



WAYTEK



qms

MANUAL



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Introduction

This QMS manual describes the policies and company-wide control system of Waytek, Inc.'s quality management system.

Supporting documentation such as procedures, work instructions, charts, and forms are found in the Waytek, Inc. Quality Manual. The Quality Manual is not available for electronic distribution, but the hard copy is available for review onsite only.

Company Overview

- ❖ The name of this organization is Waytek, Inc.
- ❖ Waytek, Inc. is located at:
 - 2440 Galpin Court
 - PO Box 690
 - Chanhassen, MN 55317
- ❖ Waytek, Inc. distributes electrical wiring supplies. The company was founded in 1970, and incorporated in 1972.
- ❖ Classifications:
 - SIC Code 5063
 - NAICS Code 423610
 - Cage Code 58961

Company Structure

- ❖ Waytek, Inc. operates its distribution processes at one location in Chanhassen, Minnesota.
- ❖ The senior executive responsible for operation is the Chief Operating Officer (COO).
- ❖ Waytek, Inc. maintains a quality organization chart designating positions and reporting hierarchy of company officers, managers and staff.

Company Context

Since 1970, Waytek, Inc. has been a provider of quality electrical wiring components with an unwavering commitment to service. To us, being a distributor means more than just having product on the shelf; it also means ensuring our Customers get their orders fast, on time, accurately, priced right and exactly the way they asked. We listen to our Customers because their voices drive us toward excellence, innovation and continual improvement in everything we do.

Waytek's business culture and the way we conduct business is supported by our Mission, Core Values, Corporate Social Responsibility, Quality Policy and Quality Objectives.

Mission

We provide an exceptional customer experience.

Core Values

CUSTOMER | We respect our customers above all else and never forget they come to us by choice.

TEAMWORK | We communicate openly and treat each other with respect. We encourage collaboration while maintaining individual accountability.

EMPOWERMENT | We are empowered to make decisions that benefit the customer and our company within the purpose of each department and job function.

EXECUTION | We meet our commitments to our customers, suppliers and each other.

INNOVATION | We seek continuous growth by developing our team and improving systems, processes and products.

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Corporate Social Responsibility

Waytek, Inc. recognizes that as a business we have a responsibility to adhere to an ethical code of conduct and to align our business strategies with respect for the fundamental principles of human rights, labor standards, anti-corruption and the protection and sustainability of the environment.

We commit to sourcing products that are conflict-free, non-counterfeit, industry regulated and tested; and as much as possible, made in the U.S.A.

We commit to fair hiring practices in accordance with international human rights laws, the U.S. Department of Labor and the Minnesota Department of Labor and Industry. We reject illegal, forced or child labor and provide the necessary resources to ensure the health and safety of all employees.

Quality Policy

Waytek, Inc. is committed to quality by complying with customer and regulatory requirements. Each Waytek employee is personally responsible for the quality of his or her work and is empowered to initiate action to ensure both quality and continuous improvement within the organization.

Quality Objectives

Waytek, Inc.'s commitment to quality includes measuring and monitoring the following areas for the continued suitability and effectiveness of the quality management system, and as a basis for continual improvement:

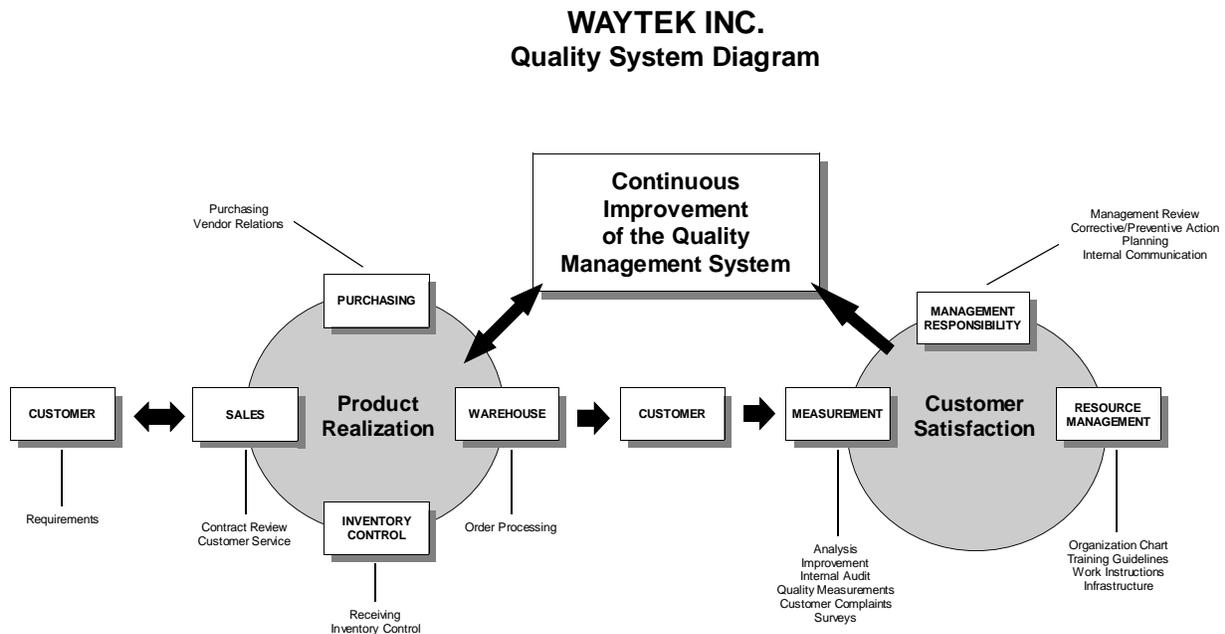
1. Customer Satisfaction and Feedback
2. Order Accuracy
3. Delivery Timeliness
4. Calls Answered Timeliness
5. Media Processed Timeliness
6. Order Fill Rates
7. Backorder Rates
8. Vendor Performance
9. Internal Audit Activity
10. Corrective Action Activity

Scope

This QMS Manual documents the policies of Waytek, Inc.'s quality management system as established by the organization's Executive Management.

Interaction of Processes

The interaction of processes to promote continuous improvement is illustrated below in the *Waytek Inc. Quality System Diagram*.



Leadership

5.1.1 Leadership and commitment

- ❖ Top management of Waytek, Inc. shall demonstrate leadership and commitment with respect to the quality management system (QMS) by:
 - taking accountability for the effectiveness of the QMS;
 - ensuring that the quality policy and quality objectives are established and are compatible with the context and strategic direction of Waytek;
 - ensuring the integration of the QMS requirements into Waytek's business processes;
 - promoting the use of the process approach and risk-based thinking;
 - ensuring that the resources needed for the QMS are available;
 - communicating the importance of quality management and of conforming to the QMS requirements;
 - ensuring that the QMS achieves its intended results;
 - engaging, directing and supporting employees to contribute to the effectiveness of the QMS;
 - promoting improvement; and
 - supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility.

5.1.2 Customer Focus

- ❖ Top management of Waytek, Inc. shall demonstrate leadership and commitment with respect to customer focus by ensuring that:
 - customer and applicable and statutory and regulatory requirements are determined, understood and consistently met;
 - risks and opportunities that can affect conformity of products and services and the ability to enhance customer satisfaction are determined and addressed; and
 - the focus on enhancing customer satisfaction is maintained.

5.2 Policy

- ❖ Top management of Waytek, Inc. shall ensure that the Quality Policy:
 - is appropriate to the purpose and context of Waytek and supports our strategic direction;
 - provides a framework for setting quality objectives;
 - includes commitment to satisfy applicable requirements; and
 - includes a commitment to continual improvement of the QMS.
- ❖ The quality policy shall:
 - be available and maintained as documented information;
 - be communicated, understood and applied within Waytek; and
 - be available to interested parties, as appropriate.

5.3 Organizational roles, responsibilities and authorities

- ❖ Top management of Waytek, Inc. shall ensure that the responsibilities and authorities for relevant roles are assigned, communicated and understood within Waytek.
- ❖ Top management of Waytek, Inc. shall assign the responsibility and authority for:
 - ensuring that the QMS conforms to the requirements of ISO 9001;
 - ensuring that the processes are delivering their intended outputs;
 - reporting on the performance of the QMS and on opportunities for improvement, in particular to top management;
 - ensuring the promotion of customer focus throughout Waytek; and
 - ensuring that the integrity of the QMS is maintained when changes to the QMS are planned and implemented.

Planning

6.1 Actions to address risks and opportunities

- ❖ When planning for the QMS, Waytek, Inc. shall consider its company context and the needs and expectations of its interested parties, and determine the risks and opportunities that need to be addressed to:
 - give assurance that the QMS can achieve its intended results;
 - enhance desirable effects;
 - prevent, or reduce, undesired effects; and
 - achieve improvement.
- ❖ Waytek, Inc. shall plan actions to address these risks and opportunities and how to:
 - integrate and implement the actions into QMS processes; and
 - evaluate the effectiveness of these actions.

6.2 Quality objectives and planning to achieve them

- ❖ Waytek, Inc. shall establish quality objectives at relevant functions, levels and processes needed for the QMS.
- ❖ Quality objectives shall:
 - be consistent with the quality policy;
 - be measurable;
 - take into account applicable requirements;
 - be relevant to conformity of products and services to enhancement of customer satisfaction;
 - be monitored;
 - be communicated; and
 - be updated as appropriate.

- ❖ Waytek, Inc. shall maintain documented information on the quality objectives.
- ❖ When planning to achieve its quality objectives, Waytek, Inc. shall determine:
 - what will be done;
 - what resources will be required;
 - who will be responsible;
 - when it will be completed; and
 - how the results will be evaluated.

Quality Measurements (*Reference: Document No. 3102QA*)

- ◆ Waytek, Inc. identifies and uses statistical measurements to monitor, control and improve the effectiveness of the quality system.
- ◆ Management shall monitor information relevant to customer satisfaction and customer perception as to whether their requirements have been met.
- ◆ Quality measurements shall demonstrate the ability of processes to achieve desired goals or acceptable ranges.
- ◆ Appropriate corrective and/or preventive action shall be taken when planned results are not achieved.
- ◆ Quality records shall be maintained.

6.3 Planning of changes

- ❖ When Waytek, Inc. determines the need for changes to the QMS, the changes shall be carried out in a planned manner, with consideration to:
 - the purpose of the changes and their potential consequences;
 - the integrity of the QMS;
 - the availability of resources; and
 - the allocation or reallocation of responsibilities and authorities.

Support

7.1 Resources

- ❖ Waytek, Inc. shall determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the QMS, with consideration to:
 - the capabilities of, and constraints on, existing internal resources; and
 - what needs to be obtained from external providers.
- ❖ **7.1.2 People.** Waytek, Inc. shall determine and provide the persons necessary for the effective implementation of its QMS and for the operation and control of its processes.

- ❖ **7.1.3 Infrastructure.** Waytek, Inc. shall determine, provide and maintain the infrastructure necessary for the operation of its processes to achieve conformity of products and services. Infrastructure can include, but is not limited to:
 - buildings and associated utilities;
 - equipment, including hardware and software;
 - transportation resources; and
 - information and communication technology.
- ❖ **7.1.4 Environment for the operation of processes.** Waytek, Inc. shall determine, provide and maintain the environment necessary for the operation of its processes and to achieve conformity of products and services. A suitable environment can be a combination of human and physical factors, such as:
 - social (non-discriminatory, calm, non-confrontational)
 - psychological (stress-reducing, burnout prevention, emotionally protective)
 - physical (temperature, heat, humidity, light, airflow, hygiene, noise)
 - culture (motivation, involvement, engagement)
- ❖ **7.1.5 Monitoring and measuring resources.** Waytek, Inc. shall determine and provide the resources needed to ensure valid and reliable results when monitoring or measuring is used to verify the conformity of products and services to requirements.
- ❖ Waytek, Inc. shall ensure that the resources provided are:
 - suitable for the specific type of monitoring and measurement activities being undertaken; and
 - maintained to ensure their continuing fitness for their purpose.
- ❖ Waytek, Inc. shall retain appropriate records as evidence of fitness for purpose of the monitoring and measurement resources.
- ❖ **7.1.5.2 Measurement traceability.** When measurement traceability is a requirement, or is considered by Waytek, Inc. to be an essential part of providing confidence in the validity of measurement results, measuring equipment shall be:
 - calibrated or verified, or both, at specified intervals, or prior to use, against measurement standards traceable to international or national standards; when no such standards exist, the basis used for calibration or verification shall be retained as documented information;
 - identified in order to determine their status; and
 - safeguarded from adjustments, damage or deterioration that would invalidate the calibration status and subsequent measurement results.
- ❖ Waytek, Inc. shall determine if the validity of previous measurement results has been adversely affected when measuring equipment is found to be unfit for its intended purpose, and shall take appropriate action as necessary.

Calibration (Reference: Document No. 3101QA)

- ◆ Waytek, Inc. ensures that monitoring and measuring devices are controlled, calibrated and maintained in a manner consistent with determined requirements.
 - ◆ Measuring equipment is identified, calibrated and adjusted at prescribed intervals against certified equipment traceable to nationally recognized standards.
 - New measuring equipment will be calibrated prior to use if not pre-calibrated by the manufacturer or vendor.
 - Where no nationally recognized measurement standards exist, the basis for calibration will be documented.
 - ◆ In-house calibration is performed by trained maintenance personnel only.
 - ◆ All other equipment calibration is performed by a qualified calibration service.
 - ◆ All tape measures used for the purpose of measuring product are calibrated using a certified tape measure.
 - ◆ Equipment will be adjusted or re-adjusted as necessary, and will be protected from adjustments that would invalidate measurements.
 - ◆ Equipment is identified with suitable indicators or records to show calibration status.
 - ◆ If equipment is found to be out of calibration, the validity of prior inspections will be assessed.
 - ◆ Handling, preservation and storage practices ensure that accuracy is maintained.
 - ◆ Records of calibration are maintained.
- ❖ **7.1.6 Organizational knowledge.** Waytek, Inc. shall determine the knowledge necessary for the operation of its processes and to achieve conformity of products and services.
- (Organizational knowledge is knowledge specific to Waytek, Inc.; it is generally gained by experience; it is information that is used and shared to achieve the objectives of Waytek, Inc. This knowledge may be based on: a) **internal sources** such as intellectual property, knowledge gained from experience, lessons learned from failures and successful projects, results of improvements in processes, products or services, etc.; or b) **external sources** such as standards, academia, conferences, gathering knowledge from customers or external providers.)*
- ❖ When addressing changing needs and trends, Waytek, Inc. shall consider its current knowledge and determine how to acquire or access any necessary additional knowledge and required updates.

7.2 Competence

- ❖ Waytek, Inc. shall:
 - determine the necessary competence of persons doing work under its control that affects the performance and effectiveness of the QMS;
 - ensure that persons doing work are competent on the basis of appropriate education, training or experience;
 - where applicable, take actions to acquire the necessary competence, and evaluate the effectiveness of the actions taken; and
 - retain appropriate records as evidence of competence.

Training (Reference: Document No. 0101OP)

- ◆ Waytek, Inc. identifies training needs for all employees performing work that affect quality.
 - Qualifications and training requirements for managerial positions and subsequent performance assessments are determined by Executive Management and will not be documented due to the size of the organization.
- ◆ Personnel are qualified based on appropriate education, training, skills and education.
- ◆ Records of training shall be maintained.
 - While employed, evidence of employee training will be kept on file.
 - Training records may be discarded after the last day of employment.
- ◆ Waytek shall ensure personnel are aware of the significance of their jobs and how they contribute to the overall effectiveness of the quality system.
- ◆ Employees are trained on the job by qualified personnel.
- ◆ All procedures, work instructions, and forms used in the area are reviewed with the trainee.
 - Training guidelines are used to introduce the employee to key aspects of the work performed in the specified work area.
 - Training guidelines are periodically evaluated for completeness and accuracy.
- ◆ Annual reviews of employee performance are conducted and assessments made of training needs and effectiveness. Additional training and education may be recommended based on these evaluations to achieve desired levels of performance.

7.3 Awareness

- ❖ Waytek, Inc. shall ensure that persons doing work under its control are aware of:
 - the quality policy;
 - relevant quality objectives;
 - their contribution to the effectiveness of the QMS, including the benefits of improved performance; and
 - the implications of not conforming with the QMS requirements.

7.4 Communication

- ❖ Waytek, Inc. shall determine the internal and external communications relevant to the QMS, including:
 - on what it will communicate;
 - when to communicate;
 - with whom to communicate;
 - how to communicate; and
 - who communicates.

7.5 Documentation information

- ❖ Waytek, Inc.'s QMS shall include:
 - documented information required by ISO 9001; and
 - documented information determined by Waytek, Inc. as being necessary for the effectiveness of the QMS.
- ❖ **7.5.2 Creating and updating.** When creating and updating documented information, Waytek, Inc. shall ensure appropriate:
 - identification and description (title, date, author, or reference number);
 - format (language, software version, graphics) and media (paper, electronic); and
 - review and approval for suitability and adequacy.
- ❖ **7.5.3 Control of documented information.** Documented information required by the QMS and by ISO 9001 shall be controlled to ensure:
 - it is available and suitable for use, where and when it is needed; and
 - it is adequately protected (from loss of confidentiality, improper use, or loss of integrity).
- ❖ For the control of documented information, Waytek, Inc. shall address the following activities, as applicable:
 - distribution, access, retrieval and use;
 - storage and preservation, including preservation of legibility;
 - control of changes; and
 - retention and disposition.

- ❖ Documented information of external origin determined by Waytek, Inc. to be necessary for the planning and operation of the QMS shall be identified as appropriate, and be controlled.
- ❖ Documented information (records) retained as evidence of conformity shall be protected from unintended alterations.

Document and Data Control (Reference: Document No. 0107OP)

- ◆ All quality related documents and data are controlled. Control extends from the initial concept through review, approval, issuance and obsolescence.
- ◆ Documents and data required for the effective functioning of the quality system are available at appropriate locations.
 - Documents will be distributed to all areas by the Quality Manager upon request.
 - The type of copy (controlled or uncontrolled) provided will be determined at the time of the request.
- ◆ Documents and data are reviewed and approved by authorized personnel prior to issue.
- ◆ Changes to documents are carried out by the original approval authority, unless otherwise designated.
 - Pertinent background information is available as a basis for review and approval.
 - The nature of the change is identified when practical.
- ◆ A master list of documents is maintained to identify current revisions of all controlled and approved documents.
- ◆ Invalid and/or obsolete documents are removed from all points of issuance and use, except as required for record retention.
- ◆ Records of document and data control are maintained.

Quality Records (Reference: Document No. 0108OP)

- ◆ Waytek, Inc. maintains quality records to provide evidence of the effective implementation and operation of the quality management system.
- ◆ Quality records shall be identified, collected and filed.
- ◆ Quality records shall remain legible, readily identifiable and retrievable.
- ◆ Quality records shall be maintained in a suitable environment to prevent damage or deterioration and prevent loss.
- ◆ Customer personal information (i.e. social security, credit card numbers, etc.) is restricted to authorized personnel, and shall be shredded when disposed.
- ◆ Records are available for evaluation by Waytek customers or regulatory agencies when required.

Operation

8.1 Operational planning and control

- ❖ Waytek, Inc. shall plan, implement and control the processes needed to meet the requirements for the provision of products and services, and to implement planned actions by:
 - determining the requirements for the products and services;
 - establishing criteria for:
 - the processes;
 - the acceptance of products and services;
 - determining the resources needed to achieve conformity to the product and service requirements;
 - implementing control of the processes in accordance with the criteria; and
 - determining, maintaining and retaining documented information to the extent necessary:
 - to have confidence that the processes have been carried out as planned; and
 - to demonstrate the conformity of products and services to their requirements.
- ❖ The output of this planning shall be suitable for Waytek, Inc.'s operations.
- ❖ Waytek, Inc. shall control planned changes and review the consequences of unintended changes, taking action to mitigate any adverse effects, as necessary.
- ❖ Waytek, Inc. shall ensure that outsourced processes are controlled.

8.2 Requirements for products and services

- ❖ **8.2.1 Customer communication.** Communication with customers shall include:
 - providing information relating to products and services;
 - handling enquiries, contracts or orders, including changes;
 - obtaining customer feedback relating to products and services, including customer complaints;
 - handling or controlling customer property; and
 - establishing specific requirements for contingency actions, when relevant.
- ❖ **8.2.2 Determining the requirements for products and services.** When determining the requirements for the products and services to be offered to customers, the organization shall ensure that:
 - the requirements for the products and services are defined, including:
 - any applicable statutory and regulatory requirements;
 - those considered necessary by Waytek, Inc.; and
 - Waytek, Inc. can meet the claims for the product and services it offers.

- ❖ **8.2.3 Review of the requirements for products and services.** Waytek, Inc. shall ensure that it has the ability to meet the requirements for products and services to be offered to customers. Waytek, Inc. shall conduct a review before committing to supply products and services to a customer, to include:
 - requirements specified by the customer, including the requirements for delivery and post-delivery activities;
 - requirements not stated by the customer, but necessary for the specified or intended use, when known;
 - requirements specified by Waytek, Inc.;
 - statutory and regulatory requirements applicable to the products and services; and
 - contract or order requirements differing from those previously expressed.
- ❖ Waytek, Inc. shall ensure that contract or order requirements differing from those previously defined are resolved.
- ❖ The customer's requirements shall be confirmed by Waytek, Inc. before acceptance, when the customer does not provide a documented statement of their requirements.
- ❖ Waytek, Inc. shall retain documented information, as applicable:
 - on the results of the review; and
 - on any new requirements for the products and services.
- ❖ **8.2.4 Changes to requirements for products and services.** Waytek, Inc. shall ensure that relevant documented information is amended, and that relevant persons are made aware of the changed requirements, when the requirements for products and services are changed.

Contract Review (*Reference: Document No. 910ISA*)

- ◆ No order, contract, or contract amendment shall be accepted prior to verification that customer requirements are adequately defined and documented, and/or agreed upon if no written statement is supplied (verbal orders).
- ◆ No order, contract, or contract amendment shall be accepted if Waytek does not have the capability to meet customer requirements.
- ◆ Internet orders shall be reviewed to the extent necessary to maintain process control.
 - Web users are responsible for the accuracy of orders they place on the website.
 - Waytek will ensure that the information published on the website is accurate to the best of the organization's ability.
- ◆ Order acceptance will be the result of the compliance capability to customer, organizational, statutory and regulatory requirements.

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- ◆ All differences and/or discrepancies detected after an order has been accepted shall be resolved prior to release if possible.
- ◆ Upon acceptance of contract amendments, all affected functions shall be advised of the impact.

8.3 Design and development of products and services

- ❖ Waytek, Inc. shall establish, implement and maintain a design and development process that is appropriate to ensure the subsequent provision of products and services.
- ❖ **8.3.2 Design and development planning.** In determining the stages and controls for design and development, Waytek, Inc. shall consider:
 - the nature, duration and complexity of the design and development activities;
 - the required process stages, including applicable design and development reviews;
 - the required design and development verification and validation activities;
 - the responsibilities and authorities involved in the design and development process;
 - the internal and external resource needs for the design and development of products and services;
 - the need to control interfaces between persons involved in the design and development process;
 - the requirements for subsequent provision of products and services;
 - the level of control expected for the design and development process by customers and other relevant interested parties; and
 - the documented information needed to demonstrate that design and development requirements have been met.
- ❖ **8.3.3 Design and development inputs.** Waytek, Inc. shall determine the requirements essential for the specific types of products and services to be designed and developed. Waytek, Inc. shall consider:
 - functional and performance requirements;
 - information derived from previous similar design and development activities;
 - statutory and regulatory requirements;
 - standards or codes of practice that Waytek, Inc. has committed to implement; and
 - potential consequences of failure due to the nature of products and services.
- ❖ Inputs shall be adequate for design and development purposes, complete and unambiguous.
- ❖ Conflicting design and development inputs shall be resolved;
- ❖ Waytek, Inc. shall retain documented information on design and development inputs.

- ❖ **8.3.4 Design and development controls.** Waytek, Inc. shall apply controls to the design and development process to ensure that:
 - the results to be achieved are defined;
 - reviews are conducted to evaluate the ability of the results of design and development to meet requirements;
 - verification activities are conducted to ensure that the design and development outputs meet the input requirements;
 - validation activities are conducted to ensure that the resulting products and services meet the requirements for the specified application or intended use;
 - any necessary actions are taken on problems determined during the reviews, or verification and validation activities; and
 - documented information of these activities is retained.
- ❖ **8.3.5 Design and development outputs.** Waytek, Inc. shall ensure that design and development outputs:
 - meet the input requirements;
 - are adequate for the subsequent processes for the provision of products and services;
 - include the reference monitoring and measuring requirements, as appropriate, and acceptance criteria; and
 - specify the characteristics of the products and services that are essential for their intended purpose and their safe and proper provision.
- ❖ Waytek, Inc. shall retain documented information on design and development outputs.
- ❖ **8.3.6 Design and development changes.** Waytek, Inc. shall identify, review and control changes made during, or subsequent to, the design and development of products and services, to the extent necessary to ensure that there is no adverse impact on conformity to requirements.
- ❖ Waytek, Inc. shall retain documented information on:
 - design and development changes;
 - the results of reviews;
 - the authorization of the changes; and
 - the actions taken to prevent adverse impacts.

8.4 Control of externally provided processes, products and services

- ❖ Waytek, Inc. shall ensure that externally provided processes, products and services conform to requirements.
- ❖ Waytek shall determine the controls to be applied to externally provided processes, products and services when:

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- products and services from external providers are intended for incorporation into Waytek, Inc.'s own products and services;
 - products and services are provided directly to the customer by external providers on behalf of Waytek, Inc.;
 - a process, or part of a process, is provided by an external provider as a result of a decision by Waytek, Inc.
- ❖ Waytek, Inc. shall determine and apply criteria for the evaluation, selection, monitoring of performance, and re-evaluation of external providers, based on their ability to provide processes or products and services in accordance with requirements. Waytek, Inc. shall retain documented information of these activities and any necessary action arising from the evaluation.
- ❖ **8.4.2 Type and extent of control.** Waytek, Inc. shall ensure that externally provided processes, products and services do not adversely affect Waytek, Inc.'s ability to consistently deliver conforming products and services to its customers. Waytek, Inc. shall:
- ensure that externally provided processes remain within the control of its QMS;
 - define both the controls that it intends to apply to an external provider and those it intends to apply to the resulting output;
 - take into consideration:
 - the potential impact of the externally provided processes, products and services on Waytek, Inc.'s ability to consistently meet customer and applicable statutory and regulatory requirements;
 - the effectiveness of the controls applied by the external provider;
 - determine the verification, or other activities, necessary to ensure that the externally provided processes, products and services meet requirements.
- ❖ **8.4.3 Information for external providers.** Waytek, Inc. shall ensure the adequacy of requirements prior to their communication to the external provider.
- ❖ Waytek, Inc. shall communicate to external providers its requirements for:
- the processes, products and services to be provided;
 - the approval of:
 - products and services;
 - methods, processes and equipment;
 - the release of products and services;

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- competence, including any required qualification of persons’
- the external providers’ interactions with Waytek, Inc.;
- control and monitoring of the external providers’ performance to be applied by Waytek, Inc.; and
- verification or validation activities that Waytek, Inc., or its customer, intends to perform at the external providers’ premises.

Purchasing (Reference: Document No. 5100PD)

- ◆ Waytek, Inc. ensures that products and services obtained from vendors conform to specified requirements.
- ◆ The Purchasing Manager has the authority to approve purchases from vendors not listed as an approved vendor when required.
- ◆ Waytek, Inc. reserves the right to on-site inspection at the vendor’s facility. However, primary verification of purchased product is receiving and in-process inspection. Waytek reserves the right to return to the vendor all nonconforming product.
- ◆ Where contractually required by the customer, Waytek, Inc. will arrange for on-site inspection at the vendor’s facility or at Waytek’s facility. Verification and method of product release will be specified in purchasing documents when inspection at the vendor’s facility is required.
- ◆ Purchasing personnel will establish and maintain a formal vendor evaluation procedure to monitor and ensure vendors are meeting the requirements of Waytek’s quality system.

Receiving (Reference: Document No. 4100IC)

- ◆ Waytek, Inc. shall ensure that incoming product conforms to requirements specified per Waytek purchase orders, by customer requirement or by any other contract.
 - No product shall be released from Receiving without being received and inspected according to documented receiving procedures.
 - Authority to release product following final inspection is assigned to all personnel trained for performing final inspections.
 - No positive recall procedure exists for items released for production, nor will one be established.
 - It is the responsibility of the customer to verify product that has been drop shipped from a Waytek Vendor to a Waytek Customer. Drop shipments are not a standard procedure for Waytek, and are performed when contractually required.

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- ◆ Waytek Inc. shall ensure that product identification is maintained from receiving, storage and order processing through final shipment to the customer.
 - All product containers shall be labeled with the complete Waytek Part Number by the vendor or by Waytek Receiving personnel prior to storage.
- ◆ Quality records are maintained on all incoming product verifications and nonconforming products found during the receiving and put away process.

Vendor Evaluation (Reference: Document No. 5101PD)

- ◆ Waytek, Inc. evaluates the performance of approved vendors to ensure continuing compliance to Waytek purchasing requirements.
- ◆ Vendors subject to evaluation are classified under “Resale” and shall be reviewed, at minimum, once a year.
- ◆ Performance evaluation of each vendor shall be measured in the following areas for an accumulative score of 100 points.

Area Evaluated	Possible Points	Performance Goal
Non-defective Product	15	
On-Time Delivery	30	25 +
Part Accuracy	15	14 +
Quantity Accuracy	15	14 +
Pricing Accuracy	5	
Customer Service	5	
Response to Quotes	5	
Response to Expedites	5	
Response to Requests	5	

- Where a performance goal has been established, further investigation and possible corrective action is required when a vendor falls below the goal.
- Points shall be awarded at a buyer’s discretion to intangible areas such as customer service and how a vendor responds to quotes, expedites and requests.
- Intangible measurements may be based on experience, history or from recorded customer feedback.

- ◆ Vendor rating or status is determined by the vendor’s total score, as well as for corrective action.

Vendor Rating / Status	Overall Performance / Total Points Earned
Excellent	90 – 100
Good	80 – 89.99
Fair	70 – 79.99
Poor	< 70

- Corrective Action may include:
 - Investigation into problems
 - Contact with Vendor Rep
 - Issue Corrective Action Request (CAR) Form 5302PD
- Vendors with a score of **70 or Less** will be issued a mandatory CAR.

- ◆ Vendors shall receive a copy of its evaluation and overall performance.
- ◆ Results and/or corrective actions arising from vendor evaluations shall be recorded and reported to management.

8.5 Production and service provision

- ❖ **8.5.1 Control of production and service provision.** Waytek, Inc. shall implement production and service provision under controlled conditions.
- ❖ Controlled conditions shall include, as applicable:
 - the availability of documented information that defines:
 - the characteristics of the products to be produced, the services to be provided, or the activities to be performed;
 - the results to be achieved;
 - the availability and use of suitable monitoring and measuring resources;
 - the implementation of monitoring and measurement activities at appropriate stages to verify that criteria for control of processes or outputs, and acceptance criteria for products and services, have been met;
 - the use of suitable infrastructure and environment for the operation of processes;
 - the appointment of competent persons, including any required qualification;
 - the validation, and periodic revalidation, of the ability to achieve planned results of the processes for production and service provision, where the resulting output cannot be verified by subsequent monitoring or measurement;
 - the implementation of actions to prevent human error; and
 - the implementation of release, delivery and post-delivery activities.

Sales / Customer Service (Reference: Document No. 9100SA)

- ◆ Waytek Inc. will provide quality service to meet or exceed customer expectations.
- ◆ Customer Service personnel shall treat all customers with the highest amount of respect.
 - Customers are defined as anyone with whom Sales personnel has contact as part of their daily functions. Customers may be internal (ex. Purchasing, A/R, etc.) or external (vendors, carriers, etc.).
- ◆ Information will be provided to the best of our ability with regards to order and part status, delivery information, pricing and specifications.
- ◆ Customer Service personnel shall be trained to recognize potential problems and notify the appropriate personnel for action with all aspects of the system.

Order Processing (Reference: Document No. 2100WH)

- ◆ Waytek, Inc. identifies, plans and controls all aspects of order processing through training and documented procedures and instructions.

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- ◆ Processes are planned, analyzed and qualified using documented procedures.
 - All new processes and changes to existing processes must be approved by the Quality Manager and/or Warehouse Manager. Due to the small size of our company, a formal documented procedure will not be established for evaluation and acceptance criteria of new processes or process changes.
 - Waytek does not have any special processes.
 - Waytek does not perform any servicing or installation activities and does not provide for product identification and traceability through such means.
 - Waytek's processes do not include servicing; therefore Waytek does not make provisions for post-delivery activities beyond corrective action as they apply.
- ◆ Processes are carried out under controlled conditions including:
 - documented procedures and instructions;
 - the availability of information that describes product characteristics;
 - the use of suitable equipment and suitable maintenance of equipment to ensure continuing process capability;
 - a suitable working environment;
 - compliance with applicable government safety and environmental regulations;
 - compliance with references, standards/codes and quality plans;
 - monitoring and control of process parameters, including the availability and use of monitoring and measuring devices; and
 - criteria for workmanship.
- ◆ All new equipment for use in warehouse production must be approved by the Quality Manager and/or Warehouse Manager. Due to the small size of our company, no procedure will be established for evaluation and acceptance criteria for equipment.
- ◆ Procedures are maintained for the identification of product.
 - Identification procedures ensure that only conforming product will be dispatched or used except when released under authorized concession.
 - All products maintain positive identification of conformance or nonconformance status.
 - Quality records of product identification are not maintained.
- ◆ The qualification of personnel involved in order processing is determined by training records, experience and/or management approval.

Shipping (Reference: Document No. 1100SH)

- ◆ Waytek, Inc. shall follow the Material Handling Procedure 0106OP to ensure product preservation, integrity and quality during the shipping process.
 - ◆ Waytek Inc. shall ensure that customer orders are shipped quickly and accurately.
 - ◆ Shipping personnel shall be continuously trained to the most current shipping and carrier requirements and regulations.
 - ◆ Waytek Inc. shall prepare and process all packages for delivery according to this documented procedure to ensure expediency, consistency and quality.
 - ◆ Waytek Inc. shall comply with each customer's shipping requirements, provided
 - the shipping method or request is feasible;
 - the shipping method or request meets the carrier's requirements; and
 - discrepancies are resolved and the resolution is agreed upon by all parties.
 - ◆ Where customer requirements are not specified, Waytek Inc. shall determine the most suitable shipping method.
 - ◆ Shipping records of customer orders shall be maintained.
- ❖ **8.5.2 Identification and traceability.** Waytek, Inc. shall use suitable means to identify outputs when it is necessary to ensure the conformity of products and services.
- ❖ Waytek, Inc. shall identify the status of outputs with respect to monitoring and measurement requirements throughout production and service provision.
- ❖ Waytek, Inc. shall control the unique identification of outputs when traceability is a requirement, and shall retain the documented information necessary to enable traceability.
- ❖ **8.5.3 Property belonging to customers or external providers.** Waytek, Inc. shall exercise care with property belonging to customers or external providers while it is under Waytek, Inc.'s control or being used by Waytek, Inc.
- ❖ Waytek, Inc. shall identify, verify and protect and safeguard customers' or external providers' property provided for use or incorporation into the products and services.
- ❖ When the property of a customer or external provider is lost, damaged or otherwise found to be unsuitable for use, Waytek, Inc. shall report this to the customer or external provider and retain the documented information on what has occurred.
- (A customer's or external provider's property can include materials, components, tools and equipment, premises, intellectual property and personal data.)*
- ❖ **8.5.4 Preservation.** Waytek, Inc. shall preserve the outputs during production and service provision, to the extent necessary to ensure conformity to requirements.
- (Preservation can include identification, handling, contamination control, packaging, storage, transmission or transportation, and protection.)*

Material Handling (Reference: Document No. 0106OP)

- ◆ All product is handled, identified and processed through packaging for final delivery with the intent to preserve product integrity and quality.
 - ◆ Designated storage areas will be maintained for all products.
- ❖ **8.5.5 Post-delivery activities.** Waytek, Inc. shall meet requirements for post-delivery activities associated with the products and services.
- ❖ In determining the extent of post-delivery activities that are required, Waytek, Inc. shall consider:
- statutory and regulatory requirements;
 - the potential undesired consequences associated with its products and services;
 - the nature, use and intended lifetime of its products and services;
 - customer requirements; and
 - customer feedback.

Customer Complaints (Reference: Document No. 0102OP)

- ◆ Waytek, Inc. will shall accept, acknowledge and address customer complaints in a timely manner and shall give consideration to the reasonableness of the complaint.
- ◆ Responses or corrective actions shall be carried out adequate to the nature, urgency or severity of the problem.
- ◆ Complaints shall be recorded and considered “Customer Feedback,” reflective of Waytek’s service and performance.
- ◆ Any subsequent information, action or resolution resulting from a complaint shall be communicated to the customer.
- ◆ Management shall monitor customer complaints and assess the need(s) for process changes or improvements to the overall quality of the organization.

Returned Product (Reference: Document No. 0104OP)

- ◆ Waytek, Inc. will establish and maintain a formal documented policy governing the Terms and Conditions for customer returns.
- ◆ Waytek Terms and Conditions will be made available via the Waytek Inc. product catalog, the Waytek, Inc. website www.waytekwire.com, or by fax, mail or e-mail upon request.
- ◆ Restocking fees may apply for returns accepted beyond the published return guidelines at Waytek’s discretion.

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- ◆ Products returned due to quality issues will be evaluated and the findings, resolution and any corrective/preventive action will be documented.
- ◆ Management shall monitor information relevant to customer satisfaction and customer perception as to whether their requirements have been met.

- ❖ **8.5.6 Control of changes.** Waytek, Inc. shall review and control changes for production or service provision, to the extent necessary to ensure continuing conformity with requirements.
- ❖ Waytek, Inc. shall retain documented information describing the results of the review of changes, the person(s) authorizing the change, and any necessary actions arising from the review.

8.6 Release of products and services

- ❖ Waytek, Inc. shall implement planned arrangements, at appropriate stages, to verify that the product and service requirements have been met.
- ❖ The release of products and services to the customer shall not proceed until the planned arrangements have been satisfactorily completed, unless otherwise approved by a relevant authority and, as applicable, by the customer.
- ❖ Waytek, Inc. shall retain documented information on the release of products and services. The documented information shall include:
 - evidence of conformity with the acceptance criteria; and
 - traceability to the person(s) authorizing the release.

8.7 Control of nonconforming outputs

- ❖ Waytek, Inc. shall ensure that outputs that do not conform to their requirements are identified and controlled to prevent their unintended use or delivery.
- ❖ Waytek, Inc. shall take appropriate action based on the nature of the nonconformity and its effect on the conformity of products and services. This shall also apply to nonconforming products and services detected after delivery of products, during or after the provision of services.
- ❖ Waytek, Inc. shall deal with nonconforming outputs in one or more of the following ways:
 - correction;
 - segregation, containment, return or suspension of provision of products and services;
 - informing the customer;
 - obtaining authorization for acceptance under concession.

- ❖ Conformity to the requirements shall be verified when nonconforming outputs are corrected.
- ❖ Waytek, Inc. shall retain documented information that:
 - describes the nonconformity;
 - describes the actions taken;
 - describes any concessions obtained; and
 - identifies the authority deciding the action in respect to the nonconformity.

Nonconforming Product *(Reference: Document No. 0103OP)*

- ◆ Waytek, Inc. ensures that product that does not conform to specified requirements is prevented from unintended use or delivery. Control will provide for identification, documentation, evaluation, segregation (when practical), disposition and notification of areas affected.
- ◆ Nonconforming product is reviewed in accordance with documented procedures.
- ◆ Nonconforming product may be:
 - reworked to meet specified requirements;
 - accepted with or without repair, provided customer authorization is obtained;
 - used for alternative applications; or
 - rejected or scrapped.
- ◆ Where required by contract, the use or repair of nonconforming product is documented and reported to the customer.
- ◆ Repaired and/or reworked product is re-inspected to demonstrate conformity to specified requirements.
- ◆ Nonconforming material shipped under a customer-authorized concession will be properly documented and recorded.
- ◆ Nonconforming product that is detected after delivery or use will be handled according to the Customer Complaint Corrective Action Procedure or the Returned Product Procedure as appropriate.
- ◆ Quality records of nonconforming product activity are maintained.

Performance Evaluation

9.1 Monitoring, measurement, analysis and evaluation

- ❖ Waytek, Inc. shall determine:
 - what needs to be monitored and measured;

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- the methods for monitoring, measurement, analysis and evaluation needed to ensure valid results;
 - when monitoring and measuring shall be performed; and
 - when the results from monitoring and measurement shall be analyzed and evaluated.
- ❖ Waytek, Inc. shall evaluate the performance and effectiveness of the QMS.
 - ❖ Waytek, Inc. shall retain appropriate documented information as evidence of the results.
 - ❖ **9.1.2 Customer satisfaction.** Waytek, Inc. shall monitor customers' perceptions of the degree to which their needs and expectations have been fulfilled. Waytek, Inc. shall determine the methods for obtaining, monitoring and reviewing this information.
(Examples of monitoring customer perceptions can include customer surveys, customer feedback on delivered products and services, meeting with customers, market-share analysis, compliments, warranty claims and dealer reports.)
 - ❖ **9.1.3 Analysis and evaluation.** Waytek, Inc. shall analyze and evaluate appropriate data and information arising from monitoring and measurement.
 - ❖ The results of analysis shall be used to evaluate:
 - conformity of products and services;
 - the degree of customer satisfaction;
 - the performance and effectiveness of the QMS;
 - if planning has been implemented effectively;
 - the effectiveness of actions taken to address risks and opportunities;
 - the performance of external providers; and
 - the need for improvements to the QMS.

Quality Measurements (Reference: Document No. 3102QA)

- ◆ Waytek, Inc. identifies and uses statistical measurements to monitor, control and improve the effectiveness of the quality system.
- ◆ Management shall monitor information relevant to customer satisfaction and customer perception as to whether their requirements have been met.
- ◆ Quality measurements shall demonstrate the ability of processes to achieve desired goals or acceptable ranges.
- ◆ Appropriate corrective and/or preventive action shall be taken when planned results are not achieved.
- ◆ Quality records shall be maintained.

9.2 Internal Audit

- ❖ Waytek, Inc. shall conduct internal audits at planned intervals to provide information on whether the QMS:
 - conforms to:
 - Waytek's own requirements for its QMS;
 - the requirements of ISO 9001;
 - is effectively implemented and maintained.
- ❖ Waytek, Inc. shall:
 - plan, establish, implement and maintain an audit program, including the frequency, methods, responsibilities, planning requirements and reporting, which shall take into consideration the importance of the processes concerned, changes affecting Waytek, Inc., and the results of previous audits;
 - define the audit criteria and scope for each audit;
 - select auditors and conduct audits to ensure objectivity and the impartiality of the audit process;
 - ensure that the results of the audits are reported to relevant management;
 - take appropriate correction and corrective actions without undue delay; and
 - retain documented information as evidence of the implementation of the audit program and the audit results.

Internal Audits (Reference: Document No. 3100QA)

- ◆ Waytek, Inc. plans and implements internal quality audits to verify and assess the operation and effectiveness of the quality system.
- ◆ Audits are scheduled on the basis of status and relevance of the activity to be audited.
 - Key processes of the organization shall be audited, at minimum, once every two years. A one-year hiatus is allowed for audits without findings.
 - Calibration must be audited on an annual basis.
 - An Audit of the Year will be determined by Management at the beginning of the third quarter, and will be based on the most significant problem area.
 - The audit manager has the authority to revise the schedule as needed.
- ◆ Audits and follow-up actions shall meet Waytek requirements and shall be conducted according to documented procedures.
- ◆ Audits are conducted by personnel independent of the areas audited.
- ◆ Results of audits are communicated to management responsible for the area audited.

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- ◆ Where the corrective action plan cannot be agreed upon between the Audit Department and Management, Management's authority shall supersede that of the Audit Department.
- ◆ Timely corrective action shall be taken and verified based on the results of the audits.
 - Results of verifications will be recorded and reported to management.
- ◆ Quality records of internal quality audit activity are maintained.

9.3 Management Review

- ❖ Top management of Waytek, Inc. shall review its QMS, at planned intervals, to ensure its continuing suitability, adequacy, effectiveness and alignment with the strategic direction of Waytek, Inc.
- ❖ **9.3.2 Management review inputs.** The management review shall be planned and carried out taking into consideration:
 - the status of actions from previous management reviews;
 - changes in external and internal issues that are relevant to the QMS;
 - information on the performance and effectiveness of the QMS, including trends in:
 - customer satisfaction and feedback from relevant interested parties;
 - the extent to which quality objectives have been met;
 - process performance and conformity of products and services;
 - nonconformities and corrective actions;
 - monitoring and measurement results;
 - audit results; and
 - the performance of external providers;
 - the adequacy of resources;
 - the effectiveness of actions taken to address risks and opportunities; and
 - opportunities for improvement.
- ❖ **9.3.3 Management review outputs.** The outputs of the management review shall include decisions and actions related to:
 - opportunities for improvement;
 - any needs for changes to the QMS; and
 - resource needs.
- ❖ Waytek, Inc. shall retain documented information as evidence of the results of management reviews.

Management Review (Reference: Document No. 0109OP)

- ◆ Executive Management of Waytek, Inc. shall review the quality management system annually to ensure continuing suitability, adequacy and effectiveness.
- ◆ Management reviews shall include assessment of opportunities for improvement and the need for changes to the quality management system.
- ◆ Management Review **input** shall include:
 - audit results;
 - customer feedback;
 - process performance and product conformity;
 - status of preventive and corrective actions;
 - follow-up actions from previous management reviews;
 - changes that could affect the quality management system; and
 - recommendations for improvement.
- ◆ Management Review **output** shall include any decisions or actions related to:
 - improvement of the effectiveness of the quality management system and its processes;
 - improvement of product due to customer requirements; and
 - resource needs.
- ◆ Records of management reviews shall be maintained.

Improvement

10.1 General

- ❖ Waytek, Inc. shall determine and select opportunities for improvement and implement any necessary actions to meet customer requirements and enhance customer satisfaction.
- ❖ These actions shall include:
 - improving products and services to meet requirements as well as to address future needs and expectations;
 - correcting, preventing or reducing undesired effects; and
 - improving the performance and effectiveness of the QMS.

(Examples of improvement can include correction, corrective action, continual improvement, breakthrough change, innovation and re-organization.)

10.2 Nonconformity and corrective action

- ❖ When nonconformity occurs, including any arising from complaints, Waytek, Inc. shall:
 - react to the nonconformity and, as applicable:
 - take action to control and correct it;
 - deal with the consequences;

- evaluate the need for action to eliminate the cause(s) of the nonconformity, in order that it does not recur or occur elsewhere, by:
 - reviewing and analyzing the nonconformity;
 - determining the causes of nonconformity;
 - determining if similar nonconformities exist, or could potentially occur;
 - implement any action needed;
 - review the effectiveness of any corrective action taken;
 - update risks and opportunities determined during planning, if necessary; and
 - make changes to the QMS, if necessary.
- ❖ Corrective actions shall be appropriate to the effects of the nonconformities encountered.
 - ❖ Waytek, Inc. shall retain documented information as evidence of:
 - the nature of the nonconformities and any subsequent actions taken; and
 - the results of any corrective action.

Corrective and Preventive Action *(Reference: Document No. 0105OP)*

- ◆ Waytek employees are empowered and responsible for the continual improvement of the quality system.
- ◆ The requirements for identifying nonconformities and potential causes of nonconformities are indicated in Waytek's documented procedures.
- ◆ The Quality System Diagram depicts the flow of information and the interaction among various internal and external functions that comprise Waytek's quality system.
- ◆ A corrective/preventive action may be initiated by anyone who has a concern about the quality of a part or process.
- ◆ Corrective/preventive actions can be initiated for internal or external processes or parts.
- ◆ It is the Quality Manager's responsibility to oversee and approve all corrective and preventive actions.

10.3 Continual Improvement

- ❖ Waytek, Inc. shall continually improve the suitability, adequacy and effectiveness of the QMS.
- ❖ Waytek, Inc. shall consider the results of analysis and evaluation, and the outputs from management review, to determine if there are needs or opportunities that shall be addressed as part of continual improvement.