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Introduction

This draft standard is based on European discussions in which the UK has taken an active part. Your comments on this draft are welcome and will assist in the preparation of the consequent British Standard. Comment is particularly welcome on national, legislative or similar deviations that may be necessary.

Even if this draft standard is not approved by the UK, if it receives the necessary support in Europe, the UK will be obliged to publish the official English Language text unchanged as a British Standard and to withdraw any conflicting standard.

UK Vote

Please indicate whether you consider the UK should submit a negative (with reasons) or positive vote on this draft.

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Template for comments and secretariat observations

Date: xx/xx/20xx	Document: ISO/DIS xxxx
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1	2	(3)	4	5	(6)	(7)
MB	Clause No./ Subclause No./Annex (e.g. 3.1)	Paragraph/ Figure/ Table/Note	Type of comment	Comment (justification for change) by the MB	Proposed change by the MB	Secretariat observations on each comment submitted
	3.1	Definition 1	ed	Definition is ambiguous and needs clarifying.	Amend to read '...so that the mains connector to which no connection...'	
	6.4	Paragraph 2	te	The use of the UV photometer as an alternative cannot be supported as serious problems have been encountered in its use in the UK.	Delete reference to UV photometer.	

DRAFT INTERNATIONAL STANDARD

ISO/DIS 9001

ISO/TC 176/SC 2

Secretariat: **BSI**

Voting begins on:
2014-07-10

Voting terminates on:
2014-10-10

Quality management systems — Requirements

Systèmes de management de la qualité — Exigences

ICS: 03.120.10

ISO/CEN PARALLEL PROCESSING

This draft has been developed within the International Organization for Standardization (ISO), and processed under the **ISO lead** mode of collaboration as defined in the Vienna Agreement.

This draft is hereby submitted to the ISO member bodies and to the CEN member bodies for a parallel five month enquiry.

Should this draft be accepted, a final draft, established on the basis of comments received, will be submitted to a parallel two-month approval vote in ISO and formal vote in CEN.

To expedite distribution, this document is circulated as received from the committee secretariat. ISO Central Secretariat work of editing and text composition will be undertaken at publication stage.

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Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular the different approval criteria needed for the different types of ISO documents should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives).

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see www.iso.org/patents).

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For an explanation on the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the WTO principles in the Technical Barriers to Trade (TBT) see the following URL: [Foreword - Supplementary information](#)

The committee responsible for this document is Technical Committee ISO/TC 176, *Quality management and quality assurance*, Subcommittee SC2, *Quality systems*.

This 5th edition of ISO 9001 cancels and replaces the 4th edition (ISO 9001:2008). This new edition represents a technical revision compared to the earlier edition, through the adoption of a revised clause sequence, the adaptation of the revised "quality management principles" and of new concepts.

NOTE TO THIS TEXT (which will not be included in the published International Standard):

This text has been prepared using the "high-level structure" (i.e. clause sequence, common text and terminology) provided in Annex SL, Appendix 2 of the ISO/IEC Directives, Part 1, Consolidated ISO Supplement, 2013. This is intended to enhance alignment among ISO's management system standards, and to facilitate their implementation for organizations that need to meet the requirements of two or more such standards simultaneously.

The clause sequence of ISO 9001:2008 has been changed to be consistent with "Annex SL". The text of Annex SL is highlighted in the main body of the text (clauses 1 to 10) by the use of blue font. This is only to facilitate analysis and will not be incorporated in the final version of ISO 9001.

This new harmonized approach allows for the addition of discipline-specific (in this case quality-specific) text which has been applied by including the following:

- a) specific quality management system requirements considered essential to meet the scope of the ISO 9001 standard;
- b) text to reflect the use of the Quality Management Principles that form the basis for ISO's quality management system standards;
- c) requirements and notes to clarify and ensure consistent interpretation and implementation of the common text in the context of a quality management system.

Introduction

0.1 General

The adoption of a quality management system ought to be a strategic decision for an organization. A robust quality management system can help an organization to improve its overall performance and forms an integral component of sustainable development initiatives. The design and implementation of an organization's quality management system is influenced by the context of the organisation and the changes in that context, particularly with respect to:

- a) its specific objectives;
- b) the risks associated with its context and objectives;
- c) the needs and expectations of its customers and other relevant interested parties;
- d) the products and services it provides;
- e) the complexity of processes it employs and their interactions;
- f) the competence of persons within or working on behalf of the organization;
- g) its size and organizational structure.

The context of an organization can include internal factors such as organizational culture, and external factors such as the socio-economic conditions under which it operates; consequently all the requirements of this International Standard are generic but the ways in which they are applied can differ from one organization to another. Accordingly, it is not the intent of this International Standard to imply the need for uniformity in the structure of different quality management systems, or uniformity of documentation to align to the clause structure of this International Standard, or to impose specific terminology to be used within the organization.

The quality management system requirements specified in this International Standard are complementary to requirements for products and services.

Information marked "NOTE" is for guidance in understanding or clarifying the associated requirement.

This International Standard can be used by internal and external parties, to assess the organization's ability to consistently meet customer, statutory and regulatory requirements applicable to the products and services it provides, the organization's own requirements and its aim to enhance customer satisfaction.

0.2 The ISO standards for quality management

This International Standard is one of the three core standards in the ISO portfolio of quality management system standards.

- ISO 9000 *Quality management systems — Fundamentals and vocabulary* provides an essential background for the proper understanding and implementation of this International Standard. The quality management principles described in detail in ISO 9000 were developed by ISO/TC 176, and have been taken into consideration during the development of this International Standard. These principles are not requirements in themselves, but they form the foundation of the requirements specified by this International Standard. An outline of the quality management principles is included in an Annex B to this International Standard.

- ISO 9001 (this International Standard) specifies requirements aimed primarily at giving confidence in the products and services provided by an organization and thereby improving customer satisfaction (see clause 1 Scope). Its proper implementation can also be expected to bring other organizational benefits such as improved internal communication, better understanding and control of the organization's processes, and reduction in defects and waste.
- ISO 9004 *Managing for the sustained success of an organization - A quality management approach* provides guidance for organizations that choose to progress beyond the requirements of this International Standard to address a broader range of topics that can lead to continual improvement of the organization's overall performance. ISO 9004 includes guidance on a self-assessment methodology for an organization to be able to evaluate the level of maturity of its quality management system.

Other standards that have been developed to support the implementation of a quality management system include those in the ISO 10000 number range. These include guidelines on customer satisfaction, quality plans, quality management in projects, configuration management, measurement processes and measuring equipment, documentation, financial and economic benefits of quality management, training, statistical techniques, the involvement and competence of people, selection of quality management system consultants and auditing of management systems. These standards are described further in Annex C of this International Standard.

0.3 Process approach

Consistent and predictable results are achieved more effectively and efficiently when activities are understood and managed as interrelated processes that function as a coherent system. This International Standard promotes the adoption of a process approach when developing, implementing and improving the effectiveness of a quality management system, to enhance customer satisfaction by meeting customer requirements. Clause 4.4 of this International Standard includes specific requirements considered essential to the adoption of a process approach.

The process approach applies systematic definition and management of processes and their interactions so as to achieve the intended results in accordance with the quality policy and strategic direction of the organization. Management of the processes and the system as a whole can be achieved using a "Plan-Do-Check-Act" (PDCA) methodology (see 0.4) with an overall focus on "Risk-based thinking" aimed at preventing undesirable outcomes (see 0.5).

When used within a quality management system, the process approach ensures:

- a) understanding and consistently meeting requirements;
- b) consideration of processes in terms of added value;
- c) the achievement of effective process performance;
- d) improvement of processes based on evaluation of data and information.

Figure 1 illustrates the process linkages between clauses 4 to 10 of this International Standard. This shows that customers play a significant role in defining the input requirements that the organization needs to meet at all stages of its quality management system. In addition, the needs and expectations of other relevant interested parties can also play a role in defining those requirements. Monitoring of customer satisfaction requires the evaluation of information relating to customer perceptions as to whether the organization has met these requirements.

The schematic model shown in Figure 1 covers all the requirements of this International Standard, but does not show the individual processes at a detailed level. Each of these processes, and the system as a whole, can be managed using the PDCA methodology described in clause 0.4 of this International Standard.

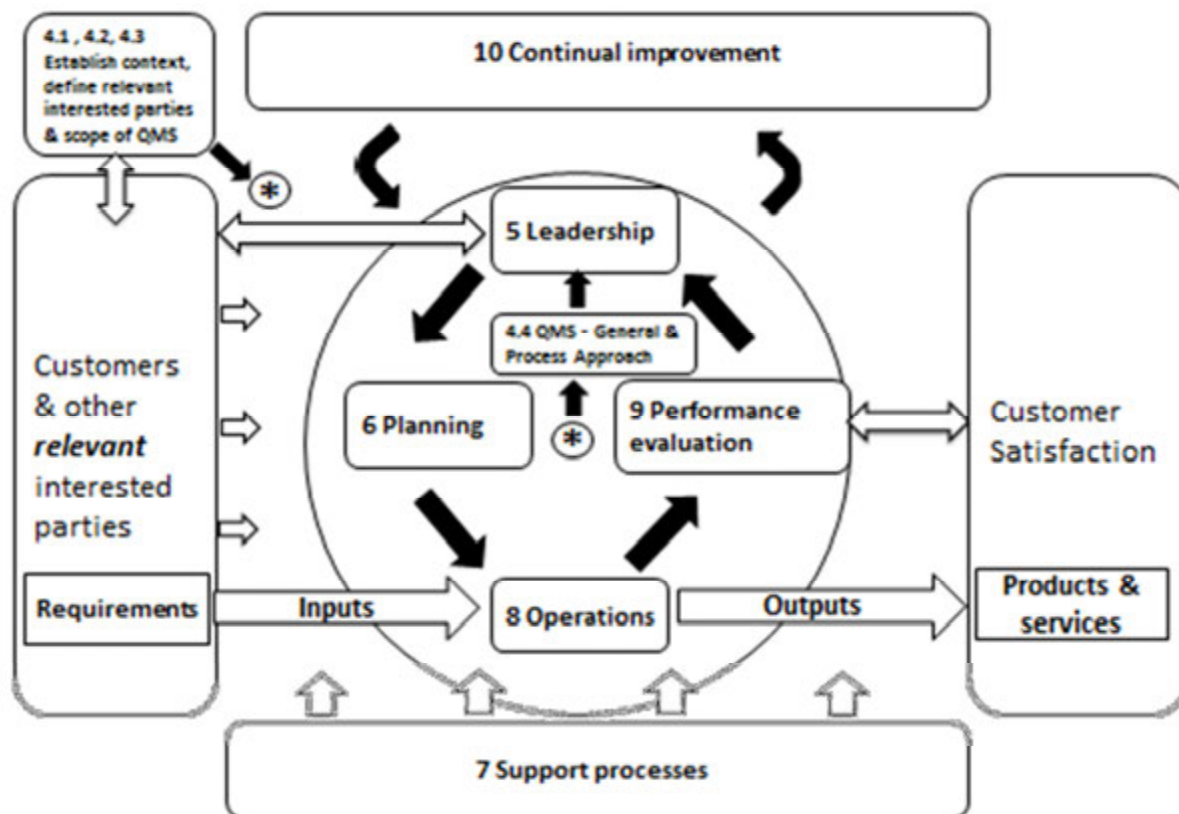


Figure 1 - Model of a process-based quality management system, showing the links to the clauses of this International Standard

0.4 Plan-Do-Check-Act cycle

The methodology known as “Plan-Do-Check-Act” (PDCA) can be applied to all processes and to the quality management system as a whole. The clauses of this International Standard broadly follow the PDCA cycle which can be briefly described as follows:

- **Plan:** establish the objectives of the system and its component processes, and the resources needed to deliver results in accordance with customers’ requirements and the organization’s policies.
- **Do:** implement what was planned.
- **Check:** monitor and (where applicable) measure processes and the resulting products and services against policies, objectives and requirements, and report the results.
- **Act:** take actions to improve process performance, as necessary.

Figure 2 shows schematically how a single process within the quality management system can be managed using the PDCA cycle.

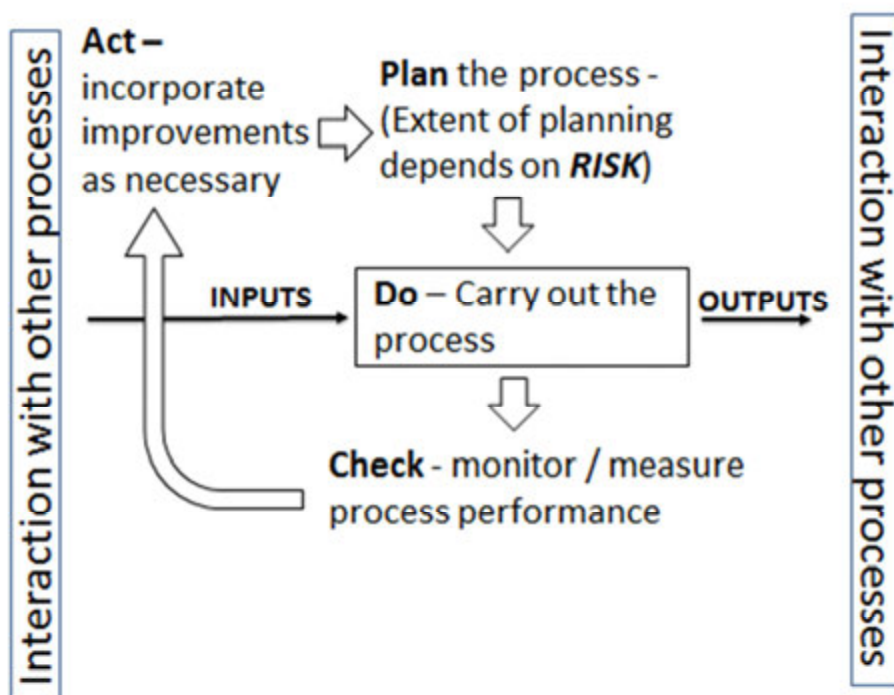


Figure 2 - Schematic representation of a single process within the system

0.5 “Risk-based thinking”

Risk is the effect of uncertainty on an expected result and the concept of risk-based thinking has always been implicit in ISO 9001. This International Standard makes risk-based thinking more explicit and incorporates it in requirements for the establishment, implementation, maintenance and continual improvement of the quality management system. Organizations can choose to develop a more extensive risk-based approach than is required by this International Standard, and ISO 31000 provides guidelines on formal risk management which can be appropriate in certain organizational contexts.

Not all the processes of the quality management system represent the same level of risk in terms of the organization’s ability to meet its objectives, and the consequences of process, product, service or system nonconformities are not the same for all organizations. For some organizations, the consequences of delivering nonconforming products and services can result in minor inconvenience to the customer; for others, the consequences can be far-reaching and fatal. “Risk-based thinking” therefore means considering risk qualitatively (and, depending on the organization’s context, quantitatively) when defining the rigour and degree of formality needed to plan and control the quality management system, as well as its component processes and activities.

0.6 Compatibility with other management system standards

This International Standard has adopted the “high-level structure” (i.e. clause sequence, common text and common terminology) developed by ISO to improve alignment among its International Standards for management systems. An explanation of some of the key elements of the “high level structure” and some of the key changes introduced in this International Standard is provided in Annex A.

This International Standard defines the requirements in an order that is consistent with organizational planning and process management, i.e.:

- 326 — Understanding the context of the organization, its quality management system and processes
327 (Clause 4)
- 328 — Leadership, policy and responsibilities (Clause 5)
- 329 — Processes for planning and consideration of risks and opportunities (Clause 6)
- 330 — Processes for support, including resources, people and information (Clause 7)
- 331 — Operational processes related to customers and products and services (Clause 8)
- 332 — Processes for performance evaluation (Clause 9)
- 333 — Processes for improvement (Clause 10).
- 334 It is important to emphasize, however, that organizations are not required to follow an identical clause-
335 by-clause sequence when defining their quality management system, and they are encouraged to use
336 the Process Approach as described in clauses 0.3 to 0.5 of this International Standard.
337
- 338 This International Standard does not include requirements specific to other management systems,
339 such as those for environmental management, occupational health and safety management, or
340 financial management. However, this International Standard enables an organization to use the
341 process approach, coupled with the PDCA methodology and risk-based thinking to align or integrate
342 its quality management system with the requirements of other management system standards as it
343 sees fit. It is possible for an organization to adapt its existing management system in order to address
344 the requirements of this International Standard.
- 345 A matrix showing the correlation between the clauses of this International Standard and ISO
346 9001:2008 can be found on the ISO/TC 176/SC2 open access web site at:
347 www.iso.org/tc176/sc02/public.
- 348 [Note to this DIS: The matrix will only be available after the June meeting of ISO/TC 176/SC2/WG23]

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

International Standards are drafted in accordance with the rules given in the ISO/IEC Directives, Part 2.

The main task of technical committees is to prepare International Standards. Draft International Standards adopted by the technical committees are circulated to the member bodies for voting. Publication as an International Standard requires approval by at least 75 % of the member bodies casting a vote.

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights.

ISO 9001 was prepared by Technical Committee ISO/TC 176, *Quality management and Quality Assurance*, Subcommittee SC 2, *Quality Systems*.

This second/third/... edition cancels and replaces the first/second/... edition (), [clause(s) / subclause(s) / table(s) / figure(s) / annex(es)] of which [has / have] been technically revised.

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Quality management systems — Requirements

1 Scope

This International Standard specifies requirements for a quality management system where an organization:

a) needs to demonstrate its ability to consistently provide product or service that meets customer and applicable statutory and regulatory requirements, and

389 b) aims to enhance customer satisfaction through the effective application of the system, including
390 processes for continual improvement of the system and the assurance of conformity to customer and
391 applicable statutory and regulatory requirements.

392 All requirements of this International Standard are generic and are intended to be applicable
393 to all organizations, regardless of type, size and product provided.

394 NOTE 1 In this International Standard, the terms “product” or “service” only apply to products and services
395 intended for, or required by, a customer.

396 NOTE 2 Statutory and regulatory requirements can be expressed as legal requirements.

397 2 Normative references

398 *There are no normative references. This clause is included to maintain clause numbering alignment*
399 *with other ISO management system standards,*

400 3 Terms and definitions

401 For the purposes of this document, the following terms and definitions apply.

402 3.01

403 organization

404 person or group of people that has its own *functions* (3.25) with responsibilities, authorities and
405 relationships to achieve its *objectives* (3.08)

406 Note 1 to entry: The concept of organization includes, but is not limited to sole-trader, company, corporation, firm,
407 enterprise, authority, partnership, association, charity or institution, or part or combination thereof, whether
408 incorporated or not, public or private.

409 [SOURCE: ISO DIS 9000:2014, 3.2.1]

410 3.02

411 interested party

412 person or *organization* (3.01) that can affect, be affected by, or perceive themselves to be affected by
413 a decision or activity

414 EXAMPLE *Customers* (3.26), owners, people in an *organization* (3.01), *suppliers* (3.27), bankers, unions,
415 partners or society that may include competitors or opposing pressure groups.

416 [SOURCE: ISO DIS 9000:2014, 3.2.4]

417 3.03

418 requirement

419 need or expectation that is stated, generally implied or obligatory

420 Note 1 to entry: “Generally implied” means that it is custom or common practice for the *organization* (3.01) and
421 *interested parties* (3.02) that the need or expectation under consideration is implied.

422 Note 2 to entry: A specified requirement is one that is stated, for example in *documented information* (3.11).

423 Note 3 to entry: A qualifier can be used to denote a specific type of requirement e.g. *product* (3.47) requirement,
424 *quality management* (3.30) requirement, *customer* (3.26) requirement, quality requirement.

425 Note 4 to entry: Requirements can be generated by different *interested parties* (3.02).

426 Note 5 to entry: It can be necessary for achieving high *customer satisfaction* (3.57) to fulfil an expectation of a
427 *customer* (3.26) even if it is neither stated nor generally implied or obligatory.

428 [SOURCE: ISO DIS 9000:2014, 3.5.4]

429 3.04

430 management system

431 set of interrelated or interacting elements of an *organization* (3.01) to establish *policies* (3.07) and
432 *objectives* (3.08) and *processes* (3.12) to achieve those *objectives*

433 Note 1 to entry: A management system can address a single discipline or several disciplines e.g. *quality*
434 *management* (3.30), *financial management* (3.29) or *environmental management*.

435 Note 2 to entry: The management system elements establish the *organization's* (3.01) *structure*, *roles* and
436 *responsibilities*, *planning*, *operation*, *policies* (3.07), *practices*, *rules*, *beliefs*, *objectives* (3.08) and *processes*
437 (3.12) to achieve those *objectives*.

438 Note 3 to entry: The scope of a management system may include the whole of the *organization* (3.01), specific
439 and identified *functions* (3.25) of the *organization*, specific and identified sections of the *organization*, or one or
440 more *functions* across a group of *organizations*.

441 [SOURCE: ISO DIS 9000:2014, 3.4.2.1]

442 3.05

443 top management

444 person or group of people who directs and controls an *organization* (3.01) at the highest level

445 Note 1 to entry: Top management has the power to delegate authority and provide resources within the
446 *organization* (3.01).

447 Note 2 to entry: If the scope of the *management system* (3.04) covers only part of an *organization* (3.01), then *top*
448 *management* refers to those who direct and control that part of the *organization*.

449 [SOURCE: ISO DIS 9000:2014, 3.1.1]

450 3.06

451 effectiveness

452 extent to which planned activities are realized and planned results achieved

453 [SOURCE: ISO DIS 9000:2014, 3.7.7]

454 3.07

455 policy

456 intentions and direction of an *organization* (3.01), as formally expressed by its *top management* (3.05)

457 [SOURCE: ISO DIS 9000:2014, 3.4.5]

458 3.08

459 objective

460 result to be achieved

461 Note 1 to entry: An objective can be strategic, tactical, or operational.

462 Note 2 to entry: Objectives can relate to different disciplines (such as financial, health and safety, and
463 environmental goals) and can apply at different levels (such as strategic, organization-wide, project, *product*
464 (3.47), *service* (3.48), and *process* (3.12)).

465 Note 3 to entry: An objective can be expressed in other ways, e.g. as an intended outcome, a purpose, an
466 operational criterion, as a *quality* (3.37) objective, or by the use of other words with similar meaning (e.g. aim,
467 goal, or target).

468 Note 4 to entry: In the context of *quality management systems* (3.33), quality objectives are set by the
469 *organization* (3.01), consistent with the *quality policy* (3.34), to achieve specific results.

470 [SOURCE: ISO DIS 9000:2014, 3.7.1]

471 3.09

472 risk

473 effect of uncertainty on an expected result

474 Note 1 to entry: An effect is a deviation from the expected — positive or negative

475 Note 2 to entry: Uncertainty is the state, even partial, of deficiency of *information* (3.50) related to, understanding
476 or *knowledge* (3.53) of, an event, its consequence, or likelihood.

477 Note 3 to entry: Risk is often characterized by reference to potential “events” (as defined in ISO Guide 73:2009,
478 3.5.1.3) and “consequences” (as defined in ISO Guide 73:2009, 3.6.1.3), or a combination of these.

479 Note 4 to entry: Risk is often expressed in terms of a combination of the consequences of an event (including
480 changes in circumstances) and the associated “likelihood” (as defined in ISO Guide 73:2009, 3.6.1.1) of
481 occurrence.

482 Note 5 to entry: The term “risk” is sometimes used when there is only the possibility of negative consequences

483 [SOURCE: ISO DIS 9000:2014, 3.7.4]

484 3.10

485 competence

486 ability to apply *knowledge* (3.53) and skills to achieve intended results

487 Note 1 to entry: Demonstrated competence is sometimes referred to as qualification.

488 [SOURCE: ISO DIS 9000:2014, 3.6.6]

489 3.11

490 documented information

491 *information* (3.50) required to be controlled and maintained by an *organization* (3.01) and the medium
492 on which it is contained

493 Note 1 to entry: Documented information can be in any format and media and from any source.

494 Note 2 to entry: Documented information can refer to:

- 495 - the *quality management system* (3.33), including related *processes* (3.12);
- 496 - *information* (3.50) created in order for the *organization* (3.01) to operate (documentation);
- 497 - evidence of results achieved (records).

498 [SOURCE: ISO DIS 9000:2014, 3.8.1.1.1]

499 3.12

500 process

501 set of interrelated or interacting activities which transforms inputs into *outputs* (3.46)

502 Note 1 to entry: Inputs to a process are generally outputs (3.46) of other processes.

503 Note 2 to entry: In some processes, some inputs become *outputs* (3.46) without any transformation e.g. a
504 blueprint used in a manufacturing process or a catalyst in a chemical process.

505 Note 3 to entry: Processes in an *organization* (3.01) are generally planned and carried out under controlled
506 conditions to add value.

507 Note 4 to entry: A process where the *conformity* (3.18) of the resulting *output* (3.46) cannot be readily or
508 economically validated is frequently referred to as a "special process".

509 [SOURCE: ISO DIS 9000:2014, 3.6.1]

510 **3.13**
511 **performance**
512 **measurable result**

513 Note 1 to entry: Performance can relate either to quantitative or qualitative findings.

514 Note 2 to entry: Performance can relate to the *management* (3.29) of activities, *processes* (3.12), *products* (3.47),
515 *services* (3.48), *systems* (3.31) or *organizations* (3.01).

516 [SOURCE: ISO DIS 9000:2014, 3.7.5]

517 **3.14**
518 **outsource** (verb)
519 make an arrangement where an external *organization* (3.01) performs part of an organization's
520 *function* (3.25) or *process* (3.12)

521 Note 1 to entry: An external *organization* (3.01) is outside the scope of the *management system* (3.04), although
522 the outsourced *function* (3.25), or *process* (3.12), is within the scope.

523 [SOURCE: ISO DIS 9000:2014, 3.6.3]

524 **3.15**
525 **monitoring**
526 **determining** (3.67) the status of a *system* (3.31), a *process* (3.12) or an activity

527 Note 1 to entry: To determine the status, there may be a need to check, supervise or critically observe.

528 Note 2 to entry: Monitoring is generally a *determination* (3.67) of the *object* (3.36) being monitored, carried out at
529 different stages or at different times.

530 [SOURCE: ISO DIS 9000:2014, 3.13.1.2]

531 **3.16**
532 **measurement**
533 **process** (3.12) to **determine** (3.67) a value

534 Note 1 to entry: According to ISO 3534-2:2006 the value determined is generally the value of a quantity.

535 [SOURCE: ISO DIS 9000:2014, 3.13.3]

536 **3.17**
537 **audit**
538 **systematic** and **independent process** (3.12) for obtaining *objective evidence* (3.61) and evaluating it
539 **objectively to determine the extent to which the audit criteria** (3.60) **are fulfilled**

540 Note 1 to entry: An audit can be an internal audit (first party), or an external audit (second party or third party),
541 and it can be a combined audit or a joint audit.

542 Note 2 to entry: Internal audits, sometimes called first-party audits are conducted by, or on behalf of, the
543 *organization* (3.01) itself for *management* (3.29) *review* (3.68) and other internal purposes, and may form the