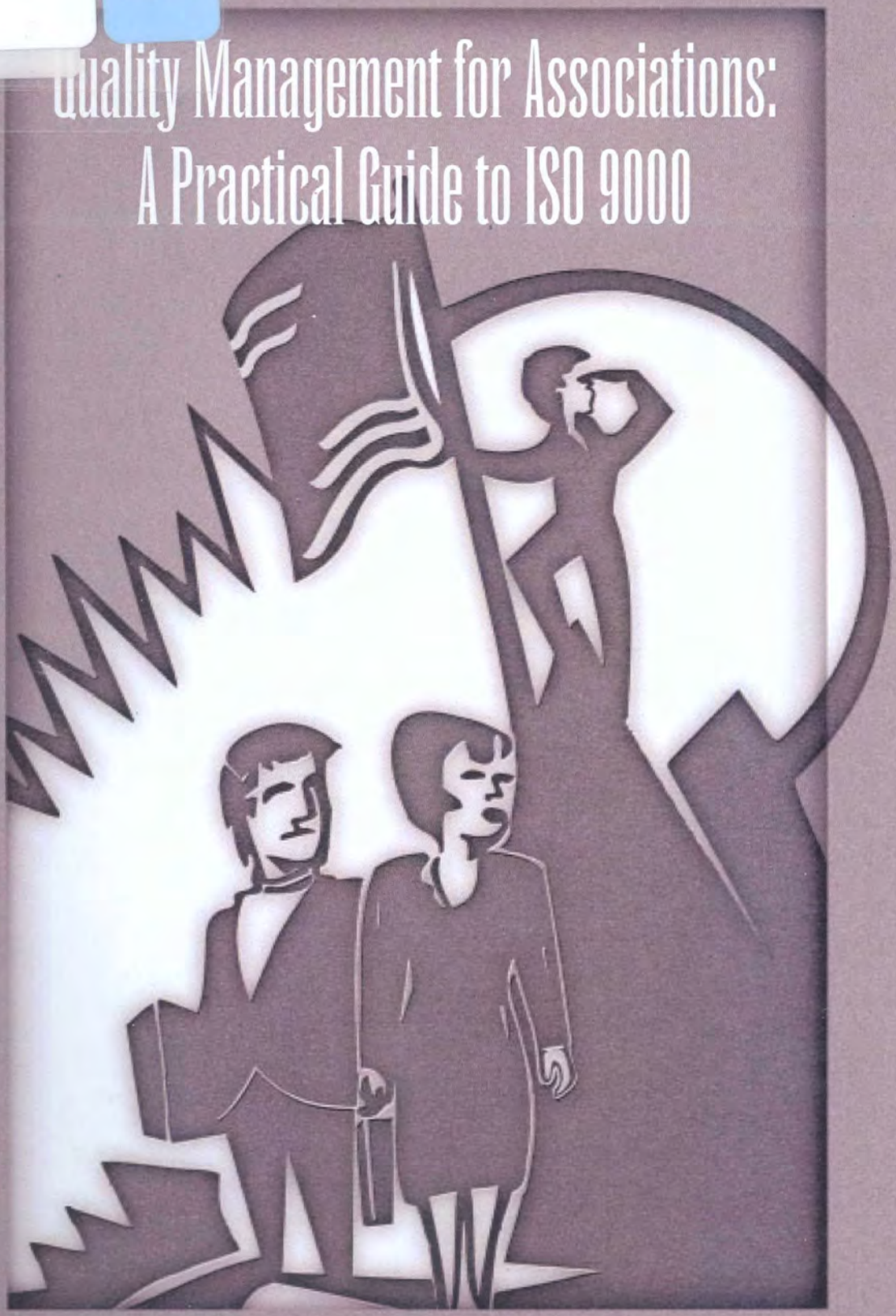
Quality Management for Associations: A Practical Guide to ISO 9000



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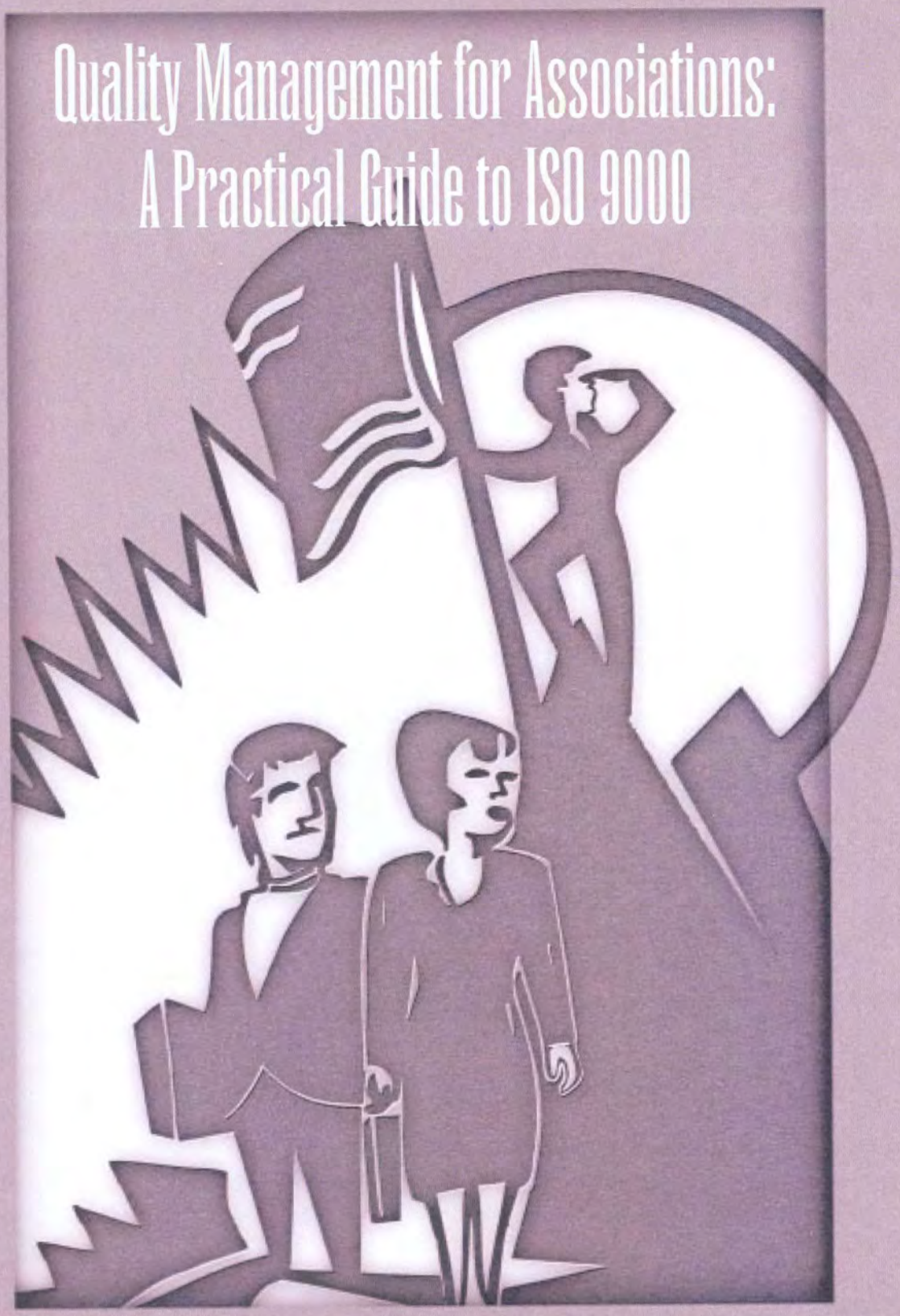

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Quality Management for Associations: A Practical Guide to ISO 9000

Industry Canada Industrie Canada

Have you considered ISO 9000? Although many people associate these quality standards with manufacturers, ISO 9000 standards are applicable to a wide variety of organizations looking to improve client services. That could include your association.

A number of leading-edge industry associations have begun to look to ISO 9000 to help them develop a quality management system. One of these organizations, the Automotive Industries Association of Canada (AIA), approached Industry Canada and we joined them in a project to explore the possibilities of applying ISO 9000 to associations.

AIA staff have generously shared the lessons they learned in their successful pursuit of ISO 9000 registration. Those lessons form the basis of *Quality Management for Associations: A Practical Guide to ISO 9000*. Industry Canada, in conjunction with the Canadian Society of Association Executives, is making it available to you so you can learn more about ISO 9000 standards and how they might apply to your organization.

At Industry Canada, we realize that we cannot meet our goal of contributing to a healthy and innovative economy without partners such as AIA. As you read this guide we hope you will consider the role you can play in making the Canadian economy stronger by encouraging and supporting quality initiatives in your association and your member organizations.

Adopting ISO 9000 is not the only way to implement a quality management system, nor is it the right approach for every association. For many, however, it can be a useful tool. If you have been looking for assistance with your own quality initiative, this guide provides plenty of information about ISO 9000, written in plain language and with practical examples.

John M. Banigan
Assistant Deputy Minister, Industry Sector
Industry Canada

Canada

aia Canada

Quality services don't just happen. It takes an organization-wide commitment to meet clients' needs.

That sort of commitment only develops when there is a coordinated effort, when staff focus their enthusiasm and professionalism on quality management. At the Automotive Industries Association of Canada, we are always working to deliver the best quality services to our members. After a preliminary review of the options, we decided to use the ISO 9000 quality standards as a practical template when we developed our quality system.

Industry Canada responded enthusiastically when we invited them to see what we were doing. As a result, they joined with us in a project to determine the applicability of ISO 9000 to associations. That project was a success, and I take this opportunity to thank the department again for its support.

The most significant outcome of this project is that we discovered that ISO 9000 can benefit an association seeking to put a quality system in place. This guide incorporates many of the lessons we learned. I highly recommend it to other associations interested in exploring ways to enhance the quality of the services they provide to their members. Whether you eventually seek ISO 9000 registration or just use the standards as the basis for your own quality system, you will find the information in these pages useful.

Raymond R. Datt
President
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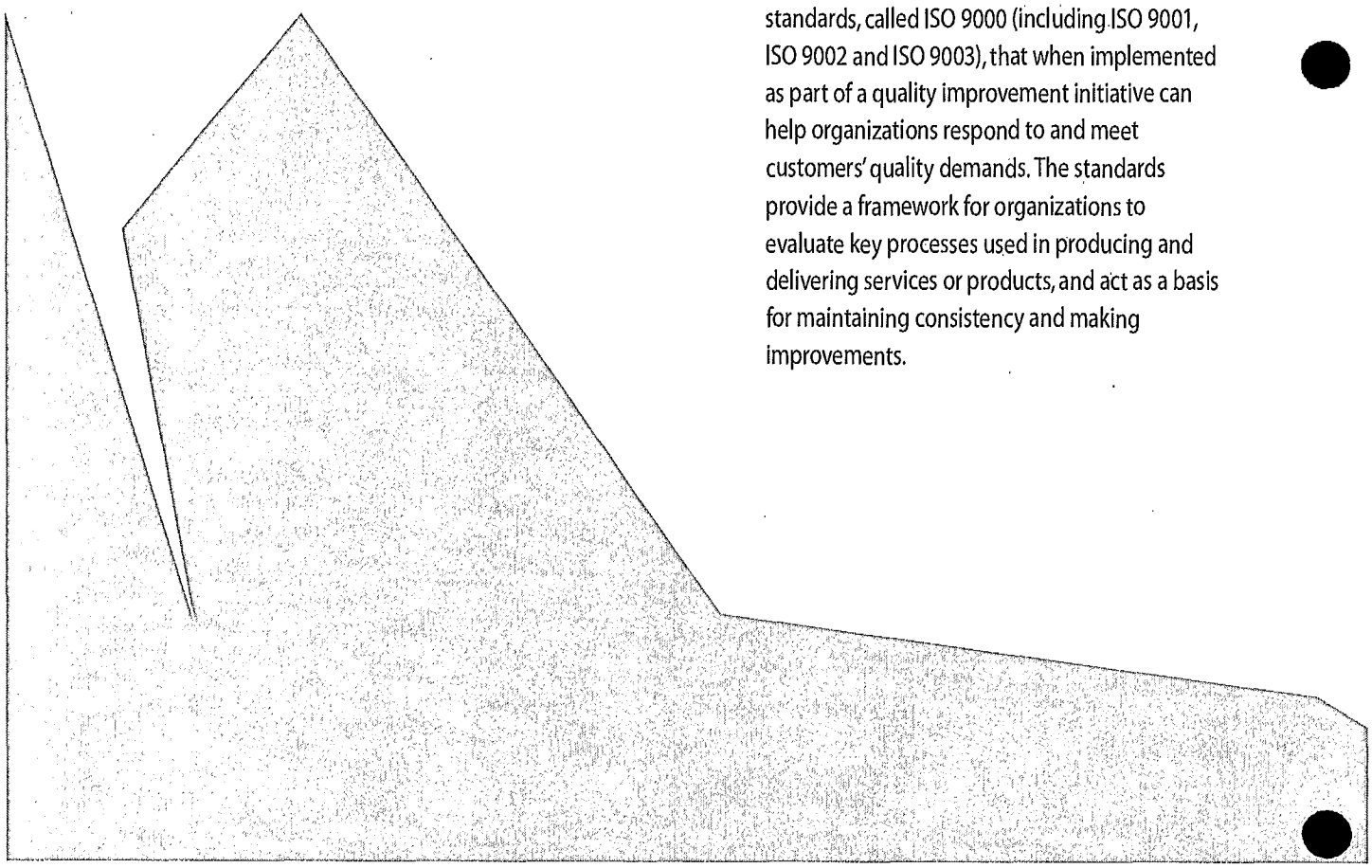
Preface

As an association executive, you do not need to be convinced of the importance of quality. Your members evaluate the services and products you provide all the time. To retain members' loyalty, you must ensure that you meet, if not exceed, their expectations, and that you deal with problems quickly and effectively.

In addition to helping you serve your members better, an effective and systematic approach to quality can save you time and money.

Knowing that quality is important, though, and knowing how to achieve it are two different things. The International Organization for Standardization (ISO) developed a series of standards, called ISO 9000 (including ISO 9001, ISO 9002 and ISO 9003), that when implemented as part of a quality improvement initiative can help organizations respond to and meet customers' quality demands. The standards provide a framework for organizations to evaluate key processes used in producing and delivering services or products, and act as a basis for maintaining consistency and making improvements.



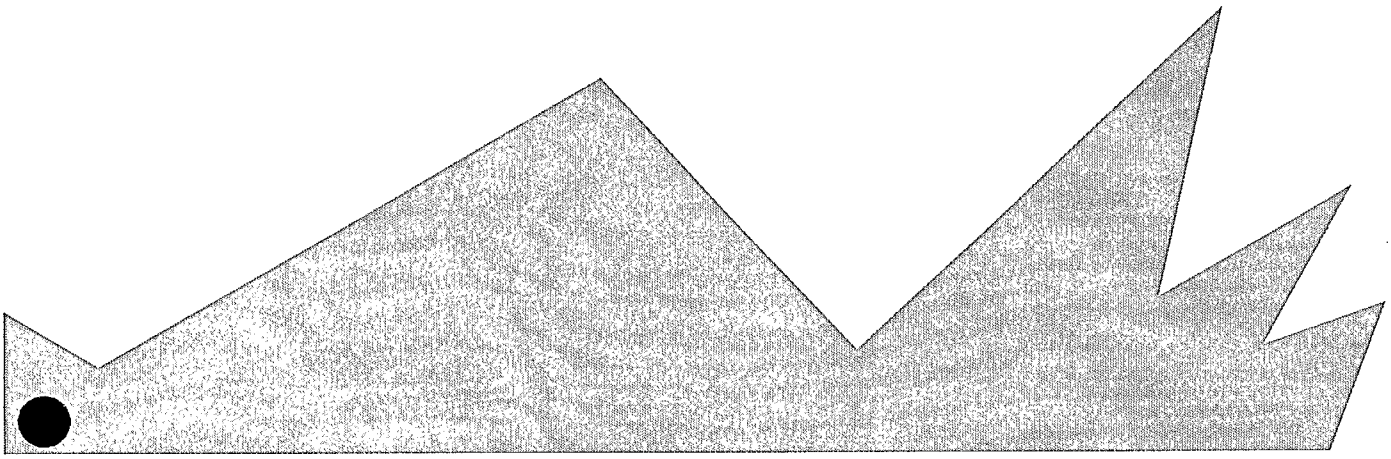
One field in which quality standards have been widely adopted is the automotive industry. A vehicle is a major investment for most people and consumers subject manufacturers' products to intense scrutiny. Vehicle assemblers and automotive parts manufacturers have found that adhering to quality standards is an effective way to improve the quality of the products they produce.

In light of this, the Automotive Industries Association of Canada (AIA) began looking at quality standards. The AIA, as with several other associations, realized that standards could be a useful tool to help it save time and money and serve members better. Industry Canada agreed to participate in a joint project in which the AIA would explore the relevance of one of the ISO 9000 standards, ISO 9002, to associations.

This guide is based on the experience gained by AIA, working with an ISO consultant, in its successful attempt to meet ISO 9002 quality standards. It focusses on the real-life questions that association managers face when deciding whether the ISO 9000 standards will be useful to them and whether they want to apply them formally or informally. It can also act as an instructional guide to help association managers pursue ISO 9000 registration if they so choose.

What Does ISO Stand For?

ISO is not an acronym, although it looks like it should be. It comes from the ancient Greek word *isos*, which means equal. Being able to maintain consistency is a crucial concept for establishing and maintaining standards.



Acknowledgments

It is important to recognize the contribution and support of those that made this initiative possible.

The great success of this project would not have been possible without the hard work of the members of the Steering Committee who shared their expertise and creativity over many months. Committee members included representatives from the Automotive Industries Association of Canada, the Standards Council of Canada, Industry Canada, and Foreign Affairs and International Trade Canada.

Special thanks are extended to:

- The Automotive Industries Association of Canada (AIA), and in particular the past President, Dean Wilson, for his vision and keen support, as well as Beverlie Cook and Marc Brazeau, AIA Vice-Presidents for their hard work and cooperation;
- Joan Brough-Kerrebyn of the Standards Council of Canada for her technical advice;
- The consultants who all played important roles in creating this guide, specifically Michael Haycock of Strategic Research Associates, Christopher LeClair of Strategic Policy Choices and the team from Whitehall Associates;
- The Canadian Society of Association Executives, especially its Executive Vice-President Wayne Amundson, for his enthusiasm in promoting this initiative; and
- Industry Canada's Standards Initiative Program for their support.

Contents

Introduction

You may have seen banners hanging from factories and office buildings near where you live or work proclaiming that the company within is "ISO 9000 registered." You may also have wondered what this statement means.

Quite simply, "ISO 9000 registered" means that an authorized third party has certified that the organization meets one of a series of quality standards, called ISO 9000 (including ISO 9001, ISO 9002 and ISO 9003), and awarded the organization formal registration to that standard.

All right, you say, how then is ISO 9000 registration relevant to me and my association? It sounds like something that would be useful only for big manufacturing firms.

Formal ISO 9000 registration is important because it confirms that an organization has put an effective quality management system in place. For many organizations, though, it is the latter action — implementing a quality management system — that is significant, and it is the focus of this guide. Whether you pursue ISO 9000 registration for your association or not, you can use the standards as a practical guide to creating and implementing a quality management system.

> "The Canadian Society of Association Executives believes that integration of quality management systems into the day-to-day operations of your association is an important means of ensuring that your members are getting the very best you can offer, now and in the future."
>
> *Judith Wiley, President,*
> *Canadian Society of Association Executives*

This guide is first of all a primer for association managers seeking to learn more about the ISO 9000 standards. It can also help you apply ISO 9000 in a straightforward, cost-effective fashion. Finally, it includes some helpful pointers for organizations that decide to seek ISO 9000 registration.

This guide is also available on the World Wide Web **(http://www.associationplace.com/iso).**

What is Quality?

The word *quality* is a regular part of everyday speech and most people are confident they know what it means until someone asks them to define it.

An Industry Canada ISO 9000 workbook for small professional firms (*Quality Assurance in Services: An ISO 9000 Workbook for Small Professional Service Firms*, Industry Canada, 1995) categorized quality as "meeting the appropriate expectations of clients." On the other hand, the Canadian Trucking Quality Institute suggests that the "quality of a service or product refers to its ability to appeal to the client by always surprising him with a better than expected price/quality ratio." It seems that some people see quality as being about meeting customer expectations while others see it as meaning to exceed them.

Clients also see consistency and reliability as good indicators of quality. In their eyes, you are only as good as your weakest product. In addition, it is the products or services that fail to live up to your usual standards that clients remember and talk about.

Quality-conscious organizations understand that they must work to do more than simply respond to customers' expressed needs. They will always be trying to deliver better services and products to customers. And they will not wait for clients to tell them how to improve their offerings.

Quality Means Improvement

"The quality movement isn't so much about being perfect as it is about being better; it's more about improvement than perfection."

John Guasperi, from "Customer Means Customer" in the Quality Digest, *October 1998*

What is ISO 9000?

ISO 9000 is a series of standards recognized worldwide and developed by one of the technical committees of the International Organization for Standardization (ISO).

The best known of the series are ISO 9001, ISO 9002 and ISO 9003. Each of these encompasses the elements of a quality management system, including key work processes through which an organization provides a service or produces a product.

Recognizing that some flexibility is necessary to get a good fit between the standards and individual organizations, ISO created three standards with three different combinations of elements: ISO 9001, ISO 9002 and ISO 9003. The following chart gives a quick overview of these three standards.

The elements of ISO 9000	ISO 9001	ISO 9002	ISO 9003
1 Management Responsibility	✓	✓	✓
2 Quality System	✓	✓	✓
3 Contract Review	✓	✓	✓
4 Design Control	✓		
5 Document and Data Control	✓	✓	✓
6 Purchasing	✓	✓	
7 Control of Customer-supplied Product	✓	✓	✓
8 Product Identification and Traceability	✓	✓	✓
9 Process Control	✓	✓	
10 Inspection and Testing	✓	✓	✓
11 Control of Inspection, Measuring and Test Equipment	✓	✓	✓
12 Inspection and Test Status	✓	✓	✓
13 Control of Non-conforming Product	✓	✓	✓
14 Corrective and Preventive Action	✓	✓	✓
15 Handling, Storage, Packaging, Preservation and Delivery	✓	✓	✓
16 Control of Quality Records	✓	✓	✓
17 Internal Quality Audits	✓	✓	✓
18 Training	✓	✓	✓
19 Servicing	✓	✓	
20 Statistical Techniques	✓	✓	✓

ISO 9002 is probably the best choice for many associations. It is identical to ISO 9001 except that it does not include one element, design control, which is unlikely to apply to association operations. ISO 9003 has only 16 elements and some of these are not addressed as comprehensively as in ISO 9001 and ISO 9002. There are also other elements of the standard, discussed in the next chapter, that are of limited application to most association operations.

Whichever ISO 9000 series standard you pick, you will likely find that some of the elements will not apply to your particular association. This is not unusual and is completely acceptable, even for organizations seeking formal ISO 9000 registration.

Can ISO 9000 Help You?

If you and your management team are committed to making quality a priority and embrace strategic and operational planning as a key management tool, then you can use ISO 9000 to your association's advantage. Based on the standards, you can develop a quality system — that is, the organizational structure, procedures, processes and resources you need to achieve and maintain a desired level of quality.

ISO 9000 standards are not, however, either a prerequisite for, or a guarantee of, quality. Organizations were delivering quality services and products long before ISO 9000 or any other quality initiatives existed. What the ISO 9000 standards do, however, is give you a structured way of approaching quality issues that can help you improve and maintain quality.

> "ISO 9000 has been shown in study after study to benefit organizations in many ways. Results not only include quantifiable hard dollar savings from streamlining or integrating internal processes, but also include softer issues such as increased understanding of customer needs and raising quality awareness within the culture of the organization."
>
> *Ramnik Bindra,* Logistics Quarterly, *Canadian Association of Logistics Management, November 1996*

First, ISO 9000 implementation focusses your association on developing a systematic approach to the design, execution and follow-up of key procedures involved in your normal scope of operations.

Second, meeting ISO 9000 standards requires you to direct human and financial resources to crucial areas of association operations. This helps ensure that your association has the capacity to affect the quality of service you provide to members. It also provides a framework for identifying and responding strategically to member complaints.

Finally, ISO 9000 implementation results in a more disciplined approach to strategic/operational planning and problem solving within your association.

It is possible for associations to adopt ISO 9000 practices without seeking formal registration. In addition, there is nothing saying you cannot adopt some ideas from the standard but not others.

> "It's not simply a matter of getting registered. A quality system can add value, increase efficiency, save money and make money."
>
> *Julie Press, Vice-President, Quality Certification Bureau Inc. (as quoted in the* Calgary Herald, *September 29, 1998)*

You should consider a number of factors when deciding the potential benefits for your association of implementing ISO 9000.

ISO 9000 may be more relevant to some associations than to others. Some of its elements, however, apply to all organizations. Before embarking on implementation, consider the mix of services and products you offer your members. You can readily apply the standards to processes that produce discrete services and products, such as data services, publications and trade shows. It would be more difficult, perhaps impossible, to apply the standards if your organization's chief function is public relations.

The size of your organization is another important consideration. If you have only a few staff or a simple operation, you may feel that applying every element of ISO 9000 is not necessary. As noted previously, there is still considerable opportunity for using just some ideas from the standards.

Quality management is not a one-time effort. The standards require not only that your organization puts a quality management system in place but also that you maintain and improve the system in coming years. To do this, you will have to make an ongoing commitment of staff and resources.

The ISO 9000 Elements and Their Application to Associations

This chapter explains how the ISO 9000 elements can be applied to the association environment. One of your challenges when implementing the standard in your association will be creating a good fit between the generic standard and your operations.

A number of general principles apply to all the elements discussed below. First, management commitment is essential to any quality initiative based on ISO 9000. Second, and equally important, ISO 9000 requires extensive documentation of processes so that you can objectively assess your quality initiatives. This documentation includes the following:

- documents that articulate your quality policies
- written procedures you will follow to implement your quality policies
- work instructions for staff carrying out these procedures
- records that will allow you to demonstrate that your quality management system is working.

> "As an association, we've been preaching the importance of quality for years. So we decided we should practice it too. By using the ISO 9000 quality standards, we were able to focus our quality management efforts. We are proud to say that the Alliance is the first business association in the world to achieve registration to the prestigious ISO quality standard."
>
> *Stephen Van Houten, Former President, Alliance of Manufacturers & Exporters Canada*

This documentation is crucial if your organization is to apply ISO 9000 successfully, even if you decide not to register. It is also essential if you do decide to register (see element 2, page 8).

You should consult the actual ISO 9000 standard as you are reading this chapter for more information on each element. You can get a copy from the Standards Council of Canada's sales office (See page C-2 for contact information).

The Elements of ISO 9000

1 Management Responsibility

Your management team is responsible for developing a quality policy, for delegating appropriate authority, resources and responsibilities to put it in place, and for periodically reviewing the policy and its implementation.

A quality policy outlines your organization's commitment to quality and your objectives on this front. You and your team must develop and endorse the policy in a way that ensures it will be understood and implemented throughout the organization.

From an organizational perspective, you need to assign an individual to ensure that staff receive training, that they have clearly defined responsibilities with respect to the quality policy and that they have the authority to do something about situations that do not conform to that policy.

In addition, that individual should ensure that quality issues are identified and regular reviews of possibilities for improving quality are conducted. This individual reports back to management.

Application to the Association Environment

This element requires you and your management team to make a formal commitment to quality. This commitment can be expressed in several ways:

- making a commitment to quality in your mission and objectives
- identifying one individual to oversee the implementation of your quality management system
- giving staff the authority and training required to take action to ensure quality services are achieved
- putting an ongoing process in place to assess how well your quality system is functioning, both in terms of compliance with ISO 9000 and your efforts to promote quality service delivery.

2 Quality System

To meet the terms of this element, your association must develop a quality system and a manual that describes it. A quality system includes descriptions of specific procedures that association staff follow to improve and maintain the quality of services and products and to adhere to ISO 9000.

Appendix A (page A-1) contains a draft quality manual comprising quality policies and procedures that you may wish to use as a model. It is also available electronically (**http://www.associationplace.com/iso**).

In fulfilling the requirements of this element, you may wish to draw on your own knowledge of your line of business, collect input from your members and perhaps consult literature written by quality experts. You will want to establish a procedure for gathering feedback to use in your strategic and operational planning processes to address how to improve service quality and how this can be spelled out in a quality system.

Application to the Association Environment

There are two key questions to ask yourself with regards to this element:

- Do you have specific procedures in place to implement ISO 9000 and are these procedures part of your day-to-day operations?
- Does your association, as part of your overall strategic and operational planning, solicit input from staff at all levels on how your quality system is implemented and on the quality of member services?

3 Contract Review

As noted previously, you achieve quality when your services and products match or exceed client expectations. ISO 9000 initiatives put considerable emphasis on reviewing contracts you draw up to deliver goods and services. You must establish documented procedures for reviewing contracts, such as membership forms or orders for services and products, and you must adhere to them. These procedures will ensure that you receive well-defined and documented orders from members, that you and your members agree on requirements, that you resolve differences between what was ordered and what you delivered, and that you can adequately meet your commitments.

In addition, you must clearly articulate any contract amendments.

The documentation of these procedures is key to ISO 9000. It is by reviewing your association's contracts and then recording the results of these reviews that you make it possible to establish consistent procedures and make improvements.

Application to the Association Environment

ISO 9000 requires that you do the following when entering into contracts:

- review the contract before signing it to ensure that you can meet its requirements
- have a process for apprising staff of contract amendments so that they can respond correctly
- keep records to demonstrate that contract reviews take place.

4 Design Control

This element includes a number of provisions to ensure that service and product design procedures are established and documented. This is unlikely to apply to most associations and it is not part of ISO 9002. You may wish to review the text of element four in the ISO standard itself to decide if it applies to your association. If it does, you may find that ISO 9001 better suits your needs.

5 Document and Data Control

Documentation is essential to ISO 9000 application. You and your association will need to develop procedures for controlling quality system documents and supporting data required by ISO 9000. This must include management and storage procedures, review and approval procedures and a reliable method to track and control changes to documents.

Application to the Association Environment

There are two key issues to consider here:

- establishing a review and approval process for quality control documents generated by your staff
- setting up procedures to control the review and approval of quality system documents and keeping a master list of such documents.

6 Purchasing

Outsourcing is increasingly important to business today, as many organizations, including associations, depend on third-party vendors to help them deliver services and products efficiently and economically. Your members will judge you by the performance of your subcontractors. As a result, you must document purchasing procedures as part of a quality initiative. There are three key thrusts to the ISO 9000 approach to purchasing:

- you must evaluate contractors to ensure they meet the requirements outlined in your quality system, and include the procedures for maintaining records on contractor performance in your policy manual
- you must collect and maintain data about services and products to allow you to review and approve your purchases
- you must inspect and evaluate purchases to determine if they meet your specifications.

Application to the Association Environment

For associations, the type of purchases to consider regarding this element might be printing or consulting services. Some sample questions to consider related to these are the following:

- Does your association use key purchasing data to ensure that printed products correspond to your requirements?
- Do you choose sub-contractors on the basis of clear criteria?
- Do you keep a list of acceptable sub-contractors and suppliers?

7 Control of Customer-supplied Product

This element is unlikely to apply to associations. It concerns companies that receive materials from their clients to be developed or incorporated into other products. For example, printers regularly receive artwork from clients, so they would have to develop procedures as part of their quality system for the care and control of these materials, as well as for interacting with the client when the artwork is flawed and unsuitable for printing.

8 Product Identification and Traceability

ISO 9000 requires that you develop and document procedures to identify products at all stages of development, production, delivery, receipt and use.

Application to the Association Environment

For most associations the application of this element will be limited to publications. The concern here is maintaining a cataloguing system of unique names or numbers to ensure you can recall items with problems or defects.

9 Process Control

This element is important to any quality initiative and is difficult to apply. The goal is to develop procedures for planning, monitoring and controlling the delivery of services and products. To be effective and comply to the standard, these procedures must be supported by effective record keeping. Your challenge is to do this in a way that will positively affect the quality of your services and products. An ineffective approach will merely add another layer of bureaucracy to your operations without improving what you do for your members.

Application to the Association Environment

If, for example, your association runs an annual trade show on behalf of your members and conducts a complicated statistical overview of an industry sector, ISO 9000 requires that you have clearly articulated procedures to control quality in planning and delivering the show and in your collection, analysis and publication of statistics.

10 Inspection and Testing

The documented requirements you develop for the services and products you either supply yourself, or deliver through a third party, will only be useful if you have some method of checking to see that they are met. This method might include the following:

- testing all services and products, including those provided by third parties, before using them or delivering them to clients
- keeping records of all testing and checking so that you can make sure they are being carried out and reviewing procedures to see if improvements can be made.

Application to the Association Environment

Associations should implement testing at three stages: when receiving services or products (conducting a visual inspection, indicating whether or not the product or service conforms to expectations), while working with them (reviewing draft documents prior to printing, for example) and at final inspection (inspecting final printed documents prior to distribution). As always with ISO 9000, you must keep records to provide proof that inspection and testing have taken place.

Here are three questions to consider when creating inspection and testing procedures for your quality management system:

- What types of procedures do you have in place for testing and inspecting products upon receipt?
- When services or products lend themselves to in-process testing, what procedures exist to ensure they meet your key requirements?
- What procedures do you have in place for inspecting and testing completed products before sending them to members?

11 Control of Inspection, Measuring and Test Equipment

ISO 9000 requires that you set out and record procedures to control, calibrate and maintain the inspection, measuring and test equipment that are used to demonstrate product conformance to specified standards. This element is unlikely to apply to associations. If you do own and use specialized testing equipment you will want to ensure that you establish procedures to regularly calibrate, maintain and inspect this equipment and to document these procedures and their results.

12 Inspection and Test Status

Under ISO 9000, the inspection and test status of a product must be clearly identified to show whether or not it is conforming to the requirements of the inspections and tests. Records must be maintained throughout production, installation and servicing of the product.

Application to the Association Environment

You need to know whether a product has been inspected or tested in order to ensure that faulty products are not sent to members. If, for example, you are putting together a publication with contributions from a variety of sources, you will want to create a checklist that clearly shows that each stage of production is reviewed and signed off.

13 Control of Non-conforming Product

To meet ISO 9000 requirements you must develop procedures to ensure that you do not use unsatisfactory services and products. These procedures must provide controls to identify, document, evaluate, segregate and notify appropriate people within an organization of the problem. Responsibility and authority for the review and disposition of non-conforming products must be clearly defined, with review criteria and subsequent actions clearly articulated.

Application to the Association Environment

You will want to ensure you have established procedures for dealing with products that you discover do not meet your specified standards. If a publication is printed with unauthorized information for example, you will want procedures to ensure the circulation of the publication is controlled, that the publication is reviewed and, once all the errors are detected, that all copies are destroyed.

14 Corrective and Preventive Action

What do you say to an angry member who complains about the accuracy of information you have published? What do you do if you discover that you used misleading statistics to bolster a point in one of your publications?

Why Should My Organization Implement ISO 9000?

"The existence of an organization without customers, or with dissatisfied customers, is in peril! To keep customers — and to keep them satisfied — your product (which may, in fact, be a service) needs to meet the requirements. ISO 9000 provides a tried and tested framework for taking a systematic approach to managing your business processes (your organization's activities) so that they consistently turn out products conforming to the customer's expectations. And that means consistently happy customers!"

from "The Magical Demystifying Tour of ISO 9000", International Standards Organization, 1998

How you respond when things go wrong is just as important as the efforts you make to ensure they do not go wrong in the first place. You will enhance your reputation with your members by responding quickly and efficiently to complaints. You will also want to have clearly established procedures for what to do if a key supplier fails to deliver a product on time or in a satisfactory fashion.

Application to the Association Environment

You will want to establish procedures to fix problems affecting member services quickly and efficiently. Some questions to consider in this regard are the following:

- Do you have in place systematic processes for the following?
  - handling member complaints
  - investigating how problems arose
  - determining how to respond to complaints
  - following up once an issue is resolved.
- How does your association try to prevent problems with service and product delivery from arising in the first place?

15 Handling, Storage, Packaging, Preservation and Delivery

You want a place for everything, everything in its place and everyone to know how to find what they need. In particular, prescribed handling methods and designated storage areas are essential for preventing product damage or deterioration. As with all ISO 9000 requirements, you must spell out packaging, preservation and delivery requirements and keep documentation to ensure they are met.

Application to the Association Environment

If, for example, your association keeps a large number of publications in storage, you will want to answer the following questions:

- Do you use a handling method that protects products from damage or deterioration?
- Do you use designated storage areas to protect products from damage or deterioration?
- Do you have packaging procedures in place to ensure that the integrity of the product is preserved prior to the product being shipped to members?
- Do you stipulate the type of delivery process that ensures the quality of the product from the time it leaves the association until it arrives at its final destination?

16 Control of Quality Records

Quality procedures must not only be followed, they must be seen to be followed. To do this, you must identify, collect, index, file, store and maintain all relevant records. In addition, you must dispose of these records only when appropriate. More importantly, you must use these records to support your quality system.

Application to the Association Environment

The relevant quality records for associations include management reviews, contract reviews, quality planning reports, purchasing documents (supplier lists and purchase orders, for example), non-conformance reports, internal audits, training results and member surveys. You may find that there are other records you use, or that you do not use all those listed here.

17 Internal Quality Audits

Everyone benefits from feedback. Audits conducted by staff not directly responsible for activities under scrutiny provide a valuable tool to help you determine how well you are applying your quality system. You should record the results of these audits so you and your management team can modify and correct procedures when required.

Application to the Association Environment

This element is more likely to apply to associations seeking formal registration, although you may choose to apply it without registering. You must develop and apply a prescribed set of procedures for regular audits of your quality system. These audits should be conducted by an association staff person who is not directly involved in the areas being audited. The results of the audits must be shared with all appropriate staff members so they can address any problems identified.

18 Training

A quality system is a tool and, like any other tool, it is only effective in the hands of skilled people. It is absolutely essential then that you plan for and provide the training all staff members will need to perform their key duties in support of the quality system. In addition to identifying training needs on an ongoing basis, association managers must also keep records of the training staff have taken.

Application to the Association Environment

You will want to ensure that all staff have the training necessary to fulfil their duties. Your quality management system must include management reviews of training and records of any training initiatives undertaken.

If you decide to register, you will also want to ensure your staff are trained to undertake the special requirements of ISO 9000, such as internal audits.

19 Servicing

Most associations do not deliver products requiring servicing. Those few that do should develop and document procedures governing how products are serviced, how service records are kept and to what testing this work should be subjected.

20 Statistical Techniques

If you collect statistics as part of your quality management activities, such as measurement of response time to client requests, trends in client complaints or specified service errors, you must ensure that you use valid techniques when gathering the data and that they are correctly interpreted. ISO 9000 standards require that you regularly review the way you collect and use statistics and document your approved methods for collection and analysis. The standard also applies to statistics for inspection sampling.

Application to the Association Environment

If member need surveys or satisfaction surveys form part of your quality management system, you must regularly review the statistical techniques you use and their application.

Gap Analysis

Organizations considering formal ISO 9000 registration use a process called gap analysis as a key part of their preparations. A gap analysis is also helpful to organizations implementing the standards informally. As the name suggests, the purpose of this exercise is to determine how much work you need to do to bring current practices in line with the standard. It is a useful exercise in self-analysis for any organization planning a quality initiative.

Included on the following pages is a worksheet that will allow you and your management team to review your current quality control processes and rank them against the requirements of ISO 9000. You will also find an electronic version of it on the World Wide Web **(http://www.associationplace.com/iso).**

Depending on your results, you may decide to use the ISO 9000 elements as a guide to applying a quality initiative or you may choose to work only on particular problem areas.

Please note that this worksheet only includes the elements most likely to be relevant to associations. You may wish to add a section to cover one of the missing elements, or customize the worksheet to meet your particular needs.

> "For the Automotive Industries Association of Canada, undertaking a gap analysis was a particularly valuable exercise. When completed, it provided us with an accurate snapshot of where our association was in terms of quality management and where we had to go. It was a real eye-opener!"
>
> *Beverlie Cook, CAE, Vice-President, Automotive Industries Association of Canada*

Gap Analysis Worksheet

Key Areas of a Quality Management System	Level of Current Quality Implementation			
	Does Not Exist	Low	Medium	High
1 Management Responsibility				
☐ Extent to which quality policy is understood, implemented and maintained throughout organization	☐	☐	☐	☐
☐ Extent to which responsibility and authority for quality management are defined and documented	☐	☐	☐	☐
☐ Extent to which resources have been identified and provided for management, work and verification of quality-related activities	☐	☐	☐	☐
☐ Extent to which management representatives have been identified to lead quality system	☐	☐	☐	☐
☐ Extent to which a regular management review process of the quality system has been implemented	☐	☐	☐	☐
2 Quality System				
☐ Extent to which a quality manual has been developed to document and maintain a quality system	☐	☐	☐	☐
☐ Extent to which quality system procedures are documented and implemented	☐	☐	☐	☐
☐ Extent to which quality planning efforts have been documented and implemented	☐	☐	☐	☐
3 Contract Review				
☐ Extent to which contract review procedures have been developed and implemented	☐	☐	☐	☐
☐ Extent to which procedures have been developed and implemented for contract amendments	☐	☐	☐	☐
☐ Extent to which contract review records have been used and maintained	☐	☐	☐	☐
5 Document and Data Control				
☐ Extent to which document and data control procedures have been developed and implemented to require approval before issuance	☐	☐	☐	☐
☐ Extent to which changes to documents and data are documented, approved and systematically registered	☐	☐	☐	☐
6 Purchasing				
☐ Extent to which subcontractors are evaluated before, during and after they supply services and products	☐	☐	☐	☐
☐ Extent to which information is clearly articulated on purchasing documents to allow for review and approval	☐	☐	☐	☐
☐ Extent to which the verification process for purchased products is documented and implemented	☐	☐	☐	☐
8 Product Identification and Traceability				
☐ Extent to which products are traceable through a unique identification system	☐	☐	☐	☐

Key Areas of a Quality Management System	Level of Current Quality Implementation			
	Does Not Exist	Low	Medium	High
9 Process Control				
☐ Extent to which processes that directly affect quality are identified, and controlled conditions imposed to maintain quality standards	☐	☐	☐	☐
10 Inspection and Testing				
☐ Extent to which inspection and testing procedures are documented and implemented for received, in-process and finished products	☐	☐	☐	☐
☐ Extent to which inspection and test records are maintained	☐	☐	☐	☐
12 Inspection and Test Status				
☐ Extent to which inspection and test status of products are identified and documented	☐	☐	☐	☐
13 Control of Non-conforming Product				
☐ Extent to which review and action procedures directed towards non-conforming products are developed	☐	☐	☐	☐
14 Corrective and Preventive Action				
☐ Extent to which corrective action procedures are developed	☐	☐	☐	☐
☐ Extent to which preventive action procedures are developed	☐	☐	☐	☐
15 Handling, Storage, Packaging, Preservation and Delivery				
☐ Extent to which procedures are developed for handling, storing, packaging, preserving and delivering products	☐	☐	☐	☐
16 Control of Quality Records				
☐ Extent to which quality records are maintained for both the conformance of products and the effective operation of the quality system	☐	☐	☐	☐
17 Internal Quality Audits				
☐ Extent to which internal quality audits are planned and implemented	☐	☐	☐	☐
18 Training				
☐ Extent to which training needs are identified and training provided	☐	☐	☐	☐
20 Statistical Techniques				
☐ Extent to which the need for statistical techniques is identified and the use of them is controlled	☐	☐	☐	☐

Interpreting Your Results

The following will help you assess how prepared your association is for ISO 9000 implementation:

- If the majority of rankings are low, it is likely that extensive work is required.
- If the majority of the rankings are medium, your association has a solid base on which to build, although significant work may still be required.
- If most rankings are high, many elements of ISO 9000 are already being met by association practices and it is likely that only moderate work will be required.

Many low rankings may also indicate that staff need to be dedicated to improving quality, or that external resources such as an ISO 9000 consultant are required.

Gap analysis results should be used as a reference only, as this type of ranking system can be somewhat subjective.

A Step-by-Step Guide to Implementation

The following are the steps an association would have to go through to get registered as an ISO 9000-compliant organization. Any association looking to apply the principles of ISO 9000 without seeking registration will still find that following these steps is an effective way to implement a quality management system.

Commitment

You and your management team decide to dedicate the time and resources required to implement a quality initiative based on ISO 9000 after carefully studying the costs and benefits. (See page 22 for more details about the costs.)

Strategic Planning and Allocation of Responsibilities

You begin the planning by appointing someone to lead the implementation process. In ISO 9000 terminology, this person is called the management representative.

> "The road to quality is paved with perserverance."
>
> *Monthly ISO Newsletter, 1995, QSI Quality Systems Integrators*

Training Requirements

All staff in the association receive an orientation course about ISO 9000. The management representative, along with those who will perform internal audits, will require an additional internal auditor training course. Please consult an accredited registrar, listed in Appendix B to learn from whom training is available.

Gap Analysis

You assess current policies and procedures to identify those that fall short of what is required by ISO 9000.

Documentation Preparation

Based on your gap analysis results and management review of all quality procedures, you develop a quality system and set it out in a quality manual. Appendix A (page A-1) contains a sample quality manual.

System Implementation

You put your quality system into practice for at least six months.

Document Review

After six months, your management team reviews the quality manual and the documentation of the implementation to determine whether the organization is meeting the required elements of ISO 9000. If you are seeking formal registration, you will select a registrar to conduct this phase with you (see page 24 for more information on selecting a registrar).

Internal Audits

Every year, you will conduct an internal audit to ensure that you continue to meet ISO 9000 requirements. The results of these audits will also form an important part of your quality records that management can use for strategic planning (see page 25 for more information).

Registration Audit (only for organizations seeking to register as ISO 9000 compliant)

A registrar you select comes on site to review the operation of your quality system to assess the extent to which your association complies with ISO 9000 requirements.

Surveillance Audits (only for organizations seeking to register as ISO 9000 compliant)

Once your organization has been registered as ISO 9001, 9002, or 9003 compliant, you will participate in periodic surveillance audits to ensure that you continue to adhere to the quality standard. Your registrar will conduct these audits.

Low-cost Assistance is Available

Many associations simply cannot afford to reassign staff for four to six months to initiate a quality management system. One solution might be to contact ON-SITE. This national program can place a qualified individual within your organization for six months to help implement your system. The wages of ON-SITE project employees are paid through Employment Insurance. Participating organizations pay a small fee to cover the program's operating and administrative costs (only $2600 for a six-month placement). ON-SITE is an excellent way to reduce the costs of implementing your quality management system. For more information or for the number of the ON-SITE office nearest you, call 1-800-565-2427, send an E-mail to **onsite@epi.ca** or visit **http://www.epi.ca**.

Choosing Registration: Some of the Costs and Benefits

So far, this guide has focussed on using ISO 9000 standards as a template for a quality management system. One obvious question remains unanswered. What about seeking ISO 9000 registration for your association?

Your association can be registered as ISO 9000 compliant if you satisfy an accredited registrar that you meet the conditions specified by the standard (see the list of registrars in Appendix B).

Registration is not a one-time thing, though. Following initial acceptance, your association will also have to pass periodic surveillance audits to ensure that it continues to meet the standard. Meeting these qualifications will cost your organization time and money. As with any decision to use valuable resources, you will want to ensure there is an acceptable return for your investment before proceeding with registration.

There is benefit in passing any standard. No matter how confident a jogger may feel about running a marathon, for example, the proof is in the doing. Human beings are sometimes less than objective when it comes to self-evaluation. All successful organizations and individuals, though, regularly test themselves against external standards to measure past performance and to spur themselves on to greater achievements.

The simplest reason for pursuing ISO 9000 registration, then, is to gain recognition for your organization and its staff. If successful, you can use registration as proof of your effectiveness. If unsuccessful, you can use the experience to establish targets and make the necessary corrections to successfully register in the future.

Some associations may also be under pressure from their own members to register. This is particularly true in industries in which the adoption rate for ISO 9000 is very high.

The following must be noted: ISO 9000 is a measure of an organization's ability to put in place a quality management system that meets certain requirements. Compliance is not based on any actual measurement of the quality of an organization's services or products.

To ensure your quality system does have an impact on your services and products, you should determine ahead of time what you would like to achieve with regard to quality. What objective improvements would you and your management team like to see? Would you like to reduce the number of errors in published materials? Or, would you prefer to see more deadlines met? Perhaps you feel the number of complaints from members is too high and should be reduced? It is a good idea to have a solid grasp on quality issues and what you hope to achieve in this area before beginning any quality management initiative.

The cost of ISO 9000 registration is significant in terms of both staff time and resources. For example, a medium-size association of 10 staff persons would likely require that one person devote about half of his or her time to ISO 9000 implementation during an initial period of four to six months. In addition, many organizations need to use external consultants to support the completion of the required tasks for ISO 9000.

Depending on various factors, such as how much consulting help you need, how large your association is and how many offices or chapters you have, you could spend between $10 000 and $15 000 for support for ISO 9000 registration, particularly in the areas of training and manual preparation. You would also have to pay an additional $3500 to $7000 to cover the costs of an accredited ISO 9000 registrar.

You will also want to determine the scope of your potential ISO 9000 registration before deciding to proceed. ISO 9000 registration is site-specific. That means, for example, that an organization with offices in five cities could register each of them or it could choose to register only one. It is entirely up to you to decide which parts of your association do or do not get registered.

> "Despite the fairly high cost, proceeding with formal ISO 9000 registration is money well spent. You and your board should look at it as a long-term investment in your association — and for your members. Over time, your improvements in operational efficiency should outstrip the initial costs."
>
> *Raymond R. Datt, President, Automotive Industries Association of Canada*

For example, you might decide to seek registration only for a national office or for both national and regional offices. Similarly, you may want to focus only on divisions that deliver key services or products.

Finally, you will want to conduct a stringent gap analysis and review the results carefully before making a final commitment to pursue ISO 9000 registration. The greater the distance between your current practices and the requirements of the standards, the more effort you will have to put into qualifying for registration.

Looking Back and Looking Forward

This guide is based in great part on the experience of the Automotive Industries Association of Canada (AIA), which became ISO 9002 registered in April 1998. The process of registration was not an easy one and required the hard work and dedication of a great number of AIA employees and the support of senior management. The following is a summary of the benefits that the AIA has already experienced.

Staff Benefits

- work processes have been better defined
- individual roles are more clear
- documentation has improved
- morale has increased as staff take greater pride in their work
- less time is required for many administrative functions

Management Benefits

- a better system of quality control is in place
- progress of work can be more easily evaluated
- budgets are under more close control
- resources (financial and human) are being more wisely used

Member Benefits

- more time can be given by staff to member service functions
- client service has improved (and should increase more in the future)

The outcomes for AIA are evident. Application of ISO 9000 quality standards and subsequent registration were clearly worthwhile undertakings.

Registration Requirements

If you choose to seek registration once you have developed your quality system you will have to select an accredited registrar and pass registration and surveillance audits. Pursuing registration will also have some impact on how you conduct your internal audits.

Selecting a Registrar

Once you have created and implemented your quality system, you can begin moving towards registration by developing a proposal to send to potential registrars seeking their bid for assisting you with the registration process.

Determining exactly how and where the elements will apply to your association is a complex task. ISO 9000 standards are necessarily generic and you will have noted in reading the explanations of the requirements in previous sections of this document that the 20 elements of ISO 9000 do not apply equally to all organizations. You want a registrar that can demonstrate it understands the workings of your association and can use this understanding to apply the standard practically.

When interviewing potential registrars, insist that you meet the auditors who will actually do the work. You must also determine whether or not the registrar can undertake the registration process within the budget and time frame you establish. Given the long-term nature of the relationship, it is essential that you choose the right registrar.

Performing an Internal Audit

Internal audits must be performed periodically, at least annually. Staff members who will carry out this step must receive specialized training. It is important to note that an individual cannot be an auditor for those areas of the quality system for which he or she is responsible. If that is impossible for your association, you will have to obtain outside help to conduct your internal audit.

Once you have a trained team in place to conduct the audit, you will want to work with team members to plan the scheduling of the audit and ensure they can meet time frames and key requirements on the scheduled days. The internal auditor must ensure that key staff with responsibilities for functions being audited are available to be consulted. As such, it is useful to arrange interview times in advance.

A key step in planning and scheduling your internal audit is developing the checklist the auditor will use to assess the extent to which you are following the policies and procedures that support the quality system. The simplest solution is to use the same checklist that the registrar will use for the registration audit, but you may wish to expand and customize the registrar's checklist for your internal audits.

After completing the audit, the internal auditor will report the results and findings to management and to those whose responsibilities and functions were reviewed. It is almost a certainty that the auditor will identify areas in which current practices do not conform to ISO 9000 requirements. You should make sure that all staff understand that this is expected so that you and they can concentrate on correcting any shortfalls.

In addition, the internal audit will feed into an ongoing management review of the suitability and effectiveness of your organization's quality system that is required by ISO 9000. To do this, you and your management team will review the results of internal audits as well as reports of corrective actions taken.

Registration Audit

Your internal audit will have given you and your staff a very good idea of what to expect in the registration audit. Everyone will have an idea of the questions involved and will know how to respond to them. To further prepare, all staff involved in the audit will want to make sure that all relevant documents, including policies, procedures and work instructions, are easily accessible if requested.

It is useful to identify a location, such as a board room, that the audit team can use through the course of the registration audit process. Usually the initial phase of the registration audit process is a meeting between senior management and the auditor during which the nature of the registration process is discussed and an opportunity for questions and answers is provided.

> "Our ISO 9000 registration by an accredited third party provides our members with an assurance that the Alliance has the necessary procedures in place to ensure that the products and services we deliver are top quality and that continuous improvement is part of our organizational culture."
>
> *Stephen Van Houten, Former President, Alliance of Manufacturers & Exporters Canada*

The Type and Nature of Findings

The auditor will rate your organization's performance on each of the ISO 9000 elements and, when appropriate, sub-elements.

He or she will present these results to you and your management team at a meeting, usually on the day the audit is completed. These results will include a step-by-step review of each element and sub-element and the degree to which your operations conform with ISO 9000 standards. This is an opportunity for the auditor, you and your staff to discuss and, in some cases, debate the audit findings. The auditor will usually tell you of his or her overall assessment and discuss where deficiencies exist, but cannot suggest remedies.

Following the registration audit, the auditor will provide you with a detailed report of the areas in which corrective actions or changes are required. He or she will also give you a specific period of time to correct the deficiencies identified. You can request another meeting if you would like further explanation.

It is important to note, however, that the auditor's comments will not be prescriptive. He or she will only identify areas in which problems exist. Determining what to do to remedy these is your responsibility.

Once you have made the required changes and these have been confirmed by a review and/or follow-up audit, the registrar will recommend the association for ISO 9000 registration. It usually takes three to four weeks for this registration to come into effect. Following that, you are responsible for ensuring that you maintain the standards so that you can pass any surveillance audits.

The registrar will decide on the frequency of surveillance audits on a case-by-case basis. Generally, these audits are conducted every 6 or 12 months.

Appendix A

Sample Quality Manual and Operating Procedures

Note to Readers

This sample quality manual and procedures is based on the documentation used by the test case association. As such, it corresponds to the activities and service delivery needs of that association and is intended to serve as an example only.

Introduction

Purpose

The purpose of this quality manual and all supporting documentation is to clearly define and communicate the commitment of the association to providing its members with quality services that meet and exceed their expectations.

It is understood that in addition to the quality manual, the quality system requirements call for procedures. These are set out in this manual as well.

Scope of Service/Product Delivery

The association is a national industry association representing companies engaged in the manufacturing, remanufacturing, wholesaling, and retailing of all vehicle parts, tools, equipment, accessories and services sold in the industry market.

The association provides its members with a range of products and services that fall within the following categories:

- Education/Career Training
- Market Research, Management and Statistical Information
- International Trade Promotion
- Trade Shows
- Public Relations and Communications
- Government Relations
- Networking
- Group Discount Programs

Quality System Requirements

4.1* Management Responsibility

4.1.1 Quality Policy (Reference OP 4.1.1**)

The quality policy of the association is embodied in the mission statement of the association, which is as follows:

"To promote the responsible growth and prosperity of the Canadian industry market and its members."

This policy will be pursued through the promotion of the following goals and objectives:

1) To grow and to unite into a nation-wide association, principal supply, distribution, and retail segments of the industry market in Canada.
2) To develop and maintain effective divisions.
3) To identify and communicate industry issues providing leadership and direction on behalf of the membership.
4) To strengthen and develop strategic alliances with related industry associations.
5) To effectively influence governments on industry affairs.
6) To promote the image of the industry through effective public relations.
7) To provide industry education and career training opportunities.
8) To provide meaningful market research and management information.
9) To develop international opportunities for association members.
10) To provide revenue necessary to meet objectives.

4.1.2 Organization

4.1.2.1 Responsibility and Authority (Reference OP 4.1.2.1)

1) The association is divided into sector-specific councils, issue-related committees, and staff departments that are based upon clearly defined mandates outlining associated authority and responsibility of both staff and volunteers.
2) The need for communication and cooperation among functional departments and staff is facilitated and interdependencies managed through the practice of regular staff and management review meetings.
3) Job descriptions of staff who perform functions that affect quality include specific references to their responsibilities regarding their role in ensuring the implementation of the quality policy. These job descriptions should be included in an appendix to this manual.
4) All association staff who perform specific functions that affect quality have the responsibility and authority to (i) prevent occurrence of non-conformity,

* Note: This numbering system (beginning with 4.1) corresponds to that used by the ISO in its literature detailing the elements of ISO 9000.
** Refers to the applicable association operating procedures (OP). See page A-15.

(ii) identify/record product, process and quality system problems, (iii) seek solutions through designated channels, (iv) verify implementation of solutions, and (v) limit further activities until such time as deficiencies or unsatisfactory conditions have been corrected under the direction of management.

4.1.2.2 Resources (Reference OP 4.1.2.2)

The association has identified resource requirements and provides adequate resources and training to ensure the management, performance of work and verification activities, including internal quality audits. Job descriptions and an organizational chart should be included in an appendix to this manual.

4.1.2.3 Management Representative (Reference OP 4.1.2.3)

The association's president has appointed a member of the management team who, along with his/her existing responsibilities, has defined responsibilities for the establishment, implementation and maintenance of the association's ISO 9002 quality system. In addition, the management representative is responsible for reporting on the performance of ISO 9002 to the association's management for review and as a basis of improvement of the quality system.

4.1.3 Management Review (Reference OP 4.1.3)

1) A regularly scheduled management review process will be carried out with senior management to monitor the effectiveness of the association's ISO 9002 quality system. This will take place through regularly set meetings with recorded minutes.
2) The results of all internal audits, reports on corrective and preventive actions undertaken, customer/member complaints, and potential revisions to the quality system will constitute potential agenda items as well as other issues that impact upon the effective operation of the quality system.

4.2 Quality System

4.2.1 General (Reference OP 4.2.1)

The association has adopted ISO 9002 as the basis for its quality system. This system is intended to cover the provision of member services and programs as set out in Section II of this manual: "Scope of Service/Product Delivery." The association's commitment to ISO 9002 covers the operations of its Ottawa national office and is set out in this quality manual. When appropriate, this manual will make reference to specific procedures and supporting documentation required for the implementation and ongoing operation of its ISO 9002 quality system.

4.2.2 Quality System Procedures (Reference OP 4.2.2)

The procedures that the association will follow to ensure the implementation and ongoing operation of its ISO 9002 quality system are contained within this manual. The level of detail of these procedures reflects the complexity, nature of work, and training required to undertake key tasks at the association. It should be noted that the long-term nature of association employees' employment preempts the requirement for complex procedures and related work instructions.

4.2.3 Quality Planning (Reference OP 4.2.3)

Quality planning at the association is undertaken as part of the yearly strategic planning and operational planning process. The nature of how the planning process is undertaken to ensure that the requirements for quality are met are set forth in OP 4.2.3 (see page A-16). Quality planning includes all relevant procedures.

4.3 Contract Review

4.3.1 General (Reference OP 4.3.1)

1) The association provides members with a variety of services for which the contract review process is simple. However, in areas in which adherence to specific requirements can affect quality, document review procedures have been developed.
2) For the purposes of contract review, the association has four types of contracts for which documented procedures have been developed to ensure that quality is maintained:
   - Application for Membership
   - Ordering of Association Statistical, Research and Management Information Publications, and Education Programs
   - Reservation for Trade Show Booth Space
   - Contracts for Special Projects (i.e. government projects)

4.3.2 Review (Reference OP 4.3.2)

For the purposes of contract review, the designated association staff person must approve the contract for the following contract types:

Contract Type	Designated Staff Person
Application for Membership*	President
Ordering of Statistical, Research and Management Information Publications	Coordinator, Supplies and Services
Ordering of Education Programs	Administrator, Education and Training
Reservation for Trade Show Booth Space	Vice-President
Contracts for Special Projects (i.e. government projects)	President

**The board of directors must also approve membership applications.*

Verbal requests for products/services may be taken over the phone but all contracts require a completed form for review prior to accepting the contract. In all cases, the review process requires the designated association person responsible for the contract to ensure that the association has the capability to meet activity/service expectations.

4.3.3 Amendments to a Contract (Reference OP 4.3.3)

1) When amendments to a contract are proposed by a member/customer of the association, the designated staff person will indicate acceptance of said amendment by way of a signature on the original contract. In addition, he/she will be responsible for informing all other association staff whose job functions are related to the fulfilment of the order about the changes that have been made.
2) Verbal amendments are reviewed to ensure that the changes are made by authorized personnel and that the changes are passed onto the appropriate association personnel.

4.3.4 Records (Reference OP 4.3.4)

Records of contract reviews will be maintained.

4.4 Design Control (N/A)

This element is not applicable to ISO 9002.

4.5 Document and Data Control

4.5.1 General (Reference OP 4.5)

The association has established and maintains procedures to control documents and data that relate to the requirements of ISO 9002, including any external documents that may be applicable.

4.5.2 Document and Data Approval Issue (Reference OP 4.5)

1) A master list of all association ISO 9002, related documents will be kept up to date to assist in identifying the revision status of all documents.
2) All documents pertaining to ISO 9002 shall be reviewed by the staff person with responsibilities for the areas covered as well as by the vice-president responsible for administration.
3) The association's document control procedures will ensure that the following control objectives are met: (i) the pertinent issues of appropriate documents are available at all locations where access to such documents is critical to the activity that is being performed; (ii) the removal of invalid or obsolete documents to guard against unintended use; and (iii) the identification/retention of obsolete documents when appropriate.

4) Documents and data of external origin will be controlled in a similar manner to internal documents and will be included on the master list when needed and appropriate.

4.5.3 Document and Data Changes (Reference OP 4.5)

1) The association will ensure that changes to documents and data are reviewed and approved by the same staff person, or a designate, who performed the original document review and has access to pertinent background information upon which to base his or her review and approval.
2) When practical, the nature of the change shall be identified in the document or the appropriate attachments.

4.6 Purchasing

4.6.1 General (Reference OP 4.6.1)

1) The association has established specific procedures that deal with various aspects of its purchasing to ensure that purchased products and services meet required specifications.
2) For the purposes of this quality manual, these procedures relate only to the purchase of those products and services that impact upon the association's capacity to meet member requirements. These procedures are set out in this manual. They are not meant to deal with the way in which the association purchases incidentals such as office supplies, for example.
3) All purchasing decisions are approved by the vice-president responsible for administration.

4.6.2 Evaluation of Sub-contractors (Reference OP 4.6.2)

1) On an ongoing basis, the association will evaluate potential sub-contractors on the basis of criteria used to determine their capacity to meet the association's needs. On the basis of suppliers' past performance, the association has established an eligible suppliers list from which products and services will be purchased.
2) Any staff member who has had dealings with a particular supplier may recommend the removal of that supplier from the eligible sub-contractors list.
3) From time to time the vice-president responsible for administration, on advice from staff, will remove companies from the eligible sub-contractors list.

4.6.3 Purchasing Data

The association will utilize purchasing documents such as purchase orders that contain data clearly describing the product/service ordered including additional information when applicable. The content and format of purchasing documents will be determined from time to time by the vice-president responsible for administration. The minimum information will be the type, class, quality, grade or other precise specification, plus quantity, cost and authorization.

4.6.4 Verification of Purchased Product

The nature of the association's purchasing practices are such that it does not need to verify purchased products at sub-contractors' premises. At the same time, its contract with its members does not include contract specifications requiring that its members have the right to verify products at a sub-contractor's premises. As such this sub-element of the standard is not applicable to the association.

4.7 Control of Customer-supplied Product (N/A)

There are no instances in which the association would have customer-supplied products as defined in ISO 9002-4.7. As such this element of the standard is not applicable to the association.

4.8 Product Identification and Traceability (Reference OP 4.8)

All association products and services are identified by title and referenced on the respective order form. Publications must also be assigned a product identification number.

4.9 Process Control (Reference OP 4.9)

1) The association has identified the following processes as being central to achieving quality in its operations:
   - Membership Recruitment and Retention
   - Division/Committee Operations
   - Industry Communication
   - Strategic Alliances
   - Government Relations
   - Public Relations
   - Education and Training
   - Market Research
   - Export Development
   - Revenue Generation
2) When appropriate, the association shall ensure that these processes are carried out under controlled conditions, including the following:
   a) documented procedures to ensure that quality is maintained
   b) use of suitable equipment and working environment
   c) compliance with any reference standards/codes, quality plans and/or documented procedures
   d) monitoring and control of suitable process parameters and product/service characteristics
   e) the approval of processes and equipment as appropriate.

Member surveys are completed to assure the quality of the overall process. Because of the nature of the service(s), it is difficult to measure ongoing acceptability. For this reason, methods by which service is provided must be very clear. Staff must have a firm understanding of responsibilities and training is ongoing.

4.10 Inspection and Testing

4.10.1 General (Reference OP 4.10.1)

The association has procedures in place for inspection and testing activities in order to ensure that incoming products meet requirements. The nature and detail of these procedures reflect the type of products/services produced and the level of inspection and testing that is required.

4.10.2 Receiving Inspection and Testing (Reference OP 4.10.2)

All incoming products/services are visually inspected prior to use to ensure they meet specific requirements.

4.10.3 In-process Inspection and Testing (Reference OP 4.10.3)

When appropriate, the association has developed procedures for in-process inspection and testing. These procedures are confined to those processes in which the absence of inspection and testing could result in a non-conforming product or service.

4.10.4 Final Inspection and Testing (Reference OP 4.10.4)

The association has inspection and testing procedures in place such that no products/services are offered to members until they have received final inspection. Due to the nature of the services the association provides to its members, it is very difficult to undertake a final inspection. For this reason, the association ensures this process through the knowledge and professionalism of its staff.

4.10.5 Inspection and Test Records (Reference OP 4.10.5)

When inspection and testing are required, the association will keep records of these activities, indicating whether products have passed or failed, as well as who was responsible for carrying out the process and releasing the product.

4.11 Control of Inspection, Measuring and Test Equipment (N/A)

This element of ISO 9002 applies to equipment used for confirming compliance of products that need to be calibrated. The nature of the products and services provided by the association is such that calibration requiring inspection, measuring and test equipment is not relevant. As such, the element of the standard is not applicable to the association.

4.12 Inspection and Test Status (Reference OP 4.12)

1) For the purposes of this element of the standard, the association's inspection and test status procedures deal with the manner in which a product's conformance or non-conformance is identified such that delivery or disposal actions can be initiated.
2) The signature or the initials of the staff person with specific responsibility for the product in question will constitute notification of conformance.

4.13 Control of Non-conforming Product

4.13.1 General (Reference OP 4.13.1)

The association has established and maintains documented procedures to ensure that a product/service that does not conform to specified requirements is prevented from unintended use. When appropriate, these procedures ensure control over the identification, documentation, evaluation, segregation and disposition of non-conforming products, and notification to the association staff concerned.

4.13.2 Review and Disposition of Non-conforming Products (Reference OP 4.13.2)

1) The responsibility for review and the authority for the disposition of non-conforming products/services shall rest with the management staff person and/or his/her designate under whose department the non-conforming products/services normally fall.
2) The association reviews non-conforming products/services in accordance with documented procedures to determine one of the following potential courses of action: (i) rework or (ii) reject or scrap.
3) All repaired and/or reworked products/services shall be subject to re-inspection and testing requirements as set out in this manual and in defined procedures.

4.14 Corrective and Preventive Action

4.14.1 General (Reference OP 4.14.1)

1) The association has established and maintains documented procedures for implementing corrective and preventive action.
2) Any corrective or preventive action undertaken by the association to eliminate non-conformity shall be appropriate to the magnitude of problems and commensurate with the risks encountered.
3) The association shall implement and record any changes to its documented procedures resulting from corrective and preventive action.

4.14.2 Corrective Action (Reference OP 4.14.2)

The association's procedures for corrective action include the following:

a) the effective handling of member/customer complaints and reports of product/service non-conformities
b) investigation of the cause of non-conformity relating to product, process and quality system and recording the results of the investigation
c) determination of the corrective action needed to eliminate the cause of non-conformity
d) application of controls to ensure that effective corrective action is taken.

4.14.3 Preventive Action (Reference OP 4.14.3)

The association has established preventive action procedures that ensure the following:

a) that appropriate sources of information are used to detect, analyze and eliminate potential causes of non-conformity

b) that steps needed to deal with problems requiring preventive action are clearly identified
c) that preventive action is initiated and that controls are applied to ensure its effectiveness
d) that relevant information on actions taken is submitted for management review as a formal agenda item and becomes part of the minutes of the meeting.

4.15 Handling, Storage, Packaging, Preservation and Delivery

4.15.1 General (Reference OP 4.15.1)

The association has established and maintains documented procedures for the handling, storage, packaging, preservation and delivery of products.

4.15.2 Handling (Reference OP 4.15.2)

The association provides for methods of handling products that are designed to prevent damage or deterioration.

4.15.3 Storage (Reference OP 4.15.3)

The association uses designated storage areas to prevent the damage or deterioration of products, pending use or delivery. Appropriate methods of authorizing receipt to and dispatch from such areas shall be stipulated.

4.15.4 Packaging (Reference OP 4.15.4)

The association controls packing, packaging and marking to the extent needed to ensure conformance to specified requirements.

4.15.5 Preservation (Reference OP 4.15.5)

The association uses appropriate methods to ensure the preservation and segregation of products while under its control.

4.15.6 Delivery (Reference OP 4.15.6)

The association shall ensure the protection and maintenance of quality of its products through to delivery.

4.16 Control of Quality Records (Reference OP 4.16)

1) The association has established and maintains procedures for the identification, collection, indexing, quick access, filing, storage, maintenance and disposition of quality records.
2) For the purposes of the association's quality system and the elements of ISO 9002 that it addresses, the following are the applicable records to which policies and procedures set out in this section shall apply:
   - Management Review
   - Quality Planning
   - Contracts
   - Purchase Orders

- Acceptable Suppliers List
- Internal Audit Results
- Non-conformance and Corrective Action Reports
- Training
- Member Surveys

4.17 Internal Quality Audits (Reference OP 4.17)

1) The association has established policies and procedures for planning and implementing internal quality audits to verify compliance with ISO 9002 and to determine its effectiveness as a quality system.
2) The vice-president designated as management representative shall call for internal quality audits based upon the status and importance of the activity to be audited and assign/engage personnel trained to conduct internal audit functions who are independent of the activity that is being audited.
3) The association will ensure that the results of internal audits are recorded and brought to the attention of the personnel having direct responsibility for the activity being audited.
4) The results of internal audits and follow-up actions taken to address deficiencies in the quality system and/or areas requiring corrective and/or preventive action will constitute key agenda items of the association's ongoing management review process. When possible, corrective action to address a deficiency must be undertaken within two weeks of being identified.

4.18 Training (Reference OP 4.18)

1) All staff performing functions affecting quality have the specific education, training and/or experience required to fulfil their assigned tasks.
2) All yearly staff evaluations include a specific reference to training requirements to ensure that staff have the opportunity to upgrade their skills as required.
3) Training records constitute a key element of staff personnel files.

4.19 Servicing (N/A)

As an industry association, the association's services are not provided with the issuance of a warranty or other contractual requirements that stipulate specific servicing requirements. As such, this element of ISO 9002 is not applicable to the association.

4.20 Statistical Techniques

4.20.1 Identification of Need (Reference OP 4.20.1)

The association has determined its need for statistical techniques for establishing, controlling and verifying process capability as those that help gauge membership satisfaction.

4.20.2 Procedures (Reference OP 4.20.2)

The association has in place documented procedures to implement and control, when appropriate, the application of statistical techniques as they relate to membership satisfaction surveys.

Sample Operating Procedures

OP 4.1* Management Responsibility

OP 4.1.1 Quality Policy

a) The quality policy and mission and objectives will be prominently displayed throughout the association's offices.
b) All new staff will be made aware of the policy during initial orientation and have it included in their staff manual.
c) As noted in OP 4.1.2, staff job descriptions reference specific elements of the quality policy and form the basis of staff evaluations.
d) All new board members will be made aware of the policy through briefing materials provided to them upon their election to the board of directors
e) Any new activities and initiatives undertaken by the association will be consistent with the policy and its goals and must be approved by the board of directors in the course of the yearly strategic planning process.

OP 4.1.2 Organization

OP 4.1.2.1 Responsibility and Authority

The association organizational chart and job descriptions should be included in an appendix to this manual.

OP 4.1.2.2 Resources

a) Staff designated to perform internal audit functions will receive instruction and training in auditing techniques.
b) As noted in OP 4.18, the yearly evaluation of staff includes a review of training needs and the subsequent provision of training if it is determined that training is required.

OP 4.1.2.3 Management Representative

a) The vice-president responsible for administration is the association's management representative.
b) This vice-president will oversee the establishment, implementation and maintenance of the ISO 9002 quality system.
c) The vice-president responsible for administration will report on the performance of the quality system to management in order to facilitate improvement of the quality system.

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* Note: This numbering system (beginning with OP 4.1) corresponds to that used by the ISO in its literature detailing the elements of ISO 9000.

OP 4.1.3 Management Review

a) At least one management review meeting will be held each year following the internal audit.
b) Management review meetings will be held prior to the commencement of the association's quality planning/strategic planning cycle in order to provide input into the planning process.
c) At least one week prior to the management review meeting, the vice-president responsible for administration will prepare and circulate a draft agenda. Regular agenda items will include but not be limited to the following topics: the results of all internal audits, reports on corrective and preventive actions undertaken, customer/member complaints, and potential revisions to the quality system as well as other issues that impact upon the effective operation of the quality system.
d) The management representative or his/her designate will keep a record of the management review meetings. Records/results of all management review meetings will be shared with all staff at subsequent staff meetings.

OP 4.2 Quality System

OP 4.2.1 General

a) The association will establish, implement, and maintain ISO 9002 as its quality system.
b) Compliance to ISO 9002 will be achieved through adherence to this quality manual and the specific procedures contained herein.

OP 4.2.2 Quality System Procedures

a) Procedures that are in compliance with ISO 9002 have been developed for use by association staff.
b) All procedures must be approved by the management representative.
c) Any changes to quality system procedures must be communicated to staff persons with responsibilities related to the revised procedures.

OP 4.2.3 Quality Planning

a) The planning process occurs from May to September each year and results in a revised three-year strategic plan and a new annual action plan.
b) In May of each year, association staff with specific staff responsibilities for goals and objectives set forth in section 4.1.1 of the quality manual provide background documentation on the status of key actions undertaken in pursuit of respective goals and objectives. This material is assembled in the form of briefing materials to be used by the planning committee.
c) The association planning committee is established in May and is co-chaired by the two vice-chairs of the board of directors and includes representation from committee and council chairpersons and senior association staff.
d) In June, briefing materials are sent to planning committee.

e) Planning committee convenes in July of each year and produces a set of proposals for changes to the strategic plan and a list of action items describing specific activities that are meant to attain newly identified goals or existing ones.
f) The results of planning committee meetings are documented in a set of detailed minutes prepared by association staff and presented to the board of directors for ratification in September of each year.
g) Approved goals and action items become work components of the councils, committees and staff.
h) Annual staff performance reviews are undertaken, referencing individual staff performance in light of approved action items.
i) On an ongoing basis, the executive committee serves as the forum for monitoring the association's overall progress in implementing agreed upon goals and related actions.

OP 4.3 Contract Review

OP 4.3.1 General

a) Unless otherwise stated, the designated vice-president has principal responsibilities for contract review within the association.
b) Within the association, there are four main areas in which contracts are entered into:
   1) Membership in the Association
   2) Trade Show Booth Space
   3) Purchase of Publications, Information and Educational Programs
   4) Government-related projects

OP 4.3.2 Review/OP 4.3.3 Amendments to a Contract

a) Before any contract or subsequent amendment is accepted, it is reviewed by the association to ensure that (i) the requirements are adequately defined, (ii) any differences between the contract and the original order received are resolved, and (iii) that the association is capable of meeting the contract requirements.
b) The manner in which the review/amendment process is carried out differs for each type of contract. Description of these processes are as follows:

Membership in the Association

1) Request for membership information is passed on to the association through direct potential member contact or passed on through the association field representatives.
2) Prospect letter/kit sent out/copied to field representatives for follow-up.
3) Application form completed and received by the association with dues payment.
4) Application form is coded, assigned membership number and dues are prorated.
5) Application form is entered into the association database and acknowledgment letter sent to new member.

6) Memo requesting approval of application form sent to executive, relevant division chairs, membership/marketing committee chair and when applicable, chairs of relevant councils.
7) Thirty days after membership application form is entered into the database, member is approved unless rejected by above chairs.
8) Approval letter sent to member and copied to appropriate field representatives, division chair, and chair of the board.

Trade Show Booth Space

1) Eleven months prior to trade show, trade show kits and contracts are sent to members.
2) If contract is completed and returned prior to end of September, deposit is paid with the balance owing. If contract is returned after the end of September, balance must be paid in full.
3) Payments are deposited and each contract is reviewed with the potential exhibitor being awarded a number of priority points based upon past participation as an exhibitor. Contract must be received prior to the October 1 deadline to qualify for priority booth placement.
4) Letter is sent out to each exhibitor acknowledging receipt of their contract and payment.
5) After October 1, exhibitors are allocated booth space on a first-come-first-serve basis.
6) By the first week in December, each exhibitor is sent a letter and information package indicating the booth space allocation and exhibitor guidelines.

Purchase of Publications, Information and Educational Programs

Requests to purchase publications, information and/or educational programs utilize existing association order forms and are processed/filled by the staff person receiving the request or passed on to the coordinator of supplies and services and/or administrator of education and training.

Government-related Projects

1) All contracts to perform work for the government are reviewed by vice-president responsible for administration and the respective association staff person under whose department the project falls.
2) Contract will utilize a format suitable to the association and the respective government department.

OP 4.3.4 Records

All contracts cited in sections 4.3.1 through 4.3.3 of the quality manual and supporting documentation of review processes undertaken are kept as part of the association's records.

OP 4.4 Design Control (N/A)

OP 4.5 Document and Data Control

a) The vice-president responsible for administration ensures that documentation is up to date and controlled. A master list of all association documents related to ISO 9002 will be maintained (see the following pages for examples).

b) A master copy will be kept under control of the vice-president responsible for administration in his/her office.

c) Review will be ongoing. All procedures will be reviewed prior to submission by the vice-president responsible for administration.

d) This control will extend to all documents and data, hard copy and electronic, of both an internal and external nature.

Document and Data Control

Quality Manual

	Policy	Revision	Date	Revision	Date
4.1	Management Responsibility	0	13/02/98		
4.2	Quality System	0	13/02/98		
4.3	Contract Review	0	13/02/98		
4.4	Design Control	N/A	13/02/98		
4.5	Document and Data Control	0	13/02/98		
4.6	Purchasing	0	13/02/98		
4.7	Control of Customer-supplied Product	N/A	13/02/98		
4.8	Product Identification and Traceability	0	13/02/98		
4.9	Process Control	0	13/02/98		
4.10	Inspection and Testing	0	13/02/98		
4.11	Control of Inspection, Measuring and Test Equipment	N/A	13/02/98		
4.12	Inspection and Test Status	0	13/02/98		
4.13	Control of Non-conforming Product	0	13/02/98		
4.14	Corrective and Preventive Action	0	13/02/98		
4.15	Handling, Storage, Packaging, Preservation and Delivery	0	13/02/98		
4.16	Control of Quality Records	0	13/02/98		
4.17	Internal Quality Audits	0	13/02/98		
4.18	Training	0	13/02/98		
4.19	Servicing	N/A	13/02/98		
4.20	Statistical Techniques	0	13/02/98		

Document and Data Control

Operating Procedures

Procedures	Revision	Date	Revision	Date
4.1 Management Responsibility	0	13/02/98		
4.2 Quality System	0	13/02/98		
4.3 Contract Review	0	13/02/98		
4.4 Design Control	N/A	13/02/98		
4.5 Document and Data Control	0	13/02/98		
4.6 Purchasing	0	13/02/98		
4.7 Control of Customer-supplied Product	N/A	13/02/98		
4.8 Product Identification and Traceability	0	13/02/98		
4.9 Process Control	0	13/02/98		
4.10 Inspection and Testing	0	13/02/98		
4.11 Control of Inspection, Measuring and Test Equipment	N/A	13/02/98		
4.12 Inspection and Test Status	0	13/02/98		
4.13 Control of Non-conforming Product	0	13/02/98		
4.14 Corrective and Preventive Action	0	13/02/98		
4.15 Handling, Storage, Packaging, Preservation and Delivery	0	13/02/98		
4.16 Control of Quality Records	0	13/02/98		
4.17 Internal Quality Audits	0	13/02/98		
4.18 Training	0	13/02/98		
4.19 Servicing	N/A	13/02/98		
4.20 Statistical Techniques	0	13/02/98		

OP 4.6 Purchasing

OP 4.6.1 General

The vice-president responsible for administration is the primary person responsible for purchasing. The coordinator of supply and services provides support to the vice-president in this function.

OP 4.6.2 Evaluation of Sub-contractors

a) Suppliers are selected by management personnel and by the coordinator of supply and services. Depending upon the nature of what is being purchased, a quote will be requested from two to four suppliers. In the case of a new supplier, references will be checked. Sub-contractors will be selected on the basis of quality, dependability and cost.
b) A list of qualified sub-contractors will be compiled and maintained by the coordinator of supplies and services.
c) In the event that a sub-contractor fails to meet the expectations and requirements of the association, the sub-contractor will be informed of the problem verbally.
d) In the event that a sub-contractor fails to meet the association's need on a second occasion, they will be contacted in writing and notified that they have been removed from the sub-contractors' list.

OP 4.7 Control of Customer-supplied Product (N/A)

OP 4.8 Product Identification and Traceability

a) All of the association's publications/literature will be imprinted with a product identification number printed on the back cover of the document.
b) Fulfilment of all orders of publications and literature will record member and non-member requests by product identification number.

OP 4.9 Process Control

a) The association's key processes that affect quality are set out in the *1997–1999 Strategic Plan* and *1997 Action Plan*.
b) Process procedures will be developed on a yearly basis as part of the association's quality planning cycle.
c) Process procedures will be developed by the association's planning committee and approved by the board of directors.
d) Once approved, these procedures constitute the association's official process procedures for quality manual section 4.9.
e) Processes will be controlled through the establishment, implementation and monitoring of action plans that set out key activities and tasks to be undertaken as part of the process area.
f) Process monitoring is undertaken at two levels. The president is required to report to the executive committee on an ongoing basis on the association's performance in completing the action plans set out in each process area. In addition, staff job descriptions and staff evaluations reference key process areas.

g) Staff suitability to perform activities and tasks required for key processes is assessed as part of the yearly staff evaluation process. As part of this process, training needs are identified.

OP 4.10 Inspection and Testing

OP 4.10.1 General

The nature of the association's product and service offerings are such that inspection and testing activities apply to physical products that the association produces. These products usually take the form of publications. Procedures for inspection and testing activities apply to these association offerings. The nature and extent of these procedures are based on a recognition that sub-contractors exercise their own controls and procedures to ensure conformance.

OP 4.10.2 Receiving Inspection and Testing/OP 4.10.4 Final Inspection and Testing

a) All incoming products are placed in a designated receiving area.
b) These products are then subject to visual inspection and identified as either conforming or non-conforming by initialling the receiving documents.
c) The staff person who receives the shipment of products is responsible for conducting the visual inspection or for notifying the staff person with designated responsibility for the product in order that inspection can be undertaken promptly.
d) No product can be shipped out to members/non-members or stored in a designated storage area unless it has appropriate product conformance documentation as set out in (b) of these procedures.
e) Non-conforming products are placed in a designated storage area for disposal and/or-rework as set out in OP 4.13.2.

OP 4.10.3 In-Process Inspection and Testing

a) In cases in which the nature of product production allows for in-process inspection, activities are undertaken to ensure conformance with product requirements.
b) In the case of the association, in-process inspection and testing activities relate to review of draft documents and/or publications prior to printing.
c) Draft documents/publications may not be returned to the printer for printing unless they are initiated by the staff person with designated responsibility for the product.

OP 4.10.5 Inspection and Test Records

All inspection and test records from receiving, in-process and final inspection and test activities shall be kept and maintained as part of a product file and retained by the staff person with designated responsibility for the specific product.

OP 4.11 Control of Inspection, Measuring and Test Equipment (N/A)

OP 4.12 Inspection and Test Status

a) As set out in OP 4.10.1 through 4.10.5, inspection and test status shall be indicated by way of (a) the initials recorded on the package slip, (b) location of the product in the designated storage area, or (c) review of product file.

b) As set out in OP 4.10.2/4.10.4 (c), staff persons receiving in-coming products may carry out visual inspection and mark the appropriate conformance or non-conformance form or may notify the staff person with designated responsibility for the specific product to do so.

c) In the case of in-process inspection and testing, inspection and test status as noted in OP 4.10.3 is indicated by way of the initialling of the product by the staff person with responsibility for the product.

OP 4.13 Control of Non-conforming Product

OP 4.13.1 General

a) Any staff member who identifies a non-conformance through inspection and testing activities set out in OP 4.10 will ensure that the product is not used.

b) Upon the determination that a product is non-conforming, its non-conforming status will be marked on the packing slip and moved to an area designated for non-conforming products.

c) Staff in departments with responsibility for the product will be notified that the product is non-conforming so that appropriate review and disposition actions can be undertaken.

OP 4.13.2 Review and Disposition of Non-conforming Product

a) The staff person responsible for the non-conforming product will review it to determine if it is to be (a) reworked to meet specified requirements or (b) rejected or scrapped. The nature of the review process will consider the most feasible method of disposition given the type of non-conformity.

b) All reworked products that are shipped back to the association will be subject to inspection and test procedures as set out in OP 4.10.

OP 4.14 Corrective and Preventive Action

OP 4.14.1 General/OP 4.14.2 Corrective Action/OP 4.14.3 Preventive Action

a) All non-conformances are recorded using an approved association non-conformance Report (NCR) format. Review and approval of corrective action as per NCR form.

b) Non-conformances are reviewed as a regular agenda item of management review to assess what corrective/preventive action is required to address the non-conformity.

c) In considering all corrective and preventive actions, the need to change ISO 9002 procedures will be examined.

d) Changes to procedures may be proposed by any member of the staff.
e) In order to come into effect, changes to the association's operating procedures must be approved by the vice-president designated as the management representative.
f) Non-conformances referred for corrective action will be identified on the NCR with an expected date and a review of effectiveness.

OP 4.15 Handling, Storage, Packaging, Preservation and Delivery

OP 4.15.1 General

a) The association's coordinator of supply and services has primary responsibility for this function.
b) Methods of handling, packaging, preservation and delivery are determined from time to time by the coordinator of supply and services in conjunction with input from the staff person responsible for a given product.
c) Overview of this function is the responsibility of the vice-president responsible for administration.

OP 4.15.2 Handling

The nature of the association's products are such that the possibility of damage or deterioration during the handling phase is minimal.

OP 4.15.3 Storage/OP 4.15.5 Preservation

a) Upon receipt, all association products are placed in the designated receiving area where they are protected from deterioration and damage.
b) Following inspection and testing, they are moved to designated storage areas located in the basement of the association's premises by the staff person conducting the inspection/test.
c) Suitable shelving is used for storage/preservation that protects the products from moisture, dust and other forms of damage or deterioration.
d) The coordinator of supply and services is responsible for storage/preservation of all products and oversees a wall chart inventory management system that all staff must use to record receipt and dispatch of products.
e) Prior to the shipping of stored products, inventory is assessed for damage or deterioration.

OP 4.15.4 Packaging

On an ongoing basis, staff determine an effective means of packaging specific products that provide appropriate protection during storage and transportation.

OP 4.15.6 Delivery

a) On a product-by-product basis, delivery requirements are assessed to determine how best to protect the product during the delivery phase.

b) When appropriate, products requiring special care or attention during the delivery phase will be sent to members/customers via courier. Other products are sent via Canada Post. In both instances, controls exercised by the sub-contractor ensure product protection during delivery.

OP 4.16 Control of Quality Records

The association maintains records in accordance with ISO 9002 requirements and identifies what records are kept, who is responsible, where they are kept, and for how long they must be retained. This is as follows:

Record	Responsibility	Location	Retention Time
Management Review	VP (Admin.)	Office	2 years
Quality Planning	President	Office	2 years
Contracts	VP (Admin.)	Office	1 year
Purchase Orders	VP (Admin.)	Office	3 years
Approved Supplier List	VP (Admin.)	Office	1 year
NCR Reports	VP (Admin.)	Office	2 years
Internal Audit	VP (Admin.)	Office	2 years
Training	President	Office	3 years
Member Survey	VP (Membership)	Office	1 year

OP 4.17 Internal Quality Audits

a) Once a year, the association's vice-president designated as the management representative will hold an internal audit planning meeting to involve all staff in the scheduling of the internal audit process.

b) At this meeting, staff will set the time frame in which various association activities will be audited and will choose the respective internal auditors.

c) Following this meeting, the vice-president responsible for administration will circulate to all staff a formal internal audit schedule to ensure that staff remain available and that time conflicts are kept to a minimum.

d) All activities will be audited at least once per year. The scheduling and performance of internal audits will be based on the status and importance of activities being audited. In making these decisions, staff input during the annual internal audit planning meeting will be sought.

e) Once audit personnel have been selected, the vice-president responsible for administration will arrange for them to receive internal auditor training from a trainer suitably qualified to train staff in ISO 9002 internal audit procedures.
f) When conducting an internal audit, the association's internal auditors will utilize a checklist supplied to the association by its ISO 9002 registrar.
g) The internal auditor will provide the vice-president responsible for administration with a copy of the completed checklist indicating in which areas corrective action is required and in which areas there are deficiencies that must be addressed.
h) Any non-conformance found at the time of the internal audit will be addressed through the NCR process.
i) The results of the internal audit are then shared with the management personnel responsible for the area that was audited. At this time, the vice-president responsible for administration and respective staff person establish a plan and time frame to undertake any corrective action that might be required.
j) The results of all internal audits will constitute a regular agenda item at management review meetings called by the vice-president responsible for administration. At these meetings, staff responsible for undertaking required corrective actions identified through the internal audit process will update the management team on the progress of implementation.
k) The results of all internal audits and follow-up activities will be kept as records indicating the operation of the association's ISO 9002 quality management system as per 4.16 "quality records".

OP 4.18 Training

a) Once a year staff will go through a performance evaluation with the staff person to whom they report.
b) The staff evaluation process will be undertaken to assess the capacity of staff to undertake specific tasks and duties that affect the association's quality policy as set out in 4.1.1.
c) For each position, a set of duties/responsibilities will be developed and updated by the President to provide a basis against which to evaluate staff capabilities.
d) Determination of the need for training in order that staff have the required skills and qualifications necessary to complete their duties will be a formal part of the staff evaluation process.
e) When training is required, the staff person being evaluated and/or the person conducting the evaluation will identify suitable training courses and arrange for training to be undertaken.
f) Results of the staff evaluations, including training needs assessments and records of training undertaken in accordance with (c) and (d) of this procedure will be an integral part of the personnel file of each staff member.

OP 4.19 Servicing (N/A)

OP 4.20 Statistical Techniques

OP 4.20.1 Identification of Need

a) At least every two years, the association's membership department in cooperation with management staff will conduct membership needs assessment and/or membership satisfaction surveys in order to ensure that the quality of association product and service offerings is in keeping with member needs and expectations.

b) The type and nature of the statistical techniques will depend upon the nature of the member survey that is being undertaken and consideration of requirements to ensure the statistical validity and credibility of the research technique.

OP 4.20.2 Procedures

a) Where appropriate, association membership staff will receive training to ensure they are suitably qualified in the design, development and interpretation of various statistical techniques required to evaluate member needs and member satisfaction surveys. Or conversely, the association will secure the services of a suitably qualified research firm to carry out such research.

b) The vice-president responsible for membership must review all draft surveys and sign-off prior to them being sent out to the membership.

c) Results of membership surveys will be distributed to all management staff with responsibilities relating to any of the items covered in the survey. When applicable, the results of the surveys will be used in staff planning exercises.

d) A summary of the membership survey will also be made available to the board of directors to assist them in strategic planning for the association.

Appendix B

Canadian Quality Systems Registrars Accredited by the Standards Council of Canada

(Please check the Standards Council of Canada Web site (**http://www.scc.ca**) for a complete and current list, as it is periodically updated.)

Quality Management Institute
Sussex Complex, Suite 300
90 Burnhamthorpe Road
West Mississauga, Ontario
L5B 3C3

Tel.: (905) 272-3920
Fax: (905) 272-3942
Web site: **http://www.inforamp.net/~qmi/index.html**

Canadian General Standards Board
Place du Portage, Phase III, 6B1
11 Laurier Street
Hull, Quebec
K1A 1G6

Tel.: (819) 956-3500
Fax: (819) 956-5644
E-mail: **bill.cunningham@pwgsc.gc.ca**
Web site: **http://w3.pwgsc.gc.ca/cgsb**

Intertek Testing Services NA Ltd.
1829 32nd Avenue
Lachine, Quebec
H8T 3J1

Tel.: (514) 631-3100
Fax: (514) 631-1133

Bureau de normalisation du Québec
8475 Christophe-Colomb Avenue
Montreal, Quebec
H2M 2N9

Tel.: (514) 383-3253
Toll-free: 1-888-256-0660
Fax: (514) 383-3260
Web site: **http://www.criq.qc.ca/bnq**

SGS International Certification Services Canada Inc.
5925 Airport Road, Suite 300
Mississauga, Ontario
L4V 1W1

Tel.: (905) 676-9595
Fax: (905) 676-9519
Web site: **http://www.sgsna.ca**

International Quality System Registrars
7025 Tomken Road, Suite 271
Mississauga, Ontario
L5S 1R6

Tel.: (905) 565-0116
Toll-free (Toronto): 1-800-267-0861
Toll-free (Quebec): 1-888-472-9831
Fax: (905) 565-0117
E-mail: **iqsr@istar.ca**
E-mail: **clarabie@istar.ca**
Web site: **http://home.istar.ca/~iqsr**

Underwriters' Laboratories of Canada
7 Crouse Road
Scarborough, Ontario
M1R 3A9

Tel.: (416) 757-3611
Fax: (416) 757-9540
Web site: **http://www.ulc.ca**

Quality Certification Bureau Inc.
Suite 103, Advanced Technology Centre
9650-20th Avenue
Edmonton, Alberta
T6N 1G1

Tel.: (403) 496-2463
Fax: (403) 496-2464
Web site: **http://www.qcbinc.com**

QUASAR (Quality Systems Assessment Registrar)
7250 West Credit Avenue
Mississauga, Ontario
L5N 5N1

Tel.: (905) 542-1312
Toll-free: 1-800-461-9001
Fax: (905) 542-1318
Web site:
http://www.cwbgroup.com/english/quasar.htm

KPMG Quality Registrar Inc.
Suite 1500
Four Robert Speck Parkway
Mississauga, Ontario
L4Z 1S1

Tel.: (905) 949-7800
Toll-free: 1-800-862-6752
Fax: (905) 949-7799
Web site: **http://www.kpmg.ca**

AOQC Moody International Registration Ltd.
57 Simcoe Street South, Suite 2H
Oshawa, Ontario
L1H 4G4

Tel.: (905) 433-2955
Fax: (905) 432-9308
E-mail: **aoqc_osh@compuserve.com**

Appendix C

For More Information

The following organizations can provide further information on ISO 9000.

International Organization for Standardization (ISO)

ISO is a worldwide, non-governmental organization whose membership comprises national standards associations in 130 countries, including the Standards Council of Canada (SCC). ISO's mission is to promote the development of international standardization as a means of facilitating exchange and cooperation among countries. ISO addresses many different sectors of the economy. ISO standards are market-driven and are developed through an international consensus among experts in the fields concerned.

1 de Varembé Street
PO Box 56
CH – 1211 Geneva 20
Switzerland

Tel.: 41-22-749-01-11
Fax: 41-22-733-34-30
Web site: **http://www.iso.ch**
E-mail: **central@iso.ch**

Standards Council of Canada (SCC)
SCC is a federal Crown corporation with the mandate to oversee Canada's National Standards System. It operates national accreditation programs for organizations involved in ISO 9000 and ISO 14000 registration, standards development, testing, calibration, certification and auditor certification and training course provision. SCC is the Canadian member of ISO, and has signed two multilateral agreements promoting the international acceptance of ISO 9000 registrations. SCC offers Canadians a comprehensive information service on standards, technical regulations and conformity assessment activities around the world. Much of this information is accessible through the SCC's Web site.

1200–45 O'Connor Street
Ottawa, Ontario
K1P 6N7

Tel.: (613) 238-3222
Fax: (613) 995-4564
Web site: **http://www.scc.ca**
E-mail: **info@scc.ca**

To purchase a copy of the ISO 9000 standards, please contact the exclusive Canadian distributor of ISO publications on behalf of SCC:

Global Info Centre Canada
240 Catherine Street, Suite 305
Ottawa, Ontario
K2P 2G8

Tel.: (613) 237-4250
Fax: (613) 237-4251
Web site: **http://global.ihs.com**
E-mail: **global@ihs.com**