

ISO 9000 Implementation Manual

- Demo Version -

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The ISO 9000 Implementation Manual is designed to serve as an example for an ISO 9001:2000 Quality Manual and Procedures.

“The XYZ Corporation” for which this manual was developed may or may not be similar to your own company. Use this manual to get ideas for your own manual, or modify it so that it fits your company’s special needs and circumstances. Some sections, highlighted in yellow, contain tips on how to best customize to fit your company’s circumstances.

Time Saving Tip:

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The XYZ Corporation

Quality Manual

Table of Contents

Approval	5
1 Introduction	6
1.1 Foreword	6
1.2 Presentation of The XYZ Corporation	7
1.2.1 History	7
1.2.2 Vision and Mission	8
1.2.3 Our Products	8
1.2.4 Corporate Structure	9
1.2.5 Core Values	10
2 General Requirements	11
2.1 Quality Management System	11
2.1.1 Scope	11
2.1.2 Quality Management Processes	11
2.1.3 Management Representatives	12
2.1.4 Changes to the Quality Management System	12
2.1.5 Management Principles	13
2.2 Documentation Structure	14
2.3 Document Control	15
2.3.1 General	15
2.3.2 Document Life Cycle	16
3 Leadership	21
3.1 Responsibilities and Authorities	21
3.2 Quality Policy	22
3.3 Setting Objectives	23
3.3.1 Strategic Objectives	23
3.3.2 Business Objectives	23
3.4 Customer Focus	25
3.5 Internal Communication	26
4 Resource Management	27
4.1 Resource Allocation	27
4.2 Human Resources	28
4.2.1 Performance Objectives and Competence Needs	29
4.2.2 Training and Awareness	29
4.2.3 Hiring and Termination	30
4.2.4 Performance Review	32
4.3 Infrastructure	33
4.4 Work Environment	34
4.5 Equipment	35
4.5.1 Equipment Maintenance	35
4.5.2 Control of Measuring Devices	35
5 Customer Contracts	37
5.1 Proposal Preparation and Review	37
5.1.1 Review of formal RFPs	37
5.1.2 Proposal Preparation	37
5.1.3 Proposal Review	38
5.2 Contract Preparation, Review and Acceptance	40

5.2.1	Contract Preparation	40
5.2.2	Contract Review.....	40
5.2.3	Contract Acceptance.....	41
5.2.4	Verbal Requirements and Confirmation	42
5.3	Changes to Customer Contracts	42
6	Design and Planning	44
6.1	Identification of Customers	44
6.2	Customer Requirements	45
6.3	Quality Planning.....	46
6.4	Product Design	48
6.4.1	Planning for Product Design	48
6.4.2	Performing Product Design.....	48
6.4.3	Changes in Product Design	51
6.5	Customer Communication Channels	52
7	Purchasing and Outsourcing	53
7.1	Opportunities to Increase Value	53
7.2	Supplier Selection and Evaluation	54
7.3	Supplier Maintenance	56
7.4	Supplier Contracts and Insurance	57
7.4.1	Supplier Contracts	57
7.4.2	Proof of Insurance (US only).....	59
7.5	Order Information.....	61
7.6	Receiving Inspection of Purchases.....	62
8	Production and Service Provision.....	63
8.1	Customer Property.....	63
8.2	Control of Production and Service Provision	64
8.3	Information Flow	66
8.4	Quality Control Inspection and Release	67
8.5	Nonconforming Products and Services	68
9	Measurement and Analysis	70
9.1	Customer Satisfaction.....	70
9.2	Audit Program	73
9.3	Metrics	76
9.3.1	Establishing Metrics	76
9.3.2	Monitoring	78
9.3.3	Recording and Reporting of Metrics	78
9.3.4	Analysis.....	79
9.4	Corrective and Preventive Action	80
9.4.1	General	80
9.4.2	Corrective and Preventive Action Process Flow	81
9.5	Management Review	84
9.5.1	Local Management Review.....	85
9.5.2	Corporate Management Review	86
10	Appendix	88
10.1	ISO 9001 Cross Reference.....	88
10.2	Revisions, Exclusions & Legend.....	91

Approval

This Quality Manual has been approved for use throughout The XYZ Corporation:

Version 10/26/2004:

Adam Approver

Title: Big Boss

Approved on 10/27/2004

This Quality Manual has been written and published by John Johnson of The XYZ Corporation. Please contact John Johnson at john_johnson@xyzcorp.com with questions, comments and improvement suggestions.

1 Introduction

1.1 Foreword

The success of an organization like The XYZ Corporation requires that it be managed in a systematic manner to maintain and improve the value of its services and products. Policies establish the objectives and the direction of the organization; procedures are the detailed implementation of the policies.

The XYZ Corporation is applying a quality management system that is designed to maintain and continually improve the effectiveness and efficiency of the organizations' performance. The quality management system meets the requirements of ISO 9001:2000; it is documented through this Quality Manual.

The Quality Manual identifies the processes needed for the quality management system and their application throughout the organization; it also shows the sequence and interaction of these processes. The Quality Manual also determines the criteria and methods needed to make both the operation and the control of these processes effective. The Quality Manual also includes policies and procedures that are designed to lead to the availability of resources and information necessary to support the operation and monitoring of these processes. In order to allow us to achieve continual improvement, this Quality Manual determines the requirements for the monitoring, measuring and analysis of these processes, and for the implementation of necessary corrective or preventive actions.



1.2 Presentation of The XYZ Corporation

1.2.1 History

A History of The XYZ Corporation.

Note:

A section on the history of your company is not required. However, it may be interesting for new employees that want to learn about the company, its culture and what's important around here.

Main points

This History will also be interesting for customers should you elect to hand out your Quality Manual for marketing purposes.

1.2.2 Vision and Mission

Vision

The Vision of The XYZ Corporation.

Note:

A vision is not required though it's useful. A vision is the answer to "Where do we see ourselves in the future?"

Mission

The Mission of The XYZ Corporation

Note:

A mission is not required though it's useful. A mission is the answer to "Why do we exist and what are we doing to pursue our vision of the future?" Typical components are:

- Purpose:
 - What are the opportunities, problems or needs that we exist to address?
 - Why does our organization exist?
 - What is the ultimate result of our work?
- Business:
 - What are we doing to address these needs?
 - What activity are we going to do to accomplish our purpose?
- Values:
 - What principles or beliefs guide our work?
 - What are the basic beliefs that we share as an organization?

1.2.3 Our Products

This section is not available in the demo version.

This section is not available in the demo version.

1.2.4 Corporate Structure

The following organizational chart represents the functional organization of The XYZ Corporation.

This section is not available in the demo version.

With corporate support, the functional divisions cover a wide spectrum of worldwide transportation and logistics services.

1.2.5 Core Values

Excellence - We are committed to world-class customer service and quality as we excel for the mutual success of our clients, employees, and partners. Our professionals are customer-driven and continually add value to our services whenever it benefits our clients. We are committed to working toward continual improvement in everything we do.

Our core values are
* Excellence
* Honesty/Integrity
* Innovation
* Teamwork

Honesty and Integrity - Our business is based on long-term relationships that require utmost trust. We require honesty and integrity in everything we do. We are accountable to our customers, owners, suppliers, and fellow employees. We do what we say we are going to do.

Innovation - We always think outside the box to provide the best solutions for our clients. Our best solutions often evolve from discussions across different divisions and with our many strategic partners.

Teamwork - We realize that every employee is integral to the success of the company and strive to promote teamwork across divisional lines for the benefit of our customers. We also value our relationships with our strategic partners and recognize their importance in delivering solutions to our customers.

2 General Requirements

2.1 Quality Management System

The XYZ Corporation maintains an integrated system of policies, procedures and work instructions that lay the fundamentals of our business activities. We call this our **quality management system**.



Quality management system

2.1.1 Scope

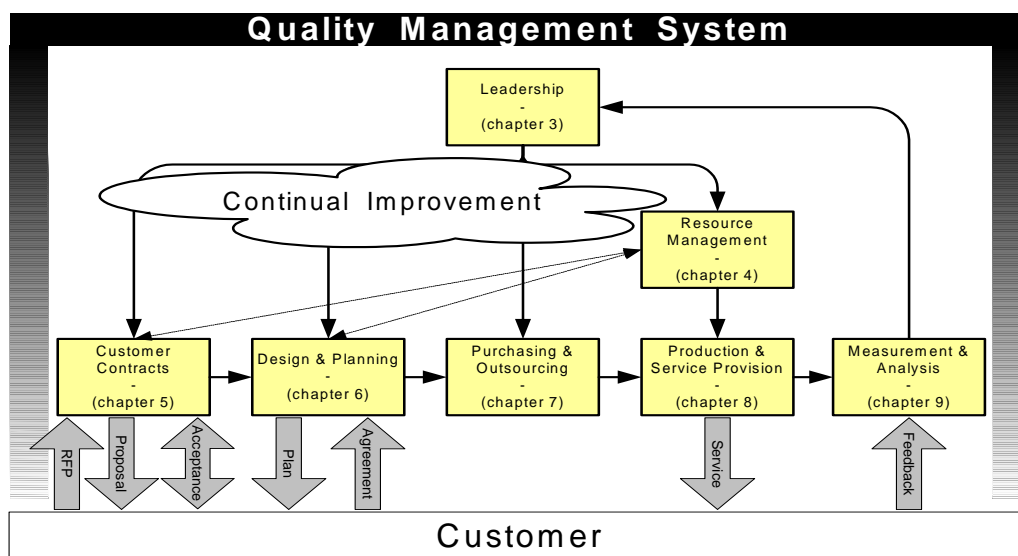
The quality management system of The XYZ Corporation is implemented throughout the organizations; it covers all functions and all locations. As the quality management system is a fundamental of our business activities, it is followed all the time.

"always and everywhere"

2.1.2 Quality Management Processes

The XYZ Corporation identifies and manages the numerous activities (i.e., processes) and the interaction between them in order to achieve effective functioning of the organization. The following figure illustrates the interaction of our key processes and their interface with the customer. Both the structure of our quality management system and this manual are aligned with our key business processes.

The "ISO system" equals our business processes.



The above description of processes needed for the quality management system and the interaction with customers can loosely be applied to all business units.

More detailed processes...

Management at each business unit or individual location identifies all its own key processes and maintains a description of the interaction of these processes (e.g., in form of flowcharts).



Management identifies
processes.

2.1.3 Management Representatives

This section is not available in the demo version.

Local MRs and MR for
The XYZ Corporation

2.1.4 Changes to the Quality Management System

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Local MRs and the MR
for The XYZ
Corporation strive to
ensure integrity of
system.

2.1.5 Management Principles

The XYZ Corporation embraces the following eight management principles on which our quality management system is based:

- **Customer focus**
The XYZ Corporation depends on our customers and therefore should understand current and future customer needs, should meet customer requirements and strive to exceed customer expectations.
- **Leadership**
Leaders establish unity of purpose and direction of the organization. They should create and maintain the internal environment in which people can become fully involved in achieving the organization's objectives.
- **Involvement of people**
People at all levels are the essence of an organization. Their full involvement enables their abilities to be used for the organization's benefit.
- **Process approach**
A desired result is achieved more efficiently when activities and related resources are managed as a process.
- **System approach to Management**
Identifying, understanding and managing interrelated processes as a system contributes to the organization's effectiveness and efficiency in achieving its objectives.
- **Continual improvement**
Continual improvement of the organization's overall performance should be a permanent objective of the organization.
- **Factual approach to decision making**
Effective decisions are based on the analysis of data and information.
- **Mutually beneficial supplier relationships**
An organization and its suppliers are interdependent, and a mutually beneficial relationship enhances the ability of both to create value.

The XYZ Corporation's quality management system is based on eight management principles.

2.2 Documentation Structure

How is our quality management system documented?

The following documents are the backbone of our quality management system:

- This Quality Manual, which consists of the corporate policies and procedures that implement our quality management system, including our quality policy and quality objectives, as well as all documented procedures required by ISO 9001:2000
- Work instructions and other documents needed by the divisions, business units and local offices and facilities to achieve the effective planning, operation and control of their processes
- Records required by ISO 9001:2000

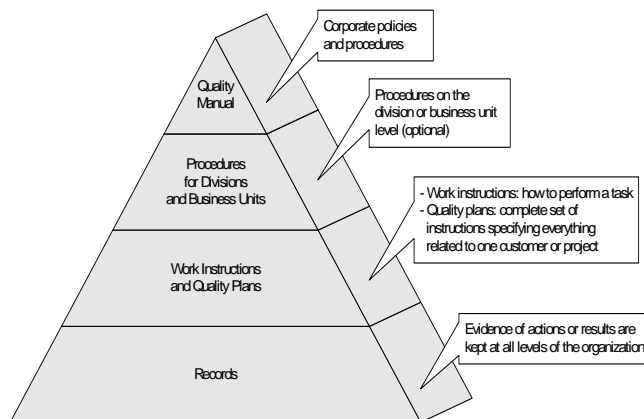
Quality management system documents:

*this manual,
work instructions
records*

What amount of flexibility do the business units have?

Reflecting the decentralized nature of The XYZ Corporation, our quality management system only sets the overall policies and procedures on the corporate level; operating under this umbrella, the divisions and business units have the flexibility to define more specific requirements.

The following illustrates the documentation structure of our quality management system:



Operating procedures at the division level and the business unit level are optional but they may be used by individual divisions and business units in order to standardize any process.

Work instructions are used on any level where they add value to the organization.

For requirements on the *control* of documents and records, please refer to chapter 2.3 “Document Control” later in this manual.

2.3 Document Control

2.3.1 General

What does document control mean?

Document control means that the right persons have the current version of the documents they need, while unauthorized persons are prevented from use.



Document control

Which documents are affected?

All documents that may have an impact on our services, the quality management system, or the company are controlled; documents could be in any format (e.g., hardcopy, electronic).

How much control is necessary?

The level of control is appropriate to the nature of the document. Documents that have little impact on our services, the quality management system, or the company need only little control, while documents with much impact need more stringent controls.

This manual identifies the minimum requirements; individual business units define higher levels of control where they deem it necessary.

Who is responsible?

Document control is the responsibility of all employees. All levels of Management ensure that the documents within their functional areas are controlled. All employees contribute by not circulating or using uncontrolled documents.

Management and employees are responsible for document control.

Preparation

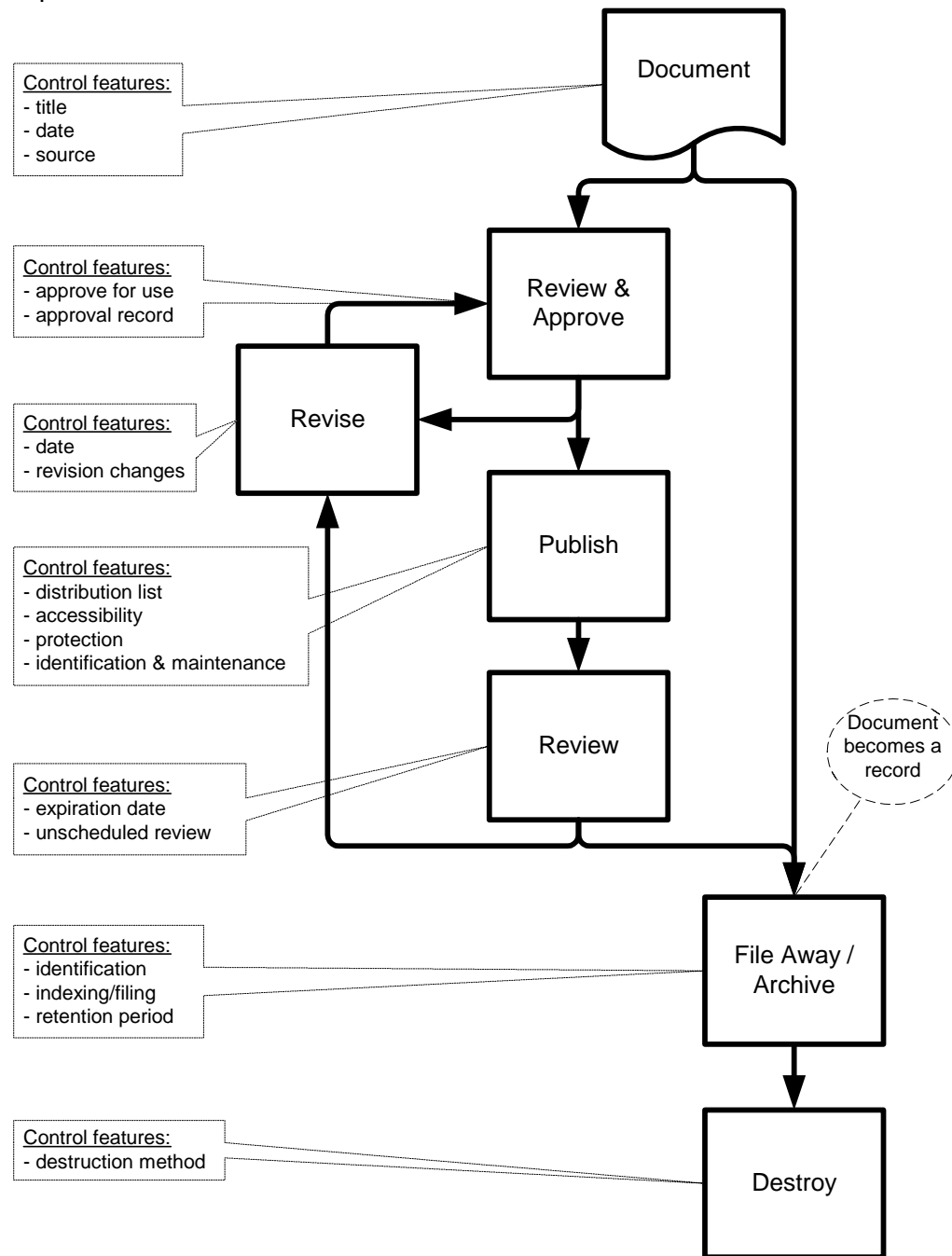
The Quality Manager sets up a **Record Retention Guide** that defines for each record or record type the retention period, the filing and archiving location, and the method of destruction. The Record Retention Guide must be accessible to all involved in filing and archiving.



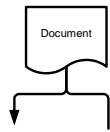
The Quality Manager establishes the Record Retention Guide.

2.3.2 Document Life Cycle

The following illustration gives an overview of the stages in the document life cycle at which various control features are applied. The control features are explained below.



A new document is created or received...



Whoever creates a new document adds the required control features below.

Control features:

- **Title**
A clear, unambiguous title is used to clearly identify a document. Identification numbers may be used as titles.
- **Date**
A date is used to identify when the document was created or revised. Where feasible, the date should be on each page.
- **Source**
The source of the document is identified right on the document. The source could be a person or a department etc. It is important that the user can identify where the document was generated.

All documents must show a title, date, and source.

Note concerning external documents:

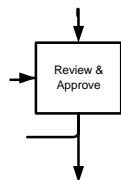
The same requirements apply to external documents: all external documents are checked to ensure that they have all control features; where feasible, we apply missing control features. External documents are then treated like internal documents.

Management assumes responsibility for all control requirements of external documents and printouts.

Note concerning printouts of electronic documents:

Many document control features are provided automatically when maintaining electronic documents (e.g., on the Intranet). The controls, however, apply only to the electronic version. Printouts, therefore, are controlled separately and as if they were documents that are just created. Management of the area in which printouts are used takes responsibility for all control requirements.

The document is reviewed and approved before its use...



Documents are reviewed and approved before they can be used within the company.

Control features:

- **Approve for use**
Generally, documents are approved by Management responsible for managing the tasks described in the document.
- **Approval record**
A record of the approval is kept. The approval is recorded on the document itself where feasible. The footer of the document could, for example, show "Prepared by John Doe. Approved by Mike Smith."

Documents are properly approved and the approval is recorded.

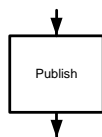


Approval record

Exception:

If the document shows as the source the same Management personnel that are responsible for review and approval, no separate approval record is necessary.

The document is published for use...



Proper publication involves several important control features.



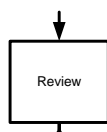
Distribution list

Give access but don't create redundant documents!

This section is not available in the demo version.

Management keeps all documents current.

Time for review...



Management strives to ensure that documents remain valid. This is done through review based on the following control features:

Control features:

- **Expiration date**
Some documents may have an expiration date assigned

Reviews are necessary so that documents are updated or removed when obsolete.

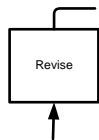
(especially documents on Intranet where this can be automated). Once the expiration date is reached, Management reviews to decide if the document should remain published, if it should be revised or if it should be removed from use.

- **Unscheduled review**

All other documents are reviewed according to business needs: changes in processes, customers and services may all lead to a document review. During the review Management decides if the document should remain published, if it should be revised or if it should be removed from use.

The document may need to be revised...

Revised documents show a revision date and identify revision changes.



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Documents vs. Records:

Records are special kinds of documents: records state results achieved or provide evidence of activities that have been performed. Because records are proof of something, records cannot be changed or revised.



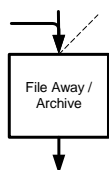
Records

Other documents (i.e., those that go through the review/approval – publishing - revision path) are living things. They are instructions or provide information on current conditions. These documents need to be kept current.

These documents, however, can become records. Once a document is no longer used as instruction etc, it may be kept for future reference. The document becomes a record.

Blank forms are similar to instructions as they guide the user to provide certain information. Once a form is filled out, however, it is usually a record.

Records are filed away and archived...



Management applies the following control features for all their records and follows the Record Retention Guide on Intranet.

Control features:

- **Identification**

Whenever obsolete documents are retained for any purpose (thus becoming records), supervisors ensure that these are clearly identified as obsolete to prevent them from unintended use.

The Record Retention Guide is located on Intranet.

- **Indexing/filing**

The Record Retention Guide on Intranet specifies indexing, filing and archiving requirements. Where no specific indexing, filing, and archiving instructions are given, Management applies their own measures so that their records are protected and can be easily retrieved.

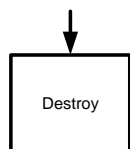
Records are clearly identified, properly filed, and kept according to policy.

Management also strives to ensure that all records that are taken from files or archive can still be found if needed.

- **Retention period**

The Record Retention Guide on the Intranet specifies how long records must be retained.

Records are properly destroyed...



This section is not available in the demo version.

Proper destruction prevents private information from falling into the wrong hands.

3 Leadership

Leadership, commitment and the active involvement of senior management are essential for developing and maintaining an effective and efficient quality management system.

3.1 Responsibilities and Authorities

It is policy of The XYZ Corporation to clearly define and communicate responsibilities and authorities. Management implements this policy throughout their area of responsibility.

Management defines and communicates responsibilities and authorities.

Definition of responsibilities and authorities...

The following tools are used to define responsibilities and authorities, as well as the reporting structure:

- **Job descriptions**

Responsibilities and authorities for each position at The XYZ Corporation are defined through job descriptions. All job descriptions are acknowledged by the employee and his/her supervisor. Supervisors then provide the HR Department with copies of the acknowledged job descriptions (hardcopy) as well as with an electronic version.

- **Organizational charts**

Management maintains organizational charts that define the reporting relationship between all positions within their area of responsibility.



Job descriptions and organizational charts

Management maintains job descriptions and organizational charts for their area of responsibility.

Communication of responsibilities and authorities...

This section is not available in the demo version.

3.2 Quality Policy

The following represents the quality policy of The XYZ Corporation:

Quality Policy

The XYZ Corporation is committed to providing worldwide integrated transportation and logistics services that are reliable, fast and damage free.

Note:

In generic terms, this commitment is: The XYZ Corporation is committed to [providing our specific services/producing our specific products] that are [three most important characteristic from customer's point of view].

We strive to achieve this by:

- Promoting an understanding of our customers' needs and expectations, together with a culture of exceeding customer expectations.
- Developing seamless processes by fully integrating the services provided by our suppliers and partners.
- Monitoring our performance through performance metrics in order to continually improve our processes and services.
- Utilizing our ISO 9000 quality management system for all company processes everywhere, every time, without exception.

John Jones
Chairman & Chief Executive Officer

Tom Thompson
President & Chief Operating Officer

Steve Stevenson
Chief Financial Officer

Peter Peterson
Senior Vice President & Chief Administrative Officer

Roy Robinson
Executive Vice President

Kelley Kelly
Senior Vice President

The quality policy guides our daily operations. Management on all levels communicates and explains the quality policy to all employees so that all employees are familiar with the policy and its intent.

*Management explains
the quality policy to their
employees*

3.3 Setting Objectives

3.3.1 Strategic Objectives

Setting objectives

This section is not available in the demo version.

The EMB determines strategic objectives and communicates them down to ensure that the organization can contribute to their achievement.

Communicating objectives

This section is not available in the demo version.

3.3.2 Business Objectives

Division

This section is not available in the demo version.

Division management establishes objectives which will become the basis of business plans and objectives.

Business planning

This section is not available in the demo version.

Management includes specific objectives in their annual business plans.

Communicating objectives

This section is not available in the demo version.

Management communicates business objectives.

3.4 Customer Focus

The success of the organization depends on understanding and satisfying the current and future needs and expectations of present and potential customers. Management throughout The XYZ Corporation promotes a culture of customer focus so that all employees understand relevant customer needs and work towards enhancing customer satisfaction.

Management promotes a culture of customer focus.

The following activities, all of which are described in detail later in this manual, help Management promote the culture of customer focus:

- Identification of customer groups (including internal customers)
- Identification of needs and expectations of customers and potential customers
- Determination of key product/service characteristics
- Translating identified key characteristics, needs and expectations into requirements
- Communicating the requirements

3.5 Internal Communication

Management throughout The XYZ Corporation supports the effectiveness of the quality management system by establishing communication channels (e.g., newsletter, staff meetings, Intranet) and by ensuring that communication takes place within the organization regarding the following:

Management establishes internal communication channels.

- Customer requirements
- Statutory and regulatory requirements
- The quality policy
- Quality objectives
- The effectiveness of the quality management system
- Changes in the corporate structure and new companies
- Name changes of our divisions, business units, companies, joint ventures and DBAs

4. Resource Management
4.1 Resource Allocations

4	Resource Management	
4.1	Resource Allocation	

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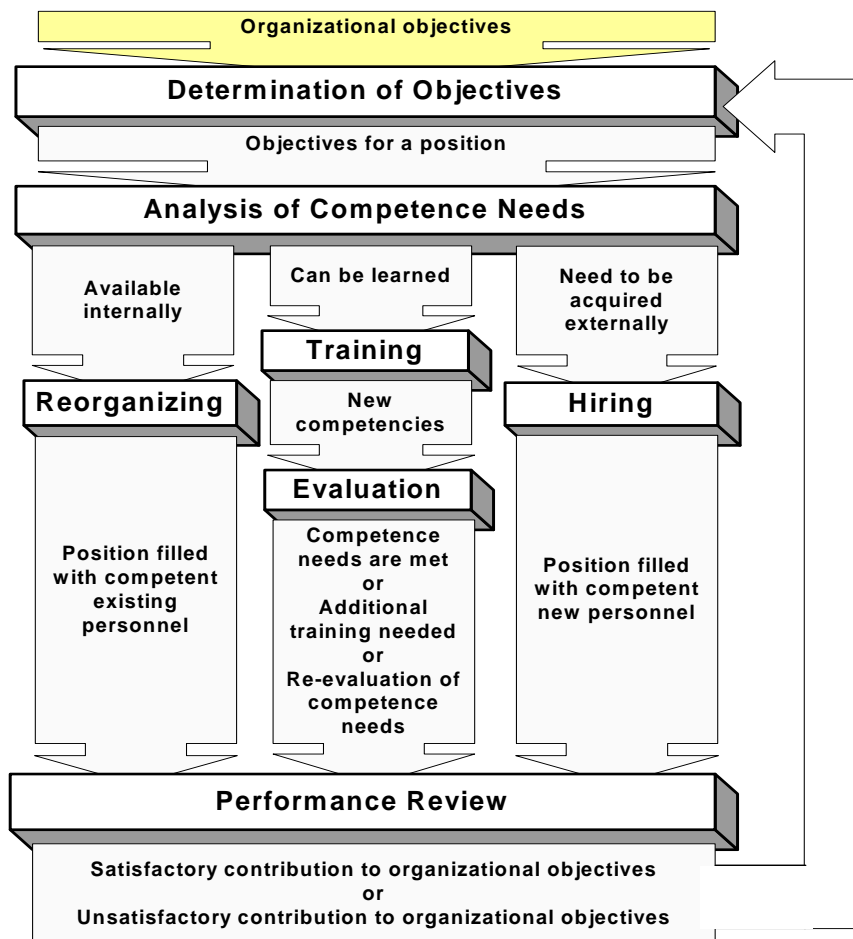
*Management identifies
and provides necessary
resources.*

*Process approach and
employees support the
identification of
resources.*

4.2 Human Resources

Management throughout The XYZ Corporation strives to ensure that the necessary competence is available for the effective and efficient operation of the organization. In order to perform their job functions, all personnel at The XYZ Corporation should be competent on the basis of appropriate education, training, skills, and experience.

Managers follow procedures whose goal is to ensure that the activities of personnel contribute to the achievement of organizational objectives.



4.2.1 Performance Objectives and Competence Needs

This section is not available in the demo version.

Performance objectives support organizational objectives.

Objectives are SMART.

Performance objectives and measures of success are documented in the performance review.

Competence needs are based on objectives.

4.2.2 Training and Awareness

This section is not available in the demo version.

Managers involve their personnel.

This section is not available in the demo version.

Managers plan, provide, record and evaluate training.



Training records

The requirements apply to any kind of training.

4.2.3 Hiring and Termination

Hiring and termination activities are the responsibility of individual Managers as well as the HR Department.

Managers are supported by HR when hiring.

Hiring

1

Requisition and Job Description:

The hiring Manager provides the HR Department with a requisition form and job description of the open position.



Requisition and job description

2

Posting and Advertising:

The HR Department posts the job opening internally and externally to ensure compliance with requirements for federal contracts and for affirmative action plan.

3

Initial Review of Resumes:

The HR Department receives resumes, reviews them and pre-sorts them. All resumes are kept on file by the HR Department.



Resumes

4**Interview:**

The hiring Manager asks the applicant to fill out an application form before the interview and interviews the applicant according to HR guidelines. The Manager also fills in a log of all interviews (EEO Log) and forwards the log to the HR Department for their records.



Applications and EEO Logs

5**Job Offer:**

The hiring Manager makes a conditional job offer. All job offers are conditional and dependent on the results of background checks; no employees can be hired as full-time employees before due diligence has been performed.

6**Due Diligence:**

The HR Department performs due diligence and keeps records:

- References
- Background checks
- Copy of diplomas and certificates as required in job description
- Credit check (certain positions only)
- Drug testing (certain positions only)



Records of due diligence

7**Hiring:**

The hiring Manager fills out and submits all necessary documents to the HR Department within the required timelines (see “New Hire Check List”). The HR Department maintains the records.



Various new hire forms

8**Orientation:**

The HR Department provides the new employee with an orientation that includes:

- Company history
- Review of the employee handbook (incl. corporate policies & standards of conduct, and employee benefits)



Records of orientation

As with any training, the HR Department keeps a record of the orientation.

Managers may reorganize positions if they determine that the needed competencies already exist within the organization.

Temps

- ❑ **Temp Agencies:**
Temp agencies are treated like other suppliers; refer to section on purchasing and outsourcing.
- ❑ **Temp to Full-Time:**
The hiring procedures above apply for all temporary employees that are to be employed full.

Supplier procedures apply to temp agencies.

Hiring procedures apply to “temp-to-full-time” positions.

Termination

Managers use HR's guidelines and check sheets before any termination.

Managers use HR guidelines.

The HR Department performs an exit interview in order to investigate the reasons why employees leave the organization. The results of the exit interviews are recorded and periodically reviewed for trends.



Exit interview

4.2.4 Performance Review

Managers evaluate the performance of their personnel annually. The HR Department prompts Managers by supplying the performance review form during the month prior to the review.

Managers evaluate the performance of their personnel annually.

Content

This section is not available in the demo version.

The performance review includes objectives and training.

Process and Timeliness

This section is not available in the demo version.

Management strives for timeliness and proper review process.



Performance review

4.3 Infrastructure

Management works to attain that the infrastructure needed to meet all requirements is determined as part of the business plans and consequently provided. Infrastructure includes:

Infrastructure needs are included in the business plan.

- Buildings, workspace and utilities
- Tools and process equipment (both hardware and software)
- Information and communication technology
- Supporting services

Lease agreements

Lease agreements are authorized by Legal.

This section is not available in the demo version.



Lease agreements

Equipment rental agreements

Standard templates are used for equipment rental agreements.

This section is not available in the demo version.



Rental agreements

Corporate documents



Corporate documents

This section is not available in the demo version.

4.4 Work Environment

This section is not available in the demo version.

Corporate Services and Management throughout the company ensure a positive work environment.

4.5 Equipment

4.5.1 Equipment Maintenance

The XYZ Corporation strives to maintain equipment needed in the production and service provision in order to prevent breakdowns and malfunctioning.

Equipment is maintained according to plan.

Management works to attain that their equipment is properly maintained through:

- **Establishing a maintenance program**

Management establishes and documents a maintenance program for all their necessary equipment. The maintenance program includes

- Defined maintenance intervals (as a function of time or usage)
- Defined maintenance activities



Maintenance program

- **Performing maintenance according to program**

Management strives to ensure that all maintenance activities are conducted according to plan, and that all maintenance records are kept.



Maintenance records

4.5.2 Control of Measuring Devices

This section is not available in the demo version.

Management applies all requirements for an effective and efficient measurement process.

Devices are calibrated according to plan.

This section is not available in the demo version.



Calibration program



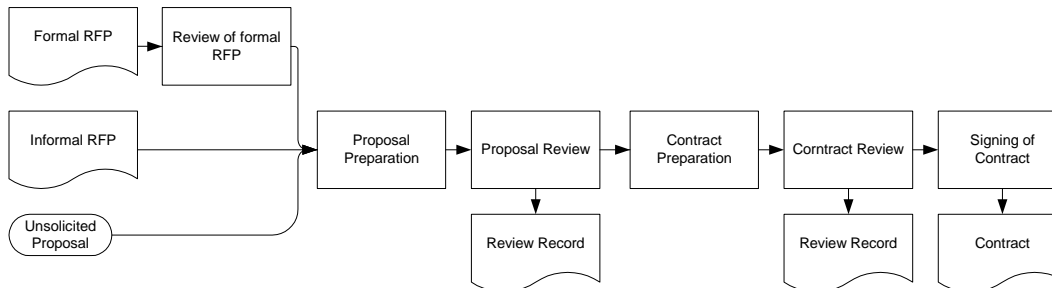
Calibration records



*Records of assessment
and action*

5 Customer Contracts

The following process is followed for customer proposals and contracts:



5.1 Proposal Preparation and Review

5.1.1 Review of formal RFPs

All formal RFPs undergo an initial review by the Legal Department in conjunction with Risk Management in order to filter out those RFPs that are not feasible for The XYZ Corporation. Therefore, Sales, Marketing or other functions who receive a formal RFP inform the Legal Department and forward the formal RFP for an initial review.

Formal RFPs are reviewed by Legal and Risk Management.

5.1.2 Proposal Preparation

The proposals of The XYZ Corporation are designed to provide existing and potential customers with value-added services. These value-added services specifically address customer needs that are specified by the customer, implied by the customer, and/or that are needs of which the customer is not yet aware.

Requirements

As part of the preparation of a customer proposal, the following requirements are determined, taken into consideration and addressed by Sales and Marketing in our proposals:

Determination of all requirements, including customer needs and wants, are crucial to our proposals.

- Requirements specified by the customer, including any requirements for delivery and post-delivery activities
- Implied requirements
- Requirements not stated by the customer but necessary for the customer to gain the specified or intended benefits (where known)
- Customer needs of which the customer may not yet be aware

- Statutory or regulatory requirements related to the product/service
- Any additional requirements determined by The XYZ Corporation

Note:

Chapter 6 “Design and Planning” includes additional information that may be of importance when preparing proposals.

Legal Note

This section is not available in the demo version.

Management adds a legal note to proposals.

Format

All proposals are created in accordance with corporate style guides (provided by Corporate Communications).

5.1.3 Proposal Review

The proposal owner is responsible for the review.

This section is not available in the demo version.

Reviews take place before we commit ourselves.

Who reviews?

Many functions participate in the review.

This section is not available in the demo version.

What is being reviewed?

This section is not available in the demo version.

The review helps to ensure that the proposal is correct and complete, that we are able to perform, and that possible risks don't outweigh the benefits.

What records are required?



Review records

This section is not available in the demo version.

Review records are maintained with the proposal or contract.

5.2 Contract Preparation, Review and Acceptance

5.2.1 Contract Preparation

This section is not available in the demo version.

5.2.2 Contract Review

This section is not available in the demo version.

Proposal-Based Contracts and other Non-Standard Contracts

This section is not available in the demo version.

If the contract doesn't vary from the reviewed proposal, a limited review is sufficient.



Review records

This section is not available in the demo version.

Copies of review records and contracts are forwarded to Legal.

Legal maintains records.

Standard contracts and orders

This section is not available in the demo version.

The review of standard contracts and orders is performed by the signer of the contract or order.

5.2.3 Contract Acceptance

Signature

The signature of the Manager on the contract or agreement is an acknowledgement that the Manager has complied with the requirements for review of the document prior to signature.

Records

Signing management keeps a contract file that includes the signed contract as well as records of review. A copy of each signed customer contract or other agreement is forwarded to the Legal Department for retention in the central filing system of The XYZ Corporation.



Contract

Communication of contract acceptance and contract requirements

Management responsible for the contract informs all affected functions (i.e., the functions that performed the review) as soon as the contract is accepted.

Once accepted, all affected functions are notified.

The entire contract or a summary of relevant parts are made available to Management of all functions who are directly or indirectly involved in meeting the

contract requirements.

Details of the distribution are maintained so that future contract changes can be communicated to the same group.

5.2.4 Verbal Requirements and Confirmation

In case the customer's requirements are only verbal and/or the customer chooses not to sign a written contract, the manager accepting the customer order confirms in writing the requirements and our terms and conditions:

We confirm verbal requirements in writing.

- ☐ Requirements
 - Scope of services
 - Pricing for services
 - Terms of payment
 - Minimum volume commitment (if any)
- ☐ Terms and Conditions (as recommended by Legal)
- ☐ Term of the agreement
State the term of the agreement (e.g., 1 year)
- ☐ Conclusion
Conclude that all services are provided per the terms of the XYZ Corporation confirmation.



Confirmation

Records

Signing management keeps a record of this confirmation in lieu of a signed contract. A copy of the confirmation is forwarded to the Legal Department for retention in the central filing system of The XYZ Corporation.

5.3 Changes to Customer Contracts

This section is not available in the demo version.



Contract changes

Contract changes are in writing and have been reviewed before acceptance.

5. Customer Contracts
5.3 Changes to Customer Contracts

This section is not available in the demo version.

Affected functions are notified of contract changes.

6. Design and Planning
6.1 Identification of Customers

6	Design and Planning	
6.1	Identification of Customers	

This section is not available in the demo version.

Management provides their employees with information so that all understand who their customers are.

6.2 Customer Requirements

This section is not available in the demo version.

Management provides information so that all employees understand what their customers' requirements are.

6.3 Quality Planning

This section is not available in the demo version.

*Management
methodically engages in
quality planning.*

*Various output factors
are required to
completely define new
processes.*

This section is not available in the demo version.



*Requirements for plan
format*

6.4 Product Design

Scope

This section is not available in the demo version.

Design requirements are applied to the design of complex products.

Quality Planning requirements are applied to less complex products and services.

6.4.1 Planning for Product Design

This section is not available in the demo version.

Design is carefully planned and may involve project plans.

6.4.2 Performing Product Design

Product design is performed as planned. The following graphic illustrates the main processes, inputs and outputs.

This section is not available in the demo version.

This section is not available in the demo version.

The design of complex products includes documented design requirements, documented design reviews, and design output in a form that allows verification against the design requirements.

Design Input

This section is not available in the demo version.

Design Process



Records of design input

This section is not available in the demo version.

Design Review

This section is not available in the demo version.

This section is not available in the demo version.

Systematic design reviews are performed during the design and at completion.

Design Output

This section is not available in the demo version.



Records of design reviews

The design output can be verified against design requirements.

6.4.3 Changes in Product Design

This section is not available in the demo version.



*Records of design
changes*

6.5 Customer Communication Channels

This section is not available in the demo version.

*Management clearly
establishes two-way
communications
channels with their
customers.*

7 Purchasing and Outsourcing

The XYZ Corporation makes extensive use of subcontractors and vendors. However, wherever we choose to outsource any processes that have an impact on meeting customer requirements, we strive to ensure control over such processes. This control is either achieved through:



Control over outsourced processes

- Purchasing information and supplier contracts
We provide the supplier with purchasing information that precisely defines the product or service.
- Direct control
We establish direct control over the processes, procedures and work instructions of the supplier and integrate with the processes performed by us.

The type and extent of control over our suppliers and their products and services depends on the impact that those products and services have on our products, services, and company.

7.1 Opportunities to Increase Value

This section is not available in the demo version.

Managing supplier relationships can offer much value to the company.

7.2 Supplier Selection and Evaluation

The XYZ Corporation selects suppliers based on their ability to provide us with products and services according to our requirements. The extent to which we select, evaluate and re-evaluate our suppliers depends on the impact that their products and services have on our products and services.

The impact of our suppliers' products and services determines the extent of our control.

Management or other designated personnel selects a supplier through one of the following three options:

1 Use of suppliers as specified by the customer

Wherever our customers specify a particular supplier, we use that supplier.

2 Selecting from pool of established suppliers

Depending on the type of supplier and the impact of supplied products/services, a pool of pertinent established suppliers is maintained at the local level or at the corporate level in computer systems, lists, files, or Intranet. Management is encouraged to take advantage of prior evaluations and to leverage our corporate purchasing power through the use of established vendors.



Records of approved suppliers

3 Evaluation of new suppliers

If the needed product/service cannot be satisfactorily provided by an established supplier, we evaluate new suppliers and maintain records of the evaluation and resulting action. Depending on impact and cost of the supplied product or service, we evaluate and compare several suppliers. Where applicable, the evaluation considers the following criteria:



Records of supplier evaluation and resulting action

General Criteria:

- The supplier has not been disapproved
- The supplier is established at other XYZ Corporation business units
- Performance history (as published by supplier)
- References, customer base, and available information on customer satisfaction
- Financial stability: financial assessment to establish the viability of the supplier throughout the intended period of supply
- ISO 9000 or other management systems

Product or Service:

- Cost
- Extent to which the offered product or service meets our needs
- Additional benefits of the product or service

7. Purchasing and Outsourcing
7.2 Supplier Selection and Evaluation

Note: If the product or service is intended to improve our existing processes, a process flow and comparison between the existing and the new processes will be useful for a cost-benefit analysis.

Customer Service:

- Responsiveness
- Support capability

Other:

- Logistics capability

Note: If there is only **one possible supplier** (i.e., monopoly), an evaluation is only necessary if we consider changing our processes to avoid that supplier.

The extent to which we evaluate suppliers and consider the above issues depends on the impact of their products/services on our processes, products and services.

7.3 Supplier Maintenance

This section is not available in the demo version.

Management maintains the pool of suppliers by adding new suppliers, removing disqualified suppliers, and by periodically re-evaluating suppliers.

Management makes the latest supplier information available.

7. Purchasing and Outsourcing
7.4 Supplier Contracts and Insurance

7.4 Supplier Contracts and Insurance

Order information and contracts describe the product/service to be purchased and specify purchasing terms including liability. Local Managers or other authorized personnel work to attain that a proper contract has been established and proof of insurance has been received **before** using suppliers.

Local Managers are responsible for supplier contracts and insurance.

Definitions:

- “Supplier contracts” refers to the purchase of goods and services in connection with the business of The XYZ Corporation.
- “Supplier insurance” refers to the insurance which The XYZ Corporation requires be provided by a Supplier.

7.4.1 Supplier Contracts



Supplier contracts

This section is not available in the demo version.

XYZ Corporation Purchase Order

The default document that Management submits to a supplier when purchasing goods and services is the XYZ Corporation Purchase Order. The XYZ Corporation Purchase Order is accompanied by the standard form of Insurance Certificate that The XYZ Corporation requests from the supplier (see further below for more information on insurance).

Supplier contracts are usually in form of the XYZ Corporation Purchase Order

If there are questions whether the XYZ Corporation Purchase Order is the appropriate document to issue, management contacts Legal for direction.

Process:

- 1) Management selects the XYZ Corporation Purchase Order.
- 2) Management fills in the blanks and signs.
- 3) Management retains original and forwards a copy of the signed contract to Legal for record keeping.
- 4) Legal retains copy.

Contract Templates

This section is not available in the demo version.

7. Purchasing and Outsourcing**7.4 Supplier Contracts and Insurance**

This section is not available in the demo version.

Supplier contracts based on approved contract templates do not need approval by Legal.

Suppliers' forms and modification to XYZ Corporation forms

All supplier contracts that are not based on an approved template are reviewed by Legal before signing.

This section is not available in the demo version.

Supplier forms are never signed without written approval by Legal.



Records of review

Exemptions:

Legal in conjunction with Risk may give exemptions for the contract requirements ***in writing***. Legal retains a record of the exemption on file.

7.4.2 Proof of Insurance (US only)

Management requires that suppliers provide a certificate of insurance according to XYZ Corporation requirements.

This section is not available in the demo version.



Insurance certificates

Legal manages insurance certificates.

7. Purchasing and Outsourcing
7.4 Supplier Contracts and Insurance

Exemptions:

Legal in conjunction with Risk may give exemptions for the insurance requirements ***in writing***. Legal retains a record of the exemption on file.

Exemptions may be given in writing.

Note:

Insurance requirements for non-US locations are determined on a case-by-case basis by Legal in conjunction with Risk.

Legal specifies requirements for non-US locations.

7.5 Order Information

This section is not available in the demo version.

Order information leaves no doubt on the details of what is ordered.

7. Purchasing and Outsourcing
7.6 Receiving Inspection of Purchases

7.6 Receiving Inspection of Purchases

Management at The XYZ Corporation strives to inspect and verify purchased products and services to verify that they meet the specified purchase requirements. The type and extent of such inspections depends on the impact that the purchased products and services have on our products and services.

Management establishes methods (which may include statistical techniques) and instructions for the inspection and verification of such products and services that have a **significant impact on our products and services, or the efficiency of our processes**. Management is encouraged to monitor supplier performance with the aim of updating verification and inspection instructions to eliminate redundant inspections.



Inspection instructions

Where products and services have been determined as not conforming to purchase requirements, section 8.5 on “Nonconforming Products and Services” specifies what to do and what kind of records to keep.

8 Production and Service Provision

8.1 Customer Property

The XYZ Corporation exercises care with all customer property while it is under our control or being used by us. Customer property includes items given to us for shipment or other service provision, packaging materials supplied by the customer, and intellectual property of the customer.

We exercise care with all customer property and notify the customer immediately in case of loss or damage.

Taking care...

The XYZ Corporation applies the following measures to achieve care with customer property:

- Identification
- Verification
- Protection and safeguarding

If something happens...

If, however, any customer property is lost, damaged or otherwise unsuitable for use, we immediately do the following:

- Reporting the loss or damage to the customer
- Maintaining records of the customer notification



Records of customer notification

Next steps...

- ⇒ See section 8.5 for information on how to treat nonconforming products.
- ⇒ See section 9.5 for information on corrective action.

8.2 Control of Production and Service Provision

The XYZ Corporation strives to carry out production and service provision under controlled conditions.

What is a controlled process?



Controlled process

This section is not available in the demo version.

How do we control our processes?

This section is not available in the demo version.



*Work instructions as
needed and in a format
that is best for the
intended user*

This section is not available in the demo version.



*Records showing that
processes meet
requirements*

8.3 Information Flow

This section is not available in the demo version.



*Records of product
identification*

8.4 Quality Control Inspection and Release

Quality control inspections are designed to spot any problems with our products or services at an early stage and to achieve conformance to requirements. They are also used to generate information on how well certain processes are working.

QC inspections are used to achieve product/service conformance, as well as to evaluate processes.

Planning for QC inspections

Management formally plans for QC inspections and documents them. Documentation could be in form of special QC instructions, part of QC checklists or could be included in other work instructions.



QC instructions

- ❑ Stages: Management determines and documents appropriate stages in the production and service provision at which a quality control inspection is performed.
- ❑ Sample size: Management determines how much or how many items are inspected. If only a sample is inspected, Management determines how the sample is selected.
- ❑ Frequency: Management determines when or how often QC inspections are performed.
- ❑ Inspector: Though self-inspections are useful in many cases, more formal inspections require that QC inspectors don't inspect their own work.

Carrying out QC inspections

Management works to attain that the quality control inspections are carried out according to plan.

In case a product is found not conforming to requirements, local Management prevents the release to the next stage in the process as specified in the section on "nonconforming products".

Records

Inspection results and the name of the person authorizing release are recorded. A checklist may be most useful.



Inspection records

In cases in which QC inspections are used to measure how well certain processes are working, inspection results are summarized and analyzed in form of metrics (see section on metrics).

8.5 Nonconforming Products and Services

The XYZ Corporation controls nonconforming products and services in order to prevent them from unintended use or further processing, and to create records as basis for improving effectiveness and efficiency of our processes.

What are nonconforming products and services?



*Nonconforming products
and services*

This section is not available in the demo version.

What to do with nonconforming products and services?

This section is not available in the demo version.



*Records of customer
authorization*

This section is not available in the demo version.



*Instructions on dealing
with nonconforming
products/services as
needed*

What if the nonconformity is detected after use or delivery?

This section is not available in the demo version.

What records are needed?

This section is not available in the demo version.



Nonconformity reports

9. Measurement and Analysis
9.1 Customer Satisfaction

9 Measurement and Analysis

9.1 Customer Satisfaction

The XYZ Corporation uses the measurement of customer satisfaction as a vital tool. We realize that it is not sufficient to measure how we meet customer requirements but that it is of crucial importance how the customer *perceives* our performance.

Who measures customer satisfaction?

This section is not available in the demo version.

Division Management leads the team effort of measuring customer satisfaction.



Customer feedback instructions

What is measured?

We measure satisfaction in the areas of requirements, expectations, and price.

This section is not available in the demo version.

Customer complaints:

Customer complaints are taken very seriously. The following process helps us correct any problems that a customer points out:

Proper handling of customer complaints helps the company improve; it also increases customer loyalty.

1. Record it

All customer complaints are recorded by the individual who receives the complaint (that is, if the complaint did not come in writing).

9. Measurement and Analysis
9.1 Customer Satisfaction

2. Bring to attention

Customer complaints are then forwarded to the pertinent management.

Complaints received by the executive team are forwarded to the affected division leaders who then bring it to the attention of appropriate management.

3. Evaluate it

Customer complaints are evaluated for their root causes and corrective action is planned (see 9.4 “**Corrective and Preventive Action**”).

4. Correct it

Corrective action is performed according to plan (see 9.4 “**Corrective and Preventive Action**”).

5. Inform the customer

Management strives to keep the customer informed on the action arising from their complaint. Solving customers’ problems and reporting back to the customer on the action taken increases customer satisfaction and loyalty.

What are the tools and methods?

This section is not available in the demo version.

How often is customer satisfaction measured?

This section is not available in the demo version.

Records and communication

This section is not available in the demo version.



Records on customer satisfaction

9. Measurement and Analysis
9.1 Customer Satisfaction

Action

In cases of customer complaints or other expression of dissatisfaction, Management engages in corrective action (see section on “Corrective and Preventive Action”).

In cases of customer complaints and where otherwise appropriate, action is then reported back to the customer.

9.2 Audit Program

The Quality and Safety Department operates a company-wide audit program that serves the following purposes:

The purpose of the audit program is to determine and enforce corporate policies and procedures.

- ❑ Determination if corporate policies, procedures and systems are effectively implemented
- ❑ Identification of noncompliances
- ❑ Verification of effective correction of all identified noncompliances

The Corporate Audit and Safety Manager has the overall responsibility for the audit program.

Scope of Audit Program

Audits cover the following areas:

- ❑ ISO 9000
 - Does the quality management system conform to ISO 9001:2000 requirements and requirements established by The XYZ Corporation?
 - Is the system effectively implemented and maintained?
- ❑ Safety
 - Are our workplaces safe?
 - Is the safety program effectively implemented and maintained?
- ❑ Quality Control
 - Do we conform to customer requirements (where applicable)

The audit program includes ISO 9000, safety and QC audits.

Audit Team

This section is not available in the demo version.

The Corporate Audit and Safety Manager strives to ensure that all auditors are qualified.

Audit Planning

The Corporate Audit and Safety Manager prepares an initial audit plan as part of business planning and later updates the plan according to changing circumstances.

The Corporate Audit and Safety Manager prepares annual audit plans that are continuously updated as required by changing circumstances.

Initial Audit Plan:

The Corporate Audit and Safety Manager prepares an initial annual audit plan that shows:

- ❑ **Locations being audited**

Each location is audited at least once per year for ISO 9000. Safety and QC audits may be partially or fully replaced by self-inspections based on the factors listed below.

❑ **Scope of each audit**

The scope of each audit is planned so that over the period of one year, the entire applicable spectrum of ISO 9000 is audited; the entire spectrum of safety and QC is audited of self-inspected.

❑ **Number of audits per location and approximate audit dates**

The following factors may cause the Corporate Audit and Safety Manager to schedule more than the minimum of one complete ISO 9000 audit per year; these factors may also cause safety and QC audits to be replaced by self-inspections:

- Results of previous internal and external audits
- Results of self-inspections
- Importance in terms of revenue, interrelation with other business units, and leadership
- Size in terms of volume, processes and work hours
- Complexity of processes
- Injury statistics
- Results of OSHA inspections
- Management requests for additional audits

Updates:

The audit plan is constantly revised in response to changes in above factors.

Scheduling:

The Corporate Audit and Safety Manager confirms the audit schedule and changes to the schedule with the auditee (local and division Management) in a timely manner.

Assignment of Auditors

The Corporate Audit and Safety Manager considers several factors when assigning auditors.

This section is not available in the demo version.

Audit Preparation

The Corporate Audit and Safety Manager prepares the audit with the auditor.

This section is not available in the demo version.

Auditing

The auditor conducts the audit in accordance with the Corporate Audit and Safety Manager's instructions. A typical audit includes:

- Opening meeting
- Verification of effective correction of previously identified noncompliances (unless already verified)
- Auditing according to plan
- Closing meeting with preliminary audit report

Auditors typically start with opening meeting, then verify old NCS, audit, and end with closing meeting.

Reporting of Audit Results

This section is not available in the demo version.

The Corporate Audit and Safety Manager is responsible for audit reporting.



Audit reports

Corrective Action

This section is not available in the demo version.

Management prepares CAPs and corrects all noncompliances in a timely manner.

Verification

The Corporate Audit and Safety Manager verifies effective correction of all identified noncompliances and their causes through:

- ❑ Tracking of corrective action plans to verify that all noncompliances and their causes are addressed
- ❑ Verification of effective correction
- ❑ Recording of verification results

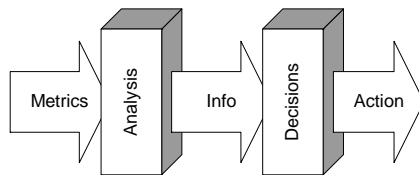


Verification results

The Corporate Audit and Safety Manager informs the Risk Department and division Management if noncompliances are not properly addressed.

9.3 Metrics

The XYZ Corporation makes decisions and takes actions based on facts. The analysis of various kinds of data and information is a key component to making fact-based decisions.



The XYZ Corporation collects relevant data on all levels of the organization and converts the data into meaningful metrics. The metrics are analyzed to generate information that is used by Management on all levels to make decisions and ultimately to take action.



Metrics are measures that result from aggregating and calculating measurement data into a format that allows all levels of Management to effectively and efficiently analyze their area of responsibility:

- Actual performance versus goals, objectives, and plans
- Opportunities for improvement

Relevant metrics are reported to upper Management for its decision making process. Typically, as metrics flow up to higher levels of Management, metrics are more and more aggregated.

9.3.1 Establishing Metrics

Metrics are established as a tool for decision-making, as well as to report performance. Management includes metrics of the following types in a complete set of metrics for its area of responsibility:

Management establishes a complete set of metrics for its area of responsibility.

Types of Metrics

- Goal driven metrics

This section is not available in the demo version.

❑ **Customer driven metrics**

This section is not available in the demo version.

❑ **Process driven metrics**

This section is not available in the demo version.

❑ **Required metrics**

This section is not available in the demo version.

The above groups are not distinct groups of metrics as the separation between the groups is fluid. Management, however, uses the groups to help establishing a complete set of metrics.

Important Considerations

The ability to compare results over time or with other businesses is important for many metrics. Management considers these factors when establishing metrics:

- Comparisons over time:
Ratios eliminate the effects of external factors that change over time (e.g., in order to eliminate the effect of changes in cargo volume on damage numbers, number of damages may be divided by number of shipments).

- **Benchmarking:**
Comparing the deviations of data from a standard, rather than comparing the data, often allows for benchmarking of seemingly incompatible data (e.g., in order to compare damages in different types of business, damage numbers in each business may be divided by the industry average of each type of business).

Targets

Management establishes specific targets for all metrics (exceptions are some of those metrics that are established to look for improvement opportunities). Targets are typically aggressive though realistic and achievable.

Maintaining Metrics

As goals, customer requirements, products and processes, and external requirements change, Management strives to ensure that the metrics remain relevant.

9.3.2 Monitoring

This section is not available in the demo version.

9.3.3 Recording and Reporting of Metrics



Metrics

This section is not available in the demo version.

9.3.4 Analysis

This section is not available in the demo version.

While some metrics are established for reporting to customers and other parties, most metrics are analyzed by Management as a decision-making tool.

Analysis

This section is not available in the demo version.

Output

This section is not available in the demo version.

9.4 Corrective and Preventive Action

9.4.1 General

The XYZ Corporation continually seeks to improve the effectiveness and efficiency of the processes of the organization, rather than wait for a problem to reveal opportunities for improvement. The quality management system, including management reviews, corrective and preventive action, and the analysis of audit results, customer satisfaction and other metrics, is used to achieve continual improvement.

Corrective and preventive action is used pro-actively to achieve continual improvement.

What is corrective and preventive action?

Corrective and preventive action is an important tool for the improvement of business processes.



Corrective and preventive action

❑ **Corrective Action**

Corrective action addresses problems that have already occurred by correcting the root cause and, thus, preventing the problem from reoccurring in the future.

❑ **Preventive Action**

Preventive action addresses potential problems and prevents them from happening.

Corrective and preventive action can lead to changes in products, services, management systems and even the organization.

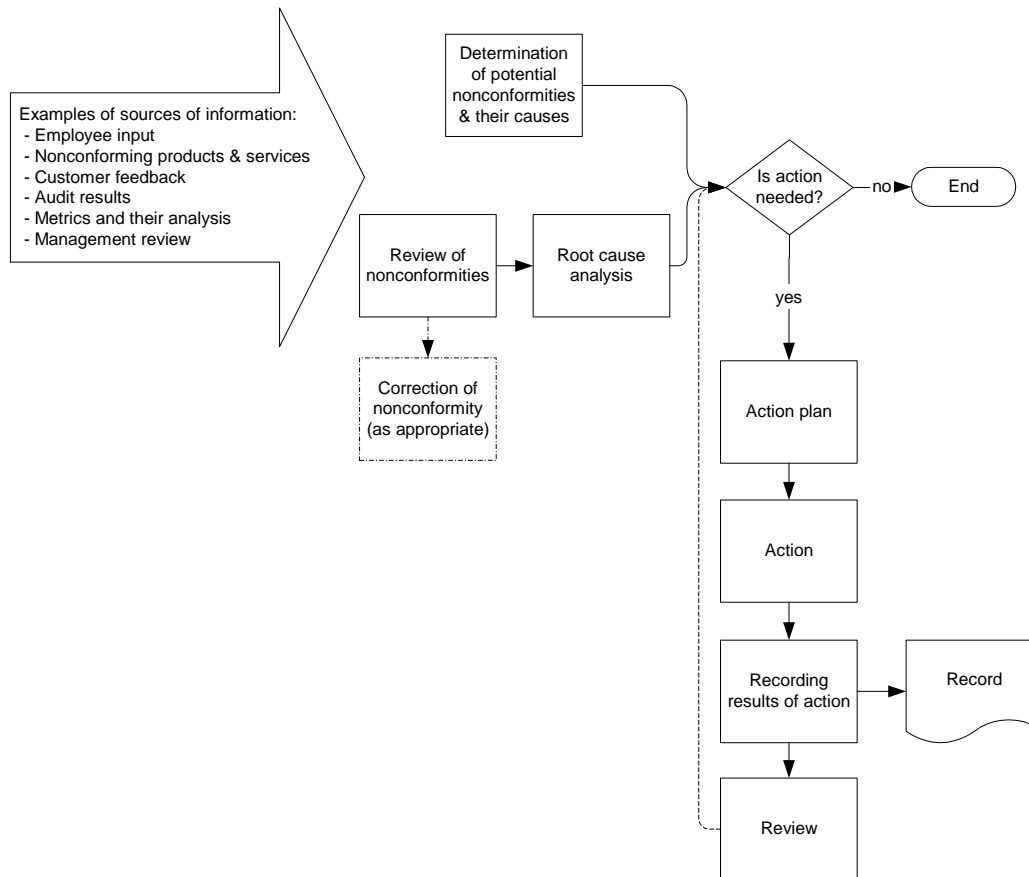
Corrective and preventive action refers to the improvement of **processes**. The results of corrective and preventive action may range from changes to our products and services to changes of the quality management system and even the organization.

Who is responsible?

In general, Management is responsible for corrective and preventive action in their functional areas. If more than one functional area is affected by the action, Management responsible for all affected areas is involved.

Management is responsible for action in their area of responsibility.

9.4.2 Corrective and Preventive Action Process Flow



Start of the Corrective and Preventive Action Process

This section is not available in the demo version.

*A variety of sources
could lead to corrective
or preventive action.*

This section is not available in the demo version.

Root Cause Analysis



Root cause analysis

This section is not available in the demo version.



5 W Approach

Is action needed?

Management makes a business decision to determine if action is appropriate.

This section is not available in the demo version.

Action plan

Management plans action, including intended results, responsibilities, and deadlines.

This section is not available in the demo version.

Action

This section is not available in the demo version.

Management strives to ensure that action is performed according to plan.

Review

This section is not available in the demo version.

Before any corrective and preventive action can be closed out, Management reviews its success.

Records

This section is not available in the demo version.



Records of the results of corrective & preventive action

9. Measurement and Analysis
9.5 Management Review

9.5 Management Review

This section is not available in the demo version.

9.5.1 Local Management Review

This section is not available in the demo version.

Results

This section is not available in the demo version.

Agenda items

This section is not available in the demo version.

This section is not available in the demo version.

Participants

This section is not available in the demo version.

Frequency

This section is not available in the demo version.



Records

This section is not available in the demo version.



9.5.2 Corporate Management Review

This section is not available in the demo version.

Results

This section is not available in the demo version.

9. Measurement and Analysis
9.5 Management Review

Agenda items

This section is not available in the demo version.

Participants

This section is not available in the demo version.

Frequency

This section is not available in the demo version.

Records

This section is not available in the demo version.



Review records

10 Appendix

10.1 ISO 9001 Cross Reference

ISO 9001:2000 Clause		Section in this Manual	
Quality Management System	4		
General Requirements	4.1	1.1 7	Foreword Purchasing and Outsourcing
Documentation Requirements	4.2		
General	4.2.1	2.2	Documentation Structure
Quality Manual	4.2.2	2.2	Documentation Structure
Control of Documents	4.2.3	2.3	Document Control
Control of Records	4.2.4	2.3	Document Control
Management Responsibility	5		
Management Commitment	5.1	3.2 3.5 4.1 9.5	Quality Policy Internal Communication Resource Allocation Management Review
Customer Focus	5.2	3.4 6.1	Customer Focus Identification of Customers
Quality Policy	5.3	3.2 9.5	Quality Policy Management Review
Planning	5.4		
Quality Objectives	5.4.1	3.3	Setting Objectives
Quality Management System Planning	5.4.2	2.1.4 6.3	Changes to the Quality Management System Quality Planning
Responsibility, Authority and Communication	5.5		
Responsibility and Authority	5.5.1	3.1	Responsibilities and Authorities
Management Representative	5.5.2	2.1.3	Management Representatives
Internal Communication	5.5.3	3.5	Internal Communication
Management Review	5.6		
General	5.6.1	9.5	Management Review
Review Input	5.6.2	9.5	Management Review
Review Output	5.6.3	9.5	Management Review
Resource Management	6		
Provision of Resources	6.1	4.1	Resource Allocation
Human Resources	6.2		
General	6.2.1	4.2	Human Resources
Competence, Awareness and Training	6.2.2	4.2	Human Resources
Infrastructure	6.3	4.3 4.5.1	Infrastructure Equipment Maintenance
Work environment	6.4	4.4	Work Environment

Use this section to find particular ISO 9001:2000 requirements in this Manual

ISO 9001:2000 Clause		Section in this Manual	
Product Realization	7		
Planning of Product Realization	7.1	6.3	Quality Planning
Customer-Related Processes	7.2		
Determination of Requirements Related to the Product	7.2.1	5.1.2	Proposal Preparation
Review of Requirements Related to the Product	7.2.2	5.1.1 5.1.3 5.2.2 5.2.3 5.3	Review of formal RFPs Proposal Review Contract Review Contract Acceptance Changes to Customer Contracts
Customer Communication	7.2.3	6.5	Customer Communication Channels
Design and Development	7.3		
Design and Development Planning	7.3.1	6.4.1	Planning for Product Design
Design and Development Inputs	7.3.2	6.4.2	Performing Product Design
Design and Development Outputs	7.3.3	6.4.2	Performing Product Design
Design and Development Review	7.3.4	6.4.2	Performing Product Design
Design and Development Verification	7.3.5	6.4.2	Performing Product Design
Design and Development Validation	7.3.6	6.4.2	Performing Product Design
Control of Design and Development Changes	7.3.7	6.4.3	Changes in Product Design
Purchasing	7.4		
Purchasing Process	7.4.1	7 7.2 7.3 7.4 7.5 7.6	Purchasing and Outsourcing Supplier Selection and Evaluation Supplier Maintenance Supplier Contracts and Insurance Order Information Receiving Inspection of Purchases
Purchasing Information	7.4.2	7.4 7.5	Supplier Contracts and Insurance Order Information
Verification of Purchased Product	7.4.3	7.4 7.5 7.6	Supplier Contracts and Insurance Order Information Receiving Inspection of Purchases
Production and Service Provision	7.5		
Control of Production and Service Provision	7.5.1	8.2	Control of Production and Service Provision
Validation of Processes for Production and Service Provision	7.5.2	8.2	Control of Production and Service Provision
Identification and Traceability	7.5.3	8.3	Information Flow
Customer Property	7.5.4	8.1	Customer Property
Preservation of Product	7.5.5	8.1	Customer Property
Control of Monitoring and Measuring Devices	7.6	4.5.2	Control of Measuring Devices

ISO 9001:2000 Clause		Section in this Manual	
Measurement, Analysis and Improvement	8		
General	8.1	7.6 9.3	Receiving Inspection of Purchases Metrics
Monitoring and Measurement	8.2		
Customer Satisfaction	8.2.1	9.1 9.3	Customer Satisfaction Metrics
Internal Audit	8.2.2	9.2	Audit Program
Monitoring and Measurement of Processes	8.2.3	9.3.1 9.3.2 9.3.3 9.4	Establishing Metrics Monitoring Recording and Reporting of Metrics Corrective and Preventive Action
Monitoring and Measurement of Product	8.2.4	8.4 8.5	Quality Control Inspection and Release Nonconforming Products and Services
Control of Nonconforming Product	8.3	8.5	Nonconforming Products and Services
Analysis of Data	8.4	9.3	Metrics
Improvement	8.5		
Continual Improvement	8.5.1	9.3 9.4	Metrics Corrective and Preventive Action
Corrective Action	8.5.2	9.4	Corrective and Preventive Action
Preventive Action	8.5.3	9.4	Corrective and Preventive Action

10.2 Revisions, Exclusions & Legend

Revision History

Please see the Intranet for a revision history on this Quality Manual.

Exclusions

None of the requirements of ISO 9001:2000, section 7, have been excluded.

Legend



Record required



Additional documentation required



Definition or explanation