

## 4.1

### ● PLANNING YOUR APPROACH: Orientation

<b>Purpose:</b>	Gain the cooperation and input of staff
<b>Output:</b>	Initial status assessment Agreement on the scope to be registered
<b>To Be Completed By:</b>	Management and staff
<b>Total Time Needed:</b>	30 minutes to prepare handout 90 minutes for orientation meeting 30 minutes for follow-up tasks

#### 13. **PREPARATION FOR STAFF MEETING**

You can streamline the orientation meeting process by identifying ahead of time some of your present strengths and weaknesses in relation to the standard. Work Sheet #6 contains a sample questionnaire that you could ask all staff to complete, and then tabulate and present the results at the orientation meeting (see Work Sheet #7 for an example).

#### **Work Sheet #6 Sample Staff Status Questionnaire**

<p>In order to help us plan the work that we need to do in preparation for our registration to ISO 9001/2/3, please answer the following questions about the effectiveness of our present procedures and return it to _____ by _____.</p> <p>We will plan to discuss the results at our orientation staff meeting on _____.</p>			
<i>Fine</i>	<i>O.K., but needs work</i>	<i>Not in place at all</i>	
_____	_____	_____	<b>A. Formal Quality Assurance System</b>
_____	_____	_____	Clear written quality policy/objective
_____	_____	_____	Specific written service standards
_____	_____	_____	Regular monitoring of service standards
_____	_____	_____	Regular monitoring of customer satisfaction measures
_____	_____	_____	Regular feedback on non-compliances
_____	_____	_____	Preventive/corrective action procedures
[continued on next page]			

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(Work Sheet #6 continued)

<i>Fine</i>	<i>O.K., but Not in place needs work</i>	<i>at all</i>	
_____	_____	_____	<b>B. Administrative Control Procedures</b>
_____	_____	_____	Written personnel policies
_____	_____	_____	Written operating procedures
_____	_____	_____	Dating of forms/procedures
_____	_____	_____	Way to dispose of outdated materials
_____	_____	_____	Procedure to double check all work
_____	_____	_____	Procedure to track that work is on time
_____	_____	_____	Procedure to monitor task follow-through
_____	_____	_____	Forms for tracking work progress
_____	_____	_____	System to "approve" vendors
_____	_____	_____	System to avoid using "problem" vendors
_____	_____	_____	Problem logs for equipment
_____	_____	_____	Problem logs for vendors
_____	_____	_____	Problem logs for subcontractors
_____	_____	_____	Directions for resolving problems
_____	_____	_____	Standards for how quickly problems should be resolved
_____	_____	_____	"Root cause analysis" to prevent future problems
_____	_____	_____	File system to link documents to clients
_____	_____	_____	Procedures to back up computer files
_____	_____	_____	Off-site backup storage of client work
_____	_____	_____	Crisis management protocols for common emergencies in client work
_____	_____	_____	<b>C. Staff Responsibilities</b>
_____	_____	_____	Written job descriptions for all staff
_____	_____	_____	Procedures to back-up absent staff
_____	_____	_____	Regular supervision at each staff level
_____	_____	_____	Clear guidelines for staff initiative

[continued on next page]

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(Work Sheet #6 continued)

<i>Fine</i>	<i>O.K., but Not in place needs work</i>	<i>at all</i>	
_____	_____	_____	<b>D. Professional Service Standards</b>
_____	_____	_____	Formal comparison of proposed work with internal capabilities
_____	_____	_____	Forms for checking proposals against clients' specifications
_____	_____	_____	Procedure for authorizing start of client work
_____	_____	_____	Procedure for developing a work plan, time line, and resource allocation
_____	_____	_____	Written guidelines for different types of client work & proposal development
_____	_____	_____	Procedures for subcontractor selection
_____	_____	_____	Written agreements with subcontractors
_____	_____	_____	Procedures for contract amendment
_____	_____	_____	Specific standards for client work
_____	_____	_____	Specific guidelines for "retainer" work
_____	_____	_____	Regular peer review of client work
_____	_____	_____	Forms for checking final work against clients' specifications and expectations
_____	_____	_____	Scheduled client review of draft work
_____	_____	_____	Soliciting feedback from clients
_____	_____	_____	Regular "purging" of client files
_____	_____	_____	<b>E. Staff Training</b>
_____	_____	_____	Annual performance appraisal identifies training needs
_____	_____	_____	Annual planning for staff development
_____	_____	_____	Allocation of specific time/resources to staff training
_____	_____	_____	Written records of staff training
_____	_____	_____	Evaluation by staff of training
_____	_____	_____	Orientation to new procedures
_____	_____	_____	Training on all software and upgrades
_____	_____	_____	Training in client service
_____	_____	_____	Training in quality assurance

**Work Sheet #7**  
**Sample Handout for Staff Orientation Meeting**

**Our ISO 9000 Registration**

Registrar: \_\_\_\_\_

Proposed Registration Dates:

Document review \_\_\_\_\_

On-site audit \_\_\_\_\_

Possible Training:

ISO 9000 Orientation

Documentation & document control

Internal audits

Corrective/preventive action

**Results of Our Questionnaire**

A. Formal Quality Assurance System

\_\_\_\_\_ % fine

\_\_\_\_\_ % O.K., but needs work

\_\_\_\_\_ % not in place at all

B. Administrative Control Procedures

\_\_\_\_\_ % fine

\_\_\_\_\_ % O.K., but needs work

\_\_\_\_\_ % not in place at all

C. Staff Responsibilities

\_\_\_\_\_ % fine

\_\_\_\_\_ % O.K., but needs work

\_\_\_\_\_ % not in place at all

D. Professional Service Standards

\_\_\_\_\_ % fine

\_\_\_\_\_ % O.K., but needs work

\_\_\_\_\_ % not in place at all

E. Staff Training

\_\_\_\_\_ % fine

\_\_\_\_\_ % O.K., but needs work

\_\_\_\_\_ % not in place at all

Note: We will need all items to be at least "O.K." in order to pass an audit.

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You will find that the staff meeting is most constructive if you have received answers from all staff to the questionnaire. Depending on your firm, you may wish to analyze the results by staff groupings, especially if that will highlight differences in perception of how much of a quality system is already in place. In preparing for the staff meeting, keep in mind that the items listed in Work Sheet #6 are the minimum requirements for an adequate quality system design.

### 14. **ORIENTATION STAFF MEETING**

The process of the orientation meeting would go something like this:

- |         |   |
|---------|---|
| 15 min. | Introduction to your registration agreement<br>Introduction to what will be required under ISO 9001/2/3   |
| 15 min. | Review of the "core processes" flow chart<br><u>Action:</u> Agreement on scope to be registered [14-1]  |
| 40 min. | Report on the staff questionnaire, using handout<br>Discuss the areas of relative weakness; brainstorm options<br><u>Action:</u> Prioritize those strategies [14-2] |
| 20 min. | Discuss the next steps in developing a work plan and identify lead staff members<br><u>Action:</u> Assign lead staff members [14-3]                                 |

It is critical that all staff understand what will be needed by way of a quality assurance system for a successful registration and feel part of the process of designing/enhancing your quality assurance system.

#### **14-1: Agreeing on the scope to be registered**

You want to make sure that your flow chart captures the critical steps in client work, with the necessary review and documentation points built in.

Follow-up: Once you have the agreement of all staff, make any needed changes and provide each staff member with a copy to guide the rest of their work.

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### 14-2: Prioritizing areas of weakness and agreeing on time needed

List any areas from the staff questionnaire that you all agree are "not in place at all". These areas require your immediate attention. Get your staff to help rank order these areas in terms of the sequence in which they need to be addressed. Add any of the "O.K., but needs work" items that need improvement in order to support critical areas of quality assurance, and determine the amount of staff time that will be needed for quality system design work using Work Sheet #8. Here are some guidelines to help you in assessing the time required if you have little already in place:

- A. Formal quality assurance system  
Estimate a minimum of 11 days of your senior manager's time, plus 4 days of professional staff time.
- B. Administrative control procedures  
Depending on the complexity of your operations, estimate a minimum of 25 days of your best support staff's time, plus 2 days of senior manager time for review/revision.
- C. Staff responsibilities  
Depending on the number of staff positions, estimate a minimum of 3 days of support staff time plus 1 day of senior manager time for review/revision.
- D. Professional service standards  
Estimate a minimum of 2 days of professional staff time plus 1 day of senior manager time.
- E. Staff training  
Estimate 2 days of support staff time plus 1 day of professional staff time and 1 day of senior manager time.

**Work Sheet #8**  
**Staff Time Needed for Quality System Design**

Based on the summary in Work Sheet #7, estimate the amount of staff time needed to get your quality system to at least an "O.K." status:

	Number of Days Needed By:		
	Senior Manager	Professional Staff	Support Staff
A. Formal quality assurance system	_____	_____	_____
B. Administrative control procedures	_____	_____	_____
C. Staff responsibilities	_____	_____	_____
D. Professional service standards	_____	_____	_____
E. Staff training	_____	_____	_____
<b>TOTAL DAYS</b>	_____	_____	_____

In summary, the above scenario would suggest a minimum of 16 days of senior management time, 7 days of professional staff time, and 30 days of support staff time for quality system design work.

Follow-up: Compile a summary handout for distribution to all staff.

**14-3: Assigning lead staff**

Along with quality system design (see Section 5), you will need to be developing appropriate documentation (see Section 6) for which you will need a minimum of 10 support staff days and 5 senior manager days. The total initial time needed then is:

Senior manager    21 days  
 Professional staff    7 days  
 Support staff    40 days

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You will need to determine together which lead staff person can be freed up for 40 days of time. It is critical that this be the right person, who should have the following characteristics:

- Respected by professional and support staff
- Good grasp of work flow for professional & support staff
- Able to think in "flow charts" or "PERT charts"
- Skilled at developing procedures & designing forms

Once such a lead person has been identified, you will need to discuss who can take on that person's regular responsibilities and which ones could be covered best by temporary help. This lead staff person would then liaise with and support other staff in their ISO 9000 work.

In addition, you need to identify who the Management Representative will be, why, and describe that role as:

- Responsibility for general quality system implementation
- Responsibility for document control
- Responsibility for reporting to management

If the Management Representative is not the CEO or managing partner, the Management Representative must have executive authority to act to ensure quality system implementation. The Management Representative may or may not be the "lead staff" person already discussed.

You will also need to determine which member of the professional staff can dedicate 7 "unbillable" days to taking the lead in designing and developing quality-related procedures and forms for client work.

Once the lead roles have been determined, you will have the input you need to develop a work plan and budget (see Section 4.2). Make sure that staff members know when to expect a detailed work plan before the orientation meeting ends.

Follow-up: Remind staff in writing of the lead persons.  
Schedule management time for work plan development.  
Schedule next meeting to review the work plan output.



## 4.2

### ● PLANNING YOUR APPROACH: Work Plan

**Purpose:** Develop a step-by-step work plan, with resourcing

**Output:** Strategy for staff time allocation  
Decision about using external assistance

**To Be Completed By:** Management + lead staff person

**Time Needed:** 60 minutes (one session)

#### 15. **WORK PLAN TIME LINE**

Your work plan should help make sure that you reach your optimal date for registration of \_\_\_\_\_ (from Item #5). To verify whether or not this date is realistic, chart your time line below:

#### **Work Sheet #9 Ideal Time Line**

1. Circle the present month on the time line below.
2. Circle the month in which you wish to become registered.
3. Chart your firm's usual level of work, showing any peaks in client demand, with a solid line above the months.
4. Chart the usual pattern of staff holidays, showing any peaks in leave time taken, with a dotted line above the months.
5. Shade in the boxes under the months when you would have the most excess capacity (due to low client demand + few staff on holiday).

JAN	FEB	MAR	APR	MAY	JUN	JULY	AUG	SEP	OCT	NOV	DEC

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After reviewing the results of your charting in Work Sheet #9, develop a work plan time line using the guidelines in Table 2 and the template in Work Sheet #10. In using the data in Table 2, you should select the "minimum" column if you already have extensive quality-assurance documentation in place and have met the requirements of another external standard, the "average" column if your documentation is pretty complete, and "maximum" if you have little or no documentation in place.

**Table 2**  
**Guidelines for Time Frame**

	<b>Preparation Time Needed (Weeks)</b>		
	Minimum	Average	Maximum
Develop quality policies	1	2	4
Develop supporting procedures, work instructions, forms & staff training	4	8	12-24
Pilot new procedures before Desk Audit submission	2	3	4
Practice revised procedures & internal audits	8	12	16
<b>Total Weeks Needed</b>	<b>15</b>	<b>25</b>	<b>36-48</b>

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**Work Sheet #10  
Work Plan Time Line**

Tasks to Be Completed	Days Needed	Person Responsible	Due Date
Gather all policies, procedures, forms related to quality assurance; organize them by standard element	2	LS	_____
Finalize Quality Policy	1	SM	_____
Complete quality system design and receive training	12	LS	_____
	7	PS	_____
	5	SM	_____
Complete Quality Manual	3	SM	_____
Complete supporting procedures/forms	21	LS	_____
	5	SM	_____
Process Audit	1	LS	_____
	2	SM	_____
Prepare documentation for Registrar	2	LS	_____
Orient/train staff to new procedures	2	LS	_____
Internal Audits	4	LS	_____
	1	PS	_____
Prepare for On-Site Audit	2	All	_____
On-Site Audit	2	All	_____

Key:    LS    =    lead staff  
           PS    =    professional staff  
           SM    =    senior manager

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**16. ASSESSING PROFESSIONALS' AVAILABLE TIME**

There are certain aspects of quality system design that only senior management or professional staff can do. Since their time is particularly scarce, use the questions below to help you determine what additional help you may need. An estimated number of days is given in parentheses for you to modify as appropriate:

		<b>Days Needed</b>	<b>Days Available</b>
Finalize a Quality Policy	( 0.5)	_____	_____
Design the quality system	(10.0)	_____	_____
Process Audit	( 0.5)	_____	_____
Write the Quality Manual	( 2.0)	_____	_____
Design/review procedures	( 0.5)	_____	_____
Internal Audit	( 1.0)	_____	_____
On-Site Audit	( 1.0)	_____	_____

Until you find that your professional staff have more than the above time available, you may wish to involve a skilled management consultant in assisting with the quality system design from a client service delivery perspective.

**17. ASSESSING YOUR OTHER RESOURCES**

Based on the outcome of your orientation staff meeting, please answer the questions in Work Sheet #11. The additional decisions you will need to make are as discussed below and shown graphically in Work Sheet #14.

**Items A**

If your answers are lower than "4"s, you will need to devote time to building that enthusiasm and "buy-in" at the beginning of the process. Neither the registration process preparation nor the quality assurance system itself will work well together if your staff is not highly motivated. Consider whether or not a management consultant can be of assistance in facilitating a process to create staff "buy in."

**Work Sheet #11  
Resource Assessment**

<i>Very poor</i>		<i>O.K.</i>		<i>Very good</i>	
1	2	3	4	5	<b>A. Motivation</b>
1	2	3	4	5	Enthusiasm of support staff for ISO 9000
1	2	3	4	5	Enthusiasm of professional staff for ISO 9000
1	2	3	4	5	Willingness of staff to work together on time sensitive projects
1	2	3	4	5	Willingness of staff to "fill in" for those working on ISO 9000
1	2	3	4	5	<b>B. Skills Needed by Staff</b>
1	2	3	4	5	Familiarity of staff with ISO 9000 documentation requirements
1	2	3	4	5	Experience of staff with doing internal audits
1	2	3	4	5	Ability of staff to assess training needs
1	2	3	4	5	Ability of staff to provide supervision
1	2	3	4	5	<b>C. Tasks That Can Be Managed Externally</b>
1	2	3	4	5	Ability of staff to identify key tasks
1	2	3	4	5	Ability of staff to identify the most streamlined approach
1	2	3	4	5	Ability of staff to write clear procedures
1	2	3	4	5	Ability of staff to identify the fewest procedures needed
1	2	3	4	5	Ability of staff to design useful forms
1	2	3	4	5	Ability of staff to provide in-house training as needed
1	2	3	4	5	<b>D. Strategic Decisions</b>
1	2	3	4	5	Skills of temporary staff help
1	2	3	4	5	Availability of working capital to finance the ISO 9000 work

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**Items B** If your answers are lower than "4"s, seriously consider paying for external training. You can either send staff to external courses or pay for your registrar or other trainers to come on-site and deliver customized training. For the first two items specifically related to ISO 9000 (documentation and internal audits), you will need to be sure that staff receive training that is relevant to your service. Most of the pre-packaged courses are designed either for goods producers or for consumer service firms. Typically, for the cost of sending one staff member on a two-day external training course, your registrar will supply a half-day training session on site for as many of your staff as you would like.

**Items C** If your answers are lower than "3"s, seriously consider retaining a qualified management consultant to facilitate these aspects of your registration preparation process (see Appendix G).

If your answers are "4"s or "5"s, seriously consider freeing your best qualified staff person to work full-time on the quality assurance system for one month and hiring replacement temporary assistance.

**Items D** No matter how you structure your approach, you will need qualified temporary help to fill-in for staff on training or engaged in procedures development. If you do not presently have good temporary help, you will need to make it a priority to locate and orient at least one such person.

With regard to finances, if you are tight on working capital, talk with your banker about how you can finance a total of \$10,000 for the registration process. You should also check with your provincial government or local economic development agency to see if there is assistance available, either directly to your firm or through an option to go through the registration process as part of a group of small businesses. Work Sheet #12 provides you with a planning guide for developing an ISO 9000 implementation budget.

**Work Sheet #12  
ISO 9000 Implementation Budget Worksheet**

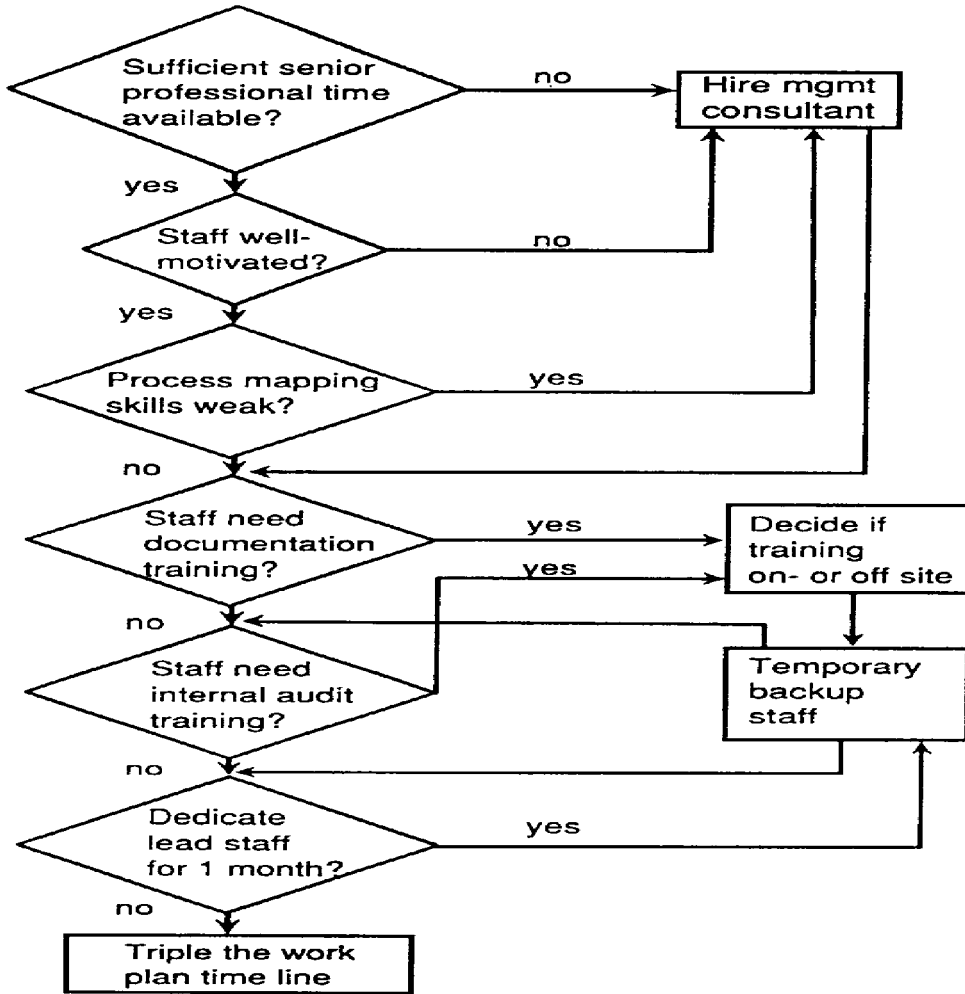
<b>Registrar Costs:</b>	
Registration fee, basic	_____
Additional co-registrations:	
_____	_____
_____	_____
_____	_____
Registrar travel:	
___ Trips	
Travel costs per trip = _____	
___ Auditors x travel costs per trip	_____
<b>ISO 9000 Materials:</b>	
ISO 9000 Compendium	\$325*
Reference books	_____
Subscriptions	
Quality Systems Update	_____
Other: _____	_____
<b>ISO 9000 Training:</b>	
On-site instructor's fees	_____
Off-site course fees = _____	
___ staff trained x course fees	_____
<b>Fees for External Assistance:</b>	
Implementation consultant	_____
Temporary help (___ days x ___ rate)	_____
<b>Miscellaneous:</b>	
Additional supplies	_____
<b>TOTAL CASH NEEDED</b>	_____

\* 1995 cost from Standards Council of Canada

● PLANNING YOUR APPROACH: Work Plan

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Table 3  
Flow Chart of Planning Decisions





## 4.3

### • PLANNING YOUR APPROACH: Communications

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**Purpose:** Establish an internal communications strategy

**Output:** Communications coordinator named  
Communications medium selected

**To Be Completed By:** Management

**Time Needed:** 15 minutes

#### 18. **ASSIGNING COMMUNICATIONS RESPONSIBILITY**

Because development of a quality system and preparation for the audit are in addition to already busy staff workloads, it is easy to overlook internal communications unless it is clearly someone's responsibility. Check who is the best person to take on this responsibility in your firm:

- \_\_\_\_\_ Management Representative
- \_\_\_\_\_ lead staff person
- \_\_\_\_\_ person who usually handles your communications  
(\_\_\_\_\_)
- \_\_\_\_\_ other: \_\_\_\_\_

#### 19. **YOUR BEST APPROACH TO COMMUNICATIONS**

Internal communications is critical for successful implementation. What is the method that works best for your staff:

- \_\_\_\_\_ memos
- \_\_\_\_\_ e-mail
- \_\_\_\_\_ internal newsletter item
- \_\_\_\_\_ oral staff briefings
- \_\_\_\_\_ individual briefings
- \_\_\_\_\_ other: \_\_\_\_\_

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In order to get response from staff on a topic, what method usually works best for your staff:

- \_\_\_\_\_ return memos
- \_\_\_\_\_ e-mail dialogues
- \_\_\_\_\_ internal newsletter response
- \_\_\_\_\_ discussions at staff meetings
- \_\_\_\_\_ one-on-one discussions
- \_\_\_\_\_ other: \_\_\_\_\_

It will also help if staff can visually identify all communications related to your ISO-9001/2/3 registration ... through some kind of identifying icon.

**20. WHAT TO COMMUNICATE ABOUT**

A carefully-designed and frequent communications strategy can both inform and educate staff, as well as providing opportunities for staff input. Here are some of the topics that you may wish to include:

- \_\_\_\_\_ presentation/discussion of the Quality Policy
- \_\_\_\_\_ competitive trends in your industry (who else is getting registered)
- \_\_\_\_\_ simple explanation of one of the ISO 9001/2/3 elements
- \_\_\_\_\_ report progress against the work plan time line
- \_\_\_\_\_ overview of new procedures
- \_\_\_\_\_ other: \_\_\_\_\_