Checklist Instructions

This column has the requirements of the standard stated as questions.	What to do column	What documents to look for	↑ ↑
Features of this Checklist: 1. The requirements of the standard are written as sentences. This Checklist has changed the requirement to read as a question. 2. Vocabulary words needed to understand questions appear before the question where they are used. **Audit guidelines** <in brackets> that are not part of the text of the standard also appear in this column. 3. A question may ask you to look for more than one item. Therefore, the format of the first 2 columns places a small line in front of each item you must address. The example pages that follow show how the auditor can place numbers and check marks on the small lines to ensure that all items are addressed in the Findings column. 4. Added items. You may add requirements of your organization, a customer, or another standard to this Checklist when you want to be sure these items are audited. Identify the source of any added items that are not requirements of the ISO 9001:2008 standard at the end of the inserted item.	**This column** tells the auditor where to look and what to do to verify that the requirement in the first column is being met by the organization. The answers to questions in this column could be found in documentation, records, by direct observation or obtained by interviewing the person who is responsible for an activity. <u>To determine who to interview</u>: The Quality Manual or a written procedure for the process tells the title of who is responsible for the activities related to the process. Checklist questions relate to these activities. Therefore, read the documentation. When you have a printout of the document, circle the titles of who does what. Underline what the person does. Then read the Checklist questions. Next to questions (where you would interview someone), identify the title of the person who does this activity. This is who you will interview concerning this activity. Auditors may verify that a requirement is met by means other than what is suggested in this column.	Process or procedure numbers of your documents are usually numbered to match the numbers of the clauses in the ISO standard. Your organization may also name documents here. Notice that the item (1st column), what to look for (2nd column) and where to look (3rd column) line up as you read across the page.	The headings at the top of the page include reminders to look for these items. **This is the Findings column.** **What auditors should look for when performing an audit:** **__ the items listed in these headings** **__ that the ISO requirement is met** **__ that the requirement is met in the manner described in the organization's documentation** **How to use the Checklist:** 1. Read the first 3 columns. 2. Place numbers on the small lines in the first 2 columns that indicate the number of the observation evidence that you write in the last column. 3. Use check marks when there is a list of items to verify. Example: Are these 5 items included in the documentation? Review the following Checklist clause and the completed auditor findings page. **8.2.1 Customer satisfaction** - Read the clause page that does not have the auditor's findings. - Then review the page with the auditor's findings. - Notice the use of numbers in the first two columns correspond to the numbers in the findings column.

The ISO 9001:2008 Quality System Checklist	Standard: ISO 9001:2008		Organization Audited:	
Questions *(those relating to new/ revised requirements are in italics and underlined)* <audit guidelines>	**Guidelines for Auditing**	Documents / Where to Look	**Documented? Need to be? Y or N** **Interaction considered? Y or N** **(cite source - give comments)**	**Implemented? Y or N** **In Use? Effective?** **Y or N (comments)**

8.2.1 Customer satisfaction			**Clause 8.2.1**
8.2.1 Customer Satisfaction ___ Does the organization monitor information relating to customer perception as to whether it has met customer requirements? ____ Are the methods for obtaining and using information on customer satisfaction defined? <The following notes are not included in the standard and are provided as a guideline.> Note: This requirement does not define the approaches that an organization should use to comply with this requirement. The organization decides what to monitor and what methods to use.> <Guidance Note: Some examples of sources of information related to customer satisfaction that could be used to meet the requirements of this clause include: Note: Insert a number here if you monitor the item. ↓ __ Customer complaints to customer service __ Customer complaints obtained by anyone __ <u>*Customer data on delivered product quality*</u> __ Customer loyalty — a big change could indicate success or pending disaster __ Referrals - Why & how did the customer find you? __ <u>*Dealer reports*</u> __ Determining the number of repeat orders __ <u>*Lost business analysis*</u> __ Returned product __ Warranty information (returned product that did not perform to warranty) __ Compliments __ Customer-satisfaction studies __ Customer tracking studies __ Communication with customers by sales staff __ Reports from sales personnel __ <u>*User opinion surveys*</u> __ Focus group meeting reports (this is meeting with people in the customer's organization to determine what they want) __ Monitoring the competition __ Consumer organization reports __ Industry group reports __ Trade association reports __ Other: ______________________________	____Is customer satisfaction information monitored? ____ What methods have been determined for obtaining and using information related to customer satisfaction? (see list for some possible methods that may be in use ↓) ___ When auditing, check any information source listed that is used as a means to monitor customer's perception related to meeting customer requirements, and identify the item as evidence. ← ___ Review the monitoring information gathered and look for evidence that the information is reported to the Management Representative for evaluation by top management. __ Is there any evidence that information obtained from the monitoring, analysis, and evaluation of perceived customer satisfaction is used to improve the organization's products, services or processes?	Processes or procedures for requesting, monitoring, and measuring customer feedback, including surveys, complaints, and other methods Reports of monitoring results to management representa-tive Documenta-tion in any form indicating action taken in response to monitoring customer perception of customer satisfaction.	Evidence: Document #, Title, Rev / Person's Name, Title, Dept. /or other source ID. ↑ This is a reminder to identify the source of your evidence. Auditors read the first two columns and then: 1. Place a number on the small line in front of the requirement. 2. Place the same number in the Findings column (this column) and state evidence for conformity or nonconformity to the requirement. 3. Place an X in the margin when you find a nonconformance. A nonconformance must be confirmed by someone. That person signs his or her name next to the X in the margin. The person who confirms the nonconformance can be the person interviewed, a supervisor, the area manager or someone else. **The next page matches this page and provides an example of a completed audit for the requirements of this clause.** **(Additional samples of completed pages are included with the Checklist.)**

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The ISO 9001:2008 Quality System Checklist	Standard: ISO 9001:2008		Organization Audited:	
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8.2.1 Customer satisfaction			Clause 8.2.1
8.2.1 Customer Satisfaction _1_ Does the organization monitor information relating to customer perception as to whether it has met customer requirements? _1_ Are the methods for obtaining and using information on customer satisfaction defined? <The following notes are not included in the standard and are provided as a guideline.> Note: The organization decides what to monitor and what methods to use.> <Guidance Note: Some examples of sources of information related to customer satisfaction that could be used to meet the requirements of this clause include: → Note that the numbers inserted match the ↓ numbers in the Findings column. 2 Customer complaints to customer service __ Customer complaints obtained by anyone __ *Customer data on delivered product quality* __ Customer loyalty — a big change could indicate success or pending disaster __ Referrals-Why & how did the customer find you? __ *Dealer reports* __ Determining the number of repeat orders __ *Lost business analysis* 3 Returned product 4 Warranty information (returned product that did not perform to warranty) __ Compliments __ Customer-satisfaction studies __ Customer tracking studies 5 Communication with customers by sales staff 6 Reports from sales personnel __ *User opinion surveys* __ Surveys and questionnaires __ Focus group meeting reports (this is meeting with people in the customer's organization to determine what they want) __ Monitoring the competition 7 Consumer organization reports __ Industry group reports __ Trade association reports	_1_ Is customer satisfaction information monitored? _1_ What methods have been determined for obtaining and using information related to customer satisfaction? (see list for some possible methods that may be in use ↓) _1_ When auditing, check any information source listed that is used as a means to monitor customer's perception related to meeting customer requirements, and identify the item as evidence. ← 8 Review the monitoring information gathered and look for evidence that the information is reported to the Management Representative for evaluation by top management. _9_ Is there any evidence that information obtained from the monitoring, analysis, and evaluation of perceived customer satisfaction is used to improve the organization's products, services or processes?	Processes or procedures for requesting, monitoring, and measuring customer feedback, including surveys, complaints, and other methods Reports of monitoring results to management representa-tive Documenta-tion in any form indicating action taken in response to monitoring customer perception of customer satisfaction.	Evidence: Document #, Title, Rev / Person's Name, Title, Dept. /or other source ID. **Example of auditor use of form:** 1. See Note list in first column as key to methods used. Methods used are supported by forms that record customer complaints and perceptions. Reviewed all analysis reports for 1st Q 2008 for methods numbered in column 1. 2. Customer complaints are reviewed daily by Cust. Serv. Mgr. who reports weekly or more often 3. Returned product - weekly report by Service/Repair Mgr. who reports weekly or more often 4. Warranty returned product - weekly report byService/Repair Mgr. who reports weekly or more often 5. Order Desk Mgr. and Sales Mgr. report weekly or more often 6. Sales monthly summary report of trends from Sales Manager 7. Quarterly summary on consumer reports by VP Sales 8. Compared data collected to analysis reports managers submitted to Mgt. Rep. They are accurate in all areas. Each dept. has examples of emergency reporting to Mgt. Rep. or appropriate manager -- that was recognized by first contact personnel. Shows managers are following operating procedure. 9. Evidence that monitoring is used: Source: Management Review minutes 1/5/08, & 4/9/08 Numbers below relate to first column: 2) action needed - cust. complaints - see #3 ↓ 3) qty. 38 returned lamps P/N 8293 - week end/3/16/08 -- Action 38: 3/16/08 warning issued to supplier on switches; all switches replaced on current product run; distributor recall on P/N 4) action taken on bad switches -- see number 3 above 5) web site description reworded on P/N 7329 -- for clarity Action 39 3/18/08 6) customers are using lamps as plant holders - 10 new indoor and outdoor plant holders designed for summer release Action 37 3/9/08 7) energy-saving bulbs wanted by consumers - purchasing, and marketing assigned to develop plan to sell these with lamps -- planned for 6/1/08 summer release Action 33 2/9/08 7) competitor's hi-tech lamp is selling well - design dept. making a similar item for summer release Action 35 2/20/08 ALL Effective = yes

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