

# Clause 9: Performance Evaluation

Clause 9.2 Internal Audits

Clause 9.3 Management Review

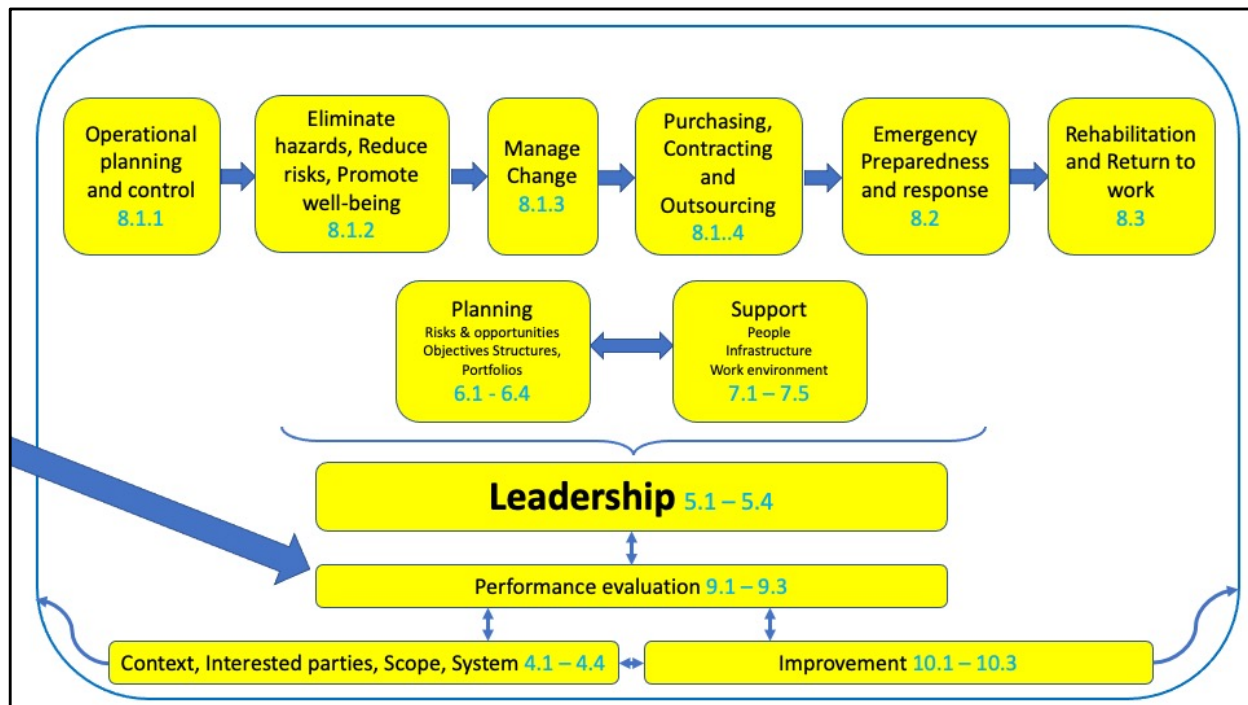


Simplify ISO 

## **9.2 Internal audit**

The organization should:

c) identify gaps in performance to identify opportunities to continually improve the management of psychosocial risks.



### 9.2.2 The organization should:

- a) plan, establish, implement, and maintain an audit program including the frequency, methods, responsibilities, planning requirements, and reporting, which should take into consideration the importance of the processes concerned and the results of previous audits;
- b) define the audit objectives, criteria, and scope for each audit;
- c) select auditors and conduct audits to ensure objectivity and the impartiality of the audit process;
- d) ensure that the results of the audits are reported to relevant management;
- e) take appropriate correction and corrective actions without undue delay;
- f) undertake follow-up activities, including the verification of the actions taken and reporting of the verification results;
- g) retain documented information as evidence of the implementation of the audit program and the audit results, as well as of the follow-up activities.

Audit on a  
schedule to  
see if your  
innovation  
projects are  
effective

9,2,1



## 9.2 Internal audit

**9.2.1** The organization should conduct internal audits at planned intervals to provide information on whether the innovation management system:

a) conforms to:

- 1) the organization's own requirements for its innovation management system;
- 2) other applicable requirements;

b) is effectively implemented and maintained.

Assess how  
successful your  
Management  
System is at  
creating  
innovations



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Have we  
followed up on  
project results  
effectively?



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Assess whether the programs in place are creating innovations effectively





## **9.3 Management review**

### **9.3.1 General**

Top management should review the organization's innovation management system, at planned intervals, to ensure its continuing suitability, adequacy, effectiveness, and efficiency.

The management review can take place over a period of time and can partially, or fully, cover all elements of the innovation management system. The depth and frequency of such reviews can vary with the circumstances of the organization.

## Management Review starts with inputs

9.3.2

- Realization and redistribution of value
- The extent to which innovation objectives have been achieved
- The performance of innovation portfolios, initiatives, and processes

### 9.3 Management review

#### 9.3.2 Management review inputs

The management review should include consideration of:

- a) the status of actions from previous management reviews;
- b) changes in external and internal issues that are relevant to the innovation management system;
- c) information on the performance of the innovation management system, including trends in:
  - 1) realization and redistribution of value;
  - 2) the extent to which innovation objectives have been achieved;
  - 3) the performance of innovation portfolios, initiatives, and processes;



...and more  
inputs!

9.3.2

- Knowledge sharing and learning from both successes and failures
- Deviations, nonconformities, and corrective actions
- Monitoring, measurement, analysis, and evaluation results
- Audit results

### 9.3 Management review

- 4) knowledge sharing and learning from both successes and failures;
- 5) deviations, nonconformities, and corrective actions;
- 6) monitoring, measurement, analysis, and evaluation results;
- 7) audit results;
- d) the consistency of the innovation vision, strategy, and policy with the strategic direction of the organization;
- e) the adequacy of support, including resources and competencies;
- f) the adequacy of innovation performance indicators;
- g) the effectiveness of actions taken to address opportunities and risks;
- h) opportunities for continual improvement.

...and creates  
outputs...

9.3.3

- Opportunities for improvement
- Any need for changes to the innovation management system, considering the organization's readiness for change

## 9.3 Management review

### 9.3.3 Management review outputs

The outputs of the management review should include decisions, actions, and follow up related to:

- a) opportunities for improvement;
- b) any need for changes to the innovation management system, considering the organization's readiness for change.

The organization should retain documented information as evidence of the results of management reviews.

Audits and reviews are two excellent ways to go beyond 'resilience'

9.3.3

Over do your corrective actions to go beyond 'resilience' toward Nassim Taleb's condition of 'Antifragile'

### 9.3 Management review

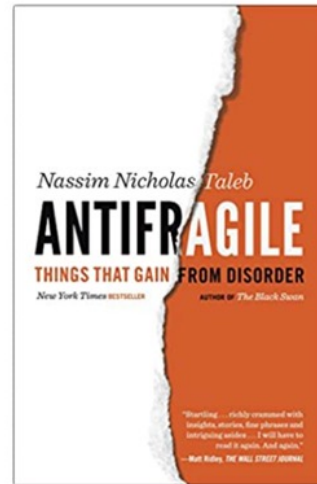
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This is one of  
his 5-part  
series that  
includes 'Black  
Swan' and  
Skin in the  
Game



## Three takeaways from 'Internal Audits and Management Review'

1. Better audits that look for results will lead to more initiatives
2. Audit results will help you become more innovative
3. Management Review can lead to a better functioning organization

Time for the Quiz!

You'll need your copy of  
ISO 56002 to answer the  
quiz questions

