

ISO 9001:2015 + Amd 1:2024 (Quality management systems, requirements)

Quality management, certifiable

62 requirements. This standard can be certified against by an accredited body. As of 07/2026.

ISO 9001 is the globally recognized standard for quality management systems and can be certified by an accredited certification body. This checklist assesses conformity with the 2015 edition including Amendment 1:2024 (climate change in 4.1 and 4.2). The ISO 9001:2026 revision is expected around September 2026, so the current basis for assessment remains 2015 + Amd 1:2024.

Company	Date	Prepared by
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4 Context of the organization5

4.1 The internal and external issues relevant to the organization's purpose and to the intended results of the quality management system are determined and monitored. This includes a determination of whether climate change is a relevant issue (added by Amd 1:2024).

What proves it: Evidence can be a context analysis, for example a short SWOT or PESTEL table with a date and an owner, reviewed once a year in the management review. Climate change must appear explicitly, even if the conclusion is that it is not relevant. In that case record the reasoning. For small organizations a single page discussed and minuted in the leadership meeting is sufficient.

OpenIn progressMetNot applicable

Evidence / justification

4.2 The interested parties relevant to the quality management system and their requirements are determined, monitored and reviewed at regular intervals. Following Amd 1:2024, it is considered that interested parties can have climate related requirements.

What proves it: Evidence can be a stakeholder list (customers, employees, suppliers, authorities, owners, certification body) with their expectations and the source of each expectation, for example a contract, a legal requirement or a tender. Climate related expectations, such as sustainability questionnaires from customers, should be recorded separately. The list is updated in the management review.

OpenIn progressMetNot applicable

Evidence / justification

4.3 The scope of the quality management system is available as documented information, states the boundaries, the products and services covered and the sites. Requirements of the standard that are not applicable are identified and justified.

What proves it: Evidence can be a short scope document, often part of the management manual or a single page in the QM portal. It must give a justification for every requirement that is not applied, and it must not undermine the ability to ensure conformity of products and services. Example for a software and consulting company: 7.1.5.2 not applicable, 8.3 applicable.

Document

OpenIn progressMetNot applicable

Evidence / justification

4.4.1 The quality management system is established, maintained and continually improved. The processes needed, their sequence and interaction, inputs, outputs, criteria, indicators, resources, responsibilities and the associated risks and opportunities are determined.

What proves it: Evidence can be a process map plus a one page profile per process stating purpose, input, output, owner, indicator and interfaces. In small organizations a table with one row per process is enough, instead of extensive procedures.

OpenIn progressMetNot applicable

Evidence / justification

4.4.2 Documented information is maintained to support the operation of the processes, and records provide confidence that the processes are carried out as planned.

What proves it: Evidence can be the working documents that are actually used (checklists, templates, ticket workflows, kanban boards) together with records from day to day operation, for example tickets, test protocols and approvals. A digital system such as an issue tracker or ERP counts as documented information if it is legible and can be evaluated.

Document

OpenIn progressMetNot applicable

Evidence / justification

5 Leadership					5
5.1.1	Top management takes accountability for the effectiveness of the quality management system, provides resources, integrates the requirements into the business processes and promotes the process approach and risk-based thinking.				
What proves it: Evidence can be management review minutes, budget and resource decisions, an approved quality policy and quality objectives signed by management, and interviews during the audit. Minutes of leadership meetings in which quality is a standing agenda item are the strongest evidence.					
Open In progress Met Not applicable					
Evidence / justification					
5.1.2	Top management ensures that customer requirements and applicable statutory and regulatory requirements are determined, understood and met, that risks and opportunities affecting conformity are addressed, and that the focus on enhancing customer satisfaction is maintained.				
What proves it: Evidence can be the review of orders before commitment (quotation or contract approval), a list of applicable legal requirements, and regular evaluation of customer satisfaction and complaints in the leadership meeting.					
Open In progress Met Not applicable					
Evidence / justification					
5.2.1	A quality policy is established that is appropriate to the purpose and context of the organization, provides a framework for quality objectives and includes a commitment to satisfy applicable requirements and to continual improvement.				
What proves it: Evidence is the quality policy, dated and approved by management, typically half a page. Its content must fit the context determined in 4.1 and must not be an interchangeable phrase. A link to the current quality objectives makes it easy to assess.					
Open In progress Met Not applicable					
Evidence / justification					
5.2.2	The quality policy is available as documented information, is communicated and understood within the organization, is applied, and is available to relevant interested parties as appropriate.				Document
What proves it: Evidence can be publication on the intranet or QM portal, notice boards, onboarding material and training records. During the audit employees are interviewed. They must be able to convey the essence in their own words, not recite it from memory.					
Open In progress Met Not applicable					
Evidence / justification					
5.3	Roles, responsibilities and authorities for the relevant tasks of the quality management system are assigned, communicated and understood, including responsibility for process conformity, for reporting to top management and for controlling changes.				
What proves it: Evidence can be an organization chart, role or job descriptions and a table mapping each process to its process owner. In small organizations a matrix mapping roles (not individuals) to clauses of the standard is enough. Combined roles are acceptable but must be stated.					
Open In progress Met Not applicable					
Evidence / justification					
6 Planning					5
6.1.1	When planning the quality management system, the issues from 4.1 and the requirements from 4.2 are considered and the risks and opportunities are determined that need to be addressed to achieve the intended results, to enhance desirable effects, to reduce undesirable effects and to achieve improvement.				
What proves it: Evidence can be a risk and opportunity register in which every entry traces back to a context issue or to a requirement of an interested party. A simple rating (high, medium, low) is sufficient. The standard does not require a formal risk management method and does not require an FMEA.					
Open In progress Met Not applicable					
Evidence / justification					

6.1.2

Actions to address risks and opportunities are planned, integrated into the processes of the quality management system, and their effectiveness is evaluated. The actions are proportionate to the potential impact on the conformity of products and services.

What proves it: Evidence can be an action plan with owner, due date and status tracking, together with the evaluation of effectiveness in the management review. A practical approach is to manage the actions as tickets in the existing task system so that implementation and follow up are visible in one place.

Open

In progress

Met

Not applicable

Evidence / justification

6.2.1

Quality objectives are established for relevant functions, levels and processes, are consistent with the quality policy, are measurable, take applicable requirements into account, are relevant to conformity and customer satisfaction, and are monitored, communicated and updated. They are available as documented information.

Document

What proves it: Evidence can be a list of objectives with indicator, baseline, target value and time frame, for example complaint rate, on time delivery, defect density per release, support response time. Objectives without a number or without a deadline are not measurable and will lead to a nonconformity.

Open

In progress

Met

Not applicable

Evidence / justification

6.2.2

For each quality objective it is planned what will be done, what resources are required, who is responsible, when it will be completed and how the results will be evaluated.

What proves it: Evidence can be an implementation plan containing exactly those five columns. It can be maintained as an extension of the objectives list. The evaluation of objective achievement belongs in the management review as an input.

Open

In progress

Met

Not applicable

Evidence / justification

6.3

Changes to the quality management system are planned and carried out in a controlled manner. The purpose of the change and its potential consequences, the integrity of the system, the availability of resources and the allocation of responsibilities and authorities are considered.

What proves it: Evidence can be change records for system level changes, for example new software, a new site, a reorganization or a change of process owner. A short change form or a decision record covering the four points above is enough. Keep system changes (6.3) separate from changes to products and services (8.5.6).

Open

In progress

Met

Not applicable

Evidence / justification

7 Support

13

7.1.1

The resources needed for the establishment, implementation, maintenance and continual improvement of the quality management system are determined and provided, considering the capability of existing internal resources and what needs to be obtained from external providers.

What proves it: Evidence can be budget planning, staffing plans and investment decisions linked to the quality management system, documented in the management review minutes. Deliberate make or buy decisions, such as external auditors or outsourced IT operations, are good evidence here as well.

Open

In progress

Met

Not applicable

Evidence / justification

7.1.2

The persons necessary for the effective implementation of the quality management system and for the operation and control of its processes are determined and available.

What proves it: Evidence can be staffing and capacity planning, deputising arrangements and a workload overview. Important for small organizations: show that key roles have a backup (bus factor), for example through a deputy matrix.

Open

In progress

Met

Not applicable

Evidence / justification

7.1.3

The infrastructure needed for the operation of the processes and for the conformity of products and services is determined, provided and maintained.

What proves it: Evidence can be inventory lists for buildings, hardware and network, plus maintenance and lifecycle plans. For software and consulting companies the relevant items are mainly the development and build environment, repositories, CI systems, backup and hosting. Evidence can be operations documentation, backup logs and availability reports.

Open

In progress

Met

Not applicable

Evidence / justification

7.1.4

The environment needed for the operation of the processes is determined, provided and maintained. Human and physical factors are considered, that is social aspects (such as tone of communication and freedom from discrimination), psychological aspects (such as workload and stress prevention) and physical aspects (such as temperature, light, noise and hygiene).

What proves it: Evidence can be rules on workplace, remote work, noise, temperature, order and cleanliness, together with results of employee surveys and workplace risk assessments. Existing occupational safety documents and the assessment of psychological workload can be reused here without duplicating effort.

Open

In progress

Met

Not applicable

Evidence / justification

7.1.5.1

The resources used for monitoring and measurement are determined, suitable for the specific activity and maintained. Records provide evidence that they are fit for purpose.

Document

What proves it: Evidence can be a list of monitoring and measuring resources with proof of suitability. In software and consulting companies these are typically test environments, test data sets, automated test suites, analysis and monitoring tools and survey tools. Evidence can be test reports, tool configuration and version records.

Open

In progress

Met

Not applicable

Evidence / justification

7.1.5.2

Where measurement traceability is a requirement or is considered necessary by the organization, measuring equipment is calibrated or verified against traceable standards at defined intervals, is identified, and is safeguarded against adjustment, damage and deterioration.

Document

What proves it: Evidence can be calibration certificates, a calibration schedule and the labelling of the measuring equipment. For a pure software and consulting company without physical measurement this clause is typically not applicable. In that case the non applicability must be justified in the scope under 4.3 and must not be passed over silently.

Open

In progress

Met

Not applicable

Evidence / justification

7.1.6

The organizational knowledge necessary for the operation of the processes and for the conformity of products and services is determined, maintained and made available to the extent necessary. When needs change, additional knowledge required is acquired.

What proves it: Evidence can be a knowledge base, a wiki, architecture and decision records, lessons learned, an onboarding guide and handover rules. The evidence is strong when it shows that critical knowledge does not sit in a single person's head, for example through pairing, reviews or documented decisions.

Open

In progress

Met

Not applicable

Evidence / justification

7.2

The necessary competence of persons affecting quality performance is determined, and these persons are competent on the basis of education, training or experience. Where necessary, actions are taken and their effectiveness is evaluated. Records provide evidence of competence.

Document

What proves it: Evidence can be a competence matrix (role against required competence against actual level), diplomas, certificates, training records and appraisal interviews. Evaluating the effectiveness of a training is the point most often missing. A short note in the follow up conversation or a practical sign off is enough.

Open

In progress

Met

Not applicable

Evidence / justification

7.3	Persons doing work under the organization's control are aware of the quality policy, the relevant quality objectives, their contribution to the effectiveness of the system and the implications of not conforming with requirements. What proves it: Evidence can be onboarding material, team meetings covering quality topics, notices and internal communication. The actual evidence is gathered in the audit through employee interviews. An attendance list for quality briefings is helpful. Open In progress Met Not applicable Evidence / justification	
7.4	The internal and external communications relevant to the quality management system are determined: on what it communicates, when, with whom, how and who communicates. What proves it: Evidence can be a communication matrix with those five columns, reflecting the channels that already exist (team meeting, newsletter, status report to the customer, incident notification, website). For small organizations a table with about ten rows is enough. What matters is that the channels are actually used. Open In progress Met Not applicable Evidence / justification	
7.5.1	The quality management system includes the documented information required by the standard as well as the documented information the organization determines to be necessary. What proves it: Evidence can be a document overview or document control list showing which document covers which requirement of the standard. The extent may be proportionate to the organization. A classic quality manual is no longer mandatory. Open In progress Met Not applicable Evidence / justification	Document
7.5.2	When creating and updating documented information, appropriate identification and description (title, date, author, reference number), suitable format and media, and review and approval for suitability and adequacy are ensured. What proves it: Evidence can be a consistent document header with title, version, date, author and approver. A version control system with pull request review and approval fully satisfies this requirement and is the easiest route for software companies. Open In progress Met Not applicable Evidence / justification	Document
7.5.3	Documented information is available and suitable where and when it is needed, and is adequately protected. Distribution, access, storage, version control, retention and disposition are controlled. Documented information of external origin is identified and controlled. What proves it: Evidence can be access rights in the file system or repository, backup and retention rules, deletion and archiving periods, and identification of external documents (standards, customer specifications, supplier documents). Typical evidence: an access control concept, backup logs and a retention schedule. Open In progress Met Not applicable Evidence / justification	Document

8 Operation		22
8.1	The processes needed to meet the requirements for products and services are planned, implemented and controlled: requirements determined, acceptance criteria established, resources determined, and control implemented in accordance with those criteria. Planned changes are controlled, unintended changes are reviewed and adverse effects mitigated, and outsourced processes are controlled. Records provide confidence that the processes have been carried out as planned. What proves it: Evidence can be project or order plans, a definition of done, release checklists, capacity planning and the corresponding records in the ticket or project system. For outsourced processes (hosting, external development) add the contract and proof of the service delivered. Open In progress Met Not applicable Evidence / justification	Document

8.2.1	Communication with customers covers information relating to products and services, the handling of enquiries, contracts and orders including changes, customer feedback and complaints, the handling of customer property and, where relevant, requirements for contingency actions.	
What proves it: Evidence can be quotation and order correspondence, the support and ticket system, complaint records, status reports and service contracts with escalation or contingency provisions. An email and ticket history is sufficient as a record if it can be found and linked to the order.		
Open In progress Met Not applicable		
Evidence / justification		
8.2.2	The requirements for the products and services offered are determined, including applicable statutory and regulatory requirements and those considered necessary by the organization. The organization can meet the claims it makes for its products and services.	
What proves it: Evidence can be a service description, a product or service catalogue, a requirements specification, quotation text and a list of applicable legal requirements (for example data protection, accessibility, product safety). Marketing claims on the website count as claims and must be substantiated.		
Open In progress Met Not applicable		
Evidence / justification		
8.2.3	Before committing to supply, the requirements are reviewed, including those specified by the customer, those not stated but necessary, those specified by the organization and applicable legal requirements. Differences between the quotation and the order are resolved. The results of the review and any new requirements are recorded.	Document
What proves it: Evidence can be a quotation or order approval with four eyes review, a review record or checklist within the quotation process, and the order confirmation. Verbal orders must be confirmed and recorded.		
Open In progress Met Not applicable		
Evidence / justification		
8.2.4	When requirements for products and services change, the relevant documented information is amended and the relevant persons are made aware of the changed requirements.	Document
What proves it: Evidence can be change requests, contract amendments, updated backlog items and the communication to the team. A traceable change history in the ticket or the repository satisfies the requirement.		
Open In progress Met Not applicable		
Evidence / justification		
8.3.1	An appropriate design and development process is established and maintained to ensure the subsequent provision of products and services.	
What proves it: Evidence can be the documented development approach (for example Scrum, Kanban or stage gate) with defined roles and artefacts. Important: for software and consulting companies clause 8.3 must not be excluded as not applicable, because own products, concepts or solutions are being developed. Such an exclusion would be a major nonconformity.		
Open In progress Met Not applicable		
Evidence / justification		
8.3.2	Design and development planning considers the nature, duration and complexity of the activities, the required process stages including reviews, verification and validation, responsibilities and authorities, the resources needed, interfaces, the involvement of customers and users, the requirements for subsequent provision, and the expected level of control.	
What proves it: Evidence can be a project or release plan, a roadmap, sprint planning, a definition of ready and a definition of done, together with the assignment of product owner, developers and reviewers. Agile artefacts are accepted as long as the planning points are covered.		
Open In progress Met Not applicable		
Evidence / justification		

8.3.3	The design and development inputs are determined: functional and performance requirements, information from previous similar activities, statutory and regulatory requirements, standards or codes of practice to be applied, and the potential consequences of failure. The inputs are complete, unambiguous and free of conflict, and are retained as records.	Document
What proves it: Evidence can be requirement documents, user stories with acceptance criteria, a requirements specification, architecture decisions and security and data protection requirements. Conflicts must be demonstrably resolved, for example through comments in the ticket or refinement minutes. Open In progress Met Not applicable Evidence / justification		
8.3.4	Design and development controls ensure that the results to be achieved are defined, that reviews, verification and validation activities are carried out, and that necessary action is taken on problems identified. Records of these activities are retained.	Document
What proves it: Evidence can be code reviews and pull requests, automated test runs in CI, test reports, acceptance testing with the customer and bug tracking. Keep the distinction clear: verification checks against the specification, validation checks against the intended use, for example through user or pilot acceptance. Open In progress Met Not applicable Evidence / justification		
8.3.5	The design and development outputs meet the input requirements, are adequate for the subsequent processes, include or reference monitoring and measuring requirements and acceptance criteria, and specify the characteristics essential for the intended and safe use. Records are retained.	Document
What proves it: Evidence can be approved release artefacts: version status, release notes, technical documentation, operations and user documentation, and acceptance and test criteria. Traceability from requirement to test to release makes this point quick to assess in the audit. Open In progress Met Not applicable Evidence / justification		
8.3.6	Changes made during or after design and development are identified, reviewed and controlled to the extent necessary to avoid an adverse impact on conformity. Records are retained on the changes, the results of reviews, the authorization of the changes and the actions taken to prevent adverse effects.	Document
What proves it: Evidence can be change requests, version history in the repository, the approval entry in the pull request, an impact analysis and regression tests. The authorization step must be visible. A merge without review does not satisfy the requirement. Open In progress Met Not applicable Evidence / justification		
8.4.1	Externally provided processes, products and services conform to requirements. Criteria for the evaluation, selection, monitoring of performance and re-evaluation of external providers are defined and applied, and records of the evaluations are retained.	Document
What proves it: Evidence can be a supplier list with ratings (for example criteria such as quality, on time delivery, response time and security) and an annual re-evaluation. For software companies this also covers cloud and hosting providers, data processors, external developers and critical open source dependencies. Open In progress Met Not applicable Evidence / justification		
8.4.2	The type and extent of control over external providers is defined on the basis of the potential impact on conformity. Externally provided processes remain within the control of the quality management system. The verification activities needed are determined and carried out.	
What proves it: Evidence can be service level agreements, incoming goods or service inspections, acceptance records for external development work and availability monitoring. For critical providers, certificates (for example ISO 27001) can serve as additional compensating control. Open In progress Met Not applicable Evidence / justification		

8.4.3	The requirements for external providers are confirmed as adequate before being communicated and cover the services to be provided, approvals, competence requirements, the interaction with the quality management system, performance monitoring and verification activities at the provider's premises. What proves it: Evidence can be purchase orders, contracts, statements of work and award documents that show the required points. For standard cloud services with no room for negotiation it is enough to show that the terms of use were reviewed and assessed as adequate. Open In progress Met Not applicable Evidence / justification	
8.5.1	Production and service provision is carried out under controlled conditions: documented information on the characteristics and the results is available, suitable monitoring and measuring resources are used, monitoring and measurement take place at appropriate stages, infrastructure and environment are suitable, competent people are assigned, releases are performed and human error is prevented. What proves it: Evidence can be work instructions, runbooks, deployment procedures, four eyes approvals, automated pipelines with gates, and consulting guidelines and project standards. Automation (CI, linting, tests) is the strongest evidence for the prevention of human error. Open In progress Met Not applicable Evidence / justification	Document
8.5.2	Outputs are identified by suitable means to ensure conformity, and the monitoring and measurement status is identifiable throughout provision. Where traceability is a requirement, unique identification is controlled and recorded. What proves it: Evidence can be version numbers, build and commit IDs, an artefact registry, ticket numbers and status fields in the workflow (for example in review, released). In consulting: document versions and approval notes on concepts and reports. Open In progress Met Not applicable Evidence / justification	Document
8.5.3	Property belonging to customers or external providers that is under the organization's control is identified, verified, protected and safeguarded. If it is lost, damaged or found to be unsuitable, the owner is informed and the matter is recorded. What proves it: Evidence can be a register of items and data that have been entrusted to the organization. For software and consulting companies this mainly means customer data, access credentials, licences, source code and intellectual property. Evidence can be data processing agreements, an access control concept, encryption, a deletion concept and incident notifications. Open In progress Met Not applicable Evidence / justification	Document
8.5.4	Intermediate and final outputs are preserved during production and service provision to the extent necessary to ensure that they still meet the requirements when handed over to the customer. This also covers handling, storage, identification and protection of the outputs. What proves it: Evidence can be a backup and restore concept with documented recovery tests, repository redundancy, artefact storage and access protection. One restore test per year with a record is the practical minimum evidence. Open In progress Met Not applicable Evidence / justification	
8.5.5	The requirements for post-delivery activities are met, taking into account statutory requirements, potential undesired consequences, the nature and lifetime of the product, customer requirements and customer feedback. What proves it: Evidence can be maintenance and support contracts, warranty terms, a patch and update policy, end of life announcements and support indicators. For software, the handling of security updates after delivery is particularly relevant. Open In progress Met Not applicable Evidence / justification	

8.5.6	Changes to production or service provision are reviewed and controlled to the extent necessary to ensure continuing conformity. Records are retained on the review of the change, on the person authorizing it and on the actions necessary.	Document
What proves it: Evidence can be change management records from live operation: deployment approvals, configuration changes, a rollback plan and the person who authorized the change. A change log with an approval note satisfies the requirement.		
Open In progress Met Not applicable		
Evidence / justification		
8.6	Products and services are not released until the planned verification has been satisfactorily completed, or until an authorized person and, where applicable, the customer has approved the release. Records provide evidence of conformity with the acceptance criteria and identify the person authorizing the release.	Document
What proves it: Evidence can be release records, the release approval in the deployment tool, green test reports and customer acceptance statements. The person authorizing the release must be identifiable by name or through the user context of the system.		
Open In progress Met Not applicable		
Evidence / justification		
8.7	Nonconforming outputs are identified and controlled to prevent their unintended use or delivery. Suitable action is taken, such as correction, segregation, recall, informing the customer or obtaining a concession, and conformity is verified after the correction. Records are retained on the nonconformity, the actions taken, any concessions obtained and the person deciding on the action.	Document
What proves it: Evidence can be defect and bug tracking with severity levels, blocking rules in the pipeline, hotfix and rollback records, and customer notifications for defects that have been shipped. Concessions (known defects in a release) must be documented and decided by an authorized person.		
Open In progress Met Not applicable		
Evidence / justification		
9 Performance evaluation		8
9.1.1	It is determined what needs to be monitored and measured, by which methods, when the measurement is carried out and when the results are analysed and evaluated. The performance and the effectiveness of the quality management system are evaluated, and records of the results are retained.	Document
What proves it: Evidence can be an indicator plan (indicator, method, frequency, owner) and the corresponding evaluations, for example a monthly or quarterly report or a dashboard export. Existing operational indicators should be reused rather than reinvented.		
Open In progress Met Not applicable		
Evidence / justification		
9.1.2	The customers' perception of the degree to which their requirements have been fulfilled is monitored, and the methods for obtaining, monitoring and reviewing this information are determined.	
What proves it: Evidence can be customer surveys, feedback after project closure, NPS or app store ratings, analysis of complaints, and minuted customer meetings. With a small number of customers, a structured closing interview per project is more meaningful than a mass survey.		
Open In progress Met Not applicable		
Evidence / justification		
9.1.3	The data and information from monitoring and measurement are analysed and evaluated to assess conformity, customer satisfaction, the performance and effectiveness of the system, whether planning has been implemented effectively, the effectiveness of actions taken to address risks and opportunities, the performance of external providers, and the need for improvement.	
What proves it: Evidence should be an analysis with a statement on trends, not just raw figures: comparison with the previous period, deviation from the target value and a conclusion drawn from it. This analysis is at the same time an input to the management review.		
Open In progress Met Not applicable		
Evidence / justification		

9.2.1 Internal audits are conducted at planned intervals and provide information on whether the quality management system conforms to the organization's own requirements and to the requirements of the standard, and whether it is effectively implemented and maintained.

What proves it: Evidence can be an audit programme covering typically one to three years and all processes and clauses of the standard. Small organizations can engage an external auditor or use colleagues from another area. What matters is independence from the area being audited.

Open In progress Met Not applicable

Evidence / justification

9.2.2 An audit programme is planned, established and maintained, covering frequency, methods, responsibilities, planning requirements and reporting, taking into account the importance of the processes and the results of previous audits. Criteria and scope are defined for each audit, auditors are objective and impartial, results are reported to relevant management, and corrections are made without undue delay. Records of the programme and of the results are retained.[Document](#)

What proves it: Evidence can be the audit plan, audit reports with findings and nonconformities, proof of auditor competence and independence, and the action plan for closing the findings with due dates and effectiveness checks.

Open In progress Met Not applicable

Evidence / justification

9.3.1 Top management reviews the quality management system at planned intervals to ensure its continuing suitability, adequacy, effectiveness and alignment with the strategic direction of the organization.

What proves it: Evidence can be a scheduled management review meeting, at least once a year, with top management attending. Attendance by top management is mandatory and must be visible in the attendance list of the minutes.

Open In progress Met Not applicable

Evidence / justification

9.3.2 The management review is planned and carried out on the basis of all inputs listed in clause 9.3.2 of the standard. None of the required inputs is missing.

What proves it: A practical approach is a minutes template whose agenda lists every input of clause 9.3.2 as a separate item. In substance these are: the status of actions from previous reviews, changes in external and internal issues and in interested parties, the performance picture from the indicators (customer satisfaction and feedback, achievement of objectives, process and product conformity, nonconformities and corrective actions, monitoring and audit results, performance of external providers), the adequacy of resources, the effectiveness of the actions taken to address risks and opportunities, and opportunities for improvement. Please read the wording of the clause itself. This list is a working aid, not a quotation of the standard.

Open In progress Met Not applicable

Evidence / justification

9.3.3 The outputs of the management review include decisions and actions related to opportunities for improvement, to any need for changes to the quality management system, and to resource needs. Records of the results are retained.[Document](#)

What proves it: Evidence can be signed management review minutes with a decision section stating action, owner and due date. Minutes without decisions and without a statement on resources are regularly raised as a nonconformity.

Open In progress Met Not applicable

Evidence / justification

10 Improvement**4****10.1 Opportunities for improvement are determined and selected, and the necessary actions to meet customer requirements and enhance customer satisfaction are implemented. This includes improving products and services, correcting and preventing undesired effects, and improving the performance and effectiveness of the system.**

What proves it: Evidence can be an improvement list or idea board with status, retrospectives with actions derived from them, and improvement projects with a before and after indicator. The evidence becomes strong when a measurable effect (time, defects, cost) is documented.

Open In progress Met Not applicable

Evidence / justification

- 10.2.1** When a nonconformity occurs, including one arising from a complaint, the organization reacts, controls and corrects the nonconformity and deals with the consequences. The need for action to eliminate the causes is evaluated, causes are determined, actions are implemented, their effectiveness is reviewed and, if necessary, risks and opportunities and the quality management system itself are updated.

What proves it: Evidence can be a corrective action process with root cause analysis, for example 5 Whys or Ishikawa, clearly separating the immediate correction from the elimination of the cause. In software, post mortems after incidents work well. The documented effectiveness check after a defined period is the crucial part.

Open In progress Met Not applicable

Evidence / justification

- 10.2.2** For every nonconformity there is a traceable record of the nature of the nonconformity, of the action taken in response, and of the results of the corrective action.

[Document](#)

What proves it: Evidence can be a defect and action register (CAPA list) or tickets with the fields description, cause, action, owner, due date and effectiveness. A simple spreadsheet is enough as long as it is kept up to date and is consistent with the tickets.

Open In progress Met Not applicable

Evidence / justification

- 10.3** The suitability, adequacy and effectiveness of the quality management system are continually improved. The results of analysis, evaluation and management review are examined to determine whether there are needs or opportunities for improvement.

What proves it: Evidence can be the development of the indicators over several periods, completed improvement actions arising from the management review, and a routine for continual improvement, for example regular retrospectives or an improvement kata with a target condition and short cycles.

Open In progress Met Not applicable

Evidence / justification