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# Leadership & Strategy Management
# QHES Management System Manual (MSM)

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## Change Log

| Revision | Description |
|---|---|
| 5 | Updated section 8.3 to correct internal audit finding |
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| | |

## DORIS COMPANY PROFILE

DORIS started in 1965 as an independent engineering company with headquarters located in Paris, France. DORIS Group has engineering centers and offices worldwide staffed with experienced personnel for providing engineering and design services to the offshore oil and gas industry.




## DORIS INC.

DORIS Inc. was established in 2000, based in Houston, Texas as a wholly owned subsidiary of DORIS Engineering. DORIS Inc. is registered as a professional engineering firm as indicated in the table below:

| State | License # | Registered as | Engineer of Record |
|---|---|---|---|
| Texas | 4606 | DORIS USA, Inc. (DBA DORIS Inc.)<br>840 Gessner Ste 400<br>Houston, TX 77024 | Mr. Richard Haun |
| Louisiana | EF.0004735 | DORIS USA, Inc.<br>840 Gessner Road, Suite 400Houston, TX 77024 | Mr. Wen-Xing Huang |

# 1.0 PURPOSE AND SCOPE

## 1.1 Purpose

To describe and document the Quality Management System (QMS) used by DORIS Inc. and to assure its products and services meet our customer's requirements and any statutory or regulatory regulations that may be applicable.

The QMS is based on the DORIS Inc. Mission Statement and Quality Policy while also fulfilling the requirements of the international quality standard ISO 9001:2015.

This quality manual **(MGT-MSM-01)** describes the QMS implemented by DORIS Inc. The document and the processes it describes serve to ensure that the QMS conforms to the DORIS Inc. quality policy, the context of the organization document, ISO 9001:2015 requirement and DORIS Inc. processes and procedures as they relate to the scope of operations.

DORIS Inc.'s QMS has been designed to comply with national and international standards and professional engineering practices to assure that our deliverables conform to customer requirements. As a licensed professional engineering consulting firm, DORIS Inc. shall assure that our activities meet the engineering codes and standards defined by the states in which we are licensed and the projects for which we are contracted to deliver. Our engineering activities are governed by the Code of Ethics for Professional Engineers.

## 1.2 Scope

The DORIS Inc. QMS applies to all products, services, processes, activities, and employees within the company.

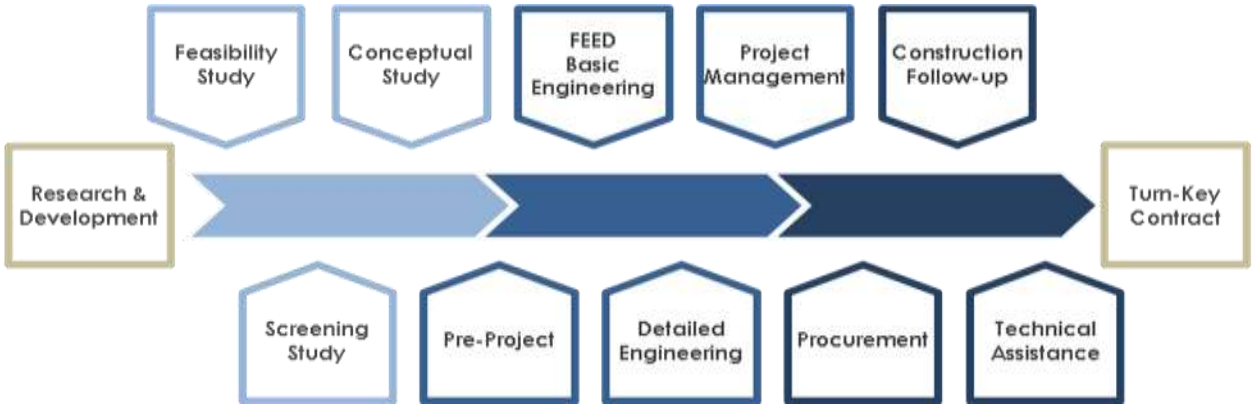
DORIS Inc. Headquarters are located at:

DORIS Inc.
840 Gessner Road, Suite 400
Houston, TX 77024
USA

The scope includes all processes/departments within DORIS Inc., which directly affect the products and services we provide to our customers. The processes that are in place to reach the desired outcome for the product being produced while also meeting the customer's requirements.

The scope of this QMS is for Engineering, Design, Procurement and Project Management of Onshore and Offshore Installations and Subsea Systems for the Energy Industry.

Range of activities include the following:



Exclusions from the scope of certification are:

- Measurement traceability does not apply to DORIS Inc. as we do have any tools for traceability or calibration associated with the supply of engineering services and project management.
- Post-delivery activities do not apply to DORIS Inc. All services are provided under a defined scope of work that is completed when deliverable documents are transmitted.
- Preservation of equipment does not apply to the supply of engineering services and project management. Records of our products are preserved under document control; we do not have any equipment as part of our product supply to preserve.

### 1.3 Normative Reference

Doris Inc's used following references to create the QMS:

| | |
|---|---|
| Ref [1] | ISO 9001:2015 Quality Management Systems – Requirements |
| Ref [2] | ISO 9000:2015 Quality management systems -- Fundamentals and vocabulary |

## 2.0 QUALITY POLICY

### 2.1 Mission Statement

DORIS is a family of dedicated professionals that partners with our customers to deliver innovative, independent, and unbiased solutions for projects that are executed efficiently, accurately and with the highest regard for safety and the environment.

Our Mission is to be the company with whom our customers and business partners prefer to work on a repeated basis and the organization where talented individuals choose to build their careers.

### 2.2 Quality Policy

Doris Inc. will consistently provide engineering services that meet or exceed the requirements and expectations of our customers and business partners. Doris Inc. management shall ensure that customer requirements are; identified, understood, documented and achieved with the goal of enhancing customer satisfaction. We will constantly improve quality by utilizing work processes that enable each employee to do their job right the first time and every time. Quality improvement is the responsibility of every employee.

### 2.3 HSE Policy

Doris Inc. and its Management are committed to the highest Health, Safety, and Environmental performance. Doris Inc. is dedicated to providing each employee, contractor, and visitor with the safest working environment and preventing harmful incidents. Doris Inc.'s first priority is safety and adopts the Oil & Gas Producers (OGP) Life Saving Rules that are applicable to our work to mitigate risk and reduce the potential of fatalities.

## 3.0 TERMS AND DEFINITIONS

Terms and definitions used in this manual are defined below.

| Term | Definition |
|---|---|
| Approval | A statement that the product or service is in accordance with specified requirements |
| Corrective Action | A measure taken to prevent the reoccurrence of a non-conformity |
| Deliverable Documents | The common term for the product which Doris, Inc. produces, such as specifications, reports, schedules, technical notes, drawings |
| DORIS Inc. Leadership Team | The President and his direct reports - President; Chief Financial Officer; Vice President of Projects; Vice President of Subsea; Vice President of Surface Facilities Engineering; ; Human Resource Manager |
| Engineering documents | Codes and standards, specifications, drawings, reports, calculation notes, equipment lists, etc. |
| Forms | Documents used to make a record of completing all or part of the process described in procedures |
| HAZID | Hazard Identification |
| HAZOP | Hazard and Operability |
| HSE | Health Safety and Environment |
| IT | Information Technology |
| KPI | Key Performance Indicators |
| LEED | Leadership in Energy and Environmental Design is an ecology-oriented building certification program run under the auspices of the U.S. Green Building Council (USGBC). |
| MSM | Management System Manual - the document describing Doris, Inc's Quality Management System |
| Non-conformity | The non-fulfillment of a specified requirement |
| OGP | Oil & Gas Producers |
| Preventative Action | A measure taken to prevent the occurrence of a non-conformity |
| Procedure | A documented description of a way to perform an activity specifying the scope, method, organization, and control of the activity |
| QMS | Quality Management System - The management system used to direct the organization with regards to quality. It includes, but is not limited to, the Quality Policy, Quality Manual, Quality Procedures, Forms and Templates |
| Quality | Conformance to specified requirements |
| Quality audit | A systematic and independent examination to determine whether quality activities and related results comply with planned arrangements and whether these arrangements are implemented effectively and are suitable to achieve |

| Term | Definition |
|---|---|
| | objectives |
| Quality Records | Completed forms or information generated as a result of the process described in a document and retained as indicated in the Control of Quality Records Procedure |
| SME | Subject Mater Experts |
| Templates | Electronic documents used to create quality system documentation |

## 4.0 CONTEXT OF THE ORGANIZATION

### 4.1 External and Internal Issues

DORIS Inc. management has determined the external and internal issues that are relevant to its mission and strategic direction and which affect its ability to achieve the intended results of the QMS. Changes in external and internal issues relevant to QMS DORIS Inc. are reviewed, discussed and updated during the management reviews or as required.

The President of DORIS Inc. sets and communicates objectives annually. The objectives are developed and updated based on the strategic direction of DORIS Inc, the DORIS Group, market forces and other external and internal issues.

Vice Presidents and Managers assure that their objectives; as well as those of their direct reports are aligned with those of the President's, as applicable to the job function. The objectives are specific, measurable, attainable, realistic and time-based. Performance reviews, based on the objectives, are documented for every employee and stored in Human Resource records according to **QHES-SP-06**.

### 4.2 Stakeholders / Interested Parties

DORIS has determined the following are interested parties along with the needs and expectations of these interested parties that are relevant to the QHES Management System.

- DORIS Board of Directors
  - Meet the goals and targets for the annual business plan
  - Provide resources and technical support to the DORIS Group when required
- Clients
  - Provide engineering services that meet or exceed the requirements and expectations of our Clients
  - Assure that clients' needs and requirements are identified, translated, specified, understood and achieved
  - Meet or exceed contract requirements, such as quality, delivery times and costs
  - Ensure that customer requirements are determined and are met with the aim of enhancing customer satisfaction.
- Employees
  - Provide employment which is personally and professionally rewarding experience
  - Provide a safe work environment for our team members
- Business Partners
  - Provide engineering services that meet or exceed the requirements and expectations of our Business Partners
  - Assure that Business Partners needs and requirements are identified, translated, specified, understood and achieved
  - Meet or exceed contract requirements, such as quality, delivery times and costs
- DORIS Subsidiaries

- Provide engineering services that meet or exceed the requirements and expectations of DORIS Subsidiaries
- Assure that clients' needs and requirements are identified, translated, specified, understood and achieved
- Meet or exceed contract requirements, such as quality, delivery times and costs

DORIS will monitor and review information about these interested parties and their relevant needs and expectations during the management review or as required.

### 4.3 Scope of the Quality Management System

Doris Inc has developed and implemented a Quality Management System (QMS) in order to document the company's approved work processes and business practices, better satisfy the requirements and expectations of its customers and business partners.

The QMS, delineates authorities, inter-relationships and responsibilities of the personnel responsible for performing within the system. The manual provides procedures or references for all activities comprising the QMS to ensure compliance with the necessary requirements of the standard.

This Management System Manual (MSM) is used internally to guide the company's employees through the various processes that must be followed in order to ensure customer satisfaction, continuous improvement and create an empowered work force.

The MSM is used externally to introduce our QMS to our customers and business partners and other external organizations. The MSM is used to familiarize our customers and business partners with the controls that have been implemented, and to give them confidence that the integrity of the QMS is maintained and focused on business partner satisfaction and continuous improvement.

The MSM is divided into ten sections that correlate to the quality management system sections of ISO 9001:2015. The MSM addresses the design, development, production, installation, and servicing of DORIS Inc. products.

The scope, boundaries and applicability of its QMS has been determined (see section 1.2). DORIS Inc. has established and maintains this MSM which includes:

a) the external and internal issues referred to in section 4.1
b) the requirements of relevant interested parties referred to in section 4.2
c) DORIS Inc. products and services

### 4.4 Quality Management System and Processes

DORIS Inc. has established, implemented, maintains, and continually improves a QMS including the processes needed and their interactions, in accordance with the requirements of ISO 9001:2015. DORIS Inc. continually monitors the effectiveness of the QMS.

DORIS Inc. executes three types of projects:

Level I – Level of Effort - This type of project consist of projects such as reimbursable Level of Effort or secondment type projects.

Level II – Small Study Project - This type of project consist of all projects that have a budget less than 5,000 man-hours, or cost less than $500,000.

Level III – Capital Project - This type of project consist of all projects that have a budget above 5,000 man-hours or costs above $500,000.

A Process Interaction Chart for each type of project is shown below.

Level I – Level of Effort Processes

| INPUT PROCESS | EXECUTION PROCESSES | OUTPUT PROCESSES |
|---|---|---|
| BD-SP-01 - Proposal Process | HR-SP-01 - Competence, Awareness and Training Process | PC-RP-01 - Project Controls Processes |
| PJM-SP-02 - Proposal and Project Opening Process | MGT-SP-01 - Management Responsibility Procedure | MGT-SP-01 - Management Responsibility Procedure |
| | PJM-SP-01 - Project Planning-Initiation-Control | |
| | QHES-SP-01 - HSE for the office and worksite | |

Level II – Small Study Projects

| INPUT PROCESS | EXECUTION PROCESSES | OUTPUT PROCESSES |
|---|---|---|
| BD-SP-01 - Proposal Process | ENGR-SP-01 - Engineering and Design Development Process | IMS-SP-01 - Project Document Control |
| PJM-SP-02 - Proposal and Project Opening Process | ENGR-SP-02 - Inter-Discipline Check Process | PC-RP-01 - Project Controls Processes |
| | HR-SP-01 - Competence, Awareness and Training Process | MGT-SP-01 - Management Responsibility Procedure |
| | MGT-SP-01 - Management Responsibility Procedure | PJM-SP-03 – Management of Change Process |
| | PJM-SP-01 - Project Planning-Initiation-Control | |
| | PJM-SP-03 – Management of Change Process | |
| | PUR-SP-01 - Project Purchasing Process | |
| | PUR-SP-03 - Supplier Quality Surveillance | |
| | QHES-SP-01 - HSE for the office | |

| | | |
|---|---|---|
| | and worksite | |
| | IMS-SP-01 - Project Document Control | |
| | PC-RP-01 - Project Controls Processes | |

Level III – Capital Projects

| INPUT PROCESS | EXECUTION PROCESSES | OUTPUT PROCESSES |
|---|---|---|
| BD-SP-01 - Proposal Process | ENGR-SP-01 - Engineering and Design Development Process | IMS-SP-01 - Project Document Control |
| PJM-SP-02 - Proposal and Project Opening Process | ENGR-SP-02 - Inter-Discipline Check Process | PC-RP-01 - Project Controls Processes |
| | HR-SP-01 - Competence, Awareness and Training Process | MGT-SP-01 - Management Responsibility Procedure |
| | MGT-SP-01 - Management Responsibility Procedure | PJM-SP-03 – Management of Change Process |
| | PJM-SP-01 - Project Planning-Initiation-Control | |
| | PJM-SP-03 – Management of Change Process | |
| | PUR-SP-01 - Project Purchasing Process | |
| | PUR-SP-03 - Supplier Quality Surveillance | |
| | QHES-SP-01 - HSE for the office and worksite | |
| | IMS-SP-01 - Project Document Control | |
| | PC-RP-01 - Project Controls Processes | |

The all processes are managed by DORIS Inc. in accordance with the requirements of the ISO 9001:2015 Standard. If DORIS Inc. decides to outsource any process or procedure that affects product

or service conformity, we will ensure control over these outsourced processes/procedures. We will identify the control of outsourced processes/procedures within the QMS.

## 5.0 LEADERSHIP

### 5.1 Leadership and Commitment

5.1.1 General

The President of DORIS Inc. sets and communicates objectives annually. The objectives are developed based on the strategic direction of DORIS Inc, the DORIS Group, market forces and other external and internal issues. The President may choose to delegate responsibility for other aspects of the QMS that he/she deems appropriate and necessary for the effective implementation, management and maintenance of the QMS.

In accordance with Clause 5.0 of ISO 9001:2015, the overall responsibility for the QMS remains with the President.

The DORIS Inc. Leadership team demonstrate leadership and commitment with respect to the QMS by:

a) taking accountability for the effectiveness of the QMS

b) ensuring that the quality policy and quality objectives are established for the QMS and are compatible with the context and strategic direction of DORIS Inc

c) ensuring the integration of the QMS requirements into DORIS Inc. business processes

d) promoting the use of the process approach and risk-based thinking

e) ensuring that the resources needed for the QMS are available

f) communicating the importance of effective quality management and of conforming to the QMS requirements

g) ensuring that the QMS achieves its intended results

h) engaging, directing and supporting persons to contribute to the effectiveness of the QMS

i) promoting continuous improvement

j) supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility

5.1.2 Customer Focus

Doris Inc. strives to identify current and future customer needs, to meet customer requirements and exceed customer expectations. The leadership team ensures that customer requirements are understood and met, by requiring compliance with documented customer communication procedures. Customer requirements are determined, converted into internal requirements, and communicated to the appropriate people in our organization in accordance with the Project Planning, Initiation and Control Procedure (**PJM-SP-01)**.

Leadership team has demonstrated leadership and commitment with respect to customer focus by ensuring that:

a) customer and applicable statutory and regulatory requirements are determined, understood, and consistently met

b) the risks and opportunities that can affect conformity of DORIS Inc products and services and the ability to enhance customer satisfaction are determined and addressed

c) the focus on enhancing customer satisfaction is maintained

d) customer requirements are determined and are met with the aim of enhancing customer satisfaction with information gathered through surveys, customer feedback, customer supplied score cards, customer complaints and any other customer feedback that may be available

## 5.2 Policy

5.2.1 Established Quality Policy

DORIS Inc. Leadership team has established a Quality Policy (see section 2.2) that:

a) is appropriate to the purpose and context of the organization

b) provides a framework to setting quality objectives

c) includes a commitment to satisfy requirements

d) includes a commitment for continuous improvement

Quality Objectives and review of the Quality Policy and its effectiveness take place, in Management Review meetings.

5.2.2 Communicating the Quality Policy

The Quality Policy is communicated to all personnel of DORIS Inc. as well as displayed in appropriate areas so that during the course of normal business individuals can read, review, understand and apply the policy in their work product. The Quality Policy is routinely reviewed and reinforced at company meetings.

## 5.3 Organizational Roles, Responsibilities and Authorities

The DORIS Inc. Leadership Team will ensure that the responsibilities and authorities for relevant roles are assigned, communicated, and understood within the organization. The DORIS Inc. Leadership Team will assign the responsibility and authority for:

a) ensuring the QMS conforms to ISO 9001:2015

b) ensuring that quality processes are delivering their intended outputs

c) reporting on the performance of the QMS and on opportunities for improvement to the leadership team (see section 10)

d) ensuring the promotion of customer focus throughout the organization

e) ensuring that the integrity of the QMS is maintained when changes to the QMS are planned and implemented

An organizational chart has been established to define the reporting relationships of personnel in the organization. Job descriptions define the responsibilities and authorities of each of the positions on the organizational chart. Job descriptions and the organizational chart are reviewed and approved by leadership team for adequacy. These documents are available throughout the organization to help employees understand their responsibilities and authorities.

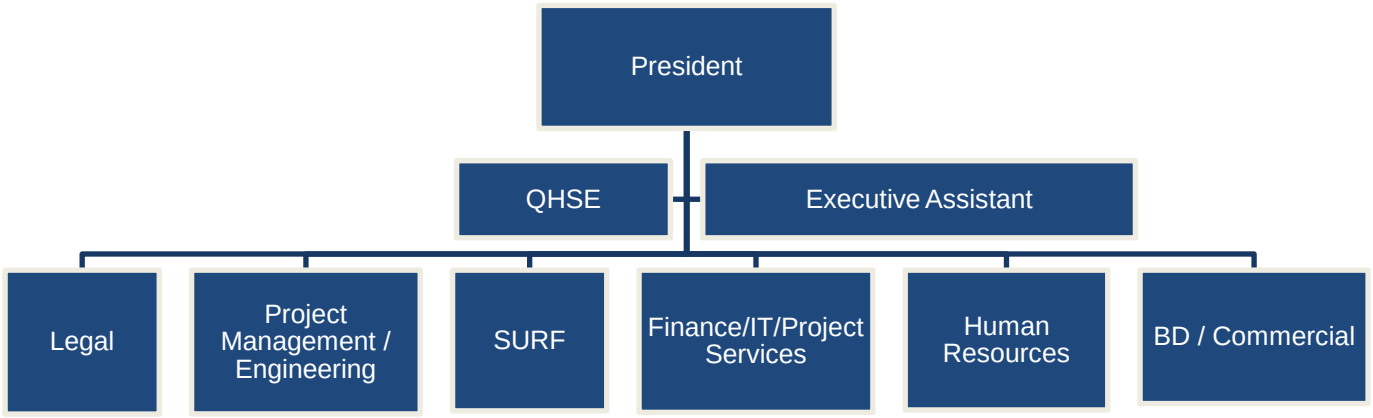



Figure 5-1 – DORIS Inc. Functional Organization

Table 5-1 Organizational Roles and Responsibilities

| Responsible | Accidents, Illness, Near-Miss, Emergency Preparedness, Offshore Safety & Hazardous work assignments | QHES Program |
|---|---|---|
| Accounting / Finance | Provides labor hour summaries for client projects and quarterly HSE reports; maintains bank account numbers & passwords in safe place. | Performs cash and debt management, corporate budgeting, maintenance and operation of internal control structure; daily accounting functions and reports regularly on the financial status of the company, Takes measures to minimize the financial risks to DORIS Inc. in proposals and contracts. |
| All Employees & Contractors | Completes own accident / incident report; submits to drug test for accidents as directed; maintains communication with supervisor; follows emergency plan; receives safety awareness training as well as other required training for field assignments; arrives on site with required PPE, inoculations and prophylaxis; uses STOP WORK authority; assures the trip management plan is prepared and updated when changes occur; follows OGP life saving rules. | Works in accordance with QHES policies; submits safety suggestions and observations. |
| Business Development | Assures that proposals are reviewed for risks. | Responds to client requests for information; is the contact point for client communication; assures correct handover of proposal to Project Manager. |
| Executive Assistant / Administration | Assures travel forms, trip management plan and required visa are provided for employees. | Assures visitors are recorded in the visitors log and provides a copy of the visitor guide to outside guests. |
| Human Resources | Reviews the results of accident / incident report and drug test, takes action as needed; maintains employee contact; updates emergency contact numbers.; ensures employees have insurance cards, have “fit for duty” clearance from travel health agency (as applicable) | Provides organizational workforce planning, staffing, employment development and employee relations with the goal of maximizing the productivity and quality of our work force; serves the organization and its employees by managing employee health and welfare benefits, compensation, performance appraisals, record keeping, and legal compliance. |

Table 5-1 Organizational Roles and Responsibilities (cont.)

| Responsible | Accidents, Illness, Near-Miss, Emergency Preparedness, Offshore Safety & Hazardous work assignments | QHES Program |
|---|---|---|
| IT / Network | Assures electronic records are restricted for access to authorized personnel; ensures back up of data; activates emergency phone number information; maintains electronic communication tools | Maintains reliability and security of network system, website; computers, and data. Uses IT tools to minimize security risks to DORIS Inc. |
| Legal | Legal is required to report if DORIS Inc. has received any regulatory citations or been involved in any court litigation related to QHES incidents or non-compliance. | Ensures accurate legal advice to DORIS Inc. Management Team.; reviews contracts and subcontracts for legal requirements and minimize risk to DORIS Inc, |
| President | Monitors statistics during management reviews reports; spokesperson for media in a crisis. | Approves policies and QHES Management System Manual; formulates and communicates DORIS Inc. strategy and targets; monitors overall DORIS Inc. performance to Vision, Mission, Goals and Objectives; provides leadership and support of QHES requirements; provides for the required resources essential for the management system. |
| Procurement | Solicits business from suppliers who have been evaluated on HSE risks. | Evaluates supplier performance; assures procurement documents include QHES requirements. |
| Project Managers | Reports any accidents etc., involving DORIS Inc. personnel in client facilities; keeps clients informed of impact to projects; communicates client QHES requirements to project team ; assures project team are aware and prepared for associated risks on field assignments. | Project Management assures effective client liaison at all stages of a project, from proposal handover through to compilation of the invoice. The Project Manager leads the Project Management Team and assures project plans and controls are implemented by all project team members. The Project Manager approves documents before they are issued to the client. |

Table 5-1 Organizational Roles and Responsibilities (cont.)

| Responsible | Accidents, Illness, Near-Miss, Emergency Preparedness, Offshore Safety & Hazardous work assignments | QHES Program |
|---|---|---|
| QHES Manager | Reviews accident / incident reports for prevention actions and lessons learned. Complies info for external reports; assures fire wardens are in place; posts evacuation routes; conducts safety awareness training; assures PPE is available. | Maintains QHES SharePoint for management system documents and records; audits QHES system and facilitates the Management Review. |
| Subsea Engineering and Design | Conducts HAZOP, HAZID and site surveys along with other analysis to identify HSE risks to client for projects; assures subsea engineering codes and standards are properly applied to projects for compliance to HSE industry requirements. | Assures competent engineering and design resources for the execution of projects This includes engineering disciplines for Flow Assurance, Subsea Controls, Risers, Pipelines, Flowlines, Subsea Equipment and Subsea Drafting. Applies discipline standards and checking practices to engineering / design. |
| Surface Facilities Engineering and Design | Conducts HAZOP, HAZID and site surveys along with other analysis to identify HSE risks to client for projects; assures surface facilities engineering codes and standards are properly applied to projects for HSE industry requirements. | Assures competent engineering and design resources for the execution of projects. This includes engineering disciplines for Process, Mechanical, Structural, Civil, Piping, Electrical, Instrumentation and Design disciplines for Piping, Structural, Electrical and Instrumentation. Applies discipline standards and checking practices to engineering / design. |
| VPs, & Department Managers | Conducts investigation, requests drug test for employee involved in accident; assures employees are accounted for in an emergency; assures personnel receive HSE training. | Actively participate in QHES improvement process; assures discrepancies noted in audits are corrected. |

## 6.0 PLANNING

### 6.1 Actions to Address risks and Opportunities

The QMS has been planned and implemented to meet our quality objectives and address issues referred to in section 4.1 and requirements referred to in section 4.2 of the ISO 9001:2015 standard. Actions taken to address risks and opportunities shall be proportionate to the potential impact on the conformity of products and services. The risk and opportunities are identified and managed according to the Risk Management Policy **MGT-PD-12.**

The DORIS Inc. QMS is designed to address the risks and opportunities associated with the following:

a) ensure the QMS can achieve its intended results

b) enhance desirable effects

c) prevent, or reduce, undesired effects

d) achieve improvement

DORIS Inc. will plan:

a) actions to address these risks and opportunities

b) how to integrate and implement the actions into the QMS processes (see section 4.4)

c) evaluate the effectiveness of these actions

### 6.2 Quality Objectives and Planning to Achieve Them

Quality objectives are established to support our organization's efforts in achieving our quality policy and reviewed annually for suitability. Objectives are established for the entire company. Quality objectives are measurable, and reviewed against performance goals at management review meetings. Overall quality objectives are stated in the Quality Policy (See section 2.2).

The quality objectives will:

a) be consistent with the quality policy

b) be measurable

c) consider applicable requirements

d) be relevant to conformity of products and services and to the enhancement of customer satisfaction

e) be monitored and established at relevant functions and levels within the organization

f) be communicated to the organization's personnel so they understand the importance of their activities in the achievement of quality objectives

g) be updated as appropriate; ensures that when changes occur that they are carefully planned and implemented to ensure the integrity of the QMS

Quality Objectives are documented in the annual management review minutes of meeting and are monitored as Key Performance Indicators in accordance with the Key Performance Indication Policy **MGT-PD-11**.

DORIS Inc. strives for customer satisfaction and continuous improvement along with comprehension of all parties within and associated with the company as to their individual requirements and objectives. Further with this statement in mind DORIS Inc will define measurable objectives (KPI's) for the following:

a) proposal win ratio

b) cost performance index
c) schedule performance index
d) lost time incidents

When planning how to achieve the quality objectives, DORIS Inc. will determine:

a) what will be done
b) what resources will be required
c) who will be responsible
d) when it will be completed
e) how the results will be evaluated

### 6.3 Planning for Changes

When a review of the QMS determines the there is a need for changes to the system, the changes shall be carried out in a planned manner (see section 4.4).

The DORIS Inc. Leadership Team will consider:

a) the purpose of the changes and their potential consequences
b) the integrity of the QMS
c) the availability of resources
d) the allocation or reallocation of responsibilities and authorities

## 7.0 SUPPORT

### 7.1 Resources

#### 7.1.1 General

DORIS Inc. will determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the QMS and to enhance customer satisfaction.

DORIS Inc. will consider:

a) the capabilities of, and constraints on, existing internal resources

b) what needs to be obtained from external providers

#### 7.1.2 People

Personnel have been selected and assigned to functions within DORIS Inc. to ensure that those whose activities affect the conformity of product and/or service and the fulfillment of all other requirements are competent based on applicable education, training, skills and experience.

Prior to being assigned to project work personnel qualifications are submitted to the customer for acceptance.

The internal website HR on DI Connect and Employee Handbook (**HR-PD-01)** sets out the employment requirements, benefits, policies and legal aspects of employment at DORIS Inc.

DORIS Inc will determine and provide the persons necessary for the effective implementation of the QMS and for the operation and control of its processes.

DORIS Inc. will ensure that personnel performing work affecting product and service requirements are competent based on appropriate education, training, skills and experience required by DORIS Inc.

DORIS Inc. will:

a) determines the necessary competence for personnel performing work affecting conformity to product and service requirements and product conformity requirement

b) where applicable, provides training or takes other actions needed to achieve necessary competence

c) evaluates the training actions performed to ensure employee has achieved required competency

d) ensures that personnel are aware of the relevance and importance of their activities and how they contribute to the achievement of the quality objectives

e) maintains appropriate documented information of education, training, skills and experience and DORIS Inc. training

#### 7.1.3 Infrastructure

To meet quality objectives and product requirements Doris Inc has determined, provided and will maintain the infrastructure necessary for the operation of its processes and to achieve conformity of products and services and customer requirement.

The infrastructure has been provided and includes:

a) buildings, works, and associated utilities

b) process equipment, both hardware and software

c) supporting services such as transportation resources or communication or information technology **(IT-SP-01)**

As new infrastructure requirements arise, they will be address in management reviews. Existing infrastructure is maintained to ensure product conformity.

DORIS Inc. occupies offices in a LEED certified building that is managed to be resource-efficient and cost effective energy footprint. The office layout facilitates integrated teams working with our clients on projects. This includes appropriate security and safety as well as lighting, equipment, offices, and break areas.

DORIS Inc. maintains a technical library of codes and standards needed for the projects and engineering work being performed. The site is accessed on the "V" drive. It is the responsibility of each Discipline Lead Engineer and Project Manager to assure that the library contains the appropriate document needed for the work scope.

### 7.1.4 Environment for the Operation of Processes

DORIS Inc. has determined and will maintain the environment necessary for the operation of its processes and to achieve conformity of its products and services. A suitable environment is a combination of human and physical factors, such as social, psychological, and physical. Requirements are determined during quality planning and documented in the quality plan.

Review of the physical and visual requirements of the job to ensure that each employee has the ability and equipment needed perform these tasks, ergonomic aspects of required tasks, proper lighting of facilities, and housekeeping of the work areas. Changes to the work environment will be considered on an as needed basis.

The work environment is assessed and managed for continuing suitability. Data from the quality system is evaluated to determine if the work environment is sufficient for achieving product conformance, or if preventive or corrective action related to the work environment is required.

Standard Practice QHES-SP-01 defines the Health, Safety and Security controls for the Office and Worksites.

### 7.1.5 Monitoring and Measuring Resources

#### 7.1.5.1. General

DORIS Inc. has determined and will 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.

DORIS Inc. will ensure that the resources provided:

a) are suitable for the specific type of monitoring and measurement activities being undertaken

b) are maintained to ensure their continuing fitness for their purpose

DORIS Inc. will retain appropriate documented information as evidence of fitness for purpose of the monitoring and measurement resources.

### 7.1.6 Organizational Knowledge

DORIS Inc. has determined the knowledge necessary for the operation of its processes and to achieve conformity of products and services. This knowledge will be maintained and be made available to the extent necessary. When addressing changing needs and trends, DORIS Inc will consider its current knowledge and determine how to acquire or access any necessary additional knowledge and required updates. Standard practices, recommended practices, technical papers along with lessons learned from projects, and proposals are a key manner in which organizational knowledge is maintained.

### 7.2 Competence

DORIS Inc. will:

a) determine the necessary competence of persons doing work under its control that affects the performance and effectiveness of the QMS

b) ensure that these persons are competent based on appropriate education, training, or experience

c) where applicable, take actions to acquire the necessary competence, and evaluate the effectiveness of the actions taken; applicable actions can include, for example, the provision of training to, the mentoring of, or the reassignment of currently employed persons; or the hiring or contracting of competent persons.

d) retain appropriate documented information as evidence of competence

Technical Vice Presidents and Department Managers are responsible for identifying the competency requirements and training needs of Engineering and Design personnel assigned to projects and performing work. Performance reviews and results shall be maintained for personnel in their HR file. Training records are maintained on the QHES site. **(HR-SP-01, QHES-SP-01 and QHES-SP-06**).

To ensure competence of our personnel, job descriptions have been prepared identifying the qualifications required for each position that affects product quality. Qualifications include requirements for education, skills and experience. Appropriate qualifications, along with required training, provide the competence required for each position.

Qualifications are reviewed upon hire, when an employee changes positions or when the requirements for a position change **(HR-SP-02)**. Human Resources maintains records of employee qualifications. If any differences between the employee's qualifications and the requirements for the job are found, training or other action is taken to provide the employee with the necessary competence for the job. The results are then evaluated to determine if they were effective. Training and evaluation are conducted according to the Training procedure. **(HR-SP-01)**.

All employees are trained on the relevance and importance of their activities and how they contribute to the achievement of the quality objectives.

### 7.3 Awareness

Upon employment at DORIS Inc., each person shall go through an initial orientation to include Quality Health, Safety and Environmental requirements, processes and practices **(QHES-SP-01)**. DORIS Inc. will ensure that persons doing work under DORIS Inc control are aware of:

a) the quality policy

b) relevant quality objectives

c) their contribution to the effectiveness of the QMS, including the benefits of improved performance

d) the implications of not conforming with the QMS requirements

### 7.4 Communication

DORIS Inc. has determined the internal and external communications relevant to the QMS, including:

a) on what it will communicate

b) when to communicate

c) with whom to communicate

d) how to communicate

e) who communicates

Bulletin boards, Town hall, Department, Technical QHES and Project meetings shall be used for communicating information throughout the company. E-mail and Internet use shall follow the policies documented in the employee handbook **(HR-PD-01)**.

The DORIS Inc. Leadership Team ensures that appropriate communication processes are established within the organization and that communication takes place regarding the effectiveness of the QMS. All-hands meetings are held on a periodic basis to review the company performance and the quality objectives

The DORIS Inc. Leadership Team will share information on metric performance, and customer related issues (e.g., complaints, delivery performance, forecasts) and to communicate the effectiveness of our quality system with the work force. Communication will take place during scheduled or impromptu meetings, through the use of communication bulletin boards, and verbal communication as needed.

## 7.5 Documented Information

### 7.5.1 General

DORIS Inc. QMS includes the following:

a) documented information required by ISO 9001:2015

b) documented information determined by DORIS Inc. as being necessary for the effectiveness of the QMS

The DORIS Inc. QMS is described throughout a series of documents, related to each other in a hierarchical framework (see section 4.4). The Quality Document Procedure **(QHES-SP-06)** provides guidance and requirements for the preparation, review and approval of QHES documents. The latest versions of documents are located on the QHES SharePoint site under Management System. Obsolete documents and data shall be promptly removed from all points of issue or use to prevent unplanned use. If removal is not possible due to legal or knowledge preservation, then the document / data shall be suitably identified to prevent unintended use.

DORIS Inc. documented information includes: documented information determined by DORIS Inc. to ensure the effective planning, operation and management of its processes; documented statements of the quality policy and quality objectives, this quality manual - see master lists of procedures. DORIS Inc. MSM includes the primary processes of the QMS.

The extent of the QMS is based on:

a) the size of and type of its activities

b) the complexity processes and their interactions

c) the competence of personnel

### 7.5.2 Creating and Updating

When creating, modifying, and updating documented information, DORIS Inc. will ensure appropriate:

a) identification and description (e.g. title, date, author, or reference number)

b) format (e.g. language, software version, graphics) and media (e.g. paper, electronic)

c) review and approval / re-approval for suitability and adequacy

### 7.5.3 Control of Documented Information

Documented information required by the QMS and by ISO 9001:2015 shall be controlled to ensure it is:

a) available and suitable for use, where and when it is needed

b) adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity)

For the control of documented information, DORIS Inc. has addressed the following activities, as applicable:

a) its distribution, access, retrieval and use

b) its storage and preservation, including preservation of legibility

c) its control of changes (e.g. version control)

d) its retention and disposition; prevent the unintended use of obsolete documented information, and to apply suitable identification to it if it is retained for any purpose

e) its retention and disposition; prevent the unintended use of obsolete documented information, and to apply suitable identification to it if it is retained for any purpose

Documented information of external origin determined by DORIS Inc. to be necessary for the planning and operation of the QMS shall be identified as appropriate, and be controlled. Records, a type of retained documented information, are established by DORIS Inc. to provide evidence of conformity to requirements and that the effective operation of the QMS is controlled. DORIS Inc. ensures that records remain legible, readily identifiable, protected from unintended alterations, and are retrievable according to the requirements of **QHES-SP-06**.

## 8.0 OPERATION

### 8.1 Operational Planning and Control

DORIS Inc. has planned, implemented, and controlled the processes (see section 4.4) needed to meet the requirements for the provision of DORIS inc. products and services, and implemented the actions determined in Clause 6, by:

a) determining the requirements for products and services

b) establishing criteria for:

   1) the processes

   2) the acceptance of DORIS Inc. products and services

c) determining the resources needed to achieve conformity to product and service requirements

d) implementing control of processes in accordance with the appropriate criteria

e) determining, maintaining, and retaining documented information (records) to the extent necessary:

   1) to have confidence that DORIS Inc. processes have been carried out as planned

   2) to demonstrate the conformity of DORIS Inc. products and services to requirements

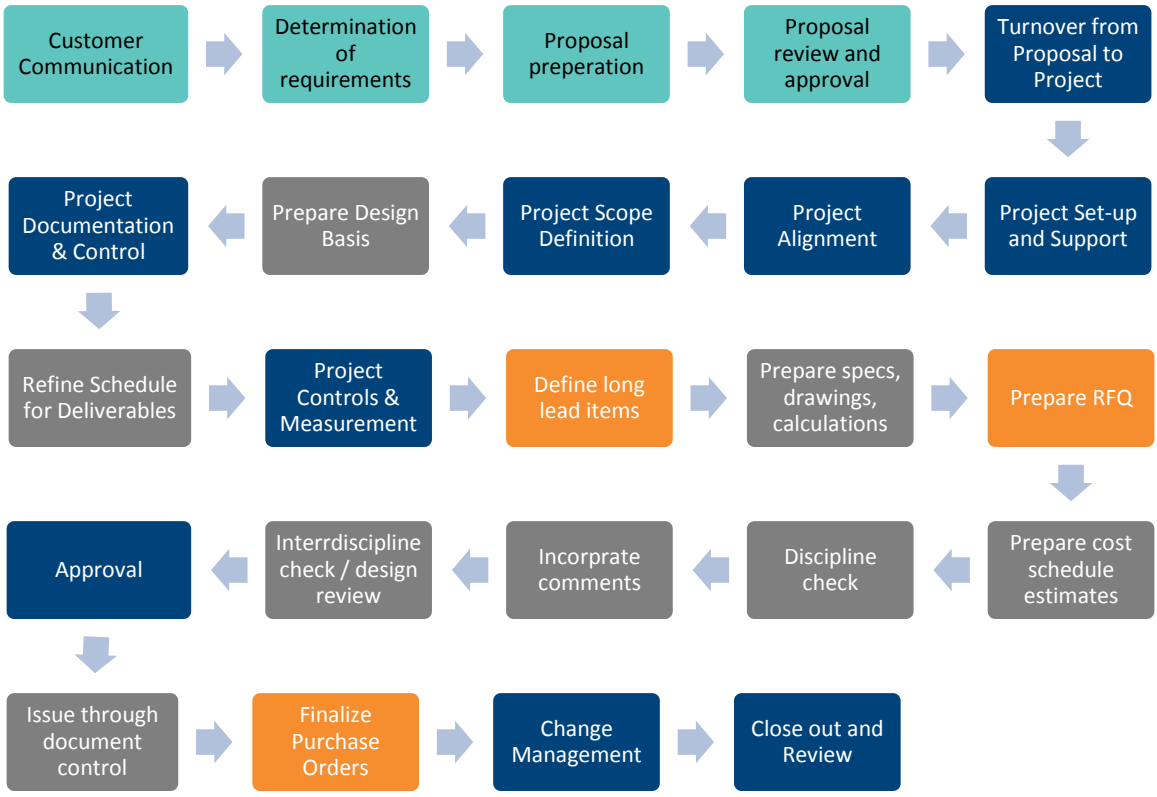
The outputs of this planning will be suitable for operations. DORIS Inc. has controlled planned changes and review the consequences of unintended changes, acting to mitigate any adverse effects, as necessary.

DORIS Inc. will ensure that outsourced processes are controlled (see section 8.4). Outsourcing always has the essential characteristic of a service, since it will have at least one activity necessarily performed at the interface between an external provider and DORIS Inc.

DORIS Inc. controls the following processes in delivering our services to clients.

- Bid and Proposal Process – this includes all of the steps from pre-qualification to project award including legal review**. (BD-SP-01)**
- Project Management Process – this includes managing the interfaces of the project team as well as the budget and schedule for the project in all aspects of initiation, planning, execution, change, risk management, issues management, quality management and project closure. **(PJM-SP-01)**
- Engineering and Design Process – this includes the production of technical documents and drawings which detail all the deliverables specified for the project including QHES aspects. **(ENGR-SP-01)**
- Procurement Process – this includes all steps from sourcing to purchasing of equipment, materials, supplies and services for projects**. (PUR-SP-01)**

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NOTE: Depending on the scope and extent of services requested by the client, the Procurement process and the full scope of Project Management may not be required.

## 8.2 Requirements for Products and Services

### 8.2.1 Customer Communication

Communication with DORIS Inc. customers will include:

a) providing information relating to DORIS Inc. products and services
b) handling inquiries, contracts, or orders, including changes
c) obtaining customer feedback relating to DORIS Inc. products and services, including customer complaints
d) handling or controlling customer property
e) establishing specific requirements for contingency actions, when relevant

### 8.2.2 Determining Requirements for Products and Services

When determining the requirements for products and services to be offered to its customers, DORIS Inc. will ensure that:

a) the requirements for products and services are defined, including:
    1) any applicable statutory and regulatory requirements
    2) those considered necessary by DORIS Inc.
b) DORIS Inc. can meet the requirements for the products and services it offers

### 8.2.3 Review of Requirements for Products and Services

DORIS Inc. will ensure that it can meet requirements for its products and services to be offered to customers. DORIS Inc. will conduct a review before committing to supply its products and services to a customer, to include:

a) requirements specified by a customer, including the requirements for delivery and post-delivery activities
b) requirements not stated by a customer, but necessary for the specified or intended use, when known
c) requirements specified by DORIS Inc.
d) statutory and regulatory requirements applicable to products and services
e) contract or order requirements differing from those previously expressed

DORIS Inc. will ensure that contract or order requirements differing from those previously defined are resolved. DORIS Inc. will retain documented information, as applicable:

a) on the results of the review
b) on any new requirements for its products and services

8.2.4 Changes to Requirements for Products and Services

DORIS Inc. will ensure that relevant documented information is amended, and that relevant persons are made aware of the changed requirements, when requirements for its products and services are changed.

## 8.3 Design and Development of Products and Services

8.3.1 Design and Development Planning

The Engineering Design and Development Process **(ENGR-SP-01)** outlines the process for controlling the design and development process. The Engineering department plans design and development according to this procedure. The design plan includes:

- Design and development stages
- Required design reviews
- Verification and validation methods appropriate to each design and development stage
- Responsibilities and authorities for design and development
- Identification of the technical interfaces required for the project
- Updating of the design plan as the project progresses

8.3.2 Design and Development Inputs

Inputs relating to product requirements are determined and documented according to the Engineering Design and Development Process **(ENGR-SP-01)**. All inputs are reviewed for adequacy and completeness, and to resolve any ambiguous inputs. Inputs include:

- Functional and performance requirements
- Applicable statutory and regulatory requirements
- Where applicable, information derived from previous similar designs
- Other requirements essential for design and development

8.3.3 Design and Development Outputs

Outputs of design and development are documented according to the Engineering Design and Development Process **(ENGR-SP-01)**. They are documented in a format that enables verification against the inputs, and are approved prior to release.

Outputs include:

- Meet the input requirements
- Provide appropriate information for purchasing, production and for service provision
- Contain or reference product acceptance criteria
- Specify the characteristics of the product that are essential for its safe and proper use

8.3.4 Design and Development Review

The design plan specifies suitable stages of the project to conduct design and development review. Reviews take place according to the design and development procedure. Results of design review are recorded in minutes of the design review meetings, which are maintained as a quality record.

Design reviews:

- Evaluate the results of design and development activities and determine if they fulfill requirements
- Identify any problems and propose necessary actions
- Include representatives of functions concerned with the design and development stage being reviewed

8.3.5 Design and Development Verification

Design verification is planned and performed to ensure that the design and development outputs have satisfied the design and development input requirements. Records of the results of the verification and any necessary actions are maintained according to the Engineering Design and Development Process **(ENGR-SP-01)**.

8.3.6 Design and Development Validation

Design and development validation is performed according to the design plan to ensure that the resulting product is capable of fulfilling the requirements for the specified or known intended use or application. Validation is completed prior to delivery whenever practicable. Records of the validation activities are maintained according to the design and development procedure.

8.3.7 Control of Design and Development Changes

The design and development procedure defines a process for identifying, recording, verifying, validating and approving design changes. The review of design and development changes includes an evaluation of the effect of the changes on constituent parts and delivered product. Records are maintained to show the results of the review and any necessary actions identified during the review.

## 8.4 Control of Externally Provided Processes, Products and Services

8.4.1 General

DORIS Inc. will ensure that externally provided processes, products, and services conform to requirements. The controls required for external provision can vary widely depending on the nature of the processes, products and services. DORIS Inc. applies risk-based thinking to determine the type and extent of controls appropriate to external providers and externally provided processes, products, and services.

DORIS Inc. will determine the controls to be applied to externally provided processes, products and services when:

a) products and services from external providers are intended for incorporation into products and services

b) products and services are provided directly to the customer(s) by external providers on behalf of DORIS Inc.

c) a process, or part of a process, is provided by an external provider because of a decision by DORIS Inc.

DORIS Inc. will 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. DORIS Inc. will determine documented information of these activities and any necessary actions arising from the evaluations. **(PUR-SP-03)**

Supplier of records as of January 01, 2010 are grandfathered in to the approved vendor list based on prior performance.

8.4.2 Type and Extent of Control

DORIS Inc. will ensure that externally provided processes, products and services do not adversely affect DORIS Inc. ability to consistently deliver conforming products and services to its customers.

DORIS Inc. will:

a) ensure that externally provided processes remain within the control of the QMS

b) define both the controls that it intends to apply to an external provider and those it intends to apply to the resulting output

c) take into consideration:

   1) the potential impact of the externally provided processes, products, and services on DORIS Inc. ability to consistently meet customer and applicable statutory and regulatory requirements

   2) the effectiveness of the controls applied by the external provider

d) 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

DORIS Inc. ensure the adequacy of requirements prior to their communication to an external provider. **(PUR-SP-03)**

DORIS Inc. will communicate to external providers its requirements for:

a) the processes, products and services to be provided

b) the approval of:

   1) products and services

   2) methods, processes, and equipment

   3) the release of products and services

c) competence, including any required qualification of persons

d) the external providers' interactions with DORIS Inc. Organization

e) control and monitoring of the external providers' performance to be applied by DORIS Inc.

f) verification or validation activities that DORIS Inc., or its customer, intends to perform at the external providers' premises

## 8.5 Production and Service Provision

### 8.5.1 Control of Production and Service Provision

DORIS Inc. has implemented products and service provision under controlled conditions. Controlled conditions will include, as applicable:

a) the availability of documented information that defines:
   1) the characteristics of the products to be produced, the services to be provided, or the activities to be performed
   2) the results to be achieved

b) the availability and use of suitable monitoring and measuring resources

c) 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

d) the use of suitable infrastructure and environment for the operation of processes

e) the appointment of competent persons, including any required qualification

f) 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

g) the implementation of actions to prevent human error

h) the implementation of release, delivery, and post-delivery activities

### 8.5.2 Identification and Traceability

DORIS Inc. will use suitable means to identify outputs when it is necessary to ensure the conformity of its products and services.

DORIS Inc. will identify the status of outputs with respect to monitoring and measurement requirements throughout production and service provision.

DORIS Inc. will control the unique identification of the 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

DORIS Inc. will exercise care with property belonging to customers or external providers while it is under DORIS Inc. control or being used by DORIS Inc.. Customers' or external providers' property can include materials, components, tools and equipment, premises, intellectual property, and personal data.

DORIS Inc. will identify, verify, 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, DORIS Inc. will report this to the customer or external provider and retain documented information on what has occurred.

### 8.5.4 Preservation

Our products are preserved using the document control system. We do not have any equipment as part of our product supply to preserve.

### 8.5.5 Post-delivery activities

Post-delivery activities do not apply to DORIS Inc. All services are provided under a defined scope of work that is completed when deliverables are transmitted.

8.5.6 Control of Changes

DORIS Inc. will review and control changes for production or service provision, to the extent necessary to ensure continuing conformity with requirements. The changes are reviewed, verified, and validated as appropriate and approved before implementation. The review of design and development changes includes evaluation of the effect of the changes on constituent parts, plus any products and services already delivered.

DORIS Inc. will 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

DORIS Inc. has implemented planned arrangements, at appropriate stages, to verify that the product and service requirements have been met. DORIS Inc. has established and implemented inspection or other activities deemed necessary for ensuring that purchased products and services meet specified purchase requirements.

Where DORIS Inc. or its customer intends to perform verification at an external provider's premises, DORIS Inc states the intended verification arrangements and methods of product or service release in its purchasing information.

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.

DORIS Inc will retain documented information on the release of products and services. The documented information shall include:

a) evidence of conformity with the acceptance criteria

b) traceability to the person(s) authorizing the release

## 8.7 Control of Nonconforming Outputs

DORIS Inc. will ensure outputs that do not conform to their requirements are identified and controlled to prevent their unintended use or delivery.

DORIS Inc. will 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. DORIS Inc. will deal with nonconforming outputs in one or more of the following ways:

a) correction/rework

b) segregation, containment, return or suspension of provision of products and services

c) informing the customer

d) obtaining authorization for acceptance under concession

Conformity to requirements will be verified when nonconforming outputs are corrected.

DORIS Inc. will retain documented information that:

a) describes the nonconformity

b) describes the actions taken

c) describes any concessions obtained

d) identifies the authority deciding the action in respect of the nonconformity

# 9.0 PERFORMANCE EVALUATION

## 9.1 Monitoring, Measurement, Analysis and Evaluation

### 9.1.1 General

DORIS Inc. will determine:

a) what needs to be monitored and measured

b) the methods for monitoring, measurement, analysis and evaluation needed to ensure valid results

c) when the monitoring and measuring shall be performed

d) when the results from monitoring and measurement shall be analyzed and evaluated

DORIS Inc. will evaluate the performance and the effectiveness of the QMS. DORIS Inc. will retain appropriate documented information as evidence of the results.

KPIs proceed from goals that are specific, measurable, achievable, realistic, and time-targeted. The Leadership Team shall convene on a regular basis to review the KPI Dashboard, evaluate targets and record actions for improvement when metrics indicate a negative trend in accordance with **MGT-PD-11**.

### 9.1.2 Customer Satisfaction

As one of the measurements of the performance of the QMS, Doris Inc monitors information relating to business partner perception as to whether the organization has fulfilled business partner requirements. The method for obtaining and using this information is identified in the the Management Responsibility Procedure **(MGT-SP-01)**.

DORIS Inc. will monitor customers' perceptions of the degree to which their needs and expectations have been fulfilled. DORIS Inc. will determine the methods for obtaining, monitoring and reviewing this information.

Customer feedback shall be gathered and reviewed by Project Managers, Project Sponsors and Business Development then forwarded to QHES for record keeping. At least annually, a summary of all customer feedback is presented during management reviews.

During execution of capital projects, the Project Manager shall assure that regular meetings are held with the customer representative(s) who provides information relating to whether their requirements are being met; actions are taken at that time to resolve any dissatisfaction. The Project Manager shall prepare a project closeout report detailing key aspects of the project; any customer issues and how they were resolved.

### 9.1.3 Analysis and Evaluation

DORIS Inc. will analyze and evaluate appropriate data and information arising from monitoring and measurement to demonstrate the suitability and effectiveness of the QMS and to evaluate where continual improvement can be made. The results of analysis shall be used to evaluate:

a) conformity of products and services

b) the degree of customers' satisfaction

c) the performance and effectiveness of the QMS

d) if planning has been implemented effectively

e) the effectiveness of actions taken to address risks and opportunities

f) the performance of external providers

g) the need for improvements to the QMS

## 9.2 Internal Audit

DORIS Inc. will conduct internal audits at planned intervals to provide information on whether the QMS is compliant and effective. All internal audits shall conform to:

a) The DORIS Inc. QMS requirement

b) the requirements of ISO 9001:2015; is effectively implemented and maintained

DORIS Inc. will:

a) plan, establish, implement and maintain an internal audit program including the frequency, methods, responsibilities, planning requirements, and reporting, which shall take into consideration the importance of the processes concerned, changes affecting DORIS Inc., and the results of previous internal audits

b) define the audit criteria and scope for each internal audit

c) select internal auditors and conduct audits to ensure objectivity and the impartiality of the internal audit process –internal auditors do not audit their own work

d) ensure that the results of the internal audits are reported to relevant management

e) take appropriate correction and corrective actions without undue delay; Managers responsible for the area being internally audited ensure that corrections and corrective action(s) are taken without undue delay to eliminate detected nonconforming outputs and their causes. Follow-up activities include the verification of the action(s) taken and the documenting of verification results.

f) the responsibilities and requirements for planning and conducting internal audits, and for reporting results and maintaining internal audit records, are defined in DORIS Inc. documented information.

Doris Inc conducts internal audits at planned intervals to determine whether the QMS:

a) Conforms to the planned arrangements (see section 7.1), to the requirements of this International Standard and to the QMS requirements established by the organization

b) Is effectively implemented and maintained

An audit program has been designed and implemented, and identifies an audit schedule based on the importance of the areas to be audited, as well as the results of previous audits. The audit criteria, scope, frequency, methods, responsibilities and requirements for planning and conducting audits, and for reporting and maintaining results, are defined and documented according the Internal Audit procedure **QHES-SP-02.**

The management responsible for the area being audited is responsible for ensuring that actions are taken without undue delay to eliminate detected nonconformities and their causes. Follow-up activities include the verification of the actions taken and the reporting of verification results.

Integrated QHES audits will be performed and documented at planned intervals, based on the status of the work, by QHES assigned and trained department personnel.

The frequency of the audits shall be dependent on the size and the complexity of the activities, results of previous audits and in accordance with customer requirements.

Audit execution and reporting are carried out in accordance with **QHES-SP-02.**

## 9.3 Management Review

### 9.3.1 General

Several types of Management Reviews are held periodically to assure the management system in place can achieve its planned and intended results.

The President of DORIS Inc. attends DORIS Corporate Board of Directors meeting on a quarterly basis where strategy and targets are formulated and reviewed for the group.

The reviews described below provide a focused review of all aspects of the DORIS Inc. business, products, services and system to achieve its mission, vision and objectives and policies.

9.3.1.1. Bi-Monthly Management Review

Twice a month the DORIS President and Leadership team meet to review:

a) current status of proposals
b) current status of projects
c) allocation of personnel
d) utilization and resources
e) upcoming events
f) company financial status
g) risks and opportunities

The output of the meeting, including any specific actions, is documented in a minutes of meeting which is controlled in accordance with **QHES-SP-06**.

9.3.1.2. Monthly Capital Project Review

Projects are tracked for various metrics including schedule, budget and meeting deliverables of the contract. These metrics are evaluated within the project, with the client and internally with management.

Once a month a Capital Project Review meeting is held to review the status of open projects. Non-capital projects are reviewed as part of the Bi-Monthly Management Review. If there are no current Capital Projects, the meeting is not held. The meeting is attended by the Project Managers, Project Controls, QHES Manager, and Leadership team. For each active capital project the following is discussed.

a) Schedule Performance
b) Cost Performance
c) Project Risk and Opportunities
d) Conformity of deliverables
e) Any customer feedback

The output of the meeting, including any specific actions, is documented on a project action listed in accordance with **IMS-SP-02.**

9.3.1.3. QHES System Management Review

The DORIS Leadership Team perform Management Reviews at least once per year, to ensure its continuing suitability, adequacy, effectiveness, and alignment with DORIS Inc. strategic direction. This review includes assessing risks and opportunities for improvement, plus any need for changes to the QMS, including the quality policy and quality objectives.

9.3.2 Management Review Input

QHES Management Reviews are planned and carried out, taking into consideration:

a) the status of actions from previous management reviews

b) changes in external and internal issues that are relevant to the QMS
c) information on the performance and effectiveness of the QMS, including trends in:
    1) customer satisfaction and feedback from relevant interested parties
    2) the extent to which quality objectives have been met
    3) process performance and conformity of products and services
    4) nonconformities and corrective actions
    5) monitoring and measurement results
    6) audit results
    7) the performance of external providers
    8) adequacy of the Quality Policy
d) the adequacy of resources
e) the effectiveness of actions taken to address risks and opportunities (see section 6.1)
f) opportunities for improvement

### 9.3.3 Management Review Output

The outputs of the management reviews shall include decisions and actions related to:

a) opportunities for improvement
b) any need for changes to the QMS
c) resource needs

DORIS Inc. will retain documented information as evidence of the results of management reviews.

## 10.0 IMPROVEMENT

### 10.1 General

A system of checks by the Discipline Technical Leads, “cold eyes” reviews by Subject Matter Experts and approval by the Project Manager is established for all deliverables before they are issued such that comments, errors or formatting issues are picked up and corrected. Client comments are tracked after the document is issued and analyzed for inclusion or discussion. Changes after issue of the document receive the same checking and approval cycle as the original document.

DORIS Inc. Management with the support of QHES shall improve the effectiveness of the QMS using information and data from project lessons learned, project performance, audit results, customer feedback, HSE statistics, corrective actions and management review. These process improvements are reflected through the issue / update of policies and practices, training and objectives.

DORIS Inc. will determine and select opportunities for improvement and implement any necessary actions to meet customer requirements and enhance customer satisfaction. DORIS Inc. will continually improve its performance using its quality policy, quality objectives, audit results, analyses of data, corrections, corrective actions, and regular management reviews. Examples of improvement can include correction, corrective action, and process and product improvement.

These shall include:

a) improving products and services to meet requirements as well as to address future needs and expectations

b) correcting, preventing, or reducing undesired effects

c) improving the performance and effectiveness of the QMS

### 10.2 Nonconformity and Corrective Action

When a nonconformity occurs, including any arising from complaints, DORIS Inc. will:

a) react to the nonconformity and, as applicable:

   1) act to control and correct it;

   2) deal with the consequences;

b) evaluate the need for action to eliminate the cause(s) of the nonconformity, in order that it does not recur or occur elsewhere, by:

   1) reviewing and analyzing the nonconformity

   2) determining the causes of the nonconformity

   3) determining if similar nonconformities exist, or could potentially occur

c) implement any action needed

d) review the effectiveness of any corrective action taken

e) update risks and opportunities determined during planning, if necessary

f) make changes to the QMS, if necessary

g) corrective actions shall be appropriate to the effects of the nonconformities encountered

DORIS Inc. will retain documented information as evidence of:

a) the nature of the nonconformities and any subsequent actions taken

b) the results of any corrective action

DORIS Inc. has established a documented procedure to define the requirements for the controls and related responsibilities and authorities for dealing with nonconformities.

### 10.3 Continual Improvement

DORIS Inc. will continually improve the suitability, adequacy, and effectiveness of the QMS. DORIS Inc. will consider the results of analysis and evaluation, and the outputs from management reviews, to determine if there are needs or opportunities that shall be addressed as part of continual improvement. DORIS inc. has established a documented procedure to define the requirements for: **(QHES-SP-03)**

a) determining potential nonconforming outputs and their causes

b) evaluating needs for preventive action(s) to prevent occurrence of nonconforming outputs

c) determining and implementing preventive action(s) as needed

d) documenting the results of preventive action(s) taken

e) reviewing the effectiveness of preventive action(s) taken