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| **Process Plan** | | | |
| **Process Name** | Contract Management/Program Management | **Process Owner** | Contracts Administrator |
| **Associated Process Documents & Records** | Quality Manual, QMS Plan, Contracts, Mods | **Quality Objectives Supported** | * Program Win Rate – over 40% * Invoice Accuracy – less than 1% * Customer Satisfaction – zero complaints |
| **Key Resources** | Contracts staff, corporate electronic and paper files, email, phone system | **ISO 9001:2015 Clauses** | 4.4, 5.2, 6.1, 6.2, 7.1, 7.1.5.1, 7.1.6, 7.2, 7.3, 7.5, 8.4, 8.5, 8.6, 8.7, 9.1.1, 10.1, 10.2, 10.3 |
| **Outsourced Processes and Controls** | N/A | **Risks or Opportunities to consider** | Listed, progress tracked and reviewed as necessary in QMS Plan document |

Instructions: Complete this form using the instructions in blue text for each section. Retain this document as a record of QMS planning in your Quality Management System.

**Process Diagram**

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| External customers, typically government agencies  Upstream Process = HR/Recruiting (for submitting names; or, reporting/ invoicing) | * RFPs/RFQs * Contracts * Task Orders | 1. Review contract requirements 2. Maintain contract files 3. Create and submit invoices 4. Request mods 5. Contract end and close out | * Signed contracts * Delivered services * Customer feedback | External customers, typically government agencies | Contracts, Contract  Deliverables, Mods  Downstream Process = Quality Management (Customer feedback) |

Instructions: For this section, the Process Owner and Auditor(s) will fill this in together and note any actions needed.

**Process Review**

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| **Process Owner:** | Contracts Administrator, Deanna Eaton | **Associated CA’s or NC’s reviewed:** |  |
| **Auditor(s):** | Brenda Walguanery | **Documents and Records Reviewed (including previous audits):** |  |
| **Date Reviewed:** |  | **Date of Next Review:** |  |
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| **Process Owner Questions** | **Yes** | **No** | **Notes/Action Needed** |
| 1. Is the Process Diagram (from page 1) still current? (4.4.1) |  |  | If no, list actions being taken: |
| 1. Have there been any major changes since the last review? (4.4.1) |  |  | If yes, list actions being taken: |
| 1. Are the process measures still valid? (4.4.1, 7.1.5.1) |  |  | If no, list actions being taken: |
| 1. Are measure targets being met? (4.4.1, 7.1.5.1) |  |  | If no, list actions being taken: |
| 1. Are resources still adequate for the process? (7.1) |  |  | If no, list actions being taken: |
| 1. Are there any new risks in the process to consider? (6.1) |  |  | If yes, list actions being taken: |
| 1. Are any resources used for monitoring and measurement of the process fit for their purpose? (7.1.5.1) |  |  | If no, list actions being taken: |
| 1. Is there any key knowledge about the process to capture? (7.1.6) |  |  | If yes, list actions being taken: |
| 1. Are there any process improvements needed or opportunities to take advantage of? (4.4.1, 6.1, 10.3) |  |  | If yes, list actions being taken: |
| 1. **List any additional actions items such as:** documents or records to update; training or communication to be done. |  |  |  |

**Process Audit**

Instructions: For this section, the Auditor(s) will complete as they conduct the audit. Evidence listed should be specific and detailed. Each question should note either “OK” if all requirements were found to be compliant or “NC” if there was a nonconformity.

Process Documentation

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| --- | --- | --- | --- |
| **ISO clause** | **Auditor Question** | **Evidence** | **OK or NC** |
| 4.4.2a  7.5.2  7.5.3 | 1. Specific to the Contract Mgt/Program Mgt process - what controlled documents are in use?  Check for appropriate:   * identification and format * review and approvals * availability and suitability * protection and access * storage and retention * change control   **Look for:** List names of documents and their revisions in use. Check for all of the bulleted requirements above. |  |  |
| 4.4.2b  7.5.2  7.5.3 | 2. Specific to the Contract/Program Management process - what records are kept?  Check for appropriate:   * identification and format * review and approvals * availability and suitability * protection and access * storage and retention * change control   **Look for:** List names of records in use. Check for all of the bulleted requirements above. |  |  |

Competence, Awareness and Communication

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| **ISO clause** | **Auditor Question** | **Evidence** | **OK or NC** |
| 7.2 | 3. What evidence shows that competence of recently hired employees was verified against defined criteria for their position? | This is covered in HR/Recruiting Audit Plan. | NA |
| 5.2.2b  7.3 | 4. Are employees (working in the Contract Mgt/Program Mgt processes) aware of:   * The quality policy * Relevant quality objectives * Their contribution to the QMS * The benefits of improved performance * The negative effects of not conforming to QMS requirements?   **Look for:** Type the responses from one or two auditees regarding their awareness of the above. |  |  |

Process Conformity

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| **ISO clause** | **Auditor Question** | **Evidence** | **OK or NC** |
| 8.5 | 5. Is the Contract Mgt/Program Mgt process being followed as defined in the Quality Manual and related documents?  **Look for:** Read the appropriate Quality Manual sections shown under “ISO clause” (to the left) before completing these questions. List the Quality Manual Revision. |  |  |
| 8.5.1 | 6. How is the Contract Mgt/Program Mgt process controlled to ensure customer requirements are met?  **Look for:** List examples of documentation used for production. Verify that documents are current releases of the documentation. If contracts/task orders are used, verify that they are being communicated throughout the delivery process. |  |  |
| 8.1  8.5.6 | 7. What evidence shows that changes to the service delivery process are reviewed and controlled?  **Look for:** Documentation that describes results of the change review, authorizing person, and actions from the review. |  |  |
| 8.5.2 | 8. How are services/contracts identified? Are there requirements for traceability?  **Look for:** List 2-3 examples of contracts/projects reviewed including how they are identified; include specific references such as customer identifiers, contract/project numbers, etc. If applicable, also list 1-2 examples of records reviewed that demonstrate product traceability, be sure to include specific references and dates of completion. |  |  |
| 8.5.3 | 9. Is any property belonging to customers being used in this process? If yes, how is it controlled?  **Look for:** Customer data and intellectual property, drawings, proto-types, etc. State what controls are in place to make sure it is identified and protected. |  |  |
| 8.5.4 | 10. How are the service delivery process preserved to ensure conformity to requirements?  **Look for:** List 2-3 examples of observations made of proper handling of data and information; this could include backup, protection, security, etc. |  |  |
| 8.5.5 | 11. Are there any post-delivery activities? How are they controlled?  **Look for:** Warranty processes, contractual obligations for servicing or maintenance, recycling or disposal, etc. |  |  |
| 8.6 | 12. How are services considered ‘released’ to customers? What records are maintained?  **Look for:** List examples of records reviewed that indicated the person who authorized the service and the criteria for approval. Contract approvals often serve this purpose. |  |  |
| 8.4 | 13. Are there any outsourced processes (by external providers) for the service delivery process? If yes, how are they controlled?  **Look for:** Verify that any outside suppliers used during the process were properly selected, controlled and evaluated. Ensure they are listed above in the Process Plan on Page 1. |  |  |
| 8.7 | 14. How are nonconformances handled and dispositioned?  **Look for:** Read the appropriate Quality Manual sections shown under “ISO clause” (to the left) before completing these questions. List the Quality Manual Revision.  Review NC records and note details. Verify how they are handled. |  |  |
| 8.7  10.2 | 15. Have any Corrective Actions or Nonconformances been generated that are related to this process?  **Look for:** Ensure that CA’s and NC’s are being recorded for issues that exist. Note any that are recent or in process. |  |  |

Process Evaluation

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| **ISO clause** | **Auditor Question** | **Evidence** | **OK or NC** |
| 4.4.1  6.2  9.1.1 | 16. Have all Measurement Plans for this process been reviewed as required? | See Quality Management Audit Plan – all key measures are defined in Quality Manual, tracked in Key Measurement Worksheet, and covered in each Management Review minutes. | NA |
| 10.1  10.3 | 17. Are there any suggested process improvements?  **Look for:** Type in suggestions for improvement from the auditee(s) or from the auditor or type “No suggestions for improvement at this time.” |  |  |

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| **Audit findings summary** |  | | |
| **Corrective Actions Issued** |  | | |
| **Auditor Name**  **(Sign-off)** |  | **Date** |  |
| **Process Owner Name**  **(Sign-off)** |  | **Date** |  |