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|  | **PLAIN ENGLISH IMS AUDIT TOOL** |  |
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|  | **INTRODUCTION TO INTEGRATED MANAGEMENT SYSTEMS** | |
|  | Almost all management standards expect organizations to establish  management systems. These include at least the following:  ▪ ISO 9001 Quality Management Standard  ▪ ISO 14001 Environmental Management Standard  ▪ ISO 45001 Occupational Health and Safety Standard  ▪ ISO 22301 Business Continuity Management Standard  ▪ ISO 27001 Information Security Management Standard  ▪ ISO 13485 Quality Management Standard for Medical Devices  ▪ IATF 16949 Quality Management Standard for Automotive Sector  ▪ AS9100 Quality Management Standard for Aerospace and Defense  As a result, organizations have been forced to implement multiple systems that usually overlap and often contradict one another. This has created much confusion and a lot of inefficiency. Because of this, industry participants have been trying to  find a way to create a single system that would allow organizations to accommodate all current and future management system standards. Even ISO has recognized that this is an issue that should be addressed. That’s why they developed *Annex SL*: *Harmonized approach for management system standards*. *Annex SL* establishes *“identical clause numbers with the same sequence, clause titles, text, common  terms and core definitions”* for all management system standards.  While Annex SL does make the problem a bit easier to solve, it doesn’t go far enough. It doesn’t tell us exactly what an *Integrated Management System* is and what it looks like. That’s where we come in. But before we introduce our approach, we need to clarify a few things.  For us, a *Management System (MS)* is a network of interrelated and interacting  elements that organizations use to carry out activities and continuously improve. Management systems facilitate improvement because they are iterative: they repeat themselves. Improvement is possible because all aspects of the system are continuously measured, monitored, audited, analyzed, and reviewed. That's how organizations improve and that's why management systems are both popular and powerful.  Management system *elements* include policies, procedures, programs, processes, practices, projects, plans, objectives, rules, roles, responsibilities, relationships, contracts, agreements, documents, records, methods, techniques, technologies, tools, equipment, as well as all the resources that support these elements.  *Integrated Management Systems* are generic *Management Systems* that accommodate all current and future management system standards and allow organizations to organize their activities in accordance with all of these standards. | For more information, see <https://www.iso.org/home.html>  See: [Annex SL Appendix 2.pdf](https://isotc.iso.org/livelink/livelink/fetch/-8921878/8921901/16347356/16347818/2021-05_Annex_SL_Appendix_2.pdf) *Annex SL* is now called *Annex L*.  This means that even if your *Management System* is imperfect and incomplete, it will inevitably improve over time.  When you look at the *elements* that make up a *Management System*, you'll notice many familiar items. That's because most mature organization's already have most of these elements. This should make it easier to organize your activities  into a single *Integrated Management System*. |
|  | **INTRODUCTION TO OUR AUDIT METHODOLOGY** |  |
|  | For each audit question, three answers are possible: YES, NO, or N/A  (to save space we use Y, N, X). A YES answer means you’re in compliance with  the management requirements that make up our IMS Framework, a NO answer  means you’re not in compliance, while an N/A answer means that a question is  not applicable in your case. NO answers identify gaps that exist between our Framework and your organization’s practices and processes while N/A  answers point to items that may be ignored or excluded.  Once you’ve completed all seven questionnaires, study your NO answers, your  observations, and our questions and then use this information to formulate  actions or steps that need to be taken in order to improve your organization’s management practices and processes. Use this information to develop your  own unique *Integrated* *Management System Improvement Plan*.  Before you start your audit, please fill out the form entitled *Profile of Audit Project* (Part II, below). First record the name of the organization being audited, its address, and a brief description of the actual scope or focus of the audit. Also record the  names of your audit team members and your start date. Once you’ve completed  the audit, use the same form to record when the audit was finished, who  reviewed the audit and when, and any review comments. | We’ve also provided a mini audit checklist (Part III) that  you can use to carry out a quick audit or to decide what general areas need more detailed attention. If you’re not clear about what one of the items is talking about, simply go to our more detailed audit tool and study the relevant section. |
|  | Diagram  Description automatically generated | The diagram on the left provides a quick overview of our audit tool. |

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|  | **OUTLINE OF PLAIN ENGLISH IMS AUDIT TOOL** | |
| **1. ASSESS IMS OPERATIONS  MANAGEMENT PROCESS** | 1.1 Assess how well operational resources are being used  1.2 Assess how well operational functions are being managed  1.3 Assess how well operational activities are being carried out |
| **2. ASSESS IMS MAINTENANCE  MANAGEMENT PROCESS** | 2.1 Assess how well resources are used to maintain system  2.2 Assess how well management system is being maintained |
| **3. ASSESS IMS MEASUREMENT  MANAGEMENT PROCESS** | 3.1 Assess how well measurement activities are planned  3.2 Assess how well measurement methods are performing  3.3 Assess how well resources are used to measure system  3.4 Assess how well management system is being measured  3.5 Assess how well measurement resources are being controlled |
| **4. ASSESS IMS MONITORING  MANAGEMENT PROCESS** | 4.1 Assess how well monitoring activities are planned  4.2 Assess how well monitoring methods are performing  4.3 Assess how well resources are used to monitor system  4.4 Assess how well management system is being monitored  4.5 Assess how well monitoring resources are being controlled |
| **5. ASSESS IMS CONTROL  MANAGEMENT PROCESS** | 5.1 Assess how well control activities are being planned  5.2 Assess how well controls are designed and developed  5.3 Assess how well resources are used to control system  5.4 Assess how well management system is controlled |
| **6. ASSESS IMS EVALUATION  MANAGEMENT PROCESS** | 6.1 Assess how well evaluation activities are being planned  6.2 Assess how well resources are used to evaluate system  6.3 Assess how well management system is being evaluated  6.4 Assess how well evaluation activities are being recorded |
| **7. ASSESS IMS CHANGE  MANAGEMENT PROCESS** | 7.1 Assess how well systemic change is being managed  7.2 Assess how well change opportunities are identified  7.3 Assess how well systemic changes are being planned  7.4 Assess how well management system is being changed  7.5 Assess how well changes are reviewed and evaluated |
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| **IMS AUDIT SCOPE** | |
| **NAME OF ORGANIZATION BEING AUDITED** | **ADDRESS OF ORGANIZATION BEING AUDITED** |
|  |  |
|  |  |
| **SCOPE OF YOUR ORGANIZATION’S IMS AUDIT** | |
|  | |
|  | |
|  | |
| **AUDITORS** | |
| **AUDIT MANAGER** | **AUDIT STAFF** |
|  |  |
|  |  |
| **AUDIT SCHEDULE** | |
| **AUDIT START DATE** | **AUDIT FINISH DATE** |
|  |  |
| **AUDIT REVIEWER** | |
| **AUDIT REVIEWED BY** | **DATE AUDIT REVIEWED** |
|  |  |
| **AUDIT REVIEW COMMENTS** | |
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|  | **1. ASSESS IMS OPERATIONS MANAGEMENT PROCESS** | | | DO | DN | NA |  |
|  |  | **1.1 Assess how well operational resources are being used** | | DO | DN | NA |  |
|  |  | | 1.1.1 Assess the expertise used to operate your system | DO | DN | NA |  |
|  |  | | 1.1.2 Assess the technology used to operate your system | DO | DN | NA |  |
|  |  | | 1.1.3 Assess the infrastructure used to operate your system | DO | DN | NA |  |
|  |  | **1.2 Assess how well operational functions are being managed** | | DO | DN | NA |  |
|  |  | | 1.2.1 Assess how well system managers address risks and opportunities | DO | DN | NA |  |
|  |  | | 1.2.2 Assess how well system managers implement policies and procedures | DO | DN | NA |  |
|  |  | | 1.2.3 Assess how well system managers specify output requirements and capabilities | DO | DN | NA |  |
|  |  | | 1.2.4 Assess how well system managers communicate with system customers | DO | DN | NA |  |
|  |  | | 1.2.5 Assess how well system managers evaluate and select their external providers | DO | DN | NA |  |
|  |  | | 1.2.6 Assess how well system managers supervise and control system activities | DO | DN | NA |  |
|  |  | | 1.2.7 Assess how well system managers measure conformance and performance | DO | DN | NA |  |
|  |  | | 1.2.8 Assess how well system managers meet expectations and requirements | DO | DN | NA |  |
|  |  | | 1.2.9 Assess how well system managers understand their responsibilities | DO | DN | NA |  |
|  |  | **1.3 Assess how well operational activities are being carried out** | | DO | DN | NA |  |
|  |  | | 1.3.1 Assess how well personnel focus on system customers | DO | DN | NA |  |
|  |  | | 1.3.2 Assess how well personnel handle risks and opportunities | DO | DN | NA |  |
|  |  | | 1.3.3 Assess how well personnel implement policies and procedures | DO | DN | NA |  |
|  |  | | 1.3.4 Assess how well personnel comply with all relevant requirements | DO | DN | NA |  |
|  |  | | 1.3.5 Assess how well personnel take appropriate action when necessary | DO | DN | NA |  |
|  |  | | 1.3.6 Assess how well personnel control system documents and records | DO | DN | NA |  |
|  | **2. ASSESS IMS MAINTENANCE MANAGEMENT PROCESS** | | | DO | DN | NA |  |
|  |  | **2.1 Assess how well resources are used to maintain system** | | DO | DN | NA |  |
|  |  | | 2.1.1 Assess the expertise used to maintain your system | DO | DN | NA |  |
|  |  | | 2.1.2 Assess the technology used to maintain your system | DO | DN | NA |  |
|  |  | **2.2 Assess how well management system is being maintained** | | DO | DN | NA |  |
|  |  | | 2.2.1 Assess the methods used to maintain your documents | DO | DN | NA |  |
|  |  | | 2.2.2 Assess the methods used to maintain your records | DO | DN | NA |  |
|  |  | | 2.2.3 Assess the methods used to maintain your property | DO | DN | NA |  |
|  |  | | 2.2.4 Assess the methods used to maintain your procedures | DO | DN | NA |  |
|  |  | | 2.2.5 Assess the methods used to maintain your competence | DO | DN | NA |  |
|  |  | | 2.2.6 Assess the methods used to maintain your technologies | DO | DN | NA |  |
|  |  | | 2.2.7 Assess the methods used to maintain your infrastructure | DO | DN | NA |  |
|  |  | | 2.2.8 Assess the methods used to maintain your communications | DO | DN | NA |  |
|  | **3. ASSESS IMS MEASUREMENT MANAGEMENT PROCESS** | | | DO | DN | NA |  |
|  |  | **3.1 Assess how well measurement activities are planned** | | DO | DN | NA |  |
|  |  | | 3.1.1 Assess how well measurement resources are targeted | DO | DN | NA |  |
|  |  | | 3.1.2 Assess how well measurement methods are designed | DO | DN | NA |  |
|  |  | | 3.1.3 Assess how well measurement duties are distributed | DO | DN | NA |  |
|  |  | **3.2 Assess how well measurement methods are performing** | | DO | DN | NA |  |
|  |  | | 3.2.1 Assess how effective measurement methods are | DO | DN | NA |  |
|  |  | | 3.2.2 Assess how accurate measurement methods are | DO | DN | NA |  |
|  |  | **3.3 Assess how well resources are used to measure system** | | DO | DN | NA |  |
|  |  | | 3.3.1 Assess the expertise used to measure your system | DO | DN | NA |  |
|  |  | | 3.3.2 Assess the technology used to measure your system | DO | DN | NA |  |
|  |  | | 3.3.3 Assess the infrastructure used to measure your system | DO | DN | NA |  |
|  |  | **3.4 Assess how well management system is being measured** | | DO | DN | NA |  |
|  |  | | 3.4.1 Assess the methods used to measure system elements | DO | DN | NA |  |
|  |  | | 3.4.2 Assess the methods used to measure system performance | DO | DN | NA |  |
|  |  | **3.5 Assess how well measurement resources are being controlled** | | DO | DN | NA |  |
|  |  | | 3.5.1 Assess how well measurement documents are being controlled | DO | DN | NA |  |
|  |  | | 3.5.2 Assess how well measurement technologies are being controlled | DO | DN | NA |  |
|  |  | | 3.5.3 Assess how well measurement records are being controlled | DO | DN | NA |  |
|  | **4. ASSESS IMS MONITORING MANAGEMENT PROCESS** | | | DO | DN | NA |  |
|  |  | **4.1 Assess how well monitoring activities are planned** | | DO | DN | NA |  |
|  |  | | 4.1.1 Assess how well monitoring resources are targeted | DO | DN | NA |  |
|  |  | | 4.1.2 Assess how well monitoring methods are designed | DO | DN | NA |  |
|  |  | | 4.1.3 Assess how well monitoring duties are distributed | DO | DN | NA |  |
|  |  | **4.2 Assess how well monitoring methods are performing** | | DO | DN | NA |  |
|  |  | | 4.2.1 Assess how effective monitoring methods are | DO | DN | NA |  |
|  |  | | 4.2.2 Assess how accurate monitoring methods are | DO | DN | NA |  |
|  |  | **4.3 Assess how well resources are used to monitor system** | | DO | DN | NA |  |
|  |  | | 4.3.1 Assess the expertise used to monitor your system | DO | DN | NA |  |
|  |  | | 4.3.2 Assess the technology used to monitor your system | DO | DN | NA |  |
|  |  | | 4.3.3 Assess the infrastructure used to monitor your system | DO | DN | NA |  |
|  |  | **4.4 Assess how well management system is being monitored** | | DO | DN | NA |  |
|  |  | | 4.4.1 Assess the methods used to monitor system activities | DO | DN | NA |  |
|  |  | | 4.4.2 Assess the methods used to monitor system outputs | DO | DN | NA |  |
|  |  | | 4.4.3 Assess the methods used to monitor system inputs | DO | DN | NA |  |
|  |  | | 4.4.4 Assess the methods used to monitor system documents | DO | DN | NA |  |
|  |  | | 4.4.5 Assess the methods used to monitor system records | DO | DN | NA |  |
|  |  | | 4.4.6 Assess the methods used to monitor system property | DO | DN | NA |  |
|  |  | | 4.4.7 Assess the methods used to monitor system participants | DO | DN | NA |  |
|  |  | | 4.4.8 Assess the methods used to monitor system technologies | DO | DN | NA |  |
|  |  | | 4.4.9 Assess the methods used to monitor system environment | DO | DN | NA |  |
|  |  | | 4.4.10 Assess the methods used to monitor system infrastructure | DO | DN | NA |  |
|  |  | **4.5 Assess how well monitoring resources are being controlled** | | DO | DN | NA |  |
|  |  | | 4.5.1 Assess how well monitoring technologies are being controlled | DO | DN | NA |  |
|  |  | | 4.5.2 Assess how well monitoring records are being controlled | DO | DN | NA |  |
|  | **5. ASSESS IMS CONTROL MANAGEMENT PROCESS** | | | DO | DN | NA |  |
|  |  | **5.1 Assess how well control activities are being planned** | | DO | DN | NA |  |
|  |  | | 5.1.1 Assess the steps taken to plan how outputs are controlled | DO | DN | NA |  |
|  |  | | 5.1.2 Assess the steps taken to plan how inputs are controlled | DO | DN | NA |  |
|  |  | | 5.1.3 Assess the steps taken to plan how activities are controlled | DO | DN | NA |  |
|  |  | | 5.1.4 Assess the steps taken to plan how providers are controlled | DO | DN | NA |  |
|  |  | **5.2 Assess how well controls are designed and developed** | | DO | DN | NA |  |
|  |  | | 5.2.1 Assess the steps taken to develop ways of controlling elements | DO | DN | NA |  |
|  |  | | 5.2.2 Assess the steps taken to develop ways of controlling providers | DO | DN | NA |  |
|  |  | **5.3 Assess how well resources are used to control system** | | DO | DN | NA |  |
|  |  | | 5.3.1 Assess the human resources used to control system | DO | DN | NA |  |
|  |  | | 5.3.2 Assess the technical resources used to control system | DO | DN | NA |  |
|  |  | **5.4 Assess how well management system is controlled** | | DO | DN | NA |  |
|  |  | | 5.4.1 Assess the methods used to control system inputs | DO | DN | NA |  |
|  |  | | 5.4.2 Assess the methods used to control system outputs | DO | DN | NA |  |
|  |  | | 5.4.3 Assess the methods used to control system activities | DO | DN | NA |  |
|  |  | | 5.4.4 Assess the methods used to control system technology | DO | DN | NA |  |
|  |  | | 5.4.5 Assess the methods used to control system performance | DO | DN | NA |  |
|  |  | | 5.4.6 Assess the methods used to control system documentation | DO | DN | NA |  |
|  | **6. ASSESS IMS EVALUATION MANAGEMENT PROCESS** | | | DO | DN | NA |  |
|  |  | **6.1 Assess how well evaluation activities are being planned** | | DO | DN | NA |  |
|  |  | | 6.1.1 Assess how well audit activities are being planned | DO | DN | NA |  |
|  |  | | 6.1.2 Assess how well analytical activities are being planned | DO | DN | NA |  |
|  |  | | 6.1.3 Assess how well review activities are being planned | DO | DN | NA |  |
|  |  | **6.2 Assess how well resources are used to evaluate system** | | DO | DN | NA |  |
|  |  | | 6.2.1 Assess the personnel used to evaluate your system | DO | DN | NA |  |
|  |  | | 6.2.2 Assess the knowledge used to evaluate your system | DO | DN | NA |  |
|  |  | | 6.2.3 Assess the technology used to evaluate your system | DO | DN | NA |  |
|  |  | | 6.2.4 Assess the infrastructure used to evaluate your system | DO | DN | NA |  |
|  |  | **6.3 Assess how well management system is being evaluated** | | DO | DN | NA |  |
|  |  | | 6.3.1 Assess the methods used to audit your system | DO | DN | NA |  |
|  |  | | 6.3.2 Assess the methods used to analyze your system | DO | DN | NA |  |
|  |  | | 6.3.3 Assess the methods used to review your system | DO | DN | NA |  |
|  |  | **6.4 Assess how well evaluation activities are being recorded** | | DO | DN | NA |  |
|  |  | | 6.4.1 Assess how well system audits are being recorded | DO | DN | NA |  |
|  |  | | 6.4.2 Assess how well system analyses are being recorded | DO | DN | NA |  |
|  |  | | 6.4.3 Assess how well system reviews are being recorded | DO | DN | NA |  |
|  | **7. ASSESS IMS CHANGE MANAGEMENT PROCESS** | | | DO | DN | NA |  |
|  |  | **7.1 Assess how well systemic change is being managed** | | DO | DN | NA |  |
|  |  | | 7.1.1 Assess the methods used to manage systemic corrections | DO | DN | NA |  |
|  |  | | 7.1.2 Assess the methods used to manage systemic improvements | DO | DN | NA |  |
|  |  | **7.2 Assess how well change opportunities are identified** | | DO | DN | NA |  |
|  |  | | 7.2.1 Assess the methods used to discover opportunities to change system | DO | DN | NA |  |
|  |  | | 7.2.2 Assess the methods used to confirm that changes are actually needed | DO | DN | NA |  |
|  |  | | 7.2.3 Assess the methods used to approve opportunities to change system | DO | DN | NA |  |
|  |  | **7.3 Assess how well systemic changes are being planned** | | DO | DN | NA |  |
|  |  | | 7.3.1 Assess the methods used to plan systemic corrections | DO | DN | NA |  |
|  |  | | 7.3.2 Assess the methods used to plan systemic improvements | DO | DN | NA |  |
|  |  | **7.4 Assess how well management system is being changed** | | DO | DN | NA |  |
|  |  | | 7.4.1 Assess the methods used to correct management system | DO | DN | NA |  |
|  |  | | 7.4.2 Assess the methods used to improve management system | DO | DN | NA |  |
|  |  | **7.5 Assess how well changes are reviewed and evaluated** | | DO | DN | NA |  |
|  |  | | 7.5.1 Assess the methods used to review and evaluate corrections | DO | DN | NA |  |
|  |  | | 7.5.2 Assess the methods used to review and evaluate improvements | DO | DN | NA |  |
|  | | | | | | | |
|  | | | | | | | |
| Consider each audit task and select a response. If you haven’t done it and it needs to be done, select DO. If you’ve already done it, select DN. If the task is not applicable in your situation and you can justify and explain why it should be ignored or excluded, select NA.  In the spaces below, please enter the name and location of your organization, who completed this page, who reviewed it, and the dates. | | | | | | | |

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| 1.1 Assess how well operational resources are being used | | | | | | | | | | |
| 1.1.1 Assess the expertise used to operate your system | | | | | | | | | | |
|  | Do you provide the personnel needed to manage system operations? | | | | | | Y | N | X |  |
|  |  | Do you acquire the knowledge that managers need to manage  system operations and achieve conformity of outputs? | | | | | Y | N | X |  |
|  |  | | Do you consider internal sources of knowledge about managing systems? | | | | Y | N | X |  |
|  |  | | Do you consider external sources of knowledge about managing systems? | | | | Y | N | X |  |
|  |  | Do you share the knowledge that managers need to manage  system operations and achieve conformity of outputs? | | | | | Y | N | X |  |
|  |  | | Do you deliver suitable system management training  and awareness programmes to system managers? | | | | Y | N | X |  |
|  | Do you provide the personnel needed to operate your system? | | | | | | Y | N | X |  |
|  |  | Do you acquire the knowledge that personnel need to  operate your system and achieve conformity of outputs? | | | | | Y | N | X |  |
|  |  | | Do you consider internal sources of knowledge about system operations? | | | | Y | N | X |  |
|  |  | | Do you consider external sources of knowledge about system operations? | | | | Y | N | X |  |
|  |  | Do you share the knowledge that personnel need to  operate your system and achieve conformity of outputs? | | | | | Y | N | X |  |
|  |  | | Do you deliver system training and awareness  programmes to support system operations? | | | | Y | N | X |  |
| 1.1.2 Assess the technology used to operate your system | | | | | | | | | | |
|  | Do you provide the software needed to operate your integrated management system? | | | | | | Y | N | X |  |
|  |  | Do you provide software needed to support operations and achieve conformity of outputs? | | | | | Y | N | X |  |
|  | Do you provide the hardware needed to operate your integrated management system? | | | | | | Y | N | X |  |
|  |  | Do you provide hardware needed to support operations and achieve conformity of outputs? | | | | | Y | N | X |  |
| 1.1.3 Assess the infrastructure used to operate your system | | | | | | | | | | |
|  | Do you provide the infrastructure needed to support  system operations and achieve conformity of outputs? | | | | | | Y | N | X |  |
|  |  | Do you provide the physical infrastructure needed to support  system operations and achieve conformity of outputs? | | | | | Y | N | X |  |
|  |  | Do you provide the electrical infrastructure needed to support  system operations and achieve conformity of outputs? | | | | | Y | N | X |  |
|  |  | Do you provide the transportation infrastructure needed to support  system operations and achieve conformity of outputs? | | | | | Y | N | X |  |
|  |  | Do you provide the communications infrastructure needed to support  system operations and achieve conformity of outputs? | | | | | Y | N | X |  |
| 1.2 Assess how well operational functions are being managed | | | | | | | | | | |
| 1.2.1 Assess how well system managers address risks and opportunities | | | | | | | | | | |
|  | Do system managers identify risks and opportunities? | | | | | | Y | N | X |  |
|  |  | Do system managers identify the operational risks  that could affect their ability to meet requirements? | | | | | Y | N | X |  |
|  |  | Do system managers identify the operational opportunities  that could improve their ability to meet requirements? | | | | | Y | N | X |  |
|  | Do system managers address risks and opportunities? | | | | | | Y | N | X |  |
|  |  | Do system managers manage and control risks? | | | | | Y | N | X |  |
|  |  | | Do system managers consider all of their risk treatment options? | | | | Y | N | X |  |
|  |  | | | Do system managers consider avoiding or reducing their risk? | | | Y | N | X |  |
|  |  | | | Do system managers consider eliminating the source of their risk? | | | Y | N | X |  |
|  |  | | | Do system managers consider retaining the risk or sharing it with others? | | | Y | N | X |  |
|  |  | | | Do system managers consider modifying the probabilities or consequences? | | | Y | N | X |  |
|  |  | | Do system managers define actions to address risks and opportunities? | | | | Y | N | X |  |
|  |  | | | Do system managers define actions that they can take to address the risks that  could weaken the performance of their system or disrupt or damage operations? | | | Y | N | X |  |
|  |  | | | | Do system managers consider the potential impact on outputs when  they define the actions they plan to take to address system risks? | | Y | N | X |  |
|  |  | | | | | Do system managers figure out how they're going to implement these  actions and how they're going to make them part of the system? | Y | N | X |  |
|  |  | | | | | Do system managers figure out how they're going to evaluate the  effectiveness of the actions they take to address system risks? | Y | N | X |  |
|  |  | Do system managers exploit system improvement opportunities? | | | | | Y | N | X |  |
|  |  | | Do managers define actions to exploit system improvement opportunities? | | | | Y | N | X |  |
| 1.2.2 Assess how well system managers implement policies and procedures | | | | | | | | | | |
|  | Do system managers implement system policies? | | | | | | Y | N | X |  |
|  |  | Do system managers implement business policies? | | | | | Y | N | X |  |
|  |  | Do system managers implement quality policies? | | | | | Y | N | X |  |
|  |  | Do system managers implement safety policies? | | | | | Y | N | X |  |
|  |  | Do system managers implement privacy policies? | | | | | Y | N | X |  |
|  |  | Do system managers implement security policies? | | | | | Y | N | X |  |
|  |  | Do system managers implement continuity policies? | | | | | Y | N | X |  |
|  |  | Do system managers implement environmental policies? | | | | | Y | N | X |  |
|  | Do system managers implement system procedures? | | | | | | Y | N | X |  |
|  |  | Do system managers implement business procedures? | | | | | Y | N | X |  |
|  |  | Do system managers implement quality procedures? | | | | | Y | N | X |  |
|  |  | Do system managers implement safety procedures? | | | | | Y | N | X |  |
|  |  | Do system managers implement privacy procedures? | | | | | Y | N | X |  |
|  |  | Do system managers implement security procedures? | | | | | Y | N | X |  |
|  |  | Do system managers implement continuity procedures? | | | | | Y | N | X |  |
|  |  | Do system managers implement environmental procedures? | | | | | Y | N | X |  |
|  | Do system managers implement system plans? | | | | | | Y | N | X |  |
|  |  | Do system managers implement business plans? | | | | | Y | N | X |  |
|  |  | Do system managers implement quality plans? | | | | | Y | N | X |  |
|  |  | Do system managers implement safety plans? | | | | | Y | N | X |  |
|  |  | Do system managers implement privacy plans? | | | | | Y | N | X |  |
|  |  | Do system managers implement security plans? | | | | | Y | N | X |  |
|  |  | Do system managers implement continuity plans? | | | | | Y | N | X |  |
|  |  | Do system managers implement environmental plans? | | | | | Y | N | X |  |
| 1.2.3 Assess how well system managers specify output requirements and capabilities | | | | | | | | | | |
|  | Do system managers determine requirements for outputs offered to customers? | | | | | | Y | N | X |  |
|  |  | Do system managers determine statutory and regulatory requirements for outputs? | | | | | Y | N | X |  |
|  |  | Do system managers determine your organization's own requirements for outputs? | | | | | Y | N | X |  |
|  |  | Do system managers determine any additional “special requirements” for outputs? | | | | | Y | N | X |  |
|  | Do system managers review output requirements before accepting orders? | | | | | | Y | N | X |  |
|  |  | Do managers review requirements before agreeing to supply outputs to customers? | | | | | Y | N | X |  |
|  |  | | Do system managers coordinate reviews with other functions within your organization? | | | | Y | N | X |  |
|  |  | | | Do system managers review all documented requirements before accepting orders? | | | Y | N | X |  |
|  |  | | | | Do system managers review output requirements specified by your system’s customers? | | Y | N | X |  |
|  |  | | | | | Do system managers review delivery and post-delivery requirements before proceeding? | Y | N | X |  |
|  |  | | | | Do system managers review output requirements specified by regulatory bodies? | | Y | N | X |  |
|  |  | | | | Do system managers review output requirements specified by interested parties? | | Y | N | X |  |
|  |  | | | | Do system managers review output requirements specified by your organization? | | Y | N | X |  |
|  |  | | | Do system managers review all undocumented requirements before accepting orders? | | | Y | N | X |  |
|  | Do system managers clarify differences between original proposals and final orders? | | | | | | Y | N | X |  |
|  |  | Do system managers review orders and contractual requirements that were modified? | | | | | Y | N | X |  |
|  |  | | Do system managers resolve all differences between original proposals and final orders? | | | | Y | N | X |  |
|  | Do system managers confirm that they can meet output requirements? | | | | | | Y | N | X |  |
|  |  | Do system managers confirm that they can meet undocumented  customer requirements before making a commitment to supply outputs? | | | | | Y | N | X |  |
|  | Do system managers document the review of output requirements? | | | | | | Y | N | X |  |
|  |  | Do system managers document the results of output requirement reviews? | | | | | Y | N | X |  |
|  |  | | Do system managers retain documents that record results of their reviews? | | | | Y | N | X |  |
|  |  | | Do system managers control documents that record results of their reviews? | | | | Y | N | X |  |
|  |  | Do system managers document any new or changed output requirements? | | | | | Y | N | X |  |
|  |  | | Do system managers retain documents that record new or changed requirements? | | | | Y | N | X |  |
|  |  | | Do system managers control documents that record new or changed requirements? | | | | Y | N | X |  |
|  | Do system managers amend documents when output requirements change? | | | | | | Y | N | X |  |
|  |  | Do system managers control documents that record changes in output requirements? | | | | | Y | N | X |  |
| 1.2.4 Assess how well system managers communicate with system customers | | | | | | | | | | |
|  | Do system managers provide information to customers? | | | | | | Y | N | X |  |
|  |  | Do system managers share information about outputs? | | | | | Y | N | X |  |
|  | Do system managers obtain information from customers? | | | | | | Y | N | X |  |
|  |  | Do system managers obtain information about customer orders and contracts? | | | | | Y | N | X |  |
|  |  | | Do system managers receive information about changes to orders and contracts? | | | | Y | N | X |  |
|  |  | Do system managers obtain information about system outputs? | | | | | Y | N | X |  |
|  |  | | Do system managers gather customer feedback about system outputs? | | | | Y | N | X |  |
|  |  | | Do system managers gather complaints about system outputs? | | | | Y | N | X |  |
|  |  | Do system managers obtain information about property supplied by customers? | | | | | Y | N | X |  |
|  |  | | Do system managers manage and control property supplied by customers? | | | | Y | N | X |  |
| 1.2.5 Assess how well system managers evaluate and select their external providers | | | | | | | | | | |
|  | Do system managers accept responsibility for  externally provided processes, products, and services? | | | | | | Y | N | X |  |
|  |  | Do system managers accept responsibility for conformity  of external processes, products, and services? | | | | | Y | N | X |  |
|  | Do system managers identify risks related to the  external provision of processes, products, and services? | | | | | | Y | N | X |  |
|  |  | Do system managers identify risks related to the selection  and use of external providers and external sources? | | | | | Y | N | X |  |
|  | Do system managers define data and criteria to  manage external process, product, and service providers? | | | | | | Y | N | X |  |
|  |  | Do system managers use data and criteria to evaluate  external process, product, and service providers? | | | | | Y | N | X |  |
|  |  | Do system managers use data and criteria to select  external process, product, and service providers? | | | | | Y | N | X |  |
|  | Do system managers specify what they expect  from external process, product, and service providers? | | | | | | Y | N | X |  |
|  |  | Do system managers identify external process requirements? | | | | | Y | N | X |  |
|  |  | | Do system managers identify external process approval requirements? | | | | Y | N | X |  |
|  |  | Do system managers identify product requirements? | | | | | Y | N | X |  |
|  |  | | Do system managers identify external product acceptance requirements? | | | | Y | N | X |  |
|  |  | | Do system managers identify external product approval requirements? | | | | Y | N | X |  |
|  |  | | Do system managers identify external product release requirements? | | | | Y | N | X |  |
|  |  | Do system managers identify service requirements? | | | | | Y | N | X |  |
|  |  | | Do system managers identify external service acceptance requirements? | | | | Y | N | X |  |
|  |  | | Do system managers identify external service approval requirements? | | | | Y | N | X |  |
|  |  | | Do system managers identify external service release requirements? | | | | Y | N | X |  |
|  |  | Do system managers identify equipment requirements? | | | | | Y | N | X |  |
|  |  | | Do system managers identify external equipment approval requirements? | | | | Y | N | X |  |
|  |  | Do system managers identify “special requirements”? | | | | | Y | N | X |  |
|  |  | | Do system managers identify “critical items” and “key characteristics”? | | | | Y | N | X |  |
|  |  | Do system managers identify information requirements? | | | | | Y | N | X |  |
|  |  | | Do system managers identify technical data and information requirements? | | | | Y | N | X |  |
|  |  | Do system managers identify procedural requirements? | | | | | Y | N | X |  |
|  |  | | Do system managers identify any work practices that providers need to follow? | | | | Y | N | X |  |
|  |  | | Do system managers identify any work instructions that providers need to follow? | | | | Y | N | X |  |
|  |  | Do system managers identify methodological requirements? | | | | | Y | N | X |  |
|  |  | | Do system managers identify how external methods are approved? | | | | Y | N | X |  |
|  |  | Do system managers identify interaction requirements? | | | | | Y | N | X |  |
|  |  | | Do system managers identify how external providers interact with system? | | | | Y | N | X |  |
|  |  | Do system managers identify notification requirements? | | | | | Y | N | X |  |
|  |  | | Do system managers specify supply chain notification requirements? | | | | Y | N | X |  |
|  |  | | | Do system managers ask external providers to notify them when changes are planned? | | | Y | N | X |  |
|  |  | | | Do system managers get approval whenever important changes are being considered? | | | Y | N | X |  |
|  |  | | Do system managers specify nonconformance notification requirements? | | | | Y | N | X |  |
|  |  | | | Do system managers specify nonconformance approval and disposition requirements? | | | Y | N | X |  |
|  |  | Do system managers identify design and development requirements? | | | | | Y | N | X |  |
|  |  | | Do system managers specify design and development control requirements? | | | | Y | N | X |  |
|  |  | Do system managers identify verification and validation requirements? | | | | | Y | N | X |  |
|  |  | | Do system managers identify verification and validation activities to be done externally? | | | | Y | N | X |  |
|  |  | Do system managers identify production requirements? | | | | | Y | N | X |  |
|  |  | | Do system managers specify production verification requirements? | | | | Y | N | X |  |
|  |  | Do system managers identify test and inspection requirements? | | | | | Y | N | X |  |
|  |  | Do system managers identify part and component requirements? | | | | | Y | N | X |  |
|  |  | Do system managers identify outsourcing requirements? | | | | | Y | N | X |  |
|  |  | Do system managers identify supply chain requirements? | | | | | Y | N | X |  |
|  |  | Do system managers identify external staff awareness requirements? | | | | | Y | N | X |  |
|  |  | Do system managers identify external competence requirements? | | | | | Y | N | X |  |
|  |  | Do system managers identify monitoring and control requirements? | | | | | Y | N | X |  |
|  |  | Do system managers identify quality management requirements? | | | | | Y | N | X |  |
|  |  | Do system managers identify documentation requirements? | | | | | Y | N | X |  |
| 1.2.6 Assess how well system managers supervise and control system activities | | | | | | | | | | |
|  | Do system managers verify that resources can produce required results? | | | | | | Y | N | X |  |
|  |  | Do system managers validate resources that will be used to operate system? | | | | | Y | N | X |  |
|  |  | | Do system managers validate tools before they are used to operate system? | | | | Y | N | X |  |
|  |  | | Do system managers validate equipment before it is used to operate system? | | | | Y | N | X |  |
|  |  | | Do system managers validate software before it is used to operate system? | | | | Y | N | X |  |
|  |  | Do system managers validate resources that will be used to automate system? | | | | | Y | N | X |  |
|  |  | | Do system managers validate tools before they are used to automate system? | | | | Y | N | X |  |
|  |  | | Do system managers validate equipment before it is used to automate system? | | | | Y | N | X |  |
|  |  | | Do system managers validate software before it is used to automate system? | | | | Y | N | X |  |
|  |  | Do system managers validate resources that will be used to control system? | | | | | Y | N | X |  |
|  |  | | Do system managers validate tools before they are used to control system? | | | | Y | N | X |  |
|  |  | | Do system managers validate equipment before it is used to control system? | | | | Y | N | X |  |
|  |  | | Do system managers validate software before it is used to control system? | | | | Y | N | X |  |
|  |  | Do system managers validate resources that will be used to monitor system? | | | | | Y | N | X |  |
|  |  | | Do system managers validate tools before they are used to monitor system? | | | | Y | N | X |  |
|  |  | | Do system managers validate equipment before it is used to monitor system? | | | | Y | N | X |  |
|  |  | | Do system managers validate software before it is used to monitor system? | | | | Y | N | X |  |
|  |  | Do system managers validate resources that will be used to measure system? | | | | | Y | N | X |  |
|  |  | | Do system managers validate tools before they are used to measure system? | | | | Y | N | X |  |
|  |  | | Do system managers validate equipment before it is used to measure system? | | | | Y | N | X |  |
|  |  | | Do system managers validate software before it is used to measure system? | | | | Y | N | X |  |
|  | Do system managers supervise and control all integrated system personnel? | | | | | | Y | N | X |  |
|  |  | Do system managers plan and control all relevant work transfer activities? | | | | | Y | N | X |  |
|  |  | | Do system managers ensure that risks are managed and requirements continue to be met? | | | | Y | N | X |  |
|  |  | | | Do system managers plan how they're going to manage and control the transfer of work? | | | Y | N | X |  |
|  | Do system managers control system documents and record keeping? | | | | | | Y | N | X |  |
|  |  | Do system managers ensure that documents and records are properly reviewed and approved? | | | | | Y | N | X |  |
| 1.2.7 Assess how well system managers measure conformance and performance | | | | | | | | | | |
|  | Do system managers measure system performance and conformance? | | | | | | Y | N | X |  |
|  | Do system managers measure output performance and conformance? | | | | | | Y | N | X |  |
|  |  | Do system managers measure output delivery performance and conformance? | | | | | Y | N | X |  |
|  |  | | Do system managers measure post-delivery performance and conformance? | | | | Y | N | X |  |
| 1.2.8 Assess how well system managers meet expectations and requirements | | | | | | | | | | |
|  | Do system managers ensure that legal expectations and requirements are being met? | | | | | | Y | N | X |  |
|  | Do system managers ensure that safety expectations and requirements are being met? | | | | | | Y | N | X |  |
|  | Do system managers ensure that privacy expectations and requirements are being met? | | | | | | Y | N | X |  |
|  | Do system managers ensure that quality expectations and requirements are being met? | | | | | | Y | N | X |  |
|  | Do system managers ensure that security expectations and requirements are being met? | | | | | | Y | N | X |  |
|  | Do system managers ensure that business expectations and requirements are being met? | | | | | | Y | N | X |  |
|  | Do system managers ensure that customer expectations and requirements are being met? | | | | | | Y | N | X |  |
| 1.2.9 Assess how well system managers understand their responsibilities | | | | | | | | | | |
|  | Do system managers ensure that system produces intended outputs? | | | | | | Y | N | X |  |
|  |  | Do system managers preserve outputs during system operations? | | | | | Y | N | X |  |
|  |  | | Do system managers figure out how to preserve outputs during system operations? | | | | Y | N | X |  |
|  |  | | | Do system managers consider using suitable identification methods to preserve outputs? | | | Y | N | X |  |
|  |  | | | Do system managers consider using suitable packaging methods to preserve outputs? | | | Y | N | X |  |
|  |  | | | Do system managers consider using suitable handling methods to preserve outputs? | | | Y | N | X |  |
|  |  | | | Do system managers consider using suitable storage methods to preserve outputs? | | | Y | N | X |  |
|  |  | | | Do system managers consider using suitable transmission methods to preserve outputs? | | | Y | N | X |  |
|  |  | | | Do system managers consider using suitable transportation methods to preserve outputs? | | | Y | N | X |  |
|  |  | | Do system managers preserve outputs in accordance with official requirements? | | | | Y | N | X |  |
|  |  | | | Do system managers preserve outputs by establishing cleaning and sanitization practices? | | | Y | N | X |  |
|  |  | | | Do system managers preserve outputs by establishing arrangements to control foreign objects? | | | Y | N | X |  |
|  |  | | | Do system managers preserve outputs by establishing handling methods and storage facilities? | | | Y | N | X |  |
|  |  | | | Do system managers preserve outputs by establishing marking methods and labeling practices? | | | Y | N | X |  |
|  |  | | | Do system managers preserve outputs by establishing shelf life controls and by rotating stock? | | | Y | N | X |  |
|  | Do system managers establish controlled conditions for output delivery? | | | | | | Y | N | X |  |
|  |  | Do system managers use documented information to control output delivery activities? | | | | | Y | N | X |  |
|  |  | Do system managers use suitable monitoring and measurement resources to control delivery? | | | | | Y | N | X |  |
|  |  | Do system managers use a suitable system environment to control output delivery system? | | | | | Y | N | X |  |
|  |  | Do system managers use competent qualified personnel to control output delivery activities? | | | | | Y | N | X |  |
|  | Do system managers address post-delivery requirements for outputs? | | | | | | Y | N | X |  |
|  |  | Do system managers develop controlled conditions for post-delivery? | | | | | Y | N | X |  |
|  |  | | Do system managers consider post-delivery requirements and commitments? | | | | Y | N | X |  |
|  |  | | Do system managers consider the need to provide, update, and control output documents? | | | | Y | N | X |  |
|  |  | | Do system managers consider the external work that must be done to support outputs? | | | | Y | N | X |  |
|  |  | | Do system managers consider the actions that must be taken after outputs are delivered? | | | | Y | N | X |  |
|  |  | Do system managers implement controlled conditions for post-delivery of outputs? | | | | | Y | N | X |  |
|  |  | | Do system managers implement controlled conditions for post-delivery of system outputs? | | | | Y | N | X |  |
|  |  | | Do system managers use suitable monitoring and measurement resources to control post-delivery? | | | | Y | N | X |  |
|  |  | | Do system managers use a suitable system environment to control post-delivery activities? | | | | Y | N | X |  |
|  |  | | Do system managers use competent qualified personnel to control post-delivery activities? | | | | Y | N | X |  |
|  | Do system managers identify and control nonconforming outputs? | | | | | | Y | N | X |  |
|  |  | Do system managers analyze and evaluate nonconforming outputs? | | | | | Y | N | X |  |
|  |  | | Do managers consider the nature of nonconforming outputs and do they evaluate their effects? | | | | Y | N | X |  |
|  |  | Do system managers take specific actions to manage and control nonconforming outputs? | | | | | Y | N | X |  |
|  |  | | Do system managers prevent the unintended use or delivery of nonconforming outputs? | | | | Y | N | X |  |
|  |  | Do system managers document and record all nonconforming system outputs? | | | | | Y | N | X |  |
|  |  | | Do system managers document the actions and decisions taken  to prevent unintended use or delivery of nonconforming outputs? | | | | Y | N | X |  |
|  | Do system managers submit system performance reports? | | | | | | Y | N | X |  |
| 1.3 Assess how well operational activities are being carried out | | | | | | | | | | |
| 1.3.1 Assess how well personnel focus on system customers | | | | | | | | | | |
|  | Do system personnel identify customer needs and expectations? | | | | | | Y | N | X |  |
|  |  | Do system personnel identify customer assumptions and perceptions? | | | | | Y | N | X |  |
|  | Do system personnel understand customer needs and expectations? | | | | | | Y | N | X |  |
|  |  | Do system personnel understand customer assumptions and perceptions? | | | | | Y | N | X |  |
|  | Do system personnel meet relevant customer needs and expectations? | | | | | | Y | N | X |  |
|  |  | Do system personnel focus on enhancing customer satisfaction? | | | | | Y | N | X |  |
| 1.3.2 Assess how well personnel handle risks and opportunities | | | | | | | | | | |
|  | Do system personnel identify their risks and opportunities? | | | | | | Y | N | X |  |
|  |  | Do personnel identify risks and opportunities related to outputs? | | | | | Y | N | X |  |
|  |  | | Do system managers identify the risks that could negatively influence  their ability to provide compliant outputs to system customers? | | | | Y | N | X |  |
|  |  | | Do system managers identify the opportunities that could possibly  enhance their ability to provide compliant outputs to system customers? | | | | Y | N | X |  |
|  |  | Do personnel identify risks and opportunities related to customer satisfaction? | | | | | Y | N | X |  |
|  |  | | Do system managers identify risks that could influence their ability to satisfy customers? | | | | Y | N | X |  |
|  |  | | Do system managers identify opportunities that could enhance their ability to satisfy customers? | | | | Y | N | X |  |
|  | Do system personnel address their risks and opportunities? | | | | | | Y | N | X |  |
|  |  | Do personnel address risks and opportunities related to outputs? | | | | | Y | N | X |  |
|  |  | | Do system managers address the risks that could negatively influence  their ability to provide compliant outputs to system customers? | | | | Y | N | X |  |
|  |  | | Do system managers address the opportunities that could enhance  their ability to provide compliant outputs to system customers? | | | | Y | N | X |  |
|  |  | Do system managers address risks and opportunities related to customer satisfaction? | | | | | Y | N | X |  |
|  |  | | Do system managers address risks that could influence their ability to satisfy customers? | | | | Y | N | X |  |
|  |  | | Do system managers address opportunities that could enhance their ability to satisfy customers? | | | | Y | N | X |  |
| 1.3.3 Assess how well personnel implement policies and procedures | | | | | | | | | | |
|  | Do integrated system personnel follow system policies? | | | | | | Y | N | X |  |
|  |  | Do system personnel implement and follow safety policies? | | | | | Y | N | X |  |
|  |  | Do system personnel implement and follow quality policies? | | | | | Y | N | X |  |
|  |  | Do system personnel implement and follow security policies? | | | | | Y | N | X |  |
|  |  | Do system personnel implement and follow privacy policies? | | | | | Y | N | X |  |
|  |  | Do system personnel implement and follow business policies? | | | | | Y | N | X |  |
|  |  | Do system personnel implement and follow continuity policies? | | | | | Y | N | X |  |
|  |  | Do system personnel implement and follow environmental policies? | | | | | Y | N | X |  |
|  | Do system personnel follow system procedures? | | | | | | Y | N | X |  |
|  |  | Do system personnel implement and follow safety procedures? | | | | | Y | N | X |  |
|  |  | Do system personnel implement and follow quality procedures? | | | | | Y | N | X |  |
|  |  | Do system personnel implement and follow privacy procedures? | | | | | Y | N | X |  |
|  |  | Do system personnel implement and follow security procedures? | | | | | Y | N | X |  |
|  |  | Do system personnel implement and follow business procedures? | | | | | Y | N | X |  |
|  |  | Do system personnel implement and follow continuity procedures? | | | | | Y | N | X |  |
|  |  | Do system personnel implement and follow environmental procedures? | | | | | Y | N | X |  |
| 1.3.4 Assess how well personnel comply with all relevant requirements | | | | | | | | | | |
|  | Do system personnel determine relevant requirements? | | | | | | Y | N | X |  |
|  |  | Do system personnel identify customer requirements? | | | | | Y | N | X |  |
|  |  | Do system personnel identify legal requirements? | | | | | Y | N | X |  |
|  | Do system personnel meet all relevant requirements? | | | | | | Y | N | X |  |
|  |  | Do system personnel meet all relevant customer requirements? | | | | | Y | N | X |  |
|  |  | | Do system personnel provide products that meet customer requirements? | | | | Y | N | X |  |
|  |  | | Do system personnel deliver services that meet customer requirements? | | | | Y | N | X |  |
|  |  | Do system personnel meet all relevant legal requirements? | | | | | Y | N | X |  |
|  |  | | Do system personnel provide products that meet legal requirements? | | | | Y | N | X |  |
|  |  | | Do system personnel deliver services that meet legal requirements? | | | | Y | N | X |  |
| 1.3.5 Assess how well personnel take appropriate action when necessary | | | | | | | | | | |
|  | Do system personnel take action when planned results aren't being achieved? | | | | | | Y | N | X |  |
|  | Do system personnel take action when planned results won't be achieved? | | | | | | Y | N | X |  |
|  | Do system personnel take action when planned results can’t be achieved? | | | | | | Y | N | X |  |
| 1.3.6 Assess how well personnel control system documents and records | | | | | | | | | | |
|  | Do system personnel retain and control system documents? | | | | | | Y | N | X |  |
|  | Do system personnel maintain and control system records? | | | | | | Y | N | X |  |
|  | | | | | | | | | | |
| Answer each of the above questions. Three answers are possible: Y (yes), N (no), and X (eXclude). Y means you're in compliance,  N means you're not in compliance, while X means that this question can be excluded because it’s not applicable in your situation.  Y answers and X answers require no further action, while N answers point to things that need to be done to improve the  overall performance of your system. Also, please use the column on the right to record your notes, and in the spaces  below, enter the name and location of your organization, who completed this page, who reviewed it, and the dates. | | | | | | | | | | |

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 2.1 Assess how well resources are used to maintain system | | | | | | | | |
| 2.1.1 Assess the expertise used to maintain your system | | | | | | | | |
|  | Do you provide the managers needed to maintain your integrated system? | | | | Y | N | X |  |
|  |  | Do you acquire the knowledge that managers need in order to  support system maintenance and achieve conformity of outputs? | | | Y | N | X |  |
|  |  | Do you share the knowledge that managers need so that they can  support system maintenance and achieve conformity of outputs? | | | Y | N | X |  |
|  |  | | Do you deliver suitable awareness programmes to the  people who manage system maintenance activities? | | Y | N | X |  |
|  |  | | Do you deliver suitable training programmes to the  people who manage system maintenance activities? | | Y | N | X |  |
|  | Do you provide people needed to maintain your integrated system? | | | | Y | N | X |  |
|  |  | Do you acquire the knowledge that your personnel need in order  to maintain system and achieve conformity of outputs? | | | Y | N | X |  |
|  |  | Do you share the knowledge that personnel need in order to  maintain system and achieve conformity of outputs? | | | Y | N | X |  |
|  |  | | Do you deliver suitable awareness programmes  for your system maintenance personnel? | | Y | N | X |  |
|  |  | | Do you deliver suitable training programmes  for your system maintenance personnel? | | Y | N | X |  |
| 2.1.2 Assess the technology used to maintain your system | | | | | | | | |
|  | Do you provide the software needed to maintain integrated system? | | | | Y | N | X |  |
|  |  | Do you provide the software needed to support system  maintenance and achieve conformity of outputs? | | | Y | N | X |  |
|  | Do you provide the hardware needed to maintain integrated system? | | | | Y | N | X |  |
|  |  | Do you provide the hardware needed to support system  maintenance and achieve conformity of outputs? | | | Y | N | X |  |
| 2.2 Assess how well management system is being maintained | | | | | | | | |
| 2.2.1 Assess the methods used to maintain your documents | | | | | | | | |
|  | Do you maintain documents that describe how work should be carried out? | | | | Y | N | X |  |
|  |  | Do you maintain documents that describe how system operations should be carried out? | | | Y | N | X |  |
|  |  | Do you maintain documents that describe how system maintenance should be carried out? | | | Y | N | X |  |
|  |  | Do you maintain documents that describe how system monitoring should be carried out? | | | Y | N | X |  |
|  |  | Do you maintain documents that describe how system measurement should be carried out? | | | Y | N | X |  |
|  |  | Do you maintain documents that describe how system control should be carried out? | | | Y | N | X |  |
|  |  | Do you maintain documents that describe how system evaluation should be carried out? | | | Y | N | X |  |
|  |  | | Do you maintain documents that describe how system audits should be carried out? | | Y | N | X |  |
|  |  | | Do you maintain documents that describe how system reviews should be carried out? | | Y | N | X |  |
|  |  | Do you maintain documents that describe how systemic change should be carried out? | | | Y | N | X |  |
|  |  | | Do you maintain documents that describe how system correction should be carried out? | | Y | N | X |  |
|  |  | | Do you maintain documents that describe how system improvements should be carried out? | | Y | N | X |  |
| 2.2.2 Assess the methods used to maintain your records | | | | | | | | |
|  | Do you maintain records that describe the scope of your integrated management system? | | | | Y | N | X |  |
|  | Do you maintain records of integrated management system responsibilities and authorities? | | | | Y | N | X |  |
|  | Do you maintain records of integrated management system performance and competence? | | | | Y | N | X |  |
|  |  | Do you retain your documentation and use it as evidence to show that  your integrated management system personnel are in fact competent? | | | Y | N | X |  |
|  | Do you maintain records showing that integrated management system is performing as planned? | | | | Y | N | X |  |
|  |  | Do you maintain records that show that system operations are being carried out as planned? | | | Y | N | X |  |
|  |  | Do you maintain records that show that system maintenance is being carried out as planned? | | | Y | N | X |  |
|  |  | Do you maintain records that show that system monitoring is being carried out as planned? | | | Y | N | X |  |
|  |  | Do you maintain records that show that system measurement is being carried out as planned? | | | Y | N | X |  |
|  |  | Do you maintain records that show that system control is being carried out as planned? | | | Y | N | X |  |
|  |  | Do you maintain records that show that system evaluation is being carried out as planned? | | | Y | N | X |  |
|  |  | | Do you maintain records that show that system audits are being carried out as planned? | | Y | N | X |  |
|  |  | | Do you maintain records that show that system reviews are being carried out as planned? | | Y | N | X |  |
|  |  | Do you maintain records that show that system changes are being carried out as planned? | | | Y | N | X |  |
|  |  | | Do you maintain records that show that system corrections are being carried out as planned? | | Y | N | X |  |
|  |  | | Do you maintain records that show that system improvements are being carried out as planned? | | Y | N | X |  |
| 2.2.3 Assess the methods used to maintain your property | | | | | | | | |
|  | Do you maintain system property owned by your customers and  suppliers that is needed to achieve conformity of outputs? | | | | Y | N | X |  |
|  |  | Do you identify property belonging to customers and external providers? | | | Y | N | X |  |
|  |  | Do you verify property belonging to customers and external providers? | | | Y | N | X |  |
|  |  | Do you protect property belonging to customers and external providers? | | | Y | N | X |  |
|  |  | Do you report property belonging to your customers and external providers? | | | Y | N | X |  |
|  |  | | Do you report lost or damaged property to customers and external providers? | | Y | N | X |  |
|  |  | | Do you report unsuitable property to customers and external providers? | | Y | N | X |  |
|  |  | Do you document property belonging to your customers and external providers? | | | Y | N | X |  |
|  | Do you maintain property owned by your integrated management  system that is needed to achieve conformity of system outputs? | | | | Y | N | X |  |
|  |  | Do you maintain equipment that your system needs in order to achieve conformity of outputs? | | | Y | N | X |  |
|  |  | Do you maintain software that your system needs in order to achieve conformity of outputs? | | | Y | N | X |  |
|  |  | Do you maintain tools that your system needs in order to achieve conformity of outputs? | | | Y | N | X |  |
| 2.2.4 Assess the methods used to maintain your procedures | | | | | | | | |
|  | Do you use authorized methods to maintain system management procedures? | | | | Y | N | X |  |
|  |  | Do you use authorized methods to maintain system control procedures? | | | Y | N | X |  |
|  |  | Do you use authorized methods to maintain system operational procedures? | | | Y | N | X |  |
|  |  | Do you use authorized methods to maintain system maintenance procedures? | | | Y | N | X |  |
|  |  | Do you use authorized methods to maintain system monitoring procedures? | | | Y | N | X |  |
|  |  | | Do you use authorized methods to maintain system feedback procedures? | | Y | N | X |  |
|  |  | Do you use authorized methods to maintain system measurement procedures? | | | Y | N | X |  |
|  |  | | Do you use authorized methods to maintain equipment calibration procedures? | | Y | N | X |  |
|  |  | Do you use authorized methods to maintain system evaluation procedures? | | | Y | N | X |  |
|  |  | | Do you use authorized methods to maintain system audit procedures? | | Y | N | X |  |
|  |  | | Do you use authorized methods to maintain system review procedures? | | Y | N | X |  |
|  |  | Do you use authorized methods to maintain system change procedures? | | | Y | N | X |  |
|  |  | | Do you use authorized methods to maintain system correction procedures? | | Y | N | X |  |
|  |  | | Do you use authorized methods to maintain system improvement procedures? | | Y | N | X |  |
| 2.2.5 Assess the methods used to maintain your competence | | | | | | | | |
|  | Do you share information and knowledge with management system personnel? | | | | Y | N | X |  |
|  |  | Do you ensure that they are aware of management system plans? | | | Y | N | X |  |
|  |  | Do you ensure that they are aware of management system policies? | | | Y | N | X |  |
|  |  | Do you ensure that they are aware of management system objectives? | | | Y | N | X |  |
|  |  | Do you ensure that they are aware of management system procedures? | | | Y | N | X |  |
|  |  | Do you ensure that they are aware of management system documents and records? | | | Y | N | X |  |
|  |  | | Do you ensure that personnel stay abreast of changes in knowledge and information? | | Y | N | X |  |
|  |  | Do you ensure that they are aware of the important contribution they make? | | | Y | N | X |  |
|  |  | | Do you ensure that they understand how they affect system performance? | | Y | N | X |  |
|  |  | | Do you ensure that they understand how they influence system outputs? | | Y | N | X |  |
|  |  | Do you ensure that they are aware of all relevant requirements? | | | Y | N | X |  |
|  |  | | Do you explain why compliance is important to your system? | | Y | N | X |  |
|  |  | Do you ensure that they are aware of how they can help? | | | Y | N | X |  |
|  |  | | Do you explain how they can help enhance system effectiveness? | | Y | N | X |  |
|  | Do you acquire competence whenever shortcomings are discovered? | | | | Y | N | X |  |
|  |  | Do you acquire the necessary competence whenever system  personnel fail to meet system competence requirements? | | | Y | N | X |  |
|  |  | | Do you consider helping your personnel to improve? | | Y | N | X |  |
|  |  | | | Do you consider providing suitable training? | Y | N | X |  |
|  |  | | | Do you consider offering mentoring services? | Y | N | X |  |
|  |  | | Do you consider hiring competent people? | | Y | N | X |  |
|  |  | | | Do you consider hiring competent employees? | Y | N | X |  |
|  |  | | | Do you consider hiring competent contractors? | Y | N | X |  |
|  |  | | Do you consider reassigning unsuitable personnel? | | Y | N | X |  |
|  | Do you maintain the system knowledge that has been acquired? | | | | Y | N | X |  |
|  |  | Do you consider the need to protect and preserve lessons learned? | | | Y | N | X |  |
|  |  | Do you consider the need to protect and preserve intellectual property? | | | Y | N | X |  |
| 2.2.6 Assess the methods used to maintain your technologies | | | | | | | | |
|  | Do you maintain technology used to perform management system operations? | | | | Y | N | X |  |
|  |  | Do you maintain tools used to perform management system operations? | | | Y | N | X |  |
|  |  | | Do you define storage requirements for tools used for system operations? | | Y | N | X |  |
|  |  | | | Do you define how and when to check the status of tools used for system operations? | Y | N | X |  |
|  |  | Do you maintain equipment used to perform management system operations? | | | Y | N | X |  |
|  |  | | Do you define storage requirements for equipment used for system operations? | | Y | N | X |  |
|  |  | | | Do you define how and when to check the status of equipment used for system operations? | Y | N | X |  |
|  |  | Do you maintain software used to perform management system operations? | | | Y | N | X |  |
|  |  | | Do you define how and when to check the status of software used for system operations? | | Y | N | X |  |
|  | Do you maintain technology used to automate management system operations? | | | | Y | N | X |  |
|  |  | Do you maintain tools used to automate management system operations? | | | Y | N | X |  |
|  |  | | Do you define storage requirements for tools used to automate system operations? | | Y | N | X |  |
|  |  | Do you maintain equipment used to automate management system operations? | | | Y | N | X |  |
|  |  | | Do you define storage requirements for equipment used to automate system operations? | | Y | N | X |  |
|  |  | Do you maintain software used to automate management system operations? | | | Y | N | X |  |
|  |  | | Do you define how and when to check the status of software used for automation? | | Y | N | X |  |
|  | Do you maintain technology used to control management system operations? | | | | Y | N | X |  |
|  |  | Do you maintain tools used to control management system operations? | | | Y | N | X |  |
|  |  | Do you maintain equipment used to control management system operations? | | | Y | N | X |  |
|  |  | Do you maintain software used to control management system operations? | | | Y | N | X |  |
|  | Do you maintain technology used to monitor management system operations? | | | | Y | N | X |  |
|  |  | Do you maintain tools used to monitor management system operations? | | | Y | N | X |  |
|  |  | Do you maintain equipment used to monitor management system operations? | | | Y | N | X |  |
|  |  | Do you maintain software used to monitor management system operations? | | | Y | N | X |  |
|  | Do you maintain technology used to measure management system operations? | | | | Y | N | X |  |
|  |  | Do you maintain software used to measure management system operations? | | | Y | N | X |  |
|  |  | Do you maintain tools used to measure management system operations? | | | Y | N | X |  |
|  |  | Do you maintain equipment used to measure management system operations? | | | Y | N | X |  |
|  |  | | Do you define storage requirements for equipment used to measure operations? | | Y | N | X |  |
|  |  | | Do you establish identification systems for measurement equipment? | | Y | N | X |  |
|  |  | | Do you verify or calibrate your system measurement equipment? | | Y | N | X |  |
|  |  | | Do you safeguard your system measurement equipment? | | Y | N | X |  |
| 2.2.7 Assess the methods used to maintain your infrastructure | | | | | | | | |
|  | Do you maintain the infrastructure that your system needs in order to achieve conformity of outputs? | | | | Y | N | X |  |
|  |  | Do you maintain the facilities that your system needs in order to achieve conformity of outputs? | | | Y | N | X |  |
|  |  | Do you maintain the utilities that your system needs in order to achieve conformity of outputs? | | | Y | N | X |  |
|  |  | Do you maintain the services that your system needs in order to achieve conformity of outputs? | | | Y | N | X |  |
|  |  | Do you maintain the technologies that your system needs in order to achieve conformity of outputs? | | | Y | N | X |  |
|  |  | | Do you maintain the hardware that your system needs in order to achieve conformity of outputs? | | Y | N | X |  |
|  |  | | Do you maintain the software that your system needs in order to achieve conformity of outputs? | | Y | N | X |  |
| 2.2.8 Assess the methods used to maintain your communications | | | | | | | | |
|  | Do you maintain the internal communications that system needs to achieve conformity of outputs? | | | | Y | N | X |  |
|  | Do you maintain the external communications that system needs to achieve conformity of outputs? | | | | Y | N | X |  |
|  | | | | | | | | |
|  | | | | | | | | |
|  | | | | | | | | |
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|  | | | | | | | | |
| Answer each of the above questions. Three answers are possible: Y (yes), N (no), and X (eXclude). Y means you're in compliance,  N means you're not in compliance, while X means that this question can be excluded because it’s not applicable in your situation.  Y answers and X answers require no further action, while N answers point to things that need to be done to improve the  overall performance of your system. Also, please use the column on the right to record your notes, and in the spaces  below, enter the name and location of your organization, who completed this page, who reviewed it, and the dates. | | | | | | | | |

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 3.1 Assess how well measurement activities are planned | | | | | | | | | | |
| 3.1.1 Assess how well measurement resources are targeted | | | | | | | | | | |
|  | Do you figure out what kind of system activities need to be measured? | | | | | | Y | N | X |  |
|  |  | Do you figure out what kind of system characteristics need to be measured? | | | | | Y | N | X |  |
|  | Do you figure out what kind of inputs and outputs need to be measured? | | | | | | Y | N | X |  |
|  |  | Do you figure out what kind of output characteristics need to be measured? | | | | | Y | N | X |  |
|  |  | Do you figure out what kind of input characteristics need to be measured? | | | | | Y | N | X |  |
| 3.1.2 Assess how well measurement methods are designed | | | | | | | | | | |
|  | Do you plan how you're going to measure system elements? | | | | | | Y | N | X |  |
|  |  | Do you plan how you're going to measure your system outputs? | | | | | Y | N | X |  |
|  |  | | Do you plan how you're going to measure your outputs against expectations? | | | | Y | N | X |  |
|  |  | | | Do you plan how you're going to measure how well outputs implement plans? | | | Y | N | X |  |
|  |  | | | Do you plan how you're going to measure how well outputs achieve objectives? | | | Y | N | X |  |
|  |  | | | Do you plan how you're going to measure how well outputs meet requirements? | | | Y | N | X |  |
|  |  | | | Do you plan how you're going to measure how well outputs comply with policies? | | | Y | N | X |  |
|  |  | Do you plan how you're going to measure your system inputs? | | | | | Y | N | X |  |
|  |  | | Do you plan how you're going to measure your inputs against expectations? | | | | Y | N | X |  |
|  |  | | | Do you plan how you're going to measure how well inputs implement plans? | | | Y | N | X |  |
|  |  | | | Do you plan how you're going to measure how well inputs achieve objectives? | | | Y | N | X |  |
|  |  | | | Do you plan how you're going to measure how well inputs meet requirements? | | | Y | N | X |  |
|  |  | | | Do you plan how you're going to measure how well inputs comply with policies? | | | Y | N | X |  |
|  |  | Do you plan how you're going to measure your system activities? | | | | | Y | N | X |  |
|  |  | | Do you plan how you're going to measure system management activities? | | | | Y | N | X |  |
|  |  | | | Do you plan how to measure how well system management activities meet expectations? | | | Y | N | X |  |
|  |  | | | | Do you plan how to measure how well system management activities apply policies? | | Y | N | X |  |
|  |  | | | | Do you plan how to measure how well system management activities implement plans? | | Y | N | X |  |
|  |  | | | | Do you plan how to measure how well system management activities follow procedures? | | Y | N | X |  |
|  |  | | | | Do you plan how to measure how well system management activities achieve objectives? | | Y | N | X |  |
|  |  | | | | Do you plan how to measure how well system management activities comply with requirements? | | Y | N | X |  |
|  |  | | Do you plan how you're going to measure system operating activities? | | | | Y | N | X |  |
|  |  | | | Do you plan how to measure how well system operating activities meet expectations? | | | Y | N | X |  |
|  |  | | | | Do you plan how to measure how well system operating activities apply policies? | | Y | N | X |  |
|  |  | | | | Do you plan how to measure how well system operating activities implement plans? | | Y | N | X |  |
|  |  | | | | Do you plan how to measure how well system operating activities follow procedures? | | Y | N | X |  |
|  |  | | | | Do you plan how to measure how well system operating activities achieve objectives? | | Y | N | X |  |
|  |  | | | | Do you plan how to measure how well system operating activities comply with requirements? | | Y | N | X |  |
|  |  | | Do you plan how you're going to measure system maintenance activities? | | | | Y | N | X |  |
|  |  | | | Do you plan how to measure how well system maintenance activities meet expectations? | | | Y | N | X |  |
|  |  | | | | Do you plan how to measure how well system maintenance activities apply policies? | | Y | N | X |  |
|  |  | | | | Do you plan how to measure how well system maintenance activities implement plans? | | Y | N | X |  |
|  |  | | | | Do you plan how to measure how well system maintenance activities follow procedures? | | Y | N | X |  |
|  |  | | | | Do you plan how to measure how well system maintenance activities achieve objectives? | | Y | N | X |  |
|  |  | | | | Do you plan how to measure how well system maintenance activities comply with requirements? | | Y | N | X |  |
|  |  | | Do you plan how you're going to measure system monitoring activities? | | | | Y | N | X |  |
|  |  | | | Do you plan how to measure how well system monitoring activities meet expectations? | | | Y | N | X |  |
|  |  | | | | Do you plan how to measure how well system monitoring activities apply policies? | | Y | N | X |  |
|  |  | | | | Do you plan how to measure how well system monitoring activities implement plans? | | Y | N | X |  |
|  |  | | | | Do you plan how to measure how well system monitoring activities follow procedures? | | Y | N | X |  |
|  |  | | | | Do you plan how to measure how well system monitoring activities achieve objectives? | | Y | N | X |  |
|  |  | | | | Do you plan how to measure how well system monitoring activities comply with requirements? | | Y | N | X |  |
|  |  | | Do you plan how you're going to measure system measurement activities? | | | | Y | N | X |  |
|  |  | | | Do you plan how to measure how well system measurement activities meet expectations? | | | Y | N | X |  |
|  |  | | | | Do you plan how to measure how well system measurement activities apply policies? | | Y | N | X |  |
|  |  | | | | Do you plan how to measure how well system measurement activities implement plans? | | Y | N | X |  |
|  |  | | | | Do you plan how to measure how well system measurement activities follow procedures? | | Y | N | X |  |
|  |  | | | | Do you plan how to measure how well system measurement activities achieve objectives? | | Y | N | X |  |
|  |  | | | | Do you plan how to measure how well system measurement activities comply with requirements? | | Y | N | X |  |
|  |  | | Do you plan how you're going to measure system control activities? | | | | Y | N | X |  |
|  |  | | | Do you plan how to measure how well system control activities meet expectations? | | | Y | N | X |  |
|  |  | | | | Do you plan how to measure how well system control activities apply policies? | | Y | N | X |  |
|  |  | | | | Do you plan how to measure how well system control activities implement plans? | | Y | N | X |  |
|  |  | | | | Do you plan how to measure how well system control activities follow procedures? | | Y | N | X |  |
|  |  | | | | Do you plan how to measure how well system control activities achieve objectives? | | Y | N | X |  |
|  |  | | | | Do you plan how to measure how well system control activities comply with requirements? | | Y | N | X |  |
|  |  | | Do you plan how you're going to measure system evaluation activities? | | | | Y | N | X |  |
|  |  | | | Do you plan how you're going to measure system audit activities? | | | Y | N | X |  |
|  |  | | | | Do you plan how to measure how well system audit activities meet expectations? | | Y | N | X |  |
|  |  | | | | | Do you plan how to measure how well system audit activities apply policies? | Y | N | X |  |
|  |  | | | | | Do you plan how to measure how well system audit activities implement plans? | Y | N | X |  |
|  |  | | | | | Do you plan how to measure how well system audit activities follow procedures? | Y | N | X |  |
|  |  | | | | | Do you plan how to measure how well system audit activities achieve objectives? | Y | N | X |  |
|  |  | | | | | Do you plan how to measure how well system audit activities comply with requirements? | Y | N | X |  |
|  |  | | | Do you plan how you're going to measure system review activities? | | | Y | N | X |  |
|  |  | | | | Do you plan how to measure how well system review activities meet expectations? | | Y | N | X |  |
|  |  | | | | | Do you plan how to measure how well system review activities apply policies? | Y | N | X |  |
|  |  | | | | | Do you plan how to measure how well system review activities implement plans? | Y | N | X |  |
|  |  | | | | | Do you plan how to measure how well system review activities follow procedures? | Y | N | X |  |
|  |  | | | | | Do you plan how to measure how well system review activities achieve objectives? | Y | N | X |  |
|  |  | | | | | Do you plan how to measure how well system review activities comply with requirements? | Y | N | X |  |
|  |  | | Do you plan how you're going to measure system change activities? | | | | Y | N | X |  |
|  |  | | | Do you plan how you're going to measure system correction activities? | | | Y | N | X |  |
|  |  | | | | Do you plan how to measure how well system correction activities meet expectations? | | Y | N | X |  |
|  |  | | | | | Do you plan how to measure how well system correction activities apply policies? | Y | N | X |  |
|  |  | | | | | Do you plan how to measure how well system correction activities implement plans? | Y | N | X |  |
|  |  | | | | | Do you plan how to measure how well system correction activities follow procedures? | Y | N | X |  |
|  |  | | | | | Do you plan how to measure how well system correction activities achieve objectives? | Y | N | X |  |
|  |  | | | | | Do you plan how to measure how well system correction activities comply with requirements? | Y | N | X |  |
|  |  | | | Do you plan how you're going to measure system improvement activities? | | | Y | N | X |  |
|  |  | | | | Do you plan how to measure how well system improvement activities meet expectations? | | Y | N | X |  |
|  |  | | | | | Do you plan how to measure how well system improvement activities apply policies? | Y | N | X |  |
|  |  | | | | | Do you plan how to measure how well system improvement activities implement plans? | Y | N | X |  |
|  |  | | | | | Do you plan how to measure how well system improvement activities follow procedures? | Y | N | X |  |
|  |  | | | | | Do you plan how to measure how well system improvement activities achieve objectives? | Y | N | X |  |
|  |  | | | | | Do you plan how to measure how well system improvement activities comply with requirements? | Y | N | X |  |
|  | Do you plan how you're going to measure customer satisfaction? | | | | | | Y | N | X |  |
|  |  | Do you learn how management system customers feel about your outputs? | | | | | Y | N | X |  |
|  |  | | Do you figure out how to gather information about customer satisfaction? | | | | Y | N | X |  |
|  |  | | | Do you figure out how to learn about customer satisfaction by doing customer surveys? | | | Y | N | X |  |
|  |  | | | Do you figure out how to learn about customer satisfaction by using face-to-face meetings? | | | Y | N | X |  |
|  |  | | | Do you figure out how to learn about customer satisfaction by studying customer feedback? | | | Y | N | X |  |
|  |  | | Do you figure out how to use information to evaluate customer satisfaction? | | | | Y | N | X |  |
|  |  | | | Do you figure out how to use output information to evaluate customer satisfaction? | | | Y | N | X |  |
|  |  | | | Do you figure out how to use delivery information to evaluate customer satisfaction? | | | Y | N | X |  |
|  |  | | | Do you figure out how to use post-delivery information to evaluate customer satisfaction? | | | Y | N | X |  |
|  |  | | | Do you figure out how to use corrective action information to evaluate customer satisfaction? | | | Y | N | X |  |
| 3.1.3 Assess how well measurement duties are distributed | | | | | | | | | | |
|  | Do you allocate responsibility and authority for measuring customer satisfaction? | | | | | | Y | N | X |  |
|  |  | Do you allocate responsibility and authority for carrying out customer surveys? | | | | | Y | N | X |  |
|  |  | Do you allocate responsibility and authority for meeting with system customers? | | | | | Y | N | X |  |
|  |  | Do you allocate responsibility and authority for studying feedback from customers? | | | | | Y | N | X |  |
|  | Do you allocate responsibility and authority for measuring system elements? | | | | | | Y | N | X |  |
|  |  | Do you allocate responsibility and authority for measuring system outputs? | | | | | Y | N | X |  |
|  |  | Do you allocate responsibility and authority for measuring system inputs? | | | | | Y | N | X |  |
|  |  | Do you allocate responsibility and authority for measuring system activities? | | | | | Y | N | X |  |
|  |  | | Do you allocate responsibility and authority for measuring system control activities and results? | | | | Y | N | X |  |
|  |  | | Do you allocate responsibility and authority for measuring system operating activities and results? | | | | Y | N | X |  |
|  |  | | Do you allocate responsibility and authority for measuring system maintenance activities and results? | | | | Y | N | X |  |
|  |  | | Do you allocate responsibility and authority for measuring system measurement activities and results? | | | | Y | N | X |  |
|  |  | | Do you allocate responsibility and authority for measuring system monitoring activities and results? | | | | Y | N | X |  |
|  |  | | Do you allocate responsibility and authority for measuring system evaluation activities and results? | | | | Y | N | X |  |
|  |  | | | Do you allocate responsibility and authority for measuring system audit activities and results? | | | Y | N | X |  |
|  |  | | | Do you allocate responsibility and authority for measuring system review activities and results? | | | Y | N | X |  |
|  |  | | Do you allocate responsibility and authority for measuring system change activities and results? | | | | Y | N | X |  |
|  |  | | | Do you allocate responsibility and authority for measuring system correction activities and results? | | | Y | N | X |  |
|  |  | | | Do you allocate responsibility and authority for measuring system improvement activities and results? | | | Y | N | X |  |
| 3.2 Assess how well measurement methods are performing | | | | | | | | | | |
| 3.2.1 Assess how effective measurement methods are | | | | | | | | | | |
|  | Do you select measurement resources that are fit for purpose? | | | | | | Y | N | X |  |
|  |  | Do you select measurement resources that will yield valid and reliable results? | | | | | Y | N | X |  |
|  |  | Do you select measurement resources that can handle your unique circumstances? | | | | | Y | N | X |  |
|  |  | Do you select measurement resources that will ensure that outputs meet requirements? | | | | | Y | N | X |  |
|  |  | Do you select measurement resources that are capable of providing the information you need? | | | | | Y | N | X |  |
| 3.2.2 Assess how accurate measurement methods are | | | | | | | | | | |
|  | Do you validate measurement resources before you use them? | | | | | | Y | N | X |  |
|  |  | Do you validate resources that are used to measure management system? | | | | | Y | N | X |  |
|  |  | | Do you validate software before it is used to measure management system? | | | | Y | N | X |  |
|  |  | | Do you validate tools before they are used to measure management system? | | | | Y | N | X |  |
|  |  | | Do you validate equipment before it is used to measure management system? | | | | Y | N | X |  |
| 3.3 Assess how well resources are used to measure system | | | | | | | | | | |
| 3.3.1 Assess the expertise used to measure your system | | | | | | | | | | |
|  | Do you provide the expertise needed to ensure that measuring  methods will yield valid and reliable results? | | | | | | Y | N | X |  |
|  |  | Do you provide the managers needed to measure your system? | | | | | Y | N | X |  |
|  |  | | Do you acquire the knowledge that system managers  need to support system measurement activities? | | | | Y | N | X |  |
|  |  | | | Do you ensure that system managers get the knowledge  they need to support measurement activities? | | | Y | N | X |  |
|  |  | | | | Do you deliver suitable training and awareness programmes  for managers of system measurement activities? | | Y | N | X |  |
|  |  | Do you provide the personnel needed to measure your system? | | | | | Y | N | X |  |
|  |  | | Do you acquire the knowledge that personnel need to measure your system? | | | | Y | N | X |  |
|  |  | | | Do you consider internal sources of knowledge about system measurement? | | | Y | N | X |  |
|  |  | | | Do you consider external sources of knowledge about system measurement? | | | Y | N | X |  |
|  |  | | Do you ensure that personnel get the knowledge they need to measure your system? | | | | Y | N | X |  |
|  |  | | | Do you deliver suitable training and awareness programmes for system measuring personnel? | | | Y | N | X |  |
| 3.3.2 Assess the technology used to measure your system | | | | | | | | | | |
|  | Do you provide the technology needed to ensure that  measurement methods yield valid and reliable results? | | | | | | Y | N | X |  |
|  |  | Do you provide the software needed to measure your system? | | | | | Y | N | X |  |
|  |  | | Do you provide the software needed to support system measurement activities? | | | | Y | N | X |  |
|  |  | Do you provide the hardware needed to measure your system? | | | | | Y | N | X |  |
|  |  | | Do you provide the hardware needed to support system measurement activities? | | | | Y | N | X |  |
|  |  | | | Do you provide the tools and equipment needed to measure your system? | | | Y | N | X |  |
| 3.3.3 Assess the infrastructure used to measure your system | | | | | | | | | | |
|  | Do you provide the infrastructure needed to ensure that  measurement methods yield valid and reliable results? | | | | | | Y | N | X |  |
|  |  | Do you provide the infrastructure needed to support system  measurement and achieve conformity of outputs? | | | | | Y | N | X |  |
| 3.4 Assess how well management system is being measured | | | | | | | | | | |
| 3.4.1 Assess the methods used to measure system elements | | | | | | | | | | |
|  | Do you use authorized methods to measure system outputs? | | | | | | Y | N | X |  |
|  |  | Do you measure your outputs against expectations? | | | | | Y | N | X |  |
|  |  | | Do you measure how well outputs meet requirements? | | | | Y | N | X |  |
|  |  | | Do you measure how well outputs achieve objectives? | | | | Y | N | X |  |
|  |  | | Do you measure how well outputs implement plans? | | | | Y | N | X |  |
|  | Do you use authorized methods to measure system inputs? | | | | | | Y | N | X |  |
|  |  | Do you measure your inputs against expectations? | | | | | Y | N | X |  |
|  |  | | Do you measure how well inputs meet requirements? | | | | Y | N | X |  |
|  |  | | Do you measure how well inputs achieve objectives? | | | | Y | N | X |  |
|  |  | | Do you measure how well inputs implement plans? | | | | Y | N | X |  |
|  | Do you use authorized methods to measure system activities? | | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to measure system operating activities? | | | | | Y | N | X |  |
|  |  | | Do you measure how well system operating activities meet expectations? | | | | Y | N | X |  |
|  |  | | | Do you measure how well system operating activities apply policies? | | | Y | N | X |  |
|  |  | | | Do you measure how well system operating activities implement plans? | | | Y | N | X |  |
|  |  | | | Do you measure how well system operating activities follow procedures? | | | Y | N | X |  |
|  |  | | | Do you measure how well system operating activities achieve objectives? | | | Y | N | X |  |
|  |  | | | Do you measure how well system operating activities comply with requirements? | | | Y | N | X |  |
|  |  | Do you use authorized methods to measure system maintenance activities? | | | | | Y | N | X |  |
|  |  | | Do you measure how well system maintenance activities meet expectations? | | | | Y | N | X |  |
|  |  | | | Do you measure how well system maintenance activities apply policies? | | | Y | N | X |  |
|  |  | | | Do you measure how well system maintenance activities implement plans? | | | Y | N | X |  |
|  |  | | | Do you measure how well system maintenance activities follow procedures? | | | Y | N | X |  |
|  |  | | | Do you measure how well system maintenance activities achieve objectives? | | | Y | N | X |  |
|  |  | | | Do you measure how well system maintenance activities comply with requirements? | | | Y | N | X |  |
|  |  | Do you use authorized methods to measure system measurement activities? | | | | | Y | N | X |  |
|  |  | | Do you measure how well system measurement activities meet expectations? | | | | Y | N | X |  |
|  |  | | | Do you measure how well system measurement activities apply policies? | | | Y | N | X |  |
|  |  | | | Do you measure how well system measurement activities implement plans? | | | Y | N | X |  |
|  |  | | | Do you measure how well system measurement activities follow procedures? | | | Y | N | X |  |
|  |  | | | Do you measure how well system measurement activities achieve objectives? | | | Y | N | X |  |
|  |  | | | Do you measure how well system measurement activities comply with requirements? | | | Y | N | X |  |
|  |  | Do you use authorized methods to measure system monitoring activities? | | | | | Y | N | X |  |
|  |  | | Do you measure how well system monitoring activities meet expectations? | | | | Y | N | X |  |
|  |  | | | Do you measure how well system monitoring activities apply policies? | | | Y | N | X |  |
|  |  | | | Do you measure how well system monitoring activities implement plans? | | | Y | N | X |  |
|  |  | | | Do you measure how well system monitoring activities follow procedures? | | | Y | N | X |  |
|  |  | | | Do you measure how well system monitoring activities achieve objectives? | | | Y | N | X |  |
|  |  | | | Do you measure how well system monitoring activities comply with requirements? | | | Y | N | X |  |
|  |  | Do you use authorized methods to measure system control activities? | | | | | Y | N | X |  |
|  |  | | Do you measure how well system control activities meet expectations? | | | | Y | N | X |  |
|  |  | | | Do you measure how well system control activities apply policies? | | | Y | N | X |  |
|  |  | | | Do you measure how well system control activities implement plans? | | | Y | N | X |  |
|  |  | | | Do you measure how well system control activities follow procedures? | | | Y | N | X |  |
|  |  | | | Do you measure how well system control activities achieve objectives? | | | Y | N | X |  |
|  |  | | | Do you measure how well system control activities comply with requirements? | | | Y | N | X |  |
|  |  | Do you use authorized methods to measure system evaluation activities? | | | | | Y | N | X |  |
|  |  | | Do you use authorized methods to measure system audit activities? | | | | Y | N | X |  |
|  |  | | | Do you measure how well system audit activities meet expectations? | | | Y | N | X |  |
|  |  | | | | Do you measure how well system audit activities apply policies? | | Y | N | X |  |
|  |  | | | | Do you measure how well system audit activities implement plans? | | Y | N | X |  |
|  |  | | | | Do you measure how well system audit activities follow procedures? | | Y | N | X |  |
|  |  | | | | Do you measure how well system audit activities achieve objectives? | | Y | N | X |  |
|  |  | | | | Do you measure how well system audit activities comply with requirements? | | Y | N | X |  |
|  |  | | Do you use authorized methods to measure system review activities? | | | | Y | N | X |  |
|  |  | | | Do you measure how well system review activities meet expectations? | | | Y | N | X |  |
|  |  | | | | Do you measure how well system review activities apply policies? | | Y | N | X |  |
|  |  | | | | Do you measure how well system review activities implement plans? | | Y | N | X |  |
|  |  | | | | Do you measure how well system review activities follow procedures? | | Y | N | X |  |
|  |  | | | | Do you measure how well system review activities achieve objectives? | | Y | N | X |  |
|  |  | | | | Do you measure how well system review activities comply with requirements? | | Y | N | X |  |
|  |  | Do you use authorized methods to measure system change activities? | | | | | Y | N | X |  |
|  |  | | Do you use authorized methods to measure system correction activities? | | | | Y | N | X |  |
|  |  | | | Do you measure how well system correction activities meet expectations? | | | Y | N | X |  |
|  |  | | | | Do you measure how well system correction activities apply policies? | | Y | N | X |  |
|  |  | | | | Do you measure how well system correction activities implement plans? | | Y | N | X |  |
|  |  | | | | Do you measure how well system correction activities follow procedures? | | Y | N | X |  |
|  |  | | | | Do you measure how well system correction activities achieve objectives? | | Y | N | X |  |
|  |  | | | | Do you measure how well system correction activities comply with requirements? | | Y | N | X |  |
|  |  | | Do you use authorized methods to measure system improvement activities? | | | | Y | N | X |  |
|  |  | | | Do you measure how well system improvement activities meet expectations? | | | Y | N | X |  |
|  |  | | | | Do you measure how well system improvement activities apply policies? | | Y | N | X |  |
|  |  | | | | Do you measure how well system improvement activities implement plans? | | Y | N | X |  |
|  |  | | | | Do you measure how well system improvement activities follow procedures? | | Y | N | X |  |
|  |  | | | | Do you measure how well system improvement activities achieve objectives? | | Y | N | X |  |
|  |  | | | | Do you measure how well system improvement activities comply with requirements? | | Y | N | X |  |
| 3.4.2 Assess the methods used to measure system performance | | | | | | | | | | |
|  | Do you use authorized methods to measure the performance of system personnel? | | | | | | Y | N | X |  |
|  |  | Do you measure the competence and effectiveness of your system personnel? | | | | | Y | N | X |  |
|  |  | | Do you measure the system knowledge and skill that has been acquired? | | | | Y | N | X |  |
|  |  | Do you measure how well system personnel meet system expectations? | | | | | Y | N | X |  |
|  |  | | Do you measure how well system personnel apply system policies? | | | | Y | N | X |  |
|  |  | | Do you measure how well system personnel implement system plans? | | | | Y | N | X |  |
|  |  | | Do you measure how well system personnel follow system procedures? | | | | Y | N | X |  |
|  |  | | Do you measure how well system personnel meet system requirements? | | | | Y | N | X |  |
|  |  | | Do you measure how well system personnel achieve system objectives? | | | | Y | N | X |  |
|  |  | | | Do you measure how well system personnel achieve safety objectives? | | | Y | N | X |  |
|  |  | | | Do you measure how well system personnel achieve quality objectives? | | | Y | N | X |  |
|  |  | | | Do you measure how well system personnel achieve privacy objectives? | | | Y | N | X |  |
|  |  | | | Do you measure how well system personnel achieve security objectives? | | | Y | N | X |  |
|  |  | | | Do you measure how well system personnel achieve business objectives? | | | Y | N | X |  |
|  |  | | | Do you measure how well system personnel achieve technical objectives? | | | Y | N | X |  |
|  |  | | | Do you measure how well system personnel achieve continuity objectives? | | | Y | N | X |  |
|  |  | | | Do you measure how well system personnel achieve environmental objectives? | | | Y | N | X |  |
|  | Do you use authorized methods to measure the performance of system management? | | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to measure system management activities? | | | | | Y | N | X |  |
|  |  | | Do you measure how well system management activities meet expectations? | | | | Y | N | X |  |
|  |  | | | Do you measure how well system management activities apply policies? | | | Y | N | X |  |
|  |  | | | Do you measure how well system management activities implement plans? | | | Y | N | X |  |
|  |  | | | Do you measure how well system management activities follow procedures? | | | Y | N | X |  |
|  |  | | | Do you measure how well system management activities meet requirements? | | | Y | N | X |  |
|  |  | | | Do you measure how well system management activities achieve objectives? | | | Y | N | X |  |
|  |  | | | | Do you measure how well system managers achieve safety objectives? | | Y | N | X |  |
|  |  | | | | Do you measure how well system managers achieve quality objectives? | | Y | N | X |  |
|  |  | | | | Do you measure how well system managers achieve privacy objectives? | | Y | N | X |  |
|  |  | | | | Do you measure how well system managers achieve security objectives? | | Y | N | X |  |
|  |  | | | | Do you measure how well system managers achieve business objectives? | | Y | N | X |  |
|  |  | | | | Do you measure how well system managers achieve technical objectives? | | Y | N | X |  |
|  |  | | | | Do you measure how well system managers achieve continuity objectives? | | Y | N | X |  |
|  |  | | | | Do you measure how well system managers achieve environmental objectives? | | Y | N | X |  |
|  | Do you use authorized methods to measure external product and service providers? | | | | | | Y | N | X |  |
|  |  | Do you use authorized criteria to measure the performance of external providers? | | | | | Y | N | X |  |
|  |  | | Do you measure the performance of external system, product, and service providers? | | | | Y | N | X |  |
|  |  | | | Do you use data and criteria to measure the performance of your external providers? | | | Y | N | X |  |
|  |  | | | | Do you document performance measuring activities and retain these documents? | | Y | N | X |  |
|  |  | | | | | Do you control documents that describe your performance measuring activities? | Y | N | X |  |
|  |  | | Do you measure external system, product, and service verification activities? | | | | Y | N | X |  |
|  |  | | | Do you measure verifications whenever they are delegated to external providers? | | | Y | N | X |  |
|  | Do you use authorized methods to measure internal product and service providers? | | | | | | Y | N | X |  |
|  |  | Do you use authorized criteria to measure the performance of internal providers? | | | | | Y | N | X |  |
| 3.5 Assess how well measurement resources are BEING controlled | | | | | | | | | | |
| 3.5.1 Assess how well measurement documents are being controlled | | | | | | | | | | |
|  | Do you control the procedures needed to measure your system and its outputs? | | | | | | Y | N | X |  |
|  | Do you control the instructions needed to measure your system and its outputs? | | | | | | Y | N | X |  |
|  | Do you control the manuals needed to measure your system and its outputs? | | | | | | Y | N | X |  |
| 3.5.2 Assess how well measurement technologies are being controlled | | | | | | | | | | |
|  | Do you control the software needed to measure your system and its outputs? | | | | | | Y | N | X |  |
|  | Do you control the hardware needed to measure your system and its outputs? | | | | | | Y | N | X |  |
|  |  | Do you control the tools needed to measure your system and its outputs? | | | | | Y | N | X |  |
|  |  | Do you control the equipment needed to measure your system and its outputs? | | | | | Y | N | X |  |
| 3.5.3 Assess how well measurement records are being controlled | | | | | | | | | | |
|  | Do you control the records needed to measure system activities and resources? | | | | | | Y | N | X |  |
|  |  | Do you use records to control your system measuring activities and resources? | | | | | Y | N | X |  |
|  |  | | Do you establish registers of system measurement activities and resources? | | | | Y | N | X |  |
|  |  | | | Do you use this register to record the identity of measurement resources? | | | Y | N | X |  |
|  |  | | | | Do you use your register to describe the type or kind of resources being used? | | Y | N | X |  |
|  |  | | | | Do you use your register to specify a unique identifier for each piece of equipment? | | Y | N | X |  |
|  |  | | | Do you use register to specify the location of your measurement tools and equipment? | | | Y | N | X |  |
|  |  | | | Do you use register to control the calibration of your measurement tools and equipment? | | | Y | N | X |  |
|  |  | | Do you maintain a register of your system measurement activities and resources? | | | | Y | N | X |  |
|  |  | Do you use records to keep track of measurement activities and resources? | | | | | Y | N | X |  |
|  |  | | Do you establish suitable measurement traceability methods? | | | | Y | N | X |  |
|  |  | | | Do you maintain suitable measurement traceability resources? | | | Y | N | X |  |
|  |  | | Do you establish recall methods for your measurement equipment? | | | | Y | N | X |  |
|  |  | | | Do you implement recall methods for your measurement equipment? | | | Y | N | X |  |
|  |  | | | | Do you recall measurement equipment that must be verified or calibrated? | | Y | N | X |  |
|  |  | | | Do you maintain recall records for your system measurement equipment? | | | Y | N | X |  |
|  | | | | | | | | | | |

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 4.1 Assess how well monitoring activities are planned | | | | | | | | | | |
| 4.1.1 Assess how well monitoring resources are targeted | | | | | | | | | | |
|  | Do you figure out what kind of policies and plans need to be monitored? | | | | | | Y | N | X |  |
|  | Do you figure out what kind of practices and procedures need to be monitored? | | | | | | Y | N | X |  |
|  | Do you figure out what kind of issues, factors, and concerns need to be monitored? | | | | | | Y | N | X |  |
|  |  | Do you figure out what kind of internal issues and factors need to be monitored? | | | | | Y | N | X |  |
|  |  | Do you figure out what kind of external issues and factors need to be monitored? | | | | | Y | N | X |  |
|  | Do you figure out what kind of participants and providers need to be monitored? | | | | | | Y | N | X |  |
|  |  | Do you figure out what kind of system participants need to be monitored? | | | | | Y | N | X |  |
|  |  | | Do you figure out what kind of system managers need to be monitored? | | | | Y | N | X |  |
|  |  | | Do you figure out what kind of system personnel need to be monitored? | | | | Y | N | X |  |
|  |  | Do you figure out what kind of system providers need to be monitored? | | | | | Y | N | X |  |
|  |  | | Do you figure out what kind of internal system providers need to be monitored? | | | | Y | N | X |  |
|  |  | | Do you figure out what kind of external system providers need to be monitored? | | | | Y | N | X |  |
|  | Do you figure out what kind of system inputs and outputs need to be monitored? | | | | | | Y | N | X |  |
|  |  | Do you figure out what kind of output characteristics need to be monitored? | | | | | Y | N | X |  |
|  |  | Do you figure out what kind of input characteristics need to be monitored? | | | | | Y | N | X |  |
|  | Do you figure out what kind of internal system resources need to be monitored? | | | | | | Y | N | X |  |
|  |  | Do you figure out what kind of data and information needs to be monitored? | | | | | Y | N | X |  |
|  |  | Do you figure out what kind of documents and records need to be monitored? | | | | | Y | N | X |  |
|  |  | Do you figure out what kind of hardware and software needs to be monitored? | | | | | Y | N | X |  |
|  |  | Do you figure out what kind of parts and components need to be monitored? | | | | | Y | N | X |  |
|  |  | Do you figure out what kind of products and services need to be monitored? | | | | | Y | N | X |  |
|  |  | Do you figure out what kind of property and supplies need to be monitored? | | | | | Y | N | X |  |
| 4.1.2 Assess how well monitoring methods are designed | | | | | | | | | | |
|  | Do you plan how you're going to monitor customer satisfaction? | | | | | | Y | N | X |  |
|  |  | Do you plan how to monitor customer feelings about system outputs? | | | | | Y | N | X |  |
|  |  | | Do you plan how to monitor information about customer satisfaction? | | | | Y | N | X |  |
|  | Do you plan how you're going to monitor system performance? | | | | | | Y | N | X |  |
|  |  | Do you plan how you're going to monitor system outputs? | | | | | Y | N | X |  |
|  |  | | Do you plan how you're going to monitor output deliveries? | | | | Y | N | X |  |
|  |  | | | Do you plan how to monitor post-delivery performance? | | | Y | N | X |  |
|  |  | | Do you plan how you're going to monitor output characteristics? | | | | Y | N | X |  |
|  |  | Do you plan how you're going to monitor system activities? | | | | | Y | N | X |  |
|  |  | | Do you plan how you're going to monitor system management activities? | | | | Y | N | X |  |
|  |  | | | Do you plan how to monitor how well system management activities meet expectations? | | | Y | N | X |  |
|  |  | | | | Do you plan how to monitor how well system management activities apply policies? | | Y | N | X |  |
|  |  | | | | Do you plan how to monitor how well system management activities implement plans? | | Y | N | X |  |
|  |  | | | | Do you plan how to monitor how well system management activities follow procedures? | | Y | N | X |  |
|  |  | | | | Do you plan how to monitor how well system management activities achieve objectives? | | Y | N | X |  |
|  |  | | | | Do you plan how to monitor how well system management activities comply with requirements? | | Y | N | X |  |
|  |  | | Do you plan how you're going to monitor system operating activities? | | | | Y | N | X |  |
|  |  | | | Do you plan how to monitor how well system operating activities meet expectations? | | | Y | N | X |  |
|  |  | | | | Do you plan how to monitor how well system operating activities apply policies? | | Y | N | X |  |
|  |  | | | | Do you plan how to monitor how well system operating activities implement plans? | | Y | N | X |  |
|  |  | | | | Do you plan how to monitor how well system operating activities follow procedures? | | Y | N | X |  |
|  |  | | | | Do you plan how to monitor how well system operating activities achieve objectives? | | Y | N | X |  |
|  |  | | | | Do you plan how to monitor how well system operating activities comply with requirements? | | Y | N | X |  |
|  |  | | Do you plan how you're going to monitor system maintenance activities? | | | | Y | N | X |  |
|  |  | | | Do you plan how to monitor how well system maintenance activities meet expectations? | | | Y | N | X |  |
|  |  | | | | Do you plan how to monitor how well system maintenance activities apply policies? | | Y | N | X |  |
|  |  | | | | Do you plan how to monitor how well system maintenance activities implement plans? | | Y | N | X |  |
|  |  | | | | Do you plan how to monitor how well system maintenance activities follow procedures? | | Y | N | X |  |
|  |  | | | | Do you plan how to monitor how well system maintenance activities achieve objectives? | | Y | N | X |  |
|  |  | | | | Do you plan how to monitor how well system maintenance activities comply with requirements? | | Y | N | X |  |
|  |  | | Do you plan how you're going to monitor system monitoring activities? | | | | Y | N | X |  |
|  |  | | | Do you plan how to monitor how well system monitoring activities meet expectations? | | | Y | N | X |  |
|  |  | | | | Do you plan how to monitor how well system monitoring activities apply policies? | | Y | N | X |  |
|  |  | | | | Do you plan how to monitor how well system monitoring activities implement plans? | | Y | N | X |  |
|  |  | | | | Do you plan how to monitor how well system monitoring activities follow procedures? | | Y | N | X |  |
|  |  | | | | Do you plan how to monitor how well system monitoring activities achieve objectives? | | Y | N | X |  |
|  |  | | | | Do you plan how to monitor how well system monitoring activities comply with requirements? | | Y | N | X |  |
|  |  | | Do you plan how you're going to monitor system measurement activities? | | | | Y | N | X |  |
|  |  | | | Do you plan how to monitor how well system measurement activities meet expectations? | | | Y | N | X |  |
|  |  | | | | Do you plan how to monitor how well system measurement activities apply policies? | | Y | N | X |  |
|  |  | | | | Do you plan how to monitor how well system measurement activities implement plans? | | Y | N | X |  |
|  |  | | | | Do you plan how to monitor how well system measurement activities follow procedures? | | Y | N | X |  |
|  |  | | | | Do you plan how to monitor how well system measurement activities achieve objectives? | | Y | N | X |  |
|  |  | | | | Do you plan how to monitor how well system measurement activities comply with requirements? | | Y | N | X |  |
|  |  | | Do you plan how you're going to monitor system control activities? | | | | Y | N | X |  |
|  |  | | | Do you plan how to monitor how well system control activities meet expectations? | | | Y | N | X |  |
|  |  | | | | Do you plan how to monitor how well system control activities apply policies? | | Y | N | X |  |
|  |  | | | | Do you plan how to monitor how well system control activities implement plans? | | Y | N | X |  |
|  |  | | | | Do you plan how to monitor how well system control activities follow procedures? | | Y | N | X |  |
|  |  | | | | Do you plan how to monitor how well system control activities achieve objectives? | | Y | N | X |  |
|  |  | | | | Do you plan how to monitor how well system control activities comply with requirements? | | Y | N | X |  |
|  |  | | Do you plan how you're going to monitor system evaluation activities? | | | | Y | N | X |  |
|  |  | | | Do you plan how you're going to monitor system audit activities? | | | Y | N | X |  |
|  |  | | | | Do you plan how to monitor how well system audit activities meet expectations? | | Y | N | X |  |
|  |  | | | | | Do you plan how to monitor how well system audit activities apply policies? | Y | N | X |  |
|  |  | | | | | Do you plan how to monitor how well system audit activities implement plans? | Y | N | X |  |
|  |  | | | | | Do you plan how to monitor how well system audit activities follow procedures? | Y | N | X |  |
|  |  | | | | | Do you plan how to monitor how well system audit activities achieve objectives? | Y | N | X |  |
|  |  | | | | | Do you plan how to monitor how well system audit activities comply with requirements? | Y | N | X |  |
|  |  | | | Do you plan how you're going to monitor system review activities? | | | Y | N | X |  |
|  |  | | | | Do you plan how to monitor how well system review activities meet expectations? | | Y | N | X |  |
|  |  | | | | | Do you plan how to monitor how well system review activities apply policies? | Y | N | X |  |
|  |  | | | | | Do you plan how to monitor how well system review activities implement plans? | Y | N | X |  |
|  |  | | | | | Do you plan how to monitor how well system review activities follow procedures? | Y | N | X |  |
|  |  | | | | | Do you plan how to monitor how well system review activities achieve objectives? | Y | N | X |  |
|  |  | | | | | Do you plan how to monitor how well system review activities comply with requirements? | Y | N | X |  |
|  |  | | Do you plan how you're going to monitor system change activities? | | | | Y | N | X |  |
|  |  | | | Do you plan how you're going to monitor system correction activities? | | | Y | N | X |  |
|  |  | | | | Do you plan how to monitor how well system correction activities meet expectations? | | Y | N | X |  |
|  |  | | | | | Do you plan how to monitor how well system correction activities apply policies? | Y | N | X |  |
|  |  | | | | | Do you plan how to monitor how well system correction activities implement plans? | Y | N | X |  |
|  |  | | | | | Do you plan how to monitor how well system correction activities follow procedures? | Y | N | X |  |
|  |  | | | | | Do you plan how to monitor how well system correction activities achieve objectives? | Y | N | X |  |
|  |  | | | | | Do you plan how to monitor how well system correction activities comply with requirements? | Y | N | X |  |
|  |  | | | Do you plan how you're going to monitor system improvement activities? | | | Y | N | X |  |
|  |  | | | | Do you plan how to monitor how well system improvement activities meet expectations? | | Y | N | X |  |
|  |  | | | | | Do you plan how to monitor how well system improvement activities apply policies? | Y | N | X |  |
|  |  | | | | | Do you plan how to monitor how well system improvement activities implement plans? | Y | N | X |  |
|  |  | | | | | Do you plan how to monitor how well system improvement activities follow procedures? | Y | N | X |  |
|  |  | | | | | Do you plan how to monitor how well system improvement activities achieve objectives? | Y | N | X |  |
|  |  | | | | | Do you plan how to monitor how well system improvement activities comply with requirements? | Y | N | X |  |
|  | Do you plan how you're going to monitor system resources? | | | | | | Y | N | X |  |
|  |  | Do you plan how you're going to monitor system parts? | | | | | Y | N | X |  |
|  |  | Do you plan how you're going to monitor system plans? | | | | | Y | N | X |  |
|  |  | Do you plan how you're going to monitor system policies? | | | | | Y | N | X |  |
|  |  | Do you plan how you're going to monitor system supplies? | | | | | Y | N | X |  |
|  |  | Do you plan how you're going to monitor system hardware? | | | | | Y | N | X |  |
|  |  | Do you plan how you're going to monitor system software? | | | | | Y | N | X |  |
|  |  | Do you plan how you're going to monitor system services? | | | | | Y | N | X |  |
|  |  | Do you plan how you're going to monitor system products? | | | | | Y | N | X |  |
|  |  | Do you plan how you're going to monitor system property? | | | | | Y | N | X |  |
|  |  | Do you plan how you're going to monitor system providers? | | | | | Y | N | X |  |
|  |  | Do you plan how you're going to monitor system documents? | | | | | Y | N | X |  |
|  |  | Do you plan how you're going to monitor system components? | | | | | Y | N | X |  |
|  |  | Do you plan how you're going to monitor system infrastructure? | | | | | Y | N | X |  |
|  |  | Do you plan how you're going to monitor system participants? | | | | | Y | N | X |  |
|  |  | Do you plan how you're going to monitor system procedures? | | | | | Y | N | X |  |
|  |  | Do you plan how you're going to monitor system practices? | | | | | Y | N | X |  |
|  |  | Do you plan how you're going to monitor system records? | | | | | Y | N | X |  |
|  |  | Do you plan how you're going to monitor system inputs? | | | | | Y | N | X |  |
|  |  | | Do you plan how you're going to monitor internal system inputs? | | | | Y | N | X |  |
|  |  | | Do you plan how you're going to monitor external system inputs? | | | | Y | N | X |  |
|  |  | Do you plan how you're going to monitor system technologies? | | | | | Y | N | X |  |
|  |  | | Do you plan how you're going to monitor system tools and equipment? | | | | Y | N | X |  |
|  |  | | | Do you plan how you're going to monitor system monitoring devices? | | | Y | N | X |  |
|  |  | | | | Do you plan how you're going to recall monitoring tools  and equipment that must be recalibrated or reverified? | | Y | N | X |  |
|  |  | | | Do you plan how you're going to monitor system measurement devices? | | | Y | N | X |  |
|  |  | | | | Do you plan how you're going to recall measurement tools  and equipment that must be recalibrated or reverified? | | Y | N | X |  |
|  | Do you plan how you're going to monitor system environment? | | | | | | Y | N | X |  |
|  |  | Do you plan how you're going to monitor your system's external context? | | | | | Y | N | X |  |
|  |  | | Do you figure out how you're going to monitor the external  issues and factors that could affect your system? | | | | Y | N | X |  |
|  |  | | Do you figure out how you're going to monitor the external  interested parties that could affect your system? | | | | Y | N | X |  |
|  |  | Do you plan how you're going to monitor your system's internal context? | | | | | Y | N | X |  |
|  |  | | Do you figure out how you're going to monitor the internal  issues and factors that could affect your system? | | | | Y | N | X |  |
|  |  | | Do you figure out how you're going to monitor the internal  interested parties that could affect your system? | | | | Y | N | X |  |
| 4.1.3 Assess how well monitoring duties are distributed | | | | | | | | | | |
|  | Do you allocate responsibility and authority for monitoring system plans? | | | | | | Y | N | X |  |
|  | Do you allocate responsibility and authority for monitoring system policies? | | | | | | Y | N | X |  |
|  | Do you allocate responsibility and authority for monitoring system outputs? | | | | | | Y | N | X |  |
|  | Do you allocate responsibility and authority for monitoring system supplies? | | | | | | Y | N | X |  |
|  | Do you allocate responsibility and authority for monitoring system materials? | | | | | | Y | N | X |  |
|  | Do you allocate responsibility and authority for monitoring system hardware? | | | | | | Y | N | X |  |
|  | Do you allocate responsibility and authority for monitoring system software? | | | | | | Y | N | X |  |
|  | Do you allocate responsibility and authority for monitoring system services? | | | | | | Y | N | X |  |
|  | Do you allocate responsibility and authority for monitoring system products? | | | | | | Y | N | X |  |
|  | Do you allocate responsibility and authority for monitoring system property? | | | | | | Y | N | X |  |
|  | Do you allocate responsibility and authority for monitoring system providers? | | | | | | Y | N | X |  |
|  | Do you allocate responsibility and authority for monitoring system objectives? | | | | | | Y | N | X |  |
|  | Do you allocate responsibility and authority for monitoring system documents? | | | | | | Y | N | X |  |
|  | Do you allocate responsibility and authority for monitoring system participants? | | | | | | Y | N | X |  |
|  | Do you allocate responsibility and authority for monitoring system components? | | | | | | Y | N | X |  |
|  | Do you allocate responsibility and authority for monitoring system technologies? | | | | | | Y | N | X |  |
|  | Do you allocate responsibility and authority for monitoring system characteristics? | | | | | | Y | N | X |  |
|  | Do you allocate responsibility and authority for monitoring system requirements? | | | | | | Y | N | X |  |
|  | Do you allocate responsibility and authority for monitoring system infrastructure? | | | | | | Y | N | X |  |
|  | Do you allocate responsibility and authority for monitoring system environment? | | | | | | Y | N | X |  |
|  | Do you allocate responsibility and authority for monitoring system procedures? | | | | | | Y | N | X |  |
|  | Do you allocate responsibility and authority for monitoring system practices? | | | | | | Y | N | X |  |
|  | Do you allocate responsibility and authority for monitoring system records? | | | | | | Y | N | X |  |
|  | Do you allocate responsibility and authority for monitoring system parties? | | | | | | Y | N | X |  |
|  | Do you allocate responsibility and authority for monitoring system inputs? | | | | | | Y | N | X |  |
| 4.2 Assess how well monitoring methods are performing | | | | | | | | | | |
| 4.2.1 Assess how effective monitoring methods are | | | | | | | | | | |
|  | Do you select monitoring resources that are fit for purpose? | | | | | | Y | N | X |  |
|  |  | Do you select monitoring resources that will yield valid and reliable results? | | | | | Y | N | X |  |
|  |  | Do you select monitoring resources that can handle your unique circumstances? | | | | | Y | N | X |  |
|  |  | Do you select monitoring resources that will ensure that outputs meet requirements? | | | | | Y | N | X |  |
|  |  | Do you select monitoring resources that are capable of providing the information you need? | | | | | Y | N | X |  |
| 4.2.2 Assess how accurate monitoring methods are | | | | | | | | | | |
|  | Do you validate monitoring resources before you use them? | | | | | | Y | N | X |  |
|  |  | Do you validate tools before they are used to monitor management system? | | | | | Y | N | X |  |
|  |  | Do you validate equipment before it is used to monitor management system? | | | | | Y | N | X |  |
|  |  | Do you validate software before it is used to monitor management system? | | | | | Y | N | X |  |
| 4.3 Assess how well resources are used to monitor system | | | | | | | | | | |
| 4.3.1 Assess the expertise used to monitor your system | | | | | | | | | | |
|  | Do you provide the expertise needed to ensure that monitoring  methods will consistently yield valid and reliable results? | | | | | | Y | N | X |  |
|  |  | Do you provide the managers needed to monitor your system? | | | | | Y | N | X |  |
|  |  | | Do you acquire the knowledge that managers need to support  system monitoring and achieve conformity of outputs? | | | | Y | N | X |  |
|  |  | | Do you share the knowledge that managers need so that they can  support system monitoring and achieve conformity of outputs? | | | | Y | N | X |  |
|  |  | | | Do you deliver training and awareness programmes  for managers of system monitoring activities? | | | Y | N | X |  |
|  |  | Do you provide the personnel needed to monitor your system? | | | | | Y | N | X |  |
|  |  | | Do you acquire the knowledge that personnel need to monitor  your system and achieve conformity of outputs? | | | | Y | N | X |  |
|  |  | | | Do you consider internal sources of knowledge about system monitoring? | | | Y | N | X |  |
|  |  | | | Do you consider external sources of knowledge about system monitoring? | | | Y | N | X |  |
|  |  | | Do you share the knowledge that personnel need to  monitor system and achieve conformity of outputs? | | | | Y | N | X |  |
|  |  | | | Do you deliver suitable training and awareness  programmes for system monitoring personnel? | | | Y | N | X |  |
| 4.3.2 Assess the technology used to monitor your system | | | | | | | | | | |
|  | Do you provide the technology needed to ensure that your monitoring methods will yield valid and reliable results? | | | | | | Y | N | X |  |
|  |  | Do you provide the software needed to monitor your system? | | | | | Y | N | X |  |
|  |  | | Do you provide the software needed to support system  monitoring and achieve conformity of outputs? | | | | Y | N | X |  |
|  |  | Do you provide the hardware needed to monitor your system? | | | | | Y | N | X |  |
|  |  | | Do you provide the hardware needed to support system  monitoring and achieve conformity of outputs? | | | | Y | N | X |  |
| 4.3.3 Assess the infrastructure used to monitor your system | | | | | | | | | | |
|  | Do you provide the infrastructure needed to ensure that your monitoring methods will yield valid and reliable results? | | | | | | Y | N | X |  |
|  |  | Do you provide the infrastructure needed to support your system monitoring and achieve conformity of outputs? | | | | | Y | N | X |  |
| 4.4 Assess how well management system is being monitored | | | | | | | | | | |
| 4.4.1 Assess the methods used to monitor system activities | | | | | | | | | | |
|  | Do you use authorized methods to monitor system management activities? | | | | | | Y | N | X |  |
|  |  | Do you monitor how well system management activities meet expectations? | | | | | Y | N | X |  |
|  |  | | Do you monitor how well system management activities apply policies? | | | | Y | N | X |  |
|  |  | | Do you monitor how well system management activities implement plans? | | | | Y | N | X |  |
|  |  | | Do you monitor how well system management activities follow procedures? | | | | Y | N | X |  |
|  |  | | Do you monitor how well system management activities achieve objectives? | | | | Y | N | X |  |
|  |  | | Do you monitor how well system management activities comply with requirements? | | | | Y | N | X |  |
|  | Do you use authorized methods to monitor system operating activities? | | | | | | Y | N | X |  |
|  |  | Do you monitor how well system operating activities meet expectations? | | | | | Y | N | X |  |
|  |  | | Do you monitor how well system operating activities apply policies? | | | | Y | N | X |  |
|  |  | | Do you monitor how well system operating activities implement plans? | | | | Y | N | X |  |
|  |  | | Do you monitor how well system operating activities follow procedures? | | | | Y | N | X |  |
|  |  | | Do you monitor how well system operating activities achieve objectives? | | | | Y | N | X |  |
|  |  | | Do you monitor how well system operating activities comply with requirements? | | | | Y | N | X |  |
|  | Do you use authorized methods to monitor system maintenance activities? | | | | | | Y | N | X |  |
|  |  | Do you monitor how well system maintenance activities meet expectations? | | | | | Y | N | X |  |
|  |  | | Do you monitor how well system maintenance activities apply policies? | | | | Y | N | X |  |
|  |  | | Do you monitor how well system maintenance activities implement plans? | | | | Y | N | X |  |
|  |  | | Do you monitor how well system maintenance activities follow procedures? | | | | Y | N | X |  |
|  |  | | Do you monitor how well system maintenance activities achieve objectives? | | | | Y | N | X |  |
|  |  | | Do you monitor how well system maintenance activities comply with requirements? | | | | Y | N | X |  |
|  | Do you use authorized methods to monitor system measurement activities? | | | | | | Y | N | X |  |
|  |  | Do you monitor how well system measurement activities meet expectations? | | | | | Y | N | X |  |
|  |  | | Do you monitor how well system measurement activities apply policies? | | | | Y | N | X |  |
|  |  | | Do you monitor how well system measurement activities implement plans? | | | | Y | N | X |  |
|  |  | | Do you monitor how well system measurement activities follow procedures? | | | | Y | N | X |  |
|  |  | | Do you monitor how well system measurement activities achieve objectives? | | | | Y | N | X |  |
|  |  | | Do you monitor how well system measurement activities comply with requirements? | | | | Y | N | X |  |
|  | Do you use authorized methods to monitor system monitoring activities? | | | | | | Y | N | X |  |
|  |  | Do you monitor how well system monitoring activities meet expectations? | | | | | Y | N | X |  |
|  |  | | Do you monitor how well system monitoring activities apply policies? | | | | Y | N | X |  |
|  |  | | Do you monitor how well system monitoring activities implement plans? | | | | Y | N | X |  |
|  |  | | Do you monitor how well system monitoring activities follow procedures? | | | | Y | N | X |  |
|  |  | | Do you monitor how well system monitoring activities achieve objectives? | | | | Y | N | X |  |
|  |  | | Do you monitor how well system monitoring activities comply with requirements? | | | | Y | N | X |  |
|  | Do you use authorized methods to monitor system control activities? | | | | | | Y | N | X |  |
|  |  | Do you monitor how well system control activities meet expectations? | | | | | Y | N | X |  |
|  |  | | Do you monitor how well system control activities apply policies? | | | | Y | N | X |  |
|  |  | | Do you monitor how well system control activities implement plans? | | | | Y | N | X |  |
|  |  | | Do you monitor how well system control activities follow procedures? | | | | Y | N | X |  |
|  |  | | Do you monitor how well system control activities achieve objectives? | | | | Y | N | X |  |
|  |  | | Do you monitor how well system control activities comply with requirements? | | | | Y | N | X |  |
|  | Do you use authorized methods to monitor system evaluation activities? | | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor system audit activities? | | | | | Y | N | X |  |
|  |  | | Do you monitor how well system audit activities meet expectations? | | | | Y | N | X |  |
|  |  | | | Do you monitor how well system audit activities apply policies? | | | Y | N | X |  |
|  |  | | | Do you monitor how well system audit activities implement plans? | | | Y | N | X |  |
|  |  | | | Do you monitor how well system audit activities follow procedures? | | | Y | N | X |  |
|  |  | | | Do you monitor how well system audit activities achieve objectives? | | | Y | N | X |  |
|  |  | | | Do you monitor how well system audit activities comply with requirements? | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor system review activities? | | | | | Y | N | X |  |
|  |  | | Do you monitor how well system review activities meet expectations? | | | | Y | N | X |  |
|  |  | | | Do you monitor how well system review activities apply policies? | | | Y | N | X |  |
|  |  | | | Do you monitor how well system review activities implement plans? | | | Y | N | X |  |
|  |  | | | Do you monitor how well system review activities follow procedures? | | | Y | N | X |  |
|  |  | | | Do you monitor how well system review activities achieve objectives? | | | Y | N | X |  |
|  |  | | | Do you monitor how well system review activities comply with requirements? | | | Y | N | X |  |
|  | Do you use authorized methods to monitor system change activities? | | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor system correction activities? | | | | | Y | N | X |  |
|  |  | | Do you monitor how well system correction activities meet expectations? | | | | Y | N | X |  |
|  |  | | | Do you monitor how well system correction activities apply policies? | | | Y | N | X |  |
|  |  | | | Do you monitor how well system correction activities implement plans? | | | Y | N | X |  |
|  |  | | | Do you monitor how well system correction activities follow procedures? | | | Y | N | X |  |
|  |  | | | Do you monitor how well system correction activities achieve objectives? | | | Y | N | X |  |
|  |  | | | Do you monitor how well system correction activities comply with requirements? | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor system improvement activities? | | | | | Y | N | X |  |
|  |  | | Do you monitor how well system improvement activities meet expectations? | | | | Y | N | X |  |
|  |  | | | Do you monitor how well system improvement activities apply policies? | | | Y | N | X |  |
|  |  | | | Do you monitor how well system improvement activities implement plans? | | | Y | N | X |  |
|  |  | | | Do you monitor how well system improvement activities follow procedures? | | | Y | N | X |  |
|  |  | | | Do you monitor how well system improvement activities achieve objectives? | | | Y | N | X |  |
|  |  | | | Do you monitor how well system improvement activities comply with requirements? | | | Y | N | X |  |
| 4.4.2 Assess the methods used to monitor system outputs | | | | | | | | | | |
|  | Do you use authorized methods to monitor how well system outputs meet expectations? | | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor how well system outputs apply policies? | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor how well system outputs implement plans? | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor how well system outputs follow procedures? | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor how well system outputs achieve objectives? | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor how well system outputs comply with requirements? | | | | | Y | N | X |  |
|  |  | | Do you use authorized methods to monitor how well outputs meet customer requirements? | | | | Y | N | X |  |
|  |  | | Do you use authorized methods to monitor how well outputs meet regulatory requirements? | | | | Y | N | X |  |
|  |  | | Do you use authorized methods to monitor how well outputs meet corporate requirements? | | | | Y | N | X |  |
| 4.4.3 Assess the methods used to monitor system inputs | | | | | | | | | | |
|  | Do you use authorized methods to monitor supplies that have a major impact on outputs? | | | | | | Y | N | X |  |
|  | Do you use authorized methods to monitor services that have a major impact on outputs? | | | | | | Y | N | X |  |
|  | Do you use authorized methods to monitor materials that have a major impact on outputs? | | | | | | Y | N | X |  |
|  | Do you use authorized methods to monitor products that have a major impact on outputs? | | | | | | Y | N | X |  |
|  | Do you use authorized methods to monitor components that have a major impact on outputs? | | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor your “critical items” and “key characteristics”? | | | | | Y | N | X |  |
| 4.4.4 Assess the methods used to monitor system documents | | | | | | | | | | |
|  | Do you use authorized methods to monitor documents that specify how system is operated? | | | | | | Y | N | X |  |
|  | Do you use authorized methods to monitor documents that specify how system is maintained? | | | | | | Y | N | X |  |
|  | Do you use authorized methods to monitor documents that specify how system is monitored? | | | | | | Y | N | X |  |
|  | Do you use authorized methods to monitor documents that specify how system is measured? | | | | | | Y | N | X |  |
|  | Do you use authorized methods to monitor documents that specify how system is controlled? | | | | | | Y | N | X |  |
|  | Do you use authorized methods to monitor documents that specify how system is audited? | | | | | | Y | N | X |  |
|  | Do you use authorized methods to monitor documents that specify how system is reviewed? | | | | | | Y | N | X |  |
|  | Do you use authorized methods to monitor documents that specify how system is corrected? | | | | | | Y | N | X |  |
|  | Do you use authorized methods to monitor documents that specify how system is improved? | | | | | | Y | N | X |  |
| 4.4.5 Assess the methods used to monitor system records | | | | | | | | | | |
|  | Do you use authorized methods to monitor records of personnel performance and competence? | | | | | | Y | N | X |  |
|  |  | Do you retain and maintain records of personnel performance and competence? | | | | | Y | N | X |  |
|  |  | | Do you use records to show that personnel know how to perform system tasks? | | | | Y | N | X |  |
|  | Do you use authorized methods to monitor records that track the performance of your system? | | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor records that keep track of system operations? | | | | | Y | N | X |  |
|  |  | | Do you use authorized methods to monitor records that keep track of system outputs? | | | | Y | N | X |  |
|  |  | | Do you use authorized methods to monitor records that keep track of system activities? | | | | Y | N | X |  |
|  |  | | Do you use authorized methods to monitor records that keep track of system inputs? | | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor records that keep track of system maintenance? | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor records that keep track of system measurement? | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor records that keep track of system monitoring? | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor records that keep track of system control? | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor records that keep track of system audits? | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor records that keep track of system reviews? | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor records that keep track of system corrections? | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor records that keep track of system improvements? | | | | | Y | N | X |  |
| 4.4.6 Assess the methods used to monitor system property | | | | | | | | | | |
|  | Do you use authorized methods to monitor system property owned by your  customers and suppliers that is needed to achieve conformity of outputs? | | | | | | Y | N | X |  |
|  |  | Do you report problematic property to your customers and external providers? | | | | | Y | N | X |  |
|  |  | | Do you report unsuitable property to customers and external providers? | | | | Y | N | X |  |
|  |  | | Do you report lost or damaged property to customers and external providers? | | | | Y | N | X |  |
|  | Do you use authorized methods to monitor system property owned by  your organization that is needed to achieve conformity of outputs? | | | | | | Y | N | X |  |
| 4.4.7 Assess the methods used to monitor system participants | | | | | | | | | | |
|  | Do you use authorized methods to monitor system personnel? | | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor objectives that system personnel must achieve? | | | | | Y | N | X |  |
|  |  | | Do you use authorized methods to monitor safety objectives that personnel must achieve? | | | | Y | N | X |  |
|  |  | | Do you use authorized methods to monitor quality objectives that personnel must achieve? | | | | Y | N | X |  |
|  |  | | Do you use authorized methods to monitor privacy objectives that personnel must achieve? | | | | Y | N | X |  |
|  |  | | Do you use authorized methods to monitor security objectives that personnel must achieve? | | | | Y | N | X |  |
|  |  | | Do you use authorized methods to monitor business objectives that personnel must achieve? | | | | Y | N | X |  |
|  |  | | Do you use authorized methods to monitor technical objectives that personnel must achieve? | | | | Y | N | X |  |
|  |  | | Do you use authorized methods to monitor continuity objectives that personnel must achieve? | | | | Y | N | X |  |
|  |  | | Do you use authorized methods to monitor environmental objectives that personnel must achieve? | | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor competence and performance of system personnel? | | | | | Y | N | X |  |
|  |  | | Do you use authorized methods to monitor system knowledge and skill that has been acquired? | | | | Y | N | X |  |
|  |  | | | Do you consider the need to protect and preserve system lessons learned? | | | Y | N | X |  |
|  |  | | | Do you consider the need to protect and preserve your intellectual property? | | | Y | N | X |  |
|  |  | | Do you use authorized methods to monitor changes and trends in knowledge and information? | | | | Y | N | X |  |
|  | Do you use authorized methods to monitor system management? | | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor system management personnel? | | | | | Y | N | X |  |
|  | Do you use authorized methods to monitor external providers? | | | | | | Y | N | X |  |
|  |  | Do you use authorized criteria to monitor the performance of external providers? | | | | | Y | N | X |  |
|  |  | | Do you use authorized criteria to monitor verification activities delegated to external providers? | | | | Y | N | X |  |
|  | Do you use authorized methods to monitor interested parties? | | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor external parties that could influence system? | | | | | Y | N | X |  |
|  |  | | Do you monitor the performance of external system, product, and service providers? | | | | Y | N | X |  |
|  |  | | | Do system managers use data and criteria  to monitor the performance of their external providers? | | | Y | N | X |  |
|  |  | | | | Do system managers document performance  monitoring activities and retain these documents? | | Y | N | X |  |
|  |  | | | | | Do system managers control documents  that describe their performance monitoring activities? | Y | N | X |  |
|  |  | | Do you monitor external system, product, and service verification activities? | | | | Y | N | X |  |
|  |  | | | Do you monitor verifications whenever they are delegated to external providers? | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor internal parties that could influence system? | | | | | Y | N | X |  |
| 4.4.8 Assess the methods used to monitor system technologies | | | | | | | | | | |
|  | Do you use authorized methods to monitor technology used to perform system operations? | | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor software used to perform system operations? | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor hardware used to perform system operations? | | | | | Y | N | X |  |
|  | Do you use authorized methods to monitor technology used to automate system operations? | | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor software used to automate system operations? | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor hardware used to automate system operations? | | | | | Y | N | X |  |
|  | Do you use authorized methods to monitor technology used to maintain system operations? | | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor software used to maintain system operations? | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor hardware used to maintain system operations? | | | | | Y | N | X |  |
|  | Do you use authorized methods to monitor technology used to monitor system operations? | | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor software used to monitor system operations? | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor hardware used to monitor system operations? | | | | | Y | N | X |  |
|  | Do you use authorized methods to monitor technology used to measure system operations? | | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor software used to measure system operations? | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor hardware used to measure system operations? | | | | | Y | N | X |  |
|  | Do you use authorized methods to monitor technology used to control system operations? | | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor software used to control system operations? | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor hardware used to control system operations? | | | | | Y | N | X |  |
| 4.4.9 Assess the methods used to monitor system environment | | | | | | | | | | |
|  | Do you use authorized methods to monitor your system's external environment? | | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor external interested parties and their requirements? | | | | | Y | N | X |  |
|  | Do you use authorized methods to monitor your system's internal environment? | | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor internal interested parties and their requirements? | | | | | Y | N | X |  |
| 4.4.10 Assess the methods used to monitor system infrastructure | | | | | | | | | | |
|  | Do you use authorized methods to monitor system networks and communications? | | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor internal system networks and communications? | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to monitor external system networks and communications? | | | | | Y | N | X |  |
|  | Do you use authorized methods to monitor system utilities and support services? | | | | | | Y | N | X |  |
| 4.5 Assess how well monitoring resources are being controlled | | | | | | | | | | |
| 4.5.1 Assess how well monitoring technologies are being controlled | | | | | | | | | | |
|  | Do you control the technology needed to monitor your system? | | | | | | Y | N | X |  |
|  |  | Do you control the tools needed to monitor your system? | | | | | Y | N | X |  |
|  |  | Do you control the software needed to monitor your system? | | | | | Y | N | X |  |
|  |  | Do you control the equipment needed to monitor your system? | | | | | Y | N | X |  |
| 4.5.2 Assess how well monitoring records are being controlled | | | | | | | | | | |
|  | Do you control the records needed to monitor your system? | | | | | | Y | N | X |  |
|  |  | Do you establish a register of your system monitoring resources? | | | | | Y | N | X |  |
|  |  | | Do you ensure that your monitoring resources continue to be fit for purpose? | | | | Y | N | X |  |
|  |  | | | Do you ensure that register describes the type of monitoring tools and equipment in use? | | | Y | N | X |  |
|  |  | | | Do you ensure that register specifies the location of your monitoring tools and equipment? | | | Y | N | X |  |
|  |  | | | Do you ensure that register tracks the calibration of your monitoring tools and equipment? | | | Y | N | X |  |
|  |  | | | | Do you ensure that your register records equipment calibration or verification methods? | | Y | N | X |  |
|  |  | | | | | Do you ensure that your register records calibration or verification acceptance criteria? | Y | N | X |  |
|  |  | | | | Do you ensure that register specifies equipment calibration or verification frequency? | | Y | N | X |  |
|  |  | Do you maintain a register of your system monitoring resources? | | | | | Y | N | X |  |
|  |  | | Do you maintain records that show that monitoring resources are still fit for purpose? | | | | Y | N | X |  |
|  |  | | | Do you control records that show that monitoring resources are still fit for purpose? | | | Y | N | X |  |
| Answer each of the above questions. Three answers are possible: Y (yes), N (no), and X (eXclude). Y means you're in compliance,  N means you're not in compliance, while X means that this question can be excluded because it’s not applicable in your situation.  Y answers and X answers require no further action, while N answers point to things that need to be done to improve the  overall performance of your system. Also, please use the column on the right to record your notes, and in the spaces  below, enter the name and location of your organization, who completed this page, who reviewed it, and the dates. | | | | | | | | | | |

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 5.1 Assess how well control activities are being planned | | | | | | | | | | | |
| 5.1.1 Assess the steps taken to plan how outputs are controlled | | | | | | | | | | | |
|  | Do you figure out how you're going to control your system outputs? | | | | | | | Y | N | X |  |
|  |  | Do you consider output requirements as you develop output controls? | | | | | | Y | N | X |  |
|  |  | | Do you consider privacy requirements as you develop output controls? | | | | | Y | N | X |  |
|  |  | | Do you consider safety requirements as you develop output controls? | | | | | Y | N | X |  |
|  |  | | | Do you consider personnel safety requirements as you develop output controls? | | | | Y | N | X |  |
|  |  | | Do you consider quality requirements as you develop output controls? | | | | | Y | N | X |  |
|  |  | | | Do you consider reliability requirements as you develop output controls? | | | | Y | N | X |  |
|  |  | | | Do you consider purity requirements as you develop output controls? | | | | Y | N | X |  |
|  |  | | | | Do you consider the need to control undesirable foreign objects? | | | Y | N | X |  |
|  |  | | | | | Do you consider the need to detect undesirable foreign objects? | | Y | N | X |  |
|  |  | | | | | Do you consider the need to remove undesirable foreign objects? | | Y | N | X |  |
|  |  | | | | | Do you consider the need to prevent undesirable foreign objects? | | Y | N | X |  |
|  |  | | | Do you consider suitability requirements as you develop output controls? | | | | Y | N | X |  |
|  |  | | | | Do you consider suitability requirements for parts and materials to be used in outputs? | | | Y | N | X |  |
|  |  | | | | Do you consider suitability requirements for software to be embedded in outputs? | | | Y | N | X |  |
|  |  | | | | | Do you consider suitability requirements for software that you plan to purchase? | | Y | N | X |  |
|  |  | | | | | Do you consider suitability requirements for software that you plan to develop? | | Y | N | X |  |
|  |  | | | Do you consider maintenance requirements as you develop output controls? | | | | Y | N | X |  |
|  |  | | | | Do you consider maintainability requirements as you develop output controls? | | | Y | N | X |  |
|  |  | | Do you consider security requirements as you develop output controls? | | | | | Y | N | X |  |
|  |  | | | Do you consider handling requirements as you develop output controls? | | | | Y | N | X |  |
|  |  | | | Do you consider packaging requirements as you develop output controls? | | | | Y | N | X |  |
|  |  | | | Do you consider availability requirements as you develop output controls? | | | | Y | N | X |  |
|  |  | | | Do you consider preservation requirements as you develop output controls? | | | | Y | N | X |  |
|  |  | | | Do you consider obsolescence requirements as you develop output controls? | | | | Y | N | X |  |
|  |  | | | | Do you consider recycling requirements as you develop output controls? | | | Y | N | X |  |
|  |  | | | | Do you consider disposal requirements as you develop output controls? | | | Y | N | X |  |
|  |  | | | | | Do you consider final disposal requirements as you develop output controls? | | Y | N | X |  |
|  |  | | Do you consider production requirements as you develop output controls? | | | | | Y | N | X |  |
|  |  | | | Do you consider producibility requirements as you develop output controls? | | | | Y | N | X |  |
|  |  | | Do you consider measurement requirements as you develop output controls? | | | | | Y | N | X |  |
|  |  | | Do you consider monitoring requirements as you develop output controls? | | | | | Y | N | X |  |
|  |  | | | Do you consider inspectability requirements as you develop output controls? | | | | Y | N | X |  |
| 5.1.2 Assess the steps taken to plan how inputs are controlled | | | | | | | | | | | |
|  | Do you figure out how you're going to control your system inputs? | | | | | | | Y | N | X |  |
|  |  | Do you consider system input requirements as you develop input controls? | | | | | | Y | N | X |  |
|  |  | | Do you consider input privacy requirements as you develop input controls? | | | | | Y | N | X |  |
|  |  | | Do you consider input safety requirements as you develop input controls? | | | | | Y | N | X |  |
|  |  | | Do you consider input security requirements as you develop input controls? | | | | | Y | N | X |  |
|  |  | | Do you consider input quality requirements as you develop input controls? | | | | | Y | N | X |  |
|  |  | | | Do you consider input reliability requirements as you develop input controls? | | | | Y | N | X |  |
|  |  | | | Do you consider input purity requirements as you develop input controls? | | | | Y | N | X |  |
|  |  | | | | Do you consider the need to control foreign objects that could compromise inputs? | | | Y | N | X |  |
|  |  | | | | | Do you consider the need to detect foreign objects that could compromise inputs? | | Y | N | X |  |
|  |  | | | | | Do you consider the need to remove foreign objects that could compromise inputs? | | Y | N | X |  |
|  |  | | | | | Do you consider the need to prevent foreign objects that could compromise inputs? | | Y | N | X |  |
|  |  | | Do you consider input availability requirements as you develop input controls? | | | | | Y | N | X |  |
|  |  | | Do you consider input suitability requirements as you develop input controls? | | | | | Y | N | X |  |
|  |  | | | Do you consider suitability requirements for parts and materials to be used by system? | | | | Y | N | X |  |
|  |  | | | Do you consider suitability requirements for software programmes to be used by system? | | | | Y | N | X |  |
|  |  | | Do you consider input storage requirements as you develop input controls? | | | | | Y | N | X |  |
|  |  | | Do you consider input handling requirements as you develop input controls? | | | | | Y | N | X |  |
|  |  | | Do you consider input monitoring requirements as you develop input controls? | | | | | Y | N | X |  |
|  |  | | Do you consider input maintenance requirements as you develop input controls? | | | | | Y | N | X |  |
|  |  | | Do you consider input measurement requirements as you develop input controls? | | | | | Y | N | X |  |
|  |  | | Do you consider input preservation requirements as you develop input controls? | | | | | Y | N | X |  |
| 5.1.3 Assess the steps taken to plan how activities are controlled | | | | | | | | | | | |
|  | Do you figure out how you're going to control your system activities? | | | | | | | Y | N | X |  |
|  |  | Do you consider system safety requirements as you develop system controls? | | | | | | Y | N | X |  |
|  |  | Do you consider system privacy requirements as you develop system controls? | | | | | | Y | N | X |  |
|  |  | Do you consider system quality requirements as you develop system controls? | | | | | | Y | N | X |  |
|  |  | Do you consider system security requirements as you develop system controls? | | | | | | Y | N | X |  |
|  |  | Do you consider system reliability requirements as you develop system controls? | | | | | | Y | N | X |  |
|  |  | Do you consider system monitoring requirements as you develop system controls? | | | | | | Y | N | X |  |
|  |  | Do you consider system measurement requirements as you develop system controls? | | | | | | Y | N | X |  |
|  |  | Do you consider system improvement requirements as you develop system controls? | | | | | | Y | N | X |  |
|  |  | Do you consider system maintenance requirements as you develop system controls? | | | | | | Y | N | X |  |
|  |  | Do you consider system evaluation requirements as you develop system controls? | | | | | | Y | N | X |  |
|  |  | Do you consider system correction requirements as you develop system controls? | | | | | | Y | N | X |  |
|  |  | Do you consider system reporting requirements as you develop system controls? | | | | | | Y | N | X |  |
|  |  | Do you consider system review requirements as you develop system controls? | | | | | | Y | N | X |  |
|  |  | Do you consider system audit requirements as you develop system controls? | | | | | | Y | N | X |  |
| 5.1.4 Assess the steps taken to plan how providers are controlled | | | | | | | | | | | |
|  | Do you figure out how you're going to control your external providers? | | | | | | | Y | N | X |  |
|  |  | Do you consider the requirements that external process providers must meet? | | | | | | Y | N | X |  |
|  |  | Do you consider the requirements that external product providers must meet? | | | | | | Y | N | X |  |
|  |  | Do you consider the requirements that external service providers must meet? | | | | | | Y | N | X |  |
|  | Do you figure out how you're going to control your internal providers? | | | | | | | Y | N | X |  |
|  |  | Do you consider the requirements that internal process providers must meet? | | | | | | Y | N | X |  |
|  |  | Do you consider the requirements that internal product providers must meet? | | | | | | Y | N | X |  |
|  |  | Do you consider the requirements that internal service providers must meet? | | | | | | Y | N | X |  |
| 5.2 Assess how well controls are designed and developed | | | | | | | | | | | |
| 5.2.1 Assess the steps taken to develop ways of controlling elements | | | | | | | | | | | |
|  | Do you develop controlled conditions for system outputs? | | | | | | | Y | N | X |  |
|  |  | Do you develop ways of controlling your system outputs? | | | | | | Y | N | X |  |
|  |  | | Do you develop ways of controlling the quality of system outputs? | | | | | Y | N | X |  |
|  |  | | | Do you develop ways of controlling the reliability of system outputs? | | | | Y | N | X |  |
|  |  | | | Do you develop ways of controlling the suitability of system outputs? | | | | Y | N | X |  |
|  |  | | | | Do you develop ways of controlling the suitability of parts and materials to be used in outputs? | | | Y | N | X |  |
|  |  | | | | Do you develop ways of controlling the suitability of software to be embedded into outputs? | | | Y | N | X |  |
|  |  | | | | | Do you develop ways of controlling the suitability of software that you plan to purchase? | | Y | N | X |  |
|  |  | | | | | Do you develop ways of controlling the suitability of software that you plan to develop? | | Y | N | X |  |
|  |  | | | Do you develop ways of controlling the purity of system outputs? | | | | Y | N | X |  |
|  |  | | | | Do you develop ways of controlling foreign objects that could affect your outputs? | | | Y | N | X |  |
|  |  | | | | | Do you develop ways of detecting foreign objects that could compromise quality of outputs? | | Y | N | X |  |
|  |  | | | | | Do you develop ways of removing foreign objects that could compromise quality of outputs? | | Y | N | X |  |
|  |  | | | | | Do you develop ways of preventing foreign objects that could compromise quality of outputs? | | Y | N | X |  |
|  |  | | Do you develop ways of controlling the safety of outputs? | | | | | Y | N | X |  |
|  |  | | | Do you develop ways of ensuring that outputs can be safely produced? | | | | Y | N | X |  |
|  |  | | | Do you develop ways of ensuring that outputs can be safely packaged? | | | | Y | N | X |  |
|  |  | | | Do you develop ways of ensuring that outputs can be safely delivered? | | | | Y | N | X |  |
|  |  | | | Do you develop ways of ensuring that outputs can be safely handled? | | | | Y | N | X |  |
|  |  | | | Do you develop ways of ensuring that outputs can be safely stored? | | | | Y | N | X |  |
|  |  | | | Do you develop ways of ensuring that outputs can be safely used? | | | | Y | N | X |  |
|  |  | | | Do you develop ways of ensuring that outputs can be safely repaired? | | | | Y | N | X |  |
|  |  | | | Do you develop ways of ensuring that outputs can be safely maintained? | | | | Y | N | X |  |
|  |  | | | Do you develop ways of ensuring that outputs can be safely preserved? | | | | Y | N | X |  |
|  |  | | | Do you develop ways of ensuring that outputs can be safely destroyed? | | | | Y | N | X |  |
|  |  | | | Do you develop ways of ensuring that outputs can be safely recycled? | | | | Y | N | X |  |
|  |  | | Do you develop ways of controlling the security of outputs? | | | | | Y | N | X |  |
|  |  | | | Do you develop ways of ensuring that outputs can be securely produced? | | | | Y | N | X |  |
|  |  | | | Do you develop ways of ensuring that outputs can be securely packaged? | | | | Y | N | X |  |
|  |  | | | Do you develop ways of ensuring that outputs can be securely delivered? | | | | Y | N | X |  |
|  |  | | | Do you develop ways of ensuring that outputs can be securely handled? | | | | Y | N | X |  |
|  |  | | | Do you develop ways of ensuring that outputs can be securely stored? | | | | Y | N | X |  |
|  |  | | | Do you develop ways of ensuring that outputs can be securely used? | | | | Y | N | X |  |
|  |  | | | Do you develop ways of ensuring that outputs can be securely repaired? | | | | Y | N | X |  |
|  |  | | | Do you develop ways of ensuring that outputs can be securely maintained? | | | | Y | N | X |  |
|  |  | | | Do you develop ways of ensuring that outputs can be securely preserved? | | | | Y | N | X |  |
|  |  | | | Do you develop ways of ensuring that outputs can be securely destroyed? | | | | Y | N | X |  |
|  | Do you develop controlled conditions for system inputs? | | | | | | | Y | N | X |  |
|  |  | Do you develop ways of controlling your system inputs? | | | | | | Y | N | X |  |
|  |  | | Do you develop ways of controlling the quality of system inputs? | | | | | Y | N | X |  |
|  |  | | | Do you develop ways of controlling the purity of system inputs? | | | | Y | N | X |  |
|  |  | | | | Do you develop ways of controlling foreign objects that compromise the quality of inputs? | | | Y | N | X |  |
|  |  | | | | | Do you develop ways of detecting foreign objects that compromise the quality of inputs? | | Y | N | X |  |
|  |  | | | | | Do you develop ways of removing foreign objects that compromise the quality of inputs? | | Y | N | X |  |
|  |  | | | | | Do you develop ways of preventing foreign objects that compromise the quality of inputs? | | Y | N | X |  |
|  |  | | | Do you develop ways of controlling the suitability of system inputs? | | | | Y | N | X |  |
|  |  | | | | Do you develop ways of controlling the suitability of parts and materials to be used as inputs? | | | Y | N | X |  |
|  |  | | | | Do you develop ways of controlling the suitability of software that is embedded in inputs? | | | Y | N | X |  |
|  |  | | | Do you develop ways of controlling the acceptability of system inputs? | | | | Y | N | X |  |
|  |  | | | | Do you develop acceptance criteria for your system inputs? | | | Y | N | X |  |
|  |  | | | | | Do you develop methods and procedures for testing system inputs? | | Y | N | X |  |
|  |  | | | | | Do you develop methods and procedures for inspecting system inputs? | | Y | N | X |  |
|  |  | | | | | Do you develop methods and procedures for monitoring system inputs? | | Y | N | X |  |
|  |  | | | | | Do you develop methods and procedures for measuring system inputs? | | Y | N | X |  |
|  |  | | | | | Do you develop methods and procedures for evaluating system inputs? | | Y | N | X |  |
|  |  | | Do you develop ways of controlling the security of system inputs? | | | | | Y | N | X |  |
|  |  | | Do you develop ways of controlling the safety of system inputs? | | | | | Y | N | X |  |
|  |  | | Do you develop ways of controlling the privacy of system inputs? | | | | | Y | N | X |  |
|  | Do you develop controlled conditions for system activities? | | | | | | | Y | N | X |  |
|  |  | Do you develop ways of controlling your system activities? | | | | | | Y | N | X |  |
|  |  | | Do you develop ways of controlling system testing activities? | | | | | Y | N | X |  |
|  |  | | Do you develop ways of controlling system control activities? | | | | | Y | N | X |  |
|  |  | | Do you develop ways of controlling system inspection activities? | | | | | Y | N | X |  |
|  |  | | Do you develop ways of controlling system management activities? | | | | | Y | N | X |  |
|  |  | | Do you develop ways of controlling system measurement activities? | | | | | Y | N | X |  |
|  |  | | Do you develop ways of controlling system maintenance activities? | | | | | Y | N | X |  |
|  |  | | Do you develop ways of controlling system production activities? | | | | | Y | N | X |  |
|  |  | | Do you develop ways of controlling system monitoring activities? | | | | | Y | N | X |  |
|  |  | | Do you develop ways of controlling system evaluation activities? | | | | | Y | N | X |  |
|  |  | | | Do you develop ways of controlling system audit activities? | | | | Y | N | X |  |
|  |  | | | Do you develop ways of controlling system review activities? | | | | Y | N | X |  |
|  |  | | Do you develop ways of controlling system change activities? | | | | | Y | N | X |  |
|  |  | | | Do you develop ways of controlling system correction activities? | | | | Y | N | X |  |
|  |  | | | Do you develop ways of controlling system improvement activities? | | | | Y | N | X |  |
| 5.2.2 Assess the steps taken to develop ways of controlling providers | | | | | | | | | | | |
|  | Do you develop ways of controlling external providers? | | | | | | | Y | N | X |  |
|  |  | Do you plan how to control external processes, products, and services? | | | | | | Y | N | X |  |
|  |  | | Do you consider the potential impact that externally provided processes, products,  and services could have on your ability to consistently meet external requirements? | | | | | Y | N | X |  |
|  |  | | | Do you consider the potential impact on your ability to meet customer requirements? | | | | Y | N | X |  |
|  |  | | | | Do you consider the potential impact on statutory and regulatory requirements? | | | Y | N | X |  |
|  |  | Do you create controls for external processes, products, and services? | | | | | | Y | N | X |  |
|  |  | | Do you develop controls for processes that your organization is outsourcing? | | | | | Y | N | X |  |
|  |  | | | Do you ensure that outsourced processes remain within your organization's control? | | | | Y | N | X |  |
|  |  | | | | Do you figure out how you're going to control external process providers? | | | Y | N | X |  |
|  |  | | | | | Do you consider the potential impact that external process providers could  have on your ability to consistently meet customer and legal requirements? | | Y | N | X |  |
|  |  | | | | | Do you consider the controls that external process providers have implemented  and do you think about how effective their controls really are in practice? | | Y | N | X |  |
|  |  | | Do you develop controls for products that your organization is outsourcing? | | | | | Y | N | X |  |
|  |  | | | Do you ensure that outsourced products remain within your organization's control? | | | | Y | N | X |  |
|  |  | | | | Do you figure out how you're going to control external product providers? | | | Y | N | X |  |
|  |  | | | | | Do you consider the potential impact that external product providers could  have on your ability to consistently meet customer and legal requirements? | | Y | N | X |  |
|  |  | | | | | Do you consider the controls that external product providers have implemented  and do you think about how effective their controls really are in practice? | | Y | N | X |  |
|  |  | | Do you develop controls for services that your organization is outsourcing? | | | | | Y | N | X |  |
|  |  | | | Do you ensure that outsourced services remain within your organization's control? | | | | Y | N | X |  |
|  |  | | | | Do you figure out how you're going to control external service providers? | | | Y | N | X |  |
|  |  | | | | | Do you consider the potential impact that external service providers could  have on your ability to consistently meet customer and legal requirements? | | Y | N | X |  |
|  |  | | | | | Do you consider the controls that external service providers have implemented  and do you think about how effective their controls really are in practice? | | Y | N | X |  |
|  |  | Do you design external process, product, and service verification methods? | | | | | | Y | N | X |  |
|  |  | | Do you plan your external process, product, and service verification activities? | | | | | Y | N | X |  |
|  |  | | | Do you define the scope and extent of external verification and testing activities? | | | | Y | N | X |  |
|  |  | | | | Do you define requirements whenever verifications are delegated to external providers? | | | Y | N | X |  |
|  |  | | | | | Do you maintain a register of verification activities delegated to external providers? | | Y | N | X |  |
|  |  | | | Do you consider risks when you carry out external verification and testing activities? | | | | Y | N | X |  |
|  |  | | | | Do you consider the risk of external process, product, and service nonconformities? | | | Y | N | X |  |
|  |  | | | | | Do you consider the risk that counterfeit parts and components are being used? | | Y | N | X |  |
|  |  | | | | | Do you consider the risk that raw materials might fail to meet requirements? | | Y | N | X |  |
|  |  | | | Do you use objective evidence to verify external processes, products, and services? | | | | Y | N | X |  |
|  |  | | | | Do you use documents and records to verify processes, products, and services? | | | Y | N | X |  |
|  |  | | | | | Do you examine related test documents and records? | | Y | N | X |  |
|  |  | | | | | Do you examine related statistical documents and records? | | Y | N | X |  |
|  |  | | | | | Do you examine related system control documents and records? | | Y | N | X |  |
|  |  | | | | | Do you examine related conformance documents and records? | | Y | N | X |  |
|  |  | | | | | Do you examine related production documents and records? | | Y | N | X |  |
|  |  | | | | | | Do you review production verification activities and results? | Y | N | X |  |
|  |  | | | | | | Do you review data related to production part approval system? | Y | N | X |  |
|  |  | | Do you develop a process to evaluate the accuracy of test data and test reports? | | | | | Y | N | X |  |
|  |  | | | Do you validate test data when it is used to verify externally provided products? | | | | Y | N | X |  |
|  |  | | | | Do you evaluate and validate the accuracy of test data and test reports whenever  they are used to confirm that externally provided products meet requirements? | | | Y | N | X |  |
|  |  | | | | Do you evaluate and validate the accuracy of test data and test reports whenever  a customer or an organization has identified raw material as a “critical item”  or a significant operational risk? | | | Y | N | X |  |
|  | Do you develop ways of controlling internal providers? | | | | | | | Y | N | X |  |
|  |  | Do you plan how to control internal processes, products, and services? | | | | | | Y | N | X |  |
|  |  | | Do you consider the potential impact that internally provided processes, products,  and services could have on your ability to consistently meet internal requirements? | | | | | Y | N | X |  |
|  |  | | | Do you consider the potential impact on your ability to meet customer requirements? | | | | Y | N | X |  |
|  |  | | | | Do you consider the potential impact on statutory and regulatory requirements? | | | Y | N | X |  |
|  |  | | Do you consider the controls that internal process, product, and service providers  have implemented and think about how effective their controls actually are? | | | | | Y | N | X |  |
|  |  | Do you create controls for internal processes, products, and services? | | | | | | Y | N | X |  |
|  |  | Do you design internal system, product, and service verification methods? | | | | | | Y | N | X |  |
|  |  | | Do you plan your internal process, product, and service verification activities? | | | | | Y | N | X |  |
|  |  | | | Do you define the scope and extent of internal verification and testing activities? | | | | Y | N | X |  |
|  |  | | | Do you consider risks when you carry out internal verification and testing activities? | | | | Y | N | X |  |
|  |  | | | Do you use objective evidence to verify internal processes, products, and services? | | | | Y | N | X |  |
|  |  | | Do you develop a process to evaluate the accuracy of test data and test reports? | | | | | Y | N | X |  |
| 5.3 Assess how well resources are used to control system | | | | | | | | | | | |
| 5.3.1 Assess the human resources used to control system | | | | | | | | | | | |
|  | Do you provide the people that are needed in order to control your system? | | | | | | | Y | N | X |  |
|  | Do you provide the training that is needed in order to control your system? | | | | | | | Y | N | X |  |
|  | Do you provide the knowledge that is needed in order to control your system? | | | | | | | Y | N | X |  |
|  | Do you provide the expertise that is needed in order to control your system? | | | | | | | Y | N | X |  |
| 5.3.2 Assess the technical resources used to control system | | | | | | | | | | | |
|  | Do you provide the policies that are needed in order to control your system? | | | | | | | Y | N | X |  |
|  | Do you provide the procedures that are needed in order to control your system? | | | | | | | Y | N | X |  |
|  | Do you provide the technologies that are needed in order to control your system? | | | | | | | Y | N | X |  |
|  | Do you provide the methodologies that are needed in order to control your system? | | | | | | | Y | N | X |  |
|  | Do you provide the infrastructure that is needed in order to control your system? | | | | | | | Y | N | X |  |
| 5.4 Assess how well management system is controlled | | | | | | | | | | | |
| 5.4.1 Assess the methods used to control system inputs | | | | | | | | | | | |
|  | Do you use authorized methods to control the identity of system inputs? | | | | | | | Y | N | X |  |
|  |  | Do you establish suitable means for identifying your system inputs? | | | | | | Y | N | X |  |
|  |  | Do you specify the identity of inputs when conformity must be ensured? | | | | | | Y | N | X |  |
|  |  | | Do you identify inputs whenever input conformity must be ensured? | | | | | Y | N | X |  |
|  |  | | Do you identify the monitoring and measurement status of inputs? | | | | | Y | N | X |  |
|  |  | Do you record the identity of inputs when traceability is a requirement? | | | | | | Y | N | X |  |
|  |  | | Do you clarify your organization's specific input traceability requirements? | | | | | Y | N | X |  |
|  |  | | Do you retain the documents and records that are needed to facilitate traceability? | | | | | Y | N | X |  |
|  | Do you make arrangements to verify inputs at appropriate stages? | | | | | | | Y | N | X |  |
|  |  | Do you verify that input requirements were met at all appropriate stages? | | | | | | Y | N | X |  |
|  |  | | Do you retain evidence that shows that input acceptance criteria were met? | | | | | Y | N | X |  |
|  |  | | Do you retain evidence that shows that your input meets defined requirements? | | | | | Y | N | X |  |
|  |  | Do you identify the people who may authorize the release of inputs for production? | | | | | | Y | N | X |  |
|  |  | | Do you retain and control records to facilitate traceability of input releases? | | | | | Y | N | X |  |
|  | Do you verify that your input acceptance criteria are being met? | | | | | | | Y | N | X |  |
|  |  | Do you verify acceptance before inputs are officially released? | | | | | | Y | N | X |  |
|  |  | | Do you establish a record of your input acceptance activities? | | | | | Y | N | X |  |
|  |  | | | Do you document your criteria for input acceptance and rejection? | | | | Y | N | X |  |
|  |  | | | Do you document where in the sequence input verification is performed? | | | | Y | N | X |  |
|  |  | | | Do you document and retain your input monitoring and measuring results? | | | | Y | N | X |  |
|  |  | | | | Do you maintain a record of input acceptance and rejection activities? | | | Y | N | X |  |
|  |  | | | Do you document how input monitoring and measuring must be carried out? | | | | Y | N | X |  |
|  |  | | | | Do you document all required input monitoring and measuring instructions? | | | Y | N | X |  |
|  |  | | | | Do you document all required input monitoring and measuring equipment? | | | Y | N | X |  |
|  |  | Do you verify that critical input items are being controlled? | | | | | | Y | N | X |  |
|  |  | | Do you control critical input items in accordance with established methods? | | | | | Y | N | X |  |
|  |  | Do you verify that key input characteristics are being controlled? | | | | | | Y | N | X |  |
|  |  | | Do you control key input characteristics in accordance with established methods? | | | | | Y | N | X |  |
|  |  | Do you verify that inputs being used in the management system are being controlled? | | | | | | Y | N | X |  |
|  |  | | Do you identify and record purchased products (inputs) that are released for use  in your system whenever verification activities have not yet been completed? | | | | | Y | N | X |  |
|  |  | | | Do you use your records to recall and replace purchased products (inputs)  that have been used but do not actually meet requirements? | | | | Y | N | X |  |
|  |  | Do you verify that all input inspection and verification activities have been completed? | | | | | | Y | N | X |  |
|  |  | | Do you maintain a record of your input inspection and verification activities and results? | | | | | Y | N | X |  |
|  |  | | | Do you use records to show that all input inspections and verifications were completed? | | | | Y | N | X |  |
| 5.4.2 Assess the methods used to control system outputs | | | | | | | | | | | |
|  | Do you use authorized methods to control output design and development activities? | | | | | | | Y | N | X |  |
|  |  | Do you control how output design and development results are defined? | | | | | | Y | N | X |  |
|  |  | Do you control how output design and development reviews are carried out? | | | | | | Y | N | X |  |
|  |  | | Do you ask representatives from all relevant functions to participate in reviews? | | | | | Y | N | X |  |
|  |  | | | Do you include people concerned with the design and development stage under review? | | | | Y | N | X |  |
|  |  | | | | Do you evaluate how well design and development results meet requirements? | | | Y | N | X |  |
|  |  | | | | | Do you control actions taken to address problems identified during reviews? | | Y | N | X |  |
|  |  | Do you control how output design and development verifications are performed? | | | | | | Y | N | X |  |
|  |  | | Do you verify that design and development outputs meet input requirements? | | | | | Y | N | X |  |
|  |  | | | Do you control actions taken to address problems identified during verifications? | | | | Y | N | X |  |
|  |  | Do you control how output design and development validations are performed? | | | | | | Y | N | X |  |
|  |  | | Do you confirm that your outputs meet intended use requirements? | | | | | Y | N | X |  |
|  |  | | | Do you verify that all intended use or application requirements are being met? | | | | Y | N | X |  |
|  |  | | | | Do you control actions taken to address problems identified during validations? | | | Y | N | X |  |
|  |  | | | Do you reverify your outputs if changes occur that invalidate previous results? | | | | Y | N | X |  |
|  |  | Do you control how output design and development progression is authorized? | | | | | | Y | N | X |  |
|  |  | | Do you control progression to the next stage of output design and development? | | | | | Y | N | X |  |
|  |  | Do you control how output design and development work is being documented? | | | | | | Y | N | X |  |
|  |  | | Do you control output design and development documents and records? | | | | | Y | N | X |  |
|  | Do you use authorized methods to control outputs while system is operating? | | | | | | | Y | N | X |  |
|  |  | Do you establish suitable means and methods for identifying system outputs? | | | | | | Y | N | X |  |
|  |  | Do you specify the identity of outputs whenever conformity must be ensured? | | | | | | Y | N | X |  |
|  |  | | Do you identify outputs whenever output conformity must be ensured? | | | | | Y | N | X |  |
|  |  | | | Do you establish the specific identity of your output configurations? | | | | Y | N | X |  |
|  |  | | | | Do you specify the unique identity of all required output configurations? | | | Y | N | X |  |
|  |  | | | | Do you specify the unique identity of all actual output configurations? | | | Y | N | X |  |
|  |  | | | Do you maintain the unique identity of your output configurations? | | | | Y | N | X |  |
|  |  | | | | Do you determine differences between required and actual configurations? | | | Y | N | X |  |
|  |  | | Do you identify the monitoring and measurement status of system outputs? | | | | | Y | N | X |  |
|  |  | Do you record the unique identity of outputs when traceability is a requirement? | | | | | | Y | N | X |  |
|  |  | | Do you clarify your organization's unique output traceability requirements? | | | | | Y | N | X |  |
|  |  | | | Do you consider whether identities must be maintained throughout output life cycle? | | | | Y | N | X |  |
|  |  | | | | Do you consider whether or not you need to be able to trace  outputs generated from the same inputs to the final destination? | | | Y | N | X |  |
|  |  | | | | Do you consider whether or not you need to maintain a sequential  production record for your outputs so that they can be retrieved? | | | Y | N | X |  |
|  |  | | | | | Do you consider whether or not you need to maintain a sequential assembly record? | | Y | N | X |  |
|  |  | | | | | Do you consider whether or not you need to maintain a sequential inspection record? | | Y | N | X |  |
|  |  | | | | | Do you consider whether or not you need to maintain a sequential verification record? | | Y | N | X |  |
|  |  | | | | | Do you consider whether or not you need to maintain a sequential manufacturing record? | | Y | N | X |  |
|  |  | | | Do you consider whether components need to be traceable to final assemblies? | | | | Y | N | X |  |
|  |  | | | | Do you consider whether or not you need to be able to trace components  to an assembly and from that assembly to the next higher assembly? | | | Y | N | X |  |
|  |  | | Do you retain the documents and records that are needed to facilitate traceability? | | | | | Y | N | X |  |
|  |  | Do you verify that input items, characteristics, and activities are being controlled? | | | | | | Y | N | X |  |
|  |  | | Do you verify that “critical items” and “key characteristics” are being controlled? | | | | | Y | N | X |  |
|  |  | | | Do you control identified “critical items” in accordance with established methods? | | | | Y | N | X |  |
|  |  | | | | Do you control “key characteristics” in accordance with established methods? | | | Y | N | X |  |
|  |  | | Do you verify that inputs being used in the management system are being controlled? | | | | | Y | N | X |  |
|  |  | | | Do you identify and record purchased products (inputs) that are released for use  in your system whenever verification activities have not yet been completed? | | | | Y | N | X |  |
|  |  | | | | Do you use your records to recall and replace purchased products  (inputs) that have been used but do not actually meet requirements? | | | Y | N | X |  |
|  |  | | Do you verify that all inspection and verification activities have been completed? | | | | | Y | N | X |  |
|  |  | | | Do you maintain a record of your inspection and verification activities and results? | | | | Y | N | X |  |
|  |  | | | | Do you use records to show that all inspections and verifications were completed? | | | Y | N | X |  |
|  | Do you use authorized methods to control how outputs are released? | | | | | | | Y | N | X |  |
|  |  | Do you verify acceptance before outputs are officially released? | | | | | | Y | N | X |  |
|  |  | | Do you implement arrangements to verify your system outputs? | | | | | Y | N | X |  |
|  |  | | | Do you verify that output requirements are met at all appropriate stages? | | | | Y | N | X |  |
|  |  | | | | Do you retain evidence that shows that output acceptance criteria were met? | | | Y | N | X |  |
|  |  | | | | Do you retain evidence that shows that your output meets defined requirements? | | | Y | N | X |  |
|  |  | | | Do you identify the people who may authorize the release of outputs to system customers? | | | | Y | N | X |  |
|  |  | | | | Do you retain and control records to facilitate the traceability of output releases? | | | Y | N | X |  |
|  |  | | | Do you release outputs only if verifications are finished or if authorized to do so? | | | | Y | N | X |  |
|  |  | | | | Do you release output to system customers only if planned arrangements  were completed or the customer or a relevant authority allows you to do so? | | | Y | N | X |  |
|  |  | | | | Do you release outputs only if all the documents and records that  should accompany output delivery are, in fact, present at delivery? | | | Y | N | X |  |
|  |  | | Do you establish a record of your output acceptance activities? | | | | | Y | N | X |  |
|  |  | | | Do you document your criteria for output acceptance and rejection? | | | | Y | N | X |  |
|  |  | | | Do you document where in the sequence output verification is performed? | | | | Y | N | X |  |
|  |  | | | Do you document and retain your output monitoring and measuring results? | | | | Y | N | X |  |
|  |  | | | | Do you maintain a record of output acceptance and rejection activities? | | | Y | N | X |  |
|  |  | | | Do you document how output monitoring and measuring must be carried out? | | | | Y | N | X |  |
|  |  | | | | Do you document all required output monitoring and measuring instructions? | | | Y | N | X |  |
|  |  | | | | Do you document all required output monitoring and measuring equipment? | | | Y | N | X |  |
| 5.4.3 Assess the methods used to control system activities | | | | | | | | | | | |
|  | Do you use authorized methods to control normal system activities? | | | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to control system control activities? | | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to control system management activities? | | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to control system maintenance activities? | | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to control system measurement activities? | | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to control system monitoring activities? | | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to control system evaluation activities? | | | | | | Y | N | X |  |
|  |  | | Do you use authorized methods to control system audit activities? | | | | | Y | N | X |  |
|  |  | | Do you use authorized methods to control system review activities? | | | | | Y | N | X |  |
|  |  | Do you use authorized methods to control system change activities? | | | | | | Y | N | X |  |
|  |  | | Do you use authorized methods to control system correction activities? | | | | | Y | N | X |  |
|  |  | | Do you use authorized methods to control system improvement activities? | | | | | Y | N | X |  |
|  | Do you use authorized methods to control “special process” activities? | | | | | | | Y | N | X |  |
|  |  | Do you establish methods for managing “special process” activities? | | | | | | Y | N | X |  |
|  |  | | Do you validate “special process” activities and results? | | | | | Y | N | X |  |
|  |  | | | Do you validate your ability to achieve planned results whenever  outputs cannot be verified by subsequent monitoring or measurement? | | | | Y | N | X |  |
|  |  | | | | Do you identify in-process inspection and verification points whenever adequate verification of conformity cannot be performed at subsequent stages? | | | Y | N | X |  |
|  |  | | Do you control “special process” activities and results? | | | | | Y | N | X |  |
|  |  | | | Do you make arrangements to control special process activities? | | | | Y | N | X |  |
|  |  | | | | Do you use criteria to control your special process activities? | | | Y | N | X |  |
|  |  | | | | | Do you use criteria to control how special activities are reviewed? | | Y | N | X |  |
|  |  | | | | | | Do you use criteria to control how all special activities are approved? | Y | N | X |  |
|  |  | | | | Do you use approvals to control your special process activities? | | | Y | N | X |  |
|  |  | | | | | Do you approve equipment before it is used by special process activities? | | Y | N | X |  |
|  |  | | | | | Do you approve facilities before they are used by special process activities? | | Y | N | X |  |
|  |  | | | | | Do you approve personnel before they are assigned to special process activities? | | Y | N | X |  |
|  |  | | | | | | Do you approve their qualifications before assigning them to special process activities? | Y | N | X |  |
|  |  | | | | Do you use procedures to control your special process activities? | | | Y | N | X |  |
|  |  | | | | | Do you follow specific procedures when implementing special process activities? | | Y | N | X |  |
|  |  | | | | | Do you follow specific procedures when maintaining special process activities? | | Y | N | X |  |
|  |  | | | | | Do you follow specific procedures when monitoring special process activities? | | Y | N | X |  |
|  |  | | | | | Do you follow specific procedures when measuring special process activities? | | Y | N | X |  |
|  |  | | | | | Do you follow specific procedures when controlling special process activities? | | Y | N | X |  |
|  |  | | | | Do you use methods to control your special process activities? | | | Y | N | X |  |
|  |  | | | | | Do you follow specific methods when implementing special process activities? | | Y | N | X |  |
|  |  | | | | | Do you follow specific methods when maintaining special process activities? | | Y | N | X |  |
|  |  | | | | | Do you follow specific methods when monitoring special process activities? | | Y | N | X |  |
|  |  | | | | | Do you follow specific methods when measuring special process activities? | | Y | N | X |  |
|  |  | | | | | Do you follow specific methods when controlling special process activities? | | Y | N | X |  |
|  |  | | | | Do you use documents to control your special process activities? | | | Y | N | X |  |
|  |  | | | | | Do you specify retention requirements for these documents? | | Y | N | X |  |
|  |  | | | | Do you use records to control your special process activities? | | | Y | N | X |  |
|  |  | | | | | Do you specify retention requirements for these records? | | Y | N | X |  |
| 5.4.4 Assess the methods used to control system technology | | | | | | | | | | | |
|  | Do you use authorized methods to control system equipment, tools, and software? | | | | | | | Y | N | X |  |
|  |  | Do you validate technology prior to final release for system operations? | | | | | | Y | N | X |  |
|  |  | | Do you validate technology that is used to perform system operations? | | | | | Y | N | X |  |
|  |  | | | Do you validate tools before they are used to perform system operations? | | | | Y | N | X |  |
|  |  | | | Do you validate equipment before it is used to perform system operations? | | | | Y | N | X |  |
|  |  | | | Do you validate software before it is used to perform system operations? | | | | Y | N | X |  |
|  |  | | Do you validate technology that is used to automate system operations? | | | | | Y | N | X |  |
|  |  | | | Do you validate tools before they are used to automate system operations? | | | | Y | N | X |  |
|  |  | | | Do you validate equipment before it is used to automate system operations? | | | | Y | N | X |  |
|  |  | | | Do you validate software before it is used to automate system operations? | | | | Y | N | X |  |
|  |  | | Do you validate technology that is used to maintain system operations? | | | | | Y | N | X |  |
|  |  | | | Do you validate tools before they are used to maintain system operations? | | | | Y | N | X |  |
|  |  | | | Do you validate equipment before it is used to maintain system operations? | | | | Y | N | X |  |
|  |  | | | Do you validate software before it is used to maintain system operations? | | | | Y | N | X |  |
|  |  | | Do you validate technology that is used to monitor system operations? | | | | | Y | N | X |  |
|  |  | | | Do you validate tools before they are used to monitor system operations? | | | | Y | N | X |  |
|  |  | | | Do you validate equipment before it is used to monitor system operations? | | | | Y | N | X |  |
|  |  | | | Do you validate software before it is used to monitor system operations? | | | | Y | N | X |  |
|  |  | | Do you validate technology that is used to measure system operations? | | | | | Y | N | X |  |
|  |  | | | Do you validate tools before they are used to measure system operations? | | | | Y | N | X |  |
|  |  | | | Do you validate equipment before it is used to measure system operations? | | | | Y | N | X |  |
|  |  | | | Do you validate software before it is used to measure system operations? | | | | Y | N | X |  |
|  |  | | Do you validate technology that is used to control system operations? | | | | | Y | N | X |  |
|  |  | | | Do you validate tools before they are used to control system operations? | | | | Y | N | X |  |
|  |  | | | Do you validate equipment before it is used to control system operations? | | | | Y | N | X |  |
|  |  | | | Do you validate software before it is used to control system operations? | | | | Y | N | X |  |
| 5.4.5 Assess the methods used to control system performance | | | | | | | | | | | |
|  | Do you use authorized methods to control internal personnel? | | | | | | | Y | N | X |  |
|  |  | Do you identify the people who can affect system performance? | | | | | | Y | N | X |  |
|  |  | Do you qualify the people who can affect system performance? | | | | | | Y | N | X |  |
|  |  | | Do you ensure that they have the competence they need? | | | | | Y | N | X |  |
|  |  | | | Do you ensure that they have the appropriate training? | | | | Y | N | X |  |
|  |  | | | Do you ensure that they have the appropriate education? | | | | Y | N | X |  |
|  |  | | | Do you ensure that they have the appropriate experience? | | | | Y | N | X |  |
|  |  | Do you supervise the people who can affect system performance? | | | | | | Y | N | X |  |
|  | Do you use authorized methods to control external providers? | | | | | | | Y | N | X |  |
|  |  | Do you establish control of all externally provided processes, products, and services? | | | | | | Y | N | X |  |
|  |  | | Do you ensure that external processes, products, and services meet requirements? | | | | | Y | N | X |  |
|  |  | | | Do you ensure that externally provided products and services meet  requirements if they are incorporated into your system outputs? | | | | Y | N | X |  |
|  |  | | | | Do you ensure that externally provided products and services meet requirements  if external providers deliver them directly to your system customers? | | | Y | N | X |  |
|  |  | | | Do you ensure that externally provided processes and functions meet requirements? | | | | Y | N | X |  |
|  |  | | | | Do you ensure that outsourced parts of processes and functions meet requirements? | | | Y | N | X |  |
|  |  | Do you control the use of externally provided processes, products, and services? | | | | | | Y | N | X |  |
|  |  | | Do you use customer-designated or customer-approved external providers if required? | | | | | Y | N | X |  |
|  |  | | | Do you use customer-designated or customer-approved external system sources? | | | | Y | N | X |  |
|  |  | | | | Do you use customer-designated or customer-approved “special processes”? | | | Y | N | X |  |
|  |  | | Do you manage risks associated with the selection and use of external providers? | | | | | Y | N | X |  |
|  |  | | | Do you manage risks related to externally provided processes, products, and services? | | | | Y | N | X |  |
|  |  | | Do you tell external providers to control their direct and sub-tier external providers? | | | | | Y | N | X |  |
|  |  | | | Do you tell your providers to ensure that their own providers meet requirements? | | | | Y | N | X |  |
|  |  | Do you perform external process, product, and service verification activities? | | | | | | Y | N | X |  |
|  |  | | Do you carry out product inspections and service verifications upon receipt? | | | | | Y | N | X |  |
|  |  | | | Do you carry out periodic inspections and audits at external provider's premises? | | | | Y | N | X |  |
|  |  | Do you accept external processes, products, and services only if they meet requirements? | | | | | | Y | N | X |  |
|  |  | | Do you complete verifications before processes, products, and services are accepted? | | | | | Y | N | X |  |
|  |  | | | Do you complete all verifications before accepting products for use in production? | | | | Y | N | X |  |
|  |  | | | | Do you identify externally provided products that were released for use in production? | | | Y | N | X |  |
|  |  | | | | | Do you record externally provided products that have been released for  use in production pending completion of required verification activities? | | Y | N | X |  |
|  |  | | | | Do you recall and replace product if it subsequently fails to meet requirements? | | | Y | N | X |  |
| 5.4.6 Assess the methods used to control system documentation | | | | | | | | | | | |
|  | Do you use authorized methods to control how documented information is controlled? | | | | | | | Y | N | X |  |
|  |  | Do you control how management system documents and records are created? | | | | | | Y | N | X |  |
|  |  | | Do you ensure that system documents and records are suitable for use? | | | | | Y | N | X |  |
|  |  | | | Do you ensure that documents and records are properly identified? | | | | Y | N | X |  |
|  |  | | | | Do you ensure that they have the right names and descriptive titles? | | | Y | N | X |  |
|  |  | | | | Do you ensure that they have the right dates and reference numbers? | | | Y | N | X |  |
|  |  | | | Do you ensure that documents and records are properly formatted? | | | | Y | N | X |  |
|  |  | | | | Do you ensure that system documents and records use the appropriate media? | | | Y | N | X |  |
|  |  | | | | Do you ensure that system documents and records use the appropriate graphics? | | | Y | N | X |  |
|  |  | | | | Do you ensure that system documents and records use the appropriate language? | | | Y | N | X |  |
|  |  | | | | Do you ensure that system documents and records use the appropriate software? | | | Y | N | X |  |
|  |  | Do you control how system documents and records are identified and described? | | | | | | Y | N | X |  |
|  |  | | Do you control how internal documents and records are identified and described? | | | | | Y | N | X |  |
|  |  | | Do you control how external documents and records are identified and described? | | | | | Y | N | X |  |
|  |  | Do you control how system documents and records are distributed? | | | | | | Y | N | X |  |
|  |  | Do you control how system documents and records are stored? | | | | | | Y | N | X |  |
|  |  | Do you control how system documents and records are retrieved? | | | | | | Y | N | X |  |
|  |  | Do you control how system documents and records are accessed? | | | | | | Y | N | X |  |
|  |  | | Do you prevent unauthorized access to system documents and records? | | | | | Y | N | X |  |
|  |  | | | Do you ensure that documents and records are available for use where needed? | | | | Y | N | X |  |
|  |  | | | Do you ensure that documents and records are available for use when needed? | | | | Y | N | X |  |
|  |  | Do you control how system documents and records are used? | | | | | | Y | N | X |  |
|  |  | | Do you control how active system documents and records are used? | | | | | Y | N | X |  |
|  |  | | | Do you control how documents and records are used to plan your system? | | | | Y | N | X |  |
|  |  | | | | Do you control how internal documents and records are used to plan your system? | | | Y | N | X |  |
|  |  | | | | Do you control how external documents and records are used to plan your system? | | | Y | N | X |  |
|  |  | | | Do you control how documents and records are used to operate your system? | | | | Y | N | X |  |
|  |  | | | | Do you control how internal documents and records are used to operate system? | | | Y | N | X |  |
|  |  | | | | Do you control how external documents and records are used to operate system? | | | Y | N | X |  |
|  |  | | | Do you control how documents and records are used to implement your system? | | | | Y | N | X |  |
|  |  | | | | Do you control how internal documents and records are used to implement system? | | | Y | N | X |  |
|  |  | | | | Do you control how external documents and records are used to implement system? | | | Y | N | X |  |
|  |  | | | Do you control how documents and records are used to maintain your system? | | | | Y | N | X |  |
|  |  | | | | Do you control how internal documents and records are used to maintain system? | | | Y | N | X |  |
|  |  | | | | Do you control how external documents and records are used to maintain system? | | | Y | N | X |  |
|  |  | | | Do you control how documents and records are used to monitor your system? | | | | Y | N | X |  |
|  |  | | | | Do you control how internal documents and records are used to monitor system? | | | Y | N | X |  |
|  |  | | | | Do you control how external documents and records are used to monitor system? | | | Y | N | X |  |
|  |  | | | Do you control how documents and records are used to measure your system? | | | | Y | N | X |  |
|  |  | | | | Do you control how internal documents and records are used to measure system? | | | Y | N | X |  |
|  |  | | | | Do you control how external documents and records are used to measure system? | | | Y | N | X |  |
|  |  | | | Do you control how documents and records are used to control your system? | | | | Y | N | X |  |
|  |  | | | | Do you control how internal documents and records are used to control system? | | | Y | N | X |  |
|  |  | | | | Do you control how external documents and records are used to control system? | | | Y | N | X |  |
|  |  | | | Do you control how documents and records are used to evaluate your system? | | | | Y | N | X |  |
|  |  | | | | Do you control how documents and records are used to audit your system? | | | Y | N | X |  |
|  |  | | | | | Do you control how internal documents and records are used to audit system? | | Y | N | X |  |
|  |  | | | | | Do you control how external documents and records are used to audit system? | | Y | N | X |  |
|  |  | | | | Do you control how documents and records are used to review your system? | | | Y | N | X |  |
|  |  | | | | | Do you control how internal documents and records are used to review system? | | Y | N | X |  |
|  |  | | | | | Do you control how external documents and records are used to review system? | | Y | N | X |  |
|  |  | | | Do you control how documents and records are used to change your system? | | | | Y | N | X |  |
|  |  | | | | Do you control how documents and records are used to correct your system? | | | Y | N | X |  |
|  |  | | | | | Do you control how internal documents and records are used to correct system? | | Y | N | X |  |
|  |  | | | | | Do you control how external documents and records are used to correct system? | | Y | N | X |  |
|  |  | | | | Do you control how documents and records are used to improve your system? | | | Y | N | X |  |
|  |  | | | | | Do you control how internal documents and records are used to improve system? | | Y | N | X |  |
|  |  | | | | | Do you control how external documents and records are used to improve system? | | Y | N | X |  |
|  |  | | Do you control how inactive system documents and records are used? | | | | | Y | N | X |  |
|  |  | | | Do you control how obsolete system documents and records are used? | | | | Y | N | X |  |
|  |  | | | | Do you prevent the unintended use of obsolete documents and records? | | | Y | N | X |  |
|  |  | | | | | Do you identify obsolete management system documents and records? | | Y | N | X |  |
|  |  | | | | | Do you control obsolete management system documents and records? | | Y | N | X |  |
|  |  | | | | | Do you remove obsolete management system documents and records? | | Y | N | X |  |
|  |  | Do you control how system documents and records are protected? | | | | | | Y | N | X |  |
|  |  | | Do you control how paper documents and records are protected? | | | | | Y | N | X |  |
|  |  | | | Do you ensure that paper documents and records are protected? | | | | Y | N | X |  |
|  |  | | | | Do you protect the integrity of your paper documents and records? | | | Y | N | X |  |
|  |  | | | | | Do you prevent unauthorized use of paper documents and records? | | Y | N | X |  |
|  |  | | | | Do you protect the confidentiality of paper documents and records? | | | Y | N | X |  |
|  |  | | | | Do you protect the legibility of paper documents and records? | | | Y | N | X |  |
|  |  | | Do you control how electronic documents and records are protected? | | | | | Y | N | X |  |
|  |  | | | Do you ensure that electronic documents and records are protected? | | | | Y | N | X |  |
|  |  | | | | Do you define and develop suitable data protection methods? | | | Y | N | X |  |
|  |  | | | | | Do you protect system documents and records from loss? | | Y | N | X |  |
|  |  | | | | | Do you protect system documents and records from corruption? | | Y | N | X |  |
|  |  | | | | | Do you protect system documents and records from physical damage? | | Y | N | X |  |
|  |  | | | | | Do you protect system documents and records from unauthorized access? | | Y | N | X |  |
|  |  | | | | | Do you protect system documents and records from unintended alteration? | | Y | N | X |  |
|  |  | | | | | Do you protect system documents and records from inappropriate changes? | | Y | N | X |  |
|  |  | Do you control how system documents and records are changed? | | | | | | Y | N | X |  |
|  |  | | Do you control how paper documents and records are changed? | | | | | Y | N | X |  |
|  |  | | Do you control how electronic documents and records are changed? | | | | | Y | N | X |  |
|  |  | Do you control how system documents and records are preserved? | | | | | | Y | N | X |  |
|  |  | | Do you control the retention of documents and records? | | | | | Y | N | X |  |
|  |  | | Do you control the disposal of documents and records? | | | | | Y | N | X |  |
|  | Do you use authorized methods to control system documents and records? | | | | | | | Y | N | X |  |
|  |  | Do you control all the internal documents and records that your system needs? | | | | | | Y | N | X |  |
|  |  | | Do you control information that your system needs in order to be effective? | | | | | Y | N | X |  |
|  |  | | | Do you control all the documents and records needed to operate your system? | | | | Y | N | X |  |
|  |  | | | | Do you control all the documents and records used to facilitate system operations? | | | Y | N | X |  |
|  |  | | | | Do you control all the documents and records used to facilitate output compliance? | | | Y | N | X |  |
|  |  | | | Do you control all the documents and records needed to maintain your system? | | | | Y | N | X |  |
|  |  | | | | Do you control all the documents and records used to maintain system operations? | | | Y | N | X |  |
|  |  | | | | Do you control all the documents and records used to maintain output compliance? | | | Y | N | X |  |
|  |  | | | Do you control all the documents and records needed to monitor your system? | | | | Y | N | X |  |
|  |  | | | | Do you control all the documents and records used to monitor system operations? | | | Y | N | X |  |
|  |  | | | | Do you control all the documents and records used to monitor output compliance? | | | Y | N | X |  |
|  |  | | | Do you control all the documents and records needed to measure your system? | | | | Y | N | X |  |
|  |  | | | | Do you control all the documents and records used to measure system operations? | | | Y | N | X |  |
|  |  | | | | Do you control all the documents and records used to measure output compliance? | | | Y | N | X |  |
|  |  | | | Do you control all the documents and records needed to control your system? | | | | Y | N | X |  |
|  |  | | | | Do you control all the documents and records used to control system operations? | | | Y | N | X |  |
|  |  | | | | Do you control all the documents and records used to control output compliance? | | | Y | N | X |  |
|  |  | | | Do you control all the documents and records needed to evaluate your system? | | | | Y | N | X |  |
|  |  | | | | Do you control all the documents and records needed to audit your system? | | | Y | N | X |  |
|  |  | | | | | Do you control all the documents and records used to audit system operations? | | Y | N | X |  |
|  |  | | | | | Do you control all the documents and records used to audit output compliance? | | Y | N | X |  |
|  |  | | | | Do you control all the documents and records needed to review your system? | | | Y | N | X |  |
|  |  | | | | | Do you control all the documents and records used to review system operations? | | Y | N | X |  |
|  |  | | | | | Do you control all the documents and records used to review output compliance? | | Y | N | X |  |
|  |  | | | Do you control all the documents and records needed to modify your system? | | | | Y | N | X |  |
|  |  | | | | Do you control all the documents and records needed to correct your system? | | | Y | N | X |  |
|  |  | | | | | Do you control all the documents and records used to correct system operations? | | Y | N | X |  |
|  |  | | | | | Do you control all the documents and records used to correct output compliance? | | Y | N | X |  |
|  |  | | | | Do you control all the documents and records needed to improve your system? | | | Y | N | X |  |
|  |  | | | | | Do you control all the documents and records used to improve system operations? | | Y | N | X |  |
|  |  | | | | | Do you control all the documents and records used to improve output compliance? | | Y | N | X |  |
|  |  | Do you control all the external documents and records that your system needs? | | | | | | Y | N | X |  |
|  |  | | Do you control all external documented information needed in order to plan system? | | | | | Y | N | X |  |
|  |  | | Do you control all external documented information needed in order to operate system? | | | | | Y | N | X |  |
|  | | | | | | | | | | | |
|  | | | | | | | | | | | |
| Answer each of the above questions. Three answers are possible: Y (yes), N (no), and X (eXclude). Y means you're in compliance,  N means you're not in compliance, while X means that this question can be excluded because it’s not applicable in your situation.  Y answers and X answers require no further action, while N answers point to things that need to be done to improve the  overall performance of your system. Also, please use the column on the right to record your notes, and in the spaces  below, enter the name and location of your organization, who completed this page, who reviewed it, and the dates. | | | | | | | | | | | |

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 6.1 Assess how well evalution activities are being planned | | | | | | | | | | | |
| 6.1.1 Assess how well audit activities are being planned | | | | | | | | | | | |
|  | Do you develop an internal audit programme? | | | | | | | Y | N | X |  |
|  |  | Do you develop a programme that can find out if your system meets requirements? | | | | | | Y | N | X |  |
|  |  | | Do you ensure it can determine how well your system meets corporate expectations? | | | | | Y | N | X |  |
|  |  | | Do you ensure it can determine how well your system meets international standards? | | | | | Y | N | X |  |
|  |  | Do you develop a programme that can determine if your system is actually effective? | | | | | | Y | N | X |  |
|  |  | | Do you ensure that your programme is capable of producing valid results? | | | | | Y | N | X |  |
|  | Do you establish internal audit programmes? | | | | | | | Y | N | X |  |
|  |  | Do you assign internal audit responsibilities? | | | | | | Y | N | X |  |
|  |  | Do you develop your internal audit methods? | | | | | | Y | N | X |  |
|  |  | Do you clarify your internal audit standards? | | | | | | Y | N | X |  |
|  |  | | Do auditors demonstrate that they are free from bias? | | | | | Y | N | X |  |
|  |  | | Do auditors show that they can ignore external influences? | | | | | Y | N | X |  |
|  |  | Do you specify internal audit planning requirements? | | | | | | Y | N | X |  |
|  |  | | Do auditors consider the results of previous audits? | | | | | Y | N | X |  |
|  |  | | Do auditors consider the impact proposed changes could have? | | | | | Y | N | X |  |
|  |  | | Do auditors consider the importance of the processes being audited? | | | | | Y | N | X |  |
|  |  | Do you define internal audit reporting requirements? | | | | | | Y | N | X |  |
|  |  | | Do auditors report results to management? | | | | | Y | N | X |  |
|  |  | Do you formulate internal audit schedules? | | | | | | Y | N | X |  |
|  |  | | Do you ensure that audits are done at planned intervals? | | | | | Y | N | X |  |
| 6.1.2 Assess how well analytical activities are being planned | | | | | | | | | | | |
|  | Do you plan how you're going to analyze the opinions and satisfaction of system customers? | | | | | | | Y | N | X |  |
|  |  | Do you plan how you're going to use your analytical results to evaluate satisfaction? | | | | | | Y | N | X |  |
|  |  | | Do you plan how you're going to analyze the degree of customer satisfaction? | | | | | Y | N | X |  |
|  |  | Do you plan how you're going to use your analytical results to evaluate effectiveness? | | | | | | Y | N | X |  |
|  |  | | Do you plan how you're going to analyze the effectiveness of system operations? | | | | | Y | N | X |  |
|  |  | | | Do you plan how you're going to determine if you need to improve effectiveness? | | | | Y | N | X |  |
|  |  | | Do you plan how you're going to analyze the effectiveness of your system planning? | | | | | Y | N | X |  |
|  |  | | | Do you plan how you're going to determine if plans were effectively implemented? | | | | Y | N | X |  |
|  |  | | Do you plan how you're going to analyze the effectiveness of actions taken by managers? | | | | | Y | N | X |  |
|  |  | | | Do you plan how you're going to analyze the effectiveness of actions taken to address risks? | | | | Y | N | X |  |
|  |  | | | Do you plan how you're going to analyze the effectiveness of actions taken to exploit opportunities? | | | | Y | N | X |  |
|  | Do you plan how you're going to analyze the conformance and effectiveness of your system? | | | | | | | Y | N | X |  |
|  |  | Do you plan how you're going to use your analytical results to evaluate conformance? | | | | | | Y | N | X |  |
|  |  | | Do you plan how you're going to analyze the conformity of management system outputs? | | | | | Y | N | X |  |
|  |  | | | Do you plan how you're going to analyze your management system output problems? | | | | Y | N | X |  |
|  |  | | | | Do you plan how you're going to analyze output problems reported by external sources? | | | Y | N | X |  |
|  |  | | | | | Do you plan how you're going to analyze output problems reported using advisories? | | Y | N | X |  |
|  |  | | | | | Do you plan how you're going to analyze output problems reported by means of alerts? | | Y | N | X |  |
|  |  | | | | | | Do you plan how you're going to analyze problems reported by means of industry alerts? | Y | N | X |  |
|  |  | | | | | | Do you plan how you're going to analyze problems reported by means of government alerts? | Y | N | X |  |
|  |  | | | | Do you plan how you're going to analyze output problems revealed by internal sources? | | | Y | N | X |  |
|  |  | Do you plan how you're going to use your analytical results to evaluate effectiveness? | | | | | | Y | N | X |  |
|  |  | | Do you plan how you're going to analyze the effectiveness of your system operations? | | | | | Y | N | X |  |
|  |  | | | Do you plan how you're going to determine if you need to improve its effectiveness? | | | | Y | N | X |  |
|  | Do you plan how you're going to analyze the competence and performance of system personnel? | | | | | | | Y | N | X |  |
|  |  | Do you plan how you're going to analyze the effectiveness of actions taken to acquire competence? | | | | | | Y | N | X |  |
|  | Do you plan how you're going to analyze the conformance and performance of external providers? | | | | | | | Y | N | X |  |
|  |  | Do you plan how to analyze process, product, and service conformity of each external provider? | | | | | | Y | N | X |  |
|  |  | | Do you plan how to analyze the on-time delivery performance of each external provider? | | | | | Y | N | X |  |
|  |  | | | Do you plan how you're going to analyze the approval status of each external provider? | | | | Y | N | X |  |
|  |  | Do you plan how to define actions to take when external providers fail to meet requirements? | | | | | | Y | N | X |  |
| 6.1.3 Assess how well review activities are being planned | | | | | | | | | | | |
|  | Do you consider how you're going to review your management system? | | | | | | | Y | N | X |  |
|  |  | Do you consider how you're going to review the suitability of your system? | | | | | | Y | N | X |  |
|  |  | Do you consider how you're going to review the adequacy of your system? | | | | | | Y | N | X |  |
|  |  | Do you consider how you're going to review the effectiveness of your system? | | | | | | Y | N | X |  |
|  | Do you consider the issues that are relevant to your management system? | | | | | | | Y | N | X |  |
|  |  | Do you consider changes in the external issues that influence your system? | | | | | | Y | N | X |  |
|  |  | Do you consider changes in the internal issues that influence your system? | | | | | | Y | N | X |  |
|  | Do you consider the status of your previous management reviews? | | | | | | | Y | N | X |  |
|  |  | Do you consider the status of the actions that were previously taken? | | | | | | Y | N | X |  |
| 6.2 Assess how well resources are used to evaluate system | | | | | | | | | | | |
| 6.2.1 Assess the personnel used to evaluate your system | | | | | | | | | | | |
|  | Do you provide the people that you need in order to audit your system? | | | | | | | Y | N | X |  |
|  | Do you provide the people that you need in order to analyze your system? | | | | | | | Y | N | X |  |
|  | Do you provide the people that you need in order to review your system? | | | | | | | Y | N | X |  |
| 6.2.2 Assess the knowledge used to evaluate your system | | | | | | | | | | | |
|  | Do you provide the knowledge that you need in order to audit your system? | | | | | | | Y | N | X |  |
|  | Do you provide the knowledge that you need in order to analyze your system? | | | | | | | Y | N | X |  |
|  | Do you provide the knowledge that you need in order to review your system? | | | | | | | Y | N | X |  |
| 6.2.3 Assess the technology used to evaluate your system | | | | | | | | | | | |
|  | Do you provide the technology that you need in order to audit your system? | | | | | | | Y | N | X |  |
|  | Do you provide the technology that you need in order to analyze your system? | | | | | | | Y | N | X |  |
|  | Do you provide the technology that you need in order to review your system? | | | | | | | Y | N | X |  |
| 6.2.4 Assess the infrastructure used to evaluate your system | | | | | | | | | | | |
|  | Do you provide the infrastructure that you need in order to audit your system? | | | | | | | Y | N | X |  |
|  | Do you provide the infrastructure that you need in order to analyze your system? | | | | | | | Y | N | X |  |
|  | Do you provide the infrastructure that you need in order to review your system? | | | | | | | Y | N | X |  |
| 6.3 Assess how well management system is being evaluated | | | | | | | | | | | |
| 6.3.1 Assess the methods used to audit your system | | | | | | | | | | | |
|  | Do you use authorized methods to plan your internal audit activities? | | | | | | | Y | N | X |  |
|  |  | Do you define the scope for each internal management system audit? | | | | | | Y | N | X |  |
|  |  | Do you specify audit criteria for each internal management system audit? | | | | | | Y | N | X |  |
|  |  | Do you clarify internal management system audit methods and techniques? | | | | | | Y | N | X |  |
|  |  | Do you select impartial and objective internal management system auditors? | | | | | | Y | N | X |  |
|  |  | Do you schedule internal management system audits at planned intervals? | | | | | | Y | N | X |  |
|  | Do you use authorized methods to carry out audits at planned intervals? | | | | | | | Y | N | X |  |
|  |  | Do you conduct internal conformance audits of management system? | | | | | | Y | N | X |  |
|  |  | | Do you determine if your system meets relevant requirements? | | | | | Y | N | X |  |
|  |  | | | Do you determine if your system meets internal requirements? | | | | Y | N | X |  |
|  |  | | | Do you determine if your system meets external requirements? | | | | Y | N | X |  |
|  |  | | | | Do you determine if your system meets external customer requirements? | | | Y | N | X |  |
|  |  | | | | Do you determine if your system meets external statutory requirements? | | | Y | N | X |  |
|  |  | | | | Do you determine if your system meets external regulatory requirements? | | | Y | N | X |  |
|  |  | | | | | Do you determine if your system complies with government regulations? | | Y | N | X |  |
|  |  | | | | | Do you determine if your system complies with international standards? | | Y | N | X |  |
|  |  | | | | | | Do you determine how well system meets safety management requirements? | Y | N | X |  |
|  |  | | | | | | Do you determine how well system meets privacy management requirements? | Y | N | X |  |
|  |  | | | | | | Do you determine how well system meets security management requirements? | Y | N | X |  |
|  |  | | | | | | Do you determine how well system meets quality management requirements? | Y | N | X |  |
|  |  | | | | | | Do you determine how well system meets environmental management requirements? | Y | N | X |  |
|  |  | | | | | | Do you determine how well system meets business continuity management requirements? | Y | N | X |  |
|  |  | Do you conduct internal effectiveness audits of your management system? | | | | | | Y | N | X |  |
|  |  | | Do you determine how effective management system implementation was? | | | | | Y | N | X |  |
|  |  | | | Do you use performance indicators to see if system was effectively implemented? | | | | Y | N | X |  |
|  |  | | Do you determine how effective management system operations are? | | | | | Y | N | X |  |
|  |  | | | Do you use performance indicators to see if system is being effectively operated? | | | | Y | N | X |  |
|  |  | | Do you determine how effective management system controls are? | | | | | Y | N | X |  |
|  |  | | | Do you use performance indicators to see if system is being effectively controlled? | | | | Y | N | X |  |
|  |  | | Do you determine how effective management system maintenance is? | | | | | Y | N | X |  |
|  |  | | | Do you use performance indicators to see if system is being effectively maintained? | | | | Y | N | X |  |
|  |  | | Do you determine how effective management system monitoring is? | | | | | Y | N | X |  |
|  |  | | | Do you use performance indicators to see if system is being effectively monitored? | | | | Y | N | X |  |
|  |  | | Do you determine how effective management system measurement is? | | | | | Y | N | X |  |
|  |  | | | Do you use performance indicators to see if system is being effectively measured? | | | | Y | N | X |  |
|  |  | | Do you determine how effective management system evaluations are? | | | | | Y | N | X |  |
|  |  | | | Do you use performance indicators to see if system is being effectively evaluated? | | | | Y | N | X |  |
|  |  | | | | Do you use performance indicators to see if system is being effectively audited? | | | Y | N | X |  |
|  |  | | | | Do you use performance indicators to see if system is being effectively reviewed? | | | Y | N | X |  |
|  |  | | Do you determine how effective management system changes are? | | | | | Y | N | X |  |
|  |  | | | Do you use performance indicators to see if system is being effectively modified? | | | | Y | N | X |  |
|  |  | | | | Do you use performance indicators to see if system corrections are effective? | | | Y | N | X |  |
|  |  | | | | Do you use performance indicators to see if system improvements are effective? | | | Y | N | X |  |
|  | Do you use authorized methods to report management system audit results to management? | | | | | | | Y | N | X |  |
|  | Do you use authorized methods to maintain your management system audit programme? | | | | | | | Y | N | X |  |
|  |  | Do you retain documented information about your audit programme? | | | | | | Y | N | X |  |
|  |  | | Do you retain your internal audit results and control these results? | | | | | Y | N | X |  |
| 6.3.2 Assess the methods used to analyze your system | | | | | | | | | | | |
|  | Do you use authorized methods to analyze the opinions of customers? | | | | | | | Y | N | X |  |
|  |  | Do you use your analytical results to evaluate customer satisfaction? | | | | | | Y | N | X |  |
|  |  | | Do you evaluate the degree of customer satisfaction? | | | | | Y | N | X |  |
|  | Do you use authorized methods to analyze system performance? | | | | | | | Y | N | X |  |
|  |  | Do you use your results to analyze conformance? | | | | | | Y | N | X |  |
|  |  | | Do you analyze the conformity of system outputs? | | | | | Y | N | X |  |
|  |  | | | Do you analyze management system output problems? | | | | Y | N | X |  |
|  |  | | | | Do you analyze output problems reported by external sources? | | | Y | N | X |  |
|  |  | | | | | Do you analyze output problems reported using advisories? | | Y | N | X |  |
|  |  | | | | | Do you analyze output problems reported by means of alerts? | | Y | N | X |  |
|  |  | | | | | | Do you analyze problems reported by means of industry alerts? | Y | N | X |  |
|  |  | | | | | | Do you analyze problems reported by means of government alerts? | Y | N | X |  |
|  |  | | | | Do you analyze output problems revealed by internal sources? | | | Y | N | X |  |
|  |  | Do you use your results to analyze effectiveness? | | | | | | Y | N | X |  |
|  |  | | Do you analyze the effectiveness of management system operations? | | | | | Y | N | X |  |
|  |  | | | Do you determine if you need to improve its system effectiveness? | | | | Y | N | X |  |
|  | Do you use authorized methods to analyze the effectiveness of your system? | | | | | | | Y | N | X |  |
|  |  | Do you use your results to analyze management system effectiveness? | | | | | | Y | N | X |  |
|  |  | | Do you analyze the effectiveness of management system operations? | | | | | Y | N | X |  |
|  |  | | | Do you determine if you need to improve management system operations? | | | | Y | N | X |  |
|  |  | | Do you analyze the effectiveness of management system maintenance? | | | | | Y | N | X |  |
|  |  | | | Do you determine if you need to improve management system maintenance? | | | | Y | N | X |  |
|  |  | | Do you analyze the effectiveness of management system monitoring? | | | | | Y | N | X |  |
|  |  | | | Do you determine if you need to improve management system monitoring? | | | | Y | N | X |  |
|  |  | | Do you analyze the effectiveness of management system measurement? | | | | | Y | N | X |  |
|  |  | | | Do you determine if you need to improve management system measurement? | | | | Y | N | X |  |
|  |  | | Do you analyze the effectiveness of management system evaluations? | | | | | Y | N | X |  |
|  |  | | | Do you analyze the effectiveness of management system audits? | | | | Y | N | X |  |
|  |  | | | | Do you determine if you need to improve management system audits? | | | Y | N | X |  |
|  |  | | | Do you analyze the effectiveness of management system reviews? | | | | Y | N | X |  |
|  |  | | | | Do you determine if you need to improve management system reviews? | | | Y | N | X |  |
|  |  | | Do you analyze the effectiveness of management system changes? | | | | | Y | N | X |  |
|  |  | | | Do you analyze the effectiveness of management system corrections? | | | | Y | N | X |  |
|  |  | | | | Do you determine if you need to improve system correction activities? | | | Y | N | X |  |
|  |  | | | Do you analyze the effectiveness of management system improvements? | | | | Y | N | X |  |
|  |  | | | | Do you determine if you need to improve system improvement activities? | | | Y | N | X |  |
|  |  | Do you use your results to analyze management system management? | | | | | | Y | N | X |  |
|  |  | | Do you analyze the effectiveness of actions taken by managers? | | | | | Y | N | X |  |
|  |  | | | Do you analyze the effectiveness of actions taken to address system risks? | | | | Y | N | X |  |
|  |  | | | Do you analyze the effectiveness of actions taken to address system opportunities? | | | | Y | N | X |  |
|  |  | | | Do you analyze the effectiveness of actions taken to address system nonconformities? | | | | Y | N | X |  |
|  |  | | | Do you analyze the effectiveness of actions taken to address system performance problems? | | | | Y | N | X |  |
|  | Do you use authorized methods to analyze the competence of system participants? | | | | | | | Y | N | X |  |
|  |  | Do you analyze the competence and performance of system personnel? | | | | | | Y | N | X |  |
|  |  | | Do you analyze the effectiveness of actions taken to acquire competence? | | | | | Y | N | X |  |
|  |  | Do you analyze the competence and performance of external providers? | | | | | | Y | N | X |  |
|  |  | | Do you analyze the system, product, and service conformity of each external provider? | | | | | Y | N | X |  |
|  |  | | | Do you analyze the on-time delivery performance of each external provider? | | | | Y | N | X |  |
|  |  | | | | Do you analyze the approval status of each external provider? | | | Y | N | X |  |
|  |  | | Do you define the actions to take when external providers fail to meet requirements? | | | | | Y | N | X |  |
| 6.3.3 Assess the methods used to review your system | | | | | | | | | | | |
|  | Do you use authorized methods to review the performance of your system? | | | | | | | Y | N | X |  |
|  |  | Do you review your management system nonconformities? | | | | | | Y | N | X |  |
|  |  | Do you review management system output nonconformities? | | | | | | Y | N | X |  |
|  |  | | Do you review customer perceptions and satisfaction? | | | | | Y | N | X |  |
|  |  | | | Do you use output conformity information to review customer satisfaction? | | | | Y | N | X |  |
|  |  | | | Do you use on-time delivery performance to review customer satisfaction? | | | | Y | N | X |  |
|  |  | | | Do you use corrective action requests to review customer satisfaction? | | | | Y | N | X |  |
|  |  | | | Do you use customer complaints to review customer satisfaction? | | | | Y | N | X |  |
|  |  | Do you review the performance of management system personnel? | | | | | | Y | N | X |  |
|  |  | | Do you review how well objectives are being met? | | | | | Y | N | X |  |
|  |  | | Do you review the competence of system personnel? | | | | | Y | N | X |  |
|  |  | Do you review system management activities and results? | | | | | | Y | N | X |  |
|  |  | | Do you review system control methods and results? | | | | | Y | N | X |  |
|  |  | | Do you review system operations methods and results? | | | | | Y | N | X |  |
|  |  | | Do you review system monitoring methods and results? | | | | | Y | N | X |  |
|  |  | | Do you review system measurement methods and results? | | | | | Y | N | X |  |
|  |  | | Do you review system maintenance methods and results? | | | | | Y | N | X |  |
|  |  | | Do you review system evaluation methods and results? | | | | | Y | N | X |  |
|  |  | | | Do you review system audit activities and results? | | | | Y | N | X |  |
|  |  | | | Do you review system analysis activities and results? | | | | Y | N | X |  |
|  |  | | Do you review system modification methods and results? | | | | | Y | N | X |  |
|  |  | | | Do you review actual management system modifications? | | | | Y | N | X |  |
|  |  | | | | Do you review actions taken to modify management system? | | | Y | N | X |  |
|  |  | | | | | Do you review the effectiveness of actions taken to improve system? | | Y | N | X |  |
|  |  | | | | | Do you review the effectiveness of corrective and preventive actions? | | Y | N | X |  |
|  |  | | | | | | Do you review corrective actions taken to address system nonconformities? | Y | N | X |  |
|  |  | | | | | | Do you review preventive actions taken to address system nonconformities? | Y | N | X |  |
|  |  | | | Do you review potential management system changes? | | | | Y | N | X |  |
|  |  | | | | Do you review potential improvement opportunities? | | | Y | N | X |  |
|  |  | | | | Do you review potential corrective and preventive actions? | | | Y | N | X |  |
|  |  | Do you review management system risks and opportunities? | | | | | | Y | N | X |  |
|  |  | | Do you review actions taken to address risks and opportunities? | | | | | Y | N | X |  |
|  |  | | | Do you review the effectiveness of the actions that were taken? | | | | Y | N | X |  |
|  |  | Do you review suitability of management system environment? | | | | | | Y | N | X |  |
|  |  | | Do you review external process, product, and service providers? | | | | | Y | N | X |  |
|  |  | | | Do you review your external process, product, and service verification activities? | | | | Y | N | X |  |
|  |  | | | | Do you review verifications whenever they are delegated to external providers? | | | Y | N | X |  |
|  |  | | Do you review the issues that could influence management system performance? | | | | | Y | N | X |  |
|  |  | | | Do you review and evaluate the issues and concerns of interested parties? | | | | Y | N | X |  |
|  |  | | | | Do you review and evaluate their changing needs and expectations? | | | Y | N | X |  |
|  |  | Do you review the adequacy of management system resources? | | | | | | Y | N | X |  |
|  | Do you generate suitable management system review outputs? | | | | | | | Y | N | X |  |
| 6.4 Assess how well evaluation activities are being recorded | | | | | | | | | | | |
| 6.4.1 Assess how well system audits are being recorded | | | | | | | | | | | |
|  | Do you record your management system audit activities and results? | | | | | | | Y | N | X |  |
|  |  | Do you maintain your integrated management system audit records? | | | | | | Y | N | X |  |
|  |  | Do you control your integrated management system audit records? | | | | | | Y | N | X |  |
| 6.4.2 Assess how well system analyses are being recorded | | | | | | | | | | | |
|  | Do you record your management system analysis activities and results? | | | | | | | Y | N | X |  |
|  |  | Do you maintain your integrated management system analysis records? | | | | | | Y | N | X |  |
|  |  | Do you control your integrated management system analysis records? | | | | | | Y | N | X |  |
| 6.4.3 Assess how well system reviews are being recorded | | | | | | | | | | | |
|  | Do you record your management system review activities and results? | | | | | | | Y | N | X |  |
|  |  | Do you maintain your integrated management system review records? | | | | | | Y | N | X |  |
|  |  | Do you control your integrated management system review records? | | | | | | Y | N | X |  |
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| Answer each of the above questions. Three answers are possible: Y (yes), N (no), and X (eXclude). Y means you're in compliance,  N means you're not in compliance, while X means that this question can be excluded because it’s not applicable in your situation.  Y answers and X answers require no further action, while N answers point to things that need to be done to improve the  overall performance of your system. Also, please use the column on the right to record your notes, and in the spaces  below, enter the name and location of your organization, who completed this page, who reviewed it, and the dates. | | | | | | | | | | | |

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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 7.1 Assess how well systemic change is being managed | | | | | | | | | | |
| 7.1.1 Assess the methods used to manage systemic corrections | | | | | | | | | | |
|  | Do you establish appropriate corrective action methods and procedures? | | | | | | Y | N | X |  |
|  |  | Do you document your system’s corrective action methods and procedures? | | | | | Y | N | X |  |
|  |  | | Do you maintain documents that describe corrective action methods and procedures? | | | | Y | N | X |  |
|  | Do you establish appropriate corrective action record keeping methods and procedures? | | | | | | Y | N | X |  |
|  |  | Do you figure out how you're going to record the actions taken to correct system and outputs? | | | | | Y | N | X |  |
|  |  | Do you figure out how you're going to record the system and output corrections that are made? | | | | | Y | N | X |  |
| 7.1.2 Assess the methods used to manage systemic improvements | | | | | | | | | | |
|  | Do you establish appropriate system and output improvement methods and procedures? | | | | | | Y | N | X |  |
|  |  | Do you document your system and output improvement methods and procedures? | | | | | Y | N | X |  |
|  |  | | Do you maintain documents describing system and output improvement methods and procedures? | | | | Y | N | X |  |
|  | Do you establish appropriate system and output improvement record keeping methods? | | | | | | Y | N | X |  |
|  |  | Do you figure out how you're going to record the actions taken to improve system and outputs? | | | | | Y | N | X |  |
|  |  | Do you figure out how you're going to record the system and output improvements that are made? | | | | | Y | N | X |  |
| 7.2 Assess how well change opportunities are identified | | | | | | | | | | |
| 7.2.1 Assess the methods used to discover opportunities to change system | | | | | | | | | | |
|  | Do you discover opportunities to correct your management system and outputs? | | | | | | Y | N | X |  |
|  |  | Do you discover opportunities to make corrections by examining audit reports? | | | | | Y | N | X |  |
|  |  | Do you discover opportunities to make corrections by examining review results? | | | | | Y | N | X |  |
|  |  | Do you discover opportunities to make corrections by examining best practices? | | | | | Y | N | X |  |
|  |  | Do you discover opportunities to make corrections by examining lessons learned? | | | | | Y | N | X |  |
|  |  | Do you discover opportunities to make corrections by examining nonconformities? | | | | | Y | N | X |  |
|  |  | Do you discover opportunities to make corrections by examining customer feedback? | | | | | Y | N | X |  |
|  | Do you discover opportunities to improve your management system and outputs? | | | | | | Y | N | X |  |
|  |  | Do you discover systemic improvement opportunities by examining audit reports? | | | | | Y | N | X |  |
|  |  | Do you discover systemic improvement opportunities by examining review results? | | | | | Y | N | X |  |
|  |  | Do you discover systemic improvement opportunities by examining best practices? | | | | | Y | N | X |  |
|  |  | Do you discover systemic improvement opportunities by examining lessons learned? | | | | | Y | N | X |  |
|  |  | Do you discover systemic improvement opportunities by examining nonconformities? | | | | | Y | N | X |  |
|  |  | Do you discover systemic improvement opportunities by examining customer feedback? | | | | | Y | N | X |  |
| 7.2.2 Assess the methods used to confirm that changes are actually needed | | | | | | | | | | |
|  | Do you confirm that proposed management system modifications are necessary? | | | | | | Y | N | X |  |
|  |  | Do you confirm that proposed management system modifications would be feasible? | | | | | Y | N | X |  |
|  |  | Do you confirm that proposed management system modifications would be appropriate? | | | | | Y | N | X |  |
|  |  | Do you confirm that proposed management system modifications would be effective? | | | | | Y | N | X |  |
|  |  | | Do you confirm that proposed management system modifications would be cost-effective? | | | | Y | N | X |  |
|  | Do you confirm that proposed management system output modifications would be necessary? | | | | | | Y | N | X |  |
|  |  | Do you confirm that proposed management system output modifications would be feasible? | | | | | Y | N | X |  |
|  |  | Do you confirm that proposed management system output modifications would be appropriate? | | | | | Y | N | X |  |
|  |  | Do you confirm that proposed management system output modifications would be effective? | | | | | Y | N | X |  |
|  |  | | Do you confirm that proposed management system output modifications would be cost-effective? | | | | Y | N | X |  |
| 7.2.3 Assess the methods used to approve opportunities to change system | | | | | | | | | | |
|  | Do you authorize proposed management system corrections and improvements? | | | | | | Y | N | X |  |
|  | Do you authorize proposed management output corrections and improvements? | | | | | | Y | N | X |  |
| 7.3 Assess how well systemtic changes are being planned | | | | | | | | | | |
| 7.3.1 Assess the methods used to plan systemic corrections | | | | | | | | | | |
|  | Do you plan how you're going to apply your corrective action methods and procedures? | | | | | | Y | N | X |  |
|  |  | Do you plan how you're going to react to your system and output nonconformities? | | | | | Y | N | X |  |
|  |  | Do you plan how you're going to control and correct system and output nonconformities? | | | | | Y | N | X |  |
|  |  | | Do you plan how you're going to deal with all relevant effects and consequences? | | | | Y | N | X |  |
|  | Do you plan how you're going to document your corrective action activities and results? | | | | | | Y | N | X |  |
|  |  | Do you plan how you're going to document the actions taken and the results achieved? | | | | | Y | N | X |  |
|  |  | | Do you plan how you're going to retain and control your record of actions and results? | | | | Y | N | X |  |
|  | Do you plan how you're going to evaluate the need to eliminate causes? | | | | | | Y | N | X |  |
|  |  | Do you plan how you're going to review and analyze the nonconformity? | | | | | Y | N | X |  |
|  |  | | Do you plan how you're going to determine the causes of the nonconformity? | | | | Y | N | X |  |
|  |  | | | Do you plan how to determine if human factors are responsible for the nonconformity? | | | Y | N | X |  |
|  |  | | | Do you plan how to determine if external providers are responsible for the nonconformity? | | | Y | N | X |  |
|  |  | | | | Do you plan how to flow down corrective action requirements to your external providers? | | Y | N | X |  |
|  |  | Do you plan how you're going to decide if corrective action should be taken? | | | | | Y | N | X |  |
|  | Do you plan how you're going to develop corrective actions to address causes? | | | | | | Y | N | X |  |
|  |  | Do you plan how you're going to make sure that your actions are feasible? | | | | | Y | N | X |  |
|  |  | Do you plan how you're going to make sure that your actions are appropriate? | | | | | Y | N | X |  |
|  |  | | Do you plan how you're going to make sure that actions consider consequences? | | | | Y | N | X |  |
|  |  | Do you plan how you're going to make sure that your actions are effective? | | | | | Y | N | X |  |
|  |  | | Do you plan how you're going to make sure that your actions are cost-effective? | | | | Y | N | X |  |
|  | Do you plan how you're going to get managers to authorize corrective action? | | | | | | Y | N | X |  |
|  |  | Do you plan how you're going to submit corrective action requests? | | | | | Y | N | X |  |
|  | Do you plan how you're going to take corrective actions to deal with causes? | | | | | | Y | N | X |  |
|  |  | Do you plan how you're going to correct your system and its outputs? | | | | | Y | N | X |  |
|  | Do you plan how you're going to review the effectiveness of corrective actions? | | | | | | Y | N | X |  |
|  | Do you plan how you're going to respond when correction actions aren't taken? | | | | | | Y | N | X |  |
|  | Do you plan how you're going to update your list of system and output risks? | | | | | | Y | N | X |  |
| 7.3.2 Assess the methods used to plan systemic improvements | | | | | | | | | | |
|  | Do you plan improvements and other changes to your management system? | | | | | | Y | N | X |  |
|  |  | Do you identify people authorized to approve changes in your system? | | | | | Y | N | X |  |
|  |  | Do you use your system purpose and scope to guide system improvements? | | | | | Y | N | X |  |
|  |  | | Do you use system policy statements to guide system improvements? | | | | Y | N | X |  |
|  |  | | | Do you use your quality policy to guide your system improvements? | | | Y | N | X |  |
|  |  | | | | Do you use your quality objectives to guide system improvements? | | Y | N | X |  |
|  |  | | | Do you use your privacy policy to guide your system improvements? | | | Y | N | X |  |
|  |  | | | | Do you use your privacy objectives to guide system improvements? | | Y | N | X |  |
|  |  | | | Do you use your safety policy to guide your system improvements? | | | Y | N | X |  |
|  |  | | | | Do you use your safety objectives to guide system improvements? | | Y | N | X |  |
|  |  | | | Do you use your security policy to guide your system improvements? | | | Y | N | X |  |
|  |  | | | | Do you use your security objectives to guide system improvements? | | Y | N | X |  |
|  |  | | | Do you use your environmental policy to guide your system improvements? | | | Y | N | X |  |
|  |  | | | | Do you use your environmental objectives to guide system improvements? | | Y | N | X |  |
|  |  | | | Do you use your business continuity policy to guide your system improvements? | | | Y | N | X |  |
|  |  | | | | Do you use your business continuity objectives to guide system improvements? | | Y | N | X |  |
|  |  | Do you consider improvements and other changes to your management system? | | | | | Y | N | X |  |
|  |  | | Do you consider the purpose and effects of the changes you intend to make? | | | | Y | N | X |  |
|  |  | | Do you consider responsibilities and authorities whenever you make changes? | | | | Y | N | X |  |
|  |  | | | Do you consider allocating or reallocating responsibilities and authorities? | | | Y | N | X |  |
|  |  | | Do you consider the consequences that changes could potentially produce? | | | | Y | N | X |  |
|  |  | | Do you consider the availability of resources whenever you make changes? | | | | Y | N | X |  |
|  |  | | Do you consider the integrity of your system whenever you make changes? | | | | Y | N | X |  |
|  |  | Do you figure out how you're going to control changes in your management system? | | | | | Y | N | X |  |
|  |  | | Do you ensure that system continues to meet requirements even though changes are being made? | | | | Y | N | X |  |
|  | Do you plan improvements and other changes to management system outputs? | | | | | | Y | N | X |  |
|  |  | Do you identify people authorized to approve changes in system outputs? | | | | | Y | N | X |  |
|  |  | Do you use your system purpose and scope to guide output improvements? | | | | | Y | N | X |  |
|  |  | | Do you use system policy statements to guide system improvements? | | | | Y | N | X |  |
|  |  | | | Do you use your quality policy to guide your output improvements? | | | Y | N | X |  |
|  |  | | | | Do you use your quality objectives to guide output improvements? | | Y | N | X |  |
|  |  | | | Do you use your privacy policy to guide your output improvements? | | | Y | N | X |  |
|  |  | | | | Do you use your privacy objectives to guide output improvements? | | Y | N | X |  |
|  |  | | | Do you use your safety policy to guide your output improvements? | | | Y | N | X |  |
|  |  | | | | Do you use your safety objectives to guide output improvements? | | Y | N | X |  |
|  |  | | | Do you use your security policy to guide your output improvements? | | | Y | N | X |  |
|  |  | | | | Do you use your security objectives to guide output improvements? | | Y | N | X |  |
|  |  | | | Do you use your environmental policy to guide your output improvements? | | | Y | N | X |  |
|  |  | | | | Do you use your environmental objectives to guide output improvements? | | Y | N | X |  |
|  |  | | | Do you use your business continuity policy to guide your output improvements? | | | Y | N | X |  |
|  |  | | | | Do you use your business continuity objectives to guide output improvements? | | Y | N | X |  |
|  |  | Do you consider improvements and other changes to management system outputs? | | | | | Y | N | X |  |
|  |  | | Do you consider the purpose and effects of the output changes you intend to make? | | | | Y | N | X |  |
|  |  | | Do you consider responsibilities and authorities whenever you make output changes? | | | | Y | N | X |  |
|  |  | | Do you consider the consequences that output changes could potentially produce? | | | | Y | N | X |  |
|  |  | | Do you consider the availability of resources whenever you make output changes? | | | | Y | N | X |  |
|  |  | | Do you consider the integrity of your outputs whenever you make changes? | | | | Y | N | X |  |
|  |  | Do you figure out how you're going to control changes in your system’s outputs? | | | | | Y | N | X |  |
|  |  | | Do you ensure that outputs continue to meet requirements even though changes are being made? | | | | Y | N | X |  |
| 7.4 Assess how well management system is being changed | | | | | | | | | | |
| 7.4.1 Assess the methods used to correct management system | | | | | | | | | | |
|  | Do you apply your corrective action methods and procedures? | | | | | | Y | N | X |  |
|  |  | Do you evaluate the need to eliminate causes of nonconformity? | | | | | Y | N | X |  |
|  |  | | Do you review and analyze your system and output nonconformities? | | | | Y | N | X |  |
|  |  | | | Do you determine the causes of system and output nonconformities? | | | Y | N | X |  |
|  |  | | | | Do you determine if human factors are responsible for the nonconformity? | | Y | N | X |  |
|  |  | | | | Do you determine if external providers are responsible for the nonconformity? | | Y | N | X |  |
|  |  | | | | | Do you flow down corrective action requirements to your external providers? | Y | N | X |  |
|  |  | | Do you decide if the causes of system or output nonconformity must be addressed? | | | | Y | N | X |  |
|  |  | Do you develop corrective actions to address causes of nonconformity? | | | | | Y | N | X |  |
|  |  | | Do you ensure that your corrective actions are feasible? | | | | Y | N | X |  |
|  |  | | Do you ensure that your corrective actions are appropriate? | | | | Y | N | X |  |
|  |  | | | Do you ensure that actions also consider effects? | | | Y | N | X |  |
|  |  | | Do you ensure that your corrective actions are effective? | | | | Y | N | X |  |
|  |  | | | Do you ensure that your corrective actions are cost-effective? | | | Y | N | X |  |
|  |  | Do you take corrective action to address the causes of nonconformity? | | | | | Y | N | X |  |
|  | Do you provide the resources needed to correct system and outputs? | | | | | | Y | N | X |  |
|  |  | Do you provide suitable resources needed to correct system outputs? | | | | | Y | N | X |  |
|  |  | Do you provide suitable resources needed to correct system activities? | | | | | Y | N | X |  |
|  | Do you control your corrective action activities and results? | | | | | | Y | N | X |  |
|  | Do you monitor your corrective action activities and results? | | | | | | Y | N | X |  |
|  | Do you record your corrective action activities and results? | | | | | | Y | N | X |  |
|  |  | Do you document the actions taken and the results achieved? | | | | | Y | N | X |  |
|  |  | | Do you retain and control your record of corrective actions taken? | | | | Y | N | X |  |
| 7.4.2 Assess the methods used to improve management system | | | | | | | | | | |
|  | Do you apply system and output improvement methods and procedures? | | | | | | Y | N | X |  |
|  |  | Do you evaluate the need to make system and output improvements? | | | | | Y | N | X |  |
|  | Do you provide the resources needed to make system and output improvements? | | | | | | Y | N | X |  |
|  |  | Do you provide suitable resources needed to improve your system outputs? | | | | | Y | N | X |  |
|  |  | Do you provide suitable resources needed to improve your system activities? | | | | | Y | N | X |  |
|  | Do you develop improvements to your system and system outputs? | | | | | | Y | N | X |  |
|  |  | Do you ensure that your system and output improvements are feasible? | | | | | Y | N | X |  |
|  |  | Do you ensure that your system and output improvements are appropriate? | | | | | Y | N | X |  |
|  |  | | Do you ensure that system and output improvements also consider effects? | | | | Y | N | X |  |
|  |  | Do you ensure that your system and output improvements are effective? | | | | | Y | N | X |  |
|  |  | | Do you ensure that your system and output improvements are cost-effective? | | | | Y | N | X |  |
|  | Do you implement improvements to your management system and system outputs? | | | | | | Y | N | X |  |
|  |  | Do you improve the suitability, adequacy, and effectiveness of your management system? | | | | | Y | N | X |  |
|  |  | Do you improve the quality, safety, privacy, and security of management system outputs? | | | | | Y | N | X |  |
|  | Do you control improvements to your management system and system outputs? | | | | | | Y | N | X |  |
|  |  | Do you control improvements and other changes affecting system software? | | | | | Y | N | X |  |
|  |  | Do you control improvements and other changes affecting system operations? | | | | | Y | N | X |  |
|  |  | Do you control improvements and other changes affecting system equipment? | | | | | Y | N | X |  |
|  |  | Do you control improvements and other changes affecting system tools? | | | | | Y | N | X |  |
|  | Do you monitor improvements to your management system and system outputs? | | | | | | Y | N | X |  |
|  |  | Do you monitor the implementation of system and output improvement activities? | | | | | Y | N | X |  |
|  | Do you record improvements to your management system and system outputs? | | | | | | Y | N | X |  |
| 7.5 Assess how well changes are reviewed and evaluated | | | | | | | | | | |
| 7.5.1 Assess the methods used to review and evaluate corrections | | | | | | | | | | |
|  | Do you review and evaluate actions taken to correct your management system? | | | | | | Y | N | X |  |
|  |  | Do you document your system correction reviews and the actions that are taken? | | | | | Y | N | X |  |
|  |  | Do you establish a record of system correction reviews and actions taken? | | | | | Y | N | X |  |
|  | Do you review and evaluate actions taken to correct system outputs? | | | | | | Y | N | X |  |
|  |  | Do you document your output correction reviews and the actions that are taken? | | | | | Y | N | X |  |
|  |  | Do you establish a record of output correction reviews and actions taken? | | | | | Y | N | X |  |
| 7.5.2 Assess the methods used to review and evaluate improvements | | | | | | | | | | |
|  | Do you review and evaluate improvements and changes to management system? | | | | | | Y | N | X |  |
|  |  | Do you document management system improvement reviews and the actions that are taken? | | | | | Y | N | X |  |
|  |  | Do you establish a record of management system improvement reviews and the actions taken? | | | | | Y | N | X |  |
|  | Do you review and evaluate improvements and changes to management system outputs? | | | | | | Y | N | X |  |
|  |  | Do you document your output improvement reviews and the actions that are taken? | | | | | Y | N | X |  |
|  |  | Do you establish a record of output improvement reviews and the actions taken? | | | | | Y | N | X |  |
| Answer each of the above questions. Three answers are possible: Y (yes), N (no), and X (eXclude). Y means you're in compliance,  N means you're not in compliance, while X means that this question can be excluded because it’s not applicable in your situation.  Y answers and X answers require no further action, while N answers point to things that need to be done to improve the  overall performance of your system. Also, please use the column on the right to record your notes, and in the spaces  below, enter the name and location of your organization, who completed this page, who reviewed it, and the dates. | | | | | | | | | | |

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