
SELF-ASSESSMENT WORKSHEET

ISO 9001 — Quality Management

Work through each clause, record what you do today, rate where you are and agree the actions that close the gap.

ORGANISATION

COMPLETED BY

DATE

How to rate: 0 = nothing in place 1 = partly in place 2 = in place, little evidence 3 = in place and evidenced
Fill in on screen or print. Always work from the current published standard.

How to complete this worksheet

1

Get the right people together

Ask the person who runs each area to help. Allow 1–2 hours per sitting; you don't have to finish in one go.

2

Read each clause and the evidence prompt

The grey box tells you what an auditor will look for. The examples underneath show the kind of records that count.

3

Write what you actually do today

Describe the real practice, not what you'd like to happen. Name the document, system or record and where it's kept, e.g. 'Training matrix — SharePoint/HR, updated monthly'.

4

Rate honestly from 0 to 3

0 nothing in place · 1 partly in place or informal · 2 in place but little written proof · 3 in place, followed and evidenced with records. If you can't show it, it isn't a 3.

5

Agree actions, owners and due dates

For anything rated 0–2, write the next practical step, who will do it and by when. Small, specific actions get done.

6

Summarise and review

List your top three priorities on the final page. Revisit the worksheet every few months to track progress.

What counts as good evidence?

- Good evidence is current, approved, dated and actually used — a policy nobody follows isn't evidence.
- Records beat documents: a completed checklist proves more than the procedure that describes it.
- Photos, screenshots, emails and system exports all count if they show the activity happening.
- Leave a box blank rather than guess — blanks show you where to look first.

CLAUSES 1-3

Scope, references and definitions

These opening clauses explain what ISO 9001 covers, list any documents it relies on and define its key terms. They contain no requirements you are audited against.

Evidence to look for: Read the definitions once — words like 'shall', 'interested party' and 'documented information' have precise meanings in an audit.

Examples of suitable evidence

- ✓ Copy of the current ISO 9001 standard
- ✓ Copy of ISO 9000 fundamentals and vocabulary
- ✓ Reference list identifying standards used by the organisation
- ✓ Staff reference guide explaining quality management terms

What we do today / evidence we hold

Actions to close the gap

Owner		Due		Rating	0	1	2	3
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CLAUSE 4

Context of the organisation

Define what the quality system covers (its scope), the internal and external issues that affect your ability to satisfy customers, and which interested parties — customers, regulators, owners — have requirements that matter.

Evidence to look for: A one-page scope statement and a short register of issues and stakeholder needs, reviewed at least yearly.

Examples of suitable evidence

- ✓ Approved quality management system scope statement
- ✓ Business context review recording internal and external issues
- ✓ Interested parties register listing relevant requirements
- ✓ Process map showing activities, responsibilities and interactions

What we do today / evidence we hold

Actions to close the gap

Owner		Due		Rating	0	1	2	3
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CLAUSE 5

Leadership

Top management must own the quality system: set the policy, assign roles and responsibilities, provide resources and make it part of normal business decisions. Responsibility can be delegated; accountability cannot.

Evidence to look for: Directors can explain the policy, review results at board level and remove obstacles. A signed policy alone is not enough.

Examples of suitable evidence

- ✓ Quality policy approved by the managing director
- ✓ Organisation chart showing quality responsibilities and reporting lines
- ✓ Leadership meeting minutes recording quality decisions and resource approvals
- ✓ Staff briefing records showing management explained the quality policy

What we do today / evidence we hold

Actions to close the gap

Owner		Due		Rating	0	1	2	3
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CLAUSE 6**Planning**

Identify risks and opportunities that could affect product or service quality, set measurable quality objectives with owners and deadlines, and plan changes in a controlled way.

Evidence to look for: A simple risk table and three to six objectives, each with a target, owner and review date.

Examples of suitable evidence

- ✓ Quality risks and opportunities register with agreed actions
- ✓ Quality objectives tracker showing targets, owners and deadlines
- ✓ Completed change plan assessing impacts of new production equipment
- ✓ Planning meeting minutes reviewing progress against risk actions

What we do today / evidence we hold**Actions to close the gap**

Owner		Due		Rating	0	1	2	3
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CLAUSE 7**Support**

Provide the people, competence, awareness, communication, infrastructure and controlled documents and records the quality system needs.

Evidence to look for: Training is based on the work people actually do, current instructions are easy to find and old versions are withdrawn.

Examples of suitable evidence

- ✓ Staff competence matrix supported by training and assessment records
- ✓ Equipment maintenance log recording completed servicing
- ✓ Document register showing current versions and approval dates
- ✓ Team briefing records covering quality responsibilities and customer requirements

What we do today / evidence we hold**Actions to close the gap**

Owner		Due		Rating	0	1	2	3
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CLAUSE 8

Operation

Control how work is delivered: confirm customer requirements before accepting orders (8.2), control design where you do it (8.3), select and monitor suppliers (8.4), control production or service delivery and traceability (8.5), release only conforming outputs (8.6) and handle nonconforming outputs (8.7).

Evidence to look for: Contract review records, approved supplier list with performance checks, inspection or sign-off records and a log of anything that went out wrong.

Examples of suitable evidence

- ✓ Completed order review checklist confirming customer requirements before acceptance
- ✓ Design review records showing verification, validation and approved changes
- ✓ Approved supplier register with performance reviews and purchasing requirements
- ✓ Completed job pack with traceability, release checks and rejected output records

What we do today / evidence we hold

Actions to close the gap

Owner		Due		Rating	0	1	2	3
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CLAUSE 9**Performance evaluation**

Decide what to monitor and measure for quality and customer satisfaction, analyse the results, run a planned programme of impartial internal audits and hold management reviews at planned intervals.

Evidence to look for: Use a handful of meaningful indicators, audit real work rather than paperwork, and minute the decisions management review actually takes.

Examples of suitable evidence

- ✓ Quality performance dashboard showing trends against agreed targets
- ✓ Customer satisfaction survey results with analysis and agreed actions
- ✓ Internal audit programme and reports identifying auditors independent of audited work
- ✓ Management review minutes recording performance discussions, decisions and assigned actions

What we do today / evidence we hold**Actions to close the gap****Owner**

Due

Rating
☐ 0

☐ 1

☐ 2

☐ 3
CLAUSE 10**Improvement**

When something goes wrong, deal with the immediate effect, find the root cause, take action so it does not recur and check the action worked. Keep improving the system over time.

Evidence to look for: A nonconformity is only closed when you have evidence the cause was fixed — not when the form is completed.

Examples of suitable evidence

- ✓ Corrective action report recording immediate correction and root cause analysis
- ✓ Corrective action tracker showing owners, deadlines and completion dates
- ✓ Follow-up inspection records confirming corrective actions prevented recurrence
- ✓ Improvement project log showing changes made and measured benefits

What we do today / evidence we hold**Actions to close the gap****Owner**

Due

Rating
☐ 0

☐ 1

☐ 2

☐ 3

Summary and next steps

Top three priorities

Resources or support needed

Target date for certification or review

Want a second pair of eyes?

Send your completed worksheet to our success team for a free review call.

success@isology.co.uk · www.isology.co.uk/contact