

**ISO 9001-2000
Quality Management System Audit Checklist**

Auditor _____ Date _____

Section 5 Management responsibility

Requirement/Comments

Compliant?

5.3 Quality policy

Does top management ensure that the quality policy

- a) is appropriate to the purpose of the organization**
- b) includes a commitment to comply with requirements and continually improve the effectiveness of the quality management system**
- c) provides a framework for establishing and reviewing quality objectives**
- d) is communicated and understood within the organization, and**
- e) is reviewed for continuing suitability?**

Who developed the organization's quality policy? Does the policy reflect top management's vision and strategy for the future of the organization? Read the policy. Does it say something about complying with requirements? Does it make a commitment for continual improvement? Does it demonstrate top management's commitment to quality? What does it say about quality objectives? How is it communicated throughout the organization? Is it on paper, or is it communicated electronically? Is it posted? Talk to employees on all levels to confirm that they are aware of the policy and what it means to them in their jobs. How is the policy reviewed? When was it reviewed last?

5.4 Planning

5.4.1 Quality objectives

Has top management ensured that quality objectives, including those needed to meet requirements for product, have been established at relevant functions and levels within the organization? Are the quality objectives measurable and consistent with the policy?

*How do the objectives translate the quality policy into measurable goals?
For which functions and levels have quality objectives been established?
How are objectives and targets communicated throughout the organization? Look for documented objectives. Look for documented targets for each objective. Ask employees at all levels what the objectives are and how they contribute to achieving the goals and targets. Check management review meeting minutes to ensure that objectives and targets are being reviewed and revised. Who has been given responsibility for each objective? Check job descriptions and/or training records to determine if the responsible person is qualified. How are objectives and targets monitored, evaluated, and updated?*

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Section 6 Resource management

Requirement/Comments

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6.3 Infrastructure

Does the organization determine, provide and maintain the infrastructure needed to achieve conformity to product requirements? Infrastructure includes, as applicable, a) buildings, workspace and associated utilities, b) process equipment (both hardware and software), and c) supporting services (such as transport or communication).

How has the organization determined the infrastructure necessary for achieving effective and efficient product realization?

What plan is in place for the maintenance of the infrastructure?

Does infrastructure planning take into consideration workspace, equipment and support services such as information technology, transport facilities and communication?

Look at equipment and facilities to see if they are in good repair. Speak with employees regarding the maintenance of their equipment.

6.4 Work environment

Does the organization determine and manage the work environment to achieve conformity to product requirements?

Has the organization established safety procedures and communicated them to all employees?

Has proper safety equipment been provided?

Look at accident or injury reports.

Observe and speak with people to determine if they have proper heat, humidity, light and airflow to effectively accomplish their tasks.

Is the facility clean?

Is there noise in the work area? Have proper precautions been taken to prevent hearing loss?

As much as possible, are tools and work areas ergonomically friendly?

How are employee concerns regarding work environment addressed?

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Section Measurement, analysis and improvement

Requirement/Comments

Compliant?

8.1 General

Does the organization plan and implement the monitoring, measurement, analysis and improvement processes needed a) to demonstrate conformity of the product, b) to ensure conformity of the quality management system, and c) to continually improve the effectiveness of the quality management system?

Does this include determination of applicable methods, including statistical techniques, and the extent of their use?

Has the organization developed a plan to implement and promote the importance of, the monitoring, measurement, analysis and improvement processes required? Look for a procedure describing the type of information monitored and measured. Are measurements kept for product requirements, to ensure that requirements of the quality management system are met and to improve the effectiveness of the quality management system?

8.2 Monitoring and measurement

8.2.1 Customer satisfaction

As one of the measurements of the performance of the quality management system, does the organization monitor information relating to customer perception as to whether the organization has met customer requirements? Are the methods for obtaining and using this information determined?

*How does the organization determine what measurements will be used to monitor and measure information regarding customer satisfaction, including the customers "perception" of how the organization is doing to meet their goals and expectations, and how are they implemented, analyzed and acted upon?
Look for documents or surveys soliciting information from customers. How is this information used by the organization? Check management review records to see if this information is included. Look for customer complaints as a reactive measure. What is the proactive measure? Look at performance improvement goals to see if customer feedback is included? Look at customer complaints to determine how quickly they are acted upon. Is there follow-up after action to determine satisfaction. What measurements are taken. Do they include deliver, quality, price, service? Over time check to see if customer complaints decrease.*
