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| Quality Control Manual | October 21  2011 | |
| This describes the general policies, guidelines, procedures and minimum requirements to be met with respect to a Quality Management System to clearly align with the major requirements of ISO 9001:2008. This document is provided to corporate members of IAMSP as the initial foundations of the Quality Control System. | | General Framework |

# Change Control

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Note that this reflects changes made to the document. Before the coming into force date is set, the change must be confirmed as having been approved by the management of the company.

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# Background

## Role of Security

1. The role of shipping is the delivery of persons or goods from a destination to an intended destination so that they arrive on time, in acceptable condition and for a reasonable cost.
2. Threats to the vessel may lead to any of the following:
   1. Failure to reach the intended destination (sinking, hijacking, severe damage);
   2. Failing to reach the destination on time (repairs, damage, etc);
   3. Damage to cargo; and
   4. Failing to maintain a reasonable cost.
3. The role of security is to maintain a predictable and controlled environment. The aim is to deter threats and, should a threat manifest itself, be able to detect, respond and recover from the impacts and consequences of those threats with minimal impact.
4. Security controls or measures that protect the vessel must also be balanced in terms of their operational impact. This again refers to the mission described above—the security control itself is not to have an untoward impact against the ability to meet the general mission described above.
5. While security threats may be the primary concern for loss, the appropriate operation of the vessel may also raise concerns. These occur when the vessel is believed to operate inappropriately. The consequence of these concerns is that the vessel may be delayed or even halted for the purposes of inspection, investigation or other forms of enforcement activity.

## Basis of Requirements

1. In order to define the boundary as to where these concerns lay, best practices or other forms of guidance are produced. Within the maritime industry, this guidance is promulgated by the International Maritime Organization.
2. In order to define the boundary with respect to values and ethics, best practices are defined in a number of sources. These sources are often not mandatory (although some jurisdictions have moved towards them). The current sources of the requirements associated with this are the *Montreux Document* and *the International Code of Conduct for Private Security Service Providers*.
3. In order to define the boundaries associated with the delivery of services, industry Quality Management System standards are used. In this context, the major source of these standards is those produced by the International Organization for Standardization through *ISO 9001:2008*.
4. In order to meet the requirements defined in the ISO standard, companies are required to conduct their affairs in such a way as to be able to demonstrate that they meet or exceed the requirements of the standard.

## Structure of this Document

1. This document is intended to provide the framework associated with meeting those requirements. It is divided into the following sections in order to remain aligned with those standards:
   1. Part I – Internal Management
   2. Part II – Product and Service Development
   3. Part III – Maintenance of the Quality Management System (QMS)
   4. Part IV – Supplier Evaluations
   5. Appendices with specific procedures
2. In order to check its own quality, this document is checked directly against the ISO 9001:2008 standard as published by the International Organization for Standardization and as applied through the vetting tool of the IAMSP.
3. In this document, content is drawn directly from the ISO standard in order to reinforce the link with that standard. In reading this document, the term company is to be read as *<<enter the name of your company>>.*

# Part I – General Management

## General Establishment and Commitment

1. The company has decided to adopt a Quality Management System. In the design of this overall framework, consideration has been given to the following:
   1. Organizational environment
   2. The needs of the company
   3. The objectives of the company
   4. The service provided by the company
   5. The processes of the company
   6. The size and organizational structure of the company.

## Decision to Implement a Quality Management System

1. The company has decided to implement a Quality Management System to meet the following:
   1. The company is required to maintain the ability to consistently provide a service that meets customer and applicable statutory and regulatory requirements (2008:1.1.a).
   2. The company aims to enhance customer satisfaction and the effective application of this system, including processes for continual improvement of the system and the assurance of conformity to customer and applicable statutory and regulatory requirements are seen as being vital to this effort (2008:1.1.b)

### Foundation upon ISO 9001:2008 and 9000:2005

1. All requirements of this document are written based upon the standards as provided from within ISO 9001:2008. In providing the clear linkage between the operations of the company and this standard, the following has been taken into account:
   1. Where any requirement of this standard cannot be applied due to the nature of the organization or its service, it is identified in terms of being *excluded*. These are done with due consideration of the requirements defined in Clause 7 of the ISO 9001:2008 standard (2008:1.2)
   2. These exclusions and their basis are documented within the applicable sections of this document (2008: 1.2)
2. In the development of this standard, the terminology defined in *ISO 9001:2005 – Quality Management Systems – Fundamentals and vocabulary* has been applied (2008:2).
3. With respect to the definitions used in this document, the terms and definitions given in ISO 9000:2005 apply. In this context, the service delivered by the company is considered to be one of the four categories of a produce. (2008:3, 2005:3.4.1)

## Quality Management System

### General Requirements

1. In undertaking the establishment of a QMS, the company has committed to establish, document, implement and maintain a QMS and continually improve its effectiveness in accordance with this document and the requirements based upon ISO 9001:2008 (2008.4.1)
2. In doing so, the organization has taken or commits to undertaking on an ongoing basis, the following:
   1. Determining the processes needed for the QMS and their application throughout the organization (2008:4.1.a). These processes are described in Appendix 1 (2008: 4.1 Notes 1),
   2. Determining the sequence and interaction of these processes (2008:4.1.b),
   3. Determining criteria and methods needed to ensure that both the operation and control of these processes are effective (2008:4.1.c),
   4. Ensuring that appropriate resources and information are available in order to ensure the effectiveness of the operation and monitoring of these processes (2008:4.1.d),
   5. Monitoring, measuring (where applicable) and analyzing these processes (2008:4.1.e), and
   6. Implementing actions necessary to achieve planned results and for the continual improvement of these processes (2008:4.1.f)
3. Where the company chooses to outsource any process that could affect product (including service) requirements, the company will take steps to ensure control over such processes and the type and control of these processes shall be defined within the QMS. (2008:4.1 Notes second paragraph).
   1. An outsources process is any process that the company needs for its QMS and which the company chooses to have performed by an external party (2008: 4.1 Notes 2)
4. When ensuring that controls over outsourced processes, the company understands that it is not absolved of the responsibility of conformity to all customer, statutory and regulatory requirements. These controls may be influenced by:
   1. The potential impact of the outsourced process on the company’s ability to provide a product that conforms to the defined requirements,
   2. The degree to which the control for the process is shared,
   3. The capability of achieving the necessary control through the purchasing and procurement processes (2008: 4.1 Notes 3).

## Documentation Requirements

### General

1. The company undertakes to maintain the following **documents**:
   1. The Quality Policy and Quality Objectives (2008: 4.2.1.a),
   2. A Quality Manual (2008:4.2.1.b),
   3. Documented procedures and records as defined within ISO 9001:2008 (2008:4.2.1.c),
   4. Documents, including records, determined by the organization to be necessary to ensure the effective planning, operation and control of its processes (2008:4.2.1.d),
2. For each of the above, the company shall ensure that the procedures developed are documented, implemented and maintained (2008:4.2.1 Note 1)
   1. The documentation associated with the QMS takes into account and is affected by the following:
      1. The size and organization and types of activities (2008: 4.2.1 Note 2.a),
      2. The complexity of processes and their interactions (2008: 4.2.1 Note 2.b),
      3. The competence of personnel (2008: 4.2.1 Note 2.c).
   2. This documentation shall be in electronic format using the procedure defined in Appendix 1 (2008: 4.2.1 Note 3)
3. Documents required by the QMS are subject to specific controls.
   1. Documents include records (see below), specifications, procedure documents, drawings, reports and standards (2005:3.7.2)
   2. Records are a specific form of documentation that pertains to the results achieved or providing evidence of activities performed (2005: 3.7.6)

### Quality Control Manual

1. The Quality Control Manual (QCM) is the keystone document in the QMS. It shall be controlled as per the document requirements listed below.
   1. The QMS applies to all activities that have a direct impact upon the client or that provide a direct support to a process that directly impacts upon the client (2008: 4.2.2.a)
   2. The requirements to document procedures for the QMS are met through the procedures included in the Appendices of this document (2008: 4.2.2.b)
   3. The interaction between the processes in the QMS are described in the procedures included in the Appendices of this document (2008:4.2.2.c)

### Control of Documents

1. The company shall document procedures associated with the ***control of documents*** with respect to the following:
   1. Approval of documents for adequacy prior to issue (2008:4.2.3.a)
   2. Review and updating of documents and the re-approval of documents (2008: 4.2.3.b)
   3. Identifying changes and the version of documents (2008:4.2.3.c)
   4. Ensuring the availability of relevant versions at the point of use (2008: 4.2.3.d)
   5. Ensuring that documents remain legible and are readily identifiable (2008: 4.2.3.e)
   6. Ensuring that documents of external origin required by the company to be necessary for the planning and operation of the QMS are identified and their distribution controlled (2008:4.2.3.f)
   7. Preventing the unintended use of obsolete documents and to apply suitable identification to obsolete documents if they are required to be retained (2008:4.2.3.g).

### Control of Records

1. The company shall maintain records to provide evidence of conformity to requirements and of the effective operation of the QMS. The control over these records are described in Appendix C – Control of Records (2008: 4.2.4)
   1. These documents shall remain legible, readily identifiable and retrievable (2008: 4.2.4)

## Management Responsibility

### Management commitment

1. The management of the company provides evidence of its commitment to the development and implementation of the QMS and continually improving its effectiveness through the following:
   1. Stating to all members of the organization its commitment to deliver services that of the highest standard in terms of statutory, regulatory, and customer requirements (2008:5.1.a)
   2. Establishing this framework document (QCM), a recognized basis for the establishment of a Quality Policy (2008:5.1.b, 2005: 3.2.4 Note 2)
   3. Integrating the principles of Quality Planning through steps to set objectives and specifying the specific processes within this document (2008:5.1.c, 2005:3.2.9)
   4. Conducting periodic reviews with respect to the application and effectiveness of requirements as defined in this document (2008:5.1.d); and
   5. Ensuring that each business activity clearly identifies and is assigned resources necessary to meet the requirements defined in this document (2008:5.1.e)

### Customer Focus

1. As part of the QMS, the company’s management commits to ensuring that customer requirements are identified and are met with the aim of enhancing customer satisfaction. There is no statement or intent in this document to use the enhancement of customer satisfaction where such satisfaction comes into conflict with statutory, regulatory, or ethical norms. (2008: 5.2)

### Quality Policy

1. Management of the company shall ensure that the quality policy:
   1. Is appropriate to the purpose of the company (2008: 5.3.a)
   2. Includes a commitment to comply with requirements and continuously improve the effectiveness of the QMS (2008:5.3.b)
   3. Includes a framework for establishing and reviewing Quality Objectives (something sought or aimed for in relation to Quality) (2008: 5.3.c, 2005:3.2.5)
   4. Includes communicating and ensuring that the requirements are understood within the organization (2008: 5.3.d)
   5. Includes reviewing the QMS for continuing suitability (2008: 5.3.e)

## Planning

### Quality Objectives

1. Management shall ensure that quality objectives, including those associated with the company`s project, are established and integrated into the procedures of the company and in such a way as to be measurable and consistent with the overall quality policy (2008: 5.4.1)

### Quality Management System Planning

1. Management shall ensure that the planning of the QMS is carried out with respect to the requirements described above and that the integrity of the QMS is maintained when changes are planned and implemented (2008: 5.4.2.a and b)

## Responsibility, Authority and Commission

### Responsibility and Authority

1. Management shall ensure that responsibilities are defined and communicated (2008: 5.5.1)

### Management Representative

1. Management shall ensure that it appoints a member of the organization`s management who shall have, irrespective of their other responsibilities, ensure the following:
   1. that processes needed for the QMS are established, implemented and maintained (2008:5.5.2.a),
   2. reporting to top management on the performance of the QMS (2008: 5.5.2.b), and
   3. ensuring the promotion and awareness of customer requirements throughout the organization (2008:5.5.2.c)

### Internal Communications

1. Management shall ensure that appropriate communication processes are established within the organization and that communication takes place regarding the effectiveness of the QMS (2008:5.5.3)

## Management Review

### General

1. Management shall review the organization`s QMS at planned intervals to ensure its suitability, adequacy and effectiveness. This shall include the identification of opportunities for improvement and need for changes to the QMS, quality policy and quality objectives (2008: 5.6.1)
2. Management shall ensure that records of all reviews are kept and maintained (2008: 5.6.1)

### Review Input

1. Management reviews shall include the following:
   1. Results of audit (2008: 5.6.2.a),
   2. Customer feedback (2008: 5.6.2.b),
   3. Process performance and product conformity (2008: 5.6.2.c),
   4. Status of preventive and corrective actions (2008:5.6.2.c),
   5. Follow up actions from previous management reviews (2008: 5.6.2.e),
   6. Changes that could affect the QMS (2008: 5.6.2.f), and
   7. Recommendations for improvement (2008:5.6.2.g)

### Review Output

1. The output of management review shall include decisions and actions with respect to:
   1. Improving the effectiveness of the quality management system and its processes (2008: 5.6.3.a),
   2. Improvement of the product with respect to customer requirements (2008: 5.6.3.b), and
   3. Resource needs (2008: 5.6.3.c).

## Resource Management

### Provision of Resources

1. The company, through management, shall determine and provide resources to accomplish the following:
   1. Implementing and maintaining the QMS and continually improving its effectiveness (2008: 6.1.a)
   2. Enhancing customer satisfaction by meeting customer requirements (2008:6.1.b)

## Human Resources

### General

1. The company, through management, shall ensure that all personnel performing work affecting conformity to product requirements shall be competent on the basis of appropriate education, training, skills and experience (2008: 6.2.1)

### Competence, training and awareness

1. The company shall determine the necessary competence for personnel performing work affecting to conformity to product requirements (2008: 6.2.2.a)
2. The company shall, at its discretion, provide training or take other actions to achieve the necessary level of training (2008: 6.2.2.b)
3. The company shall evaluate the effectiveness of the actions taken (2008:6.2.3.c), and
4. The company shall ensure that its personnel are aware of the relevance and importance of their activities and how they contribute to the achievement of quality objectives (2008: 6.2.2.d).

### Infrastructure

1. The company shall determine, provide and maintain the infrastructure needed to achieve conformity to project requirements. Infrastructure includes, as applicable, the following:
   1. Buildings, workspaces and associated utilities (2008: 6.3.a)
   2. Process equipment (2008: 6.3.b)
   3. Supporting services (2008: 6.3.c)

### Work Environment

1. The company shall determine and manage the work environment needed to achieve conformity to product requirement. This includes physical and environmental conditions. (2008: 6.4)

# Part II – Product Realization

## Planning of Product Realization

1. The organization shall plan and develop processes needed to deliver the service. This shall be consistent with the requirements of the other processes in the QMS (2008: 7.1)
2. The company shall, as part of the planning process, determine the following as appropriate:
   1. Quality objectives and requirements (2008: 7.1.a)
   2. The need to establish processes and documents, and to provide resources specific to the product (2008: 7.1.b)
   3. Required verification, validation, monitoring, measurement, inspection and test activities specific to the product and the criteria for the acceptance of the service rendered (2008: 7.1.c)
   4. Records to provide evidence that the realization processes and resulting product meet, or met, requirements (2008: 7.1.d).
3. The company shall ensure that each service delivered clearly identifies the quality objectives and the processes needed to achieve those objectives (2008:7.1 Note 1)

## Customer-related processes

### Determination of Requirements

1. In determining the requirements related to the product, the company shall determine
   1. The requirements specified by the customer, including any requirements for delivery and post delivery activities (2008:7.2.1.a)
   2. The requirements not stated by the customer but necessary to be applied to the delivery of the service or the use of equipment related to the service, where known (2008: 7.2.1.a)
   3. Statutory and regulatory requirements applicable to the product (2008: 7.2.1.c)
   4. Any additional requirements considered necessary by the management of the company (2008: 7.2.1.d)

### Reviewing Requirements before Commitment

1. The company shall conduct a review related to the requirements of the product prior to the commitment to deliver the service, ensuring the following:
   1. Product requirements are clearly defined (2008: 7.2.2.a)
   2. Contract or order requirements differing from those previously expressed are resolved so as to meet the requirements of (a) above (2008: 7.2.2.b)
   3. The company has the ability to deliver the services up to the requirements communicated (2008: 7.2.2.c)
2. Records shall be maintained that clearly indicate that the requirements were reviewed and any actions arising from the review. The individual conducting the review shall also be clearly identified (2008: 7.2.2 Para1).
3. Where the customer provides no requirements, the company shall ensure that the client confirms any requirements as being appropriate. Upon receipt of that confirmation, the review can be commenced (2008: 7.2.2 Para2)
4. Where the customer changes the requirements of a service, the company shall ensure that relevant documents are amended and that relevant personnel are made aware of the change requirements (2008: 7.2.2 Para 3)
5. In the context of multiple contracts with the same company, it is understood that the QMS will use the general requirements that apply to all transits and any deviations from those requirements as opposed to developing requirements for each individual transit. This is because it is considered impractical to apply the same processes to the same information to yield the same result given that it would incur unnecessary effort and costs to the process (2008: 7.2.2 Para 4)

### Customer Communication

1. The company shall determine and implement effective arrangements for communicating with customers in relation to the following:
   1. Information regarding the service and its related supporting infrastructure (2008: 7.2.3.a),
   2. Enquiring, contracts, and order handling and including amendments (2008: 7.2.3.b),
   3. Seeking and receiving customer feedback, including complaints (2008: 7.2.3.c)

### Design and Development Inputs

1. Inputs relating to product requirements shall be determined and records maintained, including the following:
   1. Functional and performance requirements (2008: 7.3.2.a)
   2. Statutory and regulatory requirements (2008: 7.3.2.b)
   3. Where applicable, information derived from previous similar services (2008: 7.3.2.c)
   4. Other requirements essential for the design, development and appropriate delivery of the service (2008: 7.3.2.d)

### Design and Development Outputs

1. The outputs of the design and development process must be in a form suitable to be verified or validated against the inputs and shall be approved prior to release.
2. Design and development outputs shall meet the following:
   1. Meet the input requirements for design and development (2008: 7.3.3.a),
   2. Provide appropriate information for purchasing, production and service provision (2008: 7.3.3.b)
   3. Contain or reference the criteria to meet to have the service accepted (2008: 7.3.3.d), and
   4. Specify any characteristics that are needed for the service that are essential for its safe and proper provision (2008: 7.3.3.e)

### Design and Development Review

1. At suitable stages, management shall ensure that systematic reviews of design and development are performed in accordance with planned arrangements (2008: 7.3.4). This shall incorporate the following:
   1. An evaluation of the ability of the results of the design and development to meet requirements (2008: 7.3.4.a), and
   2. Identification of any potential discrepancies between the outcomes and requirements and any actions necessary to adjust the outcomes to the requirement or have the discrepancies accepted by the customer (2008: 7.3.4.b)
2. The persons involved in this review shall include representatives of the functions concerned with the design and development stages being reviewed. Records of the results of the reviews and any necessary actions shall be maintained (2008: 7.3.4 Para 1).

### Design and Development Verification

1. Management shall ensure that a check is performed in accordance with the planned arrangements to ensure that the design and development outputs have met the design and development review inputs. Records shall be maintained of the results and any actions taken (2008: 7.3.5).

### Design and Development Validation

1. Management shall ensure that a validation step is taken to ensure that the resulting service meets the requirements for the specific service and use. This shall be completed (where practicable) prior to the delivery of the service and records of results (and subsequent actions) shall be maintained (2008: 7.3.6)

### Control of Design and Development Changes

1. The company shall maintain records of all design and development changes. Each change shall be reviewed, verified and validated (as appropriate) and approved before final implementation. It shall also include an evaluation of any potential effect on aspect of the services being delivered.

## Purchasing

### Purchasing Process Requirement

1. Management shall ensure that purchased products or arranged services conform to specific purchase requirements. The type and extent of control applied to the supplier and purchased product or service shall be dependent upon the effect of the purchased product on the ability of the company to meet its own requirements (2008: 7.4.1).
2. Management shall evaluate and select suppliers based on their ability to supply services or equipment in accordance with the company’s requirements. These shall include the criteria for selection, evaluation, and subsequent re-evaluation. Records of all results are to be maintained (2008:7.4.1 Para).

### Purchasing Information

1. Management shall require that purchasing information (for goods or services) include the following:
   1. Requirements for the approval of the good or service (2008: 7.4.2.a)
   2. Requirements associated with the qualification of personnel (2008: 7.4.2.b)
   3. Any other QMS requirements (2008: 7.4.2.c)
2. The company shall ensure that the requirements communicated to the supplier are complete and accurate before those requirements are communicated to the supplier. (2008: 7.4.2 Para 1)

### Verification of Purchased Product

1. The company shall ensure that it has established and implemented inspection or other similar activities to ensure that any purchased product or service meets its purchase requirements (2008: 7.4.3 Para 1)
2. Where the company intends to perform its inspection or other form of verification at the supplier’s premises, the company shall ensure that its provides the supplier with the intended verification arrangements and method of product release in the purchasing information (2008: 7.4.3 Para 2)

## Service Provision

### Control over Service Provision

1. The organization shall plan and carry out its service delivery under controlled conditions, including the following:
   1. The availability of the information that describes the requirements to be met or characteristics of the service or its supporting equipment (2008: 7.5.1.a)
   2. The availability of work instructions, standing orders or similar documentation that describes how tasks are to be carried out (2008: 7.5.1.b)
   3. The use of suitable equipment, as defined as being appropriate for the task and not in conflict with the statutory, regulatory, or ethical requirements from the sources described above (2008: 7.5.1.c)
   4. The availability and use of monitoring and measurement equipment (as appropriate)(2008: 7.5.1.d)
   5. The implementation of monitoring and measurement equipment in such a way as does not conflict with statutory, regulatory or ethical requirements from the sources described above (2008: 7.5.1.e), and
   6. The implementation of any activities associated with the approval of the delivery of the service, the delivery of the service or activities that follow after the delivery of the service (2008: 7.5.1.f)

### Validation of Processes for Service Provision

1. The company shall validate any process associated with the delivery of the service where the output of the product cannot be verified by subsequent monitoring or measurement and, as a consequence, deficiencies become apparent only after the service has been delivered (2008: 7.5.2)
2. Validation must be able to demonstrate that the process can achieve predictable and planned results. (2008: 7.5.2 Para 1)
3. The company shall establish arrangements for each of the following processes:
   1. Defined criteria for the review and approval of processes (2008: 7.5.2.a)
   2. Approval of equipment (2008: 7.5.2.b)
   3. Approval of the qualification of personnel (2008: 7.5.2.b)
   4. The use of specific methods or procedures (2008: 7.5.2.c)
   5. The requirement of records (2008: 7.5.2.d), and
   6. The requirement and process for revalidation (2008: 7.5.2.e)

### Identification and Traceability

1. While the company may deliver several services to one company, each service shall be uniquely identified to as to ensure it can be uniquely identified and traced (2008: 7.5.3 Para 1)
2. The company shall monitor the progress of the service through tracking of the applicable validation and measurement requirements (2008: 7.5.3 Para 2).
   1. The numbers associated with the service shall be considered and protected as per a record (2008: 7.5.3 Para 3).

### Customer Property

1. Where the company uses another company`s equipment, it shall identify, verify, protect and safeguard customer property provided for use or incorporation into the service. The company will have the other company provide a list of requirements with the equipment and reach an agreement with respect to specific controls as part of the contracting or similar arrangement (2008: 7.5.4 Para 1).
2. Where information or intellectual property is involved, this shall be handled as per physical property with respect to the requirements to identify, verify, protect and safeguard property (2008: 7.5.4 Note)

### Preservation of Product

1. The company shall take steps to ensure that the service proceeds in such a way that the requirements are maintained consistently throughout the full delivery of the service. Where a change is made to any input to the process, it must be evaluated to determine if any change in the ability to meet requirements has occurred and, if so, the nature of that change (2008: 7.5.5).
   1. Should it be determined that a change in the product`s ability to meet requirements has occurred, steps must be taken to ensure that the requirements are met.

### Control of Monitoring and Measuring Equipment

1. Given the nature of the service, there are few tangible means of measuring the suitability of the service. Where a product is used, it shall be measured against the design and safe use criteria associated with that product (2008 7.6.Para 1)
2. Management shall, to the extent possible, ensure that monitoring and measurement can be carried out and are carried out in a manner that is consistent with the monitoring and measurement criteria defined in any contract or in order to assure the quality of the service being delivered (2008: 7.6.Para 2).
3. In order to ensure that results are valid, those conducting measurement shall ensure that measuring equipment is or has been (as appropriate):
   1. Been calibrated or verified at specific intervals and prior to use against measurement standards traceable to international or national measurement standards. Where such standards do not exist, the basis for the decision on how to complete this shall be documented as part of the process (2008: 7.6.a),
   2. Be adjusted or re-adjusted as necessary (2008: 7.6.b),
   3. Be specifically identified and tracked in terms of its calibration or other adjustment (2008: 7.6.c),
   4. Be protected against unauthorized or inappropriate adjustments, including periodic monitoring (2008: 7.6.d), and
   5. Be protected against damage, deterioration or other factors that could lead to the invalidation of the results (2008: 7.6.e), and
4. Should equipment be found to not meet the minimum requirements defined by measurement, the company shall ensure the validity of any similar measuring results on the same equipment. This includes taking appropriate action on the equipment or service affected (2008: 7.6.Para 3)
5. Records shall be kept of all calibration and verification activities (2008:7.6.Para 4).

# Part III – Maintenance of the Quality Management System

1. This section pertains directly to Section 8 of ISO 9001:2008 – Measurement, Analysis and Improvement.

## General

1. The company shall, as part of the QMS, establish and implement a plan for the monitoring, measurement, analysis and improvement process in order to accomplish the following:
   1. To demonstrate conformity to service requirements (2008: 8.1.a);
   2. To ensure conformity with the QMS (2008: 8.1.b)
   3. To continually improve the effectiveness of the QMS (2008: 8.1.b)
2. The preferred method of monitoring the application and effectiveness of the QMS is statistical analysis. This shall be used throughout the system (2008: 8.1 Para 1)

## Monitoring and Measurement

### Customer Satisfaction

1. The company shall conduct internal audits at planned intervals to determine whether the QMS meets the following criteria:
   1. Conforms to the planned arrangements, the requirements of ISO 9001:2008 and to the QMS (2008: 8.2.2.a)
   2. Is effectively implemented and maintained (2008: 8.2.2.b)
2. The audit program shall take into account the following:
   1. Be planned, taking into consideration the status and importance of the processes and areas to be audited, as well as the results of previous audits (ISO 2008: 8.2.2. Para 1),
   2. It shall have a specifically defined set of criteria, scope, and frequency (2008: 8.2.2. Para 1),
   3. It shall follow specific methods (2008: 8.2.2.Para 1),
   4. Shall be conducted by auditors to ensure the impartiality and objectivity of the process, ensuring that auditors do not audit their own work (2008: 8.3.3 Para 1).
3. The audit process shall follow a clearly defined and documented procedure that includes defining the responsibilities and requirements for planning and conduct audits, establishing records and reporting results (2008: 8.2.2 Para 2). Records of the results of all audit activities shall be maintained (2008: 8.2.2 Para 3).
4. The company requires that the individual responsible for the area being audited to ensure that they take steps to complete corrective actions without undue delay, eliminate any non-conformities and their causes (2008: 8.2.2 Para 4). This includes coordinating any follow up activities for the purposes of verification of actions taken and the reporting of the verification results (2008: 8.2.2 Para 4)

### Monitoring and Measurement of Processes

1. The company shall, as part of its procedures, integrate suitable methods for monitoring and, where applicable, measurement of the QMS processes. These methods shall demonstrate the ability of the processes to achieve planned results and shall also include correction and corrective action being taken in cases of non-conformity (2008: 8.2.3)

### Monitoring and Measurement of Services (Product)

1. The company shall monitor and measure the characteristics of the service to verify that all requirements have been met. This shall be conducted throughout the planning, development, delivery and follow up activities with records being kept with respect to the level of compliance to the conformity and acceptance criteria (2008: 8.2.4 Para 1).
2. Any records associated with the approval of a service must indicate the name of the person or persons that have authorized the delivery of that service (2008: 8.2.4 Para 2)
3. The approval of the delivery of the service shall not proceed until the planned arrangements have been satisfactorily completed and, unless otherwise approved by both the management and the customer (2008: 8.2.4 Para 3)

### Control of Non-Conforming Services (Product)

1. The company shall takes steps to ensure that services that do not conform to requirements are identified and controlled to prevent its accidental use or delivery (2008: 8.3 Para 1).
2. The company procedure defining the controls and related responsibilities and authorities for dealing with non-conforming product is detailed in Appendix 1 (2008: 8.3 Para 1)
3. The company shall deal with services that fail to meet requirements through one of the following actions:
   1. Taking steps to bring the service into conformity (2008: 8.3.a),
   2. Authorizing it to be approved under concession by any relevant authority and with the approval of the customer (2008: 8.3.b),
   3. Taking steps to ensure to preclude its intended use or application (2008: 8.3.c), or
   4. By taking steps to mitigate any potential effects, impacts or consequences of the non-conformity if the non-conformity is detected after the service has started and there is no reasonable step that can be taken to halt its use (2008: 8.3.d).
4. Should a non-conformity be detected, the company will revalidate the service to ensure that it can demonstrate conformity with the requirements (2008: 8.3 Para 2).
5. Records must be maintained that document any non-conformities, their causes, and any concessions obtained (2008: 8.3 Para 4).

### Analysis of Data

1. The company shall determine, collect, and analyse appropriate data to demonstrate the suitability and effectiveness of the QMS and to evaluate where continual improvement of the effectiveness of the QMS can be made. This shall include any monitoring and measuring data from other sources (2008: 8.4 Para 1)
2. The data collected shall provide information relating to the following:
   1. Customer satisfaction (2008: 8.4.a),
   2. Conformity to requirements (2008 8.4.b),
   3. Characteristics and trends associated with the service, including opportunities for preventative action (2008 8.4.c), and
   4. Suppliers (2008 8.4.d)

## Improvement

### Continual Improvement

1. The company shall continually improve the effectiveness of the QMS through the use of the Quality Policy, Objectives, Audit Results, Analysis of Data and the judicious application of corrective and preventative actions and management review (2008 8.5.1)

### Corrective Actions

1. The company shall maintain procedures for the following with respect to corrective actions:
   1. Reviewing non-conformities (2008: 8.5.2.a)
   2. Determining the cause of non-conformities (2008: 8.5.2.b)
   3. Evaluating the need for action to ensure that non-conformities do not recur (2008: 8.5.2.c)
   4. Determining and implementing the needed corrective action (2008 8.5.2.d)
   5. Records of the results of actions taken (2008 8.5.2.e)

### Preventative Action

1. The company shall take steps, where non-conformities are detected or suspected, to eliminate the causes of those non-conformities and potential future non-conformities, taking into account the effects of the non-conformity (2008: 8.5.3).
2. The company shall maintain the following documented procedures:
   1. Determining potential non-conformities and their causes (2008: 8.5.3.a),
   2. Evaluating the need for action to prevent the occurrence of nonconformities (2008: 8.5.3.b),
   3. Determining and implementing the action needed (2008: 8.5.3.c),
   4. Recording the results of action taken (2008 8.5.3.d), and
   5. Reviewing the effectiveness of the preventative action taken (2008 8.5.3.e).

# Part IV – Supplier Evaluations

1. The following criteria shall be met as part of the establishment of any supplier arrangement that is to be normalized in the delivery of services:
   1. Does the supplier maintain a QMS based upon the appropriate standard (ISO 9001:2008) and taking into account any other quality assurance criteria relevant to the production of the good or delivery of the service?
      1. Has the supplier been certified as being compliant with an internationally-accepted standard?
      2. Has the supplier self-declared but maintains documentation in support of that standard?
   2. Has the supplier been clearly informed of the requirements and has it demonstrated that it can meet those requirements?
      1. Through past demonstrations or use?
      2. The references from credible sources?
      3. Through trade references?
   3. Does the supplier offer advance inspection of the good or service?
      1. At its site and willing to make adjustments to meet requirements?
      2. In a way so as not to delay operations while adjustments are made?
      3. In a way that is clearly linked to the design inputs?
   4. Can the supplier assure that its contribution will arrive on time?
      1. Does the supplier offer this as a guarantee?
      2. Does the supplier offer insurance or penalty considerations?
      3. Does the supplier offer to allow an alternate source to be used?
   5. Can the supplier assure that it can meet foreseeable demands for its contribution?
      1. Does it maintain adequate numbers in reserve?
      2. Can it produce or develop adequate numbers on short notice (within the time needed)?
      3. Can it do either of the above and still meet its quality requirements?
   6. Can disputes be resolved?
      1. Does the supplier offer to sign a contract or guarantee?
      2. Is there a binding mechanism on the supplier?
      3. Can the supplier provide some kind of performance assurance?
2. Should the supplier fail to meet any of the above requirements, the management of the company will develop an alternative source strategy so as to protect the continuity of operations and the integrity of the overall service.

# Appendix 1 – QMS and Associated Procedures

In this section of the QCM, the focus is on specific procedures that are used to maintain the QMS. These procedures are intended to supplement existing corporate procedures.

When determining how to integrate the process, consideration should be given to the following:

* Establishment of a new process where no other procedure meets requirements
* Integration with an existing process where efficiencies can be realized and requirements can still be maintained
* Merging of two processes, ensuring that all requirements continue to be met.

Each procedure is broken down into the following:

* Name and unique identifier of the procedure
* Links to other procedures and requirements
* Recommended review cycle
* Specific steps and measurement criteria
* Planned outcomes

As with any procedure, care must be taken to take into account the full scope of operations. Conformity with these requirements is not intended to shift risk into other areas (safety, security, environmental controls, etc) but is rather to enhance the effectiveness and efficiency of the company through managed processes.

The list of general procedures is as follows:

**P1 - Identification of Sources of Requirements (p6,7,8, )**

**P2 - Process for validating against ISO 9001:2008** (p11)

* Amending the QMS (p36)
* Maintenance of Integrity (p32)

**P3 - Documentation of Decisions**

* Document of Decisions to Exclude (and Basis)(1.2)

**P4 - Determination of Processes and their Application** (p19)

* Establishment of processes (p34a)
* Implementation of processes (p34a)
* Maintenance of processes (p34a)
* Changes in processes (p37)
* Determination of the Sequence of Processes (p19)

**P5 - Determination of criteria and controls regarding effectiveness of QMS process** (p19)

* Company to determine, collect, and analyze data to measure effectiveness (p102)
  + Include customer satisfaction (p103a)
  + Include conformity to requirements (p103b)
  + Characteristics an trends associated with service, preventative controls (p103c
  + Suppliers (p103d)
  + Link to Procedure 7 for individual processes
* Setting of objectives for the Quality Policy, QMS, Audit Results, Analysis Data and corrective actions (p104)
* Corrective actions for the QMS
  + Reviewing non-conformities in the QMS (p105a)
  + Determining cause of QMS non conformities (p105b, p107a)
    - Take steps to eliminate causes to prevent future (p106)
  + Evaluating the need for action based on non-conformities (p105c, p107b)
  + Determining the need for corrective action (p105d)
  + Implementing the action needed (p107c)
  + Reviewing the effectiveness of preventative action taken (p107e)
* Requirement for records (p105e, p107d)

**P6 - Determination of appropriate resources** (p19)

* Determination of resource requirements (p40a)
* Allocating resources for customer satisfaction (p40a)
* Determination of Infrastructure needs (p46a)
  + Maintenance of work environment (p47)
* Determination of Equipment needs (p46b)
* Determination of Supporting Services (p46c)
  + Vetting of outside sources

**P7 - Monitoring and Measuring** (p19

* Establishment of Objectives (p31, 36)
* Requirement to maintain objectives throughout the planning, development, delivery and follow up activity (p94)
* Link to requirements defined in procedures (Procedures 15, 8)
* Requirement to keep named records (p95)

**P8 - Management Review**

* Establishing Review Cycles (p36)
  + Requirement to take into account importance of processes, areas, previous audits (p90a)
  + Clearly defined set of criteria, scope and frequency (p90b)
* Requirement to implement a plan for monitoring, measurement, analysis and improvement (p87a)
  + To demonstrate conformity with service requirements (p87a)
  + To ensure conformity with the QMS (p87b)
  + To ensure conformity with requirements associated with ISO 9001 and QMS (p89a)
  + To ensure effectively maintained (p89b)
  + Goal to achieve understanding for continuous improvement (p87c)
* Basis in statistical analysis (p88)
  + Monitoring and measurement from above
* Conducting Review
  + Selection of personnel to conduct (p90d)
  + Determination of Suitability, Adequacy and Effectiveness (p36)
  + Requirement to incorporate inputs listed in p38 (p38)
  + Follows a set procedure (p90c, p91)
  + Requirement to Document (p37)
* Reporting Review (p34b)
  + Decisions – Improving QMS and Process (p39a)
  + Decisions – Improving Product (including service (p39b)
  + Improving effectiveness – Resource needs (p39c)
* Requirement to act upon recommendations (p92)

**P9 - Continuous Improvement**

* Improving the effectiveness of the QMS and its processes (p39a)
* Improvement of the product with respect to customer requirements (p39b)

**P10 - Establishment of Controls on Outside Providers** (p20)

* Purchasing process requirements (p66, p67, p68a, p68b, p68c, p69)
* Verification of Purchased Product (p70, p71)
* Guidance provided (p108, p109)

**P11 - Internal Communications**

* Identification of Message (p35)
* Communication of Message (p35)

**P12 - Control and Maintenance of Documents** (p22)

* Approval (p26a)
  + Re-approval of documents (p26b)
* Review and Updating (p26b)
  + Identifying changes and versions (p26c)
* Ensuring latest version available (p26d)
  + Preventing use of obsolete documents (p26g)
* Protection of Documents
  + Ensuring documents legible and readily identifiable (p26e)
* Maintenance of Electronic Documents (p23)
* Control over Distribution
  + External documents (p26f)

**P13 - Control and Maintenance of Records**

* Protection of Records
  + Maintenance of records as legible, readily identifiable and retrievable (p27a)

**P14 - Human Resources**

* Identification of manager responsible (p34)
* Selection of personnel (note list p41) (p41)
  + Determining credibility of qualifications and effectiveness of training (p44)
* Determination of competence and decisions regarding training (p42, p43)
* Briefing of personnel with respect to QM (p45)

**P15 - Determination of Requirements**

* Identification of Requirements (p51)
  + Specified by customer (p51a)
    - Functional and performance requirements (p58a)
  + Not stated by customer (p51b, p54)
    - Previous similar services rendered to the client (p58c)
  + Validation of processes that cannot be measured (p73)
    - Can meet predictable and planned results (p74)
  + Statutory and regulatory requirements (p51c, p58b)
  + Identification of additional requirements (p51d, p58d)
    - Requirement to incorporate Human Rights (ICoC)
* Review of requirements (p52)
  + Ensuring requirements clearly defined (SMART) (p52a, p72a, p72)
  + Ensuring contract or other changes resolved (p52b, p55)
* Determination of company can meet requirements (p52c)
  + Requirement to record requirement, review and decision (p53, p58)
  + Ability to apply document across similar projects and authority (p56)
* Ability to link Design inputs, outputs and acceptance criteria clearly (p59, p60c)
  + Meet design criteria (p60a)
  + Provide appropriate information, including safety (p60d)

**P16 - Design and Development Review**

* Establishment of systematic review of design (p61)
  + Ability to meet requirements (p61a)
  + Addressing discrepancies between outcomes and requirements (p61b)
  + Requirement to involve representatives of the functions (p62)
  + Requirement for management to ensure checks completed (p63)
  + Requirement to ensure final validation check prior to delivery (p64)
  + Requirement to record results of reviews (p62)
* Conduct of Review
* Incorporating Changes Midstream
  + Need to determine if additional impacts to changes (p66)

**P17 - Communication with Client**

* General procedure for communicating with clients
  + Regarding the service and related supporting infrastructure (p57a)
  + Enquiring, contracts, order handling and amendment (p57b)
  + Seeking and receiving feedback (p57c)

**P18 – Service Provision**

* Setting of requirements from above (see Procedure 15)
  + Requirement for traceability (p76)
  + Requirement for traceability through measurement (p77)
* Validation of processes (p72)
* Arrangements for the following
  + Review of processes (p75)
  + Approval of equipment (p75b)
  + Approval of the qualification of personnel (p75c)
  + The use of specific methods or procedures (p75d)
  + The requirement for records (p75e)
  + The requirement for validation (p75f)
* Protection and care of External property
  + Requirement to care for equipment (p78)
  + Requirement to care for proprietary equipment (p79)
* Requirement to maintain integrity of process (p80)
* Requirement to hold approval under planned arrangements made (p96)
* Control over Non-Conforming
  + Prevention of use of services that do not conform (p97)
  + Actions to be considered are defined in paragraph 99 (p99)
  + Require to revalidate after detection of non-conformity (p100)
  + Requirement to maintain records (p101)

## Appendix 1-1 – Procedure for Identification of Source Requirements

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Name | | **Procedure for Identification of Source Requirements** | | | | | |
| Procedure | | P1 | Links | | QCM para 6,7,8 | | |
| Scope | | QMS |  | |  | | |
| Review | | Annual | 1. Identification of Sources of Requirements | | | | |
|  | |  |  | |  | | |
| Step | Details | | | Measurement Criteria | Tracking | | |
| Done | Validated | Date |
|  | The company identifies the maritime industry quality management standard | | | ISO 9001:2008 |  |  |  |
|  | The company identifies guidance from the IMO with respect to maritime security service providers | | | MSC Circulars (approved only), noting MSC 1405 and subsequent guidance |  |  |  |
|  | The company identifies the leading standards associated with values and ethics for the security industry | | | International Code of Conduct and Supporting Guidance |  |  |  |
|  | The company identifies additional values and ethics standards supported by management | | | MPG Management Guide |  |  |  |
|  | The company identifies latest draft for each of the above documents | | | Only officially communicated drafts |  |  |  |
|  |  | | |  |  |  |  |
| Planned Outcomes | | | | |  |  |  |
| *The company can demonstrate that it has conducted due diligence with respect to the identification of quality, management and ethical standards* | | | | |  |  |  |

## Appendix 1-2 – Process for Validation Against ISO

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Name | | **Process for Validation Against ISO 9001:2008 and 9000:2005** | | | | | | | |
| Procedure | | P2 | Links | | QCM para 11 | | | | |
| Scope | | QMS |  | | |  | | | |
| Review | | Annual | May also be reviewed upon announcement of a change of standard | | | | | | |
| Application | | 1. Amending the QMS 2. Maintenance of Integrity of the QMS | | | | | | | |
|  | |  |  | | | |  | | |
| **Step** | **Details** | | | **Measurement Criteria** | | | **Tracking** | | |
| **Done** | **Validated** | **Date** |
| 1 | Quality Control Manual (QCM) retrieved | | | Latest approved version | | |  |  |  |
| 2 | ISO 9001: 2008 retrieved | | | Official version only | | |  |  |  |
| 3 | Check that all requirements in ISO 9001 appear in QCM | | | Each paragraph number in ISO should appear in the QCM  (brackets at end of paragraph) | | |  |  |  |
| 4 | Check to ensure that all statements made in QCM match ISO document | | | For each reference in the QCM (see brackets) the contents match those in the ISO standard | | |  |  |  |
| 5 | Write any differences down in the QCM | | | Should include ISO reference and content | | |  |  |  |
| 6 | Determine if the difference impacts a mandatory requirement | | | Mandatory requirements indicated by must, shall or will | | |  |  |  |
| 7 | Determine if the difference is excluded due to it not being relevant to operations | | | No occurrences of situation in past review cycle | | |  |  |  |
| 8 | Determine if the difference is excluded as being contrary to business (safety, security, legal) | | | Must be contrary to a law, regulation or official guidance. | | |  |  |  |
| 9 | If being excluded, go to procedure for documentation of exclusions | | | See procedure P3 | | |  |  |  |
| 10 | If not being excluded, draft requirement | | | Follow procedure P15 under additional requirements | | |  |  |  |
| 11 | Record the difference and the steps taken | | | Record is to include change, basis for change, authority, date and name of individual | | |  |  |  |
|  |  | | |  | | |  |  |  |
| Planned Outcomes | | | | | | |  |  |  |
| *Manual reviewed and kept up to date with ISO requirements within 1 year* | | | | | | |  |  |  |

## Appendix 1-3 –Documenting Decisions

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Name | | **Process for the Documenting of Decisions including Exclusion for the QMS** | | | | | | | |
| Procedure | | P3 | Links | | ISO 1.2 | | | | |
| Scope | | QMS |  | | |  | | | |
| Review | | Annual | This may also be reviewed based on operational impact | | | | | | |
| Application | | 1. Recording of decisions that affect the Quality Management System 2. Recording of decisions to exclude certain elements of the QMS | | | | | | | |
|  | |  |  | | | |  | | |
| **Step** | **Details** | | | **Measurement Criteria** | | | **Tracking** | | |
| **Done** | **Validated** | **Date** |
| 1 | Identify the need for the decision | | | Describe in relationship to requirements or other | | |  |  |  |
| 2 | Identify the specific measure or requirement being changed (including added or deleted) | | | The measure must be clearly defined in terms of an action or act | | |  |  |  |
| 3 | Identify the measurement criteria used to track success | | | Specific, measurable, achievable, realizable, and time bound | | |  |  |  |
| 4 | Identify the authority and decision | | | Identify specific management decision and date | | |  |  |  |
| 5 | Identify accountability for the implementation of the decision | | | Identify which individual is responsible for the planning, implementation, monitoring and reporting to management | | |  |  |  |
| 6 | If an exclusion, include the basis for the exclusion | | | Identify specific conflict with law, regulation, required practice, or accepted values and ethics | | |  |  |  |
| 7 | Follow the process associated with the specific control and maintenance of documents | | | Procedure P12 | | |  |  |  |
|  |  | | |  | | |  |  |  |
| Planned Outcomes | | | | | | |  |  |  |
| *All decisions (documents and records) are clearly documented and auditable in support of QMS requirements* | | | | | | |  |  |  |

## Appendix 1-4 – Determination of Processes and Applications

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Name | | **Determination of Processes and Application for the QMS** | | | | | | | |
| Procedure | | P2 | Links | | QCM para 19, 34a, 37 | | | | |
| Scope | | QMS |  | | |  | | | |
| Review | | Annual | Also reviewable if decision cycle is outpaced by operations | | | | | | |
| Application | | 1. Establishment of processes 2. Implementation of processes 3. Maintenance of processes 4. Changing processes 5. Determination of sequence of processes | | | | | | | |
|  | |  |  | | | |  | | |
| **Step** | **Details** | | | **Measurement Criteria** | | | **Tracking** | | |
| **Done** | **Validated** | **Date** |
|  | Identify if work is becoming normalized | | | Outcome is identified by management as becoming part of normal operations | | |  |  |  |
|  | Identify if a process is required | | | Are the steps used to complete the work the same or similar? (y/n) | | |  |  |  |
|  | Identify the steps needed to complete the work | | | Steps should be general enough to be consistent in 9 of 10 cases but specific enough to be measured | | |  |  |  |
|  | Document the steps needed to perform the work | | | Include who, what, when, where, why and how | | |  |  |  |
|  | Identify the resources needed to complete the work | | | Identify specific persons, assets, infrastructure, information and activities that will be used | | |  |  |  |
|  | Identify if any of these have their own quality requirements | | | Check against allocation of resources, measurement and outsourcing requirements | | |  |  |  |
|  | Write a draft of the procedure breaking down the work into steps | | | See procedure P5 | | |  |  |  |
|  | Receive management approval of the process | | | Signed off by senior management | | |  |  |  |
|  | Document the process | | | See procedure P12 | | |  |  |  |
|  |  | | |  | | |  |  |  |
| Planned Outcomes | | | | | | |  |  |  |
| *Consistent measures with respect to quality management. Each process should clearly define who, what, when, where, why, and how the new process will interact with the QMS* | | | | | | |  |  |  |

## Appendix 1-5 – Determination of Criteria and Controls

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Name | | **Determination of criteria and controls regarding effectiveness of QMS process** | | | | | | | |
| Procedure | | P5 | Links | | P19, 102, 103a, 103b, 103d, P7, 104, 105a, 105b, 105c, 105d, 106, 107a, 107b, 107c, 107d, 107e, 108 | | | | |
| Scope | | QMS |  | | |  | | | |
| Review | | Annual | Or upon decision that the cycle is not responding effectively to operations | | | | | | |
| Application | | 1. Determination. Collection, analysis and measurement of data regarding effectiveness of the QMS 2. Setting of Objectives (Policy, QMS, Audit Results, Analysis of Data, Corrective) 3. Corrective actions and Non-conformities 4. Implementation of Action needed 5. Reviewing Effectiveness | | | | | | | |
|  | |  |  | | | |  | | |
| **Step** | **Details** | | | **Measurement Criteria** | | | **Tracking** | | |
| **Done** | **Validated** | **Date** |
| 1 | Determine the desired outcome | | | Based on management and operational needs | | |  |  |  |
| 2 | Verify that customer satisfaction information is included | | | At least 75% of customer feedback received considered | | |  |  |  |
| 3 | Verify inclusion of conformity requirements | | | All requirements (legal, regulatory, ethical, guidance, management) | | |  |  |  |
| 4 | Include any trends associated with service, preventative measures | | | Check all requirements defined in QCM | | |  |  |  |
| 5 | Include any requirements associated with outside suppliers | | | Check against all elements in paragraphs 103d, 108 | | |  |  |  |
| 6 | Set monitoring and measurement criteria | | | Follow Procedure 7 | | |  |  |  |
| 7 | Identify any potential impacts that could lead to non-conformities | | | Action taken must clearly contradict a must or shall statement | | |  |  |  |
| 8 | Identify any Objectives | | | Objectives are to be specific, measurable, achievable, realizable, and time constrained | | |  |  |  |
| 9 | If applicable, review any non-conformities | | | Note para 105 | | |  |  |  |
| 10 | If applicable, determine cause of non conformities | | | Ask why the non-conformity occurred, then why the cause of that non-conformity was present and what helped contribute to that cause | | |  |  |  |
| 11 | If applicable, identify steps that eliminate the contributing factors or manage them | | | The action taken should reduce the factor’s probability of occurring by 80% | | |  |  |  |
| 12 | If applicable, determine the need for action with respect to the non-conformity | | | If the non-conformity causes a conflict with legal, regulatory, ethical or conformity requirements, action should be taken to eliminate the causes and to validate that no conflict exists with the outcome | | |  |  |  |
| 13 | Clearly document the need and submit to management | | | The change should clearly indicate who, what, when, where, why, how and how measured | | |  |  |  |
| 14 | Receive management approval | | | Signed off by management, including measurement criteria | | |  |  |  |
| 15 | Integrate new requirement into any training or awareness | | | To include all elements of who, what, when, where, why, how and how measured | | |  |  |  |
| 16 | Verify coming into force date | | | Earlier of the date provided by management as to when the measure will be in place or that all sub-entities have received training | | |  |  |  |
| 17 | Record all decisions and steps taken in this process | | | Note p105e and p107e of this document | | |  |  |  |
|  |  | | |  | | |  |  |  |
|  |  | | |  | | |  |  |  |
| Planned Outcomes | | | | | | |  |  |  |
| *A new process or a changed process is integrated into the overall system with appropriate management support and clearly documented measurable criteria on how it is to be measured with respect to effectiveness* | | | | | | |  |  |  |

## Appendix 1-6 –Determination of Appropriate Resources

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Name | | **Determination of appropriate resources for the QMS and Services** | | | | | | | |
| Procedure | | P6 | Links | | p19, 40a, 46a, 46b, 46c, 47, Outside Suppliers | | | | |
| Scope | | QMS & SVCS |  | | |  | | | |
| Review | | Annual | Or upon determination that resources consistently too low or too high to meet operational needs or management requirements | | | | | | |
| Application | | 1. Determination of resource requirements for the QMS and Services 2. Allocating resources for customer satisfaction 3. Determination of infrastructure needs and maintenance of work environment 4. Determination of equipment needs 5. Determination of supporting services, including vetting of outside resources | | | | | | | |
|  | |  |  | | | |  | | |
| **Step** | **Details** | | | **Measurement Criteria** | | | **Tracking** | | |
| **Done** | **Validated** | **Date** |
| 1 | Identify from the determination of the process, what work needs to be done | | | Validate against P4, P5 | | |  |  |  |
| 2 | Identify what resources are required to achieve or enhance customer satisfaction | | | From customer feedback, complaints, audits | | |  |  |  |
| 3 | What personnel are needed to perform the work and offer best assurance of success | | | Identify the person and any necessary knowledge, skills, abilities, or resources required | | |  |  |  |
| 4 | What equipment is needed to perform the work and offer best assurance of success? | | | Only that equipment that is legal, authorized and tested as being safe | | |  |  |  |
| 5 | What facilities are needed to conduct the work in? | | | Describe the space in terms of size, layout, heat, electric, water, HVACR, noise, air quality, humidity | | |  |  |  |
| 6 | What environment is needed to conduct work | | | Identify upper thresholds with respect to when conditions become intolerable and basis | | |  |  |  |
| 7 | What information is needed to assure the work is successful? | | | Identify instructions, guidance, timelines that describe who, what, when, where, why, how | | |  |  |  |
| 8 | Identify any outside activities that will support the work | | | Use the vetting of outside suppliers as guide | | |  |  |  |
| 9 | Document all decisions and requirements | | | Include measurement criteria for quality and acceptance checks | | |  |  |  |
|  |  | | |  | | |  |  |  |
| Planned Outcomes | | | | | | |  |  |  |
| *To ensure that adequate resources are allocated in support of the Quality Policy, Management System, Objectives and other related activities* | | | | | | |  |  |  |

## 

## Appendix 1-7 –Monitoring and Measuring

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Name | | **Determination of Monitoring and Measuring the Effectiveness of the QMS** | | | | | | | |
| Procedure | | P7 | Links | | p19, 40a, 46a, 46b, 46c, 47, Outside Suppliers | | | | |
| Scope | | QMS |  | | |  | | | |
| Review | | Annual | Or upon determination that management has added changed or removed requirements or objectives from the QMS | | | | | | |
| Application | | 1. Establishment of Objectives 2. Requirement to maintain objectives through planning, development, delivery and follow up activity 3. Linking objectives and criteria defined in procedures to operations 4. Requirement to keep named records | | | | | | | |
|  | |  |  | | | |  | | |
| **Step** | **Details** | | | **Measurement Criteria** | | | **Tracking** | | |
| **Done** | **Validated** | **Date** |
| 1 | Document the requirements to be met | | | All must and shall requirements from Procedure P1 | | |  |  |  |
| 2 | Identify what work will be done specifically to meet those requirements | | | Each requirement is broken down into processes used to meet requirements | | |  |  |  |
| 3 | In the work process, identify points where responsible persons make a decision to proceed based on the quality of the service or the tools used to deliver it | | | This includes decisions as to which personnel to use, equipment to issue, ships or facilities to occupy, information to use or activities to use from outside sources | | |  |  |  |
| 4 | Identify what criteria needs to be met in order to proceed | | | Must include a quantity and a scalar for each | | |  |  |  |
| 5 | Identify if those criteria need to be present in the final product | | | Where a reduction or degradation in criteria leads to a reduction in quality, it must remain | | |  |  |  |
| 6 | Ensure that a final validation check is included before the conclusion of the work | | | All criteria identified in step 3 are confirmed as still being present if permanent | | |  |  |  |
| 7 | Record all decisions involving the setting of criteria and decisions to proceed | | | Must clearly and uniquely identify the name | | |  |  |  |
|  |  | | |  | | |  |  |  |
| Planned Outcomes | | | | | | |  |  |  |
| *Consistent, recorded and document method for integrating the measurement and monitoring requirements of the QMS with operations and other activities* | | | | | | |  |  |  |

## Appendix 1-8 – Management Reviews

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Name | | **Establishment, Implementation, Conduct and Reporting of Reviews** | | | | | | | |
| Procedure | | P8 | Links | | p36, 37, 38, 39a, 39b, 39c,87a, 87b, 87c, 88, 89a, 89b, 90a, 90b, 90c, 90d, 91,92 | | | | |
| Scope | | QMS + SVCS |  | | |  | | | |
| Review | | Annual |  | | | | | | |
| Application | | * Establishing Review Cycles for both the QMS and SVCS * Establish a basis in statistical analysis * Conducting Reviews * Reporting Reviews * Requirement to act upon recommendations | | | | | | | |
|  | |  |  | | | |  | | |
| **Step** | **Details** | | | **Measurement Criteria** | | | **Tracking** | | |
| **Done** | **Validated** | **Date** |
| 1 | Identify the processes to be monitored | | | Clearly defined processes as the QMS are to be identified and documented | | |  |  |  |
| 2 | Identify the objectives and criteria for each process | | | Each process is to have measurable objectives and criteria identified | | |  |  |  |
| 3 | Identify the anticipated results of each process | | | Objective, outcome and measurement criteria all identified for each process | | |  |  |  |
| 4 | Review the results of past reviews, visits, and audits | | | Each process should have the last year`s results reviewed and documented if available | | |  |  |  |
| 5 | Rank importance of processes with respect to objectives | | | Meeting the objective means that meeting criteria is (per time):   1. Necessary 00%- 25% 2. Necessary 25% - 50% 3. Necessary 50% - 75% 4. Necessary 75%-100% | | |  |  |  |
| 6 | Set frequency of monitoring regime | | | Use the formula  (results of 5)/12  e.g. a 4 would mean checks 3 mo  e.g. a 2 would mean checks 6 mo | | |  |  |  |
| 7 | Communicate with managers to set schedule for visits | | | Visit to identify:   1. Objectives being checked 2. Criteria being checked 3. Processes being checked 4. Documentation and access required to observe, interview regarding the process | | |  |  |  |
| 8 | Communicate with managers regarding the time of the visit | | | Communications should be verbal initially but followed by letter and describe who, what, when, where, why and how the monitoring will take place | | |  |  |  |
| 9 | Receive confirmation that manager will have all aspects ready | | | If yes, then communicate processes that are to be reviewed. Do not communicate the anticipated results | | |  |  |  |
| 10 | Arrive at the site and (through documentation, interview or observation), identify the objectives and check against anticipated results | | | For each objective, identify whether or not the anticipated result exceeds, meets, or fails to meet objectives | | |  |  |  |
| 11 | Identify which specific criteria and requirements were not met | | | For each process, document the requirement or criteria that were not met | | |  |  |  |
| 12 | Identify the root causes for the why the requirement or criteria were not met | | | Identification for each requirement or criteria must be established. Ensure the inputs listed in p38 are included | | |  |  |  |
| 13 | In consultation with the manager, identify options that would address the root causes | | | Each option should clearly describe how it would address the root cause and how it would be measured | | |  |  |  |
| 14 | In consultation with the manager, establish the verification period and anticipated results | | | This should include a date, alternative date and the specific quantity and scalar to be measured against | | |  |  |  |
| 15 | Identify the results in terms of its effects to improve the QMS, the product (service), or the effectiveness in terms of resources | | | Clearly define the level of performance that was met, the nature of the improvement and the anticipated result. | | |  |  |  |
| 16 | Record all results and ensure name and dates clearly identified | | | All decisions and adjustments are to be clearly recorded, including the date and time of the recording | | |  |  |  |
|  |  | | |  | | |  |  |  |
| Planned Outcomes | | | | | | |  |  |  |
| *Goal is to establish, implement and conduct reviews that provide detailed information with respect to the performance of the QMS* | | | | | | |  |  |  |

## Appendix 1-9 – Process to Ensure Continuous Improvement

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Name | | **Process to Ensure Continuous Improvement** | | | | | | | |
| Procedure | | P9 | Links | | p39a, p39b | | | | |
| Scope | | QMS |  | | |  | | | |
| Review | | Annual |  | | | | | | |
| Application | | 1. When improving the effectiveness of the QMS and its processes 2. Improvement of the product with respect to customer requirements | | | | | | | |
|  | |  |  | | | |  | | |
| **Step** | **Details** | | | **Measurement Criteria** | | | **Tracking** | | |
| **Done** | **Validated** | **Date** |
| 1 | Identify the full range of objectives to be met | | | All processes and objectives associated with the QMS are to be identified | | |  |  |  |
|  | Identify the reviews of objectives that have been completed | | | Completed reviews include all reviews where the Manager responsible has indicated that he or she has accepted the recommendations | | |  |  |  |
|  | Rank the objectives that have not been completed in order of priority (4-1) | | | This is to use the same ranking criteria as in Procedure 8 | | |  |  |  |
|  | Review the objectives as per the procedure | | | Use procedure 8 | | |  |  |  |
|  | Document the results | | | Document as per procedure 8 | | |  |  |  |
|  | Identify the next level of potential performance in consultation with the Manager | | | Use the procedure for P5 | | |  |  |  |
|  | Document the new objective and have the Manager indicate concurrence with new objective | | | Documentation is to adhere to Procedure P12 | | |  |  |  |
|  |  | | |  | | |  |  |  |
| Planned Outcomes | | | | | | |  |  |  |
| *The goal here is to establish a process that will ensure that all objectives are reviewed. By reviewing all processes and achieving increasingly greater coverage, the overall quality of the QMS will improve.* | | | | | | |  |  |  |

## Appendix 1-10 – Establishment of Controls for Outside Providers

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Name | | **Setting Quality Controls for Outside Providers** | | | | | |
| Procedure | | P10 | Links | | QCM para 11 | | |
| Scope | | QMS |  | |  | | |
| Review | | Annual | This is an administrative cycle | | | | |
| Application | | 1. For determining quality controls for contractors 2. Suggestions for implementing a system for enforcing those quality controls | | | | | |
|  | |  |  | |  | | |
| Step | Details | | | Measurement Criteria | Tracking | | |
| Done | Validated | Date |
| 1 | Identify the objective of the process | | | As per internal processes |  |  |  |
| 2 | Identify any goals, requirements or criteria | | | As per internal processes |  |  |  |
| 3 | Ensure that any requirements or criteria are clearly identified in any contracting documents as measurable performance indicators | | | Ensure that requirements and criteria are defined, described, and explained in measurable terms |  |  |  |
| 4 | Ensure that any penalties for failing to adhere to requirements or criteria are clearly identified in the contract | | | Ensure that penalties are described in terms of a clear link between failing to meet a requirement or criteria and a cost |  |  |  |
| 5 | Ensure that the contractor clearly identifies that the requirements, criteria and penalties are clear | | | This should be done by original signature, date and a statement involving that they understand that their product or service will be verified in terms of requirement, criteria within a set period before payment |  |  |  |
| 6 | Before payment, verify that all requirements and criteria have been met | | | Document all findings (exceeds, meets, fails to meet). Where failing to meet, a second verification may be undertaken to support the statement |  |  |  |
|  |  | | |  |  |  |  |
| Planned Outcomes and Measurement | | | | |  |  |  |
| *The controls established for outside providers should ensure that the overall requirements and criteria are met so as to ensure that objectives are achieved.* | | | | |  |  |  |

## Appendix 1-11 – Internal Communications

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Name | | **Internal Communications of QMS Requirements** | | | | | |
| Procedure | | P11 | Links | | p35 | | |
| Scope | | QMS |  | |  | | |
| Review | | Annual | This is an administrative cycle | | | | |
| Application | | 1. Identification of the message to be communicated 2. Ensuring that approval is gained before communications are released 3. Communicating the message internally | | | | | |
|  | |  |  | |  | | |
| Step | Details | | | Measurement Criteria | Tracking | | |
| Done | Validated | Date |
| 1 | Identify the specific change that has been made and approved | | | The change should be specific, measurable, achievable, realizable and time constrained. The approval is to be clear and link the message to the signature of the approving manager |  |  |  |
| 2 | Identify the date that all persons are expected to adhere to the change | | | This should be a clearly defined date. For international operations, use UTC time. |  |  |  |
| 3 | Identify the manager responsible for the change and have him or her sign off on it | | | The manager should be the individual named as being responsible for the service and then supported by corporate management (highest) |  |  |  |
| 4 | Draft the message including the information in steps one and two | | | Who, what, when, where, why, and how are to be documented |  |  |  |
| 5 | Have the manager sign off on the message | | | This should be clearly linked to the message and the change |  |  |  |
| 6 | Determine if the message is suitable for public release | | | Based on management decision |  |  |  |
| 7 | Distribute the message through the administrative change and post on web or internal boards | | | The message should be sent in the message body and should also be posted in a way that employees or others can access it. If not suitable for public release, this is to be marked as per Procedure 12 |  |  |  |
|  |  | | |  |  |  |  |
| Planned Outcomes and Measurement | | | | |  |  |  |
| *The development, communication and recording of internal communications should ensure that the Company has confidence that it has communicated its message and that that message has been received.* | | | | |  |  |  |

# Appendix 2 – Documents

Documents describe the processes so as to ensure that there is consistency in their application and so that the organization can continuously improve from a consistent base. For this reason, documents must be clearly defined in terms of their application, scope and their authority. They must also be clear in terms of what they are communicating.

Documents are also maintained so as to be able to identify the status of the company, track the progress of the company over time and also demonstrate what the future plans of the company are.

The difference between a document and a record is the following:

* Records describe the elements that change within a system. This may involve decisions, assessments, reviews and other similar activities.
* Documents describe the program as it is or as it is functioning. In essence, a record will describe something that results in the change being made to something captured on a document.

The procedures described in this Appendix deal with the control and maintenance of documents. They describe how documentation is to be created, maintained, and registered in order to maintain a credible system.

## Appendix 2-12 - Control and Maintenance of Documents

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Name | | **Control of Documents** | | | | | | |
| Procedure | | P12 | Links | | P22, 23, 26a, 26b, 26c, 26d, 26e, 26f, 26g, | | | |
| Scope | | QMS+SVCS |  | |  | | | |
| Review | | Annual | This is an administrative cycle | | | | | |
| Application | | 1. Drafting of the document 2. Amending a document 3. Marking a document (sensitivity, restricted distribution, version numbers) 4. Submitting a document for approval 5. Ensuring the latest draft is available 6. Ensuring that obsolete drafts are not used 7. Ensuring that back up copies are made | | | | | | |
|  | |  |  | | |  | | |
| Step | Details | | | Measurement Criteria | | Tracking | | |
| Done | Validated | Date |
| 1 | The document is to be clearly drafted by the author and reviewed by the Manager for completeness and accuracy | | | The draft document should clearly indicate the authority under which it is published, the information (who, what, when, where, why, how), and the date it is to take effect | |  |  |  |
| 2 | Where changes are made to an existing document, these changes are to be communicated to the Manager in such a way that the nature of the change is clearly evident | | | The previous version of the specific information is to be clearly visible and comparable to the proposed change. This may be done through track changes, etc | |  |  |  |
| 3 | The manager responsible reviews the document and decides if it is suitable based upon management intent | | | The decision must be clearly linked to the authority delegated to the manager. | |  |  |  |
| 4 | If appropriate and acceptable, the Manager signs off on the document with the changes | | | This must clearly link the manager’s signature (original or electronic) to the documented changes | |  |  |  |
| 5 | The final draft is to be produced | | | Full documentation, including the name of the author is to be included. | |  |  |  |
| 6 | The information is assessed to determine who should have access to it, for what purpose, and under what conditions | | | This should be done by position, job function and for specific purposes | |  |  |  |
| 7 | Requirements and controls communicated by third parties are to be identified | | | This is to be drawn from contracts and other agreements and is to include who, what, when, where, why, and how information is to be protected | |  |  |  |
| 8 | The sensitivity of the document is to be labelled in both the header and the footer of the document | | | The following is a guide:  PROPRIETARY where release could cause the loss of the company  HIGH where release could cause loss of a business line or activity  MEDIUM where release could cause the loss of a client  LOW where release could cause disruption  NONSENSITIVE where release is appropriate to the public | |  |  |  |
| 9 | Identify if the information must be restricted to any community in particular and label this under the sensitivity heading in both the header and the footer | | | Labels to clearly identify those specific communities to whom access may be granted | |  |  |  |
| 10 | Identify the specific version number of the document in both the header and footer. This is to be inserted under the sensitivity and community | | | A new number should be started for each approved document. Where a document is amended a decimal system may be used to indicate a subsequent amended draft  (v1 – first approved draft)  (V1.1 – first amendment to first approved draft) | |  |  |  |
| 11 | Identify penalty cause in the footer of the document | | | `The information in this document is the sole property of the company. Unauthorized duplication or release may be subject to criminal or civil penalties as appropriate in the jurisdiction`` | |  |  |  |
| 12 | Indicate the obsolete version | | | This may be done by watermarking the pages “obsolete” so as to ensure that any release is clearly deniable in terms of company policy | |  |  |  |
| 13 | The latest version of the document is to be distributed to appropriate managers | | | This can be done by checking against the list of members in the community to receive the document and using automated systems such as read receipts | |  |  |  |
| 14 | To ensure documents being legible and identifiable, an official electronic copy is made | | | The copy of the document is to be in pdf format and stored in the folder. | |  |  |  |
| 15 | The overall folder is backed up | | | Each time a file is added to the folder, the entire folder is backed up and the file name is amended to clearly indicate the date of the backup | |  |  |  |
| 16 | To ensure the document is available for revision, an editable copy of the document is made | | | This copy is to be clearly identified as being the version used for amendment. | |  |  |  |
| 17 | The editable copy of the document is backed up to reduce risk of loss | | | Each time the file is updated, it is to be backed up into the folder under a file name that clearly indicates the date of the backup | |  |  |  |
|  |  | | |  | |  |  |  |
| Planned Outcomes and Measurement | | | | | |  |  |  |
| *The control and maintenance of documents should clearly limit access to proprietary company information to those that have undergone a formal access process, been determined to be trustworthy and have a need to access the information contained therein* | | | | | |  |  |  |

## Appendix 2-12b - Control over Distribution

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Name | | **Control over Distribution** | | | | | |
| Procedure | | P12b | Links p26f | | Para 26 | | |
| Scope | | QMS+SVCS |  | |  | | |
| Review | | Annual | This is an administrative cycle | | | | |
| Application | | 1. This applies to any situation where a document is being proposed for distribution outside of the organization or outside of its previously intended community. | | | | | |
|  | |  |  | |  | | |
| Step | Details | | | Measurement Criteria | Tracking | | |
| Done | Validated | Date |
| 1 | The document is to be clearly identified | | | Author, title, version or date |  |  |  |
| 2 | The owner of the document is to be contacted and asked if any control requirements apply | | | The owner of the document is the owner of the work |  |  |  |
| 3 | The author of the document is to be contacted to determine if any control requirements apply to the work | | | The author of the work is the point of contact between any writing team and the owner of the work |  |  |  |
| 4 | Checks regarding statutory restrictions are made | | | This is to include verifying that the information is not itself subject to a restriction and that the topic is not subject to a restriction |  |  |  |
| 5 | Checks regarding regulatory restrictions are made | | | This is to include verifying that the information itself is not controlled under any regulation associated with the content (such as the communication of vulnerabilities or security plans) |  |  |  |
| 6 | Checks against client restrictions are made | | | This is to include verifying any restrictions and, as a basic principle, not releasing information regarding client operations, prices, risks or vulnerabilities |  |  |  |
| 7 | Checks against operational restrictions are made | | | This is to include verifying that the document does not have any information regarding information that may be proprietary or lead to a competitive advantage |  |  |  |
| 8 | Verification that the document is releasable to the intended audience | | | The document is then released only after it is determined that any information contained in the document would not pose a competitive or other risk if released |  |  |  |
| 9 | Once the document has been declared releasable, it is to be clearly identified as being releasable | | | The watermark “releasable” is to be added to the editable version of the document in addition to the community that it is being released into, up to or including “public” |  |  |  |
| 10 | The document is released only to that community intended for release | | | This community should be clearly indicated in release instructions to the individual sending the document in terms of “public” or other community |  |  |  |
|  |  | | |  |  |  |  |
| Planned Outcomes and Measurement | | | | |  |  |  |
| *The goal of this procedure is to control the release of documents. Each release of documents must be able to demonstrate that it was checked for suitability of release, approved for release and then released only into the community it was identified as being intended for.* | | | | |  |  |  |

# Appendix 3 – Records

Reports are used to identify changes in the system. The following information is considered vital with respect to changes:

* What was the previous condition (what is being changed)?
* Why did it need to be changed?
* How does that need relate to an objective, requirement, goal, or criteria?
* Who made the change and was he or she appropriately delegated?
* What is the specific nature of the change?
* What are the criteria and requirements to be monitored and measured?
* What objectives are being supported?

A principle element of Quality Management involves continuous improvement. Records should be arranged in such a way as to be able to show continuous improvement over time.

## Appendix 3-13–Records

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Name | | **Records** | | | | | |
| Procedure | | P13 | Links | | p27a | | |
| Scope | | QMS+SVCS |  | |  | | |
| Review | | Annual | This is an administrative cycle | | | | |
| Application | | This applies to any situation where a decision, change (addition, deletion or modification) is made to the Quality Management System  This may also be applied to any decisions made to adjust client systems | | | | | |
|  | |  |  | |  | | |
| Step | Details | | | Measurement Criteria | Tracking | | |
| Done | Validated | Date |
| 1 | Does the information pertain to any official decision that affects the structure, operations or administration of the business | | | If yes, then a record should be created. This does not intend to replace any business record structures necessary under the laws of the nation where the business is registered |  |  |  |
| 2 | Does the information pertain to any decision based on information from the QMS? | | | If yes, a record is to be created |  |  |  |
| 3 | Does the information pertain to any measurement, assessment, evaluation, audit or other activity that identifies the state of something, the product or the QMS? | | | If yes, then a record is created |  |  |  |
| 4 | Does the information pertain to any substantive change in personnel, assets, facilities, information or activities? | | | If yes, a record is created |  |  |  |
| 5 | Detail the nature of the change, the basis of the change, how it supports an objective, requirement or criteria | | | Each record should clearly describe the past situation, need for change, and the new information |  |  |  |
| 6 | Ensure that the record is annotated with the name, date and authority under which the change was made | | | Each record has a signature and clearly written indication as to the authority that created the record and the date of the record |  |  |  |
| 7 | Records are to be protected so that only those with management authorization and the need to have access to them are granted access | | | Records are secured in the manager responsible for the QMS’ area |  |  |  |
| 8 | Records are protected against unauthorized modification | | | Record books are to include a check by a second manager who is able to vouch for the appropriateness of all records made |  |  |  |
| 9 | Records are protected against unauthorized destruction | | | A copy of records should be retained electronically. These records are to indicate that they are electronic copies and not official versions. |  |  |  |
|  |  | | |  |  |  |  |
| Planned Outcomes and Measurement | | | | |  |  |  |
| *The intent of this procedure is to ensure that information that requires being recorded as a record is identified and that records are protected against unauthorized disclosure, modification or loss, including losses of legibility. This procedure is also to ensure that records are produced and stored in a way that is easily retrievable.* | | | | |  |  |  |

# Appendix 4 -14– Human Resources Consideration

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Name | | **Selection of Human Resources** | | | | | |
| Procedure | | P14 | Links | | p34, 41, 42, 43, 44 | | |
| Scope | | QMS+SVCS |  | |  | | |
| Review | | Annual | This is an administrative cycle | | | | |
| Application | | 1. This applies to circumstances where an individual is called upon to perform functions associated with the QMS 2. This may also be applied to other HR and staffing processes | | | | | |
|  | |  |  | |  | | |
| Step | Details | | | Measurement Criteria | Tracking | | |
| Done | Validated | Date |
| 1 | The specific tasks to be performed are identified | | | The work is to link into a clear objective through a process and contain specific requirements against which the progress of the work can be measured |  |  |  |
| 2 | The specific qualifications to conduct the task are identified | | | The individual must demonstrate relevant certification or training with respect to the objectives to be met and work being done. This should also be supplemented by experience that is both relevant and timely |  |  |  |
| 3 | Verify that the individual has the qualifications | | | Formal documentation from government, training institute, training association or similar body. A point of contact that can verify the individual’s right to hold that certificate must be provided |  |  |  |
| 4 | Ensure that the individual is briefed on management’s intent and goals | | | Management to ensure that the individual is clear on management’s intent, the objectives to be reached, the time and resources available to complete the task and how to resolve potential issues |  |  |  |
| 5 | Ensure that the individual is aware of operational limitations | | | The individual must be aware of any limitations in terms of actions, communications, use of resources or commitment of resources that would conflict with other management intents |  |  |  |
| 6 | Ensure that the individual is aware of statutory, legal, regulatory or similar limitations | | | The individual must be briefed on the legal and statutory restrictions. This may be done once and refreshed periodically for situations where tasks are repeated |  |  |  |
| 7 | Ensure that the individual is aware of international limitations | | | The individual must be aware of limitations communicated by the International Maritime Organization, United Nations, World Customs Organizations or other internationally recognized body with legal authority |  |  |  |
| 8 | Ensure that, if applicable, the individual is aware of limitations set by the company under values and ethics | | | The individual must be made aware of restrictions in terms of ethical conduct in terms of the requirements in the company manual or similar documentation |  |  |  |
| 9 | Have the individual identify that he or she is aware of those limitations and agrees to abide by them | | | This is to be done in writing where the restrictions are clearly identified and the individual signs and dates the document in the presence of higher authority. This may also be done through email with a clear acknowledgement and email thread |  |  |  |
| 10 | Have the individual indicate that they understand the penalty for failing to work within the limitations | | | The individual is to be clearly informed (may be part of the above) of the potential courses of action that could be taken against him or her for failing to adhere to the restrictions communicated and agreed to. Ideally, this will happen with step 9. |  |  |  |
| 11 | Ensure the individual is aware of what personnel are available and the span of authority | | | Ensure that the individual has an understanding of who can be tasked, what conditions apply for tasking, when to task persons, where persons to be tasked can be drawn from and how personnel are assigned work and compensated. |  |  |  |
| 12 | Ensure that the individual is aware of what tools are available and the span of authority on their use | | | Ensure that the individual is a aware of who is authorized to use company tools, what tools are available for use, when they are authorized for use, where they can be used and the sources of any instructions with respect to their use. Also define how the tool’s use contributes to the achievement of the objective. |  |  |  |
| 13 | Ensure that the individual is aware of what facilities or spaces are available and the span of authority for its use | | | Ensure that the individual is aware of what spaces are available, how they are coordinated, restrictions on their use and what other organizations are involved in their operations |  |  |  |
| 14 | Ensure that the individual is aware of what information in terms of restrictions (legal, etc), best practices, guidelines or other information is available | | | The individual is to be made aware of restrictions (if any) put forward by the UN (Law of the Sea), IMO (Safety of Life at Sea), best practices (BMP4, etc). Reinforce that legal and regulatory requirements are mandatory but best practices are flexible in that they are not mandatory |  |  |  |
| 15 | Ensure that the individual is clear on his or her role, responsibility, span of control and chain of command (including when to escalate issues associated with quality and use of resources) | | | The individual is to be able to clearly identify his or her supervising authority and any other pertinent authority by name, position and preferred contact |  |  |  |
| 16 | Once completed, ensure a record is completed regarding all verifications and checks above | | | As per Procedures 12 and 13 |  |  |  |
| 17 | Protect the record as per Procedures 12 and 13 | | | As per Procedure2 12 and 13 |  |  |  |
|  |  | | |  |  |  |  |
| Planned Outcomes and Measurement | | | | |  |  |  |
| *The goal of this process is to identify an individual who has the necessary knowledge, skills, and abilities to undertake tasks.* | | | | |  |  |  |

# Appendix 5 – Client Processes

While Appendix 1 tends to focus on the processes associated with the Quality Management System, Appendix 5 focuses on the processes that interact with the delivery of the service.

The processes described in this Appendix 1re adjusted in accordance with the need to continuously improve the service to the client. This process follows a similar process to the management of the QMS in that objectives are set, processes are described and defined to meet those objectives and are then monitored in order to identify opportunities for improvement. This is arranged in a cycle so that the improvement is continuous.

The processes described in this Appendix include the following:

* Determination of Requirements
* Design and Development Review
* Service Provision
* Communication with the Client
* Care of Measuring Equipment

Where continuous improvement requirements are proposed, the same procedures as used for continuous improvement of the QMS can be used only with different objectives.

## Appendix 5-15 – Determination of Client Requirements

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Name | | **Determination of Client Requirements** | | | | | |
| Procedure | | 15 | Links | p51, p51a, p51b, p51c, p51d, p52, p52a, p52b, p52c, p53c, p58a, p54, p55, p56, p58, p58a, p58b, p58c, p58d, p59, p60a, p60b, p60c, p60d, p72, p72a, p73, p74, | | | |
| Scope | | SVCS |  |  | | | |
| Review | | Annual | This is an administrative cycle | | | | |
| Application | | 1. For the identification of requirements 2. For the reviewing of requirements 3. Determination if the company can meet requirements 4. Ability to link design inputs, outputs and acceptance critera | | | | | |
|  | |  |  | |  | | |
| Step | Details | | | Measurement Criteria | Tracking | | |
| Done | Validated | Date |
| 1 | Have the client clearly identify the objectives of the contract or agreement | | | These must be defined in specific, measurable, achievable, realistic and time constrained terms |  |  |  |
| 2 | Should the client not identify the objectives, then the company shall contact the client to ensure that the objectives are made clear | | | The criteria to be met are the same as those above. |  |  |  |
| 3 | Should the client fail to respond initially, then the company shall use the last previous service and seek to confirm the objectives | | | In the contract documents, the objectives shall be defined in terms of the above but drawn from the last contract where such objectives were clearly expressed. |  |  |  |
| 4 | In cases where the company needs to seek clarification, a request that the client confirm acceptance shall be made | | | The request shall clearly define the objectives and ask the client point of contact to clearly accept that they are acceptable |  |  |  |
| 5 | Break down each objective | | | Describe how each individual objective is linked to each other |  |  |  |
| 6 | For each objective, define the process that would be used to meet that objective | | | Each individual objective should be linked to one process (or additional processes if applicable) |  |  |  |
| 7 | For each process, identify each point at which a decision to proceed is made | | | This is determined at each point where a decision is made to proceed, adjust or stop a process until certain criteria are met |  |  |  |
| 8 | Identify the criteria and requirements that are to be met for each decision | | | This is to be made in terms of clearly measurable (quantity and scalar) |  |  |  |
| 9 | Where such criteria cannot be measured, an acceptable method shall be identified that is measurable and agreed to with the client | | | This is to be made so that the final agreement is in clearly defined and measurable teams |  |  |  |
| 10 | The company shall identify potential restrictions based on Human Rights | | | This is based on the United Nations Universal Declaration of Human Rights and other Company guidance (note 2.6 and 2.6.2) |  |  |  |
| 11 | The company shall identify potential restrictions based upon treatment of Human Rights | | | This is based upon guidance in the corporate documentation above |  |  |  |
| 12 | The company shall identify potential restrictions based upon the Law of the Sea | | | The specific constraints are defined in II through V of the United Nations Convention on the Laws of the Sea |  |  |  |
| 13 | The company shall identify potential restrictions based upon the ISM Code | | | This pertains particularly to the standards of time on watch and the safe manning list |  |  |  |
| 14 | The company shall request, from the client, a list of Coastal states with which to identify applicable national laws | | | For each country where the ship shall enter territorial waters (12 nm), consideration shall be given to coastal state laws |  |  |  |
| 15 | The company shall review its processes to ensure that it does not conflict with specific guidance provided under international convention | | | This is to be validated against current guidance from coastal states and the international requirements where no such coastal state guidance exists with respect to:  --arms movement and transfer  --movement of persons  --immigration requirements  --movement of specific equipment  --movement of food, etc |  |  |  |
| 16 | The company shall conduct a review of processes, criteria, requirements and objectives to ensure that it does not conflict with corporate ethics | | | These ethics shall be as defined in the company documentation (2.5) |  |  |  |
| 17 | Should any of the processes, criteria, requirements and objectives change or vary from previous services or the standard contract, it shall validate the changes with the client | | | In this case, deviations from the standard contract and last contract are to be identified then validated as being suitable |  |  |  |
| 18 | Before the finalization of the contract, the company shall conduct a final check to ensure that it has adequate resources to perform the tasks | | | This includes being able to have personnel available on time and at the specified location having met appropriate requirements |  |  |  |
| 19 | The contract is finalized and brought into force | | | Standard signing |  |  |  |
| 20 | All decisions are compiled and recorded | | | All decisions that pertain to objectives, processes, requirements and criteria are recorded for includion |  |  |  |
|  |  | | |  |  |  |  |
| Planned Outcomes and Measurement | | | | |  |  |  |
| *The company identifies the objectives to be met, defines the processes, requirement and criteria that will be used to meet those requirements, validates that those requirements do not conflict with international, national, human rights, coastal state and flag state requirements. Having defined these requirements, the company then ensures that it can meet the requirements before finalizing the agreement* | | | | |  |  |  |

## Appendix 5-17– Communication with Client

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Name | | **Communications with the Client** | | | | | |
| Procedure | | 17 | Links | p57a, p57b, p57c | | | |
| Scope | | SVCS |  |  | | | |
| Review | | Annual | This is an administrative cycle | | | | |
| Application | | 1. This applies to situations involving situations where the company must communicate with the client. | | | | | |
|  | |  |  | |  | | |
| Step | Details | | | Measurement Criteria | Tracking | | |
| Done | Validated | Date |
| 1 | The specific objective that needs to be communicated about is identified | | | Each objective clearly and uniquely identified, also in terms of its importance |  |  |  |
| 2 | The specific message regarding the objective is identified and drafted | | | The message should be clear with respect to the intent, specific content and desired outcome of the message |  |  |  |
| 3 | The specific message is validated in terms of the intent of the company | | | The message s validated by a second internal party to ensure that it is in line with the intent of the company |  |  |  |
| 4 | If the purpose involves an amendment, the message includes a statement of how the amendment is necessary to improve value | | | The message should clearly identify the quantity, scalar and quality of the improvement |  |  |  |
| 5 | If the purpose involves the handling of an order, then message includes a statement regarding the impact on services if the client fails to provide the necessary documentation | | | The message should clearly define expectations (who, what, when, where, why, and how) and also the impacts if the client does not provide |  |  |  |
| 6 | If the purpose involves an enquiry, the specific enquiry is communicated with an explanation as to the basis of the enquiry and an explanation of the potential impacts associated with failing to respond in time (if appropriate) | | | The message should clearly identify the reason for the enquiry, the specific question, the preferred method of response and the time within which a response is needed |  |  |  |
| 7 | If the purpose is to solicit feedback, the enquiry is made soliciting specific feedback regarding that one issue | | | With the specific request for feedback (issue), the preferred method of response and timeframe are to be identified. All feedback solicited from clients should be handled as a record |  |  |  |
| 8 | The company validates that the information being communicated supports the objectives to be reached | | | The manager responsible for the process involved validates that the message or communication does not have an undue impact on the ability to meet the objective |  |  |  |
| 9 | The company validates that the information being communicated does not conflict with requirements set for the processes involved | | | The manager responsible for the process validates that the communication will not conflict with other processes under other managers |  |  |  |
| 10 | The company communicates the requirement | | | Where possible, a record of the communication is to be kept and aligned with the response provided |  |  |  |
|  |  | | |  |  |  |  |
| Planned Outcomes and Measurement | | | | |  |  |  |
| *This procedure is used to describe how to generate and distribute communications regarding the handling of services and supporting infrastructure, enquiries, contracts, order handling and seeking and receiving feedback* | | | | |  |  |  |

## Appendix 5-18 – Service Provision

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Name | | **Procedure for the Delivery of a Service** | | | | | |
| Procedure | | 18 | Links | Proc 15, p72, p75, p75b, p75c, p75d, p75e, p75f, p76, p77, p78, p79, p80, p96, p97, p99, p100 | | | |
| Scope | | SVCS |  |  | | | |
| Review | | Annual | This is an administrative cycle | | | | |
| Application | | 1. This links to the setting of requirements to ensure traceability 2. Validation of processes 3. Arrangement of reviews, approvals, qualifications, use of procedures, etc 4. Protection and care of External property 5. Requirement to maintain integrity of process 6. Requirement to hold approval under certain conditions 7. Requirement to maintain records | | | | | |
|  | |  |  | |  | | |
| Step | Details | | | Measurement Criteria | Tracking | | |
| Done | Validated | Date |
|  | Objectives are set, processes, requirements and criteria are defined | | | As per Procedure 15 |  |  |  |
|  | Management validates processes | | | Each objective is validated by management in terms of being as agreed upon |  |  |  |
|  | Management validates processes | | | Management reviews processes and validates whether or not they believe it has a reasonably chance of success |  |  |  |
|  | Management communicates the requirement for the review of processes | | | Processes are to be reviewed to ensure that they have a reasonable expectation of meeting objectives at reasonable cost in terms of time and effort |  |  |  |
|  | Management approves the use of equipment | | | The approval defines who, what, when, where, why and how equipment can be used with management support |  |  |  |
|  | Management validates that all personnel are appropriately trained and experienced | | | Based on the objectives, requirements and criteria, persons can demonstrate training, education or experience (or appropriate combination of all) |  |  |  |
|  | Management records that all validations have been made at its level and communicates this to working team | | | The manager responsible clearly states that activities are approved and under what authority |  |  |  |
|  | The Management communicates the need for validation that all requirements are met | | | Based on requirements from Procedure 16 |  |  |  |
|  | Management identifies and communicates any restrictions on the use of external resources | | | Limits are to be clearly defined with a second point at which it is determined that management must approve the use of additional resources |  |  |  |
|  | Management communicates any requirements on the care of external resources | | | Limits are to be clearly defined in terms of a measurement and a scalar |  |  |  |
|  | Management communicates the need to ensure that procedures are followed and progress recorded | | | An individual is assigned by management to ensure that procedures are followed and recorded with all persons ensuring that they maintain contact with the individual |  |  |  |
|  | Management communicates the minimum requirements to be met if the service is to be considered completed satisfactorily | | | This is to be done in terms of the identification of objectives, requirements and criteria to be met at each stage of the process, including the final stage. |  |  |  |
|  | Should the minimum requirements not be met, then the decision is taken to either prevent the use of the service, to take actions defined in para 99, and to revalidate that criteria have been met as per para 100. | | | Paragraphs 99 and 100 provide guidance |  |  |  |
|  | The company communicates the need to maintain records. | | | As per records |  |  |  |
|  |  | | |  |  |  |  |
|  |  | | |  |  |  |  |
| Planned Outcomes and Measurement | | | | |  |  |  |
| *This procedure is intended to provide guidance with respect to the quality checks to be integrated into the delivery of a service.* | | | | |  |  |  |