Ministry of Industry, Investment & Commerce

ISO QUALITY SYSTEMS DIVISION

ISO 9001:2015 ORGANIZATIONAL QUALITY SYSTEMS READINESS CHECKLIST

Indicate your level of agreement to each of the statements in this checklist with regards to your organization's operations. Indicate your response by selecting SA- Strongly Agree, A=Agree, N-Neutral, D- Disagree or SD- Strongly Disagree with a tick. You may make additional comments in the space provided if needed.

STATEMENTS		RESPONSES					Service Dimension	Comments
		SA	A	N	D	SD		
1.	There are adequate human resources to provide business services. *Use comment section to define current staff count and established post count.*	☐	☐	☐	☐	☐	Human Resources	
2.	Service standards are documented and published and are made available to clients.	☐	☐	☐	☐	☐	Communication and Public engagement	
3.	Suggestion boxes are installed, and feedback forms provided in the customer waiting areas	☐	☐	☐	☐	☐	Communication and Public engagement	
4.	Customer Service Surveys are conducted based on a planned frequency to identify the views and perceptions of customers. (*Please state the frequency in the comments column*)	☐	☐	☐	☐	☐	Communication and Public engagement	
5.	Focus Groups sessions or other consultative feedback mechanisms are used to gain the views of customers on the quality-of-service delivery.	☐	☐	☐	☐	☐	Communication and Public engagement	
6.	Feedback from customers often used to facilitate improvement in service delivery.	☐	☐	☐	☐	☐	Communication and Public engagement	
7.	Emergency exits are visible and easily accessible.	☐	☐	☐	☐	☐	Access and facilities	
8.	There are functional air conditioning units in the Organization and in customer waiting areas.	☐	☐	☐	☐	☐	Access and facilities	

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STATEMENTS		RESPONSES					Service Dimension	Comments
		SA	A	N	D	SD		
9.	The Organization provides clean bathroom facilities with adequate supplies for staff and Customers.	☐	☐	☐	☐	☐	Access and facilities	
10.	A functional email address exists and is monitored through which customers can make enquiries.	☐	☐	☐	☐	☐	Access and facilities	
11.	Directional signs are installed to guide customers in accessing services.	☐	☐	☐	☐	☐	Access and facilities	
12.	The Organization has a database of all the services it provides.	☐	☐	☐	☐	☐	Access and facilities and Communication	
13.	The Organization has a website from which customers may access current information on services offered.	☐	☐	☐	☐	☐	Communication and public engagement	
14.	Printed material on services and relevant updates to be communicated by the Organization are placed in customer waiting areas.	☐	☐	☐	☐	☐	Communication	
15.	The Mission/Vision Statement of the Organization is mounted in customer waiting areas and shared with Staff.	☐	☐	☐	☐	☐	Communication	

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STATEMENTS		RESPONSES					Service Dimension	Comments
		SA	A	N	D	SD		
16.	There is a documented Quality Policy Statement, that guides the direction/position on quality management.	☐	☐	☐	☐	☐	Quality Management Framework	
17.	The Organization provides information on its services across multiple Communication channels (the internet/social media, print media, radio, and television).	☐	☐	☐	☐	☐	Communication	
18.	There is an established complaints system (that logs and manages complaints made by customers).	☐	☐	☐	☐	☐	Public Engagement	
19.	Customers may provide feedback using various methods (letters, email, telephone, in person).	☐	☐	☐	☐	☐	Public Engagement	
20.	Complaints procedures are well publicised and easy to use.	☐	☐	☐	☐	☐	Public Engagement and Communication	
21.	People engagement in Operational Changes is consistently practiced.	☐	☐	☐	☐	☐	People Engagement	
22.	There is an independently established body that reviews complaints wherever possible.	☐	☐	☐	☐	☐	Governance	
23.	Staff are exposed to the standards of Service Excellence.	☐	☐	☐	☐	☐	Governance Management	

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STATEMENTS		RESPONSES					Service Dimension	Comments
		SA	A	N	D	SD		
24.	Service and Process Performance Indicators are reflected in the organisation's operational plan and job descriptions. *This ensures that process/service metrics are established, understood, and fulfilled.*	☐	☐	☐	☐	☐	Governance and Performance Management	
25.	Employees are evaluated on the quality of their outputs/jobs	☐	☐	☐	☐	☐	Governance and Performance Management	
26.	Staff are formally acknowledged/recognised for providing good service to customers.	☐	☐	☐	☐	☐	Reward and Recognition	
27.	There is a program initiative in place to ensure organizational environment is conducive to work and prevents burn-out, and stress, is socially inclusive, and non-confrontational.	☐	☐	☐	☐	☐	Institutional Framework and Capacity Building	
28.	Employees' customer service performance is monitored and evaluated on a regular basis by their supervisors.	☐	☐	☐	☐	☐	Governance and Performance Management	
29.	Staff are kept informed of policy changes and activities by the management of the organization.	☐	☐	☐	☐	☐	Governance and Communication	

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STATEMENTS		RESPONSES					Service Dimension	Comments
		SA	A	N	D	SD		
30.	Staff are encouraged by Management to provide feedback on policies and procedures.	☐	☐	☐	☐	☐	Institutional Framework and Capacity Building	
31.	As an organization we have organised many initiatives around service excellence.	☐	☐	☐	☐	☐	Institutional Framework and Capacity Building	
32.	There is a planning process in place that establishes S.M.A.R.T Quality Objectives and a plan in place to assign responsibilities to ensure the achievement of the objectives	☐	☐	☐	☐	☐	Quality Management Framework	
33.	All staff are encouraged to participate in the Organization's planning process	☐	☐	☐	☐	☐	Institutional Framework and Capacity Building	
34.	Resource Needs Assessment is conducted annually in my organization (Human resources, Training etc)	☐	☐	☐	☐	☐	Institutional Framework and Capacity Building	

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STATEMENTS		RESPONSES					Service Dimension	Comments
		SA	A	N	D	SD		
35.	Dialogue is strongly encouraged between staff and managers.	☐	☐	☐	☐	☐	Institutional Framework and Capacity Building	
36.	Officers who interface directly with customers are selected based on skill competencies required for service delivery	☐	☐	☐	☐	☐	Institutional Framework and Capacity Building	
37.	There is an employee training programme in place, that includes ascertaining gaps, evaluating training outcomes and retaining training records. *This allows for proper tracking of employee knowledge and training and their skills.*	☐	☐	☐	☐	☐	Institutional Framework and Capacity Building	
38.	There are regular management review meetings, to assess the level of conformity to organizational requirements and achievement of objectives.	☐	☐	☐	☐	☐	Quality Management Framework	
39.	There is a change management process in place to ensure that change is planned, the	☐	☐	☐	☐	☐	Quality Management Framework	

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STATEMENTS		RESPONSES					Service Dimension	Comments
		SA	A	N	D	SD		
	objectives achieved and the necessary adoption of the change is sustained.							
40.	There is a risk management framework in place that identifies, mitigates, and monitors the changes in the risk environment.	☐	☐	☐	☐	☐	Quality Management Framework	
41.	There are Standard Operating Procedures in place to ensure that all products/services follow a standard delivery approach. *This allows a consistent approach to product development and service delivery.*	☐	☐	☐	☐	☐	Quality Management Framework	
42.	There is an internal audit programme, and it is conducted based on an established schedule *This ensures that procedures are constantly reviewed and adapted.*	☐	☐	☐	☐	☐	Quality Management Framework	
43.	There is a vendor selection and evaluation process in place. *This ensures that quality of service from suppliers is assessed to determine conformity to defined service standards, contracts,*	☐	☐	☐	☐	☐	Quality Management Framework.	

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STATEMENTS		RESPONSES					Service Dimension	Comments
		SA	A	N	D	SD		
	specifications, memoranda of understanding etc.							
44.	There is a Problem-solving mechanism in place that promptly corrects process errors or complaints	☐	☐	☐	☐	☐	Quality Management Framework	
45.	Problem solving involves the use of root cause Analysis and Corrective Action. *This ensures the problem's root cause is eliminated to prevent reoccurrence.*	☐	☐	☐	☐	☐	Quality Management Framework	
46.	Documented information used within the organization is approved and controlled prior to use.	☐	☐	☐	☐	☐	Quality Management Framework	
47.	There is a database of Organizational Knowledge maintained. *This includes documented information, best practices, tacit knowledge, lessons learnt from projects etc.*	☐	☐	☐	☐	☐	Quality Management Framework	

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Key Definition

Code	Rating Description	Percentage applicable	Organizational Behaviour Guide
SA	Strongly Agree	90-100%	There exists continuous improvement and innovation. Process is benchmarked and tracked through KPIs. Business Practice or Process is institutionalized. Processes are documented. Very high visibility and availability of system requirement
A	Agree	80-89%	Management Process is standardized and repeatable. Process KPIs are established. Process is applied across the organization. Records are retained and easily retrievable. High visibility and availability of system requirement
N	*Neutral (Neither Agree or Disagree)*	50%	Organizational Knowledge of the process is limited. Process is ad hoc (Inconsistent) in its execution. There exists a high level of ambiguity in the process. Process responsibility and accountability is unclear. Medium visibility and availability of system requirement
D	Disagree	1-10%	Some level of documentation of Process Process is executed in an ad hoc manner. Process responsibility and accountability is unclear. Low visibility and availability of system requirement
SD	Strongly Disagree	0%	Process is not operational. Management Process not documented. Very low visibility and availability of system requirement

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