Government of the Philippines
United Nations Development Programme

Portfolio on Enabling Environment:
Poverty Reduction through Good Governance

PHI / 02 / 009 CIVIL SERVICE AND ECONOMIC MANAGEMENT:
ENHANCING INSTITUTIONAL CAPACITIES TO PROMOTE
PUBLIC ADMINISTRATION AND FISCAL REFORMS

Institutionalizing
Public Service Performance Excellence
thru ISO 9000:2000-Aligned
Quality Management System (QMS)

FINAL REPORT
(January 2004)

Executing Agency:

Department of Budget and Management

Implementing Agency:

Development Academy of the Philippines

January 30, 2004

MS. AMELITA D. CASTILLO
Director
DEPARTMENT OF BUDGET MANAGEMENT –
 ORGANIZATION PRODUCTIVITY IMPROVEMENT
 BUREAU (DBM-OPIB)
DBM Mabini Hall, Malacañang, Manila

Dear **Dir. Castillo:**

We would like to express our sincere appreciation for giving the **Development Academy of the Philippines' Center for Quality and Competitiveness (DAP-CQC)** the opportunity to work with you through the conduct of the *Seminar-Workshop on ISO 9000:2000-Aligned Quality Management System (QMS) for the Public Sector* last September 30-October 1, October 28-29, November 10-11, 2003 and *Training Course on ISO 9000:2000-Aligned Quality Management System (QMS) Documentation for the Public Sector* last November 18-19 and 28-29, 2003.

We are happy to inform you that the implementation of the project was a success because of the participants' active participation in all the sessions.

In line with this, we would like to formally submit the Project Completion Report as part of the Terms of Reference in our Memorandum of Agreement.

Should you need further clarifications, please feel free to contact us, attn: Mr. Robert M. Baldridge, at telephone nos. 631-2156 or 631-0921 to 30, loc.179, or through email: baldridger@dap.edu.ph. We would be happy to assist you in any way we can.

Thank you and we look forward to the continuing collaboration with you in the succeeding projects on ISO 9000:2000 Aligned QMS for the Public Sector.

Very truly yours,

ARNEL D. ABANTO
Assistant Vice-President
Center for Quality and Competitiveness

Implementing Agency for the Asian Productivity Organization

3 ＊th year   DAP Building, San Miguel Avenue, Pasig City 1600 | P.O. Box 12788, Ortigas Center, Pasig City 1600 Philippines
Telephone: (632) 631 0921 to 30 | Fax. (632) 631 2123 | E mail: academy@dap.edu.ph | Website: www.dap.edu.ph

EXECUTIVE SUMMARY

The Academy's Center for Quality and Competitiveness (DAP-CQC) entered into collaboration with the Department of Budget and Management – Organization and Productivity Improvement Bureau (DBM-OPIB) to implement the Pilot Project on Institutionalizing Public Service Performance Excellence Thru ISO 9000:2000 Aligned Quality Management System (QMS) in selected government agencies that will build a quality culture that characterizes customer-driven government organizations. The project was conceptualized in line with the finalization of the groundwork for the implementation of the Rationalization Program spearheaded by DBM that is geared towards public service delivery improvement.

The project which commenced in September 2003 is aimed at institutionalizing performance excellence in the public service thru the establishment of ISO 9000:2000-aligned Quality Management System, initially in selected pilot government agencies with the DBM as the leading partner. Specifically, the project was expected to provide opportunities for the pilot government agencies to: (1) enhance the systems and procedures of their frontline services in order to improve service delivery and give the public value for their money; (2) realize specific benefits of the QMS; (3) appreciate and advocate the Public Service Performance Excellence (PSPE) and ISO 9000:2000 Aligned QMS; (4) develop skills in the conduct of appropriate ISO 9000:2000-Aligned in-house training programs and technical assistance projects; and (5) establish ISO 9000:2000-Aligned QMS in these agencies.

There are four (4) phases of the project, namely, Phase I – Policy and Project Advocacy, Phase II – Pilot Implementation of the QMS Project, Phase III – Development of Institutional Infrastructure and Phase IV – project Monitoring, Evaluation and Dissemination.

The project formally started its implementation with Phase I which aimed at obtaining support from the policy makers and other decision makers of pilot government agencies. Thus, this phase entailed a series of exploratory meetings with top officials of each pilot agency to promote and clarify the objectives of the project. Facilitated by DAP-CQC in partnership with DBM –OPIB, these meetings generated favorable response from prospective pilot agencies. The initial target of five (5) beneficiary-agencies for Phase I became eight (8) that include: (1) DBM – OPIB, (2) Land Transportation Office (LTO), (3) Department of Health – Bureau of Health Facilities and Services (DOH-BHFS), (4) Commission on Audit (COA), (5) Presidential Management Staff (PMS), (6) Department of Education (DepEd), (7) Government Procurement Policy Board (GPPB), and (8) City Government of Muntinlupa. It was agreed that DBM-OPIB and COA would be developed as future QMS auditors. The rest of the agencies as well as DBM-OPIB would be pilot agencies and shall be included in Phase II, the QMS implementation proper. Unfortunately, COA later begged off with regret and requested not to be included in Phase II since the agency's priority was to focus on the NGAS (National Government Accounting System) program.

Phase I was implemented from September to December 2003 and in February 2004 and made possible through financial resources from the Technical Assistance provided by the United Nations Development Programme (UNDP) to DBM. The phase focused on the conduct of a series of awareness seminar-workshop and training on ISO 9000:2000-Aligned QMS in order to drum up interest in QMS among government organizations. This phase concluded with a workshop on finalizing the QMS implementation plan for each pilot agency.

The two-day awareness seminar-workshop and two-day documentation training on ISO 9000:2000-Aligned QMS were conducted for three (3) batches, respectively. The three (3) batches of the seminar-workshop and two (2) batches of the training course were held in the DBM's Multi-Purpose Hall, Arcache Bldg., Gen. Solano St., San Miguel, Manila.

Batch 1 of the seminar workshop was implemented on September 30 – October 1, 2003 with twenty seven (27) participants from DOH, COA, LTO, DBM, CGM and DAP. Batch 2 was held on

October 29 – 30, 2003 generating thirty two (32) participants from DOH, COA, DBM, CGM, LTO and PMS. Batch 3 was conducted on November 10 –11, 2004 with twenty one (21) participants from DBM, DepEd, PMS and GPPB.

Meanwhile, the two (2) batches of the two-day training on ISO 9000:2000 documentation were conducted on November 18-19; 28-29, 2003, respectively. Batch 1 was attended by twenty nine (29) participants from DOH, LTO, CGM, DBM and DAP. Batch 2 was participated in by thirty one (31) representatives from COA, DBM, PMS, and DAP. Batch 3 was held in the Executive Lounge of DAP Pasig on February 10 – 11, 2004 with twenty three (23) participants from DBM, DepEd, CGM, LTO, DOH and PMS.

The culminating activity of Phase I - the Workshop on Finalizing the QMS Implementation Plan was held on February 27, 2004 at the LS Virata Hall of DAP, Pasig. Interestingly, the workshop was attended by fifty five (55) representatives of the eight (8) participating agencies previously mentioned. The workshop generated commitment from the key officials and staff of the agencies to continue with their journey towards public service performance excellence (PSPE) thru the establishment of ISO 9000:2000 aligned QMS. The PSPE journey continues with Phase II which is the QMS implementation proper. It is then interesting to note that one important output of the workshop was the finalization of the QMS implementation Plan or the blueprint/plan of activities that covers the next steps in the project for each pilot agency.

Institutionalizing Public Service Performance Excellence Thru ISO 9000:2000 Aligned Quality Management System (QMS) for Government

Summary of Expenses
As of June 17, 2004

Activities	Date of Implementation	Expenses	
		Projected	Actual
Phase I: Policy and Program Advocacy			
1. Customizing the course design and materials for the series of awareness seminar-workshop on ISO 9000:2000-Aligned QMS	Oct. 2003	P 38,500.00	P 38,500.00
2. Conduct of the awareness seminar-workshop (3 batches)	Sept. – Nov. 2003	P 158,400.00	P 158,400.00
3. Customizing the course design and materials for the series of training course on ISO 9001:2000 Aligned QMS Documentation	Oct. 2003	P 38,500.00	P 38,500.00
4. Conduct of the training on ISO 9001:2000 Aligned QMS Documentation (3 batches)	Oct. – Nov. 2003 (2 batches) Feb. 2004 (1 batch)	P 105,600.00	P 158,400.00 (P 52,800.00) taken from the projected amount for the initial gap assessment)
5. Review and evaluation of the seminar and training courses	Nov. 2003	P 26,400.00	P 26,400.00
6. Conduct of the workshop for all QMS Core groups of the pilot agencies to clarify issues/concerns and roles prior to the QMS implementation proper	March 2004	P 13,000.00	P 13,000.00
Sub-total		P 380,400.00	P 486,000.00
Phase II. QMS Pilot Implementation			
1. Initial Gap Assessment of pilot agencies	Feb. 2004 – LTO Apr. 2004 - DBM-OPIB	P 86,600.00 for 4 pilot agencies Less: P 52,800.00 for the training on ISO 9001 Documentation Balance: P 33,800.00	P 43,300.00
2. Documenting the gap assessment results	Feb. 2004 – LTO Apr. 2004 -	P 33,000.00	P 16,500.00
Sub-total			P 59,800.00
Overall Total		P 500,000.00 (Actual Total Budget allocation from DBM-UNDP for 2003 implementation)	P 545,800.00

TABLE OF CONTENTS

Course Title: *Seminar-Workhop on ISO 9000:2000 – Aligned Quality Management System (QMS) for the Public Sector*

Participating Agencies: Department of Budget and Management (DBM), Development Academy of the Philippines (DAP), Commission on Audit (COA), Land Transportation Office (LTO), City Government of Muntinlupa, Presidential Management Staff (PMS), Department of Education (DepEd), Procurement Policy Board

1st **Batch**   -   September 30 - October 1, 2003
2nd **Batch**   -   October 28 – 29, 2003
3rd **Batch**   -   November 10 – 11, 2003

(Please refer to **Annex A** for the Directory/List of Participants.)

COURSE OBJECTIVES

The seminar-workshop aims to provide opportunity for participants to appreciate the concept of QMS and recognize its importance to their organization. Specifically, the seminar will provide opportunity for participants to:

* Understand the concepts on productivity, quality and ISO 9000:2000 Aligned Quality Management System (QMS);
* Develop their skills on the establishment of ISO 9000:2000-Aligned QMS; and
* Gain some insights on the experiences of government agencies on ISO 9000-QMS establishment and certification.

I

HIGHLIGHTS OF THE FIRST BATCH

Day 1 (September 30, 2003 – Tuesday)

- Ms. Chat C. Macam, formally started Day 1 with an opening prayer followed by the singing of the Philippine National Anthem. Former DBM Usec. Cynthia G. Castel delivered the welcome remarks and stressed the importance of the project to the public sector. She also encouraged the participants to practice QMS in their own agencies to become better public servants.

- The course facilitator, Mr. Robert M. Baldridge started the seminar-workshop with an unfreezing activity - "The Line-Up Activity". After the fun game, Mr. Baldridge proceeded with the exercise on leveling of expectations whereby participants were given the opportunity to express their ideas and feelings on what to expect from the course, the resource persons/facilitators and the co-participants. This was followed by the presentation of the House Rules, Course Objectives and the Course Program. (Please refer to **Annex B** for the Course Program and Participants' Expectations.)

- The course proper took off with the sessions on - "Overview of the QMS Project for the Public Sector" and the "Introduction to Productivity, Quality and QMS" with Ms. Niña Maria B. Estudillo as the resource person. The first session illustrated the current state of the Philippines as compared with the other Asian and European countries when it comes to productivity and quality and how the Philippines dropped in overall ranking among others. The session also stressed the importance of institutionalizing QMS in all aspects of the organization. The second session discussed the basic productivity and quality concepts and their definitions. It also showed the different service quality dimensions and the hidden costs of poor quality. The session also stressed the importance of putting in place a sound quality management system which is anchored on the structured foundation of quality and productivity concepts such as 5S, QC, SS, IE, LMC and ISO 9001.

- The succeeding modules on - "Development & General Overview of ISO 9001:2000 and the Eight Management Principles" and the "General Requirements of ISO 9001:2000" were handled by Mr. Obet C. Osila. The sessions covered the history of QMS ISO 9001 : 2000, the principles and concepts, the Four (4) Core Standards of QMS which includes ISO 9000 (Concepts and Vocabulary), ISO 9001 (Requirements of Quality Management) ISO 9004 (Guidance for Performance Improvement) and ISO 19001 (Guidance for Quality and Environmental Auditing. The sessions also discussed the QMS requirements on Management Responsibility that includes the sections and subsections on management commitment, customer focus, quality policy, quality objectives, QMS planning, responsibility, authority and communication, and management review. He ended the morning session with a workshop on Quality Policy and Objectives formulation. (Please refer to **Annex C** for the participants' outputs.)

- The afternoon session started with an energizer facilitated by Mr. Osila who also handled the module on "Resource Management". The session delved on the QMS requirements for managing the organizations' resources, namely, competence, awareness and training of the human resource, infrastructure, and work environment.

- The module on "Product Realization" followed with Mr. Julius M. Castor as the resource person. Mr. Castor provided a brief description of the module and later gave a take home assignment to the participants – an exercise on the input and output requirements of ISO 9001:2000. (Please refer to **Annex D**.)

2

Day 2 (October 1, 2003 - Wednesday)

- An energizer started the morning session and followed by a "Management of Learning" (MOL) activity to determine the participants' level of understanding on the concepts and modules discussed in Day 1. As the facilitator, Mr. Baldridge instructed the participants to form a circle and pass the pen around while the music played in the background. The moment the music stopped, the one holding the pen was asked to discuss a Day 1 topic/module of his interest. Participants who discussed very informative topics received a 5S poster each as a compliment from DAP.

- The course continued with the module on "Product Realization", handled by Mr. Castor. The module started with the presentation of the participants' outputs on the assignment given regarding the input and output requirements. The module continued with Mr. Castor's lecture on planning of product realization, customer - related processes, product realization, and design and development. He stressed the fact that permissible exclusions are only permitted within clause 7.3 Design and Development.

- Mr. Oliver Rhey C. Javier discussed the next module, entitled "Measurement, Analysis & Improvement" that delved on monitoring and measurement of customer satisfaction, internal audit, monitoring and measurement of processes, monitoring and measurement of product/service, control of non-conforming product/service, analysis of data, continual improvement, corrective action, and preventive action. He then facilitated a workshop on identifying the permissible exclusions relative to the outputs of the previous workshop on input and output requirements as presented by the participants. (Please refer to **Annex D**.)

- Mr. Francis Fermin S.P. Flores then discussed the topics included in the module on "Audit Methodology for ISO 9001:2000". This module focused on the various auditing techniques and concepts, the category of quality audit and its purpose, the different functions of the lead auditor and the audit team, how to audit the data and the processes, the different stages of an audit program, how to arrive at a successful audit, and the qualities of an ideal auditor.

- The seminar-workshop culminated with the session on ISO 9000: The DTI Experience. Director Marilou Quinco-Toledo willingly shared the hands-on experience of DTI Region 3 on how it prepared itself for the ISO certification. Ms. Toledo also shared significant insights on the agency's transformation after it obtained the certification.

HIGHLIGHTS OF THE SECOND BATCH

Day 1 (October 28, 2003 - Tuesday)

- The morning session started with an opening program facilitated by Mr. Baldridge that included a prayer, followed by the singing of the Philippine National Anthem. The program saw the former Undersecretary of DBM, Ms. Cynthia G. Castel delivering the welcome remarks and stressing the importance of the seminar-workshop to the public sector. As in the previous batch, she likewise encouraged the participants to practice QMS in their own agencies to help them become better public servants. An icebreaker cum unfreezing activity, "The Human Bingo" followed where participants were given the opportunity to become better acquainted with each other. (Please see **Annex A** for the Directory/List of participants.)

Participants were then asked to express their expectations from the course. Mr. Baldridge then presented the House Rules, the Course Objectives and the Course Program. (Please refer to **Annex B** for the Participants' Expectations.) This was followed by Ms. Estudillo's session on "Overview of the QMS Project for the Public Sector" and the "Introduction to Productivity, Quality and QMS". The next session, handled by Mr. J.M. Castor was on the

"Development & General Overview of ISO 9001:2000 and the Eight Management Principles" and the "General Requirements of ISO 9001:2000". He ended the morning session with a workshop on Quality Policy and Objectives formulation. (Please refer to **Annex C**.)

- The afternoon session started with an energizer facilitated by Mr. Baldridge. Mr. Castor proceeded to the next sessions on "Resource Management" and "Product Realization" respectively. The day ended with a take home assignment given by Mr. Castor on the input and output requirements of ISO 9001:2000. (Please refer to **Annex D**.)

Day 2 (October 29, 2003-Tuesday)

- The morning session started with a Management of Learning facilitated by Mr. Baldridge.

- Mr. Castor then facilitated the input and output requirements workshop and continued the lecture on "Product Realization".

- Mr. Baldridge discussed the succeeding module entitled "Measurement, Analysis & Improvement". He then facilitated a workshop on identifying the permissible exclusions based on the workshop on input and output requirements. (Please refer to **Annex D**.)

- The last module entitled "Audit Methodology for ISO 9001:2000" was handled by Mr. Flores.

- After the afternoon break, the group listened to the sharing of two resource persons on the experiences of their respective government agencies on the preparation for and the benefits derived from ISO 9000 certification. The resource persons were Dr. Aileen R. Javier, Deputy Director of Medical Services, National Kidney and Transplant Institute (NKTI) and Ms. Patricia P. Hornilla, Sr. Labor and Employment Officer of the Department of Labor and Employment – Bureau of Labor and Employment Statistics (DOLE-BLES).

HIGHLIGHTS OF THE THIRD BATCH

Day 1 (November 10, 2003 – Monday)

- After the opening prayer and the Philippine National Anthem, DBM Director Amelita D. Castillo delivered the welcome remarks and reiterated the importance of the seminar-workshop to the public sector. She also encouraged the participants to practice QMS in their own agencies to become better public servants. Emphasis was also given regarding the expected roles and functions of each agency upon the implementation of QMS in their respective organizations. (Please refer to **Annex A** for the Directory/List of participants.)

- The course facilitator, Mr. Baldridge formally started the morning session with an orientation cum discussion on the House Rules, Course Objectives, Course Program and the leveling of expectations. (Please refer to **Annex B** for the participants' expectations.)

- Ms. Estudillo handled the modules on "Overview of the QMS Project for the Public Sector" and the "Introduction to Productivity, Quality and QMS".

- Meanwhile, Mr. Castor delivered the lectures and facilitated workshop on the "Development & General Overview of ISO 9001:2000 and the Eight Management Principles" and the "General Requirements of ISO 9001:2000". This session culminated with a workshop on Quality Policy and Objectives formulation. (Please refer to **Annex C** for the participants' outputs.)

- The afternoon session started with an energizer facilitated by Mr. Baldridge. The seminar proper continued with the session on "Resource Management", handled by Mr. Castor. This was followed by the day's final module on "Product Realization" with Mr. Flores as the resource person. The day ended with a take home workshop provided by Mr. Flores on the input and output requirements of ISO 9001:2000. (Please refer to **Annex D** for the participants' outputs.)

Day 2 (November 11, 2003-Tuesday)

- As in the previous batches of the seminar-workshop, the day's session started with an unfreezing activity cum recap of the previous day's sessions.

- Mr. Flores then facilitated and processed the presentation of take home workshop on the input and output requirements.

- On the other hand, Mr. Baldridge handled the modules on "Measurement, Analysis & Improvement" and facilitated a workshop on identifying the permissible exclusions based on the workshop outputs of participants on the input and output requirements. Likewise, he discussed the last module entitled "Audit Methodology for ISO 9001:2000".

- Finally, the group had the opportunity to gain valuable insights on the dynamics of preparing for and enjoying the benefits that can be derived from ISO certification. The resource persons, namely, Mr. Abel L. Sumabat, Management Audit Analyst II of the City Government of Muntinlupa and Ms. Patricia P. Hornilla, Sr. Labor and Employment Officer of DOLE-BLES willingly shared their hands-on experience on preparing for the ISO certification as well as the benefits their own organizations have gained so far.

Course Title: *Training on ISO 9001:2000-Aligned Quality Management System (QMS) Documentation for the Public Sector*

Participating Agencies: Department of Budget and Management (DBM), Development Academy of the Philippines (DAP), Commission on Audit (COA), Land Transportation Office (LTO), City Government of Muntinlupa, Presidential Management Staff (PMS), Department of Education (DepEd), Procurement Policy Board

1st Batch   -   November 18 -19, 2003
2nd Batch   -   November 28 – 29, 2003

(Please refer to **Annex E** for the Directory/List of Participants.)

COURSE OBJECTIVES

At the end of the training, participants are expected to:

- Understand the requirements of the ISO 9001:2000 standards;
- Identify and map out the organization's business process and it's linkages;
- Identify processes and establish controls to measure it's efficiency; and
- Document processes necessary to attain known objectives.

HIGHLIGHTS OF THE FIRST BATCH

Day 1 (November 18, 2003 – Tuesday)

- Day 1 started with the opening program. One highlight of the program was the welcome remarks delivered by Mr. Arnel D. Abanto, AVP of DAP's Center for Quality and 1Competitiveness (CQC). He gave emphasis on the importance of· the training to the participants as members of the core teams in their own agencies. As such, they are expected to be the champions of ISO 9000 in their respective organizations.

- The course facilitator, Mr. Baldridge explained the House Rules, the Course Objectives and the details of the program and processed the participants' expectations from the course. (Please refer to **Annex F** for the participants' expectations.)

- The training's resource person, Ms. Darlene Page-Elnar started the training proper with the modules on "Overview of the QMS Principles" and "QMS Concepts, Scope and Applications". The morning session was basically a review on the basic concepts and principles of ISO 9000:2000 where participants were encouraged to raise their points for clarification. Ms. Elnar provided sufficient explanations to the issues and concerns raised by participants regarding the basics of ISO 9000.

- The afternoon session delved on the topics on "Documenting the QMS" and "Quality Policy and Quality Objectives". Ms. Page discussed the guidelines and procedures that must be observed and applied in documenting procedures in line with QMS as well in formulating quality policy and objectives. The day ended with an assignment on improving the Quality Policy and Objectives, that is, participants were instructed to improve their Quality Policy and Objectives. (Please refer to **Annex C** for the participants' outputs.)

Day 2 (November 19, 2003-Wednesday)

- The morning session started with the activity on Management of Learning. Participants were encouraged to share their most significant learnings from the sessions in Day 1. The course facilitator, Mr. Robert Baldridge asked participants to choose and discuss a topic that they found most interesting and informative. Volunteer-participants were rewarded with a 5S poster by the DAP project team.

- Ms. Page-Elnar continued with the training proper. She started off with the presentation and critiquing of the participants' outputs on the Quality Policy and Quality Objectives. She then proceeded to the discussion of the next module - "The Procedures". She stressed the value of having good documentation of the systems in place. She also emphasized that the quality manual should be "user/agency friendly" and not "auditor friendly".

  Ms. Page-Elnar emphasized that it is more important for an organization to impress itself with its own documentation and not to do the documentation to impress the auditors. She then facilitated a workshop on developing business process map with process diagram that defines the effectiveness of KPMs or Key Process Measures, efficiency of KPMs, and how the processes interact. (Please refer to **Annex H** for the participants' outputs.)

- The afternoon session started with an energizer given by Ms. Page-Elnar herself. She then continued the lectures on "The Support Documents" and "The Quality Plan". The session was highlighted by a workshop on developing a quality plan for a project, process or product that the participants are familiar with. (Please refer to **Annex I** for the participants' outputs.) After the presentation and critiquing of outputs for the workshop on quality plans, the session ended with the lecture on "Implementing & Maintaining the Established Quality Management System".

HIGHLIGHTS OF THE SECOND BATCH

Day 1 (November 28, 2003 – Tuesday)

- Day 1 started with the opening program that included the discussion on the House Rules, the Course Objectives and the Course Program. The course facilitator, Mr. Baldridge asked the participants to surface their expectations. (Please refer to **Annex F** for the participants' expectations.)

- The sessions on "Overview of the QMS Principles" and "QMS Concepts, Scope and Applications" were handled by Mr. Flores.

- After an energizer, Mr. Baldridge discussed the session on ISO 9001:2000 QMS Requirements – A Review". The day ended with the module on "Documenting the QMS".

Day 2 (November 29, 2003-Wednesday)

- The morning started a recap of the previous day through the Management of Learning activity. The session proper continued with the discussion and a workshop on "Quality Policy and Quality Objectives". Ms. Page-Elnar provided inputs to the participants that would help them further improve their organizations' quality policy and objectives. (Please refer to **Annex C** for the participants' outputs.)

- The module on "The Procedures" came next. As in the previous batch, she stressed the value of having good documentation of the systems in place. She reiterated that the quality manual should be "user/agency friendly" and not "auditor friendly". The organization should impress itself with its documentation done by its own pool of internal quality auditors and not to document merely to impress the auditors. She then facilitated a workshop on developing business process map with process diagram which defines effectiveness of KPMs, efficiency of KPMs, and how the processes interact. (Please refer to **Annex H** for the participants' outputs.).

- The afternoon sessions covered the modules on "The Support Documents" and "The Quality Plan. A workshop on developing a quality plan highlighted the afternoon session. Per agency, participants were instructed to develop a quality plan for a project, process or product which the were familiar with. (Please refer to **Annex I** for the participants' outputs.) Ms. Page-Elnar provided insightful comments on the outputs to help participants internalize the importance of having a quality plan. The session ended with the lecture of Ms. Page on "Implementing & Maintaining the Established Quality Management System" where she shared her hands-on experience on the challenges and rewards of institutionalizing QMS that is aligned with ISO 9001:2000.

ANNEX A

SEMINAR-WORKSHOP ON ISO 9000:2000 ALIGNED QUALITY MANAGEMENT SYSTEM (QMS) FOR THE PUBLIC SECTOR
1ST Batch

DIRECTORY OF PARTICIPANTS

DEPARTMENT OF HEALTH (DOH)
BUREAU OF HEALTH FACILITIES AND SERVICES
✉ Bldg. IV, 2nd Flr
   Department of Health
   San Lazaro Compound
   Sta. Cruz, Manila
☎ 711-6982

1. Dr. Beauty A. Palongpalong	Division Chief, Quality Assurance & Monitoring Division
2. Dr. Theresa G. Vera	Division Chief, Standards Division
3. Ms. Teresa S. Salgado	Administrative Officer II
4. Dr. Teodora E. Eugenio	Medical Officer VI
5. Dr. Jennifer E. Cuneta	Medical Specialist III

COMMISSION ON AUDIT (COA)
✉ Commonwealth Avenue, Quezon City
☎ 931-9284/951-0933

6. Ms. Evelyn C. Abad	State Auditor V, Finance ☎ 931-9204 / 931-7518
7. Mr. Noel B. Clemente	State Auditor V, HRMO ☎ 931-9284 / 951-0933
8. Ms. Nenita B. Gabaya	State Auditor V, PDC ☎ 951-0931 / 931-9278
9. Ms. Natividad S. Garcia	State Auditor V, Regional Administrator's Office Region IV ☎ 951-9284 / 951-0933
10. Ms. Juanita A. Villarosa	State Auditor V, Administration ☎ 931-9284 / 951-0933

LAND TRANSPORTATION OFFICE (LTO)
✉ LTO East Avenue, Quezon City
☎ 921-3832

11. Ms. Grace E. Lugto	Supervising TRO
12. Ms. Victoria D. Briones	Supply Officer I / Officer-In-Charge Supply Unit Property Section
13. Ms. Milagros D. Dellosa	Senior Transportation Development Officer Operations Division
14. Ms. Marriette G. Canlas	Human Resource Officer II, Personnel Division

DEPARTMENT OF BUDGET MANAGEMENT (DBM)

DBM Mabini Hall, Malacañang , Manila
☎ 735-1976/735-1984

15. Ms. Amelita D. Castillo	-	Director, Organization & Productivity Improvement Bureau (OPIB)
16. Ms. Fe Verzosa-Ico	-	Assistant Director, OPIB
17. Ms. Clotilde L. Drapete	-	Supervising Budget & Management Specialist, OPIB
18. Ms. Ma. Elisa E. Rivera	-	Sr. Budget & Management Specialist, OPIB
19. Ms. Ma. Delia P. Meimban	-	Sr. Budget & Management Specialist, OPIB
20. Ms. Carmina D. dela Cruz	-	Budget & Management Specialist I, OPIB
21. Mr. Edgardo P. Atienza, Jr.	-	Budget & Management Analyst
22. Mr. Malcolm C. Queyquep	-	Budget & Management Analyst

CITY GOVERNMENT OF MUNTINLUPA (CGM)

City Hall, Muntinlupa City

23. Ms. Lualhati S. Morales	-	City Accountant, Accounting Division ☎ 543-0817
24. Ms. Elizabeth A. Gaviola	-	Human Resource Officer IV, Personnel Division ☎ 543-0728
25. Mr. Jaime A. Ventura	-	City Personnel Officer, Personnel Division ☎ 543-0728

DEVELOPMENT ACADEMY OF THE PHILIPPINES (DAP)

4th Floor, DAP Building, San Miguel Ave.
Ortigas Center Pasig City

26. Mr. Valentino G. Baac	-	Associate Dean for Programs, Graduate School for Public & Development Management ☎ 633-5569
27. Ms. Charito T. Macam	-	Project Assistant, Center for Quality and Competitiveness- Service Quality Improvement Program (CQC-SQIP) ☎ 631-2156

DIRECTORY OF PARTICIPANTS

DEPARTMENT OF HEALTH (DOH)
BUREAU OF HEALTH FACILITIES AND SERVICES
☐ Bldg. IV, 2nd Flr
    Department of Health
    San Lazaro Compound
    Sta. Cruz, Manila
☎ 711-6982

1. Mr. Alfonso A. Favis	-	Health Physicist
2. Mr. Efren C. Lopez	-	Architect III
3. Mr. Joselito M. Reyes	-	Records Officer I
4. Dr. Cynthia R. Rosuman	-	Medical Specialist III

COMMISSION ON AUDIT (COA)
☐ Commonwealth Avenue, Quezon City
☎ 931-9284/951-0933

5. Ms. Maxima A. Aquino	-	State Auditor V, Cluster I (NCR), Local Government Sector
6. Ms. Maribeth F. de Jesus	-	State Auditor V, National Government Sector
7. Ms. Agnes A. Marcelo	-	State Auditor V, Corporate Government Sector
8. Ms. Sylvia P. Montes	-	State Auditor V, Corporate Government Sector
9. Ms. Corazon A. Saldivar	-	State Auditor V, GAFMIS
10. Ms. Evelyn P. Reyes	-	State Auditor V, Management Services

DEPARTMENT OF BUDGET MANAGEMENT (DBM)
☐ DBM Mabini Hall, Malacañang , Manila
☎ 735-1976/735-1984

11. Ms. Emelita M. Bailon	-	Senior Budget and Management Specialist
12. Ms. Corazon B. Castor	-	Supervising Budget & Management Specialist
13. Mr. Lorenzo C. Drapete	-	Chief, Budget and Management Specialist
14. Ms. Maricel F. Filio	-	Budget and Management Analyst
15. Ms. Celina S. Rodil	-	Senior Budget and Management Specialist

CITY GOVERNMENT OF MUNTINLUPA (CGM)
☞ City Hall, Muntinlupa City

16. Ms. Jocelyn A. Castillo	-	Local Treasury Operation Officer II, Treasury Office ☎ 543-0727
17. Ms. Editha H. Ricarte	-	Project Officer IV, Personnel Office ☎ 543-0728
18. Mr. Edwin T. Sutado	-	Management Audit Analyst IV, Internal Audit Office ☎ 543-0776
19. Mr. Abel L. Sumabat	-	Management Audit Analyst II, Internal Audit Office ☎ 543-0776
20. Ms. Elvira D. Tulay	-	Management Audit Analyst II, Accounting Office ☎ 543-0817
21. Mr. Necito M. Guico	-	Executive Assistant V, Budget Office ☎ 543-0793

LAND TRANSPORTATION OFFICE (LTO)
☞ East Avenue, Quezon City
☎ 921-3832

22. Ms. Mercedita E. Gutierrez	-	Chief, Registration Section
23. Ms. Daisy P. Jacobo	-	Chief, Traffic Safety Division
24. Ms. Ilonor A. Madrid	-	Chief, License Section
25. Ms. Grace R. Mempin	-	Chief, Management Information Division
26. Ms. Menelia C. Mortel	-	Chief, Management Services Section

PRESIDENTIAL MANAGEMENT STAFF (PMS)
☞ 9th Flr PMS Bldg., Arlegui St
  Malacañang, Manila
☎ 734-2186

27. Ms. Ma. Irene B. Calingo	-	PSO VI, PPGS ☎ 734-2004
28. Ms. Norable-Del B. Cerojano	-	PSO VI, CABSEC ☎ 734-5890
29. Ms. Myra G. Ignacio	-	IO III, ITO ☎ 734-2186
30. Ms. May M. Manauis	-	PSO V, PPGS ☎ 734-2092
31. Ms. Maryjean A. Narne	-	PSO VI, DAO ☎ 734-2098
32. Ms. Grace O. Tan	-	PSO VI, ODH ☎ 734-2204

DIRECTORY OF PARTICIPANTS

DEPARTMENT OF BUDGET AND MANAGEMENT
☎ DBM Mabini Hall, Malacañang , Manila

1. Ms. Kristine Carol S. Chavez — Budget and Management Specialist I
   ☎ 735-1984 / 735-1976
2. Mr. Mark-jay T. Claravall — Budget and Management Analyst
   ☎ 735-1984 / 735-1976
3. Ms. Felicisima A. Gonzales — Senior Budget and Management Specialist
   ☎ 735-4928
4. Mr. Jerome E. Ilagan — Budget and Management Specialist II
   ☎ 735-1978 / 735-1648
5. Mr. Gerald R. Janda — Budget and Management Analyst
   ☎ 735-1948 / 735-1976

DEPARTMENT OF EDUCATION
☎ DepEd Complex, Meralco Avenue
   Pasig City
☎ 633-7248

6. Mrs. Fabiana C. Altezo — Management and Audit Analyst III, Management Division
7. Ms. Vilma L. Ignacio — Management and Audit Analyst I, Management Division
8. Mr. Gonzalo M. Nialda — Supply Officer I, Property Division
9. Mr. Danilo B. Rangasa — Supply Officer I, Property Division
10. Ms. Jacqueline D. Rubio — Management and Audit Analyst II, Management Division
11. Ms. Erlinda A. Sevilla — Project Development Officer III, Project Development & Evaluation Division
12. Ms. Milagros B. Talinio — Officer-In-Charge, Planning and Programming Division
13. Ms. Cholita F. Tiong — Accountant II, Accounting Division

PRESIDENTIAL MANAGEMENT STAFF (PMS)
9th Flr PMS Bldg., Arlegui St
Malacañang, Manila

14. Mr. Renato B. De Guia	-	PSO V, ITO ☎ 734-2186
15. Ms. Vilma Jeanette S. De Lara	-	PSO V, DMU ☎ 734-2197
16. Ms. Juanita T. Macario	-	PSO V, ITO ☎ 734-2186
17. Ms. Melissa Nanette V. Matias	-	PSO V, ITO ☎ 734-2186
18. Mr. Romanne S. Posadas	-	PSO II, OPH ☎ 734-2094
19. Mr. Joaquin Romeo S. Santiago	-	PSO V, DAO ☎ 734-2098

PROCUREMENT POLICY BOARD
Unit 1103 Taipan Place, Emerald Avenue
Ortigas Center, Pasig City
☎ 687-4855 / 687-4853

20. Mr. Ms. Genmaries S. Entredicho	-	PMO IV, Medical Support Office
21. Mr. Dennis S. Nacario	-	PMO III, Medical Support Office

ANNEX 5

Seminar-Workshop on ISO 9000:2000-Aligned Quality Management System (QMS) for Government

Programme and Participants' Expectations

	Day One		Day Two
0800 am	Registration	0800 am	Management of Learning
0820	Invocation / Welcome Message	0820	Review of Day 1
0830	Expectation Setting and Course Orientation		
0900	Overview of the QMS Project for the Public Sector	0900	Lecture 5: Continuation: Product or Public Service Realization
0915	Lecture 1: Introduction to Productivity, Quality and QMS in Government		
0945 am	**Morning Break**	**0945 am**	**Morning Break**
1000 am	Lecture 2: Development & General Overview of ISO 9001 : 2000 and the Eight Management Principles	1000 am	Lecture 6: Measurement, Analysis & Improvement
1030	Lecture 3: Applying the General Requirements of ISO 9001 : 2000 A.Management Responsibility B.Commitment C. Public Focus D.Quality Policy E Planning & Administration		
1115	Workshop 1	1100	Workshop 4
1200 nn	**Lunch Break**	**1200 nn**	**Lunch Break**
0100 pm	Energizer	0100 pm	Energizer
0115	Presentation of Outputs	0115	Presentation of Outputs
0230	Lecture 4: Understanding Resource Management in Government	0145	Lecture 7: Audit Methodology for ISO 9001:2000 in the Public Sector
	Workshop 2		
0315 pm	**Afternoon Break**	**0300 pm**	**Afternoon Break**
0330 pm	Lecture 5: Product or Public Service Realization	0315 pm	ISO 9001:2000 Experience in the Public Sector
0515	Homework Briefing (Workshop 3)	0415	Action Planning
		0515	Closing Program

15

EXPECTATION SETTING
September 30, 2003

a. What do I expect from the course?

- value added
- to know what is QMS and how we can implement it in the workplace / our office
- learn & apply
- I expect to learn from the course how to go about QMS in our organization.
- To learn more about QMS
- Practical & applicable
- Clear
- Full of enlightening insights
- What really is " Quality Management System" (QMS) for the public sector seminar all about
- That the participants may fully grasp or understand the meaning and purpose of this seminar, and may know how to put into use
- To be able to understand more about QMS and how to apply it in our place of work
- Serve as market place of ideas wherein free flow of information from participants is emphasized
- Information and purchased being used to enhance quality management in work
- Will bring improvement on my work
- Introduce/ cover topics that are relevant/ practicable to further improve the management system in the public sector, that I can apply in my work as a management analyst
- How productivity and efficiency could be enhanced in public service
- Clear perspective of what quality management serve is all about
- Best practices, practical approaches to QMS
- To be effective and efficient public servants
- Practical in application
- Will complement / so activities in the office
- How it differs from the other TQM courses

b. What do I expect from the resource persons?

- For a clearer understanding shall give illustration
- Fully knowledgeable, practical, flexible
- To be able to understand the topic clearly
- Additional information and application of quality management
- Elaborate on the application of "process approach"
- Cite specific examples of ISO requirements for LGU
- Lively discussion, live cases
- Able to define and clarify what " Quality Management System " for the public sector is.
- To be able to import to us participants their knowledge of QMS.
- Heavy on workshop and practical applications.
- Less on theories
- To decide on issues that would arise
- Competence in QMS
- I expect to learn about ISO 9001: 2001 and how this could be implemented at COS.

16

- Make he sessions as lively as possible
- Can inspire participants to share
- Mastery of the topic being discussed
- Lively discussion
- Can give good examples to get ideas across
- Has clear & loud voice
- Expertise in the field of Quality Management System
- Strong capability to transfer effectively his/her knowledge to the group.
- Lectures to discuss the topics comprehensively
- Participate and actively interact
- Lively
- That they be able to impart clearly their knowledge on the topics to be discussed

c. What do I expect from my co-participants?

- Deliver topic comprehensively
- Active participation and sharing their experiences in quality management practices in their respective offices
- Respect each others views
- Learn from each other
- Open sharing
- To come on time so hat our session will start and end early
- Cooperative
- Not noisy
- To participate actively
- Exchanging ideas
- Cooperative
- I expect to learn from my co-participants experience related to the course/subject.
- To share their experiences in the management of their respective offices
- Participation and cooperation during workshops
- Share experiences
- Cooperation
- Active participation, sharing of insights & experiences, cooperation
- Willingness to share ideas/ experiences
- That they may fully participate in the discussion
- Utmost participation in the event
- Sharing of relevant experiences / knowledge that would further enhance a healthy & substantial discussion
- To share experiences & insights on their quality initiatives
- Attentive

November 10, 2003

a. What do I expect from the course?

- will be able to use knowledge learned from this seminar
- made aware of this ISO for QMS in the public sector
- support QMS by way of doing on part to improve ourselves through hard work and dedication to one present job.
- Participants, attentiveness

- Active proactive involvement
- Enthusiasm
- Share information
- Learning : Socratic way
- That the participants can cooperative to one another
- That the participants can understand that each one of us has its own level of understanding or comprehension of a certain topic
- Gain insights, concepts & strategies on quality & effective management
- I hope participants could share their respective know how and experiences
- Friendly and cooperative
- Cooperative with the group discussions
- Exciting sharing of ideas
- Valuable inputs
- To develop some interpersonal relation with / among the participants
- To know the functions of each branch of the DBM
- I expect from the participants to be aggressive / in complying with the requirements needed in this seminar-workshop, and contribute more
- Participative, interactive
- Participation and cooperation from the participants
- I expect participants to be pro-active, inquisitive
- I expect that there would be networking among participants
- Live participants
- Share knowledge especially in the subject matters delivered or discussed
- Inter-relationship our main thrusts

b. What do I expect from the resource persons?

- impart & explain the concepts to improve mgt. system
- a resource person should explain fully the objectives & the topic which the participants could be easily understand
- he should speak or deliver his talk which the participants could not be asleep
- motivate the participants to live-up to the monitory quality services to public
- enlighten us on the topic for their seminar- workshop
- I expect from the resource persons to share his knowledgeable inputs as how to achieve the objective of being ISO aligned agency
- I am expecting the resource speaker to enlightened my knowledge about (ISO), quality management system to better understand ISO requirements
- That they be knowledgeable on the subject matter, they can respond to questions that will be posed to them
- That the subject be imparted to the participants clearly and be lenol stem
- He/she have the adequate knowledge on the topic assigned to him/her
- She/he should be vibrant enough to get the participants
- To understand the concept of the QMS
- To determine the role of each branch/ group of DBM in light with the QMS
- To fully explain the meaning of ISO 9001 : 2000
- To help the participants in the workshops
- To be understanding of the different levels of how a participant can cope up with the discussion
- Ability to simplify complex ideas
- Step by step approach
- Clarity

- Humor
- Dissect concept so as to apply in workplace
- Lively & interesting
- Mastery of the subject
- Lively discussion of the topic
- Mastery on the assigned topic
- Has good communication skills
- Is able to deliver the lectures in a more simplified manner adaptable to the participants
- Dynamic conduct of the seminar
- Give examples & experiences to attain quality management
- An insight and adapt speaker so we could fully understand the principles involved & finally reversed in our office

c. What do I expect from my co- participants?

- I understand that as participants we should dig deeper and understand the underlying principles and how this would help our office to have a standard practice and made the work a little better
- Gain/ acquire knowledge pertaining to the topic which is QMS when we get back to our respective stations
- Applicable & relevant, interesting
- My expectation from the seminar is that the know infract in QMS and the effect on the outline of that to our government.
- Application of the ISO – aligned QMS to all government agencies, is it benefit
- Thorough knowledge about the subject QMS
- Knowledge learned be re-echoed or the serviced public- our desist clientele
- To know generally procurement system (guidelines & Implementation) as a mental of an Inspection Committee at Dept & a Supply Officer
- I do hope that the seminar would enlightened my understanding of how the QMS really works, agreement my device to learn fast the rudiments in making our office a working model for ISO standards and learned most in sharing my thoughts as concepts in this understanding
- To better understand the objective and gain more for being an ISO 9001-2002 aligned Quality Management System and to enhance more knowledge inputs as to how is it to be ISO certified
- To gain further understanding of the concepts of ISO 9001 : 2000 – aligned QMS in as much as we have already started briefings on the ISO concept in PMS. From this work ship, I hope to gain further inputs as we prepare our ISO manuals.
- Learn from other agencies " Best experience" as a result of the ISO 9001 QMS certification that they have learned
- To have in depth knowledge about the Quality Management System
- To gain insights on present government agencies experiences on quality management
- To be able to learned the different techniques on approaches in implementing the QMS in our respective offices, like in Accounting Division
- Knowledge on how to enhance the systems and procedures of our agency
- Better understand the system of improving the org'n.
- Develop strategies to become effective & efficient
- To have a comprehensive understanding of the subject matter- "Quality Management System

19

- To be able to have inputs / insights in establishing an internal system (within our own agency) of delivering "good quality – services"
- To gain additional knowledge / information on how to work as ISO processes as applied to public sector
- Valuable techniques to help agencies
- To understand what ISO 9001 : 2000 is all about
- To know what ISO 900 : 2000 can do to our agency
- To know what needs to be done in the achievement of ISO 9001 : 2000 objectives
- Provide better understanding of QMS and ISO in general

November 18, 2003

a. What do I expect from the course?

- Can achieve its stated objectives
- Clearer understanding of ISO
- Apply our knowledge & skill in our daily operation / institutes
- Devices measures in order to know its efficiency and effectiveness
- Know the documents needed in order to start ISO documentation
- Enhance and solidify our working knowledge of ISO documentation
- Not boring
- To develop documentation skills

b. What do I expect from the resource persons?

- Can clearly present the topics
- Equip with the necessary materials
- Knowledgeable
- Competence
- Experts
- Has profound knowledge on the subject
- Translate concepts into public settings
- Give more examples related to government transactions using ISO clauses.
- Can easily convey ideas to the participants
- Full knowledge of the subject
- Can impart the knowledge & motivate the participants

c. What do I expect from my co-participants?

- Cooperation
- Provide inputs/ share knowledge to others
- Actively participate in the discussion
- Cooperation & active participation
- Cooperative & game
- Punctual
- Willingness to share experiences and insights

ANNEX C

WORKSHOP OUTPUTS : QUALITY POLICY AND OBJECTIVES – MANAGEMENT RESPONSIBILITY

SAMPLE 1 :

1.1 Land Transportation Office (LTO)

Clients' Requirement :

Fast, reliable, consistent and honest delivery of frontline services which includes

a. Issuance of driver's license
b. Registration of motor vehicles
c. Implementation of MVIS
d. Efficient and accurate collection of revenues derived from administrative fees and charges
e. Settlement of apprehension cases

Quality Policy :

To ensure customer satisfaction and delight by providing quality and value-for-money services that contributes to the sustained growth and development of the national economy, through effective monitoring of performance against QMS.

Quality Objectives :

a. To streamline procedures that shorten processing time for various transactions;
b. To enhance public information and education campaign on policies, procedures and laws that that the office is implementing;
c. To implement capability building and skills upgrading program for personnel to promote quality culture in the workplace;
d. To secure management commitment to comply with the requirements and continual QMS; and,
e. To establish effective monitoring system in order to sustain compliance to QMS.

1.2. Commission on Audit (COA)

Client's Requirements :

Timely and doable audits recommendations that will :
a. Improve operations;
b. Increase income/productivity;
c. Minimize operational expenses;
d. Accounting policies/systems that will enhance/facilitate decision making

21

Quality Policy :

- To provide value-added audit services thru timely and doable audit recommendations;
- To provide value-added accounting policies and systems that will enhance and facilitate the generation of reports that will help them on decision-making.
- To strive to continually enhance the delivery of audit and accounting services by monitoring our performance against our mission/vision by adopting state of the art audit/accounting techniques and tools.

Quality Objective :

a. To enhance auditors' capability thru training on the latest audit technology.
b. To enhance the clients' financial decision making thru the implementation of computerized accounting system.

1.3. Municipality of Muntinlupa

Identified Customers :

i) External Customers
   (1) Muntinlupa Taxpayer
   (2) National Government Agencies
   (3) Other Local Government Units
ii) Internal Customers
   (1) Top Management
   (2) Employees

Customer Requirements :

i) Health and Sanitation
ii) Education
iii) Peace and Order
iv) Good Local Governance
v) Social Services

Quality Policy :

The City Government of Muntinlupa is committed to provide at all times honest, highly professional, efficient, prompt and quality public service to the constituents of Muntinlupa.

Quality Objectives :

a) Education – To improve the student to textbook ratio from 1:5 to 1:1 within FY2003
b) Peace and Order – To improve the crime solution efficiency rate from 90% to 98% within FY2003

c) Health and sanitation – To make the City of Muntinlupa rabies free by the end of 2004

1.4. Department of Health – Bureau of Health Facilities and Services (DOH-BHFS)

Customer Requirements :

a) License to Operate
b) Accreditation
c) Technical Assistance

Quality Policy :

The DOH-BHFS shall be a world class regulatory body of healthcare facilities. We are committed to continually develop standards in order for the health facilities to deliver quality healthcare that are globally committed.

Quality Objectives :

a) To formulate standards for all health facilities.
(1) To amend/revise/update standards
b) To implement standards and requirements through licensing and accreditation
c) To monitor regularly licensed health facilities to ensure compliance to the standards.

1.5. Presidential Management Staff (PMS)

Client Requirements :

a) Timely and reliable info
b) Implementable policy recommendations
c) Draft presidential speeches and media statements
d) Complete and accurate recording of the proceedings of the cabinet meetings.
e) Accurate processing of presidential appointments
f) Effective management of presidential visits and other venets
g) Management of the president's social funds

Quality Policy :

We, at PMS, provide excellent staff support to help the Presidency serve the Filipino people better.
To do this, we will set the highest standards of performance for ourselves, build our strengths, overcome our weaknesses, and seek continuous improvement as a learning organization through a quality management system

Quality Objectives :

a) To provide the presidency with recommendations based on timely, reliable, accurate and comprehensive information and recommendations to ensure that the best possible decisions are made.

b) To create an environment that encourages and facilitates the full and active participation of all sectors, especially the marginalized, in the development process.

c) To open avenues for greater access to and interaction with the President.

d) To facilitate the resolution of issues that need the immediate attention of the President.

1.6 Department of Education

Quality Policy :

To provide quality basic education that is equitably accessible to all.

Quality Objectives :

a. To deliver quality basic education by refining the curriculum, by providing resources, by training the teachers and by decentralization.

b. To professionalize the Department of Education Organization by improving teacher's welfare, by strengthening and institutionalizing procurement, by strengthening and institutionalizing management information systems, by strengthening and institutionalizing financial management service, and by strengthening the NEAP as the management training arm of the Department of Education.

1.7 Government Procurement Policy Board (GPPB)

Quality Policy :

To Establish a fully operational office composed of highly technical professionals providing service and assistance in the area of procurement to both public and private entities and to develop a quality management system consistent with the principles of transparency, accountability, integrity and innovation.

Quality Objectives :

a. To establish a fully equipped and well-manned office
   - Action Plan
     □ To ensure that the office is completely furnished in terms of necessary equipment
     □ To ensure that the members of the organization are performing their assigned tasks properly
   - Responsible Unit : GPPB-TSO
   - Time-Frame : 1st Quarter of 2004

b. To have a strong organization composed of skillful, well-trained and competitive members.
   - Action Plan

- To conduct a regular training or workshop among the members of the organization to update them on the developments/amendment of relatede laws and jurisprudence.
  - Responsible Unit : DBM (Office of Undersecretary/Secretary
  - Time-Frame : Quarterly
c. To develop an efficient and effective monitoring system on compliance with the "GPRA".
  - Action Plan
    - To conduct monthly surveys on the compliance with GPRA by government agencies, GOCCs and LGUs (through personal visits or survey question forms.
  - Responsible Unit : TSO-MSG (Monitoring & Secretariat Group)
  - Time-Frame : Monthly
d. To create a reliable "help-desk" for government agencies (re: queries on the interpretation/implementation of the law)
  - Action Plan
    - To have an in depth study, knowledge of the law (RA 918)
  - Responsible Unit : GPPB-TSO (Training, Research Policy Group)
  - Time-Frame : 1st Quarter of 2004

1.8 Department of Budget and Management (DBM)

Mission :

We, in the DBM, commit ourselves to implement the national budget in a manner consistent with the principles of transparency, fairness, and timeliness with the end in view of promoting and sustaining the national development objectives and fostering a culture of performance in the bureaucracy.

Clients' Requirement :

a. General Appropriations act.
b. Agency Budget Matrix
c. Annual/Monthly Cash Program
d. Evaluated/Adjusted Agency & Cash Program

Quality Policy :

As _____, we dedicate ourselves in pursuit of continued improvement towards the establishment of QMS in all spheres of our work...
- Rational policy direction
- Promote client-based solution
- Progressive agency intervention

Quality Objectives :

a. To implement a prompt and transparent budgeting cycle (P-L-E-A);
b. To foster agency – sensitive idea of client responsiveness through constructive agency representative, courteous client facilitation and timely releases of public funding and formulation of relevant policy directions; and

c. To build a culture of excellence among DBM officials and employees through innovative training on technical efficiency and ethical accountability.

SAMPLE 2 :

2.1 Land Transportation Office (LTO)

Clients' Requirement :

Fast, reliable, consistent and honest delivery of frontline services which includes

   a. Issuance of driver's license
   b. Registration of motor vehicles
   c. Implementation of MVIS
   d. Efficient and accurate collection of revenues derived from administrative fees and charges
   e. Settlement of apprehension cases

Quality Policy :

The Land Transportation Office as an attached agency of the DOTC is mandated to minimize road accident and to provide road safety to all commuters.

The three major functions of LTO are as follows :
   a. Traffic Enforcement
   b. Registration of Motor Vehicle
   c. Issuance of License

Quality Objectives :

   a. To provide quality service in the issuance of license
   b. To provide speedy delivering fast services for inspection and registration of motor vehicle.
   c. Strict implementation of land transportation and traffic code

2.2 Presidential Management Staff (PMS)

Clients' Requirement :

   a. Timely reliable and accurate info (e.g. Q & A, Fact Sheets)
   b. Implementable Policy Recommendations (Policy Group)
   c. Draft presidential speeches and media statements (SWG, policy unit)
   d. Complete and accurate recordings of the proceedings of cabinet meeting (Secretariat, Cabsec)
   e. Accurate processing of presidential appointments (secretariat-PPGS)
   f. Effective management of presidential visits and other events (Support-OR)
   g. Management of the President's Social Fund (OSP)
   h. Monitoring of Presidential Directives (Secretariat-DMU) e.g. SONA, 8-Point Agenda, priority directives

Quality Policy :

PMS is totally dedicated to strengthening the office of the president to serve the filipino people better; by providing competent service to the presidency in the overall management of development process; by harnessing proactiveness of our professionals in achieving continual improvement; by developing a robust information management system; by effective analysis and monitoring of critical national issues, projects and programs.

PMS aims to lead the example among all the government agencies by setting the highest standard of professional service in its efforts to increase public confidence and satisfaction in the national government.

Quality Objectives :

a. To provide the Presidency with recommendations based on timely, reliable, accurate and comprehensive information, to ensure that the best possible decisions are made.
b. To create an environment that encourages and facilitates the full and active participation of all sectors, especially the marginalized, in the development process and facilitate resolution of issues that needs the immediate attention of the President.
c. To open avenues for greater access to and interaction with the President and the public.

2.3 Muntinlupa City

Quality Policy :

It is the policy of the City Government of Muntinlupa to provide at all times; honest, highly professional, efficient, prompt, and quality public service.

" Muntinlupa... nasa puso ang paglilingkod."

2.4 Commission on Audit (COA)

Quality Policy :

We are responsible for ensuring accountability and transparency in government thru world-class audit.

We are committed to ensure that:
a. Government funds are assessed, collected and accounted for;
b. Government resources are utilized efficiently, economically and effectively;
c. Cases of funds misapplication are reported to the proper court;

We shall strive to maintain our status as a world-class audit institution.

Quality Objectives :

2.5 Department of Budget and Management (DBM)

Quality Policy :

We, in the DBM, commit ourselves to implement the national budget in a manner consistent with the principles of transparency, fairness and timeliness with the end in view of promoting and sustaining the national development objectives and fostering a culture of performance in the bureaucracy.

2.6. Department of Health – Bureau of Health Facilities and Services (DOH-BHFS)

Customer Requirements :

    a) License to Operate
    b) Accreditation
    c) Technical Assistance

Quality Policy :

In the best interest of the Filipino people, the Bureau of Health Facilities and Services shall ensure safe and quality health facilities and services by formulating standards, implementation of licensing and accreditation requirements without bias and sustain quality implementation through monitoring.
As a regulatory body, we shall ensure the integrity, responsibility and accountability of regulatory officers.

SAMPLE 3 :

3.1 Presidential Management Staff (PMS)

Clients' Requirement :

    a. Timely reliable and accurate info (e.g. Q & A, Fact Sheets)
    b. Implementable Policy Recommendations (Policy Group)
    c. Draft presidential speeches and media statements (SWG, policy unit)
    d. Complete and accurate recordings of the proceedings of cabinet meeting (Secretariat, Cabsec)
    e. Accurate processing of presidential appointments (secretariat-PPGS)
    f. Effective management of presidential visits and other events (Support-OR)
    g. Management of the President's Social Fund (OSP)
    h. Monitoring of Presidential Directives (Secretariat-DMU) e.g. SONA, 8-Point Agenda, priority directives

Quality Policy :

We, at PMS, provide excellent staff support to help the Presidency serve the Filipino better.

To attain this goal, we shall:

P – Provide the Presidency with recommendations based on timely, reliable, accurate and comprehensive information to ensure that the best possible decisions are made.

M – Maintain an environment that encourages and facilitates full participation and greater access by all sectors, especially the marginalized, in the development process.

S – Strengthen systems to improve interaction with the President and facilitate the resolution of issues that need immediate attention.

In PMS, we get things done.

ANNEX D: INPUT/OUTPUT REQUIREMENTS (Process For Driver's License Renewal-LTO)

INPUT REQTS	INPUT DOCS	FLOW PROCESS		OUTPUT REQTS	OUTPUT DOCS
		FLOW	PROCEDURE		
Evaluator/ Encoder	ADL Current DL. - Drug test results Medical Certificate 4.2.4		1. Evaluation of docs. & data encoding 7.2.1	Completeness of docs. & encoded data	Application docs. & recorded data
Photographer	7.2.1		2. Photo taking & capturing of applicants signature	Competent photographer 6.2.2	Defect-free photo & readable signature
Approving Officer	7.2.3		3. Approval of DL renewal or application 7.2.2	Competent AO 6.2.2	Approved DL
Cashier			4. Payment of DL fee to cashier	Competent & bonded cashier 6.2.2	OR of payment
Laminating Clerk			5. Parting of DL	Competent laminating clerk 6.2.2	Valid & renewal DL
Releasing Clerk	7.2.2		6. Releasing of DL	Competent releasing clerk 6.2.2	Scanned docs.
Scanning Clerk	Accountable forms(OR) 4.2.3		7. Scanning of docs. 4.2.3	Accomplished QC/QA monitoring log sheet satisfied or delighted customer 8.2.1	
PC 6.1 Camera 6.1 Scanner 6.1 Laminating mach. 6.1 Cash Register 6.1 Work Station 6.4 Manual on DLS 4.2.2 (Drivers License System)					

SUBJECT: Process for Conducting of Monitoring health Facilities - DOH

| INPUT REQTS | INPUT DOCS | FLOW PROCESS | | OUTPUT REQTS | OUTPUT DOCS |
		FLOW	PROCEDURE		
1. List of DOH Licensed Health Fac. - summary of evaluation with deficiencies			• Identification of H.F to be monitored	List of identified H.F to be monitored	
2. Division chief list of H.F to be monitored			• Assigns teams. schedules visits, prepares BU. Orders	Team assignments, schedule of visits. BU. of H.F	
3. Monitoring teams assignment schedules, B.O.			• Conducts monitoring of H. F		
			• Monitoring team submit reports / recommendation to division chief	Evaluation of report/ recommendation	
4. Monitoring report, findings. feedbacks			• Decision as to approval / disapproval of recommendation	Compliance / non-compliance to standards.	
5. Reports Director					

31

SUBJECT : Department Of Budget And Management

INPUT REQTS	INPUT DOCS	FLOW PROCESS		OUTPUT REQTS	OUTPUT DOCS
		FLOW	PROCEDURE		
General Appropriations Act	5.1		1.0 Release Of Agencies Budget Matrix	Agency Budget Matrix	4.23
Informal Beg (Budget Exec. Guidelines)					
Agency Budget Matrix	4.23		2.0 Submission Of Agencies Annual/Monthly Cash Program		
Annual/Monthly Cash Program	4.23		3.0 Evaluation Of Agencies Annual/Monthly Cash Program	Evaluated/Adjusted Agencies Monthly Cash Program	8.4
Evaluated / Adjusted Agencies Cash Program	4.23		4.0 Release Of Notice Of Cash Allotment	Notice of Cash Allotment	7.5.1

32

SUBJECT: Department of Budget And Management

INPUT REQTS	INPUT DOCS	FLOW PROCESS		OUTPUT REQTS	OUTPUT DOCS
		FLOW	PROCEDURE		
General Appropriations Act Informal Beg (Budget Exec. Guidelines)	5.1		1.0 Release Of Agencies Budget Matrix	Agency Budget Matrix	4.23
Agency Budget Matrix	4.23		2.0 Submission Of Agencies Annual/Monthly Cash Program		
Annual/Monthly Cash Program	4.23		3.0 Evaluation Of Agencies Annual/Monthly Cash Program	Evaluated/Adjusted Agencies Monthly Cash Program	8.4
Evaluated / Adjusted Agencies Cash Program	4.23		4.0 Release Of Notice Of Cash Allotment	Notice of Cash Allotment	7.5.1

33

SUBJECT: PMS Policy Group Business Processes

INPUT REQTS	INPUT DOCS	FLOW PROCESS — FLOW	FLOW PROCESS — PROCEDURE	OUTPUT REQTS	OUTPUT DOCS
Instructions	7.2		1. Policy Research	7.5.3	Traceability / identification
unit / PMS database input from concerned agencies			2. Conduct of CSW / RCR * Background status * Legal Basis * Implications - stakeholders/ - implementer - resource reg	8.2, 8.4, 8.5.1, 8.5.3	Monitoring / status reporting
Input from stockholders - research - analysis - verification - validation	8.4 8.4 7.4.3 7.5.2		*Recom. Actions *Action Doc.		
Validation	7.4.3, 7.5.2, 5.1		Clearances -concerned agency/stockholder -unit head -PG head -ES -President		
Management Responsibility	5.1, 5.2, 5.3, 5.5.2, 5.5.3, 5.6.1-5.6.3, 8.2.1		Policy Paper Action Doc. -directives -state/speeds -EQ's/AO's Program Proposal Monitoring		

34

SUBJeCT : Value for-Money Audit- COA

INPUT REQTS	INPUT DOCS	FLOW PROCESS		OUTPUT REQTS	OUTPUT DOCS
		FLOW	PROCEDURE		
Dev. of audit plan - information/ data about the agency	7.2.1, 7.2.2,		• Planning	Survey Questionare	7.2.1
-Doc. gathered (e.g. report. FS, etc.) -	7.2.2			Decisions based on info.	7.2.1
				Audit objective	7.2.1
Agency needs (prob./issue) –complaints / req. for audit	7.2.3			Audit criteria -audit plan/LPM -audit rib plan	7.2.1
				Survey report	7.2.1
-authority (office order)	5.1			Flowcharts (agency processes)	7.2.1
-instructions	5.5.1			Agency analysis frame work	7.2.1
-resource(3 MS)	6.2.2, 6.3, 6.4			Reversed audit criteria	7.2.1
				Reversed audit plan -audit objective -audit scope -audit methodology -miles stones	7.2.2

35

SUBJECT : Value for Money Audit-COA

INPUT REQTS	INPUT DOCS	FLOW PROCESS FLOW	FLOW PROCESS PROCEDURE	OUTPUT REQTS	OUTPUT DOCS
Conduct of initial survey/ testing of audit criteria / plan			2. Execution	Audit observation memorandum	
-audit criteria	4.2.1			Audit highlights	8.3
-audit plan/IPM	4.2.1			Management letter	
-survey questionare and response	4.2.1			Supervisor's review notes	5.6.3
--documents gathered (e.g. voucher, accmp. rep. -resources (3 Ms)	7.5.4 6.2.2; 6.3, 6.4				
- authority -Books & Accts (GL,SL,Man ual)	5.1 7.5.4				

36

SUBJeCT : Value for Money Audit-COA

INPUT REQTS	INPUT DOCS	FLOW PROCESS		OUTPUT REQTS	OUTPUT DOCS
		FLOW	PROCEDURE		
•Revised audit crit. & audit plans	5.3		3. Reporting	Audit report - Findings & observations	4.2.1
* Audit risks plans	5.4			-Management comments	
*Resources (3 Ms)	6.1			- Recommendations	
* Agency analysis framework	8.4				
*Flowcharts					
*Data gathered & analyzed					
*Survey questions (accomplished)	4.2.1				
*Mgmt's. insights / comments during conference					
*Financial statements					
*Reports & records					
*Issues identified & analyzed	8.4				

SUBJECT : Value for Money Audit-COA

INPUT REQTS	INPUT DOCS	FLOW	PROCEDURE	OUTPUT REQTS	OUTPUT DOCS
Validated data	8.4		4 Monitoring of implementations	Management letter/ Reactions: re status of implementatio n of recommendatio ns	4.2.1
Disbursemen t vouchers					
Audit Observation/ Memorandu m	4.2.1				
Audit highlights				Evaluation	8.4
Management letter					
Supervisor's review notes	5.6.2				
Management comments					
Resources (3 Ms)	6.2.1, 6.2.2, 6.3, 6.4				
Audit report - follow up letter	8.2.3				
Resources (3 Ms)	6.2.1, 6.2.2, 6.3, 6.4				

38

SUBJ₌CT: Drivers' License Renewal-LTO

UNIT INVOLVED	ACTIVITY		INTERFACE
	FLOW	PROCEDURE	
Evaluator		1. Receives & Evaluates app's & documents for renewal of DL	ADL/ old DL
Encoder		2. Encoding of data	ADL / old DL
Photographer		3. Capture of photo / signature of license	ADL
Approving Officer		4. Approval of Apps	ADL
Cashier		5. Payment of license fee	ADL NEW OR
Printer Oprt.		6. Lamination of DL	ADL / OR
Releasing clerk		7. Releasing of DL	LOGBOOK

39

SUBJECT : Initial Accreditation of Medical Clinic for Overseas Filipino Worker (DOH)

Input Requirements	Input Documents	Process	Output Requirements	Output Documents
Receiving Clerk Division Head OFW Registrar Log book Supplies	Filled-up application form Requirements submitted by applicants	Evaluation of Application	Evaluation within the day of submission	Approved Application
Inspection Team Admin Unit Division Chief Photocopier Supplies	Request B.O. Notification to applicant Inspection Checklist Summary of Evaluation	Preparation for Conduct Inspection	Documents prepared within 1 day of approval of application	Bureau Order for Inspection
Inspection Team Driver Vehicle/Gasoline Travelling Expenses Supplies	Bureau Order Inspection Checklist Summary of Evaluation Form	Conduct of Inspection	Half-day inspection	Filled-up: Inspection Checklist Summary of Evaluation

40

SUBJECT : Initial Accreditation of Medical Clinic for Overseas Filipino Worker(DOH)

Input Requirements	Input Documents	Process	Output Requirements	Output Documents
Division Chief Inspection Team Clerk OFW Registrar	Filled-up Inspection Checklist Summary of Evaluation	Evaluation of Inspector's & Recommendation	Evaluation within the day of submission	Signed Summary of Evaluation
Director Division Chief OFW Registrar Inspection Team Records Section Supplies	Signed Summary of Evaluation Communication to the Applicant Certificate of Accreditation	Issuance/ Non-Issuance of Certificate	Certificate of Accreditation signed within 2 days	Mailing List Delivery Receipt

DBM	PROCEDURE MANUAL
	Releasing of Notice Cash Allocation (NCA)/SRO

I. OBJECTIVE : To provide timely release of the funds necessary for the agency operation

II. SCODE : Budget Operations Group – evaluate and release fund allocations upon request

	FLOW	ACTIVITY	INTERFACE
Records Officer		• Receipt of Agency request	Agency Budgetary Request w/ Complete Supporting Documents
Budget & Mgt. Analyst		• Evaluation of Agency request	Existing Budgetary Guidelines Agency Bank Balance
- do -		• Preparation of Release Documents	NCA / SARO Forms
- do -		• Releasing of NCA / SARO	NCA / SARO Forms
- do –		• Monitoring of Fund Utility	Agency Financial Report/ (Dis. Reps)
- do –		• Maintenance of Records	Details of Agency

42

PROCEDURE MANUAL	
DBM	Releasing of Notice cash Allocation (NCA)/SPO

PROCEDURE DETAILS

- 4. Please refer to NBC No. 487, 2003 for the detailed guidelines on the release of funds.

REFERENCES

- * Agency Budget Matrix
- * Agency Profile & Programs
- * DEM Guidelines

RECORDS

- * Financial Statements
- * Details of Agency Releases

43

PROCEDURE MANUAL		Doc. Code
		Rev.
POLICY STUDY		Effectivity / Page

PMS GROUP	Prepared by	Review by	Approved by

1. OBJECTIVE : To ensure consistency of all governments activities with the administrations policies

- SCOPE : Policy Group, as the need arises

RESPONSIBILITY	FLOW	ACTIVITY	INTERFACE
Policy Group Head		• Receipt of instruction from PMS Head	Pres Instruction / Memo
Policy Group Head		• Distribution to concerned unit	Memo
Assigned Unit/ Staff		• Conduct of CWS / RCR	Coordination w/ other agencies for data; validation from other clientele
Policy Group Head		• Submit recommendation to PMS Head	Memo from PMS Head to Pres
Assigned Unit / Staff		• File	Hard / soft copy docs

44

ANNEX E
TRAINING COURSE ISO 9001:2000 ALIGNED QUALITY
MANAGEMENT SYSTEM DOCUMENTATION FOR THE PUBLIC SECTOR
1ST Batch

DIRECTORY OF PARTICIPANTS

DEPARTMENT OF HEALTH (DOH)
BUREAU OF HEALTH FACILITIES AND SERVICES
☞ Bldg. IV, 2nd Flr
   Department of Health
   San Lazaro Compound
   Sta. Cruz, Manila
☎ 711-6982

1. Dr. Teodora M. Eugenio   -   Medical Officer VI
2. Dr. Jennifer E. Cuneta   -   Medical Specialist III
3. Mr. Alfonso A. Favis   -   Health Physicist
4. Mr. Efren C. Lopez   -   Architect
5. Mr. Joselito M. Reyes   -   Records Officer I
6. Dr. Cynthia R. Rosuman   -   Medical Specialist III

LAND TRANSPORTATION OFFICE (LTO)
☞ LTO East Avenue, Quezon City
☎ 921-3832

7. Ms. Grace E. Lugtu   -   Supervising TRO
8. Ms. Marriette G. Canlas   -   Human Resource Officer II, Personnel Division
9. Ms. Emerita O. Soliven   -   Cashier III, Treasury Section
10. Ms. Mercedita E. Gutierrez -   Chief, Registration Section
11. Ms. Ilonor A. Madrid   -   Chief, License Section
12. Ms. Arabelle O. Petilla   -   IT Officer II
13. Ms. Menelia C. Mortel   -   Chief, Management Services Section

CITY GOVERNMENT OF MUNTINLUPA (CGM)
☞ City Hall, Muntinlupa City

14. Mr. Edwin T. Suitado   -   Officer-In-Charge, Internal Control Division
                                    ☎ 543-0776
15. Ms. Jocelyn A. Castillo   -   Local Treasury Operation Officer II,
                                    Treasury Office
16. Ms. Editha H. Ricarte   -   Project Officer IV, Personnel Office
                                    ☎ 543-0728

CITY GOVERNMENT OF MUNTINLUPA (CGM)
City Hall, Muntinlupa City

17. Mr. Abel L. Sumabat	-	Management Audit Analyst II, Internal Audit Office ☎ 543-0776
18. Ms. Elvira D. Tulay	-	Management Audit Analyst II, Accounting Office ☎ 543-0817
19. Mr. Necito M. Guico	-	Executive Assistant V, Budget Office ☎ 543-0793

DEPARTMENT OF BUDGET MANAGEMENT (DBM)
DBM Mabini Hall, Malacañang, Manila
☎ 735-1976/735-1984

20. Ms. Ma. Elisa E. Rivera	-	Sr. Budget & Management Specialist, OPIB
21. Mr. Edgardo P. Atienza, Jr.	-	Budget & Management Analyst
22. Mr. Malcolm C. Queyquep	-	Budget & Management Analyst
23. Ms. Celina S. Rodil	-	Sr. Budget & Management Specialist, OPIB
24. Ms. Ma. Delia P. Meimban	-	Sr. Budget & Management Specialist, OPIB
25. Ms. Carmina D. Dela Cruz	-	Budget & Management Specialist I, OPIB
26. Ms. Rowena A. Magpusao	-	Budget & Management Analyst
27. Ms. Kristine Carol S. Chavez	-	Budget & Management Specialist I

DEVELOPMENT ACADEMY OF THE PHILIPPINES (DAP)
4th Floor, DAP Building, San Miguel Ave.
Ortigas Center Pasig City
☎ 631-2156 / 6310921 loc. 135/179

28. Mr. Joseph T. Imperial	-	Technical Staff, Center for Quality and Competitiveness- Service Quality Improvement Program (CQC-SQIP) ☎ 631-2156
29. Mr. Francis Fermin S.P. Flores	-	Technical Staff, Center for Quality and Competitiveness- Small & Medium Enterprises (CQC-SME)

DIRECTORY OF PARTICIPANTS

COMMISSION ON AUDIT (COA)
Commonwealth Avenue, Quezon City
☎ 931-9284/951-0933/931-9204/931-7518

1. Ms. Maxima A. Aquino	-	State Auditor V, Cluster I (NCR), Local Government Sector ☎ 534-0179 / 929-1665
2. Ms. Maribeth F. de Jesus	-	State Auditor V, National Government Sector
3. Ms. Agnes A. Marcelo	-	State Auditor V, Corporate Government Sector
4. Ms. Sylvia P. Montes	-	State Auditor V, Corporate Government Sector
5. Ms. Corazon A. Saldivar	-	State Auditor V, GAFMIS
6. Ms. Evelyn P. Reyes	-	State Auditor V, Management Services ☎ 931-0235
7. Ms. Evelyn C. Abad	-	Director III, Finance ☎ 931-3264
8. Ms. Natividad S. Garcia	-	State Auditor V, Regional Administrator's Office Region IV ☎ 931-9304
9. Ms. Juanita A. Villarosa	-	State Auditor V, Administration ☎ 951-0488

DEPARTMENT OF BUDGET MANAGEMENT (DBM)
DBM Mabini Hall, Malacañang , Manila
☎ 735-1976/735-1984

10. Ms. Emelita M. Bailon	-	Senior Budget and Management Specialist
11. Mr. Lorenzo C. Drapete	-	Chief, Budget and Management Specialist
12. Ms. Amelita D. Castillo	-	Director, Organization & Productivity Improvement Bureau (OPIB)
13. Ms. Clotilde L. Drapete	-	Supervising Budget & Management Specialist, OPIB
14. Ms. Cora Z. Resoso	-	Supervising Budget & Management Specialist
15. Mr. Mark-jay T. Claravall	-	Budget & Management Analyst
16. Ms. Felicisima A. Gonzales	-	Senior Budget and Management Specialist
17. Mr. Jerome E. Ilagan	-	Budget and Management Specialist II
18. Mr. Gerald R. Janda	-	Budget and Management Analyst

PRESIDENTIAL MANAGEMENT STAFF (PMS)
⌨ 9th Flr PMS Bldg., Arlegui St
   Malacañang, Manila
☎ 734-2186

19. Ms. Ma. Irene B. Calingo	-	PSO VI, PPGS ☎ 734-2004
20. Ms. Norable-Del B. Cerojano	-	PSO VI, CABSEC ☎ 734-5890
21. Ms. Myra G. Ignacio	-	IO III, ITO ☎ 734-2186
22. Ms. May M. Manauis	-	PSO V, PPGS ☎ 734-2092
23. Ms. Maryjean A. Narne	-	PSO VI, DAO ☎ 734-2098
24. Ms. Grace O. Tan	-	PSO VI, ODH ☎ 734-2092 / 734-2004
25. Mr. Renato B. De Guia	-	PSO V, ITO ☎ 734-2186
26. Ms. Vilma Jeanette S. De Lara	-	PSO V, DMU ☎ 734-2197 / 734-3971 loc 137
27. Mr. Juanita T. Macario	-	PSO V, ITO ☎ 734-2186
28. Ms. Melissa Nanette V. Matias	-	PSO V, ITO ☎ 734-2186
29. Ms. Nenita L. Sagaoinit	-	PSO V, PPGS ☎ 734-2004
30. Mr. Joaquin Romeo S. Santiago	-	PSO V, DAO ☎ 734-2098

DEVELOPMENT ACADEMY OF THE PHILIPPINES (DAP)
⌨ 4th Floor, DAP Building, San Miguel Ave.
   Ortigas Center Pasig City
☎ 631-2156 / 6310921 loc. 135/179

31. Ms. Charito T. Macam	-	Technical Staff, Center for Quality and Competitiveness- Service Quality Improvement Program (CQC-SQIP) ☎ 631-2156

ANNEX
Training Course On ISO 9000:2000-Aligned Quality Management System Documentation For The Public Sector Programme and Participants' Expectations

Day One		Day Two	
0800 am	Registration	0830 am	Management of Learning (Review of Day 1)
0820	Invocation / Welcome Message		
0830	Expectation Setting and Course Overview		
0900	QMS Updates from Pilot Agencies	0900	Continuation of Workshop 4
0930	Module 1: QMS Principles, Concepts, Scope and Application : An Introduction		
0945am	**Morning Break**	**0945am**	**Morning Break**
1000 am	Continuation of Module 1	1000 am	Module 6: The Procedures
1030	Module 2: ISO 9001 : 2000 QMS Requirements – A Review	1100	Workshop 5
1100	Workshop 1		
1115	Module 3: Documenting the QMS in Government		
	Workshop 2		
1200 nn	**Lunch Break**	**1200 nn**	**Lunch Break**
0100 pm	Energizer	0100 pm	Energizer
0115	Presentation of Outputs	0115	Module 7: The Support Documents
0130	Module 4: Quality Policy and Quality Objectives	0145	Workshop 6
	Workshop 3	0230	Module 8 The Quality Plan
0315 pm	**Afternoon Break**	**0300 pm**	**Afternoon Break**
0330 pm	Module 5: The Quality Manual	0315 pm	Workshop 7
		0345	Module 9: Implementing & Maintaining the Established QMS in Government
		0415	Action Planning
0500	Workshop 4	0515	Closing Program

49

EXPECTATION SETTING
November 18 –19, 2003

a. What do I expect from the course?

- value added
- to know what is QMS and how we can implement it in the workplace / our office
- learn & apply
- I expect to learn from the course how to go about QMS in our organization.
- To learn more about QMS documentation
- Implementable
- Practical in application
- Will complement / so activities in the office
- How it differs from the other TQM courses

b. What do I expect from the resource persons?

- Give illustration with sense of humor
- Fully knowledgeable, practical, flexible
- To be lively
- Additional information and application of quality management
- Elaborate on the application of "process approach"
- Cite specific examples of ISO requirements for LGU
- Lively discussion, live cases
- Heavy on workshop and practical applications.
- Less on theories
- To decide on issues that would arise
- Competence in QMS
- Can inspire participants to share
- Mastery of the topic being discussed
- Lively discussion
- Can give good examples to get ideas across
- Has clear & loud voice
- Expertise in the field of Quality Management System
- Strong capability to transfer effectively his/her knowledge to the group.
- Lectures to discuss the topics comprehensively
- Participate and actively interact

c. What do I expect from my co-participants?

- Active participation and sharing their experiences in quality management practices in their respective offices
- Respect each others views
- Learn from each other
- Open sharing
- To come on time so hat our session will start and end early
- Cooperative
- Not noisy
- To participate actively
- Exchanging ideas

- Cooperative
- I expect to learn from my co-participants experience related to the course/subject.
- To share their experiences in the management of their respective offices
- Participation and cooperation during workshops
- Share experiences
- To share experiences & insights on their quality initiatives
- Attentive

November 28-29, 2003

a. What do I expect from the course?

- Can achieve its stated objectives
- Clearer understanding of ISO
- Apply our knowledge & skill in our daily operation / institutes
- Devices measures in order to know its efficiency and effectiveness
- Know the documents needed in order to start ISO documentation
- Enhance and solidify our working knowledge of ISO documentation
- Not boring
- To develop documentation skills

b. What do I expect from the resource persons?

- Can clearly present the topics
- Equip with the necessary materials
- Knowledgeable
- Competence
- Experts
- Has profound knowledge on the subject
- Translate concepts into public settings
- Give more examples related to government transactions using ISO clauses.
- Can easily convey ideas to the participants
- Full knowledge of the subject
- Can impart the knowledge & motivate the participants

c. What do I expect from my co-participants?

- Cooperation
- Provide inputs/ share knowledge to others
- Actively participate in the discussion
- Cooperation & active participation
- Cooperative & game
- Punctual
- Willingness to share experiences and insights

ANNEX G: DOH BUSINESS PROCESS MAP (LICENSING AND ACCREDITATION)

IMPLEMENTATION PROCESS DIAGRAM
Licensing & Accreditation

```
  ┌──────────────┐      ┌──────────────┐      ┌──────────────────────────────┐
  │              │      │              │      │                              │
  │ APPLICATION  │─────▶│ INSPECTION   │─────▶│ ISSUANCE / NON-ISSUANCE OF   │
  │              │      │              │      │ LICENSE / ACCREDITATION      │
  │              │      │              │      │                              │
  └──────────────┘      └──────────────┘      └──────────────────────────────┘
         ▲                     ▲                            ▲
         │                     │                            │
         │              ┌───────────────┐                   │
         └──────────────│ M O N T O R I N G │───────────────┘
                        └───────────────┘
```

52

DOH - LICENSING & ACCREDITATION

TARGET : 100 % Processing of application Received
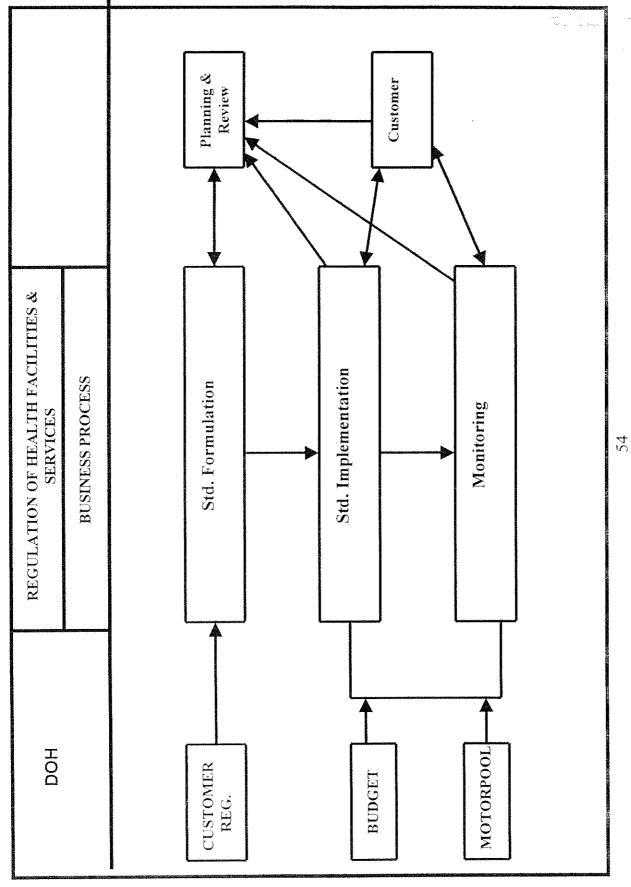
KPM
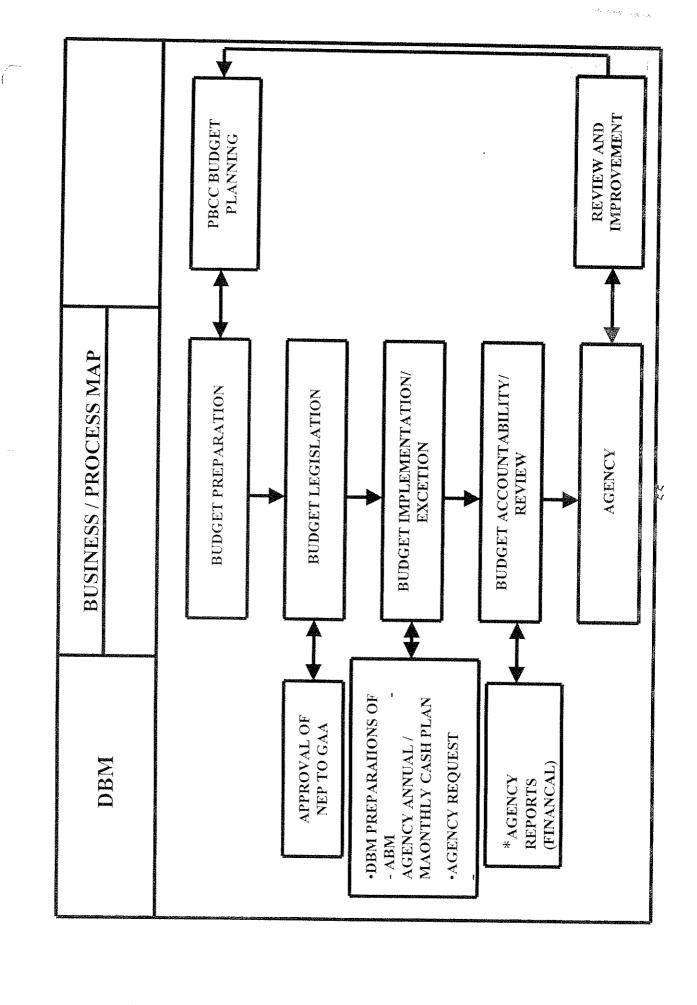
EFFECTIVENESS

$$\frac{\text{\# of application processed}}{\text{\# of application received}}$$

EFFICIENCY

\# 15 days processing (from the date of receipt of application)

53

REGULATION OF HEALTH FACILITIES & SERVICES

BUSINESS PROCESS

DOH

| Planning & Review | Customer |

| Std. Formulation | Std. Implementation | Monitoring |

| CUSTOMER REG. | BUDGET | MOTORPOOL |

54

BUSINESS / PROCESS MAP

DBM

PBCC BUDGET PLANNING

REVIEW AND IMPROVEMENT

BUDGET PREPARATION

BUDGET LEGISLATION

BUDGET IMPLEMENTATION/ EXCETION

BUDGET ACCOUNTABILITY/ REVIEW

AGENCY

APPROVAL OF NEP TO GAA

•DBM PREPARAIIONS OF
- ABM
AGENCY ANNUAL /
MAONTHLY CASH PLAN

•AGENCY REQUEST

*AGENCY REPORTS (FINANCAL)

DBM	PROCEDURE MANUAL
	Releasing of Notice cash Allocation (NCA)/SRO

- **PROCEDURE DETAILS**

  4. Please refer to NBC No. 487, 2003 for the detailed guidelines on the release of funds.

- **REFERENCES**

  * Agency Budget Matrix

  * Agency Profile & Programs

  * DEM Guidelines

- **RECORDS**

  * Financial Statements

  * Details of Agency Releases

Govt. Agencies Gen. Public

Research & Methrodology

Training

Technical

Finance

Admin. / HR

LT

Policy Making / Planning

AUDIT PROCESS

| Perf-orma nce | FIND | Final | Rate & levy | SPE CIA L |

Presentation of Audit Results to clients

Legal Adj

Filing of Case

Adjudication

Feedback Queries

Media Affairs

Help Desk

COA WEB

Radio Opinion Certificate

Operations Improvement

REPORTING

Monitoring of Implementation

Client Feedback

57

PMS BUSINESS PROCESS MAP

```
PRESIDENT  →  TSS TO PRES
```

EVENTS MCT ← **MONITORING COORDINATION COMMUNICATION**
- SPEECH WRITING/MEDIA STATEMENTS
- VISITS/OTHER EVENTS
- CABINET MEETINGS
- DIRECTIVE MONITORING

POLICY RECOM ← **REVIEW / EVALUATION**
- POLICY STUDY
- APPOINTMENTS
- ITECCS
- PSF

- MOTORPOOL
- SUPPLIES
- ITO
- HR
- PSF

58

PROCUREMENT / PURCHASING

OWNER : Purchasing Section of GSO

OBJECTIVES: To ensure required materials are purchased from approved suppliers; to ensure supplier are monitored for continuing suitability; to ensure that purchase orders are accurate and complete.

Approved Suppliers or New Suppliers

NEW

Suppliers Selection Sec 7.4
IRR KA 9184
*Quality Reputation
*Availability
*Location

7.4.1

Purchased Order Generated

REVISE

PO REVIEW

7.2.2
7.4.2

OK

OUT

PO Sent to Suppliers

59

ANNEX H QUALITY PLANS

Development Academy of the Philippines - Center for Quality and Competitiveness

Establishment of ISO 9001:2000 aligned Quality Management System for

All Targeted Agencies

Schedule of Activities

Activity	Month 1	Month 2	Month 3	Month 4	Month 5	Month 6	Month 7	Month 8	Month 9	Month 10	Total
1. Initial Gap Assessment and Analysis											
2. Project Launching											
3. Awareness Seminar on ISO 9001:2000 QMS											
4. QMS Planning											
5. Documentation Training											
6. Actual Documentation											
7. Interface Meeting (refinement of Documents/System)											
8. Trial Run of QMS											
9. Refinement of QMS											
10. Full Implementation of QMS											
11. Internal Quality Audit (IQA) Training											
12. Actual IQA											
13. Conduct of Corrective and Preventive Actions											
14. Management Review											
15. Final Assessment, Recommendation in Preparation for Certification											
Frequency of Plant Visit of CQC & DBM staff	2	1 1 1 1	1	1	1 1 1	1 1	1 1 1 1 1 1	1	1		24
Frequency of Plant Visit with Technical Consultant	2	1 1	1	1	1	1	1				10

Total

ANNEX I
SEMINAR-WORKSHOP ON ISO 9000:2000-ALIGNED
QUALITY MANAGEMENT SYSTEM (QMS) FOR THE PUBLIC SECTOR

RESOURCE PERSONS

Ms. Marilou Quinco-Toledo
Director, Department of Trade & Industry (DTI)-Region IV

Ms. Patricia P. Hornilla
Senior Labor and Employment Officer
Department of Labor and Employment-
Bureau of Labor and Employment Statistics

Dr. Aileen R. Javier
Deputy Director, Medical Services Department
National Kidney Institute, Inc.

Mr. Abel L. Sumabat
Management Audit Analyst II, Internal Audit Office
City Government of Muntinlupa

Mr. Francis Fermin S.P. Flores
Project Officer, Productivity Development Program for SME
Development Academy of the Philippine-Center for Quality & Competitiveness

Mr. Julius M. Castor
Program Supervisor, Productivity Development Program for SME
Development Academy of the Philippine-Center for Quality & Competitiveness

Mr. Oliver Rhey C. Javier
Project Officer, Productivity Development Program for SME
Development Academy of the Philippine-Center for Quality & Competitiveness

Mr. Vivencio C. Osila
Project Officer, Program for Industry & Competitiveness
Development Academy of the Philippine-Center for Quality & Competitiveness

Mr. Robert M. Baldridge
Project Officer, Service Quality Improvement Program
Development Academy of the Philippine-Center for Quality & Competitiveness

RESOURCE PERSONS

Ms. Darlene L. Page
DAP Consultant

Mr. Robert M. Baldridge
Project Officer
Center for Quality & Competitiveness-Service Quality Improvement Program

Mr. Francis Fermin S.P. Flores
Project Officer
Center for Quality & Competitiveness-Small and Medium Enterprise
Productivity Development Program

ANNEX J
SEMINAR-WORKSHOP ON ISO 9000:2000 ALIGNED
QUALITY MANAGEMENT SYSTEM (QMS) FOR THE PUBLIC SECTOR
TRAINING COURSE ISO 9001:2000 ALIGNED QUALITY
MANAGEMENT SYSTEM DOCUMENTATION FOR THE PUBLIC SECTOR

DAP PROJECT TEAM

Mr. Arnel D. Abanto
Assistant Vice President, CQC

Ms. Niña Maria B. Estudillo
Program Supervisor, CQC-SQIP

Mr. Robert M. Baldridge
Project Manager, CQC-SQIP

Mr. Joseph Rey T. Imperial
Project Staff, CQC-SQIP

Mr. Charito T. Macam
Project Staff, CQC-SQIP

development academy of the philippines
The National Productivity Organization
San Miguel Avenue, Pasig City
631-21-56/43/67/37; 631-0921 to 30 loc. 135

PRESENTATION MATERIALS

Seminar-Workshop on
ISO 9000:2000 Aligned
Quality Management System
For the Public Sector

development academy of the philippines
The National Productivity Organization

Seminar-Workshop on ISO 9000:2000-Aligned Quality Management System (QMS) for the Public Sector

Course Design

I.   Background/Rationale

Quality is a strategic issue that is significantly emerging in the light of globalization, which is raising quality standards all over the world. In particular, the public service sector is increasingly feeling the pressure to put the citizenry as its primary customer, minimize if not eliminate graft and corruption by cutting red tape and empower employees to achieve beneficial results. In all its three sub-sectors, namely, National Line Agencies (NLAs), Government Owned and Controlled Corporations (GOCCs) and Local Government Units (LGUs), citizens are now considering service quality to be the topmost priority issue in the delivery of basic services such as immediate and timely processing of documents/requests, basic services such as healthcare, education and peace and order.

Effective management and good governance are essential elements of quality which can be easily achieved through an effective Quality Management System (QMS). Aligning the agency's planning, service and support operations to ISO 9000:2000 is one reliable approach in establishing QMS. The methodology provides a clear perspective of the quality system requirements and the areas of control to assure the consistency in the quality of services they provide.

Realizing the challenges being faced by the government organizations in order to become more responsive, effective, efficient, competitive and innovative, the Development Academy of the Philippines – Center for Quality & Competitiveness (DAP-CQC) is proposing this Pilot Project on Institutionalizing Public Service Performance Excellence through ISO 9000-Aligned QMS.

II.   Course Objectives

At the end of the seminar-workshop, participants are expected to:

1. Understand concepts on productivity, quality and ISO 9000:2000-Aligned Quality Management System (QMS);
2. Develop their skills on the establishment of ISO 9000:2000-Aligned QMS; and
3. Gain some insights on a government agency's experiences and results of ISO 9000 QMS establishment and certification.

III.   Expected Outputs

At the end of the seminar-workshop, it is expected that the participants from the selected government agencies will be able to:
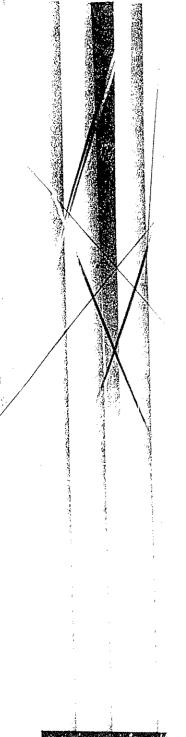
1. Explain the concepts of ISO 9000:2000 Quality Management System and relate its importance in the delivery of public service
2. Explain the requirements for implementing QMS in their respective agencies
3. Identify the core business processes of their agency that will be included in the establishment of QMS.

ANNEX E

Seminar-Workshop on ISO 9000:2000-Aligned Quality Management System (QMS) for Government

Programme and Participants' Expectations

Day One

Time	Activity
0800 am	Registration
0820	Invocation / Welcome Message
0830	Expectation Setting and Course Orientation
0900	Overview of the QMS Project for the Public Sector
0915	Lecture 1: Introduction to Productivity, Quality and QMS in Government
0945 am	**Morning Break**
1000 am	Lecture 2: Development & General Overview of ISO 9001 : 2000 and the Eight Management Principles
1030	Lecture 3: Applying the General Requirements of ISO 9001 : 2000 A.Management Responsibility B. Commitment C. Public Focus D.Quality Policy E.Planning & Administration
1115	Workshop 1
1200 nn	**Lunch Break**
0100 pm	Energizer
0115	Presentation of Outputs
0230	Lecture 4: Understanding Resource Management in Government
	Workshop 2
0315 pm	**Afternoon Break**
0330 pm	Lecture 5: Product or Public Service Realization
0515	Homework Briefing (Workshop 3)

Day Two

Time	Activity
0800 am	Management of Learning
0820	Review of Day 1
0900	Lecture 5: Continuation: Product or Public Service Realization
0945 am	**Morning Break**
1000 am	Lecture 6: Measurement, Analysis & Improvement
1100	Workshop 4
1200 nn	**Lunch Break**
0100 pm	Energizer
0115	Presentation of Outputs
0145	Lecture 7: Audit Methodology for ISO 9001:2000 in the Public Sector
0300 pm	**Afternoon Break**
0315 pm	ISO 9001:2000 Experience in the Public Sector
0415	Action Planning
0515	Closing Program

Introduction to Productivity, Quality & QMS

INTRODUCTION TO PRODUCTIVITY, QUALITY & QMS

WHAT DOES QUALITY & PRODUCTIVITY MEAN IN YOUR ORGANIZATION?

NIÑA MARIA B. ESTUDILLO
Program Supervisor, SOIP
Center for Quality and Competitiveness
Development Academy of the Philippines

PRODUCTIVITY

OUTPUT

INPUT
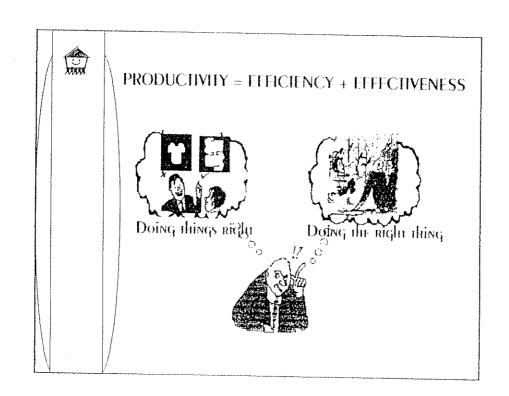
PRODUCTIVITY IS,

ABOVE ALL,

AN ATTITUDE OF MIND.

IT SEEKS TO CONTINUALLY IMPROVE
WHAT ALREADY EXISTS. IT IS BASED
ON THE CONVICTION THAT ONE CAN
DO THINGS BETTER TODAY THAN
YESTERDAY AND BETTER TOMORROW
THAN TODAY.
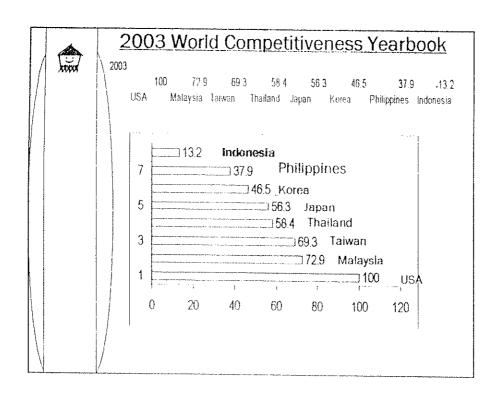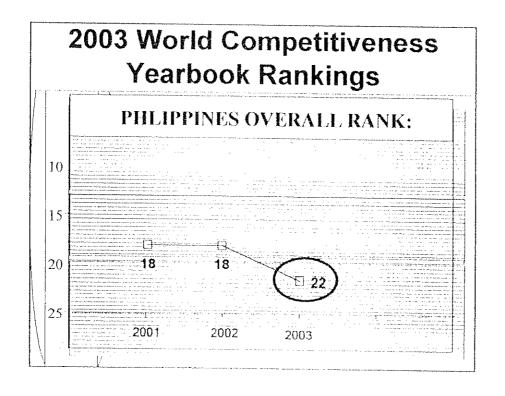
From the report of the Rome Conference
European Productivity Agency, 1958

PRODUCTIVITY = EFFICIENCY + EFFECTIVENESS

Doing things right   Doing the right thing
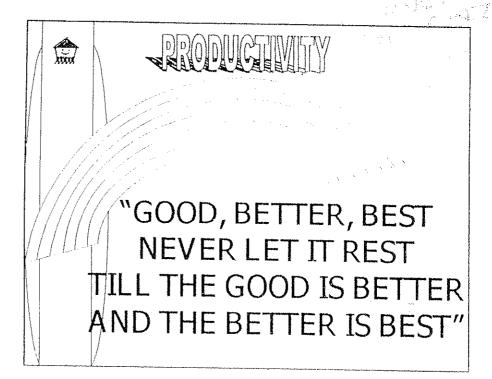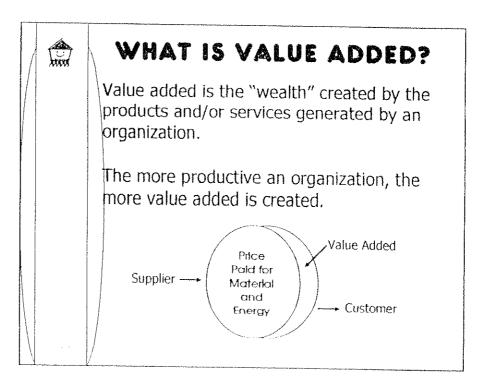
2003 World Competitiveness Year Book
(Group 1: Population greater than 20 million)

Score 2003	Country/Region	Rank 03	Rank 02	Rank 01
100.0	USA	1	1	1
86.5	Australia	2	3	3
84.1	Canada	3	2	2
72.9	Malaysia	4	6	10
69.8	Germany	5	4	4
69.3	Taiwan	6	7	5
66.5	United Kingdom	7	5	6
66.4	France	8	9	8
59.8	Spain	9	8	7
58.4	Thailand	10	13	14
56.3	Japan	11	11	9
50.8	China Mainland	12	12	12
47.8	Sao Paulo	13		
47.4	Zhejiang	14		
46.5	Korea	15	10	11
44.5	Colombia	16	20	71
44.3	Italy	17	14	13

2003 World Competitiveness Year Book

Score 2003	Country/Region	Rank 03	Rank 02	Rank 01
43.9	South Africa	18	16	17
42.5	Maharashtra	19		
42.2	India	20	17	19
40.7	Brazil	21	15	16
37.9	Philippines	22	18	18
33.6	Romania	23		
33.3	Mexico	24	19	15
29.8	Turkey	25	23	20
24.6	Russia	26	21	22
21.5	Poland	27	22	25
13.2	Indonesia	28	25	24
12.5	Argentina	29	26	23
9.8	Venezuela	30	24	26

3

2003 World Competitiveness Yearbook

2003

100	72.9	69.3	58.4	56.3	46.5	37.9	.13.2
USA	Malaysia	Taiwan	Thailand	Japan	Korea	Philippines	Indonesia

- 13.2 Indonesia
- 37.9 Philippines
- 46.5 Korea
- 56.3 Japan
- 58.4 Thailand
- 69.3 Taiwan
- 72.9 Malaysia
- 100 USA

2003 World Competitiveness Yearbook Rankings

PHILIPPINES OVERALL RANK:

18   18   22

2001   2002   2003

PRODUCTIVITY

"GOOD, BETTER, BEST
NEVER LET IT REST
TILL THE GOOD IS BETTER
AND THE BETTER IS BEST"

WHAT IS VALUE ADDED?

Value added is the "wealth" created by the products and/or services generated by an organization.

The more productive an organization, the more value added is created.

Supplier ⟶ (Price Paid for Material and Energy)   ⟵ Value Added   ⟶ Customer

14 NON-VALUE ADDING ACTIVITIES IN ORGANIZATIONS

1. Preparation Time
Drafts, preliminary meetings, pre-planning sessions

2. Waiting Time

3. Transportation/ Distribution

4. Unnecessary Process Steps

5. Administration/ Decision-Making

Total Quality Management in the Public Sector, Colin Morgan and Stephen Murgatroyd, 1994

14 NON-VALUE ADDING ACTIVITIES IN ORGANIZATIONS

6. Communications

7. Overproduction

8. Set-up Times

9. Timing

10. Bottlenecks

11. Process Waste

12. Rejects

13. Materials Waste

14. Untidiness

Total Quality Management in the Public Sector, Colin Morgan and Stephen Murgatroyd, 1994

THE COST OF 99.9% QUALITY

Six newborns will be given to the wrong patient.....

480 pieces of mail will be mishandled every hour...

One long or short landing at the NAIA every two days.....

315 entries in the Webster's dictionary will be misspelled

R_x 2,120 incorrect drug prescriptions will be written this year

Its always best to have 100% QUALITY!!!

Dr. Luis Ma. R. Calingo
TQM Expert

Productivity & Development Centre
DEVELOPMENT ACADEMY OF THE PHILIPPINES

DO IT RIGHT THE FIRST TIME

QUALITY

- Do it right the first time
- Fitness for use (Joseph M. Juran)
- Conformance to requirements
    (Philip B. Crosby)
- Pride in workmanship (W. Edwards Deming)
- Satisfaction of internal customer, the person next in line to us in an organization
- Customer Satisfaction

QUALITY

THE TOTALITY OF FEATURES AND CHARACTERISTICS OF A PRODUCT OR SERVICE THAT BEAR ON ITS ABILITY TO SATISFY STATED OR IMPLIED NEEDS OF CUSTOMERS.

(ISO 8420)

SERVICE QUALITY DIMENSIONS
RATER-I
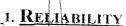
- **R**eliability
- **A**ssurance
  - ➢ Competence
  - ➢ Courtesy
  - ➢ Credibility
  - ➢ Security
- **T**angibles

- **E**mpathy
  - ➢ Access
  - ➢ Communication
  - ➢ Understanding the Customer
- **R**esponsiveness
- **I**ntegrity

Source: Delivering Quality Service by Parasuraman, et al

SERVICE QUALITY DIMENSIONS
RATER-I

1. RELIABILITY
Ability to perform the promised service dependably and accurately.

2. ASSURANCE
Knowledge and courtesy of employees and their ability to convey trust and confidence.

- ➚ COMPETENCE- Possession of the required skills and knowledge to perform the service
- ➚ COURTESY - Politeness, respect, consideration and friendliness of contact personnel
- ➚ CREDIBILITY - Trustworthiness, believability, honesty of the service provider
- ➚ SECURITY - Freedom from danger, risk or doubt.

Source: Delivering Quality Service by Parasuraman et al

9

3. TANGIBLES

Appearance of physical facilities, equipment, personnel and communication materials

4. EMPATHY

Caring, individualized attention the firm provides its customers.

↗ ACCESS - Approachability and ease of contact

↗ COMMUNICATION - Keeping customers informed in a language they can understand and listening to them.

↗ UNDERSTANDING THE CUSTOMER - Making the effort to know customers and their needs.
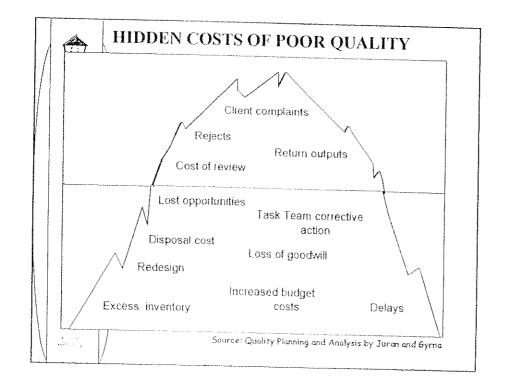
5. RESPONSIVENESS
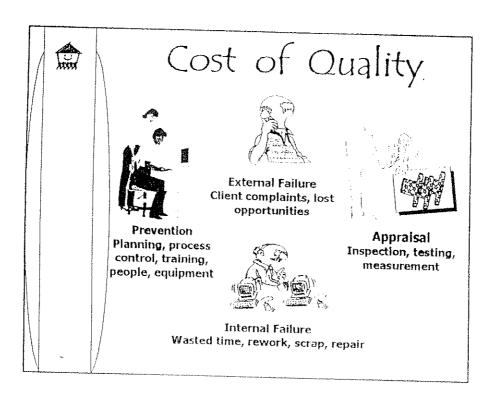
Willingness to help customers and provide prompt service.
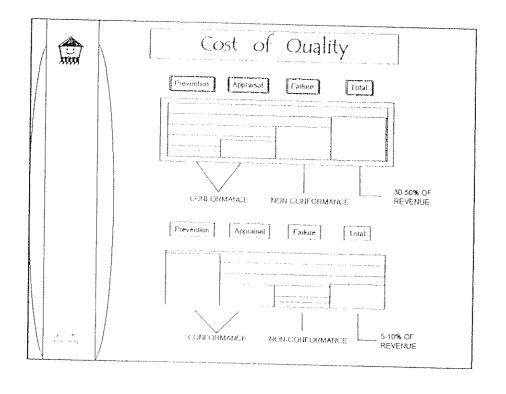
6. INTEGRITY

Commitment and adherence to high moral standards and principles.

Source: Delivering Quality Service by Parasuraman et al

HIDDEN COSTS OF POOR QUALITY

Client complaints

Rejects

Return outputs

Cost of review

Lost opportunities

Task Team corrective action

Disposal cost

Loss of goodwill

Redesign

Increased budget costs

Excess inventory

Delays

Source: Quality Planning and Analysis by Juran and Gyrna

Cost of Quality

Prevention
Planning, process control, training, people, equipment

External Failure
Client complaints, lost opportunities

Appraisal
Inspection, testing, measurement

Internal Failure
Wasted time, rework, scrap, repair

Cost of Quality

Prevention Appraisal Failure Total

CONFORMANCE   NON-CONFORMANCE   30-50% OF REVENUE

Prevention Appraisal Failure Total

CONFORMANCE   NON-CONFORMANCE   5-10% OF REVENUE

QUALITY MANAGEMENT

All activities of the overall management function that
determine the quality policy, objectives, and
responsibilities, and implement them by means
such as quality planning, quality control,
quality assurance and quality inspection, within
the quality system.

ISO 9000:2000
Quality Management System

Foundation for Quality & Productivity
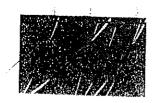
Development & General Overview of ISO 9000:2000 and the Eight Management Principles

ISO 9001:2000
Quality Management System

- ❑ General Overview
- ❑ Vocabulary
- ❑ Quality Management Principles
- ❑ The Process Approach
- ❑ Quality Management System Requirements

International Organization for Standardization

- ❑ A world-wide federation of national standards bodies
- ❑ Represented by approximately 130 countries
- ❑ Formed on 23 February 1947
- ❑ A non-governmental organization

International Organization for Standardization

❑ Published total of about 11,000 International Standards

❑ *'iso'* means equal or in conformance to

❑ Promote development of standards to facilitate: international exchange of goods/ services and develop cooperation in economic development activities

4 Core Standards

❑ ISO 9000   Concepts and Vocabulary

❑ ISO 9001   Requirements of Quality Management

❑ ISO 9004   Guidance for Performance Improvement

❑ ISO 19001 Guidance for Quality and Environmental Auditing

Important Terms

❑ QUALITY

The degree to which a set of inherent characteristics fulfills requirements

❑ REQUIREMENTS

Need or expectation that can be stated, generally implied or obligatory

❑ PROCESS

A set of interrelated or interacting activities which transforms inputs into outputs

Important Terms

❑ PRODUCT

Result of processes

❑ CUSTOMER SATISFACTION

Customer's perception of a degree to which their requirements have been fulfilled

❑ TOP MANAGEMENT

Person or group of people who directs and controls an organization at the highest level

Important Terms

- QUALITY MANAGEMENT

  To direct and control an organization with regard to quality

- QUALITY POLICY

  Overall intentions and direction of an organization related to quality as formally expressed by top management

- QUALITY OBJECTIVE

  Something sought, or aimed for, related to quality

Quality Management Principles

- CUSTOMER FOCUSED ORGANIZATION

- LEADERSHIP

- INVOLVEMENT OF PEOPLE

- PROCESS APPROACH

Quality Management Principles

- ❑ SYSTEMS APPROACH TO MANAGEMENT

- ❑ CONTINUAL IMPROVEMENT

- ❑ FACTUAL APPROACH TO DECISION MAKING

- ❑ MUTUALLY BENEFICIAL SUPPLIER RELATIONSHIP

Clearly Defined Requirements

1. Continual Improvement

2. Emphasis on the Role of Top Management

3. Compliance to Legal and Regulatory Requirements stressed

4. Measurable objectives at relevant functions and levels defined

Clearly Defined Requirements
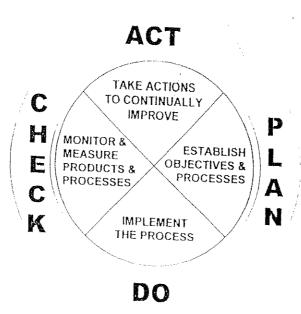
5. Customer satisfaction and/or dissatisfaction as measure of the system performance

6. Resource availability is emphasized

7. Training effectiveness required

8. Measures extended to system, processes and products

9. Analysis of data on performance required

The Process Approach

is the application of system of processes within an organization, together with the identification and interaction of these processes and their management.
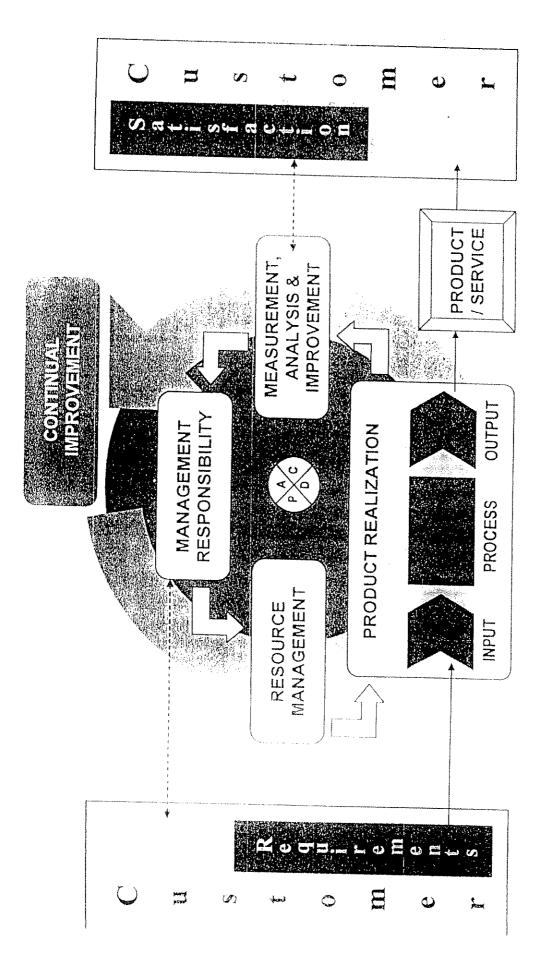
❏ Process focused management system

❏ Promotes a process approach to quality management

❏ QMS conceptually represented by The Process Model

The PDCA Cycle

ACT

TAKE ACTIONS
TO CONTINUALLY
IMPROVE

C
H
E
C
K

MONITOR &
MEASURE
PRODUCTS &
PROCESSES

ESTABLISH
OBJECTIVES &
PROCESSES

IMPLEMENT
THE PROCESS

P
L
A
N

DO

The Process Model

Customer

Satisfaction

Customer

Requirements

CONTINUAL IMPROVEMENT

MANAGEMENT RESPONSIBILITY

MEASUREMENT, ANALYSIS & IMPROVEMENT

RESOURCE MANAGEMENT

PRODUCT REALIZATION

INPUT   PROCESS   OUTPUT

PRODUCT / SERVICE

A P C D

Advantages of Process Approach

- Provides linkage between individual processes and over their combination/interaction
- Emphasizes the importance of
1. Understanding & meeting requirements
2. Consideration of Processes in terms of added value
3. Obtaining results of processes performance and effectiveness
4. Continual improvement based on objective measurement

QUALITY MANAGEMENT SYSTEM REQUIREMENTS

1 SCOPE

1.1 GENERAL

1.2 APPLICATION

1.1 General

The organization shall

- ❏ Provide products that meet customer and applicable regulatory requirements
- ❏ Aim to enhance customer satisfaction

1.2 Application

The scope of QMS is based

1. Nature of the organization's products
2. Realization processes
3. Result of risk assessment
4. Commercial considerations
5. Contractual and regulatory requirements

The organization is not obliged to include all products and address the realization process.

Limited scope can be clearly defined in the Quality Manual.

1.2 Application

☐ Identify permissible exclusions

☐ Exclusions limited to the requirements of Clause 7: Product Realization

☐ Permissible exclusions defined and justified in the Quality Manual.

Most likely permissible exclusions:

7.3   Design and Development

7.5.3   Identification and Traceability

7.5.4   Customer Property

7.6   Control of Monitoring and Measuring Devices

2 NORMATIVE REFERENCE

ISO 9000:2000 QMS – Fundamentals and vocabulary

3 TERMS AND DEFINITIONS

Supplier	Organization	Customer
Product	Service	

4 QUALITY MANAGEMENT SYSTEM

4.1 General Requirements

The organization shall

❑ Establish, document, implement and maintain a QMS

❑ Continually improve its effectiveness by...
1. Identifying the process needed
2. Determining their sequence and interaction
3. Determining the criteria and methods
4. Ensuring availability of resources and information
5. Monitor, measure and analyze the processes
6. Implement actions

The Process Building Block

```
                    ┌─────────────────┐
                    │   CONSTRAINT    │
                    └─────────────────┘
                       - legislation
                       - procedures
                       - specifications
                       - training
                       - objectives
                              │
                              ▼
 ┌──────────┐         ┌─────────────┐          ┌──────────┐
 │  INPUT   │ ───────▶│   PROCESS   │ ────────▶│  OUTPUT  │
 └──────────┘         └─────────────┘          └──────────┘
 - materials                  ▲                 - transformed
 - information                │                   materials
                    ┌─────────────────┐          - transformed
                    │   RESOURCE      │            information
                    └─────────────────┘
                       - Equipment
                       - Performance
```

4.2 Documentation Requirements

4.2.1 General

QMS documentation shall include:

1. Documented statements of quality policy and quality objectives.
2. Quality manual
3. Documented procedures
4. Documents required to ensure effective planning, operation and control of the processes
5. Quality records required by the standard

Clause 4.2 specifically requires *"documented procedure"*.
Establish, document, implement and maintain a "Document control" procedure

Extent of QMS documentation is dependent on:

1. Size of the organization and type of activities
2. Complexity of processes and their interactions
3. Competence of personnel.

Guidance on documentation requirements

QUALITY POLICY AND OBJECTIVES

Quality policy and quality objectives under
"Control of documents"

4.2.2 Quality Manual
Minimum content:

a. Scope of the QMS, including details for justification for any exclusion.

b. The documented procedures established or reference to them.

c. Description of the interaction between processes of the QMS

Format dependent on the organization's Size, Culture and Complexity

DOCUMENTED PROCEDURES

4.2.3	Control of documents
4.2.4	Control of quality records
8.2.2	Internal Audit
8.3	Control of non-conformity
8.5.2	Corrective action
8.5.3	Preventive action

DOCUMENTS REQUIRED BY THE ORGANIZATION TO ENSURE EFFECTIVE PLANNING, OPERATION AND CONTROL OF PROCESSES

Documents Specifically required by the standard are:

5.3 Quality Policy

5.4.1 Quality Objectives

5.4 Quality Planning

4.2.3 Control of Documents

- QMS documents shall be controlled.

- Documented procedure to define:

  a. Approve documents for adequacy

  b. Review, approved and re-approve documents

  c. Identify changes and current revision status

  d. Availability of documents at point of use

  e. Legible and readily identifiable documents

  f. Documents of external origin identified, distributed and controlled

  g. Prevent unintended use of obsolete documents

4.2.4 Control of Records
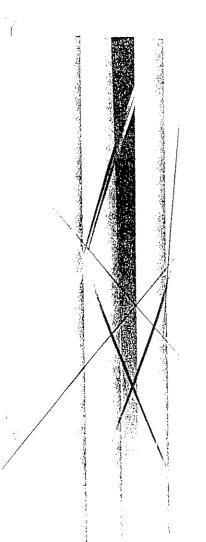
- Records shall be established and maintained.

- Records shall remain legible, readily identifiable and retrievable.

- Documented procedure established to define the controls for the identification, storage, protection, retrieval, retention time and disposition

Quality records specifically required are:

5.6.1. Management review records

6.2.2e Records of personnel competence

7.1d   Product realization records

7.2.2   Records of review of requirements related to the product

Quality records specifically required are:

7.3.2   Records of inputs related to the product requirements

7.3.4   Design and development review records

7.3.5   Design and development verification records

7.3.6   Design and development validation records

7.4.1   Supplier evaluation records

7.5.2   Records of the validation of processes for production and service provision

7.5.3   Record of unique identification of the product

7.5.4   Record of report of unsuitable for use customer property

7.6.   Calibration records

8.2.2   Internal audit records

8.2.4/8.3   Records of non-conforming product

8.5.2   Corrective action records

8.5.3   Preventive action records

Management
Responsibility

Management Responsibility
Clause 5.0

5.1 Management commitment

Top management shall provide evidence by:

a. Communicating importance of meeting customer, regulatory and legal requirements
b. Quality policy and objectives established
c. Management reviews conducted
d. Resources available

5.2 Customer focus

Top management shall ensure that customer requirements are:

a. Determined
b. Met

5.3 Quality policy

Top management shall ensure that the quality policy is:

• Appropriate

• Includes a commitment to comply with requirements and continual improvement of the QMS.

• Provides a framework for establishing and reviewing the quality objectives.

• Communicated and understood

• Reviewed for continuing suitability.

5.4 Planning

5.4.1 Quality objectives

Top management to ensure that the quality objectives are:

- Established
- Measurable and consistent with the quality policy.

5.4.2 Quality management system planning

Top management to ensure that:

- Planning of the QMS is carried out
- Integrity of the QMS is maintained.

5.5 Responsibility, authority and communication

5.5.1 Responsibility and authority

- Defined and communicated

5.5.2 Management representative

Top management shall appoint a member of management
- Responsibility and authority includes:
  a. Ensure that processes needed for the QMS are established, implemented and maintained
  b. Reports to top management on the performance of the QMS including needs for improvement
  c. Ensuring the promotion and awareness of customer requirements throughout the organization.

5.5.3 Internal communication

Top management shall ensure that:

- Communication processes established
- Communication takes place.

5.6 Management review

5.6.1 General:

Top management shall review the QMS
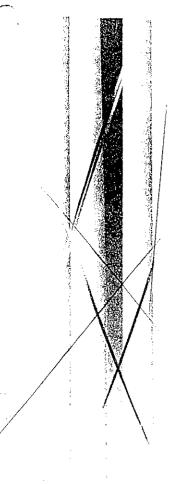
- At planned intervals
- To ensure its continuing suitability, adequacy and effectiveness.
- Assess opportunities for improvement
- Assess the need for changes to the QMS, quality policy and objectives.
- Maintain records.

5.5.3 Review inputs

- Result of audits

- Customer feedback

- Process performance

- Status of corrective and preventive action

- Results of previous management review

- Changes that could affect the QMS

- Recommendations for improvement.

5.5.4 Review output:

- Improvement of the effectiveness of the QMS and its processes

- Improvement of the product

- Resource needs.

Resource
Management

Resource Management
Clause 6.0

SECTIONS AND SUB-SECTIONS

6.1 Provision of resources

The organization shall determine and provide resources needed:

- To implement and maintain the QMS and continually improve its effectiveness
- Enhance customer satisfaction

6.2 Human resources

6.2.1 General

- Competent personnel for work affecting product quality
- Competence based on appropriate education, training, skills and experience

6.2.2 Competence, awareness and training

The organization shall:

a. Identify competency needs

b. Provide training or other actions

c. Evaluate the effectiveness of the actions taken

Stages of effectiveness evaluation:

Reaction level ──→ Learning level ──→ Application level ──→ Business impact level

d. Ensure that personnel are aware of the relevance and importance of their activities and their importance to the achievement of objectives

e. Maintain records

competence : demonstrated ability to apply knowledge and skills

6.3 Infrastructure
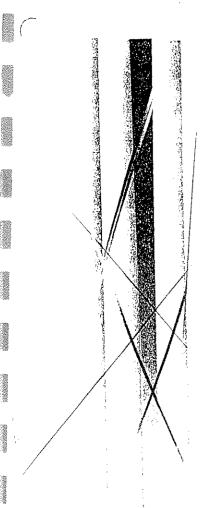
The organization shall determine, provide and maintain the infrastructure needed

It includes:

a. Building, workspace and utilities

b. Process equipment used

c. Supporting services

6.4 Work environment

The organization shall determine the work environment

Product
Realization

Element 3:
Product Realization

Center for Quality & Competitiveness (CQC)
Development Academy of the Philippines (DAP)

Element 3: Product Realization

COVERED SECTIONS AND SUB-SECTIONS:

7.1   Planning of product realization

7.2   Customer-related processes

7.3   Design and development

7.4   Purchasing

7.5   Production and service operations

7.6   Control of measuring and monitoring devices

7.1 Planning of Product Realization

Plan, design, and develop the processes needed.

The organization shall determine the following as appropriate:

- Quality objectives and requirements

b) Processes, documents, and provide resources

c) Verification, validation, monitoring, inspection, and test activities

d) Records

7.1 Planning of Product Realization

Involves planning of sequence of processes needed to identify customer needs and expectations, converting them into requirements and realization of the product and/or service which shall be documented.

Process/service realization processes shall

- Operate

b) Produce output

7.2 Customer-related Process

7.2.1 Determination of requirements related to the product.

❑ The organization shall determine the requirements:

- Specified by the customer

- Not stated by the customer

- Statutory and regulatory

- Additional if any

7.2 Customer-related Process

7.2.2 Review of requirements related to the product.

❑ The organization shall review requirements related to the product.

❑ Commitment to supply

❑ Ensure that

- Product requirements are defined

- Resolve contact requirements

- Organizational ability

3   4

7.2 Customer-related Process

7.2.2 Review of requirements related to the product.

❏ Records maintained

❏ Confirm customer requirements

❏ Amend documents and inform affected personnel

7.2 Customer-related Process

7.2.3 Customer communication

❏ The organization shall determine and implement arrangements for communication with customer in relation to:

- Product information

- Inquiries, contract or order handling

- Customer feedback

7.3 Design and Development

7.3.1 Design and development planning

❑ The organization shall plan, control, and determine:

- Design and development stages

- Review, verification, and validation

- Responsibilities and authorities

❑ The organization manage interfaces.

- Planning output, updated with the design and development progresses

7.3 Design and Development

7.3.2 Design and development inputs

❑ Inputs (determined) and records (maintained)

- Functional and performance requirements

- Statutory and regulatory requirements

- Information from previous designs

- Other requirements

7.3 Design and Development

7.3.3 Design and development outputs

☐ Provided in a form that enables verification versus inputs

☐ Approved prior their release

☐ Outputs shall

- Meet input requirements
- Provide appropriate information
- Meet product acceptance criteria
- Specify product characteristics

7.3 Design and Development

7.3.4 Design and development review

☐ Performed at suitable stages
  - To evaluate ability of design and development results

  - Identify problems and propose actions

☐ Review must involve all concerned with the design and development stage(s)

☐ Records

7.3 Design and Development

7.3.5 Design and development verification

❑ Performed in accordance with planned arrangements

❑ Design and development outputs meet input requirements

❑ Records

7.3 Design and Development

7.3.6 Design and development validation

❑ Performed in accordance with planned arrangements

❑ Resulting product is capable of meeting requirements

❑ Completed prior to the delivery or implementation of the product

❑ Records

7

7.3 Design and Development

7.3.7 Control of design and development changes

❑ Changes identified and records maintained

❑ Changes reviewed, verified, validated, and approved before implementation

❑ Review process includes evaluation of the effect of changes

❑ Records

7.4 Purchasing

7.4.1 Purchasing process

❑ Conforms to specified purchase requirements

❑ Suppliers

❑ Evaluation and re-evaluation criteria

❑ Records

7.4 Purchasing

7.4.1 Purchasing information

☐ Describe product to be purchased
- Approval of product, procedures, processes, and equipment

- Qualification of personnel

- QMS

☐ Adequacy of specified purchase requirements prior to communicating with supplier

7.4 Purchasing

7.4.2 Verification of purchased product

☐ Establish and implement the inspection

☐ If the organization or the customer intends to perform verification at supplier's premises, state requirements in the purchasing information

7.5 Production and Service Provision

7.5.1 Control of production and service provision

☐ Plan and carry out under controlled condition
- Availability of information
- Availability of work instructions
- Use of suitable equipment
- Availability and use of monitoring and measuring devices
- Implementation of monitoring and measurement
- Implementation of release, delivery, and post delivery activities

7.5 Production and Service Provision

7.5.2 Validation of processes for production and service provision

☐ Validate any process for production and service provision

☐ Include processes where deficiencies become apparent at product or service use or after delivery

☐ Demonstrate the ability of the processes to achieve the planned results

7.5 Production and Service Provision

7.5.2 Validation of processes for production and service provision

❑ Establish arrangements for these processes
- Defined criteria for review and approval
- Approval of equipment and qualification of personnel
- Use of specific methods and procedures
- Requirement of records
- Revalidation

7.5 Production and Service Provision

7.5.3 Identification and traceability

❑ Identify product by suitable means throughout product realization

❑ Identify the product status with respect to monitoring and measurement requirements

❑ Where traceability is a requirement, control and record unique identification

7.5 Production and Service Provision

7.5.4 Customer property

☐ Exercise with care

☐ Identify, verify, protect, and safeguard customer property provided

☐ Lost, damaged, or otherwise found to be unsuitable for use reported to customer and records maintained

7.5 Production and Service Provision

7.5.5 Preservation of product

☐ Preserve the conformity of the product during internal processing and delivery

☐ Preservation includes:
    • Identification, handling, packaging, storage, and protection

☐ Applies also to constituent parts of the product

7.6 Control of Monitoring and Measuring Devices

☐ The organization shall determine
- Monitoring and measurement to be undertaken
- Monitoring and measurement devices

☐ The organization shall establish processes

7.6 Control of Monitoring and Measuring Devices
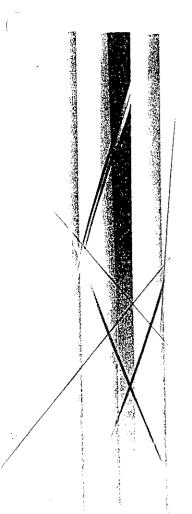
☐ Measuring equipment shall be
- Calibrated or verified at specified intervals
- Adjusted or re-adjusted
- Identified to enable calibration status determined
- Safeguarded from adjustments
- Protected from damage or deterioration during handling, maintenance, and storage

☐ Asses and record validity of previous measurements when the equipment is found to be non-conforming
- Shall take appropriate action on the equipment and product

7.6 Control of Monitoring and Measuring Devices

☐ Calibration records maintained

☐ Ability of computer software shall be confirmed when used for monitoring and measurements
- Shall be undertaken prior to initial use and re-confirmed

14

Measurement, Analysis & Improvement

Part 8

Measurement, Analysis and Improvement

Center for Quality & Competitiveness
Development Academy of the Philippines

SECTIONS AND SUB-SECTIONS

8.1 General

8.2 Monitoring and measurement

    8.2.1 Customer satisfaction

    8.2.2 Internal Audit

    8.2.3 Monitoring and measurement of processes

    8.2.4 Monitoring and measurement of product

8.3 Control of non-conforming product

8.4 Analysis of data

8.5 Improvement

    8.5.1 Continual improvement

    8.5.2 Corrective action

    8.5.3 Preventive action

1

8.1 GENERAL

The organization shall plan and implement monitoring, measurement, analysis and improvement processes needed.

- to demonstrate conformity of the product

- to ensure conformity of the QMS

- to continually improve the QMS.

Shall include determination of applicable methods, including statistical techniques, and the extent of their use.

8.2 MONITORING AND MEASUREMENT

8.2.1 Customer satisfaction

a. monitor information relating to customer perception.

b. determine the methods of obtaining and use of information

need to be "proactive" rather than "reactive"

2

8.2 MONITORING AND MEASUREMENT

8.2.2 Internal audit

- Conduct internal audit at planned intervals to determine whether the QMS:

  a. conforms to planned arrangements
  b. is effectively implemented and maintained

- An audit program planned considering:

  a. the status and importance of the processes
  b. areas to be audited
  c. results of previous audits

- Define audit criteria, scope, frequency and methods

8.2 MONITORING AND MEASUREMENT

8.2.2 Internal audit

- Ensure objectivity and impartiality of the audit process

- Responsibilities defined in documented procedures

- Ensure actions without delay

- Follow-up activities (verification and reporting of results)

3

8.2 MONITORING AND MEASUREMENT

8.2.3 Monitoring and measurement of processes

The organization shall apply suitable methods for monitoring and measurement of processes.

- Methods shall demonstrate the ability of the processes to achieve planned results

- Apply correction and corrective action when planned results are not achieved.

8.2 MONITORING AND MEASUREMENT

8.2.4 Monitoring and measurement of the product

The organization shall monitor and measure characteristics of the product
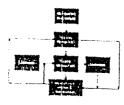
- Carried out in accordance with planned arrangements

- Evidence of conformity maintained. Records to indicate inspection authority.

- No product or service delivery until planned arrangements are satisfactorily completed

4

8.3 CONTROL OF NON-CONFORMING PRODUCT

The organization shall ensure that non-conforming product is identified and controlled.

- Controls and related responsibilities and authorities defined in documented procedures

8.3 CONTROL OF NON-CONFORMING PRODUCT

The organization shall deal with non-conforming product by any one or more ways as:

a. taking action to eliminate detected non-conformity

b. authorizing its use, release or acceptance under concession

c. taking action to preclude its original intended use or application

- Records maintained

- Subject to re-verification non-conforming product is corrected.

- Take action appropriate to the effects or potential effects if non-conforming product is detected after delivery or use has started.

5

8.4 ANALYSIS OF DATA

The organization shall determine, collect and analyze appropriate data to:

    a. Demonstrate the suitability and effectiveness of the QMS

    b. Evaluate where continual improvement of the effectiveness of the QMS can be made.

Includes date gathered as a result of monitoring and measurement and from other relevant sources

Provide information relating to:

a. Customer satisfaction

b. Conformity to product requirements

c. Characteristics and trends of processes and products including opportunities for preventive action

d. Suppliers

8.5 IMPROVEMENT

8.5.1 Continual improvement

Continually improve the effectiveness of the QMS through the use of:

- quality policy, quality objectives, audit results, analysis of data, corrective and preventive actions and management review

8.5.2 Corrective action ?

- Take action to eliminate the cause of non-conformity to prevent recurrence

- Appropriate to the effects of non-conformities encountered

6

8.5 IMPROVEMENT

A documented procedure includes:

* Reviewing non-conformities
* Determining causes of non-conformities
* Evaluating the need for action to ensure non-conformities do not recur
* Determining and implementing action needed
* Records of the results of the action taken
* Reviewing correction action taken

8.5 IMPROVEMENT

8.5.3 Preventive action

The organization shall determine the action to eliminate the causes of potential non-conformities in order to prevent their occurrence.
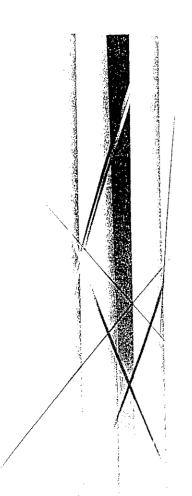
Appropriate to the effects of the potential problems

Documented procedure defines the following:

a. Determining potential non-conformities and their causes
b. Evaluating the need for action to prevent occurrence of non-conformities
c. Determining and implement action needed
d. Records of results of action taken
e. Reviewing preventive action taken

Audit Methodology
for ISO 9000:2000

Auditing Techniques and Methodology

Center for Quality & Competitiveness
Development Academy of the Philippines

ABSTRACT
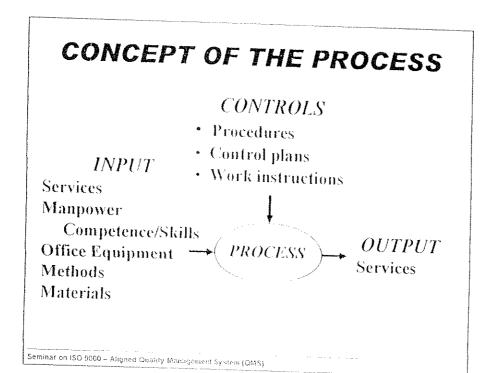
- The process model approach is important for ISO 9001:2000.

- All activities can create an impact on the quality performance of the organization.

- Operations of all sections should be clearly defined and managed.
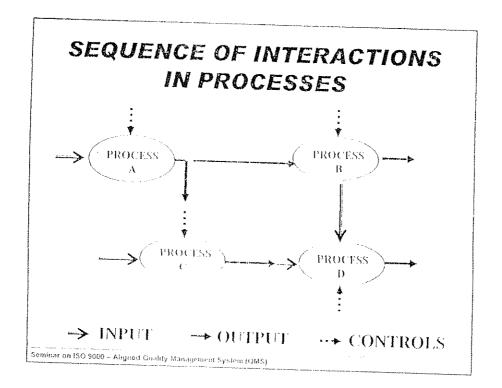
PROCESS APPROACH

- With adoption of ISO 9001:2000, a process / procedural approach to management is critical.

- Using this approach, organizations would be able to identify and understand their activities, interdependence, and capabilities.

- Process / Procedural approach enables the organization to clearly define and establish control in their activities.

CONCEPT OF THE PROCESS

CONTROLS
- Procedures
- Control plans
- Work instructions

INPUT
Services
Manpower
    Competence/Skills
Office Equipment →(PROCESS)→ OUTPUT
Methods   Services
Materials

2

SEQUENCE OF INTERACTIONS IN PROCESSES

→ INPUT   → OUTPUT   ⋯▸ CONTROLS

SEQUENCE OF INTERACTIONS IN PROCESSES

* Input, output, and controls can be tangible or intangible.

* Output of one process can be the input of another process.

* An effective QMS, responsibilities, procedures, and resources are consistent and follows a logical manner.

* Coordination and compatibility of processes and definition of their interfaces are necessary in a QMS.

* Concept of internal suppliers and customers.

DEFINITION

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 objectives."

ISO8402

CATEGORY OF QUALITY AUDIT

- First Party Audit – a corporate body audits its own system.

- Second Party Audit – parties such as clients or stockholders having an interest in the organization audits the system.

- Third Party Audit – external independent organization providing certification or registration of conformity with requirements to ISO 9001:2000.

PURPOSES

- To judge quality system to be in conformance or nonconformance to specified requirements.

- To evaluate effectiveness of a quality system in action, based on the quality levels.

- To present opportunities to improve the quality system to the auditee party.

- To fulfill legal (statutory, lawful) requirements, e.g., remittance of contributions.

- To register a quality system of the organization on the registration book of an authoritative audit party (certification).

AUDIT TEAM

- Lead auditor and auditors are required to be professionally trained and qualified and to have specified experience and character.

- An audit team leader is required to take responsibility for the team.

- Any auditor is required to be independent of any party to be audited.

LEAD AUDITOR

- To carry out search for qualified auditors.

- To rate each candidate auditor's performance / qualification.

- To organize the team and prepare an audit schedule.

- To introduce the team at the initial meeting.

- To conduct part of the audit.

- To monitor the audit program.

LEAD AUDITOR

- To arrange findings of the team.

- To prepare and issue a nonconformance report.

- To supervise and organize a follow-up action plan.

AUDITING OF THE PROCESS AND THEIR INTERACTIONS

* QMS audits must respond to:

  * *Are the processes identified and established?*

  * *Are the processes effective in providing the required results?*

  * *Are the processes defined in the procedures?*

  * *Are the interactions between processes defined, controlled, and managed?*

AUDITING OF THE PROCESS AND THEIR INTERACTIONS

* QMS audits cover individual department, function, and the organization's conformance to quality requirements and evaluation of the effectiveness of the QMS.

* Auditors must ensure that the documentation can:

  * *Identify the purpose of the process*

  * *Identify the inputs and outputs*

AUDITING OF THE PROCESS AND THEIR INTERACTIONS

- Auditors must ensure that the documentation can:

  - *Establish the sequence of activities*

  - *Identify the resources used*

  - *Identify the controls in place*

  - *Identify planned monitoring requirements.*

- Cross-checking of documents is done.

AUDITING OF THE PROCESS AND THEIR INTERACTIONS

- Involves site auditing.

- Auditors must assess the capability of the process and not only in determining the conformances.

- Verification of whether interactions of processes are adequate and controlled.

AUDITING THE DATA

- Increase emphasis on the importance of data.

- The organization must monitor present performance against quality objectives and improvement initiatives.

- Evaluation of the effectiveness of QMS.

- Cross checking of data presented if it is factual.

AUDIT PROGRAM

1. Plan the audit.

- Selection of auditor.

- Designation of lead auditor.

- Prepare the audit schedule.

- Review of work procedures and documented QMS.

- Notification to the manager of the section to be audited.

AUDIT PROGRAM

2. Perform the audit

- Conduct of opening meeting.

- On-site audit.

- Usage of check sheet / checklist.

AUDIT PROGRAM

2. Perform the audit

- Example of an audit questionnaire

ISO 9001:2000 Internal Audit Program				
6 RESOURCE REQUIREMENTS		**STANDARD AUDIT FORM**		
6.2 PROVIDE QUALITY PERSONNEL		ANSWER INTERNAL AUDIT QUESTIONS		
Q	6.2.1 USE COMPETENT PERSONNEL	ANSWERS		OBSERVATIONS/EVIDENCE
1	Does your organization ensure that the people who influence product quality are competent?	Yes	No	N/A	
2	Do you ensure that personnel have the right experience?	Yes	No	N/A	
3	Do you ensure that personnel have the right education?	Yes	No	N/A	
4	Do you ensure that personnel have the right training?	Yes	No	N/A	
5	Do you ensure that personnel have the right skills?	Yes	No	N/A	

10

AUDIT PROGRAM

3. Summarize the audit results.

- Conduct of team meeting.

- Auditors combine to coordinate opinions.

4. Evaluate the internal audit.

- To help the internal audit team improve the performance of future audits.

- Audit evaluation questionnaire is used.

AUDIT PROGRAM

5. Prepare the audit report.

- Nonconforming report.

- Corrective action report.

6. Review the audit file.

- Performed by the Lead Auditor.

7. Report to Quality Management Representative (QMR) and top management.

SUCCESSFUL AUDIT

1. To show a personal interest to the auditee, in addition to the quality system.

2. To be positive in response at all times.

3. To cheer the auditee over discussion about his or her role or work.

4. To shoot questions to make the auditee speak something tangible, but not yes or no.

SUCCESSFUL AUDIT

5. To avoid questions pointing simply to your objective (finding nonconformance).

6. To avoid conversations to invite argument.

7. To avoid being critical about shown information or data.

8. Not to be long about a spot of nonconformance, but move onto the next spot. It offends the auditee to continue speaking about a defect overlong.

SUCCESSFUL AUDIT

9. To explain a nonconformance to the boss and avoid discussion about discrepancy among key persons.

10. To improve the quality issues by Internal Quality Audit.

AUDITORS

- Makings of an ideal auditor
  - ✓ Objectiveness
  - ✓ Fairness
  - ✓ Perseverance
  - ✓ Persistence
  - ✓ Rationality
  - ✓ Diligence

AUDITORS

- Necessary Characteristics
  - ✓ Sound judgment
  - ✓ Perseverance
  - ✓ Interest
  - ✓ Strong Will
  - ✓ Professional attitude / integrity
  - ✓ Good listener

AUDITORS

- Necessary Characteristics
  - ✓ Being indifferent to criticism
  - ✓ Shooting many questions
  - ✓ Communicating with every level
  - ✓ Good analyst
  - ✓ Diligence
  - ✓ Planning ability

14

AUDITORS

- Unwanted Characteristics
  - ✓ Jumping into argument
  - ✓ Being stubborn or rigid
  - ✓ Easy to believe anything
  - ✓ Idler – lacking in fire (eagerness)
  - ✓ Not good at communicating with others
  - ✓ Soft touch or lukewarm

AUDITORS

- Unwanted Characteristics
  - ✓ Outwitting others
  - ✓ Lacking in flexibility
  - ✓ Not good at planning anything
  - ✓ Not professional

Thank you for your kind attention!

Seminar on ISO 9000 -- Aligned Quality Management System (QMS)

16

Training Course on
ISO 9000:2000 Aligned Quality Management System Documentation For the Public Sector

development academy of the philippines

The National Productivity Organization

Training Course on ISO 9000:2000-Aligned Quality Management System (QMS) Documentation for the Public Sector

Course Design

I.   Background/Rationale

Quality is a strategic issue that is significantly emerging in the light of globalization, which is raising quality standards all over the world.   In particular, the public service sector is increasingly feeling the pressure to put the citizenry as its primary customer, minimize if not eliminate graft and corruption by cutting red tape and empower employees to achieve beneficial results. In all its three sub-sectors, namely, National Line Agencies (NLAs), Government Owned and Controlled Corporations (GOCCs) and Local Government Units (LGUs), citizens are now considering service quality to be the topmost priority issue in the delivery of basic services such as immediate and timely processing of documents/requests, basic services such as healthcare, education and peace and order.

Effective management and good governance are essential elements of quality which can be easily achieved through an effective Quality Management System (QMS).   Aligning the agency's planning, service and support operations to ISO 9000:2000 is one reliable approach in establishing QMS. The methodology provides a clear perspective of the quality system requirements and the areas of control to assure the consistency in the quality of services they provide.

Realizing the challenges being faced by the government organizations in order to become more responsive, effective, efficient, competitive and innovative, the Development Academy of the Philippines – Center for Quality & Competitiveness (DAP-CQC) is proposing this Pilot Project on Institutionalizing Public Service Performance Excellence through ISO 9000-Aligned QMS.

II.   Course Objectives

At the end of the seminar-workshop, participants are expected to:

1. Understand the requirements of the ISO 9000:2000 Standards;
2. Identify and map out organization's business process and its linkages;
3. Identify processes and establish controls to measure its efficiency; and
4. Document processes necessary to attain known objectives.

III.   Expected Outputs

At the end of the training course, it is expected that the participants from the selected government agencies will be able to:

1. Identify the documentation requirements of ISO 9000:2000 QMS;
2. Identify the input-output requirements of their agencies' core business processes;
3. Document their agencies' quality policy and quality objectives; and
4. Map out their agencies' quality activity plans.

ANNEX

Training Course On ISO 9000:2000-Aligned Quality Management System Documentation For The Public Sector Programme and Participants' Expectations

Day One

Time	Activity
0800 am	Registration
0820	Invocation / Welcome Message
0830	Expectation Setting and Course Overview
0900	QMS Updates from Pilot Agencies
0930	Module 1: QMS Principles, Concepts, Scope and Application : An Introduction
0945 am	Morning Break
1000 am	Continuation of Module 1
1030	Module 2: ISO 9001 : 2000 QMS Requirements – A Review
	Workshop 1
1115	Module 3: Documenting the QMS in Government
	Workshop 2
1200 nn	Lunch Break
0100 pm	Energizer
0115	Presentation of Outputs
0130	Module 4: Quality Policy and Quality Objectives
	Workshop 3
0315 pm	Afternoon Break
0330 pm	Module 5: The Quality Manual
0500	Workshop 4

Day Two

Time	Activity
0830 am	Management of Learning (Review of Day 1)
0900	Continuation of Workshop 4
0945 am	Morning Break
1000 am	Module 6: The Procedures
1100	Workshop 5
1200 nn	Lunch Break
0100 pm	Energizer
0115	Module 7: The Support Documents
0145	Workshop 6
0230	Module 8 The Quality Plan
0300 pm	Afternoon Break
0315 pm	Workshop 7
0345	Module 9: Implementing & Maintaining the Established QMS in Government
0415	Action Planning
0515	Closing Program

49

Training on
ISO 9001:2000 Aligned Quality Management System Documentation For the Government

November 27– 28, 2003

development academy of the philippines
The National Productivity Organization

Program of Activities
DAP-CPC

Training on ISO 9001:2000-Aligned Quality Management System (QMS) Documentation for the Public Service

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0800 am	Registration
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0415	Action Planning
0515	Closing Program

Understanding, Documenting and Implementing an ISO 9001:2000 Quality Management System

Presented by:

Darlene L. Page

For

Development Academy of the Philippines

Understanding, Documenting and Implementing an
ISO 9001:2000 Quality Management System

Development Academy of the Philippines

Issue 1

Nov03

(Page0)

NOTES

OBJECTIVES

At the end of the seminar-workshop, participants are expected to:

- Understand the requirements of the ISO 9001 : 2000 Standards
- Identify and map out organization's business process and it's linkages
- Identify processes and establish controls to measure it's efficiency;
- Document processes necessary to attain known objectives

Course Objectives

At the end of the seminar, attendees shall be able to:

* Understand the requirements of the ISO 9001:2000 Standards;
* Identify and map out organization's business process and its linkages;
* Identify processes and establish controls to measure its efficiency;
* Document processes necessary to attain known objectives;

NOTES

Course Outline

+ Section 1 - QMS Principles and Concepts
+ Section 2 - QMS Scope and Application
+ Section 3 - ISO 9001:2000 QMS
  Requirements– A Review
+ Section 4 – Documenting the QMS
+ Section 5 – Quality Policy and Quality
  Objectives
+ Section 6 – The Quality Manual
+ Section 7 – The Procedures
+ Section 8 – The Support Documents
+ Section 9 – The Quality Plan
+ Section 10 – Implementing & Maintaining the
  established Quality Management System

DarleneLPageEinar2003

Customized for DAP

NOTES

Understanding, Documenting and Implementing an
ISO 9001:2000 Quality Management System

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Issue 1
Nov03
(Page2)

Quality Management System Principles and Concepts

Section 1

Quality Management Systems Principles and Concepts

NOTES

Understanding, Documenting and Implementing an
ISO 9001:2000 Quality Management System

Issue 1
Nov03
(Page3)

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The International Organization for Standardization

- Worldwide federation of national standardization bodies representing some 135 countries worldwide.
- Responsible for coordinating the development of new and revised ISO Standards.
- ISO standards are prepared through technical committees representing government and non-government organizations and industry experts.
- Most of the ISO Standards relate to products and services.
- ISO 9000 and ISO 14001 relate to Quality and Environmental Management Systems respectively.

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The International Organization for Standardization is based in Switzerland. It is not a commercial organization, it represents a federation of national standards bodies and exists for the purpose of harmonizing and coordinating the development of international standards.

NOTES

The ISO 9000:2000 QMS Standards

- ◆ ISO 9000 - Quality Management Systems: Fundamentals and Vocabulary
- ◆ ISO 9001 - Quality Management Systems: Requirements
- ◆ ISO 9004 - Quality Management Systems: Guidance for Performance Improvements
- ◆ ISO 19011 - Guidelines on Quality and Environmental Auditing

The four standards replace some 27 Quality Management System Standards previously in use.

The main changes to the standard relate to:

•Introduction of the 8 quality management principles.

•Structure – now based on the QMS process model.

•Sequence – More logical sequence based on the process model.

•Top management – more emphasis on role of top management.

•Continual improvement – Enhanced requirement for continual improvement. Complete cycle defined for improvement method.

•Permissible exclusions – but only relating to clause 7.

•Customer satisfaction – requirement for organizations to monitor customer satisfaction as a measure of system performance is a new item.

•Resources – Top management to provide and make available the necessary resources.

•Terminology – There are a number of revisions. Refer to ISO 9000:2000.

NOTES

The Rationale for QMS Standards

- Help organizations to enhance customer satisfaction.
- Encourages organizations to:
  - Analyze customer requirements.
  - Define processes that contribute to achieving quality product.
  - Keep these processes under control.
- Provides:
  - A framework for continual improvement.
  - Confidence in ability to consistently fulfill customer requirements.

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It has long been recognized that the great majority of quality problems stem from ineffective systems of quality management. The ISO 9001 Quality Management Standard is designed to provide organizations of all types and size, with an internationally agreed model of best practice for managing all of the processes that affect the quality of their product or service.

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NOTES
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The Eight Quality Management Principles

- Customer focus
- Leadership
- Involvement of people
- Process approach
- Systems approach to management
- Continual improvement
- Factual approach to decision making
- Mutually beneficial supplier relationships

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NOTES

QUALITY as defined

"Degree to which a set of inherent characteristics of a product or service fulfill the needs or expectations of our customer."

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ISO 9000:2000 contains revised definitions relating to quality management. The definition of quality has been updated as shown above.

Quality Management System
as defined

"System to establish policy and objectives, to achieve those objectives and to direct and control an organization with regard to quality."

ISO 9000:2000-3.2.3

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The ISO 9000:2000 series titles refer to Quality Management Systems, whereas the 1994 and previous versions referred to Quality Systems and earlier version to Quality Assurance Systems. The ISO 9001:2000 version positions the QMS as a strategic management issue, not just a bolt-on attachment.

NOTES

Quality Management Systems Scope and Application

Section 2

The ISO 9001:2000 Quality Management System Standard Scope and Application

Understanding, Documenting and Implementing an
ISO 9001:2000 Quality Management System

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Issue 1
Nov03
(Page10)

Process Approach

ISO 9001:2000 promotes the adoption of a process approach to developing, implementing, improving the effectiveness of a QMS.

Process approach emphasizes importance of:

- Understanding and fulfilling requirements.
- Need to consider processes in terms of added value transitions.
- Obtaining results of process performance and effectiveness.
- Continual improvement of processes based o objective measurement.

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The process approach is central to the revised standard, which shifts emphasis from procedures, to processes and performance.
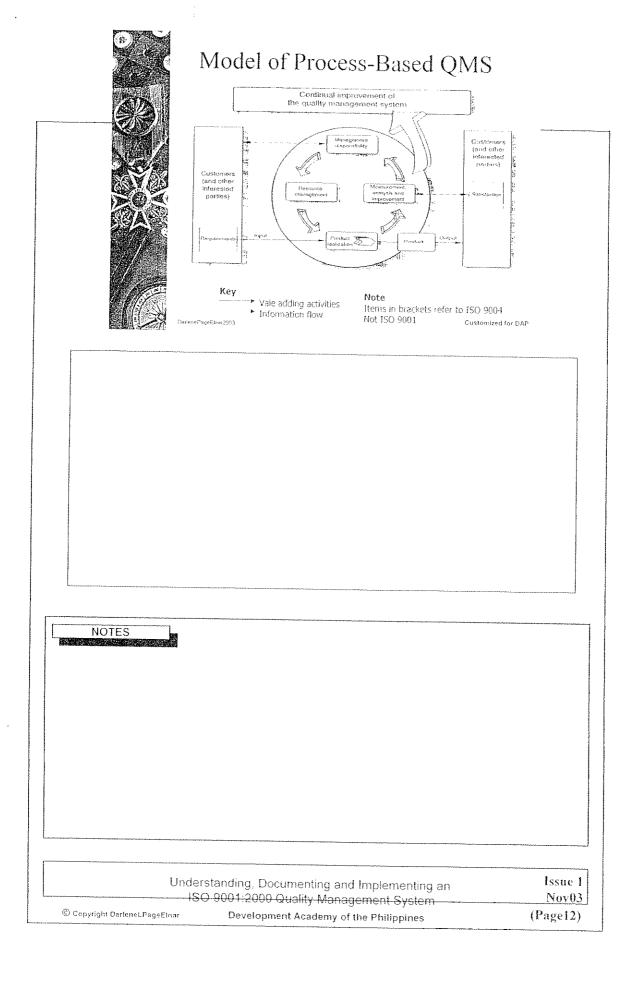
NOTES

Model of Process-Based QMS

Key

------→ Vale adding activities
→ Information flow

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Note

Items in brackets refer to ISO 9004
Not ISO 9001

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NOTES

The PDCA Cycle

The process based QMS model is based on the PDCA cycle.

PDCA methodology can be applied to all processes.

- Plan: establish objectives and processes necessary to deliver results in accordance with customer requirements and organizations policies.
- Do: Implement the process.
- Check: monitor and measure processes against policies, objectives, requirements for product and report results.
- Act: take actions to continually improve process performance
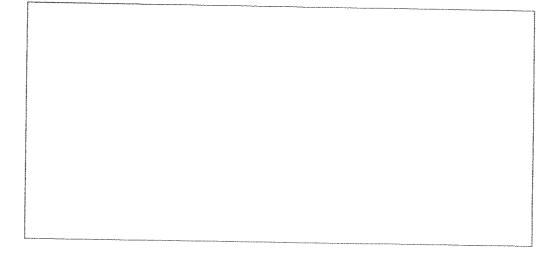
Plan

Act

Do

Check

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NOTES

Relationship Between ISO 9001 and ISO 9004

- ISO 9001 and 9004 complement each other.
- Can be used together or independently.
- ISO 9001 specifies requirements for a QMS.
- ISO 9001 is concerned with effectiveness. Can be used for:
  - Internal application
  - Certification
  - Contractual purposes
- ISO 9004 gives guidance on continual improvement of overall performance and efficiency, as well as effectiveness.
- ISO 9004 is not intended for certification or contractual purposes

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ISO 9001 QMS Requirements Specification and ISO 9004 QMS Performance Improvement Guideline have been developed as a consistent pair of QMS Standards designed to complement each other, but an also be used independently. The two have different scopes, but have similar structures and are based on common principles.

ISO 9001 QMS specifies requirements for a quality management system that can be used for internal application, for certification or for contractual purposes. It focuses of the effectiveness of the QMS in meeting customer requirements, but not necessarily efficiency.

ISO 9004 QMS goes beyond ISO 9001 compliance and describes a wider range of objectives of a QMS, particularly continual improvement of overall performance and efficiency as well as effectiveness. ISO 9004 is however a guideline and not intended for certification or contractual purposes.
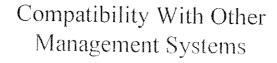
NOTES

Compatibility With Other Management Systems

ISO 9001 scope is quality management.

Can however, be aligned and integrated with other management systems such as:

- ISO 14001 Environmental Management Systems.
- Occupational health and safety management systems.
- Financial management or risk management.
- Etc.

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The structure and sequence of ISO 9001:2000 is similar to ISO 14001 EMS, making their integration simpler.

Application

- ISO 9001 specifies requirements for a QMS.
- Represents internationally agreed best practice.
- Allows organizations of any type or size to demonstrate ability to:
    - Consistently provide product that meets customer and applicable regulatory requirements.
    - Enhance customer satisfaction through:
        - Effective application of the QMS.
        - Continual QMS improvement, by improving processes.
        - Assurance of conformity to customer and applicable regulatory requirements.

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The scope of the Standard has been enhanced with the requirement to address customer satisfaction through *effective application of the system, including processes for continual improvement* and the prevention of nonconformity.

NOTES

Application

- ISO 9001 requirements are generic.
- Applicable to all organizations regardless of type, size or product.
- Where requirements of Standard are not applicable to organization, these can be considered for exclusion.
- Permissible exclusions are limited to requirements within *clause 7 only*.

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The introduction of permissible exclusion clause is new. Allows organizations to reduce the scope of the QMS according to their scope of activities. Reduced scope only applies to clause 7, Product Realization.

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NOTES
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Terminologies

♦ Terms and definitions given in ISO 9000:2000.

♦ Must be properly understood applied.

♦ Auditors and others involved in QMS implementation and improvement must demonstrate good understanding of definitions.

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There are a number of new and revised terms and definitions. Delegates should study ISO 9000:2000.
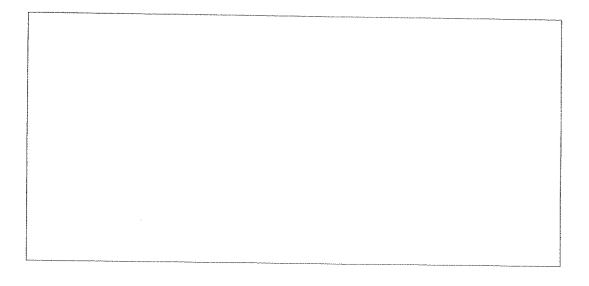
ISO 9001 : 2000
QMS Requirements -
A Review

Section 3
ISO 9001:2000
Quality Management System
Requirements – A Review

REVIEW of ISO 9001 : 2000

Major Requirements

4 Quality Management System

5 Management Responsibility

6 Resource Management

7 Product Realization

8 Measurement Analysis and Improvement

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NOTES

4 Quality Management System
(These are the generic requirements of the Standard)

Requirements

4.1 – General

4.2 – Documentation Requirements

 4.2.1 – Quality Management System

 4.2.2 – Quality Manual

 4.2.3 – Control of Documents

 4.2.4 – Quality Records

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NOTES

5 Management Responsibility
(These requirements are answerable by top management)

Requirements

5.1 – Management Commitment

5.2 – Customer Focus

5.3 – Quality Policy *(Have you already established your Quality Statement?)*

5.4 – Planning

    5.4.1 – Quality Objectives

    5.4.2 – QMS Planning *(Business Plans; Strategic Plans)*

5.5 – Responsibility, Authority and Communication

5.6 – Management Review
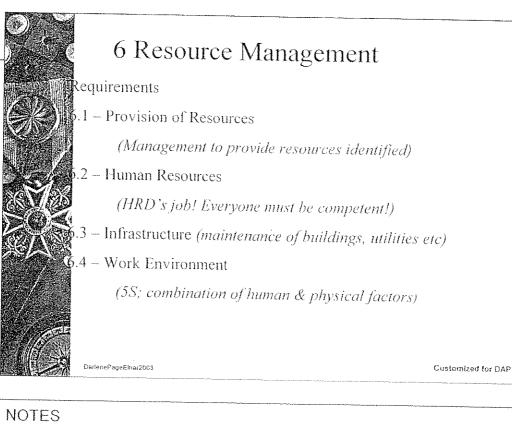
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NOTES

6 Resource Management

Requirements

6.1 – Provision of Resources

  (Management to provide resources identified)

6.2 – Human Resources

  (HRD's job! Everyone must be competent!)

6.3 – Infrastructure *(maintenance of buildings, utilities etc)*

6.4 – Work Environment

  (5S; combination of human & physical factors)

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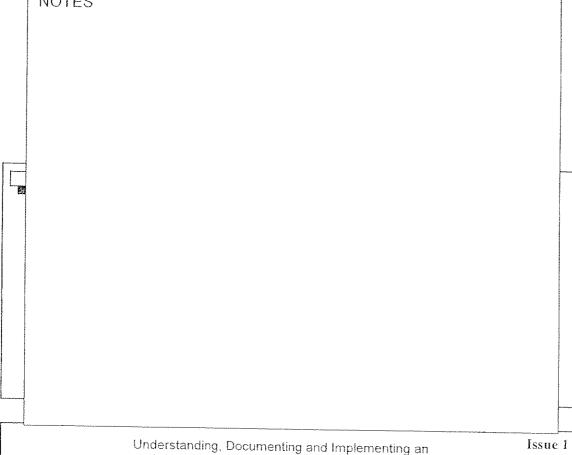
7 Product Realization

(These are our CORE processes)
Requirements .

7.1 – Planning of Product Realization *(Quality Plans)*

7.2 – Customer-related processes *(Contract Review)*

7.3 – Design and Development *(Research & Development)*

7.4 – Purchasing

7.5 – Production and Service Provision

(Entire Operations Process – from Planning to Delivery)

7.6 – Control of Monitoring and Measuring Devices

(calibration includes monitoring devices)

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NOTES

8 Measurement Analysis & Improvement

(This is the entire Review & Improvement Process)

Requirements

8.1 – General

8.2 – Monitoring and Measurement

    8.2.1 – Customer Satisfaction

    8.2.2 – Internal Audit

    8.2.3 – Monitoring and Measurement of Processes

    8.2.4 – Monitoring and Measurement of Product

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Issue 1

Nov03

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8 Measurement, Analysis & Improvement

Requirements

- 8.3 – Control of Nonconforming Product
- 8.4 – Analysis of Data
- 8.5 – Improvement
  - 8.5.1 – Continual Improvement
  - 8.5.2 – Corrective Action
  - 8.5.3 – Preventive Action

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NOTES

EXERCISE

NOTES

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4

Documenting the Quality Management Systems

Section 4

Documenting
the
Quality Management System

Deploying Quality Policy & Objectives

Policies & Objectives

Mission
Goals

Customer Needs & expectations

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QUALITY MANUAL

Purpose:
Scope:
Activities:
► KPM

► KPM

Deliver
KPMs

| Measure of Efficiency |

Describes interactions between processes.
Defines key performance measures (KPMs)

PROCEDURES MANUAL

Purpose:

sub KPM

Deliver sub KPMs

sub KPM

| Measure of efficiency |

Specifies (who, what, when, where) way to carry out an activity or process

SUPPORT DOCUMENTS

Purpose:

Checklist or form

| Measure of efficiency |

Specifies how task is accomplished

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NOTES

ISO 9001:2000
4.2.1 Documentation Requirements

♦ The QMS shall include:
- Documented statements of quality policy and objectives.
- A quality manual.Documented procedures required by ISO 9001.
- Documents needed by the organization to ensure effective planning, operation and control of its processes.
- Quality records required by ISO 9001.

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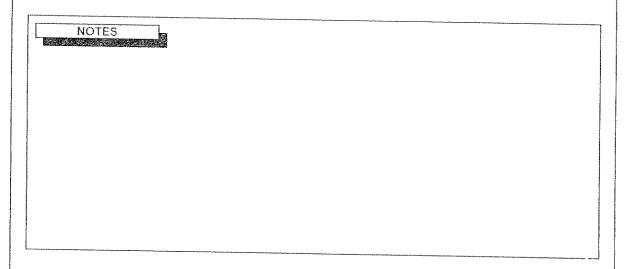
Documenting The QMS

- Each organization determines:
  - Extent of documentation required.
  - Media to be used.
- Emphasis is on controlling processes and meeting quality objectives, not on generating unnecessary documentation.
- Documentation can be in any type or form of media.

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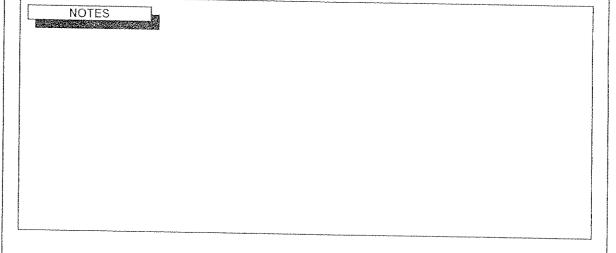
Value of Documentation

- Enables:
  - Communication of intent.
  - Consistency of action.
- Contributes to:
  - Conformity to customer requirements.
  - Continual improvement.
  - Provision of appropriate training.
  - Repeatability and traceability.
  - Provision of objective evidence.
  - Evaluation of effectiveness and suitability of QMS.
- Generation of documents must add value. IF NOT, DON'T WRITE!!!

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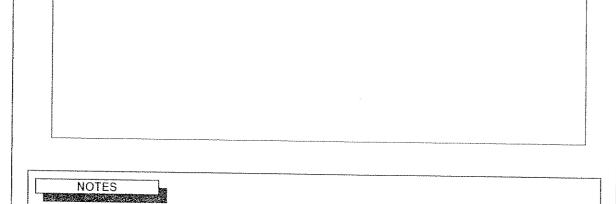Nov03
(Page32)

Extent of Documentation

- Depends on factors such as:
  - Type and size of organization.
  - Complexity and interaction of processes.
  - Complexity of products.
  - Customer requirements.
  - Regulatory requirements.
  - Demonstrated ability of personnel.
  - Extent to which its necessary to demonstrate QMS requirements are met.

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Nov03
(Page33)

Types of Documents Used in QMS

- Documented statements of quality policy and objectives.
- Quality manual.
- Procedures.
- Work instructions.
- Quality Plans.
- Specifications, drawings, standards.
- Guidelines.
- Records.

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NOTES

Structure of Documentation

Vision
Mission
Policy
Objectives
Responsibilities

Quality Policy
Process Descriptions
Reference to procedures

Quality Manual

Procedures — Who, What, When, Where

Support Documentation — How

Records — Proof

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ISO 9001:2000 Quality Management System

Issue 1
Nov03

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(Page35)

EXERCIS

5

Quality Policy and Quality Objectives

Section 5

Quality Policy
and
Quality Objectives

NOTES

ISO 9001:2000
5.2 Customer Focus

"Top management shall ensure that customer requirements are determined and fulfilled with the aim of enhancing customer satisfaction."

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NOTES

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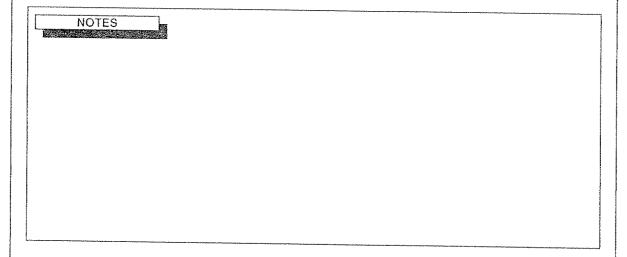
Clause 5.3 Quality Policy

Top management shall ensure that policy is:
- Appropriate to purpose of organization.
- Includes commitment to comply with requirements of QMS.
- Includes commitment to continually improve the QMS
- Communicated and understood within the organization.
- Reviewed for continual suitability.

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NOTES
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Quality Policy

"Overall intentions and direction of an organization related to quality as formally expressed by top management."

ISO 9000:2000 (3.2.4)

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NOTES

Keep It Simple

- Policy should be:
  - Meaningful
  - Memorable
  - Understandable
  - Succinct
- Must be documented.
- Usually incorporated In the quality manual.

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NOTES

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(Page41)
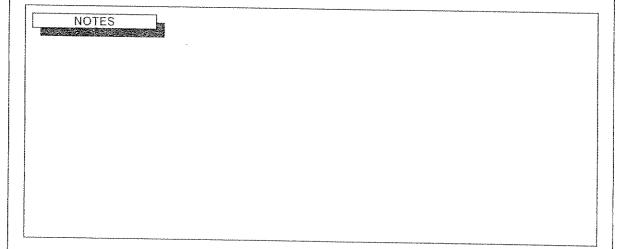
The Quality Management Principles Can Form Basis of Policy

* Customer focus
* Leadership
* Involvement of people
* Process approach
* Systems approach to management
* Continual improvement
* Factual approach to decision making
* Mutually beneficial supplier relationships

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NOTES

Clause 5.4.1 Quality Objectives

"Top management shall ensure quality objectives, including those needed to meet requirements for product are established at relevant functions and levels. The Quality objectives shall be measurable and consistent with quality policy."

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NOTES

Understanding, Documenting and Implementing an
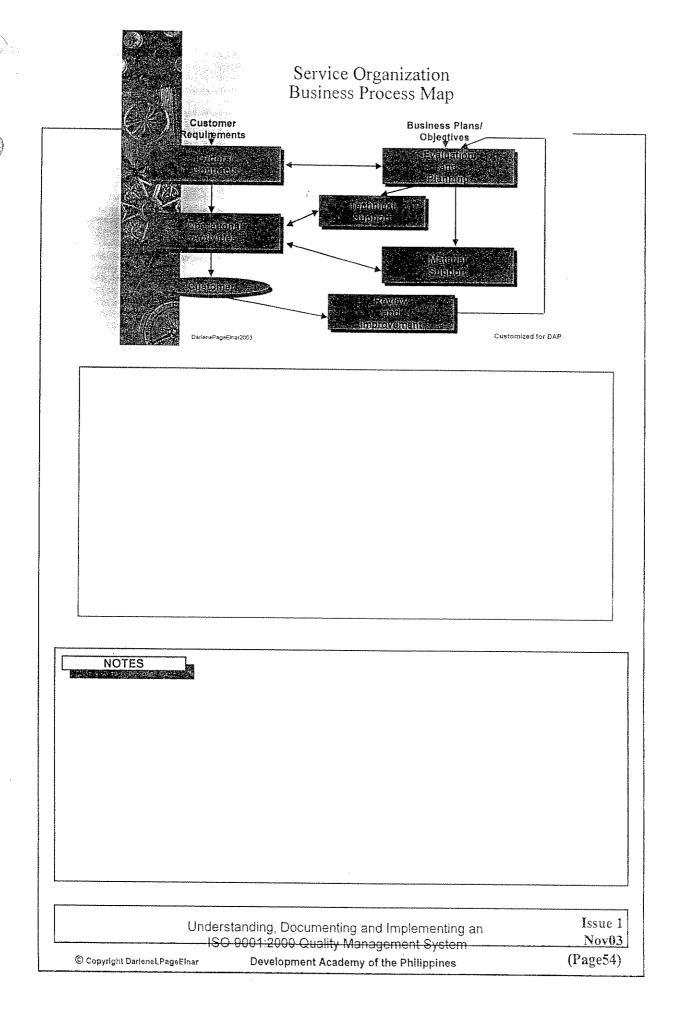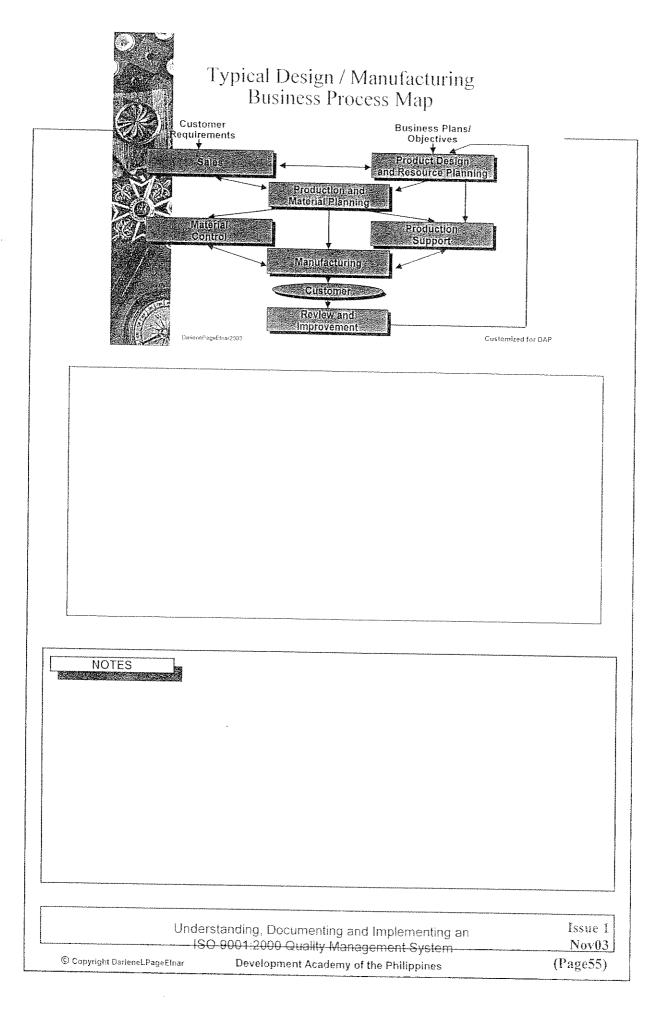ISO 9001:2000 Quality Management System
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Issue 1
Nov03
(Page43)
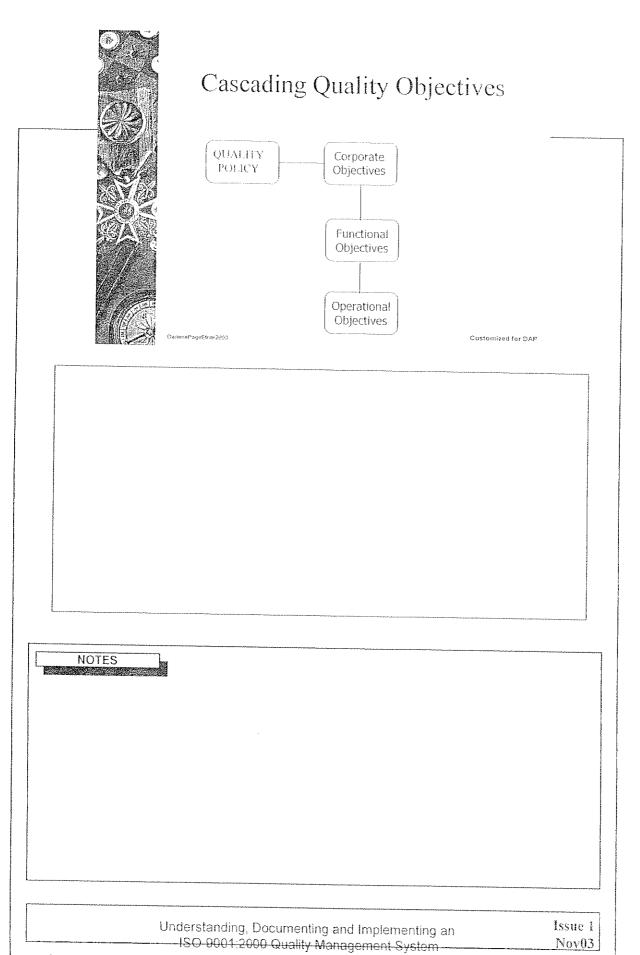
Quality Objective Defined

"Something sought for,
or aimed for,
related to quality."

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Cascading Quality Objectives

```
┌──────────┐      ┌──────────┐
│ QUALITY  │──────│Corporate │
│ POLICY   │      │Objectives│
└──────────┘      └──────────┘
                        │
                  ┌──────────┐
                  │Functional│
                  │Objectives│
                  └──────────┘
                        │
                  ┌──────────┐
                  │Operational│
                  │Objectives│
                  └──────────┘
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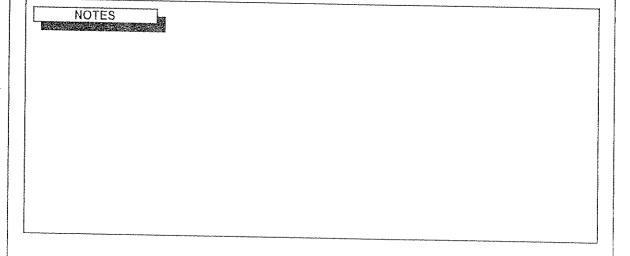
Issue 1
Nov03
(Page45)

EXERCISE

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Issue 1

Nov03

(Page46)

NOTES

The Quality Manual

Section 6

The Quality Manual

NOTES

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Nov03
(Page47)

Clause 4.2.2 Quality Manual

- Quality Manual shall include:
  - Scope of quality management system
  - Include details and justification of any exclusions.
  - The documented procedures for the QMS, or reference to them.
 - A description of the interaction between the processes of the QMS.

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Nov03
(Page48)

Typical Structure of The Quality Manual

- Cover page with copy number.
- Index.
- Amendment record.
- Description of the scope of the QMS and justification of any ISO 9001 permitted exclusions (against element 7. Product Realization).
- Quality policy statement and corporate quality objectives.
- Organization chart and description of role, responsibility of key staff.
- Diagram of business system model.
- Business process maps and description of process interactions.
- Procedures or cross reference to procedures in separate manual.

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NOTES

Principle 5
Systems Approach

Identifying, understanding, and managing a system of interrelated processes for given objective contributes to effectiveness and efficiency of organization.

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Nov03
(Page50)

What is a Process?

"Set of interrelated or interacting activities which transforms inputs into outputs."

9000:2000-3.4.2

Input → [Process] → Output

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Issue 1
Nov03
(Page51)

Mapping Business Processes

Identify sub-processes of each of the core and support processes from the Business System Model.

Define process and sub-process scope, purpose and activities involved

Identify process and sub-process owners.

Identify the interactions (interfaces) between the sub-processes.

Identify process and sub-process inputs and outputs.

Identify process controls.

Identify Key Performance Measures (KPM is measure of process effectiveness).

Identify process and sub-process efficiency measures.

Document process maps and interaction descriptions.

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Issue 1
Nov03
(Page52)

Developing The Business Process Map

Determine the Process Group(s)
- Place core processes
- Place planning group
- Place support groups
- Identify key interfaces
- Add R & I group and close loop

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NOTES

Service Organization
Business Process Map

Customer
Requirements

Business Plans/
Objectives

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NOTES

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Typical Design / Manufacturing Business Process Map

Customer Requirements

Business Plans/ Objectives

Sales

Product Design and Resource Planning

Production and Material Planning

Material Control

Production Support

Manufacturing

Customer

Review and Improvement

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NOTES

Typical Material Control Process Diagram

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NOTES

Typical Flow Diagram Symbols

OPERATIONAL
PROCESS

ELECTRONIC
STORAGE

VERIFICATION/
REVIEW
PROCESS

EXTERNAL PARTY/
OTHER PROCESS
GROUP

FILE STORAGE

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NOTES

Sample Manufacturing
Process Diagram

Purpose: Make cell phone PCBs
Scope: Component assembly

Process effectiveness KPM=Production
against production planned volume.

Process efficiency KPM=Production yield.

KPMs
- Rework rate
- Scrap rate

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Transport Components From Store

↓

Auto Insertion

↓

Solder & Clean

↓

Final Assembly

↓

Transport ← Rework

↓

Inspect → (Rework)

↓

Store

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NOTES

Key Performance Measures

- Two types of KPM should be identified for each process:
  - Measures of effectiveness.
  - Measures of efficiency.
- Effectiveness KPM is the criteria against which we can judge the extent to which the process objective has been met.
- Efficiency KPM is the criteria against which we can judge the extent to which process adds value.
- Limit the KPMs to a few 'key measures'.
- Use monetary units for efficiency measures whenever possible

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Issue 1

Nov03

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(Page59)

EXERCISE

Develop Business Process Map with Process Diagrams;.
Show how the processes interact.
Define:
   Effectiveness KPMs.
   Efficiency KPMs.
   Timing-1hr
   15 mins for preparation,
   15 mins for presentations on OHP foil.
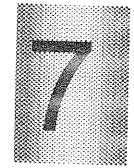
7

The Procedures

Section 7

The Procedures

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Issue 1

Nov03

(Page61)

WHERE DO PROCEDURES FIT IN?

PROCEDURE

"Specified way to carry out an activity or a process." (may or may not be documented)

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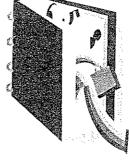
Issue 1
Nov03
(Page62)

Procedures Required to be Documented By ISO 9001

- Document control
- Records
- Audit
- Control of nonconformity
- Corrective action
- Preventive action
- Others as determined by organization to control processes

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Procedure Format

- ◆ Procedures can be in any appropriate media.
- ◆ There is no set format.
- ◆ Format should to chosen to meet the needs of the user.
- ◆ Typical formats may include:
  - Narrative.
  - Flow diagrams.
  - Illustrations.
  - A combination of these.

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NOTES

Developing Procedures

- Begin by developing a procedure outline.
- Use the procedure outline to develop the procedure detail.

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NOTES

Procedure Outline
Development

Identify title, reference number and owner

Clarify the scope of activity being addressed and the elements of ISO 9001 to be considered

Establish procedure objective i.e. what is the process trying to achieve, what is the desired outcome.

Define the key steps in the procedure and their sequence.

Identify who does what, when.

Identify the interfaces with each step.

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NOTES

Developing The Procedure Detail

Use the outline procedure to develop the procedure detail.

Typical headings for a combined flow diagram and narrative based procedure:

- Objective (or purpose)
- Scope
- Definitions (if applicable)
- References (if applicable)
- Responsibilities
- Flowchart
- Procedure Detail

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Some headings are frequently not required. For example 'Definitions' may be seldom required in some types of organizations, but in others they may be frequently required - particularly if heavy use is made of e.g. mnemonics.

Responsibilities may be separately defined in one format or integrated into the procedure detail in another.

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ISO 9001:2000 Quality Management System

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Issue 1
Nov03
(Page67)

Flow Diagram Developed From Procedure Outline

Identify need for equipment

Need for purchase to be specified in writing

Fill out purchase Requisition

Written requirement to be prepared and submitted unless item is off-the-shelf.

Obtain Budget

Return purchase requisition

Purchasing Clerk to first clarify problem with requisitioner and try to correct form. If this is not possible return to requisitioner.

Check purchase requisition

Yes

Errors?

Request quotations

No

Purchasing Clerk should first obtain candidates from list of approved suppliers.

Process quotations

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NOTES

Recommended Format

- Summary in flow chart form
- Detailed flow chart contains the full instructions
- Simple charting convention
- Notes on instructions only when essential
- Reference documents coded on chart and listed separately
- KPMs with controls stated in notes or on diagram

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Issue 1
Nov03
(Page69)

EXERCISE

- Working in groups, use the process map you developed in previous exercise to develop a procedure.

- Develop a procedure to describe the way the process can be carried out effectively and efficiently.

- Identify the process scope, objectives, activities, responsibility for each step, interfaces and effectiveness and efficiency KPMs.

* Timing-45 mins procedure preparation, 15 minutes review.
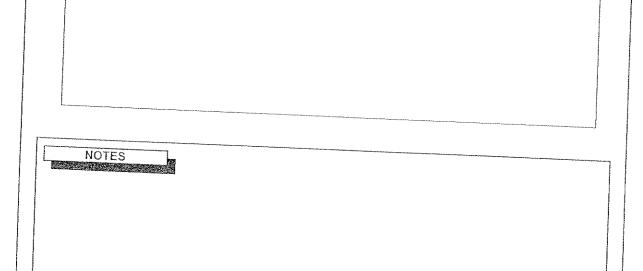
NOTES

The Support
Documents

Section 8

The Support Documents

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Issue 1
Nov03

(Page71)

ISO 9001:2000
7.5.1 Control of Service and Production Provision

Organization shall plan an carry out production and service provision under controlled conditions.

Controlled conditions shall include as applicable:

- Information that describes the characteristics of the product.
- Availability of work instructions.
- Use of suitable equipment.
- Availability and use of monitoring and measuring devices.
- Implementation of monitoring and measurement.
- Implementation of release, delivery and post delivery activities.

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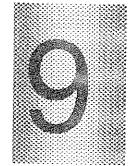
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Issue 1
Nov03
(Page72)

Work Instruction

A document which prescribes how a specific task is to be carried out.

Usually applies to activities undertaken by an individual.

Can be in any format or media that suits the communication needs of the user.

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NOTES
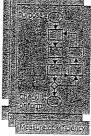
Typical Work Instruction Headings

- Objective
- Scope
- References
- Instructions
- Appendices
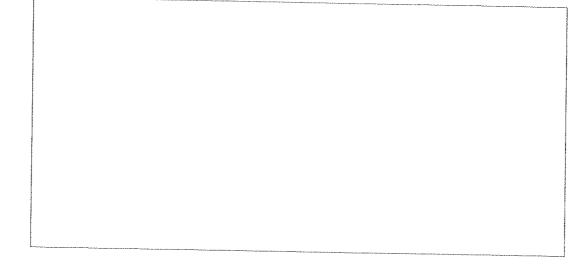
Work Instructions

Specifies how task
is accomplished

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NOTES

Support Documentation Structure

- Structure has to be flexible

- Forms collect and communicate data

- Codes of Practice define best practice

- Standards define acceptance criteria

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NOTES

Types Of
Support Documents

- Codes of Practice (Guides)

- User Manuals

- Technical Documentation

- Workmanship Standards

- Etc.

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Codes of Practice

- A document which presents best practice, rules and principles that has been accepted by a specific group of people

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Standards

- A precise and authoritative statement of the criteria necessary to ensure a material product or procedure is fit for the purpose for which it is intended

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Issue 1
Nov03
(Page78)

Exercise

- Developed any type of support document;
- Refer to the Procedure that you prepared earlier;
- You may use any format appropriate to the needs of the potential user
- Timing-45 mins preparation, 15 mins review.

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Issue 1
Nov03
(Page79)

ISO 9001:2000
5.4.2 QMS Planning

" Top management shall ensure that:
- Planning of QMS is carried out to meet requirements of 4.1 as well as quality objectives.
- The integrity of the QMS is maintained when changes to the QMS are planned and implemented."

Quality plan allows variation in the QMS, whilst maintaining the basic QMS structure.

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Issue 1
Nov03
(Page81)

The Quality Plan

Section 9

The Quality Plan

ISO 9001:2000
5.4.2 QMS Planning

"Top management shall ensure that:
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Development Academy of the Philippines

Issue 1
Nov03
(Page81)

ISO 9000:2000
3.7.5 Quality Plan

"Document specifying which procedures and associated resources shall be applied by whom and when to a specific project, product, process or contract."

These procedures generally include those referring to quality management and product realization processes.

Quality plan is generally one of the results of quality planning.
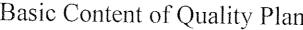
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NOTES

Basic Content of Quality Plan

ject, Process, duction Step.	Procedure Reference.	Responsibility	Key Performance Measure.	

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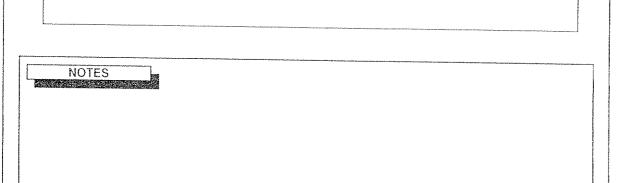
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Issue 1

Nov03

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(Page83)

Exercise

- Work in groups, prepare a simple quality plan for a project, process or product with which you are familiar.
- Prepare you plan on an OHP foil for presentation.
- Timing-30 mins preparation, 15 mins for presentations.
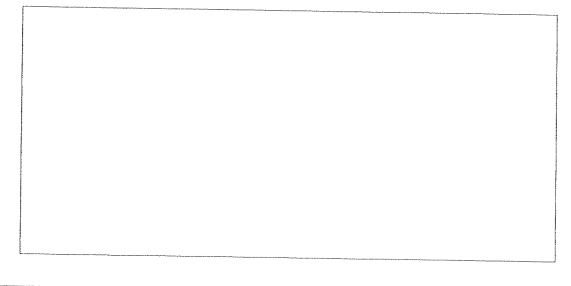
NOTES

10

Implementing & Maintaining the Established Quality Management Systems

Section 10
Implementing &
Maintaining the
Established QMS

NOTES

Clause 8.5.1
Continual Improvement

"The organization shall continually improve the effectiveness of the quality management system through the use of the quality policy, quality objectives, audit results, analysis of data, corrective and preventive action and management review."

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Issue 1
Nov03
(Page86)

Implementing The QMS
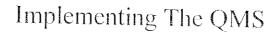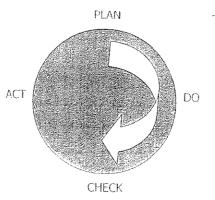
The established systems and documentation should be piloted to verify their effectiveness and efficiency.

Improvement can be made by following the PDCA cycle.

PLAN

ACT   DO

CHECK

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ISO 9001:2000
8.1 Measurement, Analysis and Improvement-General

"Organization shall plan and implement the monitoring, measurement, analysis and improvement processes needed:

- To demonstrate conformity of product.
- Ensure conformity of QMS."
- Continually improve the effectiveness of the QMS.

"This shall include determination of applicable methods, including statistical techniques, and the extent of their use."

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NOTES

Customer Satisfaction

One of the measures of performance.

Customer perception of whether requirements have been met must be monitored and measured.

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Issue 1
Nov03
(Page89)

Internal Audits

◆ Must be conducted at planned intervals to determine whether the QMS:
- Conforms to:
  - Planned arrangements.
  - Organizations QMS requirements.
  - ISO 9001
- Is effectively implemented.

◆ Audit findings used to eliminate detected nonconformities and their causes.

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Issue 1
Nov03
(Page90)

Process Monitoring and Measurement

Suitable methods to be applied for monitoring and measurement of QMS processes.

Must demonstrate ability of processes to achieve planned results.

When planned results are not achieved, correction and corrective action must be taken.

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Issue 1

Nov03

Development Academy of the Philippines

(Page91)

Analysis of data

Data must be analyzed to see where improvement can be made.

Must include analysis of data on:
– Customer satisfaction.
– Product conformance.
– Characteristics and trends of processes and products, including opportunities for preventive action.
– Suppliers performance.

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NOTES

Corrective Action

Must be taken to prevent recurrence.

Documented procedure must define requirements for:

- Reviewing nonconformities, including customer complaints.
- Determining root cause.
- Evaluating need for action to avoid recurrence.
- Determining and implementing actions needed.
- Records of results of actins taken.
- Reviewing corrective action taken

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NOTES

Preventive Action

- Must be taken to prevent occurrence of nonconformities.
- Documented procedure must define requirements for:
  - Determining potential nonconformities and their causes.
  - Evaluating need for action to prevent occurrence.
  - Determining and implementation action needed.
  - Records of results of action taken.
  - Reviewing preventive action taken.

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Issue 1
Nov03
(Page94)

Management Review

Top management must review QMS at intervals to ensure continued suitability, adequacy and effectiveness.

Review must include assessment of:
- Opportunities for improvement.
- Need for changes in:
  - QMS
  - Quality policy.
  - Quality objectives.

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Issue 1
Nov03
(Page95)

Management Review Inputs

- Audit results
- Customer feedback
- Process performance and product conformity
- Status of preventive and corrective actions
- Follow-up actions from previous management review.
- Planned changes that could affect the QMS
- Recommendations for improvement.

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NOTES

Management Review Outputs

Decisions and actions related to:

– Improvement of the effectiveness of the QM and its processes.

– Improvement of product related to customer requirements.

– Resource needs.

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NOTES