|  |  |  |
| --- | --- | --- |
| **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):** |       |