Retirement Capital conforms to

ISO 90001

SUMMARY: General process & risk management

**Context of the organization**

Senior Management Team conducts the following “Context of the Organization Exercise,” or “COTO Exercise,” to identify the appropriate stakeholders, their issues of concern, and then the associated risks and opportunities derived from those issues

For each interest party, the related issues of concern shall be identified in the COTO Log.

- Form - COTO Log

**Risks & Opportunity Management**

Risks identified as part of the Context of the Organization exercise defined in the procedure Context of the Organisation and logged within the COTO Log. Where FMEA style risk treatment is deemed optimal, an entry shall be made in the Risk Register tab of the COTO Log. 5.8.6. For risks with a final Risk Factor rating equal to or greater than the threshold set in the Risk Register, management will decide whether to reject the subject due to the risk or accept the risks after the development of a risk mitigation plan. The mitigation plan must be documented, either in the Risk Register or in another document which must be referenced on the form.

Opportunity management - To help determine which opportunities should be pursued, the Opportunity Register within the COTO Log may be used to conduct an “opportunity pursuit assessment.”

**Corrective & Preventive actions / change Management**

For internal issues, the company refers to this as the Corrective Action Report (CAR) system.

For issues which are found to be the fault of suppliers, the Supplier Corrective Action Request (SCAR) system is used

The Procedure “Corrective and Preventive Action” explains how to fill the CAR form.

The request for a process change shall be documented, typically in a Corrective Action Report per the procedure Corrective and Preventive Action. The justification for the change shall be recorded. The follow-up verification step of the Corrective Action Report process shall seek to ensure the change has had the intended effect, and/or has improved the process.

- Form - CAR Form / CAR Log

- Form - Supplier Corrective Action Request / SCAR Log

**Internal Auditing**

Audits are conducted by process, and each process must be audited at least once annually.

The Operations Manager plans audits according to need, management decision, or customer requirements, and assigns a Lead Auditor for each, as well as any supporting auditor team members. Scheduling is recorded in the Internal Audit Schedule portion of the Internal Audit Log.

Auditors are independent of the area being audited; Retirement Capital may therefore use approved third-party contract auditors for its internal audit program; the requirements for third party auditors are defined in the Management System Manual. Employees selected as internal auditors will have attended at a minimum a 4-hour internal auditor training program and at least 8 hours of shadow auditing with a previously qualified internal auditor, or third-party auditor.

The completed Internal Audit Report is then published on the company’s server and/or sent to the appropriate managers of the areas audited, in order to report the findings and results. In this way, and in conjunction with the submission of Corrective Action Reports, all necessary managers are notified of the audit results and may make informed decisions for their departments based on those results.

- Form - Internal Audit Log

- Form - Internal Audit Report (BLANK)

**Management Review**

The formal “Management Review Meeting” is held at a minimum of once per 6 Months. Minutes of the meetings are taken and maintained. The form Management Review Meeting Minutes may be used as a template for the records or may be completed and filed as the finished record.

The Management Review Meeting shall generate Corrective Action Reports or take other recorded action, as a result of review topics in an effort to improve the management system, products, processes and services, and to address resource needs.

- Form - Management Review Meeting Minutes

**Hiring and Training**

Job requirements have been developed for each position in the company affecting quality and documented in an applicable Position Description. These define the desired minimum requirements for each position, including the four criteria listed above.

Position Descriptions shall include applicable statutory or regulatory requirements for the position defined.

New employees for the Retirement Capital undergo employee orientation, which includes *ISO 9001 training,* and *training on the Quality Policy*. Orientation training to shall be completed within 1 month of the employee’s start date.

*The Employee Training Matrix* lists applicable task-specific requirements for some positions; for employees hired in these positions, the Operations Manager will update this matrix as training is conducted for these tasks.

Management periodically reviews and re-certifies employees for operations where recertification is required or beneficial. Annual personnel evaluations are performed to assess effectiveness of training. Employee evaluations shall include goals for continual improvement of the employee’s competency and abilities, as well as their growth within the company, as applicable.

Process Definition folder – ‘Resource Management’ doc describe all process in details

Form - Position Description

Form - Position Requirements Matrix

Form - Employee Training Matrix

Form - Employee Training Record

Form - Employee Evaluation Record

Form - Employee Opinion Survey

**Control of Documents & Records**

This both policies are better to read fully. The second (records) contains *the list of all docs that should be controlled by us according to the certification* - ***Quality records matrix***.

the Procedure “Identification and Traceability” seems to be already followed (as I understood it)

- Form - Equipment Maintenance Record

**Purchasing**

The Operations Manager will maintain an Approved Supplier List (modify name if needed) which lists all evaluated and approved suppliers, and their approval status. The Approved Supplier List indicates the supplier, location, approval status (Approved, Conditional, Disapproved, Restricted), and the scope of approval (typically commodity type or product family). Suppliers used for at least six months prior to 14/11/2020, have been grandfathered into the system as Approved, provided they have no outstanding quality issues on record, and only upon the decision by the Operations Manager to do so.

Any purchasing agent or manager may submit a SCAR Form to a supplier that has shown quality problems or the potential for nonconformity.

- Form - Approved Supplier List

- Form - Requisition Form

Service quality

**Quoting & Orders**

During the quoting and development process, customer requirements are captured and recorded.

**Nonconforming services**

When nonconforming services are discovered by employees, this shall be documented on the Nonconforming Service Report (NSR). If the nonconforming service is reported by a third party, including a customer, the appropriate employee shall capture the information provided by the third party on the Nonconforming Service Report, including referencing any applicable notes, emails, or other documentation

- Form - Nonconforming Service Report

- Form - Customer Satisfaction Survey

Process Definition folder – ‘Customer Satisfaction Process Definition’ describe the process in details

Process Definition folder – ‘Delivery of Professional Services’ describe all process in details

Process Definition folder – ‘Quotations & Contracts Management’ describe all process in details