comply with requirements and continually improve the effectiveness of the QMS?			Eg, a formal Quality Policy, Mission/Vision Statement, Business Philosophy, etc
5.	5.4.1  5.3 (c)	Have you set any objectives for your system? <ul style="list-style-type: none"> <li>• Are they consistent with your services (or product(s) and with your Quality Policy?</li> <li>• Can they be measured or assessed in some way?</li> </ul> And are they <b>used</b> ?			Business plan, annual plan, 1-page plan, KRAs, KPIs etc  Eg, a review at intervals (quarterly/ annual etc)
6.	5.3c	Do you have a framework for setting these objectives, and reviewing them? (ie, some kind regular or structured approach, not just ad hoc/when you have time)			Objectives may be attached to the policy, or in a separate document (eg, business plan)
7.	5.5.3	Do you have reasonable methods to communicate internally? Do you include the QMS (eg, processes, procedures, etc) and how it's working?			
8.	5.5.1 5.3 5.1a, 5.5.3 5.1a 5.5.2c	Do people know: <ul style="list-style-type: none"> <li>• your Quality Policy?</li> <li>• who does what?</li> <li>• relevant requirements? (customer, yours, any statutory / regulatory applicable)?</li> <li>• how well the quality system is performing?</li> <li>• any need for improvements, including from customers &amp; through feedback?</li> </ul>			There often aren't (& don't need to be) written communication procedures (except in larger organisations), but there should be evidence that this is so
9.	5.4.2	When changes happen (planned or unplanned) do you make sure the QMS is kept up?			Eg, plans, Actions in minutes, formal Action plans, strategies, etc
10.	5.5.1	Does your system clearly say who is responsible for what? And who has what authority (eg, sign off documents, hire/fire, accept orders, etc)?			Eg, org charts, job descriptions, details in procedures /computer systems, authority matrix, signing levels, delegations

### How to Use the Checklist – Instructions

The checklist enables you to assess your organisation against all of the requirements of ISO 9001 to identify where you are meeting them, and where you have gaps. It is for the current version of ISO 9001 (2008). You could also use it as a final checklist to approach a certification audit, and check you've covered everything.

Use the examples below as a guide.

In this column, note the things, document(s) and/or record(s) in your QMS that show you meet the requirement; that there should be *at least one reference or type of record* to show what you do to meet this requirement

Ref. Lists the specific clause(s) of ISO 9001 that the question relates to

Q	Ref	Question	Met?	How done in QMS	Reference/ record in your QMS?
	6.1	Have you decided what resources you need and provided them?	Y	Responsibilities, supervision & management overseeing, etc Position descriptions Regular reviews of resource needs (quarterly); current IT systems (maintained & updated when appropriate)	Organisation chart + PDs IT: database & online systems
	6.2	Are people competent for their work? <ul style="list-style-type: none"> <li>Have you determined the competencies you need (training, education, experience, skills)?</li> <li>Have you made sure those needs are met?</li> <li>And do you make sure people stay competent (even if things change)?</li> <li>Do people know how what they do contributes to the QMS?</li> </ul> Do you have <u>records</u> that show this?	Y	Hiring skilled and qualified people; some training on the job  CVs (managers & admin staff) Position Descriptions (PDs) Company training program, incl. initial and refresher training	Position Descriptions Personnel files CVs (managers & admin staff only) Training register
	5.1	Has a quality management system been implemented? Do you continually improve it to make sure it works better?	Y	System implemented. Improved processes, etc.	<b>*See note below</b>

Enter 'Y' against a particular question only if you assess your organisation as complying with (meeting) all the requirements outlined in the question. Otherwise 'N'.

**How done:** outline the way(s) in which your organisation meets the requirement

\*Grey-shaded boxes: a box that is shaded indicates that specific documents or records *may* not exist (or there's no point in just listing some, because **everything** is applicable). For example, the fact that the system *exists* shows that it has been implemented. For all non-shaded boxes, assume.

Note: this checklist is a guide, and is *not* a replacement for the Standard: you should check the exact wording of requirements against the ISO 9001:2008 Standard itself