



# Quality Management System Manual ISO9001:2008

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## Table of Contents

- Company Profile.....5
  - Past.....5
  - Present.....5
  - Mission .....5
  - Vision .....5
  - Locations .....6
- 1 Scope.....6
  - 1.1 General .....6
  - 1.2 Application.....7
- 2 Normative Reference.....7
- 3 Terms and Definitions .....7
- 4 Quality Management System.....8
  - 4.1 General Requirements.....8
  - 4.2 Documentation Requirements .....8
    - 4.2.1 General .....8
      - 4.2.2 Quality Manual .....8
      - 4.2.3 Control of Documents.....9
      - 4.2.4 Control of Records.....9
- 5 Management Responsibility.....9
  - 5.1 Management Commitment .....9
  - 5.2 Customer Focus.....9
  - 5.3 Quality Policy .....9
  - 5.4 Planning ..... 10
    - 5.4.1 Quality Objectives..... 10
    - 5.4.2 QMS Planning..... 10
  - 5.5 Responsibility, Authority, and Communication ..... 11
    - 5.5.1 Responsibility and Authority ..... 11



5.5.2 Management Representative .....	11
5.5.3 Internal Communication .....	12
5.6 Management Review.....	12
5.6.1 General .....	12
5.6.2 Review Input.....	12
5.6.3 Review Output.....	12
6 Resource Management .....	12
6.1 Provision of Resources .....	12
6.2 Human Resources .....	13
6.2.1 General .....	13
6.2.2 Competence, Training, and Awareness.....	13
6.3 Infrastructure .....	13
6.4 Work Environment.....	13
7 Product/Service Realization.....	14
7.1 Planning of Product/service Realization .....	14
7.2 Customer-Related Processes.....	14
7.2.1 Determination of Requirements Related to the Product/Service.....	14
7.2.2 Review of Requirements Related to the Product/Service.....	14
7.2.3 Customer Communication.....	15
7.3 Design and Development .....	15
7.4 Purchasing .....	15
7.4.1 Purchasing Process .....	15
7.4.2 Purchasing Information.....	15
7.4.3 Verification of Purchased Product .....	15
7.5 Production and Service Provision .....	16
7.5.1 Control of Production and Service Provision .....	16
7.5.2 Validation of Processes for Production and Service Provision .....	16
7.5.3 Identification and Traceability.....	16
7.5.4 Customer Property.....	16



7.5.5 Preservation of Product.....	16
7.6 Control of Monitoring and Measuring Devices .....	16
8 Measurement, Analysis, and Improvement .....	17
8.1 General .....	17
8.2 Monitoring and Measurement.....	17
8.2.1 Customer Satisfaction .....	17
8.2.2 Internal Audit.....	18
8.2.3 Monitoring and Measurement Processes.....	18
8.2.4 Monitoring and Measurement of Product .....	18
8.3 Control of Non-Conforming Product.....	18
8.4 Analysis of Data.....	18
8.5 Improvement .....	18
8.5.1 Continual Improvement .....	18
8.5.2 Corrective Action.....	19
8.5.3 Preventive Action .....	19
9 Appendices .....	19
9.1 Organization Chart .....	19
9.2 QMS Process Chart .....	20



## Company Profile

### **Past**

Melvin Shapiro founded Shapiro Metals in the late 1930s. He began buying industrial scrap metal from manufacturers and selling it to consumers of scrap. In the early 1940s, he opened his first warehouse and continued to expand the scrap business.

The principles he founded the business on were strong personal relationships, treating the customers and employees fairly and being honest.

### **Present**

His son, Bruce, is now carrying on these same principles. Shapiro Metals buys, sells, and converts metals worldwide through multi-state locations.

The principle business processes of Shapiro Metals are:

- Buying and selling scrap materials worldwide
- Outsourcing of scrap metal conversion and sale of converted product
- Improving the customers overall return on recyclable materials.

### **Mission**

Our mission is to build relationships with our customers and suppliers creating a partnership with integrity. By instilling values throughout the organization, we can maintain that integrity in all our business transactions.

Through effective and efficient processing of scrap, we not only offer services that directly affect our customers' bottom lines, we also help promote and improve sustainability for our natural resources.

### **Vision**

Our vision for the future is to keep improving processes and efficiencies for combined growth and profitability for ourselves and our customers. As technology improves, we look to continuously improve communications and transparency between Shapiro Metals and our customers to create information channels that are real time with reduced opportunity for error. Also, as technology improves, we will continually look for new markets where we can continue to increase sustainability efforts and drive for green initiatives in the way we do things, the way we communicate with our customers, and the way we work to do all we can to improve the ability to reuse our natural resources.



## **Locations**

Shapiro Metals operates sites in St. Louis, MO, Springfield, MO, El Paso, TX, Fitzgerald, GA, Dickson, TN, Mobile, AL, and Denton, TX. The corporate office is also located in St. Louis, MO and was originally registered in 2001 in its former location within the St. Louis plant, and then as a standalone registration when it moved to a separate location from the plant.

Currently, the corporate office and the plants in St. Louis, Springfield, El Paso and Fitzgerald are registered to ISO9001:2008.

## **Status of ISO Certification by Location**

St. Louis	Certified September 4, 2001
El Paso	Certified October 12, 2001
Springfield	Certified January 2, 2004
Fitzgerald	Certified June 12, 2008
Mobile	Planned in Future
Dickson	Planned in Future
Denton	Planned in Future

## **1 Scope**

### **1.1 General**

This quality manual provides specifics on the policies and procedures used by Shapiro Metals to satisfy the requirements of the ISO9001:2008 Quality Management System. It provides comprehensive evidence to all customer, suppliers, and employees that Shapiro Metals is committed to establishing and maintaining acceptable levels of measurable quality in its products, processes, and services in an effort to enhance customer satisfaction.

This manual outlines how Shapiro Metals adopts a process approach to developing, implementing, and improving the effectiveness of the Quality Management System. Appendix Section 9.2 of this manual includes a process map, which identifies the processes used within Shapiro Metals.



## **1.2 Application**

The scope of Shapiro Metals is the buying and selling of ferrous and non-ferrous metals. Shapiro Metals has excluded the following from the applicable requirements of ISO9001:2008:

### Section 7.3 Design and Development:

Shapiro Metals is a service organization with no design functions and has identified Design and Development (ISO 9001:2008 Section 7.3) as an exclusion from the scope of the quality system.

### Section 7.5.2 Validation of Processes for Production and Service Provision

There is no product that cannot be measured since the product is a process, so Validation of Processes for Production and Service Provision (ISO9001:2008 Section 7.5.2) has also been identified as an exclusion.

## **2 Normative Reference**

This quality manual serves as a normative document based on ANSI/ISO/ASQ 9001 "Quality Management System Requirements" and ANSI/ISO/ASQ 9000:2005 "Quality Management Systems – Fundamentals and Vocabulary". References in this document and are indispensable for its application. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

## **3 Terms and Definitions**

QMS = Quality Management System

Consumer = Businesses that Shapiro sells scrap material to

Customer = Businesses that Shapiro purchases scrap material from

Supplier = Processor

Supply chain = Supplier (Vendor) > Organization > Customer

Top Management = President, Executive Vice President, Vice President Sales & Marketing, Chief Operating Officer

Normative Reference = unless otherwise stated, the most recent versions of the separate documents should be referenced.



## 4 Quality Management System

### 4.1 General Requirements

Shapiro Metals has established a QMS that complies with ISO9001:2008 requirements and supports Shapiro Metals' Quality Policy and objectives. Shapiro Metals believes that quality is the responsibility of all individuals throughout the company. The QMS shall:

- Identify all of the processes and their application within Shapiro Metals
- Determine the flow and interaction of these processes
- Define the criteria and methods necessary to ensure effective operation and control of these processes
- Provide all resources necessary to support the operation and monitoring of these processes
- Monitor, measure, and analyze these processes
- Implement the actions required to achieve planned results and continual process improvement

Appendix Section 9.2 of this manual includes a QMS process chart, which describes the interaction of processes and associated procedures used within Shapiro Metals.

### 4.2 Documentation Requirements

#### 4.2.1 General

Shapiro Metals has created all documentation required to ensure the effective planning, operation, and control of its processes. The QMS is structured in four levels:

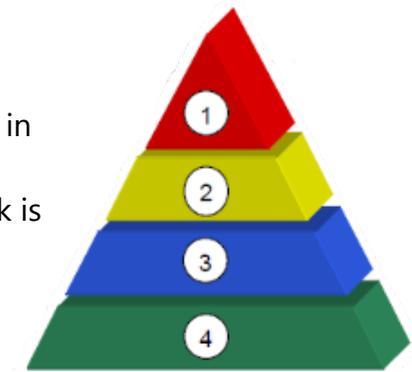
LEVEL 1: The Quality Manual – the “roadmap” of the QMS.

LEVEL 2: Operating Procedures explain how the policies set forth in the Quality System Manual are to be implemented.

LEVEL 3: Work Instructions describe in detail how a particular task is performed.

LEVEL 4: Forms and records are the basis for documenting the activity of the QMS. Industry specifications are also included in this level of documentation.

The *Document & Data Control* and *Quality Records Control* procedures detail the approval, issue, and control of all QMS documentation.



#### 4.2.2 Quality Manual

Shapiro Metals has established and continually maintains this Quality System Manual as described in the *Document & Data Control* procedure. The purpose of this manual is to:



- Provide a general overview of the QMS
- Describe Shapiro Metals' Quality Policy and Quality Objectives
- Reference all documented procedures included in the QMS
- Describe the sequence and interaction between the processes of the QMS and how they affect Shapiro Metals at large

### **4.2.3 Control of Documents**

Shapiro Metals has established and continually maintains a system-level procedure entitled *Document & Data Control*, which establishes the methods for approving, reviewing, updating, and maintaining of all documents within the QMS.

### **4.2.4 Control of Records**

Shapiro Metals has established and continually maintains a system-level procedure entitled *Quality Records Control*, which establishes the methods for identifying, collecting, indexing, accessing, filing, storing, maintaining, retaining, protecting, and disposing of quality records. The quality records provide evidence of conformance to requirements and of the effective operation of the QMS.

## **5 Management Responsibility**

### **5.1 Management Commitment**

Shapiro Metals' Top Management is committed to:

- Providing effective communication throughout Shapiro Metals regarding the importance of meeting customer requirements, as well as regulatory and legal requirements
- Establishing a quality policy and quality objectives
- Participating in Management Reviews
- Providing adequate resources for maintaining an effective QMS

### **5.2 Customer Focus**

Top Management is committed to enhancing customer satisfaction. This commitment is accomplished by determining and understanding customer requirements and ensuring that Shapiro Metals meets these requirements.

### **5.3 Quality Policy**

Top Management has established a quality policy as framework for establishing quality objectives.

Shapiro Metals is committed to:

- Providing services that meet or exceed customers' requirements and expectations



- Communicating to employees the responsibility they share in maintaining an effective QMS
- Evaluating performance metrics such as customer satisfaction, product conformance, corrective/preventative actions, and vendor evaluations to assess the continuing suitability and to continually improve the effectiveness of the QMS

## **Shapiro Metals' Quality Policy**

*Shapiro Metals will meet or exceed our customers' expectations; we are dedicated to continual improvement in all we do, including improving our customers' sustainability efforts and profitability.*

### **5.4 Planning**

#### **5.4.1 Quality Objectives**

The CEO together with the Executive Management Team has established measurable quality objectives for Shapiro Metals that are consistent with the quality policy and designed to help meet the requirements of our customers and the success of the business. These objectives are set annually and communicated to all levels of the Shapiro Metals organization and progress is reviewed periodically.

The Executive Management Team also reviews these quality objectives during Management Review meetings in order to assess opportunities for improvement.

#### **5.4.2 QMS Planning**

In general, the quality plans are consistent with the normal methods of operation covered by existing procedures. These plans ensure that quality objectives set forth in the quality policy and those identified during Management Review meetings are met. Where customer-specified requirements identify activities that are outside of the standard methods and practices, a separate quality plan will be prepared and issued.

As part of regular maintenance of the QMS, proposed modification to processes and procedures are reviewed throughout the year and discussed during Management Review meetings to ensure that the requirements of the QMS have been addressed prior to the implementation of any modifications. These reviews ensure that no new process is implemented without first considering the actions that must be taken to ensure that Shapiro Metals remains in compliance with the QMS as it is documented. Items are evaluated and planned actions are documented in the Management Review meeting minutes.



## **5.5 Responsibility, Authority, and Communication**

### **5.5.1 Responsibility and Authority**

The lines of responsibility and reporting for all employees are documented on Shapiro Metals organization chart, which appears in Appendix Section 9.1 of this document. In order to ensure that employees understand their authorities and responsibilities associated with the QMS, authorities and responsibilities are further documented in job descriptions.

- All authorities and responsibilities reside with Top Management and are delegated to functions and/or individual employees within their control as appropriate.
- All employees who manage, perform and/or verify work are responsible for the quality of products produced by Shapiro Metals.
- All such employees are authorized to identify and record problems relating to products, processes, and the QMS as a whole. All employees have the responsibility to comply with documented procedures and the direction of management.
- All employees have the responsibility to assure that processes which they are performing are in a state of control and that the tasks are completed in a responsible manner.
- All employees are also responsible for identifying nonconforming product, marking such product as being nonconforming, notifying management, and controlling further processing until the problem has been corrected. To prevent non-conformities, they may also initiate, recommend, or provide solutions through designated channels such as the Corrective and Preventive Action system.

### **5.5.2 Management Representative**

Top Management has appointed Shapiro Metals' Quality Manager as the Management Representative as required by ISO9001:2008 standard. Irrespective of other duties, the Management Representative has the responsibility for:

- Establishing, implementing, and maintaining of the QMS as well as ensuring that it continues to be compliant with the requirements of ISO9001:2008.
- Evaluating of the effectiveness of the QMS, reporting on it to Top Management and other attendees at scheduled Management Review meeting, making suggestions to improve the system.
- Approving, coordinating, and controlling of the Corrective and Preventive Action system and the Internal Audit system, including the verification of implemented Corrective and Preventive Actions to ensure that they are effective.
- Serving as the primary liaison to external parties on matter concerning the QMS.
- Ensuring that all employees are aware of the importance of meeting customer requirements and how those requirements relate to their work activities.



In absence if the Management Representative, the Chief Operating Officer shall assume these responsibilities.

### **5.5.3 Internal Communication**

Although informal communication is an effective method of transmitting information relating to products and processes, formal mechanisms are in place to document and facilitate such communication. The effectiveness of internal communications and any further formalization of such communications are considered during Management Review meetings.

The effectiveness of the QMS processes are communicated to the various levels and functions through the use of QMS documentation, training, internal audits and subsequent reporting, document and data control, corrective and preventive action systems, and management review meetings. Further communication regarding such production processes and their effectiveness is achieved via meetings, memos, bulletin boards, etc.

## **5.6 Management Review**

### **5.6.1 General**

Management Review meetings are held to assess and evaluate the QMS to ensure its continued effectiveness and suitability in satisfying the requirements of ISO9001:2008 and Shapiro Metals' stated quality policy and objectives. Reviews are carried out according to the *Management Commitment* procedure.

### **5.6.2 Review Input**

During Management Review meeting, Top Management reviews results of audits, customer feedback, process performance and product conformity, status of preventative and corrective actions, follow-up action items from previous management reviews, changes that could affect the quality management system, recommendations for improvement and other opportunities that may affect the QMS.

### **5.6.3 Review Output**

Outputs from Management Review meetings include any decisions and actions related to the improvement of the effectiveness of the QMS and its processes, improvement of the product in relation to customer requirements, and the identification of any needed resources to ensure the continuing satisfaction of Shapiro Metals' customers.

## **6 Resource Management**

### **6.1 Provision of Resources**

Processes affecting the quality of our products and the success of the business have been identified and are described in this manual. Top Management ensures that resource



requirements are identified and that adequate resources and trained employees are provided. Any employee may also identify resource needs by which such resource needs are also fulfilled.

Resources needed to implement and improve QMS processes, including enhancing customer satisfaction by meeting their requirements, are identified during Management Review meetings as described in Section 5.6 above.

## **6.2 Human Resources**

### **6.2.1 General**

All Shapiro Metals personnel who affect the conformity to product/service requirements are qualified to perform specific tasks on the basis of the appropriate education, training, skill, and experience as evidenced by qualifications and training records. Conformity to product/service requirements can be affected directly or indirectly by personnel performing any task within the QMS.

### **6.2.2 Competence, Training, and Awareness**

Training needs are determined and fulfilled according to the *Training* procedure. All employees, from inquiry to delivery, receive appropriate training to ensure that they are aware of their duties, responsibilities, and level of authority as defined on job descriptions and to ensure that the working practices specified in QMS documentation are implemented and followed.

## **6.3 Infrastructure**

Top Management ensures that our facilities are maintained appropriately to achieve conformity of the product/service, including workspaces, equipment, software, and any supporting services, including transport, communication, and information technology (IT) systems. Such considerations are discussed during Management Review meetings.

## **6.4 Work Environment**

Top Management determines and manages the work environment needed to achieve conformity to product/service requirements. The work environment consists of physical, environmental, and other factors, including health and safety conditions, work methods, handling methods, noise, temperature, humidity, lighting, and weather. Such factors are discussed during Management Review meetings.



## 7 Product/Service Realization

### **7.1 Planning of Product/service Realization**

In general, Shapiro Metals' realization process planning is consistent with our normal methods of operation covered by existing procedures. In planning the processes for realization of products falling outside normal methods, the following is considered:

- Quality objectives for products, projects or contracts, as applicable
- The need to establish processes and documentation and to provide any necessary resources specific to the product
- The required verification, validation, monitoring, measurement, inspection and test activities specific to the product and the criteria for product acceptance
- Any records necessary to provide confidence of conformity of the processes and resulting product

### **7.2 Customer/Consumer-Related Processes**

#### **7.2.1 Determination of Requirements Related to the Product/Service**

Customer and consumer requirements are determined by the Sales Department during the inquiry, quotation, and acceptance stages of customer contact. As described in the *Obtaining New Profitable Business* and *Determination of Customer/Consumer Specifications* procedures, the Sales Department determines:

- Customer requirements, including availability, delivery and post-delivery activities
- Requirements not stated by the customer but necessary for specified or intended use, where known
- Statutory and regulatory requirements applicable to the product
- And additional requirements that Shapiro Metals considers necessary

#### **7.2.2 Review of Requirements Related to the Product/Service**

Prior to submission of a quotation or acceptance of an order, Sales Department reviews the customer's or consumer's requirements for the product/service to ensure that they have been clearly defined and documented. Such a review, as defined in *Obtaining New Profitable Business* and *Determination of Customer/Consumer Specifications* procedures, also ensures that Shapiro Metals has the ability to meet those requirements. If a received order or contract differs from the associated quotation, the differences are resolved before accepting and processing the order or receiving the load of material.

When customers or consumers submit change orders regarding the product of their order, the changes are received and reviewed against the original order. Any changes that require amendments to process or product documentation will result in revising the affected documents and notifying all affected employees according to the appropriate procedures.



### **7.2.3 Customer Communication**

Any other communication by customers or consumers will be routed to the Sales Department, which will respond appropriately. Where appropriate, other employees to serve as liaison to the customer or consumer for technical questions or other specific reasons. The Sales and Quality Departments will also solicit customer feedback through appropriate means.

### **7.3 Design and Development**

This section is excluded per section 1.2 of this Quality System Manual. Shapiro Metals is a service organization with no design functions and has identified Design & Development (ISO9001:2008 section 7.3) as an exclusion from the scope of the quality system.

### **7.4 Purchasing**

#### **7.4.1 Purchasing Process**

Non Trade

Shapiro Metals' purchasing processes, including supplier evaluation and selection, are controlled according to the *Purchasing Non Trade and Supplier Evaluation & New Supplier Approval* procedures, which ensures that purchased product and services conform to the applicable requirements. The type and extent of control exerted over such vendors and their product or service depends on the impact of the product or service on the realization process and/or the quality of the final product.

Trade

The *Purchase & Sales Order Process* procedure describes the process that Shapiro Metals employs for the creation, confirmation, and amendment of purchase and sales orders.

#### **7.4.2 Purchasing Information**

Designated employees are authorized to identify resource or purchasing requirements. As appropriate, a purchase order is initiated to procure the needed items. The purchase order details all necessary information and pertinent specifications including, where applicable, the requirements for qualification of personnel, or any QMS requirements. All purchasing documents involving non-trade purchases are reviewed by the Accounting Department and the trade purchases by the Vice President of Sales and Marketing for accuracy and completeness prior to release.

#### **7.4.3 Verification of Purchased Product**

Purchased products are verified upon receipt according to the *Receiving Customer Material* procedure. When requested, all purchased products are to be supplied with appropriate product documentation per the *Material Identification & Traceability* procedure. If Shapiro Metals or its customers should decide to verify products at our supplier's premises, the



arrangements, verification, and release of such products will be determined and documented by the Sales Department.

## **7.5 Production and Service Provision**

### **7.5.1 Control of Production and Service Provision**

Shapiro Metals plans and conducts service activities under controlled conditions governed by documented procedures and work instructions supported with employee training. Monitoring and measuring methods are provided for use as required.

### **7.5.2 Validation of Processes for Production and Service Provision**

This section is excluded per section 1.2 of this Quality System Manual. There is no product that cannot be measured since the product is a process, so Validation of Processes for Production and Service Provision (ISO9001:2008 section 7.5.2) has been identified as an exclusion from the scope of the quality system.

### **7.5.3 Identification and Traceability**

The *Material Identification & Traceability* procedure defines, where appropriate, the means by which Shapiro Metals:

- Identifies the product by suitable means throughout the realization process
- Identifies the product status with respect to monitoring and measurement requirements throughout the realization process
- Controls the unique identification of the product (where traceability is a requirement) and maintains records

### **7.5.4 Customer Property**

Occasionally customers supply materials that Shapiro Metals will broker to a consumer that is used to manufacture into a finished product per pre-determined requirements in accordance with Section 7.2.1 of this manual. Such items shall be handled with care within Shapiro Metals per the *Control of Customer Supplied Material or Customer Property* procedure.

### **7.5.5 Preservation of Product**

All materials and products under Shapiro Metals' control are stored and handled in such a way as to preserve conformity of the product. Such protection is also extended to products being delivered, which is packaged appropriately to preserve conformity during delivery according to the *Shipping* and *Export* procedures.

## **7.6 Control of Monitoring and Measuring Devices**

The *Calibrations* procedure describes Shapiro Metals' methods for calibrating (internal and external), maintenance, and disposition of equipment used to measure product conformity to specified requirements. The procedure identifies work instructions as well as the calibration frequency and location (internal or external) for each piece of equipment.



## **8 Measurement, Analysis, and Improvement**

### **8.1 General**

Planning for monitoring, measurement, analysis and improvement activities occurs at two levels:

*Product Level:* Ensuring and demonstrating conformity to product requirements.

The Vice President Operations, Plant Manager and Quality Manager are responsible for determining the appropriate production processes, measuring and monitoring activities used during production, and inspection in daily operations. Such activities are reviewed during Management Review meeting, where customer satisfaction is analyzed to determine where improvements at the product level can be made.

*System Level:* Ensuring and demonstrating conformity of the QMS to the requirements of ISO 9001 and to Shapiro Metals' own established procedures and policies as well as the achievement of objectives.

Such planning at the system level includes scheduling internal audits and measuring customer satisfaction. It also addresses the continual improvement and effectiveness of the QMS and opportunities for preventive action. Top Management evaluates the effectiveness of measuring and monitoring activities during Management Review meetings, where further application of such activities is also considered, including the use of statistical techniques. Any such activities identified are implemented and recorded per the ***Management Commitment*** procedure. This level of planning is focused upon the measuring processes, determining system conformity, and achieving improvement to the QMS.

### **8.2 Monitoring and Measurement**

#### **8.2.1 Customer and Consumer Satisfaction**

Customer and consumer satisfaction and their perception are considered during Management Review meetings as described in Section 5.6 of this manual. Customer and consumer satisfaction and perception data is a vital tool in driving improvement of the QMS. Methods for collecting and analyzing data on customer and consumer satisfaction include, but are not limited to:

- Customer/consumer satisfaction surveys
- Feedback on the product/service
- Analysis of customer/consumer complaints



- Rates of rejected product

## **8.2.2 Internal Audit**

Shapiro Metals conducts periodic Internal Audits in accordance with the *Auditing - Internal & External* procedure. Internal Audits allow Shapiro Metals to determine whether or not the QMS conforms to the planned arrangements of a product/service realization, the requirements of ISO 9001:2008, and the QMS requirements that Shapiro Metals has established. This procedure also defines how Shapiro Metals conducts internal audits to determine whether the QMS is effectively implemented, documented, and maintained.

## **8.2.3 Monitoring and Measurement Processes**

The *Measures* procedure describes the methods Shapiro Metals has implemented to ensure that Shapiro Metals' processes achieve planned results. When the results of the events are not achieved, the *Improvements, Preventive and Corrective Actions* procedure shall be utilized as appropriate to ensure conformity of the product.

## **8.2.4 Monitoring and Measurement of Product**

The *Measures* procedure describes methods Shapiro Metals employs for monitoring and measuring the characteristics of the product/service throughout the product/service realization process to verify that the product/service requirements have been met.

## **8.3 Control of Non-Conforming Product**

Shapiro Metals makes every effort to prevent product that does not conform to specified requirements from reaching the customer. The *Non-Conforming Material or Service* procedure describes the methods Shapiro Metals utilizes to identify and control nonconforming product.

## **8.4 Analysis of Data**

Shapiro Metals regularly analyzes data that demonstrates the suitability and effectiveness of the QMS. Such data can reveal ways Shapiro Metals can use to make continual improvements within the QMS. All data is analyzed at Management Review meetings per the *Management Commitment* procedure.

## **8.5 Improvement**

### **8.5.1 Continual Improvement**

Shapiro Metals shall continually improve the effectiveness of the QMS through use of the quality policy, quality objectives, audit results, analysis of data, corrective and preventive actions and Management Review. Continual improvement activities will be reviewed during Management Review meetings and will be documented in accordance with the *Improvements, Preventive and Corrective Actions* procedure.



## **8.5.2 Corrective Action**

Corrective actions are undertaken to eliminate the causes of non-conformities in order to prevent their recurrence. Actions taken are appropriate to the impact of the problems encountered. Corrective Actions are initiated according to the *Improvements, Preventive and Corrective Actions* procedure.

## **8.5.3 Preventive Action**

Requests for preventive actions typically arise in the same manner as those for corrective actions, although preventive actions are undertaken to eliminate the cause of *potential* non-conformities. Such requests will be processed as delineated in the *Improvements, Preventive and Corrective Actions* procedure.

## **9 Appendices**

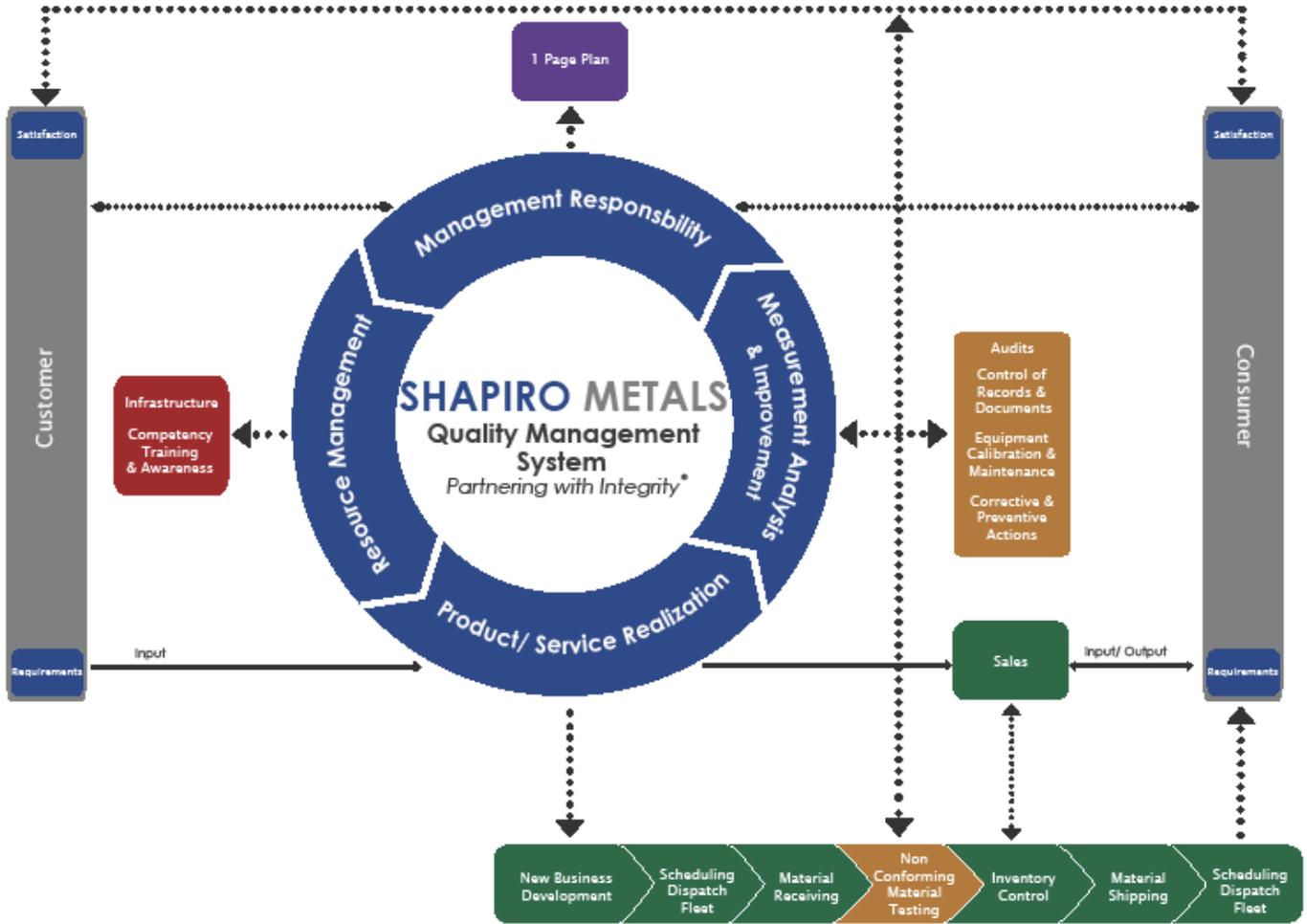
### **9.1 Organization Chart**

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## 9.2 QMS Process Chart

Shapiro Metals Quality Management System Process Map for Continual Improvement





<b>REVISION HISTORY</b>			
Revision	Remarks	Date	Approved By:
3	Rewrote manual to follow the standard	7/1/13	<i>Lisa G. Martin</i>
4	Rewrite to include consumers	9/20/13	<i>Lisa G. Martin</i>