|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **SRI Quality System Registrar** | | **QMS PROCESS MATRIX REPORT** | | | | | | | | | | | | | | | | | | | *2* |
| 3 **Organisation:** | |  | | | | | | | | | | | | | | 5**Audit Report Number:** | | | | |  |
| 4 **Site/OIN:** | |  | | | | | | | | | | | | | | 6 **Issue Date:** | | | | |  |
| 7**Type of Certification Structure:**  **Single**  **Multiple**  **Campus**  **Several**  **Complex** | | | | | | | | | | | | | | | | | | | | | |
| 8**AQMS Standard:**  **9100**  **9110**  **9120** | | | | | | | | | | | | | | | | | | | | | |
|  | | | | | **ORGANISATION QMS PROCESSES** | | | | | | | | | | | | | | | |  |
| **1** | | **2** | **3** | **4** | **5** | **6** | | **7** | **8** | **9** | | | **10** | **11** | **12** |
| 9 **Process Name** | | | | |  | |  |  |  |  |  | |  |  |  | | |  |  |  |
| 10 **Related Process Effectiveness Assessment Report (PEAR) Identification** | | | | |  | |  |  |  |  |  | |  |  |  | | |  |  |  |
| 11**Process Effectiveness Level** | | | | **1** |  | |  |  |  |  |  | |  |  |  | | |  |  |  |
| **2** |  | |  |  |  |  |  | |  |  |  | | |  |  |  |
| **3** |  | |  |  |  |  |  | |  |  |  | | |  |  |  |
| **4** |  | |  |  |  |  |  | |  |  |  | | |  |  |  |
| **Clauses**  **(\* = not applicable for 9120)** | | | | | | 12 Conformity | | | | | | | | | | | | | | | 13 NCR Number |
| **1** | **2** | **3** | **4** | **5** | | **6** | **7** | **8** | **9** | | | **10** | **11** | **12** |
| **4.** | **Quality Management System** | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 4.1 | General Requirements | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 4.2 | Documentation Requirements | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 4.2.1 | General | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 4.2.2 | Quality Manual | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 4.2.3 | Control of Documents | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 4.2.4 | Control of Records | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| **14 Summary of Objective Evidence:** | | | | | | | | | | | | | | | | | | | | | |
| **5.** | **Management Responsibility** | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 5.1 | Management Commitment | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 5.2 | Customer Focus | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 5.3 | Quality Policy | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 5.4 | Planning | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 5.4.1 | Quality objectives | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 5.4.2 | Quality Management System Planning | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 5.4.3 | Safety Objectives ***(9110 only)*** | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 5.5 | Responsibility, Authority, and Communication | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 5.5.1 | Responsibility and Authority | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 5.5.1.1 | Accountable Manager ***(9110 only)*** | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 5.5.1.2 | Maintenance Manager(s) ***(9110 only)*** | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 5.5.2 | Management Responsibility | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 5.5.3 | Internal Communication | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| **Clauses**  **(\* = not applicable for 9120)** | | | | | | 12 Conformity | | | | | | | | | | | | | | | 13 NCR Number |
| **1** | **2** | **3** | **4** | **5** | | **6** | **7** | **8** | **9** | | | **10** | **11** | **12** |
| 5.6 | Management Review | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 5.6.1 | General | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 5.6.2 | Review Input | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 5.6.3 | Review Output | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 5.7 | Safety Policy ***(9110 only)*** | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| **14 Summary of Objective Evidence:** | | | | | | | | | | | | | | | | | | | | | |
| **6.** | **Resource Management** | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 6.1 | Provision of Resources | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 6.2 | Human Resources | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 6.2.1 | General | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 6.2.2 | Competence, Training and Awareness | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 6.3 | Infrastructure | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 6.4 | Work Environment | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| **14 Summary of Objective Evidence:** | | | | | | | | | | | | | | | | | | | | | |
| **7.** | **Product Realisation** | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 7.1 | Planning of Product Realisation | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 7.1.1 | Project Management **\*** | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 7.1.2 | Risk Management \* | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 7.1.3 | Configuration Management ***(7.1.1 for 9120)*** | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| **Clauses**  **(\* = not applicable for 9120)** | | | | | | 12 Conformity | | | | | | | | | | | | | | | 13 NCR Number |
| **1** | **2** | **3** | **4** | **5** | | **6** | **7** | **8** | **9** | | | **10** | **11** | **12** |
| 7.1.4 | Control of Work Transfers  ***(7.1.2 for 9120)*** | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 7.2 | Customer-Related Processes | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 7.2.1 | Determination of Requirements Related to the Product | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 7.2.2 | Review of Requirements Related to the Product | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 7.2.3 | Customer Communication | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 7.3 | Design and Development \* | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 7.3.1 | Design and Development Planning \* | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 7.3.2 | Design and Development Inputs \* | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 7.3.3 | Design and Development Outputs \* | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 7.3.4 | Design and Development Review \* | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 7.3.5 | Design and Development Verification \* | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 7.3.6 | Design and Development Validation \* | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 7.3.6.1 | Design and Development Verification and Validation Testing \* | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 7.3.6.2 | Design and Development Verification and Validation Documentation \* | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 7.3.7 | Control of Design and Development Changes \* | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 7.4 | Purchasing | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 7.4.1 | Purchasing Process | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 7.4.2 | Purchasing Information | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 7.4.3 | Verification of Purchased Product | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 7.5 | Production and Service Provision | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| **Clauses**  **(\* = not applicable for 9120)** | | | | | | **12 Conformity** | | | | | | | | | | | | | | | 13 NCR Number |
| **1** | **2** | **3** | **4** | **5** | | **6** | **7** | **8** | **9** | | | **10** | **11** | **12** |
| 7.5.1 | Control of Production and Service Provision | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 7.5.1.1 | Production Process Verification \* ***(Maintenance Process Verification - 9110)*** | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 7.5.1.2 | Control of Production Process Changes \* ***(Control of Maintenance Process Changes - 9110)*** | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 7.5.1.3 | Control of Production Equipment, Tools, and Software Programs \* ***(Control of Maintenance Equipment, Tools, and Software Programs - 9110)*** | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 7.5.1.4 | Post-Delivery Support \* | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 7.5.2 | Validation of Processes for Production and Service Provision \* | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 7.5.3 | Identification and Traceability | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 7.5.4 | Customer Property | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 7.5.5 | Preservation of Product | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 7.6 | Control of Monitoring and Measuring Equipment | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| **8.** | **Measurement, Analysis, and Improvement** | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 8.1 | General | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 8.2 | Monitoring and Measurement | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 8.2.1 | Customer Satisfaction | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 8.2.2 | Internal Audit | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| **Clauses**  **(\* = not applicable for 9120)** | | | | | | **12 Conformity** | | | | | | | | | | | | | | | 13 NCR Number |
| **1** | **2** | **3** | **4** | **5** | | **6** | **7** | **8** | **9** | | | **10** | **11** | **12** |
| 8.2.3 | Monitoring and Measurement of Processes | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 8.2.4 | Monitoring and Measurement of Product | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 8.2.5 | Evidence of Conformity ***(9120 only)*** | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 8.3 | Control of Nonconforming Product | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 8.4 | Analysis of Data | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 8.5 | Improvement | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 8.5.1 | Continual Improvement | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 8.5.2 | Corrective Action | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| 8.5.3 | Preventive Action | | | | |  |  |  |  |  | |  |  |  |  | | |  |  |  |  |
| **14 Summary of Objective Evidence:** | | | | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | |
| **15 AuditorName(s):** | | |  | | | | | | | | | | | | | |