Orientation on ISO 9001:2015 Quality Management System

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INTRODUCTION

01 Do we need Quality Management System in the Government?

02 If we do, why ISO 9001:2015 QMS?

03 What is ISO 9001:2015 QMS?

04 What does it take?
Do we need Quality Management System in the Government?
Do we need Quality Management System in the Government?

The Philippines inched up 1 notch in the 2017 WEF Global Competitiveness index

Source: The Global Competitiveness Report 2017-2018
*2017-2018 rank out of 137 economies

<table>
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<tr>
<th>Global rank*</th>
<th>Switzerland</th>
<th>United States</th>
<th>Singapore</th>
<th>Netherlands</th>
<th>Germany</th>
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<th>Japan</th>
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The Philippines' Ranking from 2011-2017

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Do we need Quality Management System in the Government?

The Challenge

“The erosion of confidence in the capacity of our public servants to make the people’s lives better, safer and healthier”

Erosion of faith and trust in government

GQMP Response

Make services accessible, convenient and pleasant to the transacting public

✓ Reduce requirements and the processing time of all applications
✓ Certify QMS covering the streamlined processes

Source: Inaugural Address of President Rodrigo Duterte
Oath-taking of the President of the Philippines
Malacañang Palace | June 30, 2016
Do we need Quality Management System in the Government?

"MALASAKIT" Enhancing the social fabric of public institutions

Outcome
Citizen-centered, innovative, clean, efficient, effective and inclusive delivery of public goods and services

Sub-Sector Outcomes
- Citizenry fully engaged & empowered
- Corruption reduced
- **Seamless service delivery achieved**
- Administrative governance enhanced
- Civil service strengthened

Improved citizen satisfaction driven by government-wide quality improvement
Legal Basis

- **Administrative Order No. 161, s. 2006** *(lnstitutionalizing Quality Management System in Government)* dated October 5, 2006

- **Executive Order No. 605, s. 2007** *(lnstitutionalizing the Structure, Mechanisms and Standards to Implement the Government Quality Management Program, Amending for the Purpose Administrative Order No. 161, s. 2006)* dated February 23, 2007


- **Administrative Order 25, s. 2011** *(Creating an Inter-Agency Task Force (IATF) on the Harmonization of Government Performance Monitoring Information and Reporting Systems)*

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Do we need Quality Management System in the Government?
EO No. 605: Institutionalization of the Government Quality Management Program

Directs **departments/agencies** under the Executive Branch and GOCCs to **adopt ISO-QMS and pursue certification**

Enjoins **SUCs** and encourages **LGUs, Judiciary, Legislature, and Constitutional Offices** to establish ISO-QMS and pursue certification

Directs **establishment of citizens’ charter of key government offices** as service guarantee

**Do we need Quality Management System in the Government?**
Goal of the GQMP

To strengthen institutional capacities of public sector organizations in delivering citizen-focused public services and in implementing international standards-based quality management systems (QMS)

Do we need Quality Management System in the Government?
The **Government Quality Management Committee**

The **GQMC** is mandated to formulate policies and oversee GQMP implementation.

**Composition**

Chair: [Department of Budget and Management](https://www.dbm.gov.ph)

Co-Chair: [Department of Trade and Industry (DTI)](https://www.dti.gov.ph)

Do we need Quality Management System in the Government?
Administrative Order 25, s. 2011 and the QMS

“the common target should be establishment of Quality Management System aligned with ISO 9001 Standards or the continuing certification of one frontline service.”
QMS Certification in Asia and the Philippines


Do we need Quality Management System in the Government?
QMS Certification in the Philippine Government

Do we need Quality Management System in the Government?

340 Certificates Issued to the Government

As of April 11, 2017

01

Do we need Quality Management System in the Government?
As of April 11, 2017, the following are the ISO 9001 QMS Certifications in the Government:

<table>
<thead>
<tr>
<th>Category</th>
<th>Percentage</th>
<th>Count/Total</th>
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<tbody>
<tr>
<td>National Government Agencies</td>
<td>50%</td>
<td>12/24</td>
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<tr>
<td>NGA Attached Offices and Bureaus</td>
<td>43%</td>
<td>100/234</td>
</tr>
<tr>
<td>Government Owned or Controlled Corporations</td>
<td>35%</td>
<td>47/135</td>
</tr>
<tr>
<td>Constitutional Offices</td>
<td>33%</td>
<td>2/6</td>
</tr>
<tr>
<td>State Universities and Colleges</td>
<td>28%</td>
<td>32/114</td>
</tr>
<tr>
<td>Other Executive Offices</td>
<td>25%</td>
<td>10/40</td>
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<tr>
<td>Local Water Districts</td>
<td>3%</td>
<td>13/515</td>
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<td>Local Government Unit</td>
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**Do we need Quality Management System in the Government?**

As of April 11, 2017
If we do, why ISO 9001:2015 QMS?
If we do, why ISO 9001:2015 QMS?
Benefits of ISO 9001 in the Government

QMS Gaps

- Absence of quality policy, objectives and plans
- Unclear flow of information
- Recurring transactional errors
- Unclear procedures
- Lack of systems audit and review

QMS Improvements

- Defined quality policy, objectives and plans
- Installed control of documents and records
- Installed control of nonconforming services
- Documented work procedures
- Installed internal quality audit

For Further Improvements

- Address expectations of key stakeholders
- Enhance organizational knowledge
- Promote risk-based thinking
- Streamline processes
- Improve capacities in system audit

If we do, why ISO 9001:2015 QMS?
QMS in DOH

• Better image of DOH
• Improved planning and performance review
• Improved communication
• Clearly defined interface among offices
• Fact-based decisions

Employees’ Gains
• Improved consciousness on service quality and continual improvement
• More organized records and offices
• Pride in job

“ISO tayo… Serbisyon de Kalidad at SiguraDOH”
Results of QMS in DPWH

• Clean and more organized work areas
• Improved records filing system
• Improved awareness on roles and responsibilities
• More defined and systematic processes and procedures
• Brought prestige to the office
• People are now working with pride
What is ISO 9001:2015 QMS?
What is ISO?

- An independent, non-governmental international organization with a membership of 162 national standards bodies.
- Formed on 23 February 1947.
- Published over 21,542 International Standards covering almost all aspects of technology and manufacturing.

ISO is derived from the Greek *isos*, meaning *equal*.
Core Standards

- ISO 9001:2015 – QMS Requirements
- ISO 9000:2015 – QMS Fundamentals and Vocabulary
- ISO 9004:2009 – Managing for the Sustained Success of an Organization - A Quality Management Approach

What is ISO 9001:2015 QMS?
Other ISO Standards

- ISO 19011 Guidelines for Auditing Management System
- ISO 9001 Quality Management System
- ISO 14000 Environmental Management System
- ISO 22000 Food Safety & Management System
- ISO 27000 Information Security Management System
- ISO 31000 Risk Management System
- ISO 26000 Social Responsibility

What is ISO 9001:2015 QMS?
Comprises activities by which the organization identifies its objectives and determines the processes and resources required to achieve desired results.

Manages the interacting processes and resources required to provide value and realize results for relevant interested parties.

Provides the means to identify actions to address identified and unintended consequences in providing products and services.

Enables top management to optimize the use of resources considering the long and short term consequences of their decision.

What is ISO 9001:2015 QMS?
Goal of QMS

QMS aims to increase an organization’s awareness of its duties and commitment in fulfilling the needs and expectations of its customers and interested parties, and in achieving satisfaction with its products and services.
Quality Management Principles

01 Customer Focus: Meeting customer requirements and exceeding customer expectations

02 Leadership: Establishing unity of purpose & direction

03 Engagement of People: Enhancing organizational capability to create and deliver value by engaging competent and empowered people at all levels

04 Process Approach: Understanding and managing interrelated processes that function as a coherent system

05 Improvement: Successful organizations have an ongoing focus on improvement

06 Evidence-based Decision Making: Decisions based on the analysis of data and information are more likely to produce desired results

07 Relationship Management: Managing relationships with relevant interested parties, such as providers, for sustained success.

What is ISO 9001:2015 QMS?
Frequently-Used Verbs in the ISO 9001:2015

- **Shall** – requirement
- **Should** – recommendation
- **May** – permission
- **Can** – possibility or capability
- **Note** – for guidance and clarification
Overview of QMS Requirements

Clause 4 **Context of the Organization**
Clause 6 **Planning**

Clause 5 **Leadership**

Clause 7 **Support**
Clause 8 **Operation**

Clause 9 **Performance Evaluation**

Clause 10 **Improvement**

**What is ISO 9001:2015 QMS?**
Structure of ISO 9001:2015 QMS

1. Scope
2. Normative Reference
3. Terms and Definitions
Structure of ISO 9001:2015 QMS

4  Context of the Organization

4.1 Understanding the Organization and its context
   ❖ Determine external & internal issues

4.2 Understanding the needs and expectations of interested parties
   ❖ Determine interested parties (and their requirements) as relevant to the QMS

4.3 Determining the scope of the QMS

4.4 QMS and its processes
5 Leadership

5.1 Leadership and Commitment

5.2 Policy

5.3 Organizational roles, responsibilities and authorities
Structure of ISO 9001:2015 QMS

6 Planning

6.1 Actions to address risks and opportunities

6.2 Quality Objectives and planning to achieve them

6.3 Planning of Changes
Structure of ISO 9001:2015 QMS

7 Support

7.1 Resources
7.2 Competence
7.3 Awareness
7.4 Communication
7.5 Documented Information
Structure of ISO 9001:2015 QMS

8 Operation

8.1 Operational planning and control
8.2 Requirements for products and services
8.3 Design and development of products and services
8.4 Control of externally provided processes, products and services
8.5 Production and service provision
8.6 Release of products and services
8.7 Control of nonconforming outputs
Structure of ISO 9001:2015 QMS

9 Performance Evaluation

9.1 Monitoring, measurement, analysis and evaluation

9.2 Internal Audit

9.3 Management Review
Structure of ISO 9001:2015 QMS

10 Improvement

10.1 General
10.2 Nonconformity and corrective action
10.3 Continual Improvement
What is ISO 9001:2015 QMS?
Process Approach

What is ISO 9001:2015 QMS?

Sources of Inputs
- Predecessor Processes e.g. customers, other relevant interested parties

Inputs
- Matter, Energy Information e.g. materials, resources, requirements

Activities

Outputs
- Matter, Energy Information e.g. product, service, Decision

Receivers of Outputs
- Subsequent Processes e.g. customers, other relevant interested parties

Possible Controls and check points to monitor and measure performance
Sample Process Model

What is ISO 9001:2015 QMS?
SAMPLE PROCESS MAP FOR SUCs
Documented Information

1. Scope of QMS
2. Justification for any ISO 9001:2015 requirement that is not applicable to the scope
3. Quality Policy
4. Quality Objectives
5. Information to support the operation of its processes, e.g., procedures, work instructions, workflow etc.
6. Characteristics of the product, services and/or activities to be performed
7. Results to be achieved during production and service provision
Documented Information

8. Information to have evidence that processes are carried out as planned
9. Information as evidence of fitness for purpose of the monitoring and measurement resources
10. Information used as basis for calibration or verification of measuring equipment when no int’l or national standards exist
11. Organizational knowledge necessary for the operation of its processes and to achieve conformity of products and services
12. Evidence of competence
13. Results of the review of requirements for products and services
14. New requirements for the products and services
15. Information needed to demonstrate that design and development requirements have been met
16. Design and development inputs, outputs design, changes, results of review, authorization of changes and actions taken to prevent adverse impacts
17. Controls applied to the design and development process
18. Evaluation, selection, monitoring of performance, re-evaluation and actions arising from the evaluations of external providers

19. Information on what occurred when customer or external provider’s property is lost, damaged and/or found to be unsuitable for use

20. Information describing the results of the review of changes during production and service provision, the person/s authorizing the change, and any necessary actions rising from the review
Documented Information

21. Evidence of conformity with the acceptance criteria during release of products and services
22. Traceability to the person/s authorizing the release of product/service
23. Description of Nonconformity, actions taken, concessions obtained and authority deciding the action/s in respect of the nonconformity
24. Results of corrective action to nonconformities
25. Results of evaluation on QMS performance and effectiveness
Documented Information

26. Implementation of the audit programme
27. Audit results
28. Results of management reviews
Typical Documentation Structure

- **Policies**
- **Procedures and Guidelines**
- **Records**

- Governing Rules of the Organization
- Maintained information on Organization’s processes
- Retained Information as evidence of performing the Organization’s processes

What is ISO 9001:2015 QMS?
What does it take?
GQMP Beneficiary Agencies

Beneficiary agencies are selected based on the relevance of the agency’s **frontline services** to business sector and the general public.
Development of ISO 9001:2015 QMS

Project Objective

To facilitate the establishment and/or certification of the ISO 9001:2015 QMS for the Agency’s management, support processes, and operations

Important Note:
The QMS shall cover full scope or core processes that directly contribute to the attainment of the Agency’s major final outputs.
QMS Development

Roadmap

**QMS Development**
- Process Walkthrough
- Orientation on QMS
- Training on QMS Reqs and Documentation
- Workshop on Process Mapping and Risk-based Quality Planning
- Workshop on QMS Documentation
- Seminar-Workshop on Streamlining Frontline Services
- Technical Guidance on Enhancement of Operational Controls

**Months 1-4**

**QMS Development**

**Months 5-7**

**QMS Implementation**
- Technical Guidance on QMS Implementation
- Seminar on 5S Good Housekeeping

**Months 6-8**

**QMS Evaluation**
- Training on Auditing QMS
- Workshops on Auditing QMS
- Training Course on Root Cause Analysis and Corrective Action Formulation
- Technical Guidance on Management Review
- Readiness Assessment
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<th>Activity/Expected Output*</th>
<th>Timeframe</th>
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The Agency shall:

1. Designate a **counterpart support team** who will work closely with the DAP Project Team regarding technical and administrative requirements of the project, including the monitoring of the progress of the various project activities;

2. Draft the **documented information**, including specific QMS related forms and tools agreed upon during workshops, with guidance from DAP Project Team;

3. Ensure implementation of **relevant project activities** and provide **policy support** for the implementation of quality systems and procedures adopted by the Agency;
Project Terms and Conditions

The Agency shall:

4. Ensure availability and participation of staff/participants concerned during the conduct of training courses and other activities necessary in the course of the project; and,

5. Ensure that the project is completed within the agreed duration (by 31 December; and,

6. Procure a third party certifying body for the certification of the established QMS to ISO 9001:2015 standard within three (3) months upon completion of the DAP’s technical assistance.
QMS Organization

Top Management

QMS Leader/Head

QMS Secretariat

QMS Core Team

- Risk Management Team
- Training & Advocacy Team
- Knowledge Management Team
- QMS Internal Audit Team
- Quality Workplace Team
Roles and Responsibilities of Top Management

• Leads the establishment implementation, and monitoring of the QMS
• Ensures effectiveness of the QMS through risk-based thinking
• Establishes and communicates quality policy;
• Ensures that quality objectives are established;
• Communicates the importance of meeting customer requirements;
• Determines and provides necessary resources and ensures that they are adequately available; and,
• Conducts Management Review meetings.
Roles and Responsibilities of QMS Leader/Head

- Oversees the establishment, documentation, and effective implementation of the QMS
- Promotes risk-based thinking in overseeing the effectiveness of the QMS
- Acts as liaison with external parties on matters relating to QMS
- Ensures that procedures for IQA, Management Review, Corrective Actions are established and implemented
- Reports QMS performance to Top Management for review and continual improvement
Roles and Responsibilities of QMS Secretariat

• Provides administrative support to successfully implement the QMS up to the 3rd party certification
• Facilitates the delivery of specific outputs in-line with the QMS
• Plans and coordinates effective deployment and efficient use of human, financial, and other physical resources for the QMS
Roles and Responsibilities of QMS Core Team

• Ensures that the requirements for maintaining and retaining documented information are established and implemented.
Roles and Responsibilities of Risk Management Team

• Performs oversight function in ensuring that the established risk controls and related activities are consistently implemented

• Plans and coordinates effective and efficient use of risk control tools

• Ensures that risk-related information are maintained and retained
Roles and Responsibilities of Training and Advocacy Team

- Provides administrative support in terms of training and advocacy in the successful implementation and sustenance of the QMS
- Plans and coordinates effective deployment and efficient use of resources in-line with training and advocacy activities
- Plans and coordinates echoing/cascading sessions on QMS-related training
Roles and Responsibilities of Knowledge Management Team

- Ensures that the requirements for maintaining and retaining documented information are established and implemented
- Coordinates and oversees activities related to managing organizational knowledge
Roles and Responsibilities of Quality Workplace Team

- Ensures that the environment for the operation of processes needed to achieve conformity to service requirements are managed
- Ensures consistent implementation of 5S programs, as applicable
- Monitors and assesses workplace cleanliness, orderliness, and safety
Roles and Responsibilities of QMS Internal Audit Team

• Determines conformance of the QMS to the planned arrangements and to the requirements of ISO 9001
• Determines whether the QMS is effectively implemented and maintained
• Provides input to management review regarding the results of audits
• Keeps track of the implementation of the corrective and preventive actions for nonconformance raised during the audits
Roles and Responsibilities of Employees

• Active involvement and participation in all ISO-QMS related activities

• Sincere commitment in working together with the ISO Core Team towards continual improvement of the management systems
ELEMENTS OF SUCCESS

✓ Top management commitment
✓ Core team commitment
✓ Organization-wide employee participation, cooperation, and support
✓ Proper time management
✓ Close coordination
EXPECTED PROJECT OUTPUTS

- Capability building for the counterpart team
- Documented QMS
- QMS certifiable to ISO 9001:2015
- Mechanisms to sustain the QMS
ISSUES AND CONCERNS

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Thank you!
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DOCUMENTOR/TECHNICAL STAFF
Thank You!!