Quality Management System (QMS) Manual

This manual has been documented around Mango Limited's certified Management System.

It should be used as a template only.

It is designed to be modified to reflect your organisation.

Contents

Context of the Organisation 4
Company Overview 4
External and Internal Issues 4
Interested Parties 4
Vision, Mission and Values 5
SWOT Analysis 5
Key Business Strategies 6
Scope 6
Management Representative 7
QMS Structure 7
Process Flow 9
Leadership 10
Leadership and Commitment 10
Quality Policy 11
Organisation Roles, Responsibilities and Authorities 11
Planning 14
Actions to Address Risks and Opportunities 14
Legal and Other Requirements 15
Objectives, Targets and Plans 17
Support 18
Resources and Infrastructure 18
Training, Competency and Knowledge Management 19
Communication, Consultation and Awareness 21
Documented Information and Control of Documents 22
Operations – Marketing 24
Marketing - How to Publish a Blog 24
How to Manage Webinars 24
How to Publish Release Notes 25
Reporting End of Month Marketing Lead Performance 25
Operations – Sales and Partnering 25
Sales 25
Partner Process 26
Operations - Development 26

Developers Documentation 26
Development Requests and Bugs 26
Mango Application 28
Operations – Support and Testing 29
Mango Testing 29
Communication of Releases 29
Support 29
Implementation 30
Operations - Supplier Evaluation and Control 30
Performance Evaluation 32
Monitoring, Measurement and Evaluation 32
Internal Audit 33
Management Review 33
Improvement 34
Improvement and Corrective Actions 34

Context of the Organisation

Company Overview

Established in 2005, the company provides cloud based QHSE compliance software.

The company enables its customers to meet their compliance requirements be they ISO 9001, ISO 14001, ISO 45001, ISO 22000, ISO 13485, local and government legislation and regulations.

This Quality Management System (QMS) serves to formalise the policies, processes and operating standards that will apply to the company's employees, partners and contractors.

External and Internal Issues

The company determines the external and internal issues that are relevant to its purpose and strategic direction and that affect its ability to achieve the intended results of the QMS.

Consideration is given to the:

- Positive and negative factors or conditions.
- External context and issues, such as legal, regulatory, technological, competitive, cultural, social, political and economic environments.
- Internal context and issues, such as values, culture, organisation structure, knowledge and performance of the business.
- Determination and requirements of the needs and expectations of interested parties relevant to the QMS.
- Authority and ability to exercise control and influence.
- Activities, products and services relevant to the business.
- Documented information is retained as evidence to support that the context of the organisation has been taken into account in the QMS.

Interested Parties

Interested Party	**Needs, Expectations and Issues**
Owners/Shareholders	• Have a growing business that provides profit. • Be well governed and well managed. • Want staff to enjoy their work, be challenged, perform their job competently and meet the company and customer requirements.
Customers	• Value for money. • A simple solution that manages compliance easier. • Implementation of the product in-line with customer expectations. • Receive responsive support. • Delivery of free content to educate around compliance.
Suppliers/Contractors	• Ongoing and secure work. • To be paid on time. • Clear understanding of requirements. • Constructive feedback. • Want to provide services/products to a reliable, reputable and financially viable business
Partners	• Make them more financially secure through additional revenue from Mango sales. • Enable them to change their business model from hour-based to value-based income.

	• Want a solution that they can sell, promote and support that will assist their clients to manage compliance. • Provide great support and knowledge to help them support their customers.
Employees within business	• Job security. • Salary for work performed. • Flexible work hours. • Clear understanding of their role and responsibilities. • Able to raise issues of concern and provide constructive feedback. • Good, friendly work environment. • To feel valued and appreciated. • Opportunities for personal development.
Regulators	• To meet the required laws and regulations. • To submit all tax obligations accurately and on time. • To maintain high standards of corporate governance.
Community	• Good corporate citizen. • Diversity of employees

Vision, Mission and Values

Vision: "Gets everyone involved and participating in QHSE"

Mission: Makes compliance enjoyable.

Values: Our customers are successful in compliance

SWOT Analysis

Strengths	**Weaknesses**
• Provider of a great quality product. • Provider of great support for the product. • Responsive development to market requirements. • Responsive to identified software issues. • Depth of knowledge of buyer's persona. • Regular delivery of free content. • Low client turnover relative to the industry. • Quick deployment of product post sales. • Deep knowledge of customer's pain • Adaptable, responsive and able to make decisions. • Flexible to meet a wide range of customer service issues. • Open to suggestions to improving the product • Owners have recognised the need to have external expertise to grow the business. • Looking at ways of improving the business.	• Identification of good partners to meet our standards/ requirements. • Managing and review partner performance • Too operational and not strategic enough for partners • Reliance on key employees within the business. • Time poor in a few key areas • Don't have strong relationships with industry players • Measurable marketing outcomes based on known starting points

Opportunities	Threats
• Changes to standards in our core markets: ISO 9001, ISO 14001, ISO 45001, H&S Act, Food Safety. • New technologies • Partnering with other solutions: Software and Hardware • New focussed markets. • Certification to ISO 9001 will open up other market opportunities through the marketing of the process. • More marketing via additional platforms • To educate industry in compliance.	• Competition • Technology

Key Business Strategies

Strategy	Description
Develop business processes to accommodate the expected growth.	Develop and implement business processes that are suitable for the business. Achieve certification to ISO 9001. Transfer of knowledge to partners and employees for all key processes Use technology to manage as many processes as appropriate
Improve the efficiency and effectiveness of the core processes	Identify the core processes (i.e. development and release, sales, marketing, implementation, support) Identify new ways (e.g. lean techniques) of doing the core processes Update and embed the core processes to ensure knowledge is retained
Personnel to be capable of delivering the growth for the business	Key leadership personnel to be capable of leading and managing their staff. Competency gaps to be identified by leadership personnel Personnel to be assessed as competent for their role Personnel to receive training for the role Personnel to receive appropriate experience to do the role
Grow market share in all markets	Identify and train new partners Continuously review partner performance Identify changes to legislation, standards and regulation Identify key market verticals in each jurisdiction Increase the number of qualified lead by creating more content and deliver across multiple channels Improve the sales conversion rate from qualified leads to sale

Scope

The QMS describes how the company requirements are to be addressed throughout its operations and addresses the requirements of ISO 9001:2015

The scope is: provision of marketing, sales, support, development and implementation of software solutions. Location Unit 5, 340 Durham St North, Christchurch, New Zealand.

Management Representative

The Operations Manager is the currently appointed Management Representative and has responsibility and authority for:

1. Ensuring that the:
    a. QMS is established, implemented and maintained in accordance with the requirements of ISO 9001:2015
    b. QMS processes are delivering their intended outputs.
    c. Promotion of customer focus throughout the company.
    d. Integrity of the QMS is maintained when changes to the QMS are planned and implemented.
2. Reporting on the performance of the QMS to top management for review and as a basis for improvement.

QMS Structure

Interaction of Processes in the QMS

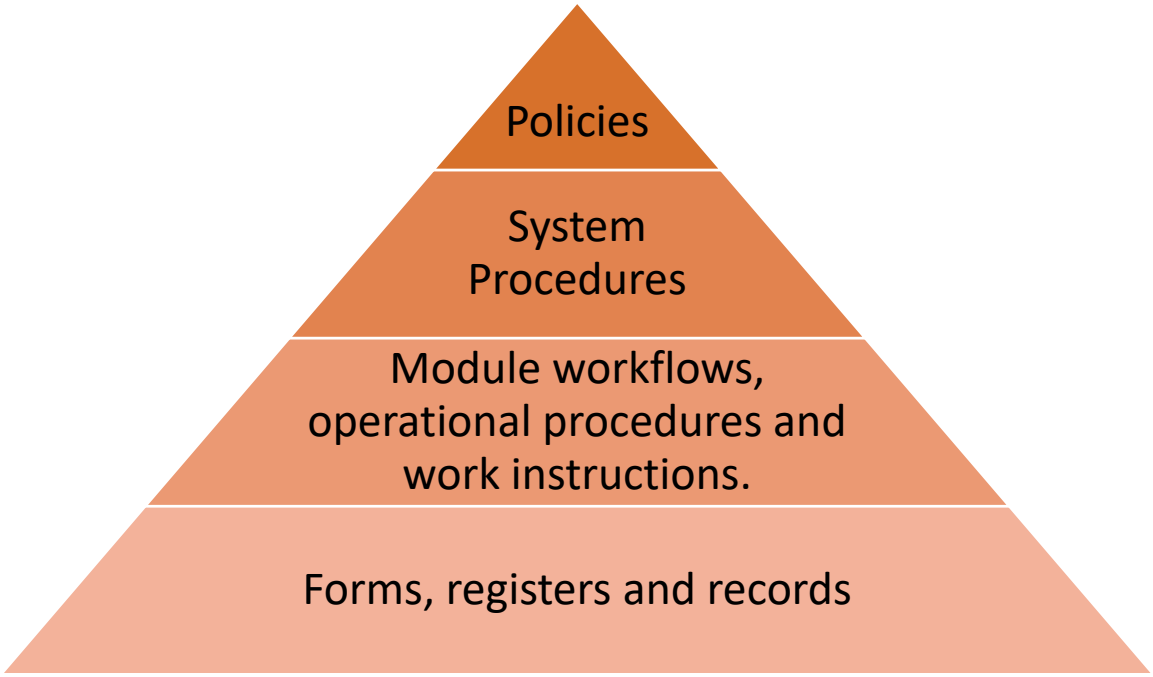
The company's QMS complies with:

- ISO 9001:2015

The QMS consists of the following levels of documented information:

- Policies: Policies are documents that demonstrate the overall commitment to improving quality performance and are authorised by the Management Team.
- System procedures: high-level procedures that define the activities that are to be fulfilled to ensure that the QMS complies with standards.
- Module workflows, operational procedures and work instructions. Control and operational procedures:
    - Meet customers' requirements.
    - Provide supplementary guidance and instructions to support the intent of the QMS.
    - Ensure that the requirements of the QMS will be adequately addressed within the organisation.
- Forms, registers and records are evidence to prove the QMS is operational.

A diagram of the structure of the QMS structure is presented below.



Mango compliance software solution:

- Provides automated workflows for the effective and efficient operation of the QMS.
- Underpins the QMS and serves as the main retention application for all documented information.
- Workflows and modules replace written procedures and forms associated with the process.

They include the following:

Modules	**Actions**
Accident/Incident	Controls all near miss, accident, incident or injury reporting, investigation, corrective action and injury management. The workflow manages the process.
Audit/Inspection	Controls the audit process, from scheduling through to audit reports. Its captures all the corrective actions in the Improvement module.
Compliance	Controls all the reporting and investigation of legal, regulatory and standard registers in a seamless workflow.
Documents	Controls and maintains the approval, publishing and authorisation of all documentation within the module with electronic signatures.
Event Management	Controls scheduled tasks to ensure critical activities can be managed and monitored. It includes email reminders and alerts when events are due or overdue.
Human Resources	Controls all a comprehensive central database of employee details that links people with their skills and positions.
Improvement	Controls all reporting, investigation and corrective actions for customer complaints, audit findings, internal issues or non-conformances. The workflow manages the process.
Plant/Equipment	Controls the maintenance of plant and equipment with email reminders and alerts when maintenance is due or overdue.

Risk Management	Controls identified and managed risks. The workflow manages the process
Supplier and Contractor Management	Controls all external suppliers and contractor's details and performance is captured and reviewed.

Process Flow

Purpose and Scope

To describe the interaction of process through the customer journey.

Procedure

References:

ISO 9001
4.1, 4.2, 4.3, 4.4

Leadership

Leadership and Commitment

Purpose and Scope

To define how the company demonstrates leadership and commitment to its QMS.

Procedure

1. Top management will take responsibility for the effectiveness of the QMS and will demonstrate their commitment to the QMS by:
    a. Defining roles, allocating responsibilities and accountabilities, and delegating authorities, to facilitate effective QMS management.
    b. Roles and Responsibilities are documented in Leadership - Organisation Roles, Responsibilities and Authorities and through position descriptions, and QMS procedures where applicable. Ensuring:
        i. That relevant policies and objectives are established for the QMS and that these are aligned with the context and strategic direction.
        ii. The integration of the QMS requirements into the organisation's business processes.
        iii. That resources needed for the QMS are available.
        iv. The QMS achieves its intended results.
        v. The process approach and risk-based thinking is promoted. Communicating the importance of effective QMS management and of conforming to the QMS requirements.
        vi. Engaging, directing and supporting personnel to contribute to the effectiveness of the QMS.
        vii. Improvement is promoted.
        viii. Other relevant management roles are supported to demonstrate their leadership as it applies to their areas of responsibility.
2. Top management is committed to our customers and enhancing customer satisfaction. This commitment is demonstrated by:
    a. Ensuring that applicable customer and statutory requirements are determined, understood and met throughout the business.
    b. Ensuring the risks and opportunities that can affect conformity of products and services and the ability to enhance customer satisfaction are determined and addressed.
    c. Exercising due care with our customer's property (data) whilst it is under the control of the company.
    d. Monitoring customer's perceptions of the degree to which their needs and expectations have been fulfilled.
3. The key aspects of the customer information and data generated through the effective implementation of the QMS processes are collected and collated by the Management Representative and presented at each Management meeting.

References:

ISO 9001
5.1

Quality Policy

The company is committed to providing and delivering the customer great product, great support and great marketing to make the management of our customer's compliance an easy and enjoyable experience.

We are committed to:

- Meeting legal requirements.
- Continually improving our QMS.
- Meeting the needs and expectations of interested parties.

To achieve this, we will:

- Provide our customers with a quality product for the management of their compliance needs.
- Provide our customers with free content, information and industry insight to improve their compliance knowledge.
- Provide timely and accurate support to our customers
- Listen to our customers when developing and enhancing the product.
- Provide an environment where staff can grow and learn new skills.
- Provide a return to shareholders

We will measure our progress through:

- Setting objectives
- Documenting plans
- Reviewing performance

We will enable this by:

- Training our employees
- Training our Partners
- Improving Mango
- Investing in resources
- Investigating new technologies

References:

ISO 9001
5.2

Organisation Roles, Responsibilities and Authorities

Purpose and Scope

To describe the responsibilities and authorities for the QMS and to define the organisation structure for the effective operation of the QMS.

Associated Documents

Job/Position Descriptions.

Employee Contracts.

Human Resources Module.

Access Rights Sub-Module.

Procedure

1. The responsibility, accountability and authority of all personnel involved in the QMS is to be defined, documented and communicated in order to facilitate an effective QMS. This is to include any responsibilities and accountability that is imposed by legislation.
2. Responsibilities, accountabilities and authorities are documented in position descriptions and throughout the QMS.
3. Where suppliers are involved, their responsibilities and accountabilities are to be clarified and documented by the responsible employee with authority.
4. All employees and Suppliers will comply with their responsibilities.

The Management Team are to:

1. Ensure organisation-wide compliance to the QMS.
2. Appoint the QMS Management Representative.
3. Ensure that the assigned roles, responsibilities and authorities are communicated and understood.
4. Communicate the importance of meeting customer, statutory and regulatory requirements.
5. Establish appropriate policies that include a commitment to continual improvement of the QMS.
6. Establish QMS objectives.
7. Ensure that all employees are aware of:
    a. Policies.
    b. Current QMS objectives, targets and plans.
    c. The importance of compliance with the QMS.
    d. Their contribution to the effectiveness of the QMS, including the benefits of improved performance.
    e. Potential consequences of non-compliance with the QMS requirements.
8. Hold people accountable for carrying out assigned responsibilities and the results delivered.
9. Make resources available.
10. Participate in QMS meetings including the Management Review.
11. Utilise Mango for the effective control of the QMS.
12. Actively promote and participate in QMS initiatives.

The Management Representative is to:

1. Ensure that the:
    a. QMS is established implemented and maintained in accordance with the requirements of the standards.
    b. QMS processes are delivering their intended outputs.
    c. Promotion of customer focus throughout the company.
    d. Integrity of the QMS is maintained when changes to the QMS are planned and implemented.
2. Report on the performance of the QMS for review and as a basis for continual improvement.
3. Perform the role of Administrator which has the authority to ensure access rights in the QMS, for individuals, are in-line with their levels of authorities and responsibility in the organisation.

4. Monitor, communicate and incorporate changes in the legal and other requirements in the QMS.
5. Communicate amendments to the QMS.
6. Advise and provide guidance to ensure compliance to the QMS is maintained.
7. Provide guidance in developing action plans and conducting management system reviews.
8. Ensure that audits and inspections are conducted in accordance with the schedule.
9. Ensure that Mango is effectively utilised to administer and control the QMS.
10. Provide and or arrange for ongoing training and coaching to personnel with respect to QMS matters.
11. Coordinate and participate in QMS meetings including the Management Review.
12. Publish and control all QMS documents.
13. Actively promote and participate in QMS initiatives.
14. Coordinate and administer arrangements with the certification agency.

Employees are to:

1. Ensure that the QMS is effectively implemented and maintained within their area of responsibility.
2. Actively encourage all personnel to contribute towards the continual improvement of the QMS.
3. Incorporate the QMS as part of site and departmental inspections and reviews.
4. Determine and escalate the need for resource requirements for the effective operation of the QMS.
5. Participate in QMS meetings including the Management Review.
6. Utilise Mango for the effective control of the QMS.
7. Actively promote and participate in QMS initiatives.
8. Promptly report any unsafe working conditions, faulty equipment, hazards/risks, injuries or incidents

Suppliers and Contractors are to:

1. Comply with the requirements of the QMS and participate in QMS promotions.
2. Promptly report any unsafe working conditions, faulty equipment, hazards/risks, injuries or incidents

Organisation Structure

1. The Company recognises that the structure of the organisation needs to constantly evolve in order to meet the changing needs of clients, the market and compliance obligations.
2. The Management Team are responsible for ensuring the structure of the organisation is appropriate to the current business needs and will ensure that the organisation chart is regularly reviewed and maintained.

References:

ISO 9001
5.3

Planning

Actions to Address Risks and Opportunities

Purpose and Scope

To describe the manner in which the company identifies and manages the risks and opportunities within the business.

Associated Documents

Risk Management Module.

Supplier Module.

Events Management Module.

Human Resources Module.

Procedure

1. The company is committed to identifying and addressing relevant risks and opportunities as a means for:
    a. Increasing the effectiveness of the QMS.
    b. Improving performance.
    c. Preventing or mitigating negative effects.
2. When undertaking risk management activities, the company must give consideration to the:
    a. Positive and negative factors or conditions.
    b. External context and issues, such as legal, regulatory, technological, competitive, cultural, social, political and economic environments.
    c. Internal context and issues, such as values, culture, organisation structure, knowledge and performance of the business.
    d. Determination of the requirements and needs and expectations of interested parties relevant to the QMS.
    e. Authority and ability to exercise control and influence.
    f. Activities, products and services relevant to the business.
3. The company may adopt any or a combination of the following risk options:
    a. Avoid the risk.
    b. Eliminate the risk source.
    c. Take the risk to pursue an opportunity.
    d. Change the likelihood or consequences of the risk.
    e. Share the risk.
    f. Retain the risk by informed decision.
4. Opportunities identified by the company may lead to:
    a. Adoption of new and improved processes.
    b. Launching new products or services.
    c. Pursuing new markets.
    d. Utilising new technology.
    e. Improved ways of addressing customer needs.
5. The company will manage risk and opportunities as follows:
    a. Through ongoing effective leadership and commitment to the QMS.
    b. Manage business and quality risks and opportunities in the Board meeting and the Management meetings.

c. Through the effective management and control of suppliers and contractors.
d. Through the effective training of personnel to ensure they are competent to perform relevant tasks safely.
e. By monitoring, measurement and review of relevant processes and outputs.

References:

ISO 9001
6.1

Legal and Other Requirements

Purpose and Scope

To describe how the company ensures that it has identified, complies with and verifies compliance with all of the relevant legislative, regulatory and other requirements that apply to the activities conducted by the company employees and contractors within its operations.

Associated Documents

Compliance Module

Procedure

1. The company is to ensure that all relevant legislative and other requirements are identified.
2. Legislative and other requirements may include, but are not limited to:
    a. Acts and Regulations.
    b. Codes of Practice.
    c. Guidelines.
    d. Standards.
    e. Agreements with clients, communities or public authorities.
    f. Corporate requirements.
    g. Industry standards or codes.
    h. Voluntary commitments.
3. Details of all relevant legislative and other requirements are to be contained within the Compliance Module. These will include mitigations and control methods. The verification of compliance will be reviewed by the Board.
4. The Management Team are to ensure that where possible, they are notified of changes and/or additions to legal and other requirements as those changes occur.
5. The means of ensuring notification of changes and/or additions may include:
    a. Agreements with external legal or consulting organisations to monitor and advise of any changes.
    b. Registering with Standards New Zealand.
    c. Advice from employer or industry associations.
6. When changes and/or additions occur, they are to be included in the Compliance module and the means of verifying compliance is to be defined as previously described.
7. A review of the Compliance module will be conducted as per the annual work plan in the Board meeting. These will include:
    a. Confirm that all updates to applicable legal and other requirements have been captured and included.
    b. Confirm that the means of ensuring and verifying compliance are appropriate.

8. The company is to ensure that all changes, additions and updates to the Compliance module are communicated to relevant employees, contractors and other stakeholders.

Means of Ensuring Compliance

1. Once the application of a particular requirement has been defined, the means of how compliance to the requirement is going to be ensured is to be established by the company, in consultation with appropriate personnel.
2. Various means of ensuring compliance are available and include, but are not limited to the following:
    a. Policies and/or procedures being established documented and implemented.
    b. Training being provided.
    c. Engineered solutions being implemented.
    d. Instructional signs being displayed.
3. Details of the means of ensuring compliance are to be entered into the Legal and Other Requirements Register in the "Means of Ensuring Compliance" column alongside the corresponding requirement in the Compliance Module.

Means of Verifying Compliance

1. Once the means of ensuring compliance has been determined, the means of how compliance to each requirement is to be verified on a continuous basis is to be established by the company, in consultation with appropriate personnel.
2. Various means of verifying compliance are available and include, but are not limited to the following:
    a. Internal auditing. (To verify compliance to the corresponding policies and/or procedures).
    b. Periodic workplace inspections.
    c. Periodic review of records.
3. Details of the means of ensuring compliance are to be entered into the Legal and Other Requirements Register in the "Means of Ensuring Compliance" column alongside the corresponding requirement in the Compliance module.

Monitoring Changes

1. The Management Team are to ensure that where possible, they are notified of changes and/or additions to legal and other requirements as those changes occur.
2. The means of ensuring notification of changes and/or additions may include:
    a. Agreements with external legal or consulting organisations to monitor any advice of changes.
    b. Registering with Standards or Government organisations.
    c. Advice from employer or industry associations.
3. When changes and/or additions occur, they are to be included in the Legal and Other Requirements Register and the means of ensuring and verifying compliance is to be defined as previously described.
4. On an annual basis, usually in Q4 each year, the Management Team, in consultation with appropriate personnel, is to coordinate a full review and update of the Legal and Other Requirements Register in order to:
    a. Confirm that all updates to applicable legal and other requirements have been captured and included.

    b. Confirm that the means of ensuring and verifying compliance are appropriate.
5. The Management Team is to ensure that all changes, additions and updates to the Legal and Other Requirements Register are:
    a. Tabled at management review and other relevant meetings.
    b. Communicated to relevant employees, contractors and other stakeholders.

References:

ISO 9001
5.1.1, 6.3

Objectives, Targets and Plans

Purpose and Scope

To define the processes for establishing measurable QMS objectives and targets, for establishing plans to achieve those objectives and targets and for periodically monitoring performance in achieving each objective and target.

Associated Documents

Mango Data

Management Review Minutes.

Objectives, Targets and Plans

Procedure

1. The company will establish measurable objectives and targets in relation to its QMS performance.
2. The established objectives and targets must be:
    a. Consistent with the applicable policies.
    b. Measurable.
    c. Monitored and updated.
    d. Effectively communicated to relevant parties.
3. When establishing, reviewing and updating measurable objectives and targets, consideration is to be given to:
    a. Health and safety hazards/risks.
    b. Significant environmental aspects and risks/opportunities.
    c. Significant business or quality risks/opportunities.
    d. Technological, financial and Operational and business requirements.
    e. Products and services provided to customers.
    f. The enhancement of customer satisfaction.
    g. Views of stakeholders.
    h. Legal and other requirements.
4. Once measurable objectives and targets have been established, plans for achieving those measurable objectives and targets are to be established.
5. Performance in achieving each measurable objective and target is to be periodically monitored during Management Review meetings.

References:

ISO 9001
6.2

Support

Resources and Infrastructure

Purpose and Scope

To describe how the resources and infrastructure required to establish, implement, maintain and continually improve the effectiveness of the QMS and business operations are to be identified, provided and maintained.

Associated Documents

Asset Register (Mango)

PPE/Items module

Procedure

1. Resources include human resources and infrastructure, technology and financial resources.
2. The infrastructure and work environment needed to achieve conformity to product requirements is to be determined, provided, managed and maintained. This can include, as applicable:
    a. Buildings and associated utilities.
    b. Equipment including hardware and software.
    c. Information and communication technology.
3. The Management Team will provide the organisational infrastructure, technology and financial resources. They are to review the adequacy of the resources as part of BOD meetings. As new technology becomes available, the possibility of introducing it to improve the QMS is to be considered.
4. The Management Representative is to identify the resources required to establish and maintain the QMS.
5. The Management Team are to prioritise the financial resources available and allocate them to the various departments to provide the resources needed.
6. Each Department is to identify the resources required and to provide adequate support when planning work. They are to identify the infrastructure needed to implement and continually improve the QMS and meet requirements. The infrastructure to be considered could include, but is not limited to:
    a. Buildings and workspace.
    b. Hardware and Software.
    c. IT requirements.
    d. Communications.
7. The Management Team will determine and maintain an appropriate work environment needed to achieve conformity to the product or service requirements.

Plant and Equipment

1. Details of equipment used by employees are recorded in the PPE/Item module and on the asset register.

2. All repairs, must be carried out:
    a. In accordance with any regulatory and the original manufacturer's requirements.
    b. By appropriately trained, qualified, competent and experienced personnel.
    c. All records of maintenance are recorded on the supplier's invoice

Equipment License

Microsoft Office Products used within the company are under the Microsoft Partner MAP programme or have been purchased from the supplier or, are open source.

References:

ISO 9001
7.1

Training, Competency and Knowledge Management

Purpose and Scope

To ensure all relevant personnel are adequately trained, competent and informed in accordance with their position and QMS requirements.

Associated Documents

Position Descriptions

Induction Checklist

Human Resources Module.

Event Management Module.

Procedure

Commencement and Induction of New Employees:

1. Employee setup in Employee module
1. Before a new employee commences work, the employee's manager is to arrange for induction training in accordance with the induction checklist.
2. During the induction any training needs will be identified and logged in Employee module.
3. Once completed the induction checklist must be signed and dated by both the new employee and the employees' manager.
4. A record of the induction is to be maintained in Employee module.

Initial Employee Assessment:

1. The employee's manager assesses the employees' competency against the skill set that has been established within the Skills/Qualifications Module.
2. The employee and the manager agree current competency and future training needs.
3. The Skills/Qualifications Module for that employee is updated by the employees' manager or delegate. Any supporting records are also loaded into Mango at this time.
4. The next review date for any further assessment of the employee's competency and training needs is to be scheduled in the Events Management Module. Mango will automatically generate an email advising the manager and employee of the next review.

5. Scheduled training is also able to be captured within the Events Management Module, if necessary.
6. The employee's manager is to ensure that training identified is undertaken, and whilst under training the employee is appropriately supervised, as may be required.

Further Assessment of Employee Competency and Training Needs

1. The employee's manager is responsible for conducting:
    a. 90-day performance reviews.
    b. Ongoing performance reviews.
    c. Further assessment of employee competency and training needs.
2. The further assessments of employee competency and training needs are conducted using Mango and involves the following steps:
    a. Upon email notification from Mango, the manager will conduct an assessment of the employee.
    b. The employee and manager agree current competency, review training undertaken during the previous year and evaluate the effectiveness of it and decide on future training needs.
    c. The Skills/Qualifications Module for that employee is updated by the manager or delegate. Any supporting records are also loaded into Employee module at this time.
    d. The next review date for assessment of the employee's competency and training needs is to be scheduled in the Mango Events Management Module.
    e. Scheduled training is also able to be captured within the Events Management Module, if necessary.
    f. The manager is to ensure that training identified is undertaken, and whilst under training the employee is appropriately supervised.

Induction of Suppliers

1. Relevant suppliers must be inducted prior to commencement of work in accordance with the applicable induction checklist. Records of the induction are to be retained.
2. During the induction they will be advised of any potential hazards/risks together with information about required control measures and emergency procedures.
3. The induction is to also cover (as applicable):
    a. Quality Policies.
    b. Current QMS objectives, targets and plans.
    c. The importance of compliance with the QMS.
    d. Their contribution to the effectiveness of the QMS, including the benefits of improved performance.
    e. Potential consequences of non-compliance with the QMS requirements.

Training Providers

1. In-house training is to be conducted by appropriately skilled and competent trainers with relevant experience, depending upon the subject matter.
2. Training may be performed by suitably trained, qualified and experienced external service providers.

Knowledge Management

The following items are how we capture knowledge:

- Monthly Company meetings
- Scrum meetings
- Weekly development meetings
- Weekly marketing meetings
- Use of Wiki by the development team
- Use of Mango by all staff and partners
- Use of Hubpot (our CRM and our Marketing platform)
- Use of Mantis (our bug tracking software)
- Use of Xero (our accounting system)
- Use of Lynda.com (online training portal)

We capture this knowledge in each of these tools and share it amongst the company to ensure the knowledge is used in giving the customer value. We review the effectiveness and efficiency of these sources monthly in the company's Management Review.

References:

ISO 9001
7.2

Communication, Consultation and Awareness

Purpose and Scope

This outlines the framework for communication and consultation with employees, contractors and external parties in relation to QMS issues and initiatives.

The main objectives are to ensure personnel at all levels and functions are:

- Are aware of QMS requirements and are effectively involved in the development, implementation and review of policies and procedures.
- Consulted when there are any changes that affect the workplace and or QMS systems.

Associated Documents

Meeting Minutes.

Event Management Module.

Procedure

Communication of QMS Information with the Board:

The QMS and legal requirements are communicated and discussed at the board level. The BOD minutes record what items have been discussed and actions to be done.

Where required actions will be assigned to the Monthly Mango Meeting.

Communication and Awareness of QMS Information with Internal Parties:

1. The QMS communication and consultation processes will occur at the monthly company meeting run by the Director/s and attended by all employees.
2. The meeting will have an agenda that includes, but not limited to:
    a. Quality Policies, Objectives, targets and plans.
    b. Risks and Issues

c. Marketing, Sales, Support and Development improvement and performance.
d. Audits/Process Improvement

3. An email from Mango will notify the owner when meetings are due and will be signed off the event including relevant evidence attached.

The company has ad-hoc meetings support the consultation processes:

Forum	Attended by
Development Meeting	Development Team
Scrum Meeting	Development Team + Management
Marketing Meeting	Marketing Department
Support	Support Team + Management

Communication and Awareness of QMS Information to External Parties:

The company will communicate information externally about its QMS performance based on their enquiry.

References:

ISO 9001
7.2, 7.3, 7.4

Documented Information and Control of Documents

Purpose and Scope

To describe the methods to control and manage documented information critical to the QMS.

Associated Documents

Records.

Documents Module.

Improvement Module.

Records Retention and Disposal Matrix.

Procedure

1. Documented information includes manuals, policies, procedures, work instructions, forms, registers, flow charts, records and other QMS document requirements.
2. The Management Representative is responsible for ensuring that all QMS documented information is effectively controlled.
3. All employees are responsible for ensuring they are always up to date with all QMS documented information available in the Documents module.
4. Copies of procedures, policies and other documented information may be printed from Mango, but these printouts will be deemed "uncontrolled".
5. To prevent the unintended use of obsolete documented information, superseded documents are automatically identified and removed from general view through the workflow. Obsolete documents are only able to be accessed by personnel, with the required access levels, through the "History" button in the Documents Module.

Editing, Approval, Publishing and acknowledge of Documents:

The Documents module workflow manages the following document control activities:

1. Creation and editing
- Approval
- Publishing
- Acknowledged
- Retention of previous version
- Revision numbering
- Control of approvers and publisher.
- Notifications

The FAQs describe the process in more detail.

Requests for changes:

1. All requests must be raised in the Improvement Module.

Advice of Changes:

1. When a change is made or new document added, personnel are able to be notified by email automatically generated through Mango at the time of publication.
2. Changes can also be communicated via monthly meetings as deemed appropriate.
3. Changes to all QMS documents can be tracked through the Document Change History Module.

Maintenance of QMS Documents

1. All QMS documents are to be reviewed at least once every three years, revised as necessary and approved for adequacy.
2. This review is to be coordinated by the Management Representative in conjunction with the relevant competent and responsible personnel as determined by the Management Representative at the time of review.

External Documents

1. It is the responsibility of the Management Representative to review, implement and maintain external documents and verify that they remain current.
2. External documents are kept in the Manage Files Module.
3. All external documents are verified as current and when necessary have their distribution controlled through Mango. Updates to external documents shall be placed in the appropriate file in the Documents Module and approved and published in accordance with this procedure.
4. The Management Representative subscribes to relevant external regulators, agencies and bodies who may provide periodic advice of changes to their specific documents. Upon receiving advice of changes to an external document the Management Representative will action this change in Mango and ensure the change is communicated to relevant parties.

Computer Back-Up

1. The Management Team are responsible for ensuring that appropriate arrangements are in place to ensure that a back-up of data stored on the server is carried out on a daily basis.

2. The QMS as documented in Mango is backed up automatically by the application. Back-ups are captured each hour within the primary data centre with additional back-ups being captured every eight hours at a secondary data centre.

Records Management

1. All QMS records are retained in Mango for as long as the company uses the Mango Software solution.
2. All QMS Procedures and Forms are maintained within the Documents Module.
3. The Management Representative is responsible for the management of records with respect to the QMS.

References:

ISO 9001
7.5

Operations – Marketing

Marketing - How to Publish a Blog

Purpose and Scope

To describe how the company publishes a blog.

Procedure

Step 1 - Create image for blog

Step 2 - Clone previous blog

Step 3 – Create Blog

Step 4 – Edit the Settings section

Step 5 – Publish or Schedule

How to Manage Webinars

Purpose and Scope

To describe how the company manages a webinar. This includes, pre and post webinar steps.

Procedure

Pre-Webinar

Step 1 -Create webinar in Go-to-Webinar

Step 2 - Integrate the webinar into HubSpot

Step 3 - Create Landing Page

Step 4 - Create an Email invitation to attend webinar

Step 5 – Webinar Presenter arranges planning

Post Webinar

Step 1 - Transport Webinar Recoding

Step 2 - Create Lists – attendees and non-attendees

Step 3 - Create a blog with webinar recording

Step 4 - Email a recording of the webinar to each list

How to Publish Release Notes

Purpose and Scope

To describe how the company publishes release notes so customers/evangelists are aware of any new Mango updates. This procedure takes place once Support gives marketing the release notes.

Procedure

Step 1 – Create a new Mango News

Step 2 – Disable previous release notes news

Step 3 – Upload the FAQ into Mango (Support may assist with this)

Step 4 – Send out email to customers/evangelists to inform them of release

Reporting End of Month Marketing Lead Performance

Purpose and Scope

To describe how to report on the marketing leads at the end of each month. Reporting on this allows us to keep track on how marketing is performing.

Procedure

Step 1 – Open up spreadsheet of leads

Step 2 – Get numbers of leads from HubSpot

Step 3 – Record the numbers on spreadsheet

References:

ISO 9001
8.1, 8.2

Operations – Sales and Partnering

Sales

Purpose and Scope

To describe how the company controls and Manages sales enquiries.

Procedure

Step 1 - Receipt of Leads

Step 2 - Verifying of Leads

Step 3 - Demo

Step 4 - Negotiation

Step 5 - Won

Step 6 - Closed/Lost Disengaged

Partner Process

Purpose and Scope

To describe the steps in the partner process.

Procedure

At the end of each step the Lead is notified.

Step 1 - Partner Enquiry

Step 2 - Partner Pack

Step 3 - Demo

Step 4 - Agreement

Step 5 - Sales and Marketing Plans

Step 6 - Training

Step 7 - Support, Monitoring and Communication

References:

ISO 9001
8.1, 8.2

Operations - Development

Developers Documentation

Purpose and Scope

To describe where and how the development team maintain shared technical information.

Associated Documents

Mango Wiki

Procedure

The development team maintain a Wiki.

The CTO determines what information will be maintained in the Wiki to enable the development team to code using standard methods.

Development Requests and Bugs

Purpose and Scope

To describe now development requests and bugs are managed and controlled.

Associated Documents

Dev Request Module.

Support Module.

Mantis

MRS (Mango Requirement Specification)

Procedure

Releases:

A Mantis release is made up of a number individual Mantis's which can be Bugs, Enhancements, Improvements or a complete new or reworked Module.

Sales, Development and Support will determine what makes up a Mantis release. Final decision for a release is approved by Sales.

During a Release cycle, Mantis may be added or removed based on the following:

- Urgency
- Workload and Resources
- System Development requirements
- End User requirements and requests
- Technical updates

Release cycles are 3 weekly; 2 weeks of development and 1 week of testing. Any bugs identified within the testing will be fixed and retested.

If required a Mantis may be re-scheduled to meet a release date or the release date can be moved based.

Each Mantis within a release will show the history, notes and current status as it travels through the development cycle until it is passed.

Bugs:

Bugs can be received via Phone, Support Module, and support@xxxxlive.com or are entered into Mantis and assigned to a development Mantis release.

Patch:

If a bug is determined to be a major bug (i.e. stops Mango from performing a function that will affect data) and the release has been finalised. Management can request a patch to be applied to address the bug.

Enhancements:

Enhancements must be entered via the Dev Request module. If the request has merit it will be entered into Mantis release. Dev request status is viewed via My Dev Request.

Major Enhancements:

A major enhancement can be a full rewrite of an existing module or a new module, this work will be documented on a MRS.

MRS will be discussed with the Development Team and updated until development understand the requirements.

A Mantis will be raised to cover the body of work to be done, Development may break the requirements down to individual Mantis's so development can be split across the development team and to enable support to test individual Mantis as work is completed.

Testing:

All development will be tested before release to production, refer to the Testing procedure.

Mango Application

Purpose and Scope

To describe the preservation of the Mango Application and customer data on the servers.

Associated Documents

Release Notes

Procedure

Production Server:

This is the live server that holds the Mango Application and the Mango Database that our customers access.

Datacentre NAS:

This is a drive that holds data that is backup from the Production Server.

Test Server:

This is the server that holds the code that will be next released. It is used for internal testing purpose only and the Source Control. Customers can't access this.

Backup Server

This is a secondary server that holds data that has been backed up from the Production Server.

NAS Drive:

This is a drive that holds data that is backup from the Backup Server.

Sandpit Server:

This server holds an old version of the Mango Application and the Mango Database. This server can be refreshed from the NAS Drive. Customers only access this to review and approve custom workflows prior to release to the live server.

Backups

Backups are performed automatically on a defined backup schedule.

References:

ISO 9001
8.3, 8.4, 8.5, 8.6

Operations – Support and Testing

Mango Testing

Purpose and Scope

To describe the testing procedures/processes for testing updates prior to release.

Procedure

1. Mantis is raised for development or bug fix
2. Mantis is scheduled
3. Mantis is coded and committed to test environment
4. Create Test plan
    a. Where the development dictates, a comprehensive test plan will be created
    b. Where the mantis is for minor work, no test plan is required
5. Test development against the Mantis
    a. Where the testing fails, document the issues in Mantis and change status to 'Failed Test'
    b. Where testing has been successful, document testing completed in the Mantis
6. Release notes written
7. Code committed to live environment
8. Testing completed again in live environment
    a. If the testing fails, raise a new Mantis
9. When the testing is successful, close the Mantis

Communication of Releases

Purpose and Scope

To describe the communication of Mango releases and updates.

Procedure

1. Mantis testing has been completed and passed
2. Download list of items for release from Mantis to excel.
3. Insert additional information as required to clarify
4. RSS Created and Updates communicated to Partners
5. FAQs updated and FAQ Release notes written
6. List of items relevant for client communication sent to Marketing.
7. Marketing Releases Mango News and sends out email with notes written
8. FAQ and Release notes published

Support

Purpose and Scope

To describe the procedures/processes for responding to support queries.

Procedure

1. Query received from Client
2. Make contact with client and supply information as required
3. Update support query in Mango with Module details, owner and a summary of the communication - such that it may be a useful resource for the client if they refer back to it at a later stage.

4. If the support query requires further development, convert Support request to a Dev Request
5. Close support query and archive If support query has been addressed
6. Report produced monthly on support queries received

Implementation

Purpose and Scope

To describe the Implementation processes.

Procedure

1. Client signs up to Mango
2. Make contact with client to welcome them to Mango and supply upload spreadsheets
3. Create Implementation kit
4. Upload information to client account as information sheets are returned
5. Arrange implementation date(s)
6. Complete implementation following the Client Implementation Guide
7. Create Action list of items to be addressed by client and/or Mango and document on Post Implementation Action List
8. Create monthly event to follow up with client until implementation is secure or the client no longer requires regular contact
9. Archive Event and file client details
10. Transfer client information to NAS Drive

References:

ISO 9001
8.4, 8.5, 8.6

Operations - Supplier Evaluation and Control

Purpose and Scope

To describe the process and method by which the company's suppliers (the term also includes contractors and subcontractors) are evaluated, selected and controlled.

Associated Documents

Suppliers Module.

Supplier Evaluation Form

Procedure

1. The selection criteria for suppliers is as follows:
    a. Ability and preparedness to meet QMS requirements.
    b. Ability and capability to meet legislative obligations and relevant industry and government standards and codes.
    c. Qualifications, experience and capability within the scope they are contracted for.
    d. Quality, consistency and reliability of product or service provided.
    e. Delivery performance.
    f. Price of product or service including commercial arrangements.
    g. Quality, environmental, health and safety management systems.

h. Past performance including health, safety and environmental record.

2. Suppliers are classified on the basis of the potential risk their products or services may pose to:
    a. Products or services.
    b. Workplace health and safety.
    c. The environment.
3. Consideration needs to be given to whether:
    a. Failure of the supplier to deliver agreed products or services will impact upon profitability?
    b. Failure of the supplier to deliver agreed products or services will result in failure to meet any contractual, legislative and statutory obligations for delivery of products and services?
    c. Supplier will introduce or potentially introduce any high-risk hazards or significant environmental impacts to the workplace?
4. Suppliers that are identified as having the potential to significantly affect activities, products or services are deemed "critical" and must undergo a thorough documented evaluation and re-evaluation process. Non-critical suppliers are required to be evaluated but not necessarily to the same extent as those deemed to be critical. Examples of critical suppliers would include:
    a. Suppliers of Hosting Services.
    b. Suppliers of IT services.
5. The following rating system will be used for suppliers:
    a. Critical
    b. Approved
    c. Approved and inducted
    d. Back-up
6. Where applicable, Suppliers must have current and appropriate insurance arrangements in place. Certificates of currency for required insurances are to be provided as part of the formal evaluation process.
7. Products and services essential to meet contract requirements shall only be purchased from qualified and approved suppliers.
8. The details of suppliers are specified in the Suppliers Module, inclusive of their rating.

Supplier Induction

1. All Suppliers and their staff are to be effectively inducted, including training with respect to specific site procedure requirements. Refer to the Training, Competence and Awareness procedure for further details.
2. A record of the induction training conducted in to be retained in Supplier Employee Module.

Re-Evaluation

1. Once evaluated and approved, suppliers are to be subjected to formal periodic re-evaluation. Re-evaluations are scheduled within the Supplier Module.
2. Re-evaluation is to take place at least once every two years or sooner if reasons apply. Some reasons for early re-evaluation are:
    a. Incidents and/or poor performance involving the supplier or contractor.
    b. Change in circumstances or structure such as new ownership or change of location or key personnel.
    c. Change in scope of services.
3. Re-evaluation is to follow the same process as for the initial evaluation.

References:

ISO 9001
8.4, 8.5, 8.6

Performance Evaluation

Monitoring, Measurement and Evaluation

Purpose and Scope

To describe how we will monitor, measure, analyse and evaluate the QMS in order to identify and take suitable action to ensure the continual improvement of the management system.

Associated Documents

Events Management Module.

Mango Reports.

Procedure

1. The company will determine:
    a. The aspects of the QMS that will be monitored and measured.
    b. The responsibilities, frequency and methods for monitoring, measurement, analysis and evaluation needed.
    c. The criteria against which we will evaluate its QMS performance.
    d. When the monitoring and measuring:
        i. Will be performed.
        ii. Results will be analysed and evaluated.
2. The results of the analysis and evaluation conducted is to evaluate the:
    a. Degree of customer satisfaction.
    b. Conformity of products and services.
    c. Performance and effectiveness of the QMS including the environment, health and safety and quality.
    d. If planning has been effectively implemented.
    e. Effectiveness of actions taken to address risks and opportunities.
    f. Performance of external providers.
    g. Need for improvements to the QMS.
3. Appropriate documented information must be retained as evidence of the monitoring, measurement, analysis and evaluation that is conducted.

Monitoring Arrangements

1. Generally, individual procedures within the QMS describe the specific monitoring, measurement, analysis and evaluation requirements to be met.
2. Whenever required, an event will manage the process.

References:

ISO 9001
9.1

Internal Audit

Purpose and Scope

To describe the responsibilities and methods used to evaluate the effectiveness of the implementation and maintenance of the QMS.

Audits and inspections are completed for the following purposes:

- To identify the compliance status against the company policies, procedures, legal requirements and other obligations including the ISO 9001
- To identify areas where QMS performance needs to be improved or changed.
- To identify leading practice, so as such practices can be communicated and implemented in other the company activities.

Associated Documents

Internal and External Audit Reports.

Event Management Module.

Improvement Module.

Audit / Inspection Module.

Compliance module.

Procedure

The company will use the DIME matrix methodology for internal audits. This will be an audit of the system based on the ISO clauses.

The company will audit using the Compliance Module to capture the records of DIME (documented, implemented. monitored, evidence/effective).

1. An audit of the QMS will be conducted as per the schedule in Event Management Module.
2. An event will remind Management when the audit is due.
3. The Audit team will audit the assigned section of the QMS.
4. An auditor can't audit a core function they are responsible for.
5. Once complete, the event will be signed off and a copy of the report uploaded.
6. An improvement will be raised for each non-conformance identified.

References:

ISO 9001
9.2

Management Review

Purpose and Scope

To ensure that the QMS is effectively reviewed on a regular basis with the purpose to:

- Ensure its continuing suitability, adequacy, effectiveness and alignment with the strategic direction.
- Consider relevant changes in external and internal issues, including changes to legislative and other requirements.

- Ensure all employees are aware of the current status of QMS performance and changes to the QMS system and procedures.
- Allow for all employees to provide suggestions, direction and resources for the continual improvement of QMS performance.

Associated Documents

Management Review Meeting Minutes.

Event Management Module

Data in Mango.

Procedure

1. A formal review of the QMS is to be conducted every six weeks, all staff are invited and expected to attend in person or via appropriate communication.
2. The agenda will be:
    a. the status of actions from previous management reviews;
    b. changes in external and internal issues that are relevant to the quality management system;
    c. information on the performance and effectiveness of the quality management system, including trends in:
        i. customer satisfaction and feedback from relevant interested parties;
        ii. the extent to which quality objectives have been met;
        iii. process performance and conformity of products and services;
        iv. nonconformities and corrective actions;
        v. monitoring and measurement results;
        vi. audit results;
        vii. the performance of external providers;
    d. the adequacy of resources;
    e. the effectiveness of actions taken to address risks and opportunities (see 6.1);
    f. opportunities for improvement.
3. An event has been setup to ensure the Management Review happens.
4. The Management Representative will run, keep minutes and publish records in Event Management module.
5. The Management review will follow the standard agenda format in the minutes.
6. Actions are assigned and recorded on the Management Minutes with agreed timeframes.

References:

ISO 9001
9.3

Improvement

Improvement and Corrective Actions

Purpose and Scope

To ensure that improvements, non-conformities and corrective actions are reported, recorded, investigated and followed-up.

The procedure also ensures that non-conforming products or services are identified, reported, recorded, investigated and controlled.

Associated Documents

Improvement Module.

Procedure

1. Employees must report improvement opportunities, non-conformances, failures and any other QMS issues.
2. Improvements can be initiated by any employee when any of the following issues are identified:
    a. To initiate a change to the QMS.
    b. To initiate an improvement to the performance and effectiveness of the QMS.
    c. When an innovation or improvement opportunity is identified.
    d. When a non-conformance is identified at any time, (Software Bugs - non-conformances are handled via Mantis software).
    e. When a discrepancy, non-conformance or improvement is identified during auditing.
    f. When a customer complaint or any significant customer feedback is received (including compliments).
3. Improvements are to be retained in Mango including associated documents and records with respect to the improvement
4. The improvement workflow will manage the improvement process
5. Findings will be reported to the Management Review meeting including their status.

References:

ISO 9001
10.1, 10.2, 10.3