This checklist has been designed to assist Government agencies and other customers in assessing their service providers’ Quality Management Plans. It may also assist service providers in developing their Quality Management Plans (QMP). An agency/customer may specify other items that will be addressed in the service providers’ Quality Management Plans to support the control of risks. The number references are to clause numbers in the current AS/NZS ISO 9001 Quality management systems – Requirements.

Please respond with Y = yes, N = no, O = not applicable.

# 4 Quality Management Plan

## 4.2.2 Quality manual (Quality Management Plan)

 Has a QMP been developed for the contract?

 Does the QMP include the required documented methods/procedures or reference them?

## 4.2.3 Control of documents

 Are all documents in the QMP identified and revision status shown?

 Does the QMP describe how changes to contract related documents are identified and approved, and how documents are reviewed/updated and distributed, and obsolete versions withdrawn?

## 4.2.4 Control of records

 Does the QMP describe how the quality records will be stored and maintained for the time required so that they are readily retrievable, in facilities that provide a suitable environment to minimise deterioration or damage, and prevent loss of the records?

# 5 Management responsibility

## 5.2 Customer focus

 Do the procedures/processes documented in the QMP include a process to identify and meet customer requirements, and enhance customer satisfaction?

## 5.4 Planning

5.4.1 Quality objectives

 Does the QMP document appropriate and measurable quality objectives for the service provider personnel that are relevant to the products and services required under the contract?

## 5.5 Responsibility, authority and communication

 Are persons identified in the QMP, with their responsibilities and authorities defined with a method for communicating them to all service provider personnel?

 Is the contract quality representative nominated in the QMP with appropriate responsibilities and authority?

## 5.6 Management review

 Does the QMP include a requirement and method for the regular review of the adequacy and effectiveness of the QMP by the service provider's senior and other management and indicate a timetable and agenda?

# 6 Resource management

## 6.1 Provision of resources

Does the QMP show the resources proposed:

 to implement the Quality Management Plan and continually improve its effectiveness?

 to enhance customer satisfaction by better meeting customer requirements?

### 6.2.2 Competence, awareness and training

Does the QMP:

 Identify the necessary skills and experience of the personnel performing the contract work, with procedures for making personnel aware of their roles, addressing deficiencies in competence and evaluating the effectiveness of the actions taken?

 Include a site-specific induction and training plan, with induction and training procedures describing the competences held and required, who is to be trained, when and how, and which record competencies and training?

 Nominate the personnel with responsibility and authority for planning and implementing training and induction procedures for the contract work?

## 6.3 Infrastructure

 In the procedures described in the QMP, does the service provider document processes to determine, provide and maintain the infrastructure (such as office space, other facilities, equipment and services) needed to achieve product/service requirements?

## 6.4 Work environment

 Do the procedures/processes described in the QMP allow for the service provider to determine, document and manage the work environment (including identifying/assessing risks) needed to achieve product/service requirements?

# 7 Product realisation

## 7.2 Customer-related processes

 Does the QMP identify the customer, statutory/regulatory and other related contract requirements?

 Does the QMP include procedures covering customer communications/feedback, including customer complaints?

## 7.3 Design and development

 Does the QMP identify and allow for the use of competent persons to carry out design and development, reviews and verification (to suit a design plan)?

 Does the QMP include procedures covering design and development planning, inputs, outputs, reviews, change control, verification and validation?

 Does the QMP describe methods/procedures for the service provider’s control and verification of design activities by its service providers, and for their activities when they do not have a quality management system or plan, or otherwise lack the procedures required?

## 7.4 Purchasing

### 7.4.1 Purchasing process

Where subcontracted work is involved, does the QMP document procedures:

 Covering how the service provider will evaluate its potential service providers’ ability, select subcontractors and record the results of the evaluation, including selection/evaluation criteria?

 For verifying purchased products/services, and the performance of suppliers/service providers?

### 7.4.2 Purchasing information

 Does the QMP document how the subcontract requirements will be confirmed and specified in tender documents, subcontracts and purchase orders whenever applicable?

 Does the QMP provide for documenting the method and results of evaluation of supplier or other service provider ability to perform and performance (when applicable)?

 Does the QMP provide for subcontract work process control documentation (when applicable)?

### 7.4.3 Verification of purchased product

 Does the QMP include the methods/procedures for surveillance/inspection/other verification and the release/acceptance of the product/service that will be implemented for subcontracted work, and for their specification in subcontracts (when applicable)?

## 7.5 Product and service provision

### 7.5.1 Control of product and service provision

 Does the QMP include process control documentation for all work processes?

### 7.5.2 Validation of process for production and service provision

 Does the QMP provide for the service provider to identify work processes for which the resulting output cannot be fully verified by subsequent monitoring, inspection and testing, requiring other verification/validation?

 Does the QMP provide work process descriptions, indicating the criteria for process review/approval, equipment approval and qualifications of operators/personnel, equipment controls, method for validating process outputs and records to be kept?

### 7.5.3 Identification and traceability

 Does the QMP allow for process documentation with identification and traceability for the contract?

 Does the QMP describe the method(s) for subdividing the contract work into lots or discrete work areas and for allocating lot numbers?

 Does the QMP describe how monitoring output, samples and test results will be recorded against the lot to which they relate, and the traceability of nominated materials/products will be maintained, when appropriate?

### 7.5.4 Customer property

 Does the QMP describe how Clause 7.5.4 will be implemented to protect any materials or equipment supplied, or other property provided, by the customer?

### 7.5.5 Preservation of product

 Does the QMP describe how Clause 7.5.5 will be implemented to preserve the product during internal processing and delivery to their intended destination in order to maintain conformity to requirements?

## 7.6 Control of monitoring and measuring equipment

Does the QMP describe how Clause 7.6 will be implemented for monitoring and measuring equipment used, including setting out, constructing and verifying the work under the contract to ensure:

 monitoring and measurement is carried out in a manner that is consistent with the monitoring and measuring requirements?

 measuring equipment is calibrated or verified at specified intervals, or prior to use, against appropriate measurement standards, and records are kept?

 certified external calibration is arranged or suitable internal calibration procedures are used to check calibration?

 measuring equipment is identified to determine the calibration status?

 measuring equipment is safeguarded from adjustments that would invalidate the measurement result?

 measuring equipment is protected from damage and deterioration during handling, maintenance and storage?

 the validity of previous inspection and test results is verified if measuring equipment is damaged or out of calibration, and records are kept?

 the ability of computer software to satisfy its intended application is confirmed when used in monitoring and measuring to suit specified requirements?

 Is responsibility defined in the QMP for the control measures listed above?

# 8 Measurement, analysis and improvement

## 8.1 General

In the procedures/processes documented in the QMP is provision made:

 For the service provider to plan and implement the monitoring, measurement, analysis and improvement processes/methods, and their frequency, needed to demonstrate conformity to product/service requirements? (may be addressed in ITPs)

 For the method for identifying and controlling the inspection and test status of all product/service to demonstrate conformity to requirements under the contract?

## 8.2 Monitoring and measurement

### 8.2.1 Customer satisfaction

 Does the QMP describe a method for the contract of monitoring/measuring performance, as the customer perceives it, and acting in it to suit?

### 8.2.2 Internal audit

 Does the QMP describe methods for internal auditing/reviewing its implementation for the contract?

 Is responsibility identified in the QMP for scheduling audits/reviews and acting on audit/review results for the contract?

### 8.2.3 Monitoring and measurement of processes

 Does the QMP describe how Clause 8.2.3 will be implemented, where appropriate, to monitor and measure the effectiveness of the work processes used for the contract?

### 8.2.4 Monitoring and measurement of product

 Does the QMP describe how Clause 8.2.4 will be implemented to monitor and measure the characteristics of the product/service to ensure product requirements are met? (may be addressed in the ITPs)

 Does the QMP document a suitable method for closing out work area conformity and acceptance?

 Does the QMP include an effective traceability/closure procedure for any work areas that may have to be covered up before the results of all conformity tests are known?

## 8.3 Control of nonconforming product

 Does the QMP describe a method established which describes the controls and related responsibilities to ensure that a product/service which does not conform to requirements is identified and controlled to prevent its unintended use or delivery?

 Does the above method provide for the service provider to deal with nonconforming products/services by one or more of the following ways:

 by taking action to eliminate the detected nonconformity?

 by authorising its use, release or acceptance under a concession by a relevant authority and, where applicable, by the customer?

 by taking action to preclude its original intended use or application?

 Does the above method require reworked and repaired products and rectified services to be re-inspected and re-tested or evaluated to demonstrate conformity with the requirements?

 Does the method provide for records to be maintained of the nature of nonconformities and any subsequent actions taken, including any concessions obtained?

 Does the method provide for the service provider to take action appropriate to the effects, or potential effects, of the nonconformity when a nonconforming product/service is detected after delivery or use has started?

 Does the QMP define the responsibility and authority of personnel for identifying, acting on and recording quality nonconformity issues? (As for Clause 5.5)

## 8.5 Improvement

### 8.5.2 Corrective action

 Does the QMP describe the methods and actions the service provider will adopt to eliminate the causes of nonconformities in order to prevent their recurrence, including requirements for:

 reviewing nonconformities (including customer complaints)?

 determining the causes of nonconformities?

 evaluating the need for, and appropriateness of, action to ensure that nonconformities do not recur?

 determining and implementing the action needed as appropriate to the effects of the nonconformities encountered?

 recording the results of the action taken?

 reviewing the effectiveness of the corrective action taken?

 Does the QMP define the responsibility and authority of personnel for ensuring corrective action is implemented and effective?

### 8.5.3 Preventive action

 Does the QMP describe a method for preventive action to eliminate the causes of potential nonconformities in order to prevent their occurrence, including requirements for:

 determining potential nonconformities and their causes?

 evaluating the action needed to prevent the occurrence of nonconformities?

 determining and implementing the action needed?

 recording the results of the action taken?

 reviewing the effectiveness of the preventive the action taken?