Universal Assessment and Review Questions

The questions may be used in total, in sets or individually

Prepared by the Chartered Quality Institute
Integrated Management Special Interest Group

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Introduction and Guidance

These questions have been compiled by the Chartered Quality Institute Integrated Management Special Interest Group and may be used to review or assess existing management arrangements to determine deficiencies in existing integrated or non-integrated arrangements. This section contains general guidance on the use of the question set contained in the main body of this document. More detailed guidance is contained at the start of each of the twelve groups of questions and within the question structure as necessary.

Structure

The questions are structured according to a twelve-element management topic hierarchical taxonomy based on references a) and b). These twelve principal elements are clustered into the four components of the 'plan do check act' (PDCA) management cycle that ideally operates effectively and efficiently throughout all levels of an organisation.

Plan (element 1) covers the analysis and synthesis required before the execution of the task or process

Do (elements 2 to 9) comprises eight elements each defining a specific area requiring control and guidance, e.g. people, commerce, data

Check (elements 10 and 11) comprises both reactive and proactive monitoring elements. Reactive monitoring involves the reporting and analysis of events that may also include near misses that could have resulted in significant loss or gain to the organisation or its stakeholders. Proactive monitoring involves activities like audits, inspections or benchmarking which provide confidence that planned arrangements have been implemented and are working satisfactorily. Reactive and proactive elements are both important and provide data for lagging and leading key performance indicators respectively

Act (element 12) covers the review of all aspects of the organisation's performance and assigned actions to drive continual improvement.

It should be noted that each of the twelve principal elements correspond to specific areas of control and guidance typically needing to be covered in an integrated or

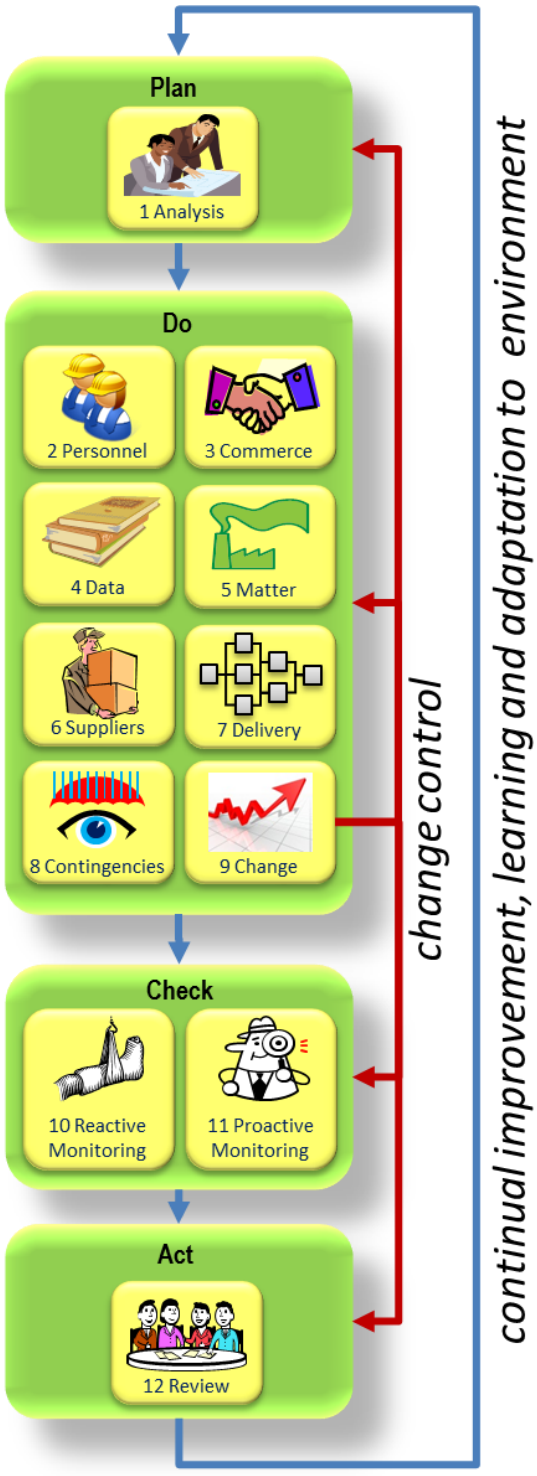

Figure 1: Management Topic Groupings

non-integrated management system. However, it is the effective and efficient functionality of all elements acting together forming an integrated management control and guidance system that drives continual improvement, learning and adaptation to the organisation's evolving environment. An example is the control of change element (9) where it controls all significant change in the organisation from top management strategy processes down to task level including the change control of all twelve principal elements of the management system.

Relationship with Standards and Regulations

Reference **Error! Reference source not found.** provides a mapping between common management system standards and regulations and the management topic structure which this question set is based on.

Question Types

Some questions are general and open and the assessor or reviewer should use these to check whether adequate arrangements are in place by observing and questioning the staff about the organisation's processes from end to end and include 'what if' questions to ensure the arrangements for controlling the process are robust i.e. question whether effective controls are in place such as:

- documented procedures
- competence
- Supervision
- infrastructure
- data
- contingencies
- monitoring
- review etc.

Opportunity and Risk

Management arrangements should address issues that significantly impact the organisation's stakeholder's needs and aspirations in a proportionate way. Overall the questions are intended to guide an application of structured common sense and be opportunity and risk informed.

Focus of Application

The questions may be applied irrespective of whether a wide or narrow focus is being taken on the organisation or its projects e.g. management processes can be assessed within the organisation as a whole, or for a particular organisational unit or for projects that may be being delivered externally to customers or maybe being implemented internally. Questions should be posed according to the context that is being focused on.

Structuring Assessments and Reviews

The questions contained in the main body of this document may be used to guide the structuring of proactive monitoring questions or reviews of formal management arrangements (management system). The questions may be used in total, in sets or individually. They may be elaborated or modified to meet the particular needs of the organisation. It is important that assessments and reviews cover the overall functioning of the 12 management topic groupings as a whole as well as individually. This is particularly important when the assessment or review is being conducted by more than one individual or team and also if it is being spread over a period of time.

References

a) May 2011 - ‘Order from Chaos’ – author Ian Dalling – version 2 of original article published in ‘Quality World’ April 2011.

b) Classification of Processes - Order from Chaos, version 2, post Harwell presentation update, author: Ian Dalling, CQI Nuclear Special Interest Group Meeting – Harwell June 2011.

Checklist

1 Assessment and Controls (plan)

Assessment and controls comprises analysis and synthesis processes to ensure successful organisation processes and defines controls that are implemented in the next eight elements covering personnel [2], commerce [3], data [4], matter and energy [5], suppliers [6], product/service delivery [7], contingencies [8] and change [9]. Planning is a critical activity that is essential to success, but it can be a very complex process depending on the nature of the organisation or project task and needs to be performed appropriately. It may involve the application of many management techniques (or tools) such as risk assessment. Some organisations may also be required, by stakeholders, to produce a structure/process justification, e.g. safety cases for major hazard plants, justification of measurement processes in laboratories and submissions to planning or licensing authorities. These are effectively structured arguments supported by evidence providing a required level of confidence.

1.1 Definition of arrangements

a) What formal arrangements exist for instructing and guiding the assessment of the organisation's structures and processes in order to develop and define management controls?

1.2 General planning issues

a) Is a business plan being maintained?
b) Are services and products delivered by the organisation:
   - consistent with its legal status?
   - compliant with adopted standards?
   - take account of potential conflicts of interest between diverse activities?
   - avoid activities that would compromise confidence, impartiality etc.?
c) Is a management manual (or similar) maintained that describes the overall arrangements for achieving the organisation vision and objectives?

1.3 Vision and policy

a) Has the organisation formulated and communicated a clear vision?
b) Has the organisation defined its policy in a statement(s) covering all aspects of organisation performance?
c) Is the policy statement(s) signed by the CEO?

1.4 Objectives and targets

Have organisation objectives and associated targets been defined relevant to the totality of the organisation?

1.5 Legislation and standards identification and evaluation

a) How does the management system take account of adopted management standards?
b) How does the management system ensure compliance with applicable legislation?

1.6 Opportunity/risk assessment

a) What is the overall approach to managing opportunity and risk within the organisation and does its scope cover:
   - organisation strategic issues?
   - stakeholders needs and aspirations?
   - infrastructure?
   - business processes?
   - projects?

b) Does the organisation have a classification system for structures and processes so that it can take a graded approach to the rigour that it conducts opportunity/risk assessments?

c) How are opportunity/risk assessments conducted for organisation processes such that:
   - sources of potential harm (hazards) are identified?
   - associated opportunities and risks are assessed?
   - opportunity/risk controls are assigned?
   - residual risks are deemed to be acceptable?

d) Does the organisation make use of generic risk assessments or templates and how are these justified and kept up to date? This may include risk assessment of hazardous substances.

e) How are risk assessments maintained current with existing workplace arrangements? (review)

Note: Opportunity/risk assessments includes aspect and impact assessments.

1.7 Process performance justification

a) How is a formal justification maintained that the infrastructure and processes delivering the product and services meet the requirements defined in legislation/licenses/standards (as applicable to the organisation)?

b) Is it peer reviewed?

c) How is it maintained current?

Note: Typical examples would be a regulatory safety case or a justification that a measurement laboratory process delivers what is required.

1.8 Management tools and techniques

What management tools and techniques does the organisation use?
What is the process for selecting management tools and techniques?
How is the organisation confident that it is using management tools and techniques competently and gaining vale from them?

2 Personnel (do)

Personnel are the most important asset of any organisation and this element covers their management including: organisation, responsibilities, authorities, communications, stakeholders, conflict resolution and the complete employment lifecycle from recruitment through to exit. It contains some of the highest risk issues that organisations have to manage such as recruitment and ensuring that people are competent for their posts and roles.

2.1 Definition of arrangements

a) What formal arrangements exist for instructing and guiding people processes to meet the needs of the organisation?

2.2 Organisation

a) Is the organisation adequately structured and have sufficient resources to support the organisation objectives - refer to Management Review and Action Planning - 12.

2.3 Responsibilities and authorities

a) Have essential and desirable competences been identified necessary to operate the organisation effectively and efficiently and to control risk including:
   - maintaining a table of competencies?
   - maintaining and periodically reviewing a set of personnel job descriptions covering purpose of post/role, duties, authority, accountability and competence (directly or via reference)?

2.3.1 Provision of expert advice and assistance

a) Has the need for expert advice been identified through the planning and management review processes?
b) Is competent expert advice available either within the organisation or contracted from outside of the organisation covering:
   - management systems?
   - quality?
   - health and safety?
   - environmental protection?
   - process plant and equipment?

2.4 Employment life cycle

a) Is there a formal and systematic process in place covering:
   - recruitment?
   - appointment?
   - induction?
   - maintenance and development of competence?
   - fitness, welfare and working time?
   - work absense and rehabilitation?
   - discipline?
   - resignation, discharge and retirement?

b) How is confidence in contractors maintained, including:
   - recruitment from approved supplier?
   - maintenance of competency data?
   - contract?
   - monitoring?

2.5 Interactions

2.5.1 Management of interfaces

a) Are there formal arrangements in place for managing interfaces with key organisations for example UKAS?
b) Are contact details readily available for these organisations?

2.5.2 Internal communication, participation and consultation

a) How does the organisation consult with personnel prior to introducing changes of policy?
b) How can personnel:
   - suggest improvements to systems and processes such that they are formally imported into the management review process?
   - report situations where corrective and preventive actions may be required?
   - report accidents and incidents (including customer complaints)?
c) How are issues communicated to personnel including:
   - key issues from management reviews?
   - recent accidents and incidents?
   - audits and inspections?
   - significant business sector information including incident reports?
   - their right and duty not to work if there are any issues related to health or safety?
d) How is confidential information restricted to appropriate personnel?

2.5.3 External communication, regulatory reporting and marketing

a) How are external stakeholders appropriately consulted where significant changes are proposed that may affect health, safety, environmental, quality or other issues?
b) How are accidents and incidents reported to regulatory bodies?
c) How is marketing data and the organisation website maintained compliant with organisation objectives and legal/contractual requirements?

2.5.4 Management of conflict

a) Is there a defined process for resolving conflict where issues may arise relating to health, safety, environmental protection or quality etc?

3 Commerce (do)

Commerce comprises the control of the maintenance of the organisation's existence e.g. as a legal entity, the relationships with its internal and external stakeholders via contracts and interface agreements and finance. These three sub-elements control trading processes and the commercial performance of the organisation. Considerable risk is managed within this element and would have been addressed during planning (element 1).

3.1 Definition of arrangements

a) What formal arrangements exist for instructing and guiding the organisation's commercial processes i.e. the processes that maintain its status as a legal entity and enable it to successfully trade and interact with other stakeholders?

3.2 Organisation entity

a) How is the organisation as a legal or other type of entity maintained?
b) How is it ensured that its obligations as a legal entity are met?

3.3 Stakeholders

3.3.1 Internal contracts

a) How are employee contracts managed?
b) What arrangements are in place for collective negotiation?

3.3.2 External contracts

a) Does the organisation have any commercial relationships with other organisations apart from customers?
b) How does the organisation ensure that its contracts with external organisations are legal and comply with its values and policy?
c) Are templates used and if so how are they controlled?
d) How are contracts agreed and signed?
e) Who has authorisation to sign on behalf of the organisation and does it take account of potential risks to the organisation?
f) How are contract variations and renewals managed?
g) How are contract disputes handled?

3.4 Finance

See also Accounting - 4.5.

3.4.1 Revenue

a) How are revenue processes generally controlled and recorded?

3.4.2 Payments

a) How are payments authorised and made?
b) How are employees paid?
c) How are suppliers paid?

3.4.3 Cash

a) Does the organisation hold cash e.g. customer payments or petty cash?
b) How is cash secured?
c) How is cash transported to and from the bank securely?

4 Data (do)

Data covers the controls required to manage the lifecycle and evolution of data in all of its various forms. Document control is included in data control and is another example of the inclusiveness of the management elements. Sub elements include; data structures, control, databases, security and its processing. It should be noted that 'data processing' has accounting as a sub element which in turn has different aspects of accounting as further sub elements. There are many facets of accounting that need to be applied to processes and as each involves value it makes sense to view this from an integrated perspective.

4.1 Definition of arrangements

What formal arrangements exist for instructing and guiding data processes in its broadest sense embracing documents, databases, data processing and transfer etc?

4.2 Structure

a) What is the structure of the documented management system as a whole?

4.3 Control

4.3.1 Internal documents

a) How are new document requirements received and new documents or changed documents drafted?
b) How are documents approved?
c) How are controlled documents issued and superseded documents managed?
d) How do personnel become aware that controlled documents have been issued or have changed?
e) Are internal controlled documents subject to review?

4.3.2 Databases

a) How are databases managed?
b) Is there potential to integrate databases?

4.3.3 External documents and library

a) How does the organisation manage external controlled documents received by the organisation including reference documents and data?

4.3.4 Contract documents and data

a) How are contract documents and data managed?

4.3.5 Facility and product documentation and data

a) How does the organisation manage documentation relating to the facility and other infrastructure supporting the organisation business processes?

4.3.6 Marketing literature and website

a) What is the process for ensuring that marketing literature and website content is accurate?

4.3.7 Records

a) Have significant records been identified including their retention times? Is there a schedule?
b) Is there a process in place for destroying records when no longer required?
c) Is there a process for correcting records when errors are discovered?
d) How is access to records managed so that they remain secure and confidential where appropriate?

4.4 Security

a) Are arrangements in place for securing;
   - confidential documents and data?
   - personnel information?
   - password issue?
   - backup of computer data?
   - access to facilities?
   - special client requirements?

4.5 Processing

4.5.1 Accounting

a) What types of accounting does the organisation engage in? (e.g. financial, assets, carbon, waste etc.)
b) How is accounting managed and reported?
c) Are account records reconciled with other sources of data e.g.bank accounts?

4.5.2 Key performance indicators

a) Has the organisations defined KPIs covering all important aspects of performance?
b) Do they include leading and lagging KPIs i.e. proactive and reactive? Refer to Reactive Monitoring - accidents and incidents (check) - 10 and Proactive Monitoring - audits and inspections (check) - 11.

4.6 Conventions

4.6.1 Style and nomenclature

a) How does the organisation maintain an orderly and uniform numbering and style in its documents and data?
b) Does infrastructure nomenclature follow a defined convention?
c) Is signage uniform and follow generally accepted standards?

5 Matter and Energy (do)

Matter and energy includes everything that is naturally created or man-made, including energy, except where it is already addressed by the other elements such as "people". Einstein's equation $E=MC^2$ justifies this natural element grouping. Sub-elements cover the lifecycle management of materials, products and infrastructure. Critical process steps are normally defined in (safe) systems of work and failure can account for major organisation losses, for example, the Piper Alpha oil platform disaster in the North Sea in 1988 killing 167 people.

5.1 Definition of arrangements

a) What formal arrangements exist for generally instructing and guiding matter and energy processes embracing infrastructure, materials, waste, emissions and energy etc?

5.2 Selection

a) How is the selection of products, materials and substances controlled?
b) Does the selection address the total life cycle of the material?
c) Are hazardous substances subject to risk assessment (COSSH regulations)?
d) Do these risk assessments include process by-products such as dust and emissions?
e) Are there any significant process manual handling operations and how are these managed?

5.3 Handling and use of materials

5.3.1 Receipt and transport

a) How is receipt managed covering:
   - unloading?
   - checking and signing?

Refer also to Suppliers (do) - 6.

5.3.2 Storage

a) How is storage managed covering:
   - periodic checks for deterioration (shelf life) and labelling?
   - return or disposal of unfit product?

5.4 Processing

Refer to Product and Service Delivery (do) - 7.

5.5 Infrastructure

5.5.1 Facilities

a) Is information maintained relating to the Organisation facilities including any specific hazards (not applicable if a tenant)?
b) Has the facility been subjected to a risk assessment? - refer to Opportunity/risk assessment - 1.6.
c) Is the facility secure from intrusion?

5.5.2 Work environment

a) Has the workplace been subjected to a risk assessment? - refer to Opportunity/risk assessment - 1.6.

5.5.3 Plant and equipment

a) Is a schedule maintained of all critical plant and equipment?
b) Is all applicable equipment calibrated and correction factor information available at the point of use?
c) How is it insured that personnel only use plant or equipment that is within date?
d) What happens if it is discovered that plant or equipment has been used outside of its validity and date?

5.5.4 Computer software

a) Is an inventory maintained of organisation computer software and licenses?

5.6 Maintenance, inspection and testing

a) Is a controlled maintenance inspection and testing schedule maintained?
b) Is any calibration performed within the organisation?
c) Is the equipment labelled with the test/calibration validity date?
d) How is defective infrastructure managed including:
   - reporting?
   - segregation or restricting access?
   - remediation or disposal?
e) Is any maintenance, inspection or testing performed internally within the organisation and if so procedures defined?
f) Are maintenance, inspection and test records maintained?

5.7 Waste and emissions

a) Are processes designed to minimise waste?
b) Is waste segregated and stored in designated places?
c) Is a waste management licence in place?
d) Is a contract in place for a licensed carrier/consignee?

6 Suppliers (do)

Suppliers covers the lifecycle management of suppliers from initial approval, taking an opportunity/risk informed approach, through to performance evaluation and grading.

6.1 Definition of arrangements

a) What formal arrangements exist for instructing and guiding supplier management processes?

6.2 Classification and vetting of suppliers

a) Have critical suppliers been identified and classified?
b) Has the overall competence and individual personnel competence requirements for significant suppliers (including contractors) been identified and clearly defined? *These should cover technical, legal and other requirements as applicable.*
c) Have critical suppliers been subjected to prequalification via a questionnaire or other means followed by competent assessment and formal approval?
d) Are there arrangements in place for the proactive monitoring (auditing, inspections etc.) of suppliers where there is insufficient submitted evidence?
e) Is evidence available that suppliers of calibration and testing services have accreditation to relevant standards?

6.3 Specification and ordering

a) How are orders specified?
b) How are orders placed with approved suppliers to satisfy product and service requirements and minimise costs?

6.4 Receipt

a) How is the receipt of goods managed including:
   - confirmation of material condition?
   - product meets specification and order specification?
b) How is it ensured that the organisation only pay for what has been received?

6.5 Supplier performance evaluation

a) Are arrangements in place to monitor and grade critical suppliers' performance?

7 Product and Service Delivery (do)

Service and product delivery covers its lifecycle from marketing to post-delivery evaluation.

7.1 Definition of arrangements

a) What formal arrangements exist for instructing and guiding product and service delivery processes i.e. the end to end process(es) that defines the organisation's purpose? NOTE: These processes are extremely diverse across organisations;
b) How many business streams does the organisation have?
c) What is the nature of these business streams i.e. is the product/service project based etc?
d) How do these business streams and processes operate geographically i.e. multi-site, internationally?

7.2 Marketing

a) How are marketing processes conducted such that;
   - they are consistent with the Business Plan?
   - contact information is systematically recorded?
   - prequalification is conducted in an efficient and effective way?
   - they comply with advertising and branding restrictions such as those specified by certification bodies?

7.3 Proposal preparation and submission

a) How are competent proposal managers assigned/appointed?
b) Are proposals prepared using a proposal plan?
c) How are contracts managed to ensure:
   - financial profitability?
   - there is sufficient human resource?
   - technical requirements can be complied with?
   - there is sufficient process capacity?
   - service can be delivered on time?
   - are legally compliant?
d) Are contracts subject to a review process before signing?

7.4 Contracts

a) How are competent contract managers assigned/appointed?
b) Are there any active projects within the organisation?
c) When applicable, how does the organisation manage projects including:
   - conduct of opportunity/risk assessment?
   - establishing contingency arrangements as appropriate?
   - defining a project program and resource budget?
   - contracting services to approved suppliers?
   - assignment of competent personnel and other project controls?
   - making project changes?

- monitoring?
- reporting?

d) Are post-contract reviews conducted covering:
   - performance of the project?
   - performance of contractors?

7.5 Unsuccessful Bids

a) How are unsuccessful bids evaluated to ensure lessons are learned for the future?

8 Contingencies (do)

Contingencies includes the arrangements that are needed to mitigate risk after there has been a failure of the organisation's core or supporting processes and includes such things as emergency and crisis management. Emergency procedures may use a symptom-based approach where diagnosis is a key aspect of the process. The objective is to return to normal operation with minimal loss.

8.1 Definition of arrangements

a) What formal arrangements exist for instructing and guiding the development, implementation and execution of contingency processes i.e. crisis/emergency plans, first aid, nonconforming infrastructure etc or anything needed to restore the normal operation of the organisation?

8.2 Identification and development of contingency processes

a) Have requirements for contingency processes been determined and implemented taking account of:
   - organisation and project risks?
   - regulations and standards?
   - customer requirements?

b) Do contingency plans consider, as applicable:
   - establishing a safe situation?
   - esponsibility for command and control?
   - communication with relevant bodies?
   - special plant, equipment and materials?
   - recovery to normal conditions?
   - preserving evidence?
   - customer specific requirements?

8.3 General contingency processes

a) What is the process for managing nonconforming infrastructure or product covering?
   - reporting?
   - marking, segregation or use of barriers?
   - use of snagging lists during projects?

b) Have organisation emergency, crisis and disaster recovery plans been considered or put in place covering, as appropriate:
   - fire?
   - flood?
   - loss of computer system?
   - Loss of communications?
   - general crisis?
   - loss of essential supplies to organisation premises?

c) Are there sufficient emergency materials and equipment on organisation premises and in vehicles?

d) Are there first aid arrangements (considering size and nature of organisation) covering:

- competent first aiders?
- first aid materials and equipment?
- adequate insurance in place covering, as applicable:
    a. employers liability?
    b. public and product liability
    c. buildings, vehicles and other assets?
    d. professional indemnity?

8.4 Project contingency processes

a) Are contingency arrangements considered during the management of projects?

8.5 Contingency process testing

a) How are contingency arrangements tested?

8.6 Contingency process training

a) How do personnel become proficient in contingency processes?

8.7 Contingency process events

a) If it is found necessary to operate contingency processes, how does the organisation learn from them?

9 Change (do)

Change embraces all types of significant permanent or temporary change within the organisation, for example corrective action, preventive action, strategic change, structural change and experiment. An ill-conceived experiment resulted in the Chernobyl nuclear power plant disaster in the Ukraine in 1986 and is estimated to eventually result in 4,000 deaths. More recently, the Toyota car company failed to effectively control its strategic management policy and lost the knowledge and expertise that once made it a world-class leader. Plan do check act is the basis of this cyclic process of learning and failing to keep it effective results in a corporation losing its knowledge and competence.

9.1 Definition of arrangements

a) What formal arrangements exist for instructing and guiding management of change processes including corrective/preventive action, strategic change, permanent and temporary systems and process change?

9.2 Corrective and preventive action

a) How is corrective and preventive action managed covering:
   - reporting of conditions requiring corrective action?
   - agreement and implementation of corrective action?
   - determining whether preventive action is required and its implementation?
   - review of opportunity/risk assessments?
   - identification for need for additional focused proactive monitoring (audits, inspections etc)?
   - records?

9.3 Strategic change

a) How is strategic change managed covering
   - monitoring external factors such as planned changes to customer policy; statutes and regulations; and markets?
   - how management system and organisation processes are changed?

9.4 Systems and process change

a) How are organisation structures and processes continually improved including:
   - how personnel can suggest improvements?
   - how suggestions are reviewed and actioned?

9.5 Project change

a) How changes to projects managed?

9.6 Change tracking and records

a) Is a database(s) maintained to track all change within the organisation?

10 Reactive Monitoring - accidents and incidents (check)

Reactive monitoring covers accidents and incidents and near-misses including customer complaints. The process includes the collection of evidence, determining immediate causes and root causes so that improvement can be achieved via element 12 'review and action' and element 9 'change'. Root causes can be classified using the 12 element taxonomy.

10.1 Definition of arrangements

a) What formal arrangements exist for instructing and guiding reactive monitoring processes such as analysing the immediate and root causes of accidents and incidents to feed into change to support continual improvement?

10.2 Evidence preservation

a) How is staff made aware of the importance of preserving event evidence and what methods would be used?

10.3 Evidence reporting

a) How is event reporting managed including;
   - recording of the event?
   - maintaining confidentiality?
   - reporting to official bodies?

10.4 Investigation and analysis of root causes

a) How are events investigated including:
   - determining the immediate causes?
   - determining the root causes?
   - independent review?
   - personnel violation of procedures?
   - learning and improvement action?

11 Proactive Monitoring – audits, inspections etc (check)

Proactive monitoring comprises audits, inspection, surveys and benchmarking etc.

11.1 Definition of arrangements

a) What formal arrangements exist for instructing and guiding proactive monitoring including audit, inspection, survey, benchmarking processes etc?

11.2 First party internal audits - companies systems and processes

a) Is a schedule maintained for planned internal audits?
b) Are audits conducted by competent personnel?
c) How are audits reported and findings and observations tracked?

11.3 Second party external audits - suppliers and contractors

a) Has the potential need to audit suppliers been addressed?

11.4 Third-party independent audits – stakeholders

a) How are third-party independent audits managed?

11.5 Inspections - projects

a) Is the need for conducting inspections during projects addressed?

11.6 Inspections - facility

a) How is the inspection of organisation offices and premise managed including:
   - check sheets to guide process?
   - recording of findings and closeout?
   - records?

11.7 Self-monitoring and vigilance

a) How do personnel comply with systems including:
   - understanding of requirements?
   - reporting of incidents, events and the need for corrective action?
   - reporting of events?
   - suggesting improvements?

11.8 Customer and stakeholder satisfaction surveys

a) How is customer satisfaction monitored including:
   - forms to structure survey?
   - conduct of survey?
   - analysis and compilation of statistics?

12 Review and Action (act)

Review and action covers the systematic review of all aspects of performance and internal and external change, and assigns actions to drive continual improvement. These processes are normally conducted within a hierarchy of meetings conducted at different frequencies.

12.1 Definition of arrangements

a) What formal arrangements exist for instructing and guiding management review and management action processes to maintain confidence in the current and future operation of the organisation and to promote continual improvement within the organisation as a whole and within projects?

12.2 Hierarchy of management review

a) Has a hierarchy of management review meetings been established covering the organisation as a whole and projects including:
   - frequency of meetings?
   - scope of meetings?
   - attendees and chairperson?
   - use of agenda templates to guide scope of the meetings? e.g.:
     a) Introduction and apologies
     b) Minutes and matters arising from previous meeting;
     c) Proactive monitoring including audit, survey and inspection results;
     d) Reactive monitoring including accidents, incidents, complaints and other stakeholder feedback (positive or negative) resulting from company operations;
     e) Stakeholder interactions, needs and expectations (internal and external);
     f) Compliance with current and planned legislation and other stakeholder requirements;
     g) Significant new and changed aspects, hazards, risks and their control;
     h) Technological options;
     i) Suppliers;
     j) Sales, marketing and future prospects;
     k) Use of management tools;
     l) Product/Service delivery and project management performance;
     m) Internal projects and change;
     n) Human resource, competence and training performance and future requirements;
     o) Key performance indicators (KPI's);
     p) Use of management tools;
     q) Performance of management system;
     r) Company vision and strategy;
     s) Achievement of previously defined company objectives and action plan;
     t) Setting of objectives, action plan and resource planning.
     u) Date of next meeting.
     v) AOB.

12.3 Management review outputs

a) Do management review outputs include;
   - appropriate set of meeting minutes?
   - new, revised or reconfirmed objectives and targets?

- confirmed or updated schedule of external controlled documents?
- action plan, detailing the elaboration of the objectives (if required)?
- approved resources and responsibilities for the execution of the action plan?
- an annual organisation financial budget?

b) Are objectives/targets success criteria clearly defined?

12.4 Action plans

a) Are action plans (main and subordinate as necessary) maintained and reviewed including:
   - corrective and preventive actions?
   - designated responsibility and authority for its achievement at all relevant levels of the organisation?
   - the means and timescales for its implementation?

b) How are action plans monitored to ensure their timely implementation?

12.5 Communication of objectives and targets

a) How are personnel aware of the organisation objectives and targets for the organisation and within projects? See Internal communication, participation and consultation.