ISO 9001:2015
Key Changes in the University QMS

QMS Review Committee

August 2016

Intro

- The ISO 9001:2015 standard was published in Sept 2015
- There is a transition period of 3 years for full compliance
- For the University, the transition will involve
  - ✓ Sensitization across the entire University
  - ✓ Revision of the University QMS
  - ✓ Implementation of the Revised QMS
  - ✓ Recertification by KEBS

Quality Management Principles

- ISO 9001:2015 standard is constructed around seven principles:

  1. Customer Focus
  2. Leadership
  3. Engagement of People
  4. Process Approach
  5. Improvement
  6. Evidence-based Decision Making
  7. Relationship Management

Different Terminology

ISO 9001:2008	ISO 9001:2015
Products	Products and services, process outputs
Product realization	Provision of products and services
Quality manual, procedures, records	Documented information
Work environment	Environment for the operation of processes
Monitoring and measuring equipment	Monitoring and measuring resources
Purchased product	Externally provided products and services
Supplier	External provider
Management representative	Not used
Exclusions	Not used

Organization of ISO 9001:2015

- ISO 9001:2015 has ten clauses instead of eight

ISO 9001:2008	ISO 9001:2015
0. Introduction	0. Introduction
1. Scope	1. Scope
2. Normative reference	2. Normative reference
3. Terms and definitions	3. Terms and definitions
4. Quality management system	4. Context of the organization
5. Management responsibility	5. Leadership
	6. Planning
6. Resource management	7. Support
7. Product realisation	8. Operation
8. Measurement, analysis and improvement	9. Performance evaluation
	10. Improvement

Organization of Clauses

- The first three clauses in ISO 9001:2015 are largely the same as those in ISO 9001:2008.

- The last seven clauses are now arranged according to the PDCA cycle (Plan, Do, Check, Act). The following figure shows this.
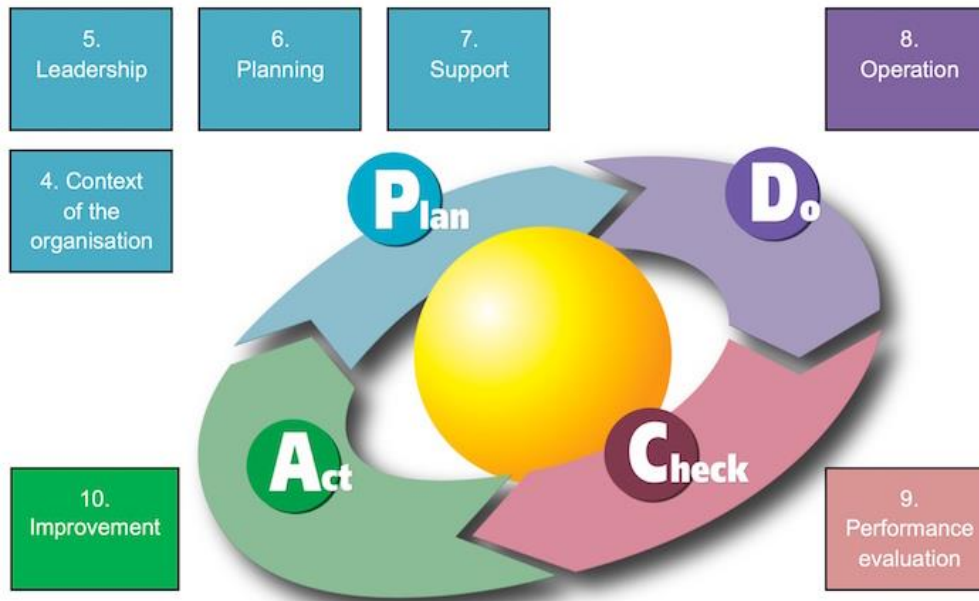
Clause 4 - Context of the Organization

4.1 Understanding the organization and its context

4.2 Understanding the needs & expectations of interested parties

4.3 Determining the scope of the quality management system

4.4 Quality management system and its processes

ISO 9001:2015 requires an organization to construct its quality management system from the specific context within which it is active

* **Internal and External Issues**

* **Engagement of Interested Parties: Employees, Contractors, Customers, Suppliers, Regulators, Neighbours, Society**

Clause 5 - Leadership

5.1 Leadership and commitment

5.2 Policy

5.3 Organizational roles, responsibilities and authorities

- **Clause 5 contains much familiar content, but with greater emphasis on leadership and commitment and the expectation that top management will be more actively engaged with the quality management system**
- **The specific role of a Management Representative has been removed**

Clause - 6 Planning

6.1 Actions to address risks and opportunities

6.2 Quality objectives and planning to achieve them

6.3 Planning of changes

- **Clause 6 is an excellent addition to ISO 9001:2015, introducing the concept of risks (and opportunities)**
- **The University is now required to use risk analysis in order to identify challenges in the management of business processes**
- **The addition of risk-based thinking has made the Preventive Actions of ISO 9001:2008 redundant**

Clause 7 - Support

7.1 Resources

7.2 Competence

7.3 Awareness

7.4 Communication

7.5 Documented information

Clause 7 gathers together in one place all the areas relating to the "people, place and procedural" aspects of the QMS

ISO 9001:2015 no longer requires mandatory documented procedures or a quality manual. This is now referred to as 'documented information'

Clause 8 - Operation

8.1 Operational planning and control

8.2 Requirements for products and services

8.3 Design and development of products and services

8.4 Control of externally provided processes, products and services

8.5 Production and service provision

8.6 Release of products and services

8.7 Control of nonconforming outputs

Clause 9 - Performance evaluation

9.1 Monitoring, measurement, analysis and evaluation

9.2 Internal audit

9.3 Management review

Clause 10 - Improvement

10.1 General

10.2 Nonconformity and corrective action

10.3 Continual improvement

Revised QMS

- The University Quality Management System (QMS) Manual has been revised to align it with the new standard

Stakeholder Input

- VCs Office (PC, Corporate Affairs, PRO, Advancement, and PA)
- DVC AA (Academic Division, Quality Assurance)
- DVC A&F (Finance, Internal Audit, ICT, R&T, UHS, Transport, IQAs)
- DVC RPE (all the units)
- DVC SA (SWA, Sports and Games, Registrar)
- Senate
- Alumni
- Invited expert

Key Components of QMS

- Scope
- Quality Policy Statement
- Quality Objectives
- QMS Manual
- Processes and Sub Processes
- Procedures

Scope

The University of Nairobi has determined the scope of the Quality Management Systems as all its educational and related services offered to its customers in all Colleges and Campuses, SWA and Central Administration. The Quality Management System applies to all processes and activities relating to the following educational services: Teaching and Learning; Research and Extension; Consultancy and Community Services, Student Welfare Services.

The related services include: library, certification of seeds, herbal medicine, healthcare services, laboratory and workshop services, veterinary services, ICT services, accommodation, catering, sports and games, intellectual property registration, printing, publishing. The products include: farm products, mineral water, detergents, and books.

New Quality Policy Statement

The University of Nairobi has an unwavering commitment to offer quality educational and related services to its customers as guided by the strategic plan with a view to meet applicable customer, regulatory and statutory requirements

To realize this, Top Management shall regularly monitor and review its performance for continual improvement and suitability by implementing an effective quality management system.

New Quality Objectives

1. To achieve a Graduate Capability Index and Work Readiness Index of 3.15

2. To offer services to customers to a 100% compliance to the Service Delivery Charter

3. To ensure utilization of resources in 100% compliance with the budgetary levels

4. To increase the Employee Satisfaction Index by 1% annually

5. To Increase the Customer Satisfaction Index by 1% annually

New Quality Objectives₂

6. **To increase of number of publications in refereed journals by at least 150 annually**

7. **To be among the top 5 in Africa and top 500 in the international ranking of Colleges and Universities by 2018**

8. **To establish at least 20 MoUs with its collaborators and 10 partnerships with industry every year**

9. **To grow the research grants and non-academic revenue by 10% annually**

10. **To promote environmental sustainability by annually engaging in at least two activities.**

Reorganization of Clauses<superscript>1</superscript>

- Reorganization of the QMS Manual in line with the ISO9001:2015 format and content

- Refreshing existing documentation to use the new terms and definitions contained within ISO9001:2015

- Clauses 4.1 and 4.2 are introduced to ensure the University contextualizes the QMS by explicitly identifying internal and external issues that may impact the QMS ability to deliver its intended results

Reorganization of Clauses₂

- Clause 5 of the ISO9001:2015 previously called "Management Responsibility" has now becomes "Leadership" to demonstrate that top management are required to actively engage in operation of the QMS

- Clause 10 Improvements recognizes that improvement is wider that continual improvement

Process Approach

- The QMS has adopted a process approach
- The six Top-level Processes Identified Are:
  1. Teaching and Learning (UON/TL)
  2. Resources Management (UON/RM)
  3. Student Welfare Services (UON/SWS)
  4. Research Management (UON/RPE/RM)
  5. Collaboration and Partnership (UON/CP)
  6. Competitiveness and Image of the University (UON/CI)
     - **Each Top-Level Process has Sub Processes**
     - **Each Sub Processes has associated Procedures**
       - ✓ See Appendix 11.2 of the QMS Manual

Process Description

1. Process Identifier
2. Process Owner to define, manage and improve the process so as to achieve its objectives
3. Process Approving Authority
4. Sources of Input which may include other processes
5. Inputs – People, Facilities, Information
6. Activities which may be sub processes
7. Scope
8. Objectives
9. Desired Outputs
10. Receivers of outputs including customers and other processes
11. Possible control sources
12. Process Metrics
13. Performance Targets
14. Monitoring Criteria
15. Applicable Responsibilities and Authorities
16. Documented Information
17. Applicable Risks
18. Applicable Opportunities
19. Process Map

Risk Based Thinking

- Risk management methods have been integrated into the QMS. This will enable the University to determine, consider and, where necessary, taken action to address any risks or opportunities that may impact (either positively or negatively) the QMS's ability to deliver its intended outcomes

- Risks and opportunities are addressed in various clause (see 0.2.2; 0.2.3; 0.2.5; 4.1.2; 5.1.1; 5.1.2; 6.1; 7.2.5; 9.1.3)

- Each Process has applicable Risks and Opportunities

- New Procedure for Risk Management (UON/OP/87)

Quality Control

- A Quality Control Sub-Process (UON/RM/QC) has been created to bring together issues of:
  - Risk Management
  - Internal Quality Audit
  - Auditing of accounting documents
  - Systems Auditing
  - Audit Investigation
  - Control of Non-conforming Products
  - Corrective Action
  - Preventive Action

Change Management

- A Change Management Sub-Process (UON/RM/CM) has been created to manage changes to processes and other aspects of the QMS a controlled manner