
ISO 9001

BY
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STEP 1: WHAT IS A GAP ANALYSIS?

A Gap Analysis is a strategic planning tool to help you understand where you are, where you want to be and how you're going to get there.

One of the first steps in your Management System implementation project is to compare your current Management System to the requirements of the standard. This is most commonly called a Gap Analysis.

« WHERE YOU NEED TO BE TO HAVE A SUCCESSFUL MIGRATION »

A gap analysis is mainly done at the beginning of the implementation journey to assess what is currently in place against the set of requirements against which every standard is to be implemented. The standard has specific requirements that have to be met; these are detailed in various clauses. If your current system does not meet the requirements then there is a gap that must be addressed before you can achieve successful certification.

This process can also be used when an organization has to transition to a new version of a standard or in the case of the new ISO 45001:2018 - migrating. It will provide an indication of where you are now and where you need to be to have a successful migration.

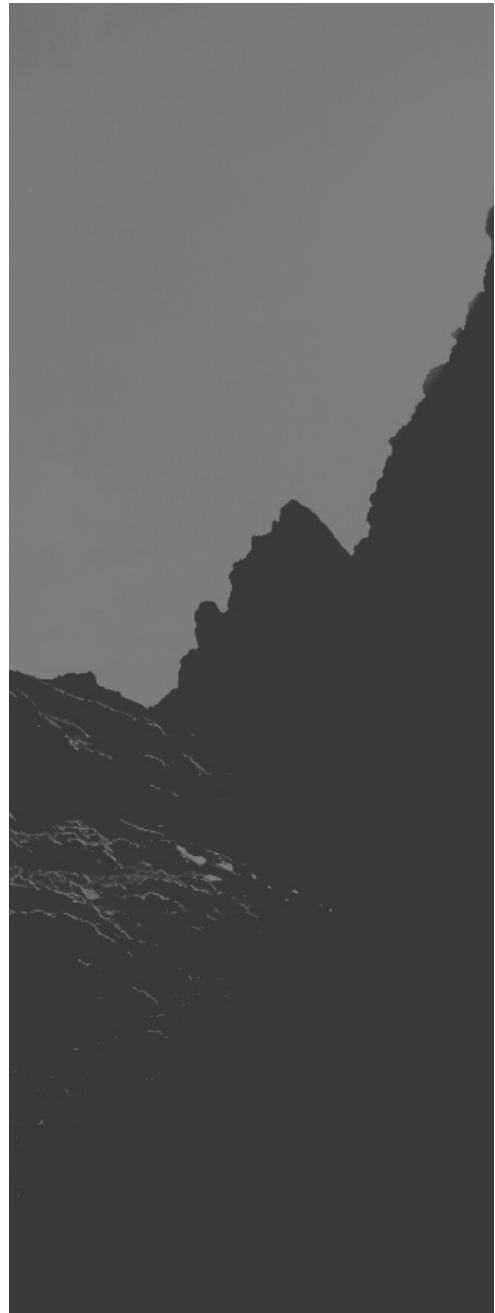
THE MOST COMMON QUESTIONS ARE:

- HOW LONG WILL IT TAKE TO ACHIEVE CERTIFICATION?
- HOW DIFFICULT IS IT?
- WHAT'S INVOLVED?
- HOW MUCH WILL IT COST?

THE DIFFICULTY SOMETIMES IS THAT EVERY BUSINESS OR ORGANIZATION IS DIFFERENT; DIFFERENT SECTORS, DIFFERENT SIZES, DIFFERENT COMPLEXITIES, DIFFERENT RISKS - SO THERE IS NO STANDARD ANSWER TO THESE QUESTIONS.

An organization will also want to know where they are on their journey. Although they have an understanding of their current position and know what they want to achieve; they need to implement a plan of action to get where they need to be. The Gap Analysis is a tool that identifies the gaps and therefore enables you to put together an action plan for implementation leading to successful certification. It can also provide a reality check as to where you are in the process - helping with planning resources and timeframes.

QSI can conduct a Gap Analysis to identify any areas of weakness as part of an implementation. QSI Consultant will carry out a Gap Analysis to compare the Management System that is in place with the standard requirements.



WHAT IS INVOLVED IN A GAP ANALYSIS?

We will:

- Review the compliance of your management system to the requirements of the appropriate standard
- Document where your system complies / does not comply with the certification requirements
- Discuss what needs to be considered in the project plan and agree any corrective actions

A report will be raised:

- Confirming the areas of the standard that your organization is currently conforming
- Identifying any areas that are not conforming
- Provide the foundation for a project plan

This report will enable your business or organization to implement a plan to remedy these gaps in readiness for the mandatory initial audits for certification.

STEP 2: IMPLEMENTATION.

TYPICAL LIST OF ITEMS FOR INCLUSION IN A QUALITY PROCESS.

THIS IS A TYPICAL
GUIDE TO OUR
DOCUMENTED SYSTEM.

- 1. Manuals
- 2. Policies
- 3. Procedures
- 4. Registers
- 5. Forms
- 6. Records
- 7. Reference

Contents	
Document Summary & Structure, and Documentation Library
Contents
Introduction
Strategy & Strategic Direction
1 Scope
Third Party Certification
Scope of ISO Standards Certification
Non-Applicable Clauses of ISO standards
2 References
3 Terms & Definitions
3.1 Description
3.2 Abbreviations and Acronyms
4 Context of the Organisation
4.1 Understanding the Organisation and its Context
4.2 Understanding the Needs and Expectations of Interested Parties
4.3 Determining the Scope of the IMS
4.4 Integrated Management System (IMS)
5 Leadership
5.1 Leadership and Commitment
5.2 Quality and Health & Safety Policy
5.3 Organizational Roles, Responsibilities and Authorities
5.4 Consultation and Participation of Workers
6 Planning
6.1 Actions to Address Risks and Opportunities
6.2 Quality and OH&S Objectives and Planning to Achieve Them
6.3 Planning of Changes
7 Support
7.1 Resources
7.2 Competence
7.3 Awareness
7.4 Communication
7.5 Documented Information
8 Operation
8.1 Operational Planning and Control
8.2 Requirements for Products and Services
8.3 Design and Development of Products and Services
8.4 Procurement and Control of Externally Provided Processes, Products and Services
8.5 Production and Service Provision
8.6 Release of Products and Services
8.7 Control of Nonconforming Outputs
8.8 Emergency Preparedness and Response
9 Performance Evaluation
9.1 Monitoring, Measurement, Analysis and Evaluation
9.2 Internal Audit
9.3 Management Review
10 Improvement
10.1 General
10.2 Incident, Nonconformity and Corrective Action
10.3 Continual Improvement
Appendix 1: Glossary of Terms, Abbreviations & Acronyms
Appendix 2: Revision History

EACH OF THE ABOVE ELEMENTS WILL BE SCOPED OUT AND IMPLEMENTED.

- A TYPICAL LIST OF TASKS COULD INCLUDE:

1. Carry out a Gap Analysis and prepare a project plan for the project.
2. Prepare Process documentation as required.
3. Prepare top level documents for iso 9001.
4. Prepare a Context and Strategic Plan
5. Provide templates of the various documents required.
6. Define responsibilities and an organisation chart.
7. Define scopes
8. Set out flow charts for all the processes.
9. Set up registers - complaints, non-conformances, communications etc.
10. Incorporate objectives and KPI's to achieve.
11. Establish a supplier and contractor evaluation system.
12. Conduct Internal audits and Management Review
13. Carry out any required training for Staff in this area
14. Liaise with the Certification Company and attend for certification audits
15. Other tasks that are identified as the project develops.
16. Project reviews and progress meetings as required.

FOR INTERNAL AUDITS

To carry out an internal audit out effectively an auditor should use ISO 19011:2011 guidelines for auditing management systems as a framework. This sets the Standard for carrying out an audit and should be part of the competency requirements of internal auditors. An audit should check that an organization is meeting the requirements of ISO 14001. Some organizations mistakenly think that a Certification company will carry this out as part of certification activities. This is not the case; an organization should determine, through internal audit, that they are meeting the requirements of the Standard (at a suitable frequency).

Many organizations undertake this kind of audit on a yearly basis and do so by turning the Standard into a questionnaire and then systematically going through each part of the EMS to determine if particular requirement within the Standard is being met.

The Standard asks an organization to produce documented information as evidence of the implementation of an audit programme and audit results. An audit programme in its simplest form sets out when and what is going to be carried out over a period of time. Organizations may have programmes which cover many years (or perhaps a certification cycle) but as a suggestion a minimum of a programme covering twelve months should be produced. The Standard also says that auditors should conduct audits to ensure objectivity and the impartiality of the audit process. This is sometimes inherently difficult as internal auditors (by their name) have a close relationship with the organization being audited. However, sensible guidelines so that internal auditors do not audit their own processes should be strived for. When an audit has been carried out and the results of that audit produced (in a documented form e.g. an audit report) it is important that they are efficiently communicated to appropriate stakeholders including appropriate management. Some of the best performing organization ensures that the results (which can include non-conformities are fed also into "Top Management". This can be important, especially where an audit has found deficiencies within the system and resources are needed to rectify the situation.

External support from QSI to work along with the Internal Auditors is advisable. Furthermore, QSI will train Internal Auditors in company as required.

**AN
ORGANIZATION
NEEDS TO
CHECK "ARE
WE DOING -
WHAT WE SAY
WE ARE
DOING?"**

STEP 3: CERTIFICATION

Generally a third party Certification company will contact a potential client so that they can understand the company and its requirements. This can usually be done online. The Certification Company will use this information to accurately define the scope of assessment and provide the client with a proposal for certification.

Once this proposal is agreed, the Certification company will contact you to book an assessment. This assessment generally consists of two visits - a Document review and Assessment. The Company to be audited will need to demonstrate that their management system has been fully operational for a minimum of three months and has been subject to a management review and full cycle of internal audits.

Following a successful two stage audit, a certification decision is made and if positive, then certification to the required standard is issued by the Certification Company.

The Company who has been successfully audited will receive both a hard and soft copy of the certificate. Certification is valid for three years and is maintained through a programme of annual surveillance audits and a three yearly recertification audit.
