



# ISO 9001:2015

Subject: Quality Management System

Clause 9 & 10 – Performance Evaluation & Improvement



УНИВЕРЗИТЕТ У БЕОГРАДУ  
ФАКУЛТЕТ ОРГАНИЗАЦИОНИХ НАУКА

# Contents

ISO 9001:2015

## ISO 9001:2015 CLAUSES



### CLAUSE 4

Context of the organization



### CLAUSE 5

Leadership



### CLAUSE 6

Planning



### CLAUSE 8

Operation



### CLAUSE 10

Improvement



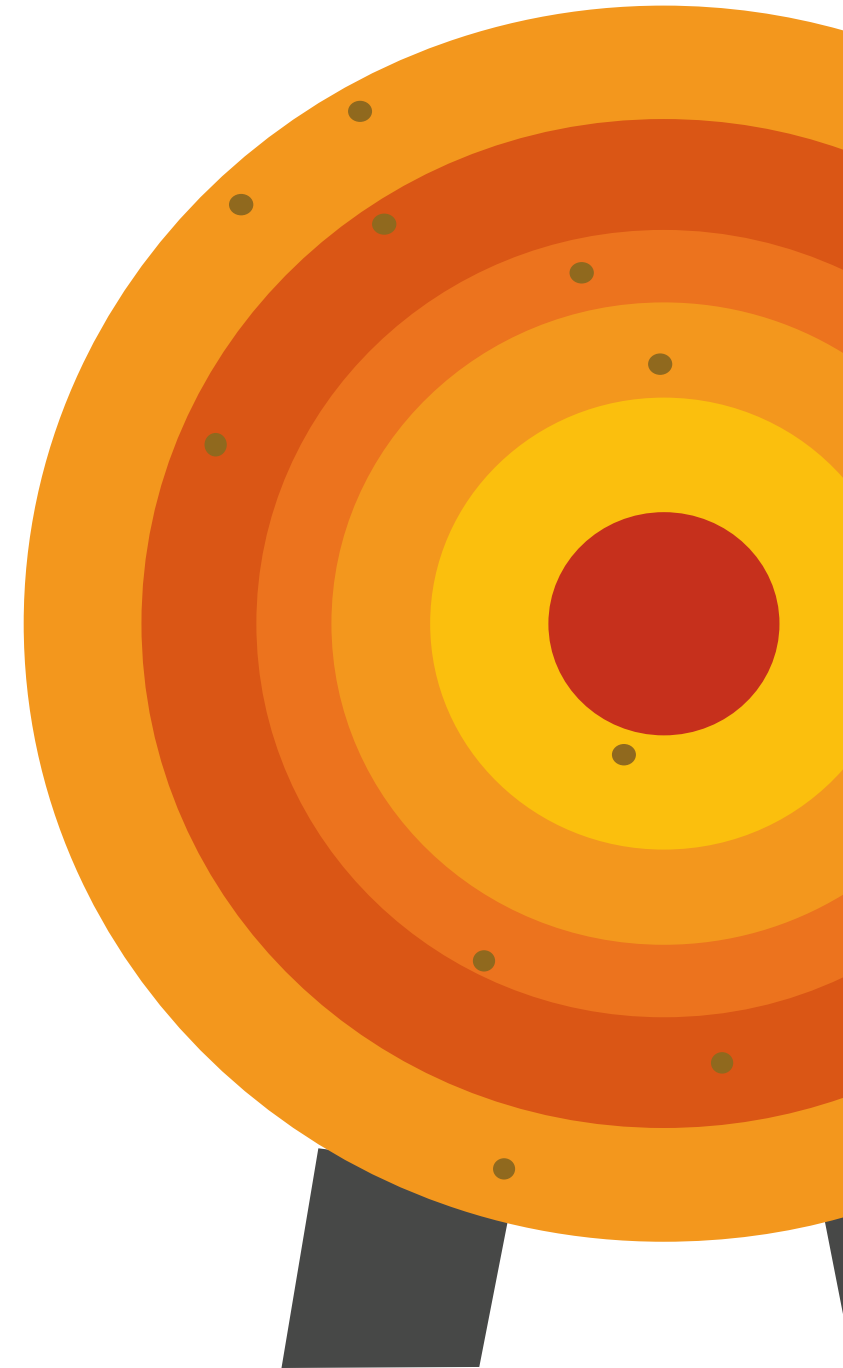
### CLAUSE 7

Support



### CLAUSE 9

Performance evaluation



# CLAUSE 9 – Performance Evaluation

## Requirements

**9.1 MONITORING, MEASUREMENT, ANALYSIS AND  
EVALUATION - CUSTOMER SATISFACTION & ANALYSIS AND  
EVALUATION**

**9.2 INTERNAL AUDIT**

**9.3 MANAGEMENT REVIEW**

# CLAUSE 9 – Performance Evaluation

The organization shall **determine**:

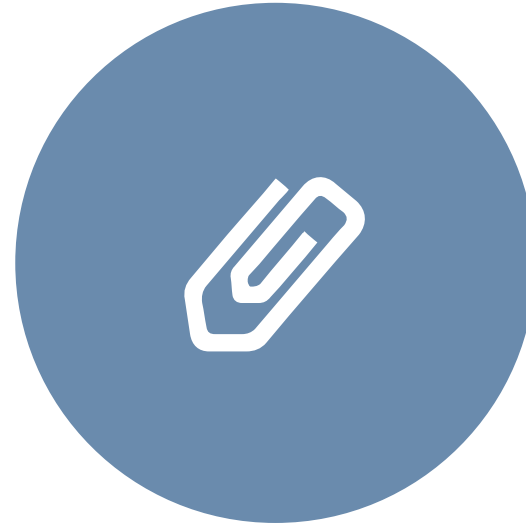


# CLAUSE 9 – Performance Evaluation



## **THE ORGANIZATION SHALL EVALUATE**

the **performance** and the  
**effectiveness** of the quality  
management system



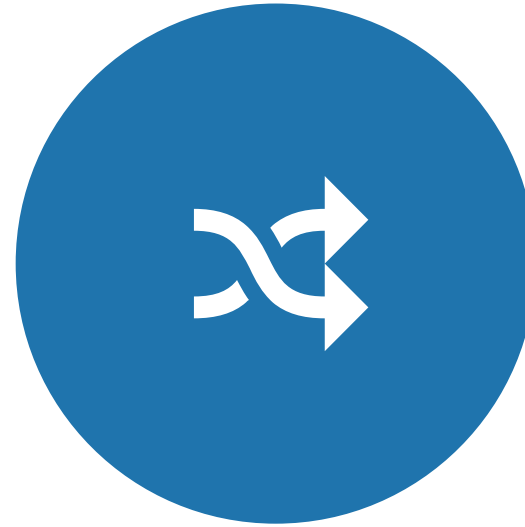
## **THE ORGANIZATION SHALL RETAIN**

appropriate **documented**  
**information** as evidence of the  
results

# Customer satisfaction



The organization shall monitor the **customers' perception** of the degree to which their **needs and expectations** have been fulfilled



The organization shall determine **the methods** for obtaining, monitoring and reviewing this **information**

# Customer satisfaction

## Examples

1

Customer surveys, customer feedback (praise, complaints...)

2

Meetings with customers

3

Market-share analysis

4

Compliments, warranty claims

5

Dealer reports

[Short Client Name]

# Customer Satisfaction Survey

Rev. [Rev Number]

**Instructions:** Please fill out the form below and fax it back to [Fax] or email to [General Company Email Address].

Customer Name: \_\_\_\_\_

Customer Fax: \_\_\_\_\_

Contact Name: \_\_\_\_\_

Date: \_\_\_\_\_

Survey Question		Rating		
		Excellent	Good	Needs Improvement
1	Are you satisfied with our services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2	How would you rate our level of quality?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3	How would you rate our level of customer service?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4	Do you feel we adequately respond to and correct any problems or issues that may arise?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5	How would you rate our overall performance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Comments:



The background of the slide is a dark, semi-transparent image. It depicts a hand holding a circular lens or filter in the lower-left foreground. In the upper-right, a metal caliper is visible, with its jaws open. Below the caliper, a technical drawing or blueprint is partially visible, showing various lines and measurements. The overall tone is professional and technical.

”

An organization - wide program that integrates all functions and processes of the business so that **design, planning, production, distribution and services** are focused on maximizing customer satisfaction through continued improvement.

Gary Dessler (Author in Human Resource Management)

# DETERMINANTS OF SERVICE QUALITY (SERVQUAL)

A system approach of the customer satisfaction through the different attributes of service quality



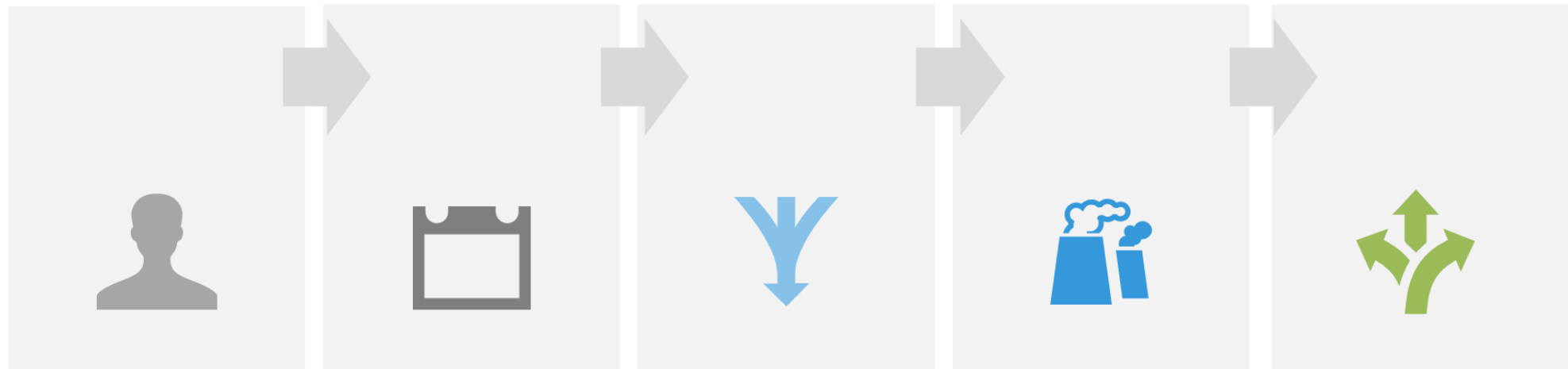
# DATA AND ANALYSIS

The background of the image is a blurred, grayscale photograph of a document. It features a prominent bar chart with several vertical bars of varying heights, and a line graph with multiple intersecting lines. The text 'DATA AND ANALYSIS' is overlaid on the left side of the image in a large, bold, white sans-serif font.

# ANALYSIS AND EVALUATION

The results of analysis shall be used to evaluate:

- a. **Conformity** of products and services
- b. the **degree** of customer satisfaction
- c. the **performance** and **effectiveness** of the **quality management system**
- d. if **planning** has been **implemented** effectively
- e. **effectiveness** of **actions** taken to **address risks** and **opportunities**
- f. the **performance** of **external providers**
- g. the need for **improvements** to the quality management system



# FAILURE MODE EFFECT ANALYSIS (FMEA)

FAILURE MODE & EFFECTS ANALYSIS (FMEA)				
PROCESS NAME	PROCESS NUMBER		Date:	
			Revision:	
Failure Mode	A) Severity  Rate 1-10 10 = Most Severe	B) Probability of Occurrence  Rate 1-10 10 = Highest Probability	C) Probability of Detection  Rate 1-10 10 = Lowest Probability	Risk Preference Number (RPN)  $A \times B \times C$
1. Select wrong color seat belt	5	4	3	60
2. Seat belt bolt not fully tightened	9	2	8	144
3. Trim cover clip misaligned	2	3	4	24

# FIVE WHY ANALYSIS

The 5 Whys is a question-asking method used to explore the cause of a particular problem and to understand cause-and-effect relationships

	WHY?	REASON
WHY 1	Why was our customer unhappy?	The service has been delivered to late. The customer was unsatisfied.
WHY 2	Why was the service not prepared on time?	We did not prepare the service on time because it took much longer than we expected.
WHY 3	Why did it take so long?	Because we did not receive all approvals on time and underestimated the duration of the project.
WHY 4	Why did we underestimate the project duration?	Because we forgot to prepare a detailed list of all tasks.
WHY 5	Why did we forget it?	Because we were running behind on other projects and failed to review our task list and time estimation during the project.
Root Cause*	We did not have checklists to track our tasks and to estimate the duration of the project. For future projects, these factors shall be considered.	

\* Note the root cause(s) of the problem here. Only the one who experienced the problem is qualified to perform the analysis.  
There is usually more than one root cause.



A blurred background image featuring a dark-colored pen resting on a document. The document contains a line graph with several data points connected by lines, showing an upward trend. The overall image is out of focus, with the text 'INTERNAL AUDIT' overlaid in the center.

# INTERNAL AUDIT

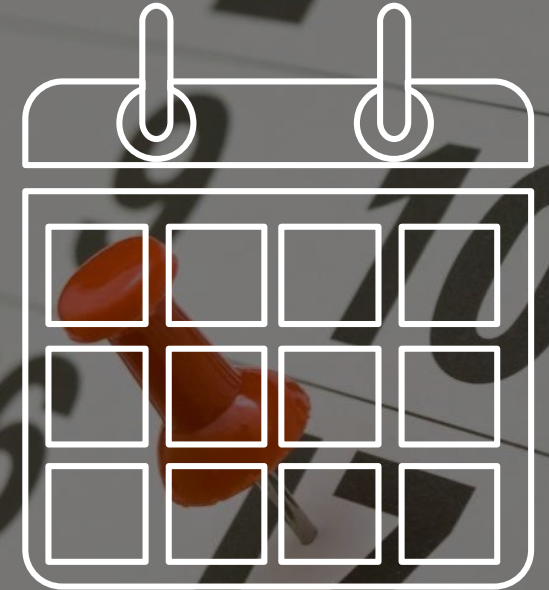
# INTERNAL AUDIT

The organization shall

- conduct internal audits
- at planned intervals

to provide information on whether the quality management system **conforms to**

- the organization's own requirements for its quality management system
- and the requirements of this International Standard





# INTERNAL AUDIT

The organization shall

- plan
- establish
- implement and
- maintain
- one or more audit program(s)



# INTERNAL AUDIT

In doing so, it shall be considered :

- frequency of audits
- methods
- responsibilities
- planning requirements and
- reporting

which is dependent on:

- importance of the processes concerned
- changes affecting the organization and
- the results of previous audits



# INTERNAL AUDIT

The organization shall:

- **define the audit criteria** and
- **scope** for each audit

select auditors and conduct audits to

- **ensure objectivity**
- and the **impartiality** of the **audit process**.



# INTERNAL AUDIT

It shall be ensured that

- the results of the audits are reported to relevant management.

If correction and corrective actions are necessary, they shall be implemented without undue delay.



Example – Internal audit report

STEP ONE: Audit Plan

Process to Audit (Audit Scope):	
Audit Date(s):	Lead Auditor:
Audit #:	Auditor(s):
Scope for Audit:	
Applicable Clauses of ISO 9001 or AS9100 Standard:	
Applicable Documents to Audit	
Doc(s) Revised Date (Yr):	Rev:

STEP TWO: Compare Documentation vs. Requirements

Compare the [Short Client Name] documentation with the applicable clauses of ISO 9001 or AS9100:		
Question	YES/NO	Evidence or Notes Sheet Ref. #
In general, does the [Short Client Name] documentation meet the requirements of ISO 9001 or AS9100?		
Review any customer requirements that may be applicable to this process. (If none are found, enter "N/A" in the middle column.) In general, does the [Short Client Name] documentation meet these requirements?		
Review any industry or regulatory requirements that may be applicable to this process. (If none are found, enter "N/A" in the middle column.) In general, does the [Short Client Name] documentation meet these requirements?		
Indicate any suggestions for improvement related to the documentation:		

THE AIM IS TO  
IMPLEMENTE  
WITHOUT UNDUE  
DELAY

THROUGH COMPREHENSIVE  
AND RAPID CIRCULATION OF  
INFORMATION



A blurred background image featuring a dark-colored pen resting on a document. The document contains a line graph with several data points connected by lines, showing an upward trend. The overall image is out of focus, with the text 'MANAGEMENT REVIEW' overlaid in the center.

# MANAGEMENT REVIEW



# MANAGEMENT REVIEW

Top management shall

- review the organization's quality management system
  - at planned intervals
  - to ensure its continuing suitability
  - adequacy and
  - effectiveness and
  - alignment with the strategic direction
- of the organization.



# MANAGEMENT REVIEW

The **management review** shall be **planned** and **carried out**, taking into consideration the **following aspects** (inputs):

- **Status** of the **actions** from **previous management reviews**
- **changes** in **external** and **internal issues** that are relevant to the quality management system
- **information** on the **performance** and **effectiveness** of the **quality management system**
- the **adequacy** of **resources**
- the **effectiveness** of **actions** taken to **address risks** and **opportunities**
- **opportunities** for **improvement**



# MANAGEMENT REVIEW

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

- opportunities for improvement
- any need for changes to the quality management system
- resource needs



Example – Management Review Meeting Minutes

This template is intended as a guide to prepare records of Management Review Meetings. Please complete each section. This form may be used as the form report, or used as a template to form and produce your own Management Review Meeting records. At all stages, management must consider proper protection measures to ensure the security and integrity of the information. Please refer to the relevant section of the ISO 9001:2015 standard (Clause 9.3.2) for more information.

Date of Review:

Recorded by:

In attendance:

NAME	TITLE

Absent:

NAME	TITLE

For absent members, the minutes of this meeting must be sent to them afterwards, and opportunity for review and comment given. Any comments, changes, or additional inputs from these individuals must be incorporated into the final minutes or issued as an addendum.



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ISO 9001:2015

## ISO 9001:2015 CLAUSES



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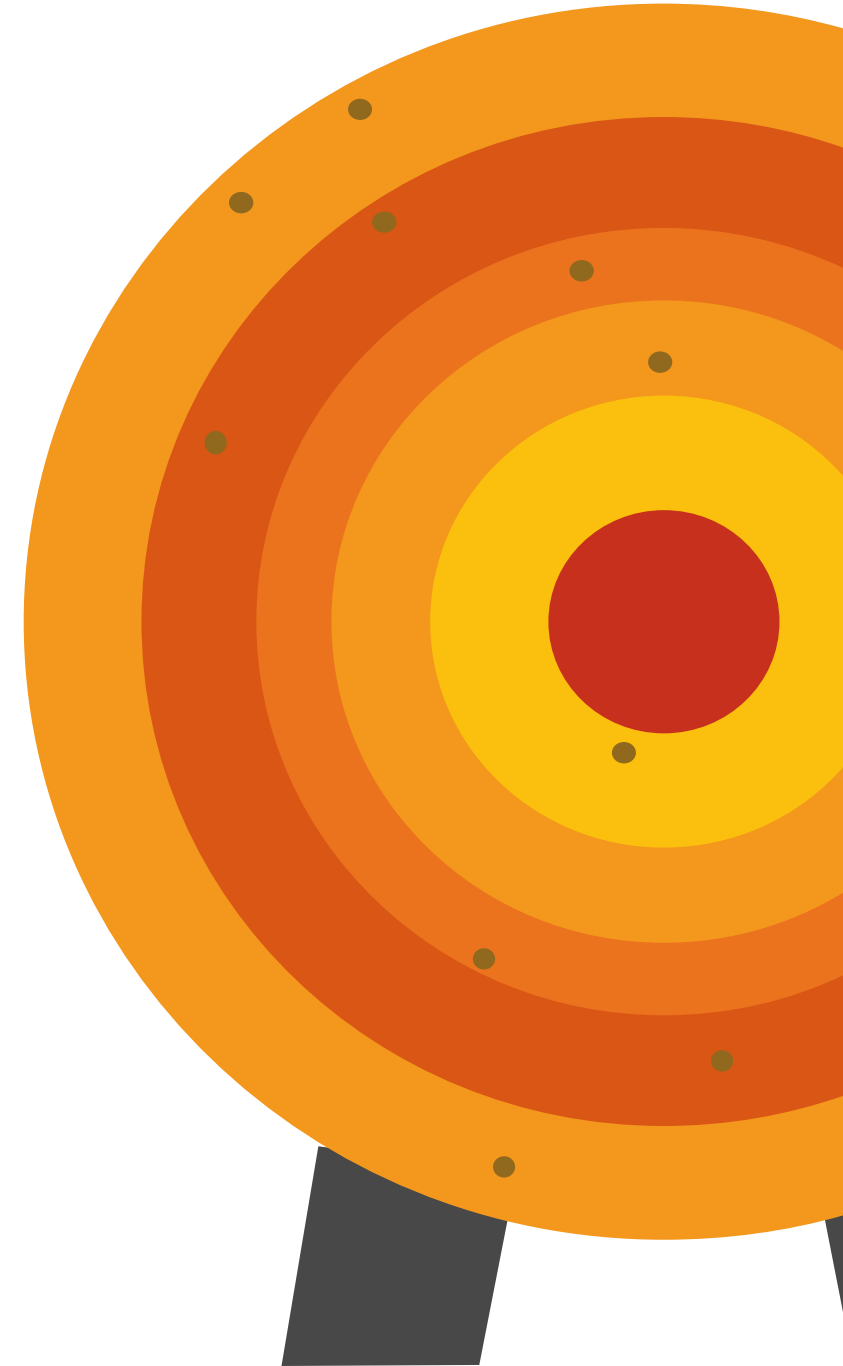
### CLAUSE 7

Support



### CLAUSE 9

Performance evaluation



# CLAUSE 10 – Improvement

## Requirements



**10.1 GENERAL**

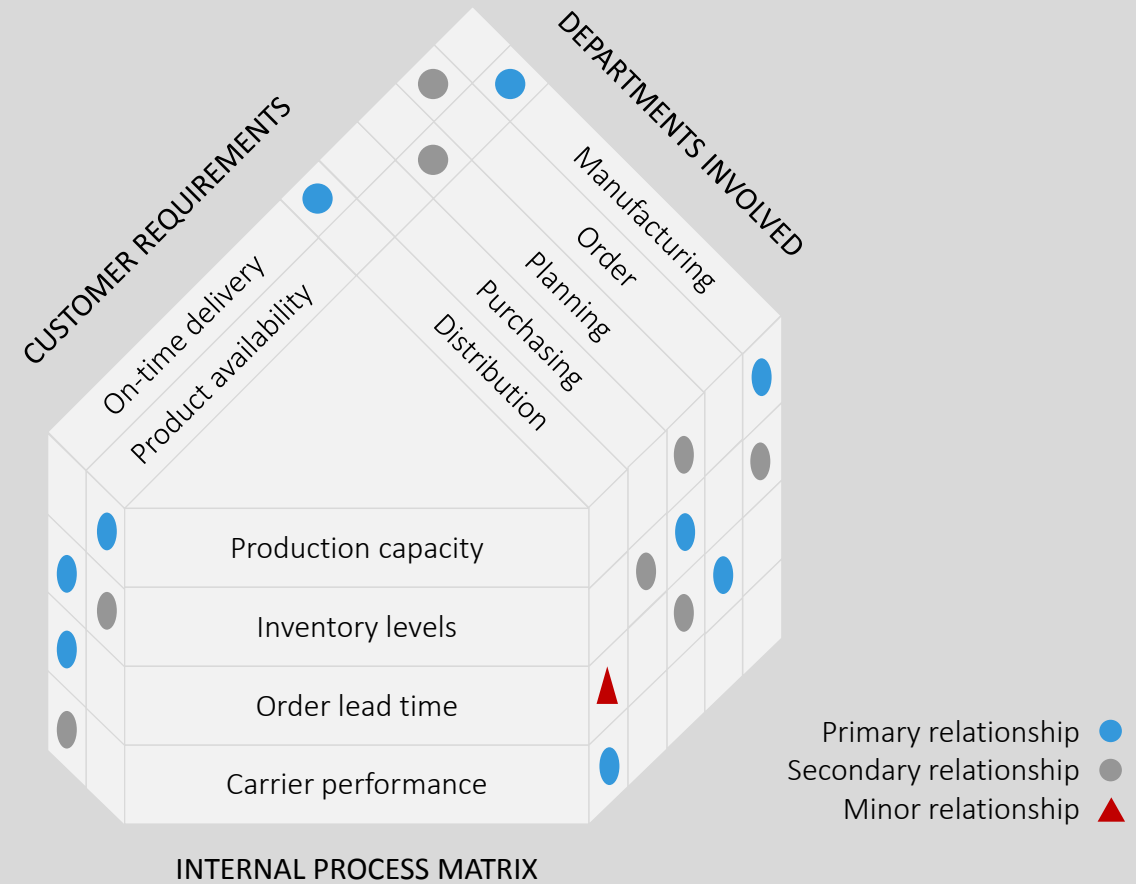
**10.2 NONCONFORMITY AND CORRECTIVE ACTION**

**10.3 CONTINUAL IMPROVEMENT**

# General

The organization shall

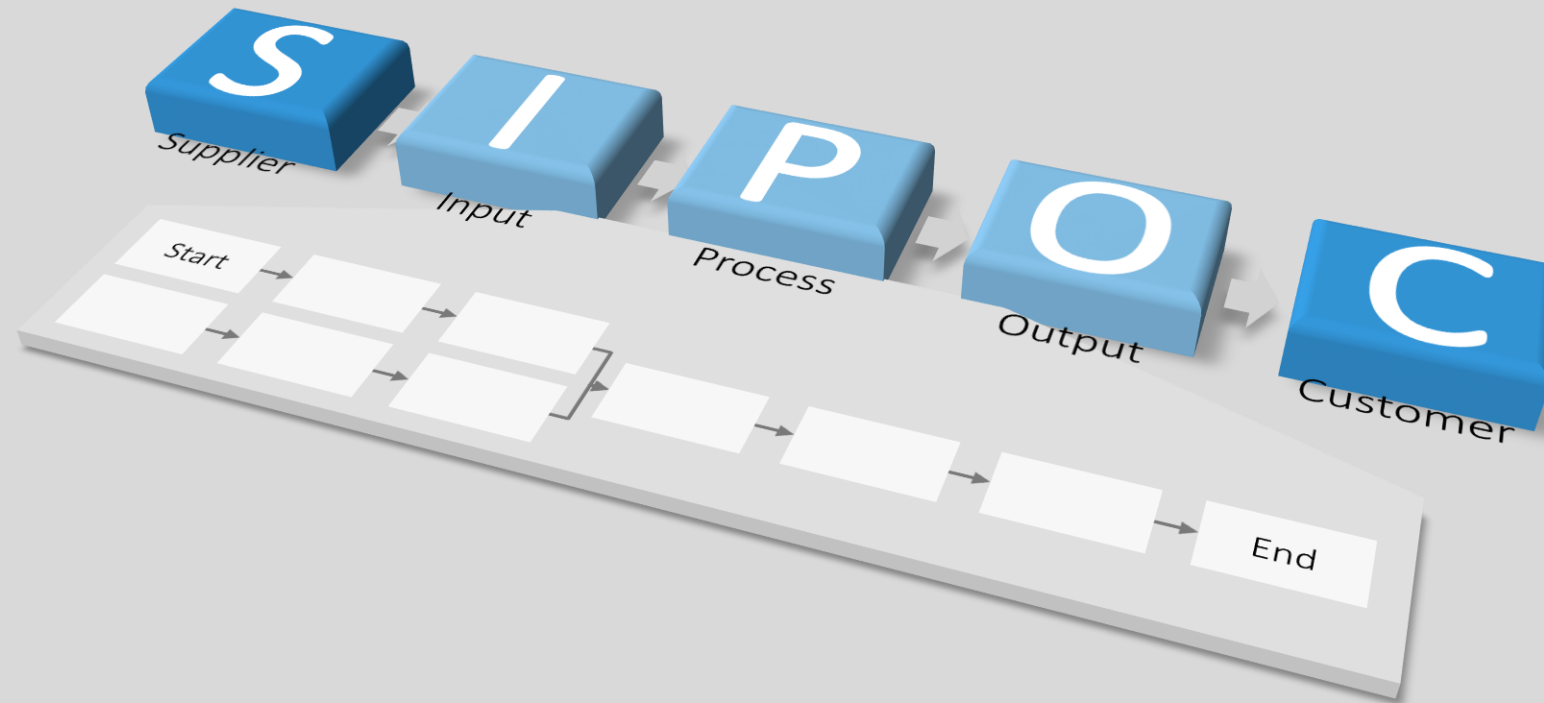
- 👍 **determine and select opportunities** for improvement and
- 👍 **implement** any necessary **actions**
- 👍 **to meet customer requirements** and
- 👍 **enhance customer satisfaction**



# General

These shall include:

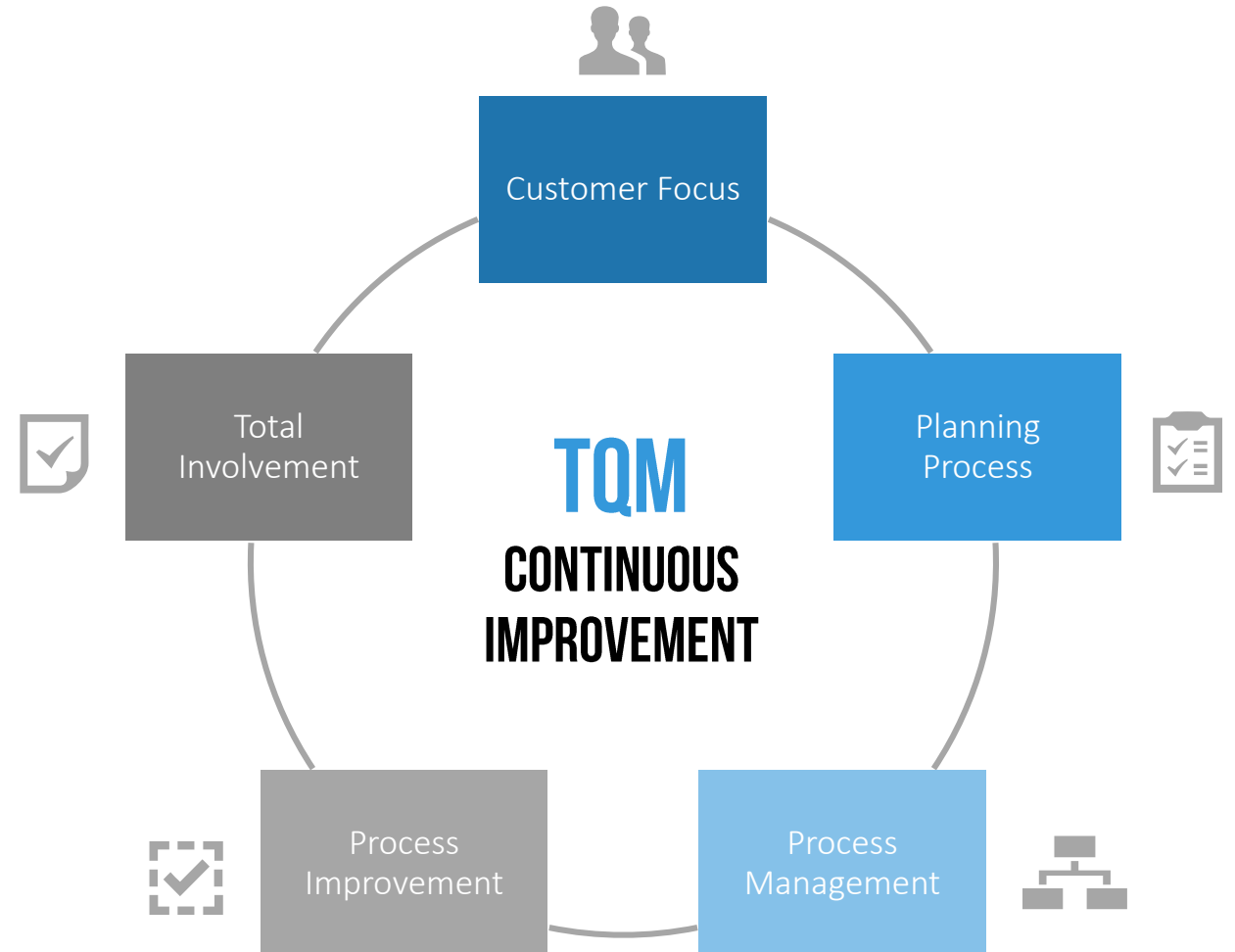
- Improving products and services to meet requirements as well as to address future needs and expectations
- Correcting, preventing or reducing undesired effects
- Improving the performance and effectiveness of the quality management system



# General

Examples of improvements can include:

- **corrections**
- **corrective actions**
- **continual improvement**
- **breakthrough change**
- **innovation and**
- **re-organization**



A blurred background image showing a hand holding a pen, poised to write on a document. The document features a flowchart with various boxes and connecting lines, suggesting a process or system diagram. The overall tone is professional and technical.

# **NONCONFORMITY AND CORRECTIVE ACTION**

# NONCONFORMITY AND CORRECTIVE ACTION

When a nonconformity occurs (whether determined internally or externally), the organization shall

- a. **react to the nonconformity** and, as applicable, **take action to control and correct it to 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
- 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 quality management system**, if necessary



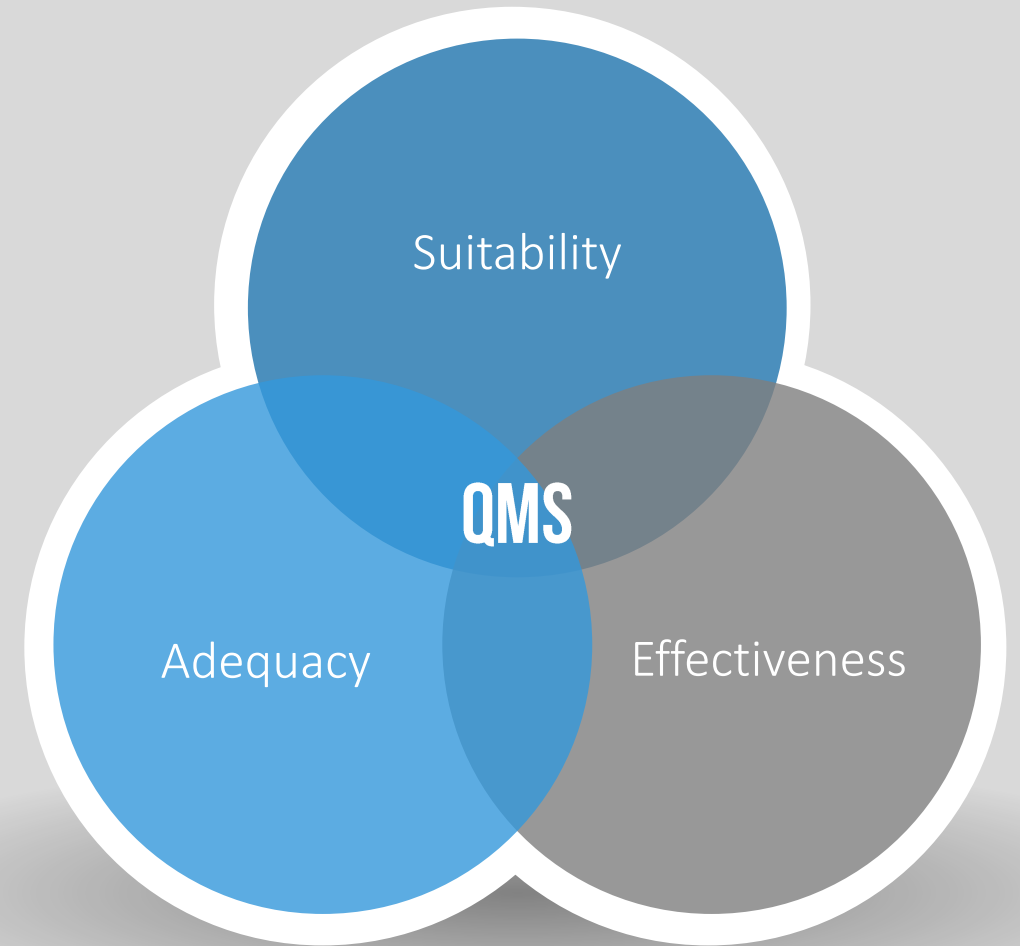
# CONTINUAL IMPROVEMENT

A hand-drawn lightbulb with radiating lines, symbolizing an idea or improvement, with pencils and a sharpener in the background.



# CONTINUAL IMPROVEMENT

**THE ORGANIZATION SHALL CONTINUALLY IMPROVE THE**



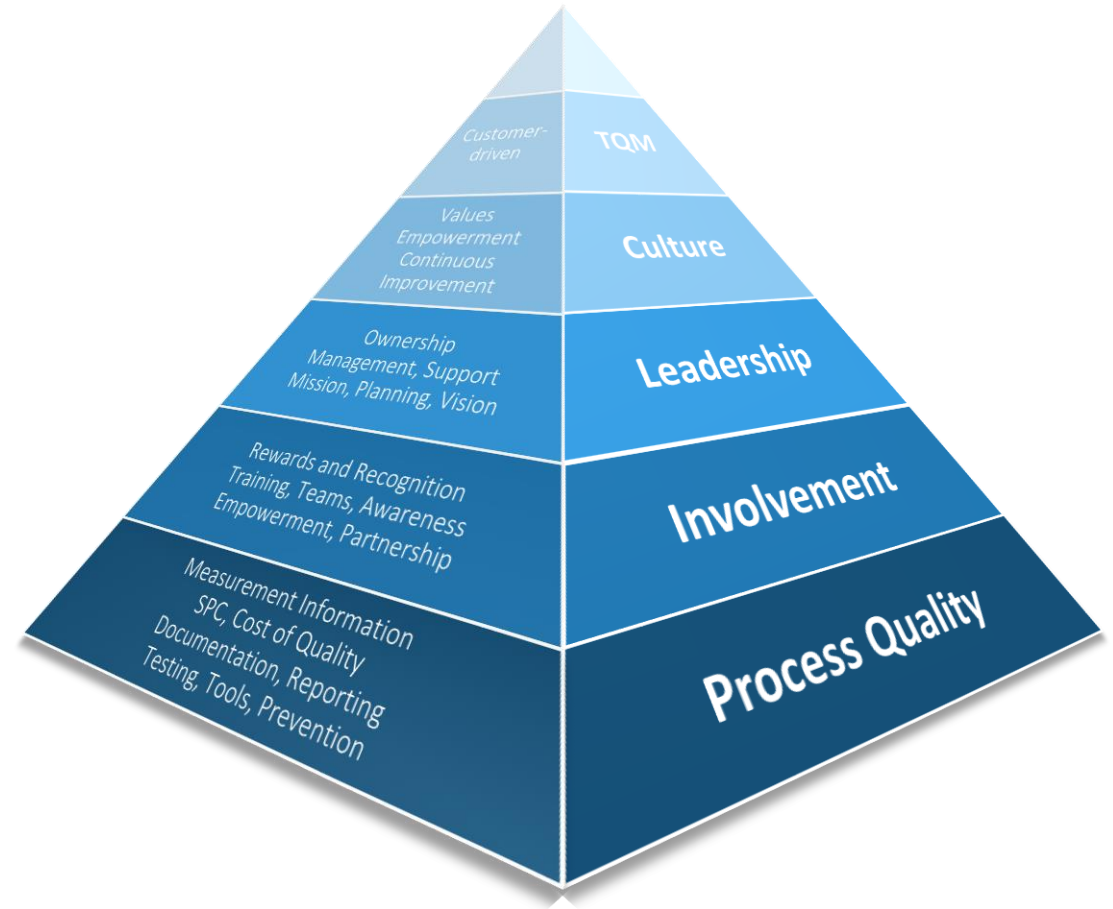
# CONTINUAL IMPROVEMENT

The organization shall consider:

📖 **The results of analysis and evaluation**

📖 **The outputs from management review**

to determine if there are **needs** or **opportunities** that shall be addressed as a **part of continual improvement**.





A mountain climber in a red jacket and orange helmet is ascending a steep, rocky mountain face. The climber is using a rope and a climbing tool. The background shows a vast, snow-covered mountain range under a clear blue sky. The overall scene is one of adventure and challenge.

”

**Strategy** is a style of thinking, a conscious and deliberate process, an intensive implementation system, the science of insuring future success.

Peter Johnson (American pianist)