Australian Standard®

Phased implementation of AS/NZS ISO 9001:1994 or AS/NZS ISO 9002:1994

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AS 4500—1997

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PREFACE

This Standard was prepared by the Joint Standards Australia/Standards New Zealand Committee QR/8 on Quality Systems. It is the result of consensus among representatives on the Joint Committee to produce it as an Australian Standard.

The principal objective of this Standard is to provide assistance to the smaller businesses who are implementing or giving consideration to implementing an ISO 9000 quality system, by providing a phased approach to such a quality system. Provision is made for three phases of implementation.

To provide the necessary flexibility to suit a range of organizations who might consider a phased approach, the Clauses of AS/NZS ISO 9001:1994 have been distributed into three Modules. A Phase 1 quality system is achieved by implementation of any one of the Modules, a Phase 2 quality system, by implementation of any two and Phase 3 quality system by implementation of all three Modules. Thus Phase 3 is the full implementation of either an AS/NZS ISO 9001 or AS/NZS ISO 9002 quality system.

It is also an objective of this Standard to provide a basis of assurance for those purchasers who, while not needing the assurance provided by an AS/NZS ISO 9000 series quality system, nevertheless need some assurance from their supplier regarding their capabilities with respect to their quality system.

A further objective of this Standard is to provide a basis for endorsement against a phased approach, if there is a community need for such endorsement.

The Clauses of AS/NZS ISO 9001 have not been included, and reference will need to be made to that Standard for the specific requirements referenced in each Module.

The term ‘informative’ has been used in this Standard to define the application of the appendix to which it applies. An ‘informative’ appendix is only for information and guidance.

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FOREWORD

This Standard has been developed to assist organizations to meet the requirements of the ISO 9000 series of quality system Standards by providing the means for phasing the implementation over time. Smaller organizations may find that the phased approach fits better with budget and time constraints that often exist within such organizations.

This Standard also provides suppliers, purchasers, training providers and certification bodies, with a set of recognized criteria they can specify and work against, and which can receive recognition through approved audit processes.

Prior to commencing this phased approach to a quality system, an organization should talk with its major customers and identify what their needs are and if a phased approach is acceptable, particularly if the organization is involved in an export program or competing against imports.

It is recognized that a phased approach to implementing a quality system may not suit many organizations or may not be acceptable to all purchasers. For these organizations, the full implementation of an ISO 9000 quality system may be necessary before any formal recognition is granted. In such cases, this Standard is not applicable.

The Standard is based on the requirements of AS/NZS ISO 9001:1994 and AS/NZS ISO 9002:1994 and provides for implementation in three phases (Phases I, II and III).

The requirements of AS/NZS ISO 9001 (and AS/NZS ISO 9002) have been distributed over three Modules which are described in this Standard. The requirements of Phase I of this Standard are met by implementing any one of the three Modules and Phase II, any two of the three Modules. Where an organization has implemented all three phases it has, in fact, achieved the implementation of either AS/NZS ISO 9001 or AS/NZS ISO 9002.

The three Modules can be broadly categorized as—

Module I — Development of organizational and management infrastructures;

Module II — Development of process management;

Module III — Development of organizational evaluation and inspection activities.

NOTE: Many organizations will already have components of these Modules naturally operating within their business structures. It is important that each organization, prior to commencing quality system development, read through each Module and identify if the organization already carries out any of these activities and if so, are the activities documented, or managed in any way.

Each Phase provides a level of confidence and a range of activities managed, which are applicable to both the organization and its customers. Appendix A gives advice on the risks managed by each Module.

In adopting a phased approach, it is important to realise that because both Phase I and II contain less than the full requirements of AS/NZS ISO 9001 or AS/NZS ISO 9002, there can be a higher risk factor to both the organization and its customers.

This Standard does not prescribe a set order for implementing the Modules. Organizations, when developing their quality systems, should examine the requirements contained in each Module carefully and decide which functions within their organization are most critical to their efficiency and delivery of their product or services and should therefore be tackled first.

When selecting the appropriate Module to tackle first, an organization may consider it most important to meet defined or close tolerances in the production of their goods and services, and in this case, that organization could choose to approach implementation from Module II, process management or through developing evaluation and inspection activities, as covered by Module III.

On the other hand, if an organization is more service orientated or relies on decentralization of administrative procedures, then it may be more appropriate to initially identify the organizational structures and responsibilities as outlined in Module I, before proceeding to either of Modules II or III.

The Standard thus provides implementation flexibility for any industry sector, ranging from the service sector to manufacturing and primary industry sectors.

It also allows for the development of a quality system to incorporate broader quality practices as well as meet certification requirements, since organizations undertaking a phased implementation approach may choose to include additional clauses from Modules other than the one initially implemented.

However for audit purposes the organization would be audited against the Modules as they are implemented. It may be possible to have the additional clauses audited and recognized on a capability statement attached to the certification.

Organizations should select Module(s) most appropriate to their own needs and not feel restricted by the certification process.

STANDARDS AUSTRALIA

Australian Standard

Phased implementation of AS/NZS ISO 9001:1994 or AS/NZS ISO 9002:1994

1 SCOPE This Standard specifies requirements for the implementation of a quality system in three phases. The Standard provides for three Modules containing requirements. Phase I consists of any one Module, Phase II, any two Modules and Phase III, all three Modules. A fully implemented Phase III quality system should be capable of complying with either AS/NZS ISO 9001:1994 or AS/NZS ISO 9002:1994.

2 APPLICATION This specification applies to those organizations which do not have an AS/NZS ISO 9001:1994 or AS/NZS ISO 9002:1994 quality system in place and which wish to—

(a) implement such a quality system, but in distinct Phases for which recognition of the completed Modules can be given;

(b) demonstrate to potential or existing customers that a phased quality system is in place; or

(c) need to indicate that a level of quality assurance is in place for products or services having a low associated risk.

This specification may also be used by those customers seeking assurance from suppliers of low risk products or services where although an AS/NZS ISO 9001:1994 or AS/NZS ISO 9002:1994 quality system is not necessarily required, some form of quality assurance is required.

NOTE: The definitions of ‘product’, ‘customer’ and ‘supplier’ are those given in AS/NZS ISO 8402:1994

3 REFERENCED DOCUMENTS The following documents are referred to in this Standard:

AS
3911 Guidelines for auditing quality systems
3911.1 Part 1: Auditing
3911.2 Part 2: Qualification criteria for auditors
3911.3 Part 3: Management of audit programs

AS/NZS ISO
8402 Quality management and quality assurance—Vocabulary

9001 Quality systems—Model for quality assurance in design, development, production, installation and servicing

9002 Quality systems—Model for quality assurance in production, installation and servicing

9003 Quality systems—Model for quality assurance in final inspection and test

4 GENERAL REQUIREMENTS The individual requirements of each Module are given in Clauses 5, 6 and 7 of this Standard. However the Introduction and Clauses 1, 2 and 3 of AS/NZS ISO 9001:1994 and AS/NZS ISO 9002:1994 shall also apply to each Module insofar as they are relevant to this Standard.

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