Module VII: QMS Requirements

Clause 9: Performance Evaluation
Clause 9: Performance Evaluation

9 Performance Evaluation

9.1 Monitoring, measurement, analysis and evaluation
9.2 Internal Audit
9.3 Management Review
9.1 Monitoring, Measurement, Analysis and Evaluation

9.1.1 General

The organization shall **DETERMINE:**

- **WHAT** needs to be monitored and measured
- **WHEN** the monitoring measurement shall be performed
- **HOW** (Methods) to ensure valid results
- **WHEN** the results to be analyzed and evaluated
9.1 Monitoring, Measurement, Analysis and Evaluation

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9.1 Monitoring, Measurement, Analysis and Evaluation

9.1.1 General

- The organization shall **EVALUATE** the performance and effectiveness of the QMS.
- The organization shall **RETAIN** appropriate documented information.
What can an organization utilize/apply to determine what to monitor and measure?

- **PROCESS MAP or MODEL**
  this provides the highest level of illustrating the organization’s processes
What can an organization utilize/apply to determine what to monitor and measure?

- **PROCESS MATRIX**
  Illustrates the basic components of an organization key processes such as the inputs, outputs, key responsibilities, process controls, etc.

- **Documented procedures & work instructions** also provide information on M and M.
### Clause 9: Performance Evaluation

#### 9.1 Monitoring, Measurement, Analysis and Evaluation

<table>
<thead>
<tr>
<th>FUNCTION</th>
<th>PROCESS CONTROL METHOD / MECHANISM</th>
<th>MONITORING TOOL</th>
<th>FREQUENCY OF MONITORING</th>
<th>UNIT RESPONSIBLE</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Compensation and Benefits</td>
<td>• Verification of attendance (hours worked, leave taken)</td>
<td>• Attendance sheet, leave ledgers, payslip</td>
<td>• Every payroll</td>
<td>• Personnel Section</td>
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<td></td>
<td>• Review of compliance to government regulations</td>
<td>• Government communication/circulars</td>
<td></td>
<td></td>
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<tr>
<td>• Training and Development</td>
<td>• Training Needs Assessment</td>
<td>• Training &amp; Development Plan</td>
<td>• Quarterly</td>
<td>• Personnel Section</td>
</tr>
<tr>
<td>Plan Formulation</td>
<td>• Competency Identification</td>
<td>• Performance Evaluation System</td>
<td>• Semestral</td>
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</table>
9.1 Monitoring, Measurement, Analysis and Evaluation

Clause 9: Performance Evaluation

9.1.2 Customer Satisfaction

- **Monitor information relating to customers’ perception** of the degree to which their needs and expectations have been fulfilled.
- **Determine the methods** for obtaining, monitoring, and reviewing the information.
9.1 Monitoring, Measurement, Analysis and Evaluation

9.1.2 Customer Satisfaction

This requirement can be demonstrated through the following examples:

Structured Approach:
- Training/program evaluation
- Project /program evaluation
- Client satisfaction/dissatisfaction survey
- Project deliverable acceptance
9.1 Monitoring, Measurement, Analysis and Evaluation

9.1.2 Customer Satisfaction

- Regular meetings (briefings/debriefings/assessment) with clients
- Website feedback tab/window
- Suggestion box
- Focus Group Discussions (FGD)
9.1.2 Customer Satisfaction

This requirement can be demonstrated through the following examples:

**Unstructured Approach:**
- Complaints Management Process/Unit
- Public Affairs
The organization **SHALL** analyse and evaluate **appropriate** data and information arising from monitoring and measurement.
### Clause 9: Performance Evaluation

**9.1 Monitoring, Measurement, Analysis and Evaluation**

**9.1.3 Analysis and Evaluation – Application**

The results of analysis **SHALL** be used to evaluate:

<table>
<thead>
<tr>
<th>ISO 9.1.3 Sub clause</th>
<th>Analyze and Evaluate</th>
<th>Documented Information to be used for Analysis and Evaluation <em>(including but not limited to Summary, Analysis, and Trending statistics)</em></th>
</tr>
</thead>
</table>

**NOTE:** Methods to analyze data **CAN** include statistical techniques.
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9.1 Monitoring, Measurement, Analysis and Evaluation

9.1.3 Analysis and Evaluation – Application

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</tr>
</thead>
</table>
| 9.1.3 a              | Product and service conformities | • Course Evaluation; Pre/Post Test  
• Product / Service Inspection Report |
| 9.1.3 b              | Degree of customer satisfaction | • Customer satisfaction/dissatisfaction report  
• Customer complaints/feedback  
• Training /Program Report |
| 9.1.3 c              | Performance & effectiveness of QMS | • Performance Accomplishment Report  
• Internal /external audit report |
### Clause 9: Performance Evaluation

#### 9.1 Monitoring, Measurement, Analysis and Evaluation

#### 9.1.3 Analysis and Evaluation – Application

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| 9.1.3 d              | Effective plan implementation | • Action plan monitoring (corrective action)  
• Performance analysis (organization-wide and group wide level) |
| 9.1.3 e              | Effectiveness of actions taken to address risks and opportunities | • Monitoring and evaluation results of risk management plan  
• Potential Problem Analysis (PPA), Logframe (identification only),  
• Work plan |
| 9.1.3 f              | Performance of external providers | • Suppliers/consultants evaluation |
| 9.1.3 g              | Need for improvement to the QMS | • Analysis and conclusion of a-f  
• Suggestion box, Management Review |
Clause 9: Performance Evaluation

9.2 Internal Audit

9.2.1 The organization shall conduct internal audit at planned intervals to provide information on whether the quality management system:

a. conforms to:
   • The organization’s own requirements for its QMS;
   • The requirements of this International Standard;

b. is effectively implemented and maintained.
9.2.2 The organization SHALL a. Plan, establish, implement, and maintain an audit programme(s) including the:

- Frequency
- Methods
- Responsibilities
- Planning Requirements
- Reporting

Importance of the processes concerned
Changes affecting the organization
Results of the previous audits
9.2 Internal Audit

9.2.2 The organization SHALL:

- Define scope and criteria
- Select auditors and conduct audit to ensure objectivity and impartiality
- Report audit results to relevant management
- Take appropriate correction and corrective action without undue delay
- Retain documented info as evidence of audit programme Implementation and audit results
9.3 Management Review

9.3.1 General

Top management shall review the organization’s QMS, at planned intervals, to ensure its continuing suitability, adequacy, effectiveness, and alignment with the strategic directions of the organization.
9.3 Management Review

9.3.2 Inputs

01 Status of actions from previous Management Reviews

02 Changes in QMS-relevant internal and external issues

03 Information on the performance And effectiveness of the QMS
Clause 9: Performance Evaluation

9.3 Management Review

9.3.2 Inputs

04 Adequacy of resources

05 Effectiveness of actions taken to address risks and opportunities

06 Opportunities for improvement
9.3 Management Review

Clause 9: Performance Evaluation

9.3.2 Inputs

• Customer satisfaction and feedback from stakeholders
• Quality objectives attainment
• Process performance and conformity of products & services
• Nonconformities and corrective actions
• Monitoring and measurement results
• Audit results
• Performance of external providers
9.3.3 Outputs
The outputs of the management review SHALL include decisions and actions related to:

- Opportunities for improvement
- Any need for changes in the QMS
- Resource needs
9.3 Management Review

9.3.3 Outputs
The organization **SHALL** retain documented information as evidence of the results of management reviews.

Examples of Documented Information
- Minutes of Meeting (MOM)
- Action Plan
- Resolutions
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Module II: QMS Requirements