

! APPENDIX A: ISO 9000 DOCUMENTS

The various ISO 9000 documents from the International Organization for Standardization (ISO) are available in Canada from:

Canadian Standards Association

178 Rexdale Blvd.
Etobicoke, ON M9W 1R3
Tel: 416-747-4000
Fax: 416-747-4149

or **Standards Council of Canada**

1200-45 O'Connor Street
Ottawa, ON K1P 6N7
Tel: 613-238-3222
800-267-8220
Fax: 613-995-4564
<http://www.scc.ca>
info@scc.ca

Sales Office:

Global Information Centre Canada
240 Catherine St., Suite 305
Ottawa, Ontario K2P 2G8
tel: (613) 237-4250 or 1-800-854-7179
fax (613) 237-4251
<http://global.ihs.com>
e-mail: global@ihs.com

Or you may contact ISO directly in Geneva, Switzerland:

International Organization for Standardization

Central Secretariat (Promotion & Press Services)
Case Postale 56
CH-1211 Genève 20
Switzerland
Tel: 41-22-749-0111
Fax: 41-22-733-3430
Internet: iso9000@isocs.iso.ch
<http://www.iso.ch>

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As these documents are expensive, you may wish to purchase the ISO 9000 Compendium (7th Edition), which contains all published ISO 9000 documents as well as drafts of those about to be published. The Compendium sells for approximately \$350, while the separate documents range from \$50 to \$100. Available through Global Information Centre Canada (contact information above).

If you choose to purchase documents separately, then you will need:

ISO 9000-1:1994, *Quality management & quality assurance standards - Part I: Guidelines for selection and use*

ISO 9001:1994, *Quality systems - Model for quality assurance in design, development, production, installation and servicing*

or ISO 9002:1994, *Quality systems - Model for quality assurance in production, installation and servicing*

or ISO 9003:1994, *Quality systems - Model for quality assurance in final inspection and testing*

ISO 9004-2:1991, *Quality management and quality system elements - Part II: Guidelines for services*

ISO 9004-5, *Quality management and quality assurance - Part 5: Guidelines for quality plans*

ISO 10011-1:1990, *Guidelines for auditing quality systems - Part I: Auditing*

ISO 10011-3:1990, *Guidelines for auditing quality systems - Part III: Management of audit programmes*

Other ISO 9000 documents that you may find useful include:

ISO 8402:1986, *Quality management and quality assurance - Vocabulary*

ISO 9004-4:1993, *Quality management and quality system elements - Part 4: Guidelines for quality improvement*

ISO/DIS 10013, *Guidelines for developing quality manuals*

! APPENDIX B: ISO 9000 RESOURCES

Alternate sources of ISO 9000 information can be reached through:
<http://strategis.ic.gc.ca/steps> (in the "Quality Assurance" section)
www.qs9000.com/cgi-bin/board.cgi ISO/QS9000 (Question & Answer Forum)
<http://www.io.org/~globus>
<http://www.iso.ch>

and

Various Internet Search engines using the keyword: ISO 9000

National ISO 9000 Support Group:

The BBS can be reached by calling: 616-891-9433 (N-8-1)

Database of Registered Companies and ISO 9000 Developments:

Dun and Bradstreet Information Services-North America is the exclusive distributor of CEEM Information Services' comprehensive global database. Information requested can be paid for by major credit card, and the information will be faxed or mailed.

CALL: 1-800-476-2446

www.qualitydigest.com/html/iso9000.html (Quality Digest - ISO 9000 registered companies directory) which provides a searchable index of ISO registered companies in Canada and the U.S. Searches can be conducted by company name, location, industry, and scope.

International Groups Related to ISO 9000 Initiatives:

There are a number of fora in which matters related to the ISO 9000 standards are discussed. The institution that represents Canada at the ISO is the Standards Council of Canada. Canada provides the Secretariat for ISO's Technical Committee on Quality Management (TC176).

International Groups

TC176	ISO Technical Committee on Quality Management
TC207	ISO Technical Committee on the Environment
ISO/CASCO	ISO Policy Development Committee of the General Assembly on Conformity Assessment
QSAR	ISO/IEC ad-hoc planning group on Quality System Assessment Recognition

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JTC1/SC7	ISO/IEC Joint Technical Committee on Information Technology
IAF	International Accreditation Forum
IATCA	International Auditor Training & Certification Association
IEC	International Electro-Technical Commission

Related Groups Promoting Mutual Recognition:

EQNet	European Network for Quality System Assessment
EAC	European Accreditation of Certification
IIOC	Independent International Organisation for Certification
ITQS	Mutual Recognition Agreement for Assessment & Certification of Quality Systems in the Information Technology Sector

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Newsletters:

Calibre

Canadian General Standards Board

Bilingual

ISO 9000 News

The International Journal of ISO 9000 Forum

c/o Standards Council of Canada

1200-45 O'Connor Street

Ottawa, ON K1P 6N7

Tel: 613-238-3222, 800-267-8220

Fax: 613-995-4564

ISO Bulletin

ISO Central Secretariat

Tel: 212-642-4900

Quality Assurance Advisory Report

Globus Services

67-1/2 King Street East, Unit 1

Bowmanville, ON L1C 1N4

Tel: 905-697-0965

Fax: 905-697-1395

Quality Systems Update

CEEM Information Services

10521 Braddock Road

Fairfax, VA 22032

USA

Tel: 703-250-5900

Fax: 800-745-5565

Monthly newsletter

Registered Company Directory

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Compendia/Handbooks:

Demystifying ISO 9000

Information Mapping's Guide to the ISO 9000 Standards

Tel: 617-890-7003

The ISO 9000 Handbook

[available from CEEM Information Services]

ISO 9000 - Need to Know Information for Canadian Manufacturers and Service Companies

Alliance of Manufacturers and Exporters Canada

Tel: 416-798-8000 (ext. 223)

ISO 9000 - Making Quality Happen

Industry Canada

Tel: 613-954-4974

Fax: 613-954-5463

ISO 9000 and the Service Sector: a critical interpretation of the 1994 revisions

ASQC Quality Press

tel: 1-800-248-1946

www.asq.org/products/publicat.html

Quality in Geomatics - a Practical Guide to ISO 9000

Natural Resources Canada

tel: (613) 943-0523

fax: (613) 995-8737

Quality in Action: ISO 9000 as a Basis for Continuous improvement

Industry Canada / Canadian Aerospace and Defence Industries

tel: (613) 954-3313

fax: (613) 998-6703

Provincial Contacts:

Industry, Trade and Technology
Government of Newfoundland and Labrador
Service Industries Division
Bill Carter (Development Engineer)
4th Floor, West Block
Confederation Building
St. John's, NF A1B 4J6
Tel: 709-729-5600
Fax: 709-729-5936

The Quality and Productivity Initiative
Gerry Archibald, P. Eng. (Manager, Client Service)
P.O. Box 790
101 Research Drive
Dartmouth, NS B2Y 3Z7
Tel: 902-424-3775, ext. 182
Fax: 902-424-4679

Department of Economic Development and Tourism
Government of New Brunswick
Peter Snowball
P.O. Box 6000
Fredericton, NB E3B 5H1
Tel: 506-444-5854
Fax: 506-457-4845

Government Services
Quebec Government
Germain Prince
Direction générale de la gestion de la qualité
Édifíce Lomer-Gouin, 3è étage
Québec, QC G1R 5N9
Tel: 418-643-9941
Fax: 418-644-4938

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Ministry of Industry, Commerce, Science and Technology
Government of Quebec
Jacques Plante
Direction des services-conseils en gestion d'entreprises
770, rue Sherbrooke Ouest, 10^e étage
Montréal, QC H3A 1G1
Tel: 514-982-3008
Fax: 514-873-9912

Ministry of Economic Development, Trade & Tourism
Government of Ontario
Margo Purchase, Quality Coordinator
900 Bay Street, 10th floor, Hearst Block
Toronto, ON M7A 2E1
Tel: 416-325-6885
Fax: 416-325-6794

Manitoba Industry, Trade and Tourism
Harold Thompson
675-155 Carleton Street
Winnipeg, MB R3C 3H8
Tel: 204-945-4409
Fax: 204-945-1354

Alberta Economic Development and Tourism
Government of Alberta
Small Business and Industry Division
Darryl Pratt
9940 - 106th Street
10th Floor, Sterling Place
Edmonton, AB T5K 2P6
Tel: 403-427-2005
Fax: 403-422-1262

British Columbia Purchasing Commission
Gordon Allen (Manager, Quality Assessment)
Box 2190
Suite 102, 1962 Canso Road
Sidney, BC V8L 1S8
Tel: 604-655-2414
Fax: 604-655-2499

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Ministry of Employment and Investment
Government of British Columbia
Manufacturing, Technology & Service Industries Branch
Ian H. Back (Economic Analyst)
5th Floor, 712 Yates Street
Victoria, BC V8V 1X4
Tel: 604-953-4690
Fax: 604-387-7969

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Related Organizations:

National Quality Institute	Promotes principles and practices of
360 Albert Street, #15-10	total quality & quality policies.
Ottawa, ON K1R 7X7	Administers Canada Awards for Excellence.
Tel: 613-237-4111	Facilitates the National Quality
800-263-9648	Network (NQN).
Fax: 613-237-7171	
www.nqi.ca	

National Quality Network members:

Association québécoise de la qualité	Montréal, QC
Atlantic Council for Organizational Excellence	Halifax, NS
British Columbia Institute of Technology	Burnaby, BC
Bureau for Excellence for Durham Region	Whitby, ON
Canada Quality Council	Ottawa, ON
Canadian Manufacturers' Association	Etobicoke, ON
Canadian Trucking Association	Ottawa, ON
Centre de recherche industrielle du Québec	Sainte-Foy, QC
Collège Édouard-Montpetit	Longueuil, QC
The Conference Board of Canada	Ottawa, ON
Institute of Market Driven Quality	Toronto, ON
Kelsey Institute - SIAST	Saskatoon, SK
Manufacturing Technology Centre Inc.	Fredericton, NB
National Training Alliance	Montréal, QC
Northern Alberta Institute of Technology	Edmonton, AB
PEI Centre for Quality Excellence	Summerside, PEI
Quality Council of Alberta	Edmonton, AB
Quality Council of B.C.	Vancouver, BC
Red River Community College	Winnipeg, MB
Saskatchewan Quality Council	Saskatoon, SK
Winnipeg 2000	Winnipeg, MB
Yukon College	Whitehorse, YK

The article missing on the following pages is in the printed book and is from
Quality Systems Update, July 1994,
and helps highlight the particular issues for small firms.

! APPENDIX D: ISO 9000 REGISTRARS

D1 Registrars in Canada:

The Standards Council of Canada has accredited certain organizations to register firms to the ISO 9000 standards; however, not all of these have experience in registering service firms. Some of the Canadian registrars are also accredited registrars in other countries, while others have Memoranda of Understanding (MOUs) with registrars in other countries. There are also registrars of Canadian firms that are not accredited by Standards Council of Canada but are only accredited outside of Canada. A comparison of the international coverage of different registrars is presented in D4.

Bureau Veritas Quality International (N.A.), Inc. (Accredited 6/6/95)
509 North Main Street
Jamestown, NY 14701
Tel: 716-484-9002
Fax: 716-484-9003

Canadian General Standards Board (Accredited 2/2/93)
Conformity Assessment Directorate
1402-222 Queen Street
Ottawa, ON K1A 1G6
Tel: 613-941-8709
Fax: 613-941-8706
Web: <http://w3.pwgsc.gc.ca/cgsb>

Enregistrement systems qualitie Bureau de normalisation du Quebec
Bureau de normalisation du Québec (Accredited 6/4/93)
8475, avenue Christophe-Colomb
Montreal, Quebec
H2M 2N9
Tel: (514) 383-3253 / 1-800-256-0660
Fax: (514) 383-3260
<http://www.criq.qc.ca/bnq>

Intertek Testing Services NA Ltd. (Accredited 02/02/93)
1829, 32nd Avenue
Lachine, Quebec
H8T 3J1
Tel: (514) 631-3100
Fax: (514) 631-1133

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- International Quality Systems Registrars (Accredited 10/08/93)
7025 Tomken Road, Suite 271
Mississauga, Ont
L4V 1W1
Tel: (905) 565-0116
Fax: (905) 565-0117
<http://www.home.istar.ca/~iqsr>
- Lloyd's Register Quality Assurance Ltd. (Accredited 12/09/97)
33-41 Newark Street
Hoboken, NJ 07030
Tel: (201) 963-1111
Fax: (201) 963-3299
- KPMG Quality Registrar Inc. (Accredited 6/6/95)
Suite 3300, Commerce Court West
P.O. Box 31
Station Commerce Court
Toronto, Ont. M5L 1B2
Tel: 416-777-8755, 800-862-6752
Fax: 416-777-8818
<http://www.kpmg.ca>
- Litton Systems Canada Limited (Accredited 10/8/93)
Quality Systems Registrars (QSR)
25 City View Drive
Etobicoke, ON M9W 5A7
Tel: 1-800-267-0861 (ext.2308)
Fax: 416-246-2049
- Quality Certification Bureau Inc (Accredited 6/3/95)
Advanced Technology Centre, Suite 103
9650-20 Avenue
Edmonton, AB T6N 1G1
Tel: 403-496-2463
Fax: 403-496-2464
<http://www.qcbinc.com>

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Quality Management Institute (Accredited 2/2/93)
Sussex Complex, Suite 300
90 Burnamthorpe Road West
Mississauga, Ont. L5B 3C3
Tel: 905-272-3920
Fax: 905-272-3942
<http://www.qmi.com/>

SGS International Certification Services Cda. Inc. (Accredited 10/8/93)
5925 Airport Road, Suite 300
Mississauga, Ont. L4V 1W1
Tel: 905-676-9595
Fax: 905-676-9519
<http://www.sgsna.com/ics.htm>

Underwriters Laboratories Inc. (Accredited 11/4/94)
Quality Assessment Services
1285 Walt Whitman Road
Melville, NY 11747-3081
Tel: 516-271-6200
Fax: 516-423-5657
<http://www.ul.com>

Warnock Hersey Professional Services Limited (Accredited 2/2/93)
8810 Elmslie Street
Lasalle, QC H8R 1V8
Tel: 514-366-3100
Fax: 514-366-5350

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Other SCC accredited registrars:

QUASAR Quality Systems Accreditation Registrar (Accredited 6/3/95)

7250 West Credit Avenue

Mississauga, ON L5N 5N1

Tel: 905-542-1312 / 1-800-461-9001

Fax: 905-542-1318

<http://www.cwbgroup.com>

CGA Approvals Inc.

(Accredited 8/6/93)

Quality Assurance

55 Scarsdale Road

Don Mills, ON M3B 2R3

Tel: 416-447-6468

Fax: 416-447-7067

AOQC Moody International Registration Ltd.

(Accredited 24/8/95)

57 Simcoe St., Suite 2H

Oshawa, ON L1H 4G4

Tel: 905-433-2955

Fax: 905-432-9308

e-mail: aoqc_osh@compuserve.com

Underwriters' Laboratories of Canada

(Accredited 5/10/93)

Quality Registry Division

7 Crouse Road

Scarsborough, ON M1R 3A9

Tel: 416-757-3611

Fax: 416-757-9540

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D2 Registrars That Operate Multinationally

According to the ISO 1995 Directory of Quality System Registration Bodies, the following registrars operate multinationally in the following countries:

ABS Quality Evaluations

Headquarters: Houston, U.S.A.

Other Countries: Singapore

Bureau Veritas Quality International

Headquarters: London, U.K.

Other Countries: Multiple (27)

Det Norske Veritas Quality Assurance Ltd.

Headquarters: Rotterdam, Netherlands

Other Countries: Multiple (19)

Germanischer Lloyd QS Zertifizierung GmbH

Headquarters: Hambourg, Germany

Other Countries: Multiple (14)

ISOQAR

Headquarters: Manchester, U.K.

Other Countries: Poland, U.S.A.

Lloyds Register Quality Assurance Ltd.

Headquarters: Croydon, U.K.

Other Countries: Multiple (8)

Quality Management Institute

Headquarters: Mississauga, Canada

Other Countries: U.S., Mexico, Hong Kong

SGS International Certification Services Ltd.

Headquarters: Geneva, Switzerland

Other Countries: Multiple (50)

TÜV Cert

Headquarters: Bonn, Germany

Other Countries: Brazil

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Underwriters Laboratories

Headquarters: Melville, U.S.A.

Other Countries: Hong Kong, Japan, Taiwan

Vehicle Certification Agency

Headquarters: Briston, U.K.

Other Countries: U.S.A.

D3 European Mutual Recognition of Registrars

As of December 1994, six European accreditation bodies have agreed to recognize the registrars that each other accredits, and therefore the registrations of those registrars. The accreditation bodies involved are:

Finland	FINAS
Netherlands	RvC
Norway	NAS
Sweden	SWEDAC
Switzerland	SAS
U.K.	NACCB

! APPENDIX E: ACCREDITATION BODIES

E1 The following organizations are listed in the ISO 1995 Directory of Quality System Registration Bodies as being official accreditation bodies (for the accreditation of registrars) within their countries:

<u>Country</u>	<u>Abbreviation</u>	<u>Full Name</u>
Australia	JAS-ANZ	Joint Accreditation System of Australia and New Zealand
Austria	BMvA	Federal Ministry for Economic Affairs
Belgium	NAC-QS	Comité National pour l'Accréditation des Organismes de Certification
Brazil	INMETRO	Institute Nationale de Metrologica, Normalização e Qualidade Industrial
Canada	SCC	Standards Council of Canada
Chile	INN	National Institute for Standardization
China	CNACR	China National Accreditation Committee for Quality Systems Registration Bodies (China State Bureau of Technical Supervision)
Colombia	SIC	Superintendencia de Industrias y Comercio
Czech Rep.	COSMT	Czech Institute of Accreditation
Denmark	DANAK	Danish Agency for Development of Trade and Industry
Finland	FINAS	Centre for Metrology and Accreditation
France	COFRAC	Comité français d'accréditation
Germany GmbH	TGA	Trägergemeinschaft für Akkreditierung
Iceland	ISAC	Icelandic Board for Technical Accreditation
Indonesia	KAN	Dewan Standardisasi Nasional Komite Akreditasi Nasional
Ireland	ICLAB	Irish Certification and Laboratory Accreditation Board
Italy	SINCERT	Sistema Nazionale per l'Accreditamento degli Organismi di Certificazione
Japan	JAB	The Japanese Accreditation Board for Quality System Registration
Korea, Rep.	IAA	Bureau of Accreditation and International Cooperation Industrial Advancement Administration
Netherlands	RvC	Raad voor de Certificatie

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<u>Country</u>	<u>Abbreviation</u>	<u>Full Name</u>
New Zealand	JAS-ANZ	Joint Accreditation System of Australia and New Zealand
Norway	NA	Norwegian Accreditation
Portugal	IPQ	Instituto Português da Qualidade
Romania	IRS	Institutul Roman de Standardizare
Russian Fed.	GOST R	GOSSTANDART of Russia
Slovakia	UNMS	Slovak Office of Standards, Metrology and Testing
Slovenia	SMIS	Standards and Metrology Institute of Republic of Slovenia
Spain	RELE	RELE
Sweden	SWEDAC	SWEDAC
Switzerland	SAS	Swiss Accreditation Service
U.K.	NACCB	National Accreditation Council for Certification Bodies
U.S.A.	ANSI	American National Standards Institute
U.S.A.	RAB	Registrar Accreditation Board
Venezuela	SENORCA	Servicio Autonomo Dirección de Normalización y Certificación de Calidad adscrito al Ministerio de Fomento

! APPENDIX F: CLIENT REQUIREMENTS

You will need to check with the Standards Council of Canada and/or the ISO Forum to get the most recent information about which clients are requiring ISO 9000 registration of their suppliers. Below is a listing as of September 1995:

Industries Using the ISO 9000 Standards for Suppliers:

Auto industry [QS-9000]
Food industry [under consideration to supplement or replace HACCP]
Office furniture/U.S.A. [in lieu of supplier audits]
Pharmaceutical industry

Private Sector Corporations Requiring ISO 9000 Registration from Suppliers:

Chrysler
Ford
General Motors
Hydro Québec
Sears

Major Corporations Who Are Registered and May Require Registration from Suppliers:

Corning	Mitel
Digital Equipment of Canada	MonSanto
Du Pont	Rank Xerox
Exxon Chemicals	Renault
Federal Express	Volkswagen
Kodak	

Federal Requirements in Canada for ISO 9000 Registration:

Public Works and Government Services Canada

Requirements for ISO 9000 are often defined on a case by case basis and will be included in Requests for Proposals and Standing Offer documentation.

Contact: Jack Doucette
Supply Program Management Directorate
Tel: 819-956-7420

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Department of National Defense

Suppliers are required to demonstrate that they meet the requirements of ISO 9000, but do not necessarily need to be registered.

Transition program to switch from AQAP to ISO 9000

Contact: Terry Crich
Quality Assurance, Policy & Programs
Tel: 613-996-3909

Provincial Requirements in Canada for ISO 9000 Registration:

Only Quebec has adopted specific requirements as listed below, however other Provinces have required ISO 9000 Registration on a case by case basis in the past (primarily for the purchase of goods as opposed to services).

Quebec has listed a requirement for ISO 9000 registration in some service sectors which include: Information Technology; Civil Engineering; Environmental Services; General Management; and Printing. Quebec is also considering ISO 9000 requirements for the construction industry which will likely be put in place in late 1998 or 1999.

Governments Requiring ISO 9000 Registration for Suppliers:

NOTE: 80 countries around the world have adopted ISO 9000, often with slightly different numbering, as their quality standard. Some of these countries are already requiring ISO 9000 registration from would-be suppliers.

<u>Australia</u>	AS-3900 for military and civilian contract procurement.
<u>New Zealand</u>	NZS-5600 for military and civilian contract procurement.
<u>Singapore</u>	For large contract defense procurement.
<u>U.K.</u>	BS-5750 for defense procurement.
<u>U.S.A.</u>	Department of Defense is phasing in ANSI/ASQC 090 as a substitute for MIL-Q-9858]

Governments Recommending ISO 9000 Registration as Criteria for Suppliers:

European Union directives encourage the use of EN-29000 for procurement.

! APPENDIX G: EXTERNAL ASSISTANCE

G1 Federal Government Assistance in Canada

Atlantic Canada Opportunities Agency (ACOA)

Assistance in the way of repayable loans has been available through its Business Development Program; no ISO-9000 specific initiatives.

Contact: Paul Knarr (613-954-8053)
www.acoa.ca

Business Development Bank of Canada

The Business Development Bank of Canada provides a structured ISO 9000 Registration program which facilitates the process of working with an external ISO 9000 consultant.

1-888-463-6232
www.bdc.ca

Industry Canada

The National Quality Institute/National Quality Network receives funding in part to assist businesses with adoption of quality management practices. Network "nodes" include Durham College and Alberta Quality Council.

Contact: Colette Soulodre (613-954-3466)

G2 Provincial Government Assistance in Canada

Newfoundland

Ministry of Economic Development offers funding to cover up to 75% of cost to implement a quality assurance and certification program.

New Brunswick

Ministry of Economic Development and Tourism offers a Quality Assistance Program that provides annual grants of 50 percent of eligible expenditures (up to \$5,000) to cover measures needed to upgrade quality assurance, including ISO 9000.

tel (506) 453-2102

fax (506) 457-7282

Nova Scotia

Department of Financial, Federal/Provincial Fiscal Relations provides 25% corporate tax credits on eligible expenditures of up to \$150,000 towards becoming registered to ISO 9001.

Ontario

The Ontario Innovation and Productivity Service will assist firms in hiring permanent employees, with ISO-9000 related tasks, under its Technical Personnel Program.

Québec

Société Québécoise de développement et main-d'oeuvre offers a general quality assurance training subsidy — not ISO specific.

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G3 Working with an External Consultant

The Alliance of Manufacturers and Exporters Canada has raised public concern about the quality of ISO-9000 related consulting services available in Canada. If you are considering using an external consultant to help your firm, here are some tips for success:

Do: Specify ahead of time what types of external assistance you would like.

Obtain a detailed work plan from consultants you are considering, including proposed measures of consulting success.

Obtain references from previous clients ... and call them.

Check to see that the consultant's firm is itself ISO 9000 registered, which will demonstrate that the consultant understands how ISO 9000 operates in a professional service firm.

Check to see if the consultant is accredited or certified in terms of professional competence.

Don't: Assume that the cheapest is the best; you generally get what you pay for.

Assume that, because someone has managed a quality system, they have good consulting skills. Skilled management consultants are trained in their profession.

Assume that, because a consultant has been successful with manufacturing firms, that consultant understands your professional services business. Professional service firms operate quite differently from factory floors.

Expect the consultant to do it all for you ... a good consultant will facilitate your staff's ability to be efficient and effective.

Accept a proposal that guarantees you a certain amount of savings on the bottom line; no ethical consultant can provide that guarantee because they don't run your firm.

! APPENDIX H: SAMPLE AUDIT QUESTIONS

The following are examples of questions, by standard element, that you can use to help your staff prepare for the on-site audit. Please modify or add to them to suit your particular firm. You should also check with your registrar to see if they have a checklist you can use.

1. Does your firm have a Quality Policy? May I see it?
What does it mean to you?
How do you know the copy you have is the latest version?
Who has the authority to change it?
Do you show it to clients?
If you have questions about quality, who do you ask? Why?
What does the position of Management Representative entail? Who is your Management Representative?
What kind of support does your management give on quality?
Do you have a copy of your Quality Manual? May I see it?
Is your copy a "controlled" copy?
Who do you report to on quality matters?
May I have a copy of your job description?
Other than your job description, how do you know what quality responsibilities you have?
May I see examples of how you have implemented quality control in your job?
Do you have a copy of the procedures binder? Show me.
2. What does your "quality system" mean to you?
For example, while I am asking you questions, what is happening to be sure that the quality aspects of your position are covered?
Have you seen any difference since your firm implemented this system?
What role have you played in implementation?
If new procedures were needed, or old ones weren't working, what would you do?
3. How does your firm determine if it has the capability for a new contract?
Are you involved in the approval of a client contract?
What happens if a contract is amended?

! APPENDIX H: SAMPLE AUDIT QUESTIONS

4. Why is your firm going for ISO 9001 instead of ISO 9002 registration?
How is design controlled? What is your role?
5. What does "document control" mean to you?
Are you responsible for any of the controlled documents?
If I show you a form, how can you make sure that it is the latest version?
If there is a change in a document, how do you learn of it?
6. Are you responsible for any purchasing?
How do you select the vendor?
How do vendors get on the non-approved list?
Where are the vendor files kept? Could you pull files on ... vendor?
If there has been a change in a purchase order, how do you notify the vendor?
What about subcontractors or affiliates, who selects those? How?
How do you make sure vendors/subcontractors perform?
7. Do you accept incoming material from clients?
How do you know you are using the latest version supplied?
Before storing/filing it, how do you identify it?
8. What types of material do you handle as part of the quality system?
How are they identified? Traced?
What about this piece of paper ... what should happen to it?
9. Are any of your job functions not documented? Why?
Show me your work instructions for ...
How do you know that they are current?
If you want them changed, how is that done? What do you do in the meantime?
If you took on a new job responsibility related to quality, how would you document it?
In an undocumented situation, how would you know how to proceed?
10. What tests do you perform to verify the products meet design specifications?
Where are the results recorded? How long are they kept?
What would you do if you found errors?
How do you know what tests to perform? Show me.
How would someone else know you have inspected "x"?

! APPENDIX H: SAMPLE AUDIT QUESTIONS

11. Regarding "control of test equipment", why isn't this element applicable to your firm?
12. How do you determine the status of a client deliverable?
How do you know if you are printing/sending the latest computer file?
13. What does "non-conforming product" mean?
How is non-conforming product handled?
Who takes the action?
14. Who handles a client complaint?
How are nonconformances tracked and resolved?
How are problems prevented?
Who is responsible for making sure corrective action has been taken?
15. What procedures do you have for the handling and storage of client deliverables (on-site, off-site)?
What procedures do you have for the delivery of client deliverables?
16. What is the difference between a quality document and a quality record?
Show me the difference between a form that is a quality document and a form that is a quality record.
Where are your firm's quality records stored?
Show me an example of each.
17. Who is responsible for internal audits?
What internal audits have been performed? By whom?
When were your quality procedures last audited?
Can you show me copies of the internal audit reports?
Who took action to correct this nonconformance - pointing to one of the reports?
Is there an internal audit schedule? Show me.
What degree of "independence" is required for the internal audit?
What about internal audits of the professional staff's work?
How/when will this on-site audit be reviewed?

! APPENDIX H: SAMPLE AUDIT QUESTIONS

18. What training or experience do you need to perform your job?
Where is your training record and training plan? Show me.
Is there training you need that you have not yet received?
19. What type of "servicing" do you do of clients? Show me.
20. Do you use any statistical techniques to verify the effectiveness of your service? Show me.