



# Quality Management System ISO 9001 Self-assessment checklist

## 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 - Quality 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.<sup>1</sup>

## 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

# 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

### Early stage

#### 0-22 Points:

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

Learn more >

### Moderate stage

#### 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.

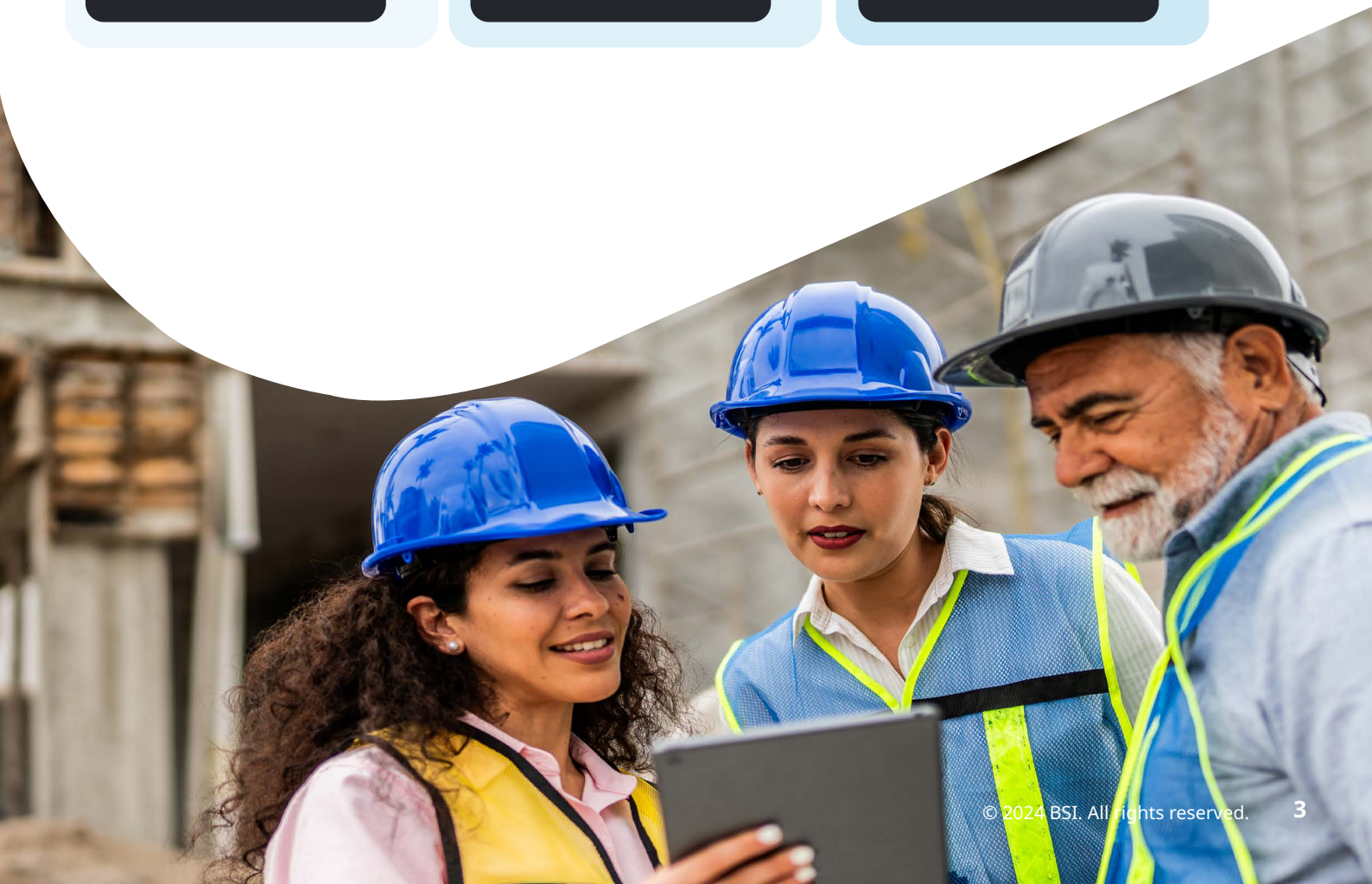
Learn more >

### Mature 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.

Learn more >

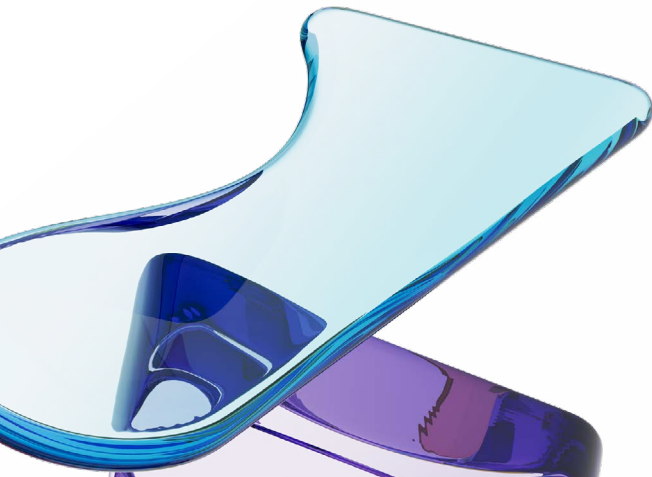


# Your QMS self-assessment checklist

## 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? | <input type="checkbox"/> | <input type="checkbox"/> |
| 2 | You have a way of reviewing and monitoring these on a regular basis.                                                                                                                                                                                        | <input type="checkbox"/> | <input type="checkbox"/> |
| 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.                                                                                          | <input type="checkbox"/> | <input type="checkbox"/> |
| 4 | The scope of the QMS has been determined taking into account the external and internal issues, interested parties and your products and services.                                                                                                           | <input type="checkbox"/> | <input type="checkbox"/> |
| 5 | Your QMS has been established including the processes needed and their sequence and interaction.                                                                                                                                                            | <input type="checkbox"/> | <input type="checkbox"/> |
| 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.                                                         | <input type="checkbox"/> | <input type="checkbox"/> |

Continued >



# Your QMS self-assessment checklist

## Clause 5 - Leadership

|    |                                                                                                                                                                       | Yes                      | No                       |
|----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|--------------------------|
| 7  | Has top management taken accountability for the effectiveness of the QMS?                                                                                             | <input type="checkbox"/> | <input type="checkbox"/> |
| 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?     | <input type="checkbox"/> | <input type="checkbox"/> |
| 9  | Have the objectives been established at relevant functional, process, departmental and individual levels with the business?                                           | <input type="checkbox"/> | <input type="checkbox"/> |
| 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? | <input type="checkbox"/> | <input type="checkbox"/> |
| 11 | Have customer requirements and applicable statutory and regulatory requirements been determined, met and communicated throughout the organization?                    | <input type="checkbox"/> | <input type="checkbox"/> |
| 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?  | <input type="checkbox"/> | <input type="checkbox"/> |
| 13 | Processes have been established for consultation and participation of workers at all applicable levels and functions.                                                 | <input type="checkbox"/> | <input type="checkbox"/> |



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# 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? | <input type="checkbox"/> | <input type="checkbox"/> |
| 15 | Has your organization planned actions to address these risks and opportunities and integrated them into the system processes?                  | <input type="checkbox"/> | <input type="checkbox"/> |
| 16 | Has your organization established quality objectives at relevant functions, levels and processes?                                              | <input type="checkbox"/> | <input type="checkbox"/> |
| 17 | Is there a plan for the determining the need for changes to the QMS and managing their implementation?                                         | <input type="checkbox"/> | <input type="checkbox"/> |

## Clause 7 - Support

|    |                                                                                                                                                                                                                                               |                          |                          |
|----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|--------------------------|
| 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)? | <input type="checkbox"/> | <input type="checkbox"/> |
| 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?                    | <input type="checkbox"/> | <input type="checkbox"/> |

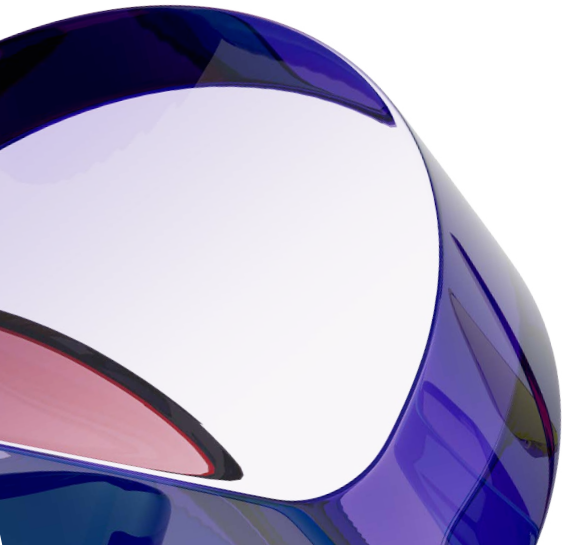
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# Your QMS self-assessment checklist

## 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?                                                                                                       | <input type="checkbox"/> | <input type="checkbox"/> |
| 21 | Has the organization determined the knowledge necessary for the operation of its processes and achievement of conformity of products and services?                                                                                                                          | <input type="checkbox"/> | <input type="checkbox"/> |
| 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? | <input type="checkbox"/> | <input type="checkbox"/> |
| 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?                                                                                 | <input type="checkbox"/> | <input type="checkbox"/> |
| 24 | Has the organization determined internal and external communications relevant to the QMS?                                                                                                                                                                                   | <input type="checkbox"/> | <input type="checkbox"/> |
| 25 | Has the documented information required by the standard and necessary for the effective implementation and operation of the QMS been established?                                                                                                                           | <input type="checkbox"/> | <input type="checkbox"/> |

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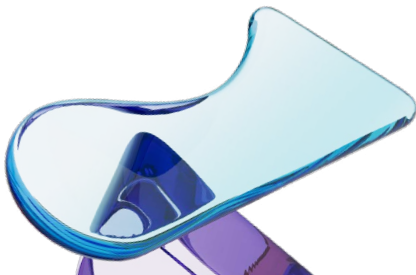


# Your QMS self-assessment checklist

## 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?                              | <input type="checkbox"/> | <input type="checkbox"/> |
| 27 | When changes are planned are they carried out in a controlled way and actions taken to mitigate any adverse effects?                                                    | <input type="checkbox"/> | <input type="checkbox"/> |
| 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? | <input type="checkbox"/> | <input type="checkbox"/> |
| 29 | Is this review conducted prior to the organization's commitment to supply products and services?                                                                        | <input type="checkbox"/> | <input type="checkbox"/> |
| 30 | If you design and develop products or services, are there processes established and implemented in line with the requirements of the standard?                          | <input type="checkbox"/> | <input type="checkbox"/> |
| 31 | Do you ensure that externally provided processes, products, and services conform to specified requirements?                                                             | <input type="checkbox"/> | <input type="checkbox"/> |
| 32 | Do you have criteria for the evaluation, selection, monitoring of performance and re-evaluation of external providers?                                                  | <input type="checkbox"/> | <input type="checkbox"/> |

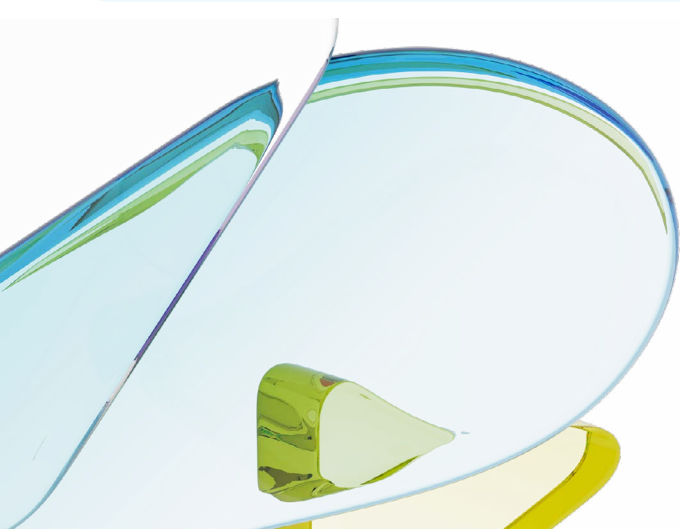
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# Your QMS self-assessment checklist

## Clause 8 - Operation

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | Yes                      | No                       |
|----|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|--------------------------|
| 33 | Is the provision of products and services carried out in controlled conditions which include: <ul style="list-style-type: none"><li>the availability of documented information that defines the characteristics of the products to be produced or the services to be provided</li><li>the availability of documented information that defines the results to be achieved,</li><li>monitoring and measurement activities at appropriate stages to verify that criteria for control of processes or outputs, and</li><li>acceptance criteria for products and services, have been met, and ensuring the people carrying out the tasks are competent.</li></ul> | <input type="checkbox"/> | <input type="checkbox"/> |
| 34 | Do you have appropriate methods of ensuring identification and traceability of the outputs during production and service provision?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | <input type="checkbox"/> | <input type="checkbox"/> |
| 35 | Where property belonging to customers or external providers is used in the provision of the products or services, is this controlled effectively?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | <input type="checkbox"/> | <input type="checkbox"/> |
| 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?                                                                                                                                                                                                                                                                                                                                                                                                                                                         | <input type="checkbox"/> | <input type="checkbox"/> |
| 37 | Are any nonconforming outputs managed so as to prevent their unintended use or delivery?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | <input type="checkbox"/> | <input type="checkbox"/> |

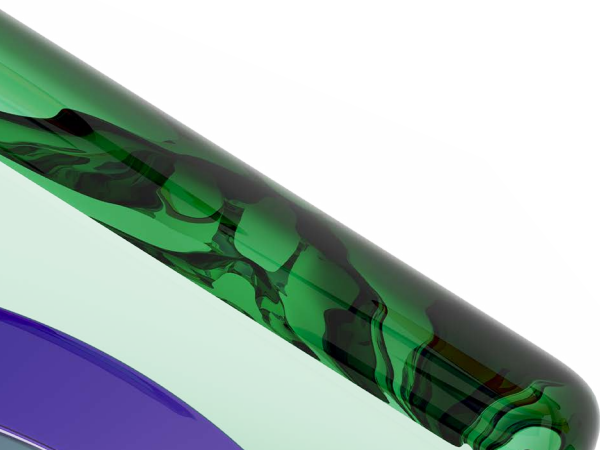


# Your QMS self-assessment checklist

## Clause 9 - Performance Evaluation

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

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.                             | <input type="checkbox"/> | <input type="checkbox"/> |
| 46 | Processes have been established, implemented, and maintained for evaluating compliance with legal and other requirements, including retaining documented information of the results. | <input type="checkbox"/> | <input type="checkbox"/> |
| 47 | An internal audit program has been established, implemented, and maintained to ensure the OH&S management system conforms to requirements.                                           | <input type="checkbox"/> | <input type="checkbox"/> |

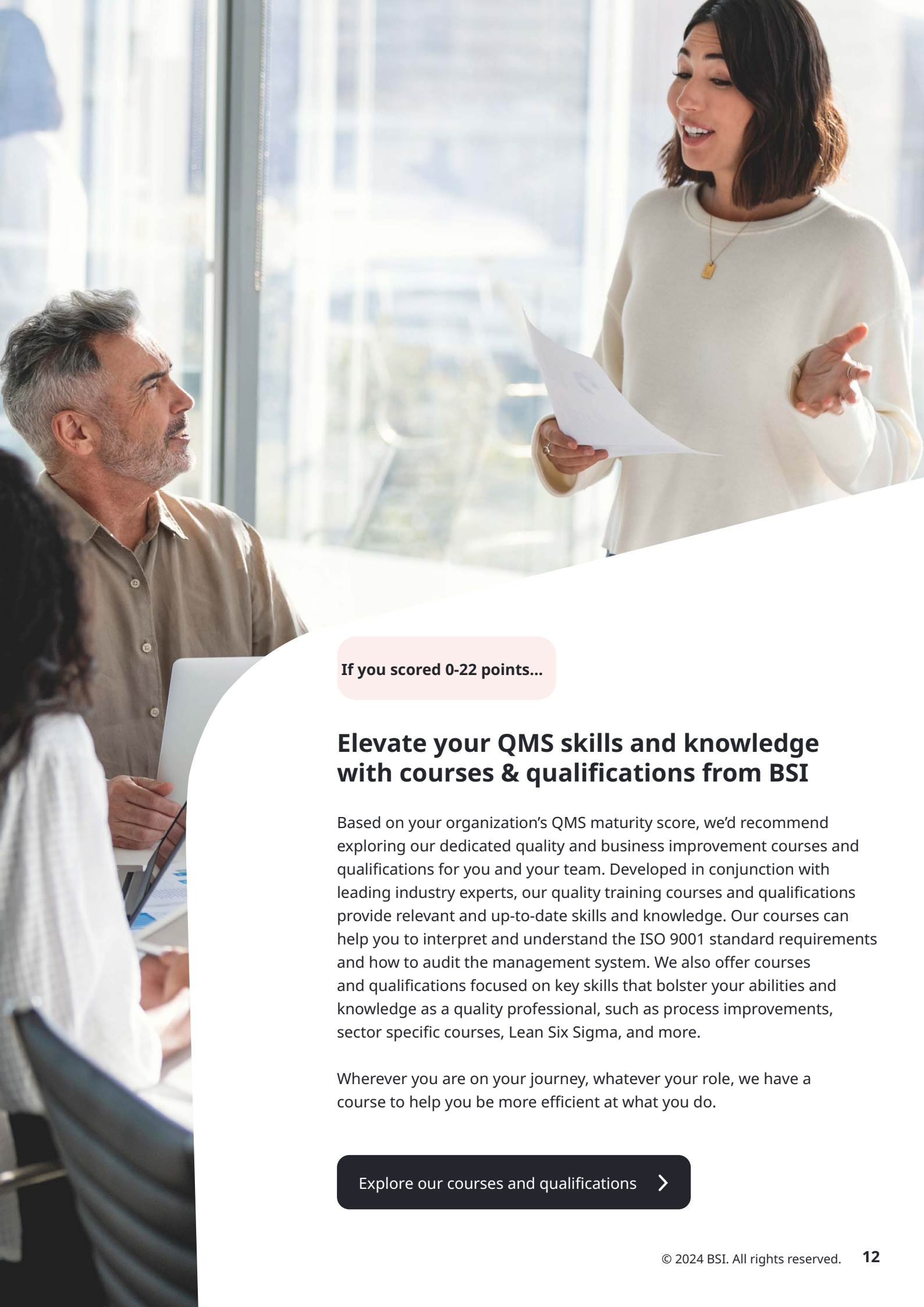
Your score

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

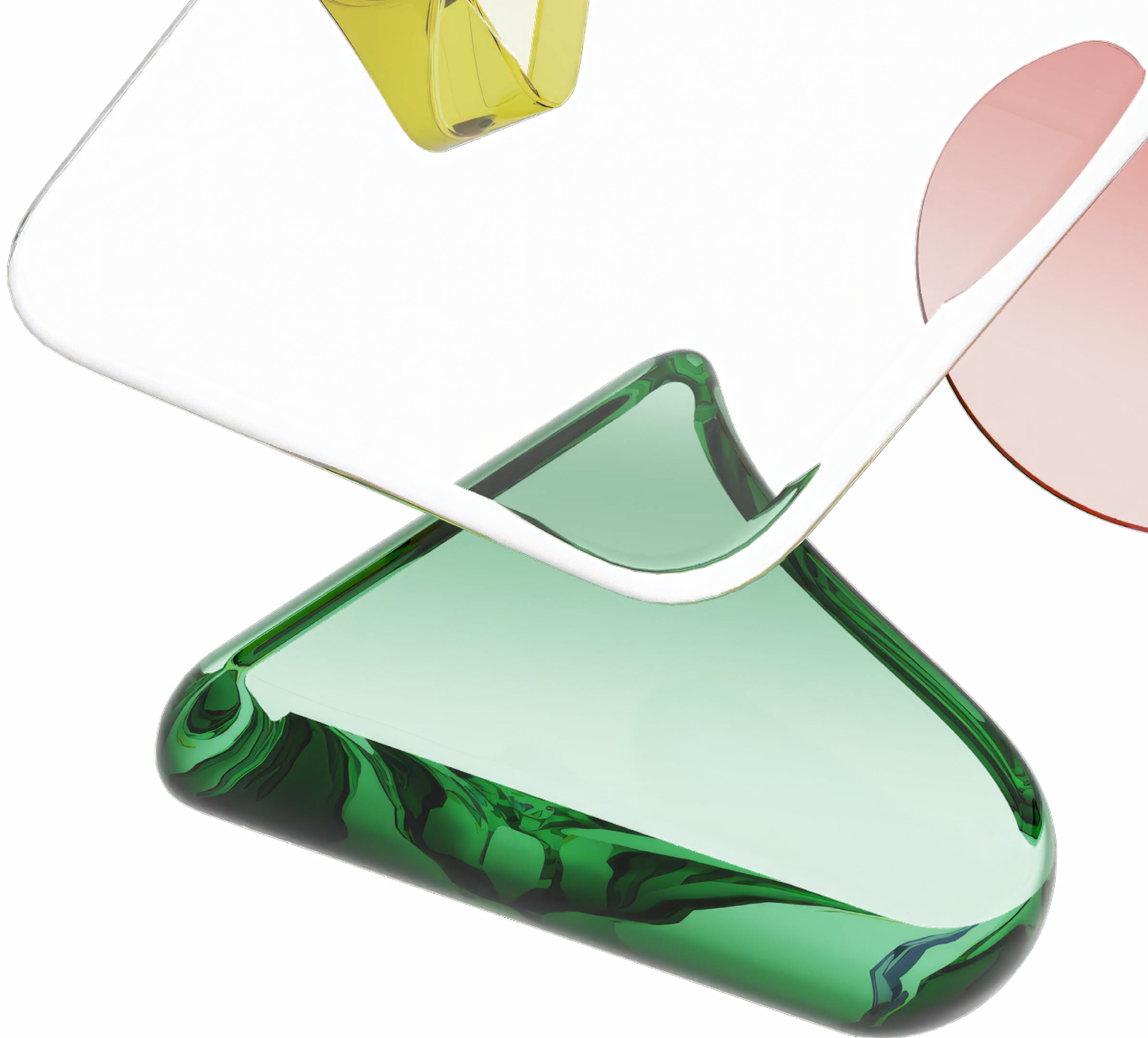
Based on your organization's maturity score, you may be ready to achieve ISO 9001 Certification. When you certify to ISO 9001 you will join over a million organizations who have benefitted from implementing a quality management system (QMS).

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





Your partner  
in progress