



# Oxebridge Q004

## Quality Management System Certification Audit Scoring

Ver. 1.2

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## Revision History

Ver.	To be used for audits after:	Nature of Changes
1.0	15 March 2020	<ul style="list-style-type: none"> <li>Original release.</li> </ul>
1.1	15 April 2020	<ul style="list-style-type: none"> <li>Updated to allow for limited Q001 Level 1 certification. Sections affected: 4.2 (new), 4.3, 4.9, 4.11 (new)</li> <li>Changed name of "Audit Checklist Store" to "Practical Audit Score" throughout document.</li> </ul>
1.2	20 April 2020	<ul style="list-style-type: none"> <li>Updated section 4.6 to reference "Incident Response Score"</li> </ul>

## **1.0 Purpose**

This document defines the requirements for scoring third-party certification audits of organizations against Oxebridge Q001.

The intent of this scoring system is to provide an objective means of determining conformity or nonconformity against Q001, while reducing subjective opinions of auditors or auditing bodies. The scoring system allows for a limited “maturity model” certification ranking based on the results of the score, which Oxebridge asserts is better than a mere pass-fail model.

## **2.0 References**

*Oxebridge Q001 – Quality Management System Requirements*

*Oxebridge Q002 – Quality Management System Certification Audit Minimum Evidence Requirements*

*Oxebridge Q003 – Quality Management System Certification Audit Requirements*

*Oxebridge Q005 – Quality Management System Certification Audit Terms and Definitions*

*Oxebridge Q006 – Quality Management System Certification Body Accreditation Requirements*

*Oxebridge Q007 – Quality Management System Certification Audit Minimum Audit Duration*

*Oxebridge Q008 – Quality Management System Certification Audit Report*

*Oxebridge Q009 – Post-Audit Verification Form*

*Oxebridge Q012 – Acceptable Use for Q001 Certification Marks and References*

## **3.0 Terms and Definitions Specific to this Document**

Reference *Oxebridge Q005*.

## **4.0 Scoring System**

### **4.1 Overview**

Organizations voluntarily undergo third-party Q001 certification audits by an Oxebridge accredited body. The rules for conducting such audits are defined in Q003.

At the completion of each certification audit, the Lead Auditor will calculate a Final Certification Score. This score shall reflect the current state of the organization as of the date of the audit. Future audits may adjust this score accordingly; organizations are thus encouraged to improve or maintain their scores, in order to avoid a lowering of the score or, in some cases, decertification.

The Final Certification Score is calculated by totaling the following individual scores:

Scoring Portion	Obligation	Points
Practical Audit Score	Mandatory	Up to 60 points
Statistical Data Review Score	Mandatory	Up to 20 points
Incident investigation Score	Mandatory	Up to 20 points
Customer Feedback Review Score	Optional	Up to 10 additional points
Deep Dive Audit Option	Optional	5 additional points

The highest achievable score for any organization is thus 115 points.

#### 4.2 Certification Levels

Certification is awarded at one of four Q001 Certification Levels:

- Q001 Quality System Certified Level 1
- Q001 Quality Management System Certified Level 2
- Q001 Quality Management System Certified Level 3
- Q001 Quality Management System Certified Level 4 with Honors

Q001 Level 1 is issued when the organization selects a limited application of Q001 for the intent of implementing a very limited quality system. Major clauses of Q001 are automatically excluded for companies who opt to pursue Q001 Level 1. This decision must be made during initial contract review with the certification body, per the rules defined in Q003. Organizations pursuing Q001 Level 1 may also exclude any justifiably exclusions per the scoping allowances of clause 4.4 of Q001.

Q001 Levels 2 through 4 require implementation of the entire set of Q001 clauses, minus any which have been justifiable excluded per the scoping allowances of clause 4.4 of Q001.

As a result, the four Q001 Levels differentiate between a simple “quality system” (Level 1) and a full “quality management system” (Levels 2 through 4.) The difference in terms is intentional.

The following table presents the applicable clause of the different Q001 Certification Levels.

Q001 Clause	Required for Level 1	Required for Levels 2 - 4
4.0 Quality Management System Scope		
4.1 Identifying Stakeholders	NO	YES
4.2 Identifying Stakeholders’ Concerns and Requirements	NO	YES
4.3 Quality Management System Processes	NO	YES
4.4 Quality Management System Scope	YES	YES
5.0 Quality Management System Leadership (all)	NO	YES
6.0 Quality Management System Planning (all)	NO	YES
7.0 Quality Management System Support		
7.1 Resources	YES	YES
7.2 Competence & Training	YES	YES
7.3 Awareness	NO	YES
7.4 Communication	NO	YES
7.5 Documents and Records	YES	YES
8.0 Operation		
8.1 Operational Process Planning and Control	YES	YES

8.2 Capture and Review of Requirements	YES	YES
8.3 Design	YES	YES
8.4 Purchasing and Subcontracting	YES	YES
8.5 Production and Service Provision	YES	YES
8.6 Inspection and Testing	YES	YES
8.7 Control of Nonconforming Product or Service	YES	YES
9.0 Performance Evaluation	9.1.2(a) only	YES
10.0 Improvement		
10.1 Pursuing Continual Improvement	NO	YES
10.2 Corrective Action	YES	YES
10.3 Preventive Action	NO	YES
10.4 Incident Investigation	YES	YES

### 4.3 Major Fallout Clauses

While all of the clauses of Q001 are important, five of these have been elevated as “Major Fallout Clauses” for purposes of scoring. This represents the importance of the clauses related to ensuring the organization is working to prevent the release of defective products or services.

The Major Fallout Clauses are as follows:

Major Fallout Clauses for Q001 Level 1	Major Fallout Clauses for Q001 Levels 2 through 4
8.7 Control of Nonconforming Product or Service	4.3 Quality Management System Processes
10.2 Corrective Action	8.7 Control of Nonconforming Product or Service
10.4 Incident Investigation	9.3 Management Review
	10.2 Corrective Action
	10.4 Incident Investigation

A finding in any subclause of one of the Major Fallout Clauses constitutes a finding against the Major Fallout Clause itself.

### 4.4 Practical Audit Score

The Practical Audit Score is calculated after the completion of the practical audit against all of the applicable Q001 clauses. The score is calculated as follows:

Audit Conclusion	Points Awarded
No NCs found	60
1 or more minor NCs found, but no majors	50
1 or more major NCs found, but none within Major Fallout Clauses	40
1 or more major NCs found within Major Fallout Clauses	30

*Note 1: Nonconformities are determined based on the minimum evidence requirements defined in Q002.*

*Note 2: “Opportunities for improvement” (OFIs) are disallowed under Q003. Therefore scoring for OFIs does not exist.*

#### 4.5 Statistical Data Review Score

Each client must submit their process quality objectives methods and data for a statistical analysis per Q003. This analysis will determine if the methods and data are (a) statistically sound and (b) accurate.

The score is assigned as follows:

Audit Conclusion	Points Awarded
Methods are statistically valid, and data is accurate	20
Methods are statistically valid, but data has some flaws	15
Methods are not statistically valid, and/or data has major flaws	10

#### 4.6 Incident Investigation Score

Each client will be assessed against any known incidents per Q003. Any identified incidents shall have adequate corrective actions underway per the requirements of 10.4.

The score is assigned as follows:

Audit Conclusion	Points Awarded
No incidents reported or found at time of audit.	20
Incidents found, but corrective actions underway and not overdue.	15
Incidents found, but either no corrective actions are underway or corrective actions are overdue/insufficient.	10

#### 4.7 Customer Feedback Score

To obtain a higher possible score, organizations may optionally allow the CB/AB to contact a sampling of its customers directly, to obtain direct feedback on their perception of the quality of the organization. This is done per Q003.

Organizations do not lose points if they opt out of this score, but can gain points if they do.

The score is assigned as follows:

Audit Conclusion	Points Awarded
More than 3 customers reported satisfaction with organization	10
Between 1 – 3 customers reported satisfaction with organization	5
No customers reported satisfaction with organization, or a customer reported dissatisfaction with organization.	0

#### 4.8 Deep Dive Audit Option

Organizations may volunteer for a longer “Deep Dive” certification audit, which increases the number of required audit days as defined in Q007. If this option is selected the following additional points can be awarded:

Deep Dive Option	Points Awarded
Deep Dive not optioned – traditional audit performed	0
Deep Dive optioned – additional audit days performed	5

#### 4.9 Final Certification Score

The Final Certification Score is then calculated by adding the Practical Audit Score, Statistical Data Review Score and Incident Response Score. If the customer opted into the Customer Feedback Review and/or Deep Dive Audit option, then those points are calculated and added into the total.

For organizations who elected to pursue Q001 Level 1, certification is only granted at the Level 1 status per the following scoring:

Certification Level	Score
Q001 Quality System Certified Level 1	90 +

For organizations that choose to pursue Q001 Level 1, ***the highest Level they may obtain is Q001 Quality System Certified Level 1***, no matter how high their final score.

For organizations who elect to pursue Q001 Levels 2 through 4, the scoring is as follows:

Certification Level	Score
Q001 Quality Management System Certified Level 2	90 - 99
Q001 Quality Management System Certified Level 3	100 - 105
Q001 Quality Management System Certified Level 4 with Honors	105 - 115

In all cases, organizations receiving a score lower than 90 shall ***not*** be granted certification.

Certified organizations will receive a Certification Mark reflective of the level of certification; see Q003.

The Final Certification score will be reported to the client in an official final audit report, but will not appear on the final certificate. The Final Certification Score is considered confidential between the organization, the certification body and Oxebridge.

#### 4.10 Score Adjustments

Score adjustments after final issuance of the audit report are not allowed.

#### 4.11 Level Upgrades / Downgrades

Organizations that choose to pursue Q001 Level 1 may not elect to “upgrade” their audit to Level 2 or higher during the audit itself. Likewise, an organization cannot elect to “downgrade” a Level 2 through 4 audit to Level 1 during the audit. The decision to pursue or not pursue Level 1 must be made prior to the audit, and cannot be changed. A client may only change audit levels at a subsequent full Q001 certification audit.

#### **4.12 Score Publication**

The Oxebridge Directory will list all currently certified originations and their Certification Level. The actual score will *not* be published.

#### **4.13 Score Changes After Subsequent Audits**

Organizations must be fully re-audited per the requirements of Q002.

At the end of the recertification audit, a new score is awarded. Organizations have two months to update their marketing to reflect the new Certification Mark issued, if the certification level has changed. Failure to update this will result in warnings placed on the Oxebridge site. Failure to update this within six months will result in full decertification.

#### **4.14 Decertification**

A failure to obtain a sufficient certification score will result in the decertification of any previously-certified organization. Decertification is discussed further in Q002.