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Série 184

WITHDRAWAL

December 2020

Selected standard in the series Quality Management Systems

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Guidelines for Implementing ISO 9000 Quality Management Systems in Public Sector Organizations

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Guidelines for Implementing ISO 9000 Quality Management Systems in Public Sector Organizations

ICS 03.120.10

Prepared by the

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Preface

This document has been converted to a Government of Canada (GC) Standard in July 2015. Its previous designation was CGSB 184.1-2002. The original content has not been modified.

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INTRODUCTION

The Canadian General Standards Board (CGSB) has prepared this edition of CGSB 184.1 to take account of the significant changes brought by the recently issued ISO 9000:2000 family of quality management system standards and, particularly, ISO 9001:2000.

Developed by quality experts from around the world, the year 2000 ISO 9000 standards provide a framework for management excellence, focusing on the effectiveness of the quality management system in meeting customer[1] needs. In addition, the year 2000 ISO 9000 standards are designed to make continual improvement an ongoing objective for organizations.

The new standards give increased emphasis to process management, top management's role, and customer satisfaction, and use simpler language and terminology. With these changes the ISO 9000:2000 standards will become more widely and effectively applied, resulting in improvements in all types of organizations, public or private, small or large, that follow their principles.

This edition of CGSB 184.1 is designed to assist Canadian public sector organizations in implementing an ISO 9001:2000-compliant quality management system. Although the application of ISO 9000 in the public sector was limited five years ago, there is now a growing interest in implementing the standards at federal, provincial, and municipal levels. Although in ISO 9000 the term "product" includes "service," in this document they are both used to reflect current practice in public sector organizations.

This standard is the result of the invaluable contributions and dedication of its committee members, representing a wide range of federal, provincial and municipal organizations. Subject-matter experts and quality practitioners from the public and the private sectors have also added significantly to the usefulness of this guide.

[1] *Public sector organizations use both "client" and "customer" to describe customer, client and citizen groups.*

CANADIAN GENERAL STANDARDS BOARD

GUIDELINES FOR IMPLEMENTING ISO 9000 QUALITY MANAGEMENT SYSTEMS IN PUBLIC SECTOR ORGANIZATIONS

1. SCOPE

1.1 This standard provides guidelines to help public sector organizations implement a quality management system based on the internationally recognized ISO 9000:2000 standards.

PART 1

WHAT IS ISO 9000?

2. INTRODUCTION

2.1 First published in 1987, ISO 9000 is a series of international standards used by organizations that either want to implement their own in-house quality management system or to guarantee that suppliers have an effective quality management system in place. The standards were developed by quality experts from around the world under the auspices of the Geneva-based International Organization for Standardization (ISO). These standards help promote international trade by providing a single, uniform set of requirements recognized worldwide. They also help organizations improve their performance and, in particular, enhance their customer satisfaction.[1]

3. CONCEPT OF QUALITY MANAGEMENT SYSTEM

3.1 A quality management system (QMS) defines and establishes an organization's quality policy and objectives. It also encourages an organization to identify and manage the processes needed to attain these objectives. A properly implemented QMS ensures that processes are carried out consistently; that problems can be identified and resolved; and that the organization can continuously review and improve its processes, products and services.[1]

4. DEVELOPMENT OF ISO 9000

4.1 The ISO 9000 standards are developed by ISO Technical Committee (TC) 176, Quality management and quality assurance, made up of national delegations of experts from business, government and other relevant organizations. Canada, through the Standards Council of Canada (SCC), its representative in ISO, holds the chair and secretariat of the committee. The secretariat is administered by the Canadian Standards Association (CSA) on behalf of SCC.

4.2 The ISO 9000 standards were first revised in 1994, consistent with ISO's policy that all standards be reviewed at least every five years. The ISO 9000:2000 standards were released on December 15, 2000, and differ significantly from the 1994 versions in both concept and structure.

5. ISO 9000:2000 STANDARDS

5.1 Extensive worldwide surveys were carried out by ISO to better understand the needs of all users of the ISO 9000 standards. The 2000 revisions took into account previous experience with quality management systems and emerging insights into generic management systems. The outcome of the surveys resulted in a closer alignment of the ISO 9000:2000 standards with the daily effort for an effective and efficient organization. The ISO 9000:2000 standards can be readily adapted to small, medium and large organizations in the public and private sectors.

[1] *[SCC] Standards Council of Canada; available from the World Wide Web @ http://www.scc.ca/standards/iso9000/ques9000_e.html*

5.2 The main features of ISO 9000:2000 standards are

a. They focus on the requirements for achieving client[2] satisfaction and on measurement and analysis of processes;

b. They are founded on eight internationally accepted quality management principles. These principles are similar to those generally found in most national quality award programs such as the Canada Awards for Excellence and the Malcolm Baldrige National Quality Award. Appendix A describes the eight quality management principles.

c. They concentrate on a process approach that considers a set of value-added activities, using resources to transform inputs into outputs;

d. They seek continual improvement of an organization's quality management system;

e. They have enhanced compatibility with the ISO 14000 series of environmental management system standards.

6. STRUCTURE OF ISO 9000:2000 STANDARDS

6.1 Unlike the year 1994 edition, which had three models of quality system requirements (ISO 9001, 9002 and 9003), the year 2000 edition has only one quality management system "requirement" standard (ISO 9001:2000). A new standard ISO 9000:2000 establishes a starting point for understanding the standards in the ISO 9000 family; it includes the fundamental terms and definitions previously given in ISO 8402:1994 and used in the ISO 9000 family. In addition, the new ISO 9004:2000 is designed to guide organizations towards business performance improvement. The complete list of the current documents contained in the ISO 9000 family is given in Appendix B.

7. RELEVANCE OF ISO 9000 STANDARDS TO THE PUBLIC SECTOR

7.1 One of the main features of the ISO 9000:2000 standards concerns customer satisfaction. Organizations must identify client groups, determine their needs and expectations (including those known but not necessarily stated) and develop the organizational capacity to deliver products and services.

7.2 The federal government has established a framework for modernizing management practices and improving the quality of service to the public. The *Results for Canadians: A Management Framework for the Government of Canada*[3] commits the government to achieving excellence in four key areas: citizen focus, results, public service values, and responsible spending.

7.3 The Ontario Government defines service standards in terms of service targets that citizens should expect. The Ontario Public Service (OPS) Quality Service Initiative, released in June 1998, sets out three objectives:

a. Increase public satisfaction with OPS service;

b. Ensure the OPS measures up to external benchmarks in the public and private sectors; and

c. Establish the OPS as the benchmark for quality among similar jurisdictions.

7.3.1 Common Service Standards support the quality service framework, allowing the OPS to apply the framework consistently across ministries, to measure performance over time, and to demonstrate results. These standards were developed from information gathered in large-scale surveys of Ontario citizens, and they reflect the levels of performance that Ontario citizens expect from their government. Appendix C provides more information on customer services and related federal and Ontario government initiatives.

7.4 In the public sector, the ISO 9000:2000 standards contribute to the achievement of several provincial and government of Canada policies. These policies emphasize the customer focus of government services and commit the Government of Canada to achieving a significant, quantifiable improvement in customer satisfaction.

8. REGISTRATION TO ISO 9000:2000 STANDARDS

8.1 Registration is the formal assessment of a company's quality management system by an independent third party known as a quality system registrar.[4] Organizations known as "quality system registrars" perform initial assessments and on-going audits to verify compliance with the ISO 9000 standards. Registrars establish their

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[2] *Public sector organizations use both "client" and "customer" to describe customer, client and citizen groups.*
[3] *Treasury Board of Canada Secretariat; available from World Wide Web @ http://www.tbs-sct.gc.ca/res_can/rc_e.html*
[4] *In some countries, the term "certification" is used in place of "registration."*

competence through accreditation by an accreditation body. In Canada, the Standards Council of Canada (SCC) is the accreditation body for quality systems registrars.

8.2 An organization must implement a documented quality management system (QMS) that can be audited before the ISO registration can take place. Implementing an ISO 9001:2000-compliant QMS does not necessarily change the way an organization conducts its business.

PART 2

WHY USE ISO 9000?

9. INTRODUCTION

9.1 Part 2 provides information about the sustainability of ISO 9000 standards and the particular relevance that the 2000 versions have for public service organizations. It also outlines some key benefits typically experienced by organizations that have implemented an ISO 9001:2000-compliant QMS.

10. ISO 9000 — PROVEN SUSTAINABLE QUALITY MANAGEMENT STANDARDS

10.1 The ISO 9000 series is accepted worldwide as the standard for quality management systems. Currently, it is estimated that some 430,000 certificates have been issued to organizations in some 158 countries. Increasingly, the ISO 9000 series is being adopted by private and public sector organizations to improve the effectiveness and efficiency of their operations and to continuously meet the needs and expectations of internal and external customers. ISO is committed to sustaining the ISO 9000 standards through process reviews, seeking improvements and incorporating state-of-the-art management practices.

11. PUBLIC SERVICE INTEREST IN ISO 9000:2000

11.1 Successful implementations worldwide, including Canada, demonstrate that the ISO 9000 standards are relevant for public sector organizations. There is an increased expectation for government to become more citizen-focused, to act more transparently, and to focus on quality service delivery. The ISO 9000 standards allow an organization to work more effectively within the ever-changing regional, national, and global environments, helping it to focus, improve, and flourish. For example, the year 2000 standards explicitly refer to customer satisfaction, improved human resource management and process efficiency, and increased accountability and transparency.

12. ISO QUALITY MANAGEMENT PRINCIPLES

12.1 The ISO 9000:2000 standards are based on a process model using eight internationally accepted quality management principles described in Appendix A. The benefits outlined in section 12 illustrate the practical nature of these quality management principles. These management principles represent good management practices, which also support the priorities of strong public sector organizations.

13. BENEFITS OF IMPLEMENTING ISO 9000:2000

13.1 Client-Related Benefits

13.1.1 The ISO 9000:2000 standards highlight the need for an organization to focus on client needs and expectations, thereby delivering quality products and services. For example, the standards require an organization to realign its efforts toward achieving customer satisfaction and to incorporate improvement initiatives as part of its business objectives. Key processes must be controlled in order to assure the delivery of quality products and services.

13.1.2 Organizations depend on their customers and therefore must understand current and future customers' needs. They will then be able to meet the client's requirements and can strive to exceed client expectations. Client-focused organizations typically enjoy certain benefits:

a. Increased market penetration obtained through flexible and fast responses to market opportunities;

b. Decreased operational costs owing to increased effectiveness in the use of the organization's resources;

c. Improved customer satisfaction leading to improved customer loyalty; and

d. Improved employee satisfaction.

13.2 **Employee-Related Benefits**

13.2.1 Another key feature of the ISO 9000 quality management standards concerns human resources. Specific actions are recommended to enhance the employees' awareness of the organization's goals and the methods envisaged by management to achieve them. The standards address management's need to improve employees' competence through training, and to provide a supportive infrastructure and work environment that allows employees to carry out their duties. This focus on employees enhances working conditions and thus improves employee satisfaction and morale.

13.2.2 Increased employee involvement enables organizations to make better use of employees, providing them with more opportunities to contribute and to enhance their own sense of self-worth. Increased employee involvement provides benefits to the organization, including:

a. Enhanced understanding of, and increased motivation to meet, organizational goals;

b. Improved motivation and commitment displayed by employees, who in turn are less likely to leave the organization;

c. Increased opportunity to achieve quality objectives by allowing employees to innovate and to be creative;

d. Increased employee accountability, resulting in increased contributions.

13.3 **Organization-Related Benefits**

13.3.1 The ISO standards contain specific requirements for management commitment, policy, planning, and objectives. These basic elements establish an organizational foundation of accountability, control, and transparency. The principles of ISO 9000:2000 provide the foundation for the organization to build and sustain a corporate memory and to achieve excellence. This framework is in harmony with new management initiatives and also offers a holistic approach for private and public sector organizations to achieve their objectives.

13.3.2 Effective leaders establish a unity of purpose and set strategic direction within the organization. Leaders create and maintain the internal environment for achieving organizational goals and ensure that continual improvement becomes a permanent way of life.

13.3.3 Organizations adopting this approach are typically rewarded with the following benefits:

a. Improved use of resources, lowering costs and shortening "cycle time";

b. Enhanced communication throughout the organization;

c. Improved, consistent and predictable results;

d. Focused and prioritized improvement opportunities;

e. Improved organizational capabilities;

f. Aligned improvement initiatives to the organizational strategy;

g. Increased flexibility to react quickly to opportunities;

h. Improved business decisions based on factual information;

i. Improved morale because employees are highly involved.

13.4 **Community-Related Benefits**

13.4.1 The principles outlined in the ISO 9000:2000 standards inspire employees' personal concerns for their organization, thus, helping them recognize ways of becoming better "corporate citizens." This concept of corporate citizen underpins the very basis for the existence of government and the public service at large. Contributions to the community have the following benefits:

a. They increase the enjoyment of life for the members of the community.

b. They provide a sense of pride to employees for adding such value.

PART 3

HOW TO IMPLEMENT AN ISO-COMPLIANT QUALITY MANAGEMENT SYSTEM (QMS)

14. INTRODUCTION

14.1 This part outlines the eleven steps for developing and implementing a QMS modelled on the ISO 9000:2000 standards. Each step consists of recommended actions and guidance and, where applicable, references to successful communication strategies. Note that the steps apply to all sizes and types of organizations regardless of the service or product delivered and can be tailored to an organization's specific needs.

15. THOUGHTS ON MANAGING THE IMPLEMENTATION

15.1 Experienced quality practitioners working with the ISO 9000:2000 family of standards have identified the three main features of a well-maintained, successful QMS: simple, seamless and supported.

15.1.1 ***Simple***

a. Align the QMS with the needs of the client or citizen-focused organization, concentrating on key corporate goals.

b. Keep the system easy to understand — avoid excessive complexity (i.e., unnecessary effort, cost and time).

c. Balance the level of detail with the type of work, the potential for improvement, and realistic benefits and costs.

15.1.2 ***Seamless***

a. Integrate the QMS with the organization's existing systems — complying with the ISO 9000 standards should not be viewed as an extra burden.

b. Minimize the emphasis on terms such as "ISO" or "quality" and focus more on definitive actions.

c. Incorporate existing "management" procedures, forms, records and systems, where possible.

15.1.3 ***Supported***

a. Ensure management commitment is evident, filtering down to all levels of the organization.

b. Ensure the QMS reflects and supports the way the organization operates.

c. Train management and staff, as necessary, in the principles of, and the underlying rationale for, an ISO-compliant QMS.

15.2 The quality documentation should reflect the day-to-day operations of the organization. Once a QMS is implemented, improvement should be sought for every aspect of the management system by applying the PDCA Cycle (Plan, Do, Check, Act) and the principle of continual improvement. The PDCA Cycle is further described in Appendix D.

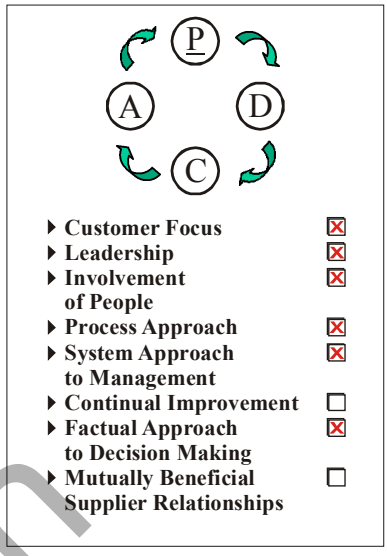
16. PROPOSED IMPLEMENTATION STEPS

16.1 The eleven recommended steps for implementing a successful ISO 9001:2000 QMS in public sector organizations are

1. Prepare the foundation
2. Secure management commitment
3. Establish a preliminary implementation plan
4. Conduct a gap analysis
5. Finalize the implementation plan
6. Address the gap (implementation)
7. Review the quality management system
8. Assess QMS by a third party (optional)
9. Celebrate the successful QMS implementation
10. Sustain and improve
11. Celebrate successful sustainability

16.1.1 The guidelines propose 11 steps, but the actual number of steps and the sequence must be determined by management following a review of what will be beneficial to the organization. Also, this proposed approach is further supported by PDCA methodology and the quality management principles. Under each proposed step, the applicable elements of the PDCA Cycle and quality management principles are referenced.

17. PREPARE THE FOUNDATION — *step 1*



17.1 **Context** — Before developing an ISO 9001:2000-compliant QMS, the organization should clearly understand its needs and motivation for such an initiative. The organization should also understand how the QMS initiative will affect and integrate with the existing management system and management practices.

17.2 **Action**

a. Acquire, read and understand the pertinent ISO 9000:2000 family of standards.

b. Understand and demonstrate how ISO 9001:2000 complements other public sector initiatives.

c. Meet with top management to gain an understanding of the organization's needs and motivation for implementing an ISO 9001:2000-compliant QMS.

d. Review the current mission, vision and other initiatives to ensure they are aligned towards achieving the goal of continual improvement.

e. Align the initiative with identified stakeholder needs and expectations, clearly identifying the benefits to client groups, staff, suppliers, and the organization.

f. Enlist appropriate resources with required competencies, preferably an experienced quality practitioner and knowledgeable team members. Appendix E describes the typical duties and responsibilities of a quality management representative.

g. Develop an executive briefing note outlining how the QMS will help achieve the goal of continual improvement.

h. Communicate the executive briefing note to top management for familiarization and preliminary consideration.

17.3 **Guidance (Suggestions, Tips, Do's And Don'ts)**

a. Know the organization's clients, customers, partners and other stakeholders:

i. Understand what is required of the organization to ensure the satisfaction of all clients, customers and other stakeholders. The following extract from a Treasury Board document,[5] further explains this:

> The first step in improving client satisfaction is to identify the clients of the organization, and the key public services to which the Service Improvement Planning and Implementation methodology should be applied. This will answer the following questions:
>
> — What is our business?
> — What products and services do we provide?
> — Who are our internal clients?
> — Who are our external clients?
> — Who are our partners?

b. Understand the processes that the organization uses to interact with its client groups; these are often the key processes that need to be "managed."

[5] *Treasury Board of Canada Secretariat*, Toward Citizen-Centred Service Delivery: A How-to-Guide for the Service Improvement Initiative *(December 2000); available from the World Wide Web @ http://www.tbs-sct.gc.ca/si-si/sii-ias/howto/index_e.shtml*

c. Understand the staff 's needs and expectations:

   i. Understand the key issues as seen by staff.

   ii. Learn from the history of previous efforts to improve the organization (both successful and unsuccessful). For example, was there sufficient staff support? What about management support? Understand what happened before and why.

d. To the extent possible, work with employees, including unions, to generate ideas and to gain support.

e. Meet with top management to reach an agreement on how the ISO 9001:2000-compliant QMS will strengthen the organization and help it to achieve its goals.

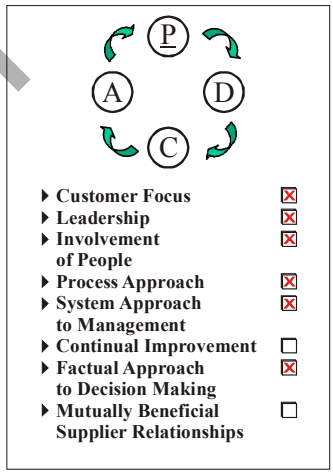
f. Create realistic expectations by:

   i. Reviewing past or on-going improvement initiatives and seeking to integrate them into the ISO 9001:2000 QMS approach.

   ii. Conveying the extent of commitment likely to be required from top management for the initiative to be successful.

g. Understand what drives the managers' behaviours. For example, what do managers care about and what motivates them?

18. SECURE MANAGEMENT COMMITMENT — *step 2*



18.1 **Context** — Securing top management's commitment is the most important step to ensure the successful implementation of an ISO 9001:2000-compliant QMS. Top management should dedicate resources for the project and must demonstrate their support and commitment. This must be well communicated to all levels of the organization.

18.2 **Action**

a. Secure top management approval and commitment for the development and implementation of an ISO 9001:2000-compliant QMS.

b. Define the role, responsibilities, and degree of involvement of top management.

c. Secure their commitment for all necessary resources, i.e. funds, personnel and time required for successful implementation.

d. Determine if the QMS will be for a single or multiple sites.

e. Determine if top management will seek ISO 9001:2000 registration.

f. Appoint a management representative and a core team responsible for the development and implementation activities, reporting directly to top management.

g. Create awareness throughout the organization of the ISO 9001:2000 standards and demonstrate how the standards can support the organization's strategic goals. Awareness must be provided by top management representatives about the:

   i. ISO 9000:2000 family of standards and the essence of their intent and the role they play within the QMS development and implementation.

   ii. Risks and benefits of implementing or not implementing an ISO 9001:2000-compliant QMS, including, but not limited to:

      A. Cost reduction opportunities (cost of poor quality).

      B. Estimated time and effort required to develop, implement and sustain the ISO 9001:2000-compliant QMS.

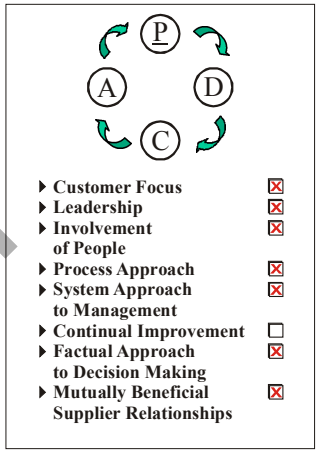
18.3 **Guidance (Suggestions, Tips, Do's And Don'ts)**

a. Learn what motivates the top management team, what unites them, and "what keeps them awake at night" to ensure that the development and implementation of a QMS receives the proper attention and is well integrated with other high-priority initiatives.

b. Highlight the potential for cost reductions by providing specific examples of poor quality and associated costs. ISO/TR 10014:1999, *Guidelines for managing the economics of quality* provides guidance on how to achieve economic benefits by implementing an ISO 9000:2000-compliant QMS.

c. Find other departments or organizations that have travelled the quality journey and that are widely respected. Request key representatives of those organizations to present their successful implementation stories to top management, and to other interested parties within the organization, stimulating interest. This will gain additional support and commitment within the organization. Where possible, invite other organizations' quality representatives to join the top management implementation committee.

19. ESTABLISH A PRELIMINARY IMPLEMENTATION PLAN — *step 3*



19.1 **Context** — Top management must approve the implementation plan before the project is initiated. A universal plan common to all organizations does not exist. Each organization must create its own implementation plan to fit its business needs. The progress of the implementation must be monitored on a regular basis, preferably using recognized project management tools and techniques.

19.2 **Action**

a. Ensure that the quality policy and goals align with the organization's key business objectives and with customer needs and expectations.

b. Set measurable quality objectives for the organization as described in ISO 9001:2000, subclause 5.4.1.

c. Ensure that the plan is aligned with the proposed scope of the ISO 9000:2000-compliant QMS, addressing expected resources, budget, deliverables, and timetable.

d. Align the QMS, based on the nature of the organization, and product or service it delivers, by identifying any pertinent exclusions if applicable, ensuring they are limited to the requirements of ISO 9001:2000, clause 7.

e. Establish an "implementation oversight" committee.

f. Determine if the services of a private consultant are required.

g. Initiate the process for selecting a registrar if registration has been identified as a requirement.

h. Develop the implementation plan to meet deadlines set by management, ensuring the deadlines are realistic.

i. Identify and schedule required training, ensuring that resources (human, financial and time) are available.

j. Develop a communication strategy to keep all stakeholders informed of progress.

19.3 **Guidance (Suggestions, Tips, Do's And Don'ts)** — The quality manual should document processes that impact on quality objectives. To ensure these objectives are met appropriate performance measures must be developed, monitored, and managed. Continual improvement is possible only if the impact of corrective and preventive actions can be tracked and the effectiveness and efficiency of the QMS quantified. Quality objectives and performance measures must be developed at an early stage and refined as the implementation progresses.

a. Identify an individual(s) with strong project management skills who can successfully manage such an important initiative. A good reference on project management is the Project Management Institute's *A Guide to Project Management Body of Knowledge (PMBOK),* available through the Project Management Institute (http://www.pmi.org).

b. Establish milestones for reporting progress to top management.

19.4 **Communication Strategy** — Leadership, commitment and involvement of top management are essential for developing and maintaining an effective and efficient QMS capable of achieving expected benefits for all stakeholders. Top management should consider the extent of resources and communications required to:

a. Develop and approve a strategy for communicating the achievement of the quality policy and objectives, including communicating customer requirements, organizational goals and implementing accomplishments. The communication strategy is a key component and a vital resource for involving employees to achieve quality objectives. Examples of successful communication activities include:

   i. Face-to-face awareness sessions for managers, staff and clients.

   ii. Establishment of a quality council.

   iii. Notice boards, newsletters and magazines.

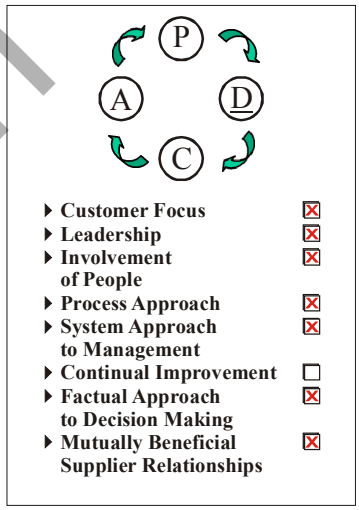
   iv. Large group presentations (both electronic and paper copies to maximize audience coverage).

   v. A variety of guest speakers addressing the impact of the implementation of a QMS on the organization.

b. Focus on dispelling preconceived notions by using and publicizing factual information.

A more detailed list of suggested elements for an effective and efficient communications strategy can be found in Appendix F.

20. CONDUCT GAP ANALYSIS — *step 4*



20.1 **Context** — A gap analysis identifies the differences between the current management system and the QMS defined by the ISO 9001:2000 standard. It becomes an essential component for identifying the full scope of work required in order to implement ISO 9001:2000 successfully. A detailed comparison of existing practices against the requirements of ISO 9001:2000 identifies the activities, components, and processes necessary to achieve ISO compliance.

20.2 **Action** — Assess the current (quality) management system against ISO 9001:2000 requirements in order to:

a. Identify processes or procedures needing to be modified (if described) or developed (if not described);

b. Evaluate the extent to which the existing processes and procedures are being followed;

c. Estimate resource requirements (capital, labour and time) to alleviate identified gaps.

20.3 **Guidance (Suggestions, Tips, Do's And Don'ts)**

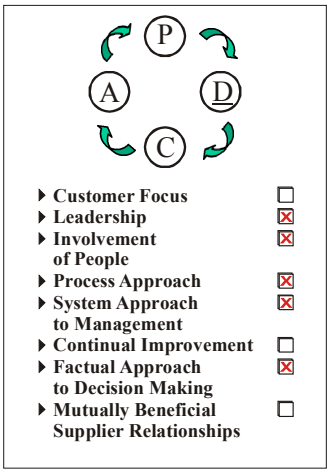
a. At this stage, the core team is seeking information for a good assessment of what really needs to be done. The gap analysis should be detailed enough to allow the core team and top management to make an informed decision on the extent of work required to address the gap effectively.

b. The gap analysis also needs to include top management's perception of how well the corporate objectives are currently being met; otherwise some (or all) of the improvement efforts based on the gap analysis could seem to be unnecessary to them.

c. The gap analysis shall be conducted by personnel who have a good knowledge of the ISO 9001:2000 requirements, have successfully completed an auditor-training course, and have experience in auditing.

20.4 **Communication Strategy** — A multifaceted approach to communicating the findings of the gap analysis should be employed. When presenting the results of the gap analysis, a concerted effort should be made to link the findings to the organization's vision for the future and to its policies and objectives. A more detailed communication strategy can be found in Appendix F.

21. FINALIZE IMPLEMENTATION PLAN — *step 5*



21.1 **Context** — With the additional information obtained from the gap analysis, the preliminary implementation plan produced in Step 3 must be revisited and updated. At this stage, all of the findings from the gap analysis should be incorporated in the implementation plan. The implementation plan should clearly identify required tasks, resource assignments and schedules, complete with milestone dates.

21.2 **Action**

a. Revisit and adjust the "Preliminary Implementation Plan" using the findings from the gap analysis (Step 4).

b. Arrange for consulting services as required.

c. Select a registrar if ISO registration remains (or has become) an objective.

d. Arrange for training, as required, in order to meet the new implementation plan.

21.3 **Guidance (Suggestions, Tips, Do's And Don'ts)**

a. Ensure that the agreed upon goals and expectations are realistic. Position the implementation initiative for success right from the outset — good, demonstrable progress will be needed along the way to maintain management commitment and staff support.

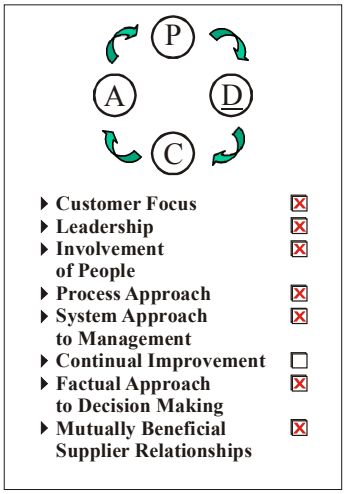
b. Again, gaining approval for the updated implementation plan with revised resources and timelines will confirm the degree of support and commitment of top management.

c. Confirm the communication plan.

d. If registration is required, identify potential registrars, interviewing more than one to ensure the best suitable registrar for the type of organization.

21.4 **Communication Strategy** — In developing and communicating the updated implementation plans, the communication strategy should continue to outline the ongoing firm commitment of top management, as well as progress to date and the benefits of implementing an ISO 9001:2000-compliant QMS. (See Appendix F.)

22. ADDRESS THE GAP (IMPLEMENTATION) — *step 6*



22.1 **Context** — All key findings from the gap analysis must be addressed. They shall be clearly documented, communicated and understood by the organization's core team and related key personnel. These key findings must be incorporated into the implementation plan, identifying the responsible personnel as well as the timeframe for completion.

22.2 **Action**

a. Define, document, implement and improve missing or outdated processes (use flowcharts and process maps as required).

b. Ensure that all key processes reflect current practices and are documented accordingly.

c. Make quality an ***integral*** part of the everyday activities by ensuring that the quality plan, objectives, and quality manual are aligned and incorporated into the organization's business plans.

d. Establish and document the elements of the quality manual (if not already in place). In accordance with ISO 9001:2000, document, as a minimum, procedures for the following six activities:

   i. Control of documents (subclause 4.2.3)

   ii. Control of records (subclause 4.2.4)

iii. Internal audit (subclause 8.2.2)

iv. Control of non-conforming product (subclause 8.3)

v. Corrective action (subclause 8.5.2)

vi. Preventive action (subclause 8.5.3).

e. Focus on customer requirements while addressing the development and implementation of the QMS. Deploy customer consultations such as satisfaction surveys to help improve the focus on customer needs and expectations.

f. Identify internal best practices.

g. Ensure that the required processes address any previously identified exclusion(s) in accordance with clause 7 of ISO 9001:2000.

h. Ensure that all processes are aligned to meet the established quality objectives.

i. Ensure that the processes address any regulatory or statutory requirements that the organization must meet.

j. Implement the new documented processes by providing the necessary training to personnel and by conducting audits to determine that the new processes have been followed.

22.3 **Guidance (Suggestions, Tips, Do's And Don'ts)**

a. Document key processes (document as they currently exist, not as one would like them to be). (See par. 22.4.)

b. Later through continual improvement, build on existing best practices found within the organization and outside the organization.

c. Use resident subject matter experts to assist in the mapping of the business processes; those who best understand the processes should be directly involved in preparing the documents.

d. Consider, where practical, involving staff from different areas of expertise and different yet linked organizational units in the drafting and rewriting of procedures.

e. Use the current corporate records management system and its resources to maintain the quality-related documentation.

f. Use simple tools, such as flowcharts, in drafting or reviewing procedures. Flowcharts eliminate ambiguity from procedures, clarify essential procedures and present them in a simple to follow, logical sequence.

22.4 **Supplementary Information**

22.4.1 ***Requirements*** — ISO 9001:2000 (subclause 4.2) requires documenting the processes as, and when, needed to ensure their effective planning, operation and control.

22.4.2 ***Role of Documentation***

a. Preserve the knowledge of the organization.

b. Provide a starting point for continual improvement.

c. Provide objective evidence (records) during internal and external audits.

d. Provide a framework for the mapping of a process.

e. Provide on-the-job training.

f. Ensure each process is capable of consistently meeting the planned results.

g. Provide appropriate training.

h. Evaluate effectiveness of the system.

i. Achieve product quality and quality improvement.

22.4.3 ***Structure of Documentation*** — Each organization determines the type of documentation and the media required. These depend on the combination of the following factors:

a. The size and complexity of the organization;

b. The complexity of processes and their interaction;

c. The competency of the employees;

d. The extent to which it is necessary to demonstrate conformity, including with client-group and stakeholder requirements.

22.4.3.1 Documentation plays a vital role within a successful ISO 9000:2000-compliant QMS. ISO/TR 10013:2001 provides useful guidelines for developing and maintaining quality documentation necessary to support an effective QMS. Typically, these guidelines reference the role and value of documentation, the type and extent of documentation required, and alternative media available. It is also important to understand the hierarchy of documentation usually found within an organization, as described below.

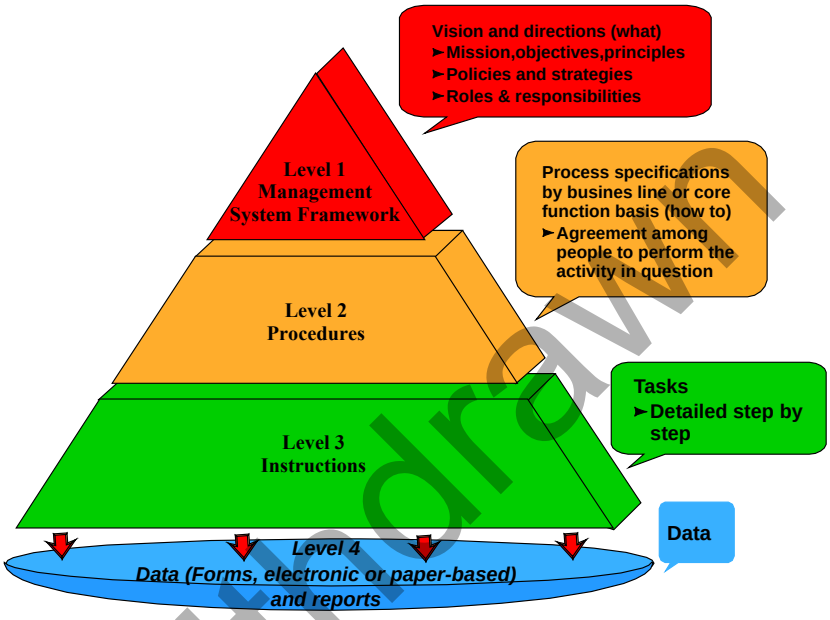
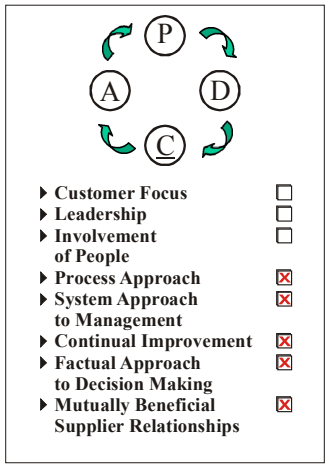


FIGURE 1

Hierarchy of Quality-Oriented Documentation

23. CONDUCT QUALITY MANAGEMENT SYSTEM REVIEW(S) — *step 7*



23.1 **Context** — The QMS review, conducted by top management or its authorized representative, is essentially the catalyst for continual improvement. The review should ensure that all previously made gains are sustainable and provide a solid platform for further progress. The energetic program of periodic QMS reviews, at planned intervals, focuses the organization on an ever-rising standard of excellence.

23.2 **Action**

a. Conduct management reviews to identify opportunities for proactive improvement and any need for changes to the QMS itself, including the quality policy and objectives:

i. Determine the extent of conformance to ISO 9001:2000 requirements.

ii. Determine the suitability, adequacy and effectiveness of the QMS at planned intervals.

b. Conduct internal audits to ensure that the QMS:

i. Conforms to the planned scope and associated permissible exclusion(s);

ii. Is effectively and efficiently implemented and maintained:

A. Take the necessary actions, without undue delay, to correct non-conformities;

B. Eliminate the root causes of the non-conformities and take any necessary actions to prevent other future non-conformities.

Note: *Internal audits provide vital input to the management reviews.*

23.3 **Guidance (Suggestions, Tips, Do's And Don'ts)**

a. Management review should include:

i. Audit reports (internal and external if applicable)

ii. Client groups feedback (surveys, complaints and comments)

iii. Staff feedback, including employee (satisfaction) surveys, and suggestions

iv. Process reports and production conformance analysis

v. The status of corrective and preventive actions

vi. The status of improvement actions

vii. Follow-up actions from earlier management reviews

viii. Other elements that may affect the QMS.

b. It is beneficial to work within applicable internal audit policies and guidelines already in place within the organization. As a guideline a successful auditing program should address:

i. Initiating the audit

ii. Reviewing documentation

iii. Preparing for the on-site audit

iv. Conducting the on-site audit

v. Reporting on audit findings

vi. Completing and closing the audit.

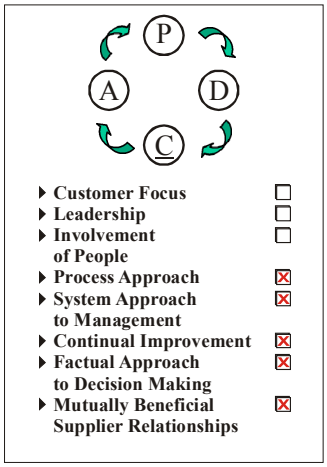
c. Some of the many references available to assist with the management reviews and quality internal audits include:

i. ISO 9000:2000 (subclauses 2.3 and 2.8)

ii. ISO 9004:2000 (subclauses 5.6 and 8.2.1.3)

iii. ISO 19011:2002 (See Appendix B).

24. ASSESS QMS BY A THIRD PARTY — *step 8 (optional)*



24.1 **Context** — An assessment by an independent third party organization (registrar) provides an external perspective on the success of the implementation initiative. It should be noted that if the organization chooses to become registered to ISO 9001:2000, an external assessment by an accredited registrar is recommended.

24.2 **Action**

a. If the organization has chosen to register the QMS to ISO 9001:2000, then use the selected accredited registrar for this assessment.

b. If the organization has not yet decided on ISO 9001:2000 registration, it may be prudent to select an accredited registrar for the assessment, which serves to introduce the registrar to the QMS, the organization and the environment.

c. If the organization is definitely not seeking ISO 9001:2000 registration, then any competent third party can conduct the assessment and provide useful feedback.

d. External assessments typically include the following activities:

   i. Preparing for the assessment, including managing concerns of both staff and management. Both staff and management must understand that internal and external assessments are aimed at measuring the level of compliance to ISO 9001:2000, not at evaluating the people operating the system. This is an opportunity to improve, and it must be seen as a positive impact on the organization.

   ii. Ensuring that all pertinent documentation is available;

   iii. Verifying that corrective actions arising from management reviews and internal audit findings have taken place;

   iv. Debriefing staff and management following the assessment;

   v. Planning for and undertaking any necessary corrective actions;

   vi. Ensuring that all employees are trained in the documented procedures and related quality policy and objectives.

e. A preliminary internal assessment is recommended to both manage expectations and minimize potential registration issues.

f. An accredited registrar must conduct all registration audits.

24.3 **Guidance (Suggestions, Tips, Do's And Don'ts)**

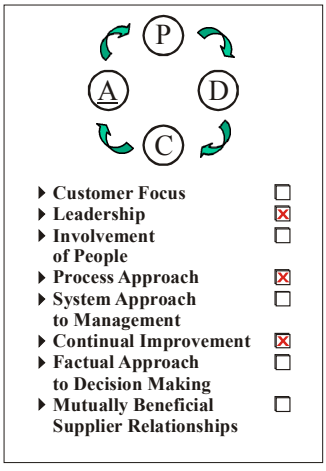
a. Managing expectations of staff and management is critical to success. Awareness sessions should be used to convey the organization's objective of having an independent external assessment or a registration audit. For example, emphasize the following:

   i. The main objective of an audit/assessment is to identify opportunities for continual improvement. The external assessor's role is to verify that the system is efficient and effective and that the documented system is aligned to the quality policies, objectives and planning.

   ii. Registration certifies that the organization's QMS complies with ISO 9001:2000 requirements, enabling worldwide recognition.

b. A list of accredited registrars can be obtained through the Standards Council of Canada (http://www.scc.ca/home_e.html).

25. CELEBRATE THE SUCCESSFUL QMS IMPLEMENTATION — *step 9*



25.1 **Context** — It is especially important to acknowledge the hard work and perseverance of all employees involved in the successful implementation.

25.2 **Action**

a. Organize a celebration for all employees, hosted by top management sponsors who speak fondly of the success.

b. Acknowledge the contributions of all involved.

c. Communicate the success throughout the organization.

d. Promote the success with visual displays, posters, logo, gifts, etc.

25.3 **Guidance (Suggestions, Tips, Do's And Don'ts)**

a. Ensure that the celebration is genuine and sincere; a lot of effort has gone into the development and implementation of the QMS. A lack of sincerity at this time will undermine the positive effects.

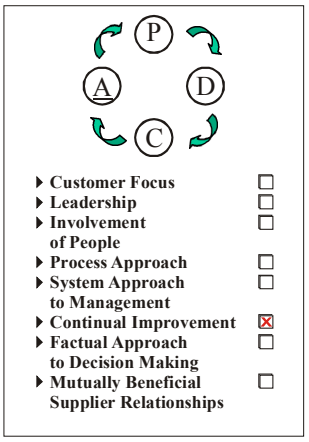
b. Recognize and acknowledge everyone's contribution, not just the "star performers."

c. Employees played a key role in the successful implementation, so consult them on how they would like to celebrate their success.

d. Ensure that others know of the celebration and the reason behind it; use this opportunity to arouse the interest of other colleagues, sister departments, senior management from other provincial and federal governments, etc. — put the staff and the successful implementation in the limelight.

e. Celebrate smaller successes throughout the implementation process every time a significant milestone is achieved.

26. SUSTAIN AND IMPROVE — *step 10*



26.1 **Context** — Successful implementation of the ISO 9001:2000-compliant QMS should not be viewed as The ultimate goal: excellence is often referred to as a journey and not a destination. It is important to maintain and manage the momentum associated with the successful QMS implementation. The organization must sustain the enthusiasm and management commitment in order to maintain an effective and efficient QMS. A strong organizational focus on satisfying the needs and expectations of customers and other stakeholders helps ensure continual improvement.

An on-going self-assessment should be considered to evaluate the effectiveness and efficiency of the organization and the maturity of the QMS. The self-assessment provides fact-based guidance to the organization regarding where to invest resources for its improvement. Self-assessment is usually performed by the organization's own management. The ISO 9004:2000 standard provides for a simple and easy-to-use approach to determine the relative degree of maturity of an organization's QMS and to identify the main areas for improvements. Appendix G illustrates a typical continual improvement journey

26.2 **Action**

a. Continually improve the effectiveness of the QMS by

   i. Reviewing and refreshing the quality policy and associated quality objectives;

   ii. Acting on findings from management reviews and internal audits;

   iii. Assessing the effectiveness of the corrective and preventive actions;

   iv. Measuring and improving processes that lead to client satisfaction;

   v. Measuring client satisfaction in relationship to their requirements;

   vi. Conducting special improvement initiatives, such as benchmarking;

   vii. Providing ongoing training and development, including training in quality tools.

b. Reinforce the need to sustain current performance and to continue on the quality journey:

   i. Ensure that the QMS remains a priority in the day-to-day operations by maintaining the focus on the eight quality management principles, starting with client satisfaction.

   ii. Maintain ongoing communication.

   iii. Strengthen the alignment between the QMS and the corporate business objectives.

   iv. Establish an employee recognition program based on improvement suggestions.

c. Where appropriate, consider using the following recognized standards for facilitating improvement:

   i. ISO 9004:2000 (subclauses 6.2.1 and 8.5)

   ii. Business Excellence Model criteria, as issued by national and regional quality associations. The National Quality Institute (NQI) Web site provides supporting articles such as "The New ISO 9001:2000 Standard and Organizational Excellence — Paving the way toward greater organizational performance" (http://www.nqi.ca/english/index.html).

26.3 **Guidance (Suggestions, Tips, Do's And Don'ts)**

a. The ISO 9004: 2000 standard provides guidelines beyond the requirements given in ISO 9001:2000 in order to consider both the effectiveness and efficiency of a quality management system, and consequently the potential for improvement of the performance of an organization. When compared to ISO 9001:2000, the objectives of customer satisfaction and product quality are extended to include the satisfaction of interested parties and the performance of the organization.

b. It is easier to sustain and improve the QMS if the subject remains on the agenda of top management, managers and supervisors, especially if measured results are being reviewed.

c. Use this opportunity to help management to lead and manage the organization in a more systematic and holistic manner.

d. Ensure management is kept well informed on the effectiveness, efficiency and the maturity level of the QMS.

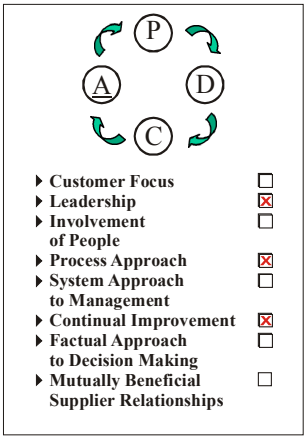
e. Be cautious of complacency creeping in once the implementation project transitions to regular day-to-day operations.

f. The likelihood of success is increased significantly if the ongoing evolution of the QMS is aligned closely to top management's annual performance contract and the organization's business plan.

g. Ensure that personnel performing work that affects quality have the relevant education, training, skills and experience.

h. For guidance on how to further improve, consider using substantiating criteria from recognized business excellence models such as the National Quality Institute's Framework for Business Excellence, the Malcolm Baldrige National Quality Award model, the European Foundation for Quality Model, etc.

27. CELEBRATE SUCCESSFUL SUSTAINABILITY — *step 11*



27.1 **Context** — Additional benefits to the organization are realized as the QMS matures, and therefore it is important to seek out, recognize and acknowledge these as they arise.

27.2 **Action**

a. Celebrate ongoing key improvements as they arise.

b. Recognize and publicize success stories.

c. Revisit the recognition program and refresh if necessary.

27.3 **Guidance (Suggestions, Tips, Do's And Don'ts)**

a. Plan to celebrate every time a higher level of "performance" is achieved.

b. Emphasize within all communications the benefits gained by staff and by the organization as a whole resulting from the QMS maturing. Remember that one can never communicate too much!

c. Ensure the quality effort remains aligned with the organization's business plans.

d. A robust employee recognition program provides an invaluable source of useful ideas and suggestions for continuing to improve the QMS and the organization as a whole.

e. To maintain support for improving the QMS, share successes not only within the organization but also with external organizations — recognition from outside the organization validates the efforts and benefits the egos of all involved.

f. Beware of complacency! Learn how other successful organizations have sustained improved performance and maintained management commitment.

28. CONCLUSION OF PART 3

28.1 The key elements of Part 3 are summarized below:

a. The development of an implementation plan is unique to your organization and will vary according to the size, regional distribution and complexity of your organization.

b. This guideline proposes 11 steps; however, the actual number of steps and the sequence of the steps must be decided by management following a review of what will be in the organization's best interests.

c. The visible commitment of top management and its active participation during the development, implementation and ongoing improvement processes is essential to the eventual success of the exercise.

d. Effective and frequent communication is essential to the overall success of the project.

e. The eight quality management principles remain the foundation of ISO 9000:2000. (See Appendix A.)

QUALITY MANAGEMENT PRINCIPLES [A1]

There are 8 quality management principles:

1. Customer-Focused Organization
2. Leadership
3. Involvement of People
4. Process Approach
5. System Approach to Management
6. Continual Improvement
7. Factual Approach to Decision Making
8. Mutually Beneficial Supplier Relationships

A quality management principle is a comprehensive and fundamental rule or belief, for leading and operating an organization, aimed at continually improving performance over the long term by focusing on customers while addressing the needs of all other stakeholders.

When applying the eight quality management principles, organizations will produce benefits for customers, owners, people, suppliers, local communities and society at large. The organization should be familiar not only with the requirements of the new ISO 9001:2000, but also with the content and philosophies of ISO 9000:2000, ISO 9004:2000 and the quality management principles.

Furthermore, the customer activities and processes should be clearly understood and the requirements of the standards appropriately interpreted to add value to the operations.

PRINCIPLE 1 — CUSTOMER-FOCUSED ORGANIZATION

Organizations depend on their clients and therefore should understand current and future customer needs, meet customer requirements and strive to exceed customer expectations.

Key Benefits	Applying The Principle Of Customer Focus Typically Leads To
a. Increased revenue and market share obtained through flexible and fast responses to market opportunities. b. Increased effectiveness in the use of the organization's resources to enhance customer satisfaction. c. Improved customer loyalty leading to repeat business.	a. Researching and understanding customer needs and expectations. b. Ensuring that the objectives of the organization are linked to customer needs and expectations. c. Communicating customer needs and expectations throughout the organization. d. Measuring customer satisfaction and acting on the results. e. Systematically managing customer relationships. f. Ensuring a balanced approach between satisfying customers and other interested parties (such as owners, employees, suppliers, financiers, local communities and society as a whole).

Example of Application of Principle 1

Some programs are already emerging within the Federal government such as the "Service Improvement Initiative (SII)." This initiative is to stimulate efforts to monitor, from within, service to the public and to measure how well this service responds to the public need.

[A1] *Most of the text that follows, excluding comments under the heading "Example of Application of Principle," is taken from ISO/TC176/SC2/WGIS/N13, available from the World Wide Web @ http://iso.org/iso/en/iso9000-14000/iso9000/qmp.html*

PRINCIPLE 2 — LEADERSHIP

Leaders establish unity of purpose and direction of the organization. They should create and maintain the internal environment in which people can become fully involved in achieving the organization's objectives.
Key Benefits

Key Benefits	Applying The Principle Of Leadership Typically Leads To
a. People will understand and be motivated towards the organization's goals and objectives. b. Activities are evaluated, aligned and implemented in a unified way. c. Miscommunication between levels of an organization will be minimized.	a. Considering the needs of all interested parties including customers, owners, employees, suppliers, financiers, local communities and society as a whole. b. Establishing a clear vision of the organization's future. c. Setting challenging goals and targets. d. Creating and sustaining shared values, fairness and ethical role models at all levels of the organization. e. Establishing trust and eliminating fear. f. Providing people with the required resources, training and freedom to act with responsibility and accountability. g. Inspiring, encouraging and recognizing people's contributions.

Example of Application of Principle 2

Leadership starts with the desire to meet customer needs and to plan how the organization will allocate its resources to meet these needs. Strategic planning is a perfect example of leadership through planning, which is itself a dynamic exercise.

PRINCIPLE 3 — INVOLVEMENT OF PEOPLE

People at all levels are the essence of an organization and their full involvement enables their abilities to be used for the organization's benefit.

Key Benefits	Applying The Principle Of Involvement of People Typically Leads To
a. Motivated, committed and involved people within the organization. b. Innovation and creativity in furthering the organization's objectives. c. People being accountable for their own performance. d. People eager to participate in and contribute to continual improvement.	a. People understanding the importance of their contribution and role in the organization. b. People identifying constraints to their performance. c. People accepting ownership of problems and their responsibility for solving them. d. People evaluating their performance against their personal goals and objectives. e. People actively seeking opportunities to enhance their competence, knowledge and experience. f. People freely sharing knowledge and experience. g. People openly discussing problems and issues.

Example of Application of Principle 3

Effective communication is a key to involving people throughout the implementation process. If management does not share with people in the organization the vision, the customer needs, the objectives and responsibilities, it is almost impossible for them to get involved and for people to contribute to the success of the organization. (See Appendix F.)

PRINCIPLE 4 — PROCESS APPROACH

A desired result is achieved more efficiently when related resources and activities are managed as a process.

Key Benefits	Applying The Principle Of Process Approach Typically Leads To
a. Lower costs and shorter cycle times through effective use of resources. b. Improved, consistent and predictable results. c. Focused and prioritized improvement opportunities.	a. Systematically defining the activities necessary to obtain a desired result. b. Establishing clear responsibility and accountability for managing key activities. c. Analyzing and measuring of the capability of key activities. d. Identifying the interfaces of key activities within and between the functions of the organization. e. Focusing on the factors such as resources, methods, and materials that will improve key activities of the organization. f. Evaluating risks, consequences and impacts of activities on customers, suppliers and other interested parties.

Example of Application of Principle 4

A public sector organization may use hundreds of processes. Each process contributes to the attainment of the goals and objectives of the organization and the fulfillment of customer needs.

PRINCIPLE 5 — SYSTEM APPROACH TO MANAGEMENT

Identifying, understanding and managing interrelated processes as a system for a given objective contributes to the organization's effectiveness and efficiency in achieving its objectives.

Key Benefits	Applying The Principle Of System Approach To Management Typically Leads To
a. Integration and alignment of the processes that will best achieve the desired results. b. Ability to focus effort on the key processes. c. Providing confidence to interested parties about the consistency, effectiveness and efficiency of the organization.	a. Structuring a system to achieve the organization's objectives in the most effective and efficient way. b. Understanding the interdependencies between the processes of the system. c. Structured approaches that harmonize and integrate processes. d. Providing a better understanding of the roles and responsibilities necessary for achieving common objectives and thereby reducing cross-functional barriers. e. Understanding organizational capabilities and establishing resource constraints prior to action. f. Targeting and defining how specific activities within a system should operate. g. Continually improving the system through measurement and evaluation.

Example of Application of Principle 5

Among these hundreds of processes, the majority of them interact with each other. Organizations need to have an "aerial view" of the interrelations of each of the processes. A mapping of these interrelated processes is the beginning of a systems approach.

PRINCIPLE 6 — CONTINUAL IMPROVEMENT

Continual improvement should be a permanent objective of the organization.

Key Benefits	Applying The Principle Of Continual Improvement Typically Leads To
a. Performance advantage through improved organizational capabilities. b. Alignment of improvement activities at all levels to an organization's strategic intent. c. Flexibility to react quickly to opportunities.	a. Employing a consistent organization-wide approach to continual improvement of the organization's performance. b. Providing people with training in the methods and tools of continual improvement. c. Making continual improvement of products, processes and systems an objective for every individual in the organization. d. Establishing goals to guide, and measures to track, continual improvement. e. Recognizing and acknowledging improvements.

Example of Application of Principle 6

Everybody appreciates well-managed public funds. As individual and community expectations towards public organizations will increase over time, leadership (principle 2) and customer focus (principle 1) should dictate priorities for continual improvement.

PRINCIPLE 7 — FACTUAL APPROACH TO DECISION MAKING

Effective decisions are based on the analysis of data and information.

Key Benefits	Applying The Principle Of Factual Approach To Decision Making Typically Leads To
a. Informed decisions. b. An increased ability to demonstrate the effectiveness of past decisions through reference to factual records. c. Increased ability to review, challenge and change opinions and decisions.	a. Ensuring that data and information are sufficiently accurate and reliable. b. Making data accessible to those who need it. c. Analyzing data and information using valid methods. d. Making decisions and taking action based on factual analysis, balanced with experience and intuition.

Example of Application of Principle 7

An organization will know if it is improving only if it has and monitors a set of performance measurements. Graphs, performance indicators, data collection and analysis are examples of measurement tools to be used to make informed decisions. The data generated from the different measurement tools can be used to measure customer satisfaction (principle 1), objectives (principle 2) and processes (principle 4). Some public organizations call these measurement programs its “Scorecard” and “Dashboard.”

PRINCIPLE 8 — MUTUALLY BENEFICIAL SUPPLIER RELATIONSHIPS

An organization and its suppliers are interdependent, and a mutually beneficial relationship enhances the ability of both to create value.

Key Benefits	Applying The Principle Of Mutually Beneficial Supplier Relationships Typically Leads To
a. Increased ability to create value for both parties. b. Flexibility and speed of joint responses to changing market or customers needs and expectations. c. Optimization of costs and resources.	a. Establishing relationships that balance short-term gains with long-term considerations. b. Pooling of expertise and resources with partners. c. Identifying and selecting key suppliers. d. Clear and open communication. e. Sharing information and future plans. f. Establishing joint development and improvement activities. g. Inspiring, encouraging and recognizing improvements and achievements by suppliers.

Example of Application of Principle 8

Suppliers are not only providers, they are in fact an extension of your own organization and become a key partner to the success of your operation.

THE ISO 9000 FAMILY

The standards, guidelines and technical reports that make up the ISO 9000 family and that are listed below are available separately or as collections. The ISO 9000 Compendium presents the ISO 9000 family in paper format.

Standards And Guidelines	Purpose
ISO 9000:2000: Quality management systems — Fundamentals and vocabulary	Establishes a starting point for understanding the standards and defines the fundamental terms and definitions used in the ISO 9000 family, which you need to avoid misunderstandings in their use.
ISO 9001:2000: Quality management systems — Requirements	The requirement standard you use to assess your ability to meet customer and applicable regulatory requirements and thereby address customer satisfaction. It is now the only standard in the ISO 9000 family against which third-party certification can be carried out.
ISO 9004:2000: Quality management systems — Guidelines for performance improvements	Provides guidance for continual improvement of your quality management system to benefit all parties through sustained customer satisfaction.
ISO 19011:2002: Guidelines for quality and/or environmental management systems auditing	Provides you with guidelines for verifying the system's ability to achieve defined quality objectives. You can use this standard internally or for auditing your suppliers.
ISO 10005:1995: Quality management — Guidelines for quality plans	Provides guidelines to assist in the preparation, review, acceptance and revision of quality plans.
ISO 10006:1997: Quality management — Guidelines to quality in project management	Guidelines to help you ensure the quality of both the project processes and the project products.
ISO 10007:1995, Quality management — Guidelines for configuration management	Guidelines to help you ensure that a complex product continues to function when components are changed individually.
ISO/DIS 10012-1:1992: Quality assurance requirements for measuring equipment — Part 1: Metrological confirmation system for measuring equipment	Gives you guidelines on the main features of a calibration system to ensure that measurements are made with the intended accuracy.
ISO 10012-2:1997: Quality assurance for measuring equipment — Part 2: Guidelines for control of measurement processes	Provides supplementary guidance on the application of statistical process control when this is appropriate for achieving the objectives of Part 1.
ISO/TR 10013:2001: Guidelines for quality management system documentation	Provides guidelines for the development, and maintenance of quality manuals, tailored to your specific needs.
ISO/TR 10014:1998: Guidelines for managing the economics of quality	Provides guidance on how to achieve economic benefits from the application of quality management.
ISO 10015:1999: Quality management — Guidelines for training	Provides guidance on the development, implementation, maintenance and improvement of strategies and systems for training that affects the quality of products.
ISO/TS 16949:2002: Quality management systems — Particular requirements for the application of ISO 9001:2000 for automotive production, and relevant service part organizations	Sector-specific guidance for applying ISO 9001 in the automotive industry.

CUSTOMER SERVICES

One of the government's means to support the *Results for Canadians* citizen focus and to modernize government management is the Service Improvement Initiative.[C1] This initiative is intended to achieve significant, quantifiable improvement (of 10%) in client satisfaction with services over the next five years. The initiative gives departments and agencies a framework for improving service delivery, which adopts a citizen's "outside-in" perspective, which is results-based, and which is anchored in clients' own service expectations and improvement priorities.

The essence of this initiative, as described in *Toward Citizen-Centred Service Delivery: A How-to Guide for the Service Improvement Initiative*[C2] is that the continuous and measurable increase in client satisfaction is the most reliable indicator of improvement in service quality and service performance. Increased client satisfaction can be achieved by measuring clients' expectations and priorities for improvement, setting service standards linked to these expectations and revising service delivery processes accordingly, monitoring performance against these service standards, and then measuring client satisfaction and expectations again. Continual improvement would then take place by repeating this process. The Service Improvement Initiative commits government departments to report within their Departmental Performance Reports to Parliament the following: service standards for all key public services; performance against service standards; annual improvements in client satisfaction; and progress toward client satisfaction targets.

A key feedback tool for the Service Improvement Initiative is the Common Measurements Tool (CMT), developed by the Citizen-Centred Service Network, through the leadership of the Canadian Centre for Management Development (CCMD) in 1998. The CMT provides public organizations with a set of standard questions and measurement scales for use in surveying their clients. It is based on five key elements: client expectations, perceptions of the service experience, satisfaction levels, levels of importance, and priorities for service improvements. Additional information can be found at the CCMD Web site (http://www.ccmd-ccg.gc.ca/main_e.html.http://www.ccmd-ccg.gc.ca).

A major application of the CMT is Citizens First 2000. This survey of 80,000 randomly selected households in Canada identified five "drivers" of quality service for government programs: timeliness; knowledgeable, competent staff; "the extra mile/the extra smile" (courtesy, and ensuring that the client has the best possible service experience); fair treatment; and outcome. The Institute of Public Administration of Canada (IPAC) and the Public Sector Service Delivery Council commissioned Erin Research Inc. to conduct the survey. The study was sponsored by all the provinces; the Yukon Territory; the Government of Canada; and the cities of Montreal, Toronto and Vancouver. The study was published by IPAC in 2001. The report can be found at the IPAC Web site (http://www.ipaciapc.ca/english/new/citizens.htm).

The Ontario Common Service Standards define minimum performance levels that ministries are expected to achieve, with quantitative targets for the following:

Telephone Service — For example, calls are to be answered by the third ring, eight times out of ten, during core business hours; calls are not to be redirected more than once.

Correspondence — For example, fax or e-mail is to be answered within 15 days of receipt or acknowledged within five days if a conclusive response is not possible within that time frame.

Walk-in Service and Complaint Resolution — For example, complaints are to be acknowledged within two days.

[C1] *Treasury Board of Canada Secretariat,* A Policy Framework for Service Improvement in the Government of Canada *(June 2000); available from World Wide Web @ http://www.tbs-sct.gc.ca/pubs_pol/sipubs/si_as/pfsi_e.html*

[C2] *Treasury Board of Canada Secretariat (December 2000); available from World Wide Web @ http://www.tbs-sct.gc.ca/si-si/sii-ias/howto/index_e.shtml.*

PDCA CYCLE

The **PDCA** cycle is a dynamic cycle that can be deployed within the organization's processes. It is intimately associated with the planning, implementation, control and continual improvement of both the product realization and other quality management system processes. Maintaining and continually improving the process capability can be applied equally to high-level strategic processes, such as the quality management system planning, or management review, or to simple operational activities conducted as part of product realization processes.

Subclause 0.2 of the ISO 9001:2000 standard [D1] explains that the PDCA cycle applies to processes as follows:

Plan: Establish the objectives and processes necessary to deliver results in accordance with customer requirements and the organization's policies.

Do: Implement the processes.

Check: Monitor and measure processes and product against policies, objectives and requirements for the product and report the results.

Act: Take actions to continually improve process performance.

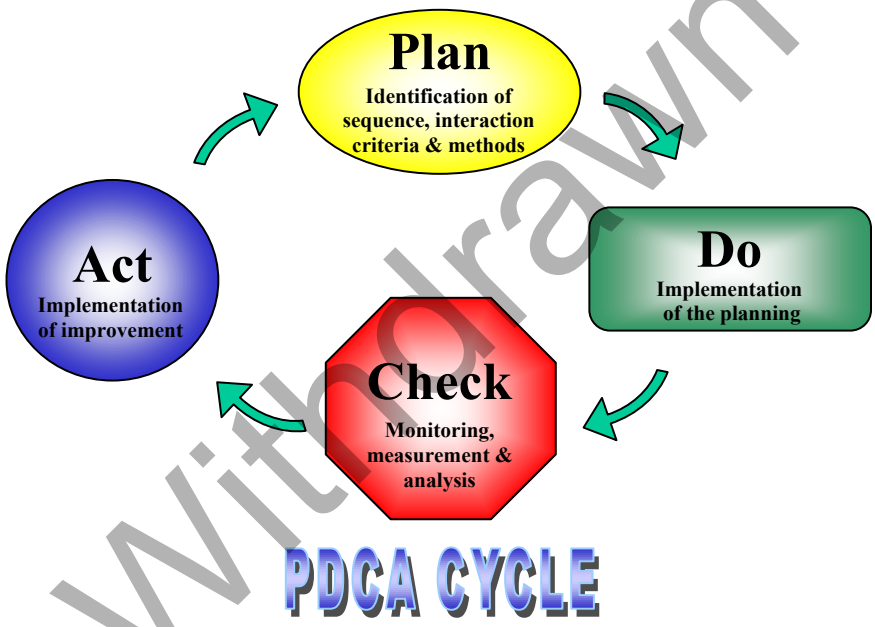


FIGURE D1

PDCA Cycle

[D1] *[ISO] International Organization for Standardization.* Quality Management Systems — Requirements: *ISO 9001:2000 (Geneva: ISO, December 2000).*

QUALITY MANAGEMENT REPRESENTATIVE

In some organizations, the Quality Management Representative could also be called the Quality Representative, Quality Co-ordinator, Quality Leader, or other similar terms.

Top management shall appoint a member of management who, irrespective of other responsibilities, shall have responsibility and authority that includes:

a. Ensuring that processes needed for the quality management system are established, implemented and maintained;

b. Reporting to top management on the performance of the quality management system and any need for improvement; and

c. Ensuring the promotion of awareness of customer requirements throughout the organization.

Examples of responsibilities typically assigned to a quality management representative include the following tasks:

a. Hold annual management review meetings
b. Prepare and maintain the quality manual
c. Ensure that ISO requirements are satisfied
d. Administer the internal quality audit program
e. Report on preventive action information
f. Ensure timely closure of corrective actions
g. Respond to customer complaints
h. Identify training needs related to quality
i. Convene special sessions of the steering or quality committee
j. Approve agendas for management review meetings.

Examples of authority typically given to quality management representatives include the following tasks:

a. Authorize corrective actions
b. Approve and assign internal auditors
c. Reassign quality personnel
d. Change frequency of, and representation at, management review meetings
e. Authorize changes to departmental quality systems procedures
f. Authorize expenditures.

COMMUNICATION-RELATED PROCESSES

The communication processes promote the exchange of information necessary for the implementation project. They ensure timely and appropriate generation, collection, dissemination, storage and ultimate disposition of project information.

The key elements of a communication strategy are

— Communication planning
— Information management
— Communication control.

Communication Planning

The top management and its implementation team should ensure that appropriate communication processes are established for the project and that communication focuses on the effectiveness of the quality management system.

Communication planning should take into account the needs of the implementation project, customers and other stakeholders. The communication plan should define the information that will be formally communicated, the media used to transmit it, and the frequency of communication. The requirements for the purpose, frequency, timing and records of meetings should be defined in the communications plan.

The format, language and structure of project communication plan should be standardized to ensure compatibility. The communication plan should define the information management system; identify who will send and receive information; and reference the relevant document control, record control, and security procedures.

The complexity of the information management system depends upon the size of the organization, the number of facilities, and its structures.

Information Management

Procedures for information preparation, collection, identification, classification, updating, distribution, filing, storage, protection, retrieval, retention time and disposition should be defined.

The way in which information is managed should take into consideration the needs of both the project implementation complexity and the structure of the organizations. Recorded information should indicate conditions prevailing at the time the activity was recorded. This will allow the validity and relevance of the information to be verified for use in other projects.

To be effective, information should be relevant to the needs of the recipients, clearly presented, and distributed with strict adherence to time schedules. All agreements, including informal ones, affecting the project performance should be formally documented.

Rules and guidelines for meetings should be established appropriate to the type of meeting. Meeting agendas should be distributed in advance and should identify, for each item, the personnel whose attendance is required. Minutes of meetings should include decisions made, outstanding issues, the agreed actions and the personnel assigned to carry them out. These minutes should be distributed to relevant parties within an agreed time.

Communication Control

The communication system should be implemented as planned, monitored and reviewed to ensure it continues to meet the needs of the project. Particular attention should be given to interfaces between functions and organizations where misunderstandings and conflicts may occur.

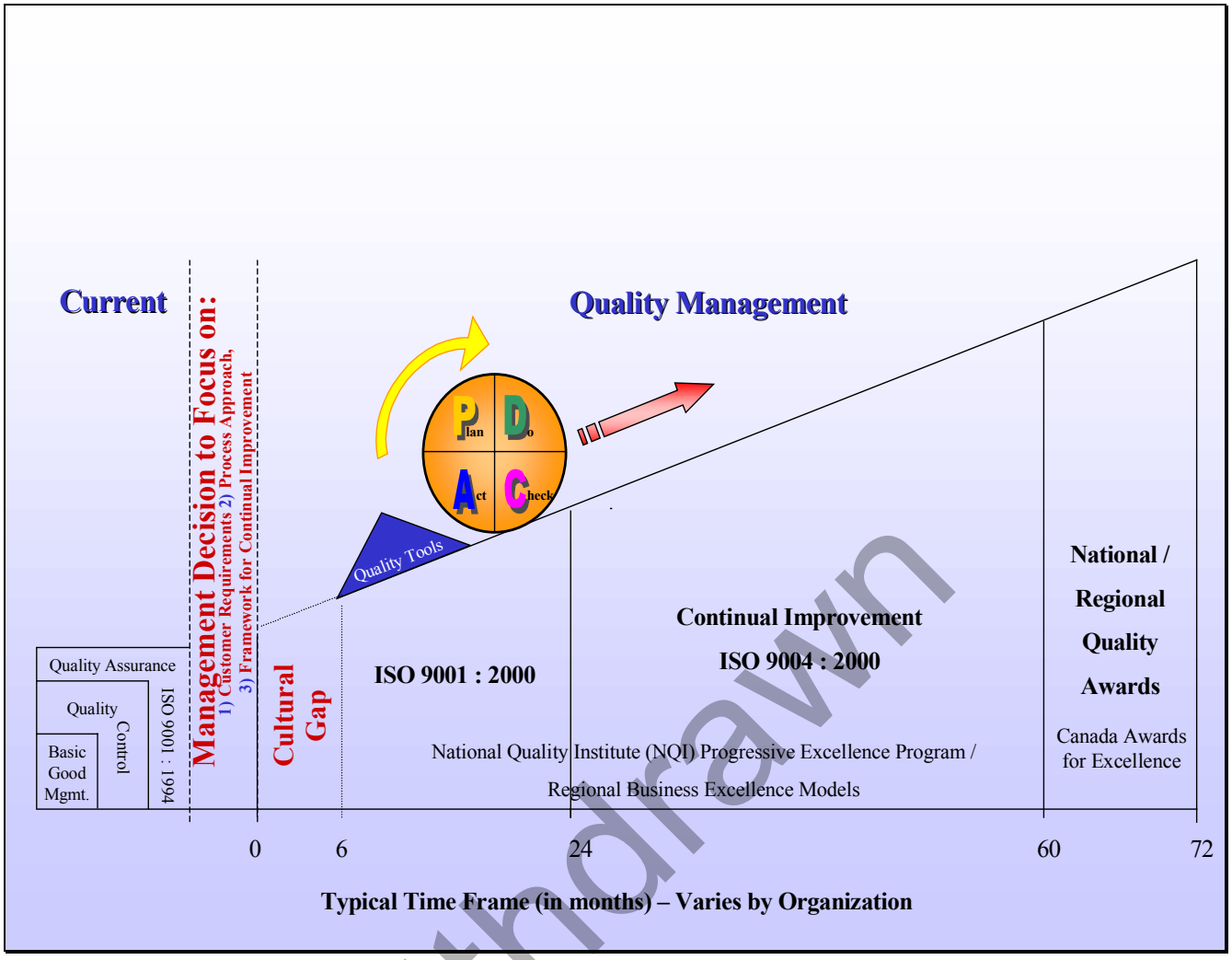


FIGURE G1

Continual Improvement Journey

WEB SITES AND REFERENCE MATERIAL

The following electronic connections were valid at the date of publication.

International Organization for Standardization (ISO)

a. ISO Home Page: general information about the ISO 9001:2000 and ISO 9004:2000 revision program; available @ http://www.iso.org/iso/en/ISOOnline.frontpage

b. ISO 9000 and 14000: available @ http://www.iso.org/iso/en/iso9000-14000/index.html

c. ISO Technical Committee (TC) 176:

   i. General information on the structure and work program of ISO/TC 176 including links to other Web sites; available @ http://www.tc176.org

   ii. Hosted by the British Standards Institution (BSI), which provides the Secretariat to ISO/TC 176/SC 2, this site gives detailed information on the ISO 9001 and ISO 9004 revision program; available @ http://www.bsi.org.uk/iso-tc176-sc2/

d. ISO press release on "Guidelines for health care sector": available @ http://www.iso.org/iso/en/commcentre/pressreleases/2001/Ref802.html

Canadian Web Sites

Canadian Centre for Management Development (CCMD): available @ http://www.ccmd-ccg.gc.ca/main_e.html

Canadian Public Sector Quality Association: available @ http://www.orioncanada.com/cpsqa/amain.html

Conference Board of Canada: available @ http://www.conferenceboard.ca/

Government of Ontario:

a. Common Service Standards: available @ http://www.ontariodelivers.gov.on.ca/english/generic.pdf

b. Ontario Public Service Initiative: available @ http://www.ontariodelivers.gov.on.ca/english/qs_cornerstones/intro.htm

National Quality Institute (NQI): documentation on ISO and quality such as "ISO Standard and NQI — PEP Progressive Excellence Criteria." Also provides supporting articles such as "The New ISO 9000:2000 Standard and Organizational Excellence — Paving the way toward greater organizational performance"; available @ http://www.nqi.ca/english/index.html

Project Management Institute: *A Guide to Project Management Body of Knowledge;* available @ http://www.pmi.org

Standards Council of Canada (SCC): SCC provides a number of documents on ISO 9000, including the *Management Systems Standards: The Story So Far — Canada's experience with ISO 9000, ISO 14000 and QS-9000* (October 2000); available @: http://www.scc.ca/home_e.html

Treasury Board of Canada Secretariat:

a. ISO 9000 references for Information and Technology (IT) Standards; available @ http://www.cio-dpi.gc.ca/its-nit/st_tbit_qa_e.asp

b. *Report of the Independent Review Panel on Modernization of Comptrollership in the Government of Canada*; available @ http://www.tbs-sct.gc.ca/Pubs_pol/partners/rirp_e.html

c. Service Improvement Initiative (SII), with Web site links to the following documents:

i. *A Policy Framework for Service Improvement in the Government of Canada*; available @ http://www.tbs-sct.gc.ca/pubs_pol/sipubs/si_as/pfsi_e.html

ii. *Results for Canadians: A Management Framework for the Government of Canada*; available @ http://www.tbs-sct.gc.ca/res_can/rc_e.html

iii. *Toward Citizen-Centred Service Delivery: A How-to-Guide for the Service Improvement Initiative (December 2000)*; available @ http://www.tbs-sct.gc.ca/si-si/sii-ias/howto/index_e.shtml

Other Useful Web Sites

American National Standards Institute (ANSI): available @ http://web.ansi.org/

American Society for Quality (ASQ): available @ http://www.asq.org/

Association française de normalisation (AFNOR): click on the British flag on top of the opening page for the English version; available @ http://www.afnor.fr/Portail/portail.asp

Institute of Quality Assurance (IQA): available @ http://www.iqa.org/

Le Mouvement québecois de la qualité: available @ http://www.qualite.qc.ca

Standards Australia: available @ http://www.standards.com.au/catalogue/script/search.asp

Reference Material

Canadian Standards Association (CSA): *The ISO 9000 Essentials: A Practical Handbook for Implementing the ISO 9000 Standards.* This publication may be obtained from CSA, 178 Rexdale Boulevard, Toronto, Ontario M9W 1R3.