Quality Management System ISO 9001 Self-assessment checklist

bsi Your partner in progress

Where is your organization on the path to ISO 9001 certification?

In an era of constant change, an agile and proactive culture of quality, when supported by the right technology and skills, will help quality leaders strengthen future readiness. To support fostering this culture, and to help meet the needs and changing expectations of customers, stakeholders, and regulators, organizations are looking to internationally recognized best practice quality management system (QMS), ISO 9001.

Introducing ISO 9001 - Qualiy Management System

Rooted in principles like process optimization, customer-centricity, and ongoing improvement, ISO 9001 offers comprehensive guidance for elevating your business performance. This standard not only streamlines operations but also emphasizes the importance of constantly adapting to meet customer needs, thereby fostering a culture of continuous development and excellence.

The benefits of certification

Independent certification demonstrates your organization's commitment to quality management. By gaining third-party assurance that your QMS meets the requirements of ISO 9001, you can protect and inspire confidence and trust in your organization from employees and external parties.

Certification to Quality Management System ISO 9001 was found to drive superior profitability for a majority of companies, compared to non-certified organizations.[1]

Clauses included in this self-assessment

Clause 4 - Context of the Organization

Clause 5 - Leadership

Clause 6 - Planning

Clause 7 - Support

Clause 8 - Operation

Clause 9 - Performance Evaluation

Clause 10 - Improvement

[1]An Empirical Investigation Into The Impact Of ISO 9001 Certification: A Comparative Study, International Journal Of Business & Management Studies, C.P. Kartha, 2022 https://ijbms.net/assets/files/1644686280.pdf

How the self-assessment works

By filling in the checklist on the next few pages you can gauge what stage of maturity your QMS management system is currently at, and what actions you can take next. No matter where you are in your quality management journey, our range of solutions can help you move forward.

Please fill in the checklists below, each 'yes' counts as one point towards your final score and subsequent maturity range.

Snapshot of our QMS maturity scores

Mature stage

Moderate stage

Early stage

33-47 Points:

Pursue ISO 9001 certification to distinguish your QMS, confirming and demonstrating your industry leading quality practices. Training courses for the continued development of staff will also help you achieve full-scale maturity.

23-32 Points:

Consider a BSI Gap Assessment to align your current practices with future goals, enhancing performance through standards. To achieve maturity, our courses and qualifications should be a key consideration.
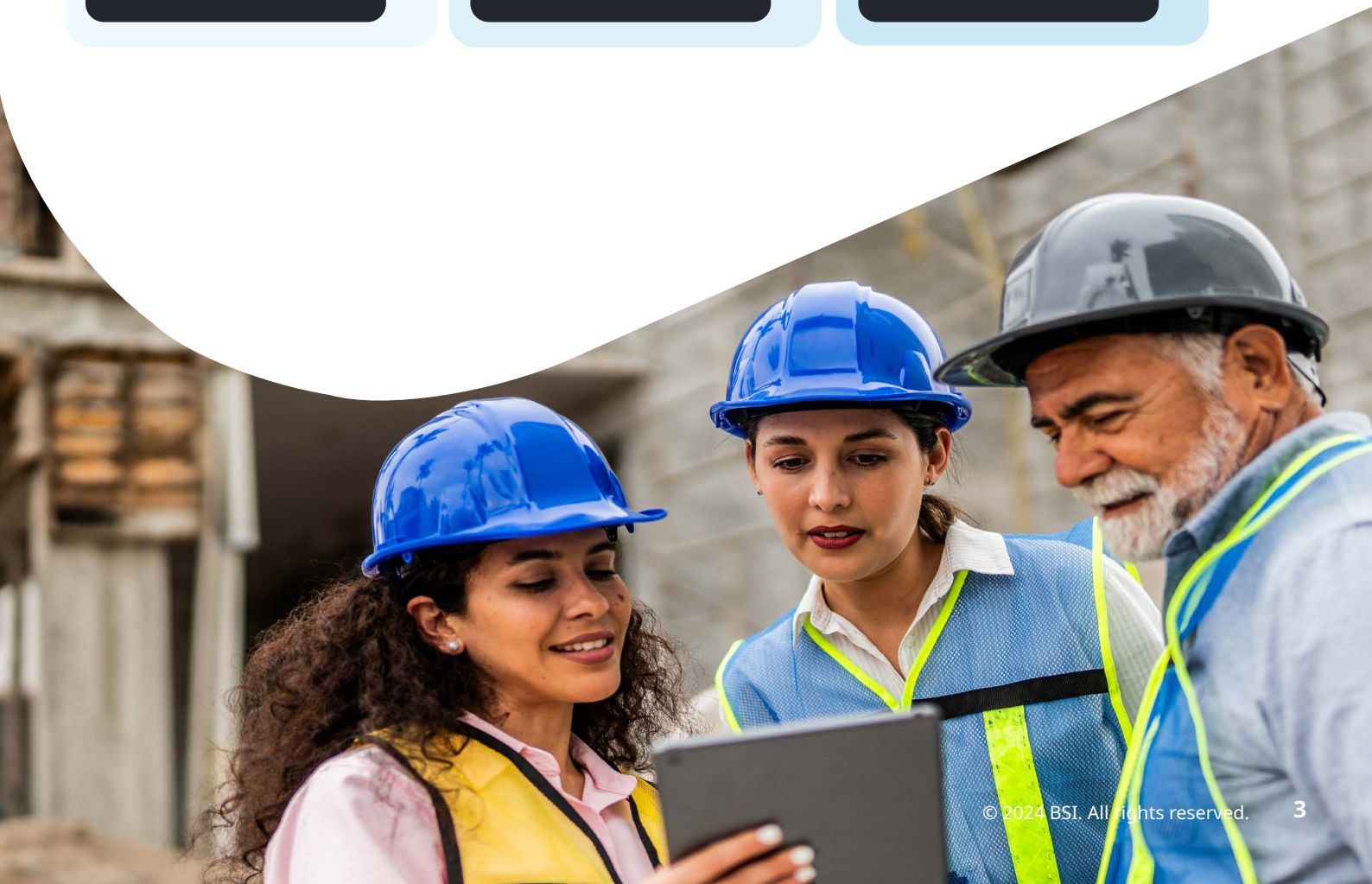
0-22 Points:

Begin with our courses and qualifications to solidify your foundational knowledge and practical skills in managing quality.

Learn more ❯

Learn more ❯

Learn more ❯

Your QMS self-assessment checklist

Clause 4 - Context of the Organization

	Yes	No
1 You have determined the external and internal issues that are relevant to your organization's purpose and its strategic direction those that affect your ability to achieve the intended results of the QMS and whether climate change is a relevant issue?	☐	☐
2 You have a way of reviewing and monitoring these on a regular basis.	☐	☐
3 You have determined the needs and expectations of interested parties that are relevant to the Quality Management System (QMS) and review these on a regular basis.	☐	☐
4 The scope of the QMS has been determined taking into account the external and internal issues, interested parties and your products and services.	☐	☐
5 Your QMS has been established including the processes needed and their sequence and interaction.	☐	☐
6 The criteria for managing the above has been established together with responsibilities, methods, measurements and related performance indicators needed to ensure effective operation and control.	☐	☐

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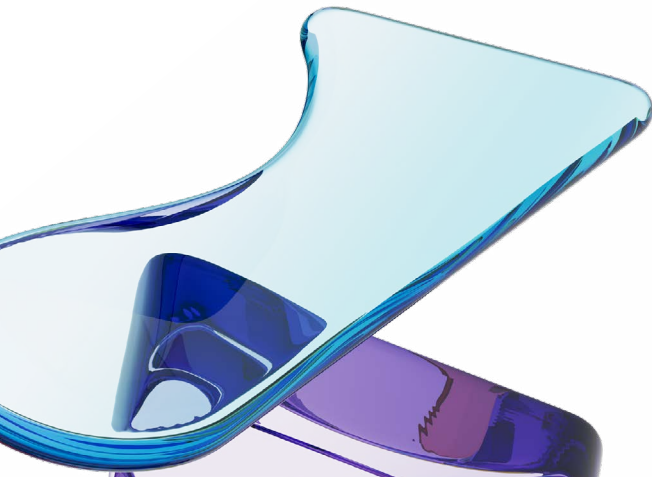
Your QMS self-assessment checklist

Clause 5 - Leadership

		Yes	No
7	Has top management taken accountability for the effectiveness of the QMS?		
8	Have the policy and objectives for the QMS, which are compatible with the context and strategic direction of the organization, been established and communicated?		
9	Have the objectives been established at relevant functional, process, departmental and individual levels with the business?		
10	Have the requirements for the QMS been integrated into the business processes and have management promoted awareness of the process approach and risk based thinking?		
11	Have customer requirements and applicable statutory and regulatory requirements been determined, met and communicated throughout the organization?		
12	Have the risks and opportunities that can affect conformity of products and services and the ability to enhance customer satisfaction been determined and addressed?		
13	Processes have been established for consultation and participation of workers at all applicable levels and functions.		

Continued >

Your QMS self-assessment checklist

Clause 6 - Planning

		Yes	No
14	Have the risks and opportunities that need to be addressed to give assurance that the QMS can achieve its intended result(s) been established?	☐	☐
15	Has your organization planned actions to address these risks and opportunities and integrated them into the system processes?	☐	☐
16	Has your organization established quality objectives at relevant functions, levels and processes?	☐	☐
17	Is there a plan for the determining the need for changes to the QMS and managing their implementation?	☐	☐

Clause 7 - Support

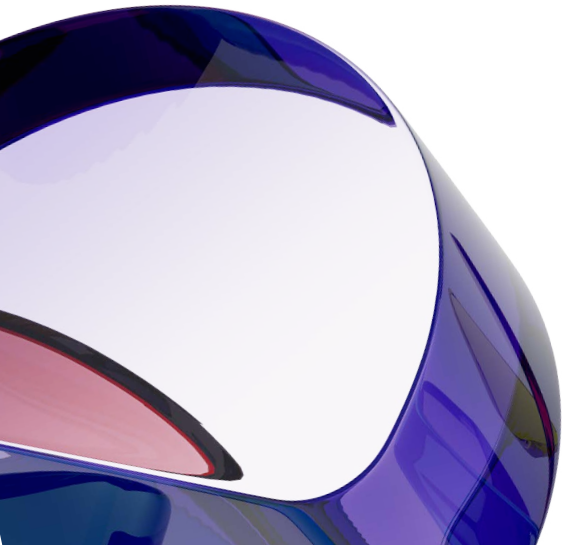|		Yes	No
18	Has your organization determined and provided the resources needed for the establishment, implementation, maintenance and continual improvement of the QMS (including people, infrastructure and environment for the operation of processes)?	☐	☐
19	If monitoring or measuring is used for evidence of conformity of products and services to specified requirements, has your organization determined and provided the resources needed to ensure valid and reliable results?	☐	☐

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Your QMS self-assessment checklist

Clause 7 - Support

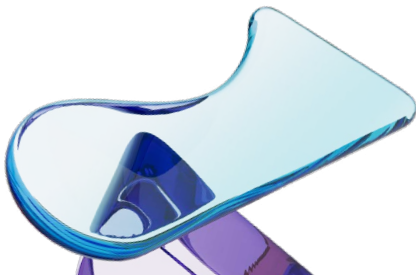|		Yes	No
20	Has your organization determined, provided and maintained the infrastructure necessary for the operation of processes and to achieve conforming products or services?		
21	Has the organization determined the knowledge necessary for the operation of its processes and achievement of conformity of products and services?		
22	Has the organization ensured that those persons who can affect the performance and effectiveness of the QMS are competent on the basis of appropriate education, training, or experience or taken action to ensure that those persons can acquire the necessary competence?		
23	Has the organization ensured that people doing work under their control are aware of the quality policy and objectives, their contribution to these and the implications of not conforming?		
24	Has the organization determined internal and external communications relevant to the QMS?		
25	Has the documented information required by the standard and necessary for the effective implementation and operation of the QMS been established?		

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Your QMS self-assessment checklist

Clause 8 - Operation

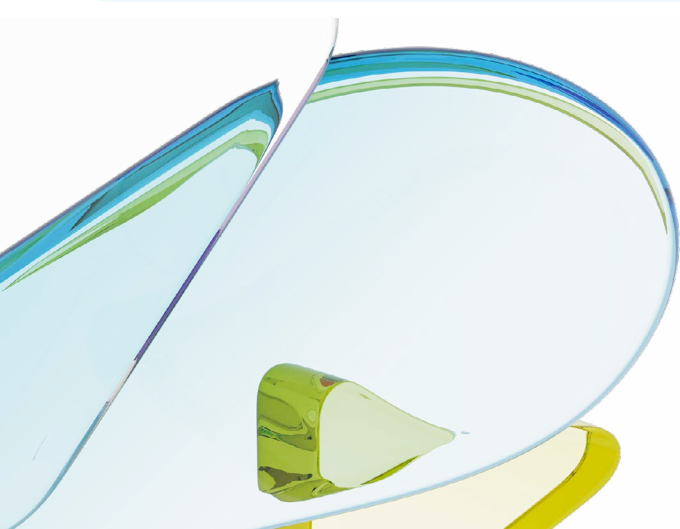|		Yes	No
26	Are there defined processes for the provision of products and services that meet the specified requirements for the products and services?		
27	When changes are planned are they carried out in a controlled way and actions taken to mitigate any adverse effects?		
28	Is there a process for reviewing and communicating with customers in relation to information relating to products and services, enquiries, contracts or order handling?		
29	Is this review conducted prior to the organization's commitment to supply products and services?		
30	If you design and develop products or services, are there processes established and implemented in line with the requirements of the standard?		
31	Do you ensure that externally provided processes, products, and services conform to specified requirements?		
32	Do you have criteria for the evaluation, selection, monitoring of performance and re-evaluation of external providers?		

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Your QMS self-assessment checklist

Clause 8 - Operation

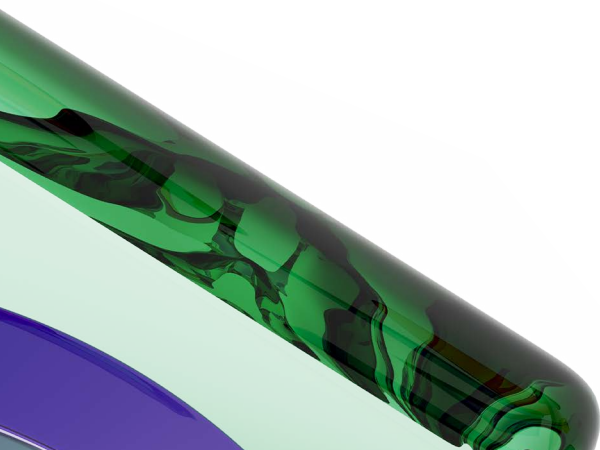|		Yes	No
33	Is the provision of products and services carried out in controlled conditions which include: • the availability of documented information that defines the characteristics of the products to be produced or the services to be provided • the availability of documented information that defines the results to be achieved, • monitoring and measurement activities at appropriate stages to verify that criteria for control of processes or outputs, and • acceptance criteria for products and services, have been met, and ensuring the people carrying out the tasks are competent.	☐	☐
34	Do you have appropriate methods of ensuring identification and traceability of the outputs during production and service provision?	☐	☐
35	Where property belonging to customers or external providers is used in the provision of the products or services, is this controlled effectively?	☐	☐
36	If there is a requirement for post-delivery activities associated with the products and services such as warranty, maintenance services, recycling or final disposal, are these defined and managed?	☐	☐
37	Are any nonconforming outputs managed so as to prevent their unintended use or delivery?	☐	☐

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Your QMS self-assessment checklist

Clause 9 - Performance Evaluation

		Yes	No
38	Has the organization determined what needs to be monitored and measured?		
39	Has the organization determined the methods for monitoring, measurement, analysis and needed evaluation to ensure valid results?		
40	Has it established when the results from monitoring and measurement shall be analyzed and evaluated?		
41	Have methods of monitoring customer perceptions of the degree to which their needs and expectations have been fulfilled been established?		
42	Has the organization established a programme for an internal audit of the QMS?		
43	Has it determined the need or opportunities for improvements within the QMS and how these will be fed into management reviews?		
44	Has an approach to perform management reviews been established and implemented?		

Continued >

Your QMS self-assessment checklist

Clause 10 - Improvement

|	Yes	No
45 My organization has determined what needs to be monitored and measured, and established processes for monitoring, measurement, analysis, and evaluation.	☐	☐
46 Processes have been established, implemented, and maintained for evaluating compliance with legal and other requirements, including retaining documented information of the results.	☐	☐
47 An internal audit program has been established, implemented, and maintained to ensure the OH&S management system conforms to requirements.	☐	☐

Your score

Scored 0-22 points →

Scored 23-32 points →

Scored 33-47 points →
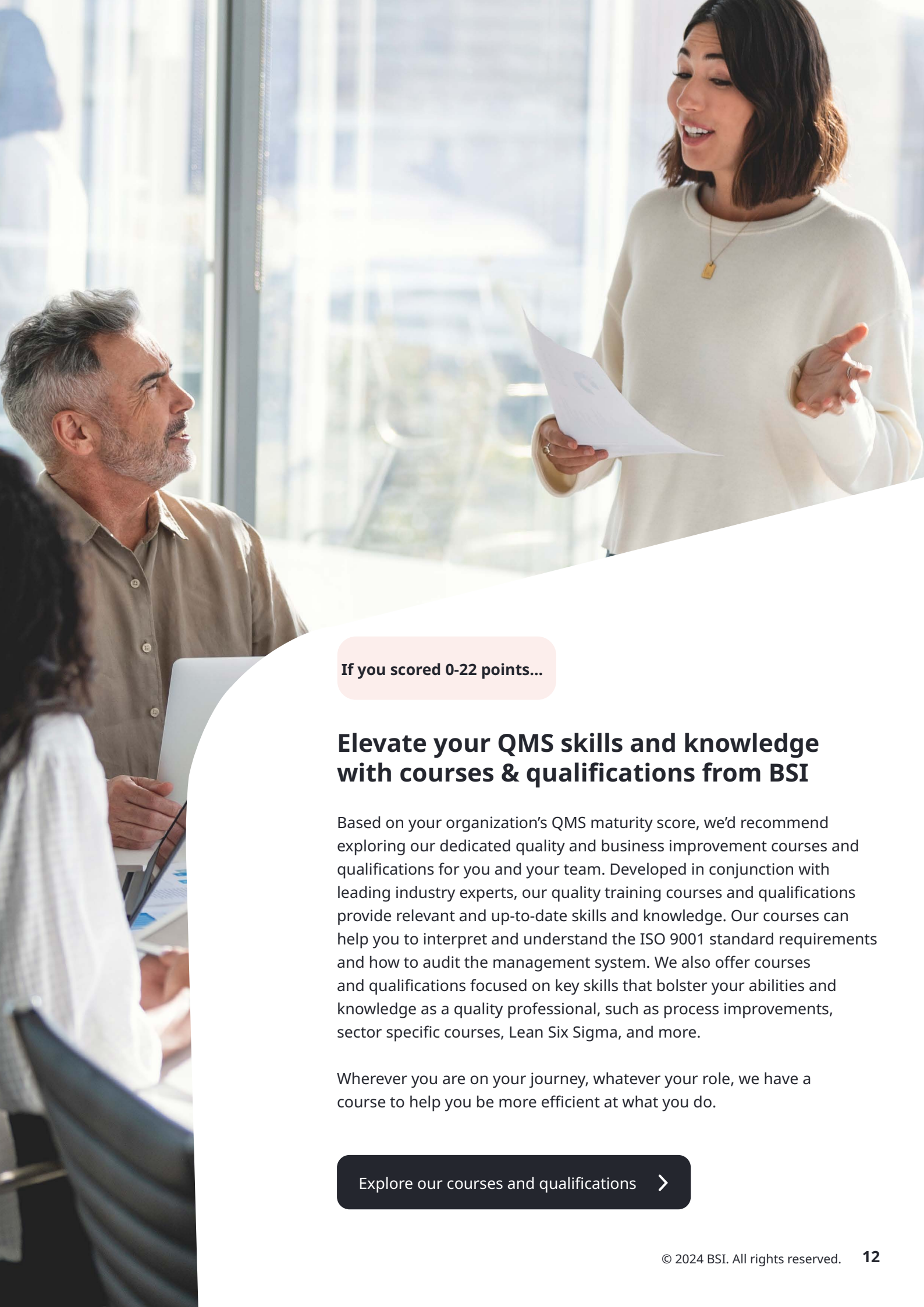
If you scored 0-22 points...

Elevate your QMS skills and knowledge with courses & qualifications from BSI

Based on your organization's QMS maturity score, we'd recommend exploring our dedicated quality and business improvement courses and qualifications for you and your team. Developed in conjunction with leading industry experts, our quality training courses and qualifications provide relevant and up-to-date skills and knowledge. Our courses can help you to interpret and understand the ISO 9001 standard requirements and how to audit the management system. We also offer courses and qualifications focused on key skills that bolster your abilities and knowledge as a quality professional, such as process improvements, sector specific courses, Lean Six Sigma, and more.

Wherever you are on your journey, whatever your role, we have a course to help you be more efficient at what you do.

Explore our courses and qualifications   >

If you scored 23-32 points...

Elevate your quality management system with a BSI Gap Assessment

Based on your organization's maturity score, you may benefit from a Gap Assessment from our expert auditors ahead of pursuing certification.

A Gap Assessment with BSI provides you with a method of assessing your current situation against future goals, pinpointing areas where your existing program does not meet the requirements of ISO 9001. Our auditors are uniquely positioned to help you, thanks to their significant experience and expertise in quality management across many industry sectors. Following your assessment, you'll have information to act upon taking your QMS maturity to the next level, progressing your organization towards achieving ISO 9001 certification.

Visit our website to find out more   ❯

Getting the right skills and knowledge embedded in your organization will enhance your QMS. Explore our courses and qualifications **here**.

If you scored 33-47 points...

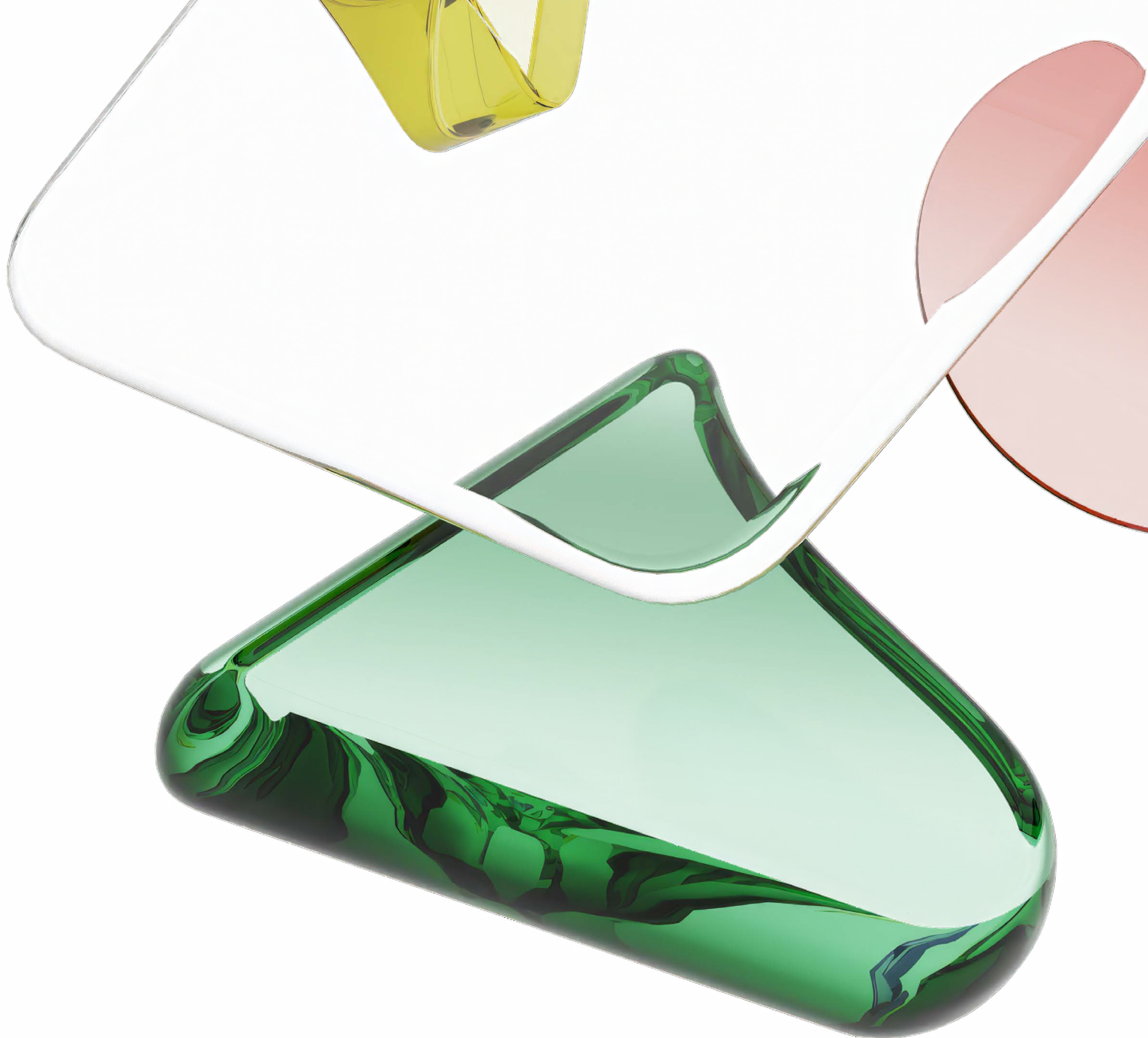## Elevate your QMS with ISO 9001 certification

Based on your organization's maturity score, you may be ready to achieve ISO 9001 Certification. When you certify to ISO 9001 you will join over a million organizations who have benefitted from implementing a quality management system (QMS).

Once you successfully complete the certification audit, BSI awards you with an accredited and internationally recognized certificate. This acknowledges your organization's commitment to customer centricity, risk prevention, innovation and continual improvement inspiring confidence and trust in your organization from employees and external parties.

Certification with BSI comes with the confidence of partnering with an independent, trusted, global organization. Our expert and qualified auditors have a deep knowledge on quality management across industries, so they understand your needs and challenges.

Reach out to our team to get started ❯