Purpose:	Develop an appropriate quality policy
Output:	Internal and external versions of the firm's quality policy
To Be Completed By:	Management
Total Time Needed:	30 minutes

21. ***ASSESSING YOUR CURRENT QUALITY POLICY***

The Quality Policy shapes a firm's approach to client services and quality assurance. For ISO 9000, your quality policy must meet the following minimum criteria:

- Be linked to your overall organizational goals
- Be relevant to the needs and expectations of your clients
- State your firm's quality objectives

Any successful policy needs to have clear outcomes, consequences if those outcomes aren't met, and be understood by all staff. Service quality depends both on perceived client satisfaction and a well-motivated staff.

Does your firm have a quality policy?

____ YES (please complete the questions in Work Sheet #13)
____ NO

If **NO**, try developing one for your firm by filling in the following blanks:

_____**[A]**_____ is committed to providing

_____**[B]**_____ service for our clients

so that we can _____**[C]**_____ and

our clients will _____**[D]**_____.

A = the name of your firm
B = the quality characteristics of the service you provide
C = your firm's objectives for quality
D = client outcomes (needs/expectations to be met)

Work Sheet #13
Evaluating Your Quality Policy

Is your quality policy clearly linked to your overall organizational goals?

____ YES
____ NO, we need to re-examine our policy and goals
____ DON'T KNOW, we don't have written organizational goals

What are the quality-related needs and expectations of your primary clients?

_____
_____
_____
_____

Is your quality policy relevant to those needs and expectations?

____ YES
____ SOMEWHAT, could use some refining
____ NO

Does your quality policy include:

____ your firm's objectives for quality
____ the aspects of service quality that are to be emphasized
____ the quality outcomes to be achieved

Is your quality policy focused on maximizing:

____ client satisfaction with the services received
____ staff morale in providing client services
____ both of the above

You may wish to revise your Quality Policy based on your answers above.

22. *COMMUNICATING YOUR QUALITY POLICY*

Both your staff and your clients need to know your Quality Policy in order for it to serve its purpose. Indicate below what steps you need to take in order to communicate the Quality Policy effectively:

____ post copies of the Quality Policy around the office
____ orient staff to the Quality Policy at a staff meeting
____ make sure that client proposals contain the Quality Policy
____ distribute your Quality Policy to your clients
____ other: _____

Purpose: Identify where your quality system needs strengthening
Output: List of policies, procedures, forms, and work instructions to be developed

To Be Completed By: Lead staff person
Total Time Needed: 60 minutes

23. *COMPARING YOUR QUALITY SYSTEM TO THE STANDARD*

The "Staff Status Questionnaire" in Work Sheet #6 listed the areas where professional service firms are often not in compliance with the ISO 9000 standards. In order to satisfy yourself and your Registrar that you meet the obligations of ISO 9001/2/3, you will need to compare your policies and procedures with each element in the standard. Work Sheet #14 gives you a structure for that comparison by placing the elements in logical groupings and listing minimum requirements:

- Who does what?
- Service delivery process
- Inputs needed
- Documentation approach
- Addressing problems
- Assessing quality system status

You need to read the standard yourself in order to ensure that nothing related to your service has been overlooked.

Work Sheet #14
Gap Analysis

In Place?	Elements: *"Who Does What"*	Needed
	4.1.2 **Organization**	
YES NO	Define staff responsibilities and authority regarding quality	WI
YES NO	Provide resources for implementation	P
YES NO	Designate the Management Representative	P
	4.1.3 **Management Review**	
YES NO	Specify when and by whom the quality system will be reviewed against the Quality Policy objectives (e.g., Board of Directors)	P
YES NO	Maintain records of the regular reviews	QR

(Work Sheet #14 continued)

In Place?		Elements: *"Service Delivery Process"*	Needed
		4.3 **Contract Review**	
YES	NO	Document a comparison of firm's capabilities with client's requirements	P/F
YES	NO	Document agreement on Statement of Work	P
YES	NO	Document authorization to proceed with client work	P
YES	NO	Document contract amendments	P
		4.4 **Design Control** [only if ISO 9001]	
YES	NO	Directions for customizing client work	P/WI
YES	NO	Review of work in progress	P
YES	NO	Coordination among persons working on design	P
		4.8 **Product Identification and Traceability**	
YES	NO	Client/contract identifiers (numbers, codes)	P
		4.9 **Process Control**	
YES	NO	Documented work plan/project logistics	P/F
YES	NO	Link professional work procedures to professional standards and codes of conduct	P
YES	NO	Documentation of supervision/peer review	P
YES	NO	Directions for support staff	P/WI
YES	NO	Documented equipment maintenance	P/WI/QR
		4.15 **Handling, Storage, Packaging, & Delivery**	
YES	NO	On-site and off-site storage	P
YES	NO	How work is delivered to client	P
		4.19 **Servicing**	
YES	NO	Instructions for "retainer" work	P/WI

(Work Sheet #14 continued)

In Place?		Elements: *"Inputs Needed"*	Needed
		4.6 **Purchasing**	
YES	NO	Approved list of vendors, plus criteria for approval	P/L
YES	NO	Non-Approved list of vendors, plus criteria	P/L
YES	NO	Written purchase order, with quality standards for acceptance	P/F
YES	NO	Approved list of professional affiliates, plus criteria	P/L
YES	NO	Non-Approved list of professional affiliates, plus criteria	P/L
YES	NO	Standard written contract with professional affiliates	P/F
YES	NO	Responsibility specified for supervision of affiliates	P
		4.7 **Control of Customer-Supplied Product**	
YES	NO	Instructions for labelling of materials received	P
YES	NO	Instructions for classification of documents ("confidential," "restricted," "secret")	P
		4.18 **Training**	
YES	NO	Specify education/work experience qualifications for each position	P/WI
YES	NO	Identify training needs as part of performance appraisal	P/F
YES	NO	Keep training records	P/QR

(Work Sheet #14 continued)

In Place?	Elements: *"Documentation Approach"*	Needed
	4.2 Quality System	
YES NO	Quality Manual, with policies covering each element in the Standard	QM
YES NO	Specification of documentation structure	QM
YES NO	Procedures supporting each policy	P
YES NO	Provisions for quality planning, plus a quality plan	P
	4.5 Document and Data Control	
YES NO	Master list of controlled documents	P/L
YES NO	Method for designating the latest version of a document	P
YES NO	Restricted access (e.g., "read only") for data files of controlled documents	P
YES NO	Placement of current documents so that they are accessible	P
YES NO	Disposal of outdated document/data file versions	P
YES NO	Specification of who can modify controlled documents, and how	P
	4.16 Control of Quality Records	
	Method for creating and maintaining records of compliance with quality system requirements for:	
YES NO	- Client files	P
YES NO	- Training records	P/F
YES NO	- Equipment maintenance	P/F
YES NO	- Vendor performance	P
YES NO	- Subcontractor/affiliate performance	P
YES NO	- Internal audits	P/F
YES NO	- Resolution of problem logs	P

(Work Sheet #14 continued)

In Place?		Elements: *"Addressing Problems"*	Needed
		4.13 **Control of Nonconforming Product**	
YES	NO	Instructions about timing and approach of checking client work	P/F
YES	NO	Handling revisions and rework	P
YES	NO	Disposal or labelling of former drafts	P
		4.14 **Corrective and Preventive Action**	
		Problem logs for:	
YES	NO	- Client relations	P
YES	NO	- Client work	P
YES	NO	- Equipment	P
YES	NO	- Vendors	P
YES	NO	- Subcontractors/affiliates	P
YES	NO	- Training	P
YES	NO	Responsibility for resolution issues in problem logs	P
YES	NO	Authority for immediate corrective action	P
YES	NO	Instructions about root cause analysis and long-term solutions	P
YES	NO	Crisis management protocols to prevent problems	P

(Work Sheet #14 continued)

In Place?		Elements: *"Assessing Quality System Status"*	Needed
		4.10 **Inspection and Testing**	
YES	NO	Verification of incoming product specifications (e.g., equipment, books, client materials)	P
YES	NO	Who checks which work (in-process and final)	P
YES	NO	Inspection records	QR
		4.11 **Control of Inspection & Test Equipment** [probably not applicable]	
		4.12 **Inspection and Test Status**	
YES	NO	Identification of draft and final documents	P
		4.17 **Internal Quality Audits**	
YES	NO	Schedule for internal quality audits	P/WI
YES	NO	Checklists for internal quality audits	P/L
YES	NO	Records of internal quality audits	QR
YES	NO	Follow-up to correct any deficiencies	P
YES	NO	Management review of audit findings	P
		4.20 **Statistical Techniques**	
YES	NO	Measures of process capabilities, or performance measures	P/WI
YES	NO	Measures against quality objectives	P/WI
YES	NO	Report of results for management review	P

Key:
F = Form
L = List
P = Procedure
QM = Quality Manual
QR = Quality record
WI = Work instruction

Purpose:	Identify your staff's training needs
Output:	Training plan for audit preparation
To Be Completed By:	Lead staff person
Total Time Needed:	45 minutes

24. ***SKILLS SELF-ASSESSMENT***

As the lead staff person, responsible for procedures development, there are certain skills that would be very useful. Please check any areas where you would like training or coaching:

_____ ISO 9000 documentation requirements
_____ flow charting work processes
_____ simplification of work procedures
_____ crisis management/corrective action
_____ developing simple forms
_____ writing work instructions
_____ other: _____

Any areas that you have checked should be discussed with your supervisor as soon as possible so that you get the help you need.

25. ***TRAINING FOR INTERNAL AUDIT***

Auditors need to be persons not directly responsible for the task being audited. This means that, at a minimum, you will have two staff members capable of doing internal audits. Whoever does the audits should be mature enough to make an objective assessment and familiar enough with the work process to audit it successfully. Please identify below the persons most likely to be internal auditors:

_____ _____
_____ _____
_____ _____
_____ _____
_____ _____

You will need to determine which of the strategies below would work best to train your internal auditors:

____ send all potential internal auditors to an external course
____ send two persons on an external course, and use them as trainers
____ hire an instructor to come on-site and train your internal auditors

26. *EFFECTIVE PEER REVIEW*

The client work performed by the professional staff will need to be checked primarily through peer review. Some professionals are skilled at peer review; others are not. You will need to schedule a meeting with the senior professional to discuss whether or not training in peer review techniques would be helpful.

27. *TRAINING STAFF IN NEW PROCEDURES*

You will need to develop a strategy and time line for introducing all staff to the new procedures as they become ready for implementation.

Purpose:	Determine how management reviews will take place
Output:	Schedule of the next two management reviews
To Be Completed By:	Management
Total Time Needed:	15 minutes

28. ***LEVEL OF MANAGEMENT REVIEW***

You will need to decide who is involved in the management reviews of your quality system ... depending upon the organizational structure you have. The group doing the review should have responsibility for the overall quality objectives of your firm and have the authority and expertise to take action if action is needed. Examples of level of review include:

Board of Directors
Management Committee
Executive Committee
Senior partners

_____ *will be responsible for our Management Review*.

29. ***MATERIAL TO BE REVIEWED***

At a minimum, there are four aspects of your quality system that need review at the management level:

- Possible modifications to the Quality Policy
- Possible modifications to policies in the Quality Manual
- Results of quality system audits: internal and external
- Results of performance measures (statistical techniques) in relation to your quality objectives

30. ***RECORDING THE RESULTS OF MANAGEMENT REVIEWS***

Since you will need to have records of your management reviews that can be audited, you will probably want to create a form to capture those activities, a copy of which can be filed separately from your regular meeting minutes. Table 4 gives you an example of what that form could look like.

31. ***FREQUENCY OF REVIEWS***

The frequency of review will depend in part on how "mature" your quality system is. If it has just been developed in order to become ISO 9000 registered, then you will probably need more frequent management reviews for the first year — e.g., quarterly. After you have had a series of internal audits that revealed few, if any, nonconformances, you may wish to change to semi-annual reviews.

During the next twelve months, we will hold Management Reviews on:

_____ _____

_____ _____

32. ***REVIEWING EXTERNAL AUDITS***

One of the ways that you can signal to the Registrar your managerial support for the quality system is to schedule a Management Review of the on-site audit findings as soon after the registration audit as possible.

We will hold a Management Review of the registration audit findings on:

_____

Table 4
Sample Report Form for Management Review

Date: _____ ____ Regular meeting
____ Special meeting because of_____

We reviewed the following portions of our quality system:

_____ Entire system
_____ Internal quality audit reports
_____ Performance measures
_____ Quality Policy
_____ Possible Quality Manual changes
_____ Quality records
_____ Document control
_____ Contract review
_____ Design control
_____ Purchasing
_____ Process control
_____ Corrective action
_____ Storage/delivery
_____ Training

Actions Taken:
_____ Commendations to staff
_____ Policy revision(s)
_____ Request for change(s):
_____

Date for next review:_____