

The ISO 9001:2000 Quality System Checklist Questions <i>(those relating to new/ revised requirements are in italics)</i> <Guideline statements>	Standard: ISO 9001:2000		Organization Audited:	
	Guidelines for Auditing	Documents / Where to Look	Documented? Need to be? Y or N Interaction considered? Y or N (cite source - give comments)	Implemented? Y or N In Use? Effective? Y or N (comments)

Contents of the ISO 9001:2000 Quality System Checklist

Page Hyperlinks (click underlines)

This SAMPLE document includes 4 clauses of the standard.

You receive the Windows .doc file (with hyperlinks). You may edit this document.
For: Windows® 95, 98, 2000, and XP and Microsoft® Word 97 or later versions.

[Product Description and Order Information](#) (see last page)

	4	Quality management system (title only)
2	4.1	General requirements
	4.2	Documentation requirements (title only)
3	4.2.1	Documentation requirements — General
7	4.2.2	Quality manual
8	4.2.3	Control of documents ← Click here to see sample
9	4.2.4	Control of records
	5	Management responsibility (title only)
12	5.1	Management commitment
13	5.2	Customer focus ← Click here to see sample
14	5.3	Quality policy
	5.4	Planning (title only)
16	5.4.1	Quality objectives
17	5.4.2	Quality management system planning
	5.5	Responsibility, authority and communication (title only)
18	5.5.1	Responsibility and authority
19	5.5.2	Management representative
19	5.5.3	Internal communication
	5.6	Management review (title only)
22	5.6.1	Management review — General
22	5.6.2	Review input
22	5.6.3	Review output
	6	Resource management (title only)
23	6.1	Provision of resources
	6.2	Human resources (title only)
23	6.2.1	General
23	6.2.2	Competence, awareness and training
25	6.3	Infrastructure
25	6.4	Work environment

The Checklist may be placed on a network system for access by auditors.

This Checklist is included in the *ISO 9001:2000 Auditor Training Course and Forms*.

Page Hyperlinks (click underlines) All links are active on the final product.

	7	Product realization (title only)
26	7.1	Planning of product realization
	7.2	Customer-related processes (title only)
27	7.2.1	Determination of requirements related to the product
27	7.2.2	Review of requirements related to the product
28	7.2.3	Customer communication
	7.3	Design and development (title only)
29	7.3.1	Design and development planning
30	7.3.2	Design and development inputs
30	7.3.3	Design and development outputs
31	7.3.4	Design and development review
31	7.3.5	Design and development verification
32	7.3.6	Design and development validation
32	7.3.7	Control of design and development changes
	7.4	Purchasing (title only)
33	7.4.1	Purchasing process
34	7.4.2	Purchasing information
34	7.4.3	Verification of purchased product
	7.5	Production and service provision (title only)
36	7.5.1	Control of production and service provision
38	7.5.2	Validation of processes for production and service provision
39	7.5.3	Identification and traceability
40	7.5.4	Customer property
41	7.5.5	Preservation of product
42	7.6	Control of monitoring and measuring devices
	8	Measurement, analysis and improvement (title only)
45	8.1	General
	8.2	Monitoring and measurement (title only)
46	8.2.1	Customer satisfaction
47	8.2.2	Internal audit
49	8.2.3	Monitoring and measurement of processes
50	8.2.4	Monitoring and measurement of product ← Click here
53	8.3	Control of nonconforming product
54	8.4	Analysis of data
	8.5	Improvement (title only)
56	8.5.1	Continual improvement
57	8.5.2	Corrective action ← Click here to see sample
58	8.5.3	Preventive action

Auditor Name:	Date:	Audit Ref.	Page 1 of 58
---------------	-------	------------	--------------

The ISO 9001:2000 Quality System Checklist Questions <i>(those relating to new/ revised requirements are in italics)</i> <Guideline statements>	Standard: ISO 9001:2000		Organization Audited:	
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4.2.3 Quality management system — Documentation requirements — Control of documents

Clause 4.2.3

<p>4.2.3 Control of documents</p> <p>___ Is there a documented procedure for document control?</p> <p>Does the procedure define the controls needed to:</p> <p>___ a) approve documents for adequacy prior to use</p> <p>___ b) review and update documents, <i>as necessary</i>, and re-approve them prior to issue</p> <p>___ c) ensure that changes and the current revision status of documents are identified</p> <p>___ d) ensure that relevant versions of documents are available at points of use</p> <p><The relevant version of a document is the version that should be used for a task. Note: the current revision of the document may not be the right one for the task.></p> <p>___ e) ensure that documents stay legible and are readily identifiable</p> <p>___ f) ensure that documents of external origin are identified and their distribution controlled</p> <p>___ g) prevent the use of obsolete documents, and to suitably identify them if they are kept for any purpose?</p>	<p>Verify that the documented Document Control procedure contains the requirements a-g for controlling:</p> <p>___ Quality Manual</p> <p>___ Documented Procedures</p> <p>___ Work Instructions</p> <p>___ Product documentation (including drawings, specifications, bills of material, parts lists, production plans, control plans, etc.)</p> <p>___ External documents</p> <p>___ Other required QMS documents</p>	<p>Document Control procedure</p>	<p>Evidence: Document #, Title, Rev / Person's Name, Title, Dept. /or other source ID.</p> <p>The Instructions Sample explains how to enter audit evidence on the Checklist.</p>
<p>4.2.3. ___ Are required QMS documents controlled as defined in the document control procedure?</p> <p>a) and b): Are new and revised documents:</p> <p>___ reviewed for adequacy, and</p> <p>___ approved by authorized personnel prior to issue?</p>	<p>___ Review a sampling of new and revised documents for evidence that the requirements for the review and approval of documents are followed as defined in the procedure.</p>	<p>All new and revised documents.</p>	
<p>4.2.3 Are documents:</p> <p>___ c) identified by their current revision status,</p> <p>___ d) the relevant version for the task and available at locations where they are needed</p> <p>___ e) legible, readily identifiable and retrievable?</p> <p>(continued)</p>	<p>___ Ask a sampling of employees how they know they are using the right document for the task.</p> <p>___ Test the document distribution system at several locations: Ask for a document used in the department and check if it is the current revision, is retrievable and available.</p>	<p>All controlled documents,</p> <p>Master lists, Distribution lists, etc.</p>	<p>Return to Contents page.</p>

Auditor Name:	Date:	Audit Ref.	Page 2 of 58
---------------	-------	------------	--------------

The ISO 9001:2000 Quality System Checklist Questions <i>(those relating to new/ revised requirements are in italics)</i> <Guideline statements>	Standard: ISO 9001:2000		Organization Audited:	
	Guidelines for Auditing	Documents / Where to Look	Documented? Need to be? Y or N Interaction considered? Y or N (cite source - give comments)	Implemented? Y or N In Use? Effective? Y or N (comments)

4.2.3 Quality management system — Documentation requirements — Control of documents

Clause 4.2.3 (continued)

4.2.3 Control of documents (continued)			Evidence: Document #, Title, Rev / Person's Name, Title, Dept. /or other source ID.
4.2.3 f) Are external documents ___ identified, and their ___ distribution controlled?	___ Review external documents (identified in clause 4.2.1.d) for proper identification and control. ___ Do a sampling to determine that documents of external origin are current at multiple distribution points.	All standards, customer documents, & statutory/ regulatory documents	
4.2.3 g) Are obsolete documents: ___ identified and removed from places of use to prevent their use ___ identified to prevent their use, if they are kept for any purpose?	___ Verify g) ___ Review retained obsolete documents for proper identification. Identify any obsolete documents not removed from place of use.	All obsolete documents	Return to Contents page.

Auditor Name:	Date:	Audit Ref.	Page 3 of 58
---------------	-------	------------	--------------

The ISO 9001:2000 Quality System Checklist Questions <i>(those relating to new/ revised requirements are in italics) <Guideline statements></i>	Standard: ISO 9001:2000 Guidelines for Auditing	Documents / Where to Look	Organization Audited: Documented? Need to be? Y or N Interaction considered? Y or N (cite source - give comments)	Implemented? Y or N In Use? Effective? Y or N (comments)
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5.2 Management responsibility — Customer focus

Clause 5.2

<p>5.2 Customer focus</p> <p>___ Does top management ensure that customer requirements are determined and met with the aim of enhancing customer satisfaction? (see 7.2.1 and 8.2.1)</p> <p><7.2.1 and 8.2.1 are listed below for reference: ></p> <p>7.2.1 Determination of requirements related to the product. The organization shall determine:</p> <p>a) customer-specified requirements, including requirements for delivery and post-delivery activities Person(s) responsible for this activity: _____</p> <p>b) requirements not stated by the customer but necessary for stated use or known and intended use Person(s) responsible for activity: _____</p> <p>c) statutory and regulatory requirements related to the product Person(s) responsible for activity: _____</p> <p>d) any additional requirements determined by the organization? Person(s) responsible for activity _____</p> <p>8.2.1 Customer satisfaction Does the organization monitor information relating to customer perception as to whether the organization has met customer requirements? Person(s) responsible for activity _____</p> <p>___ What methods has management determined for obtaining information related to customer perception as to whether product requirements have been met and how this information will be used? Person(s) responsible for activity _____</p> <p>___ Are those who are assigned responsibilities (listed in 7.2.1 and 8.2.1) provided with adequate resources to accomplish the assigned tasks? (Resources means people, time and money.)</p>	<p>___ Interview those responsible for managing customer-related processes to access the organization's strategy for determining customer requirements and that they are met with the aim of enhancing customer satisfaction. Are strategies used getting the needed information?</p> <p>Examples of customer-related processes are: Sales _____ Marketing _____ Contract Admin. _____ Customer Service _____ Product Repair _____</p> <p>___ Is data concerning customer needs and expectations collected and analyzed?</p> <p>Collect customer satisfaction analysis reports. By interview, or other means, determine: ___ if action was taken to resolve problems ___ improvements or changes have been made and are now part of the product or service ___ improvements or changes are planned for incorporation into the product or service</p> <p>Review any evidence of customer dissatisfaction to determine if customer requirements are unknown or not being met. ← Is this done? ___ Do Mgt. Review minutes discuss how to improve products and/or services?</p>	<p>Product information brochures, customer information, contracts, quality plans</p> <p>Note to Lead Auditor: This clause can be audited with 7.2.1 & 8.2.1 They use same information.</p> <p>Customer complaints and/or satisfaction survey results.</p> <p>Internal customer complaints.</p> <p>Results of management reviews.</p>	<p>Evidence: Document #, Title, Rev / Person's Name, Title, Dept. /or other source ID.</p> <p style="text-align: right;">Return to Contents page.</p>
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Auditor Name: _____	Date: _____	Audit Ref. _____	Page 4 of 58
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The ISO 9001:2000 Quality System Checklist Questions <i>(those relating to new/ revised requirements are in italics)</i> <Guideline statements>	Standard: ISO 9001:2000		Organization Audited:	
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8.2 Measurement, analysis and improvement — Monitoring and measurement —

8.2.4 Monitoring and measurement of product

Clause 8.2.4

<p>8.2.4 Monitoring and measurement of product</p> <p>product characteristics — the distinguishing features of the product or service</p> <p>___ Are product characteristics monitored and measured at appropriate stages of product realization to verify that product requirements are met in accordance with the planned arrangements? (see clause 7.1)</p> <p>___ Are records of product conformity with acceptance criteria maintained, and</p> <p>___ do records indicate the person(s) who authorized the release of product? (see clause 4.2.4)</p> <p><Guideline: When auditing any process, you check to see that defined monitoring and measurement activities are taking place, and that records with authorized release signatures are present.></p>	<p>Note: Monitoring and measurement activities required to determine product or service conformance to requirements are identified during planning activities. (a requirement of 7.1 c.)</p> <p>Review several quality plans for work in progress and their associated test / inspection instructions.</p> <p>___ Does the quality plan indicate where monitoring and measuring should take place?</p> <p>___ Is acceptance criteria clearly defined?</p> <p>___ Are the required inspection and tests performed and the results recorded?</p> <p>___ Do records indicate who released the product?</p> <p>___ Is the product or service monitored and measured at the stages indicated in the quality plan?</p>	<p>Quality plan for product, Traveler</p> <p>Inspection and Test procedures and instructions</p> <p>Quality control plans and related records</p> <p>Get a list of who is qualified to perform audit monitoring, inspection and measuring activities in all process areas.</p>	<p>Evidence: Document #, Title, Rev / Person's Name, Title, Dept. /or other source ID.</p>
<p>___ Is product release and service delivery held until the planned arrangements have been satisfactorily completed, unless otherwise approved by a relevant authority and, where applicable, by the customer?</p> <p>Verify as applies to in-process inspection →</p> <p>(continued)</p>	<p>Observe in-process inspection operations.</p> <p>___ Is uninspected or nonconforming product prevented from being used in the next processing stage?</p> <p>___ Is the inspection status of the product maintained throughout all stages of production?</p> <p>___ Are inspection personnel trained?</p> <p>___ Are inspection procedures available and followed?</p>	<p>Quality plans, checklists, or traveler</p> <p>In-process inspection process, procedures and/or relevant work instructions</p> <p>Qualified inspector list</p>	<p>Return to Contents page.</p>

Auditor Name:	Date:	Audit Ref.	Page 5 of 58
---------------	-------	------------	--------------

The ISO 9001:2000 Quality System Checklist Questions <i>(those relating to new/ revised requirements are in italics) <Guideline statements></i>	Standard: ISO 9001:2000		Organization Audited:	
	Guidelines for Auditing	Documents / Where to Look	Documented? Need to be? Y or N Interaction considered? Y or N (cite source - give comments)	Implemented? Y or N In Use? Effective? Y or N (comments)

8.2.4 Measurement, analysis and improvement — Monitoring and measurement of product

Clause 8.2.4 (continued)

<p>8.2.4 Monitoring and measurement of product (continued)</p> <p>All questions on this page apply to final inspection area →</p> <p>___ Is product release and service delivery held until the planned arrangements have been satisfactorily completed, unless otherwise approved by a relevant authority and, where applicable, by the customer?</p> <p>objective evidence — information based on facts acquired through measurement, test, observation, or some other means that can be proven to be true.</p>	<p>RE: Final inspection Observe final inspection ___ Are instructions for final inspection available? ___ Are all activities in the final inspection instructions completed before product is released? ___ Is there is objective evidence that all the acceptance criteria for the product have been met before release? ___ Do records show the person(s) who authorized release? ___ Verify that inspectors in the final inspection area are qualified. Review a sampling of completed order records. ___ Do the completed orders/records show that all final inspection activities stated in the quality plan / procedures were completed and that the requirements for the product were met? ___ Do the records show the person(s) who authorized release of the product? ___ If records show a situation where all specified activities were not performed before release of product or service delivery, did a relevant authority (or, as appropriate, the customer) approve the product release?</p>	<p>Quality plans, final audit checklists, or traveler</p> <p>Final inspection process, procedures and/or relevant work instructions</p> <p>Employee records or list of qualified inspectors</p> <p>Records of completed work.</p>	<p>Evidence: Document #, Title, Rev / Person's Name, Title, Dept. /or other source ID.</p> <p style="text-align: right;">Return to Contents page.</p>
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Auditor Name:	Date:	Audit Ref.	Page 6 of 58
---------------	-------	------------	--------------

The ISO 9001:2000 Quality System Checklist Questions <i>(those relating to new/ revised requirements are in italics)</i> <Guideline statements>	Standard: ISO 9001:2000 Guidelines for Auditing	Documents / Where to Look	Organization Audited: Documented? Need to be? Y or N Interaction considered? Y or N (cite source - give comments)	Implemented? Y or N In Use? Effective? Y or N (comments)
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8.2.4 Measurement, analysis and improvement — Monitoring and measurement of product

Clause 8.2.4 (continued)

<p>8.2.4 Monitoring and measurement of product (continued) Verify as applies to service organizations →</p> <p>Verify as applies to product servicing and repair inspection →</p> <p>___ Is product release and service delivery held until the planned arrangements have been satisfactorily completed, unless otherwise approved by a relevant authority and, where applicable, by the customer?</p> <p>verification activities — checks to make sure all requirements for the product were met.</p> <p>objective evidence — information based on facts acquired through measurement, test, observation, or some other means that can be proven to be true.</p>	<p>For services and repair: Observe services/repair:</p> <p>___ Are all verification activities specified in the quality plan / procedures completed before the service or product is released?</p> <p>___ Is there is objective evidence that all product (or service) acceptance criteria have been met?</p> <p>___ Do records show the person(s) who authorized product / service release?</p> <p>___ Verify that inspectors involved in service / repair are qualified.</p> <p>Review a sample of service or repair completed orders and: ___ Verify that all activities specified in the quality plan / procedures were completed and requirements for service/repair were met.</p> <p>___ Do final inspection records indicate the person(s) who authorized release of service/repair?</p> <p>___ If records show a situation where all specified activities were not performed before release of product or service delivery, did a relevant authority (or as appropriate, the customer) approve the product/ service release?</p>	<p>Quality plans, final audit checklists, or traveler</p> <p>Employee records or list of qualified inspectors</p> <p>Service repair inspection and final inspection process, procedures and/or relevant work instructions</p> <p>Records of completed work.</p>		<p style="text-align: right;">Return to Contents page.</p>
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Auditor Name:	Date:	Audit Ref.	Page 7 of 58
---------------	-------	------------	--------------

The ISO 9001:2000 Quality System Checklist Questions <i>(those relating to new/ revised requirements are in italics)</i> <Guideline statements>	Standard: ISO 9001:2000		Organization Audited:	
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8.5.2 Measurement, analysis and improvement — Improvement — Corrective action

Clause 8.5.2

<p>8.5.2 Corrective action</p> <p>___ Is there a documented corrective action procedure that defines the requirements for:</p> <p>___ a) reviewing nonconformities (including customer complaints)</p> <p>___ b) determining the root cause(s) of nonconformities</p> <p>___ c) evaluating the need for action to prevent recurrence of the nonconformities</p> <p>___ d) determining the action needed and implementing the action</p> <p>___ e) recording the results of action taken (see clause 4.2.4)</p> <p>___ f) reviewing the corrective actions taken to verify their effectiveness</p> <p>___ Does the procedure require that the action taken on nonconformities must be appropriate to the effects of the nonconformities found?</p> <p>___ Does the organization take corrective action to eliminate the causes of nonconformities in order to prevent their recurrence?</p> <p><The following is a guidance note and not included in the text of the standard. Note: When the nonconformity is minor and isolated, the risks or cost associated with taking corrective action may not be justified.></p>	<p>Verify that the documented procedure clearly defines requirements for (a through f).</p> <p>___ a) Is there evidence that the types of nonconformities in the far right column are reviewed and evaluated to determine if action is needed to prevent the specific problems found from occurring again?</p> <p>___ Do plans for corrective action include consideration of: ___ action to remove the nonconformity and prevent recurrence in the short term ___ action to determine if other product (or similar product) is affected that is in production, in stock or being designed ___ action to determine if the nonconformity applies to product or service delivered in the past, and is action needed to minimize the impact of the defect on these customers ___ action to prevent the problem in the future.</p> <p>___ e) Are there records of the results of the corrective action taken?</p> <p>___ f) Are corrective actions taken reviewed to verify effectiveness?</p>	<p>Documented Corrective Action procedure</p> <p>Customer complaints, Internal audit reports, data analysis, minutes of management reviews</p> <p>Corrective action records</p> <p>Management review action records/ minutes of management reviews</p> <p>Completed Corrective Action Request Forms</p> <p>CPAR Log</p>	<p>Evidence: Document #, Title, Rev / Person's Name, Title, Dept. /or other source ID.</p> <p>a) Does the documented procedure state who is responsible for reviewing nonconformities that originate from the sources listed here? The procedure may make reference to other procedures or documents with this information. (as applies)</p> <p>___ incoming materials ___ incoming subcontracted product ___ in-process/final inspection or test ___ nonconforming material review reports, ___ sales or service concessions ___ audit nonconformity ___ customer complaints ___ product returns ___ warranty repairs ___ process related nonconformities ___ system related nonconformities</p> <p>Also see the instructions sample of how to enter audit evidence on the Checklist.</p> <p>Return to Contents page.</p>
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Auditor Name:	Date:	Audit Ref.	Page 8 of 58
---------------	-------	------------	--------------

The ISO 9001:2000 Quality System Checklist Questions <i>(those relating to new/ revised requirements are in italics) <Guideline statements></i>	Standard: ISO 9001:2000 Guidelines for Auditing		Organization Audited: Documented? Need to be? Y or N Interaction considered? Y or N (cite source - give comments)		Implemented? Y or N In Use? Effective? Y or N (comments)
	Documents / Where to Look				

Product Description and Order Information

Supplier:

ISO 9000 Checklist

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Contact: Jane Birkenstock

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Product Description: ISO 9001:2000 Checklist Package (32 files) in A4 or US 8 1/2 X 11" format

ISO 9001:2000 Checklist (58 pages), Universal Items Checklist, Work Order Audit Checklist, Audit Steps Card, Auditing a Process, Work Order Audit, Audit Plan Form, Document Review, Manager Interview Form, Records Review Form, Vocabulary and instructions for completing forms.

(See complete list of 32 files)

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Click Browser Back button (in top left corner) to return

Auditor Name:	Date:	Audit Ref.	Page 9 of 58
---------------	-------	------------	--------------